(CPC) Conflict Resolution & Public Participation Center

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The State of Collaboration in the Corps: A Field Perspective

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The Corps recognizes the value of, and need for, collaboration, partnering, and public participation in water resources decision making. To assist the Corps in implementing this collaborative approach, the Institute for Water Resources (IWR) has created a center of expertise on conflict resolution and public participation, the Conflict Resolution & Public Participation Center (CPC). CPC's mission is to help Corps staff anticipate, prevent, and manage water conflicts, ensuring that the interests of the public are addressed in Corps decision making.

CPC includes a focus on both alternative dispute resolution processes (ADR) and the integration of public participation techniques with decision support and technical modeling, known as Computer Aided Dispute Resolution (CADRe). CPC's Shared Vision Planning (SVP) program incorporates computer aided dispute resolution techniques to improve the economic, environmental and social outcomes of water management decisions.

This first report published by CPC is foundational in nature and sets forth the direction of the Center. IWR has published other reports centering on alternative dispute resolution processes and public participation techniques. Many of these can be found in the Alternative Dispute Resolution publication series and the Shared Vision Planning publication series on the IWR website.

For further information on the Institute's Conflict Resolution and Public Participation Center and CADRe-related activities please contact CPC Director Dr. Hal Cardwell, 703-428-9071 or via e-mail at hal.e.cardwell@usace.army.mil. For further information regarding the Institute's ADR or citizen participation activities, please contact CPC's Senior Advisor Dr. Jerry Delli Priscoli, 703-428-6372, or at jerome.dellipriscoli@usace.army.mil.

The State of Collaboration in the Corps: A Field Perspective

This foundational report provides recommendations from Corps District and Division staff on how to enhance the effectiveness of U.S. Army Corps of Engineers collaborations with external stakeholders to successfully carry out water resources planning and management missions. Its findings and recommendations provide a specific roadmap for how the Corps can move towards a greater culture of collaboration. Collaboration is critically important for achieving the missions of the Corps in the 21st century. Solutions to today's problems require reaching out to those with different authorities, perspectives, and resources to solve the various dimensions of these problems. This report represents the culmination of the "Collaborative Capacity Assessment Initiative," begun in the summer of 2008.

THE STATE OF COLLABORATION IN THE CORPS: A FIELD PERSPECTIVE

USACE Conflict Resolution & Public Participation Center

Final Report

May 2011 2011-CPC-R-04

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Staff from USACE's Conflict Resolution and Public Participation Center (CPC) - Jerome Delli Priscoli, Hal Cardwell, and Maria Placht - conceptualized the initiative and provided the oversight necessary to make this effort a success. They also edited this report and thus take all responsibility for any errors found within. Mr. Robert Pietrowsky, Director of the Institute for Water Resources, was a tireless advocate and source of advice.

Finally, and most importantly, hundreds of Corps Division and District staff candidly shared their understanding of the state of, and their suggestions for how to improve, the Corps' collaborative capacity. CPC's team was fortunate to work with such a dedicated and passionate group of individuals. The positive results from this Initiative are directly due to their efforts.

USACE Conflict Resolution & Public Participation Center
COLLABORATIVE CAPACITY ASSESSMENT INITIATIVE

Final Report

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EXECUTIVE SUMMARY

This report provides recommendations from Corps District and Division staff on how to enhance the effectiveness of U.S. Army Corps of Engineers (USACE or the Corps) collaborations with external stakeholders to successfully carry out water resources planning and management missions. The findings and recommendations found within this report provide a specific roadmap for how the Corps can move towards a greater culture of collaboration. Given the current environment of diminishing resources, increasing complexity, shifting priorities, and greater pressure to integrate across multiple disciplines, agencies, and jurisdictions, *collaboration is critically important for achieving the missions of the Corps in the 21st century.* Solutions to today's problems require reaching out to those with different authorities, perspectives, and resources to solve the various dimensions of these problems.

This report represents the culmination of the "Collaborative Capacity Assessment Initiative," begun in the summer of 2008, to:

- Assess the Agency's current capacity to collaborate with external stakeholders on water resources planning and management objectives;
- Elicit suggestions for capacity enhancements from the field; and
- Formulate priority recommendations for how to enhance the Corps' collaborative capacity.

"Managing water resources as a collaborative endeavor is becoming increasingly crucial as society faces demographic, economic, institutional, and climate changes manifesting across the U.S. and around the globe."

– Steven Stockton, Director of Civil Works

This initiative defines "collaborate" as the multitude of ways the Corps seeks to involve and work constructively with external stakeholders. This includes, but is not limited to, public participation, interagency and intergovernmental partnering, collaborative problem solving, consensus-building, and conflict resolution. This effort was led by the Corps' Conflict-resolution & Public-participation Center (CPC) at the Institute for Water Resources (IWR) with support from SRA International, Inc. (SRA). Under the guidance of CPC and a stakeholder Review Group, SRA developed an online collaborative capacity assessment survey, administered it to 230 Corps staff at the Division and District level identified as having particular experience and expertise in collaboration, and engaged most of them in dialogue about the assessment results and implications at a series of one-day workshops held with each of the Corps' eight Civil Works Divisions.

This report is a synthesis of the survey results and workshop participants' insights and feedback. The findings and recommendations convey an overall sense of the field regarding the Corps's capacity to collaborate. The report also incorporates discussions from the Initiative's culminating workshop at USACE Headquarters on April 28, 2010, where CPC and representatives from each Major Subordinate Command (MSC) presented the preliminary findings and recommendations.

This Initiative resulted in thirteen key recommendations, organized below by the five components of a system (institutional procedures; leadership, authority, and empowerment; individual skill sets; time and resources; and organizational culture) that supports, enables, and rewards the use of collaboration. Using a systems approach to assess the Corps' capacity to

collaborate enabled the identification of the holistic changes needed to move the Corps toward a *culture of collaboration*.

Institutional Procedures:

1. Revise project-level guidance to inform and support the effective use of collaboration.
2. Add appropriate metrics to monitoring and evaluation procedures to enable the Corps to accurately assess the costs, benefits, and overall effectiveness of current collaborative efforts and to support continual improvement the use of collaboration.
3. Ensure Corps personnel can readily access a cadre of national caliber facilitators and mediators to assist them with collaborative processes.

Leadership, Authority and Empowerment:

4. Corps leaders should provide targeted flexibility at the Division and District levels where vital to the success of strategically important collaborative processes.
5. Conduct a comprehensive analysis to determine whether specific laws, regulations, and policies under which USACE operates are consistent with USACE's commitment to the use of collaboration, and if not, look for opportunities to bring them into better alignment.

"As we transform USACE from 'Good to Great,' we must
- *learn how to communicate with our stakeholders and the public,*
- *understand and communicate risk*
- *engage the public in order to make more informed decisions."*

– Lt. Gen. Robert L. Van Antwerp, Chief of Engineers, U.S. Army

Individual Skill Sets:

6. Offer training, technical assistance, coaching, and mentoring for targeted Corps audiences (e.g., District and MSC staff at all levels along with executive workshops for key command levels) in topics related to collaboration.
7. Within the newly created Public Participation and Risk Communication Community of Practice, establish a professional development program for Corps personnel wishing to develop proficiency in the application of a wide range of collaborative techniques.
8. Document and disseminate success stories, lessons learned, and best practices regarding the use of collaboration by Corps personnel.

Time and Resources:

9. Make it easier for staff members who wish to use collaborative approaches to find and use existing sources of funding.
10. Emphasize sustaining collaborative processes and by extension provide more funding upfront for additional staff time.

Organizational Culture:

11. Leverage the capability of Vertical Integration Teams to help streamline Districts' and Divisions' efforts to obtain Headquarters' input, flexibility, support, and time-sensitive approvals related to collaborative processes.
12. Develop a communications strategy regarding the Corps' use of collaboration that meets the needs of both internal and external stakeholders.

"Collaboration is key to everything we do these days and really the only way we are able to formulate truly sustainable (politically, environ-mentally, and economically) projects."

– MSC Workshop Participant

13. Develop a better understanding of external stakeholders' views of the Corps' collaborative capacity and update the capacity-building strategy recommended in this report based on those findings.

To implement these recommendations and integrate them into USACE operations, CECW has tasked CPC to start addressing those field recommendations for which it has the capacity and resources (recommendations 3, 6, 8). For the other recommendations, CPC proposes the establishment of a national vertical team comprised of District, Division and Headquarters staff. This team will integrate ongoing collaboration-related initiatives highlighted at the Headquarters workshop. The team will oversee implementation of the recommendations along three parallel tracks:

1. Support USACE collaboration in ways that require no fundamental organizational changes (recs. 2, 3, 4, 6, 8, 9);
2. Alter relevant USACE organizational procedures, policies, or structures to support the use of collaborative methods (recs. 1, 7, 10, 11, 12); and
3. Support research and analysis to enable the Corps to implement the first two tracks effectively (recs. 2, 5, 13).

SUMMARY OF FINDINGS AND RECOMMENDATIONS

The following section provides a summary of the findings and related recommendations. Findings and recommendations are organized by components of the system (institutional procedures, leadership, authority, and empowerment, individual skill sets, time and resources, and organizational culture) that supports, enables, and rewards the Corps' use of collaboration in water resources planning and management.

A. Institutional Procedures:

Findings:

Finding A.1: Respondents expressed a need for modifications to USACE institutional procedures to more effectively encourage collaboration. For example, over half of the 230 Division and District-level respondents believe that USACE staff turnover, transfers or rotations make collaboration difficult. About one quarter of respondents believe that USACE institutional procedures (e.g. contracting, performance metrics, etc.) support collaboration. One third of respondents believe that USACE rewards employees for participating in collaborative activities.

Recommendations:

Recommendation A.1: Revise project-level guidance to accommodate and support effective use of collaboration. The revised guidance should make the use of collaboration as simple as possible. Specifically, the revised guidance should:

i. Provide increased procedural flexibility to accommodate and support collaboration;
ii. Strengthen procedures for coordinating internally, both vertically and horizontally, so that USACE personnel can speak with one voice in collaborative processes;
iii. Ensure that, when USACE is considering a new project in a particular watershed, agency personnel identify related efforts by others in the watershed (e.g., States, Tribes, local government, and/or non-governmental organizations) and build on those;
iv. Help staff members understand the federal government's government-to-government relationship with States and Tribes;
v. Ensure that when USACE HQ takes the lead on developing a "national" policy, it elicits and considers the views of all internal and external parties affected, to the maximum extent possible; and
vi. Ensure that when USACE asks for external parties' input, project staff let commenters know how their input has been used, and if it has not, provide the reasons for that.

Please see pp. 19-25 for specific suggestions about institutional procedures that could be brought into better alignment to support collaboration. Examples include: Appendix B of ER 1105-2-100, "Public Involvement, Collaboration, and Coordination," should be revised and broadly vetted using a work group; a more

specific definition of collaboration should be articulated for the purposes of USACE, drawing from the work of Actions for Change, IWR's Collaborative Planning publications, and other government agencies and academia; and new Planning guidance should be issued based on CEQ's forthcoming revisions of the Principles and Standards.

Recommendation A.2: Add appropriate metrics to USACE monitoring and evaluation procedures to enable the Agency to accurately assess the costs, benefits, and overall effectiveness of current collaborative efforts and to support continual improvement in USACE's use of collaboration. Recommending specific metrics is beyond the scope of this Initiative, but the aim should be to adopt outcome-oriented performance measures, rather than "output" measures. Developing such metrics requires detailed analysis and attention to how to phase in new measures. However, USACE can build on advances in this area by other federal agencies such as the US Institute for Environmental Conflict Resolution, the US Environmental Protection Agency, and the US Department of the Interior. USACE should take steps to recognize and reward effective use of collaboration. (See Recommendation C.2. for further discussion about ways of recognizing collaboration-related achievements.)

Recommendation A.3: Ensure USACE personnel can readily access facilitators and mediators to assist them with collaborative processes. Ways of implementing this recommendation include: (a) developing an internal database with search capability to locate qualified in-house facilitators and mediators; (b) establishing a roster of professional external facilitators and mediators with pre-established rates and contracting mechanisms to streamline access; and (c) development and dissemination of guidelines for how to select an appropriate facilitator or mediator for a particular situation.

B. Leadership, Authority and Empowerment:

Findings:

Finding B.1: Most respondents to the on-line assessment see USACE leadership and Congress as supportive of collaboration. Yet virtually all respondents and workshop participants seek more accessibility, timelier reviews, tighter coordination and more flexibility from USACE leadership to help ensure the success of collaborative approaches. Workshop participants reported being empowered to work out a solution with stakeholders at the District level but then, too often, having the negotiated agreements questioned upon review at Headquarters.

Finding B.2: Most respondents to the on-line assessment reported that they are confident in their knowledge / ability to work within USACE legal, regulatory, and policy parameters. Respondents to the on-line assessment and most workshop participants, find that some aspects of the laws, regulations, and policies under which USACE operates make collaboration difficult. The

missions of executive branch agencies sometimes conflict. In some cases, limits to USACE collaboration may be due to the content of a statute or regulation. In other cases, the primary obstacle may be the manner in which a law, regulation, or policy is interpreted. For example, the requirements of the Federal Advisory Committee Act seem to be interpreted differently in various Divisions, in various Districts within a particular Division, and between various attorneys within the same District. Having local project sponsors drive stakeholder engagement decisions reportedly constrains the use of collaboration in some cases.

Recommendations:

Recommendation B.1: USACE leaders should signal that they have "heard" and understand the need for targeted flexibility at the Division and District levels where vital to the success of strategically important collaborative processes, and that they will provide it where necessary. Headquarters participants in the April 28, 2010 workshop noted that this recommendation bumps up against their efforts to foster consistency across USACE in the implementation of policy and guidance. The key is to find the right balance between fostering consistency and organizational adaptability in an increasingly complex and dynamic operating environment. To help find this balance, those from the review levels of the Agency should visit and observe or participate in ongoing collaborative processes both so that they can appreciate the complexities, challenges and rewards of such processes and so that field staff and stakeholders can appreciate the need and reasons for national consistency. In reviewing agreements developed through accepted and legitimate consensus-building processes at the Division or District levels, Headquarters should only seek modifications to these agreements if deemed critically important.

Recommendation B.2: Conduct a comprehensive analysis to determine whether specific laws, regulations, and policies under which USACE operates are consistent with USACE's commitment to the use of collaboration, and if not, look for opportunities to bring them into better alignment. (See pp. 28-31 of the report for specific suggestions for laws and policies warranting review.) This review should include:

i. Assessing newly emergent federal policies encouraging collaboration, which may necessitate revision of certain USACE policies for consistency;
ii. Identification of situations where varying interpretations of a law, regulation, or policy are problematic in and of itself, and suggestions for ways of creating more consistent interpretation in a manner as supportive of collaboration as possible; and
iii. Reflection on the appropriate locus of decision-making authority between USACE and local project sponsors with respect to the use and implementation of collaborative processes.

It may be unrealistic to expect statutory amendments and policy revisions solely to remove obstacles to collaboration; however, the comprehensive review recommended herein will put legislators (in the case of amendments) and USACE leaders (in the case of policy revisions) in the position to remove such obstacles

when statutes and policies are amended or revised for other reasons. USACE should consult external stakeholders for input into this review. (For related discussion of training to enhance consistency in FACA implementation, please see Recommendation C.1.)

C. Individual Skill Sets:

Findings:

Finding C.1: Most respondents to the on-line assessment expressed confidence in their ability to use numerous collaborative skills, and their ability to work effectively with stakeholders from a wide variety of sectors. Skills in which they feel confident include listening to stakeholders non-defensively; meeting management; establishing interpersonal understanding; translating the technical into lay terms; knowing how and when to engage in dialogue with stakeholders; group problem solving; and working within USACE parameters. Respondents expressed less confidence about their ability to design a stakeholder engagement process to fit a particular situation; negotiate (particularly using interest-based negotiation); use collaborative modeling; consult with Native American groups; engage labor union interests; manage conflict; and structure agreements. Participants also reported clear inconsistencies across USACE in the implementation of the Federal Advisory Committee Act, suggesting uncertainty or confusion about what is required and what is possible under this statute.

Finding C.2: Whereas the USACE leadership and workforce used to have extensive training in public participation, this situation has dramatically changed. Most respondents do not know where to find practical collaborative tools and access the benefit of colleagues' experience with collaboration. Fewer than half of respondents have had training in collaborative leadership, assessing the feasibility of collaborative approaches, consensus-building, and working across identity groups. Over half of respondents requested training in these topics.

Recommendations:

Recommendation C.1: Offer training, technical assistance, coaching, and mentoring for targeted USACE audiences (e.g., District Engineers, members of the Senior Executive Service, and mid-level staff) in key topics related to collaboration. Priority topics include: (a) collaborative leadership; (b) how to assess the feasibility of using a collaborative approach in a particular situation and, if feasible, design an appropriate collaborative process; (c) consensus-building, including interest-based negotiation and structuring agreements; (d) when and how to draw upon collaborative modeling to support a collaborative process; (e) working across identity groups; (f) the essentials of government-to-government consultations with Native Americans; and (g) understanding the in's and out's of FACA. Ensure staff members know how to engage the full range of stakeholder sectors.

***Recommendation C.2*: Within the newly created Public Participation and Risk Communication Community of Practice, establish a professional development program for USACE personnel wishing to develop proficiency in collaboration.** This program should offer interested individuals a roadmap for developing their skills in this area, with various courses and other types of learning experiences representing milestones along the way. The program should include ways of recognizing staff's collaboration-related achievements (e.g., issuing certificates for course completion and completion of the program as a whole; spot bonuses for sharing how-to information with others via published articles, brownbags, or public speaking engagements; and more substantial awards for stellar results achieved with the use of collaborative methods).

***Recommendation C.3*: Document and disseminate success stories, lessons learned, and best practices regarding the use of collaboration by Corps personnel.** An immediate next step in this regard is for CPC to make widely available the "stories" presented by Division and District personnel during the workshops for this Initiative. Beyond that, CPC should use the annual data call for Use of ECR in USACE (required by CEQ & OMB) to develop a mechanism for efficiently collecting and sharing stories on an ongoing basis on both third party-assisted and other collaborative processes.

D. Time and Resources:

Findings:

***Finding D.1*: Over half of respondents reported that they know how to successfully fund and launch collaborative initiatives, although this was less true for longer initiatives requiring multi-year funding**. Most respondents reported that they had access to the technical and legal expertise needed to support collaborative processes.

***Finding D.2*: Respondents indicated that it is often challenging to find time and resources to effectively support collaborative projects.** Slightly over half of respondents to the on-line assessment reported that they had access to the process support (e.g., facilitation and mediation) they needed for effective collaboration. USACE's project-oriented, line-item funding approach can make funding collaborative processes difficult. Funds for collaboration are not easy to program, and collaboration often ends up in a peripheral position if included at all. Those who have gone through collaborative processes report that the use of collaborative processes can make more cost-effective use of available resources (i.e., through public / private cost-sharing) and can cost less than alternative approaches.

Recommendations:

***Recommendation D.1*: Make it easier for staff members who wish to use collaborative approaches to find and use *existing* sources of funding.** This can be done by establishing and/or publicizing internal mechanisms to encourage and

fund stakeholder participation in collaborative processes; educating staff members about all aspects of funding collaborative processes (including balancing performance based budgeting and allocations across Divisions); allowing more flexibility in the way funds are used (e.g., permitting their use for watershed-scale collaborative processes, not just specific projects within a watershed; making it easier to transfer funds between partners to support a project of mutual interest); and encouraging USACE leaders to proactively assist staff members in locating available funds to collaborate with external stakeholders.

Recommendation D.2: Provide more funding (and authorize adequate staff time) for sustaining collaborative processes, and provide it upfront. This includes resourcing Headquarters staff members to enable them to provide the upfront attention and faster turn-around responses being requested by District and Division personnel.

E. Organizational Culture:

Findings:

Finding E.1: Respondents see collaboration as very important, have had positive experiences with it, and use it frequently. Almost all respondents believe that the success of the USACE mission depends on working effectively with stakeholders. Most respondents believe that USACE's organizational culture supports collaboration. Most respondents believe that USACE collaborates well with water resources stakeholders. Most respondents believe USACE does a good job of considering stakeholder input and using it where appropriate, although they tend to believe that USACE often falls short of the mark in letting stakeholders know if and how their input has been used.

Finding E.2: Respondents believe that the USACE organizational culture needs to become less rule-bound, more supportive of watershed-scale initiatives, and more open to change. There is a perception that the Agency's hierarchical organizational culture and high value on control sometimes inhibit collaboration, and that USACE's hierarchical approach can make it difficult to be responsive to stakeholders. (For related discussion, see Finding B.1 and Recommendation B.1.)

Finding E.3: Many workshop participants reported that some external stakeholders have negative perceptions about USACE's collaborative capacity. Examples offered include perceptions that:

(a) stakeholders are involved too late in the process (e.g., after a problem and solution have been identified vs. as soon as a potential problem is identified);
(b) stakeholder input has not, and will not, be considered or valued;
(c) USACE is only concerned with navigation and not environmental issues;
(d) USACE budget constraints are likely to prevent USACE District personnel from sustaining continuity in USACE's engagement with stakeholders;
(e) USACE has too many non-negotiable contracts, procedures, and agreements that unduly constrain collaboration;

(f) USACE is too risk-averse, and thus collaboration with the Agency is not worthwhile;
(g) USACE-funded research is likely to be biased;
(h) USACE staff members are not effective at translating technical terms into lay language;
(i) USACE falls short on cost and timeliness; and
(j) USACE is highly complex and inelastic.

Workshop participants also felt external stakeholders are not aware of USACE efforts to become a better collaborator.

Recommendations:

Recommendation E.1: Ensure that there is an effective ombudsperson function to help streamline Districts' and Divisions' efforts to obtain Headquarters' input, flexibility, support, and time-sensitive approvals related to collaborative processes. According to participants in the Headquarters workshop, the Regional Integration Teams (RITs) are intended to support communication between Districts, Division and headquarters. During the Division workshops, RITs were mentioned to be valued by the field. Yet District and Division level personnel consistently expressed the need for more help in getting Headquarters' input, flexibility, support, and time-sensitive approvals. This suggests it might be helpful to assess ways to amplify or leverage the valued assistance from the RITs.

Recommendation E.2: Develop Agency-level communications strategy regarding USACE's use of collaboration that meets the needs of both internal and external stakeholders. Internal stakeholders need to know where to get help with collaborative processes; what parameters they need to work within as they engage in collaboration on behalf of USACE; where they can access USACE's current training on applicable laws, policies, what is negotiable and what is not; and the support they can expect from Headquarters. For example, any published timeframes for Headquarters' responses are meant as targets, and the actual turn-around time depends on document complexity, quality, relationship to the priorities the pertinent Division has communicated to Headquarters, and staff availability; thus, providing as much lead time on requests as possible is advised.

External stakeholders need to understand the circumstances under which USACE can use collaborative approaches and the constraints within which USACE must function. The communications strategy should include materials to orient external stakeholders to targeted USACE procedures that will help stakeholders effectively collaborate with USACE (e.g., the USACE study process). An externally-oriented booklet on "Collaborating With the Corps" and an internal booklet on "Using Collaboration on Behalf of the Corps" might help to increase awareness and align expectations of all concerned. The communications strategy should also include a short (10-15 min.) briefing for new Commanders, orienting them to collaborative approaches and their potential benefits.

<u>Recommendation E.3</u>: Develop a better understanding of external stakeholders' views of USACE's collaborative capacity and update the capacity-building strategy recommended in this report based on those findings. This recommendation should be implemented through: (a) analysis of information on external stakeholder perceptions available through the USACE Customer Satisfaction Surveys and the "Collaborating for a Sustainable Water Future" Initiative; and (b) through direct communication with States, Tribes, partner organizations, and stakeholders. These communications should draw upon creative public input techniques to get the views of those whose voices are not usually heard. The Customer Satisfaction Surveys contain pertinent data, but expanded efforts are needed to understand the full range of stakeholder perspectives on USACE's collaborative capacity, including those of non-governmental organizations and local watershed groups who do not generally serve as project co-sponsors. Some of the external members of the Review Group have offered to assist in gathering such information if funding could be provided. This information can inform implementation of recommendation A.2 to "Add appropriate metrics to USACE monitoring and evaluation procedures to enable the Agency to accurately assess the costs, benefits, and overall effectiveness of current collaborative efforts."

These recommendations build upon and complement those that have emerged from a number of related studies and consultations, including:

- Stuart Langton's 1996 "An Organizational Assessment of the U.S. Army USACE of Engineers in Regard to Public Involvement Practices and Challenges," which recommended that USACE undertake system-wide efforts to ensure that the Agency can effectively relate to and involve the public in the future;
- James Creighton and Steven Pugh's 2006 "Collaborative Planning in Action," which identified several institutional barriers to collaborative planning, including internal disagreements within USACE; lengthy policy reviews reducing momentum and creating uncertainty; changing USACE priorities; and the belief that USACE policy requires that all plans need to be within the power of the Agency to implement; and
- James Creighton's 2008 study, "Institutional Barriers to Implementing Collaborative Planning," which analyzes obstacles to collaboration that were identified during the research for "Collaborative Planning in Action."

There is substantial convergence in these reports. Their findings are consistent with one another, reinforce each other, and paint an increasingly nuanced picture of the obstacles that stand in the way of those internal and external to USACE who see value in working together on shared goals. Fortunately, they also articulate a clear and coherent roadmap for the path over, under, and through these obstacles, drawing upon a "systems" analysis to identify the intervention points that will have the most expeditious impact.

I. INTRODUCTION

The degree of emphasis that the U.S. Army Corps of Engineers (USACE or the Corps) has placed on public participation, collaboration with stakeholders, and consensus-based conflict resolution has risen and fallen over the past 40 years. In the past decade, there has been a bipartisan embrace of these management strategies, and at this point in time, it is an approach to "doing business" behind which the Administration and USACE leaders are throwing their full support. A 2004 Executive Order to facilitate "cooperative conservation" was followed in November, 2005, by a policy memorandum on environmental conflict resolution (ECR) jointly issued by the Director of the Office of Management and Budget and the Chairman of the Council on Environmental Quality. The 2005 memo directed executive branch agencies to increase their effective use of ECR and collaborative problem-solving, as well as their institutional capacity to use these strategies. Immediately upon taking office (January 21, 2009), President Barack Obama issued an executive memorandum directing his Administration to do their utmost to ensure that the U.S. Government is transparent, participatory, and collaborative. This emphasis on collaboration is now reflected in many USACE strategies, plans, and reports, from Civil Work's Strategic Plan to the USACE Campaign Plan (see, in particular, Goals 2b and 4b). Related guidance was issued for USACE planners in 2000 (ER 11-5-2-100, Appendix B, "Public Involvement, Collaboration, and Coordination") and 2005 (EC 1105-2-409, "Planning in a Collaborative Environment").

It was in this context that in the summer of 2008, the U.S. Army Corps of Engineers (USACE) launched an 18-month "Collaborative Capacity Assessment Initiative" to take stock of USACE's current capacity to collaborate with external stakeholders on water resources planning and management objectives and synthesize recommendations from the field. The effort was led by USACE's Conflict-resolution & Public-participation Center of Expertise (CPC) at the Institute for Water Resources (IWR) with support from SRA International, Inc. (SRA). As described in the methods section, this effort utilized an online assessment tool, one-day workshops in each of the eight Major Subordinate Commands (referred to as MSCs or Divisions), and a half-day workshop at USACE Headquarters. This report presents the findings and recommendations of the Collaborative Capacity Assessment Initiative.

This report first reviews the Collaborative Capacity Assessment Initiative's method and presents the quantitative and qualitative findings, followed by recommendations for how collaborative capacity can be enhanced across USACE. The report then describes how this Initiative's recommendations build upon and complement those that have emerged from a number of related studies and consultations. Finally, the report suggests next steps. The report includes the following eight appendices: a list of Review Group members (A); the literature review upon which the assessment tool was based (B); the online assessment questions (C); the online assessment quantitative findings (D); a sample workshop agenda and presentations (E); each Division's recommendations for USACE initiatives to build collaborative capacity (F); each Division's suggestions for individual actions to enhance collaborative capacity (G); a matrix of the recommendations from this Initiative (H); a table of HQ and MSC results (I), and James Creighton's 2008 study, "Institutional Barriers to Implementing Collaborative Planning" (J).

Definitions for a few key terms were provided to participants for use in completing the online assessment, as follows:

- "Stakeholder" refers to organizations, nations, individuals, and partners outside the Corps with whom we must work effectively in order to accomplish our mission (e.g., other federal entities,

Tribes, State and local governments, NGOs, the public, etc.) and those who are significantly affected by our work.

- "Collaborate" is used broadly to encompass the multitude of ways we seek to involve and work constructively with stakeholders. This includes, but is not limited to, public participation, partnering, collaborative problem solving, consensus-building, and conflict resolution."[1]
- "Collaborative Modeling" is used broadly to refer to "modeling approaches in which modelers and stakeholders interact directly (e.g., during model development; discussing modeling results, etc.).

[1] Participants reported that there are many different definitions of collaboration in common use within USACE, and expressed a desire for USACE to articulate a clear, consistent definition of "collaboration," "stakeholders," and what "successful collaboration" looks like. Agranoff and McGuire define collaboration as "the process of facilitating and operating in multi organizational arrangements to solve problems that cannot be solved, or solved easily, by single organizations" (Agranoff and Mcguire, as cited in Agranoff, 2006).

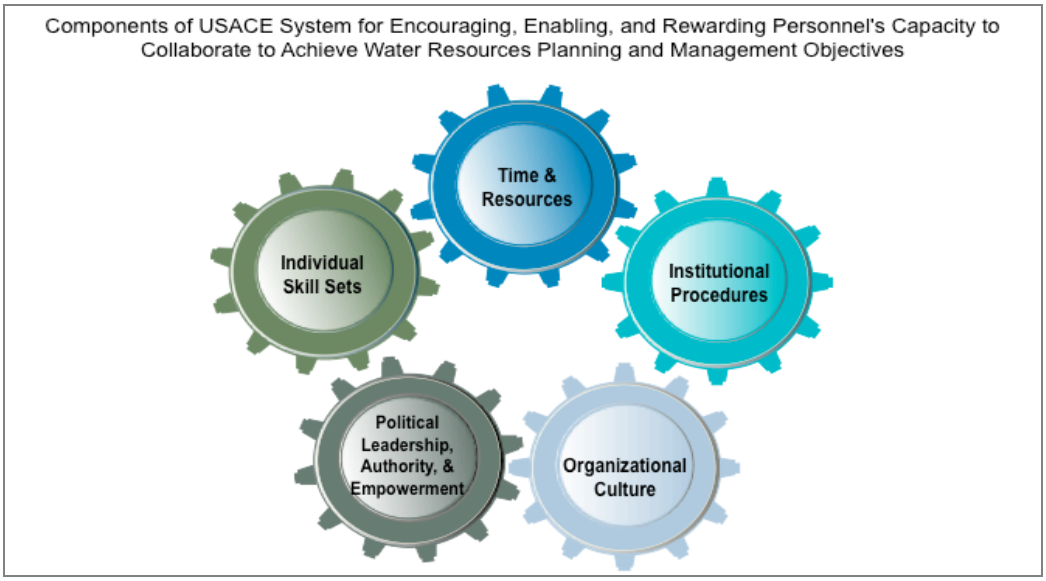
II. METHODS

The findings and recommendations in this report are based primarily on quantitative data collected from an online assessment completed by a total of 230 USACE staff and managers drawn from all eight Divisions. The purpose of the online tool is to provide a macro assessment of USACE's capacity to collaborate with external stakeholders in water resources planning and management. It was developed on the basis of a literature review focused on the components of collaborative capacity in the public policy arena (see Appendix B). The Review Group, consisting of both internal and external stakeholders with experience in the use of collaboration in the water arena, provided feedback on multiple drafts of the assessment tool (see Appendix A).

The online assessment was designed to tap individual, group, and organizational levels of collaborative capacity by focusing on the major components of the "system" that supports, enables, and rewards the use of collaboration in the water resources planning and management arena. The system components, as shown in Figure 1, were derived from the literature review and include: (A) institutional procedures; (B) leadership, authority and empowerment; (C) individual skill sets; (D) time and resources; and (E) organizational culture. Items at the individual level pertain to collaborative problem solving skill, time management skill, conflict management skill, skill in communicating openly and supportively, knowledge of shared goals, and attitude toward collaboration. Items at the group level pertain to team member role definition, team member expertise (e.g., technical, strategic, legal), and team member integration. Items at the organizational level pertain to leadership, policies, incentives, time, and money. The referent for most items is the "organization" or "coworkers"; the assessment primarily focuses on employee perceptions of the collaborative capacity of USACE as a whole.

The online assessment consisted of 84 questions, most of which were multiple choice and asked the user to respond within a 5-point range from "strongly agree" to "strongly disagree," with options for "do not know" and "not applicable." A copy of the assessment questions can be found in Appendix C, and the complete quantitative results of the online assessment can be found in Appendix D. The questions included in the online assessment reflected feedback from a pilot test.

Figure 1: System Components that Support Collaboration
This graphic highlights the major components of the "system" that supports, enables, and rewards the use of collaboration in the water resources planning and management arena.



Qualitative data is also included, and is drawn from two sources: 1) answers to an open-ended question in the online assessment, which invited respondents to offer other insights; and 2) discussions that took place during one-day workshops held in each Division, attended by 209 Division and District staff. [2] The purposes of the workshops were to discuss the Division's results from the online assessment, introduce the Divisions to USACE's new Conflict-resolution and Public-participation Center of Expertise, and update them on the latest policy developments regarding USACE's use of collaboration. A sample agenda and presentations from one of the workshops is included as Appendix E.

During these one-day workshops, Division personnel shared examples of collaborative initiatives in which they had been involved (highlights captured in green boxes throughout this report) and discussed the factors that supported the success of these initiatives, as well as challenges they had to overcome. Participants offered further insights on factors that enhance USACE's collaborative capacity and factors that hinder it as they discussed their Division's online assessment results. In addition, participants in each Division-specific workshop identified and prioritized steps that USACE and the Director of Civil Works could take to enhance USACE's collaborative capacity (included at Appendix F). Participants in each workshop also developed a list of actions individual staff members could take to contribute to this goal (included as Appendix G). The Points of Contact and Review Group members were invited to review and comment on an earlier draft of this report. Appendix H is a matrix of this Initiative's recommendations.

Draft findings and recommendations were developed based on input from the online assessment and eight workshops. These draft findings and recommendations were the focal point of

[2] Details from each Division's workshop, including attendees, case studies, and meeting notes, can be found on the Corps' internal sharepoint site: https://kme.usace.army.mil/CoPs/PPRC/CCAI/default.aspx

discussions at a half-day workshop held at USACE Headquarters on April 28, 2010. Eight individuals from Headquarters completed the online assessment in preparation for the Headquarters workshop. Although the small sample size limits the usefulness of the results, Appendix I shows the aggregated Headquarters results compared with the aggregated results from the workshops held in the eight divisions around the country. Differences of note include Headquarters respondents:

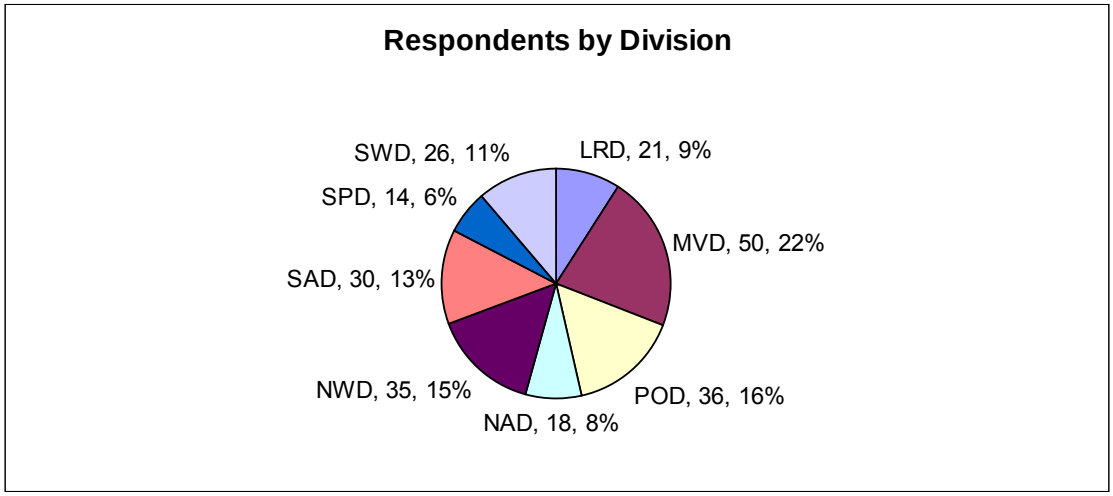
- Have more confidence than field staff in the following collaborative skills: using interest-based negotiation; using negotiation; translating technical information; working with Native American and minority groups, labor, business & industry; and non-profit organizations;
- Are more likely to have had training in all collaborative skills, but especially in collaborative leadership, assessing the feasibility of using a collaborative approach, consensus building or collaboration, and working across identity groups; and
- Are more likely to know where to find out about others' experiences with collaboration.
- Tend to use collaboration "occasionally," rather than "frequently";
- Are more likely than field staff to see USACE as doing a good job of letting stakeholders know how their input has been incorporated into USACE decisions
- Are less likely than field staff to see the following variables as impediments to collaboration: staff turnovers, transfers, or rotations; conflicting USACE policies; and situations when USACE is not the lead organization in a collaborative process;
- Are more likely than field staff to identify laws under which USACE operates as impediments to collaboration;
- Are less likely than field staff to perceive USACE's organizational culture as supportive of stakeholder collaboration;

Participants in the Headquarters workshop included 23 senior managers at USACE Headquarters, 9 individuals from Divisions and Districts ("Points of Contact," or "POCs," who have partnered with CPC in the implementation of the Collaborative Capacity Assessment Initiative), as well as CPC personnel and their contractor. This final report incorporates insights and suggestions offered at the Headquarters workshop and represents the final findings and recommendations of the Collaborative Capacity Assessment Initiative.

III.OVERVIEW OF RESPONDENTS

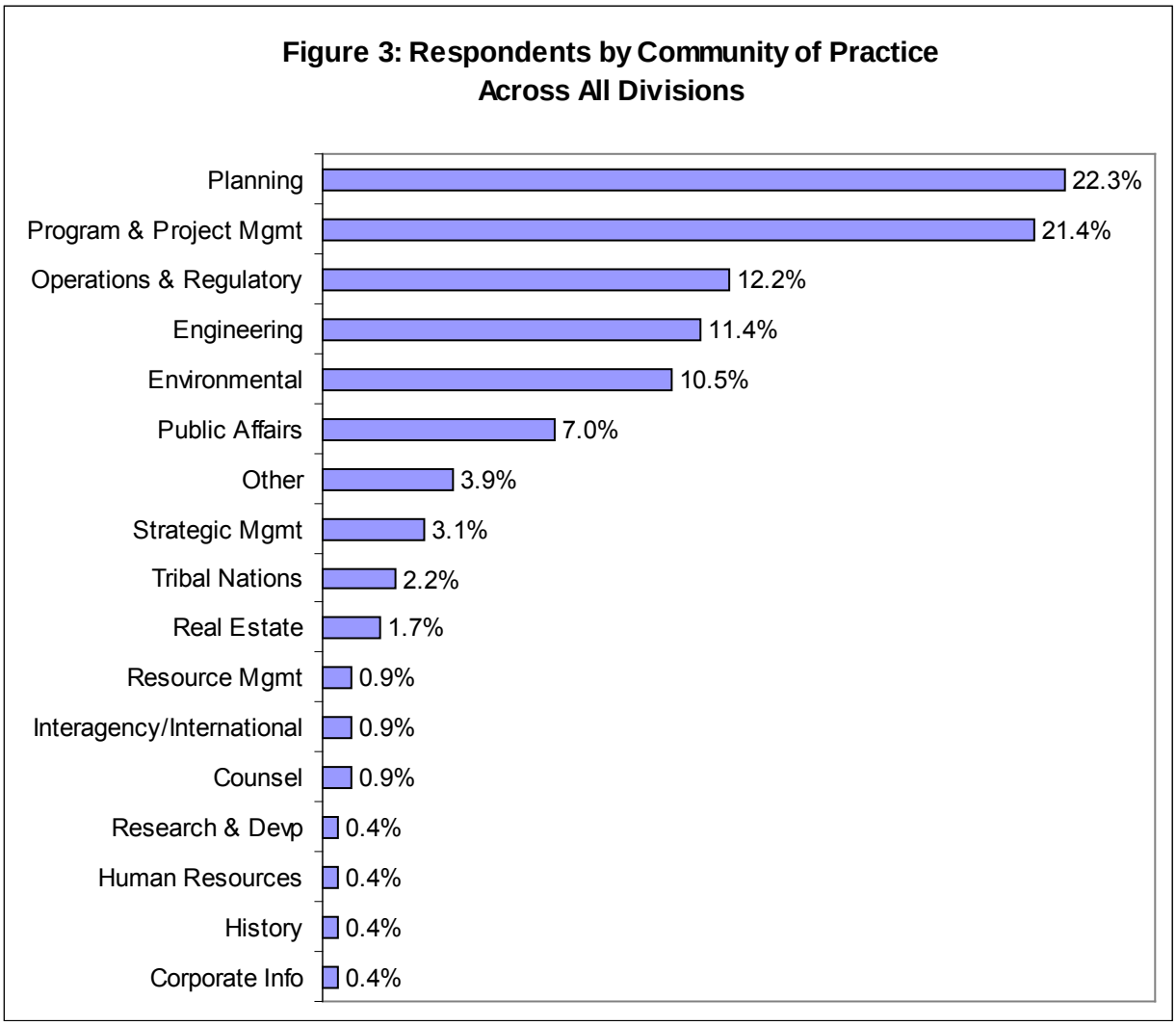
The assessment tool was completed by a total of 230 USACE employees across all eight Divisions, as shown in Figure 2. Participants were recruited by Division Points of Contact (POCs) based on their experience and/or interest in USACE's use of collaboration on water resources challenges and the goal to involve mid-level managers from as many business lines as possible in each workshop. Business lines represented in the workshops included Flood Risk Management, Navigation, Ecosystem Restoration, Regulatory, Recreation, Hydropower, and Water Supply.

Figure 2: Respondents by Division



Efforts were made to recruit a group that was also diverse with respect to communities of practice (see Figure 3). Thus, sampling was "purposive" rather than random. The sample can be expected to reflect the views of those within USACE who are most experienced, interested and supportive of the use of collaboration, rather than the "typical" view of USACE personnel. While 230 USACE staff completed the assessment, this is a very small subset of the 24,000 employees in USACE's Civil Works mission.

Figure 3: Respondents by Community of Practice Across All Divisions



To give a sense of the collaborative experience of the respondents: 73% reported that they had served as USACE representatives in collaborative processes; 69% as technical experts; 59% as group leaders; 49% as facilitators and 41% as conveners. The group varied widely in the number of water resources projects they have worked on while employed at USACE, as well as the number that involved collaboration with external stakeholders. As far as age, 18% are between 31 and 40, 41% are between 41 and 50, and 30% are between 51 and 60. Male respondents accounted for 65% of the total, while 35% were female. All had at least a 4-year college degree and about half had a masters or law degree as well.

In general, the percentage of neutral responses (i.e., neither agreed nor disagreed) for each question is 10 to 20% and the combined "not applicable/don't know" responses are about 5%. These percentages increased, however, for many of the policy and leadership related questions. This may mean that fewer respondents are familiar with these areas.

IV. FINDINGS AND RECOMMENDATIONS

This section describes quantitative and qualitative findings and recommendations, organized by the "system" components, which include: (A) institutional procedures; (B) leadership, authority and empowerment; (C) individual skill sets; (D) time and resources; and (E) organizational culture. Within each finding, the text is separated into three categories:

- **Results from the Online Assessment Tool**
- **Additional Insights from Participants**: These include ideas, perceptions, and examples shared in open-ended questions in the online assessment tool and discussions during the eight Division workshops, which were primarily focused around mini case-study presentations and the review of the assessment tool results.
- **Workshop Participants' Suggestions for Ways to Enhance Collaborative Capacity**: These include specific recommendations staff provided as to how to strengthen USACE ability to collaborate with external parties on water resources planning and management.

At the end of each of the "system" component sections, the **Overall Recommendations** are listed. These integrate and build upon all sources of data and the insights of those involved in this initiative.

The findings are organized by "system" component letter and are then ordered numerically. For example, the first finding under institutional procedures is "finding A.1," while the first recommendation is "recommendation A.1."

A. Institutional Procedures

This component of the system focuses on the practical tools USACE uses to encourage, track and evaluate collaboration. The findings highlighted Division and District respondents' desires for more recognition for engaging in collaborative processes and for collaboration to be more engrained in procedures. They shared practical ideas on how to do this, such as ensuring collaboration is included in policy directives and operating principles and that it is tracked in USACE metrics and codes, performance measures, project management plans and incorporated into individual performance reviews. They also highlighted the need for some flexibility in following established policies and procedures when important to the success of a collaborative process, and suggested an ombudsperson at IWR or Headquarters to help when such situations arise. Staff highlighted some challenges related to USACE turnover and rotations and offered some related recommendations.

FINDING A.1 RESPONDENTS SEE A NEED FOR MODIFICATIONS TO USACE INSTITUTIONAL PROCEDURES TO MORE EFFECTIVELY ENCOURAGE COLLABORATION.

Results from the Online Assessment Tool

The assessment results showed that there may be a need for some improvements in institutional procedures to support and reward effective use of collaboration in water resources planning and management.

- 55% agreed that USACE staff turnover, transfers or rotations make collaboration difficult.

- 23% believe that USACE institutional procedures (e.g. contracting, promotions, etc.) support collaboration; 31% disagreed.
- 33% agreed that USACE rewards employees for participating in collaborative activities, and 19% disagreed. There was some variance among Division and Districts; 50% of NAD respondents agreed that employees are rewarded; 14% of SPD agreed.

Additional Insights from Participants

When USACE is considering a new project in a particular watershed, USACE personnel should identify related efforts by others in the watershed (e.g., States, Tribes, local government, and/or non-governmental organizations) and build on those.
Guidance is needed to:

- Help staff understand the federal government's government-to-government relationship with States and Tribes.
- Ensure that when USACE takes the lead on developing a "national" policy, it reflects the shared views of all those affected, to the maximum extent possible.
- Ensure that, whenever USACE asks for external parties' input, project staff let commenters know how their input has been used, and if it has not, provide the reasons for that.

- USACE policies and standard operating procedures often differ from those of partners, which can present challenges to collaboration.
- Partners, and some USACE staff, do not understand the USACE process; it needs to be explained.
- USACE should focus on outcomes and metrics rather than just collaborating for collaboration's sake.
- Contracting rules are too rigid for collaborative decisions.
- There is a need to better document actions taken throughout the project (i.e., an administrative record).
- We need to measure successful collaboration and translate it into a standardized performance evaluation.
- It is helpful to involve external collaborative process contractors early, during the design phase.
- Business lines that currently have the most access to funding may be hesitant to make internal funding processes more transparent and thus accessible to other business lines.

Participant Suggestions for Better Aligning Institutional Procedures to Support Collaboration

Incorporate into Guidance

23% believe that USACE institutional procedures (e.g. contracting, promotions, etc.) support collaboration.

- Develop a more specific definition of collaboration for the purposes of USACE, drawing from the work of Actions for Change and Collaborative Planning publications from IWR;
- Develop guidelines, goals, objectives, charging practices, and performance controls to be used in collaboration, including procedures to enable variation from standard USACE policy where appropriate.

- Ensure that Planning and Guidance policy directives, environmental operating principles, Engineering Circulars, and Project Management Plans reflect the collaborative approach. Specifically:
    - The "Planning in a Collaborative Environment" EC is due for an update;
    - CEQ is presently revising the Principles and Standards and so it may be timely to provide input based on the findings of this Initiative.
    - Appendix B of ER 100 on Public Involvement, Collaboration, and Coordination should be revised and broadly vetted using a work group.
- Make it more obvious where to find the "Game Rules" (e.g., post answers to Frequently Asked Questions related to operations on a designated website); provide strategic internal communications about available USACE collaboration procedures so staff members know how to collaborate on behalf of USACE.

The Corps convened parties from 15 states for the Ohio River Basin Collaboration Initiative by setting realistic expectations, being sensitive to the perceptions of others, facilitating instead of dictating, and following up with partners to explain how their input was used. LRD took advantage of a lack of specific guidance and used the freedom to be creative.

Track in Metrics and Project Codes

- Develop metrics to track the benefits of collaboration for meeting project goals.
- Modify the structure of funding accounts to specifically allocate and track funds used for collaboration, including assistance provided to other federal agencies.
- To the extent that metrics are already collected, make use of that data to enhance future collaboration; let staff know how the data has been used so they continue to provide good-quality data.

Track in Project Management Plan

- Include collaborative processes in the project management and communication plans.
- Document key information in the project management plan.

Allow Flexibility in Procedures

- Create mechanisms by which staff can request variances from established procedures when important to the success of a collaborative process.
- Allow flexibility in planning performance measures to promote collaboration.
- Create an ombudsperson at IWR or Headquarters to help navigate Corps procedures to support collaborative processes; ideally, this person should have a legal background to facilitate USACE Counsel's collaboration.

Staff Recognition

- Provide examples or templates for how to integrate collaborative skills into individuals' performance reviews.
- More frequently and systematically recognize and reward excellence in collaborative efforts.
- Identify the soft skills and determine how they should be measured.
- Create a system to award the most outstanding team collaboration effort. Suggestions include a trip to D.C. or a visit to a project site.

Transfers/Rotations

- Modify personnel rules to allow overlap during personnel replacement (e.g., hiring retired annuitants) so that the new person can be adequately brought up to speed on the nuances and relationships involved in a collaborative process that he or she will need to support.
- Engage in succession planning. For example, use Junior and Senior Project Managers in case a successor is needed

Procedural Suggestions

- Set up contracts for pre-qualified facilitators and mediators.

For the Port of Anchorage Transitional and Maintenance Dredging Project, POA involved potential contractors early during the design phase. A meeting with all technical elements was held with a facilitator to discuss contracting ground rules, term definitions, and contract plans and specifications. This let everyone understand the personalities involved, led to easier negotiations throughout project execution, and allowed POA to achieve the best value construction contract.

Overall Recommendations

Recommendation A.1: Revise project-level guidance to accommodate and support effective use of collaboration.

