

**PUBLIC PARTICIPATION IN WATER RESOURCES PLANNING:
AN EVALUATION OF THE PROGRAMS OF
15 CORPS OF ENGINEERS DISTRICTS**

A Report Submitted to the:
U. S. Army Engineer Institute for Water Resources
Kingman Building
Fort Belvoir, Virginia 22060

Under
Contract Number DACW-73-73-C-0048

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Prepared by:

JAMES F. RAGAN, JR.

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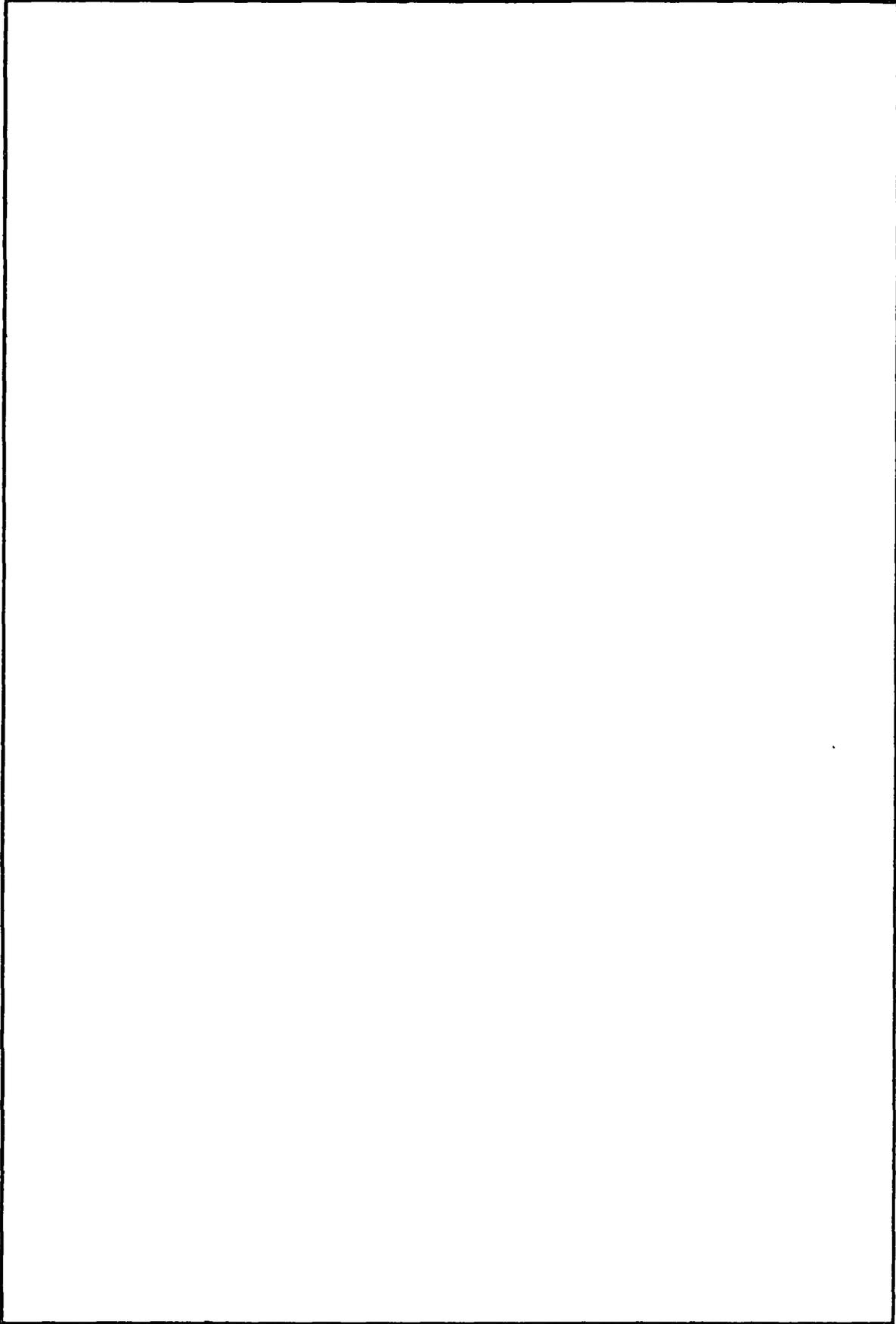
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PREFACE

This report documents an evaluation of public involvement practices in 15 selected Corps of Engineers field offices. It is based upon research conducted during 1973 and can only be interpreted as reflecting field practice as it existed in those offices at that time. During the two years since the evaluation was completed, improvements in certain areas of public involvement have been made -- many as a result of recommendations stemming from the author's evaluation. The report is being published at this time because many of the observations and suggestions are still timely and will be valuable to field planners who seek to improve their public involvement programs.

Because of the time lapse since this research was conducted, several comments concerning recent major changes in Corps planning and public involvement practice are in order. First, new planning guidelines prescribe a planning framework which is not completely consistent with the description of the Corps planning process presented in Part III of this report. However, the reader should have little difficulty in relating the author's discussion to the current planning process because many of the changes incorporated in the current planning guidance reflect primarily differences in number of study phases and nomenclature and not fundamental changes in the substance of the planning process.

Secondly, public involvement guidance has been revised since 1973. EC 1165-2-100, the basic policy reference used by the author in his evaluation, is no longer in effect. It has been superceded by

ER 1105-2-800 which prescribes Corps of Engineer public involvement policies. ER 1105-2-800 will be supplemented with additional regulations containing public involvement program requirements. The fact that this report is based on policy statements in a now outdated circular should not detract from its usefulness. The same basic philosophy concerning public involvement in Corps of Engineer planning has been retained in the existing regulation.

Finally, current public involvement practice within the Corps is significantly improved in comparison with efforts described in this report. This is particularly true regarding public involvement plan development and resource allocation. Additionally, substantial effort has been devoted to training, with the result that the general level of field expertise in the area of public involvement has been increased. Many field offices now routinely employ public involvement specialists to assist study managers in the development and implementation of programs.

This report covers only a sample of Corps field offices and in no way purports speculation that the findings are representative of all. In any event, the major benefit to be gained from the report is not as a critique of past practice but as a guide to self-evaluation of current practice. If the report is viewed in this fashion, further improvements can be made in the Corps' ability to provide effective public involvement opportunities in all water resource studies.

DANIEL D. LUDWIG
Colonel, CE
Director

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INTRODUCTION

In 1970, the U. S. Army Corps of Engineers (hereinafter referred to simply as "the Corps") began to intensify its efforts to increase public participation in its water resources planning activities. (Public participation had previously been limited largely to speaking at formal public hearings on water resources studies.) First, the Corps directed that there be three public meetings on a normal study. The Corps' Institute for Water Resources (IWR) sponsored two pilot efforts to explore and test innovative ways to encourage public participation.¹ The Seattle and Rock Island Districts (Corps field offices) initiated new and intensive methods to increase public involvement. In early 1971, IWR began a series of seminars and instructional material for planners to introduce the objectives and techniques of public participation to Corps Districts. In the spring of 1971, the Corps Office of the Chief of Engineers (OCE) provided its Districts with new and specific guidance for involving the public in Corps water resources planning activities.² In the fall of 1971, IWR initiated a Technical Assistance Program (TAP) to provide 13 Districts and 2 Corps Divisions with consultants to assist in expanding and improving public participation activities. IWR has itself provided such assistance to Districts undertaking waste water management and urban studies.

¹IWR Report 70-6, The Susquehanna Communication-Participation Study, December 1970; IWR Report 70-7, Public Participation in Water Resources Planning, December 1970.

²OCE Multiple Letter, Public Participation in Civil Works Activities, 19 March 1971; EC 1165-2-100, Water Resources Policies and Authorities, Public Participation in Water Resources Planning, 28 May 1971. The guidances specified objectives, policies, procedures, responsibilities, and other information relevant to the systematic development, conduct, and evaluation of public participation programs.

Despite--or perhaps because of--the above-mentioned efforts, many Districts have had difficulty expanding and intensifying their public participation programs. IWR contracted for research to assess the effectiveness of District programs in order to determine the following:

- Where problems exist
- What modified or additional guidance is needed
- What successful public participation experiences might be applied more broadly

This report is a result of that research.

The overall objective of this research is to evaluate the current public participation practices in selected Corps field offices and to provide planners in all field offices with specific experiential guidance on how to integrate increased public participation into their planning.

The field offices selected for this evaluation were as follows:

- The 13 Districts and 2 Divisions provided with assistance under the TAP consultant program: the Districts of Detroit, Honolulu, Kansas City, Mobile, New Orleans, New York, Omaha, Pittsburgh, Sacramento, St. Louis, Tulsa, Walla Walla, and Wilmington (N. C.); and the North Pacific and North Central Divisions
- The Seattle and Rock Island Districts³

This research is based on the following evidence:

1. Written evaluations from and interviews with each of the TAP consultants: David J. Allee, Bruce A. Bishop, Thomas E. Borton, Donald G. Butcher, James F. Ragan, Katharine P. Warner, J. William Wenrich, Ann Widditsch, and Robert D. Wolff

³The evaluation portion of this report encompasses only the activities of these 17 field offices; other Corps Districts and Divisions must assess the evaluation's applicability to their own programs.

2. Material used by the field offices in designing and implementing their programs
3. Field office interviews and responses to written questions

This report is organized as follows:

Part One, A Description of District Public Participation Programs. Three chapters describe the current public participation of the 13 TAP-assisted Districts and the Seattle and Rock Island Districts.

Part Two, Planning and Organizing for Effective Public Participation. Two chapters evaluate current District policies, organization, and resources for public participation and recommend methods for improvement.

Part Three, Public Participation in Water Resources Studies. Five chapters evaluate public participation programs in relation to study phases and recommend methods for improvement.

Part Four, Other Public Participation Issues. Two chapters evaluate other public participation issues facing Districts in expanding their efforts.

In order to present the parameters for the results of the research encompassed in the above four parts, three terms should be defined: planning, public, and participation.

Planning. Public participation in water resources planning activities is the primary focus of this research. Planning involves the District's analysis of engineering, economic, and environmental data leading to the development of several alternatives for solving the problem and the District's recommendation of the best alternative (or plan). Essentially, the Corps process leading from study request to construction (if a plan is recommended) involves

nine steps, of which planning, as defined here, is but one. The steps are as follows:

1. Local, Congressional, or Corps request for study of a problem
2. Congressional review, authorization, and appropriation of funds for study
3. District study and submission of planning report
4. Corps, State, and other agency review
5. Submission of plan to Congress for project authorization and appropriation
6. Congressional review, authorization, and appropriation for project funding
7. District post-authorization planning and general project design
8. District post-authorization functional design
9. Initiation of construction

The entire process may take as many as 10 to 15 years, with planning (step 3) requiring approximately 3 to 5 years. While this research is primarily directed to the pre-authorization planning in step 3, some Districts have also involved the public in post-authorization planning (step 7); these activities are discussed in Part Four.

Public. The public with whom the Districts should be concerned in their planning activities is defined as organizations and individuals, both governmental and private, who

- Must or should relate to the study in the performance of their own duties
- Must make decisions concerning a project's funding
- Influence such decisions
- Are directly or indirectly affected by implementation of any of the alternatives
- Reside in the study area

- Are interested in the study and its results because they have potential impact on the promotion of their interests

More specific guidance in the identification of publics is provided in Part Three.

Participation. Participation is defined as the process whereby the Corps communicates and enters into dialogues with the above publics in order to

- Obtain full public understanding and acceptance of the processes and mechanisms through which water resources problems and needs are investigated and solved by the Corps
- Keep the public fully informed about study status, progress, findings, and implications and plan formulation and evaluation
- Ascertain from all publics their opinions, perceptions, needs, wants, and preferences⁴

⁴EC 1165-2-100, 28 May 1971, op. cit.

PART ONE

DESCRIPTION OF DISTRICT PUBLIC PARTICIPATION ACTIVITIES

The research encompasses the public participation activities in water resources planning of 13 TAP-assisted Districts, two TAP-assisted Divisions, and the Seattle and Rock Island Districts, who had independently initiated intensive programs in 1970. Part One describes these activities and points out their strengths and weaknesses. Chapter I summarizes all the public participation programs of the 13 Districts and two specific programs where the Division had study responsibility. Chapter II describes in greater detail the Seattle District's program. Chapter III describes the Rock Island District's public participation program.

CHAPTER I

PUBLIC PARTICIPATION IN 13 TAP-ASSISTED DISTRICTS

The public participation programs of the 13 TAP-assisted Districts are discussed in terms of (1) how they plan for such participation, (2) what the District purposes for public participation are, (3) how they decide what publics should be involved, (4) what techniques they have employed, and (5) how they review, monitor, and evaluate their public participation efforts.

A. Planning for Public Involvement

None of the 13 Districts regularly and systematically plans for public participation in its studies. No District has formally articulated the essential elements of such study planning:

- What the District wants--and doesn't want--from the public
- How concerned publics should be identified
- The appropriate level of study effort that should be assigned to public involvement
- Who within the District is primarily responsible for designing and implementing a public participation effort
- The information desired from the public at various study stages
- The optional ways that information might be obtained
- How the information will be used in study analysis

As a result, most Districts begin their studies with only a general concept of how the public can contribute to their work.

As evidence of this deficiency in public participation planning, the Plan of Survey (also referred to as the Plan of Study or the Plan of Investigation) is cited. A Plan of Survey, which details the study work to be accomplished, must contain a section describing

the proposed public participation. In this section, most Districts mention the three required public hearings, talk about getting the views of "local interests," and perhaps mention a number of potential techniques for more intensive public involvement (e. g., workshops, citizen advisory committees). The Plan of Survey does not commit them. It decidedly does not contain a public participation plan. Most studies are initiated, and study budgets set, before the Districts have seriously reflected on how to involve the public.

The above observations apply, for the most part, to multi-purpose pre-authorization studies. On some priority studies (e. g., the Columbia River and Tributaries Study [CRT], some urban studies), the Corps has strongly emphasized public involvement and has provided sufficient funds for its realization. Plans for public participation have been designed for these studies--at least through the studies' initial phases.

B. Purposes for Public Participation

While Districts have not formally articulated their purposes for public participation, during the course of this research they were asked what they want from the public on a water resources study. All 13 Districts responded that they want (1) problem and need identification and (2) preferences for alternative solutions. Many Districts said, however, that the public cannot adequately identify problems and needs and that Districts have difficulty weighing the conflicting preferences from different sectors of the public.

Some Districts added to the above "wants" from the public:

- Identification of impacts of potential alternatives
- Opponent confrontation
- Identification of alternative solutions
- Public acceptance (as opposed to preferences) of the recommended solution

- Public objections to alternatives under study
- Technical data (e. g., flood damage data)

These purposes are consistent with OCE guidances. However, they are presented from the Corps' perspective: i. e., the Districts want technical information, identification of needs and problems, and indication of solution preferences leading to the best solution to a water resources problem. None of the 13 Districts answered the question from the public's perspective; i. e., the Corps wants to develop problem solutions that are compatible with broader community goals and values. Perhaps this is a subtle distinction, but it could indicate why Districts occasionally get into difficulty proposing solutions for which there is significant opposition. Two examples illustrate the point:

- One District wanted to find out whether a local community desired recreational opportunities around a proposed dam; the District discovered that many in the community questioned the dam itself.
- Another District wanted community recommendations as to where not to dump the spoils from a dredging operation; it might have questioned whether the community wanted the dredging project in the first place.

Sections I. C through E describe what the 13 Districts are doing to achieve the above purposes for public participation.¹

C. Identification of Publics

In designing a public participation component for a study, once the district decides what it wants from the public, the next step is to decide who the public is.

¹Innovations proposed by the TAP consultants for specific studies will be discussed in Part Three.

All 13 Districts use a District mailing list as the basis for identifying the publics who might be interested in a specific study. The mailing list is a compilation of governmental and private organizations and individuals who, by virtue of their position or indication of interest, need or want to be apprised of District planning activities. The mailing list's primary purpose is to identify parties for notification of forthcoming public meetings. Thus, most lists are categorized by:

- Members of Congress
- Federal officials and agencies
- State legislators
- State officials and agencies
- Regional officials and agencies
- Local officials and agencies
- Special local districts
- Postmasters
- Media
- Organizations and individuals (sometimes sub-categorized as to type--e. g. , industry and commerce, environment)

There are some people (notably Congressmen and Governors) who **must** be notified, and it is assumed that notice distribution to the media and postmasters (who post meeting notices) will reach the broader public.

The emphasis of most District mailing lists is on governmental officials and agencies; as many as 45 percent of the names are Federal officials and agencies, with another 35 percent made up from other public bodies.

No District regularly categorizes its mailing list according to "interest" (e. g. , fish and wildlife, recreational boating, land development, economic development, ecological preservation). Inasmuch as the principal purpose of the mailing list is to identify

people for public meetings, and not to identify interests that should be contacted, this "interest" categorization has not been deemed necessary.

Mailing-list maintenance (i. e. , updating) by Districts is not systematic. Most try to update the public-official portion of the list at each election, but some Districts continue to send notices to former officials until they are notified of office changes. Most Districts avoid this problem by sending notices to the office, rather than the specific officeholder, at the official place of business. The problem is more acute with private organizations for which the official place of business changes with the election of new officers (e. g. , the League of Women Voters, the Sierra Club). Notices sent to executives of these organizations may only be- lately find their way to the new officeholders. Thus, mailing- list maintenance is normally done on the basis of returned notices (indicating a person's change of address or demise) and of letters sent to the Corps advising of change of address, change of office, or wish to be included or deleted from the list.

On a specific study, the study manager normally compiles his study mailing list by:

- o Starting from the District list
- o Adding to it from other agency mailing lists
- o Asking contacted individuals to add to it
- o Adding the names of persons who attend public meetings or other study sessions

Thus, a study mailing list grows throughout the course of the study.

While the mailing lists may be adequate to notify parties of public meetings, there are problems in using them as the primary basis for identifying people for more intensive public participation. First, because public meetings are "official" sessions, fully 75 to 80 percent of most mailing lists comprise public officials and agencies (as many as 45 percent are Federal, with many of these

in national or regional offices). Private organizations and individuals are not more strongly represented on the lists simply because they are much harder to identify. Second, mailing lists are hard to maintain; a study manager just doesn't have the time. Third, many Districts have several District lists: one for planning, one for design and construction, and one for each of the District operational functions. In some cases the environmental and recreation sections may have separate lists. Some Districts have tried to consolidate and even computerize all District lists, but the practice is not uniform. Fourth, mailing lists categorized by public organization, media, and all others make it difficult to identify potential interests to be contacted for special sessions. The study manager has no easy way to identify such interests; he must peruse the list and try to associate interests with organizational titles. This may be possible for organizations, but it is impossible for individuals--unless they and their interests are well known. Moreover, if study managers change during the course of a study, the new study manager must start again.

Most Districts indicated their dissatisfaction with the way they identify publics, but they seem to accept their dissatisfaction as something that will always be present ("We could always do more, if we had the staff.").

D. Public Participation Techniques

Each of the 13 Districts has employed at least 5 of 14 different techniques to inform and educate the public and/or obtain information on an individual study. The types of techniques, and the percentages of the 13 Districts that have used them, are listed on the following page. As shown in the table, the techniques used most frequently by the 13 Districts are public meetings, informational brochures, advisory committees, media content analysis, public speeches, and newsletters.

TABLE 1
PUBLIC PARTICIPATION TECHNIQUES EMPLOYED

	<u>Obtain Information (Percent of Districts)</u>	<u>Inform and Educate (Percent of Districts)</u>
Public meetings	100	100
Informational brochures	38	92
Advisory committees	77	62
Media content analysis	77	15
Public speeches	15	77
Newsletters	15	54
Community surveys	46	15
Workshops	38	38
Public forums	38	38
Study task forces	38	23
Informal meetings	31	23
Public inquiries	31	8
Seattle-type brochures	23	38
Briefing sessions	--	8

1. Public Meetings

Public meetings are the cornerstone of the public participation programs of all 13 Districts. Other techniques for public involvement are added as the situations demand.

On pre-authorization studies, the Districts generally adhere to the requirement for three public meetings: the first to announce the initiation of the study and seek public identification of problems, the second to present the array of feasible alternatives, and the third--at the study's conclusion--to present the District Engineer's tentative recommendation of the "best" alternative.

To announce the public meetings, many of the 13 Districts continue to prepare and distribute a one-to-two page, formal, legalistic document setting forth the study's authorization, the geographical area, and the problems to be studied. Some Districts, however, have experimented with changes in format and supplementary documents to interest more people. For example, some Districts have experimented with more graphic announcements (utilizing maps, stylistic drawings, pamphlets, and/or more public-relations-oriented type faces).² Others have couched their announcements in popular language. Some Districts have expanded their announcements to include statements of problems under investigation, ask for problem identification, and, at a later stage, summarize the alternatives under study.³ A few Districts have supplemented the announcements with press releases that might be used verbatim by newspapers. A few Districts send two press

²Pittsburgh District, public meeting on Muddy Creek Dam Project; New Orleans District, public meeting on Wallace Lake Flood Control Project; North Pacific Division, public meeting on CRT.

³Pittsburgh District, public meeting on the Monongahela River Basin Study; Seattle District, all public meeting announcements.

releases, the first two weeks before a public meeting and the second, a reminder, one week before the meeting.

No District indicated that public meeting attendance has increased because of these innovations, although the assumption is that people are better prepared to speak on the issues at the meeting.

Most public meetings follow a similar format:

- The District Engineer presides.
- The District Engineer explains the Corps' role, places it in historical perspective, and describes the study's authorization.
- A District staff member (normally the Chief of Planning or the study manager) explains what has been done to date on the study.
- Public testimony is invited.

Most Districts continue to follow protocol in taking testimony (i. e., Congressional representatives first, then Federal officials, State officials, local officials, and the general public), although a few have begun to take testimony at random--after Congressional representatives have spoken.

Normally, the public meeting is a one-way communication device; the Corps staff makes its presentation, the public provides its testimony, and there is no discussion. No statement by any party, no matter how erroneous it may seem, is challenged.

All testimony is recorded, people are invited to submit written statements for the record, and all such testimony is made a part of the official meeting transcript, which becomes a part of the report submitted to the Board of Engineers for Rivers and Harbors. In one or two of the 13 Districts, a District staff member (normally the study manager) has remained in the community the day following the public meeting to obtain additional comments.

One District has experienced considerable difficulty with the public meeting because one local group, strongly antagonistic toward the Corps, has used the meetings as a platform to attack the Corps. Other citizens have approached the District after the meetings to say that they would have spoken, but felt intimidated. The one-way communication method, where anyone can say anything, facilitates such attacks. The press can then be expected to highlight the public "opposition" to the Corps and not to highlight the issues that the Corps is seeking to resolve.

All 13 districts questioned the value of the first public meeting; they have nothing to tell the public, and it is unlikely that the public has anything to tell them. Public statements generally center on support for--or opposition to--the study. Nevertheless, Districts interpret Corps regulations as requiring such a meeting to "kick off" the study, and they continue to hold them.

Districts do not get the needed citizen involvement through public meetings. They ascertain official positions, but they usually obtain only negative public response to alternatives; if significant opposition to one or more of the alternatives develops, the Districts will reevaluate those alternatives and, perhaps, focus on others. Proponents of alternatives are less likely to attend and speak, feeling that they have made their positions clear to the Corps by other means. Public meetings do not currently permit dialogue among opposing forces that might lead to acceptable compromises.

2. Informational Brochures

All but one of the 13 Districts have used informational brochures, principally to inform and educate the public on a study. They have been used in one of the following ways:

1. On large studies, at the outset of the study, to describe what the study is to do.⁴
2. To describe pertinent study facts as background to public meetings, workshops, or other methods for obtaining public comments.⁵
3. To present, in laymen's terms, the District findings and recommendations on a study prior to or following the final public meeting.⁶

Only one District uses the informational brochure on every study. The others have used it on an ad hoc basis.

3. Advisory Committees

Ten of the 13 Districts indicated that they have used advisory committees, principally to obtain information. Most of the committees have been established by the Districts to provide them with a regular forum for District testing of problems and potential solutions. These Districts want to listen to the discourse among committee members to get a broader sense of public opinion, and they have not asked the committees for advice or for a formal position.

A few Districts have used existing community organizations as "advisory committees" on specific studies. One example is a locally established community flood-control committee, which is used by the District to test problem solutions; no recommendations from the committee are sought. Another example is a community

⁴North Pacific Division, The Columbia River and Its Tributaries; Tulsa District, The Mid-Arkansas River Basin.

⁵Walla Walla District, Big Wood River and Tributaries; St. Louis District, East St. Louis Flood Control Project.

⁶Detroit District, Grand River Basin; Omaha District, Perry Creek Basin and Sand Creek and Toll Gate Creek Basin; New York District, Passaic River Basin.

organization that invited the District to attend a series of meetings in order for the committee to provide some clarifying information on a study.

One District has, until recently, used District-established State environmental committees to review the environmental aspects of all District studies in the State. These committees have taken formal positions on various alternatives.

Finally, many Districts undertaking urban studies are considering citizen committees to advise and assist the Districts in implementing a public participation component in the studies. Their role will be to identify who should be involved, to suggest how they should be involved, and to assist in implementing the various public participation techniques.

Except for the already established organizations, committee membership is determined by the District. Most committees have both public and private representatives. One District has restricted committee membership to private representatives, believing that public representatives are less likely to speak freely until their official agency position has been articulated.

Most of the Districts have sought organizational representation because their representatives have access to more people. A few Districts have selected individuals, rather than organizations, in an attempt to reach people who represent different interests in the community; the latter approach places a burden on the District to identify all relevant interests --and on the individuals to speak only for their interests.

Six of the Districts said that the advisory committee is one of the most effective techniques they have used to obtain information. Such committees provide continuity of participation, and, as the representatives gain greater understanding of the study and come to know the other members and their positions, dialogue among the members is professional and valuable. One District

dissented, feeling that citizen advisory committees are not valuable because they cannot mirror the population, but are only a group of people with diverse interests talking about study issues, and there is no way of knowing how strongly and broadly the feelings of the individual members are held.

4. Media Content Analysis

Most of the Districts indicated that they use media content analysis to obtain information from the public. However, the input for such analysis is usually restricted to newspaper clipping services (undertaken by either the Public Affairs Officer [PAO] or local news services), focusing on articles about the Corps and its specific studies. Many of the articles clipped are press impressions and reporting of public meetings. The primary benefits of this type of media content analysis are that (1) the District learns how the Corps is regarded, at least by the press in the community, and (2) the District finds out how its meetings are being reported in the press: what the general public is hearing and not hearing. There is little indication, however, that the District's study conduct has changed because of media content analysis.

5. Public Speeches

All the Districts indicated the use of public speeches to inform and educate the public. All speeches are given at the initiation of other organizations (e. g., engineering societies, service clubs); no circumstance was found in which a District sought out an organization. This suggests that most speeches are made to friendly forums (because few opposing groups seem to want to give the Corps a "soapbox") and that the primary value (not to be minimized) of public speeches lies in improving the Corps' image.

The District Engineer is the most frequent public speaker, but he usually confines himself to important organizations and to broad Corps policies and issues. The Chiefs of Engineering and Planning also make many speeches; their topics are more study-oriented. In some Districts the study manager also makes such speeches, but this is rare. Study-oriented speeches generally stay at a high level of generality, presenting the background of a study, progress, and some of the alternatives under consideration, illustrated with slides of successful Corps projects.

6. Newsletters

Seven of the 13 Districts have used newsletters to keep the general public informed of study progress. These have been used almost exclusively on large studies in a large geographical area; they are not distributed regularly (i. e., monthly, quarterly), but only when the Corps feels it has something new to say. One of the best is the "Studygram" distributed as part of the Columbia River and Tributaries Study in the Pacific Northwest. The two issues distributed thus far have highlighted study progress, the use of public input thus far, and forthcoming events for public participation.⁷ Interestingly, no District judged the newsletter to be one of the most effective means for informing and educating.

With the exception of the citizen advisory committees, all of the above most-used techniques (public meetings, informational brochures, media content analysis, public speeches, newsletters) are directed to the general public rather than to specific interests.⁸ Moreover, only the public meetings and the citizen committees

⁷North Pacific Division, Columbia River and Tributaries Studygrams.

⁸While public speeches are given to specific groups, the fact that they are initiated by the groups themselves indicates that the Districts do not use them to reach specific interests.

(and, to a limited extent, media content analysis) are used to obtain information. The important point of these observations is that they are consistent with District emphasis on the public meeting as the principal technique for public involvement. The audience for public meetings is the general public, so it seems consistent for Districts to place great emphasis on informing and educating the public for participation at these public meetings.