Headquarters should take the lead in reviewing guidance for developing project management plans and related communication plans to ensure that they accommodate, support, and reflect the use of collaboration where appropriate. The guidance should be revised as necessary to make the use of collaboration as simple as possible. Guidance should provide increased procedural flexibility to accommodate and support collaboration; and review and strengthen USACE institutional procedures for coordinating internally, both vertically and horizontally, to speak with one voice in collaborative processes. Such provisions might take the form of guidelines, sample goals and objectives, charging practices, and project-level performance controls. Two particular topics for special attention include:

- Standard operating procedures for project management – these should include periodic and explicit check-ins to confirm whether internal coordination procedures are working well; if not, adjustments should be made expeditiously, since internal coordination on the substance, strategy, and messages conveyed in a collaborative process is a critical function; and
- Project timelines – staff reported that rigid project timelines are an obstacle to collaboration. The above-referenced review should explicitly consider whether there are ways of adjusting project timelines to make them more compatible with collaborative processes when that appears to be the most effective way of achieving water resources planning and management objectives.

This guidance should ensure that, when USACE is considering a new project in a particular watershed, USACE personnel identify related efforts by others in the watershed (e.g., States, Tribes, local government, and/or non-governmental organizations) and build on those. This guidance should help staff understand the federal government's government-to-government relationship with States and Tribes. It should ensure that when USACE HQ takes the lead on developing a "national" policy, it elicits and considers the views of all those affected, to the maximum extent possible (and not just the USACE perspective).

Further, this guidance should ensure that, whenever USACE asks for external parties' input, project staff let commenters know how their input has been used, and if it has not, provide the reasons for that. Letting stakeholders know how their input is used is a critical "loop" to close to

build and sustain constructive relationships with stakeholders. CPC should take the lead on investigating what tools, systems, and software are available to staff to help them keep track of stakeholder input; how it was considered; whether it was incorporated or not; if not, why not; and whether the loop has been closed with the stakeholder. It may be that there are tools or systems that can be put in place to support staff in closing this loop on a regular basis.

Also in the context of revising project-level guidance, Headquarters should take the lead in creating flexibility in the following institutional arrangements to consistently support the use of collaboration where appropriate to achieve water resources planning and management objectives:

- Establish a procedure by which USACE personnel can request a delay in a transfer, rotation, or other re-assignment if the re-assignment can be expected to set back the progress of a collaborative process or undermine USACE's credibility as a collaborative partner.
- Establish a procedure by which any USACE staff member can request variation from a standard USACE policy where this would contribute to the success of a collaborative process.

The revised project-level guidance should also reflect strengthened procedures by which USACE personnel will coordinate internally, both vertically and horizontally, to speak with one voice in collaborative processes. Internal coordination is important in order to: (a) enable USACE to speak with one voice during collaborative processes; (b) to ensure that all levels of the organization are "in the loop" throughout the process, get their concerns addressed "at the table," and therefore support the hoped-for consensus agreement among the stakeholders; and (c) to ensure that technical and policy reviews are timely and contribute to the momentum of a collaborative process. Headquarters should take the lead to:

- Investigate what procedures are currently in place, formally or informally, to support effective internal coordination (vertically and horizontally). It may be that a particular procedure has been found to work best and should be formalized and disseminated. Alternatively, it may be that the most helpful contribution would be to illuminate the range of ways successful USACE collaborators have achieved internal coordination in the past, and simply require USACE conveners to explicitly adopt one of them that is mutually acceptable to all who must participate in internal coordination for a particular project. One possibility would be to create a special "flag" by which staff could mark a request for Headquarters input to indicate that it is connected to a collaborative process, and Headquarters could prioritize responses to such "flagged" inquiries.

- Explore what adjustments could be made to ensure that technical and policy review timelines and procedures are compatible with the timelines of collaborative processes. Some respondents noted that lack of synchronization in these processes often delays collaborative processes, causing them to lose valuable momentum.

- When Headquarters personnel visits Divisions or Districts, they should take the opportunity to seek a briefing on the progress of local or regional collaborative processes underway, and if possible, to attend a related stakeholder meeting. This will convey to the stakeholders how seriously USACE takes collaboration. Further, it will convey to the USACE project manager Headquarters' desire to foster an appreciation for the stakeholder dynamics involved and the

Headquarters visitor would be available to provide assistance to the USACE project manager and to identify potential policy compliance concerns earlier and allow them to be incorporated into the collaborative process.

Recommendation A.2: Add appropriate metrics to USACE monitoring and evaluation procedures to enable the Agency to accurately assess the costs, benefits, and overall effectiveness of current collaborative efforts and to support continual improvement in USACE's use of collaboration.

CPC should work in partnership with the Strategy and Integration Office and IWR and Headquarters staff focused on evaluation to:

a. Ensure that USACE monitoring systems include metrics to measure frequency with which USACE undertakes comprehensive planning, collaborative processes, and watershed-scale planning. Recommending specific metrics is beyond the scope of this Initiative, but the aim should be to adopt outcome-oriented performance measures, rather than solely "output" measures in order to realize the full potential of collaboration – meaningful results, rather than collaboration for the sake of collaboration. Developing such metrics requires time, careful thought, and attention to how to phase in new measures. However, USACE can build on the work of sister federal agencies such as the U.S. Institute for Environmental Conflict Resolution, the U.S. Environmental Protection Agency, and the U.S. Department of the Interior. Ideally, metrics would also be included that enable USACE to analyze the frequency with which staff feel that such integrated planning and problem-solving approaches are what is needed to effectively address a situation in the field, but are not able to use such an approach and why. The results of this analysis should be used to determine if further changes are needed to related institutional procedures.

b. Ensure that USACE uses state-of-the-art evaluation methods for assessing the efficacy of collaborative processes that its personnel participate in, or convene, to achieve water resources planning and management objectives. The focus of these procedures should not only consider whether substantive objectives were achieved, but also whether strategic relationships were enhanced. In addition, they should illuminate what contributed to, and what impeded, success to enable USACE personnel to continually improve their collaborative results.

c. Ensure that USACE promotional procedures consider and reward collaborative skills in making promotion decisions. If not, modify procedures to do so where appropriate. (See Recommendation C.2. for further discussion about ways of recognizing collaboration-related achievements.)

d. Ensure that USACE adequately recognizes excellence in the use of collaboration to achieve water resources planning and management objectives, and if so, whether these are used frequently and systematically enough. If not, develop appropriate award programs. Some awards should be based on actual results achieved; this could be at key milestones, not just at the end of a collaborative process. Others might recognize participants' process achievements (e.g., successful management of a collaborative process involving unusually large numbers of stakeholders; effectively integrating complex technical work with a consensus-building process as well as

broader public participation events; development of new collaborative technique or tool; and/or application of collaborative methods in new or unusual context). Some awards could recognize individual achievements and others, project team or even stakeholder group achievements.

Recognition of excellence in collaboration might take a variety of forms, including:

- Certificates of achievement presented at an award ceremony in front of peers;
- An informal staff lunch in honor of the individual or team involved;
- Ceremonial gifts such as a book on a collaboration-related topic;
- A professional development opportunity such as being sent to advanced training on a collaboration-related topic;
- A trip to Washington, DC and opportunity to meet USACE leaders;
- An opportunity to visit an interesting project site;
- A "spot award" of cash; and/or
- An allocation of time to write an article about the collaborative process for which he or she is being honored.

Recommendation A.3: Ensure USACE personnel can readily access facilitators and mediators to assist them with collaborative processes where appropriate.

CPC is currently working on plans to do two things to remedy the fact that only 55% of respondents reported access to satisfactory levels of process support for collaboration (e.g., facilitators and mediators). First, CPC is establishing a roster of pre-qualified mediators and facilitators who will be accessible under contract relatively rapidly. Second, CPC is establishing a database of USACE personnel who have demonstrated skills as facilitators and/or mediators and who are interested in serving in this capacity to support USACE collaborative processes where a USACE staff member would be acceptable to stakeholders in this role. Both of these endeavors should make a big difference. A few suggestions follow:

a. With respect to both of these initiatives, CPC should disseminate information broadly throughout USACE to let staff know of the availability of these resources, how to use them, and who to contact for further information about them;

b. Regarding the in-house database of facilitators and mediators, CPC should develop brief, practical guidance for USACE personnel to help them understand conditions under which it might be appropriate to use in-house facilitators and mediators and how to ascertain whether those conditions exist. It is important to avoid using them in situations where external stakeholders would wonder if this were an USACE effort to control the outcome of the collaborative process, as raising such suspicions (whether unfounded or not) could rapidly undermine the credibility of the USACE's collaborative efforts and interest in being recognized by external stakeholders as doing this in good faith.

B. Leadership, Authority & Empowerment

While Division and District respondents generally feel that USACE leaders support them in collaborating with stakeholders, they did highlight several areas for improvement, including: 1) having Headquarters engage early in collaborative processes as there have been challenges with Headquarters reacting only after a proposed agreement has been negotiated with stakeholders; 2)

streamlining internal review on both technical and policy aspects as the time delay is often significant; and 3) reviewing existing policies and authorities to reconcile inconsistencies and provide more flexibility for collaborative efforts. The Division and District respondents provided specific examples of policies they feel need to be reviewed.

FINDING B.1 MOST RESPONDENTS SEE USACE LEADERSHIP AND CONGRESS AS SUPPORTIVE OF COLLABORATION. HOWEVER, VIRTUALLY ALL SEEK MORE ACCESSIBILITY, TIMELIER REVIEWS, TIGHTER COORDINATION & MORE FLEXIBILITY. RESPONDENTS AND WORKSHOP PARTICIPANTS EXPERIENCE MIXED MESSAGES ABOUT THE USE OF COLLABORATION.

Results from the Online Assessment Tool

Most respondents (74%) agreed that USACE leaders support staff in collaborating with stakeholders on water resource issues. Sixteen percent agreed that they receive the right amount of guidance and flexibility from Headquarters (30% disagreed). Thirty-six percent of respondents agreed that USACE leaders are effective at coordinating internally so that USACE speaks with one voice, and 29% disagreed. The response varied across Divisions; more MVD staff agreed that USACE leaders are effective, while fewer SPD, POD and SWD staff did. A number of workshop participants called for closer coordination between the Assistant Secretary of the Army and the Office of Management and Budget.

74% agreed that USACE leaders support staff in collaborating with stakeholders on water resource issues.

16% percent agreed that they receive the right amount of guidance and flexibility from Headquarters.

36% agreed that USACE leaders are effective at coordinating internally so that USACE speaks with one voice.

Additional Insights from Participants

Similar to the assessment data, workshop discussions highlighted leadership support as a strength at all levels of the USACE hierarchy, including Congressional support. However, staff identified the need to better align efforts between different USACE levels. They specifically noted the need to align collaborative processes and review processes (both technical and policy reviews). One theme that emerged in this area was the difficulty workshop participants have in getting timely responses and reviews from Headquarters. Workshop participant cited major challenges to getting Headquarters' input early in a collaborative process so that concerns can be worked out "at the table" as the process progresses. Too often, Headquarters' interests and concerns surface only after a proposed agreement has been negotiated with stakeholders. This situation delays project schedules and limits staff's ability to address stakeholder needs in a timely way. Furthermore, if Headquarters' concerns "un-do" a negotiated agreement, USACE credibility is damaged and stakeholders lose interest in further collaboration. Participants also said that Headquarters is very helpful when it engages early as an ally for streamlining the process, but that too often Headquarters reviewers operate more in a "check-the-box" or "counterweight" mode. Respondents reported receiving mixed messages about management empowering a team to "work out a solution with the customers" and then declining to support it. Using collaboration to develop options can come into direct conflict with Headquarters desire for national consistency and in some cases, these collaborative solutions are actually unacceptable in the face of existing laws and regulations.

Staff also highlighted concerns related to the lack of flexibility on the part of leaders (e.g., Headquarters, senior staffers, reviewers and policy makers). Staff wanted legal and policy levels to be less risk averse with respect to collaboration and to allow Districts and Divisions to vary from policy in some cases.

Participants' Suggestions for How Leaders Could Even More Effectively Support Collaboration Than They Do

Increase Internal Coordination

- Enhance internal coordination, both vertically and laterally, to enable USACE to speak with one voice during collaborative processes.
- Headquarters personnel should engage with District and Division staff to ensure that Headquarters' interests and perspectives can be accommodated as negotiations progress.
- Headquarters should attend portions of collaborative processes so they are sensitized as to avoid making critically important changes at the end of a negotiated process, since this can damage USACE relationships with stakeholders.
- USACE should encourage more detail assignments to Districts, Divisions, and Headquarters personnel in all directions (e.g., detailing District staff to Headquarters, and Headquarters staff to Districts).
- USACE leaders should more proactively help staff obtain project funds and matching funds for collaboration with stakeholders.

Streamline Reviews and Empower Reviewers to Grant Some Deviation from Policy

- A mechanism is needed to streamline internal reviews when necessary to maintain the momentum of a strategically important collaborative process.
- Headquarters should identify a point person/planner at that level to streamline review for collaborative processes.
- When Headquarters is reviewing a consensus recommendation negotiated among many parties, reviewers should resist requiring changes, since this may "undo" a complex agreement.

"Too often, Division and Headquarters staff "talk-the-talk" but fail to "walk-the-walk" of collaboration, overturning proposed solutions that have been painstakingly negotiated with stakeholders."
- Workshop Participant

- Quality assurance functions currently done at the Division level should be condensed at the Headquarters level to reduce the number of steps in the "grapevine" of reviews and to place the function where it can best be carried out.
- Headquarters should link their review procedures with collaborative processes – i.e. break the review process into pieces and do some review earlier on. Accepting this recommendation could require increased reviewer resources.
- Increase the sensitivities of Headquarters to the value of collaboration for getting projects through the planning process. Make the collaborative elements of a project more visible to Headquarters (on paper and by inviting Headquarters to the field). Get Headquarters engaged earlier in project timelines and more frequently throughout the life of a collaborative process.
- Districts and Divisions should request variances from, or broader interpretation of, policies in cases where it would help stakeholders reach agreement.
- Explore ways to encourage more cooperation and support for collaboration from USACE Counsel.

FINDING B.2 MOST RESPONDENTS ARE CONFIDENT IN THEIR ABILITY TO WORK WITHIN USACE LEGAL, REGULATORY, AND POLICY PARAMETERS. HOWEVER,

THEY REPORT THAT SOME ASPECTS OF THE LAWS, REGULATIONS, AND POLICIES UNDER WHICH USACE OPERATES MAKE COLLABORATION DIFFICULT.

Results from the Online Assessment Tool

Most respondents (75%) reported that they are confident in their knowledge/ability to work within USACE legal, regulatory and policy parameters. However, 42% of respondents agreed with the Statement that some laws under which USACE operates make it difficult to use collaborative approaches. 50% of respondents agreed with the Statement that conflicting USACE policies make collaboration difficult.

Additional Insights from Participants

During workshop discussions, participants talked generally about the legal & policy framework under which they operate, and cited specific USACE legal, regulatory and policy parameters that they felt hinder collaboration. The following is a partial, participant-generated list that can serve as a starting point for future, in-depth reviews of policies that may hinder collaboration.

- Many participants indicated that one of the biggest obstacles to collaboration are existing restrictions that make it difficult to accept or transfer funds to and from State or local governments or universities.
- Participants commented that the narrow focus of USACE statutory authorities often prevents a holistic problem analysis, thereby limiting opportunities to collaborate with other agencies.
- Unwritten and vague policies can make USACE decisions appear arbitrary.
- In some cases, the primary obstacle may be the manner in which a law, regulation, or policy is interpreted. For example, the requirements of the Federal Advisory Committee Act seem to be interpreted differently in various Divisions, in various Districts within a particular Division, and between various attorneys in the same District.
- Local project sponsors' role in stakeholder engagement decisions can affect the use of collaboration.
- It is difficult to balance the objectives of multiple federal agencies and stakeholders, e.g., the interests of stakeholders in the MVS levee inspection process, FEMA certification standards and, USACE objectives.

50% agreed with the Statement that conflicting USACE policies make collaboration difficult

Many comments indicated that the laws concerning funding are one of the biggest obstacles to collaboration.

Workshop participants offered the following examples of policy conflicts or inconsistencies that may stifle collaboration:

- Conflicts between safety requirements of USACE levee policy and Endangered Species Act requirements of NMFS and USFWS can be interpreted as the inability of the federal government to reach a win-win solution.
- The requirement to outsource to the private sector is an obstacle to collaboration between USACE, the U.S. Fish and Wildlife Service and the U.S. Geological Survey on data.
- Federal Advisory Committee Act requirements are daunting to some; participants asked for advice on how to comply with it without unduly constraining collaborative efforts.
- Change from the historic USACE focus on specific projects to watershed planning as advocated in the Civil Works Strategic plan.

- The emphasis on the National Economic Development (NED) Alternatives – i.e., the alternative that reasonably maximizes net economic benefits, often seems to reduce the importance of public input on environmental issues.
- Requirements to achieve a certain cost/benefit ratio for flood damage reduction projects often prevent assistance in poor, rural areas.
- Corps staff can only recommend projects that serve a subset of business lines (flood control, navigation, and ecosystem restoration) when preparing the annual President's budget; funding for other business lines come through the Congressional "add" process. This process makes it harder to work with small communities that typically value recreation.
- The multiple reviews required for every USACE report (i.e. Independent External Peer Review {IEPR}, Agency Technical Review {ATR}) foment uncertainty about cost sharing agreements and may create the perception that USACE frequently changes the rules.
- In USACE's new model Project Partnering Agreements (PPAs), the only entity who can withdraw is the federal government; this can create a perception of bias and impede collaboration.
- USACE field staff perceptions that Headquarters has instituted stringent and overly restrictive reviews of projects.
- USACE regulations limiting specific types of contact with State agencies and research institutions without a competitive bid process.
- Overly rigid guidance (e.g., for 905(b) projects such as a riverwalk) may require that staff follow specific steps regardless of the type of project or its context.
- Outdated Engineering Circulars create a lack of clarity.
- In order to include a project in the President's budget, USACE policies may require increases in cost-sharing levels.
- Delays in getting cost-sharing agreements signed and project authority to start the feasibility phase negatively impact the collaborative process started during the reconnaissance phase.

The Upper Mississippi/Illinois Navigation Recon Study from 1993 to 2000 had an uphill battle but the Corps ultimately connected with stakeholders by "throwing open the doors to the sausage factory" instead of maintaining a fortress mentality. A point person (Senior Planner) at HQ also helped to streamline the process.

Participants' Suggestions for How to Bring Regulations and Policies into Alignment to More Effectively Support Collaboration

- Review existing policies, guidance, timelines, and checklists to reconcile inconsistencies and provide more flexibility for collaborative efforts. Two new policy needs were highlighted:
  - Develop an interim memo summarizing current USACE initiatives and guidance that are relevant to public participation, conflict resolution and collaborative planning (possibly based on the P&G revisions, Campaign Plan, and the Support to State Water Planning Initiative); and
  - Develop guidance on how to implement the Campaign Plan's collaboration goals, and how to integrate them with future policies including post-authorizations.
- Make USACE requirements pertaining to collaboration more transparent.
- Collaboration guidance should be consolidated.
- Consolidate collaborative regulations within two years.
- Revamp statutory authorities to support collaboration.

Overall Recommendations

Recommendation B.1: USACE leaders should signal that they have "heard" and understand the need for targeted flexibility at the Division and District levels where vital to the success of strategically important collaborative processes, and that they will provide it where necessary.
USACE leaders should attend meetings of actual collaborative processes to deepen their understanding of their complexities and often delicate trust-building dynamics. In reviewing agreements negotiated in legitimate consensus-building processes at the Division or District levels, Headquarters should seek modifications only if critically important.

From the workshop discussions, it seemed that:

- Staff knew of the existence of various forms of guidance on collaboration, but too often found these to be contradictory;
- Staff were unclear who to turn to for advice about how to navigate the USACE bureaucracy to successfully launch and carry out collaborative processes; they felt that success depended on the tenuous set of connections that allowed one to come into contact with the right person who "knew someone who knew someone else who could tell you how it's done";
- Staff perceive a lack of flexibility on the part of USACE leadership at all levels (e.g., Headquarters, senior staffers, reviewers and policy makers).

Ideally, Headquarters would take the lead on implementing this recommendation, setting an example and conveying the expectation that leaders at every other level of the organization will follow suit. One appropriate implementation step might be to disseminate a memo throughout USACE, acknowledging that Headquarters has heard the request for targeted flexibility and streamlined reviews where necessary to sustain the momentum of collaborative processes, supports the request, and has asked a particular entity to develop recommendations on how this can be done.

Another implementation step suggested by staff is for Headquarters to establish a policy that when reviewing agreements developed through consensus-building processes at the Division or District levels, Headquarters should only seek modifications to these agreements if deemed critically important. Staff pointed out that, typically, every word of such agreements have been the subject of intense negotiations among scores of stakeholders. What may seem like a minor change to Headquarters may have the effect of a significant setback to the negotiations. Where a Headquarters reviewer hopes to change the wording or terms of such an agreement during review, it is recommended that the reviewer confer with the project manager (and facilitator or mediator if one is involved) to explore the potential impact of the changes contemplated. The reviewer can then take into consideration these forecasted impacts in deciding how critical the contemplated revision is. Staff would like to see legal and policy level reviewers be less risk averse with respect to collaboration.

The Mississippi Coastal Improvements Program conducted over 30 public meetings on specific projects during the first two months where locals identified critical needs that were bought into the plans. The program included alternative ways for participants to become involved in the process other than just by attending meetings (e.g. via web or phone). Success rested on personal relationships, significant allocation of funds upfront ($10 mil) and support at all levels for collaboration.

Headquarters participants in the April 28, 2010 workshop reviewing this Initiative's draft findings and recommendations noted that this recommendation bumps up against their efforts to foster consistency across USCE in the implementation of policy and guidance. The key seems to be finding the right balance between fostering consistency and organizational adaptability in an increasingly complex and dynamic operating environment. To help find the right balance, those from the review levels of USACE should look for opportunities to visit and/or participate in stakeholder meetings comprising actual collaborative processes so that they can experience and appreciate the complexities and delicate trust-building dynamics, the challenges and rewards, of such processes.

Recommendation B.2: Conduct a comprehensive analysis to determine whether specific laws, regulations, and policies under which USACE operates are consistent with USACE's commitment to the use of collaboration, and if not, look for opportunities to bring them into better alignment.

This review should include assessing newly emergent federal policies encouraging collaboration, which may necessitate revision of certain USACE policies for consistency. This review should also include identification of situations where varying interpretations of a law, regulation, or policy are problematic, and suggest ways of creating more consistent interpretation in a manner as supportive of collaboration as possible. This review should also include reflection on the appropriate locus of decision-making authority between USACE and local project sponsors with respect to the use and implementation of collaborative processes. USACE should consult external stakeholders for input into this review.

In the meantime, it would be helpful if Headquarters would develop and disseminate:

- An interim memo summarizing current USACE initiatives and guidance that are relevant to public participation, conflict resolution and collaborative planning (possibly based on the P&G revisions, Campaign Plan, and the Support to State Water Planning Initiative); and
- Guidance on how to implement the Campaign Plan's collaboration goals, and how to integrate them with future policies including post-authorizations.

Once the comprehensive analysis above has been completed, additional steps to help bring laws, regulations and policies into alignment with the strategic commitment to collaboration should be clear. While statutory amendments for this purpose alone may be "a stretch," knowing what amendments would be helpful for alignment purposes would enable legislators and USACE government affairs staff to recognize opportunities to remove certain structural obstacles to collaboration when statutes or policies are being revised for other reasons. (For related discussion of training to enhance consistency in FACA implementation, please see Recommendation C.1.)

C. Individual Skill Sets

Division and District respondents are confident in many collaborative skills, though there are several that they are less confident in (e.g., structuring agreements and designing an appropriate process). Similarly, they are confident in working with most stakeholder types, though there are some in which they are less confident (e.g., Native American groups and labor unions). The trainings that were requested the most include: collaborative leadership, assessing the feasibility of collaborative approaches, consensus-building and working across identity groups. These are topics in which they have less confidence, and in most cases, have had limited training.

Participants shared some of their individual strengths that have made collaborative processes a success, such as how to build relationships with stakeholders and ideas for keeping the process going over long time frames. They highlighted challenges as well, with the primary one being the need to overcome stakeholders' perceptions of USACE. Their recommendations focused only on trainings, and they provided ideas for content, audience and format.

FINDING C.1	MOST RESPONDENTS TO THE ONLINE ASSESSMENT EXPRESSED CONFIDENCE IN THEIR ABILITY TO USE NUMEROUS COLLABORATIVE SKILLS, AND THEIR ABILITY TO WORK EFFECTIVELY WITH STAKEHOLDERS FROM A WIDE VARIETY OF SECTORS.

The assessment tool asked staff to rate their confidence levels with respect to a variety of collaborative skills. At least 75% of respondents expressed confidence in their abilities to: listen to stakeholders non-defensively, manage meetings, establish interpersonal understanding, make good judgment calls on how and when to engage in dialogue with stakeholders, translate technical information into lay terms, and engage in group problem solving.

The assessment tool also asked staff to rate their level of confidence working with a range of stakeholder sectors. At least 75% of respondents expressed confidence in their abilities to work with: project sponsors, non-profit organizations, federal agencies, States, local governments, academia and business and industry.

FINDING C.2	FEWER THAN HALF OF RESPONDENTS HAVE HAD TRAINING IN COLLABORATIVE LEADERSHIP, ASSESSING THE FEASIBILITY OF COLLABORATIVE APPROACHES, CONSENSUS-BUILDING, AND WORKING ACROSS IDENTITY GROUPS. THEY HAVE LOWER LEVELS OF CONFIDENCE IN THEIR SKILLS IN PROCESS DESIGN, INTEREST-BASED NEGOTIATION, ENGAGING CERTAIN SECTORS, FACA IMPLEMENTATION, USE OF COLLABORATIVE MODELING, AND AGREEMENT STRUCTURING.

The skills in which respondents were less confident included: structuring agreements (60% were confident); designing an appropriate process (67%); using negotiation (68%); and managing conflict (72%). Less than 50% felt confident with collaborative modeling and interest-based negotiation. In both of these cases, there were more neutral and "don't know/not applicable" responses. It is unclear whether this low level of confidence is because of staff's lack of familiarity with these collaborative skills or because the need for these skills is infrequent. SPD responses varied from other Divisions; in SPD, 65% of respondents were confident in their ability to obtain needed data, compared to a national average of 92%. Conversely, 100% of SPD respondents were confident in their ability to engage in group dialogue, compared to a national average of 78%.

"A culture change is needed to promote the idea of working out solutions via a collaborative study process, rather than the conventional "propose and seek feedback."
– Workshop Participant

Respondents also expressed less confidence working with Native American groups (51% are confident) and labor unions (46%) than with stakeholders from all other sectors. For these groups, there are also more "do not know/not applicable" responses and there is more variance across Divisions. For example, LRD and NAD respondents feel less confident about working with Native American groups (19% and 33%

expressed confidence respectively); a higher portion of NWD respondents (66%) expressed confidence.

Lower levels of confidence may be due to the fact that in some geographic areas staff members have fewer interactions with these groups. It is unclear if that is because they feel less confident in reaching out to these groups, or because the issues these Divisions are working on do not often affect these groups. However, there is some indication of the former, in that staff reported uncertainty about their role in carrying out what was described as the "USACE mandate for 'bilateral outreach' to sovereigns (Tribes, States, Federal agencies)." SPD respondents were less confident than average in working with certain stakeholder sectors. For example, 43% of SPD respondents were confident about working with business and industry, compared to a 75% national average. For working with academia, the comparable figures were 50% in SPD compared to 78% nationally, and for working with minority communities, 42% for SPD compared to a 68% national average.

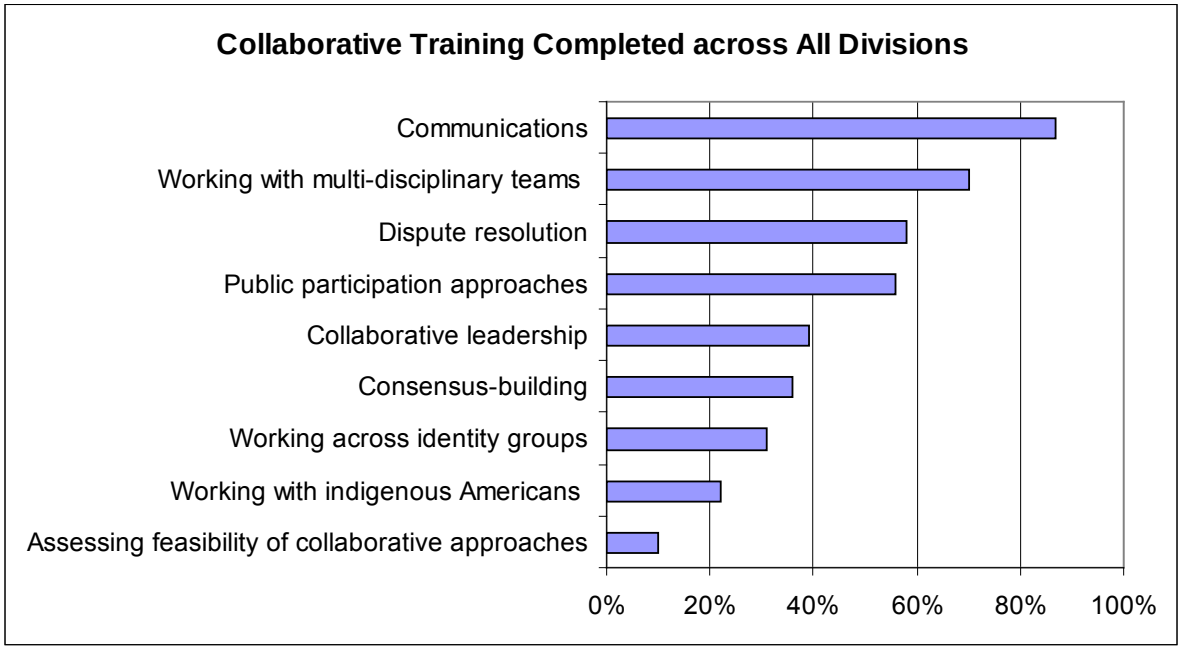
- According to the assessment results, USACE respondents have had some training related to collaborative processes, but have a strong interest in additional training, as shown in Figures 4 and 5 below. Not surprisingly, there was an inverse relationship between training courses that staff have already taken as compared with the topics in which they requested future trainings. For example, 87% of respondents had already taken training in communications and 20% requested this training. Conversely, 10% had previously taken training in how to assess the feasibility of using collaborative

The trainings most frequently requested include collaborative leadership and assessing the feasibility of using collaborative approaches; 64% requested training in these topics. The trainings that have been provided the least, and are requested the most (i.e. requested by more than 50% of respondents), are:

- Collaborative leadership;
- Assessing the feasibility of collaborative approaches;
- Consensus building; and
- Working across identity groups.

Figure 4: Collaborative Training Completed across All Divisions

This graph shows the training completed, of the 230 respondents that filled out the online assessment tool. In many cases, it is an inverse relationship with Figure 6, which shows requested training from the same group. For example, many respondents have received communications training, and therefore few requested it.



Additional Insights from Participants

The qualitative data underscores the observation that staff members have limited training in collaborative skills, even though this group of USACE personnel can be expected to use collaboration more than anyone else within USACE. One person said that most USACE staff members do not understand how to conduct their projects through a collaborative framework.

During workshop discussions, staff identified collaborative skills that USACE personnel tend to do well, and other skills that would merit enhancement to work as effectively as possible with external stakeholders. Some of the key strengths include:

- Conducting innovative and diligent outreach;
- Taking the time to build relationships and leveraging existing partnerships;
- Ensuring diverse stakeholder engagement (e.g., across multiple levels of government and including stakeholders that can provide both political and community support);
- Understanding stakeholders' goals and roles;
- Managing expectations;
- Having a structured stakeholder engagement process;
- Obtain the assistance of colleagues and consultants early (e.g., a Public Affairs Office representative, a Headquarters point person, facilitators, and technical experts); and
- Having frequent meetings so stakeholders feel informed and involved.

One of the key challenges highlighted is overcoming stakeholders' negative perceptions of USACE.

Figure 5: Collaborative Training Requested across All Divisions
This graph shows the training requested, of the 230 respondents that filled out the online assessment tool.

One of the key challenges highlighted during the workshops is overcoming stakeholders' negative perceptions of USACE (see Finding E.3 for more details). Another key challenge is determining the level and type of collaboration needed at each stage of the project and who needs to be involved. Staff also said that sometimes the stakeholder group is defined too narrowly (e.g., only project sponsors and government agencies). This may relate to the fact that 44% of respondents agreed with the Statement that "The USACE relationship with the local project sponsor tends to eclipse the importance of collaborating with other stakeholders."

Workshop Participants' Suggestions Regarding How Best to Enhance Individuals' Collaborative Skill Sets

All of the recommendations on how to enhance skill sets focused on training:

Training Content

- Compile and share with the field an inventory of courses related to environmental conflict resolution and collaboration from a range of sources (e.g., USACE, the U.S. Institute for Environmental Conflict Resolution, Office of Personnel Management and the U.S. Environmental Protection Agency).
- Provide all levels of training in collaborative skills, from introductory to advanced.
- Include material in courses on:
  - How other federal agencies approach and plan collaborative efforts;
  - How local governments work, and how staff can help local governments (and other stakeholders) understand how USACE works;

The trainings that have been provided the least, and are requested the most are:
- *Collaborative leadership*
- *Assessing the feasibility of collaborative approaches*
- *Consensus building; and*
- *Working across identity groups*

- How staff should interact with Congressional delegations to minimize the possibility that a collaborative process will be negated by political leaders;
- How to interpret and comply with FACA;
- How to use tools for risk communication aimed at different audiences (e.g., Risk Communication/ Public Involvement 101 class and more in-depth "201" classes that are specific to various business lines);
- How to use collaborative modeling to support a collaborative process (which can help avoid a battle of experts and allow stakeholders to identify research needs, provide input into option generation, and to play an informal peer review role – strategies that help reduce distrust of USACE-funded science); and
- How to communicate technical information. (Different Federal agencies even use the same terms differently. The external stakeholders' view is that the USACE is not skilled at translating technical terms into lay terms.)

Training Audience

- Incorporate collaboration modules into formal training for all project reviewers.
- Target Project Managers because there is a lot of turnover. Make collaboration a competency.
- Ensure that collaboration is built into leadership training.
- Provide training in collaboration to Headquarters reviewers and to USACE Counsel so they are sensitized to potential impacts of their actions on collaborative processes (e.g., degree of timeliness, flexibility, and respect for carefully negotiated proposed solutions).
- Some respondents noted that PAO should receive training.
- Consider including other agencies and stakeholders in training and including a section on USACE culture and processes to help them understand how to engage with USACE;
- Provide introductory project-level training for all stakeholders on processes and tools.
- Develop a "plug-in" module for a range of prospect courses on "why collaboration is important to you."

Training Format

- Provide trainings in a workshop setting, with either a project-specific focus or a more regional perspective, with project-focused training done on-site at the District level.
- Provide online training options. It was noted that Web-based training is not too popular but Webinars are popular.
- Hold brief (no more than 2-3 days) face-to-face workshops. Half-day workshops are not effective.
- Hold regional workshops and fund travel.
- Ensure training courses utilize latest adult learning techniques.
- Offer trainings in distance learning formats.
- Provide graduation certificates to participants.

Opportunities beyond Training/Workshops

- Establish leadership development, mentoring, and internship programs.
- Provide follow-up coaching to help staff apply course material after taking courses.

Overall Recommendations

Recommendation C.1: Offer training, technical assistance, coaching, and mentoring for targeted USACE audiences (e.g., District Engineers, members of the Senior Executive Service, and mid-level staff) in key topics related to collaboration.

Priority topics include: (a) collaborative leadership; (b) how to assess the feasibility of using a collaborative approach in a particular situation and, if feasible, design an appropriate collaborative process; (c) consensus-building, including interest-based negotiation and structuring agreements; (d) when and how to draw upon collaborative modeling to support a collaborative process; (e) working across identity groups; (f) the essentials of government-to-government consultations with Native Americans; and (g) understanding the in's and out's of FACA. Ensure staff members know how to engage the full range of stakeholder sectors.

CPC should make trainings available to interested USACE personnel on the topics listed below to help them build the toolbox needed to effectively collaborate with external stakeholders in the water resources planning and management arena. Ideally, participants would take such trainings in-person, using an interactive workshop format, with follow-up coaching to help staff apply course materials in the field. However, given the many demands on USACE personnel's time and limited travel budgets, providing related materials in an online, on demand format as well would maximize the number of USACE staff members who are able to access some form of training on these topics.

Courses Requested By At Least 50% of Respondents

- Collaborative Leadership
- Assessing the Feasibility of Collaborative Approaches
- Consensus Building
- Working Across Identity Groups

Major Skill Sets In Which Respondents Expressed Low Confidence Levels:

- Seeking Input From Native Americans / Government-to-Government Consultation
- Interest-Based Negotiation
- Implementation of the Federal Advisory Committee Act

Skill Sets With Which Respondents Expressed Low Levels of Familiarity:

- Introduction to Collaborative Modeling: How & When It May Be Useful

Other topics on which sizable numbers of respondents requested training include dispute resolution and public participation. Certain Divisions had much higher interest levels in these than others, so there may be localized high needs.

In addition, CPC should ensure staff members know how to engage the full range of stakeholder sectors, providing ways to build staff confidence in engaging those sectors where their confidence is relatively low. Based on USACE-wide trends, it appears that information on engaging Native Americans and the labor sector may be the first priority. Some training is currently available through the Tribal Community of Practice. Some Divisions, but not all, expressed a relatively low level of confidence in engaging business and industry, labor, academia, and minority groups; thus, information on engaging these sectors should also be made

available as resources allow. The matter of engaging Native Americans has important differences from engaging other sectors because it involves government-to-government relations, rather than communications with "stakeholders" or "the public," and so requires added investment in capacity-building. (See the subsequent "Training" recommendation below.)

a. CPC should add to its existing brown bag offerings brown bags featuring members of those sectors, or USACE personnel with relevant expertise / experience, provide insight about how to engage those sectors. These brown bags should be broadly and systematically announced several weeks in advance, and arrangements made for interested personnel from around the country to participate via conference call or webinar.

b. CPC should make written information on how to engage various stakeholder sectors available on its website, via the Division POCs, and via those PAOs who find themselves called upon by their colleagues to assist with stakeholder engagement. This should include names and contact information for USACE personnel who can provide further information and guidance on these processes; this is especially important with respect to government-to-government consultations with Native Americans.

c. The CPC should seek to include material on this topic in appropriate training courses available to USACE personnel.

Because engaging Native Americans involves government-to-government consultations, tip sheets, written guidance, and brown bags will be helpful, but not sufficient, to equip USACE personnel with the expertise and confidence necessary to carry out government-to-government consultations with Native Americans. See below for additional related recommendations.

Recommendation C.2: Within the newly-created Public Participation and Risk Communication Community of Practice, establish professional development program for USACE personnel wishing to develop proficiency in collaboration.

The Collaborative Capacity Assessment Initiative and the parallel launch of a new Public Participation and Risk Communication Community of Practice have generated enthusiasm and interest in expanding the use of collaboration as a way of carrying out USACE's mission. To continue to build on this momentum and give enthusiasts a venue through which to channel this momentum, CPC should develop a cohesive professional development program for developing expertise in collaboration. This program should offer interested individuals a roadmap for developing their skills in this area, with various courses and other types of learning experiences representing milestones along the way. This would be responsive to the fact that large numbers of respondents reported that they do not know where to find case studies, practical guidelines and other collaboration resources, and do not how to find out about others' experiences with collaboration. This professional development program might embrace the following functions:

a. Periodically conduct a needs assessment to ensure that its capacity building resources are focused on current USACE priorities (e.g., repeating the online collaborative capacity assessment every five years).

b. Serve as a clearinghouse of resources on the priority topics identified through the above-referenced needs assessments – i.e., collaboration-related policies, in-person and online trainings, bibliographies, guidance, tip sheets, information on USACE's existing partnerships with external stakeholder groups, books, periodicals, compact discs, videos, other audio-visual materials, and an interactive website with social networking tools such as blogs, Facebook, and SharePoint (see subsequent recommendations for further details).

c. Where appropriate materials and tools are not readily available, develop such materials. Examples might include:
    - A tool to help staff identify and tailor an appropriate collaborative method to a particular situation;
    - Evaluation procedures to measure effectiveness of various Army collaborative endeavors from project-specific collaborative processes to District, Division, or USACE-wide efforts to cultivate increased use and effectiveness of collaboration in achieving water resources objectives;
    - New risk communication tools tailored for specific audiences, their differing levels of existing knowledge regarding the subject matter, and different business lines;
    - Tools to make it more manageable for staff to track stakeholder input and close the loop with stakeholders regarding whether and how their input was used and if not, the reasons for that.
    - Real-life collaborative success stories, showing how others within USACE have used collaborative tools to carry out USACE missions. CPC should collect and document in user-friendly media success stories from all communities of practice and business lines. As one respondent suggested, CPC might consider developing and categorizing District or Division-level collaborative success stories by policy topics (e.g., aging infrastructure; climate change; etc.) in order to readily recognize the need for a national policy dialogue on particular topics of cross-Division concern. Such stories are often most effective when told "peer-to-peer." For example, those working within a particular business line may be most receptive to successes achieved through collaboration by others within their own business line; the same may be true with respect to the level of seniority of the storyteller and listeners.

d. Cultivate widespread recognition throughout USACE that collaborative skills are leadership skills and further career advancement within USACE. Include ways of recognizing staff's collaboration-related achievements (e.g., issuing certificates for course completion and completion of the program as a whole; spot bonuses for sharing how-to information with others via published articles, brownbags, or public speaking engagements; and more substantial awards for stellar results achieved with the use of collaborative methods).

e. Foster a sense of shared identification and mutual learning amongst the cadre of collaboration enthusiasts throughout USACE (e.g., through various forms of recognition for participation in capacity-building events, such as:
    - Graduation certificates for completion of individual courses;

- Having alumni's collaborative successes highlighted in CPC publications and on its website.

f. Help mentors and mentees find each other to obtain ad hoc assistance on a targeted subject or establish on-going learning partnerships of mutual value.

g. Help USACE personnel who are interested in going on detail in a position that will allow them to further develop their own or colleagues' collaborative capacities to find suitable positions.

h. Offer internship programs for graduate students and mid-career professionals interested in exploring careers involving collaboration within USACE.

i. Track changes in internal and external perceptions of USACE's collaborative capacity, and use this feedback in shaping future program offerings.

It might be possible for this professional development program to offer a formal "certificate program" in collaboration with one or more universities for those who complete a certain number of core courses offered through the program. Universities to consider might include: Oregon State University (which offers an on-line certificate in water conflict management) and Nova Southeastern University in Davies, Florida (the only university in the U.S. that offers on-line masters and doctoral degrees in Conflict Analysis and Resolution).

To accomplish activities such as those recommended above, CPC will need to develop robust internal database and communication mechanisms to enable CPC to update, engage in dialogue, and elicit feedback from personnel throughout USACE who are interested in the use of collaboration. Because CPC was established recently (October, 2008), its small staff are developing necessary operating systems concurrently with moving into action to assist USACE colleagues with collaboration. The number of people throughout USACE who may be interested in hearing the information CPC has to share, engaging in dialogue and learning opportunities, and providing strategic feedback could rapidly swell to overwhelming numbers. However, CPC should stay ahead of demand in this regard, particularly since timely communication must be part of its "brand" for it to be credible in its subject of expertise. CPC should rapidly establish efficient means of engaging in time-sensitive communications at three levels:

- First, CPC should ensure that, when there is a need for Headquarters champions to send a message of support related to collaboration, that Headquarters has access to the correct database and mechanisms to do this expeditiously.
- Second, CPC should ensure it has a database for communicating with all stakeholders interested in USACE collaboration; it will prove helpful to code this database in a number of ways, such as internal vs. external stakeholders; Congressional district of external stakeholders; level of USACE at which internal stakeholders work; community of practice; business line; District and/or Division affiliation; whether or not the individual is an CPC "Point of Contact" for a Division; what CPC events the individual has participated in, including the Collaborative Capacity Assessment Initiative. In this way, CPC can readily address strategic communications to a targeted audience.

- Third, CPC should proactively assist its cadre of Division POCs in establishing comparable Division-specific databases to ensure that when POCs wish to communicate with colleagues interested in collaboration within his or her Division, all interested parties receive the communication.

  It may well be that the needs of "communicators" at all three levels can most efficiently be accomplished by arranging for shared access to the CPC database. However, consideration should be given to whether it is helpful or risky for database quality control to enable all these users to modify entries in the database. Most likely, CPC will want to designate one or two of its own personnel who have that form of access.

Recommendation C.3: Document and disseminate success stories, lessons learned, and best practices in the use of collaboration by USACE personnel to accomplish water resources planning and management missions. An example of such a "best practice" would be ways of synchronizing USACE and stakeholder expectations (e.g., engaging in open discussion about roles and responsibilities at the outset of a project; and acknowledging to stakeholders at the outset the uncertainties concerning sustained funding, making a commitment to try to secure it, and using phased funding in the interim.) The most immediate next step in this regard is for CPC to make widely available the "stories" presented by Division and District personnel during the workshops for this Initiative. Beyond that, CPC should develop a mechanism for efficiently collecting and sharing such stories on an ongoing basis.

D. Time & Resources

In general, Division and District respondents do not feel that they have enough funding or time to collaborate effectively, nor do they fully understand funding mechanisms. They highlighted the need for an increased funding commitment, as well as flexibility in how funding is used. They also highlighted specific challenges and ideas for overcoming some of their funding concerns.

Division and District respondents tend to look to their colleagues and supervisors for support the most, and to Headquarters and IWR the least. They indicated that they need more collaboration resources, and they provided recommendations on resource activities and practical tools that would be helpful, such as cross-training staff and developing case studies.

FINDING D.1	OVER HALF OF RESPONDENTS REPORTED THAT THEY KNOW HOW TO SUCCESSFULLY FUND AND LAUNCH COLLABORATIVE INITIATIVES – ALTHOUGH THIS DROPS TO ONE FIFTH FOR MULTI-YEAR INITIATIVES. MOST REPORTED THAT THEY HAD ACCESS TO THE TECHNICAL AND LEGAL EXPERTISE NEEDED TO SUPPORT COLLABORATIVE PROCESSES.

Respondents indicate that most (61%) know how to secure funding and initiate shorter term collaborative processes. Most (89%) of respondents reported that they had access to the technical expertise needed to support collaborative processes (89%) and similarly, most respondents reported that they had access to the legal expertise needed to support collaborative processes (81%). However, it is important to note that there were high percentages of neutral and "do not know/not applicable" responses for these questions. This suggests widespread uncertainty about how to fund collaborative aspects of projects. Moreover, respondents seemed to be making an important distinction between knowing how to fund and launch collaborative processes and having the funds to do so. See below.

FINDING D.2 HOWEVER, RESPONDENTS REPORTED THAT IT IS OFTEN CHALLENGING TO FIND TIME AND RESOURCES TO EFFECTIVELY SUPPORT COLLABORATIVE PROJECTS.

Results from the Online Assessment Tool

Experience suggests that, under certain circumstances (if done well and at the right point in time), the use of collaborative processes can make more cost-effective use of available resources – i.e., through public / private cost-sharing. Those who have gone through collaborative processes report that the use of collaborative processes can make more cost-effective use of available resources (i.e., through public / private cost-sharing) and can cost less than alternative approaches.

35% disagreed that they have enough funding to effectively engage in collaboration.

42% disagreed that they know how to structure funding for multi-year collaborative processes.

43% feel they have enough time to engage in collaboration.

Yet the assessment results highlight challenges in funding collaborative processes. 30% agreed that when collaborating with stakeholders on water resource planning and management, they generally have enough funding to effectively engage in collaboration; 35% disagreed.

- 22% agreed that they know how to structure funding for multi-year collaborative processes; 42% disagreed.
- 18% agreed that they know how to help fund stakeholders' participation; 50% disagreed.

Receiving significant funds at the initial stages and securing reliable funding streams have contributed to collaborative success.

The online assessment also asked whether respondents had enough time for collaboration. Fewer than half (43%) of respondents reported that when collaborating with stakeholders on water resource planning and management, they generally have enough time to effectively engage in collaboration. One fifth (20%) disagreed with that Statement; remaining respondents were neutral or uncertain. One respondent added that tight timelines set by Congress for work in New Orleans make it difficult to collaborate successfully.

Additional Insights from Participants

Staff highlighted two funding-related conditions that have contributed to collaborative successes -- receiving significant funds at the initial stages and securing reliable funding streams.

Funding-related challenges reported by staff include those below. They suggested that additional, reliable funding streams would improve both in-house expertise and USACE public credibility as a collaborative partner over the long term.

- Lack of sustained funding;
- High cost-share requirements;
- Performance-based budgeting;
- Project-based funding;
- Lack of funding for personnel to participate in collaborative processes led by non-USACE entities;
- Lack of process support (e.g., facilitators and mediators);

- Limited resources for key stakeholders to participate, especially when there are multiple collaborative processes underway at the same time;
- Metrics that do not track or reward comprehensive planning, collaboration or watershed planning, creating obstacles to obtaining funding; and
- Project budgets that typically only allow Division and Districts to do the minimum with respect to collaboration; this often means staff cannot sustain continuous involvement in collaborative processes.

Regarding time-related obstacles to collaboration, workshop participants observed that project timelines are often too rigid to readily accommodate collaborative strategies. They also noted that project-level funding does not allow staff to spend time on basin-level collaboration.

Project timelines are often too rigid to readily accommodate collaborative strategies.

The launch of the Missouri River Recovery Implementation Committee benefited from 100% Federal funding, early HQ involvement, and an external facilitation team.

Workshop Participants' Suggestions for Enhancing Time and Funding Allocation Mechanisms for Collaborative Processes

Funding Commitment

- Acknowledge that collaboration is important enough to pay for, and make a funding commitment to it.
- USACE senior leadership should make an explicit commitment to seek funding to implement outcomes of collaborative processes.
- Provide funding outside of project-specific funds to support collaboration.
- Provide funding for:
  - Non-USACE led collaborative processes;
  - To coordinate and attend meetings; and
  - For food and "giveaways" related to collaborative processes and/or make clear what the Corps is allowed and not allowed to spend funds on.

Education on Funding

- Create transparency about how to access funding options for collaborative processes.
- Create transparency on how USACE decides on budget allocation, including balancing performance based budgeting and allocations across Division and Districts.
- When Planning guidance is revised based on the new principles of collaboration indentified in the CEQ Principles and Guidelines process, include a section on how to finance collaborative processes.

Flexibility in Funding

- Make funding codes more flexible.
- Allow staff to mix and match funding sources to promote collaboration.
- Raise the cost limit for Reconnaissance Studies to fund stakeholder engagement and enable early collaboration and identification of needs and opportunities.

Cost Share

- Ask sponsors to pay for more (e.g., peer review; collaboration).

- Consider returning to 100% federally funded basin-wide collaborative studies upfront, with subsequent offshoot projects cost-shared.
- Provide funding across the federal government to support collaboration among federal agencies

Time Resources

- Establish realistic project timelines for collaborative processes.
- Allow staff to devote the necessary time to collaborative processes.

FINDING D.3 MOST RESPONDENTS DO NOT KNOW WHERE TO FIND PRACTICAL COLLABORATIVE TOOLS AND ACCESS THE BENEFIT OF COLLEAGUES' EXPERIENCE WITH COLLABORATION

Results from the Online Assessment Tool

Assessment results indicate that most respondents do not know how to access collaborative tools and advice.

- 36% of respondents agreed that they know where to find case studies, practical guidelines and other resources; 32% disagreed.
- 43% of respondents reported that they know how to find out about others' experiences; 27% disagreed.
- 55% reported access to satisfactory levels of process support for collaboration (e.g., facilitators and mediators).

The assessment tool also asked staff to describe which human resources (e.g., supervisors, Headquarters personnel, etc.) they turn to for help with various project functions (e.g. stakeholder engagement; running meetings; working with the media; making presentations; and removing roadblocks). As shown in Figure 6 below, respondents tend to turn to supervisors and colleagues the most. For help working with the media, 96% turn to their PAO. Less than 25% of respondents currently seek assistance from Headquarters or IWR for these project functions.

Additional Insights from Participants

43% reported that they know how to find out about others' experiences.

One new employee noted that there is vast knowledge in USACE, but it is nearly impossible to determine where to find it. Respondents emphasized the need to learn from current and historic collaborative efforts, especially basin-wide planning initiatives. Related comments included:

- Currently, colleagues are the main source of advice on collaborative processes and techniques.
- The effectiveness of PAO support for collaboration is quite variable across Divisions; in some, participants reported that they would like to see PAO be more supportive and proactive in their attitudes toward collaborative processes.
- The Executive Account Manager point of contact needs to be made more available.
- One person noted that a project would have been better served if a more strategic review of similar projects had been done to help develop a communication plan with key partners.

Workshop Participants' Suggestions Regarding How Best to Provide Access to "How-to" Resources and Colleagues' Collaborative "Know-how"

Resource Actions

- Structure CPC as a resource center and source of assistance.
- Communicate to the field what resources are available to support collaboration (e.g., expertise, materials and mechanisms).
- Celebrate successes.
- Involve PAO more.
- Use Microsoft SharePoint for Web-based collaboration, including adding tools to the Web.
- IWR might want to identify the market/growth areas and create pilots. Focus on project managers across business lines.

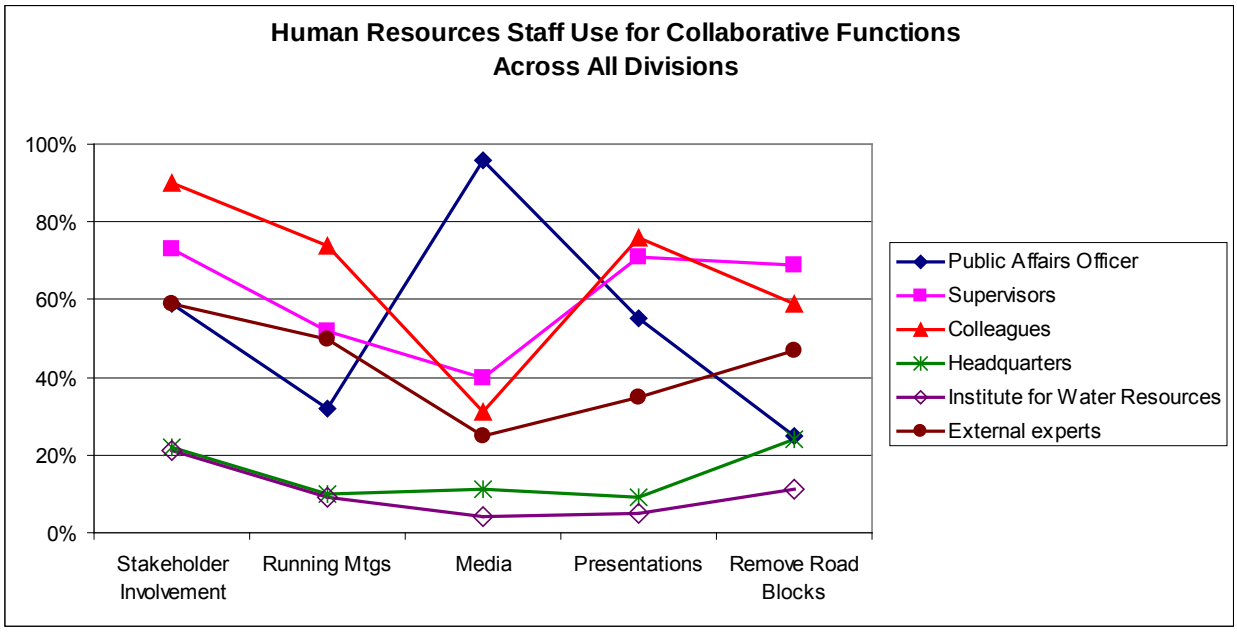
Staff Cross-Training

- Retain institutional knowledge by promoting mentorships and cross-training.
- Promote Inter-Agency rotations.
- Mentor new employees. Teach, coach, and train younger staff in collaboration skills

Practical Tools

- Develop and disseminate a spreadsheet showing all USACE formal partnerships, with details of each partnership.
- Develop a data dictionary to include acronyms, phrases, etc.
- Create a small primer, such as a decision tree, to guide communication during planning processes. It should address when communication is appropriate, benefits and costs, and the basics of who should do what. This could be modeled after the primer that project managers have.
- Capture case studies from the field and include successes and obstacles. Include cases of collaboration in an engineering context. Tailor case studies to business lines and use the language associated with business lines.
- Develop a log of case studies and highlight common themes among them.
- Provide examples categorized by big policy areas (e.g., aging infrastructure and climate) at the local level as a means of pushing into a National dialogue.

Figure 6: Human Resources Staff Use for Collaborative Functions Across All Divisions
This graph shows human resources staff that the 230 respondents who filled out the online assessment tool use for different collaborative functions. It shows, for example, that 93% of respondents use their PAOs for media related activities.



Overall Recommendations

*Recommendation D.1: Make it easier for staff members who wish to use collaborative approaches to find and use **existing** sources of funding.*

Making existing funding sources more accessible can be done by establishing and/or publicizing internal mechanisms to help encourage and fund stakeholder participation in collaborative processes; providing more flexible funding mechanisms for collaborative processes (e.g., permitting their use for watershed-scale collaborative processes, not just specific projects within a watershed; making it easier to transfer funds between partners to support a project of mutual interest); educating staff about all aspects of funding collaborative processes; and encouraging USACE leaders to proactively assist staff in locating available funds to enable collaboration with external stakeholders.

With respect to providing more flexible funding mechanisms for collaborative processes, many staff pointed out that USACE's reliance on project-based funding constrains staff's ability to devote the necessary time to partner with stakeholders on long-term collaborative planning and/or basin-level collaboration. They offered a number of suggestions for improving this situation, all pointing to the need for more flexible funding mechanisms. Their suggestions include: (a) raising the cost limit for Reconnaissance Studies to fund stakeholder engagement and enable early collaboration and identification of needs and opportunities; (b) providing funding to coordinate and attend meetings; (c) providing funding for non-USACE led collaborative processes; (d) providing non-project funds for collaboration; and (e) allowing staff to mix and match funding sources to promote collaboration. (Note that staff also mentioned that high cost-share requirements are an obstacle to collaboration with potential local project sponsors; see "Leadership, Authority, & Empowerment" section for related recommendations.) Headquarters should take the lead on exploring these and other ways to accommodate staff's request for more flexible funding mechanisms.

If mechanisms exist at USACE to help fund stakeholders' participation, relevant information and guidance on when this is appropriate should be broadly disseminated. If they do not exist, it would be valuable to investigate whether and how other federal agencies do this and whether such mechanisms would be viable for USACE. Examples might include the use of invitational travel (e.g., for stakeholders making presentations at a particular meeting) and mechanisms for allowing reimbursement of local expenses such as parking, cabs, and meals.

Whether or not other recommended improvements are made to funding mechanisms, educating staff about existing procedures for how to fund collaborative processes would help to make these processes accessible to increased numbers of USACE personnel. Staff specifically requested more "transparency" on: (a) how USACE decides on budget allocation, including balancing performance-based budgeting and allocations across Divisions; and (b) how to access funding options for collaborative processes.

When possible, USACE leaders should proactively assist staff in locating available project funds to enable collaboration with external stakeholders. Staff members have expressed a number of challenges in finding adequate and sustained funding for collaborative processes, particularly those that extend over multiple years and those unfolding at the watershed level. Division and District-level staff would greatly value any assistance USACE leaders can proactively extend on a systematic or project-specific level to help locate available funding. Such efforts would go a long way to conveying the seriousness of USACE's commitment to the use of collaboration and cultivating an organizational culture that fully embraces collaboration.

Recommendation D.2: Provide more funding (and by extension, authorize adequate staff time) for sustaining collaborative processes, and provide it upfront.

Headquarters should take the lead on identifying secure, sustained sources of funding to support collaborative processes, and allow staff to devote the necessary time to implement such processes. Securing adequate and sustained funding is especially important for multi-year processes, since it is hard for USACE to function as a reliable collaborative partner or convener when funding is uncertain from year-to-year. Headquarters should assess whether additional resources can be allocated to enable Headquarters reviewers to provide the upfront attention and faster turn-around responses being requested by District and Division personnel.

E. Organizational Culture

In general, respondents agree that collaboration is very important and most of them use it often and have had positive experiences. Still, they noted that there are some challenges, such as the Corps lacking a clear definition of collaboration and not always being committed to it, and external stakeholders having concerns about USACE collaborative abilities.

FINDING E.1	RESPONDENTS GENERALLY SEE COLLABORATION AS VERY IMPORTANT; 84% HAVE HAD POSITIVE EXPERIENCES WITH IT, AND 70% USE IT FREQUENTLY. ALMOST ALL RESPONDENTS (95%) BELIEVE THAT THE SUCCESS OF THE USACE MISSION DEPENDS ON WORKING EFFECTIVELY WITH STAKEHOLDERS. RESPONDENTS BELIEVE THAT USACE ORGANIZATIONAL CULTURE SUPPORTS COLLABORATION IN MANY WAYS. MOST RESPONDENTS (66%) BELIEVE THAT USACE COLLABORATES WELL WITH WATER RESOURCES STAKEHOLDERS. MOST RESPONDENTS (66%) BELIEVE USACE DOES A GOOD JOB OF CONSIDERING STAKEHOLDER INPUT AND USING IT WHERE APPROPRIATE, BUT USACE FALLS SHORT IN LETTING STAKEHOLDERS KNOW IF AND HOW THEIR INPUT HAS BEEN USED.

Results from the Online Assessment Tool

Respondents believe the USACE organizational culture does support collaboration, but there is room for improvement.

- 65% agreed that USACE organizational culture supports collaboration with stakeholders on water resource issues.
- 66% agreed that, overall, USACE collaborates well with stakeholders in water resources planning and management to accomplish the USACE mission.
- 66% agreed that USACE does a good job of considering stakeholder input and using it where appropriate.

95% of respondents agreed that the success of USACE mission depends on working effectively with stakeholders.

84% agreed that their past experience using collaborative approaches to achieve water resources objectives has been positive.

70% of respondents use collaboration frequently, while 27% use it occasionally.

Respondents believe collaboration is a productive way of doing business.

- 95% of respondents agreed that the success of USACE mission depends on working effectively with stakeholders;
- 89% see collaboration as a way of getting their work done and 77% disagreed that collaboration is something extra they are asked to do.

Most respondents have had positive experiences with collaboration and use it frequently.

- 84% agreed that their past experience using collaborative approaches to achieve water resources objectives has been positive.
- 63% believe collaboration has proven to be very valuable, while 37% believe it has been very valuable in some cases and not helpful in others.
- 66% use collaboration because it is a good practice generally and 34% use it for certain circumstances that call for it; and
- 70% of respondents use collaboration frequently, while 27% use it occasionally. For NAD and POD, a smaller portion of respondents use collaboration frequently (39% and 47% respectively); more use it occasionally.

Additional Insights from Participants

One participant commented that, "Collaboration is key to everything we do these days and really the only way we are able to formulate truly sustainable (politically, environmentally, and economically) projects." Another person said that "Project development would come to a screeching halt without collaboration." Yet another person said, "Collaboration helps USACE manage risk because it allows for the understanding of everyone's viewpoint." Respondents observed that collaboration is particularly necessary for water resources planning and management where there are so many different stakeholders with different perspectives.

"Collaboration is key to everything we do these days and really the only way we are able to formulate truly sustainable (politically, environmentally, and economically) projects."

– Workshop Participant

Most respondents have had positive experiences with collaboration, and see collaborative strategies as valuable. Collaborative approaches are considered by many as a way of doing business, and participants use these strategies often. However, some people see collaboration as mandatory within USACE, while others see it as voluntary. There is also some variation in how collaborative different business units are perceived to be, but there is no clear pattern in these observations. Respondents observed that support for collaboration has waxed and waned, and that Agency support for this approach is currently on the upswing. One respondent noted that it would be even more prevalent if it is required as standard practice because this would lead to improvements in training and funding.

FINDING E.2	MOST RESPONDENTS AND WORKSHOP PARTICIPANTS BELIEVE THAT USACE NEEDS TO BECOME LESS RULE-BOUND, BETTER SUPPORT WATERSHED-SCALE INITIATIVES, AND BE MORE OPEN TO CHANGE. THERE IS A PERCEPTION THAT USACE'S MILITARY CULTURE AND HIGH VALUE ON CONTROL GET IN THE WAY OF COLLABORATION, AND THAT USACE'S HIERARCHICAL APPROACH CAN MAKE IT DIFFICULT TO BE RESPONSIVE TO STAKEHOLDERS.

While respondents felt that USACE organizational culture supports collaboration in some ways, they also expressed concerns about other ways in which it impedes collaboration. They reported that USACE organizational culture appears too rule-bound, too driven by the project-based funding imperative, and resistant to changes from its historic focus on navigation and flood control. A related theme was that USACE military culture and hierarchical approach get in the way of collaboration and make it difficult to be responsive to stakeholders. One person commented that because decisions on the path forward usually are made by the District Commander, rather than by stakeholder consensus, stakeholders feel their input was not valued. Someone else said that, "USACE seems to be all for collaboration – until a significant challenge is encountered, money has to be spent, or a project is going to be slowed down." Another person observed that many people within USACE think of collaboration as "working with stakeholders only as long as we want to, and not sharing too much information along the way." (For related discussion, see Finding B.1 and Recommendation B.1.)

Workshop Participants' Suggestions Regarding Ways to Strengthen Organizational Culture

SWF's Bosque River Watershed Initiative was realized by tapping into existing programs (e.g. NRCS Easements program), relationships, and knowledge in the watershed to establish a complete team of partners based on each others' strengths and weaknesses. Leaders with a sense of vision, creativity, and willingness to go "outside the box," and funding along a 75/25 split between USACE authorities and technical experts enabled success.

Overall, staff encouraged USACE to build an organizational culture that truly makes collaboration a priority and embraces it. Looking forward, one person commented that a culture change is needed to promote the idea of working out solutions via a collaborative study process, rather than the conventional "propose and seek feedback," or in other words, to move from "inform" to "involve."
Suggestions for doing so can be found throughout this document, but several particularly relevant here include:

- Develop a clear USACE-wide definition of "collaboration" and consistent expectations in order to work together effectively; "collaboration" now means different things to different people at different levels.
- Convey Headquarters' vision for collaboration as a priority throughout USACE through a "just-do-it" culture versus one that finds ways to "say no."
- Make collaboration mandatory as part of the projects from the start.
- Promote collaboration through clear, real examples.
- Focus on giving stakeholders credit for their contributions.
- Hold District-wide and/or Division-wide discussions about how USACE is performing with respect to external collaboration.
- Develop a questionnaire regarding external stakeholders' perceptions and USACE ability to collaborate.
- Create a Headquarters-level speakers' bureau to promote USACE emphasis on collaboration to sister federal agencies and other stakeholder groups.

FINDING E.3 MANY PARTICIPANTS REPORTED THAT EXTERNAL STAKEHOLDERS HAVE NEGATIVE PERCEPTIONS ABOUT USACE'S COLLABORATIVE CAPACITY.

Many workshop participants and some Review Group members reported that external stakeholders have negative perceptions about USACE's collaborative capacity. Examples of such perceptions include:

USACE seems to be all for collaboration – until a significant challenge is encountered, money has to be spent, or a project is going to be slowed down."
– Workshop Participant

- Stakeholders are involved too late in the process (e.g., after a problem and the process for addressing it have both been identified vs. as soon as a potential problem is identified).
- Suspicion that stakeholder input has not, and will not, be considered or valued. Stakeholders feel that in some past projects, USACE did not do a sufficient job of communicating how stakeholder input was used in final decision making;
- Perceptions that USACE is only concerned with navigation and not environmental issues;
- Stakeholder frustration with District personnel for discontinuous engagement with stakeholders as a result of budget constraints;

- USACE has too many non-negotiable contracts, procedures, and agreements that unduly constrain collaboration;
- USACE is highly complex and inelastic;
- A perception that USACE is too risk-averse, and thus collaboration with the USACE is not worthwhile;
- USACE-funded research is likely to be biased;
- The view that USACE staff are not good at translating technical terms into lay language;
- The perspective that USACE falls short on cost and timeliness; and
- Lack of awareness about organizational improvements USACE has made that enable it to be a better collaborator.

NAE's consultation with 10 Indian Tribal Nations on proposed changes to regulations on Procedures for the Protection of Historic Properties was supported by HQ, Division, and District leadership, and resources (money, staff) were made available. NAE went to the tribes, met on their turf, developed agendas with the tribes, and the Commander was available for the duration.

Overall Recommendations

Recommendation E.1: Ensure that there is an effective ombudsperson function at Headquarters or IWR to help streamline Districts' and Divisions' efforts to obtain Headquarters' input, flexibility, support, and time-sensitive approvals related to collaborative processes.

The ombudsperson function that is needed is one that assists both internal personnel and external stakeholders with a range of problem-solving needs as follows:

- For internal personnel, the ombudsperson should assist staff members who are championing collaborative processes to cut through standard procedures where: (a) important to the success of a collaborative process; and (b) no significant negative impacts would ensue. Ideally, Headquarters should designate a point person at Headquarters for every collaborative process. This point person should be the first person to whom field staff members turn for such help.
- For external stakeholders, the ombudsperson should be an accessible problem-solver that is knowledgeable about both USACE policy constraints and appropriate USACE staff to contact to provide the assistance sought.

For both internal and external conflicts, the ombudsperson also should serve the function traditionally associated with this role of maintaining "situational awareness" with respect to patterns of conflict, rather than isolated events. If the ombudsperson identifies a pattern, or stream of similar conflicts, he or she initiates a problem-solving process to look for the underlying reasons for the pattern and explore ways of reducing the recurrent conflict. This might occur, for example, through a policy dialogue or through a collaborative systems "re-design" effort.

According to participants in the Headquarters workshop for this Initiative, the Regional Integration Teams (RITs) are intended to serve this purpose. During the workshops held around the country for this Initiative, RITs were mentioned as valued by the field. Yet District and Division level personnel consistently expressed the need for more help in getting Headquarters' input, flexibility, support, and time-sensitive approvals. This suggests it might be helpful to assess ways to amplify or leverage the valued assistance from the RITs.

Recommendation E.2: Develop USACE-wide communications strategy regarding USACE's use of collaboration that meets the needs of both internal and external stakeholders.

Internal stakeholders need to know where to get help with collaborative processes; what parameters they need to work within as they engage in collaboration on behalf of USACE; where they can access USACE's current training on applicable laws, policies, what is negotiable and what is not; and the support they can expect from Headquarters. For example, any published timeframes for Headquarters' responses are meant as targets, and the actual turn-around time depends on document complexity, quality, relationship to the priorities the pertinent Division has communicated to Headquarters, and staff availability; thus, providing as much lead time on requests as possible is advised. The communications strategy should include a short (10-15 min.) briefing for new Commanders, orienting them to collaborative approaches and how these approaches can make leaders' lives easier.

External stakeholders need to understand the circumstances under which USACE can use collaborative approaches, the constraints within which USACE must function, and the opportunities that USACE sees for using these methods. The communications strategy should convey to key audiences the USACE commitment to the use of collaboration where appropriate and spotlight progress, so that external stakeholders realize this culture shift is intentional, authentic, and reliable going forward. The communications strategy should include materials to orient external stakeholders to targeted USACE procedures that will help stakeholders effectively collaborate with USACE (e.g., the USACE study process). An externally-oriented booklet on "Collaborating With the Corps" and an internal booklet on "Using Collaboration on Behalf of the Corps" might help to increase awareness and align expectations of all concerned. Relevant audiences are likely to include State, tribal, and national policy-makers; counterparts in other State and federal agencies; interest groups from all sectors (e.g., environmental groups, business groups, etc.); the media; and academics.

Recommendation E.3: Develop a better understanding of external stakeholders' views of USACE's collaborative capacity and update the capacity-building strategy recommended in this report based on those findings.

This assessment should be done through: (a) analysis of information on external stakeholder perceptions available through the USACE Customer Satisfaction Surveys and the "Collaborating for a Sustainable Water Future" Initiative; and (b) through direct communication with States, Tribes, partner organizations, and stakeholders. These communications should draw upon creative public input techniques to get the views of those whose voices are not usually heard. Update the capacity-building strategy recommended in this report based on those findings.

In virtually every Division, workshop participants suggested that external stakeholders view USACE as having a much more limited collaborative capacity than USACE staff think the Agency has. This issue was also raised by members of the Review Group who provided input at strategic points into the design and implementation of the Collaborative Capacity Assessment Initiative.

A successful FEIS for the Houston Ship Channel Deepening and Widening project was completed with no lawsuits due to an effective Interagency Coordination Team. The ICT enabled all major stakeholders to reevaluate the project design and impacts and led to a culture change within the Corps towards significant agency and partner input, shared decision making, and increased trust by all sides.

Expanding USACE's annual Customer Satisfaction Surveys will help understand the full range of stakeholder perspectives on USACE's collaborative capacity, including those of non-governmental organizations and local watershed groups who do not generally serve as project co-sponsors. Specific suggestions for related action items include:

a. The Corps should assess external stakeholders' perceptions of USACE's ability to collaborate. A number of USACE reports and initiatives partially illuminate various parts of this question (e.g., interviews with states for the "Collaborating for a Sustainable Water Future" initiative, USACE annual customer satisfaction survey). Such an effort to inventory all the available data, identify gaps in the data, and develop and implement a strategy for filling the gaps in understanding external perceptions has a broad mandate from the respondents in this initiative. Review Group members have suggested personalized outreach to targeted non-governmental organizations and watershed associations, and have offered to assist in gathering such information if funding could be provided.
b. Beyond an assessment of the perceptions of external stakeholders the Corps must determine the implications of the findings. One way to do this would be to convene a group of selected internal and external stakeholders to explore what USACE needs to learn and perhaps do differently based on the results of this inquiry. Possible participants in such a dialogue include: HQ leaders who are committed to the use of collaboration; CPC Division Points of Contact; the Review Group who helped guide the design and implementation of the Collaborative Capacity Assessment Initiative and other external stakeholders with insights about USACE collaborative efforts; one or more organizational development experts; and one or more experts on the topic of collaborative capacity.

Headquarters should ensure that USACE performance tracking systems include metrics to track changes in external stakeholders' perceptions of USACE's collaborative capacity over time. It will be especially important to sample the changing perspectives of those stakeholders who report difficulties with this USACE function in the past and are expected to have ongoing opportunities to engage in collaborative processes with USACE in the future.

V. DISCUSSION OF FINDINGS AND RECOMMENDATIONS

A. Comparison with Other Selected Reports

As previously mentioned the findings of this initiative build upon and complement those of several other recent reports. This section of the report illuminates the intersections between the recommendations that have emerged from the Collaborative Capacity Assessment Initiative and three of those earlier reports.

The first of these three reports, the 1996 "An Organizational Assessment of the U.S. Army USACE of Engineers in Regard to Public Involvement Practices and Challenges" (IWR Working Paper 96-ADR-WP-9), contains three case studies based on interviews with internal and external stakeholders familiar with USACE's public involvement practices and experiences. This report found that commitment to involving the public in its various functions was widespread throughout USACE, but that there was considerable unevenness from District-to-District and project-to-project in the level of commitment and ability of USACE personnel to effectively involve the public. It concluded that USACE needed to undertake system-wide efforts to ensure that USACE can effectively relate to and involve the public in the future.

The report described a number of trends in public involvement, and offered specific recommendations tied to those trends. His recommendations were intended to: clarify policy; strengthen capability; promote quality; reinforce commitment; and ensure leadership. He urged USACE to:

1. Ensure that staff members who interface with the public in each District have the skills to work effectively with the public and interest groups.
2. Equip public involvement personnel with knowledge of organizational behavior and political processes so that they can work well with staff of other agencies and elected officials, as well as with individual citizens.
3. Update training courses and maintain them as state-of-the-art.
4. Help public involvement staff acquire skills in up-to-date communication technologies.
5. Share innovative public involvement thinking with local project sponsors, and ensure District personnel can deliver results under various leadership arrangements.
6. Document, evaluate, and share information about best practices in public involvement.
7. Continue to provide meaningful, practical public involvement training to staff.
8. Ensure that USACE leaders articulate the importance of public involvement, model their commitment to it, and create incentives and rewards for employees' efforts in this area.
9. Cultivate increased awareness across Districts of the positive relationship between community relations and public participation, and encourage District leaders to develop community relations strategies.
10. Articulate an updated, coherent philosophy governing its relationships with its many publics, showing connections between initiatives, synergistic strategies, and benchmarks for improvement.

Like the 1996 report, this study found widespread commitment to collaboration among participants in the Collaborative Capacity Assessment Initiative. As noted, our "sample" was selected based on their expertise and interest in collaboration, so it is not surprising that we did not find the "considerable unevenness" cited in the 1996 report. However, participants shared

perspectives that could be taken to mean that they perceive such unevenness in attitudes toward collaboration across Districts and Divisions at the management level. This is one of the reasons this report recommends obtaining the data needed to characterize attitudes toward collaboration USACE-wide. Like the 1996 report, this report recommends systems-level interventions in order to ensure that personnel across USACE who interface with external stakeholders in the water resources arena are able to work effectively with them. Themes that appear in the recommendations from both this initiative and the 1996 study include:

- Training: The importance of up-to-date training, use of state-of-the-art communication technologies, equipping staff to work with a variety of publics, and diffusing stakeholder engagement know-how more thoroughly throughout USACE;
- Leadership Vision: The importance of USACE leaders articulating and modeling the importance of stakeholder engagement;
- Honoring Effective Stakeholder Engagement: The value of offering staff incentives and rewards for implementing public involvement effectively (or collaboration in the current report); and
- Evaluation: The importance of measuring what works and what doesn't, and disseminating best practices.

The second report to anchor our recommendations to the 2006 "Collaborative Planning in Action," the comparative analysis of nine collaborative planning case studies unbundled how collaborative planning works in practice. This study uncovered several specific institutional barriers to collaborative planning, as follows:

- Internal disagreements between different levels of the Corps about how to engage with stakeholders;
- Lengthy policy reviews reducing momentum and creating uncertainty.
- Changing USACE priorities; and
- The belief that USACE policy requires that all plans need to be within the power of the Agency to implement.

The first two of the above barriers were also themes in the findings of the present study. The 2006 study reported that participants alluded to policy barriers and to barriers associated with USACE's organizational culture, but the data did not yield nuance on these obstacles. The Collaborative Capacity Assessment Initiative presents more detailed findings in this area, as well as in the related area of institutional procedures. One other commonality between these two studies emerged in the discussion of lessons learned from the nine case studies, in which the 1996 study cited the need for on-the-job training and mentoring for study managers in how to conduct collaborative planning processes. The recommendations from the Collaborative Capacity Assessment Initiative pick up and extend this theme.

The third report the present authors would like to spotlight is James Creighton's 2008 study, "Institutional Barriers to Implementation of Collaborative Planning" (see Appendix J). It is, in a sense, a follow-on study to Collaborative Planning in Action, which seeks to shed further light on obstacles encountered initially in that context. "Institutional Barriers" is based on an online survey of 10 managers, interviews with 12 USACE study managers, and two case studies. As in the Collaborative Capacity Assessment Initiative, the "Barriers" study found that:

- Most study participants had found collaborative planning to be very valuable and worth the time and expense, primarily because it increased the likelihood of implementation; and
- Most participants had not received training in collaborative planning, but felt confident doing it anyway.

The report discussed the barriers that emerged from a survey and interviews in the following categories: funding; process; communication; and other, as follows:

Funding Barriers to Collaborative Planning:

- Lack of funding;
- Cost share requirements;
- High uncertainty about what will be possible from year-to-year due to annual funding cycle;
- Challenges of having multiple project sponsors due to the prohibition against USACE accepting non-federal funds;
- The absence of funding mechanisms for watershed studies;
- The inability to issue contracts without all funds in hand;
- USACE's inability to fund State participation; and
- Disjunctive funding cycles / the need for simultaneous authorization and funding of all federal agencies.

Procedural Barriers to Collaborative Planning:

- Perceived unresponsiveness of Headquarters;
- The absence of a funding authority for watershed planning;
- Lack of incentives / clear "value-added" for study managers to use public participation;
- Cap on continuing authorities;
- FACA constraints;
- Dearth of mentoring for study managers; and
- Dominance of federal regulations.

Communication Barriers to Collaborative Planning:

- Lack of knowledge of federal rules and regulations on the part of non-federal participants; and
- Conflicting missions of agencies trying to collaborate (e.g., engineering focus vs. science orientation).

Other Barriers to Collaborative Planning:

- The long duration of USACE projects;
- Time pressures; and
- Inability to participate in activities that could lead to cooperative projects.

Of all these barriers, there were only two not recorded in the Collaborative Capacity Assessment Initiative ("cap on continuing authorities" and "inability to issue contracts without all funds in

hand"). This is not surprising, considering that the "Barriers" study was completed only two years ago.

In reporting barriers that were articulated through his two case studies, the "Barriers" study noted that these cases were each rather unique and cautioned against generalizing from his findings. Therefore, they are not summarized here, but it may be relevant to note several that surfaced as well during the Collaborative Capacity Assessment Initiative and so are probably not so unique. In both studies, an interesting pair of obstacles cropped up – on one hand, all USACE procedures had to be followed scrupulously, and on another hand, policies and procedures were not always clearly defined. Three additional barriers that showed up in both studies were staff turnover; inconsistency in receptivity to collaboration across USACE; and the absence of mechanisms through which USACE can engage in regional planning.

In sum, it should be clear that there is significant convergence in these reports -- that their findings are consistent with one another, reinforce each other, and paint an increasingly nuanced picture of the obstacles that stand in the way of those within, and external to, USACE who would like to work together on shared goals. Fortunately, they also articulate a clear and coherent roadmap for the path over, under, and through these obstacles, drawing upon a "systems" analysis to identify the intervention points that will have the most expeditious impact. Given the importance of the USACE mission to the wellbeing of the nation, the benefits to be reaped seem well worth the effort.

B. Sequencing Implementation

The recommendations from this Initiative lend themselves to implementation on three parallel tracks, as follows:

- Near-term: Encourage and support staff in using collaboration now in ways that require virtually no fundamental organizational changes. USACE should encourage and support staff in using collaboration where appropriate right now. USACE should let external stakeholders know that USACE is doing this (and not just researching collaboration); USACE should provide contacts at CPC and at the Division level (e.g., CPC's cadre of Division-specific Points of Contact) whom both external and internal stakeholders can contact if they are unsure how to raise the possibility of a collaborative approach to a water resources planning or management challenge. For example, Recommendation B.1 falls in this category ("USACE leaders should signal that they have "heard" and understand the need for targeted flexibility at the Division and District levels where vital to the success of strategically important collaborative processes, and that they will provide it where necessary"). Other recommendations in this category include Recommendations A.2, A.3, C.1, C.3, D.1, and D.2.
- Mid-term: Align USACE to support the use of collaborative methods in ways that require some alterations to organizational procedures, policies, or structures. The second of the three parallel tracks consists of a number of actions that USACE should take to bring the whole Agency into alignment in support of the use of collaborative methods where this appears to be the most effective way to achieve water resources planning and management objectives. For example, Recommendation A.1 falls in this category ("Revise project-level guidance to accommodate and support effective use of collaboration"). Other recommendations in this category include Recommendations B.2, C.2, D.1, E.1, and E.2.

- Ongoing: Conduct targeted research and problem-solving to enable USACE to implement the first two "tracks" effectively. The third of the three parallel tracks consists of targeted research, analysis and problem-solving activities to enable USACE to implement the first two "tracks" effectively. For example, aspects of Recommendation B.2 falls in this category ("Headquarters should conduct a comprehensive analysis to determine whether certain USACE laws, regulations, and policies are inconsistent with USACE's commitment to the use of collaboration, and if so, look for opportunities to bring them into better alignment"). Other recommendations with "ongoing" components include Recommendations A.2 and E.3.

Clearly, some recommendations have elements that fall into more than one of the above categories. For a comprehensive mapping of recommendations to these three parallel tracks, see Appendix H.

VI. CONCLUSIONS / NEXT STEPS

At the April 28, 2010, Headquarters workshop, Director of Civil Works Steve Stockton delegated to CPC the lead in developing a proposed path forward in implementing these recommendations – a Collaborative Capacity *Development* Initiative. Implementation of this new initiative may proceed on the three parallel tracks cited earlier:

- Near-term: Support USACE collaboration in ways that require no fundamental organizational changes (e.g., Recommendations A.2, A.3, B.1, C.1, C.3, D.1, and D.2);
- Mid-term: Alter relevant USACE organizational procedures, policies, or structures to support the use of collaborative methods (e.g., Recommendations A.1, C.2, D.1, E.1, and E.2); and
- Ongoing: Support research and analysis to enable the Corps to implement the first two tracks effectively (e.g., Recommendations B.2 and E.3).

Within each of these tracks, there are opportunities to engage stakeholders in helping to shape these enhancements to the way that USACE does business. Doing so would not only maximize the effectiveness of these enhancements, but would be a powerful way of communicating USACE's commitment to get the most possible traction in the use of collaboration.

As suggested in the Headquarters workshop associated with this Initiative, it may be useful to establish a Vertical Integration Team (VIT) to provide advice to, and assist in integrating the results of this initiative into USACE operations and in coordinating collaborative efforts like the "Collaborating for a Sustainable Water Future" Initiative, the revision of the Customer Satisfaction Surveys, the "4.b. Future of Communication" Initiative, and the Collaborative Capacity Assessment Initiative. The VIT should draw members from Headquarters, Divisions, and Districts. Membership could include: CPC's Division POCs; (b) the internal members of the CPC Review Group that has provided periodic input to this Initiative; (c) the leads for the other collaboration-related USACE initiatives; and (d) the Headquarters-level senior leaders who oversee each of these initiatives. The VIT should:

- Assess how the CCAI findings and recommendations relate to other collaboration-related USACE initiatives;
- Make the appropriate linkages between the recommendations and the Campaign Plan; and
- Identify the appropriate "home" within USACE for each of the recommendations;
- Ensure that implementation efforts focus on actions that

Related "Suggested Actions for Collaboration" from 'Collaborating for a Sustainable Water Future' Initiative

1. Make available the missions, roles, experiences, networks and proven track record of the interstate river basin commissions to facilitate coordination and collaboration. Pursue sustainable funding for the interstate agencies.
2. List and describe the ongoing activities of selected active watershed groups working under Federal, state and local auspices in each watershed/river basin by building a dynamic (open-ended) GIS-based map/database.
3. Continue to collaboratively work with tribes to resolve water issues on Indian reservations.
4. Identify, approve and fund collaborative demonstration projects in selected watersheds.
5. Identify and promote new and ongoing interagency efforts (e.g., among Federal agencies, states, tribes and NGOs). Build on current forums (e.g., the Sustainable Water Resources Roundtable) for collaboration among Federal agencies to support state/regional water management.
6. Develop a communications strategy and communicate about partnerships for integrated water resources management.

can have the biggest possible impact in enabling USACE personnel to use collaboration to achieve effective, durable solutions to water resources planning and management challenges;

- Assist with trouble-shooting needed to overcome any implementation obstacles that may arise; and
- Jointly assess progress and identify adjustments that might enhance results.

CPC should confer with the POC group about the best way to identify priorities among the recommendations arising from this Initiative and to identify suggested "homes" and "leads" within USACE for these priority recommendations. For example, one scenario might be: (a) a POC prioritization process carried out remotely, via a combination of email and phone; (b) CPC then takes a first cut in-house at identifying possible USACE "homes" and "leads" for each priority recommendation, but seeks POC feedback and refinement; (c) CPC proposes these priorities, "homes," and "leads" to the leaders of all the collaboration-related USACE initiatives in a joint in-person meeting and refines based on their feedback; and (d) CPC proposes the result to Campaign Plan Objective 2b champion.

By collaboratively implementing the recommendations of this report, USACE will go a long way to enhancing capacity and internalizing collaboration as an expected business practice for effectively solving water resource problems in all elements of the Corps.

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APPENDICES

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Appendix A: List of Review Group

USACE / IWR Collaborative Capacity Development Initiative

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Appendix B: Literature Used to Develop Assessment Tool

LITERATURE REVIEW ON
COMPONENTS OF COLLABORATIVE CAPACITY
IN THE WATER RESOURCES PLANNING AND MANAGEMENT ARENA

Prepared by SRA International, Inc. for the
US Army Corps of Engineers' Institute for Water Resources
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DRAFT LITERATURE REVIEW ON COMPONENTS OF COLLABORATIVE CAPACITY IN THE WATER RESOURCES PLANNING AND MANAGEMENT ARENA

Prepared by SRA International, Inc. for the US Army Corps of Engineers' Institute for Water Resources

November 14, 2008

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LITERATURE REVIEW ON COMPONENTS OF COLLABORATIVE CAPACITY IN THE WATER RESOURCES PLANNING AND MANAGEMENT ARENA

Prepared by SRA International, Inc. for the US Army Corps of Engineers' Institute for Water Resources

I. EXECUTIVE SUMMARY.

The U.S. Army Corps of Engineers (USACE) seeks to assess its capacity to use collaborative strategies in carrying out its mission in the water resources planning and management arena. USACE's mission is to provide quality, responsive engineering services to the federal government, which often entails controversial water resources planning and management initiatives. Water resource issues are often ripe for collaborative problem solving because they typically span multiple geographic and political boundaries and involve multiple agencies and other stakeholders with interdependent interests; high stakes; complex scientific and technical issues with high scientific uncertainty; and critical contributions of experts from a wide range of scientific disciplines. For this reason, and because USACE's think tank and resource center, the Institute for Water Resources (IWR), has recently been officially designated as the Corps' Center of Expertise (CX) on public participation, dispute resolution, and collaborative modeling approaches such as Shared Vision Planning (SVP), IWR is the Agency's lead on this "Collaborative Capacity Development Initiative."

This work comes after the Executive Branch and Corps leadership have issued numerous statements of support for the use of collaborative approaches for addressing environmental issues. Yet examinations of the Corps' capacity to collaborate on such issues have found

unevenness in the level of commitment and ability of Corps personnel to effectively involve external stakeholders and the public at large. This recognition has prompted USACE to undertake a variety of efforts to ensure that its personnel can effectively involve stakeholders and the public in future water projects where appropriate. At the same time, however, USACE leaders must also consider several critical realities that affect the Corps' ability to collaborate, including the challenge of working with agencies with conflicting authorities and missions, as well as limited funding.

This literature review covers a wide cross-section of resources on collaborative capacity, with a focus on its meaning in the context of water resources planning and management. For purposes of this literature review, we use the definition of "collaborative capacity" offered by Hocevar, Thomas and Jansen (2006) – "the ability of organizations to enter into, develop, and sustain interorganizational systems in pursuit of collective outcomes." We interpret this to include the ability of Corps personnel involved in water resources planning and management to:

- Assess the dynamics involved in water resources planning and management challenges and controversies;
- Make appropriate judgments about when and how to engage stakeholders to most constructively address the issue in question and achieve the USACE mission;
- Implement those strategies effectively; and
- Reflect on the efficacy of those strategies, learn from both successes and failures, and adjust future issue analyses, judgments, and stakeholder involvement strategies accordingly.

The goal of USACE's internal assessment is to highlight current strengths in the Corp's collaborative capabilities, and identify areas that could be enhanced. USACE has hired SRA International, Inc., to develop a capacity assessment tool for use in this initiative, and the present literature review provides a foundation for the development of that tool. In this review, we define "collaborative capacity" and elucidate it components. We organized our findings using a "systems" framework. Thus, we discuss five interdependent categories of collaborative capacities important to USACE's ability to plan and manage the nation's water resources, as follows:

- Political Leadership;
- Individual Knowledge, Skills and Abilities;
- Time and Resources;
- Institutional Procedures; and
- Organizational Culture.

This literature review concludes with a brief discussion of implications for the design of the Corps' capacity assessment tool. Because collaborative capacity is a multi-layered phenomenon, research from very diverse sectors have direct bearing on the design of a collaborative capacity assessment instrument for USACE. While there is a large quantity of pertinent literature, there is no single definitive source. This makes the feedback of IWR and its Collaborative Capacity Development Initiative Review Group extremely important to "ground truth" the components of collaborative capacity that are most important to the Corps' effectiveness in planning and managing the country's increasingly precious water

resources. Once we reach closure on the components of collaborative capacity to focus on in this assessment, SRA can conduct a brief follow-up analysis of the metrics used by others to measure those specific capacities. This analysis will inform our next steps in finalizing the survey instrument for use in the IWR Collaborative Capacity Development Initiative.

II. INTRODUCTION.

The U.S. Army Corps of Engineers (USACE) seeks to assess its capacity to use collaborative strategies in carrying out its mission in the water resources planning and management arena. USACE's mission is to provide quality, responsive engineering services to the federal government, which often entails controversial water resources planning and management initiatives. Water resource issues are often ripe for collaborative problem solving because they typically span multiple geographic and political boundaries and involve multiple agencies and other stakeholders with interdependent interests; high stakes; complex scientific and technical issues with high scientific uncertainty; and critical contributions of experts from a wide range of scientific disciplines. For this reason, and because USACE's think tank and resource center, the Institute for Water Resources (IWR), has recently been officially designated as the Corps' Center of Expertise (CX) on public participation, dispute resolution, and collaborative modeling approaches such as Shared Vision Planning (SVP), IWR is the Agency's lead on this "Collaborative Capacity Development Initiative."

USACE's assessment will highlight current strengths in the Corp's capabilities, and identify areas that could be enhanced. USACE has hired SRA International, Inc., to develop the capacity assessment tool for use in this initiative, and the present literature review provides a

foundation for the development of that tool.[1] This literature review defines "collaborative capacity" and elucidates it components. We organized our findings using a "systems" framework. Thus, we discuss the components of collaborative capacity in five categories, reflecting the following five interdependent components of the system through which collaborative capacity operates within USACE: political leadership; individual knowledge, skills and abilities; time and resources; institutional procedures; and organizational culture. We conclude with a brief discussion of implications for the design of the Corps' capacity assessment tool.

II. POLICY CONTEXT

For purposes of this literature review, we use the definition of "collaborative capacity" offered by Hocevar, Thomas and Jansen (2006) – "the ability of organizations to enter into, develop, and sustain interorganizational systems in pursuit of collective outcomes." Hocevar et al suggest that "a *capacity* for collaboration enhances the probability of mission completion by leveraging dispersed resources." As pointed out by Hansen and Nohria (2004) in Hocevar, "the benefits of developing collaborative capabilities include cost savings through the transfer of smart practices, better decision making as a result of advice and information obtained from colleagues, enhanced capacity for collective action by dispersed units, and innovation through the cross-pollination of ideas and recombination of scarce

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Founded in 1978, SRA is dedicated to solving complex problems of global significance for government organizations serving the national security, civil government, and health care and public health markets. For this project, the SRA team includes: Marci DuPraw – the lead designer and implementer of the capacity assessment tool, MS in natural resource policy, economics and management; Tim McGonigle – PhD in industrial/organizational psychology; Luke Brooks-Shesler – MA in Industrial and Organizational Psychology; Jeff Knishkowy – systems design expert; Allison Remick – conflict and collaboration analyst; Samantha Levine – BS in environmental science and MS in conflict analysis and resolution.

resources." The Executive Branch and Corps leadership have issued numerous statements of support for the use of collaborative approaches for addressing environmental issues. For example:

- In 2004, President Bush signed an executive order introducing the "Cooperative Conservation" initiative to further promote the use of collaborative processes by federal agencies to manage a range of environmental issues.
- In 2005, the U.S. Office of Management and Budget (OMB) and the Council on Environmental Quality (CEQ) jointly issued a "Memorandum on Environmental Conflict Resolution." The memo directed federal agencies to develop "strategies to prevent or reduce environmental conflicts and generate opportunities for constructive collaborative problem solving when appropriate," to invest in such strategies, and to report on progress at least annually to the Director of OMB and the Chairman of the CEQ (President's Office of Management and Budget and President's Council on Environmental Quality, 2005).
- According to USACE Circular 1105-2-409(6): "Collaborative planning is … essential to the success of watershed scale planning" (Planning in a Collaborative Environment 2005).
- The Corps' 2004-2009 Civil Works strategic plan states that: "We are committed to collaborate through an ongoing dialogue with stakeholders to forge solutions to water problems that are economically viable, socially acceptable, and environmentally responsible – sustainable. …Clearly, collaboration is essential to bring together the expertise on natural and human systems over the appropriate geographic area, knowledge of problems that exist, and the range of current and potential uses for

water resources" (Department of the Army Corps of Engineers (Civil Works) Strategic Plan: Fiscal Year 2004 - Fiscal Year 2009 2004).

- The Campaign Plan of the U.S. Army Corps of Engineers and Implementation Guidance, in which at least two of the four goals encompass directly relevant objectives (Department of the Army Corps of Engineers undated). More specifically:
    - Goal 2 is to "Deliver enduring and essential water resources solutions through collaboration with partners and stakeholders." Objective 2b of this goal is to "Implement collaborative approaches to effectively solve water resource problems."
    - Goal 4 of the Campaign Plan is to "Build and cultivate a competent, disciplined, and resilient team equipped to deliver high quality solutions." Objective 4b under this goal is to "Communicate strategically and transparently. This includes the objective of building relationships both internally and externally, to foster collaborative partnerships with key stakeholders, and to inform and educate the public about USACE."

Collaboration on environmental issues has occurred with increasing frequency over the past 40 years. However, it has truly proliferated since the 1990s, when the federal government passed laws authorizing agencies to engage in alternative dispute resolution and created the U.S. Institute for Environmental Conflict Resolution (Natural Resource Management: Opportunities Exist to Enhance Federal Participation in Collaborative Efforts to Reduce Conflicts and Improve Natural Resource Condition 2008).

Past examinations of the Corps' capacity to collaborate on such matters have found unevenness in the level of commitment and ability of Corps personnel to effectively work with stakeholders and the public from district-to-district and project-to-project. Recognition of that reported unevenness in the Corps' collaborative capacity has prompted USACE to undertake a variety of effort to ensure that its personnel can effectively relate to and involve stakeholders and the public in future collaborative projects involving water issues (An Organizational Assessment of the U.S. Army Corps of Engineers in Regard to Public Involvement Practices and Challenges 1996; Office of the Assistant Secretary of the Army (Civil Works), 2008). The subject assessment of the Corps' capacity to engage in collaborative capacity where such efforts would help accomplish the USACE mission is intended to lay a foundation for enhancing the Corps' collaborative capacities, consistent with the abundant policy direction laid out above.

There are, however, critical realities that must be considered when exploring the notion of increasing the Corps' involvement in collaborative processes. Federal agencies have different – and sometimes conflicting – missions that they are legally obligated to pursue. Thus, Structural barriers to collaboration must be acknowledged up front when the choice of strategies is being considered.

Conflict can be seen as a sign of a healthy democracy -- an indication that all issues are being surfaced, aired, and considered. Collaboration is not always the way to go. Sometimes – e.g., when a legal precedent is sought or when power imbalances are large – an issue may be better resolved in court. In addition, it is important to recognize that whenever the Corps

pursues collaborative strategies, there is always the possibility that agreement will not be forthcoming. Some of the organizations involved may have interests that cannot be aligned with those of the Corps. It is possible – though not the usual course of events -- that there will ultimately be more conflict as a result of the effort to collaborate. In addition, although one hope that a decision reached collaboratively will be far less problematic and costly to implement, collaborative planning can be resource-intensive on the front-end. Thus, USACE personnel need to carefully assess when and where collaborative strategies are the best approach for advancing the Corps' mission. Where used appropriately, collaborative solutions to complex water resources planning and management challenges can be expected to yield broadly-supported decisions, realistic plans that can be implemented smoothly, and robust working relationships with stakeholders with whom the Corps needs to work long into the future.

III. APPROACH

Defining Collaborative Capacity Development. USACE is in the midst of considering recommendations to establish formal capacity development programs across its national and international sectors (Capacity Development White Paper (draft), U.S. Army Corps of Engineers 2008). In the above-referenced initiative, "capacity development" is defined as the "… building of human, institutional and infrastructure capacity to help societies develop secure, stable and sustainable economies, governments and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their

lives." Innes and Booher (2003) suggest that a "governance system with capacity can learn, experiment, and adapt creatively to threats and opportunities. It is characterized by regular interaction among diverse players who solve problems or complete new tasks by working together."

We found several definitions of "collaborative capacity" in the literature. Goodman et al. (1998) define it to mean "the conditions needed for coalitions to promote effective collaboration" and build sustainable change. As mentioned earlier, Hocevar et al ***define collaborative capacity as "the ability of organizations to enter into, develop, and sustain interorganizational systems in pursuit of collective outcomes. In this literature review, we adopt the above definition of Hocevar et al, and interpret it to include the ability of Corps personnel involved in water resources planning and management to:***

- ***Assess site-specific and policy-level issues;***
- ***Make appropriate judgments about when and how to engage stakeholders to most constructively address the issue in question in the context of the USACE mission***
- ***Implement those strategies effectively; and***
- ***Reflect on the efficacy of those strategies, learn from both successes and failures, and adjust future issue analyses, judgments, and stakeholder involvement strategies accordingly.***

Defining a Systems Framework Through Which to Understand the Corps' Collaborative Capacity. The SRA team briefly reviewed systems design literature to help

us establish a systems framework through which to understand the components of collaborative capacity. Our assumption in doing so was that this would help us:

- Design an assessment tool that would pinpoint parts of USACE's collaborative capacity that currently function with excellence and parts that could be enhanced; and
- Subsequently enable us to most efficiently strengthen and fine-tune that system for optimal results.