7. Community Surveys

Six of the Districts have used community surveys to obtain information from the public. This is the one technique that Districts have employed to try to identify community attitudes, interests, goals, and viewpoints against which the District can assess how various alternatives might be received by the community. In most cases, the surveys have been conducted by outside organizations, and the Districts have been unhappy with the results; the surveys did not tell them what they needed to know. In one case the District piggybacked on a broader survey to ask a series of water-resource-related questions. The District did not use the community responses to the other questions to gauge community attitudes toward water problems in relation to other problems.

8. Workshops

Probably the most frequently suggested technique for public involvement is the workshop, and yet only 5 of the 13 Districts have used it--both to obtain information and to inform and educate.

Workshops have been used to encourage citizens to ask questions about and discuss the various alternatives under study. On the Columbia River and Tributaries Study, workshops are also being used for problem identification. Most Districts have treated workshops as informal public meetings; they are an open forum

for an interchange of ideas, unconstrained by protocol matters such as who speaks first and the need for a verbatim public record. Normally the District Engineers do not attend such sessions, believing that their presence might make the sessions more official and formal. All Districts try to obtain local sponsorship for the sessions.

Most workshops are open to the general public, and few Districts attempt to ensure that certain critical interests will be represented. As a result, attendance often jumps to 35 or more people. Such group sizes and time constraints (normally two hours maximum for discussion) prevent an in-depth interchange of points of view. No District has held more than one workshop on the same topic for the same group of people (except on the Columbia River and Tributaries Study), meaning that in a single evening session the attendees must both understand the study and make thoughtful comments. Time and numbers of participants restrict understanding and thoughtful comments, for everyone wants to speak.

Workshop format normally follows that of the public meeting:

- Introduction and description of the study
- Description of the alternatives
- Discussion of the alternatives (frequently in subgroups)
- Summary of the discussion

Some Districts have provided participants with a questionnaire in which to comment on the alternatives, but they have found that the usefulness of the public comments has been limited because the people had too little time to comment adequately.

9. Public Forums

Five of the 13 Districts said they have tried public forums, both to obtain information and to inform and educate. However, the public forum technique means different things to

different Districts. One has used it with technical organizations to discuss study problems and answer questions. Another cited District Engineer participation on television panel discussions as use of the public forum. Another mentioned the forum as meetings with other agencies to discuss study coordination and problems.

10. Study Task Forces

Five of the Districts have used study task forces. For the most part, these have been composed of public agency professionals, and their task has been operational. Some have been used to coordinate a series of interrelated studies, of which the District had only a part. One District tried to use the task-force approach with other public agencies to resolve study methodology (e.g., how economic projections are made); it discovered, however, that compromises in methodology were not possible, and it abandoned the task force.

Another District set up an interagency task force to share in study decision-making (i. e., agreement on study emphases). The District stressed, however, that the study continued over a number of years and required considerable education of the other task-force members before they could make such decisions.

One District, as a result of TAP consultant intervention, used a citizen task force (called an ad hoc committee) to identify and try to resolve a number of controversial issues that were impeding study progress. This experiment is described in greater detail in Chapter XI.

11. Informal Meetings

While only four of the Districts indicated that they use informal meetings to obtain information and to inform and educate, it seems safe to assume that all do so. Districts are in frequent contact with other agencies to obtain information, and several make certain that they contact environmental groups to tell them

what is going on and to invite their participation. There does not, however, appear to be any systematic approach to these informal meetings. The Districts tend to contact people from whom they need information and do not necessarily contact groups who might want to participate.

12. Public Inquiries

Four of the Districts said they had tried public inquiries to obtain information. However, District interpretation of the public-inquiry technique was either to write letters to specific individuals requesting information (which all Districts do) or to go into communities to ask specific questions. Open public-inquiry sessions have not been held.

13. Seattle-Type Brochures

The Seattle District's Public Brochure has two characteristics that three Districts have tried to use on three studies:⁹

- The brochure informs the public of study progress and describes the alternatives (and potential effects).
- The brochure invites and records public comment on the alternatives.

Thus, the Seattle-type brochure (discussed in detail in Chapter II) has the dual purpose of informing and educating and obtaining information, as distinct from the informational brochure, which primarily informs.

However, to date, the other District public brochures have been prepared for special events (such as workshops and citizen advisory committee meetings), and they have not been used to provide a running commentary on study progress and public comments (by preparing and distributing successive drafts) as the Seattle District has done.

⁹Walla Walla, Sacramento, Wilmington.

14. Briefing Sessions

One District, as a result of TAP consultant intervention, used a public briefing session with community leaders preceding a public meeting. The purpose was to encourage questions on the study in order to provide the leaders with common data for the public meeting. The session was also to identify for the District the questions it needed to answer before the public meeting. The District felt that the experiment was unsuccessful; they expected some searching questions, but they obtained only an affirmation that everything the District was doing was right.

E. Review and Monitoring

To the extent that Districts have modified their public announcements and meetings and experimented with new techniques in public involvement, they have assessed what they are doing and, where deficient, have experimented with ways to correct the problems. In this way they are reviewing and monitoring their public participation efforts. However, successful public participation is still largely measured in numbers. Over 100 people attending a public meeting is regarded as good, as are 25 to 35 at a workshop session and over 1,000 people on a mailing list. In almost all cases, these numbers represent but a minute percentage of the affected public.¹⁰ Quantity of attendance is an adequate measure of public participation success only when the numbers constitute a high percentage of the population, and this is clearly unrealistic.

A few Districts have recently contracted with outside consultants to observe, summarize, and evaluate the conduct of workshops on selected studies. Some Districts, for their recently

¹⁰One case was found where over 80 percent of a small community's adult population (200) attended a public meeting.

initiated urban studies, are considering the establishment of citizen committees to advise them on public participation activities. However, none of the 13 Districts regularly and systematically reviews and monitors public participation efforts on all studies to assess whether they are

- Contacting the "right" publics
- Getting from them what the Districts need and want
- Getting the information in the manner and within the time desired by the Districts

In a sense, Districts try to obtain the necessary participation, and, if it is inadequate, they go with what they have.

F. Summary

Many of the 13 Districts are experimenting, on selected studies, with more intensive public participation programs. It is probable that, over time, these efforts will lead to more intensive efforts on all studies. At the moment, however, District public participation programs can be described as:

- Including little forward planning
- Using the District mailing lists as the principal resource for identifying publics
- Concentrating public involvement on government agencies and the general public
- Using the public meetings as the most important technique for involvement
- Evaluating public participation principally by counting heads

CHAPTER II

PUBLIC PARTICIPATION IN THE SEATTLE DISTRICT

Since October 1970, the Seattle District has mounted an intensive effort to involve the general public in water resources planning. The Seattle District's public participation program has been recognized as one of the best and most advanced in the Corps. The purpose of this chapter is to describe and comment on the Seattle program.

A. An Overview

The Seattle District's public participation program is labeled "fishbowl" planning, a system whereby planning is highly visible to all interested organizations and individuals. Citizens have the opportunity to become involved in a study from the beginning--principally by helping the Corps planners identify alternatives to be studied and by providing, throughout the course of the study, fact-supported arguments in favor of or opposed to each of the alternatives under investigation. All such participation is publicly documented.

The key to understanding fishbowl planning, as practiced by the Seattle District, is to see it as a system for rational public debate on the alternatives for solving water resource problems in order to permit the District Engineer to weigh the arguments in selecting the best alternative.

The components of fishbowl planning include:

- Four public meetings, at three of which citizens and public agencies argue in favor of or against each of the alternatives under consideration
- Workshops, at which citizens and public agencies informally debate the alternatives

- Citizen discussion leaders, who assume responsibility for presenting and defending each of the alternatives
- Citizen committees, which assume responsibility for involving larger segments of the interested citizenry
- Miscellaneous bulletins to increase public understanding of a study and of Corps planning and to keep the public informed about study progress
- A public brochure, which ties the above five components together; throughout the course of a typical study, seven drafts of the brochure are published, each recording the progress on the public debate of the alternatives

While these components represent the optimal public participation program on any study, the study manager has some flexibility in selecting and adapting the components to his study. He does not have to use citizen discussion leaders--either because he cannot find anyone willing to serve in that role or because some of the alternatives do not have strong proponents--nor does he have to use citizen committees. On continuing authorization studies, he may hold only three public meetings. But he is required to use the public brochure as the principal component of public participation.

Fishbowl planning is being applied to all planning studies undertaken by the Seattle District. As of February 1973, three studies had been completed using this approach, two were very close to completion, and five were to be completed before the end of the calendar year.

On each study, the Seattle District involves the public in a three-phased planning system: initial public planning, reconnaissance studies, and detailed study. The public participation components of these phases are listed in Table 2 and discussed in detail in Section II. C.

TABLE 2
PUBLIC PARTICIPATION COMPONENTS OF
SEATTLE THREE-PHASED PLANNING SYSTEM

<u>Phase</u>	<u>Public Participation Components</u>
Initial Public Planning	<ul style="list-style-type: none"> (1) Announcement and news release (2) Public Meeting No. 1 to listen to the needs of the public, identify problems, and identify alternatives (3) Public Brochure No. 1, listing the alternatives (4) Public response to Brochure No. 1 in terms of factual statements pro or con on any of the alternatives (5) Preliminary identification of citizen discussion leaders and potential citizen committee members (if applicable) (6) Public Brochure No. 2, adding public pro and con statements (7) Announcement and news release on Public Meeting No. 2 (8) Public Meeting No. 2 (preferably held within 60 days of Public Meeting No. 1) to present brochure material, record comments on alternatives, and add to alternatives

Reconnaissance Studies (To Identify Preferred Alternatives)	<ul style="list-style-type: none"> (9) Public Brochure No. 3, incorporating comments received at Public Meeting No. 2 (10) Selection of citizen committee and citizen discussion leaders (if applicable)

TABLE 2
(Continued)

Phase	Public Participation Components
	(11) Operation of citizen committee (if applicable)
	(12) Workshops and informal discussions on the alternatives
	(13) Public Brochure No. 4, incorporating comments made in workshops and discussions
	(14) Announcement and news release on Public Meeting No. 3
	(15) Public Meeting No. 3 to comment on the comparison of alternatives and the District Engineer's tentative recommendation of the alternative for detailed study

Detailed Studies of the Recommended Alternative	(16) Public Brochure No. 5, incorporating comments received at Public Meeting No. 3 and confirming District Engineer's tentative recommendation
	(17) Workshops and informal discussions on the detailed studies
	(18) Public Brochure No. 6, incorporating comments made in workshops and discussions
	(19) Announcement and press release on Public Meeting No. 4
	(20) Public Meeting No. 4 on the alternative studied in detail
	(21) Public Brochure No. 7, incorporating the comments received at Public Meeting No. 4 and presenting the District Engineer's recommendation of the alternative

B. District Philosophy for Public Participation

The District has a definite philosophy for public participation. First, it is believed that the bias of the planner should be minimized. The District started by attempting to eliminate words connoting bias. For example, the words project and improvement should never be used, for they suggested that something would be done. The personnel titles of project engineer and project manager were eliminated in favor of study manager. Problem should not be used, because at the start of a study the planner should assume that there is no problem. The public should identify what it wants, and from this the Corps can perceive its problems. Initially, the planner should himself avoid the use of such words as objectives and goals, because people see objectives and goals differently. Rather, the planner should concentrate initially on identifying alternatives and evaluating the degree to which each alternative attains the frequently conflicting objectives stated by the public. This philosophy of trying to minimize planner bias is manifested in three ways in Seattle's public participation program:

1. Each study contains a "no-action" alternative that is considered throughout the study; this is intended to indicate to the public that the Corps does not necessarily agree that there is a problem, for only study can determine that.
2. An additional public meeting (the second) is introduced, which the District convenes solely to apprise the public of some preliminary alternatives.
3. The role of the Corps planner is that of a facilitator of public debate on the issues among the various sectors of the public, rather than that of a promoter of one or more of the alternatives; essentially, the planner is to listen to the debate and glean the information necessary to analyze the alternatives.

Second, the District believes that the public's input can be most effectively acquired within the format of a classical college debate on the alternatives. The only comments and arguments to be considered are those supported by facts. The Public Brochure was developed as the principal debate forum--a written, public record of pros and cons presented by the public on each of the alternatives. The Corps can then analyze these arguments, with the District Engineer making his recommendation based on the facts obtained from the debate. In the debate forum all people are treated equally, with no priority given to the arguments of people residing in the study area or to those of other public agencies. The District believes that this system will logically lead to the "correct decision" and, further, that this "correct decision" will be a compromise in which no one is completely happy. Thus, the District does not see the Corps role as "counting votes" of the general public. This is impossible anyway, for there is no way of knowing how many people support the advice offered by the more vocal members of the community. For this reason, the District has not instituted citizen advisory committees on its studies.

Third, the District feels that in order for the person in command to be able to make his decision--and for the public to be willing to participate in a debate--the principal staff document (in this case the Public Brochure) has to be brief and concise. The Public Brochure was developed as a brief summary document, and the District has resisted efforts to make it more comprehensive.

C. Program Details

1. The Public Brochure

The Public Brochure is the basic and essential component of the Seattle District's public participation program.¹ Usually prepared in draft form seven times over the course of a study, it is intended to be an up-to-date public record of study progress.

¹Inasmuch as all Public Brochures follow the same format, none is specifically referenced here. Readers may seek examples from the District.

The heart of the brochure is a depiction of all the alternatives suggested by local citizens and agencies. The Seattle District typically identifies and investigates more alternatives than do other districts (e.g., one study listed 13 alternatives, and another 36 alternatives were initially considered). No alternative identified by any party--no matter how infeasible--is eliminated from the public record. The rationale is that the public, by posing arguments pro and con on the alternatives, will itself screen out the unacceptable ones. Moreover, Alternative No. 1 is always "do nothing," because the District refuses to put itself in the sometimes indefensible position of advocating that the result of every study must be a recommended project. Practically, of course, the District can always expect certain publics to advocate a "do-nothing" alternative. Each alternative continues to appear in each edition of the Brochure, even when it has been dropped from further consideration.

The key parts of the depiction of each alternative are as follows:

1. A map display of the study area showing how the alternative should affect it
2. A summary of the up-to-date study results on the alternative, including a brief description of what it would do, the projected costs, the summary effects (on fish and wildlife, water quality, recreation, land use, people, and flood control), and the economic analysis (benefits and costs)
3. A summary of the arguments in favor (pro) and against (con) the alternatives (in cases where a con argument is in clear juxtaposition to a pro, the arguments are placed side by side for contrast)
4. Identification of the citizens or organizations who made the pro and con arguments

The most difficult and controversial part of the Brochure is the statement of pros and cons. The study manager must summarize the frequently lengthy statements presented, and objections are occasionally raised that the arguments were not fairly presented. The study manager should verify the summary argument with the person who made it, but sometimes he does not do this. However, inasmuch as the Public Brochure goes through seven drafts, any person may edit the wording of his argument for subsequent drafts.

The District considers these pro and con statements to be facts--as perceived by the people making the statements. However, the pro and con statements are actually a mixture of fact, expected impacts, impressions, values, and desires. All are recorded equally in the Brochure. For example, in a Brochure for a flood-control study:

1. The alternative for flood-plain management contains
 - a. A con statement that the alternative "results in no flood control," which is both a fact and an impact; there is no indication in the Brochure as to the extent to which the community desires flood control.
 - b. Another con statement that it is "impactical to expect voluntary protection," which is an impression; it may or may not be a fact, but even if it is, the community might take measures to correct the problem--if it desires the alternative.
2. The alternative for a storage dam contains
 - a. A pro statement that the alternative "retains water close to the sources," which is a fact and, because it is recorded in the pro column, a desire on the part of the person making the statement; another person might regard this as a con, but is this what the community wants?

- b. A con statement that "discharges into the outlet canal must be free of silt and debris," which is not really a con statement, but rather a desire to so design and operate the canal.
- c. A con statement that "the costs are too high" for this alternative, which is a value statement.

If the District uses this comprehensive mixture of statements as its primary source for public input to decision-making, it has no means to determine whether the alternative selected is what the community desires. In fact, community desire, at least as expressed by the general public and by special interests, is not an input to decision-making. Community desire is expressed by the local agency that must provide local assurances.

The Brochure also contains a "report card"--the identification of who contributed and what they said. It is important for the following reasons:

- It contributes to more rational arguments, for people know that they will be identified with what they say, and emotional harangues will damage their credibility.
- It permits the public to see the nature (but not the magnitude) of the support for and opposition to each alternative.
- It facilitates coalitions among people of like persuasion.
- It facilitates identification of opposing forces for workshop participation.
- It is potentially damaging to key organizations and individuals who decide not to participate in the planning; if they subsequently attempt to challenge a Corps position, they have less defense because they refused to participate. Indeed, because one criterion for a court's considering an injunction is that the plaintiff exhaust his administrative remedies before coming to the court, his defense might argue that the plaintiff did not take advantage of the administrative remedies open to him.

With the District's concentration on public debate of the alternatives, neither the Brochure nor the District process permits public identification and discussion of community goals, needs, and values. The District proceeds directly and solely to a consideration of the alternatives, believing, perhaps, that goals, needs, and values can be interpreted from the pro and con statements on the alternatives. This interpretation is exceedingly difficult, however, because the District does not specify the impacts of the various alternatives that affect community goals and values. For example, if a community goal is to minimize intensive land development, then a solution of flood-plain management to flood control may be desirable. But the con statement that flood-plain management results in no flood control is not a sufficient statement of the alternative's impact. The District also needs to know community attitudes toward

- What recurring flood damage can be expected from the alternative
- Who will be affected and how severely
- What more intensive land development could be expected from structural solutions
- What the community itself might do to minimize intensive land development if it desired flood protection by one of the structural means

The result of the Seattle District's focus on "factual" debate of the alternatives is that the solutions recommended by the District Engineer are based on his rational weighing of all the arguments in order to come up with the most economically, socially, and environmentally sound alternative, which, hopefully, is consistent with community goals.

The Public Brochure adds four ingredients that were previously lacking in public participation in the District's water resources planning studies:

- Public feedback to people providing planning information. In other District public participation efforts, plans are submitted to the public, people comment, and, while the plans may be revised in accordance with these comments, there is no recognition of the specific public input made.
- Participation mechanism for all. A citizen does not have to attend a District meeting to have his comments recorded.
- Identification of all the arguments considered in making a recommendation. All the alternative pros and cons are stated, and the District can answer such questions as, "Why wasn't this point considered?"
- Identification of who participated in the planning and how. The District can answer such questions as, "What did the Bureau of Fisheries and Wildlife say?" and it can shift the burden to the public to query other groups as to why they didn't participate.

Despite its shortcomings, the Brochure represents a significant improvement in public participation in water resources planning.

2. Public Meetings

Normally, the District holds four public meetings over the course of a study:²

- Public Meeting No. 1, at the very beginning of the study, to listen to citizen definition of needs and alternatives
- Public Meeting No. 2, preferably within 60 days of the first Public Meeting, to receive citizen arguments on the initially identified alternatives

²On continuing authorization and post-authorization studies, there are fewer.

- Public Meeting No. 3 to receive citizen arguments on the District Engineer's tentative recommendation of an alternative for detailed study
- Public Meeting No. 4 to receive citizen arguments and comments on the District Engineer's recommendation of the alternative to be recommended to Congress

The Seattle District has questioned the need for the first public meeting. At this initial stage in the study, the District has very little to say to the public about the study because no investigations have been undertaken. Citizens have even less information, and they don't yet have the background to suggest alternatives themselves. Many first public meetings produce very little useful public information.

However, the District feels that the value of this early public meeting is that it establishes the District's objectivity on the study. Essentially, the District is saying to the public: "We have been authorized and funded to conduct a study. We don't know what the problem is--or even if there is a problem. We want you to tell us."

The first public meeting's limited productivity is ameliorated by the second public meeting, which occurs within 60 to 90 days of the first. Now the District formally approaches the public with some concrete alternatives for public comment. This second public meeting is not normally held by other districts.

While the public meetings are formal in that the proceedings are officially recorded, their format is informal:

- Where possible, the District Engineer and his staff are placed on the same physical level as the audience.
- When the chairs are movable, they are frequently arranged in a semi-circle around the head table.
- The District Engineer, after opening remarks, relies on the study manager to present the alternatives, using the Public Brochure as his reference.

- Citizen comments focus solely on the alternatives.
- Questions are encouraged of the Corps representatives and citizens who speak, and the District Engineer has been known to question speakers himself.

By focusing citizen comments specifically on the alternatives, the District feels that it can get more useful public comments and avoid emotional harangues against the Corps and generalized comments that are difficult to analyze. All comments received at the public meetings are recorded in the next edition of the Public Brochure.

By letting the study manager conduct the discussion of alternatives, the District promotes citizen identification with the person with whom they will be dealing.

3. Citizen Discussion Leaders.

District regulations call the citizen discussion leader ". . . a citizen who agrees to present an alternative at public meetings, workshops or informal meetings, generally extolling its virtues (pros) and responding to criticism (cons)."³ The use of citizen discussion leaders is intended to maintain the District planner's role as objective analyst of the alternatives. Indeed, District guidelines go so far as to suggest that if no citizen discussion leaders can be found for any alternative, that alternative should be dropped. Theoretically, the public would then not see the Corps as promoting any alternative.

In practice, citizen discussion leaders have not been an important part of the District's public participation program. They have been used intensely on only one study--the Snohomish River Basin Study.

Generally, it is difficult to find individuals willing to put themselves on the line to present and defend an alternative. The Corps usually presents the alternatives. Realistically, it is the

³SDR 1120-2-1, "Public Involvement in Planning," Investigation, Planning and Development of Water Resources, 10 November 1971.

Corps that identifies most of the alternatives anyway; the planners have worked on similar studies for so long that it is rare when a citizen can propose an alternative not already identified by the planner.

Nevertheless, when this does happen--as with the Snohomish River Basin Study--the results are positive. Workshop discussions on the alternatives were led by the citizen discussion leaders, and such workshops were considered effective.

In cases where citizen discussion leaders have stepped forward, the District has provided them with logistical support: typing, reproduction, graphics. The District will supply the same logistical support to those criticizing any alternative.

4. Citizen Committees

The Seattle District specifically defines the functions of citizen committees on its studies. They shall:

- Suggest additional alternatives for study
- Assist the District in recruiting citizen planning participants
- Assist in recruiting citizen discussion leaders
- Brief each member's own interest group on Corps planning procedures and alternatives under study
- Bring interest groups together in workshops and public meetings
- Arrange for and host selected meetings and workshops

These functions are almost as important for their omissions:

- The committees shall not debate the alternatives; the "debating forums" are the public meetings, workshops, and the Public Brochure.
- The committees shall not be advisory.

Both the functions and non-functions are consistent with the District's philosophy that the public shall not be asked to vote or

indicate preference on any alternative, but rather to provide fact-supported arguments. The District feels that a citizen committee's advice could not be evaluated, because there is no practical way to ensure that the committee can accurately mirror general public attitudes. Someone could legitimately argue that the committee was stacked in favor of a particular interest group. Moreover, many interest groups might not join such a committee if they felt that the committee was going to be used by the Corps to support the recommended alternative.

Therefore, in the Seattle District, the citizen committee is used to expand the base of public participation. To date, it has been formed on only one study--again, the Snohomish River Basin. The District feels that citizen committees are called for only on those studies in which either the area to be studied is large or the potentially opposing forces are clearly drawn. In the latter case, citizen committees can bring the opposing forces together to work on a problem they can resolve; i. e., how to ensure that all interest groups and the general public have the opportunity to contribute to the study.

This is precisely what happened on the Snohomish River Basin Study. The committee members organized and hosted the workshops to debate the alternatives. They set up the workshop format, and, when the first meetings indicated that the format was not working, they revised it. The committee members agreed that they were highly useful and feel that all interested parties had the opportunity to contribute.

The District itself selected the citizen committee members. Invited were representatives of six local governments, five economic development groups (industry and organizations), one utility district, five landowners, four social/economic/ethnic groups, one professional organization, and five conservation and recreation groups.

The District has the following guidelines with respect to citizen committee membership: one or more representatives from the major categories of

- Development groups (chambers of commerce, industry)
- Local government (ports, counties, cities, special districts)
- Affected landowners (farmers, special districts, neighborhood associations)
- Social, economic, or ethnic groups (organized labor, students, unemployed or underemployed, Blacks, Indians, and taxpayer groups)
- Professional or quasi-professional organizations (academia, founder's organizations, League of Women Voters, church groups, news media)
- Conservation groups (Sierra Club, Environmental Council, Friends of the Earth, Audubon Society, Wildlife Federation, Puget Sound Coalition).

Initially, some of the non-governmental groups were concerned that the citizen committee was not fully representative of all interest groups. However, this concern was eliminated when the true purpose of the committee was understood.

The committee functioned most actively between the second and third public meetings, when the alternatives were being formulated. It is not clear how--or if--the committee will function during the intensive study of the District Engineer's tentative recommendation of the preferred alternative.

The Seattle District will probably not make the citizen committee an integral part of its public participation program. One reason is money; the Snohomish River Basin Study manager spent a significant amount of time in committee organization and support. He functioned as committee secretary, and he estimates that he spent 10 to 15 man-days in setting up the committee and approximately

5 man-days per month in recording committee meetings and workshop proceedings. With more than one study to manage at the same time, most of the manager's time could be spent supporting citizen committees and not in coordinating the technical aspects of the study itself. While a member might be found to support the committee, it is doubtful that any volunteer would commit the full time required.

A second reason for de-emphasis on the citizen committee is that the majority of District studies do not have the potential opposing forces that were present in the Snohomish River Basin. More often than not, the public is apathetic, and it is doubtful that many people would want to join a citizen committee.

5. Workshops

Workshops, as used by the Seattle District, are informal meetings of the general public to exchange ideas on the pros and cons of the various alternatives. Issue resolution is neither sought nor obtained. The Corps' main role is to listen-- and to record the arguments in the Public Brochure. Workshops are used most extensively between Public Meetings No. 2 and No. 3 in discussing the alternatives. To a lesser extent, they are used during the detailed study of the preferred alternative to identify arguments concerning alternative design.

In practice, most of the District's workshops have been open (the general public participates), with as many as 80 to 135 people in attendance. Because each workshop is normally held on one evening for 3 to 4 hours, this large attendance can frequently turn a workshop into an informal public meeting, for there is little opportunity for full exchange of ideas.

The workshops have the following characteristics:

- They are held geographically; i. e., similar workshops are held in subgeographical regions of the study to make it easier for people to attend.

- They are normally sponsored by a local organization.
- Press releases and the latest draft of the Public Brochure are distributed prior to the workshops to encourage attendance and give participants information on the study before attending.
- The workshops are usually organized around the alternatives, with the participants breaking down into subgroups to focus on each alternative.
- Occasionally they are organized around study issues; for example, in one navigation study there were workshops on user interest in navigation clearances, vehicular access relating to the various alternatives, and environmental concerns.
- The subgroups are preferably chaired by local citizens (citizen discussion leaders, if available).

The normal workshop format is as follows:

- A general session to explain the purposes of the workshop and present a study overview
- Subgroups to focus on alternatives or issues
- A final general session to hear reports from the subgroups and, in some instances, to critique the workshop

A different format, designed by the citizen's committee, was used on the Snohomish River Basin Study. As they entered the door, citizens were given, at random, subgroup numbers. Miniworkshops were set up for each alternative (in this case, six), chaired by a citizen discussion leader (the District study manager chaired the miniworkshop on the "do-nothing" alternative, and a county planning commission member chaired one on flood-plain management). Each group of citizens then rotated among the six miniworkshops (25 minutes allowed for each session). In this way, all the participants were exposed to all the alternatives and to the proponent

argument of the citizen discussion leader. The citizen committee felt that this approach was effective. The main problem was that, because of the short time allowed for each session, some citizen discussion leaders tended to dominate the sessions.

In some cases minutes of workshops are written by the study manager and distributed to the participants. In most cases, however, the next draft of the Public Brochure is used as the record of the workshops, incorporating the pro and con arguments received.

6. Miscellaneous Communications to the Public

Recognizing that the Public Brochure may not always incorporate all citizen concerns on a study, the District has occasionally used other forms of communication. These are adapted to meet a special situation. For example:

- A simple brochure on the Seattle District's public involvement in planning, depicting in a cartoon format the major study planning steps and how the public can become involved
- A Study-Gram, to present periodic reports (particularly when a study has slowed down) and meeting summaries; for example, in one Study-Gram the Corps discussed why a plan modification suggested by a local citizen was not incorporated into the plan
- A Public Information Bulletin, different from a Public Brochure in that it provides no mechanism for public input; it is used to provide more information for workshop or public meeting discussion (one such bulletin dealt with questions on the study received from agencies and individuals; e. g., "What is the basic cause of erosion in the area?" "Will you be able to do something before the highway is cut?" "Why can't you dredge a new channel to the south?" "Can't the Corps do something temporary?" "Why is it taking the Corps so long to make its studies?")