A system may be defined as a "set of interrelated components, acting with a common purpose, that exchanges information and energy with its environment" (Diamond and McDonald 1996). Diamond and McDonald further explain that systems are:

- Made up of subsystems;
- Engage in activities that can leave the whole in a different state;
- Have means of self-regulation and adaptation that allow them to change over time;
- A context in which they operate.

When it comes to large organizations, researchers have added the additional concept of complexity to describe entities that have several subsystems; in non-linear systems, such as federal agencies, changing one subsystem can drastically change the behavior of the whole system (Anderson 1999). In using a systems approach to analyzing organizations, each component, such as human resources and financial management, can be thought of as having a distinct role and culture, but each also relies on the other components to achieve overall organizational performance (Constantino and Merchant 1996). A systems analysis examines how well those subsystems "collectively interact in order to discover how to improve them" (Constantino and Merchant), rather than focusing on one element as a self-supporting entity.

The strength and dependability of the systems in place can either support or hinder organizational goals, such as the use of collaboration by agency personnel.

The literature on collaborative processes encompasses several different systems frameworks that can be used for analyzing organizational collaborative capacity. For instance, in the context of developing capacity in community coalitions, Foster-Fishman et al (Foster-Fishman et al. 2001) examine core capacities at three levels:

1. Individual level:
    a. Core skills and knowledge;
    b. Core attitudes motivation;
    c. Relational capacity of individual members.
2. Organizational level:
    a. Effective leadership;
    b. Formalized procedures;
    c. Effective communication;
    d. Sufficient resources;
    e. Continuous improvement orientation.
3. Programmatic level:
    a. Realistic goals;
    b. Unique and innovative;
    c. Ecologically valid.

Paul Mattessich et al reviewed the success factors for organizations involved in collaborations. They place the factors into six categories: (1) Environment; (2) Membership; (3) Process and structure; (4) Communications; (5) Purpose; and (6) Resources (Mattessich, Monsey, and Murray-Close 2001).

Beyerlein et al (2003) proposed a set of principles to characterize effective inter-organizational collaboration. Extrapolating from these principles, the following list of organizational components emerges: (1) Communication and education; (2) Organizational support (leadership, information-sharing); (3) Skills, knowledge and abilities (individual and organizational levels); (4) Personal accountability (culture); (5) Alignment of authority, information and decision-making; and (6) Organizational process.

In exploring success factors and barriers related to the capacities of organizations to engage in inter-organizational collaboration in the homeland security context, Hocevar, Thomas and Jansen (2006) relied up a systems framework developed by Galbraith (2002 in Hocevar, Thomas and Jansen 2006). Gailbraith's framework is conceptualized as a five-pointed star, with the points representing the following system components: (1) Strategy; (2) Structure; (3) People; (4) Incentives; and (5) Lateral Mechanisms.

For purposes of this literature review, SRA distilled from the aforementioned resources and our own experiences the following list of five critical system components that translates well into the arena of federal organizations and provides a well-rounded portrait of the elements required for successful engagement in collaboration with external stakeholders:

1. Political leadership / authority and empowerment to use collaboration where appropriate;
2. Knowledge, skills, and abilities;
3. Time and resources;
4. Institutional procedures that reward use of these strategies; and
5. Organizational culture.

Sources. SRA conducted a comprehensive review of resources on collaborative capacity, with a particular focus on its meaning in the context of water resources planning and management. This review included several USACE documents that provide context for collaborative work, such as "USACE 2012"; "An Organizational Assessment of the U.S. Army Corps of Engineers in Regard to Public Involvement Practices and Challenges (An Organizational Assessment of the U.S. Army Corps of Engineers in Regard to Public Involvement Practices and Challenges 1996); and "When Partnering Doesn't Work (Well)" (Creighton & Creighton undated).

In addition, this review included peer-reviewed academic journals; the Google Scholar database; the Policy Consensus Council; the literature on systems design; and materials from the SRA team members' personal libraries on environmental collaboration. Due to the limited literature specifically on how to measure collaborative capacity in the water resources, we allowed ourselves a bit wider latitude in sources for this portion of the literature review. We found very relevant work going on in the homeland security arena (see, for example, Hocevar, Thomas, and Jansen 2006).

IV. FINDINGS: COMPONENTS OF COLLABORATIVE CAPACITY

In this section, we summarize what the available literature suggests are the specific components of collaborative capacity associated with each of the five system components discussed above: political leadership/authority and empowerment to use collaboration where appropriate; knowledge, skills, and abilities; time and resources; institutional procedures; and organizational culture.

A. Political leadership/authority and empowerment

The inter-organizational, inter-governmental and multi-disciplinary nature of collaborative processes involving water resources necessarily means that such efforts require strong political leadership (Jones 2005). Those convening collaborative efforts must have:

- The authority to encourage this practice;
- Support from agency management to implement decisions; and
- The power to reprogram budgets to support development of collaborative initiatives, monitoring and evaluation of collaborative processes.

In addition, political support is also required to establish pilot or demonstration projects to educate and build support for collaboration, engage in cross-project and interagency training, and support interagency forums and workshops to build expertise and skills (Interagency Initiative to Foster Collaborative Problem Solving and Environmental Conflict Resolution, Briefing Report for Federal Department Leadership 2004 (revised 2005)). Capable leaders will be able to:

- Emphasize the benefits of collaboration – not only benefits to the partnership as a whole, but to every individual and organization involved;
- Identify leaders who can help the parties capture and name what they are doing;
- Promote an orientation towards continuous improvement (Foster-Fishman et al.).

Hocevar, Thomas, and Jansen (2006) suggest that it is important to the success of an inter-organizational collaboration that those initiating such a collaborative endeavor:

- Experience a "felt need" to collaborate;
- Share a recognition for the benefits of collaboration;
- Are not experiencing rivalry with other participating organizations;
- Have leadership support and commitment;
- Have social capital (defined as interpersonal networks) at the top, mid-level, and operating core of the organization;
- Recognize common goals or interdependence among participants in the collaborative effort; and
- Are able to structure the collaborative effort to accommodate interests of all participating organizations.

They also note that it is important that participants (not just convenors) have the authority and accountability to negotiate and make decisions on behalf of their respective organizations.

B. Knowledge, skills, and abilities

There are numerous resources that identify the specific knowledge, skills and abilities (KSAs) necessary for individuals to successfully and effectively engage in collaborative

projects such as those involving water issues. (See table in Appendix C, which outlines and groups these KSAs into several overarching categories.)

The Office of Personnel Management's Core Executive Qualifications (ECQ) for members of the Senior Executive Service provides the basis for our framework of essential KSAs. (see Appendix 1) Federal agencies tasked with implementing Executive Order 13352 (Cooperative Conservation), including the Department of Defense, have similarly derived from the ECQ several individual competencies as being fundamental to the success of cooperative conservation (Response to memo on Executive Order 13352 2006). The first eight competencies listed in Table 1 are cited by several agencies (Departments of Defense, Interior and Agriculture, and the Environmental Protection Agency) as the suite of cooperative cooperation competencies; the final four were added by the authors based on this literature review.

C. Time and Resources

The success of any collaborative effort depends in large part on the amount and type of resources dedicated to the project. Time is among the most basic, and yet most critical, of these resources. Collaborative projects are often long-term (multi-year) efforts that require organizations and individuals to participate in regular meetings; plan and budget for their participation; gather data; engage in research; monitor progress; implement decisions; and evaluate outcomes (Koontz et al. 2004). Hocevar et al suggest that inter-organizational collaborative endeavors are more likely to succeed if they have dedicated assets to support the collaboration, including people and resources.

Necessary resources can be divided into three categories: human, technical and financial (Koontz et al.).

1. Human resources: These resources include personnel and the capabilities they bring to the collaboration. There are several individuals and types of staff members who are key to supporting collaborative projects. This list comes from multiple sources (including Saving Bays and Estuaries: A Primer for Establishing and Managing Estuary Projects 1989; Innes, Connick, and Booher 2007)
    - Leader or director who is answerable and accountable to the stakeholder group as a whole;
    - Program manager or staff director experienced in planning, operating and budgeting, and sensitive to stakeholder and public concerns;
    - Experienced public participation specialists to serve as staff to stakeholder groups and liase with the public;
    - Staff members experienced in the development and evaluation of management strategies and with in-depth understanding of major federal and state statutes and implementing regulations affecting water issues;
    - Scientists knowledgeable about the scientific issues at hand;
    - Communications staff who can keep information flowing through the network;
    - Political decision-makers who have the authority to enter into commitments, Memoranda of Understanding, or other agreements that provide durability and stability for collaborative efforts; and

- Neutral facilitators selected by the parties.

2. Financial resources: This component primarily entails the funding that the collaboration receives, but also includes the needs to (Koontz et al, Saving Bays; Estuaries: A Primer for Establishing and Managing Estuary Projects; Eco-logical: An Ecosystem Approach to Developing Infrastructure Projects 2006; Creighton 2008):
    - Identify a way to pay for each action;
    - Engage in cost-sharing with other agencies/organizations;
    - Develop a financial strategy;
    - Access revenues for materials, staffing, facilities, travel/per diems manage the flow of funds;
    - Recommend methods to oversee financial planning;
    - Identify new sources of funding, including:
        - Access authorities and public funding appropriation mechanisms at the local, regional, state and federal levels; and
        - Find funding matches through partnering with private sector or non-profit organizations;
    - Support the participation of various stakeholders, some of whom may face financial constraints that would otherwise limit their participation;
    - Implement funding procedures that support long-term objectives, as well as short short-term projects; and
    - Avoid treating each budget year as an “exception.”

3. Technical resources: This component encompasses the capacities to:
    - Provide access to scientific information and expertise (Scholz and Stiftel, 2005);
    - Provide technical support to those who need assistance in presenting their views at problem-solving forums;
    - Provide access to technical advisors who can interact with participants and answer questions;
    - Commission new scientific research;
    - Support training opportunities (leadership, negotiation, partnering, etc.); and
    - Provide assistance in determining collaboration's structure, guidelines.

D. Institutional Procedures

An entity's internal processes and procedures may either support or impede its capacity to participate in collaborative projects. Organizations need procedures that allow them to institutionalize policies, rules, norms and practices of collaboration, as well as create channels that support high levels of commitment to shared policies, resource allocation and cooperation (Imperial 2005). These organizational processes can strengthen an organization's capacity to:

- Collect public knowledge;
- Share that knowledge internally in a timely and efficient way;
- Communicate findings with citizens in a timely manner;
- Apply internal measures to gauge how effectively staff are using civic engagement;
- Implement a system to seek out public knowledge; and

- Develop protocols to determine where, when and how to engage the public (Standards of Excellence in Civic Engagement 2005).

Before beginning a collaborative project, an organization should have the capacity to engage in an assessment presenting an impartial analysis of the problem that collaboration would help resolve. This is vital to laying the groundwork for effective collaboration (Bean, Fisher, and Eng 2007). Such processes allow organizations to identify stakeholders and key issues, analyze the feasibility of moving forward, and design a work plan for proceeding. In addition, the capacity to conduct an assessment may result in stronger rapport between parties, illuminate multiple solutions, identify barriers to and opportunities for reaching agreement, and offer a reference point for analyzing progress.

Hocevar, Thomas, and Jansen (2006) suggest that the success of a collaborative initiative is enhanced if collaboration is a prerequisite for funding or other resources (e.g, built into a request for proposals that the groups are responding to together). They also suggest that collaborative initiatives are more likely to succeed if they have:

- A formalized coordination committee or liaison roles;
- Formalized processes (e.g., meetings, agendas, deadlines);
- Role clarity;
- Joint training events for participants;
- Effective communication and information exchange mechanisms; and
- Technical interoperability between organizations.

Finally, Institutional procedures that are supportive of collaboration fall into the following categories:

- Communication Procedures
    - Allow individuals to speak directly with one another, rather than require them to follow rigid chains of command (Innes, Connick, and Booher), and work through a network, not a hierarchy;
    - Coordinate the actions of other organizations;
    - Reduce information asymmetries by encouraging the formation of work groups, task forces, and advisory committees;
    - Hold periodic national or regional conferences to share collaborative experiences, identify further challenges, and learn lessons from others; and
    - Promote consistent terminology and data and performance measures across agencies.

- Procedures for Fostering External Awareness
    - Support interaction with politicians and upper-level agency official;
    - Identify and evaluate legal and financial policy changes that would enhance collaborative; and
    - Reconcile conflicting priorities among agencies or field offices, or national, regional, and local concerns.

- Procedures for Accessing Resources to Support Collaboration
    - Pool organizational resources (funding, staff, equipment);

- De-compress planning periods to make it easier to re-mobilize staff;
- Support field staff interested in such efforts – i.e., assign staff according to their skill; allow staff to become acquainted with a community to work better with local groups; provide flexibility for employees to work with these communities (Natural Resource Management: Opportunities Exist to Enhance Federal Participation in Collaborative Efforts to Reduce Conflicts and Improve Natural Resource Condition 2008);
- Allow organizations to absorb the transaction costs associated with organizing, supporting, or conducting collaborative activities at higher levels;
- Support plans to hire new people with collaborative skills;
- Common databases, shared technical resources, integrated resource inventories and other forms of data synthesis (Imperial 2005);
- Offer training on negotiation, partnering, collaboration methods; and
- Provide incentives to collaborate at the individual and organizational level (Imperial and Hennessey 2000).

- Evaluation Procedures
  - Support the creation of an action plan that identifies how progress will be measured for each target;
  - Allow leaders to establish an evaluation system for each goal of the partnership (Ferreyra and Beard 2007);

- Direct collaborative managers to negotiate indicators for evaluation among stakeholders; and
- Establish agency-wide guidance, performance metrics, and monitoring of the use of environmental conflict resolution to foster deeper understanding of the value of the practice.

Regarding USACE's interactions with tribal governments, the capacity for collaboration may increase through policies that require leaders to take training on Corps-government relations and communication, trust-building and consultation with tribes, as well as programs that document interrelationships between project operations and Native American interests (An Organizational Assessment of the U.S. Army Corps of Engineers in Regard to Public Involvement Practices and Challenges 1996).

E. Organizational Culture

The culture of an organization has the power to shape, guide and influence every activity in which it becomes involved. Culture affects an organization much like it does an individual, by creating worldviews, perceptions and meanings as well as ideas of what is right and wrong, useful or useless (Goldberg 2008). For that reason, culture constitutes a primary determinant of an organization's success when it comes to intensive, multifaceted endeavors such as collaboration on water resource issues. An organization with a culture that devalues partnering, innovation, outreach, diversity, and skill-building, to name a few key ingredients

in collaboration, will suffer in its efforts to engage in public participation. On the other hand, there are numerous aspects of organizational culture that would support an entity's work in this arena, including the related characteristics of:

- Flexibility:
  - Readiness to adapt to changes and circumstances;
  - Avoid rigid bureaucratic structures; and
  - Set/reset expectations that make sense (Making Community Coalitions Work 1993).
- Resiliency: The ability to respond quickly to new conditions, events, opportunities and problems as needed (Innes and Booher 2003)

In addition to considering the elements of organizational culture that are supportive of collaboration, following is a list of attributes, activities and attitudes that, if embedded in an organization's culture, could lead it to encounter difficulty in collaboration:

- Minimization of collaborative activities;
- Risk aversion and lack of trust among participating agencies (How to Engage Low-Literacy and Limited-English-Proficiency Populations in Transportation Decisionmaking 2006);
- Belief that regulations are inflexible;
- Perception of others that organization is unreliable (Creighton 2008);
- Conflicting missions of agencies/engineers working with scientists;
- Difficulty managing local sponsors' expectations;
- Mistrust in federally sponsored collaborative processes (Creighton 2008);

- Perceived failures of previous interagency cooperative efforts;
- Long-held, highly entrenched and polarized positions;
- Resistance to change;
- Lack of a visible champion for collaboration within the Corps;
- Limited view of the value of collaboration; and
- Existence of turf issues (Imperial 2005).

IV. IMPLICATIONS FOR ASSESSMENT TOOL DESIGN

There does not seem to be any one work that is widely-recognized as the definitive reference on the components of collaborative capacity in the water resources planning and management arena. However, there is an abundance of literature that sheds light on such an inventory.

In the words of Hocevar, Thomas, and Jansen (2006), "Building collaborative capacity is a multi-faceted endeavor requiring systematic attention, resources, commitment, and opportunities for interaction." Because collaborative capacity is a multi-layered phenomenon, research from very diverse sectors have direct bearing on the design of a collaborative capacity assessment instrument for USACE. This situation (a large quantity of pertinent literature, but no one definitive source) presents three challenges for the design of the USACE instrument:

1. Containing the literature review so that we can meet the practical deadlines and needs emanating from the USACE staff in the field, albeit in a scientifically grounded manner;

2. Distilling the multitude of inputs into the most salient aspects of collaborative capacity to inventory within the USACE's water resources planning and management personnel;
3. "Rolling up" the multitude of inputs into a manageable number of variables, given informal advice from federal agency evaluators to keep the list of questions as short as possible to maximize response rate;

We see two alternatives for how we might move on from that point to develop the USACE / IWR assessment tool. We could either:

1. Complete a new and original assessment tool focused specifically on the water resources planning and management arena, based on the final SRA literature review, guidance from IWR, and discussions with the Review Group for this Collaborative Capacity Development initiative; or
2. Work in partnership with an existing science-based research initiative in the emergency preparedness arena that seems to be very closely aligned with the goals of the USACE / IWR Collaborative Capacity Development Initiative, in order to use what appears to be an existing, already-validated instrument for assessing inter-organizational collaborative capacity. We refer to the work of Hocevar, Thomas, and Jansen (2006), through the Naval Postgraduate School (School of Business and Policy). We believe that it is worth learning more about this initiative in coming weeks to assess the wisdom of these two alternative pathways.

These challenges and choices make the feedback of IWR and its Collaborative Capacity Development Initiative Review Group extremely important to "ground truth" the components of collaborative capacity that are most important to the Corps' effectiveness in planning and managing the country's increasingly precious water resources. Once we reach closure on the components of collaborative capacity to focus on in this assessment, SRA can conduct a brief follow-up analysis of the metrics used by others to measure those specific capacities. This analysis will inform our next steps in finalizing the survey instrument for use in the IWR Collaborative Capacity Development Initiative.

(Appendices attached as stand-alone files)

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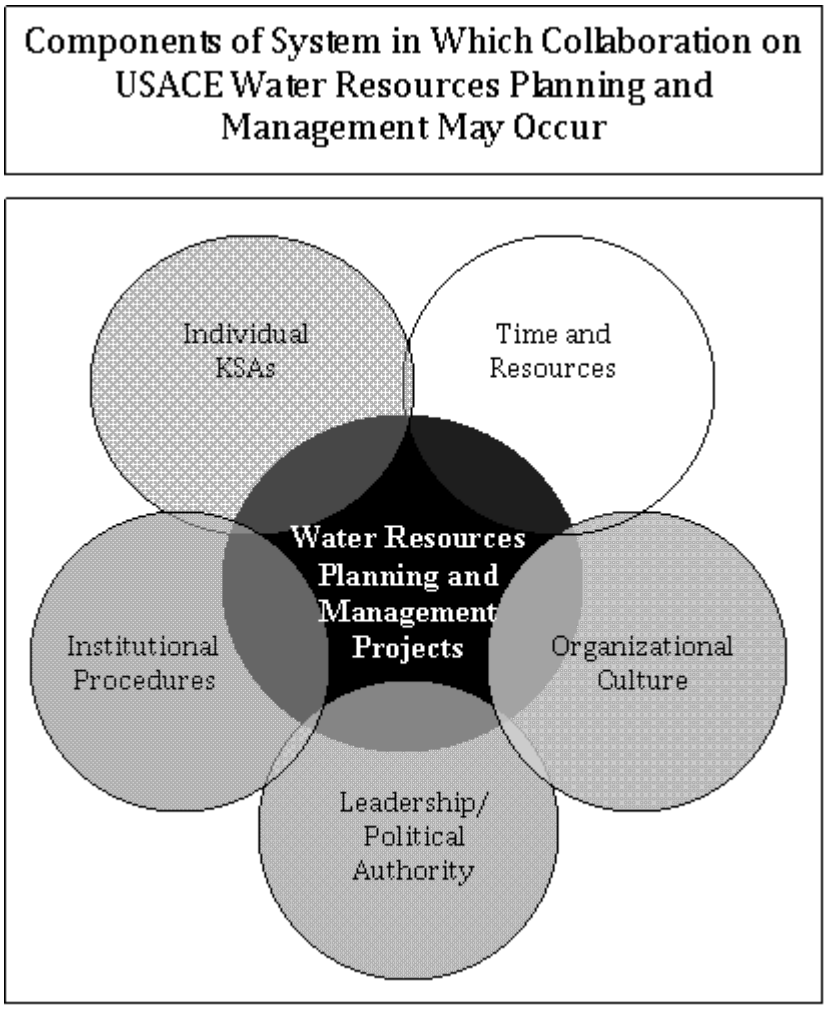
APPENDIX A: Executive Core Qualifications, OPM

Leading Change	Leading People	Results Driven	Business Acumen	Building Coalitions/ Communications	Fundamental Competencies
Resilience	Conflict Management	Accountability	Financial Management	Partnering	Interpersonal Skills
Strategic Thinking	Leveraging Diversity	Customer Service	Human Capital Management	Political Savvy	Oral Communication
Vision	Developing Others	Decisiveness	Technology Management	Influencing/Negotiating	Continual Learning
Creativity and Innovation	Team Building	Entrepreneurship			Written Communication
External Awareness		Problem Solving			Integrity/Honesty
Flexibility		Technical Credibility			Public Service Motivation

APPENDIX B: Systems Framework for Collaborative Capacity



Source: SRA International, Inc., 2008

APPENDIX C: Individual Competencies and Associated Knowledge, Skills and Abilities

Sources: This table was distilled from numerous sources (see "References" section).

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Partnering (Development of networks and alliances[2])	Process-related KSAs - Uses democratic decision-making style - Gather information effectively - Promotes power sharing - Develops shared vision among participants • Helps participants agree on what partnering means in particular context • Identifies each participant's contribution - Establishes a tracking and reporting system to document progress - Participates in external assessments and self-assesses capacity KSAs related to Structuring Partnerships - Access to networks and connections - Cultivates familiarity with the capabilities and requirements of other participants in the collaborative - Builds effective coalition infrastructure, connections to existing community institutions, and inter-organizational leadership - Identifies interests and capable representatives - Clarifies boundaries of participating organizations

[2] Definitions from OPM. Posted at https://www.opm.gov/ses/recruitment/ecq.asp

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Partnering (continued)	Attitudes and Values - Maintains a diversity of stakeholders and ideas to bring different perspectives and feed the tension that supports creativity, draw on a host of concepts when new approaches are needed - Sees diversity as positive - Adheres to principles, including: • accountability • openness • informed commitment • balanced, voluntary representation • group autonomy • informed process - Integrates different types of knowledge - Recognizes and taps the different skills of collaborations' members - Builds inclusive, broad-based involvement in collaborative efforts - Trustworthy and able to trust - Committed to collaborative initiative - Self-motivated and persevering
Influencing/negotiating	- Tests "what ifs" - Understands and incorporates needs and constraints of specific groups (tribes, populations with low/limited English proficiency) - Serves as bridge between the group and their respective organizations - Persuades others - Builds consensus through give and take - Gains cooperation from others to obtain information and accomplish goals.

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Interpersonal skills[3]	- Models open communication - Manages interactions between the parties - Expresses empathy - Alleviates stress - Develops positive working climate - Socializes new participants to norms, values and routines of collaborative processes - Works effectively with those from backgrounds other than yours - Understands how prejudices (of self and others) influence the development of understanding - Improves understanding between cultures and economic group - Treats others with courtesy, sensitivity, and respect - Considers and responds appropriately to the needs and feelings of different people in different situations
Creativity and innovation	- Employs conflict as an engine of creativity - Encourages efforts to develop new options for resolution - Engages in technology transfer to share strengths - Develops new insights into situations - Questions conventional approaches - Encourages new ideas and innovations - Designs and implement new or cutting-edge programs/processes

[3] "Interpersonal skills" is one of six "fundamental competencies" in the Office of Personnel Management's Executive Core Qualifications for members of the Senior Executive Service. Posted at http://www.opm.gov/ses/recruitment/competencies.asp

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
External/political awareness[4]	- Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views - Aware of the organization's impact on the external environment. - Understands power dynamics, and recognizes many different forms of power - Recognizes when a project is in trouble - Engages in risk analysis - Engages in strategic thinking - Manages political expectations - Assesses the timing and scope of the collaboration - Secures political support/commitment - Taps the capacities of the community - Uses guest speaker series, public meetings, and research to communicate scientific information to other stakeholders - Considers constraints of the Federal Advisory Committee Act - Engages in creative efforts to attract and secure political support - Performs forward and backward mapping to identify potential constraints on joint action and identify possible supportive coalitions or sources of political conflict that would impede collaboration - Promotes consistent levels of knowledge of environmental conflict resolution by senior leaders and project managers to foster strong situation awareness of the implications of emerging conflicts and the conditions that signal the need for environmental conflict resolution

[4] Authors added "political" to category heading to provide further clarification.

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Entrepreneurship	- Creates and builds effective programs - Engages in creative efforts to attract and secure financial support - Has knowledge of financial resources, funding opportunities and mechanisms - Positions the organization for future success by identifying new opportunities - Builds the organization by developing or improving products or services - Takes calculated risks to accomplish organizational objectives
Problem solving	- Functions as a peer problem solver - Manages rate of change and problem solving – regulate disequilibrium, discomfort, impatience and conflict - Recognizes the value in integrating findings to achieve a more accurate and useful picture of the situation - Identifies and analyzes problems - Weighs relevance and accuracy of information - Generate and evaluates alternative solutions, and makes recommendations
Conflict management	- Able to accurately assess conflict situation and determine most effective approach for addressing it - Aware of broad range of possible conflict resolution approaches to draw upon - Able to match appropriate conflict resolution approach to specific conflict - Able to work with others to design effective consensus-building process - Understands how to build consensus among multiple parties - Runs meetings effectively & efficiently

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Conflict management (continued)	- Reaches out to diverse stakeholders - Builds agreement among affected stakeholders to engage in good faith - Works to develop and agree on shared ground rules for participation - Creates a game plan and group covenants - Concentrates on relationships first - Creates "jointly owned" knowledge - Organizes "sidebars" (committees or workgroups that address complex topics) - Generates multiple problem definitions - Creates options to resolve conflicts - When necessary, acts from position of neutrality - Talks about "values" - Acknowledges different kinds of knowledge - Explores validity and accuracy with care - Creates a "public learning" culture - Is transparent about decision-making - Pays attention to power - Encourages creative tension and differences of opinions - Anticipates and takes steps to prevent counter-productive confrontations - Manages and resolves conflicts and disagreements in a constructive manner
Project management*	- Consider whether the resources exist to undertake collaborative activities - Reviews staffing and budgeting requests - Institutionalizes interpersonal relationships to make success less dependent on individuals and more on existing structure - Effectively manages own time & that of team members to accomplish tasks by agreed-upon deadlines

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Leadership*	- Inspires political and personal commitment and action - Works to sustain hope and encourage participation in the consensus building process - Creates a sense of ownership of the problem and underscore importance of work - Encourages participants to play active and engaged roles in shaping public action - Sets a holistic strategy - Encourages full participation by senior-level executives - Creates a more inclusive culture that allows for more effective communication - Reconciles competing statutory objectives
Substantive knowledge*	- Knowledge of the water resource issues under discussion (empirical or experiential) - Knowledge of legal and regulatory parameters and constraints related to issues under discussion - Understanding of institutional context in which participants are operating (e.g., how a particular agency works) - Understanding of policy making processes related to issues under discussion - Other relevant types of expertise (e.g. modeling, engineering, hydrology, ecology, aquatic biology)

INDIVIDUAL COMPETENCY	RELATED KNOWLEDGE, SKILLS AND ABILITIES
Cultural Competency (this category added by authors)	- Understands the cultural biases in the collaborative processes in use - Develops new processes to reflect the diverse cultures of those involved - Tailors methods and approaches to parties' cultural norms - Recognizes different ways of knowing, perceiving and behaving - Engages in constant monitoring and adjustment throughout the course of the process to ensure that individuals of all backgrounds can equally participate - Recognizes the cultural assumptions implicit in all aspects of collaboration (setting, process, participation, mindset, role of tradition, form of resolution) - Recognizes when ideas from "other" cultures are being ignored, dismissed or disparaged - Welcomes all modes of inquiry and analysis - Ensures that all types of information are available to everyone involved in a collaboration - Helps build mutually framed questions with other stakeholders - Engages in respectful questioning - Recognizes and responds to specific modes of communication by Native American tribes - Engages populations with low or limited English proficiency

Appendix C: Online Assessment Questions

ASSESSING USACE'S CAPACITY TO COLLABORATE ON WATER RESOURCES PLANNING AND MANAGEMENT

This survey has been developed under the auspices of the U.S. Army Corps of engineers' Institute for Water Resources (IWR). The purpose of the survey is to obtain baseline information needed to enhance USACE's capacity to collaborate on water resources planning and management where appropriate to advance USACE's mission. The survey is anonymous – we do not ask for your name, and will not attribute your answers to you. IWR will be asking at least 25 individuals within your Division to complete the survey, and their answers will be aggregated for use in a workshop for your Division. The survey should take you about 20 minutes to complete; you can go back and change your answers at any time until you are done. However, you must complete it at one sitting. You cannot save it partway through and return to complete it later, so pick a time when you can do it from start to finish. Thank you for your time and thoughtful consideration of these questions.

I. Your Background

(Note that we ask about age, gender, and ethnicity because the literature suggests these variables sometimes correlate with attitudes toward conflict and how conflict should be addressed.)

1. Please tell us a bit about yourself.
   a. In what Division or District do you work? *(open response)*
   b. What is your community of practice? *(see drop-down menu)*
   c. In what business lines do you work? *(see drop-down menu)*
   d. How long have you worked for USACE? *(open response)*
   e. What is your educational level?
   f. What is your age?
   g. What is your gender? ____male ____female
   h. In terms of ethnic background, you consider yourself to be: *(open response)*

II. Your Experience With Collaborative Water Resources Planning and Management

(Throughout this section, please select the statement below each question that best reflects your experience.)

2. In terms of the frequency with which USACE uses collaboration in water resources planning and management, please put an X in the blank of the statement below that best reflects your experience:

   ___ a. We use collaboration frequently.

   ___ b. We use collaboration occasionally.

   ___ c. We use collaboration rarely.

3. When we do use collaboration, it is because:

   ___ a. Collaboration is a good practice generally.

   ___ b. Certain circumstances call for collaboration.

___ c. We are required to use collaboration.

Your Experience (cont'd)

4. In terms of the results achieved through collaborating on water resources planning and management:

___ a. Collaborative planning has proven to be very valuable.

___ b. In some cases, collaborative planning has proven to be very valuable, but in others it has not been very helpful.

___ c. Results have not warranted the effort involved in collaborative planning.

5. Please reflect on the water resources planning and management projects in which you participated while employed by USACE in answering the following questions:

a. In how many such projects have you participated in your USACE tenure? _____ projects

b. Of these, how many have entailed some method of collaborating with external stakeholders? _____ projects

6. I have played the following roles in USACE collaborative water resources planning projects *(please circle yes or no):*			Frequency: *(please put "x" in appropriate cell)*				
			1-5 projects	6-10 projects	11-20 projects	21-50 projects	Over 50 projects
a. Convenor	yes	no					
b. Group leader	yes	no					
c. Agency representative	yes	no					
d. Technical expert / resource person	yes	no					
e. Modeler	yes	no					
f. Facilitator	yes	no					
g. Other type of participant	yes	no					

Your Experience (cont'd)						
7. In my experience, the following people or entities are helpful resources for*(please put X in all cells that apply):*	Public Affairs Officer	Supervisors	Colleagues	Head-quarters	The Institute for Water Resources	External experts
a. Strategizing regarding stakeholder involvement;						
b. Running meetings;						
c. Dealing with the media;						
d. Coaching on presentations;						
e. Removing roadblocks to collaboration.						

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
8. My past experience using collaborative approaches to water resources planning and management to advance USACE's mission has been positive.	1	2	3	4	5	N/A	DK
9. I see collaboration as a way of getting my work done.	1	2	3	4	5	N/A	DK
10. I see collaboration as something "extra" I am being asked to do.	1	2	3	4	5	N/A	DK
11. Overall, we at USACE collaborate well with stakeholders in water resources planning and management to accomplish the USACE mission.	1	2	3	4	5	N/A	DK

III. Collaborative Capacities *(Please answer the questions in this section based on your average experiences; we realize you will need to generalize in some cases; keep in mind that your answers are anonymous.)*

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
12. I believe USACE planners generally try to proactively address stakeholders' needs.	1	2	3	4	5	N/A	DK
13. I believe that, in general, USACE provides stakeholders with adequate access to information we have that is relevant to their work.	1	2	3	4	5	N/A	DK
14. It is my understanding that, on a case-by-case basis, USACE permits participation in shared decision-making processes with stakeholders where appropriate for advancing USACE's mission.	1	2	3	4	5	N/A	DK
15. I am open to engaging in shared decision making processes where appropriate for advancing the USACE mission as long as I am authorized to do so.	1	2	3	4	5	N/A	DK
16. I feel confident about my knowledge and/or ability to:							
a. Make good judgment calls about how and when to engage in dialogue with stakeholders to help advance USACE's mission;	1	2	3	4	5	N/A	DK

Collaborative Capacities (cont'd)

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
16. (cont'd). I feel confident about my knowledge and/or ability to:							

b. Figure out how to successfully fund and launch collaborative initiatives;	1	2	3	4	5	N/A	DK
c. Work within USACE's legal, regulatory and policy parameters in collaborating with stakeholders on water resource issues;	1	2	3	4	5	N/A	DK
d. Manage meetings;	1	2	3	4	5	N/A	DK
e. Listen to stake-holders non-defensively;	1	2	3	4	5	N/A	DK
f. Design an appropriate public participat-ion, consensus-building, or conflict resolution approach to a specific situation to best advance the USACE mission;	1	2	3	4	5	N/A	DK

Collaborative Capacities (cont'd)							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
16 (cont'd). I feel confident about my knowledge and/or ability to:							
g. Manage meetings;	1	2	3	4	5	N/A	DK
h. Listen to stake-holders non-defensively;	1	2	3	4	5	N/A	DK
i. Design an appropriate public participat-ion, consensus-building, or conflict resolution approach to a specific situation to best advance the USACE mission;	1	2	3	4	5	N/A	DK
j. Establish interperson-al under- standing – e.g., to understand emotion, content, underlying issues, and meaning of another's message;	1	2	3	4	5	N/A	DK

Collaborative Capacities (cont'd)

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
16 (cont'd). I feel confident about my knowledge and/or ability to:							
k. Work with culturally diverse stakeholder groups;	1	2	3	4	5	N/A	DK
l. Bring creativity and innovation to bear in collaborat-ing with stake-holders to advance the USACE mission;	1	2	3	4	5	N/A	DK
m. Obtain data needed to understand and address the issues on the table;	1	2	3	4	5	N/A	DK
n. Translate scientific and technical information into lay terms and accessible formats;	1	2	3	4	5	N/A	DK
o. Use collab-orative mod-eling tech-niques to engage stake-holders, build consensus, and resolve conflict;	1	2	3	4	5	N/A	DK

Collaborative Capacities (cont'd)							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
16 (cont'd). I feel confident about my knowledge and/or ability to:							
p. Engage in group problem solving in the context of water resources planning and manage-ment (e.g. identifying and analyzing problems; weighing accuracy and relevance of information; generating and evaluation alternative solutions; making recommendations);	1	2	3	4	5	N/A	DK
q. Use negotiation to advance the USACE mission;	1	2	3	4	5	N/A	DK
r. To use interest-based negotiation (as distinct from positional negotiation);							

Collaborative Capacities (cont'd)							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
16 (cont'd). I feel confident about my knowledge and/or ability to:							
s. Manage conflict that arises during water resources planning and manage-ment;	1	2	3	4	5	N/A	DK
t. Structure agreements that meet all stakeholders' needs.	1	2	3	4	5	N/A	DK
17. I feel confident about my ability to collaborate with the following types of external entities to advance USACE's mission:							
a. Project sponsors	1	2	3	4	5	N/A	DK
b. Non-governmental organizations	1	2	3	4	5	N/A	DK
c. Native American groups	1	2	3	4	5	N/A	DK
d. Other federal agencies	1	2	3	4	5	N/A	DK
e. State governments	1	2	3	4	5	N/A	DK
f. Local government entities	1	2	3	4	5	N/A	DK
g. Business and industry	1	2	3	4	5	N/A	DK
h. Minority communities							
i. Labor	1	2	3	4	5	N/A	DK
j. Academia	1	2	3	4	5	N/A	DK
k. Other	1	2	3	4	5	N/A	DK

IV. Organizational Culture							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
18. USACE's organizational culture supports collaboration with stakeholders on water resource issues.	1	2	3	4	5	N/A	DK
19. The success of USACE's mission depends on working effectively with stakeholders.	1	2	3	4	5	N/A	DK

V. Time and Resources							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
20. I have access to the following types of expertise as needed to enable me to use collaborative strategies effectively in pursuit of USACE's mission.							
a. Technical & scientific expertise	1	2	3	4	5	N/A	DK
b. Process expertise (e.g., facilitation, mediation, etc.)	1	2	3	4	5	N/A	DK
c. Legal expertise	1	2	3	4	5	N/A	DK
d. Other types of expertise	1	2	3	4	5	N/A	DK
21. When collaborating with stakeholders on water resource planning and management, I generally have:							
a. enough time to effectively engage in collaboration;	1	2	3	4	5	N/A	DK
b. sufficient funds to collaborate effectively (e.g., for travel, facilitators, technical consultants, etc.)	1	2	3	4	5	N/A	DK

Time and Resources (cont'd)							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
22. I know where to find case studies, practical guidelines, and other resources on how to effectively use collaborative approaches to water resources planning and management to advance the USACE mission.	1	2	3	4	5	N/A	DK
23. I know how to find out about others' experiences with collaborative water resources planning and management processes so that I can build on their insights.	1	2	3	4	5	N/A	DK

Training		
	24. I have had training on (*please put "x" in cells)*:	25. I would like to have training in *(please put "x" in cells)*:
a. Collaborative leadership		
b. How to assess the legal, political, and practical feasibility of using a collaborative approach for a particular issue to advance USACE's mission;		
c. Consensus-building or collaboration as a tool for addressing water resources and planning issues;		
d. Public participation approaches;		
e. Dispute resolution;		
f. Working with multi-disciplinary teams;		
g. Communications;		
h. Working effectively across cultural, racial, class, or other identity group differences in the process of carrying out the USACE mission in the water resources arena;		
i. Working effectively with indigenous Americans in the process of carrying out the USACE mission in the water resources arena, including how to conduct formal government-to-government consultations;		

VI. Political Leadership, Authority and Empowerment.							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
26. USACE leaders support us in collaborating with stakeholders on water resource issues as a strategy for implementing the USACE mission.	1	2	3	4	5	N/A	DK
27. USACE leaders work productively with leaders of stakeholder organizations to improve collaboration, find synergy and maximize results that advance USACE's mission.	1	2	3	4	5	N/A	DK
28. USACE leaders are effective at coordinating internally so that USACE representatives in collaborative processes speak with one voice on behalf of USACE.	1	2	3	4	5	N/A	DK

VII. Potential Barriers to Collaboration							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
29. Conflicting USACE policies make collaboration difficult.	1	2	3	4	5	N/A	DK
30. Laws under which USACE operates make it difficult to use collaborative approaches to water resources planning and management to advance USACE's mission.	1	2	3	4	5	N/A	DK
31. Staff turnover, transfers, or rotations within USACE make collaboration difficult.	1	2	3	4	5	N/A	DK

Potential Barriers to Collaboration (cont'd)							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
32. It is more difficult to participate in collaborative water resources planning and management processes if USACE is not the lead.	1	2	3	4	5	N/A	DK
33. The difference in missions among various federal agencies has been an impediment to collaboration.	1	2	3	4	5	N/A	DK
34. Stakeholder perceptions of USACE are an obstacle to collaboration.	1	2	3	4	5	N/A	DK
35. I have encountered significant challenges in collaborating with project sponsors.	1	2	3	4	5	N/A	DK
36. USACE's focus on collaboration with project sponsors sometimes eclipses the need to collaborate with other stakeholders.	1	2	3	4	5	N/A	DK

VIII. Institutional Procedures							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
37. USACE's institutional procedures (e.g., contracting, performance evaluation, promotions, etc.) support collaboration with stakeholders on water resource issues.	1	2	3	4	5	N/A	DK
38. USACE rewards employees for participating in collaborative activities that further its mission.	1	2	3	4	5	N/A	DK
39. We at USACE generally do a good job of considering stakeholder input and using it where appropriate in water resources planning and management decisions.	1	2	3	4	5	N/A	DK

VIII. Institutional Procedures							
	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
40. We at USACE generally do a good job of letting stakeholders know how their input has been incorporated into water resources planning and management decisions and where it was not used, explaining why.	1	2	3	4	5	N/A	DK
41. I get the right balance of guidance and flexibility from Headquarters for use of collaborative strategies to advance the USACE mission.	1	2	3	4	5	N/A	DK
42. I know how to structure funding for multi-year collaborative process involving both Federal and non-Federal funding sources.	1	2	3	4	5	N/A	DK
43. I am aware of ways in which USACE can help fund stakeholders' participation in collaborative processes.	1	2	3	4	5	N/A	DK
44. My Division evaluates our collaborative processes using:							
a. Quantitative methods	1	2	3	4	5	N/A	DK
b. Qualitative methods	1	2	3	4	5	N/A	DK

IX. Other (please feel free to share any other insights or comments you deem relevant)

45. I completed this assessment in support of the workshop being held in the following USACE Division:
Drop down menu: a) LRD b) MVD c) POD d) NAD e) NWD f) SAD g) SPD h) SWD

Drop-Down Menu for Question 1(b)

- o Contracting
- o Corporate Information
- o Counsel
- o Equal Employment Opportunity
- o Emergency Management
- o Engineering
- o Environmental
- o History
- o Human Resources
- o Installation Support
- o Interagency/International
- o Internal Review
- o Logistics
- o Operations and Regulatory
- o Public Affairs
- o Planning
- o Program and Project Management
- o Real Estate
- o Research and Development
- o Resource Management
- o Small Business
- o Safety
- o Security and Intelligence
- o Strategic Management
- o Tribal Nations
- o Other (please write in: _____)

Drop-Down Menu for Question 1(c)

- o Ecosystem Restoration
- o Emergency Management
- o FUSRAP
- o Hydropower
- o Navigation
- o Recreation
- o Regulatory
- o Water Supply
- o Other (please write in: _____)

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
2. What is your community of practice? (see drop-down menu)																		
Contracting	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Corporate Information	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
Counsel	1%	0%	2%	0%	0%	0%	0%	0%	4%	2	0	1	0	0	0	0	0	1
Equal Employment Opportunity	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Emergency Management	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Engineering	11%	5%	8%	0%	23%	19%	17%	0%	4%	26	1	4	0	8	7	5	0	1
Environmental	10%	10%	4%	6%	3%	11%	20%	21%	19%	24	2	2	1	1	4	6	3	5
History	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
Human Resources	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
Installation Support	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Interagency/International	1%	0%	0%	6%	0%	0%	3%	0%	0%	2	0	0	1	0	0	1	0	0
Internal Review	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Logistics	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Operations and Regulatory	12%	5%	6%	29%	26%	3%	13%	7%	15%	28	1	3	5	9	1	4	1	4
Public Affairs	7%	0%	12%	0%	9%	0%	10%	7%	12%	16	0	6	0	3	0	3	1	3
Planning	22%	33%	14%	24%	14%	33%	10%	43%	27%	51	7	7	4	5	12	3	6	7
Program and Project Management	21%	33%	30%	29%	11%	28%	10%	21%	8%	49	7	15	5	4	10	3	3	2
Real Estate	2%	0%	2%	0%	0%	0%	7%	0%	4%	4	0	1	0	0	0	2	0	1
Research and Development	0%	0%	0%	0%	3%	0%	0%	0%	0%	1	0	0	0	1	0	0	0	0
Resource Management	1%	0%	2%	0%	0%	0%	0%	0%	4%	2	0	1	0	0	0	0	0	1
Small Business	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Safety	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Security and Intelligence	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Strategic Management	3%	5%	8%	0%	3%	0%	3%	0%	0%	7	1	4	0	1	0	1	0	0
Tribal Nations	2%	0%	0%	6%	9%	3%	0%	0%	0%	5	0	0	1	3	1	0	0	0
Other	4%	10%	6%	0%	0%	3%	7%	0%	4%	9	2	3	0	0	1	2	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	229	21	50	17	35	36	30	14	26
3. In which business line do you do most of your work? (see drop-down menu)																		
Ecosystem Restoration	17%	14%	20%	22%	16%	8%	10%	50%	15%	39	3	10	4	5	3	3	7	4
Emergency Management	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
FUSRAP	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Hydropower	3%	0%	0%	0%	12%	0%	3%	0%	4%	6	0	0	0	4	0	1	0	1
Navigation	22%	14%	14%	17%	6%	64%	27%	7%	12%	50	3	7	3	2	23	8	1	3
Recreation	4%	0%	4%	0%	3%	3%	3%	0%	15%	9	0	2	0	1	1	1	0	4
Regulatory	8%	5%	2%	11%	19%	0%	13%	0%	19%	19	1	1	2	6	0	4	0	5
Water Supply	2%	0%	4%	0%	3%	0%	0%	0%	4%	4	0	2	0	1	0	0	0	1
Other	43%	67%	53%	50%	41%	25%	43%	43%	31%	98	14	26	9	13	9	13	6	8
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	226	21	49	18	32	36	30	14	26
5. What is your educational level?																		
High school diploma	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
2 year college degree	2%	0%	2%	0%	0%	3%	0%	0%	8%	4	0	1	0	0	1	0	0	2
4 year college degree	43%	33%	38%	50%	54%	58%	37%	21%	42%	100	7	19	9	19	21	11	3	11
Masters or law degree (or equivalent)	50%	62%	56%	50%	37%	33%	57%	71%	46%	114	13	28	9	13	12	17	10	12
Doctoral degree	5%	5%	2%	0%	9%	6%	7%	7%	4%	11	1	1	0	3	2	2	1	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
6. What is your age?																		
Under 30	3%	0%	2%	0%	3%	8%	3%	0%	4%	7	0	1	0	1	3	1	0	1
31-40	18%	19%	24%	17%	6%	14%	30%	8%	19%	41	4	12	3	2	5	9	1	5
41-50	41%	38%	36%	44%	51%	39%	30%	58%	46%	94	8	18	8	18	14	9	7	12
51-60	30%	38%	34%	39%	29%	31%	27%	17%	23%	69	8	17	7	10	11	8	2	6
61-70	7%	5%	4%	0%	11%	8%	10%	17%	4%	16	1	2	0	4	3	3	2	1
Over 70	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	228	21	50	18	35	36	30	12	26
7. What is your gender?																		
Male	65%	52%	64%	94%	59%	64%	77%	43%	65%	149	11	32	17	20	23	23	6	17
Female	35%	48%	36%	6%	41%	36%	23%	57%	35%	80	10	18	1	14	13	7	8	9
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	229	21	50	18	34	36	30	14	26
9. In terms of the frequency with which USACE uses collaboration in water resources planning and management:																		
We use collaboration frequently.	70%	71%	78%	39%	89%	47%	73%	79%	73%	161	15	39	7	31	17	22	11	19
We use collaboration occasionally.	27%	24%	20%	50%	11%	53%	23%	21%	23%	63	5	10	9	4	19	7	3	6
We use collaboration rarely.	3%	5%	2%	11%	0%	0%	3%	0%	4%	6	1	1	2	0	0	1	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
10. When we do use collaboration, it is because:																		
Collaboration is a good practice generally.	66%	67%	70%	41%	80%	58%	77%	79%	50%	152	14	35	7	28	21	23	11	13
Certain circumstances call for collaboration.	34%	29%	34%	53%	26%	44%	30%	14%	42%	79	6	17	9	9	16	9	2	11
We are required to use collaboration.	10%	19%	12%	6%	0%	6%	10%	14%	15%	22	4	6	1	0	2	3	2	4
11. In terms of the results achieved through collaborating on water resources planning and management:																		
Collaborative planning has proven to be very valuable.	63%	67%	70%	59%	60%	44%	77%	79%	58%	145	14	35	10	21	16	23	11	15
In some cases, collaborative planning has proven to be very valuable, but in others it has not been very helpful.	37%	33%	30%	35%	40%	56%	23%	29%	42%	84	7	15	6	14	20	7	4	11
Results have not warranted the effort involved in collaborative planning.	0%	0%	0%	6%	0%	0%	0%	0%	0%	1	0	0	1	0	0	0	0	0
12. Please reflect on the water resources planning and management projects in which you participated while employed by USACE. In how many such projects have you participated																		
0	4%	0%	6%	0%	9%	0%	10%	0%	0%	9	0	3	0	3	0	3	0	0
1-5 projects	13%	5%	10%	28%	11%	11%	23%	14%	8%	30	1	5	5	4	4	7	2	2
6-10 projects	11%	14%	10%	11%	23%	6%	7%	0%	15%	26	3	5	2	8	2	2	0	4
11-20 projects	16%	19%	20%	0%	11%	28%	20%	7%	8%	37	4	10	0	4	10	6	1	2
21-50 projects	21%	24%	26%	22%	14%	22%	7%	36%	27%	49	5	13	4	5	8	2	5	7
Over 50 projects	27%	29%	18%	28%	31%	28%	27%	43%	31%	63	6	9	5	11	10	8	6	8
N/A	7%	10%	10%	11%	0%	6%	7%	0%	12%	16	2	5	2	0	2	2	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
13. Please reflect on the water resources planning and management projects in which you participated while employed by USACE. Of these, how many have entailed some method of																		
0	4%	0%	8%	0%	6%	0%	10%	0%	0%	9	0	4	0	2	0	3	0	0
1-5 projects	16%	5%	12%	28%	14%	19%	23%	14%	12%	36	1	6	5	5	7	7	2	3
6-10 projects	19%	29%	16%	17%	26%	28%	10%	7%	12%	43	6	8	3	9	10	3	1	3
11-20 projects	18%	14%	24%	17%	14%	19%	20%	14%	15%	42	3	12	3	5	7	6	2	4

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
21-50 projects	19%	29%	16%	11%	17%	17%	13%	43%	23%	44	6	8	2	6	6	4	6	6
Over 50 projects	18%	19%	14%	17%	23%	11%	17%	21%	31%	42	4	7	3	8	4	5	3	8
N/A	6%	5%	10%	11%	0%	6%	7%	0%	8%	14	1	5	2	0	2	2	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26

14. I have played the following roles in USACE collaborative water resources planning projects (check all that apply):																		
Convener	41%	60%	34%	44%	46%	34%	43%	57%	27%	89	12	15	7	16	12	12	8	7
Group leader	59%	75%	57%	44%	63%	57%	54%	79%	54%	129	15	25	7	22	20	15	11	14
Agency representative	73%	100%	66%	75%	69%	74%	64%	93%	65%	159	20	29	12	24	26	18	13	17
Technical expert / resource person	69%	80%	61%	56%	71%	71%	75%	79%	62%	150	16	27	9	25	25	21	11	16
Modeler	10%	5%	9%	0%	11%	17%	11%	14%	8%	22	1	4	0	4	6	3	2	2
Facilitator	49%	65%	50%	31%	54%	46%	50%	50%	38%	106	13	22	5	19	16	14	7	10
Other type of participant	28%	35%	20%	50%	23%	17%	36%	21%	38%	61	7	9	8	8	6	10	3	10

All Respondents:

15. Please indicate the number of projects in which you have played these roles:						
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	1 to 5	6 to 10	11 to 20	21 to 50	Over 50	N/A
Convener	34	34	21	8	5	128
	15%	15%	9%	3%	2%	56%
Group leader	41	46	27	18	8	90
	18%	20%	12%	8%	3%	39%
Agency representative	38	37	46	25	29	55
	17%	16%	20%	11%	13%	24%
Technical expert / resource person	32	39	37	31	23	68
	14%	17%	16%	13%	10%	30%
Modeler	15	11	8	1	0	195
	7%	5%	3%	0%	0%	85%
Facilitator	41	43	16	13	4	113
	18%	19%	7%	6%	2%	49%
Other type of participant	42	12	9	9	7	151
	18%	5%	4%	4%	3%	66%

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
16. In my experience, the following people or entities are helpful resources for strategizing regarding stakeholder involvement:																		
Public Affairs Officer	59%	43%	66%	47%	74%	31%	67%	86%	58%	134	9	33	8	26	11	20	12	15
Supervisors	73%	81%	72%	65%	80%	67%	67%	93%	69%	167	17	36	11	28	24	20	13	18
Colleagues	90%	95%	84%	88%	91%	100%	83%	86%	96%	207	20	42	15	32	36	25	12	25
Headquarters	22%	14%	26%	18%	29%	17%	17%	43%	15%	50	3	13	3	10	6	5	6	4
The Institute for Water Resources	21%	10%	20%	18%	23%	19%	30%	29%	15%	47	2	10	3	8	7	9	4	4
External experts	59%	67%	54%	76%	74%	50%	50%	50%	62%	136	14	27	13	26	18	15	7	16
17. In my experience, the following people or entities are helpful resources for running meetings:																		
Public Affairs Officer	32%	24%	36%	18%	31%	17%	47%	57%	31%	73	5	18	3	11	6	14	8	8
Supervisors	52%	57%	52%	53%	40%	53%	40%	57%	77%	120	12	26	9	14	19	12	8	20
Colleagues	74%	81%	74%	65%	66%	86%	77%	57%	73%	169	17	37	11	23	31	23	8	19
Headquarters	10%	10%	20%	6%	11%	3%	7%	7%	4%	22	2	10	1	4	1	2	1	1
The Institute for Water Resources	9%	14%	12%	12%	9%	6%	10%	7%	0%	20	3	6	2	3	2	3	1	0
External experts	50%	43%	56%	59%	71%	44%	43%	50%	27%	115	9	28	10	25	16	13	7	7
18. In my experience, the following people or entities are helpful resources for working with the media:																		
Public Affairs Officer	96%	90%	100%	88%	100%	94%	100%	86%	96%	220	19	50	15	35	34	30	12	25
Supervisors	40%	57%	40%	41%	29%	44%	27%	43%	50%	92	12	20	7	10	16	8	6	13
Colleagues	31%	33%	34%	29%	29%	28%	37%	14%	35%	71	7	17	5	10	10	11	2	9
Headquarters	11%	14%	16%	18%	11%	6%	7%	7%	12%	26	3	8	3	4	2	2	1	3
The Institute for Water Resources	4%	5%	8%	0%	6%	3%	3%	0%	4%	10	1	4	0	2	1	1	0	1
External experts	25%	29%	18%	35%	43%	17%	23%	29%	15%	57	6	9	6	15	6	7	4	4
19. In my experience, the following people or entities are helpful resources for coaching on presentations:																		
Public Affairs Officer	55%	33%	58%	53%	69%	33%	70%	71%	50%	125	7	29	9	24	12	21	10	13
Supervisors	71%	71%	68%	59%	77%	69%	70%	64%	81%	162	15	34	10	27	25	21	9	21
Colleagues	76%	76%	70%	65%	80%	89%	80%	71%	69%	174	16	35	11	28	32	24	10	18
Headquarters	9%	10%	14%	12%	6%	3%	13%	0%	12%	21	2	7	2	2	1	4	0	3
The Institute for Water Resources	5%	5%	6%	0%	3%	0%	13%	0%	12%	12	1	3	0	1	0	4	0	3
External experts	35%	52%	28%	53%	40%	28%	27%	50%	31%	81	11	14	9	14	10	8	7	8
20. In my experience, the following people or entities are helpful resources for removing roadblocks to collaboration:																		
Public Affairs Officer	25%	10%	26%	24%	34%	14%	37%	29%	23%	57	2	13	4	12	5	11	4	6
Supervisors	69%	67%	76%	59%	80%	67%	67%	57%	58%	157	14	38	10	28	24	20	8	15
Colleagues	59%	29%	70%	47%	63%	67%	57%	43%	62%	134	6	35	8	22	24	17	6	16
Headquarters	24%	29%	36%	18%	29%	17%	23%	21%	8%	55	6	18	3	10	6	7	3	2
The Institute for Water Resources	11%	10%	16%	6%	6%	6%	13%	29%	12%	26	2	8	1	2	2	4	4	3
External experts	47%	52%	52%	35%	49%	31%	40%	57%	62%	107	11	26	6	17	11	12	8	16

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
21. My past experience using collaborative approaches to water resources planning and management to advance USACE's mission has been positive.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	2%	5%	0%	6%	0%	3%	0%	7%	0%	4	1	0	1	0	1	0	1	0
Neither agree nor disagree	8%	5%	6%	17%	3%	17%	3%	0%	12%	18	1	3	3	1	6	1	0	3
Agree	51%	52%	48%	44%	51%	50%	50%	57%	58%	117	11	24	8	18	18	15	8	15
Strongly agree	33%	33%	38%	28%	46%	22%	37%	36%	23%	77	7	19	5	16	8	11	5	6
Not Applicable	3%	5%	4%	0%	0%	3%	7%	0%	4%	7	1	2	0	0	1	2	0	1
Don't know	3%	0%	4%	6%	0%	6%	3%	0%	4%	7	0	2	1	0	2	1	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**2%**	**5%**	**0%**	**6%**	**0%**	**3%**	**0%**	**7%**	**0%**	**4**	**1**	**0**	**1**	**0**	**1**	**0**	**1**	**0**
Agree & strongly disagree	**84%**	**85%**	**86%**	**72%**	**97%**	**72%**	**87%**	**93%**	**81%**	**194**	**18**	**43**	**13**	**34**	**26**	**26**	**13**	**21**
22. I see collaboration as a way of getting my work done.																		
Strongly disagree	1%	0%	0%	0%	0%	3%	3%	0%	0%	2	0	0	0	0	1	1	0	0
Disagree	1%	0%	2%	0%	0%	3%	0%	0%	0%	2	0	1	0	0	1	0	0	0
Neither agree nor disagree	6%	5%	2%	17%	3%	11%	3%	0%	8%	13	1	1	3	1	4	1	0	2
Agree	43%	48%	44%	39%	46%	44%	43%	29%	46%	100	10	22	7	16	16	13	4	12
Strongly agree	46%	43%	50%	44%	51%	31%	50%	71%	38%	106	9	25	8	18	11	15	10	10
Not Applicable	2%	5%	0%	0%	0%	6%	0%	0%	4%	4	1	0	0	0	2	0	0	1
Don't know	1%	0%	2%	0%	0%	3%	0%	0%	4%	3	0	1	0	0	1	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**2%**	**0%**	**2%**	**0%**	**0%**	**6%**	**3%**	**0%**	**0%**	**4**	**0**	**1**	**0**	**0**	**2**	**1**	**0**	**0**
Agree & strongly disagree	**89%**	**91%**	**94%**	**83%**	**97%**	**75%**	**93%**	**100%**	**84%**	**206**	**19**	**47**	**15**	**34**	**27**	**28**	**14**	**22**
23. I see collaboration as something "extra" I am being asked to do.																		
Strongly disagree	24%	19%	32%	22%	26%	14%	27%	29%	23%	56	4	16	4	9	5	8	4	6
Disagree	53%	62%	38%	56%	54%	61%	57%	57%	54%	122	13	19	10	19	22	17	8	14
Neither agree nor disagree	17%	14%	24%	17%	17%	14%	13%	14%	12%	38	3	12	3	6	5	4	2	3
Agree	4%	5%	4%	6%	3%	6%	0%	0%	8%	9	1	2	1	1	2	0	0	2
Strongly agree	0%	0%	0%	0%	0%	0%	3%	0%	0%	1	0	0	0	0	0	1	0	0
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	1%	0%	2%	0%	0%	3%	0%	0%	4%	3	0	1	0	0	1	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**77%**	**81%**	**70%**	**78%**	**80%**	**75%**	**84%**	**86%**	**77%**	**178**	**17**	**35**	**14**	**28**	**27**	**25**	**12**	**20**
Agree & strongly disagree	**4%**	**5%**	**4%**	**6%**	**3%**	**6%**	**3%**	**0%**	**8%**	**10**	**1**	**2**	**1**	**1**	**2**	**1**	**0**	**2**
24. Overall, we at USACE collaborate well with stakeholders in water resources planning and management to accomplish the USACE mission.																		
Strongly disagree	0%	0%	2%	0%	0%	0%	0%	0%	0%	1	0	1	0	0	0	0	0	0
Disagree	10%	14%	4%	11%	6%	14%	7%	21%	19%	24	3	2	2	2	5	2	3	5
Neither agree nor disagree	20%	10%	18%	33%	14%	28%	20%	14%	19%	45	2	9	6	5	10	6	2	5
Agree	51%	57%	52%	50%	60%	47%	50%	43%	46%	118	12	26	9	21	17	15	6	12
Strongly agree	15%	19%	20%	6%	17%	6%	20%	21%	8%	34	4	10	1	6	2	6	3	2
Not Applicable	1%	0%	0%	0%	0%	3%	0%	0%	4%	2	0	0	0	0	1	0	0	1
Don't know	3%	0%	4%	0%	3%	3%	3%	0%	4%	6	0	2	0	1	1	1	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**14%**	**6%**	**11%**	**6%**	**14%**	**7%**	**21%**	**19%**	**25**	**3**	**3**	**2**	**2**	**5**	**2**	**3**	**5**
Agree & strongly disagree	**66%**	**76%**	**72%**	**56%**	**77%**	**53%**	**70%**	**64%**	**54%**	**152**	**16**	**36**	**10**	**27**	**19**	**21**	**9**	**14**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
25. I believe USACE planners generally try to proactively address stakeholders' needs.																		
Strongly disagree	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Disagree	4%	5%	4%	0%	9%	8%	0%	0%	0%	9	1	2	0	3	3	0	0	0
Neither agree nor disagree	13%	19%	4%	6%	14%	19%	10%	7%	23%	29	4	2	1	5	7	3	1	6
Agree	58%	62%	54%	61%	51%	53%	67%	57%	69%	134	13	27	11	18	19	20	8	18
Strongly agree	21%	10%	34%	28%	23%	17%	20%	29%	4%	49	2	17	5	8	6	6	4	1
Not Applicable	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Don't know	3%	5%	4%	6%	3%	0%	3%	7%	4%	8	1	2	1	1	0	1	1	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**4%**	**5%**	**4%**	**0%**	**9%**	**11%**	**0%**	**0%**	**0%**	**10**	**1**	**2**	**0**	**3**	**4**	**0**	**0**	**0**
Agree & strongly disagree	**79%**	**72%**	**88%**	**89%**	**74%**	**70%**	**87%**	**86%**	**73%**	**183**	**15**	**44**	**16**	**26**	**25**	**26**	**12**	**19**
26. I believe that, in general, USACE provides stakeholders with adequate access to information we have that is relevant to their work.																		
Strongly disagree	1%	0%	0%	0%	0%	3%	0%	7%	0%	2	0	0	0	0	1	0	1	0
Disagree	9%	19%	6%	0%	3%	17%	3%	0%	19%	20	4	3	0	1	6	1	0	5
Neither agree nor disagree	16%	10%	16%	17%	14%	17%	20%	14%	15%	36	2	8	3	5	6	6	2	4
Agree	60%	62%	62%	72%	71%	56%	57%	43%	50%	138	13	31	13	25	20	17	6	13
Strongly agree	12%	10%	14%	6%	11%	6%	17%	36%	8%	28	2	7	1	4	2	5	5	2
Not Applicable	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Don't know	3%	0%	2%	6%	0%	3%	3%	0%	8%	6	0	1	1	0	1	1	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**19%**	**6%**	**0%**	**3%**	**20%**	**3%**	**7%**	**19%**	**22**	**4**	**3**	**0**	**1**	**7**	**1**	**1**	**5**
Agree & strongly disagree	**72%**	**72%**	**76%**	**78%**	**82%**	**62%**	**74%**	**79%**	**58%**	**166**	**15**	**38**	**14**	**29**	**22**	**22**	**11**	**15**
27. It is my understanding that, on a case-by-case basis, USACE permits participation in shared decision-making processes with stakeholders where appropriate for advancing																		
Strongly disagree	0%	0%	0%	6%	0%	0%	0%	0%	0%	1	0	0	1	0	0	0	0	0
Disagree	4%	5%	2%	6%	0%	6%	0%	14%	8%	9	1	1	1	0	2	0	2	2
Neither agree nor disagree	10%	5%	14%	6%	11%	6%	10%	21%	4%	22	1	7	1	4	2	3	3	1
Agree	66%	57%	66%	78%	74%	72%	70%	36%	58%	152	12	33	14	26	26	21	5	15
Strongly agree	13%	24%	14%	6%	14%	3%	13%	29%	15%	31	5	7	1	5	1	4	4	4
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	6%	10%	4%	0%	0%	11%	7%	0%	15%	14	2	2	0	0	4	2	0	4
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**4%**	**5%**	**2%**	**12%**	**0%**	**6%**	**0%**	**14%**	**8%**	**10**	**1**	**1**	**2**	**0**	**2**	**0**	**2**	**2**
Agree & strongly disagree	**79%**	**81%**	**80%**	**84%**	**88%**	**75%**	**83%**	**65%**	**73%**	**183**	**17**	**40**	**15**	**31**	**27**	**25**	**9**	**19**
28. I am open to engaging in shared decision making processes where appropriate for advancing the USACE mission as long as I am authorized to do so.																		
Strongly disagree	1%	0%	2%	6%	0%	0%	0%	0%	0%	2	0	1	1	0	0	0	0	0
Disagree	1%	0%	0%	6%	0%	0%	3%	0%	4%	3	0	0	1	0	0	1	0	1
Neither agree nor disagree	4%	5%	4%	6%	0%	6%	7%	0%	4%	9	1	2	1	0	2	2	0	1
Agree	53%	33%	56%	50%	54%	64%	57%	29%	54%	121	7	28	9	19	23	17	4	14
Strongly agree	39%	57%	36%	33%	46%	25%	33%	71%	31%	89	12	18	6	16	9	10	10	8
Not Applicable	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Don't know	3%	5%	2%	0%	0%	6%	0%	0%	8%	6	1	1	0	0	2	0	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**2%**	**0%**	**2%**	**12%**	**0%**	**0%**	**3%**	**0%**	**4%**	**5**	**0**	**1**	**2**	**0**	**0**	**1**	**0**	**1**
Agree & strongly disagree	**92%**	**90%**	**92%**	**83%**	**100%**	**89%**	**90%**	**100%**	**85%**	**210**	**19**	**46**	**15**	**35**	**32**	**27**	**14**	**22**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
29. I feel confident about my knowledge and/or ability to make good judgment calls about how and when to engage in dialogue with stakeholders to help advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	2%	0%	6%	0%	3%	3%	0%	0%	0%	5	0	3	0	1	1	0	0	0
Neither agree nor disagree	9%	10%	8%	11%	9%	14%	7%	7%	4%	20	2	4	2	3	5	2	1	1
Agree	53%	52%	48%	44%	49%	56%	67%	57%	58%	123	11	24	8	17	20	20	8	15
Strongly agree	32%	33%	34%	44%	40%	17%	27%	36%	35%	74	7	17	8	14	6	8	5	9
Not Applicable	2%	5%	0%	0%	0%	11%	0%	0%	0%	5	1	0	0	0	4	0	0	0
Don't know	1%	0%	4%	0%	0%	0%	0%	0%	4%	3	0	2	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**2%**	**0%**	**6%**	**0%**	**3%**	**3%**	**0%**	**0%**	**0%**	**5**	**0**	**3**	**0**	**1**	**1**	**0**	**0**	**0**
Agree & strongly disagree	**85%**	**85%**	**82%**	**88%**	**89%**	**73%**	**94%**	**93%**	**93%**	**197**	**18**	**41**	**16**	**31**	**26**	**28**	**13**	**24**
30. I feel confident about my knowledge and/or ability to figure out how to successfully fund and launch collaborative initiatives.																		
Strongly disagree	2%	0%	2%	6%	3%	3%	0%	7%	0%	5	0	1	1	1	1	0	1	0
Disagree	11%	24%	16%	6%	3%	8%	10%	21%	8%	26	5	8	1	1	3	3	3	2
Neither agree nor disagree	21%	14%	20%	22%	23%	28%	27%	7%	19%	49	3	10	4	8	10	8	1	5
Agree	45%	43%	42%	50%	49%	50%	47%	36%	42%	104	9	21	9	17	18	14	5	11
Strongly agree	16%	14%	18%	17%	20%	6%	10%	29%	19%	36	3	9	3	7	2	3	4	5
Not Applicable	3%	5%	0%	0%	0%	6%	7%	0%	4%	6	1	0	0	0	2	2	0	1
Don't know	2%	0%	2%	0%	3%	0%	0%	0%	8%	4	0	1	0	1	0	0	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**13%**	**24%**	**18%**	**12%**	**6%**	**11%**	**10%**	**28%**	**8%**	**31**	**5**	**9**	**2**	**2**	**4**	**3**	**4**	**2**
Agree & strongly disagree	**61%**	**57%**	**60%**	**67%**	**69%**	**56%**	**57%**	**65%**	**61%**	**140**	**12**	**30**	**12**	**24**	**20**	**17**	**9**	**16**
31. I feel confident about my knowledge and/or ability to work within USACE's legal, regulatory and policy parameters in collaborating with stakeholders on water resource issues.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	10%	14%	8%	6%	11%	14%	7%	14%	4%	22	3	4	1	4	5	2	2	1
Neither agree nor disagree	10%	5%	8%	11%	3%	14%	20%	7%	12%	23	1	4	2	1	5	6	1	3
Agree	56%	62%	54%	67%	60%	56%	47%	71%	46%	129	13	27	12	21	20	14	10	12
Strongly agree	19%	14%	24%	17%	20%	11%	23%	7%	27%	44	3	12	3	7	4	7	1	7
Not Applicable	3%	5%	2%	0%	0%	6%	3%	0%	8%	7	1	1	0	0	2	1	0	2
Don't know	2%	0%	4%	0%	6%	0%	0%	0%	4%	5	0	2	0	2	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**14%**	**8%**	**6%**	**11%**	**14%**	**7%**	**14%**	**4%**	**22**	**3**	**4**	**1**	**4**	**5**	**2**	**2**	**1**
Agree & strongly disagree	**75%**	**76%**	**78%**	**84%**	**80%**	**67%**	**70%**	**78%**	**73%**	**173**	**16**	**39**	**15**	**28**	**24**	**21**	**11**	**19**
32. I feel confident about my knowledge and/or ability to manage meetings.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	2%	0%	2%	6%	3%	3%	3%	0%	0%	5	0	1	1	1	1	1	0	0
Neither agree nor disagree	7%	5%	4%	6%	9%	11%	7%	14%	0%	15	1	2	1	3	4	2	2	0
Agree	51%	38%	48%	50%	46%	67%	47%	57%	58%	118	8	24	9	16	24	14	8	15
Strongly agree	38%	57%	42%	39%	40%	19%	43%	29%	35%	87	12	21	7	14	7	13	4	9
Not Applicable	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Don't know	2%	0%	4%	0%	3%	0%	0%	0%	4%	4	0	2	0	1	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**2%**	**0%**	**2%**	**6%**	**3%**	**3%**	**3%**	**0%**	**0%**	**5**	**0**	**1**	**1**	**1**	**1**	**1**	**0**	**0**
Agree & strongly disagree	**89%**	**95%**	**90%**	**89%**	**86%**	**86%**	**90%**	**86%**	**93%**	**205**	**20**	**45**	**16**	**30**	**31**	**27**	**12**	**24**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
33. I feel confident about my knowledge and/or ability to listen to stakeholders non-defensively.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	0%	0%	0%	0%	3%	0%	0%	0%	0%	1	0	0	0	1	0	0	0	0
Neither agree nor disagree	3%	0%	4%	6%	0%	3%	0%	7%	8%	7	0	2	1	0	1	0	1	2
Agree	54%	52%	52%	39%	57%	72%	47%	57%	50%	125	11	26	7	20	26	14	8	13
Strongly agree	40%	43%	44%	56%	37%	22%	53%	36%	38%	93	9	22	10	13	8	16	5	10
Not Applicable	1%	5%	0%	0%	0%	3%	0%	0%	0%	2	1	0	0	0	1	0	0	0
Don't know	1%	0%	0%	0%	3%	0%	0%	0%	4%	2	0	0	0	1	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**0%**	**0%**	**0%**	**0%**	**3%**	**0%**	**0%**	**0%**	**0%**	**1**	**0**	**0**	**0**	**1**	**0**	**0**	**0**	**0**
Agree & strongly disagree	**94%**	**95%**	**96%**	**95%**	**94%**	**94%**	**100%**	**93%**	**88%**	**218**	**20**	**48**	**17**	**33**	**34**	**30**	**13**	**23**
34. I feel confident about my knowledge and/or ability to design an appropriate public participation, consensus-building, or conflict resolution approach to a specific situation to best																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	10%	10%	14%	17%	9%	8%	3%	14%	12%	24	2	7	3	3	3	1	2	3
Neither agree nor disagree	19%	5%	18%	17%	11%	28%	27%	29%	19%	44	1	9	3	4	10	8	4	5
Agree	47%	57%	46%	39%	51%	42%	53%	43%	38%	107	12	23	7	18	15	16	6	10
Strongly agree	20%	24%	18%	28%	26%	11%	17%	14%	23%	45	5	9	5	9	4	5	2	6
Not Applicable	3%	5%	2%	0%	0%	11%	0%	0%	4%	7	1	1	0	0	4	0	0	1
Don't know	1%	0%	2%	0%	3%	0%	0%	0%	4%	3	0	1	0	1	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**10%**	**14%**	**17%**	**9%**	**8%**	**3%**	**14%**	**12%**	**24**	**2**	**7**	**3**	**3**	**3**	**1**	**2**	**3**
Agree & strongly disagree	**67%**	**81%**	**64%**	**67%**	**77%**	**53%**	**70%**	**57%**	**61%**	**152**	**17**	**32**	**12**	**27**	**19**	**21**	**8**	**16**
35. I feel confident about my knowledge and/or ability to establish interpersonal understanding (e.g., to understand emotion, content, underlying issues, and meaning of another's																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	3%	0%	6%	0%	3%	3%	3%	0%	4%	7	0	3	0	1	1	1	0	1
Neither agree nor disagree	7%	5%	6%	6%	6%	11%	3%	14%	8%	16	1	3	1	2	4	1	2	2
Agree	59%	71%	54%	50%	51%	64%	67%	71%	54%	136	15	27	9	18	23	20	10	14
Strongly agree	29%	24%	34%	44%	40%	17%	27%	14%	27%	67	5	17	8	14	6	8	2	7
Not Applicable	1%	0%	0%	0%	0%	6%	0%	0%	4%	3	0	0	0	0	2	0	0	1
Don't know	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**3%**	**0%**	**6%**	**0%**	**3%**	**3%**	**3%**	**0%**	**4%**	**7**	**0**	**3**	**0**	**1**	**1**	**1**	**0**	**1**
Agree & strongly disagree	**88%**	**95%**	**88%**	**94%**	**91%**	**81%**	**94%**	**85%**	**81%**	**203**	**20**	**44**	**17**	**32**	**29**	**28**	**12**	**21**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
36. I feel confident about my knowledge and/or ability to work with culturally diverse stakeholder groups.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	3%	10%	2%	0%	3%	3%	3%	7%	4%	8	2	1	0	1	1	1	1	1
Neither agree nor disagree	9%	5%	8%	6%	9%	22%	3%	7%	8%	21	1	4	1	3	8	1	1	2
Agree	54%	52%	50%	67%	54%	58%	57%	43%	54%	125	11	25	12	19	21	17	6	14
Strongly agree	31%	29%	38%	28%	34%	14%	37%	43%	31%	72	6	19	5	12	5	11	6	8
Not Applicable	1%	5%	0%	0%	0%	3%	0%	0%	0%	2	1	0	0	0	1	0	0	0
Don't know	1%	0%	2%	0%	0%	0%	0%	0%	4%	2	0	1	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**3%**	**10%**	**2%**	**0%**	**3%**	**3%**	**3%**	**7%**	**4%**	**8**	**2**	**1**	**0**	**1**	**1**	**1**	**1**	**1**
Agree & strongly disagree	**85%**	**81%**	**88%**	**95%**	**88%**	**72%**	**94%**	**86%**	**85%**	**197**	**17**	**44**	**17**	**31**	**26**	**28**	**12**	**22**
37. I feel confident about my knowledge and/or ability to bring creativity and innovation to bear in collaborating with stakeholders to advance the USACE mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	4%	5%	4%	0%	6%	6%	3%	0%	4%	9	1	2	0	2	2	1	0	1
Neither agree nor disagree	12%	14%	14%	6%	6%	14%	13%	21%	12%	28	3	7	1	2	5	4	3	3
Agree	53%	57%	52%	56%	54%	61%	47%	43%	54%	123	12	26	10	19	22	14	6	14
Strongly agree	29%	19%	30%	39%	34%	14%	37%	36%	27%	66	4	15	7	12	5	11	5	7
Not Applicable	1%	5%	0%	0%	0%	6%	0%	0%	0%	3	1	0	0	0	2	0	0	0
Don't know	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**4%**	**5%**	**4%**	**0%**	**6%**	**6%**	**3%**	**0%**	**4%**	**9**	**1**	**2**	**0**	**2**	**2**	**1**	**0**	**1**
Agree & strongly disagree	**82%**	**76%**	**82%**	**95%**	**88%**	**75%**	**84%**	**79%**	**81%**	**189**	**16**	**41**	**17**	**31**	**27**	**25**	**11**	**21**
38. I feel confident about my knowledge and/or ability to obtain data needed to understand and address the issues on the table.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	0%	5%	0%	0%	0%	0%	0%	0%	0%	1	1	0	0	0	0	0	0	0
Neither agree nor disagree	6%	5%	2%	6%	0%	8%	0%	36%	8%	13	1	1	1	0	3	0	5	2
Agree	65%	57%	70%	78%	74%	75%	57%	29%	58%	150	12	35	14	26	27	17	4	15
Strongly agree	27%	24%	26%	17%	26%	14%	43%	36%	31%	61	5	13	3	9	5	13	5	8
Not Applicable	1%	5%	2%	0%	0%	0%	0%	0%	0%	2	1	1	0	0	0	0	0	0
Don't know	1%	5%	0%	0%	0%	3%	0%	0%	4%	3	1	0	0	0	1	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**0%**	**5%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**1**	**1**	**0**	**0**	**0**	**0**	**0**	**0**	**0**
Agree & strongly disagree	**92%**	**81%**	**96%**	**95%**	**100%**	**89%**	**100%**	**65%**	**89%**	**211**	**17**	**48**	**17**	**35**	**32**	**30**	**9**	**23**
39. I feel confident about my knowledge and/or ability to translate scientific and technical information into lay terms and accessible formats.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	3%	14%	4%	0%	0%	0%	3%	0%	0%	6	3	2	0	0	0	1	0	0
Neither agree nor disagree	10%	10%	10%	22%	6%	14%	10%	0%	4%	22	2	5	4	2	5	3	0	1
Agree	56%	62%	52%	56%	60%	61%	47%	36%	65%	128	13	26	10	21	22	14	5	17
Strongly agree	30%	14%	34%	22%	31%	19%	40%	64%	23%	69	3	17	4	11	7	12	9	6
Not Applicable	2%	0%	0%	0%	3%	6%	0%	0%	4%	4	0	0	0	1	2	0	0	1
Don't know	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**3%**	**14%**	**4%**	**0%**	**0%**	**0%**	**3%**	**0%**	**0%**	**6**	**3**	**2**	**0**	**0**	**0**	**1**	**0**	**0**
Agree & strongly disagree	**86%**	**76%**	**86%**	**78%**	**91%**	**80%**	**87%**	**100%**	**88%**	**197**	**16**	**43**	**14**	**32**	**29**	**26**	**14**	**23**

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
40. I feel confident about my knowledge and/or ability to use collaborative modeling techniques to engage stakeholders, build consensus, and resolve conflict.																		
Strongly disagree	2%	10%	0%	6%	0%	0%	0%	7%	4%	5	2	0	1	0	0	0	1	1
Disagree	19%	19%	18%	17%	17%	25%	17%	21%	19%	44	4	9	3	6	9	5	3	5
Neither agree nor disagree	30%	33%	26%	11%	34%	28%	40%	36%	27%	68	7	13	2	12	10	12	5	7
Agree	32%	24%	38%	33%	31%	28%	37%	21%	35%	74	5	19	6	11	10	11	3	9
Strongly agree	9%	10%	12%	17%	9%	6%	3%	14%	4%	20	2	6	3	3	2	1	2	1
Not Applicable	2%	5%	2%	0%	0%	6%	0%	0%	4%	5	1	1	0	0	2	0	0	1
Don't know	6%	0%	4%	17%	9%	8%	3%	0%	8%	14	0	2	3	3	3	1	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**21%**	**29%**	**18%**	**23%**	**17%**	**25%**	**17%**	**28%**	**23%**	**49**	**6**	**9**	**4**	**6**	**9**	**5**	**4**	**6**
Agree & strongly disagree	**41%**	**34%**	**50%**	**50%**	**40%**	**34%**	**40%**	**35%**	**39%**	**94**	**7**	**25**	**9**	**14**	**12**	**12**	**5**	**10**
41. I feel confident about my knowledge and/or ability to engage in group problem solving in the context of water resources planning and management (e.g., identifying and analyzing																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	6%	0%	6%	17%	6%	3%	10%	0%	4%	13	0	3	3	2	1	3	0	1
Neither agree nor disagree	12%	0%	14%	22%	14%	19%	7%	0%	8%	27	0	7	4	5	7	2	0	2
Agree	61%	76%	64%	39%	60%	61%	60%	71%	58%	141	16	32	7	21	22	18	10	15
Strongly agree	17%	19%	12%	22%	17%	14%	20%	29%	19%	40	4	6	4	6	5	6	4	5
Not Applicable	3%	5%	2%	0%	0%	3%	3%	0%	8%	6	1	1	0	0	1	1	0	2
Don't know	1%	0%	2%	0%	3%	0%	0%	0%	4%	3	0	1	0	1	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**6%**	**0%**	**6%**	**17%**	**6%**	**3%**	**10%**	**0%**	**4%**	**13**	**0**	**3**	**3**	**2**	**1**	**3**	**0**	**1**
Agree & strongly disagree	**78%**	**95%**	**76%**	**61%**	**77%**	**75%**	**80%**	**100%**	**77%**	**181**	**20**	**38**	**11**	**27**	**27**	**24**	**14**	**20**
42. I feel confident about my knowledge and/or ability to use negotiation to advance the USACE mission.																		
Strongly disagree	0%	0%	0%	0%	3%	0%	0%	0%	0%	1	0	0	0	1	0	0	0	0
Disagree	6%	5%	6%	6%	6%	3%	3%	7%	12%	13	1	3	1	2	1	1	1	3
Neither agree nor disagree	20%	24%	20%	11%	14%	31%	20%	29%	12%	46	5	10	2	5	11	6	4	3
Agree	49%	67%	50%	56%	43%	44%	47%	43%	50%	113	14	25	10	15	16	14	6	13
Strongly agree	19%	5%	16%	22%	31%	14%	27%	21%	12%	43	1	8	4	11	5	8	3	3
Not Applicable	3%	0%	0%	6%	0%	8%	0%	0%	12%	7	0	0	1	0	3	0	0	3
Don't know	3%	0%	8%	0%	3%	0%	3%	0%	4%	7	0	4	0	1	0	1	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**6%**	**5%**	**6%**	**6%**	**9%**	**3%**	**3%**	**7%**	**12%**	**14**	**1**	**3**	**1**	**3**	**1**	**1**	**1**	**3**
Agree & strongly disagree	**68%**	**72%**	**66%**	**78%**	**74%**	**58%**	**74%**	**64%**	**62%**	**156**	**15**	**33**	**14**	**26**	**21**	**22**	**9**	**16**
43. I feel confident about my knowledge and/or ability to to use interest-based negotiation (as distinct from positional negotiation).																		
Strongly disagree	1%	5%	2%	0%	0%	0%	0%	0%	0%	2	1	1	0	0	0	0	0	0
Disagree	9%	0%	6%	11%	11%	17%	3%	7%	12%	20	0	3	2	4	6	1	1	3
Neither agree nor disagree	29%	52%	30%	17%	29%	19%	30%	36%	23%	66	11	15	3	10	7	9	5	6
Agree	36%	33%	36%	28%	43%	28%	43%	50%	31%	83	7	18	5	15	10	13	7	8
Strongly agree	10%	5%	8%	22%	14%	11%	10%	7%	8%	24	1	4	4	5	4	3	1	2
Not Applicable	4%	0%	2%	6%	0%	8%	0%	0%	15%	9	0	1	1	0	3	0	0	4
Don't know	11%	5%	16%	17%	3%	17%	13%	0%	12%	26	1	8	3	1	6	4	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**5%**	**8%**	**11%**	**11%**	**17%**	**3%**	**7%**	**12%**	**22**	**1**	**4**	**2**	**4**	**6**	**1**	**1**	**3**
Agree & strongly disagree	**46%**	**38%**	**44%**	**50%**	**57%**	**39%**	**53%**	**57%**	**39%**	**107**	**8**	**22**	**9**	**20**	**14**	**16**	**8**	**10**

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
44. I feel confident about my knowledge and/or ability to manage conflict that arises during water resources planning and management.																		
Strongly disagree	0%	0%	0%	0%	3%	0%	0%	0%	0%	1	0	0	0	1	0	0	0	0
Disagree	6%	5%	12%	6%	3%	8%	0%	14%	0%	14	1	6	1	1	3	0	2	0
Neither agree nor disagree	15%	19%	16%	11%	14%	28%	10%	0%	12%	35	4	8	2	5	10	3	0	3
Agree	58%	62%	52%	67%	60%	44%	73%	64%	58%	134	13	26	12	21	16	22	9	15
Strongly agree	14%	10%	14%	11%	17%	14%	13%	21%	15%	33	2	7	2	6	5	4	3	4
Not Applicable	3%	0%	4%	0%	0%	3%	3%	0%	12%	7	0	2	0	0	1	1	0	3
Don't know	3%	5%	2%	6%	3%	3%	0%	0%	4%	6	1	1	1	1	1	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**6%**	**5%**	**12%**	**6%**	**6%**	**8%**	**0%**	**14%**	**0%**	**15**	**1**	**6**	**1**	**2**	**3**	**0**	**2**	**0**
Agree & strongly disagree	**72%**	**72%**	**66%**	**78%**	**77%**	**58%**	**86%**	**85%**	**73%**	**167**	**15**	**33**	**14**	**27**	**21**	**26**	**12**	**19**
45. I feel confident about my knowledge and/or ability to structure agreements that meet all stakeholders' needs.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Disagree	7%	5%	6%	6%	3%	14%	7%	7%	12%	17	1	3	1	1	5	2	1	3
Neither agree nor disagree	25%	43%	20%	11%	29%	39%	17%	21%	15%	57	9	10	2	10	14	5	3	4
Agree	48%	33%	54%	61%	54%	22%	60%	57%	46%	110	7	27	11	19	8	18	8	12
Strongly agree	12%	14%	10%	11%	11%	14%	17%	14%	8%	28	3	5	2	4	5	5	2	2
Not Applicable	4%	5%	4%	11%	0%	8%	0%	0%	8%	10	1	2	2	0	3	0	0	2
Don't know	3%	0%	6%	0%	3%	3%	0%	0%	8%	7	0	3	0	1	1	0	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**7%**	**5%**	**6%**	**6%**	**3%**	**14%**	**7%**	**7%**	**16%**	**18**	**1**	**3**	**1**	**1**	**5**	**2**	**1**	**4**
Agree & strongly disagree	**60%**	**47%**	**64%**	**72%**	**65%**	**36%**	**77%**	**71%**	**54%**	**138**	**10**	**32**	**13**	**23**	**13**	**23**	**10**	**14**
46. I feel confident about my ability to collaborate with project sponsors to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	1%	5%	0%	0%	0%	3%	0%	0%	0%	2	1	0	0	0	1	0	0	0
Neither agree nor disagree	6%	0%	8%	6%	11%	0%	3%	7%	12%	14	0	4	1	4	0	1	1	3
Agree	58%	57%	58%	44%	54%	67%	63%	64%	54%	134	12	29	8	19	24	19	9	14
Strongly agree	31%	33%	32%	44%	31%	28%	33%	21%	27%	72	7	16	8	11	10	10	3	7
Not Applicable	3%	5%	2%	6%	3%	3%	0%	0%	4%	6	1	1	1	1	1	0	0	1
Don't know	1%	0%	0%	0%	0%	0%	0%	7%	4%	2	0	0	0	0	0	0	1	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**1%**	**5%**	**0%**	**0%**	**0%**	**3%**	**0%**	**0%**	**0%**	**2**	**1**	**0**	**0**	**0**	**1**	**0**	**0**	**0**
Agree & strongly disagree	**89%**	**90%**	**90%**	**88%**	**85%**	**95%**	**96%**	**85%**	**81%**	**206**	**19**	**45**	**16**	**30**	**34**	**29**	**12**	**21**
47. I feel confident about my ability to collaborate with non-governmental organizations to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	1%	0%	0%	0%	0%	3%	0%	7%	0%	2	0	0	0	0	1	0	1	0
Neither agree nor disagree	12%	10%	12%	11%	17%	14%	3%	7%	15%	27	2	6	2	6	5	1	1	4
Agree	62%	67%	64%	56%	49%	64%	63%	64%	69%	142	14	32	10	17	23	19	9	18
Strongly agree	23%	19%	24%	22%	34%	17%	33%	14%	12%	53	4	12	4	12	6	10	2	3
Not Applicable	2%	5%	0%	11%	0%	3%	0%	0%	0%	4	1	0	2	0	1	0	0	0
Don't know	1%	0%	0%	0%	0%	0%	0%	7%	4%	2	0	0	0	0	0	0	1	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**1%**	**0%**	**0%**	**0%**	**0%**	**3%**	**0%**	**7%**	**0%**	**2**	**0**	**0**	**0**	**0**	**1**	**0**	**1**	**0**
Agree & strongly disagree	**85%**	**86%**	**88%**	**78%**	**83%**	**81%**	**96%**	**78%**	**81%**	**195**	**18**	**44**	**14**	**29**	**29**	**29**	**11**	**21**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
48. I feel confident about my ability to collaborate with Native American groups to advance USACE's mission.																		
Strongly disagree	1%	0%	2%	0%	0%	3%	0%	0%	0%	2	0	1	0	0	1	0	0	0
Disagree	9%	24%	4%	0%	9%	6%	7%	14%	15%	20	5	2	0	3	2	2	2	4
Neither agree nor disagree	27%	19%	32%	44%	26%	22%	30%	29%	19%	63	4	16	8	9	8	9	4	5
Agree	37%	19%	40%	22%	37%	39%	47%	36%	38%	84	4	20	4	13	14	14	5	10
Strongly agree	14%	0%	12%	11%	29%	19%	10%	14%	8%	32	0	6	2	10	7	3	2	2
Not Applicable	5%	10%	8%	11%	0%	8%	0%	0%	4%	12	2	4	2	0	3	0	0	1
Don't know	7%	29%	2%	11%	0%	3%	7%	7%	15%	17	6	1	2	0	1	2	1	4
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**24%**	**6%**	**0%**	**9%**	**9%**	**7%**	**14%**	**15%**	**22**	**5**	**3**	**0**	**3**	**3**	**2**	**2**	**4**
Agree & strongly disagree	**51%**	**19%**	**52%**	**33%**	**66%**	**58%**	**57%**	**50%**	**46%**	**116**	**4**	**26**	**6**	**23**	**21**	**17**	**7**	**12**
49. I feel confident about my ability to collaborate with other Federal Agencies to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	1%	5%	0%	0%	0%	3%	0%	7%	0%	3	1	0	0	0	1	0	1	0
Neither agree nor disagree	7%	0%	10%	17%	3%	6%	3%	14%	8%	16	0	5	3	1	2	1	2	2
Agree	57%	52%	56%	56%	57%	64%	60%	36%	58%	130	11	28	10	20	23	18	5	15
Strongly agree	33%	38%	34%	28%	40%	25%	37%	36%	27%	76	8	17	5	14	9	11	5	7
Not Applicable	1%	5%	0%	0%	0%	3%	0%	0%	0%	2	1	0	0	0	1	0	0	0
Don't know	1%	0%	0%	0%	0%	0%	0%	7%	8%	3	0	0	0	0	0	0	1	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**1%**	**5%**	**0%**	**0%**	**0%**	**3%**	**0%**	**7%**	**0%**	**3**	**1**	**0**	**0**	**0**	**1**	**0**	**1**	**0**
Agree & strongly disagree	**90%**	**90%**	**90%**	**84%**	**97%**	**89%**	**97%**	**72%**	**85%**	**206**	**19**	**45**	**15**	**34**	**32**	**29**	**10**	**22**
50. I feel confident about my ability to collaborate with State governments to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	1%	0%	0%	0%	3%	0%	0%	7%	0%	2	0	0	0	1	0	0	1	0
Neither agree nor disagree	10%	0%	8%	17%	17%	8%	3%	14%	15%	23	0	4	3	6	3	1	2	4
Agree	56%	62%	64%	56%	46%	64%	63%	36%	42%	129	13	32	10	16	23	19	5	11
Strongly agree	31%	33%	28%	28%	34%	25%	33%	36%	35%	71	7	14	5	12	9	10	5	9
Not Applicable	1%	5%	0%	0%	0%	3%	0%	0%	0%	2	1	0	0	0	1	0	0	0
Don't know	1%	0%	0%	0%	0%	0%	0%	7%	8%	3	0	0	0	0	0	0	1	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**1%**	**0%**	**0%**	**0%**	**3%**	**0%**	**0%**	**7%**	**0%**	**2**	**0**	**0**	**0**	**1**	**0**	**0**	**1**	**0**
Agree & strongly disagree	**87%**	**95%**	**92%**	**84%**	**80%**	**89%**	**96%**	**72%**	**77%**	**200**	**20**	**46**	**15**	**28**	**32**	**29**	**10**	**20**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
51. I feel confident about my ability to collaborate with local government entities to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	1%	0%	2%	0%	3%	0%	0%	7%	0%	3	0	1	0	1	0	0	1	0
Neither agree nor disagree	10%	5%	10%	11%	20%	8%	3%	14%	12%	24	1	5	2	7	3	1	2	3
Agree	58%	67%	62%	61%	43%	61%	73%	36%	50%	133	14	31	11	15	22	22	5	13
Strongly agree	28%	19%	26%	28%	34%	28%	23%	36%	31%	64	4	13	5	12	10	7	5	8
Not Applicable	1%	10%	0%	0%	0%	3%	0%	0%	0%	3	2	0	0	0	1	0	0	0
Don't know	1%	0%	0%	0%	0%	0%	0%	7%	8%	3	0	0	0	0	0	0	1	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**1%**	**0%**	**2%**	**0%**	**3%**	**0%**	**0%**	**7%**	**0%**	**3**	**0**	**1**	**0**	**1**	**0**	**0**	**1**	**0**
Agree & strongly disagree	**86%**	**86%**	**88%**	**89%**	**77%**	**89%**	**96%**	**72%**	**81%**	**197**	**18**	**44**	**16**	**27**	**32**	**29**	**10**	**21**
52. I feel confident about my ability to collaborate with business and industry to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Disagree	3%	0%	0%	0%	3%	3%	3%	21%	8%	8	0	0	0	1	1	1	3	2
Neither agree nor disagree	17%	29%	20%	11%	11%	17%	20%	21%	12%	40	6	10	2	4	6	6	3	3
Agree	56%	48%	64%	56%	66%	53%	57%	29%	50%	128	10	32	10	23	19	17	4	13
Strongly agree	19%	19%	16%	28%	20%	17%	17%	14%	23%	43	4	8	5	7	6	5	2	6
Not Applicable	1%	5%	0%	6%	0%	3%	0%	0%	0%	3	1	0	1	0	1	0	0	0
Don't know	3%	0%	0%	0%	0%	6%	3%	14%	8%	7	0	0	0	0	2	1	2	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**3%**	**0%**	**0%**	**0%**	**3%**	**6%**	**3%**	**21%**	**8%**	**9**	**0**	**0**	**0**	**1**	**2**	**1**	**3**	**2**
Agree & strongly disagree	**75%**	**67%**	**80%**	**84%**	**86%**	**70%**	**74%**	**43%**	**73%**	**171**	**14**	**40**	**15**	**30**	**25**	**22**	**6**	**19**
53. I feel confident about my ability to collaborate with minority communities to advance USACE's mission.																		
Strongly disagree	1%	0%	0%	0%	0%	0%	0%	7%	4%	2	0	0	0	0	0	0	1	1
Disagree	5%	5%	2%	0%	0%	11%	3%	7%	12%	11	1	1	0	0	4	1	1	3
Neither agree nor disagree	20%	19%	22%	17%	29%	11%	17%	29%	19%	46	4	11	3	10	4	5	4	5
Agree	53%	62%	54%	67%	49%	61%	60%	21%	42%	123	13	27	12	17	22	18	3	11
Strongly agree	15%	0%	18%	6%	23%	14%	17%	21%	12%	34	0	9	1	8	5	5	3	3
Not Applicable	2%	10%	0%	11%	0%	3%	0%	0%	0%	5	2	0	2	0	1	0	0	0
Don't know	4%	5%	4%	0%	0%	0%	3%	14%	12%	9	1	2	0	0	0	1	2	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**6%**	**5%**	**2%**	**0%**	**0%**	**11%**	**3%**	**14%**	**16%**	**13**	**1**	**1**	**0**	**0**	**4**	**1**	**2**	**4**
Agree & strongly disagree	**68%**	**62%**	**72%**	**73%**	**72%**	**75%**	**77%**	**42%**	**54%**	**157**	**13**	**36**	**13**	**25**	**27**	**23**	**6**	**14**
54. I feel confident about my ability to collaborate with labor to advance USACE's mission.																		
Strongly disagree	1%	0%	0%	0%	0%	3%	0%	0%	8%	3	0	0	0	0	1	0	0	2
Disagree	6%	5%	2%	0%	6%	17%	10%	7%	0%	14	1	1	0	2	6	3	1	0
Neither agree nor disagree	30%	43%	36%	28%	29%	19%	30%	36%	23%	69	9	18	5	10	7	9	5	6
Agree	37%	29%	38%	44%	51%	36%	37%	21%	31%	86	6	19	8	18	13	11	3	8
Strongly agree	9%	0%	16%	11%	9%	8%	10%	7%	4%	21	0	8	2	3	3	3	1	1
Not Applicable	5%	10%	4%	11%	3%	6%	0%	0%	12%	12	2	2	2	1	2	0	0	3
Don't know	11%	14%	4%	6%	3%	11%	13%	29%	23%	25	3	2	1	1	4	4	4	6
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**7%**	**5%**	**2%**	**0%**	**6%**	**20%**	**10%**	**7%**	**8%**	**17**	**1**	**1**	**0**	**2**	**7**	**3**	**1**	**2**
Agree & strongly disagree	**46%**	**29%**	**54%**	**55%**	**60%**	**44%**	**47%**	**28%**	**35%**	**107**	**6**	**27**	**10**	**21**	**16**	**14**	**4**	**9**