7. Identifying Publics

The District has no system to define segments of the general public. The basic source document for identifying publics is the District mailing list, which is organized as follows:

- Congressional
- Federal offices
- International
- Transportation
- States
- Counties
- Local municipalities (by State, including mayors, chambers of commerce, port commissions, diking and drainage districts, unions, news media, utilities and public utility districts, major industries, post-masters)
- Environmental clubs
- Fishery and wildlife clubs
- Politically oriented clubs
- Service-oriented clubs
- Individuals (no clubs)
- Others

The study manager normally takes this list and fills in gaps according to discussions he has with local government personnel, members of special district organizations he visits in obtaining technical information on the study, and those attending meetings and workshops. A look at one mailing list for a flood-control study showed 800 names.

Basically, the District's approach to identifying publics is to let them identify themselves --i.e., to count on study publicity through the media to generate increasing interest. This approach is possible because the District receives good press coverage on

the public meetings, the workshops, and the Public Brochure. The latter is a layperson's document which can be readily understood by reporters, and many have gone so far as to publish excerpts from the Brochure in their newspapers. Many requests for copies of the Brochure result from news stories on the study.

Furthermore, inasmuch as the Brochure goes through seven drafts over the course of a study, lack of participation at one stage does not preclude participation at later stages. If an individual with a contribution does not receive the first or second draft of the Brochure, his comments will still be recorded in later drafts.

8. Budget

The Seattle District's public participation program adds significantly to the normal cost of a study. This was recognized in the program's design phase, and the District Engineer enlisted IWR's support to obtain the additional funds from the North Pacific Division and OCE.

The individual components of the District's public participation program are budgeted as follows:

- The budget for each public meeting is \$1,500--or \$6,000 for four.
- The budget for the initial drafts of each Public Brochure is \$2,500, for later drafts \$1,500, and for the final draft \$1,000, which means that approximately \$12,000 is spent in publishing and distributing the seven drafts.
- The budget for each workshop is \$300; assuming six workshops to discuss the alternatives and four workshops to discuss the recommended alternatives, the workshop budget is approximately \$3,000.
- The budget for the citizen committee would appear to be approximately \$6,000 (based on an estimated 60 man-days of the study manager's time).

One navigation study budget allocated 20 percent of the funds to public participation activities.

The above budget estimates are normal for a pre-authorization study, whether it is limited or multiple-purpose, has few or many local political jurisdictions, or is urban or rural. Post-authorization and continuing authorization studies would have smaller budgets for public participation because of fewer public meetings and fewer drafts of the Public Brochure. If the study involves a large geographical area, costs would increase because of geographic public meetings and more workshops to cover the area.

D. Program Success

There are three principal reasons why the Seattle District has a much more intensive and comprehensive public participation program than other Districts. First, when the effort began in 1970, it had the total commitment of the District Engineer. Second, in order to design and implement the program, the District Engineer assigned the Chief of Planning and the PAO to work with him. This resulted in their understanding of and commitment to the program and, in the case of the Chief of Planning, his staff understood that their boss would return to his position to ensure program implementation. Third, as has been mentioned previously, the District was able to secure the necessary funds to make the program work.

CHAPTER III

PUBLIC PARTICIPATION IN THE ROCK ISLAND DISTRICT

Since 1969, the Rock Island District has attempted to involve the general public intensely in its water resources planning. The District's effort began with a single study and has, for the most part, integrated the best parts of this effort into all its water resources planning studies. The purpose of this section is to describe and comment on the Rock Island program.

A. An Overview

The primary purpose of the Rock Island District's public participation program is to elicit from the general public its preferences for the alternative solutions that should be considered.

The method for determining the public's preference is to ask citizens to judge each alternative according to its acceptability. Citizens indicate their preferences on a polling sheet, which is distributed and filled out at a series of "alternatives public meetings" (workshops) that are normally held after the Checkpoint I Conference¹ with the Division--about 14 months after the study has started. Following these meetings, the District will study in detail only those alternatives preferred by the general public.

The District also elicits from the public its problems and needs in the study area, but this is secondary to the primary purpose of determining preferences.

The components of the District's public participation program are as follows:

¹Conference to confirm the contents of the Phase I Report (defining the problems, needs, and opportunities and indicating whether further study is warranted).

- Three public meetings, which deal successively with problems and needs, alternative solutions, and the District Engineer's recommended solution
- "Alternatives workshops," where citizens can comment on and indicate preference for the alternatives
- Various "working documents" for the public to understand the study and comment on problems, needs, and alternatives
- Miscellaneous bulletins to increase public understanding of a study and Corps planning and to keep the public informed about study progress

The above components are standard for all pre-authorization studies. Post-authorization studies have alternatives workshops, hold one public meeting, and use the various working documents. Continuing authorization studies hold one public meeting. As of February 1973, no studies have been completed using this approach, although several are close to completion.

On each pre-authorization study, the Rock Island District involves the public in a general planning system, as diagrammed in Figure 1. The public participation components of each step in this planning system are listed in Table 3 and discussed in detail in Section III. D.

B. District Philosophy for Public Participation

The Rock Island District's public participation program was initiated in the Project Development Section of the Planning Branch. Project engineer interest began in 1964 when they were working with local authorities to accelerate the process of obtaining local assurances on a study. They worked closely with city officials, the city engineer, and local property owners and discovered that, by listening to citizens, the process could be speeded--and money could be saved.

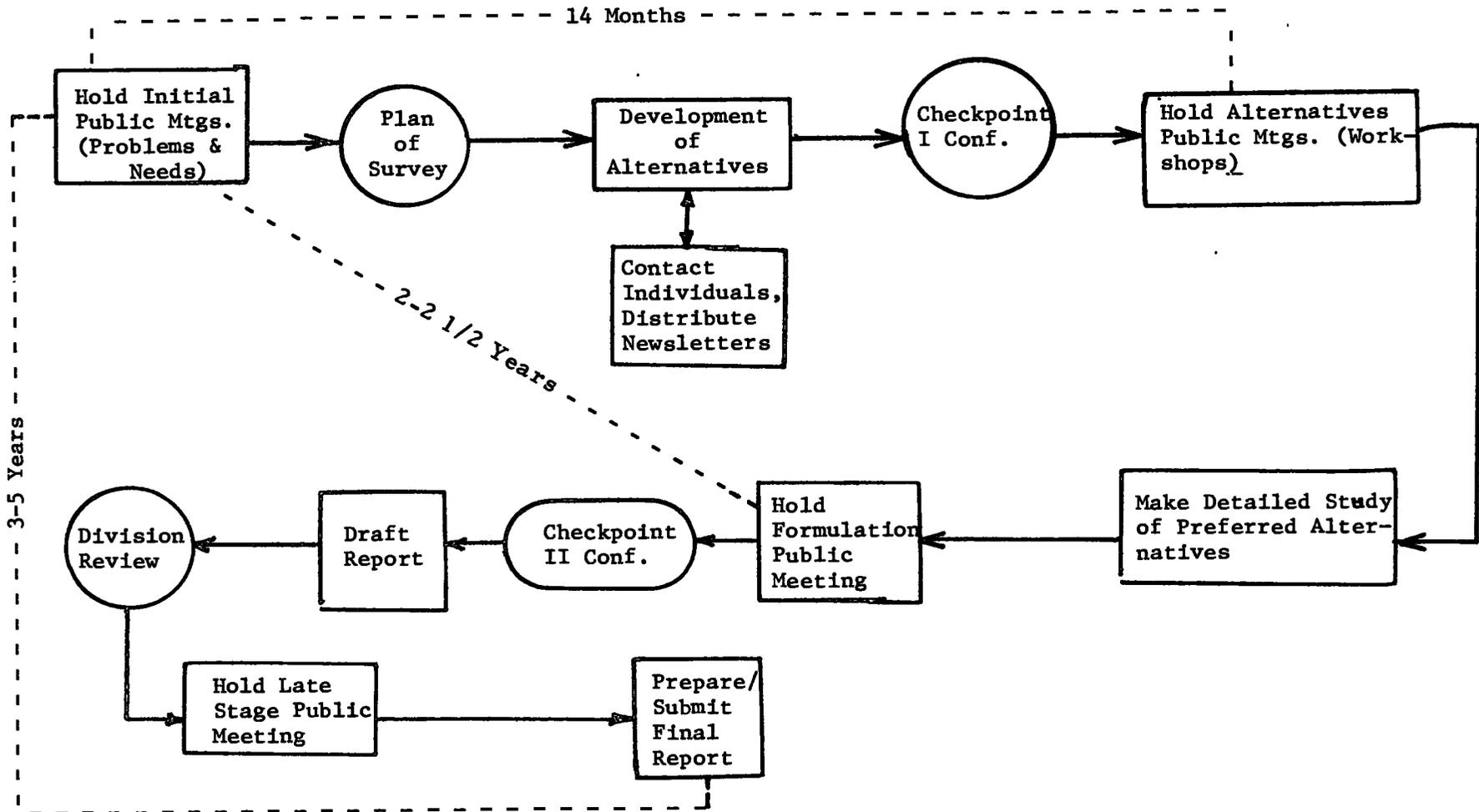


FIGURE 1. GENERALIZED MODEL OF ROCK ISLAND DISTRICT STUDY PLANNING SYSTEM: PRE-AUTHORIZATION STUDIES

TABLE 3

PUBLIC PARTICIPATION COMPONENTS OF
ROCK ISLAND GENERAL PLANNING SYSTEM

<u>Planning Step</u>	<u>Public Participation Components</u>
Hold Initial Public Meeting (Problems and Needs)	(1) PAO distributes formal announcement, news release, and follow-up news release.
	(2) District holds public meeting.
	(3) District distributes, at public meeting, problem identification and alternative proposal sheet to public for comment.
	(4) District distributes official transcript of public meeting.

Development of Alternatives	(5) Project Engineer contacts organizations and individuals to obtain data.
	(6) District distributes newsletter on study progress (optional).

Hold Alternatives Public Meetings (Workshops)	(7) District arranges for local workshop sponsorship.
	(8) PAO distributes news releases of workshops.
	(9) District prepares public brochure, comment, and polling sheets for public use at workshops.
	(10) Local sponsors hold workshop sessions.
	(11) District distributes workshop results (indication of public preferences).

**TABLE 3
(Continued)**

<u>Planning Step</u>	<u>Public Participation Components</u>
Make Detailed Study of Preferred Alternatives	(12) District continues individual and organizational contact to obtain data.
	(13) District distributes newsletter on study progress (optional).

Hold Formulation Public Meeting	(14) PAO distributes formal announcement and two news releases.
	(15) District prepares second draft of final report for public comment at meeting.
	(16) District holds public meeting to present the best alternatives for comment.
	(17) District distributes official transcript of public meeting.

Draft Report (Third Draft Presenting Best Plan)	

Hold Late-Stage Public Meeting	(18) PAO distributes formal announcement and two news releases.
	(19) District prepares fourth draft of final report for public comment at meeting.
	(20) District holds public meeting to present the best plan for comment.
	(21) District distributes official transcript of public meeting.

TABLE 3
(Continued)

<u>Planning Step</u>	<u>Public Participation Components</u>
Prepare/Submit Final Report	(22) Division Engineer distributes public notice of recommendation.

In that period, the District had a group of relatively young project engineers, and they observed that the District had a poor image because it was not telling the complete planning story to the public. Thus, on the studies they were currently working on, these project engineers began to tell citizens what they were doing. Their approach was informal; essentially, they began to listen. They heard, "If you want to know what we think, then you have to give us information beforehand. You planners have studied the problems for several years; how do you think we can give you good information in five minutes at a public meeting?"

The District project engineers concluded that they couldn't continue to involve the public on such an ad hoc basis. They needed a program. Just at this time, when citizens were saying, "You have to listen to us," the Office of Chief of Engineers said, "We have to listen to the people."

The Project Development Section selected a pilot study around which to build a public participation program: the Rock River Basin Study. Public involvement in this study had begun with two initial public meetings in the Spring of 1968. The public's contribution at these meetings was minimal.

The staff began developing their public participation program by reviewing the Susquehanna Communication-Participation Study.² They decided that the "influential approach"³ used in the Susquehanna study was not responsive to their needs, for it did not get to the average citizen. Inasmuch as the Rock River Basin is basically rural and citizens might feel threatened in a formal setting, the staff decided that it needed an informal structure.

²IWR Report 70-6, December 1970, op cit.

³Influentials are defined as those people in the community who really make the key decisions about water resources.

The staff established two objectives, which continue to guide the District's public participation program:

1. To obtain valid data from citizens; this is reflected in the District's "problem identification sheet," which it often distributes at the first public meeting
2. To obtain from citizens solution preferences for intensive study; this is reflected in the District's "preference polling sheet," which it uses at the alternatives public meetings (workshops)

The District had difficulty achieving these objectives. First, in asking for valid data, they found that people could not provide it in a short time. Second, while asking for public preferences, they hadn't decided what they were going to do with the responses. They assumed that they would get a good cross section of citizens, and they didn't consider what they would do if the meetings were stacked in favor of one interest group. They also didn't consider how they would treat the potentially conflicting preferences of different workshops; what should they do, for example, if one workshop clearly favored up-stream reservoirs, while another preferred channel improvement or flood-plain management?

The District has attempted to deal with these problems by studying all preferred alternatives and stating that the ultimate adoption and implementation of any plan recommended by the District depends on citizen support as expressed through their elected representatives.

C. The Rock River Basin Study

Because the District has most fully applied its public participation approach to the Rock River Basin Study, it is useful to look at what the District and the public did--and at what happened.

As stated earlier, the District had held two initial public meetings on the study in 1968. Public contribution was minimal, so the District decided that it had to approach the public again for

local identification of problems, needs, and possible solutions. It first broke down the study area into three geographical sub-areas and concentrated first on one of them. Its basic public participation plan was as follows:

1. To distribute an informational brochure to get public attention
2. To distribute a questionnaire soliciting information on area water resource problems
3. To hold a series of "early-stage" workshops to listen to citizen problems and needs
4. To hold community planning sessions for citizens to comment on the alternatives under investigation
5. To hold late-stage workshops for citizen consideration of comprehensive plans combining alternatives

Techniques 1-4 have been employed; technique 5 has not, to date, been implemented.

1. Informational Brochure

In May-June 1970, the District prepared and distributed a colorful commercially produced folder, The Upper Rock River Basin: Planning for the Future. It briefly treated the following topics: Why a study? What is it? Who is doing it? What will the study produce? You can participate. A mailing of 1,500 folders went out to agencies, organizations, and individuals on the District's basic mailing list, to people who had corresponded with the District on the study, and to people who had attended the initial public meetings.

2. Pre-Workshop Questionnaire

The 1,500 people contacted also received announcements of the workshops and questionnaires on area water resource problems (to be completed and returned prior to the sessions). The questionnaire asked the following:

- Were you aware of the study before receiving the pamphlet?
- Who else should be contacted?
- How would you rank the following problems?
 - Conservation of fish and wildlife
 - Lake deterioration and siltation
 - Preservation of scenic rivers and lakes
 - Preservation of historical sites
 - Flooding
 - Stream pollution
 - Water recreation
 - Other
- Are there specific areas you would like to hear discussed?

Of the 1,500 questionnaires distributed, 463 were returned prior to the workshops, and 326 more were returned at the meetings themselves.

There is little evidence that the District used these questionnaires intensely; it would have taken a significant amount of time, which the District did not have, to peruse them and identify specific questions and issues to address.

3. Early-Stage Workshops

Ten workshops, with 800 people participating, were held. All workshops were hosted either by local chapters of the League of Women Voters or by the Junior Chamber of Commerce. The League was initially skeptical about hosting these meetings, afraid that they might be used by the District for public relations purposes only. However, representatives became convinced of the Corps' sincerity and agreed to participate actively.

Prior to the workshops, District personnel spent approximately six weeks in the study area interviewing people and urging

them to participate. The League was also involved in encouraging people to attend.

The workshop sessions followed a similar format:

- The sponsor/host outlined the meeting objectives and schedule.
- The District described the public participation program.
- Attendees were asked to complete and hand in the pre-workshop questionnaire if they had not already done so.
- The District outlined the total study planning process.
- The District conducted a general question and answer session.
- Participants broke into groups of 20, led by District or other agency personnel, to identify water resource problems and needs.
- Participants regrouped in a general session to summarize results.
- Participants were asked to complete a critique questionnaire and make additional comments by mail.

Problem and need identification was provided for on a worksheet, which, for each category of problem (e. g., flooding, pollution, recreation), asked that participants

- Identify the specific problem
- Provide the specific location
- Propose solutions

At the conclusion of these workshop sessions, the District distributed a newsletter summarizing the problems identified, presenting the problem rankings (according to severity), and indicating what would happen next. This newsletter was to be the first of a series of quarterly publications.

The critique questionnaire asked:

- What are the most severe problems? (Rank the same problems identified in the pre-workshop questionnaire.)
- Where are the most severe problems located?
- What additional information would you like?
- How effective was the workshop?
- What workshop portion needs to be improved?
- In what subgroup did you participate?
- What is your age and occupation?

The majority felt that the workshops were effective. The District did consider the problems most frequently identified by the public in these sessions. The District's presentation of the public participation program was the portion most criticized. Little use was made of group identification, age, and occupation data.

4. Community Planning Sessions

Some 200 people attended three community planning sessions in March 1971 to consider alternatives under investigation. Participants were given a 22-page worksheet, which described eight alternatives in terms of

- Physical structure
- Water and land use
- Effects
- Location
- Advantages and disadvantages

Participants were asked to comment on the advantages and disadvantages, adding to them where appropriate. They were also asked to rank the alternatives in order of preference.

Public reaction to these community planning sessions was mixed. Many felt that they covered substantially the same ground as the earlier workshops. They wanted specific plans to react to, and the District was presenting only very general alternatives

(e. g., flood-plain management). Part of the problem may be that the District did not try to relate the alternatives specifically to the priority problems identified in the earlier sessions, so study progress was not clearly evident.

The Rock River Basin Study has stalled. Little further communication by the District with the general public has occurred for several reasons. First, frequent changes in Project Development Section personnel has resulted in no current project engineer with responsibility for the study. Second, study funds have been reduced. Third, the tentative Corps conclusion on this first sub-area is that no solutions will be recommended. The District seems hesitant to report this to the citizens who participated so actively. There is some point to this hesitance: through its very active public participation program, the District probably implied that Federal solutions to area water resource problems were probable, and it may now lose some public confidence as it presents the results.

D. District Public Participation Program Details

1. Public Meetings

On a pre-authorization study, the District holds the standard three formal public meetings. It considers formal public meetings the least effective technique for obtaining information from the public. The public meeting format is standard:

- The District Engineer puts the study in the perspective of Corps planning.
- The Chief of the Planning Branch or the Chief of the Project Development Section describes the study.
- The Chief of the Project Development Section or the project engineer describes the alternatives under consideration (at the final two public meetings).
- Public testimony is taken.

There is little opportunity for communication among those attending.

Normally, the District prepares no material for distribution at the first formal public meeting, although it has, on several occasions, provided a problem identification worksheet for completion at the meeting and, on one occasion, distributed a draft Plan of Survey. The latter is technical in its approach and probably has little value to the public.

At the second formal public meeting (formulation stage), the District distributes the second draft of the final report, which presents the details of the alternatives to be studied intensively. At the late-stage public meeting, the District presents the fourth draft of the final report, which informs the public of the contents of the report that will be made to the Division. Both of these drafts are technical rather than popular in approach, and, because they are distributed at the meeting itself (rather than prior to it), they also appear to have limited value to the public.

Public meeting attendance has increased because of the work of the Public Affairs Officer (PAO) in translating the formal public announcement into two news releases that can be published verbatim by local newspapers. The first news release is distributed on the Monday of the week before the meeting (to meet weekly newspaper deadlines), and the second (a reminder) is distributed the Monday before the meeting.

2. Workshops

Workshop sessions, held to consider the alternative solutions for intensive study, are the heart of the Rock Island District's public participation program. Workshops are the only forum in which all those interested in the study can exchange views. The sessions are open to all, and most often there is a cross section of interests represented. But occasionally there is not. On one post-authorization study, the strongest proponents of the authorized project have stayed away; they argue that they have already made their views known to the Corps. Opponents to the authorized

project have dominated the meetings, others in attendance have been intimidated from speaking, and the District is receiving a distorted view of public preference. With the proponents of the authorized project absent, the District has been criticized for "trying to push a proposal down our throats." The media has publicized the controversy.

The current District Engineer has decided to change the rules. He plans to indicate to the authorized project proponents that unless they are willing to present their case in the remaining workshop sessions and the upcoming formal public meeting, he will suspend the study.

The principal purpose of the workshop used by the Rock Island District is to ascertain public preferences for the alternatives to be studied. If workshop participation is stacked, then the public preference data can be invalid. So long as the workshops are open to all, with little attempt to ensure more balanced representation through invitation or other means, the District runs this risk.

Workshops are normally located geographically in such a manner as to facilitate attendance. Where possible, they are sponsored by local organizations. The PAO distributes two news releases on each workshop session. The basic documents for workshop participant use are the Public Brochure (which presents the alternatives), a sheet for comment on the alternatives, and a public preference polling sheet.⁴

The normal workshop format, adapted from that tested in the Rock River Basin Study, is as follows:

- The District explains the meeting purpose, meeting format, study procedure, and study objectives.

⁴Each is discussed in subsection C. 3, "Working Documents."

- The project engineer explains the alternatives; the audience is given time to write its comments after each alternative is explained.
- The Chairman of the meeting conducts a question-and-answer session.
- Participants complete and hand in their preference polling sheets.

Summaries of the preference polling sheets are distributed in a news release following the workshop.

2. Working Documents

The Public Brochure is the basic informational document for the workshops. On the Rock River Basin Study, the Brochure was distributed prior to the workshop in order for citizens to familiarize themselves with its contents. More recently, it has only been distributed at the workshops--except in one case where 100 copies were given to a local group for distribution.

Brochures have varied considerably in format.⁵ The simplest format presents the purpose of the brochure, provides a map of the study area (with potential problems and solutions located), and describes what each of the alternatives would do.

A more complex format also used has presented:

- The study authority
- The purpose of the study
- The objective of the workshop sessions
- The alternatives in terms of a map, project features, project effect, and a preliminary cost estimate

A still more complex format has been used on post-authorization studies:

⁵Because the District has prepared so many Public Brochures, none is specifically cited. Requests for samples should be directed to the District.

- The study authority
- The pre-authorization study history
- The post-authorization program
- The objective of Phase I general design memorandum studies
- Public involvement and participation
- The Public Brochure
- Local cooperation requirements
- The authorized project (a description)
- The alternative measures (a presentation of each)

The District has consistently included a "do-nothing" plan as one of its alternatives, occasionally labeling it "do-nothing," "no Federal participation," or "no program on x problem."

In all cases, the Public Brochure language has been simple and understandable. However, the simpler formats do not appear to give the public sufficient information to comment meaningfully. The best format is the one which presents the alternatives in terms of physical features, effects, and costs.

A problem identification worksheet has been used extensively only on the Rock River Basin Study (although it has been used more recently on others as well). It is simply a format for organizing public comments on specific problems, their location, and suggested solutions. It includes a study area map. The District could make more use of this problem identification worksheet in all its studies, distributing it--together with a brief study history--prior to the initial public meeting. Many citizens have criticized the District for not presenting sufficient information for good public identification of the problems. The District could answer this criticism by including such a problem identification sheet as a regular part of its public participation program.

At the workshop sessions, the participants are asked to complete a comment sheet on the alternatives. The normal comment sheet format is as follows:

- Present comments on why you like or dislike each alternative, including such considerations as personal well-being and employment of residents; local economy; required local cooperation; regional and national economic effects; cultural, aesthetic, recreational, and development opportunities; and coordination of interests in the study area.
- Present suggestions or improvements you consider necessary to the alternatives presented.
- Present other alternatives that should be considered.
- Ask any questions you may have.

Again, the comment sheet is not distributed prior to workshop sessions.

The alternatives preference poll is taken exclusively at the workshop sessions. If an individual cannot attend a session, there is no easy way for him to have his preference recorded. The District has used two types of preference indicators:

- Ranking alternatives in order of preference
- Judging each alternative in terms of acceptability (e. g. , very acceptable, marginally acceptable, marginally unacceptable, very unacceptable)

As indicated above, preference tabulations are distributed in news releases following the workshops.

The District uses the results of the preference poll to guide it in selecting the alternatives for further study rather than to select the best alternative for District Engineer recommendation. The public makes its recommendation for the best alternative through elected officials.

The results of the preference poll have, therefore, been most useful in eliminating undesirable alternatives from further consideration. For example, on one study, reservoirs were dropped because local citizens were strongly opposed to them.

The principal difficulty with the preference poll, as currently used, lies in interpreting the results. Should it be assumed that those attending workshop sessions adequately mirror the public will? Should results be analyzed in terms of who said what? In other words, are people potentially directly affected by solutions to be listened to more than those who aren't?

The District's answers to these questions are largely subjective and intuitive. If there is little apparent controversy, then the District assumes that those attending the workshops do indeed mirror the public will. On more controversial studies, such as the post-authorization study previously cited, the District is confident that the preference poll results do not mirror the public will, and it has broken down the responses according to the extent to which the people are affected by the authorized project. The District feels justified in doing so because it is convinced (and has some evidence to support this) that the opposition to the authorized project is in the minority, even though the results indicate otherwise. Thus, it is to be expected that resident preferences will dictate the alternatives (in addition to the authorized project) that will be studied further. While this is probably a valid position, the District did not announce such a procedure prior to the meetings, and, inasmuch as it is not a procedure that the District has employed on other studies, some people may justifiably complain that the Corps is changing the rules to achieve its own predetermined ends.

The District uses drafts of the final study report as public information documents for formal Public Meetings No. 2 and No. 3. These drafts are distributed at (rather than prior to) the meetings. The use of these drafts for this purpose is in accordance with Division regulations, although the Division calls for the drafts to be available prior to the meetings.

The second draft of the final report is available for Public Meeting No. 2 (formulation stage). It presents the specific details of the alternatives that will be subjected to intensive investigation. In this draft, the District compares the effects of each of the alternatives in an "alternative analysis matrix" in terms of the four principal objectives for alternative consideration:

	<u>Alternative "A" Beneficial Effects</u>	<u>Alternative "A" Adverse Effects</u>
National economic development	\$	\$
Environmental quality	\$	\$
Social factors	\$	\$
Regional development	\$	\$

The fourth draft of the final report is available for Public Meeting No. 3 (late stage). This draft presents the contents of the proposed final report, including the District Engineer's recommended alternative solution.

Because the primary audience for these drafts is the Division and the Office of Chief of Engineers (OCE) rather than the public, they are fairly detailed technical presentations. The fourth draft describes the alternatives considered and then presents the recommended alternative in terms of its features (e. g., levees, levee sections, underseepage, interior drainage, relocations, sewerage system water supply, railroad closure structure, road ramps, real estate requirements, environmental considerations, recreation, urban renewal program). It presents the costs and benefits, describes the environmental inventory, summarizes the required local cooperation, and, finally, presents maps and plan profiles. One such draft contained 17 pages of text plus maps and

profiles. The draft contains no information as to the influence of the public on the selection of the recommended alternative.

There is little doubt that the contents of the draft reports contain some of the information needed by the public to comment. However, two factors restrict their effective use. First, 17 pages of text distributed at a three-to-four-hour meeting does not permit sufficient time for report digestion. Second, the majority of citizens probably do not need the level of detail provided (indeed, this may ensure that the document will not be read).

4. Miscellaneous Communications to the Public

Occasionally the District prepares and distributes other communications to the public. One is a news release, which is used most frequently to summarize workshop results. Another is a study newsletter, which was intended on the Rock River Basin Study to keep citizens informed about study progress. The newsletter has not been used extensively. The District's attitude seems to be that if a study has slowed and there is no significant progress to report, it should not prepare a newsletter to announce it. An alternative view is that public interest in a study is better maintained if the District periodically reports on study progress, even if none has been made; at least then citizens will know that their input has not been forgotten.

On the post-authorization study cited earlier, a number of questions were raised by citizens and other agencies that the District felt it could best answer by distributing a bulletin. One yet-undistributed draft contained 21 pages. It considers answers to such questions as: "Has construction of dams and navigation works increased sedimentation in the Mississippi River?" "Why was a 200-year flood selected for project design?" "Why was the frequency of the 1965 flood changed from 100 years to 50 years?" "Why not construct upstream reservoirs on the main stem or tributaries to protect the city?"