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
55. I feel confident about my ability to collaborate with academia to advance USACE's mission.																		
Strongly disagree	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Disagree	4%	0%	6%	0%	0%	6%	7%	7%	4%	9	0	3	0	0	2	2	1	1
Neither agree nor disagree	13%	19%	12%	22%	11%	8%	7%	21%	12%	29	4	6	4	4	3	2	3	3
Agree	58%	52%	60%	56%	69%	58%	63%	29%	58%	134	11	30	10	24	21	19	4	15
Strongly agree	20%	19%	20%	17%	20%	17%	23%	21%	23%	46	4	10	3	7	6	7	3	6
Not Applicable	1%	5%	0%	6%	0%	3%	0%	0%	0%	3	1	0	1	0	1	0	0	0
Don't know	3%	5%	2%	0%	0%	6%	0%	21%	4%	8	1	1	0	0	2	0	3	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**4%**	**0%**	**6%**	**0%**	**0%**	**9%**	**7%**	**7%**	**4%**	**10**	**0**	**3**	**0**	**0**	**3**	**2**	**1**	**1**
Agree & strongly disagree	**78%**	**71%**	**80%**	**73%**	**89%**	**75%**	**86%**	**50%**	**81%**	**180**	**15**	**40**	**13**	**31**	**27**	**26**	**7**	**21**
56. USACE's organizational culture supports collaboration with stakeholders on water resource issues.																		
Strongly disagree	3%	10%	0%	6%	0%	3%	0%	21%	4%	8	2	0	1	0	1	0	3	1
Disagree	14%	14%	6%	6%	17%	17%	13%	21%	27%	33	3	3	1	6	6	4	3	7
Neither agree nor disagree	15%	24%	18%	17%	17%	14%	13%	7%	8%	35	5	9	3	6	5	4	1	2
Agree	53%	38%	58%	61%	51%	56%	50%	43%	54%	121	8	29	11	18	20	15	6	14
Strongly agree	12%	14%	18%	11%	14%	6%	17%	7%	0%	27	3	9	2	5	2	5	1	0
Not Applicable	1%	0%	0%	0%	0%	3%	3%	0%	4%	3	0	0	0	0	1	1	0	1
Don't know	1%	0%	0%	0%	0%	3%	3%	0%	4%	3	0	0	0	0	1	1	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**17%**	**24%**	**6%**	**12%**	**17%**	**20%**	**13%**	**42%**	**31%**	**41**	**5**	**3**	**2**	**6**	**7**	**4**	**6**	**8**
Agree & strongly disagree	**65%**	**52%**	**76%**	**72%**	**65%**	**62%**	**67%**	**50%**	**54%**	**148**	**11**	**38**	**13**	**23**	**22**	**20**	**7**	**14**
57. The success of USACE's mission depends on working effectively with stakeholders.																		
Strongly disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Disagree	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Neither agree nor disagree	3%	5%	4%	6%	0%	6%	3%	0%	0%	7	1	2	1	0	2	1	0	0
Agree	30%	24%	28%	22%	31%	44%	27%	14%	38%	70	5	14	4	11	16	8	2	10
Strongly agree	65%	71%	68%	67%	69%	47%	70%	86%	58%	150	15	34	12	24	17	21	12	15
Not Applicable	1%	0%	0%	6%	0%	3%	0%	0%	0%	2	0	0	1	0	1	0	0	0
Don't know	0%	0%	0%	0%	0%	0%	0%	0%	4%	1	0	0	0	0	0	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0%**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**
Agree & strongly disagree	**95%**	**95%**	**96%**	**89%**	**100%**	**91%**	**97%**	**100%**	**96%**	**220**	**20**	**48**	**16**	**35**	**33**	**29**	**14**	**25**

All Resondents:

58. I have access to the following types of expertise as needed to enable me to use collaborative strategies							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	N/A	Don't know
Technical & scientific expertise	0	4	12	120	86	4	4
	0%	2%	5%	52%	37%	2%	2%
Process expertise (e.g., facilitation, mediation, etc.)	3	31	54	93	35	5	9
	1%	13%	23%	40%	15%	2%	4%
Legal expertise	0	11	22	122	65	5	5

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
Legal expertise	0%	5%	10%	53%	28%	2%	2%											

All Respondents:

59. When collaborating with stakeholders on water resource planning and management, I generally have:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	N/A	Don't know
enough time to effectively engage in collaboration.	7	39	71	87	11	12	3
	3%	17%	31%	38%	5%	5%	1%
sufficient funds to collaborate effectively (e.g., for travel, facilitators, technical consultants, etc.).	17	64	58	63	8	15	5
	7%	28%	25%	27%	3%	7%	2%

60. I know where to find case studies, practical guidelines, and other resources on how to effectively use collaborative approaches to water resource planning and management to																			
Strongly disagree	3%	10%	2%	0%	3%	3%	3%	7%	0%	7	2	1	0	1	1	1	1	0
Disagree	29%	24%	22%	39%	29%	33%	27%	50%	23%	66	5	11	7	10	12	8	7	6
Neither agree nor disagree	25%	24%	22%	22%	29%	28%	23%	14%	31%	57	5	11	4	10	10	7	2	8
Agree	28%	24%	38%	22%	23%	25%	33%	21%	23%	64	5	19	4	8	9	10	3	6
Strongly agree	8%	10%	8%	11%	11%	0%	7%	7%	15%	19	2	4	2	4	0	2	1	4
Not Applicable	4%	5%	6%	6%	0%	6%	7%	0%	4%	10	1	3	1	0	2	2	0	1
Don't know	3%	5%	2%	0%	6%	6%	0%	0%	4%	7	1	1	0	2	2	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**32%**	**34%**	**24%**	**39%**	**32%**	**36%**	**30%**	**57%**	**23%**	**73**	**7**	**12**	**7**	**11**	**13**	**9**	**8**	**6**
Agree & strongly disagree	**36%**	**34%**	**46%**	**33%**	**34%**	**25%**	**40%**	**28%**	**38%**	**83**	**7**	**23**	**6**	**12**	**9**	**12**	**4**	**10**

61. I know how to find out about others' experiences with collaborative water resources planning and management processes so that I can build on their insights.																			
Strongly disagree	2%	10%	2%	6%	0%	0%	0%	0%	4%	5	2	1	1	0	0	0	0	1
Disagree	25%	19%	20%	33%	31%	17%	20%	50%	27%	57	4	10	6	11	6	6	7	7
Neither agree nor disagree	26%	19%	26%	17%	34%	33%	27%	14%	19%	59	4	13	3	12	12	8	2	5
Agree	33%	43%	30%	33%	26%	39%	40%	29%	23%	75	9	15	6	9	14	12	4	6
Strongly agree	10%	5%	14%	6%	9%	3%	7%	7%	23%	22	1	7	1	3	1	2	1	6
Not Applicable	3%	5%	4%	0%	0%	6%	7%	0%	0%	7	1	2	0	0	2	2	0	0
Don't know	2%	0%	4%	6%	0%	3%	0%	0%	4%	5	0	2	1	0	1	0	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**27%**	**29%**	**22%**	**39%**	**31%**	**17%**	**20%**	**50%**	**31%**	**62**	**6**	**11**	**7**	**11**	**6**	**6**	**7**	**8**
Agree & strongly disagree	**43%**	**48%**	**44%**	**39%**	**35%**	**42%**	**47%**	**36%**	**46%**	**97**	**10**	**22**	**7**	**12**	**15**	**14**	**5**	**12**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
62. I have had training on (please check all that apply)																		
Collaborative leadership;	39%	35%	37%	29%	55%	26%	30%	69%	38%	80	7	17	5	18	7	8	9	9
How to assess the legal, political, and practical feasibility of using a collaborative approach for a particular issue to advance USACE's mission;	10%	10%	13%	0%	18%	7%	7%	8%	4%	20	2	6	0	6	2	2	1	1
Consensus-building or collaboration as a tool for addressing water resource and planning issues;	36%	60%	39%	12%	42%	26%	26%	38%	38%	74	12	18	2	14	7	7	5	9
Public participation approaches;	56%	80%	52%	24%	67%	48%	48%	62%	67%	116	16	24	4	22	13	13	8	16
Dispute resolution;	58%	60%	52%	53%	73%	52%	52%	54%	71%	121	12	24	9	24	14	14	7	17
Working with multi-disciplinary teams;	70%	75%	76%	65%	76%	59%	59%	69%	75%	145	15	35	11	25	16	16	9	18
Communications;	87%	95%	87%	88%	85%	93%	74%	77%	96%	180	19	40	15	28	25	20	10	23
Working effectively across cultural, racial, class, or other identity group differences in the process of carrying out the USACE mission in the water resources arena;	31%	5%	37%	29%	39%	41%	22%	38%	25%	64	1	17	5	13	11	6	5	6
Working effectively with indigenous Americans in the process of carrying out the USACE mission in the water resources arena, including how to conduct formal government-to-government consultations.	22%	5%	13%	6%	39%	48%	19%	23%	17%	46	1	6	1	13	13	5	3	4
63. I would like to have training on (please check all that apply)																		
Collaborative leadership;	65%	74%	62%	73%	62%	72%	68%	50%	58%	125	14	24	11	16	21	19	6	14
How to assess the legal, political, and practical feasibility of using a collaborative approach for a particular issue to advance USACE's mission;	64%	74%	59%	60%	73%	66%	61%	58%	58%	122	14	23	9	19	19	17	7	14
Consensus-building or collaboration as a tool for addressing water resources and planning issues;	51%	58%	51%	60%	46%	76%	43%	42%	29%	98	11	20	9	12	22	12	5	7
Public participation approaches;	36%	26%	31%	40%	38%	48%	32%	75%	21%	70	5	12	6	10	14	9	9	5
Dispute resolution;	42%	42%	44%	40%	38%	45%	46%	67%	25%	81	8	17	6	10	13	13	8	6
Working with multi-disciplinary teams;	23%	21%	8%	47%	15%	31%	32%	42%	17%	45	4	3	7	4	9	9	5	4
Communications;	20%	21%	15%	27%	19%	28%	18%	25%	17%	39	4	6	4	5	8	5	3	4
Working effectively across cultural, racial, class, or other identity group differences in the process of carrying out the USACE mission in the water resources arena;	51%	84%	38%	47%	54%	48%	36%	83%	50%	98	16	15	7	14	14	10	10	12
Working effectively with indigenous Americans in the process of carrying out the USACE mission in the water resources arena, including how to conduct formal government-to-government consultations.	47%	63%	41%	33%	54%	28%	50%	67%	54%	90	12	16	5	14	8	14	8	13
64. USACE leaders support us in collaborating with stakeholders on water resource issues as a strategy for implementing the USACE mission.																		
Strongly disagree	2%	5%	0%	6%	0%	0%	0%	7%	4%	4	1	0	1	0	0	0	1	1
Disagree	6%	10%	2%	6%	3%	8%	0%	14%	12%	13	2	1	1	1	3	0	2	3
Neither agree nor disagree	15%	24%	6%	17%	23%	17%	13%	21%	12%	35	5	3	3	8	6	4	3	3
Agree	58%	52%	66%	56%	51%	64%	70%	29%	54%	134	11	33	10	18	23	21	4	14
Strongly agree	16%	10%	24%	11%	17%	8%	13%	21%	15%	36	2	12	2	6	3	4	3	4
Not Applicable	1%	0%	2%	6%	0%	0%	3%	0%	0%	3	0	1	1	0	0	1	0	0
Don't know	2%	0%	0%	0%	6%	3%	0%	7%	4%	5	0	0	0	2	1	0	1	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**8%**	**15%**	**2%**	**12%**	**3%**	**8%**	**0%**	**21%**	**16%**	**17**	**3**	**1**	**2**	**1**	**3**	**0**	**3**	**4**
Agree & strongly disagree	**74%**	**62%**	**90%**	**67%**	**68%**	**72%**	**83%**	**50%**	**69%**	**170**	**13**	**45**	**12**	**24**	**26**	**25**	**7**	**18**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
65. USACE leaders work productively with leaders of stakeholder organizations to improve collaboration, find synergy and maximize results that advance USACE's mission.																		
Strongly disagree	2%	5%	0%	6%	0%	0%	0%	14%	4%	5	1	0	1	0	0	0	2	1
Disagree	8%	5%	2%	6%	6%	14%	3%	7%	23%	18	1	1	1	2	5	1	1	6
Neither agree nor disagree	22%	38%	10%	22%	20%	22%	33%	21%	23%	51	8	5	4	7	8	10	3	6
Agree	50%	33%	66%	44%	54%	58%	47%	29%	35%	115	7	33	8	19	21	14	4	9
Strongly agree	10%	10%	16%	11%	9%	0%	10%	21%	8%	23	2	8	2	3	0	3	3	2
Not Applicable	0%	0%	0%	0%	0%	0%	0%	0%	0%	0	0	0	0	0	0	0	0	0
Don't know	8%	10%	6%	11%	11%	6%	7%	7%	8%	18	2	3	2	4	2	2	1	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**10%**	**10%**	**2%**	**12%**	**6%**	**14%**	**3%**	**21%**	**27%**	**23**	**2**	**1**	**2**	**2**	**5**	**1**	**3**	**7**
Agree & strongly disagree	**60%**	**43%**	**82%**	**55%**	**63%**	**58%**	**57%**	**50%**	**43%**	**138**	**9**	**41**	**10**	**22**	**21**	**17**	**7**	**11**
66. USACE leaders are effective at coordinating internally so that USACE representatives in collaborative processes speak with one voice on behalf of USACE.																		
Strongly disagree	7%	10%	2%	11%	3%	6%	0%	29%	12%	15	2	1	2	1	2	0	4	3
Disagree	22%	14%	12%	11%	29%	25%	30%	29%	27%	50	3	6	2	10	9	9	4	7
Neither agree nor disagree	34%	48%	26%	28%	29%	47%	37%	29%	31%	78	10	13	5	10	17	11	4	8
Agree	30%	24%	52%	28%	37%	19%	27%	14%	12%	69	5	26	5	13	7	8	2	3
Strongly agree	6%	5%	8%	11%	3%	0%	7%	0%	12%	13	1	4	2	1	0	2	0	3
Not Applicable	0%	0%	0%	6%	0%	0%	0%	0%	0%	1	0	0	1	0	0	0	0	0
Don't know	2%	0%	0%	6%	0%	3%	0%	0%	8%	4	0	0	1	0	1	0	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**29%**	**24%**	**14%**	**22%**	**32%**	**31%**	**30%**	**58%**	**39%**	**65**	**5**	**7**	**4**	**11**	**11**	**9**	**8**	**10**
Agree & strongly disagree	**36%**	**29%**	**60%**	**39%**	**40%**	**19%**	**34%**	**14%**	**24%**	**82**	**6**	**30**	**7**	**14**	**7**	**10**	**2**	**6**
67. Conflicting USACE policies make collaboration difficult.																		
Strongly disagree	1%	0%	0%	6%	0%	3%	0%	0%	4%	3	0	0	1	0	1	0	0	1
Disagree	10%	14%	14%	17%	0%	14%	7%	7%	4%	22	3	7	3	0	5	2	1	1
Neither agree nor disagree	31%	19%	24%	28%	31%	33%	43%	29%	38%	71	4	12	5	11	12	13	4	10
Agree	36%	43%	38%	39%	46%	22%	43%	29%	27%	83	9	19	7	16	8	13	4	7
Strongly agree	14%	19%	12%	6%	14%	17%	0%	36%	19%	32	4	6	1	5	6	0	5	5
Not Applicable	1%	0%	0%	6%	0%	3%	0%	0%	0%	2	0	0	1	0	1	0	0	0
Don't know	7%	5%	12%	0%	9%	8%	7%	0%	8%	17	1	6	0	3	3	2	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**11%**	**14%**	**14%**	**23%**	**0%**	**17%**	**7%**	**7%**	**8%**	**25**	**3**	**7**	**4**	**0**	**6**	**2**	**1**	**2**
Agree & strongly disagree	**50%**	**62%**	**50%**	**45%**	**60%**	**39%**	**43%**	**65%**	**46%**	**115**	**13**	**25**	**8**	**21**	**14**	**13**	**9**	**12**
68. Laws under which USACE operates make it difficult to use collaborative approaches to water resource planning and management to advance USACE's mission.																		
Strongly disagree	1%	0%	0%	6%	0%	3%	0%	0%	0%	2	0	0	1	0	1	0	0	0
Disagree	14%	19%	18%	6%	23%	11%	3%	14%	12%	32	4	9	1	8	4	1	2	3
Neither agree nor disagree	32%	29%	20%	44%	23%	36%	60%	36%	23%	74	6	10	8	8	13	18	5	6
Agree	35%	33%	36%	28%	40%	31%	27%	36%	46%	80	7	18	5	14	11	8	5	12
Strongly agree	7%	14%	8%	11%	6%	6%	0%	14%	8%	17	3	4	2	2	2	0	2	2
Not Applicable	1%	0%	2%	0%	0%	3%	3%	0%	0%	3	0	1	0	0	1	1	0	0
Don't know	10%	5%	16%	6%	9%	11%	7%	0%	12%	22	1	8	1	3	4	2	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**15%**	**19%**	**18%**	**12%**	**23%**	**14%**	**3%**	**14%**	**12%**	**34**	**4**	**9**	**2**	**8**	**5**	**1**	**2**	**3**
Agree & strongly disagree	**42%**	**47%**	**44%**	**39%**	**46%**	**37%**	**27%**	**50%**	**54%**	**97**	**10**	**22**	**7**	**16**	**13**	**8**	**7**	**14**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
69. Staff turnover, transfers, or rotations within USACE make collaboration difficult.																		
Strongly disagree	1%	0%	2%	11%	0%	0%	0%	0%	0%	3	0	1	2	0	0	0	0	0
Disagree	13%	10%	20%	17%	6%	11%	13%	0%	19%	30	2	10	3	2	4	4	0	5
Neither agree nor disagree	25%	14%	26%	28%	26%	28%	27%	14%	31%	58	3	13	5	9	10	8	2	8
Agree	43%	48%	36%	28%	54%	53%	47%	43%	31%	99	10	18	5	19	19	14	6	8
Strongly agree	12%	19%	8%	11%	14%	3%	7%	43%	15%	28	4	4	2	5	1	2	6	4
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	5%	10%	8%	6%	0%	3%	7%	0%	4%	11	2	4	1	0	1	2	0	1
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**14%**	**10%**	**22%**	**28%**	**6%**	**11%**	**13%**	**0%**	**19%**	**33**	**2**	**11**	**5**	**2**	**4**	**4**	**0**	**5**
Agree & strongly disagree	**55%**	**67%**	**44%**	**39%**	**68%**	**56%**	**54%**	**86%**	**46%**	**127**	**14**	**22**	**7**	**24**	**20**	**16**	**12**	**12**
70. It is more difficult to participate in collaborative water resource planning and management processes if USACE is not the lead.																		
Strongly disagree	2%	10%	0%	6%	0%	0%	0%	0%	4%	4	2	0	1	0	0	0	0	1
Disagree	24%	29%	20%	11%	40%	14%	23%	36%	23%	55	6	10	2	14	5	7	5	6
Neither agree nor disagree	34%	33%	34%	33%	40%	25%	30%	43%	42%	79	7	17	6	14	9	9	6	11
Agree	24%	19%	28%	39%	14%	31%	30%	7%	15%	55	4	14	7	5	11	9	1	4
Strongly agree	5%	0%	6%	0%	6%	6%	3%	14%	4%	11	0	3	0	2	2	1	2	1
Not Applicable	1%	0%	0%	0%	0%	3%	3%	0%	0%	2	0	0	0	0	1	1	0	0
Don't know	10%	10%	12%	11%	0%	22%	10%	0%	12%	24	2	6	2	0	8	3	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**26%**	**39%**	**20%**	**17%**	**40%**	**14%**	**23%**	**36%**	**27%**	**59**	**8**	**10**	**3**	**14**	**5**	**7**	**5**	**7**
Agree & strongly disagree	**29%**	**19%**	**34%**	**39%**	**20%**	**37%**	**33%**	**21%**	**19%**	**66**	**4**	**17**	**7**	**7**	**13**	**10**	**3**	**5**
71. The difference in missions among various federal agencies has been an impediment to collaboration.																		
Strongly disagree	1%	0%	0%	6%	3%	3%	0%	0%	0%	3	0	0	1	1	1	0	0	0
Disagree	19%	29%	22%	17%	11%	19%	7%	29%	23%	43	6	11	3	4	7	2	4	6
Neither agree nor disagree	27%	29%	20%	28%	43%	19%	27%	36%	23%	62	6	10	5	15	7	8	5	6
Agree	35%	33%	40%	28%	34%	33%	50%	14%	31%	81	7	20	5	12	12	15	2	8
Strongly agree	9%	0%	6%	17%	6%	14%	7%	21%	8%	20	0	3	3	2	5	2	3	2
Not Applicable	1%	0%	0%	6%	0%	3%	0%	0%	0%	2	0	0	1	0	1	0	0	0
Don't know	8%	10%	12%	0%	3%	8%	10%	0%	15%	19	2	6	0	1	3	3	0	4
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**20%**	**29%**	**22%**	**23%**	**14%**	**22%**	**7%**	**29%**	**23%**	**46**	**6**	**11**	**4**	**5**	**8**	**2**	**4**	**6**
Agree & strongly disagree	**44%**	**33%**	**46%**	**45%**	**40%**	**47%**	**57%**	**35%**	**39%**	**101**	**7**	**23**	**8**	**14**	**17**	**17**	**5**	**10**
72. Stakeholder perceptions of USACE are an obstacle to collaboration.																		
Strongly disagree	1%	5%	0%	6%	3%	0%	0%	0%	0%	3	1	0	1	1	0	0	0	0
Disagree	13%	0%	26%	33%	14%	6%	7%	7%	8%	31	0	13	6	5	2	2	1	2
Neither agree nor disagree	28%	24%	24%	22%	23%	42%	30%	50%	15%	64	5	12	4	8	15	9	7	4
Agree	42%	57%	38%	28%	51%	39%	37%	21%	54%	96	12	19	5	18	14	11	3	14
Strongly agree	10%	10%	6%	6%	9%	0%	20%	21%	15%	22	2	3	1	3	0	6	3	4
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	6%	5%	6%	6%	0%	11%	7%	0%	8%	13	1	3	1	0	4	2	0	2
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**14%**	**5%**	**26%**	**39%**	**17%**	**6%**	**7%**	**7%**	**8%**	**34**	**1**	**13**	**7**	**6**	**2**	**2**	**1**	**2**
Agree & strongly disagree	**52%**	**67%**	**44%**	**34%**	**60%**	**39%**	**57%**	**42%**	**69%**	**118**	**14**	**22**	**6**	**21**	**14**	**17**	**6**	**18**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
73. I have encountered significant challenges in collaborating with project sponsors.																		
Strongly disagree	1%	0%	4%	6%	0%	0%	0%	0%	0%	3	0	2	1	0	0	0	0	0
Disagree	23%	24%	22%	39%	26%	31%	17%	7%	15%	53	5	11	7	9	11	5	1	4
Neither agree nor disagree	32%	33%	24%	22%	46%	28%	43%	43%	23%	74	7	12	4	16	10	13	6	6
Agree	24%	24%	24%	17%	11%	25%	30%	21%	42%	56	5	12	3	4	9	9	3	11
Strongly agree	7%	10%	6%	6%	6%	8%	0%	29%	8%	17	2	3	1	2	3	0	4	2
Not Applicable	7%	10%	12%	11%	3%	8%	3%	0%	0%	15	2	6	2	1	3	1	0	0
Don't know	5%	0%	8%	0%	9%	0%	7%	0%	12%	12	0	4	0	3	0	2	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**24%**	**24%**	**26%**	**45%**	**26%**	**31%**	**17%**	**7%**	**15%**	**56**	**5**	**13**	**8**	**9**	**11**	**5**	**1**	**4**
Agree & strongly disagree	**31%**	**34%**	**30%**	**23%**	**17%**	**33%**	**30%**	**50%**	**50%**	**73**	**7**	**15**	**4**	**6**	**12**	**9**	**7**	**13**
74. USACE's focus on collaboration with project sponsors sometimes eclipses the need to collaborate with other stakeholders.																		
Strongly disagree	1%	5%	0%	6%	0%	0%	3%	0%	0%	3	1	0	1	0	0	1	0	0
Disagree	10%	5%	14%	6%	11%	8%	7%	0%	15%	22	1	7	1	4	3	2	0	4
Neither agree nor disagree	32%	29%	24%	28%	43%	36%	33%	36%	31%	74	6	12	5	15	13	10	5	8
Agree	34%	38%	34%	39%	26%	39%	40%	36%	27%	79	8	17	7	9	14	12	5	7
Strongly agree	10%	14%	6%	11%	9%	8%	7%	29%	8%	22	3	3	2	3	3	2	4	2
Not Applicable	1%	0%	0%	11%	0%	3%	0%	0%	0%	3	0	0	2	0	1	0	0	0
Don't know	12%	10%	22%	0%	11%	6%	10%	0%	19%	27	2	11	0	4	2	3	0	5
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**11%**	**10%**	**14%**	**12%**	**11%**	**8%**	**10%**	**0%**	**15%**	**25**	**2**	**7**	**2**	**4**	**3**	**3**	**0**	**4**
Agree & strongly disagree	**44%**	**52%**	**40%**	**50%**	**35%**	**47%**	**47%**	**65%**	**35%**	**101**	**11**	**20**	**9**	**12**	**17**	**14**	**9**	**9**
75. USACE's institutional procedures (e.g., contracting, performance evaluation, promotions, etc.) support collaboration with stakeholders on water resource issues.																		
Strongly disagree	6%	14%	2%	6%	6%	3%	0%	21%	8%	13	3	1	1	2	1	0	3	2
Disagree	25%	38%	14%	22%	23%	31%	30%	14%	35%	58	8	7	4	8	11	9	2	9
Neither agree nor disagree	34%	24%	24%	28%	49%	39%	37%	50%	27%	78	5	12	5	17	14	11	7	7
Agree	22%	14%	38%	22%	20%	17%	23%	7%	12%	50	3	19	4	7	6	7	1	3
Strongly agree	1%	0%	2%	0%	0%	0%	3%	0%	4%	3	0	1	0	0	0	1	0	1
Not Applicable	2%	5%	0%	6%	0%	3%	0%	0%	4%	4	1	0	1	0	1	0	0	1
Don't know	10%	5%	20%	17%	3%	8%	7%	7%	12%	24	1	10	3	1	3	2	1	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**31%**	**52%**	**16%**	**28%**	**29%**	**34%**	**30%**	**35%**	**43%**	**71**	**11**	**8**	**5**	**10**	**12**	**9**	**5**	**11**
Agree & strongly disagree	**23%**	**14%**	**40%**	**22%**	**20%**	**17%**	**26%**	**7%**	**16%**	**53**	**3**	**20**	**4**	**7**	**6**	**8**	**1**	**4**
76. USACE rewards employees for participating in collaborative activities that further its mission.																		
Strongly disagree	6%	24%	0%	6%	3%	3%	7%	21%	4%	14	5	0	1	1	1	2	3	1
Disagree	13%	10%	8%	11%	11%	25%	10%	29%	8%	30	2	4	2	4	9	3	4	2
Neither agree nor disagree	35%	38%	30%	17%	43%	36%	43%	29%	38%	81	8	15	3	15	13	13	4	10
Agree	30%	19%	42%	50%	31%	19%	20%	14%	31%	68	4	21	9	11	7	6	2	8
Strongly agree	3%	0%	0%	0%	6%	3%	3%	0%	8%	6	0	0	0	2	1	1	0	2
Not Applicable	0%	0%	0%	0%	0%	0%	3%	0%	0%	1	0	0	0	0	0	1	0	0
Don't know	13%	10%	20%	17%	6%	14%	13%	7%	12%	30	2	10	3	2	5	4	1	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**19%**	**34%**	**8%**	**17%**	**14%**	**28%**	**17%**	**50%**	**12%**	**44**	**7**	**4**	**3**	**5**	**10**	**5**	**7**	**3**
Agree & strongly disagree	**33%**	**19%**	**42%**	**50%**	**37%**	**22%**	**23%**	**14%**	**39%**	**74**	**4**	**21**	**9**	**13**	**8**	**7**	**2**	**10**

Appendix D: Online Assessment Quantitative Findings

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
77. We at USACE generally do a good job of considering stakeholder input and using it where appropriate in water resource planning and management decisions.																		
Strongly disagree	1%	0%	0%	6%	0%	0%	0%	7%	0%	2	0	0	1	0	0	0	1	0
Disagree	13%	19%	8%	11%	6%	28%	7%	14%	19%	31	4	4	2	2	10	2	2	5
Neither agree nor disagree	14%	10%	12%	6%	23%	17%	13%	29%	4%	32	2	6	1	8	6	4	4	1
Agree	60%	62%	64%	61%	66%	50%	73%	36%	58%	139	13	32	11	23	18	22	5	15
Strongly agree	6%	10%	6%	6%	6%	3%	3%	14%	8%	14	2	3	1	2	1	1	2	2
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	5%	0%	10%	11%	0%	0%	3%	0%	12%	11	0	5	2	0	0	1	0	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**14%**	**19%**	**8%**	**17%**	**6%**	**28%**	**7%**	**21%**	**19%**	**33**	**4**	**4**	**3**	**2**	**10**	**2**	**3**	**5**
Agree & strongly disagree	**66%**	**72%**	**70%**	**67%**	**72%**	**53%**	**76%**	**50%**	**66%**	**153**	**15**	**35**	**12**	**25**	**19**	**23**	**7**	**17**

78. We at USACE generally do a good job of letting stakeholders know how their input has been incorporated into water resource planning and management decisions and where it																		
Strongly disagree	3%	0%	2%	6%	0%	6%	3%	7%	4%	7	0	1	1	0	2	1	1	1
Disagree	24%	38%	12%	22%	26%	25%	20%	36%	35%	56	8	6	4	9	9	6	5	9
Neither agree nor disagree	22%	24%	18%	11%	23%	25%	33%	14%	19%	50	5	9	2	8	9	10	2	5
Agree	39%	24%	48%	44%	51%	36%	30%	36%	31%	90	5	24	8	18	13	9	5	8
Strongly agree	3%	10%	6%	6%	0%	0%	3%	0%	0%	7	2	3	1	0	0	1	0	0
Not Applicable	0%	0%	0%	0%	0%	3%	0%	0%	0%	1	0	0	0	0	1	0	0	0
Don't know	8%	5%	14%	11%	0%	6%	10%	7%	12%	19	1	7	2	0	2	3	1	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**27%**	**38%**	**14%**	**28%**	**26%**	**31%**	**23%**	**43%**	**39%**	**63**	**8**	**7**	**5**	**9**	**11**	**7**	**6**	**10**
Agree & strongly disagree	**42%**	**34%**	**54%**	**50%**	**51%**	**36%**	**33%**	**36%**	**31%**	**97**	**7**	**27**	**9**	**18**	**13**	**10**	**5**	**8**

79. I get the right balance of guidance and flexibility from Headquarters for use of collaborative strategies to advance the USACE mission.																		
Strongly disagree	5%	14%	2%	6%	3%	0%	0%	21%	8%	11	3	1	1	1	0	0	3	2
Disagree	25%	33%	16%	33%	26%	28%	17%	29%	31%	57	7	8	6	9	10	5	4	8
Neither agree nor disagree	39%	29%	36%	17%	46%	42%	53%	36%	38%	89	6	18	3	16	15	16	5	10
Agree	16%	14%	24%	22%	17%	11%	17%	7%	8%	37	3	12	4	6	4	5	1	2
Strongly agree	0%	0%	0%	0%	0%	0%	3%	0%	0%	1	0	0	0	0	0	1	0	0
Not Applicable	6%	5%	8%	11%	3%	11%	3%	0%	4%	14	1	4	2	1	4	1	0	1
Don't know	9%	5%	14%	11%	6%	8%	7%	7%	12%	21	1	7	2	2	3	2	1	3
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**30%**	**47%**	**18%**	**39%**	**29%**	**28%**	**17%**	**50%**	**39%**	**68**	**10**	**9**	**7**	**10**	**10**	**5**	**7**	**10**
Agree & strongly disagree	**16%**	**14%**	**24%**	**22%**	**17%**	**11%**	**20%**	**7%**	**8%**	**38**	**3**	**12**	**4**	**6**	**4**	**6**	**1**	**2**

80. I know how to structure funding for multi-year collaborative process involving both Federal and non-Federal funding sources.																		
Strongly disagree	5%	14%	0%	0%	9%	8%	0%	7%	8%	12	3	0	0	3	3	0	1	2
Disagree	37%	33%	28%	28%	31%	39%	57%	50%	35%	84	7	14	5	11	14	17	7	9
Neither agree nor disagree	21%	19%	28%	17%	23%	22%	23%	14%	12%	49	4	14	3	8	8	7	2	3
Agree	20%	24%	20%	28%	26%	14%	10%	21%	19%	45	5	10	5	9	5	3	3	5
Strongly agree	2%	0%	2%	6%	0%	6%	0%	7%	0%	5	0	1	1	0	2	0	1	0
Not Applicable	7%	5%	10%	17%	3%	8%	3%	0%	8%	16	1	5	3	1	3	1	0	2
Don't know	8%	5%	12%	6%	9%	3%	7%	0%	19%	19	1	6	1	3	1	2	0	5
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**42%**	**47%**	**28%**	**28%**	**40%**	**47%**	**57%**	**57%**	**43%**	**96**	**10**	**14**	**5**	**14**	**17**	**17**	**8**	**11**
Agree & strongly disagree	**22%**	**24%**	**22%**	**34%**	**26%**	**20%**	**10%**	**28%**	**19%**	**50**	**5**	**11**	**6**	**9**	**7**	**3**	**4**	**5**

	% of Respondents									# of Respondents								
	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD	All	LRD	MVD	NAD	NWD	POD	SAD	SPD	SWD
81. I am aware of ways in which USACE can help fund stakeholders' participation in collaborative processes.																		
Strongly disagree	7%	10%	4%	0%	9%	11%	7%	7%	8%	16	2	2	0	3	4	2	1	2
Disagree	43%	62%	26%	50%	34%	44%	60%	57%	42%	100	13	13	9	12	16	18	8	11
Neither agree nor disagree	17%	14%	22%	17%	20%	17%	13%	21%	8%	39	3	11	3	7	6	4	3	2
Agree	17%	5%	24%	11%	20%	17%	13%	7%	19%	38	1	12	2	7	6	4	1	5
Strongly agree	1%	0%	0%	0%	0%	3%	0%	7%	0%	2	0	0	0	0	1	0	1	0
Not Applicable	3%	0%	4%	11%	0%	0%	0%	0%	8%	6	0	2	2	0	0	0	0	2
Don't know	13%	10%	20%	11%	17%	8%	7%	0%	15%	29	2	10	2	6	3	2	0	4
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	230	21	50	18	35	36	30	14	26
Disagree & strongly disagree	**50%**	**72%**	**30%**	**50%**	**43%**	**55%**	**67%**	**64%**	**50%**	**116**	**15**	**15**	**9**	**15**	**20**	**20**	**9**	**13**
Agree & strongly disagree	**18%**	**5%**	**24%**	**11%**	**20%**	**20%**	**13%**	**14%**	**19%**	**40**	**1**	**12**	**2**	**7**	**7**	**4**	**2**	**5**

All Respondents:

82. My Division evaluates our collaborative processes using:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
quantitative methods.	14	36	41	29	7	5	98
	6%	16%	18%	13%	3%	2%	43%
qualitative methods.	11	29	41	41	7	5	96
	5%	13%	18%	18%	3%	2%	42%

84. I completed this assessment in support of the workshop being held in the following USACE Division:		
a) LRD	9%	21
b) MVD	22%	50
c) POD	16%	36
d) NAD	8%	18
e) NWD	15%	35
f) SAD	13%	30
g) SPD	6%	14
h) SWD	11%	26
Total	100%	230

Appendix E: Example Workshop Agenda and Presentations

U.S. Army Corps of Engineers' Institute for Water Resources
Conflict Resolution and Public Participation Center

COLLABORATIVE CAPACITY ASSESSMENT WORKSHOP

Pacific Ocean Division

November 20, 2009
Hyatt Regency Waikiki Beach Resort and Spa
Honolulu, Hawaii

-- AGENDA --

Workshop Objectives:

1) Explain what USACE is doing regarding collaboration, why and how
2) Share results of on-line collaborative capacity assessment survey at the Division and Agency level (strengths and areas warranting enhancement)
3) Learn from USACE field what USACE might do to capture and share our USACE collaboration successes, remove obstacles to collaboration, and strengthen our ability to collaborate when it makes sense to do so
4) Introduce new center and other resources which may be available to USACE

Time	Topic	Leads
8:30 am	**Welcome and Opening Remarks** • Welcome • Introductions / participant priorities • Agenda review • Key definitions • Q&A	Gene Ban, POD Programs Director Marci DuPraw, SRA Facilitator
	• Policy context; USACE CW/HQ, ASA/CW, and CEQ expectations	Jerry DelliPriscoli, IWR CPC, Sr. Advisor
9:30 am	**Anchoring Ourselves In This Group's Experience** • Mini-case studies of situations in which collaboration has been an effective strategy to carry out USACE mission, addressing: o Things that individuals within USACE did to support success, whether it be the project lead, other project team leaders, District management, Division management, or HQ – or policies and procedures o Obstacles to collaboration with external stakeholders that participants have encountered, and things USACE could do to remove those obstacles?	POD Success Story Presenters: -- Lorraine Cordova -- Allen Churchill -- Deborah Solis Facilitation Team: -- Jerry DelliPriscoli, IWR -- Maria Placht, IWR -- Marci DuPraw, SRA -- Linda Hihara-Endo, POD POC

9:30 am (cont'd)	**Anchoring Ourselves In This Group's Experience (continued)** o Information or support that could have amplified or leveraged the success of this collaboration even further • Q&A / Discussion Handouts: summary of Division results; Creighton's findings re: barriers to collaboration; summary of external stakeholder perspectives on USACE collaborative capacity	Jerry DelliPriscoli et al (cont'd)
10:15 am	**Break**	
10:30 am	**Anchoring Ourselves In This Group's Experience (continued)**	Jerry Delli Priscoli et al (cont'd)
11:30 am	**Introduction to IWR Conflict-resolution & Public-participation Center** • Orientation to collaborative assistance & resources available new Center of Expertise • Q&A	Maria Placht, IWR
Noon	**Lunch**	
1:00 pm	**Results of On-Line Collaborative Capacity Assessment** • PowerPoint presentation on this division's aggregated results and other divisions in USACE polled to date • Questions of clarification / discussion	Presentation by Marci DuPraw, SRA Facilitation by Maria Placht
2:30	**Break**	
2:45 – 4:00pm	**Where Should USACE Go From Here to Enhance Our Collaborative Capacity?** • Mini-Presentation: "Forms of Collaborative Capacity-Building Help Available" • Discussion at tables: o What are the 1-3 most important things USACE and the CW Director should do to enhance USACE's capacity to collaborate with external stakeholders? o What are the 1-3 most important things you and your immediate colleagues can do to enhance your capacity to collaborate with external stakeholders? • Plenary debrief & discussion	Mini-presentation by Marci DuPraw, SRA Facilitation Team: -- Jerry Delli Priscoli, IWR -- Maria Placht, IWR -- Marci DuPraw, SRA -- Kerry Redican, IWR

4:00 – 4:15 pm	**Requests for Assistance** • Do you have any current cases where you would like help?	Maria Placht
4:15 – 4:30pm	**Closing Comments** • Where can you get help? How do you access it? • Where do we go from here? • Workshop evaluation	Jerry Delli Priscoli and Maria Placht
4:30pm	**Adjourn**	Linda Hihara-Endo, POD POC

USACE and Collaborative Strategies:

Policy Context

Institute for Water Resources, USACE
http://www.iwr.usace.army.mil/cpc/

Historical Context

- 1970s Public Involvement – Public Participation – Primarily CW
  - USACE is USG Leader in PI – collaborates with white House to create Interagency council on PI
  - USACE Training sets USG standard
  - Reduced PI focus in favor of cost sharing as Planning emphasis decreases
- 1980s- 1990s Alternative Dispute Resolution (ADR) – Primarily Mil (Little CW)
  - Achieved 50% /yr. reduction in Claims = $500 million/yr
  - USACE Training sets USG standard
  - Hammer Award presented by VP Gore
  - 3 Months USACE cancels Program
- 1990s Partnering – Primarily Construction/Mil (Little CW)
  - Corps Partners with AGC to create a national movement in construction industry
  - Formal program dropped with ADR
- Late 1990s – New convergence ECR & Collaboration

Today:
Collaboration is a center Piece to Achieving Promised Goals of the USACE – CW Program

"We are seeking 'good government' that can be described as '……. better, smarter, collaborative, and transparent" Deputy ASACW, Rock Salt

"We will broaden our collaboration with others to enhance the chances of balancing water uses and making wise investments and trade-offs decisions.." *JP Woodley and Chief USACE March 2004, CW Strategic Plan.*

Corps Policies

1) Two of the 5 National Water Challenges, used as baseline in CW Strategic Plan are based on Collaboration

2) One of the five key approaches which Corps is committed is Collaboration

3) Two of the 4 Key Corps Principles of IWRM which the Corps seeks to adopt, are collaboration

4) The Corps Watershed Approach Contains 9 Methods of which at least 4 are directly Dependent on collaboration

1)Executive Order 13352, Facilitation of Cooperative Conservation, on August 24, 2004.

•cooperative conservation = actions that relate to use, enhancement, and enjoyment of natural resources, protection of the environment, or both, and that involve collaborative activity among Federal, State, local, and tribal governments, private for-profit and nonprofit Institutions, other nongovernmental entities and individuals.

•The nature of the collaborative activity is not defined.

•Scope of involvement to include tribal governments, private for-profit and non profit institutions, and other nongovernmental entities and individuals.

2) In May 2005, the Corps issued Circular No. 1105-2-409 titled "Planning in a Collaborative Environment."

3) November 28, 2005 OMB &CEQ - "Memorandum on Environmental Conflict Resolution (ECR)"

•ECR = third-party assisted conflict resolution, negotiation and collaborative problem solving in the context of environmental, public lands, natural resources, energy, transportation, and land use.

Re: Policy, planning, rulemaking, admin. decision making, civil judicial, enforcement, litigation.

•Disputes among federal, state, local, tribal, public interest organizations, citizens groups and business and industry where a federal agency has ultimate responsibility for decision making.

•Re: Partnerships, cooperative arrangements, and unassisted negotiations that federal agencies enter into with non-federal entities

ECR reporting requirement

- ASA-CW decided to submit its report separately (as well as part of DoD).
- OMB/CEQ Requirement highlighted the need for a focal point for ECR & Public Participation Activities

The Capacity to Integrate the Water Uses among the USACE Business Programs Systematically in River Basins/Watersheds will Depend on Collaboration

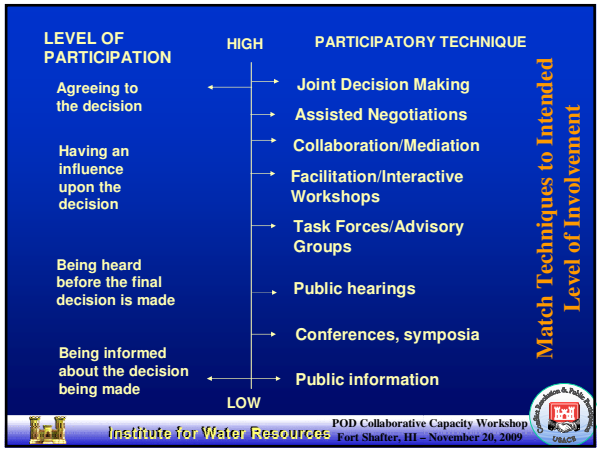
Conflict Resolution & Public Participation Center of Expertise

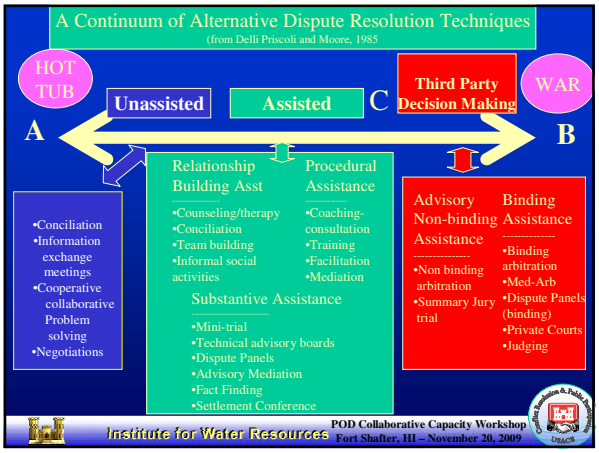
- Established by DCG Riley 17 October 2008
- Leverages IWR's history of leadership in ADR & public participation including Shared Vision Planning
- Mission:
  - *Help Corps staff anticipate, prevent and manage water conflict, ensuring that the interest of the public are addressed in Corps decisions*
- Five Areas of Focus
  - Training
  - Technical/Process Support to Field
  - Support to USACE-HQ (incl. nat'l & int'l interface)
  - Research
  - Information Exchange with the Field

Why Collaborative/ECR Capacity in The Corps? Dealing with Values

- When agencies are confused about the difference between technical and values choices, stakeholders often begin to second-guess the agency technically
- Most larger decisions made by agencies aren't really technical decisions, but values choices, informed by technical information
- Agencies still have to make decisions that involve values choices; but values choices are prime candidates for ECR and participation
- Stakeholders view decisions about values as "political;" Technical training doesn't make us more qualified than others to decide what's good for society
- When there are big values differences, the other side will always appear "over-emotional" and "irrational"

VALUE to the NATION






Conflict Resolution and Public Participation Center

A NEW USACE Center of Expertise

Institute for Water Resources, USACE
http://www.iwr.usace.army.mil/cpc/

Conflict Resolution & Public Participation Center of Expertise

- **Established by DCG Riley 17 October 2008**
- **Mission:**
  - *Help Corps staff anticipate, prevent and manage water conflict, ensuring that the interest of the public are addressed in Corps decisions*
- **Vision:**
  - An inter-disciplinary team working in cooperation with internal and external partners to enable USACE to engage in effective public participation, resolve conflicts, and build and sustain successful collaboration and partnerships at all levels.
  - Team includes network across the 8 USACE divisions
  - Support on as-asked basis (not a requirement)

Focus on both "Process" tools & Integration with Technical Tools

- Process tools include – Process Design, Conflict Assessment, facilitation, mediation, charrettes, etc.
- Shared Vision Planning
  - integrates tried-and-true **planning principles, systems modeling** and **collaboration** into a practical forum for making resource management decisions
  - means **involving stakeholders in the technical analysis** – in the data and technical relationships
  - IWR has been a proponent since National Drought Study in early 1990s
- Draft Strategic Plan for Center

CPC – Five Areas of Focus

- **Training**
  - SVP Training at E&E Conference & elsewhere
  - Reviewing/refreshing PROSPECT courses
  - PITIP Training programs
  - Actions for Change Risk Comm/Public Participation course
- **Technical/Process Support to Field**
  - Stakeholder assessment at a Formerly Used Defense Site in Nebraska
  - Process support for Columbia River Basin treaty study
  - Shared Vision Planning support to Honolulu District,
  - IJC - Lake Ontario & Upper Great Lakes Studies
  - IDIQ contract for Districts to access Technical/Process Support (last minute facilitators/mediators to long-term support)

CPC – Five Areas of Focus

- **Support to USACE-HQ (incl. nat'l & int'l interface)**
  - Compile USACE's annual ECR report for CEQ
  - National Water Policy Dialogs
  - Training for Mekong River Comm. & Peru's Natl Water Authority
  - Americas Forum in Brazil, World Water Forums
  - Improve public involvement in Flood Risk Management (Actions for Change post Katrina)
  - Obama Open Government Initiative
- **Research**
  - Technology & Environmental Conflict Resolution Workshop
  - CADRe 09 workshop – part of National Science & Technology Council interagency initiative
  - Pilot on Water supply 404 permitting with Western States Water Council - funded by cities.
  - Development of Performance Measures for Collaborative Modeling.
- **Information Exchange with the Field**
  - Update 1990's era ADR manuals
  - Shared Vision Planning primer, & process guide
  - Barriers to Collaborative Planning report
  - Brown bag lunch seminars

For more information:

Hal.E.Cardwell@usace.army.mil, (703) 428-9071
www.iwr.usace.army.mil/cpc

Appendix F: Each Division's Recommendations for the Agency

	High	Medium	Low
LRD (23 staff)	Create transparency about how to access funding options for collaborative processes and allow staff to mix and match funding source to promote collaboration.	Create transparency on how USACE decides on budget allocation (including balancing performance based budgeting and allocations across divisions). Create a committee to rate and rank proposals.	Allow staff to mix and match funding.
	Establish procedures (criteria & circumstances) when variance to USACE policy may be appropriate.	Is it illegal, immoral, bad for my customer? If not then do it!	Give local groups the opportunity to make case to decision makers why their project is important.
	Convey HQ's vision for collaboration as a priority throughout USACE – promote this clearly with real examples, not as something foggy, ambiguous and bureaucratic. Create a "just-do-it" culture versus one that finds ways to "say no".	Resource HQ staff to participate early & often so that HQ decision making can be more involved and responsive.	Make existing collaborative guidance more accessible.
MVD (31 staff)	Take lead on providing potential educational opportunities regarding collaboration techniques, leadership development, mentoring, and internship programs.	Develop and provide increasing flexibility for streamlining internal review to allow for more time for external collaboration.	Annual partnering conferences with Federal agencies, Congressional delegations, stakeholders, etc.
	Leadership commitment.	Set the environment (contracts in place for facilitators/mediators. Prequalified list of facilitators/mediators. Headquarters encouragement.	Make good of partnering MOUs. Do more MOUs.
	Improve strategic internal communications (e.g. about missions and procedures so they know how to collaborate externally on behalf of USACE (constant message/repeat).		
NAD (23 staff)	Funds are needed to coordinate and attend meetings.	The Center needs to be structured as a resource tool and as a source of assistance.	Improve vertical and lateral coordination and consistency regarding expectations for collaboration.
		Interim memo including review of new/revised processes.	
		Guidance on how to implement existing Collaboration goals (Campaign Plan 2B) and how to integrate them with future policies including post-authorizations.	
		Better coordination between ASA and OMB.	

Appendix F: Each Division's Recommendations for the Agency

NWD (21 staff)	Train junior and senior staff in collaborative skills - what it means and what it costs.	Acknowledge that collaboration is important enough to pay for.	Communicate to field available resources (e.g. collaboration and technical experts).
	Commit to fund outcomes of collaborative process (policy level senior executives involved) - match commitments to authority to commit.	Have the legal and policy levels be less risk adverse with respect to collaboration.	Get Congressional delegation to fund key projects with respect to collaboration.
		Review policies to resolve inconsistencies (e.g. timelines and checklists).	Headquarters should look at the language regarding the authority for public outreach.
		Reflect collaboration in metrics.	Analyze and develop guidance regarding the amount to budget for collaboration.
POD (27 staff)	Provide non-project funds for collaboration.	HQ needs to increase exposure to field conditions.	Recognize excellence in collaboration.
	Clarify USACE partnerships (spreadsheet with link) and what they entail.	Be more flexible.	Consolidate collaborative regulations within two years and institutionalize it.
	Raise the recon cost limit to fund stakeholders so we can do early collaboration and identify needs and opportunities.	Provide collaborative training.	Advocate to revamp authorities to support collaboration.
SAD (31 staff)	Make the time and funding commitment to collaboration.	Develop guidelines, goals, objectives, charging practices, and performance controls to be used in collaboration.	Headquarter-level speakers' bureau focused on promoting USACE's collaboration emphasis to other Federal agencies and to other stakeholder groups.
		Build a culture that embraces collaboration.	Create a system to award the most outstanding team collaboration effort. Suggestions include a trip to D.C. or a visit to a project site.
			At the District level identify the driving collaboration gaps and needs. Compile these at the national level.
	Make collaboration mandatory and include as part of the process from the start, and support it with funding in consultation with Project Managers and other stakeholders. Embody the collaborative approach in directives, i.e. P&G, ERs.		

SPD (16 staff)	Mandate formal training (possibly developed by IWR) with IWR facilitating the collaboration effort with the MSCs and Districts. Use the web as appropriate in order to save money. Issue training certificates to participants.		
	Mandate formal training (possibly developed by IWR) with IWR facilitating the collaboration effort with the MSCs and Districts. Use the web as appropriate in order to save money. Issue training certificates to participants.		
SWD (37 staff)	Clarify the definition of collaboration.	Allow for realistic time schedules for collaboration.	Build District capacity to identify and match appropriate collaboration method to situation (e.g., by developing tools).
	Support collaborative decisions.	HQ should hire more reviewers so they can do IPRs.	
	Include Headquarters early and consistently in collaborative process.	PMP should include collaborative process in communication plan.	
		Develop written policy guidance for collaboration.	
		Provide funding for non-Corps led collaboration processes.	

Appendix G: Division's Suggested Actions for Individuals

During the Division-specific workshops, participants developed a list of actions individual staff members can take on their own to enhance USACE's collaborative capacity. The lists of activities identified at each workshop are below.

LRD:

- Inter-Agency rotations
- Intra-Corps program collaboration
- Retain institutional knowledge by promoting mentorships and cross-training
- Communications and expectation management. Transparency with partners
- Being available to local sponsors and responding "Yes"
- Sharing lessons learned
- Leveraging resources

MVD:

- Develop a data dictionary to include acronyms, phrases, etc.
- Mentor new employees
- Build individual skills
- Build on trust and communication including mentoring for internal and external
- Manage stakeholders expectations
- Celebrate and share successes
- Professional responsibility – "Do one more thing"
- Provide feedback to partners/customers
- Understand the stakeholder's perspective

NAD:

- Develop situational awareness. What is our mandate?
- Integrate better with PAO especially presenting the lessons learned
- Develop our own case studies
- Build (permanent) relationships with different groups
- Identify common goals

NWD:

- Tell our success stories
- Start early in building relationships and funding
- Improve internal coordination, both vertical and horizontal, before engaging stakeholders
- Practice collaboration skills with internal stakeholders
- Teach, coach, and train younger staff in collaboration skills

POD:

- Need to better document actions taken throughout project (administrative record)
- Identify all stakeholders and keep list current
- More frequent informal coordination with HQ review people
- Establish offices off-base to provide better public access
- Work to develop collaborative relationships at the top

- Share experiences with other districts and divisions
- Take the lead to organize the collaborative effort
- Need to have internal collaboration before we attempt external collaboration
- Collaborative approach needs to be matched with PMBP
- Obtain stakeholder commitment to participate
- Have leadership meet with collaboration teams when they visit

SAD:

- Establish a collaborative process that includes PAO
- Develop (business) processes conducive to collaboration
- Take time to look at your colleagues skill set to establish training needs, etc.
- Improve internal and external communication
- Develop a positive "can do" attitude
- Encourage informal communication with stakeholders (e.g. "Ride alongs" with NGOs and resource agencies, attend stakeholder meetings (even after hours))
- Identify collaboration gaps and needs at the District level
- Document collaboration more effectively in the environmental operating principles / CWRB

SPD:

- Take the initiative to utilize collaborative skills on the job
- Receive online training and include training in objectives and targets (TAPES)
- Vertically convey stories of collaborative success
- Look for opportunities to collaborate. Model it in PDTs.
- Give briefings on your training or experiences to colleagues (e.g. brown bag lunch)
- Define the problem: Why aren't people using the collaborative process (cost? scheduling? promised answer set? If you start with an "answer" collaboration doesn't work)
- IWR might want to identify the market/growth areas and create pilots. Focus on Project Managers across business lines. Tailor case studies to business lines and use the language associated with individual business lines.

SWD:

- Ensure participation in non-Corps collaborative events
- Ensure that staff understands and employs collaborative planning
- Educate and include realistic time and cost estimates / investments needed for collaboration
- Train staff in collaborative processes
- Build trust through execution
- Know limitations
- Involve Engineering and other Corps groups (e.g., Contracts) in collaboration
- Make collaboration a top priority (send in the "A" team)
- Build on existing social capital
- Use "eTech" to get information to stakeholders
- Provide better attribution (credit to stakeholders)

Appendix H: Matrix of Recommendations

	Track			Lead*						Impact			Resource Reqts			CPC Goal***
Recommendation	**1**	**2**	**3**	**HQ**	**CPC**	**C.S.** Survey**	**PAO**	**Division**	**District**	**High**	**Medium**	**Modest**	**High**	**Medium**	**Modest**	**Goal #**
A.1. Revise project-level guidance to accommodate and support effective use of collaboration.		X		X						X				X		1,2,5
A.2. Add appropriate metrics to USACE monitoring and evaluation procedures to support continual improvement in USACE's use of collaboration. Recognize and reward effective use of collaboration.	X			X		X				X				X		1,2,3,5
A.3. Ensure USACE personnel can readily access facilitators and mediators to assist them with collaborative processes where appropriate.	X				X					X				X		1,4
B.1. USACE leaders should signal that they have "heard" and understand the need for targeted flexibility at the Division and District levels where vital to the success of strategically important collaborative processes, and that they will provide it where necessary.	X			X						X					X	1,2,3,5
B.2. Headquarters, with IWR/CPC support, should conduct a comprehensive analysis to determine whether certain laws, regulations, and policies under which USACE operates are inconsistent with Agency's commitment to the use of collaboration, and if so, look for opportunities to bring them into better alignment.		X		X						X				X		5
C.1. Offer training and technical assistance in targeted topics related to collaboration.	X				X					X				X		2,4
C.2. Establish professional development program focusing on collaborative skills.		X			X						X			X		2
C.3. Document and disseminate success stories, lessons learned, and best practices regarding the use of collaboration by Corps personnel.	X				X					X					X	3
D.1. Make it easier for staff to access existing funds for collaboration.	X	X		X				X	X	X				X		1,2, 3
D.2. Provide more funding (and by extension, authorize adequate staff time) for sustaining collaborative processes, and provide it upfront.	X			X						X			X			1
E.1. Create ombudsperson function at Headquarters or IWR.		X						X	X	X				X		1,2
E.2. Develop Agency-level communications strategy on USACE use of collaboration.		X					X			X				X		1,2,3,5
E.3. Develop better understanding of external stakeholders' views of USACE's collaborative capacity.			X	X		X				X				X		2,3,4

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
2. What is your community of practice? (see drop-down menu)					
Contracting	0%	0	0%	0	0%
Corporate Information	0%	1	0%	0	0%
Counsel	1%	2	0%	0	1%
Equal Employment Opportunity	0%	0	0%	0	0%
Emergency Management	0%	0	0%	0	0%
Engineering	11%	26	0%	0	11%
Environmental	10%	24	14%	1	-4%
History	0%	1	0%	0	0%
Human Resources	0%	1	0%	0	0%
Installation Support	0%	0	0%	0	0%
Interagency/International	1%	2	0%	0	1%
Internal Review	0%	0	0%	0	0%
Logistics	0%	0	0%	0	0%
Operations and Regulatory	12%	28	14%	1	-2%
Public Affairs	7%	16	0%	0	7%
Planning	22%	51	0%	0	22%
Program and Project Management	21%	49	0%	0	21%
Real Estate	2%	4	0%	0	2%
Research and Development	0%	1	0%	0	0%
Resource Management	1%	2	0%	0	1%
Small Business	0%	0	0%	0	0%
Safety	0%	0	0%	0	0%
Security and Intelligence	0%	0	0%	0	0%
Strategic Management	3%	7	14%	1	-11%
Tribal Nations	2%	5	0%	0	2%
Other	4%	9	57%	4	-53%
Total	100%	229	100%	7	0%

3. In which business line do you do most of your work? (see drop-down menu)					
Ecosystem Restoration	17%	39	0%	0	17%
Emergency Management	0%	1	0%	0	0%
FUSRAP	0%	0	0%	0	0%
Hydropower	3%	6	0%	0	3%
Navigation	22%	50	0%	0	22%
Recreation	4%	9	12%	1	-8%
Regulatory	8%	19	0%	0	8%
Water Supply	2%	4	0%	0	2%
Other	43%	98	88%	7	-45%
Total	100%	226	100%	8	0%

5. What is your educational level?					
High school diploma	0%	1	0%	0	0%
2 year college degree	2%	4	0%	0	2%
4 year college degree	43%	100	12%	1	31%
Masters or law degree (or equivalent)	50%	114	62%	5	-12%
Doctoral degree	5%	11	25%	2	-20%
Total	100%	230	100%	8	0%

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
6. What is your age?					
Under 30	3%	7	0%	0	3%
31-40	18%	41	0%	0	18%
41-50	41%	94	38%	3	3%
51-60	30%	69	62%	5	-32%
61-70	7%	16	0%	0	7%
Over 70	0%	1	0%	0	0%
Total	100%	228	100%	8	0%

7. What is your gender?					
Male	65%	149	50%	4	15%
Female	35%	80	50%	4	-15%
Total	100%	229	100%	8	0%

9. In terms of the frequency with which USACE uses collaboration in water resources planning and management:					
We use collaboration frequently.	70%	161	25%	2	45%
We use collaboration occasionally.	27%	63	75%	6	-48%
We use collaboration rarely.	3%	6	0%	0	3%
Total	100%	230	100%	8	0%

10. When we do use collaboration, it is because:					
Collaboration is a good practice generally.	66%	152	62%	5	4%
Certain circumstances call for collaboration.	34%	79	50%	4	-16%
We are required to use collaboration.	10%	22	0%	0	10%

11. In terms of the results achieved through collaborating on water resources planning and management:					
Collaborative planning has proven to be very valuable.	63%	145	75%	6	-12%
In some cases, collaborative planning has proven to be very valuable, but in others it has not been very helpful.	37%	84	25%	2	12%
Results have not warranted the effort involved in collaborative planning.	0%	1	0%	0	0%

12. Please reflect on the water resources planning and management projects in which you participated while employed by USACE. In how many such projects have you participated in your USACE tenure?					
0	4%	9	12%	1	-8%
1-5 projects	13%	30	12%	1	1%
6-10 projects	11%	26	0%	0	11%
11-20 projects	16%	37	12%	1	4%
21-50 projects	21%	49	25%	2	-4%
Over 50 projects	27%	63	25%	2	2%
N/A	7%	16	12%	1	-5%
Total	100%	230	100%	8	0%

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
13. Please reflect on the water resources planning and management projects in which you participated while employed by USACE. Of these, how many have entailed some method of collaborating with external stakeholders?					
0	4%	9	25%	2	-21%
1-5 projects	16%	36	0%	0	16%
6-10 projects	19%	43	0%	0	19%
11-20 projects	18%	42	12%	1	6%
21-50 projects	19%	44	38%	3	-19%
Over 50 projects	18%	42	12%	1	6%
N/A	6%	14	12%	1	-6%
Total	100%	230	100%	8	0%

14. I have played the following roles in USACE collaborative water resources planning projects (check all that apply):					
Convener	41%	89	57%	4	-16%
Group leader	59%	129	43%	3	16%
Agency representative	73%	159	86%	6	-13%
Technical expert / resource person	69%	150	57%	4	12%
Modeler	10%	22	0%	0	10%
Facilitator	49%	106	43%	3	6%
Other type of participant	28%	61	14%	1	14%

All Division Respondents:

15. Please indicate the number of projects in which you have played these roles:						
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	1 to 5	6 to 10	11 to 20	21 to 50	Over 50	N/A
Convener	34	34	21	8	5	128
	15%	15%	9%	3%	2%	56%
Group leader	41	46	27	18	8	90
	18%	20%	12%	8%	3%	39%
Agency representative	38	37	46	25	29	55
	17%	16%	20%	11%	13%	24%
Technical expert / resource person	32	39	37	31	23	68
	14%	17%	16%	13%	10%	30%
Modeler	15	11	8	1	0	195
	7%	5%	3%	0%	0%	85%
Facilitator	41	43	16	13	4	113
	18%	19%	7%	6%	2%	49%
Other type of participant	42	12	9	9	7	151
	18%	5%	4%	4%	3%	66%

All HQ Respondents:

15. Please indicate the number of projects in which you have played these roles:						
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	1-5 projects	6-10 projects	11-20 projects	21-50 projects	Over 50 projects	N/A
Convener	1	1	2	0	1	3
	12%	12%	25%	0%	12%	38%
Group leader	1	0	1	1	1	4
	12%	0%	12%	12%	12%	50%
Agency representative	2	1	1	1	2	1

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ	
Agency representative	25%	12%	12%	12%	25%	12%
Technical expert / resource person	2	0	3	0	1	2
	25%	0%	38%	0%	12%	25%
Modeler	1	0	0	0	0	7
	12%	0%	0%	0%	0%	88%
Facilitator	1	0	1	1	1	4
	12%	0%	12%	12%	12%	50%
Other type of participant	0	2	1	0	0	5
	0%	25%	12%	0%	0%	62%

16. In my experience, the following people or entities are helpful resources for strategizing regarding stakeholder involvement:					
Public Affairs Officer	59%	134	62%	5	-3%
Supervisors	73%	167	50%	4	23%
Colleagues	90%	207	50%	4	40%
Headquarters	22%	50	50%	4	-28%
The Institute for Water Resources	21%	47	25%	2	-4%
External experts	59%	136	62%	5	-3%

17. In my experience, the following people or entities are helpful resources for running meetings:					
Public Affairs Officer	32%	73	38%	3	-6%
Supervisors	52%	120	38%	3	14%
Colleagues	74%	169	50%	4	24%
Headquarters	10%	22	25%	2	-15%
The Institute for Water Resources	9%	20	38%	3	-29%
External experts	50%	115	62%	5	-12%

18. In my experience, the following people or entities are helpful resources for working with the media:					
Public Affairs Officer	96%	220	100%	8	-4%
Supervisors	40%	92	38%	3	2%
Colleagues	31%	71	50%	4	-19%
Headquarters	11%	26	12%	1	-1%
The Institute for Water Resources	4%	10	12%	1	-8%
External experts	25%	57	50%	4	-25%

19. In my experience, the following people or entities are helpful resources for coaching on presentations:					
Public Affairs Officer	55%	125	50%	4	5%
Supervisors	71%	162	75%	6	-4%
Colleagues	76%	174	62%	5	14%
Headquarters	9%	21	50%	4	-41%
The Institute for Water Resources	5%	12	25%	2	-20%
External experts	35%	81	50%	4	-15%

20. In my experience, the following people or entities are helpful resources for removing roadblocks to collaboration:

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Public Affairs Officer	25%	57	25%	2	0%
Supervisors	69%	157	50%	4	19%
Colleagues	59%	134	50%	4	9%
Headquarters	24%	55	38%	3	-14%
The Institute for Water Resources	11%	26	25%	2	-14%
External experts	47%	107	62%	5	-15%

21. My past experience using collaborative approaches to water resources planning and management to advance USACE's mission has been positive.					
Strongly disagree	0%	0	12%	1	-12%
Disagree	2%	4	0%	0	2%
Neither agree nor disagree	8%	18	0%	0	8%
Agree	51%	117	25%	2	26%
Strongly agree	33%	77	50%	4	-17%
Not Applicable	3%	7	0%	0	3%
Don't know	3%	7	12%	1	-9%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**2%**	**4**	**12%**	**1**	**-10%**
Agree & strongly disagree	**84%**	**194**	**75%**	**6**	**9%**

22. I see collaboration as a way of getting my work done.					
Strongly disagree	1%	2	0%	0	1%
Disagree	1%	2	0%	0	1%
Neither agree nor disagree	6%	13	0%	0	6%
Agree	43%	100	38%	3	5%
Strongly agree	46%	106	62%	5	-16%
Not Applicable	2%	4	0%	0	2%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**2%**	**4**	**0%**	**0**	**2%**
Agree & strongly disagree	**89%**	**206**	**100%**	**8**	**-11%**

23. I see collaboration as something "extra" I am being asked to do.					
Strongly disagree	24%	56	25%	2	-1%
Disagree	53%	122	50%	4	3%
Neither agree nor disagree	17%	38	25%	2	-8%
Agree	4%	9	0%	0	4%
Strongly agree	0%	1	0%	0	0%
Not Applicable	0%	1	0%	0	0%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**77%**	**178**	**75%**	**6**	**2%**
Agree & strongly disagree	**4%**	**10**	**0%**	**0**	**4%**

24. Overall, we at USACE collaborate well with stakeholders in water resources planning and management to accomplish the USACE mission.					
Strongly disagree	0%	1	0%	0	0%
Disagree	10%	24	12%	1	-2%

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Neither agree nor disagree	20%	45	50%	4	-30%
Agree	51%	118	25%	2	26%
Strongly agree	15%	34	12%	1	3%
Not Applicable	1%	2	0%	0	1%
Don't know	3%	6	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**25**	**12%**	**1**	**-2%**
Agree & strongly disagree	**66%**	**152**	**37%**	**3**	**29%**

25. I believe USACE planners generally try to proactively address stakeholders' needs.					
Strongly disagree	0%	1	0%	0	0%
Disagree	4%	9	0%	0	4%
Neither agree nor disagree	13%	29	0%	0	13%
Agree	58%	134	50%	4	8%
Strongly agree	21%	49	12%	1	9%
Not Applicable	0%	0	0%	0	0%
Don't know	3%	8	38%	3	-35%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**4%**	**10**	**0%**	**0**	**4%**
Agree & strongly disagree	**79%**	**183**	**62%**	**5**	**17%**

26. I believe that, in general, USACE provides stakeholders with adequate access to information we have that is relevant to their work.					
Strongly disagree	1%	2	0%	0	1%
Disagree	9%	20	12%	1	-3%
Neither agree nor disagree	16%	36	0%	0	16%
Agree	60%	138	50%	4	10%
Strongly agree	12%	28	12%	1	0%
Not Applicable	0%	0	0%	0	0%
Don't know	3%	6	25%	2	-22%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**22**	**12%**	**1**	**-2%**
Agree & strongly disagree	**72%**	**166**	**62%**	**5**	**10%**

27. It is my understanding that, on a case-by-case basis, USACE permits participation in shared decision-making processes with stakeholders where appropriate for advancing USACE's mission.					
Strongly disagree	0%	1	0%	0	0%
Disagree	4%	9	0%	0	4%
Neither agree nor disagree	10%	22	25%	2	-15%
Agree	66%	152	38%	3	28%
Strongly agree	13%	31	25%	2	-12%
Not Applicable	0%	1	0%	0	0%
Don't know	6%	14	12%	1	-6%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**4%**	**10**	**0%**	**0**	**4%**
Agree & strongly disagree	**79%**	**183**	**63%**	**5**	**16%**

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
28. I am open to engaging in shared decision making processes where appropriate for advancing the USACE mission as long as I am authorized to do so.					
Strongly disagree	1%	2	0%	0	1%
Disagree	1%	3	0%	0	1%
Neither agree nor disagree	4%	9	0%	0	4%
Agree	53%	121	25%	2	28%
Strongly agree	39%	89	75%	6	-36%
Not Applicable	0%	0	0%	0	0%
Don't know	3%	6	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**2%**	**5**	**0%**	**0**	**2%**
Agree & strongly disagree	**92%**	**210**	**100%**	**8**	**-8%**

29. I feel confident about my knowledge and/or ability to make good judgment calls about how and when to engage in dialogue with stakeholders to help advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	2%	5	0%	0	2%
Neither agree nor disagree	9%	20	12%	1	-3%
Agree	53%	123	38%	3	15%
Strongly agree	32%	74	50%	4	-18%
Not Applicable	2%	5	0%	0	2%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**2%**	**5**	**0%**	**0**	**2%**
Agree & strongly disagree	**85%**	**197**	**88%**	**7**	**-3%**

30. I feel confident about my knowledge and/or ability to figure out how to successfully fund and launch collaborative initiatives.					
Strongly disagree	2%	5	0%	0	2%
Disagree	11%	26	12%	1	-1%
Neither agree nor disagree	21%	49	25%	2	-4%
Agree	45%	104	12%	1	33%
Strongly agree	16%	36	38%	3	-22%
Not Applicable	3%	6	12%	1	-9%
Don't know	2%	4	0%	0	2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**13%**	**31**	**12%**	**1**	**1%**
Agree & strongly disagree	**61%**	**140**	**50%**	**4**	**11%**

31. I feel confident about my knowledge and/or ability to work within USACE's legal, regulatory and policy parameters in collaborating with stakeholders on water resource issues.					
Strongly disagree	0%	0	0%	0	0%
Disagree	10%	22	0%	0	10%
Neither agree nor disagree	10%	23	12%	1	-2%
Agree	56%	129	38%	3	18%
Strongly agree	19%	44	38%	3	-19%
Not Applicable	3%	7	12%	1	-9%
Don't know	2%	5	0%	0	2%
Total	100%	230	100%	8	0%

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Disagree & strongly disagree	**10%**	**22**	**0%**	**0**	**10%**
Agree & strongly disagree	**75%**	**173**	**76%**	**6**	**-1%**

32. I feel confident about my knowledge and/or ability to manage meetings.					
Strongly disagree	0%	0	0%	0	0%
Disagree	2%	5	0%	0	2%
Neither agree nor disagree	7%	15	0%	0	7%
Agree	51%	118	25%	2	26%
Strongly agree	38%	87	75%	6	-37%
Not Applicable	0%	1	0%	0	0%
Don't know	2%	4	0%	0	2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**2%**	**5**	**0%**	**0**	**2%**
Agree & strongly disagree	**89%**	**205**	**100%**	**8**	**-11%**

33. I feel confident about my knowledge and/or ability to listen to stakeholders non-defensively.					
Strongly disagree	0%	0	0%	0	0%
Disagree	0%	1	0%	0	0%
Neither agree nor disagree	3%	7	0%	0	3%
Agree	54%	125	25%	2	29%
Strongly agree	40%	93	75%	6	-35%
Not Applicable	1%	2	0%	0	1%
Don't know	1%	2	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**0%**	**1**	**0%**	**0**	**0%**
Agree & strongly disagree	**94%**	**218**	**100%**	**8**	**-6%**

34. I feel confident about my knowledge and/or ability to design an appropriate public participation, consensus-building, or conflict resolution approach to a specific situation to best advance the USACE mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	10%	24	0%	0	10%
Neither agree nor disagree	19%	44	25%	2	-6%
Agree	47%	107	0%	0	47%
Strongly agree	20%	45	62%	5	-42%
Not Applicable	3%	7	12%	1	-9%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**24**	**0%**	**0**	**10%**
Agree & strongly disagree	**67%**	**152**	**62%**	**5**	**5%**

35. I feel confident about my knowledge and/or ability to establish interpersonal understanding (e.g., to understand emotion, content, underlying issues, and meaning of another's message).					
Strongly disagree	0%	0	0%	0	0%
Disagree	3%	7	0%	0	3%
Neither agree nor disagree	7%	16	0%	0	7%
Agree	59%	136	50%	4	9%
Strongly agree	29%	67	50%	4	-21%

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Not Applicable	1%	3	0%	0	1%
Don't know	0%	1	0%	0	0%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**3%**	**7**	**0%**	**0**	**3%**
Agree & strongly disagree	**88%**	**203**	**100%**	**8**	**-12%**

36. I feel confident about my knowledge and/or ability to work with culturally diverse stakeholder groups.					
Strongly disagree	0%	0	0%	0	0%
Disagree	3%	8	0%	0	3%
Neither agree nor disagree	9%	21	12%	1	-3%
Agree	54%	125	50%	4	4%
Strongly agree	31%	72	38%	3	-7%
Not Applicable	1%	2	0%	0	1%
Don't know	1%	2	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**3%**	**8**	**0%**	**0**	**3%**
Agree & strongly disagree	**85%**	**197**	**88%**	**7**	**-3%**

37. I feel confident about my knowledge and/or ability to bring creativity and innovation to bear in collaborating with stakeholders to advance the USACE mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	4%	9	12%	1	-8%
Neither agree nor disagree	12%	28	12%	1	0%
Agree	53%	123	25%	2	28%
Strongly agree	29%	66	38%	3	-9%
Not Applicable	1%	3	12%	1	-11%
Don't know	0%	1	0%	0	0%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**4%**	**9**	**12%**	**1**	**-8%**
Agree & strongly disagree	**82%**	**189**	**63%**	**5**	**19%**

38. I feel confident about my knowledge and/or ability to obtain data needed to understand and address the issues on the table.					
Strongly disagree	0%	0	0%	0	0%
Disagree	0%	1	0%	0	0%
Neither agree nor disagree	6%	13	12%	1	-6%
Agree	65%	150	38%	3	27%
Strongly agree	27%	61	50%	4	-23%
Not Applicable	1%	2	0%	0	1%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**0%**	**1**	**0%**	**0**	**0%**
Agree & strongly disagree	**92%**	**211**	**88%**	**7**	**4%**

39. I feel confident about my knowledge and/or ability to translate scientific and technical information into lay terms and accessible formats.					
Strongly disagree	0%	0	0%	0	0%

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Disagree	3%	6	0%	0	3%
Neither agree nor disagree	10%	22	0%	0	10%
Agree	56%	128	50%	4	6%
Strongly agree	30%	69	50%	4	-20%
Not Applicable	2%	4	0%	0	2%
Don't know	0%	1	0%	0	0%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**3%**	**6**	**0%**	**0**	**3%**
Agree & strongly disagree	**86%**	**197**	**100%**	**8**	**-14%**

40. I feel confident about my knowledge and/or ability to use collaborative modeling techniques to engage stakeholders, build consensus, and resolve conflict.					
Strongly disagree	2%	5	0%	0	2%
Disagree	19%	44	12%	1	7%
Neither agree nor disagree	30%	68	25%	2	5%
Agree	32%	74	25%	2	7%
Strongly agree	9%	20	25%	2	-16%
Not Applicable	2%	5	12%	1	-10%
Don't know	6%	14	0%	0	6%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**21%**	**49**	**12%**	**1**	**9%**
Agree & strongly disagree	**41%**	**94**	**50%**	**4**	**-9%**

41. I feel confident about my knowledge and/or ability to engage in group problem solving in the context of water resources planning and management (e.g., identifying and analyzing problems; weighing accuracy and relevance of information; generating and evaluating alternative solutions; making recommendations).					
Strongly disagree	0%	0	0%	0	0%
Disagree	6%	13	0%	0	6%
Neither agree nor disagree	12%	27	0%	0	12%
Agree	61%	141	25%	2	36%
Strongly agree	17%	40	62%	5	-45%
Not Applicable	3%	6	12%	1	-9%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**6%**	**13**	**0%**	**0**	**6%**
Agree & strongly disagree	**78%**	**181**	**87%**	**7**	**-9%**

42. I feel confident about my knowledge and/or ability to use negotiation to advance the USACE mission.					
Strongly disagree	0%	1	0%	0	0%
Disagree	6%	13	0%	0	6%
Neither agree nor disagree	20%	46	12%	1	8%
Agree	49%	113	50%	4	-1%
Strongly agree	19%	43	38%	3	-19%
Not Applicable	3%	7	0%	0	3%
Don't know	3%	7	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**6%**	**14**	**0%**	**0**	**6%**

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Agree & strongly disagree	**68%**	**156**	**88%**	**7**	**-20%**

43. I feel confident about my knowledge and/or ability to to use interest-based negotiation (as distinct from positional negotiation).					
Strongly disagree	1%	2	0%	0	1%
Disagree	9%	20	0%	0	9%
Neither agree nor disagree	29%	66	0%	0	29%
Agree	36%	83	50%	4	-14%
Strongly agree	10%	24	38%	3	-28%
Not Applicable	4%	9	0%	0	4%
Don't know	11%	26	12%	1	-1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**22**	**0%**	**0**	**10%**
Agree & strongly disagree	**46%**	**107**	**88%**	**7**	**-42%**

44. I feel confident about my knowledge and/or ability to manage conflict that arises during water resources planning and management.					
Strongly disagree	0%	1	0%	0	0%
Disagree	6%	14	0%	0	6%
Neither agree nor disagree	15%	35	12%	1	3%
Agree	58%	134	38%	3	20%
Strongly agree	14%	33	38%	3	-24%
Not Applicable	3%	7	0%	0	3%
Don't know	3%	6	12%	1	-9%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**6%**	**15**	**0%**	**0**	**6%**
Agree & strongly disagree	**72%**	**167**	**76%**	**6**	**-4%**

45. I feel confident about my knowledge and/or ability to structure agreements that meet all stakeholders' needs.					
Strongly disagree	0%	1	0%	0	0%
Disagree	7%	17	0%	0	7%
Neither agree nor disagree	25%	57	25%	2	0%
Agree	48%	110	38%	3	10%
Strongly agree	12%	28	25%	2	-13%
Not Applicable	4%	10	0%	0	4%
Don't know	3%	7	12%	1	-9%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**7%**	**18**	**0%**	**0**	**7%**
Agree & strongly disagree	**60%**	**138**	**63%**	**5**	**-3%**

46. I feel confident about my ability to collaborate with project sponsors to advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	1%	2	0%	0	1%
Neither agree nor disagree	6%	14	12%	1	-6%
Agree	58%	134	38%	3	20%
Strongly agree	31%	72	38%	3	-7%

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Not Applicable	3%	6	0%	0	3%
Don't know	1%	2	12%	1	-11%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**1%**	**2**	**0%**	**0**	**1%**
Agree & strongly disagree	**89%**	**206**	**76%**	**6**	**13%**

47. I feel confident about my ability to collaborate with non-governmental organizations to advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	1%	2	0%	0	1%
Neither agree nor disagree	12%	27	0%	0	12%
Agree	62%	142	38%	3	24%
Strongly agree	23%	53	62%	5	-39%
Not Applicable	2%	4	0%	0	2%
Don't know	1%	2	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**1%**	**2**	**0%**	**0**	**1%**
Agree & strongly disagree	**85%**	**195**	**100%**	**8**	**-15%**

48. I feel confident about my ability to collaborate with Native American groups to advance USACE's mission.					
Strongly disagree	1%	2	0%	0	1%
Disagree	9%	20	0%	0	9%
Neither agree nor disagree	27%	63	12%	1	15%
Agree	37%	84	62%	5	-25%
Strongly agree	14%	32	25%	2	-11%
Not Applicable	5%	12	0%	0	5%
Don't know	7%	17	0%	0	7%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**22**	**0%**	**0**	**10%**
Agree & strongly disagree	**51%**	**116**	**87%**	**7**	**-36%**

49. I feel confident about my ability to collaborate with other Federal Agencies to advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	1%	3	0%	0	1%
Neither agree nor disagree	7%	16	0%	0	7%
Agree	57%	130	25%	2	32%
Strongly agree	33%	76	75%	6	-42%
Not Applicable	1%	2	0%	0	1%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**1%**	**3**	**0%**	**0**	**1%**
Agree & strongly disagree	**90%**	**206**	**100%**	**8**	**-10%**

50. I feel confident about my ability to collaborate with State governments to advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%

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	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Disagree	1%	2	0%	0	1%
Neither agree nor disagree	10%	23	0%	0	10%
Agree	56%	129	38%	3	18%
Strongly agree	31%	71	50%	4	-19%
Not Applicable	1%	2	12%	1	-11%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**1%**	**2**	**0%**	**0**	**1%**
Agree & strongly disagree	**87%**	**200**	**88%**	**7**	**-1%**

51. I feel confident about my ability to collaborate with local government entities to advance USACE's mission.					
Strongly disagree	0%	0	0%	0	0%
Disagree	1%	3	0%	0	1%
Neither agree nor disagree	10%	24	0%	0	10%
Agree	58%	133	38%	3	20%
Strongly agree	28%	64	50%	4	-22%
Not Applicable	1%	3	12%	1	-11%
Don't know	1%	3	0%	0	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**1%**	**3**	**0%**	**0**	**1%**
Agree & strongly disagree	**86%**	**197**	**88%**	**7**	**-2%**

52. I feel confident about my ability to collaborate with business and industry to advance USACE's mission.					
Strongly disagree	0%	1	0%	0	0%
Disagree	3%	8	0%	0	3%
Neither agree nor disagree	17%	40	0%	0	17%
Agree	56%	128	50%	4	6%
Strongly agree	19%	43	50%	4	-31%
Not Applicable	1%	3	0%	0	1%
Don't know	3%	7	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**3%**	**9**	**0%**	**0**	**3%**
Agree & strongly disagree	**75%**	**171**	**100%**	**8**	**-25%**

53. I feel confident about my ability to collaborate with minority communities to advance USACE's mission.					
Strongly disagree	1%	2	0%	0	1%
Disagree	5%	11	0%	0	5%
Neither agree nor disagree	20%	46	0%	0	20%
Agree	53%	123	88%	7	-35%
Strongly agree	15%	34	12%	1	3%
Not Applicable	2%	5	0%	0	2%
Don't know	4%	9	0%	0	4%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**6%**	**13**	**0%**	**0**	**6%**
Agree & strongly disagree	**68%**	**157**	**100%**	**8**	**-32%**

USACE Institute for Water Resources
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Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
54. I feel confident about my ability to collaborate with labor to advance USACE's mission.					
Strongly disagree	1%	3	0%	0	1%
Disagree	6%	14	0%	0	6%
Neither agree nor disagree	30%	69	25%	2	5%
Agree	37%	86	50%	4	-13%
Strongly agree	9%	21	25%	2	-16%
Not Applicable	5%	12	0%	0	5%
Don't know	11%	25	0%	0	11%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**7%**	**17**	**0%**	**0**	**7%**
Agree & strongly disagree	**46%**	**107**	**75%**	**6**	**-29%**
55. I feel confident about my ability to collaborate with academia to advance USACE's mission.					
Strongly disagree	0%	1	0%	0	0%
Disagree	4%	9	0%	0	4%
Neither agree nor disagree	13%	29	12%	1	1%
Agree	58%	134	38%	3	20%
Strongly agree	20%	46	50%	4	-30%
Not Applicable	1%	3	0%	0	1%
Don't know	3%	8	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**4%**	**10**	**0%**	**0**	**4%**
Agree & strongly disagree	**78%**	**180**	**88%**	**7**	**-10%**
56. USACE's organizational culture supports collaboration with stakeholders on water resource issues.					
Strongly disagree	3%	8	0%	0	3%
Disagree	14%	33	38%	3	-24%
Neither agree nor disagree	15%	35	12%	1	3%
Agree	53%	121	25%	2	28%
Strongly agree	12%	27	12%	1	0%
Not Applicable	1%	3	0%	0	1%
Don't know	1%	3	12%	1	-11%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**17%**	**41**	**38%**	**3**	**-21%**
Agree & strongly disagree	**65%**	**148**	**37%**	**3**	**28%**
57. The success of USACE's mission depends on working effectively with stakeholders.					
Strongly disagree	0%	0	0%	0	0%
Disagree	0%	0	0%	0	0%
Neither agree nor disagree	3%	7	0%	0	3%
Agree	30%	70	25%	2	5%
Strongly agree	65%	150	75%	6	-10%
Not Applicable	1%	2	0%	0	1%
Don't know	0%	1	0%	0	0%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**0%**	**0**	**0%**	**0**	**0%**
Agree & strongly disagree	**95%**	**220**	**100%**	**8**	**-5%**

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Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ

All Division Resondents:

58. I have access to the following types of expertise as needed to enable me to use collaborative strategies effectively in pursuit of USACE's mission:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	N/A	Don't know
Technical & scientific expertise	0	4	12	120	86	4	4
	0%	2%	5%	52%	37%	2%	2%
Process expertise (e.g., facilitation, mediation, etc.)	3	31	54	93	35	5	9
	1%	13%	23%	40%	15%	2%	4%
Legal expertise	0	11	22	122	65	5	5
	0%	5%	10%	53%	28%	2%	2%

All HQ Resondents:

58. I have access to the following types of expertise as needed to enable me to use collaborative strategies effectively in pursuit of USACE's mission:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
Technical & scientific expertise	0	0	0	3	5	0	0
	0%	0%	0%	38%	62%	0%	0%
Process expertise (e.g., facilitation, mediation, etc.)	0	1	1	4	2	0	0
	0%	12%	12%	50%	25%	0%	0%
Legal expertise	0	0	0	4	4	0	0
	0%	0%	0%	50%	50%	0%	0%

All Division Respondents:

59. When collaborating with stakeholders on water resource planning and management, I generally have:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	N/A	Don't know
enough time to effectively engage in collaboration.	7	39	71	87	11	12	3
	3%	17%	31%	38%	5%	5%	1%
sufficient funds to collaborate effectively (e.g., for travel, facilitators, technical consultants, etc.).	17	64	58	63	8	15	5
	7%	28%	25%	27%	3%	7%	2%

All HQ Respondents:

59. When collaborating with stakeholders on water resource planning and management, I generally have:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
enough time to effectively engage in collaboration.	0	0	3	2	2	1	0

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ		
enough time to effectively engage in collaboration.	0%	0%	38%	25%	25%	12%	0%
sufficient funds to collaborate effectively (e.g., for travel, facilitators, technical consultants, etc.).	0	2	1	3	1	1	0
	0%	25%	12%	38%	12%	12%	0%

60. I know where to find case studies, practical guidelines, and other resources on how to effectively use collaborative approaches to water resource planning and management to advance the USACE mission.					
Strongly disagree	3%	7	0%	0	3%
Disagree	29%	66	25%	2	4%
Neither agree nor disagree	25%	57	12%	1	13%
Agree	28%	64	38%	3	-10%
Strongly agree	8%	19	12%	1	-4%
Not Applicable	4%	10	12%	1	-8%
Don't know	3%	7	0%	0	3%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**32%**	**73**	**25%**	**2**	**7%**
Agree & strongly disagree	**36%**	**83**	**50%**	**4**	**-14%**

61. I know how to find out about others' experiences with collaborative water resources planning and management processes so that I can build on their insights.					
Strongly disagree	2%	5	0%	0	2%
Disagree	25%	57	12%	1	13%
Neither agree nor disagree	26%	59	12%	1	14%
Agree	33%	75	50%	4	-17%
Strongly agree	10%	22	25%	2	-15%
Not Applicable	3%	7	0%	0	3%
Don't know	2%	5	0%	0	2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**27%**	**62**	**12%**	**1**	**15%**
Agree & strongly disagree	**43%**	**97**	**75%**	**6**	**-32%**

62. I have had training on (please check all that apply)					
Collaborative leadership;	39%	80	75%	6	-36%
How to assess the legal, political, and practical feasibility of using a collaborative approach for a particular issue to advance USACE's mission;	10%	20	38%	3	-28%
Consensus-building or collaboration as a tool for addressing water resource and planning issues;	36%	74	62%	5	-26%
Public participation approaches;	56%	116	62%	5	-6%
Dispute resolution;	58%	121	62%	5	-4%
Working with multi-disciplinary teams;	70%	145	75%	6	-5%
Communications;	87%	180	88%	7	-1%
Working effectively across cultural, racial, class, or other identity group differences in the process of carrying out the USACE mission in the water resources arena;	31%	64	50%	4	-19%
Working effectively with indigenous Americans in the process of carrying out the USACE mission in the water resources arena, including how to conduct formal government-to-government consultations.	22%	46	25%	2	-3%

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	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
63. I would like to have training on (please check all that apply)					
Collaborative leadership;	65%	125	60%	3	5%
How to assess the legal, political, and practical feasibility of using a collaborative approach for a particular issue to advance USACE's mission;	64%	122	80%	4	-16%
Consensus-building or collaboration as a tool for addressing water resources and planning issues;	51%	98	60%	3	-9%
Public participation approaches;	36%	70	40%	2	-4%
Dispute resolution;	42%	81	40%	2	2%
Working with multi-disciplinary teams;	23%	45	20%	1	3%
Communications;	20%	39	20%	1	0%
Working effectively across cultural, racial, class, or other identity group differences in the process of carrying out the USACE mission in the water resources arena;	51%	98	20%	1	31%
Working effectively with indigenous Americans in the process of carrying out the USACE mission in the water resources arena, including how to conduct formal government-to-government consultations.	47%	90	40%	2	7%
64. USACE leaders support us in collaborating with stakeholders on water resource issues as a strategy for implementing the USACE mission.					
Strongly disagree	2%	4	0%	0	2%
Disagree	6%	13	12%	1	-6%
Neither agree nor disagree	15%	35	25%	2	-10%
Agree	58%	134	25%	2	33%
Strongly agree	16%	36	38%	3	-22%
Not Applicable	1%	3	0%	0	1%
Don't know	2%	5	0%	0	2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**8%**	**17**	**12%**	**1**	**-4%**
Agree & strongly disagree	**74%**	**170**	**63%**	**5**	**11%**
65. USACE leaders work productively with leaders of stakeholder organizations to improve collaboration, find synergy and maximize results that advance USACE's mission.					
Strongly disagree	2%	5	0%	0	2%
Disagree	8%	18	25%	2	-17%
Neither agree nor disagree	22%	51	12%	1	10%
Agree	50%	115	38%	3	12%
Strongly agree	10%	23	25%	2	-15%
Not Applicable	0%	0	0%	0	0%
Don't know	8%	18	0%	0	8%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**10%**	**23**	**25%**	**2**	**-15%**
Agree & strongly disagree	**60%**	**138**	**63%**	**5**	**-3%**
66. USACE leaders are effective at coordinating internally so that USACE representatives in collaborative processes speak with one voice on behalf of USACE.					
Strongly disagree	7%	15	0%	0	7%

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	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Disagree	22%	50	38%	3	-16%
Neither agree nor disagree	34%	78	25%	2	9%
Agree	30%	69	25%	2	5%
Strongly agree	6%	13	12%	1	-6%
Not Applicable	0%	1	0%	0	0%
Don't know	2%	4	0%	0	2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**29%**	**65**	**38%**	**3**	**-9%**
Agree & strongly disagree	**36%**	**82**	**37%**	**3**	**-1%**

67. Conflicting USACE policies make collaboration difficult.					
Strongly disagree	1%	3	12%	1	-11%
Disagree	10%	22	12%	1	-2%
Neither agree nor disagree	31%	71	38%	3	-7%
Agree	36%	83	38%	3	-2%
Strongly agree	14%	32	0%	0	14%
Not Applicable	1%	2	0%	0	1%
Don't know	7%	17	0%	0	7%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**11%**	**25**	**24%**	**2**	**-13%**
Agree & strongly disagree	**50%**	**115**	**38%**	**3**	**12%**

68. Laws under which USACE operates make it difficult to use collaborative approaches to water resource planning and management to advance USACE's mission.					
Strongly disagree	1%	2	12%	1	-11%
Disagree	14%	32	12%	1	2%
Neither agree nor disagree	32%	74	0%	0	32%
Agree	35%	80	75%	6	-40%
Strongly agree	7%	17	0%	0	7%
Not Applicable	1%	3	0%	0	1%
Don't know	10%	22	0%	0	10%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**15%**	**34**	**24%**	**2**	**-9%**
Agree & strongly disagree	**42%**	**97**	**75%**	**6**	**-33%**

69. Staff turnover, transfers, or rotations within USACE make collaboration difficult.					
Strongly disagree	1%	3	0%	0	1%
Disagree	13%	30	25%	2	-12%
Neither agree nor disagree	25%	58	25%	2	0%
Agree	43%	99	38%	3	5%
Strongly agree	12%	28	0%	0	12%
Not Applicable	0%	1	0%	0	0%
Don't know	5%	11	12%	1	-7%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**14%**	**33**	**25%**	**2**	**-11%**
Agree & strongly disagree	**55%**	**127**	**38%**	**3**	**17%**

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Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
70. It is more difficult to participate in collaborative water resource planning and management processes if USACE is not the lead.					
Strongly disagree	2%	4	0%	0	2%
Disagree	24%	55	38%	3	-14%
Neither agree nor disagree	34%	79	25%	2	9%
Agree	24%	55	25%	2	-1%
Strongly agree	5%	11	0%	0	5%
Not Applicable	1%	2	0%	0	1%
Don't know	10%	24	12%	1	-2%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**26%**	**59**	**38%**	**3**	**-12%**
Agree & strongly disagree	**29%**	**66**	**25%**	**2**	**4%**

71. The difference in missions among various federal agencies has been an impediment to collaboration.					
Strongly disagree	1%	3	0%	0	1%
Disagree	19%	43	12%	1	7%
Neither agree nor disagree	27%	62	25%	2	2%
Agree	35%	81	38%	3	-3%
Strongly agree	9%	20	25%	2	-16%
Not Applicable	1%	2	0%	0	1%
Don't know	8%	19	0%	0	8%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**20%**	**46**	**12%**	**1**	**8%**
Agree & strongly disagree	**44%**	**101**	**63%**	**5**	**-19%**

72. Stakeholder perceptions of USACE are an obstacle to collaboration.					
Strongly disagree	1%	3	0%	0	1%
Disagree	13%	31	38%	3	-25%
Neither agree nor disagree	28%	64	0%	0	28%
Agree	42%	96	62%	5	-20%
Strongly agree	10%	22	0%	0	10%
Not Applicable	0%	1	0%	0	0%
Don't know	6%	13	0%	0	6%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**14%**	**34**	**38%**	**3**	**-24%**
Agree & strongly disagree	**52%**	**118**	**62%**	**5**	**-10%**

73. I have encountered significant challenges in collaborating with project sponsors.					
Strongly disagree	1%	3	0%	0	1%
Disagree	23%	53	25%	2	-2%
Neither agree nor disagree	32%	74	25%	2	7%
Agree	24%	56	12%	1	12%
Strongly agree	7%	17	0%	0	7%
Not Applicable	7%	15	25%	2	-18%
Don't know	5%	12	12%	1	-7%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**24%**	**56**	**25%**	**2**	**-1%**
Agree & strongly disagree	**31%**	**73**	**12%**	**1**	**19%**

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
74. USACE's focus on collaboration with project sponsors sometimes eclipses the need to collaborate with other stakeholders.					
Strongly disagree	1%	3	0%	0	1%
Disagree	10%	22	25%	2	-15%
Neither agree nor disagree	32%	74	0%	0	32%
Agree	34%	79	38%	3	-4%
Strongly agree	10%	22	12%	1	-2%
Not Applicable	1%	3	12%	1	-11%
Don't know	12%	27	12%	1	0%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**11%**	**25**	**25%**	**2**	**-14%**
Agree & strongly disagree	**44%**	**101**	**50%**	**4**	**-6%**
75. USACE's institutional procedures (e.g., contracting, performance evaluation, promotions, etc.) support collaboration with stakeholders on water resource issues.					
Strongly disagree	6%	13	0%	0	6%
Disagree	25%	58	12%	1	13%
Neither agree nor disagree	34%	78	50%	4	-16%
Agree	22%	50	12%	1	10%
Strongly agree	1%	3	0%	0	1%
Not Applicable	2%	4	0%	0	2%
Don't know	10%	24	25%	2	-15%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**31%**	**71**	**12%**	**1**	**19%**
Agree & strongly disagree	**23%**	**53**	**12%**	**1**	**11%**
76. USACE rewards employees for participating in collaborative activities that further its mission.					
Strongly disagree	6%	14	0%	0	6%
Disagree	13%	30	25%	2	-12%
Neither agree nor disagree	35%	81	38%	3	-3%
Agree	30%	68	25%	2	5%
Strongly agree	3%	6	0%	0	3%
Not Applicable	0%	1	0%	0	0%
Don't know	13%	30	12%	1	1%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**19%**	**44**	**25%**	**2**	**-6%**
Agree & strongly disagree	**33%**	**74**	**25%**	**2**	**8%**
77. We at USACE generally do a good job of considering stakeholder input and using it where appropriate in water resource planning and management decisions.					
Strongly disagree	1%	2	0%	0	1%
Disagree	13%	31	0%	0	13%
Neither agree nor disagree	14%	32	25%	2	-11%
Agree	60%	139	75%	6	-15%
Strongly agree	6%	14	0%	0	6%
Not Applicable	0%	1	0%	0	0%
Don't know	5%	11	0%	0	5%

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**14%**	**33**	**0%**	**0**	**14%**
Agree & strongly disagree	**66%**	**153**	**75%**	**6**	**-9%**

78. We at USACE generally do a good job of letting stakeholders know how their input has been incorporated into water resource planning and management decisions and where it was not used, explaining why.					
Strongly disagree	3%	7	0%	0	3%
Disagree	24%	56	25%	2	-1%
Neither agree nor disagree	22%	50	12%	1	10%
Agree	39%	90	62%	5	-23%
Strongly agree	3%	7	0%	0	3%
Not Applicable	0%	1	0%	0	0%
Don't know	8%	19	0%	0	8%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**27%**	**63**	**25%**	**2**	**2%**
Agree & strongly disagree	**42%**	**97**	**62%**	**5**	**-20%**

79. I get the right balance of guidance and flexibility from Headquarters for use of collaborative strategies to advance the USACE mission.					
Strongly disagree	5%	11	0%	0	5%
Disagree	25%	57	25%	2	0%
Neither agree nor disagree	39%	89	38%	3	1%
Agree	16%	37	25%	2	-9%
Strongly agree	0%	1	0%	0	0%
Not Applicable	6%	14	12%	1	-6%
Don't know	9%	21	0%	0	9%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**30%**	**68**	**25%**	**2**	**5%**
Agree & strongly disagree	**16%**	**38**	**25%**	**2**	**-9%**

80. I know how to structure funding for multi-year collaborative process involving both Federal and non-Federal funding sources.					
Strongly disagree	5%	12	0%	0	5%
Disagree	37%	84	38%	3	-1%
Neither agree nor disagree	21%	49	25%	2	-4%
Agree	20%	45	12%	1	8%
Strongly agree	2%	5	0%	0	2%
Not Applicable	7%	16	25%	2	-18%
Don't know	8%	19	0%	0	8%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**42%**	**96**	**38%**	**3**	**4%**
Agree & strongly disagree	**22%**	**50**	**12%**	**1**	**10%**

81. I am aware of ways in which USACE can help fund stakeholders' participation in collaborative processes.					
Strongly disagree	7%	16	0%	0	7%
Disagree	43%	100	50%	4	-7%

USACE Institute for Water Resources
Collaborative Capacity Assessment Tool
Results for All Divisions and Heaquarters

	All Div %	All Div #	HQ %	HQ #	Diff betwn Div and HQ
Neither agree nor disagree	17%	39	12%	1	5%
Agree	17%	38	25%	2	-8%
Strongly agree	1%	2	0%	0	1%
Not Applicable	3%	6	12%	1	-9%
Don't know	13%	29	0%	0	13%
Total	100%	230	100%	8	0%
Disagree & strongly disagree	**50%**	**116**	**50%**	**4**	**0%**
Agree & strongly disagree	**18%**	**40**	**25%**	**2**	**-7%**

All Division Respondents:

82. My Division evaluates our collaborative processes using:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	N/A	Don't know
quantitative methods.	14	36	41	29	7	5	98
	6%	16%	18%	13%	3%	2%	43%
qualitative methods.	11	29	41	41	7	5	96
	5%	13%	18%	18%	3%	2%	42%

Al HQ Respondents:

82. My Division evaluates our collaborative processes using:							
Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not Applicable	Don't know
quantitative methods.	1	1	0	2	0	3	1
	12%	12%	0%	25%	0%	38%	12%
qualitative methods.	0	1	0	3	0	3	1
	0%	12%	0%	38%	0%	38%	12%

84. I completed this assessment in support of the workshop being held in the following USACE Division:				
a) LRD	9%	21	0%	0
b) MVD	22%	50	0%	0
c) POD	16%	36	0%	0
d) NAD	8%	18	0%	0
e) NWD	15%	35	0%	0
f) SAD	13%	30	0%	0
g) SPD	6%	14	0%	0
h) SWD	11%	26	0%	0
i) Headquarters			100%	8
Total	100%	230	100%	8

INSTITUTIONAL BARRIERS TO IMPLEMENTING COLLABORATIVE PLANNING

Submitted to the
INSTITUTE FOR WATER RESOURCES

by

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Under subcontract to
CDM
Chantilly, VA

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Executive Summary
INSTITUTIONAL BARRIERS TO IMPLEMENTING COLLABORATIVE PLANNING

This report describes the perceptions of Corps of Engineers (Corps) project managers and external planners working collaboratively with the Corps about the institutional barriers to implementing collaborative planning. These perceptions were reported in a limited survey, a series of interviews with Corps of Engineers project managers currently managing collaborative planning studies, and interviews and a workshop with external planners engaged in collaborative planning with the Corps.