The District has answered these questions lengthily and technically. It believes that complete answers must be provided to avoid ambiguity. The problem is that, given the level of sophistication of the general public on water resources problems, such answers probably contribute more to ambiguity. The public deserves simple, direct responses, with more detailed answers available if requested.

5. Citizen Committees

The District has used citizen committees on its studies only when external factors led to their creation. It has not created any committees itself. One citizen committee used was a local flood-control group already formed in the study area. It contributed principally by publicizing and hosting the alternatives public meeting (workshop).

Another committee was formed by the Wisconsin Department of Natural Resources to coordinate a lake study (of which the Corps had a piece) in the Rock River Basin. Represented on the committee were the lake association, local counties, the University Extension Service, the Soil Conservation Service, the Department of Agriculture, the Wisconsin Department of Natural Resources, and the District. The committee planned two public meetings: the first to review previous proposals for lake improvement, present available data, and survey resident preferences; the second to provide information on feasibility and environmental impacts.

On another study, the District worked with a local Model Cities citizens committee to identify and test alternative solutions.

6. Identifying Publics

As with most districts, Rock Island begins its identification of publics for a study with a District mailing list. The basic list is organized and coded by affiliation, function, and geography.

For example, on the Rock River Basin Study, the mailing list organization and coding system are as follows:

0 Individual	0 Official
1 Local	1 Planning
2 County	2 Historical
3 State	3 Service and fraternal
4 Federal	4
5 Private organization	5 Conservation and sportsmen
6 University extension	6 Agricultural
7 Mass media	7 Congressional
8 Educators	8
	9 Other

Geographical designations are by letter; e.g., Wisconsin--WI, Winnebago County--WN. A postmaster in Winnebago County would be coded 70WN; a Wisconsin Congressman, 47WI.

The District adds to the basis mailing list as follows:

- During initial investigations in a study area, the project engineer inquires of his interviewees if there are other individuals or organizations who should be included.
- The project engineer obtains from tax rolls the names of all area property owners who might be affected.
- The project engineer identifies all businesses that might be affected.
- The District uses the local citizen committees (where formed) to identify others.
- All attendees at public meetings and workshops and people corresponding with the District are added.
- The PAO has been used on two studies to identify water resources influentials.

7. Budget

The District estimates that its study budgets have increased from 5 to 25 percent for its public participation activities. The Rock River Basin Study has been at the 25-percent level. For small projects (continuing authorizations), public participation accounts for 5 percent of the budget. Limited-purpose studies (e.g., flood control) require 10 percent of the budget for public participation; basin studies generally require 20 percent. The difference is principally accounted for in the number of public meetings and workshops that must be held. On the controversial post-authorization study, the District has estimated that public participation costs may reach 50 percent of the budget, indicating that controversial studies require more time and money because of many more sessions with the public.

Given these added budget costs, the District was asked if it would reduce its public participation budget if it were to receive 10 or 20 percent fewer study funds. Its response was a strong "No!"; rather, it would decrease the number of its studies. The District is convinced that money spent on public participation is worthwhile.

E. Summary

Unlike the Seattle District, where intensive public involvement was initiated from the top, the Rock Island program started at the staff level, where a group of young engineers decided that they had to find out what communities wanted. This may suggest that the critical ingredient of an intensive public participation program is the attitude, commitment, and initiative of the District people and not the development of innovative and "magical" techniques for involvement.

While Rock Island's effort is not so intensive and comprehensive as Seattle's, it does provide regular mechanisms for obtaining

public statements of problems and indications of preference, and this is one of the key purposes of public participation.

PART TWO
PLANNING AND ORGANIZING FOR EFFECTIVE PUBLIC PARTICIPATION

Based on observations of 15 District public participation programs, there appear to be four elements that must be present for effective programs. These are as follows:

- A District policy for public participation
- Commitment to public involvement from the entire District staff
- An organizational structure and assignment of responsibilities to facilitate program implementation
- Adequate resources

Part Two is an evaluation of District programs in relation to these four elements and recommendations for improvement. Chapter IV discusses policy and commitment, and Chapter V presents organization and resources.

CHAPTER IV

PUBLIC PARTICIPATION POLICY AND COMMITMENT

A. A District Policy

Most of the 15 Districts do not treat public participation as an integral part of their planning processes. While study managers have well-defined requirements and procedures for collecting and analyzing technical study data, they do not have such requirements and procedures for public involvement.

In implementing their public participation programs, the Districts are primarily guided by EC 1165-2-100, "Public Participation in Water Resources Planning," Water Resources Policies and Authorities, issued by OCE on May 28, 1971. This regulation is general in nature; OCE recognizes that there is no single best approach to public participation and that every District and every study is likely to be different.

In this regulation, OCE directed that Districts make their public participation plans an integral part of each study's Plan of Survey--the detail to be consistent with other parts of the Plan of Survey. Few Districts do so; Plans of Survey treat public participation in one or two general paragraphs. No Plan of Survey reviewed as part of this research followed the public participation plan approach suggested in the OCE guidance:

- ⊙ For each step in the planning process, identify two-way information requirements.
- ⊙ For each step, identify relevant publics.
- ⊙ Select those public participation program elements that appear to be the most suitable, efficient, and effective.

As a result, the study manager does not have sufficient guidance for involving the public. Faced with well-defined plans and

requirements for technical analyses, he often forgets about integrating public involvement into the process. Public participation becomes an add-on function.

The above observations do not apply to the Seattle District. Recognizing the general nature of the OCE regulation, Seattle adopted its own specific regulations and procedures for public participation program development and implementation. The Seattle District regulation

- Defines District objectives, policies, and responsibilities
- Defines the public involvement techniques to be used by the planners and sets forth the circumstances under which each should be used
- Describes a study model plan for public involvement for general investigations¹

This regulation has made the OCE guidance operational for the Seattle District. The planning staff knows what it is expected to do.

The Seattle regulation may be too specific for other Districts because it requires that the same model for public involvement be used for all pre-authorization studies. However, it is recommended 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

¹SDR 1120-2-1, "Public Involvement in Planning," Investigation, Planning and Development of Water Resources, 10 November 1971.

- 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

B. District Commitment

Articulating the policy is not enough. The entire District staff must be committed to its implementation.

The District Engineer and the Chief of Engineering are the key figures for ensuring effective public involvement. They set the tone for both the planning staff and the public. Their tone is defined by

- How they treat public comment in arriving at a recommended plan (if they treat it lightly, then the planning staff is not likely to seek intensive involvement; if they consider it important, the staff will have to find ways to ensure that the public is heard)
- Whether they will consider all publicly identified alternatives, even if some would involve no Corps of Engineers' action (if they will not, the planning staff will be constrained from analyzing some things the public considers important; if they will, the public is more likely to make all its feelings known)
- How the District Engineer, as the official Corps spokesman, deals with the public (if he is very formal and follows rigid protocol procedures, his staff is likely to follow his lead; if he is more informal

and open, then his staff is more likely to establish informal mechanisms for more public participation)

The District Engineer and the Chief of Engineering also set the priority for public participation in planning. They approve the allocation of study resources, and, if money for public involvement is light, participation by the public will necessarily be light. They set the study priorities, and, in some Districts, such priorities frequently change; i. e., the Division asks that some studies be accelerated, and planners are temporarily assigned to continuing authority studies requested by local interests. The occasional result is that commitments made to the public on other studies (i. e., when a study phase will be completed, when a meeting will be held) cannot be kept.

Currently, in only a handful of Districts do the District Engineer and the Chief of Engineering set a tone conducive to effective public involvement, and few seem to give it a high priority. There are a number of manifestations of this limited commitment.

First, planning is not the major District function. In terms of the District budget, construction is by far the largest, and construction and operations are the most publicly visible District functions. District Engineers spend more of their time on them. The District Public Affairs Officer (PAO), whose activities largely mirror the priority interests of the District Engineer, does not have time to focus adequately on public participation in planning, even though OCE has charged both the Planning Branch and the PAO with joint implementation responsibilities for the program.

Second, the District Engineer appears to regard public participation as a planning and not a District activity. The District real estate staffs continue to antagonize people by the ways in which they acquire property. In many cases the construction staffs fail to monitor construction contractors sufficiently to ensure that they do not unnecessarily disrupt the environment. Only in the

granting of permits are the Districts responsive to public comments. The District's methods of acquiring property and building projects, however, influence public attitudes toward District planning. Most District executives have not seen the relationship. Sensitivity to public concerns does not stop with the completion of post-authorization planning.

Third, many District planners have been frustrated in their attempts to expand their public participation efforts; many who have attended seminars in public participation reported that they returned to their Districts with many new ideas, only to be turned down by District executives. In one District, the planners made a number of specific proposals on a potentially controversial study, but the District Engineer rejected them. Moreover, District executives have given the planners little guidance as to what information they want from the public to make their decisions.

Fourth, many District Engineers seem reluctant to let their planning staffs deal intensively with the public. The District Engineers seem much more comfortable with official, structured channels (i. e., the public meetings and the requirement that all study correspondence be channeled through the District Engineer or the Chief of Engineering). If one observes who is the principal District representative at formal and informal meetings with the public, one can assess the importance the District assigns to the meeting; all public meetings are conducted by the District Engineer, workshops in major cities are usually conducted by senior District managers, and workshops in smaller communities are conducted by study managers. The problem with this division of responsibility according to staff status is that the study decision-makers may be more likely to pay attention to the public input received at the meetings they attended.

A new District Engineer is given only limited orientation as to the importance that the Office of the Chief of Engineers gives to

public involvement, particularly with regard to its OCE priority in relation to other District activities. It is recommended that OCE undertake more intensive District Engineer orientation as to the importance of public participation.

Initial orientation, however, is only partially satisfactory to encourage greater commitment on the part of the District's executive staff. The Division, the Board of Engineers for Rivers and Harbors, and OCE need to provide the District with more specific guidance as to the types of public comments they will take into account in reviewing reports. Currently, the only requirements are that transcripts of public meetings accompany the survey reports and that the public participation programs be summarized. This gives Districts a great deal of flexibility in their use of public comments. It is recommended that Divisions, the Board, and OCE (1) issue more specific guidance to Districts on how they are to treat public input and (2) require that the survey reports be accompanied by summaries of public comments and an indication of what comments influenced the recommendation and why.

Staff commitment to public participation is uneven; committed staff include younger planners (perhaps because, in their more recently completed university work, public participation in planning was stressed), planners who have been to seminars, and those who have worked with IWR staff and consultants.

In short, planners who have been involved in more intensive public participation activities have performed admirably. While perhaps skeptical at first, many have become "turned on" to public involvement. Nevertheless, planning staffs still have some deficiencies in public participation skills, and these deficiencies impede their programs. Basically, there are five public participation skills required, and the purpose of the following paragraphs is to examine these and assess how well District planners stack up.

The first basic skill is attitude:

- Does the study manager truly want to develop solutions desired by the community?
- Does he believe that the citizens themselves are the best source for such desires?
- Is he confident of his own professional skills as a planner, so as to not feel threatened when citizens criticize portions of his study?

District study managers want to develop community-supportable solutions. However, some have questioned whether the citizens themselves can actually provide the necessary information. Some have said that citizens are selfish and unwilling to consider the desires of others and that they rarely tell the planner something that he didn't already know. Planners already know most of the significant arguments favoring or opposing alternatives, and some feel that they can adequately develop supportable solutions without intensive public involvement. It must be added, however, that many study managers believe that they are not able to define community values--only the public can. Some study managers do feel threatened by criticism of their analyses, perhaps believing that their professional competence is being questioned. In such cases they may feel that the criticism will be interpreted by their superiors as reflecting on their competence and will thereby affect their chances for promotion.² This insecurity impedes planners' ability to hear what citizens are trying to say.

The second basic skill is ability to conceptualize public involvement in terms of what is desired, who can best provide the information, and what channels should be used to ensure that it is provided. Few of the District study managers are able to conceptualize adequately; they just don't ask these questions. The

²These are the author's interpretations and are open to question.

principal reason for this deficiency, however, is that the District itself does not give them sufficient guidance.

The third basic skill is ability to organize. Most study managers are extremely proficient at organizing and coordinating the technical study components, but some are deficient in organizing public participation. They don't know how to budget for it, and they don't know how to organize and plan meetings for most effective public participation. For example, most public meetings follow traditional, time-tested formats; workshops follow similar agendas.

The fourth basic skill is ability to communicate, both in print and orally. Most planners are effective in one-on-one encounters. However, when they write and speak to larger groups, their primary concern is what the District wants to tell the public, and not necessarily what the public wants to know. In one District's series of workshop sessions, the majority of participants said that the District's description of how it wanted to involve the public was the weakest and least understood part of the workshop. Public presentations usually contain a historical description of the Corps' role, a statement about a study's authorization, a summary of what has been done to date and what still needs to be done, a statement of Corps expectations for public involvement, and a presentation of issues to be addressed (normally alternatives). Written and oral presentations are frequently written in "governmentalese"; i. e., the passive tense is the form, sentences are long and poorly constructed, the presentations either assume too much understanding on the part of the public or try to convey information that is too technical, and they use--without definition--bureaucratic "buzz-words" such as cost-benefit ratios, objectives, goals, needs, problems, projects, local assurances, and authorizations.

The fifth basic skill is the ability to investigate. People may make statements suggesting that some unstated concern is bothering them. In such cases the planner must be alert to try to find out what that concern is. In discussions with citizens, he must frequently summarize what he heard to make certain he heard it correctly, and he must try to explore further areas that are unclear to him. All too often, however, the planner assumes the role of listener only at meetings, with the occasional result that his conclusions may be distorted.

In attempting to build District commitment to public participation and strengthen staff skills, IWR has concentrated on the planning staffs rather than on District executives. It initiated the TAP consultant program, set up seminars in public participation, has prepared guidance material, and has assisted Districts in implementing programs--particularly on urban studies. As a result of these efforts, many planners are now committed to the philosophy of public involvement. They have particularly found the seminars beneficial; many planning chiefs returned enthusiastically from the public participation Short Course in Atlanta in February 1971 to try to apply many of the concepts discussed. More recently, participants have stressed the value of seminars conducted by Synergy, Inc. IWR's approach has been selective, focusing largely on specific planners or studies but not on the planning staffs as a whole. The assumption has been that these planners would influence others and that the studies would serve as models for others. This assumption is questioned. When the planners returned from the seminars, they were quickly brought back to the "reality" of District operations. The pilot projects involving the TAP consultants have not yet become models.

IWR's selective approach appears inefficient, and it will take many years before it is able to build the commitment. For the Districts to have effective public participation on all their

studies, their planning staffs must be fully committed to the IWR philosophy of public participation.

Because the seminar approach has proven so valuable to those attending, and because total staff commitment is necessary, it is recommended that Districts initiate such seminars in their offices for all their planning personnel, District executives, and other appropriate personnel (e. g. , the PAO, real estate, and construction staffs). In this way, District planners will be able to interact with each other on public participation issues, discussing what is realistic, what will work, and what won't work in their Districts.

CHAPTER V
ORGANIZATION AND RESOURCES

A. District Organization for Public Participation

1. Organization

In the 15 Districts studied, the planning function is performed by a planning branch in the engineering division; in one District it has its own division. These two types of placement appear to have no impact on the performance of public participation activities.

Thirteen of the Districts have most of the technical study functions (e. g., environmental resources, economic analysis, hydrology, recreational resources) in the planning branch or division. One District has all such functions in other branches within the engineering division, and one has the recreational resources branch in another division. The most serious problem for public participation occurs, however, in the planning branch itself--with the environmental resources specialists. They are a valuable resource in identifying environmental publics, helping planners contact publics, and participating in public meetings and workshops. But they are rarely used in this fashion. One reason is that their current top priority is preparing environmental impact statements for authorized projects, and they have not had the time to participate fully in planning. When study managers have wanted to involve them, frequently the environmental specialists are asked to respond or participate with very little lead time. One environmental section chief tried to set up a District personnel seminar on environmental matters, but he was rebuffed. However, one District did set up such a seminar where public participation was a topic.

While there may not be effective coordination among District divisions and branches, it appears that optimal coordination is frequently lacking even among sections within branches, and this has adversely affected public participation.

2. Study Management

All but one of the Districts use study managers (also called project managers and project engineers) to manage their studies. One District does not; rather, its section chiefs move various studies along. While this latter approach might be questioned strictly from a management standpoint, it is devastating for effective public participation--for there is no single point where all contact with the public can be organized and coordinated.

For effective public participation, each study must be managed by one person. Inasmuch as all but one of the 15 Districts use the study manager approach, this reassertion of common practice may not appear necessary. However, some Districts occasionally have studies which are manager-less; i. e., the section chief assigns the plan of study to one individual, preparation for the public meeting to another, and some analysis to another. Such practices do not facilitate public involvement, because there is no one person who has in his grasp all of the information on the study. There is a possibility, under such circumstances, that some critical public comment will be disregarded.

Some Districts, on some studies, have extended the study manager approach to one involving a study team. The difference between the manager and team approaches is that, under the former, the manager farms out the technical studies to other organizational units. He is more or less dependent on those units to get the job done. Under the team approach, specific individuals from these units are assigned to work with the study manager, and all have a say in how the study is to be conducted. Together

they can develop the public participation component and agree on how each can contribute and participate.

With regard to public participation, however, the Districts treat the study manager concept quite differently. There are three principal responsibilities in managing a public participation program:

- Supervisory--management guidance, review, and monitoring of the program
- Design--development of the public participation component of a study, including what information is needed, who should provide it, what techniques are to be used, who should implement them, and what it will cost
- Implementation--undertaking the program

In 3 of the 15 Districts, public participation is tightly controlled by the District Engineer; he supervises, approves all design, and is involved in implementation. In nine of the Districts, the section chief supervises and designs the program and the study manager carries out its implementation. In three of the Districts, the study manager is responsible for both design and implementation; he is supervised by either the planning or section chief.

In 13 of the Districts, all correspondence with the public is channeled through the District Engineer or Chief of Engineering. In the remaining two Districts, the study manager receives and signs all study-related correspondence not involving policy.

Thus, in most cases the District executives have more control than the study manager over how the public is involved and what it is told. The following difficulties are encountered with this type of control:

- The executives supervise many studies, and they frequently don't have the individual study firmly in their grasp to deal effectively with the public.

- With time spread over several studies, and with other duties to be handled as well, the executives can't mount intensive public participation efforts on any one study.
- The executives' strong control tends to perpetuate the notion that public participation is not an integral part of planning; i. e., while the study manager may be able to coordinate other aspects of the study, he must rely on his superiors for public involvement.

Some of the Districts argued that the study manager is not experienced enough to assume greater control over public participation. There are too many things that he doesn't know, and some District executives fear that he could convey too many false impressions. While this concern may be valid, the most intensive and effective public participation programs are conducted in those Districts where the study manager has the greatest responsibility for designing and implementing the program.

For example, the Seattle District's program is generally recognized as the most intensive in the Corps. The District assigns supervisory responsibilities to the planning chief and full design and implementation responsibilities to the study manager. This model is a very effective one. The study manager is expected to know his study and its environment well enough to design and implement a program to meet the study needs. As the consistent point of contact with the public, he hears and evaluates all public input and can put it in the perspective of all the analyses being undertaken. He signs all study correspondence to the public. The citizens know that they can write or speak directly to the person most concerned with the study to make comments and ask questions. He does not have to clear his responses with anyone. Of course, it should be mentioned that one reason for the study manager's full responsibility in Seattle is that he has clear District guidance as to what he can, must, and should not do.

Another example: On one study, the Wilmington District has assigned full public participation design and implementation responsibilities to the study coordinator. This study has the most intensive and successful public involvement effort in the District.

It is recommended that

- Districts assign full study design and implementation responsibilities for public participation to the study manager
- The study manager directly receive and sign all non-policy study correspondence with the public

3. PAO Involvement

Corps regulations require that "All public participation programs for planning activities will be developed, conducted, and evaluated jointly by planning and PAO personnel under the overall direction and management of planning."¹

In most of the 15 Districts the PAO is either minimally involved or not involved at all.

- In four of the Districts, the PAO prepares and distributes news releases for public meetings.
- In two Districts, the PAO distributes public meeting notices to local newspaper editors.
- In two of the Districts, the PAO makes arrangements for public meetings.
- In one District, the PAO tries to attend all meetings to assist media representatives in identifying and contacting speakers.
- In three Districts, the PAO reviews and adds to study mailing lists.

¹EC 1165-2-100, op cit.

- The PAO in one District has contacted media representatives to identify community influentials.
- In two Districts the PAO has assisted planners in making media contacts.
- The PAO in one District has arranged for press conferences preceding the first public meeting on a study.
- Most of the District PAO's clip news articles relating to the Corps or a specific study and distribute these to District personnel.
- In three of the Districts, the PAO reviews planner-prepared material before distribution to the public.
- The PAO in one of the Districts was one of the principals in designing the public participation program.
- The PAO in one of the Districts sits in on study public participation planning sessions.

One District is considering a new role for its PAO--that of "internal ombudsman" to relate to major public constituent groups and serve as their advocate in the planning process.

Several reasons have been cited for the PAO's limited involvement in public participation. First, he doesn't have the time. In most Districts there is only one PAO and an assistant; they must serve the District Engineer and all the District divisions, and supporting the planning branch is low on the PAO's priorities. Many PAO's don't have an interest in planning; their more immediate public relations problems are in construction and operations. Some District planners would like the PAO to translate some of their technical material into lay language, but the PAO's have said that they have the time only to review and comment. Unfortunately, even this is seldom timely; either they get the material too late, or they let their review slip in favor of their priorities.

Second, most District planners feel that the PAO does not have the technical capability to understand and disseminate technical planning information. In short, they do not have confidence in the PAO to support the planning function.

Third, the PAO in several Districts is physically removed from the planning branch. In many, he is in a different building; in others, he is on a different floor. This means that planners rarely have informal contacts with him through which he might learn of some of the study manager's problems with the public.

One District planning chief proposed assigning a PAO to his branch to work specifically with the study managers; his proposal was not accepted.

In summary, public participation in the 15 Districts is the responsibility of the planning branch, with only token participation from the PAO. Planners do not consider him to be a part of planning teams, and no PAO takes the initiative himself to find out what is going on in planning and how he might help.

The PAO could effectively support public involvement in planning activities. Most planning staffs have manpower and funds that are too limited for effective programs, and the PAO could be a valuable resource; he is "overhead." In most Districts, however, he could play a number of potential roles--if either his priorities are changed or his staff is increased.

Inasmuch as many planners have questioned the PAO's usefulness because of his limited knowledge of planning, it is important to stress his assets. First, he is not a planner, but, rather, the closest person to the lay citizen that the Districts have. He can tell the planner whether what he is trying to say will be understood. Second, he has communications skills, the ability to put material in simple, lay language. Third, he is in a position to be most sensitive to the public environment in which planners will be operating. He is working with construction and operations staffs,

and he knows where the Districts are having difficulty. He reads newspapers and knows the type of coverage the District is getting. He talks with media representatives and knows their attitudes towards the Corps.

Given these assets, the PAO could contribute to design of the public participation components of water resources planning by

- Helping to assess the public environment for a study by reviewing community newspapers to identify priority citizen concerns and by talking with local media representatives about such concerns
- Helping to identify publics, principally by talking with media representatives about important decision-makers in the community
- Reviewing public participation techniques proposed by the study manager in terms of how the PAO feels they would be interpreted and accepted by the public

In implementing the public participation component, the PAO could

- Review and edit public announcements to make them more attractive and readable
- Prepare follow-up press releases on public announcements to facilitate their inclusion in newspapers
- Attend public meetings and other sessions where media representatives are likely to be in attendance to identify speakers for them and help in arranging interviews
- Regularly meet with study managers to determine study progress and whether there are any problems that might be resolved through increased media coverage
- Prepare newsletters on individual studies or on all studies.
- Regularly contact media representatives to inform them about District planning activities

- Encourage media preparation of background articles on significant study issues
- Prepare and/or review all material for the public distributed by the study manager
- Become a surrogate citizen for the planner, trying to represent citizen interests in the study decision-making process.

In considering the performance of any or all of the above-suggested functions, the PAO should also decide whether his role is to be passive or active. The passive role is one whereby the PAO acts primarily on the initiative of the planning staff. The active role requires the PAO to seek out information periodically from the planning staff to ensure that he has enough lead time to perform effectively the functions he has been assigned. Currently, all District PAO's play extremely passive roles.

4. Public Participation Specialist

Several TAP consultants have recommended--and some Districts are considering--the establishment of a separate personnel position for public participation. The need for such a position grows out of the limited planning resources that most Districts have for public participation. There are two potential functions for such a specialist: (1) the person could assume responsibility for program design and implementation, taking much of this burden from the study manager, or (2) the person could perform the time-consuming--but necessary--mechanical functions of maintaining lists of publics, editing information to be distributed, and arranging for sessions with the public. The first function would require a staff position at the level of study manager; the second would require a lower grade.

The second type of position could be useful, freeing the study manager from many of the relatively mundane, repetitive support functions that are necessary. The higher level position is questionable.

Theoretically, the public participation specialist could be highly effective. As a specialist in public involvement, he would know about the full range of possible techniques and how best to implement them. He would keep abreast of the latest in the "state-of-the-art" and of what other organizations have successfully (and unsuccessfully) tried. The specialist would have the time to maintain more intensive contact with various publics, with the possible result that groups would come to understand better and have confidence in what the Corps is doing. If he spent the majority of his time with publics, he would probably be more sensitive than the planner to what citizens are trying to say. Moreover, it may be that few study managers have the skills and personalities required for both study coordination and public involvement. At the least, some study managers deal more effectively with the public than others, and the existence of a public participation specialist may tend to make public contact more consistently effective.

Practically, however, there are drawbacks to establishing such a position. First, it might continue the practice of considering public participation separate from the other study planning tasks. In a sense, it would let the study manager "off the hook" in dealing with the public, for he would have a specialist to do so. The study manager might become less sensitive to citizen concerns, for many would be filtered through a third party.

Second, the public participation specialist's acceptance by the planner would depend primarily on whether or not he felt that the specialist's role was important to his study responsibilities. He might see the specialist as he sees the PAO--as someone who doesn't understand planning. Some of these trust problems exist between study managers and environmental specialists. If this happens with the public participation specialist, the planner would tend to discount many of his recommendations.

Third, it would be difficult to draw the line between specialist and planner involvement with the public. Even with the existence of a specialist, there comes a time when the study manager must himself deal with the public. Many times the specialist might "overstep" this line and say things and make commitments that the planner did not want to make.

Fourth, the Districts might not be able to recruit effective individuals for the specialist position, because they could see no career potential with the Corps in such a position. It is unlikely that the public participation specialist, unless he had other skills needed by the Districts, could aspire to higher positions as section or planning branch chief. Ultimately, he would have to pursue his career interests outside the Corps. There is a way around this latter problem; Districts could rotate the position among their study managers, perhaps at two- or three-year tours of duty. This would have the multiple benefits of intensifying every planner's orientation to public participation, ensuring that the study managers would have confidence in the specialist's skills (because he himself is a Corps planner), and making certain that the person in the position could pursue his own career interests within the organization.

If Districts feel that they need additional staff to mount effective programs, there are options other than establishing a new position. The Districts could use consultants in program design, implementation, and review. Such consultants could primarily provide advice, or they could operate as temporary extensions of staff to implement the program. Most of the Districts indicated that they could effectively use consultants in these capacities. Many Districts are now employing consultants for these purposes on large urban and basin studies. Consultants, however, are not the ultimate answer. They may run into the same problems with the study manager that a District public participation specialist

would. Moreover, their use constitutes a temporary solution, employed to implement programs on certain priority studies that are beyond District capabilities, as well as in cases in which Districts have the money--but not the staff--for public participation. Districts will not regularly use consultants as their primary human resources for public participation because they will soon learn that they can do the work less expensively "in-house." Moreover, selective reliance on consultants for certain studies does not help build consistently effective, District-wide public participation programs. Therefore, at some point in time Districts must build their own staff capabilities anyway, reserving consultant use for special priority matters. Consultants are most effective if they help build staff capabilities.

A second option is for the Districts to consider assigning primary public participation functions to a current position. Organizationally, the position of assistant planning chief might be logical. Such an assignment would indicate the importance that is attached to public participation, particularly because the assistant is normally in line for promotion to chief. Practically, however, assistant planning chiefs may not have the skills to assume such responsibilities.

To summarize the organizational elements required for effective public participation:

- The study manager concept is essential.
- Better programs are associated with the study manager having full responsibility for program design and implementation.
- The PAO could play a highly useful role in design and implementation if his staff were augmented or his priorities were changed.
- Establishing the position of public participation specialist is a possibility that should be closely examined.

B. District Resources for Public Participation

Clearly, Districts need sufficient resources for public participation, and all but one indicated that they do not have them. The Seattle District spends approximately 20 percent of its study budgets on public participation; the Rock Island District says it spends 25 percent.² While other District budget estimates for public participation range from 2 to 25 percent, observations of program scope in these Districts suggest that the figure is much closer to 5 percent (except on the new urban studies, where the usual allocation is 15 percent).

What is sufficient? 5 percent? 10 percent? 15 percent? 25 percent? While 5 percent is probably insufficient, based on observations of current efforts, there is no indication that there is an answer to the question. Perhaps it should not be asked. Establishing an effective program is dependent on a number of factors: potential community interest, the diversity of publics, the geographical area covered, and technical study requirements. OCE has recognized that study budgets may have to be increased for public participation, indicating in its regulations that "Increases in study costs of more than 10 percent resulting from these activities should be explained. . . ." (emphasis added).³ There is little indication, however, that Districts and Divisions have interpreted this phrase to allow study increases up to 10 percent for public participation:

Recognizing that most study budget projections are reduced and that study funds will remain tight, it seems best to discuss the

²Inasmuch as Seattle appears to have a more comprehensive program than Rock Island, the differences can be explained largely by what Districts consider public participation and what they consider study coordination. Actual budgeting for public participation is difficult to pin down because of the nature of study budget accounts.

³EC 1165-2-100, op cit.

allocation of resources for effective public participation within these constraints. What can the Corps (OCE, Divisions, Districts) do to obtain adequate resources?

First, Districts should examine their study guidelines to determine whether some technical requirements might be relaxed to free more study funds for public participation. Some District planners indicated that this might be possible. Such an examination was, however, outside the scope of this evaluation, and no inference is intended that a reallocation of study funds can or should be accomplished. Moreover, it is possible that, if it is found that some technical requirements can be relaxed, the resultant funds will not automatically be shifted to public participation. Unless effective programs for these funds are developed and justified, it is likely that study funds will be reduced.

Second, OCE might establish a separate study budget account for public participation. Such funds are currently budgeted in two accounts: "Administration and Public Contacts" and "Public Meetings." The latter is a well-defined account; the former is not. In addition to administration and contacts with the public, it includes all the study manager's time to write draft reports and coordinate the study components with other District staffs and other public agencies. It is assumed that Districts have guidelines for how much of a study's budget can be allocated to this account. If this is true, then there is probably insufficient money for public participation. Moreover, coordination is such a nebulous function that Districts may be reluctant to allocate some of these funds for public involvement when they might later have coordination problems--and no money.

If establishing a new account is not feasible, Districts might establish their own detailed subaccounts for public participation (e. g., by techniques to be employed or by study phase). If such funds were specifically earmarked, the presumption is that study

managers would know the amount of money that they have available for public participation and could develop appropriate programs.

Third, OCE might remove public participation funds from study budgets and place them in District overhead accounts for use in all studies as deemed appropriate by the District. It is recognized that the Congress, the Office of Management and Budget (OMB), and OCE might object to this procedure because the funds would be less controllable centrally and would increase District overhead. However, there are some advantages to such a change. On no study can complete public participation needs be anticipated and therefore budgeted, because much of the need is dependent on public reaction over the course of the study. Such an overhead account would permit the Districts greater flexibility in meeting those needs. As it is now, 10 or 15 percent of the budget allocated to public participation may be satisfactory on most studies, but it may be too little or too much on others. Moreover, as long as the study funds are spread out over a number of years, Districts may not, in any given year, feel that they have sufficient money for public involvement. The existence of an overhead account would eliminate this problem. Finally, the creation of such an account would have the impact of focusing District attention on what it wants to accomplish through public participation. So long as funds are but a part of study budgets, their relatively small percentage tends to downplay District concern.

PART THREE

PUBLIC PARTICIPATION IN WATER RESOURCES STUDIES

The Corps of Engineers does not have an established planning system for Districts to follow in their pre-authorization studies. Nevertheless, all pre-authorization studies must go through five common study phases, even though their timing, sequence, and intensity may differ from District to District. These five phases are as follows:

1. Preparing study plans
2. Identifying and defining the problems and needs to be addressed in the study
3. Formulating the alternatives to solve the problems and satisfy the needs
4. Identifying, analyzing, and displaying the impacts of the alternatives
5. Evaluating the alternatives in order to select the alternative that is both feasible and responsive to the community's wishes.¹

Part Three contains:

- An evaluation of District public participation programs in relation to the five study phases
- Recommended improvements in public participation programs for each of the phases

The evaluation and recommendations are broken down into these five phases because the public participation objectives, needs, information requirements, and techniques are different for each phase. Moreover, the concerned publics are different for each phase.

¹The latter four phases are based largely on a paper by Dr. Leonard Ortolano, "Impact Assessment in the Water Resources Planning Process," April 1973.

It should be emphasized that the five phases are iterative rather than discrete and sequential; e.g., problems and needs can change because of alternative impact analysis, and alternatives can be changed because of impact analysis, indication of public preferences, and determinations of economic feasibility. Thus, in designing methods to obtain public involvement in each of the phases, Districts may have to repeat involvement techniques.

It is also stressed that there is no right way to involve the public. The recommendations are presented in the form of options; the Districts must decide whether and how each applies to their studies. The most important contribution of Part Three is to propose the questions that Districts must ask and answer in designing and implementing their programs.

Chapter VI discusses study phase one: the preparation of study plans. Chapter VII discusses phase two: the identification and definition of problems and needs. Chapter VIII deals with phase three: the formulation of alternatives. Chapter IX treats phase four: the identification, analysis, and display of impacts. Chapter X discusses phase five: the evaluation and selection of alternatives.

CHAPTER VI

STUDY PHASE ONE: PREPARING STUDY PLANS

Planning is the key to effective public participation. There are four components of the planning: preparation of the public participation plan itself, considering the use of a citizen committee to deal with the District over the course of the study, identifying the publics to be involved, and deciding how to keep the public informed.

A. Preparing the Plan

Each District must prepare a plan for each study. The plan defines the study parameters: investigations to be completed, public participation, study funds available, and a work plan. Supporting these basic parameters is information on existing conditions (preliminary identification of problems), improvements desired (if any have been indicated), the objectives of the investigation, and the known data and reports that will be used. Usually the Districts themselves prepare the plans of study with only data contributions from other sources. The plans are general and flexible, so as not to lock the planner into what may be unnecessary investigations. For example, plans for hydrologic studies might simply state: "collection and analysis of basic meteorologic and hydrologic data to determine the magnitude and nature of floods and other water resource problems."

Usually, descriptions of proposed public involvement activities are equally general: "Continued coordination with Federal, State, and local agencies, environmental organizations, individuals, and the news media will be accomplished through formal and informal discussions, public meetings, issuance of public statements, announcements to the news media, and distribution of the final report."

The work plan for multiple-purpose studies normally follows a similar pattern, but on larger studies the Districts may debate alternative ways to proceed. For example, in preparing the Plan of Survey for a general survey, Hawaii Rivers and Harbors, the Honolulu District was considering whether to study by island (i. e., all the problems on Oahu, Hawaii, Kauai, etc.) or by problem (i. e., navigation on all the islands, water supply on all the islands).

The Plan of Survey is not distributed to the public (although it is available), and it is often prepared following the initial public meeting, at which the study was announced and people were asked to identify problems and concerns.

In preparing the plan of study, there are two questions that the Districts should ask themselves:

- Should the Districts seek assistance and input from individuals and organizations outside the Corps in preparing their plans?
- Should the plans contain subplans for public participation?

1. Assistance From Others

Most Districts feel that they know best what they have to study; after all, they have done it enough times. Moreover, they may be reluctant to expose their Plans of Survey to others, fearing that they may then have to inform these people whenever they change the plan. Inasmuch as the plans are so general, they may feel that outside groups could contribute very little.

However, it may be that selected groups, if invited to participate in study design, would gain greater understanding of the planning process and could guide the plan of study toward more responsiveness to community desires.

As it is now, descriptions of the specific investigations are only generalized. For example, economic studies are described as economic base studies, projections of economic trends and land

use, population projections, flood-damage projections, etc. Some groups have challenged the bases on which the Corps conducts such studies, with the occasional result that the ultimate recommendation may be challenged. If groups were permitted to examine the bases for these studies in more detail, they might identify the problems they have, and the District would be in a better position to discuss and deal with them.

The New Orleans District recently tried to involve outside organizations in designing the plan for its urban study. The District held two meetings, one for Federal agencies and one for State and local agencies. It presented a proposed study outline and asked participants for questions, comments, and specific data inputs. The District feels that the process was disappointing in that few groups provided the requested data, but it appears to have had success in increasing understanding about what the District was intending to do. Moreover, it opened channels for future communications.

If Districts decide to experiment with involving other organizations in designing the plan of study, the questions are who? how many? and how?

Who? Approaches to the general public would be time-consuming and ineffective. Most citizens have little interest in how something is planned. The Districts must, therefore, be selective:

- Relevant Federal, State, and local agencies expected to provide study data could help identify the study tasks necessary to consider the information they will submit.
- Agencies with ongoing related studies could help suggest how their study tasks can be coordinated with those of the Districts.

- Regional planning agencies could comment on the proposed study scope and work plan, including the suggestion of the water resource investigations they consider desirable in their planning areas.
- Environmental groups could indicate the investigations they consider desirable.

How Many? In seeking outside input to plan preparation, there is no need to be comprehensive. The purpose is not so much to get all comments as it is to get perspectives from people whose primary concern is not water resource planning. Depending on the complexity of the study, it is guessed that not more than 10 to 15 organizations need to be involved in contributing to plan preparation: 5 to 6 agencies expected to provide the most significant study data, 2 to 3 agencies with highly relevant ongoing studies, 2 to 3 important regional planning agencies, and 1 to 2 area-wide environmental groups.

How? There are only two realistic techniques for involving other organizations in this phase: group meetings and individual interviews. The former would be less time-consuming, particularly if all the representatives could be congregated at one time. However, group meetings are effective primarily to impart information and/or encourage dialogue. In this situation, the Districts want each of the representatives to focus on different aspects of the plan of study; there is little need at this stage for dialogue among the participants. In addition, there would not be time to concentrate on any one aspect in detail, so contributions would likely be minimal.

The personal interview is likely to get greater agency contribution. It may not take any more planner time, inasmuch as the planner usually contacts these agencies to obtain study data in preparation of the plan of study.

Whatever technique is used, those contacted should receive study outlines or drafts prior to the meetings in order that they can familiarize themselves with the material to be covered.

2. Public Participation Plans

For each study, the Districts must prepare a plan for public participation because (1) it will guide the study manager in what the District expects from the public and how to deal with it, (2) it will help define the budgetary requirements for such participation, and (3) it will tell the public how the District wants citizens to be involved. As has been pointed out, Districts do not now prepare such plans, although the Seattle District's public participation regulation is intended to be a plan substitute.

The plan of study would seem to be the logical place for the inclusion of a subplan for public participation because the plan of study is, in essence, a work plan for the study manager. Moreover, the inclusion of such a subplan in the Plan of Survey might tend to integrate public participation into the total study planning process.

The Plan of Survey for the Columbia Rivers and Tributaries Review includes such a subplan. The subplan encompasses:

- Public participation objectives
- Program steps
- Progress to date¹

Subplans for public participation should include the parts described in the following six subsections.

3. Analysis of the Public Environment for the Study

This part of the subplan analyzes how community planning decisions are made, who makes them, how the general public is involved in such decisions, who influences such decisions, how people regard the resultant plans, how people feel about the Corps

¹ U. S. Dept. of the Army Corps of Engineers, North Pacific Division, Plan of Survey, Columbia River and Tributaries Review Study, CRT-1a, March 1973, pp. 41-44.

of Engineers, and, preliminarily, what priority things the community seems to be interested in. The purpose of this summary description (analogous to the description of physical, social, environmental, and economic characteristics of the area in the main part of the plan) is to set the stage for deciding how the public should be involved, who must participate, and what techniques would seem most applicable.

No District now tries to determine these dynamics before a study is initiated, and this lack of planning has contributed to much of the public opposition to Corps studies and projects. Two examples illustrate the point. One of the 14 Districts was preparing to enter a late-stage public meeting on a recommended solution to a problem that elicited highly vocal and militant opposition from one interest group. The public meeting was a disaster from the District's point of view; the State Governor's Environmental Advisory Committee did not accept the District's environmental impact statement, and the Governor is carefully weighing his decision. While the District knew this interest group's position, it tended to write it off--perhaps because its advocacy techniques were obnoxious, and perhaps because of pressure from local government to accept the recommended solution. However, the District apparently did not appreciate this interest group's influence with State officials or the extent to which the proposed solution conflicted with a priority community value. If the planners had better understood the environment in which they were working, the District might have found an acceptable compromise solution before the crisis escalated and the Corps' image was damaged.

A second example involves a post-authorization project to which the public opposition was so severe that public confidence in two Corps Districts was rapidly dwindling. It took TAP consultant intervention to propose establishing communication with various publics to identify and attempt to resolve the issues that were

causing the opposition. Had the District better understood the community dynamics and priority values before it started its post-authorization planning, it might itself have proceeded with a plan more consistent with those values.

4. Statement of the Public Participation Operational Objectives

Essentially this part of the subplan sets forth what the District wants from the public to meet the objectives stated by OCE. Potential operational objectives might be as follows:

- Understanding and acceptance of study and planning
- Technical input to study analyses
- Identification of problems, needs, goals, and community values
- Comments on District identification of problems and needs
- Identification of alternative solutions
- Comments on alternatives and their projected impacts
- Identification and comments on significant study issues
- Alternative approval/rejection
- Project acceptance and support

With the possible exception of Seattle, the Districts only generally consider what they want from the public--and whether and how they can realistically get it. Most Districts want the public to identify its needs and problems, and they try to use the initial public meeting for this purpose. But the Districts have been disappointed in the public's inability to articulate its problems--particularly in study-related terms. Many people cannot do it or they want to talk about apparently non-study-related problems. What the District wants from the public is not necessarily the same as what the public is capable of giving and willing to give. District public participation objectives seldom take this into account, with the result that the Districts do not get what they want.

5. Statement of the Roles the District Wants the Public to Play

In meeting the above objectives, the District might want, for example:

- ⊙ Comments from the general public
- ⊙ Comments from special-interest groups
- ⊙ Positions from representative organizations
- ⊙ Dialogue among citizens and organizations
- ⊙ Community decisions on certain parts of the study²

The purposes of this part of the subplan are to guide the identification of study publics and design the techniques for their involvement.

6. Preliminary and Tentative List of Publics To Be Involved

The types of organizations and individuals the District intends to involve should probably be organized around group and study interests (e.g., environment, power, navigation, flood control, fishery, wildlife, recreation, irrigation, water supply, sedimentation and erosion, pollution and water quality, area planning, economic development, social development, land use) rather than around organizational type (e.g., Federal, State, local agencies, individuals and organizations).³

7. Statement of Program Steps

This part of the subplan indicates how the District intends to involve the public in achieving each of its operational

²The most obvious decision is a local government's provision of local assurances; other potential decisions might include the degree of flood protection desired (e.g., 50 versus 100 years) and standards for water quality.

³Development of the more comprehensive list is discussed later in this chapter.

objectives. While the precise public involvement techniques cannot be projected at this point, the District can indicate the direction it intends to take (e. g. , primary reliance on the public meetings, use of a citizen committee, use of workshops, preparation and distribution of informational brochures). The steps should be described in sufficient detail for budgetary support figures to be developed.

8. Monitoring and Evaluation Plan

It is important to establish public participation program evaluation criteria in order to assess the program's effectiveness. Such criteria might include:

- Are the public participation objectives clearly stated and achievable?
- Is the program aimed at the general public? At opinion leaders? At special interest groups? Why?
- Is the program responsive to the information needs of all the publics?
- Does the program demonstrate an understanding of the kinds of issues that have arisen?
- Will the information received from the public be responsive to the needs of decision-makers?
- Does the program promote high District visibility or stress low profile? Does it reflect the Corps position as neutral?
- Is the program sensitive to unique political and institutional factors in the area?
- Does the program indicate a clear understanding of public attitudes and opinions?
- Is the program in consonance with existing and anticipated manpower and budget levels?

- Are there public participation activities that can be handled at the Division or in Washington to ease District workloads?⁴

9. Other Subplan Considerations

It is recognized that the subplan may change several times over the course of a study. The public environment may change; some of the operational objectives may no longer be satisfactory; the public may not want to play the roles desired by the District; or some of the proposed techniques may prove ineffective. However, this fluid situation does not negate the need for such a plan. Districts must constantly have in mind what they want and how they intend to get it; if they have not articulated such matters, it is extremely difficult to assess how effective the program is. Districts seldom lock themselves in to any work plans they have prepared, because many forces may cause changes; the public participation plan should be treated no differently.

Should the District solely prepare the public participation plan, or should the public contribute to its preparation? The advantage to public involvement in plan development is that the District would gain insight into how citizens want to be involved, which occasionally may not be what the District wants and expects. On one of its urban studies, the Omaha District recently conducted a workshop with the League of Women Voters and some other groups to comment on and make suggestions about how the District should involve the public. On another study, the Seattle District used a citizen committee for this purpose. One of the committee's roles was to monitor public involvement, suggest any changes, and actually proceed to implement those changes.

⁴Adapted from IWR Memo to Division Engineer, North Central Division, "Review and Evaluation of the Public Participation Program, " Pilot Wastewater Management Studies, November 24, 1972.

If the public is to contribute to the preparation of a public participation plan, such groups as the League of Women Voters, who are primarily concerned with political processes, would be excellent contributors.

B. Establishing Citizen Committees

If the plan of study calls for the creation of a citizen committee to work with the District over the course of a study, then, shortly after the plan of study is approved, the District must move to create such a committee.⁵

1. Types

There are two types of committees: one, as employed by the Seattle District, is to facilitate public participation; the second is to obtain study comments and/or advice from representatives of the community. In using the former, the Seattle District also uses a number of other techniques to involve the public. In using the latter, Districts tend to use the committees as their principal means, other than public meetings, for obtaining public comments.

2. Reasons

There are several reasons for setting up a citizen committee:

- It provides study continuity; the same people will contribute throughout the study, and, as they add to their understanding of the study, they will be increasingly able to make significant contributions. In contrast, in sessions open to all citizens, the composition of the meetings constantly changes, and the District must

⁵The use and ramifications of citizen committees are discussed here, rather than in discussions of the subsequent study phases, because citizen committees tend to operate through all the phases.

consistently repeat study history and progress to give the participants the necessary background.

- The citizen committees are likely to consist of people vitally interested in the study. Why else would they agree to participate? Normally, apathy is not a problem with such committees.
- In communities with a strong sense of social organization, people may frequently use citizen committees as the means for influencing public agency activities.
- In urban areas, with large, mobile, and diverse populations unlikely to be interested primarily in comprehensive planning, use of the citizen committee may provide an excellent way of making certain that most interests are represented and that their views will be heard.

There are, however, many disadvantages to citizen committees, particularly if they are set up as the principal means for the District's contact with the public:

- Committees are elite; certain people are selected, and others are not. If committees are proposed in communities where elitism is challenged, they will be counter-productive.
- It is difficult to know whether the members are stating the views of the people and the interests they represent.
- It is difficult to know whether the members are reporting back to their constituencies.
- Some key groups may not want to participate, feeling that the District will try to "use" them in describing community support for the study and the recommended alternative.

3. District Experiences

No District regularly uses citizen committees on its studies, but several have employed them in certain situations.

As was discussed in Chapter II, the Seattle District used a citizen committee on one study to expand the base of public participation and improve the effectiveness of the program.⁶

The Sacramento District, acting on advice from the TAP consultant, set up a 12-member citizen committee on a multiple-purpose flood-control study approximately 20 months after the initial public meeting. The committee has no public officials and consists solely of individuals (not organizational representatives) who are intended to represent the broad spectrum of community interests. The primary purpose of the committee is to comment on and discuss the various alternative solutions under consideration. The committee will not be asked to vote on any issue and will not provide any group-developed advice to the District. In the year that it has been in existence, the committee has met only twice, and the direction of the agenda for both meetings was toward increasing the study understanding of the members. The committee has not yet discussed or commented on the alternatives. In short, the Sacramento District has not yet determined the effectiveness of this technique for public participation.

The Wilmington District, also following a TAP consultant's recommendation, set up a citizen advisory committee on a multiple-purpose flood-control study encompassing 16 square miles of area. The principal reason for the committee's creation was to bring together the diverse opinions of the community. The District intended to meet with the committee every six to eight weeks to discuss each phase of the planning process. The District wanted only an expression of public views, and the committee was not asked to

⁶See page 43 for a description.

vote as a body on any issue or to endorse any plan. Unlike Sacramento, the District selected organizations to send representatives. The 24 members included local garden clubs, service clubs, business associations, environmental groups, and recreational interests. Governmental agencies served as committee advisors, but were not members. The District contracted with a university to evaluate committee meetings.

The university evaluator questioned the representativeness of the group, suggesting that, instead of the committee members being selected solely by the District, the meetings at least be open to all organizations with boundaries within the area. Membership was subsequently increased. There is some merit to the evaluator's criticism, particularly inasmuch as the committee was to be the District's principal technique--other than public meetings--for obtaining public comments. The District stressed that it wanted the "representativeness" of different views and did not necessarily want input from every organization, and the committee membership appears to have achieved this. Open membership could adversely affect meeting business, as committees can function effectively only if they are fairly small.

To date, the committee has met three times (September 1972, January 1973, and May 1973). Its first meeting was organizational and informational. The second meeting focused on a discussion of problems and needs, while the third focused on potential alternative solutions.

In asking committee members to discuss problems and needs at the second meeting, the District prepared and distributed, prior to the session, a series of maps showing the flood areas and map profiles. The evaluator felt that these facilitated the discussion. Ten problems were identified by the committee members, and each

was discussed in terms of issues, viewpoints, and technical considerations related to needs.⁷

For the third meeting, the District was assisted by the evaluator and a liaison subcommittee of the advisory group in preparing an informational packet. This packet summarized and described the problems identified in the earlier meeting, grouping them into three categories, and then identified potential solutions that could be undertaken in each of the categories. The packet was accompanied by a questionnaire asking the members to indicate the intensity⁸ of their support for each of the identified problems and solutions.

While the study has not yet been completed, the District appears to be using the committee effectively to obtain public views.

Since 1968, the Omaha District has set up three state environmental advisory committees to (1) examine and evaluate the environmental effects of Corps projects, (2) investigate and recommend alternatives, (3) establish technical subcommittees to assist on specific projects, (4) communicate with the broader public, and (5) serve as a potential model for other Corps Districts and Federal agencies. The State Governors nominated members, who include representatives of environmental organizations, professional planners, and consulting engineers. In two cases, technical subcommittees have succeeded in altering proposed solutions to make them more compatible with community environmental interests.⁹ Because citizen advisory committees must now be chartered by the Federal Government,¹⁰ the District is disbanding the committees.

⁷Wilmington District, Crabtree Creek Citizens' Advisory Committee, Summary of the Second Meeting, January 25, 1973.

⁸Wilmington District, Crabtree Creek Study, Phase I Information Packet, May 1973.

⁹Jack E. Kepler, Omaha District, The Advisory Committee Approach to Recreation Resources Planning.

¹⁰PL92-463, Federal Advisory Committee Act.

4. Committee Consideration

If Districts want to consider using citizen committees as one technique for public involvement, then they must ask and answer a series of questions.

First, is the community responsive to the committee approach? Is the community used to being represented by selected individuals, or is a more open, less elite technique appropriate?

Second, what does the District want from the committee? One approach, as used by Seattle, is to participate in the design and implementation of the public participation program. This might be desirable in communities with diverse, competing interests; while they might not be able to agree on problems and solutions, they might agree on how to make certain that their publics are heard. Another approach is to use the committee as a forum for public discussion and debate for diverse interests. This approach, employed by Sacramento and Wilmington, enables the District to listen to what many different people are saying. A third approach is to seek advice, as was done in Omaha; the committees actually took positions on study issues. A final approach, again used in Omaha, is operational: to ask committee members to develop acceptable alternatives to Corps plans.

The principal constraint on deciding which approach to take is the Federal Advisory Committee Act. To summarize, the Act states that all advisory committees¹¹ must have a charter filed with the Office of Management and Budget (OMB), the appropriate standing committees of Congress, and the Library of Congress.

¹¹ Defined as a group established or utilized by one or more agencies to obtain advice or recommendations. Such a group would have all or most of the following characteristics: fixed membership; established, initiated or utilized by the Federal Government; an organizational structure; regular meetings; and defined purpose of providing advice.

Further, OMB must publicize the formation of such committees in the Federal Register for 30 days prior to their approval, and notice of all committee meetings must also be published in the Federal Register 7 days prior to the meetings. Prior to creating a citizen advisory committee, the agency must consult with OMB as to its nature and purpose, the reasons why it is needed, and why the function cannot be performed by the agency or an existing committee.

While the Corps has yet to interpret the Act and the implementing Executive Order (11686) as to which types of District citizen committees the Act covers, it appears that the Act definitely covers the Omaha-type structure, where the committees are established to provide advice and recommendations. Conversely, a case can be made that the Act does not cover the types of committees used by Seattle, Sacramento, and Wilmington, where advice and recommendations are not sought; rather, all three were formed to facilitate obtaining representative public comments only. It should be added that there may be circumstances in which the advisory committees are so needed that OMB approval should be sought. While this might rarely be justified on an individual study, such committees could be effective in reviewing all studies-- as in the Omaha case. One of Omaha's state environmental committees is in Colorado, the seat of many national environmental organizations. Given the strong interests in that area, the abandonment of the committee after 5 years of productivity might be counterproductive.

Third, are there already established citizen committees in the community that might obviate the need for establishing a new one? Many regional councils of government have citizen committees; some communities have independently set up citizen flood-control committees; and a few communities have set up citizen-based

committees to work on solving priority problems. While it is possible that none of these groups include all the interests the District desires, they might be adequate.

Fourth, who should be on the committee, and how should the members be selected? Sacramento wanted individuals only; Wilmington wanted organizational representatives to permit communication with more people. While in both cases the District named the individuals or organizations, another alternative is for someone else (e.g., Governors, mayors, planning organizations) to either nominate or set up the committees. This would have the advantage of avoiding the criticism that the committee is a "captive" of the District and the disadvantage of possibly not obtaining what the District considers to be a representative group. The advantage and disadvantage might be ameliorated by joint nominations; i. e., the District names some members, and someone else names others.

Fifth, what specifically does the District want the committee to do? Help design and implement the public participation program? Identify and comment on goals, problems, and needs? Identify, comment on, and evaluate alternatives? These functions must be articulated.

Sixth, what information must the committee members have to perform their functions? Wilmington has answered this question, and the resultant information has effectively supported committee deliberations.

Seventh, who should chair the meetings? Experience shows that citizen-conducted meetings increase understanding and result in more effective discussions. One reason for this may be that the information is presented by citizens in simpler and more straightforward ways.

Eighth, who should monitor committee performance? Wilmington has contracted with an outside group, and its

recommendations have improved committee performance. District monitoring may be too close to the study to be effective.

Ninth, does the District have funds and staff to support committee deliberations? While Seattle felt that its committee was effective, it found that the study manager was overcommitted in keeping it functioning smoothly. In Wilmington, the study manager also spent a great deal of time on committee activities, but he was, at the time, managing only one study.

C. Identifying Publics

Once the public participation program is designed, it cannot, of course, be implemented until the District knows whom to try to involve. Thus, the District develops a mailing list of publics. As has been discussed, the lists are adequate to put people on notice about pending study actions. They are not adequate, however, to identify (1) who should be involved in the various study phases and (2) who should be contacted for input to discussion of specific issues. At the start of a study, Districts must set up a system to facilitate this identification.

Such a system has been tried on only two studies: the Rock River Basin Study undertaken by the Rock Island District and the Columbia River and Tributaries (CRT) Study conducted by the North Pacific Division. In the former, the public was categorized according to organizational type (e.g., individual, local, county, State, Federal, private), functional interest (e.g., official, planning, historical, service, and fraternal), occupation (42 were identified), and geography (State and county).

On the CRT Study, the North Pacific Division is categorizing publics according to location of residence, location of interest (e.g., river, fork, reservoir), and interest (e.g., environment, power, navigation, flood control, fisheries, wildlife, recreation).¹²

¹²North Pacific Division, 802-K5-G307A, Selective Address Labeling.

Organizational type is not a category. People are asked to categorize themselves by filling in interest cards at public meetings and workshops. This kind of public categorization, focusing on geography and interest, will enable the Division to identify the people who must be invited to participate in sessions on such interests in specific areas (e. g., power problems and solutions on the Spokane River). Further, the District will be able to identify those interests and areas for which the list of publics appears to be small so that the list can be expanded.

Nevertheless, there are a number of steps that Districts can take to build a fairly comprehensive initial list and facilitate its growth:

1. Identify the potential study interests. On a multiple-purpose flood-control or basin study, these interests might be identified as environment, power navigation, flood control, fisheries, wildlife, recreation, irrigation, water supply, sedimentation and erosion, pollution and water quality, land use, and economic growth.
2. Identify the geographic areas (by State, county, city, sub-basin, river, beach, or some other category that makes sense).
3. Identify the organization types. These types might be elected officials, Federal agencies, State agencies, local agencies, regional agencies, special-interest groups (e. g., environmental, industrial and trade, labor, business and commercial, farm, public utilities, service groups, professional groups, educational institutions, special-purpose organizations), and the general public (e. g., property owners and occupants likely to be directly and indirectly affected, interested citizens, sensitive ethnic or economic groups).

4. From information on hand, prepare an initial list and categorize the names, insofar as is possible, according to the above three categories. The names can, of course, be categorized according to more than one interest and geographical area. While this initial categorization must later be refined, it is expected that most planners will be able to associate most of the names on the list with their expected interests.
5. Research libraries, news files, and other planning documents for additional interest groups.
6. Contact governmental agencies and private groups already identified for additional names.
7. Consider spending 3 to 4 days in the study area talking with people to add to the list. In the Sacramento District, the study manager and the TAP consultant spent 5 days in the area, starting with local newspaper reporters. They talked with over 50 people, explaining the study and asking for additional interested groups and individuals; they increased the list of publics by 25 percent.
8. At all sessions with the public, ask them to complete attendance and interest cards. These cards should include space for each person to identify his organization, area, and specific interest(s). The planner should, of course, explain why people are being categorized. Space on the cards might also be provided for citizens' suggestions of others to be contacted.
9. Periodically analyze the lists to determine their adequacy. If, for example, prior to a workshop on the identification of problems and needs in an area, it is discovered that the District has few names of people in

that area or an unbalanced representation of interests, then it might consider increased news coverage or additional contacts in the area.

Districts should concentrate initially on identifying interest groups and not the general public. It has been found that the general public becomes interested in a study only after the immediate impacts of alternative plans are evident. In the initial study stages, the use of mass communication to keep people informed--letting those participate who wish to do so--is probably the only way to involve the general public.

D. Keeping the Public Informed

Informed, rational public comment can be made only if citizens have the basic information--presented in an understandable fashion--on which to base their comments. Most Districts provide this inadequately.

1. District Experiences

Most of the information presented to the public is too technical and assumes too much knowledge. One District distributes copies of its successive report drafts--the same drafts that go to the Division office for technical evaluation.

To support the above contention, one fairly typical excerpt from a selected District informational bulletin is quoted:

The reservoir, with storage for the probable maximum flood, would control the entire 32 square-mile drainage area of the two subbasins. The storage would include 2,000 acre-feet for sediment and 8,300 acre-feet for flood control. The full-pool surface area of the reservoir would be 1,250 acres. The compacted earth dam would be about 10,500 feet long and 85 feet high. Outlet works would be provided to regulate reservoir charges. The outlet works would consist of a concrete intake structure with a low-level intake, a concrete conduit, and a stilling basin at the downstream end of the conduit. The reservoir would be provided with an earthen-cut spillway in the left abutment of the dam . . .

This quotation is from an information bulletin on an interim flood-control study report. Other water resource planners might be able to conceptualize what the paragraph means, but the lay public might well ask: What is meant by "acre-feet"? compacted earth dam? outlet works? intake structures? concrete conduits? stilling basins? earthen-cut spillways? abutments? Are there alternatives? Is the public expected to comment on the plan? How, based on the information presented, is the public supposed to indicate its preference?

Many Districts are now trying to prepare written material for the public to use at various sessions. However, only in the case of the Seattle District is this information regularly distributed prior to such sessions so that people will have a chance to become familiar with it and formulate their positions. Other District material is generally distributed at the meetings. The Districts argue that they can't send out the material prior to meetings open to the general public, for they don't know who will attend. Material distributed at the meetings themselves is generally ineffective. People are normally shuffling through such material while someone else is talking, with the result that they fail to understand either very well. Moreover, they simply do not have the time to collect their thoughts.

2. Media Involvement

Most information presented to the public is produced by the Districts. No District takes maximum advantage of the media to inform and educate the general public on its studies. For the most part, media reporting of District planning activities is limited to:

- Newspaper reporting of announcements for public meetings and workshops
- Newspaper reporting of proceedings at public meetings and workshops

- ⊙ Newspaper reporting of controversial study issues as presented by people in opposition to District points of view

The Seattle District gets somewhat better press coverage because of its Public Brochure; some newspapers have published portions of the Brochure verbatim.

There appear to be two reasons for limited media involvement in other Districts. First, the PAO, who is the District's prime contact with the media, is only limitedly involved in planning. He does not seek out study issues that might be presented to media representatives in the hope that background stories will be written. Second, planners seem reluctant to contact the media themselves. Many are afraid that such contacts might be interpreted negatively as trying to use the media for Corps purposes. The planners also do not normally consider the media as part of the publics to be involved in a study--except to publish notices of meetings. Some have been "burned" by what they consider to be slanted reporting, and they believe that the best way to inform and educate the public is to provide material directly.

3. Feedback to the Public

Most Districts define "feedback" as the information they obtain from the public based on the information the Districts give to the public. From the public point of view, however, "feedback" is what the Districts do with the information that citizens give them. No District provides "feedback" to the public about whether the information offered to the District was valid and germane or about how the information guided the study of alternatives and the selection of one.

In Seattle, public comments are recorded in the Public Brochure, and to date the public has assumed that such information is considered. Some District planners indicate, however, that this

is not always the case. In its final edition of the Brochure, the District does not indicate what public inputs influenced its decision and which did not. No final study report in any District contains such information, and this is a serious shortcoming. At a minimum, the public may lose interest in subsequent studies and in supporting District recommendations if it feels that public participation was merely a paper exercise. More critically, many opponents of District recommendations may continue their opposition largely because they were not given the opportunity to assess why the District rejected many of their arguments.

4. Planning for an Informed Public

The public needs different types of information at each study phase. The public participation plan for a study must address three questions in determining how to keep the public informed.

At each phase:

- What information does the public need to contribute?
- What "feedback" does the public need to learn how its comments are being considered?
- What techniques will be employed to provide this information?

In order to keep the public informed throughout the study, Districts might consider the technique used by the Seattle District--the Public Brochure. It should have the following characteristics:

- Preparation and distribution in successive drafts throughout the study process in order to keep the public informed of progress and to enable "late-comers" to be brought up to date
- Display, description, and comparison of problems, alternatives, and impacts

- Recording of all public comments on problems, alternatives, and impacts, with the contributor identified
- Indications of how such comments are influencing study actions

The Public Brochure's values are as follows:

- It informs the public of a continuous flow of study progress.
- It permits an "open planning" process, in that study decisions, analytical results, and public comments are displayed to all.
- It facilitates the conduct of other public participation techniques such as public meeting, workshops, and citizen committees.
- It attracts increased media interest in reporting on the conduct of the study.

Other options for keeping the public informed are discussed with each study phase (Chapters VII through X).

CHAPTER VII

STUDY PHASE TWO: IDENTIFYING AND DEFINING PROBLEMS AND NEEDS

"Problems and needs" are defined as the existing conditions in the community and the considerations that should be taken into account in designing alternative solutions and assessing their effects. All Districts state that they want the public to assist in identifying problems and needs.

From the public, however, the identification of problems might come in a variety of forms:

- Problems--e. g. , "we're being flooded," "our property is eroding," "our water is polluted."
- Wants--e. g. , "we want more moorage for our small boats," "we want flood protection," "we want camping facilities."
- Goals--e. g. , "we want economic growth," " . . . increased employment," " . . . preservation of the residential nature of the community," " . . . desirable and economical housing for all," " . . . rapid transit."
- Constraints--e. g. , "don't build dams," "stay away from that historical site," "don't destroy the trees," "preserve the bird sanctuary."
- Concerns--e. g. , "public expenditures are too high," "our taxes are going up," "our land might be taken," "the Corps destroys the environment."
- Standards--e. g. , "we want standards in water quality," " . . . flood protection," " . . . size of navigation draft needed."

The Districts know the nature of most of the problems. Without public involvement, however, they don't know many of the wants, goals, constraints, concerns, or standards.

If Districts are going to study alternatives that meet community needs, it is difficult to see how they can do so unless they understand what the community goals, needs, and problems are. There are three reasons why they may have difficulty in getting such input. First, they may be seeking it too early in the planning process. Perhaps people need something to react to, and the first public meeting may not be the right time. Second, the general public may not be the right audience for such input. There are selected interests who might be much more able to contribute this information earlier, to be validated later in meetings with the general public. Third, when Districts seek public identification of needs and problems, they do so on their own terms. In other words, they want public identification of flood control, water quality, recreation, and environmental problems. The public does not necessarily think in these terms.

A. District Experiences

The Seattle District largely ignores such considerations in the initial stages of its studies, proceeding directly to alternatives. It believes that goals, needs, and problems will emerge as the public begins to debate the alternatives. Most Districts feel that the general public, particularly in a study's early stages, cannot articulate such matters.

The Columbia River and Tributaries (CRT) Study, conducted by the North Pacific Division and three Districts, involves investigating the 259,000 square miles of the Columbia River Basin to determine the necessity (if any) for additions to or changes in the system or the operation of Corps-built projects. The Division decided to mount an intensive public involvement effort to make the study respond to community problems and desires.

One of the first study steps was to ask the public to identify and set priorities for problems and concerns so that the Plan of

Study could be developed. In order to arouse public interest in the study, the Division prepared a colorful brochure describing the elements of the Plan of Study¹ and a color motion picture.

For a series of initial public meetings, the Division prepared a 24-page summary of problems and areas of concern. The Division wanted the public to add to the list at the public meetings, so worksheets were provided in the booklet.² Informal public notices were mailed, and people were asked to identify other citizens to be contacted.³ To guide public involvement further, the District prepared and distributed a booklet summarizing the existing and possible future impacts of the present river system.⁴ The inventory of impacts was intended to be a basis for evaluating the effects of fluctuations in water levels and velocities caused by a change in river operations. The purpose of the booklet was to ask the public to identify additional areas that might be affected by project operations.

Following the initial public meetings, the Division prepared an updated summary of problems and areas of concern, identifying and describing the concern and indicating who expressed it.⁵ This was preparatory to a series of workshops in the three Districts at which citizens are asked to discuss and establish priorities

¹U. S. Army Corps of Engineers, North Pacific Division, The Columbia River and Its Tributaries, Plan of Study.

²North Pacific Division, Summary of Problems and Areas of Concern, First Summary, August 1972.

³North Pacific Division, Invitation to Public Meetings, July 21, 1972.

⁴North Pacific Division, Columbia River and Tributaries, Operational Impact Inventory, Rev. November 1972.

⁵North Pacific Division, Inventory of Problems and Areas of Concern, March 1973.

for the concerns. One of the Districts, Walla Walla, has broken down its workshops into categories of concern (environmental, social, economic), each workshop chaired by a citizen. The workshops are open to all and will meet regularly until their task is accomplished. Once they have concluded their work in each of the geographical areas, representatives from each will come together in a series of workshops to integrate and classify the identified problems and areas of concern according to priority.

The CRT exercise is one of the most ambitious that any Corps unit has undertaken to involve the public in identifying problems and needs. The Division considered it important to give the public "something to shoot at" and therefore prepared a tentative list of problems first. While the process is sound, it may be that the general public, which is the target audience for this phase of the study, has received too much material to digest. On the other hand, the workshops are not "one-shot" endeavors; they will meet at least monthly until they complete their work, which may be enough time to permit participants to assimilate the material.

As has been discussed, the Wilmington District used its citizen advisory committee on a much smaller study (16 square miles) to identify and set priorities for problems and needs. This District prepared no list of tentative problems beforehand. The District then added to the committee's list. The District also undertook an analysis of the media over a period of time to identify priority community concerns.

In the Tulsa District, the TAP consultant recommended a plan for public participation in the Mid-Arkansas River Basin Study, beginning with public identification of problems and needs. The principal technique for this study phase was the public information session--essentially an informal public meeting at which the general public would learn about the study and some of the problems and potential solutions identified by the District. The

public was asked to comment and complete a questionnaire indicating attitudes toward the severity of the identified problems and the prospective solutions. Seven public information sessions, with 600 participants, were held throughout the basin. The sessions were general in focus, and the District indicated its willingness to participate in workshops to concentrate in detail on any of the problems or projects. Over 100 people have expressed willingness to host such workshops.

Several Districts have held workshops for the general public on the identification of problems and needs. As was discussed in Chapter III, the Rock Island District used the workshop approach on the Rock River Basin Study, asking participants to complete a problem identification worksheet on specific problems, their location, and suggested solutions. The Walla Walla District has similarly used workshops for this purpose.

On the St. Louis Metropolitan Water Study, the District intends to form a regional task force and hold open workshops to have the public articulate goals and objectives. Here the focus will not be on specific water resources problems, but rather on community water-resource-related goals (e. g., standards for water quality, flood protection, water supply, recreation).

Most Districts regularly use the initial public meeting as the forum for public identification of problems and needs, and some have asked those in attendance to complete questionnaires. Public contributions have been minimal.

B. Involving the Public in Phase Two

There is a series of questions that Districts must address to involve the public in the identification of problems and needs. First, what does the District want? Public statements of problems as defined by the Corps? Wants? Goals? Constraints? Concerns? Standards? If the District desires only public statements of Corps-defined problems, then it is possible to misread community wishes

and pursue plans that would be unacceptable. For example, if citizens have adequately expressed their desire for flooding protection and not their abhorrence toward dams and their desire to restrict industrial development in the flood plain, a District may unnecessarily study solutions that are later found unacceptable; then the Corps has the public image, no matter how unwarranted, of trying to promote certain alternatives over others.

Second, who should provide the information? In the study's initial phases, the general public should not be expected to contribute to problem and need identification. Citizens usually want to react to concrete proposals when they can see how these directly affect them. Thus, Districts can expect more intensive public involvement in identifying problems if they seek out special-interest groups who have sufficient interest, background, perspective, and understanding to deal in the more nebulous area of problem identification. The following types of interest groups might be contacted:

- Environmental groups--for wants, goals, constraints, and standards
- Industrial groups--for problems, wants, and goals
- Labor groups--for wants and constraints
- Business and commercial interests--for problems, wants, goals, constraints, and standards
- Farm groups--for problems, wants, constraints, and standards
- Public utilities--for problems, wants, constraints, and standards
- Community service groups--for wants and goals
- Professional groups--for constraints and standards
- Educational institutions--for goals, concerns, and constraints
- Special-purpose groups (watershed associations, neighborhood groups)--for problems and wants

- Regional agencies--for problems in relation to area planning and goals, constraints, and standards
- Local agencies--for problems and wants
- State and Federal agencies--for supporting technical data and standards
- Elected officials, particularly local--for problems, wants, goals, constraints, concerns, and standards

The general public might then be approached to review and validate the problem identification once completed.

Third, what information do these groups need to make their input? Essentially, they need the District's initial assessment of the problem: the existing conditions, the prospective future conditions in the context of no Corps action, the possible types of solutions, and the legally imposed constraints and standards. These might logically be described in a short, simple informational brochure distributed to the interest groups prior to seeking their comments. Once the District has defined the problems it will address, the public must be provided with a problem statement. This might be done in an updated edition of a brochure, through news articles, or by distribution of a newsletter.

Fourth, what techniques are available to Districts in seeking public involvement in problem identification? There are at least 10, and the selection of one or more will depend on the type, size, and scope of the study, the time and resources available, what the District wants, and whether it wants the general public or a special segment to provide the information.

1. Public Meetings

Inasmuch as the public meeting is both required and the most frequently used technique for this phase, it is discussed first. It is not a satisfactory technique, by itself, to involve the public in problem definition and priority-setting. Normally the first public meeting is held at the beginning of a study, when people

don't have the background or interest to contribute. Moreover, the type of communication at the public meetings is, at the most, two-way, with little chance for dialogue. If the public meeting is to be used during this phase, it is recommended that it be held at the end of the phase to review and validate the problems identified and prioritized by other means.

2. Public Information Sessions

Public information sessions are informal public meetings. Official statements by the public are minimized, with the District making its presentation and then inviting questions and comments from the floor. Dialogue and questioning among the participants are encouraged. As in the public meetings, those in attendance might be asked to complete questionnaires before they leave. While the informality might encourage people to speak, the sessions are likely to be large and the comments just as likely to remain general. At both public meetings and public information sessions, the District has no way of knowing whether a broad spectrum of interests is represented. Public information sessions might be substituted for public meetings in reviewing and validating problem identification if the District wishes to encourage informality and greater dialogue.

3. Media Content Analysis

The planner or PAO may review community newspapers over a period of time to try to identify those issues that currently have the public's attention. Such issues might be flooding (particularly if a flood just occurred), shipping commerce (if the community is losing out to other ports), land use, open space, economic development, environmental concerns, etc. While not a complete substitute for direct public contact, media content analysis can indeed supplement such contacts by permitting the planner to become more familiar with the community in which he is working.

4. Community Surveys

Probably the surest way to obtain the full spectrum of community interests is through the random community survey, in which people are asked a series of questions about goals, wants, problems, constraints, concerns, and standards. The key to the survey, however, is a series of unbiased questions, and it is doubted that, at this phase of the study, the District knows enough about the community to develop such a set of questions.

5. Citizen Committees

If the District has set up a citizen committee to represent broad community interests in participating in study planning, then the committee is an important technique.

6. In-Depth Interviews

The District may select a representative group of individuals--primarily community opinion leaders--for in-depth interviewing. Each interview takes at least 4 hours, and, while the planner does have a series of topics he wishes to cover, he permits the interviewee to lead and dominate the conversation, discussing the citizen's interests. The value of this technique is that the planner is able to explore in depth the concerns of the interviewee. He is not cut off by time constraints or by other participants wanting to speak. The major constraints on the use of the technique are that (1) the planner's bias may both lead the interview in certain directions and color the subsequent interpretation of results, (2) the public may not see the technique as legitimate, and (3) the necessarily smaller sample reduces the potential accuracy of the information.

7. Workshops

While the workshop has been used primarily for general public involvement (and it is not much different from a public

information session), it can be highly effective with small, select groups. Workshops of not more than 10 to 20 people permit everyone to speak, exchange points of view, and ask questions of each other.

Invitational workshops should be held in a series, where people have the time and can acquire the background to delve in depth into the subject matter. For example, on problem identification:

- The first session might be the District's presentation of the problem and decisions as to the ground rules for future meetings.
- The second session might focus on goals and community concerns and wants.
- The third session might focus on problems.
- The fourth session might focus on constraints and standards.
- A last session might focus on identification and priority-setting of problems.

Obviously, such a format works best on studies where the entire geographical area can be represented. If several series must be held in different locations, the demands on District staff can be overwhelming. This problem might be partially ameliorated by getting other organizations to sponsor the workshops, but if a District representative were not present, then the planner would have to rely on the sponsor to provide the needed information. This might be a severe constraint if one person were to dominate the meetings. However, if the District wants in-depth community involvement, such a constraint may be minimal.

8. Nominal Groups

In order to encourage full participation by all participants, a variation to the workshop--the nominal group--has been

developed. Basically, small groups of people (10 to 20) sit around a table with a set of blank cards. Each is asked to identify 10 problems, placing one on each card. The moderator then asks each person to identify one problem, which is placed on a chart or blackboard without comment. This process continues until all problems have been identified. The participants are next asked to rank those problems which they consider the 10 most important. Again, each participant is polled for his highest priority problem, then for the next highest, and so on. The result, by adding all the priority indications, is a group ranking of problems. Such a process can be used for identification and priority-setting of problems, goals, wants, concerns, constraints, and standards, although it should be recognized that most publics will tend to mix these in their identifications.

Because, in the nominal group method, discussion of the problems is minimized (except for clarifications), the time required may be considerably reduced--to one or two sessions. However, if the District wants participant dialogue, the nominal group technique should not be used alone.

9. Delphi Panels

The Delphi Panel is a group of experts selected to reach consensus on a problem through the completion of a series of questionnaires. For use in problem identification, the District may construct a series of questions about community water-resource-related goals, wants, problems, concerns, constraints, and standards. There might be four questionnaires in the series: the first to explore the problem, the second to seek understanding and clarity, the third to explore disagreements, and the fourth to resolve the disagreements. The first questionnaire is mailed; responses are received, and the results are analyzed and reported in the second questionnaire. Panel members are asked to answer

the questions again in light of the responses from others. The process is repeated two more times. Participants are given the opportunity to support their responses, and the results are reported. Experience with the Delphi Panel has shown that a remarkable degree of consensus can be reached from very diverse interests.

Delphi Panels can be composed of as many as 100 people. They remain anonymous and may be expected, therefore, to give more frank opinions. Delphi Panels are appropriate when

- The participants are busy and frequently cannot attend meetings (they complete the questionnaires at their leisure).
- The study has limited funds (planner time is involved in preparing, analyzing, and distributing questionnaires, but not in travel and meetings).
- The planner is not under tight time pressures (completion of the series of questionnaires may take up to six months).
- There is a history of ineffective communication and alienation among the participants.
- Anonymity is important (people don't want to be quoted personally).
- There is great geographical distance involved.

The principal criticisms of the Delphi Panel are that it may be subject to public criticisms of elitism and that it may not be representative of the general public.

10. Charrettes

All the above-described techniques are employed to obtain public identification of problems. The District in turn analyzes this information to guide it in its planning. The charrette is a technique for a different approach; the District and the public

work intensively together over a period of time to emerge with a mutually acceptable statement of the problems. The charrette's hypothesis is that if decision-making power is to be effective, it must be shared on all sides. So long as public authorities alone retain the decision-making power, the citizens retain the power to disrupt and block.

Some charrettes have lasted from 5 to 10 days, but their task has been the development of a complete plan and its implementation strategy. For use in this study phase, a 2- to 3-day session might be sufficient, perhaps even over successive Saturdays. Participants should include the full spectrum of publics: the District; elected representatives; Federal, State, and local agencies; and special-interest groups. Size is not necessarily important, because the group will undoubtedly break down into subgroups.

Charrettes should be considered

- In communities with a strong history of public involvement in planning
- In communities where many groups might be highly skeptical of the Corps
- On urban studies, where the problems are difficult to define and the interests are diverse

Charrettes require significant planning on the part of the District, and commitment from both the District and the public is essential to the results of the process.

CHAPTER VIII

STUDY PHASE THREE: FORMULATING ALTERNATIVES

Once the problems have been identified and agreed on, the District must formulate a series of alternatives to address the problems. The result of this phase is the District Engineer's "go-no-go" decision--there are potentially feasible and desirable alternatives that warrant detailed reconnaissance studies, or there are not. If the decision is the latter, the study is abandoned.

Not all Districts involve the public in alternative formulation. Experience has shown that the planners can best identify the optional solutions, and only rarely has the public made significant contributions. However, there are reasons for involving the public. First, citizens will be able to see what solutions are possible to address the problems they have identified, and in some cases unacceptable solutions may cause them to redefine their problems. Second, the public may be able to steer the District away from clearly unacceptable solutions before the District expends many resources on them. Third, the District may improve its image as objective planner if the public feels that it has contributed to the formulation of the alternatives. Fourth, by participating in this study phase, the public will be able to follow the continuum of the planning process to see how alternatives are identified. If it is left out of this phase, the public may find it difficult to indicate alternative preferences later on.

Some of the Districts continue to convey the impression that they will consider only problem solutions that the Corps can implement. Sometimes this takes the form of treating solutions such as flood-plain management or locally initiated flood-protection measures very lightly--i. e., not developing plans for such solutions in

the detail necessary to accompany structural solutions that the Corps can effect. Thus, the public is frequently in no position to determine whether it desires these alternative solutions.

Similarly, some Districts have refused to present and consider an alternative of "no federal participation," sometimes called the "do-nothing" alternative. In such cases, the public is given the clear impression that the Corps has determined that there is a problem requiring solution. When the "do-nothing" alternative is considered, it is analyzed and described only generally. A typical description of alternative "effects" is "Damages would grow as development took place and property values and agricultural production increased." No attempt is made to suggest to the community the steps it might take to restrict development--if that is desired.

In studies in which the Districts conclude that there is no feasible solution that can be implemented by the Corps, the Districts rarely tell the communities about the things that they can do to solve their problems.

This apparent Corps bias in favor of Corps solutions constrains effective public participation in that many publics get the impression that the Districts have already decided what they want to do and are approaching citizens only for window-dressing--so why bother to participate?

A. District Experiences

Several Districts have tried techniques to involve the public in alternative formulation. Seattle's public participation program actually begins with alternative formulation. The first edition of the Public Brochure lists, in very general terms, the potential alternative solutions. The public is asked both to comment on the alternatives and to suggest new ones. All comments and suggestions are recorded in subsequent editions of the brochure. Essentially, the public is asked to identify the problems associated with

each alternative in the "con" column of the brochure and the strengths of each alternative in the "pro" column. To guide such input, the District describes what the alternative would do and the effects it would be likely to have. Public participation in this phase culminates at the third public meeting (and by the fifth edition of the brochure) when the District Engineer selects one alternative for detailed study.

The Rock Island District involves the public in alternative formulation in two ways. First, in a variation on the Seattle brochure, it asks the public to comment on each of the alternatives in a questionnaire distributed at a series of alternative formulation workshops (substituted for the second public meeting). Second, at the same workshops the District asks the participants to indicate their preferences in an alternative polling sheet. The District uses the polling results to select the most desirable alternatives for detailed study. Both the Seattle and Rock Island Districts involve the general public, and not selected groups, in alternative formulation.

On one multiple-purpose flood control study, the St. Louis District designed a planning model it calls the polar alternative approach for public involvement in alternative formulation. The District itself developed two feasible alternative solutions, one maximally structural and the other nonstructural. It then formed a regional guidance committee of local planning organizations (the metropolitan sewer district, the council of governments, and the county department of planning, and the District) to develop a compromise plan falling somewhere between the two alternatives identified by the District. During the course of developing this compromise alternative, the regional guidance committee held some 300 meetings with elected officials, professional groups, and other concerned organizations to keep them informed and to obtain their reactions to the plan's development. Once the plan had

been developed, it was presented at two public meetings, and the response was overwhelmingly positive.

On the Mid-Arkansas River Basin Study, the Tulsa District has involved the public in successively narrowing the generalized projects for detailed study. Preliminary District economic analysis identified 20 potential multiple-purpose projects; these have been screened to 12, and future public information sessions and workshops can be expected to further reduce the number. The workshops will be used to present detailed information on the alternatives possible for each project.

On one flood control study, the Wilmington District has used its citizen advisory committee to screen the potential alternative solutions. It grouped problems into the categories of flooding, water quality, and open space and environment; listed and described some 52 possible solutions; and asked members to rank each of the solutions on a 7-point scale. The District will then use this information to group the supported solutions into a series of alternatives for study.

In one of its multiple-purpose flood control studies, the Omaha District asked a subcommittee of one of its State environmental advisory committees to develop a set of alternatives. The local community had expressed dissatisfaction with the alternatives proposed by the District. The subcommittee identified more than 30 new alternatives, and the District analyzed each one. Unfortunately, none of the alternatives was economically feasible, but the process did lead to modification of some of the Corps-developed alternatives.

The Walla Walla District, on one of its river basin studies, used a combination of a Public Brochure and workshops to obtain public involvement in alternative formulation. The brochure contained a description of potential alternatives (with their economic

feasibility);¹ workshop participants were asked to examine and comment on the full range of alternatives.

Of the above examples, only two approaches--Seattle and Rock Island--are used on all District studies. The others have been experimental. All but two Districts--St. Louis and Omaha--have asked the public principally to comment on the District-developed alternatives rather than to identify potential solutions. All but St. Louis and Omaha have sought input from the general public rather than selected interests. All District public involvement activities in alternative formulation, except Wilmington in one study, have focused public attention on the alternatives, and only secondarily on the problems they are intended to solve. Thus, no clear relationship is evident between Phase Two, problem identification, and Phase Three, alternative formulation.

B. Involving the Public in Phase Three

In deciding how to involve publics in alternative formulation, Districts must answer a series of questions.

First, is public input to alternative formulation desirable? Some of the reasons for an affirmative response are mentioned earlier in this chapter.

Second, what does the District want from the public? identification of alternatives? preliminary indications of acceptability? comments on their strengths and weaknesses? greater public understanding of the study planning process?

Third, who should be involved in this phase? If the District wants public identification of alternatives and more than general comments on the alternatives, then it should focus its attention on special interests rather than the general public.

¹Walla Walla District, Big Wood River and Tributaries, Public Workshop Brochure No. 2, Summer 1972.

Experience has shown that public interest to comment on the alternatives is low when only the most general impacts are known. Both Omaha and St. Louis obtained substantial public involvement in alternative identification when they involved special interests only.

If Districts are satisfied at this point with only general public impressions of the alternatives and primarily want to increase public understanding, then the focus on the general public is probably sufficient.

If, on the other hand, Districts want more intensive public input, they should seek out special interests. The categories of publics suggested for Phase Two, Problem Identification, are also good for this phase. There might be greater emphasis on professionals if the District is looking primarily for help in identifying and developing alternatives to solve publicly identified problems and not for public indication of preferences. The District should try to reinvolve some of the special interests who participated in Phase Two, because they will have better background to relate the solutions to the problems they identified. At some point, however, some effort should be made to contact special segments of the general public--those people likely to be affected by the proposed alternatives.

As in Phase Two, the general public might be approached to review and validate the information provided by the special interests.

Fourth, what information must be provided to facilitate public input? Even though the Districts in this phase are focusing on alternatives, it is likely that the public focus is still on problems. Most Districts make the jump from problems to alternatives too quickly, assuming that the public will be able to relate the two. It is urged, therefore, in District oral or written presentations on alternative formulation, that they

- Organize the problems into like issues (e. g., flooding, water quality, protection of fish and wildlife, promoting/discouraging economic development, water supply)
- Translate the problems into operational planning terms (e. g., maintaining water quality at levels to permit swimming, certain turbidity, and coliform bacteria standards)
- Identify for each group of problems the specific actions (not full alternative plans) that can be taken to solve the problems
- Then describe each of the alternatives encompassing the actions, relating them to the problems and including the alternative of "do-nothing" and its probable effects so that the citizens can see fully the implications of new action

Methods for distributing this information to the public include informational brochures (used by Walla Walla and Rock Island), Public Brochure/workbooks (used extensively by Seattle and on one study by Wilmington), and the attempted placement of news stories (if the audience is the general public). All informational material should be in the hands of the participating publics prior to obtaining their comments. Alternative formulation, particularly when related to problems, is complicated, and no person can be expected to comment intelligently unless he has had the opportunity to familiarize himself with the material. Once the alternatives for study have been identified, the public should be told what they are.

Fifth, what techniques are available to Districts in seeking public involvement in alternative formulation? There are at least seven, and the selection of one or more will depend on the characteristics of the study, the time and resources available, what the District wants, and who it wants to involve.

Public Meetings. Most Districts hold public meetings near the end of this study phase, resulting in the selection of one or more feasible alternatives for detailed study. More often than not, such public meetings are the principal technique for public contribution to alternative formulation. The deficiency with this timing is that the public does not participate in alternative formulation, but only in its review. The public meeting at the end of the phase can be a highly useful review and validation technique, but only if some publics actually participated in alternative formulation beforehand. Then, those attending the public meetings will know that the alternatives were not developed solely by the District. Moreover, the District is less likely to be surprised by comments at the public meeting, for it will have developed a set of responsive alternatives that have some measure of support in the community.

Information Sessions. If the District wants to involve the general public in alternative formulation, then public information sessions might be used prior to or instead of public meetings. Because the information sessions, suggested also in Section B above, are informal, greater dialogue among the participants can be expected. However, the comments are likely to be general and not specific.

Citizen Committees. If the District has established a citizen committee to work with it over the course of the study, then it is a logical forum for public input to alternative formulation.

Task Force. This is normally a group of professionals formed to resolve an issue or develop a plan. The group is disbanded once the task is completed. Relating goals, problems, wants, concerns, constraints, and standards to potential alternatives is complicated, and it requires different points of view to interpret the relationships. The task-force approach might be suitable. St. Louis used it successfully with its polar alternative model. Normally, such a task force should include professionals from area planning organizations and lay representatives from selected interest groups.

It should be considered under the following circumstances:

- When the identified problems are relatively uncomplicated and the range of potential solutions is small (e. g., on studies of flooding, beach erosion, and small-boat harbors, and under continuing authorities)
- When the District is willing to share alternative formulation decisions with others
- When both the District and other organizations are willing to commit the necessary staff resources

In-depth Interviews. Intensive interviews with 15 to 20 selected individuals, both professionals and representatives for special interests, could be useful. In private, personal sessions, citizens might be able to understand better how the alternatives would solve the problems and might suggest compromise variations. In larger groups, they might feel intimidated and their suggested solutions would appear naive.

Workshops. For the general public, they are effective if the District wants only general comments on the alternatives and dialogue among the participants. Invitational workshops for selected interests are desirable if the District wants the participants to examine more closely the alternatives. Because the material is complicated, the informational brochure or workbook should be used, and a series of at least two workshop sessions is called for-- the first to focus on the categorization of problems and specific actions that might be undertaken and the second to focus on the alternatives encompassing those specific actions. If a preliminary indication of public preferences is desired, a poll (such as those for Wilmington or Rock Island) might be taken. Between the first and second sessions, the District would formulate alternatives on the basis of the information obtained at the first meeting.

Mailings. Districts might also combine the informational brochure with alternative comment and/or polling sheets and mail

these either to selected interests or to everyone on the study mailing list at that time. People would have a chance to review the material, contact the study manager for clarifications, and return their comments to the District. This approach would enable the District to reach larger segments of the public than some other techniques, and input to the process would not be dependent on attending meetings. While it might be less time-consuming and costly than other techniques, however, it may assume more public interest, understanding, and commitment than is there--and response might be light.

CHAPTER IX

STUDY PHASE FOUR: IDENTIFYING, ANALYZING, AND DISPLAYING IMPACTS

Once the feasible alternatives for intensive study are selected, the District must, in addition to structuring and costing them, forecast and analyze the national, regional, and local changes (impacts) they are likely to bring about.¹ This phase must be accomplished in order for the District Engineer to evaluate the alternatives and make his selection (Study Phase Five, Chapter X). If the public is to influence his selection--the most important public role, according to most Districts--it must have the display of impacts as well.

In many cases where the public has been asked to comment on the public participation component of a study, the principal comment has been "Tell us how the various alternatives will affect what we think is important." Some of the potential community impacts of the alternatives are as follows:

- How many people, and what people, will benefit and suffer?
- How will they benefit and suffer?
- How will the alternatives benefit or retard an area's economic development?
- What will happen to land values?
- What will happen to the community's tax base?
- Will the alternatives tend to increase or stabilize the community's resident or transient population?

¹This is the "flip side" of Phase Two, Problem Identification, where the District and the public identified the problems that guided the formulation of the alternatives. Now the District must analyze and show what specific effects the alternatives would have on those problems.

- What effect will the alternatives have on the area's flora, fauna, and ecological state?
- What will happen to water supply and quality?

A. District Experiences

Public participation in water resources studies is significantly reduced once impact analysis and evaluation begin. In most Districts (Seattle being the exception), the public does not participate again until the final public meeting, when the District unveils its study recommendations. In no District does the public receive the display of impacts it needs to make effective judgments. Ironically, the Seattle District provides citizens with the most complete impact information, but citizens are not asked to indicate their alternative preferences! However, even Seattle's display of impacts gives the public only a general indication of what changes the alternatives are likely to bring about. Statements are commonly made such as "water quality will be improved during high flows by trapping and removal of debris and enhanced with elimination of sheet flows." The public does not learn whether these improvements are consistent with community water resource standards and needs for the water. Seattle does rate the alternatives according to objectives (e. g., maximizes national return on investment, improves water quality, is least disruptive to people) on a three-point scale, but the District agrees that its rating is highly subjective.

No other District goes so far. For example, one information bulletin on a river basin contained the following passage:

Water shortages caused by extreme low surface flows and limited ground supplies would . . . create water quality problems and affect recreation, fish and wildlife, and environmental, ecological, and social values.

While these impacts on the community could indeed be severe, they have not been described in a way that allows the community to make its judgments on the alternatives. What water quality

problems would be created? How would they affect me? How would the water shortages affect fish, wildlife, and recreation? What environmental, ecological, and social values is the planner talking about? How do I know they are mine?

There are two apparent reasons for this incomplete impact analysis and display for public use. First, some Districts say that they are professionally unable to do such specific impact analysis, particularly in relation to noneconomic objectives. They can't say what impact an alternative will have on a community's tax base, on projected population growth, on economic growth, etc. There are just too many uncertainties during the study phase of a project. This defense is questioned. The Corps has a long history of building projects for flood control, beach erosion, and navigation. While no two communities are the same, the Corps observations on the impacts of their completed projects in other areas can lead them to tentative conclusions about what would happen if various alternatives were implemented. The planner cannot be precise, but he can make his own best professional judgments--appropriately qualified.

Second, the public does not contribute to the identification and specification of impacts. Therefore, the District does not know fully the impacts that the community wants considered. While such public identification is done in part in Study Phase Two, Problem Identification, the information is general and is more of a "wish list." What is needed here is impact specificity.

Moreover, Districts assume some criteria for impact analysis under the guise of technical requirements when such criteria are more logically political decisions which the community should make. For example, the decision to plan for a solution to contain a 100-year flood, rather than a 25- or 50-year flood, is a political decision that should be made by local or state interests. The Districts normally assume that the level of protection is a given in

their planning. While such assumptions may frequently be made because lesser measures of protection would almost always be infeasible economically, that judgment is not necessarily compatible with community desires. Similar instances are found in estimating future demand for water (based on technical assumptions about an area's growth, which are affected by the type of Corps project recommended) and the standards for water quality. Both of these, within legislative guidance, are political rather than technical decisions.

It is recommended that Districts carefully review their criteria for impact analysis to distinguish between technical and political decisions. The latter should then be presented to the community for judgment.

Districts need guidance from the public if they are going to analyze and display impacts to assist the public in its evaluation of the alternatives. This is particularly important inasmuch as Districts seldom have the staff and resources to analyze all the impacts. They must necessarily select the most significant ones. The public could help in their identification and help specify what information it would like on them. With these guidelines from the public and the planner's own identification of impacts that he must consider, he could proceed to conduct and display his analysis in a manner more responsive to the community.

B. Involving the Public in Phase Four

On each study, Districts must answer several questions in designing a public participation component for this phase.

First, does the District want public involvement in impact identification? The reasons for an affirmative answer have been described above. If the answer is negative, then Districts are saying either that they can identify such impacts themselves or that the public can make effective judgments in the absence of such impact display.

Second, what does the District want from the public?

- Identification of significant impacts--e. g. , water quality, community land use, effect on the local tax base, provision of jobs, effect on fish and wildlife, effect on property values
- Specifications for impact analysis--e. g. , under water quality, degree to which the alternative meets community water quality standards and whether water will be safe for swimming, fishing, drinking, or irrigation; under provision of jobs, approximately how many, permanent or temporary, and what types of jobs
- Public understanding of the impacts the District will analyze
- Public agreement on the significant impacts

Third, who does the District want to involve? While special-interest groups could continue to provide the most effective input, at this study stage the alternative proposals are specific enough to interest the general public, particularly those citizens likely to be affected directly or indirectly by the alternatives. Moreover, it is the general public that will be asked, at the final public meeting, to validate whether the recommended plan satisfies community needs and desires. Therefore, the general public should also be involved in determining the ground rules for its evaluation. The District should probably approach a mix of special public interests and the general public.

Fourth, what information does the District need to give the public in order to facilitate its input? Informational brochures or workbooks again seem to be logical information techniques, distributed to participants prior to their meetings. Such material might be organized as follows:

- Presentation of each alternative, with a description of its most important features and supporting maps and diagrams
- Under each alternative, a description of the impacts that the District intends to analyze
- Under each impact, a listing of the types of forecasts (specifications) that will be displayed (e. g. , flood-damage savings, water quality standards, types of jobs projected, types of recreational facilities and their projected capacities)
- Space for citizens to rank the impacts and specifications and add to them

Newspaper background articles at this point would appear inappropriate. Once a plan for impact analysis has been developed, the public should be so notified.

Fifth, what are the available techniques to involve the public in impact identification? There are at least six, and their selection will depend on the scope and nature of the study, the personnel and financial resources available, the publics to be involved, and what the District wants from them.

1. Citizen Committees

If the District has set up a citizen committee as the principal technique for public involvement, the committee should also be used in this phase. The members have the continuity and study background to contribute significantly.

2. In-Depth Interviews

In-depth interviews are again a logical technique, particularly if the District has employed them on previous study phases. People who had been approached in both problem identification and alternative formulation can be expected to have the study background to understand what the District wants. Moreover, such interviews

should be particularly effective in ferreting out impact specifications that the District might not identify. The list of interviewees should be expanded at this point to include some of the general public--perhaps land owners, tenants, and businessmen in the affected areas. Their input should be a good supplement to the information provided by various special interests.

3. Workshops

Workshops are desirable, particularly if the District wants dialogue among citizens about the impacts and their specifications. While the District might consider open sessions (anyone can attend), a combination invitation/open workshop might also be applicable; special interests would be the principal participants, working among themselves (with the general public as an audience) for perhaps half the session, with everyone permitted to speak during the second half. If the District wants to keep the workshop small and invitational, it should probably expand its invitation list to include some of the general public. Districts must constantly balance their desire for significant workshop results (likely to occur in small sessions) with their desire to make certain that the broad range of community interests is represented. Large attendance per se does not guarantee the latter.

In this phase, only one workshop session per geographical area may be necessary. A suggested format follows:

- ⊙ Presentation and description of the alternatives
- ⊙ Presentation, discussion, and new identification of significant impacts to be considered in evaluating all alternatives (the District should present those it has to evaluate and those it believes the public would be interested in; public discussion would focus on identification and priority-setting of the latter)
- ⊙ Presentation, discussion and new identification of the specifications for each impact

If the workshop session is large--over 25 participants--consideration should be given to letting the entire group deal with the first two agenda items and having subgroups, broken down by impact area, deal with the specifications.

4. Nominal Groups

The nominal group technique discussed in Phase Two is again applicable here. After the moderator describes each of the alternatives, each group participant is asked to write down 10 significant impacts that should be considered in their evaluation. The moderator then asks each participant to state one impact, writing it down on a chart. This process continues until all participants have stated all of their identified impacts (considerable duplication can be expected, and the moderator so notes on the chart). In the next step, each participant ranks his five most significant impacts. Again, the moderator asks each person to name his most significant impact, then polls each person again for the next most significant, and so on. By this method, the group will have identified the most significant impacts to be considered. The group might then be broken down into subgroups for each of the impacts, in which the same process is repeated for impact specifications. While the nominal group technique does not permit discussion among the participants (other than for clarification), it is a more efficient method than the workshop in that definitive results (significant impacts and their specifications) will be obtained.

5. Task Forces

Inasmuch as the objective of public participation in this phase is to emerge with a plan for impact analysis and display that is responsive to community needs, a task force of representative local public agencies and the District might be used. The principal criteria for its use would be the District's determination that these public agencies understand their communities and that

the agencies are willing to devote time to participation. Essentially, after the task force agrees upon the significant impacts, each member takes an impact related to his agency's program (e. g., a regional planning organization might take water and land use) and details the specifications for analyzing the impact. The group then reconvenes and develops a plan for analysis. Two problems exist with this approach. First, the District is sharing its plan design with others. Second, only public agencies--and not the citizens--are involved.

6. Charrette

If the District desires participation from citizens in this phase, will consider sharing plan design with others, and wants to use a task-force-type approach, the charrette model might be employed. As discussed in Phase Two, the charrette convenes a group of citizens and public and private organizational representatives for a brief, intensive period of time to design a plan--in this case for impact analysis and display. Private organizational representatives and individual citizens are not fully effective for the task force model because it assigns them specific independent tasks to perform--something they may not have the time or resources to do. In the charrette model, all tasks are shared, and the District (and occasionally others with professional expertise) are present as technical resources. The principal advantages of the charrette model are (1) there is a defined result--a plan--rather than a series of comments for the District to analyze (as in citizen committees, in-depth interviews, and workshops), and (2) many diverse interests are working together to develop that plan.

CHAPTER X

STUDY PHASE FIVE: EVALUATING AND SELECTING ALTERNATIVES

Once the impacts for analysis have been determined, the District evaluates each alternative in relation to those impacts. Study Phase Five culminates in the District Engineer's selection of a recommended plan. He bases his selection on the following:

- An alternative's economic feasibility--if it does not have a cost-benefit ratio of at least 1, it is dropped.
- An alternative's environmental impact--if it would have a severely adverse effect on the environment, it is dropped; moreover, those alternatives with only limited adverse effects are given stronger consideration.
- An alternative's social and economic impact on the community--e.g., how disruptive would it be? what type of community development would it encourage? what type of recreation would it affect?
- Local assurances--does a responsible public body agree to provide its necessary share of funds and all lands, easements, rights-of-way, and relocation, and to maintain and operate the project after completion? If not, the alternative is dropped.
- Community desires--which alternative(s) does the community favor?

The first step is to establish that an alternative is economically feasible and has local assurances. The District must then judge each remaining alternative in terms of its environmental, social, and economic impacts and community desires. It is not known what relative weight the Districts give to each of these elements.

Clearly, the District has difficulty in evaluating community desires. Most public input comes from the public meetings, where the information is a combination of factual data, values, problems, needs, and preferences. The Districts don't know what to do with value and preference information when they get it. Several planners asked "How do we know who the speaker represents when he makes his statement? Is he speaking only for himself, or for an organization, or for many people with similar views? Perhaps there are many people out there with different views who haven't spoken at all. They will, of course, if the District Engineer's recommendation is unsatisfactory to them."

A. District Experiences

The Seattle District has, at least, addressed this problem. The District says that it doesn't want value and preference indications because it doesn't know how it would treat them. Rather, it wants (but frequently does not get) fact-supported arguments. It does not believe that it can get a community-wide indication of values and preferences. The Rock Island District wants the public to indicate its preferences, but it has recently encountered a situation where its preference poll appeared to be stacked in favor of certain interests. All Districts are faced with the basic question of how to analyze public preferences. One other District, Tulsa, is experimenting with community ranking of values (classified in terms of environment, social-human quality, and economics). The District itself will then analyze the ranking in terms of two feasible alternative solutions. By this method, the public is indirectly indicating its alternative preferences.

B. Public Difficulties in Influencing Planning Decisions

Many publics are confused by the difference between the planning process and the political process leading to a project's

authorization and construction. They do not understand that they are being asked to contribute to planning and not to a project's acceptance.

While most citizens understand the requirement that an alternative must be economically feasible to be recommended for funding, many do not understand:

- Some local authority must provide financial and other assurances for an alternative to be recommended.
- The Governor of the State must approve the project.
- The Congress must appropriate funds for construction (and, in most cases, this will be several years hence).
- Therefore, the ultimate product of a study is a District recommendation, and not a commitment to implement an alternative.

In other words, planning is only the initial step in a long process, and if people want to influence the decision leading to a project's acceptance, they must try to influence the local, State, and Congressional decision-makers as well. The Corps has been reluctant to encourage such action, perhaps because the decision-makers would prefer to let the Corps take any "heat" for decisions they may make. However, so long as this lack of public understanding of the political process exists, many citizens will unfairly criticize the Corps for either not being responsive to local values and concerns or "trying to ram a project down our throats."

It is recommended that, in various forums with the public, the Districts explain the difference between planning and a project's acceptance and how the public can influence decision-making.

C. Involving the Public in Phase Five

On each study, Districts must answer several questions in designing a public participation component for this phase.

First, what does the District want from the public? There are two possible responses: public preferences for alternatives or public ranking of values and impacts (from which the District can determine which alternatives most satisfy the ranking). Both cases require that the public determine which impacts are most important. Both cases will enable the Districts to determine which alternatives most satisfy community desires.

Second, who should be involved? The general public must be the primary target. The alternatives are now sufficiently defined and related to specific community impacts that the general citizenry will have strong opinions. Selected special interests should also be involved to ensure that their objectives are both protected and promoted.

Third, what information does the public need to make its input? If the District wants the public to rank the importance of impacts so that it can relate them to the alternatives (as the Tulsa District is doing), it must translate the specific impacts into community values. For example:

<u>Impact</u>	<u>Value</u>
Preservation of water quality at x standard	Water suitable for drinking Water suitable for industrial use Water suitable for swimming
Expansion of industrial/commercial development to x dollars in flood plain	No further development Minimal development Moderate development Maximum development
Displacement of x people/businesses/dwellings in y area	No displacement Minimal displacement Moderate displacement

<u>Impact</u>	<u>Value</u>
Addition of x acres of water for y capacity of people for recreational boating	No further recreational boating Recreational boating only for residents Increased recreational potential to attract outsiders
Savings of x annual dollars in flood damage for y people	No protection Minimal protection Moderate protection Maximum protection

If the District wants the public to indicate its alternative preferences directly, it must describe each of the alternatives and the specific impacts each would have.

Informational brochures, questionnaires, and media articles are adequate techniques to present this information. They should be distributed prior to any meetings with the public. Media coverage is particularly important since it helps ensure greater participation from the general public. Moreover, inasmuch as the District now has a specific story to tell, media coverage should be relatively easy to obtain.

Fourth, what techniques are available to Districts in seeking public involvement in alternative evaluation and selection? There are at least eight, and the selection of one or more will depend on the type, size, and scope of the study; the time and resources available; what the District wants; and whether it wants the general public or a special segment of the public to provide the information.

1. Public Meetings

Normally, Districts hold their final public meeting at the conclusion of this study phase. The District Engineer has, by the time of the meeting, made his tentative recommendation.

Therefore, so long as the meeting is held at the end of the phase, the technique is not adequate to obtain community desires on all the alternatives still under consideration. The public meeting is better employed as a technique to validate public preferences obtained through other means.

2. Public Information Sessions

As discussed before, these are more informal public meetings at which the District presents its information (in this case the alternatives and their impacts) and invites questions. The purpose of such sessions is to prepare the public for the final public meeting in which the citizens can state their positions.

3. Public Inquiry Sessions

In the public information sessions, the public asks the questions. In the public inquiry session, the meeting host asks questions of the audience. Once the District has defined the alternatives and the impacts, it might wish to ask the public questions about them to help the District make its selection. The primary session focus would probably be on impacts and values (e. g., do you favor no further community development if it means periodic flood damage affecting x people? do you favor x numbers of small-boat moorages if it requires doubling the traffic flow in the harbor area? do you favor maximum flood protection if it means taking x acres of land off the tax rolls and thereby increasing the tax rate by x percent?).

The District should not conduct public inquiry sessions. The potential local sponsor--the agency providing local assurances--is the logical host. It needs public answers to questions such as these in order to decide on the alternative(s) for which to provide its assurances. The citizen committee would be another potential sponsor; the information obtained would be very helpful to the committee in its own debate of the alternatives.

Public inquiry sessions might extend over several weeks to enable more people to speak and subsequently change their responses in light of other testimony.

4. Citizen Committees

If the District has used a citizen committee throughout the course of a study, then it would logically participate in this phase as well. It is particularly important that committee members discuss the alternatives and impacts with their constituencies.

5. Workshops

Such sessions are valuable if the District wants small groups of people to discuss and debate among themselves the alternatives and their impacts. Workshops in Phase Five should be open to the general public rather than invitational, although the District might try to ensure that important interests are represented. By this time, such interested publics will probably attend on their own.

A suggested workshop format follows:

- An opening session describing the alternatives, the impacts considered, and the minimum impact standards that must be considered because of legislation and Corps regulations
- Subgroup sessions (perhaps one for each alternative, each set of impacts, or, if stated, community goals) to discuss the relative importance of the impacts
- A second general session for all subgroups to report on their conclusions
- A poll (by questionnaire) asking the participants to either rank alternatives or impacts

The principal difficulty with the open workshop is that the District can never be sure that the full range of community interests is represented.

6. Situation Simulation

Under this technique, the District holds a series of workshops to enable the public to see the interaction among alternatives, impact, and values. Essentially, situation simulation (also called gaming) permits the prediction and display of alternative water-resource futures. The District prepares a series of variables for

- Alternative plans--e.g., type and size of solution, geographical area
- Economic analysis--costs and benefits
- Impacts--environmental, recreational, social, and economic effects
- Problems solved--e.g., type and scope of protection, increased navigation potential
- Community values and goals--e.g., water quality at x standard, ranges of community economic development

At the situation simulation workshop, Districts describe to the participants the scenario: the alternatives under consideration, their projected impacts, the assumptions behind the economic analysis, the problems that will be solved (as well as those that will not), and the assumed community values and goals. Participants are then invited to change one or more of the variables, and analysis is undertaken to show the effects of these changes on the other variables.

At the conclusion of the workshop, participants have the basic understanding to rank the alternatives, suggest some restructuring, and/or rank the impacts.

Obviously, situation simulation can be complicated, and its most effective use requires computer support. This is outside the scope of all individual study budgets. However, such situation simulation games could be developed for different types of studies

(e. g., urban, multiple-purpose flood control, navigation, erosion) by the Districts, by the Division, or by Corps headquarters. On individual studies, the District would input relevant study information to the computer program. Effective situation simulation is initially costly, but it could be highly effective in facilitating public--and, for that matter, District planner--evaluation of the alternatives.

7. Community Survey

Districts could prepare a questionnaire for response by a random sampling of the general public. Its best use is to ask the public to rank or indicate the relative importance of impacts and community values rather than to indicate preference for alternatives. The latter would require too much description of the alternatives and their impacts, and most people would balk at taking so much time to both read and complete the questionnaire.

Therefore, the District would prepare, either directly or under contract, a questionnaire including a listing of community values. These might be based on information obtained from the public in previous study phases or from discussions with local planning organizations. The sample would be asked to indicate the importance of each value (perhaps on a three or five point scale), and the District would use the results in evaluating the various alternatives.

The community survey is the most effective way to obtain a true indication of community desires. It does, however, have disadvantages. The public may not understand the questions. The questionnaire may not contain the right questions. Moreover, the community survey does not permit dialogue, and respondents are not able to subsequently change their rankings.

8. Delphi Panel

As in Phase Two, Problem Identification, the Delphi Panel might be employed with a group of anonymous community leaders to try to reach a consensus which may or may not represent community desires.

PART FOUR

OTHER PUBLIC PARTICIPATION ISSUES

Part Four discusses two other public participation issues facing the Districts. Chapter XI focuses on planning for public participation in post-authorization studies. Chapter XII discusses constraints that Corps policies and the public itself place on the implementation of effective public participation programs.

CHAPTER XI

PUBLIC PARTICIPATION IN POST-AUTHORIZATION PLANNING

For the most part, the scope of this research and the TAP consultant assistance to the Districts have been focused on public participation in pre-authorization planning (i. e., before the Congress authorizes and funds the recommended project). However, post-authorization planning in its first stage--a review and updating of the survey report--also requires public involvement. The purpose of this chapter is to discuss how some of the elements of public participation in pre-authorization planning can be applied to this post-authorization phase.

As far as the public is concerned, the following points about post-authorization planning are relevant. First, 3 to 5 years (and in some cases 10 to 20 years) have passed since the District Engineer submitted his survey report and project recommendation. The composition of the public has changed, and, more importantly, public attitudes toward Corps projects have changed. Ten years ago the public was not vocally concerned about what different types of projects could do to the environment. Now there are laws to deal with these concerns. Most people accepted the increasing demand for small-boat harbors as a given; now they are demanding that such demand be balanced against other community desires. The result is that many authorized projects may not, in their proposed form, satisfy community needs.

Second, because of the time lag and the fairly recent development of Corps directives for increased public participation, most of the newly authorized projects did not involve the public significantly in their initial planning. Moreover, in approaching the public on an authorized project, the Corps is associated with a solution--rather than searching for a solution as in the planning phase.

The District's posture as "objective planner" is open to question, and, in the post-authorization phase, the public may complain that the Corps is trying to push a project that the public didn't know anything about.

Third, the public now realizes that a project will most likely be built, while formerly it was just a recommendation. Those citizens opposing the authorized project can be expected to increase their opposition tactics to try to get the project dropped.

Fourth, in the post-authorization phase, the District has more specific data to give the public than it did in pre-authorization planning. It has a survey report containing analysis supporting the general design, costs, and benefits of the recommended alternative. Thus, the District is in a better position to present to the public concrete information on alternatives and their impacts.

In designing public participation activities for post-authorization planning, these points suggest that Districts are likely to encounter more opposition than in the planning phase, but they are in a position to resolve the controversies by having much more specific data and analysis.

A. Corps Guidelines for Public Participation in Post-Authorization Planning

The Corps suggests that two public meetings be held in connection with post-authorization planning:

- The first meeting would present the authorized project plan and the other alternatives considered during the survey report investigation (along with the known benefits, costs, and effects of each); the public would be asked to express its views on the alternatives and suggest others.
- The second meeting would present the specific details of one or two of the best alternative plans; this meeting

would normally be held after all studies are complete and data has been refined so that a decision on the alternatives can be made; meeting notices should include a summary of environmental considerations, and the environmental issues should be addressed at the meeting.

Thus, Corps instructions are clear that post-authorization planning--and public involvement--will include a review of the authorized project and all other alternatives.

B. District Experiences

Several Districts have gone beyond the above guidelines to involve the public in post-authorization planning. The TAP consultants were involved in such experiences with two of the Districts.

Rock Island uses a workshop approach in place of the first public meeting, asking the public to comment on the alternatives and indicate its preferences by means of a poll. It prepares an informal brochure for use at these workshops. The District has run into two difficulties. First, in presenting the alternatives in the brochure, it describes the authorized project in much greater detail than the other alternatives.¹ This has conveyed the impression that the District is promoting the authorized project and that it is not considering others. This problem might be at least partially ameliorated by presenting all the alternatives similarly in the brochure. A reference document--a summary of the survey report--should also be prepared to provide the details of the authorized project. Two distinctive documents may better convey the District's objectivity in post-authorization planning.

¹ Rock Island District, brochure for public meeting, Alternative Methods of Reducing Future Flood Damages in the Mississippi River Flood Plain from Mississippi Avenue Downstream to the Government Bridge, 29 November 1972.

Second, opponents of the authorized project are more in evidence at these workshops than are proponents. The latter seem to feel that they have already made their position known (after all, the project was authorized), and the District can protect their interests. To the public, however, such an imbalance of meeting participation gives the impression that the project has much more community opposition than support--and that the District is promoting its acceptance. It is important that the District impress the proponents with the need to defend their position at these meetings in order for the District to maintain its role of objective planner.

The Mobile District faced significant opposition from environmental groups on an authorized project for the construction of a dam (Spewrell Bluff). The District was preparing to enter its final public meeting, presenting the project to be constructed. The TAP consultant recommended several additions:

- o Holding two briefings before the public meeting to increase public understanding of the project prior to receiving public testimony
- Modifying public meeting protocol because the usual protocol had been criticized by local environmental groups
- ⊙ Preparing an informational brochure for distribution with the public meeting notice

The briefings took place approximately 2 weeks prior to the public meeting to permit the District sufficient time for response to the questions raised. Open to the general public, the briefings were well received by the environmental groups. The public meeting was well attended, and the dialogue was between proponents and opponents rather than between the Corps and the respective factions. The major discordant note was in the public's criticism that the General Design Memorandum could not be released to the public. The District has appealed to OCE for a policy change.

The informational brochure was well-prepared.² It included the following:

- The purpose of the pamphlet and how it could be used
- A summary of the pre-authorization and post-authorization studies
- A summary of the economic and environmental impacts of the project, highlighting the environmental impacts in terms of beneficial, detrimental, and beneficial/detrimental (depending on the individual), and presenting mitigation measures
- A summary of the impacts of the other alternatives considered
- Presentation of local and State commitments
- An indication of how public comments on the project will be used (i. e., where practicable, comments will be incorporated in the draft and final environmental statements)

The brochure also included appropriate maps and a return questionnaire for citizen comments on the public participation effort.

The major criticism of the brochure is that the description of project impacts was too general. For example, the economic and environmental impacts are summarized as (1) reducing flood losses around the river (to what standards?); (2) regulating river flows for peak power production (how would this affect power demands?); (3) supplementing low flows to help meet navigation requirements (what traffic improvements would this create?); (4) improving water quality (to what standards?); (5) providing lake-oriented recreation opportunities (what kinds, permitting what capacities?); and (6) providing increased employment and stimulating

²Mobile District, Public Information Pamphlet for Spewrell Bluff Lake, Flint River, Georgia, August 1972.

production in the area (what kinds, what annual increase, what impact on the tax base?). In other words, the public was not in a position to evaluate whether these impacts were necessary or unnecessary for the community.

The Omaha District, on one post-authorization study, utilized a citizen committee (a subcommittee of a State environmental committee) to identify alternatives to the authorized project. The committee identified over 30 such alternatives, and each was analyzed by the District.

In 1971, the Kansas City District was confronted with major opposition to its authorized project for the construction of a levee at the confluence of the Missouri and Mississippi Rivers (L-15). The September 1971 public meeting was spiritedly antagonistic, and the District knew that if it pursued the project's design as proposed, opposition would continue to build.

The TAP consultants assigned to the Kansas City District developed a plan for co-opting the public, both opponents and proponents, into the consideration of the L-15 levee. The plan was adopted.

The District first convened an ad hoc group of citizens and public agency representatives to formulate a comprehensive list of critical issues to be addressed in the study. The group was not to try to resolve the issues, but only to identify them. The group had eight members plus representatives of the Kansas City and St. Louis Districts.³ It met in March 1972 and identified 47 issues in land utilization, economic impact, hydrology, recreation and parks, and environment. These were summarized in an L-15 information bulletin.⁴

³While the responsibility of the Kansas City District, the project potentially affected areas and publics served by the St. Louis District; hence, coordination was necessary.

⁴Kansas City District, L-15 Information Bulletin No. 2.

The District next set up five work groups to deal with each of the issues in the above five areas. Each group had six to nine public and private organizational representatives. They began meeting in May 1972 and finished their deliberations in early 1973. The District was then to publish a brochure, summarizing the group answers to the 47 issues in preparation for a second public meeting.

In July 1973 the second public meeting was held. Three alternatives were presented: levee protection for a 25-year, 50-year, and 100-year flood. The District Engineer discussed the bases for developing these three alternatives, explaining the purpose of benefit-cost ratios and discount rates. Public discussion at the meeting was spirited, but it neither focused on the issues developed by the work groups nor on the alternative levels of flood protection. The people debated the need for the levee. However, the District itself was able to rise above the debate; discussion was principally among the proponents and opponents of the levee.

The TAP consultants have recommended that the District Engineer now prepare and distribute an L-15 brochure setting forth the analytical bases behind the District's development of three alternatives. It is not known how the District Engineer will finally take the extremely divergent public views into account in selecting the best alternative.

Four different techniques for public involvement in post-authorization planning have been described above: workshops and preference polls, public briefing sessions prior to public meetings, use of a citizen committee to formulate additional alternatives, and formation of citizen work groups to identify and resolve significant study issues. The next section discusses how these and other means might be applied more generally to all District post-authorization studies.

C. Public Participation in Post-Authorization Planning

Just as in pre-authorization planning, Districts should have plans for involving the public in post-authorization planning. This is particularly important because opposition can be expected on many studies. Means must be planned for dealing with the issues of concern to the opponents.

There are four questions that Districts must answer in planning for and implementing programs for such involvement.

First, what does the District want from the public? Essentially, all the pre-authorization study phases (see Part Three) are also applicable to post-authorization studies--preparing study plans, identifying and defining problems and needs and formulating alternatives; identifying, analyzing, and displaying impacts; and evaluating and selecting alternatives. The primary focus, however, is on reviewing and modifying the results of the last three phases. The District must review the formulation of alternatives, review and update the impacts of those alternatives, evaluate them, and select one in light of the modified analysis.

Does the District want public participation in the review and reformulation of alternatives? Does it want the public to identify and comment on the alternative impacts? Indicate its values to guide the District Engineer in evaluating and selecting an alternative? State its preferences for the alternatives? Answers to these questions will determine who is to be involved, what information the public needs, and what public participation techniques are most applicable.

Second, who should be involved? For the most part, the general public should be the principal target. The alternatives are sufficiently specific for the affected citizens to have opinions on them. Apathy should not be a problem. Particular attention should be given to involving both proponents and opponents of the authorized

project to ensure balanced discussions and to avoid a Corps position as project defendant.

Specific interests might be approached, however, to investigate study issues that are confusing the general public's consideration of the alternatives. This approach was successfully applied in the Kansas City District's L-15 case.

Third, what information does the public need in order to participate? Regardless of what the District wants from the public, citizens need a summary description of the problems addressed by the alternatives, a description of each alternative considered, statements about how the problems would be solved, and an indication of the specific economic, social, and environmental impacts. This information can best be presented in one or more brochures to which a summary of the survey report is attached. New editions are required for each study phase in which the District wants public involvement. Newspaper articles, properly placed by the PAO, would also be useful in getting to the broader public. All such information should be distributed prior to sessions with the public.

Fourth, what techniques are available to the Districts in involving the public in post-authorization planning? There are at least six, and the selection of one or more will depend on the nature and scope of the study, the potential public interest in the authorized project, what the District wants from the public, and budget and time limitations.

1. Public Meetings

As in pre-authorization planning, public meetings are not good forums for permitting citizens to discuss issues surrounding an authorized project. There are too many people, the issues are too complicated, and only rather disjointed two-way communication occurs. If other techniques are employed in addition to the

public meeting in post-authorization planning, then it is believed that only one public meeting is needed, at the conclusion of the phase, allowing the public to validate the citizen contributions made in other forums.

2. Public Briefing Sessions

Because of the extremely complicated and controversial study issues, the Mobile District held public briefing sessions prior to the public meeting in order to increase understanding. While such sessions are open to the general public, they encourage exchanges of views and questions among the participants. They also permit the District to research unanswered questions prior to the public meeting. Such briefing sessions should be considered prior to public meetings on controversial and/or complicated studies.

3. Public Inquiries

As an alternative to the public briefing session, the District might consider a public inquiry prior to the public meeting. The local sponsor (with District participation) might conduct a several-day inquiry on the study, inviting specific interests and the general public to answer priority questions about alternative preferences--answers which the sponsor needs in order to provide his formal assurances.

4. Workshops

If the District wants discussion among citizens on the authorized project and the other alternatives, workshops open to the general public should be considered. A series of three workshop sessions should be considered:

- The first would review all the alternatives and the basis the District used to select the authorized project; at the conclusion of the session, participants would be asked to pose questions which they need answered to evaluate the alternatives.

- The second would reformulate the alternatives in light of answers to those questions and would review the potential impacts that must be assessed.
- The third would indicate alternative preferences (if this is desired by the District); it should be emphasized, of course, that such preference polls are advisory and not binding, because the participants may not fully represent the community.

5. Community Surveys

If the District tried to determine community values or goals by a random survey of some other means during the pre-authorization phase, then it should consider another survey during the post-authorization phase. It is likely that community attitudes have sufficiently changed. The random community survey should be completed quite early in the post-authorization phase for the District to assess how these changes in community values will affect attitudes toward the authorized project.

6. Study Groups

If the District discovers both opposition and confusion in presenting the authorized project to the public, it should consider setting up citizen study groups to identify new alternatives (as in the Omaha District), or to identify and resolve major study issues (as in the Kansas City District). Such groups should be small for effective work, and their responsibilities should be clearly defined and accepted.

7. General Design Memorandum

In its General Design Memorandum concluding this phase of post-authorization planning, the District should summarize the public comments and indicate how they have affected its project

decisions and design. This memorandum should be available to the general public; a summary should be prepared and distributed to newspapers and to all of the District's mailing list.

CHAPTER XII

CONSTRAINTS ON EFFECTIVE PUBLIC PARTICIPATION

Effective District public participation requires:

- Well-developed objectives and policies
- Committed District personnel
- Facilitative organization
- Clear assignment of responsibilities
- Adequate resources
- Well-developed public participation plans for each study
- Regular and systematic program review and monitoring

There are, however, externally imposed constraints on the development and implementation of effective programs. Some exist because of Corps practices; others are imposed by the public. The purpose of this chapter is to identify these constraints and describe how they adversely affect District efforts in public participation.

A. Corps-Imposed Constraints

While all of the constraints discussed here hinder effective public participation, it should be strongly emphasized that they are discussed only from the public participation point of view. Public participation is only one of many considerations which go into policies creating these constraints. It is fully recognized that the Corps may not be able to remove or ease any of these constraints because of higher priority considerations. They are identified and described here only to suggest why Districts may not be able to develop optimal public participation programs.

First, most Districts handle too many studies at one time to involve the public effectively on any of them. Most study managers

are responsible for several studies at one time. When each manager is required to coordinate each study's technical analyses, obtain technical information from other agencies, attend other agency meetings that affect his studies, conduct some analyses himself, and try to involve the public in planning, he doesn't have the time to do all of these tasks efficiently. More often than not, public involvement gets the time that is left over. The study manager's major objective is to complete his study. Meeting with groups and individual citizens is time-consuming and frequently results in minimal information that the study manager can use. Thus, if the study manager is to make efficient use of his time, he will minimize those tasks which are inherently inefficient. Both the 15 Districts and the TAP consultants indicated that time pressure on the staff is the major constraint in implementing effective public participation programs. It prevents many study managers from making as many field visits as they should--which is particularly important in studies where the geographical area is a great distance from the District office.

Second, many studies are strung out over long periods of time, with concomitant "dribbling" of study funds. If a District receives only \$5,000 to \$10,000 a year for a study, it feels that it can use only a small portion of that for public participation--so small a portion that it cannot afford brochures, citizen committees, workshops, etc. Moreover, Districts do not normally budget for specific public participation activities, so the money for them cannot be found in a limited budget. Often, the requirements for more intensive involvement come up rather suddenly and were not foreseen. In the face of other study requirements, many Districts feel constrained to reallocate the funds they do have to permit greater public involvement.

Another problem with the "dribbling" of study funds is that when a study continues with minimal activity over a long period of

time, it is almost impossible to sustain public interest. If people are "turned on" to participating in a study at its initiation, they completely forget about it if their next contact is 2 or 3 years later at the second public meeting. The 15 Districts cited this inability to sustain public interest as one of their most significant problems.

Third, the allocation of funds for public participation does not adequately take into account differences in study magnitude and study requirements. On the one hand, large studies, notably basin and urban studies, have relatively large allocations for public participation (frequently 10 to 20 percent of the budget). However, inasmuch as large studies have proportionately fewer District staff people available to contact and interact with the public, the Districts are forced to use outside consultants for much of their public participation activity. While consultants can be of significant value, they cannot be the only people who interact with the public. Although consultants can conduct community surveys, District representatives must participate in interviews, workshops, citizen advisory committees, and other meetings. One of the primary uses of consultants in public participation is to generate and stimulate public input through the above means. However, because the Districts have limited staff resources, they must be careful that the consultant does not stimulate so much intensive public involvement that District personnel cannot handle it.

In the larger studies, the substantial funds for public participation, without adequate staff resources, may overcommit the District to public involvement; in the smaller studies, the staff may be spread too thinly over several studies, and the funds in any given year may be too meager to mount effective programs.

Some District planners feel that they could undertake more effective public involvement efforts within existing budgets if some of the specifications for technical studies in the planning phase

were deferred until preparation of the General Design Memorandum after authorization. This argument was not explored, but it may be worth examining.

Fourth, too much time elapses between study completion and project authorization and construction. At many initial public meetings, the District Engineer explains the Corps planning process and says that it may be 15 to 20 years before any resultant project is built. While accurate, it is not a statement which invites intensive public interest. Considering the study and review process, it is easy to see why it takes such a long time:

1. The District submits its draft report to the Division.
2. The Division reviews, comments, and sends it back to the District for revision.
3. The District revises and resubmits it to the Division.
4. The Division forwards it to the Board of Engineers for Rivers and Harbors and the Chief of Engineers.
5. The Board reviews it, issues a public notice of the conclusions and recommendations of the Division, receives public comments, and makes its recommendations to the Chief of Engineers.
6. Concurrent with Board review, the Office of the Chief of Engineers reviews it and furnishes appropriate guidance to the Board.
7. The Chief of Engineers prepares his report and, together with the reports of the District, the Division, and the Board, submits it to State Governors and interested Federal agencies for comment.
8. All reports and comments are forwarded to the Secretary of the Army, who reviews them and submits the project to the Office of Management and Budget (OMB) for consideration as part of the President's program.

9. If OMB accepts the project, the Secretary of the Army submits the proposed project to the Congress for authorization.
10. Congress holds hearings and authorizes the project.
11. OMB places the authorized project in the President's budget.
12. Congress holds hearings and appropriates money for the project.
13. OMB releases money for the authorized project.
14. The District begins post-authorization planning in two phases--a design memorandum and a functional design document.
15. Construction begins.

After step 1 in the above process, the public does not hear about the project--except for some who may receive the public notice at step 5--until step 14, when the District begins post-authorization planning. Inasmuch as this takes many years, by the time post-authorization planning begins, the composition of the public and the nature of their values may have changed. In many cases, public participation in post-authorization planning may have to be as intensive as in the initial planning phase.

Fifth, the physical setting under which most planners operate is deficient. Offices are cramped, with desks right next to each other. Privacy is nonexistent, and telephone calls, visitors, and small staff discussions adversely affect the concentration of everyone in the office. Under such conditions, planners are reluctant to invite citizens in for meetings unless, of course, they can arrange for conference room space. More important, with such strains on the staff's concentration, they have to be functioning at less than 75 percent capacity. Better and more private working conditions could result in all tasks being performed more efficiently. Time might even be freed for more intensive public involvement.

B. Public Constraints

The public itself imposes constraints on how Districts want to involve citizens in planning. First, the general public, even though it may be affected by the study, delays its active participation until the District has developed firm proposals. Attendance at the first two public meetings may be relatively light, but when the District Engineer is tentatively recommending an alternative at the final public meeting, those who support and oppose it will usually attend. Attendance at public meetings during the post-authorization planning is likely to be high, since the District now has an authorized project to which people can react.

Second, some organizations that are extremely antagonistic to the Corps have refused to participate in study planning--except to attack the Corps at public meetings. While these groups are aggressive enough for Districts to find out their positions even if they don't participate, the Districts may not always discover the reasons for their positions--which could be helpful in planning.

Third, some Districts have found that when private volunteer organizations agree to provide data or analysis, sometimes their commitments are not kept. When this happens, the planner is likely to question the need to continue to try to involve them. In one case, the District asked for data, private groups committed themselves to provide it, but they did not. The planner's response was, "We didn't really expect it, but we had to go through the motions."

Finally, some local agencies and sponsors have not been enthusiastic toward the Corps' attempts to increase its public involvement. In Seattle, some public agencies do not like to have their arguments recorded in the Public Brochure along with the arguments of nonprofessionals. While some have threatened to stop contributing, none has yet carried through the threat. In

another District, a local agency has stated that if the District intends to involve the public more intensively, it will refuse to participate; it represents the public!

None of the above constraints is debilitating since the public has generally responded well to district attempts to intensify public involvement. The constraints do suggest, however, that Districts may not always be able to involve the public in the way or to the extent they desire.

APPENDIX I

LIST OF TAP CONSULTANTS AND PARTICIPATING DISTRICTS

APPENDIX II

**PUBLIC PARTICIPATION
TECHNICAL ASSISTANCE PROGRAM
QUESTIONNAIRE**

PUBLIC PARTICIPATION TECHNICAL ASSISTANCE PROGRAM

Questionnaire

A. ROLES OF THE PUBLIC IN WATER RESOURCES PLANNING

1. We have classified the publics potentially involved in water resources planning into four groups:

- * elected officials...Federal, state, and local
- * government agencies.....Federal, state, local, and special district
- * interest groups and organizations...private groups of citizens affected by or interested in Corps planning in general or a specific study
- * study advisory groups.....set up and/or recognized by the District as representing the public interest on a given study
- * the general public.....unaffiliated individuals affected by or interested in Corps planning in general or a specific study.

We have also identified four roles which these classifications can potentially play in water resources planning: provide study data, provide values and preferences, make recommendations, participate in decisionmaking.

Below is a matrix of the classifications of publics and the roles. You are requested to identify the

role(s) that each classification of public is currently playing by checking (✓) the appropriate matrix box. (Note: obviously each participant can play more than one role).

	<i>Elected Officials</i>	<i>Govt. Agencies</i>	<i>Interest Groups and Organizations</i>	<i>Study Advisory Groups</i>	<i>General Public</i>
<i>Provide Study Data</i>					
<i>Provide Values and Preferences</i>					
<i>Make Recommendations</i>					
<i>Participate in Decisionmaking</i>					

2. Have any changes occurred in the above roles for any of the classifications of publics as a result of assistance from your TAP consultant?

yes

no

3. If yes, how?

B. DISTRICT ORGANIZATIONAL ROLES AND RESPONSIBILITIES FOR PUBLIC PARTICIPATION

1. We have identified eight types of Corps District personnel who might be involved: planning specialists (e.g., economists, hydrologists, environmentalists), the study manager, section chiefs (planning supervisors), Chief of the Planning Branch, Chief of the Engineering

Division, the PAO, the District Engineer, and other (someone not previously identified in the other seven types).

We have also identified a series of public participation functions and subfunctions (see matrix below).

Finally, we have summarized the roles that the District personnel can play in public participation into three : Manager (M), Participant (P), Advisor (A).

Below is a matrix of the types of District personnel and the public participation functions and subfunctions. You are requested to indicate, for each subfunction, the role (M, P, or A) each type of District personnel plays.

PUBLIC PARTICIPATION FUNCTIONS	DISTRICT PERSONNEL							
	Planning Specialists.	Study Mgr.	Sec. Chiefs	Chief, Plang. Br.	Chief, Engr. Div.	PAO	DE	Other
<u>Establish policies & objectives</u>								
<u>Develop program - individual study</u> Define publics								
Define information requirements								
Define program activities								
Prepare budget								
<u>Implement program - individual study</u> Overall implementation								
Prepare news releases								
Prepare mailing lists								
Prepare public notices								
Contact media								
Hold public meetings								
Assess public responses								
<u>Review, monitor, evaluate program</u>								

2. Have any changes occurred in the above roles as a result of assistance from your TAP consultant?

yes

no

3. If yes, describe the changes: _____

4. Have any changes occurred in the public participation functions as a result of assistance from your TAP consultant?

yes

no

5. If yes, describe the changes: _____

C. THE PUBLIC

1. To what extent is an organization's (or individual's) concerns given priority consideration in the planning process, depending on whether the organization or individual:

	<u>Top</u> <u>Priority</u>	<u>Priority</u>	<u>No</u> <u>Priority</u>
* resides in the study area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is directly affected by the potential alternatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is indirectly affected by the potential alternatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is the local sponsor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* has professional expertise in study matters under investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is a public agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is an elected official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Most districts use mailing lists as a basis for identifying publics concerned with a study. Do you do so?

yes

no

3. If yes (to question #2), describe how you develop, update, and use mailing lists:

4. If yes (to question #2), describe anything you use in addition to mailing lists to identify publics:

5. If no (to question #2), describe what you do to identify publics: _____

6. Do you feel that your methods are adequate to get a complete identification of publics, particularly those directly or indirectly affected?

yes

no

7. Have you had any special problems with organizations and individuals generally antagonistic towards the Corps?

yes

no

8. Have any changes occurred in your identification of publics as a result of assistance from your TAP consultant?

yes

no

9. If yes, describe the changes: _____

D. STUDY DIFFERENCES

1. To what extent does the scope and intensity of your public participation activities differ by percentage of study budget or nature of activity depending on whether the study:

	<u>Significant Difference</u>	<u>Slight Difference</u>	<u>No Difference</u>
* is pre-authorization, post-authorization, or continuing authorization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is limited purpose (e.g., navigation) or multiple purpose (e.g., basin).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is single or multiple political jurisdictions (state and local).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is urban or rural.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* is likely to be controversial.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* involves more than one Corps District.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
* involves a large or small geographic area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Has the scope and intensity of your public participation activities changed for any of these elements as a result of assistance from your TAP consultant?

yes

no

3. If yes, describe the changes: _____

E. PUBLIC PARTICIPATION TECHNIQUES

1. Assuming two broad purposes (obtaining information and informing and educating) for the use of public participation techniques, check below the specific techniques you have employed for these purposes:

<u>Obtaining Information</u>	<u>Informing & Educating</u>	
<input type="checkbox"/>	<input type="checkbox"/>	public hearings and meetings
<input type="checkbox"/>	<input type="checkbox"/>	workshop
<input type="checkbox"/>	<input type="checkbox"/>	community survey
<input type="checkbox"/>	<input type="checkbox"/>	public inquiry
<input type="checkbox"/>	<input type="checkbox"/>	public speeches
<input type="checkbox"/>	<input type="checkbox"/>	public forum
<input type="checkbox"/>	<input type="checkbox"/>	Delphi panel
<input type="checkbox"/>	<input type="checkbox"/>	life style analysis
<input type="checkbox"/>	<input type="checkbox"/>	situation simulation
<input type="checkbox"/>	<input type="checkbox"/>	public brochure (e.g., Seattle-type)
<input type="checkbox"/>	<input type="checkbox"/>	informational brochure
<input type="checkbox"/>	<input type="checkbox"/>	advisory committee
<input type="checkbox"/>	<input type="checkbox"/>	study task force

Obtaining Information

Informing & Education

newsletter

media content analysis

time and money budget analysis

other _____

other _____

2. Which of the above techniques has been the most successful (list according to purpose)?

Obtaining Information

Informing & Educating

3. Which of the above techniques have been the least successful (list according to purpose)?

Obtaining Information

Informing & Educating

4. Which of the above techniques would you like to try (list according to purpose)?

Obtaining Information

Informing & Educating

5. Have you tried any new techniques as a result of assistance from your TAP consultant?

yes

no

6. If yes, what techniques have you tried (list according to purpose)?

Obtaining Information

Informing & Educating

7. What influence has your TAP consultant had on your use of any public participation technique?

F. EFFECTS OF GREATER PUBLIC INVOLVEMENT

1. As a result of assistance from your TAP consultant, do you feel that greater public involvement in water resources planning will result in:

Yes

No

greater confidence in Corps

greater understanding of study and planning

consensus on problem/issue resolution

greater satisfaction of public needs

support for study

<u>Yes</u>	<u>No</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<i>more information from public</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>increased study costs</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>longer study periods</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>raising of unnecessary or extraneous problems</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>increased hostility towards Corps</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>misunderstandings</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>public frustrations in ability to affect planning</i>
<input type="checkbox"/>	<input type="checkbox"/>	<i>other</i> _____
<input type="checkbox"/>	<input type="checkbox"/>	<i>other</i> _____

G. USE OF OUTSIDE CONSULTANTS IN PUBLIC PARTICIPATION

1. To what extent did your TAP consultant contribute to increasing the effectiveness of the District's public participation activities?

<input type="checkbox"/>	<i>substantially</i>	<input type="checkbox"/>	<i>marginally</i>
<input type="checkbox"/>	<i>no contribution</i>		

2. To what extent do you feel that outside experts in public participation generally would increase the effectiveness of your public participation activities?

<input type="checkbox"/>	<i>substantially</i>	<input type="checkbox"/>	<i>marginally</i>
<input type="checkbox"/>	<i>no contribution</i>		

3. If you feel that they could contribute, then there are two broad roles (advisory and operational) which they could play in the four public participation functions identified in Section B1 above.

* the advisory role is one in which the consultant recommends policies, procedures, techniques, etc.

* the operational role is one in which the consultant operates principally as an extension of your staff to develop, implement, and/or review the public participation program.

For each of the four functions, check (✓) the role(s) where you feel that a consultant could make a substantial or marginal contribution.

	<i>Advisory</i>	<i>Operational</i>
<i>Establish policies and objectives</i>		
<i>Develop program - individual study</i>		
<i>Implement program - individual study</i>		
<i>Review, monitor, evaluate program</i>		

H. PUBLIC PARTICIPATION PROBLEMS

Districts participating in the TAP consultant program have identified a number of critical problems in public participation. They are listed below. If the list does not include some problems which you have, please add them to the list. Then identify the relative significance of the problems applicable to your District by giving one of the following relative values:

- Very Significant (1)
- Significant (2)
- Normal (3)
- Less Significant (4)
- No Significance (5)

- _____ *public apathy*
- _____ *study time delays*
- _____ *lack of public understanding*
- _____ *inability to sustain public interest over time*
- _____ *inadequate media interest and involvement*
- _____ *difficulties with militant opposition*
- _____ *inadequate public participation monitoring and evaluation*
- _____ *time pressures on staff*
- _____ *too few resources*
- _____ *limited effectiveness of public meetings and hearings*
- _____ *changing public values over time*
- _____ *incomplete identification of publics*
- _____ *unenthusiastic attitudes of local sponsors and public agencies towards public part*
- _____ *incomplete staff capabilities in public participation*

- _____
- _____
- _____
- _____

2. Have any of the relative values you assigned to the above problems changed as a result of assistance from your TAP consultant?

yes

no

3. If yes, list the three most important problems that have changed most in significance:

(Signature)

(District Engineer)

(District)

(Date)

Handwritten mark resembling a stylized 'L' or '7'.

Handwritten mark resembling a stylized 'M' or 'W'.

Vertical column of faint, illegible markings or text.