This is the second of two reports on collaborative planning. During the course of the first study,[1] project managers reported that there were institutional barriers that made collaborative planning challenging. This second study endeavors to characterize those institutional barriers.

Even though some of the perceived barriers described by project managers are not entirely or even largely within the control of the Corps of Engineers, this report is intended to stimulate further discussion within the Corps about things the Corps can do to remove or minimize institutional impediments to collaborative planning.

INSTITUTIONAL BARRIERS IDENTIFIED BY CORPS PROJECT MANAGERS

Planning project managers were asked to respond to an Internet-based questionnaire (Appendix 1) which asked them questions about their training and experience, then raised questions about possible barriers. Response to the questionnaire was voluntary. Only 10 project managers chose to respond. This meant that the number of subjects was too low to draw many significant conclusions. The only results that appeared conclusive were:

- Two-thirds of the respondents agreed with the statement: “Collaborative planning has been proven to be very valuable and more than justified the added time and expense.”
- Nearly two-thirds of the respondents report that “I did not receive training on how to conduct collaborative planning processes but feel comfortable that I have the skills to do so”.
- Sixty percent of the respondents mentioned “increased likelihood of implementation” as the primary motivator to engage in collaborative planning, and 50% mentioned “resolution of disputes between agencies”

[1] Creighton and Pugh, Collaborative Planning in Action, IWR Report. Available at http://www.sharedvisionplanning.us/CPToolkit/Documents/Collaborative%20Planning%20in%20Action.pdf.

- 70% mentioned “lack of funds” as a barrier to collaborative planning, and 50% mentioned “time pressures” and “cost sharing”

The second step in the study was a series of interviews with Corps project managers. A total of 12 project managers were interviewed by telephone. The barriers identified in the interviews were:

- Funding cycle/uncertainty of funding, leading to these problems:
  - *Compression of planning period/difficulties re-mobilizing staff*
  - *Difficulties using other Corps staff resources*
  - *Impact on staff morale*
  - *Collaborative activities get minimized*
  - *Difficulty managing local sponsors’ expectation*
  - *Failure to follow project management plans*
  - *Corps perceived as unreliable*
  - *Each year treated as an exception*
- Need to provide for multiple sponsors/acceptance of non-Federal money
- Duration/lengthy projects
- Dominance of Federal regulations
- Conflicting missions of agencies/engineers working with scientists
- Educating non-Federal participants about Federal rules & regulations
- Need for different funding mechanisms for watershed studies
- Need for a specific authority for watershed planning
- Need for simultaneous authorization and funding of all Federal agencies
- Complying with P2 system uses up substantial time that could be spent in collaboration while providing little or no value-added for project manager
- Cap on continuing authorities
- Inability to issue contracts without all money in hand
- Inability to participate in activities that would lead to cooperative projects
- Inability to fund state participation
- Constraints of the Federal Advisory Committee Act
- Delays in responses from HQ
- Need for mentoring

INSTITUTIONAL BARRIERS IDENTIFIED IN THE HARRIS COUNTY CASE

The Harris County flood damage reduction projects considered for this study are unique because they are the first Corps projects where the local sponsor, not the Corps, took the lead in planning, designing and constructing three projects, obtaining reimbursement from the Corps for the 50% federal share.

The institutional barriers identified in the Harris County projects included

- Too many restrictive Corps procedures
- Congressional authorization not secure
- Financial capability of the local sponsor
- Policies and procedures were not defined
- Resistance due to fear of loss of planning staff
- Education of local sponsor
- Education of external consultants

INSTITUTIONAL BARRIERS IDENTIFIED BY EXTERNAL PLANNERS

While the local planners in the external workshop were generally supportive of collaborative planning, they weren't just interested in being collaborative. They wanted collaborative planning that will lead to a regional planning approach that integrates habitat conservation planning and wetlands planning. As a result, the institutional barriers they identified were not just barriers to collaborative planning, but specifically to collaborative planning in the context of this regional approach. Some of the barriers they identified included:

- Constraints of the Clean Water Act
- Need for formal guidance
- Possible need for a new kind of General Permit
- Staffing constraints

RECOMMENDED ACTIONS

Among the recommendations made based on the results of this study are:

- Conduct a formal assessment of the need for training in collaborative planning by present and future project managers
- Inform planners that they need to include adequate budget for collaborative planning activities in their initial cost estimates for planning studies
- Assess whether there are mechanisms for simplifying involvement of multiple non-Federal sponsors in a single study

- Devise mechanisms by which non-Federal entities can contribute to study programs without assuming liability for other sponsors
- Develop information materials – possibly web-based – to help non-Federal sponsors understand and access Federal rules and regulations
- Encourage development of continuing relationships with staff from other agencies.

o Allocate funds for participation in pre-study meetings with other agencies.

INSTITUTIONAL BARRIERS TO IMPLEMENTING COLLABORATIVE PLANNING

Section 1
BACKGROUND

This is the second of two reports on collaborative planning. The first report, "Collaborative Planning in Action,"[2] described nine Corps collaborative planning studies, with an emphasis on the collaboration process. In the course of this initial study, project managers occasionally reported that there were institutional barriers that made collaborative planning challenging. This second study endeavors to describe those institutional barriers, as perceived by: (1) project managers, and (2) planners representing local agencies who partner with the Corps on watershed protection, habitat and conservation programs.

This report is intended to stimulate further discussion within the Corps about whether there are things the Corps can do to remove or minimize institutional impediments to collaborative planning.

Some of the perceived barriers are not entirely or even largely within the control of the Corps of Engineers. Some would require changes by either the Office of Management and Budget or the U.S. Congress, or both. There may well be no solutions within the Corps' power to solve these problems, but they do help understand the context in which collaborative planning occurs.

Section 2
METHODOLOGY

This study was sponsored by the Army Corps of Engineers Institute for Water Resources. Mr. Darrell Nolton, of IWR, served as the project manager. Dr. Jim Creighton, Creighton & Creighton, Inc., conducted the study under Mr. Nolton's direction.

Information for this report was gathered in several ways. Initially a questionnaire developed by Creighton was distributed by the Corps Planning Community of Practice to project managers within the Corps. Completion of the questionnaire was voluntary, and participation was low (10 responses).

Knowing that the number of responses to the questionnaire was too small to draw many valid conclusions, the Corps identified individual project managers who had managed, or were in the process of managing, major collaborative planning efforts. A number of these project managers were working on studies related to watershed planning and ecosystem restoration, areas of planning

[2] Creighton and Pugh, Collaborative Planning in Action, IWR Report available at http://www.sharedvisionplanning.us/CPToolkit/Documents/Collaborative%20Planning%20in%20Action.pdf.

where collaborative planning is of particular importance. Creighton conducted in-depth interviews with twelve of these project managers.

One case involving the Harris County Flood Control District was identified as of particular interest. This case involves a "role reversal" from how the Corps normally works with local sponsors. The Water Resources Development Act of 1996, Section 211 (f), authorizes local sponsors to both plan and construct flood control projects, and – assuming they comply with Corps requirements – request reimbursement for the federal share of the costs of planning and construction. The Harris County Flood Control District was the first local sponsor to complete a project utilizing this authority. To document this case, Creighton interviewed both the project manager for the flood control district, and the project manager for the Corps District.

Finally, a workshop was held with a group of local planning officials in California who had extensive interaction with the Corps while developing regional plans for habitat conservation and protection of aquatic resources. During the workshop it became apparent that participants' interactions with the Corps were much more with the Regulatory Branch of the Corps than the Corps Planning Branch. The workshop did clarify that collaborative planning in the Corps is not limited to planning studies. The workshop provided a fascinating glimpse into the impact the Corps regulatory program has on local government planning processes.

Because all of the participating planners were from Northern California and their interactions with the Corps involve only two Corps Districts and one Division, there are limits to how much their perceptions can be generalized nationally. While the information received in the workshop has significant value, it does not answer the question of how local planners perceive the process of working collaboratively on Corps planning studies. Perhaps this can be the topic of a follow-up study.

Section 3
RESPONSES TO QUESTIONNAIRE

As part of the present research, planning study project managers were asked to respond to an Internet-based questionnaire (Appendix 1) which asked them questions about their training and experience, then raised questions about possible barriers. Response to the questionnaire was voluntary. Unfortunately, only 10 project managers chose to respond. This meant that the number of subjects was too low to draw many significant conclusions. The only results that appeared conclusive were:

- Two-thirds of the respondents agreed with the statement "Collaborative planning has been proven to be very valuable and more than justified the added time and experience"

- Nearly two-thirds of the respondents report that "I did not receive training on how to conduct collaborative planning processes but feel comfortable that I have the skills to do so.
- Sixty percent of the respondents mentioned "increased likelihood of implementation" as the primary motivator to engage in collaborative planning, and 50% mentioned "resolution of disputes between agencies"
- 70% mentioned "lack of funds" as a barrier to collaborative planning, and 50% mentioned "time pressures" and "cost sharing"

Section 4
INSTITUTIONAL BARRIERS IDENTIFIED IN INTERVIEWS

The second step in the study was a series of interviews with Corps planning study project managers. Interviews were scheduled first with the project managers who had participated in the Collaborative Planning in Action study.[3] The list was then broadened to include project managers leading five major watershed studies. A total of 12 project managers were interviewed by telephone. Each interview lasted approximately 30 minutes.

Below is a summary of the major institutional barriers reported by project managers during the interviews. The order in which they are presented corresponds roughly with how frequently barriers were mentioned.

The barriers identified in the interviews were:

Funding Cycle/Uncertainty of Funding

In recent years Congress has been unable to agree on a budget by the beginning of the fiscal year. Instead, agencies must proceed based on funding in continuing resolutions.

Compression of Planning Period/Difficulties Re-Mobilizing Staff

Project managers reported that they don't receive study funds, or even know how much money will be available, until as much as six months into the fiscal year. There are really two inter-related problems:

(1) They don't know when they'll get the money, and

(2) They can't anticipate how much money they will receive.

This poses a problem for all planners, but the negative impacts are magnified for planners conducting collaborative planning studies.

[3] Creighton and Pugh, **Collaborative Planning in Action**, IWR, 2007.

Project managers report that they have received funding as late as April. During the period between October 1 (the beginning of the Fiscal Year) and April, they are not able to utilize all their internal resources. Corps staff move on to other projects and activities that have funding. Then when the money arrives, there's a mad rush to expend the money, with difficulties re-mobilizing staff who've become involved on other projects. An added complication is that this rush comes during summer months when many staff want to take vacations with their families.

Difficulties Using Other Corps Resources

This rush to get the work done also makes it difficult to use Corps internal resources, such as hydrology or hydrologic engineering. These branches may not be able to do the work within the compressed schedule, particularly since all the planning studies are being done within this same compressed schedule. So there is some incentive to contract out the work – even though Corps staff are as or more competent – because once the contract is issued, the contractor can work throughout the year.

Impact on Staff Morale

The unpredictability creates a stop/start/stop cycle that makes it extremely difficult to maintain the momentum of a project. It's beginning to have a definite impact on staff morale.

Collaborative Activities Get Minimized

Because everything is compressed into a very tight time period, it is difficult to sustain the collaborative process even during times when there is funding. When funding is constrained, there's a tendency to do the bare minimum to keep the study going, forgetting or skipping over some of the consultative and participatory activities. When money is available, project managers are trying to complete several studies in a compressed time period, and it is difficult to sustain all the needed consultation.

Difficulty Managing Local Sponsors' Expectation

It's difficult to manage local sponsors' expectations due to the stop/start/stop cycle, but the complexity is magnified many times when dealing with multiple local sponsors. Each one has its own budget cycle to deal with, and sometimes local sponsors lose interest due to Corps inactivity.

Failure to Follow Project Management Plans

Because the availability of amount of money is unpredictable, it becomes very difficult to follow the project management plans as originally developed. Instead of being driven by planning logic, decisions about

which parts of projects to complete are driven by when the money arrives.[4]

Corps Perceived as "Not a reliable" partner

Sponsors may also feel resentful that they have been asked to make a firm commitment of funds, and in some cases they have expended considerable energy lobbying Congress, only to find that the study is not funded for the next year. This problem is exacerbated by the Corps performance budgeting process which requires projects to re-compete each year for funding. A project manager for a 3-5 year planning study cannot guarantee that the funding will be there after the first year.

In fact project managers report that while the Corps does many things to protect against unreliable local sponsors, it is now the Corps that is the unreliable partner. This does not bode well for the willingness of local sponsors to enter into projects with the Corps.

Some of the larger projects that enjoy strong Congressional support, such as the Everglades Restoration Project or Poplar Island, are able to smooth out the cycle because the local sponsor has the resources to continue some of the activities. This holds some risks for the local sponsor, in case the funds don't come eventually. This has also created imbalances – in one case the sponsor has now put in 75%, and the Corps 25%, on a supposed 50/50 project.

The biggest problems are being experienced by mid-size multiple-year projects that do not enjoy high political visibility. They experience major challenges holding the support of sponsors.

Each Year Treated as an Exception

Project managers understand that much of this is driven by Congress. But the Corps has responded as if each year is an exception and things will get back to normal sometime in the future. It may be time to anticipate these delays and find some way internally to improve the timing and allocation of funds.

Provision for Multiple Sponsors/Acceptance of Non-Federal Money

Project managers report that Corps procedures make it extremely difficult to include more than one local sponsor in a study, despite the fact that the logic of the project often makes it highly desirable to have multiple sponsors. Project managers say there is a clear preference from HQ (apparently for legal reasons) for a single sponsor. This forces one of the sponsors to pull together all the other sponsors, which undercuts the Corps' supposed role in facilitating the process.

[4] A problem that was also identified in the retrospective study of the problems during Hurricane Katrina.

HQ will, on occasion, approve an agreement with multiple sponsors. But the approval process takes many months, by which time the enthusiasm of the local sponsors may have waned. As project managers see it, it is hard enough to bring together all the local sponsors, but when the Corps puts impediments in the way of their participation, it puts a very heavy burden on project managers.

One of the major impediments is a requirement that all the local sponsors guarantee the funds from the other sponsors, in case some sponsors drop out. For many local sponsors this represents an unreasonable level of risk. They see these contracts as putting all the risk on the local sponsors, with little risk shared by the Corps. Local sponsors say it seems very one-sided.

Other project managers argue that there should be some mechanism for local sponsors to contribute money without making the level of commitment that the present MOUs require. Not all local sponsors have to contribute equally, and the Corps needs to create mechanisms for accepting money, not turn it away.

Duration/Lengthy Projects

Project managers report that the number of years it takes from inception to construction of a Corps project makes it difficult to hang on to local sponsors for the duration of the project. Some projects take as much as 30 years from initial studies to construction, and Corps employees joke about "making a career" out of projects.

During this lengthy process, local sponsors are experiencing changing administrations. The support of local sponsors may wax and wane with each new administration. The longer the process, the harder it is for the project manager to hold together the coalition of sponsors.

Can Other Organizations Do it Faster?

It's important to note that when the Harris County Flood Control District went ahead on its own -- in consultation with the Corps -- then sought reimbursement from the Corps for the federal share, it had to follow Corps procedures. They found that, using Corps procedures, it took as long for them to complete the planning process as it did the Corps. The only difference was that they were able to proceed with the project directly upon completion of the planning studies, without waiting for Congressional authorization.

Dominance of Federal Regulations

Local sponsors complain that while they are supposedly entering into a genuine partnership with the Corps, there is complete dominance of Corps rules and procedures in implementing the study, even when the local sponsor has different procedures and could complete projects in a more expeditious manner. Numerous requirements, such as Davis-Bacon, are imposed on any work done by the local sponsor. As some of the sponsors

see it, the Corps is asking them to be a partner, but then as partners they have no say on how the work is done.

This same issue prevailed on the Harris County projects where the Flood Control District, proceeding under WRDA 1996 Section 211 (f) authority, did the planning and construction of projects. They were required to comply with all Corps regulations and standards, rather than doing the work as they would normally.

Conflicting Missions of Agencies/Engineers Working with Scientists

While they don't seem to expect a solution anytime soon, project managers report that one of the barriers to collaboration is the problem of working with other agencies, including other federal agencies, that have different or apparently conflicting missions. In particular there are problems working with single-mission agencies, while the Corps sees itself as having responsibilities to meet multiple objectives, or serve the entire public not just those concerned with a single purpose.

Another variation of this problem is getting engineers and scientists (usually involved in habitat and wildlife biology issues) to work together. Engineers have difficulty coping with all the uncertainties of biological science, and scientists – project managers believe -- have little understanding of the consequences of what they are asking for to protect habitat in terms of cost or impact. Project managers report that as engineers and scientists work together they are often able to bridge these differences. There's little doubt that developing and maintaining continuing relationships and communication, both between agencies and between disciplines, makes it easier to work together.

Educating Non-Federal Participants about Federal Rules & Regulations

One of the challenges that project managers report is educating non-federal partners about all the laws, rules, regulations, and standards within which the federal agencies must work. Harris County, for example, reported it took almost two years to master all the Federal requirements. This problem is not limited to the Corps, but applies equally to the other federal agencies such as EPA, Park Service, Forest Service, Fish and Wildlife Service, etc.

Although this problem is inherent in the situation, there were suggestions that maybe some tools could be developed that would make it easier for non-federal partners to acquire this information.

Funding Mechanisms for Watershed Studies

Project managers reported several problems with current funding mechanisms for watershed studies. In the past, the logic of non-Federal sponsorship was to seek out a partner who would provide 50% funding for the study. But project managers report that this model does not fit watershed studies. In watershed studies that are numerous actors, few of whom receive enough benefit from the study to feel it appropriate to bear a share of the 50% non-Federal cost. Also, the size of watershed studies means that few non-Federal sponsors can absorb the costs involved. Efforts to create pools of money from multiple sponsors are frustrated by the constraints – described above – that make it difficult to accept funds from multiple sponsors.

There were also suggestions that watershed reconnaissance studies require a different cap than normal reconnaissance studies. The typical Corps reconnaissance study is capped at $100,000. Some project managers believe that a watershed reconnaissance study should receive $500,000 or more.

Funding for Watershed Planning

Several project managers suggested that the Corps has almost no capacity to work on watershed plans due to the way Corps projects are funded. One of the significant differences with a watershed study is that they are much more exploratory, with little certainty as to the kind of proposed actions that will result. Also, implementation of a watershed plan is far more likely to involve actions by many agencies, federal, state and local. The Corps may or may not be a major actor in implementation.

Simultaneous Authorization and Funding of All Federal Agencies

Watershed plans are likely to identify a number of actions to be implemented by various agencies. The Corps is set up in such a way that once a plan is approved, it can lead to Congressional authorization for spending. But many of the other agencies are not set up so that approval of a plan leads to funding of the elements of the plan they are supposed to implement. Other federal agencies – such as EPA, USFWS, etc. -- may support a plan at a regional level, but that does not necessarily mean they will receive the funding needed to implement the plan.

The question is whether some kind of mechanism can be set up, presumably with support from the other agencies, OMB, and Congress, so that when a plan is authorized, the authorization provides funding for all the federal agencies to implement their elements of the plan. Without some mechanism such as this, brilliant plans may fail simply because implementation is piece-meal and haphazard.

P2 Provides Little or No Value-Added for Project manager

The use of the P2 system, when tied to CEFMS, is viewed by some project managers as unproductive, providing no value for the project manager. They perceive the system as inappropriate for planning studies.

The issues below were each only identified by one project manager, but they appeared to be significant nonetheless:

Cap on Continuing Authorities

One impact of the constraint of Continuing Authorities money is to eliminate many of the smaller mid-priority projects. The problem with this is that these are the studies that, in the past, were the training ground for newer project managers who would ultimately manage large planning studies.

Since earlier studies showed that project managers who manage collaborative planning studies learned their craft primarily through on-the-job training and mentoring, elimination of these smaller studies may also eliminate the experience ladder needed to train future project managers of large-scale planning studies.

Inability to Issue Contracts Without All Money in Hand

Previously districts could issue contracts with only some of the funds on hand, knowing that the balance would be available in the next fiscal year. One project manager reported that it was his understanding that new regulations make it impossible to grant contracts until all the money is in hand. He reported that this has created problems for project managers who have used contracts as a way to smooth out the flow of money. One way to handle the stop/start/stop funding cycle, discussed earlier, is to grant contracts for work that can be performed year-round. The regulation, he believes, ties the hands of project managers who have few tools for trying to ensure that work is performed on a year-round basis.

Inability to Participate in Activities that Would Lead to Cooperative Projects

One project manager reported that district funds were so tied to specific projects, that when they were invited to meetings with potential sponsors that could lead to projects, there were no funds available to cover the time and travel costs to attend the meeting. The result was that significant opportunities for collaborative planning projects were being lost.

Inability to Fund State Participation

In many cases state agencies want to be involved in the collaborative planning process, and the Corps would like their involvement in order to gain access to expertise, streamline permitting, or gain support for implementation. But the state agencies that want to be involved often have very little or no funding to participate. Non-governmental organizations have actually been somewhat more able to fund their own participation than the states. The Corps can fund participation from other federal agencies, like the Forest Service, and can cover state employee travel and related expenses, but currently there is no mechanism for funding labor costs incurred by state agencies. Such a mechanism is needed.

Responsiveness of HQ

One project manager reported that a major non-Federal sponsor is now routinely avoiding going to HQ for policy decisions, and is instead going directly to the ASA(CW) or the Congressional delegation. The reason is that responses from HQ routinely take many months, and are perceived as very restrictive and sometimes one-sided.

Need for Mentoring

Previous studies[5] showed that mentoring, rather than training, was the primary means by which project managers acquired the skills needed to conduct collaborative planning studies. Any program to remove institutional barriers might want to also consider opportunities for reinforcing and supporting mentoring for future project managers.

Section 5
INSTITUTIONAL BARRIERS IDENTIFIED IN THE HARRIS COUNTY CASE

The Harris County Flood Damage Reduction Projects are unique because they are the first Corps projects where the non-Federal sponsor, not the Corps, took the lead in planning, designing and constructing three projects, obtaining reimbursement from the Corps for the 50% federal study share, after completion of discrete sections.

The Harris County Flood Control District is a special purpose district created by the Texas Legislature in 1937 in response to devastating floods that struck the region in 1929 and 1935. Harris County is one of the largest counties in the US, including 1,756 square miles. It contains a population of 3.7 million, including the City of Houston. There are 22 primary watersheds within the county, each with its own independent flooding problems. Major flooding occurs particularly during hurricanes, which often bring very large quantities of rainfall in short periods of time.

[5] Creighton and Pugh, Collaborative Planning in Action, IWR Report.

There are nine federally authorized projects within the Flood Control District. These projects primarily involve construction of detention basins, channels, and environmental enhancements.

The Water Resources Act of 1996 allows non-Federal sponsors to take the lead in planning, design and construction of projects [WRDA 1996 – Section 211(f)]. Corps rules and processes have to be followed, and the Corps monitors and approves the work. The 50/50 cost sharing formula remains the same, and the sponsor is reimbursed the federal share. The Flood Control District decided it wanted to take the lead on the Brays Bayou, Hunting Bayou and White Oaks Bayou projects.

The Flood Control District has been reimbursed 100% for all its invoices, although on occasion it has had to wait until the next fiscal year before payment. They've never waited longer than 6 months.

Many of the Harris County Projects were first authorized in the 1950s and 1960s As a result, the Flood Control District has been working with the Galveston District of the Corps for many years. In 1996 the Flood Control District Director received a phone call from a senior official at the Corps' Galveston District stating that a major policy change had occurred in Washington DC and it looked like "we'll be getting out of the drainage business."

That policy decision was soon reversed, but in the meantime the Flood Control District began to think it could do the work just as well as the Corps and probably faster.

The District was able, through the Texas delegation, to get language inserted into the Water Resources Development Act of 1996 that permitted non-Federal sponsors to take the lead in planning, designing and constructing projects, receiving reimbursement from the Corps for the federal share that the Corps would have paid if it had designed and built the project. Section 211 of WRDA 1996 does specify, however, that the non-Federal sponsor must comply with all Corps requirements and planning procedures and the project must receive approval from the Corps.

In 1999 there were other revisions to Section 211, mostly language clarifications, although the Flood Control District played no role in prompting this legislation. The Flood Control District did arrange for a legal clarification in 1999 specifying that 211F applied to nonstructural elements of a plan, as well as structural.

The first year of the studies proved difficult. A joint implementation study met every other week for most of 1997 hammering out the differences. The perception of the flood control district project manager is that much of the problem was that Corps regulations and ECs simply didn't fit with the idea of a non-Federal sponsor taking the lead. Ultimately their struggle resulted in a Policy Guidance Letter (PGL) addressing Section 211 F of the Act. Also, the flood control district project manager reports that the Flood Control District took most of two years mastering all the Corps requirements. They really had to know the Corps requirements inside and out in order to make the project work.

The Flood Control District had to follow the same requirements as the Corps, and this has meant that they have not been able to shorten project development time. The main saving in time is that the Flood Control District can proceed with construction of a project as soon as the design is finished and approved.

There have been some cost savings. It seems that contractors bid differently to the Flood Control District than they do to the Corps. They assume there'll be more bureaucracy with the Corps, so they make their quotes accordingly. Also, while the Flood Control District is bound by requirements such as equal opportunity employment etc, there are some differences in procurement requirements. For example, the Flood Control District doesn't have to pay for wet periods when no work is being performed.

The mechanisms for coordination between the Galveston District and the Flood Control District have evolved over time. In fact there is now a 211F Project Delivery Team within the Galveston District that works with the Flood Control District on all its projects. There used to be a monthly meeting, then for a short time there were no meetings, and now they are back to quarterly meetings. There is a formal Project Cooperation Agreement. This agreement took 3 years to negotiate.

At this point the Flood Control District and the Galveston District agree on which agency should take the lead on which project. The Flood Control District is managing its three projects, but the Galveston District is taking the lead on two other projects.

The mechanisms for coordination between the Galveston District and the Flood Control District have evolved over time. In fact there is now a 211F Project Delivery Team within the Galveston District that works with the Flood Control District on all its projects. There used to be a monthly meeting, then for a short time there were no meetings, and now they are back to quarterly meetings. There is a formal Project Cooperation Agreement. This agreement took 3 years to negotiate.

Despite the fact that it took the Flood Control District – using Corps planning procedures – the same amount of time to conduct the planning study as it would have taken the Corps to complete it, the Flood Control District still believes there are advantages to the Flood Control District taking the lead. The compelling advantage is that the Flood Control District can get started with construction as soon as design is completed. The Flood Control District doesn't have to wait for the Corps and Congress.

Institutional Barriers in the Harris County Case

In summary, here are the institutional barriers identified in the Harris County case:

Restrictive Corps Procedures

Initially there was an absence of guidance from Washington, although HQ soon issued a Policy Guidance Letter. In the absence of guidance the Galveston District decided it could not treat plans developed by the Flood

Control District plans any differently than plans developed by the Corps. The Flood Control District complained that this restricted the innovation they believed was intended by the Congress when it passed Section 211(f). The result was that it took the Flood Control District as long to develop plans as it would have taken the Corps. While policies and procedures for Section 211(f) are now better defined than they were when the Harris County projects began, there are still questions whether the Corps is exercising all the flexibility that was intended by Section 211(f).

Congressional Authorization Not Secure

The principal advantage for the local sponsor to take the lead in planning and construction of a project, based on the Harris County experience, is the ability to proceed directly to construction without waiting for Congressional authorization. But then the local sponsor must assume the risk that the federal share may never be authorized. Local sponsors may fear that the fact they were able to advance the money to complete the project may be seen by Congress as evidence that they didn't need the federal money in the first place. They would argue, of course, that they had to use money they would otherwise have used for other projects in order to advance the federal share of the project. But for many local sponsors, the risk involved in advancing money may be too great to proceed with Section 211(f) projects.

Financial Capability of the Local Sponsor

Both the Galveston District and the Flood Control District observed that only local sponsors with substantial financial capability and significant technical expertise will be able to use the Section 211(f) provisions. Many local sponsors cannot afford the financial risk involved, and do not have the technical expertise to manage planning and constructing major projects.

Initially Policies and Procedures Were Not Defined

Initially there was no policy guidance and no precedent for how the Galveston District and the Harris County Flood Control District would work together. In addition, the Galveston District reports that when it requested guidance it received conflicting guidance. Ultimately the Corps issued a Policy Guidance Letter (PGL) addressing Section 211(f) of the Act. As a result, this barrier is less likely to constrain future projects in other locations. However, there is a lack of experience working with Section 211(f) in most parts of the Corps, and when Section 211(f) projects arise, there may be initial problems while both parties figure out their roles and the procedures needed to implement the project.

Corps Resistance Due to Fear of Loss of Planning Staff

The Flood Control District reports that they believe some of the initial resistance by the Galveston District to use of Section 211(f) was that it meant a loss of work for the Galveston District Planning Branch. The Planning Chief confirms that the loss of the project work, in combination with other factors, did lead to reductions in force. Ultimately, though, the redirection of funds to Iraq and Katrina cleanup meant that the project funds would never have come to the Corps anyway.
Section 211(f) does put Corps planners in an awkward position nevertheless. Planners are being asked to work cooperatively with local sponsors despite the fact that the use of 211(f) may mean that the workload reductions within the Corps may lead to loss of capacity within Corps planning branches.

Education of Local Sponsor

The City of Galveston reported that it took nearly two years before it thoroughly understood Corps regulations and procedures. This represents a very significant investment of staff time on their part. In the case of Harris County this investment has proven worthwhile. Because they have numerous other projects going on with the Corps, their knowledge of Corps regulations and procedures has saved time on subsequent projects. But this investment of time does represent a significant barrier for any local sponsor working with the Corps on only one project.

Education of External Consultants

The Galveston District reported that one of the major institutional problems they faced was that the Flood Control District used a number of consultants who were not familiar with Corps planning procedures. Not only was there a steep learning curve, but some of the external consultants came in with the expectation that it was their job to justify a pre-determined solution. Under Corps procedures, there is to be an objective technical analysis of the alternatives. Some of the consultants chafed at these requirements, and communication problems arose between the consultants and the Galveston District.

Section 6
PERCEPTIONS OF EXTERNAL PLANNERS

Four local government planners, an environmental scientist and an attorney who work as consultants to these planners, agreed to participate in a workshop to provide a local government perspective on working collaboratively with the Corps of Engineers.

These participants are involved in four major planning efforts:

- South Sacramento Habitat Conservation Plan

- Solano Habitat Conservation Plan/Natural Community Conservation Plan
- Placer County Conservation Plan, Phase 1
- East Contra Costa County Habitat Conservation Plan/Natural Community Conservation Plan

The starting point for all four of these studies was the need for local governments to develop habitat conservation plans. This is a requirement of the U.S. Fish & Wildlife Service (USFWS), the federal agency that enforces the federal Endangered Species Act (ESA).

Local planners are in a position of trying to get developers to commit to significant mitigation for endangered species requirements, only to have developers resist these commitments because they don't know what the Section 404 wetlands requirements will be. Developers also fear that the mitigation required for ESA protection will be contradicted or undercut by the mitigation required in a wetlands permit. The logic underlying the Endangered Species Act is quite different from the logic of the Clean Water Act. So there are no guarantees that the mitigation approaches will be similar.

One of the key issues for the development community is "certainty." If they are going to invest hundreds of thousands or perhaps millions of dollars to comply with a habitat conservation permit, they want certainty that if they comply with the minimization and mitigation requirements of the habitat conservation permits, they will not be required subsequently to pay for additional expensive mitigation as part of the Corps regulatory permit process..

Similarly they want to negotiate one agreement, not two. Current laws set up a situation where a developer must comply with provisions of a local habitat conservation plan then – if the project impacts wetlands -- go to the Corps of Engineers and negotiate an entirely separate mitigation agreement with the Corps. Developers see this as regulators getting "two bites at the apple." Local planners report that developers hold back in any one negotiation, not knowing what they will be asked to do in the next. Because "certainty" has definite value, developers are far more likely to negotiate agreements with significant mitigation only when they are confident that there will be no additional requirements added on later.

The workshop participants all believe that to make their habitat conservation plans a success it would be helpful to include a component in their plans that satisfies the federal Clean Water Act requirements for protection of wetlands and water quality.

One solution would be for developers to go through a "one stop" permitting process (a single process that results in both an ESA incidental take permit and a wetlands permit). Alternatively, habitat conservation plans could be written to contain an aquatic resources plan acceptable to the Corps. Developers would comply with the mitigation required in the habitat conservation plan. Once having received a permit verifying compliance with the habitat conservation plan and its

aquatic resources element, they could then go to the Corps for a wetland permit. The Corps could verify that they complied with the habitat conservation plan, including the previously approved aquatic resources plan, and would then issue a Section 404 permit.

There could also be a hybrid of sorts, with the Corps granting local governments the authority to issue 404 permits for smaller permits (such as those under 3 acres), while the Corps would grant permits for larger projects, using the same guidelines outlined in the aquatic resources element of the habitat conservation plan.

One of the key requirements of Section 404 of the Clean Water Act is that people taking any action impacting a wetlands must “avoid, minimize and mitigate” the wetland and its aquatic resources. In the view of the workshop participants, this has produced an “avoidance” mentality that keeps the Corps focused on very small, carefully delineated areas including a wetlands and the area immediately adjoining them. Each permit is granted on a project-by-project basis, without considering the biological functioning of the overall area.

For example, workshop participants argued, the project-by-project approach might fail to take into account pollinators outside the delineated wetlands, even though those pollinators might be essential for the survival of some of the key aquatic resources, possibly including endangered species. The project-by-project approach also doesn’t consider regional actions that affect the viability of wetlands. Development could occur in upland areas that effectively pollute the entire hydrologic system, including the wetlands. But because these actions take place outside the delineated wetlands, they are not governed by wetlands permits.

The workshop participants believe that a project-by-project avoidance approach results in “postage-stamp wetlands,” which are not liked by either developers or the environmental community. They argue that the project-by--project approach does not take into account future land uses.

The workshop participants argue that a genuine effort to protect natural resources requires a focus on a regional scale. By purchasing and permanently protecting larger, connecting blocks of biologically-rich habitat, regulators are better able to protect the highest-priority resources and sustain biological functioning. They believe that this will result in far better long term conservation. It will also provide incentives to willing private landowners to conserve and steward valuable natural resources. They also believe it will improve the baseline scientific information on natural resources, enabling better decisions on permitting, on conservation, and on minimizing impacts of new development.

The regional approach would allow development in low value areas containing vernal pools and wetlands in return for protection of large contiguous areas of higher value. This logic is acceptable under the ESA, but there are some questions about whether it is acceptable under the CWA. The “avoid, minimize and mitigate” language of the CWA causes some to find this tradeoff approach

incompatible with the CWA. Those who favor the regional approach argue that through the habitat conservation plan they are identifying a “landscape” that can serve as the “avoided or minimized” impact area. The regional plan itself, they believe, constitutes the “least environmentally damaging practical alternative” (LEDPA). The LEDPA analysis is conducted at the landscape scale, not the project scale.

A key consideration for local planners is that the regional approach will enable local governments to play a leadership role in natural resource conservation and permitting, within a framework establish in partnership with regulatory agencies. In California, land use decisions are made by local governments, and local governments want to retain 100% control over land use decisions and strongly oppose anything that erodes that authority. They go through an extensive process to be sure that any proposed development matches up with local planning guidance and goals, and complies with California law. But when the permit is handed off to the Corps, the Corps permitting process can – after the fact – change the alternatives analysis and result in project changes that can alter the local land use decision.

Workshop participants complained about cases where mitigation banks have been located in their jurisdictions with no consultation with local government. The Corps’ theory seems to be that since the land is being put into preserve, it does not alter the land use decision of local government. But workshop participants pointed out that a mitigation bank could be put right in the middle of a proposed transportation corridor, or a mitigation bank might be placed in an area that is slated to be fully developed over the next 20 years, reducing the chances that the mitigation bank will be biologically effective.

All the local planning agencies are thinking about the best way to integrate the habitat conservation plan approach with Section 404 permits. Because the Corps holds the Section 404 permit authority, the Corps is one of the players people would like to pull in to the discussion. But the track record throughout the state is that the Corps has been one of the last agencies to come to the table. The Fish & Wildlife Service has been very supportive of integrated planning. FHWA has provided funding incentives for integrated planning related to transportation. The State of California is trying to make integrated planning happen on a number of different levels. The Corps keeps popping up as a desired but unenthusiastic participant.

Until recently, the Corps regulatory attitude has been: “We permit individual projects. If you’re doing a conservation plan, when you’re done come talk to us. We don’t want to talk to you while you prepare it.”

The local governments have been chipping away at that attitude, but with different levels of success. It varies with the locale, the issues, and the specific staff involved. The response to the regional approach is very much dependent on which Corps staff person they’re working with. Some of them are “wonderful,” and some don’t even want to think about it.

Recently they have found considerable receptivity at the Sacramento District of the Corps. But they report that the attitude of the San Francisco continues to be, “Come talk to us when you’re done.”

The workshop participants feel they’ve received strong support for the regional approach from the General in charge of the South Pacific Division, from the Assistant Secretary, and from the Corps Chief of Regulatory.

The four counties report very different experiences working with the Sacramento District rather than the San Francisco District. There is little or no receptivity to the “regional” or “integrated” approach from the San Francisco District.

Institutional Barriers to Collaboration

While the workshop participants were generally supportive of collaborative planning, they weren’t just interested in being collaborative. They want collaborative planning that will lead to a regional planning approach that integrates habitat conservation planning and wetlands planning. As a result, the institutional barriers they identified were not just barriers to collaborative planning, but specifically to collaborative planning in the context of this regional approach. Some of the barriers they identified included:

Constraints of the Clean Water Act

In the discussions between local governments and federal agencies there is a tension between the 404 (B) (1) guidance, which says avoid before you minimize or mitigate (which the Corps typically applies onsite), and the strong push from the fish and wildlife agencies to focus on preserving the best resources in a larger area, even if it means impacts onsite. The FWS and F&G are essentially saying that, as far as they’re concerned, you can “blitz” some areas appropriate for development in return for preserving something more important somewhere else. Corps personnel are required by CWA guidance to consider avoidance on all permits.

The question is whether the Clean Water Act language is a fundamental legal barrier to the regional approach. The workshop participants are uncertain to what extent the regional approach is genuinely constrained by the CWA or whether what is needed is a change in Corps culture. The fact that at one time the Corps thought it could not do this, but now thinks it can, suggests that the fundamental barrier was attitudinal not legal. The EPA Regional Counsel has said that he believes the regional approach is legal. The messages being put out by the Sacramento District and the San Francisco District contradict each other.

The workshop participants are asking the Corps to use existing Corps mechanisms to look at the landscape on a regional scale and think outside the traditional guidelines. They are not clear whether this is entirely within the confines of the CWA or not. They tend to think that re-opening the CWA is unrealistic.

A working group, known as the Northern California Wetlands and Endangered Species Working Group, met to explore how to coordinate

regional wetlands permitting through conservation planning processes. This working group includes the counties of Contra Costa, Placer, Sacramento and Solano counties; staff from the Corps South Pacific Division and Sacramento and San Francisco Divisions; staff from the US EPA Region X, and staff from the California Department of Fish and Game. The Working Group's recommendations were as follows:

> "While the Working Group does not recommend pursuing a completely integrated approach to regulatory compliance – that is, it does not recommend attempting to comply with both types of regulations through one unified permit application, implementing agreement and environmental document – it does believe that it is possible to achieve the goal of establishing complementary regional permit programs for wetlands and endangered species through a parallel approach to complying with these regulations."

Need for Formal Guidance

Assuming the Corps is able to identify appropriate mechanisms to pursue the regional approach proposed by the workshop participants, there needs to be formal guidance empowering the approach. The workshop participants fear that without this guidance, some parts of the Corps may be unwilling to switch from the individual permit/avoidance approach. They encourage the Corps to push this approach down to field staff. As they see it, there's been some support among higher-ups, but it is not always reaching the field. As a result, any guidance will need to be followed up with education and promotion

Possible Need for a New Kind of General Permit

The Northern California Wetlands and Endangered Species Permits Working Group considered possible permitting mechanisms for achieving regional wetlands planning. They considered three approaches; (1) Special Area Management Plans; (2) Programmatic General Permits; and (3) a new hybrid permit they described as a Simplified Permit Program. Their assessment of these options was as follows:

> Special Area Management Plans (SAMPs): SAMPs are the closest equivalent of a HCP/NCCP and can provide the greatest permit assurances. Based on a SAMP, the Corps can authorize one or more types of permits including a Programmatic General Permit (PGP), letter of permission, or other approach. SAMPs require detailed hydrologic information and analysis, including advanced delineation of the wetlands to be impacted.
>
> Corps staff prefer the SAMP approach if the regional conservation planning effort is just underway and there is time, funding, and the practical ability to prepare a SAMP without holding up other aspects of the planning process.

Since all four plans being prepared by the workshop participants have been underway for several years, there is concern that use of a SAMP would impede the planning progress that has already been made. In addition, complete upfront delineation of wetlands to be impacted -- a requirement of SAMPs -- is not an option for these planning efforts because so much of the resources in the planning area are entirely contained within privately owned lands. Securing permission to survey all these lands would constitute an insurmountable barrier.

Programmatic General Permits: Another option is the use of programmatic general permits. Programmatic General Permits (PGP) would allow local agencies who do not wish to prepare a SAMP to assume local control if the local agency submits a program to the Corps for local regulation of wetlands impacts that is as strong or stronger than existing Corps regulations. If the program is approved by the Corps, the local agency adopts an ordinance and detailed procedures to implement the plan. The Corps would be in the role of ensuring the local agency has done the work required under its approved program, but would not be directly involved in issuing permits in the area covered by the plan.

In a PGP, unlike a SAMP, the private project proponent delineates the wetlands and applies for permits on a project-by-project basis. Precise permit conditions, such as exact avoidance locations, are not determined upfront as they would be in a SAMP.

Impacts covered by general permits must be “minimal.” Also, adopting the ordinance and providing adequate staffing is a significant commitment of resources on the part of the local agency.

Simplified Permitting Program: A Placer County working group identified a third approach which it called a “simplified permitting program” (SPP). Local agencies could propose the terms of the SPP, subject to Corps approval. The Corps would require a landscape delineation of wetlands, a functional analysis, and the other components required for a PGP. Project proponents would still apply for an individual permit from the Corps. However the permit conditions and mitigation requirements used by the Corps would be identical with those under the local government’s HCP/NCCP.

Whichever mechanism is used, the workshop participants encouraged the Corps to develop some kind of a regional permitting program, such as a permit that goes with the SAMP or other aquatic resources plan. Participants also encouraged the Corps to involve people who’ve been trying to make this approach work to help in devising the permitting program.

Staffing Constraints

Based on comments from the workshop participants it is very clear that staffing constraints are an inhibiting factor to the regional approach. The Sacramento District, in particular, is already under intense political pressure to remove a backlog of permit applications. In addition there has been very high staff turnover rate. As a result it is very difficult to pull staff away from reviewing individual permit applications to work on regional processes. In the long run the regional approach should reduce Corps workload. In the short-run, it pulls staff away from processing individual permits.

Several among the workshop applicants participated in an effort to get additional funding to pursue the regional approach, and have also applied for a Corps grant. Both these proposals contained funding for additional Corps staff to work on these issues. Both efforts were unsuccessful in getting funding.

The workshop participants considered several alternative approaches for ensuring sufficient Corps staffing to work on a regional approach, including:

- One option would be for the Corps regulatory program to designate one person in each district whose sole function was to work with local governments on these types of programs
- A second option is for local governments to use the provisions of WRDA ____ which allow local governments to fund Corps staff to work on permits specified by the local government – a mechanism that has been employed by Placer County
- The third option would be to utilize the provisions of the Intergovernmental Personnel Act to place staff with wetlands regulatory expertise in local planning offices, or place staff with local planning expertise into Corps regulatory offices.

Workshop participants believe that local governments are willing to put up their share to make the regional approach work, including providing funding for studies or hiring people outright.

Section 7
RECOMMENDED ACTIONS

Below is a table showing all the institutional barriers identified using the survey, interviews, or external planners' workshop, along with an analysis and recommendations developed by the report's author.

It should be noted that addressing the barriers identified during the external planners workshop really belongs to the Corps Regulatory Program, not Planning, as virtually all relate to the Corps 404 permit process.

INSTITUTIONAL	ANALYSIS	RECOMMENDATION

BARRIER		
INSTITUTIONAL BARRIERS IDENTIFIED IN SURVEY		
Lack of training in collaborative planning	Nearly two-thirds of the respondents in the survey reported they'd received no training in collaborative planning. On the other hand, they also reported they felt comfortable with the skills they had. Respondents in the interviews reported much the same reaction, although at least one project manager felt he had not been fully prepared for the collaborative aspects of the project. There do not appear to be any Corps training programs focusing specifically on collaborative planning. The closest thing to this would be the *Public Involvement and Teaming in Planning* training course developed by IWR,	Conduct a formal assessment of the need for training in collaborative planning for present and future project managers.
Lack of funds	There is insufficient information to determine whether there is just a general lack of funds or there is resistance to collaborative planning because it is perceived as increasing costs. Two-thirds of the survey respondents agreed with the statement: "Collaborative planning has been proven to be very valuable and more than justified the added time and expense." This suggests that collaborative planning does increase initial costs, but is perceived as saving time and money in the long run. This is consistent with other studies of public participation and collaborative planning which report that these activities increase front-end costs, but reduce controversy, delays and	Inform planners that they need to include adequate budgets for collaborative planning activities in their initial cost estimates for planning studies.

	litigation sufficiently to substantially reduce overall costs.	
Time pressures	Insufficient information to evaluate.	No action
Cost sharing	Insufficient information to evaluate.	No action
INSTITUTIONAL BARRIERS IDENTIFIED IN INTERVIEWS		
Funding cycle/uncertainty of funding	This problem comes about when Congress does not approve Corps funding until many months after the start of the fiscal year. This impacts all planning, by compressing planning into a small portion of the year, creating problems mobilizing staff, overloading staff, etc. It has a more dramatic impact upon collaborative planning. These impacts include difficulties in managing sponsors' expectations, undermining the Corps' reputation as a reliable partner, and inability to sustain collaboration during periods without funding.	Clearly the Corps has no control over when Congress approves the Corps budget, and cannot authorize the expenditure of funds until authorized by Congress. On the other hand, this is a problem that could continue for a period of years, and should not be treated as an exceptional circumstance. Because of this, the Corps should study whether there are ways to help project managers "smooth out" the expenditure of money that is leading to inefficient use of resources and damaged relations with sponsors.
Need to provide for multiple sponsors/acceptance of non-Federal money	Project managers believe that Corps HQ has erected barriers to including multiple sponsors for studies where multiple sponsors are clearly desirable. Corps HQ is concerned that the Corps will "get stuck with bill" if local sponsors do not come up with their share after a study has begun. Instead the liability is thrown on state and local governments that are often less equipped to handle risk and liability. In addition, non-federal	Develop mechanisms for simplifying the involvement of multiple non-federal sponsors. Devise mechanisms by which non-federal entities can contribute funds without accepting liability for other non-federal sponsors.

	sponsors increasingly have to accept the risk that the Corps will not come up with its share after the study has begun.	
Duration/lengthy projects	There is little question that the duration of studies and projects makes it difficult to keep non-federal sponsors supportive and engaged. It is interesting to note that when the Harris County Flood Control District conducted studies using Corps procedures it took them as long to complete the studies as it does the Corps. Because Corps planning procedures are created in response to numerous laws and other federal requirements, any effort to streamline them would be a massive undertaking. Streamlining Corps planning procedures appears unduly challenging unless there are other compelling reasons in addition to the impacts upon collaborative planning.	No action – outside scope of this study
Dominance of Federal regulations	Non-federal sponsors complain that they are invited to enter into a “partnership” but believe that the Corps then insists that the project be run using its policies and procedures, rather than policies and procedures agreed upon mutually. This can be an irritant and cause of resentment during the study.	Clearly define areas in which project mangers have freedom to negotiate with non-Federal sponsors.
Conflicting missions of agencies/engineers working with scientists	The problem of conflicting missions seems to be inherent in how the federal government is structured, which is outside the control of the Corps. Experience suggests that these conflicts can be mitigated by effective working relationships at a staff level. Over time trust is built that helps	Encourage development of continuing relationships with staff from other agencies.

	overcome these conflicts.	
Educating non-Federal participants about Federal rules & regulations	Harris County Flood Control District estimates it took two years to master federal rules and regulations. Because work with non-Federal sponsors is likely to increase in the future, the Corps needs to provide guides, web pages, or other information materials about rules to regulations to which project managers can refer non-Federal sponsors.	Develop information materials, possibly web-based, that communicate information about Federal rules and regulations to non-Federal sponsors in an accessible manner.
Need for different funding mechanisms for watershed studies	While this recommendation may be worthwhile, it falls outside the collaborative planning focus of this study.	No action – outside scope of this study
Need for a specific authority for watershed planning	While this recommendation may be worthwhile, it falls outside the collaborative planning focus of this study.	No action – outside the scope of this study
Need for simultaneous authorization and funding of all Federal agencies	The Corps is set up in such a way that once funds are authorized for a project, this leads to implementation. This is not necessarily true with other Federal agencies. There will be a continuing problem if plans are developed which require action by multiple Federal agencies, but some Federal agencies do not implement their portion of the plan. This could threaten the effectiveness of the program and make it difficult to reach agreements in the future. This issue involves how other agencies are organized, how funds are authorized by Congress, what controls are exercised by the OMB, etc. It is well outside the control of the Corps, and resolving the problem	Raise this issue in senior management inter-agency forums to determine whether there is a willingness on the part of other agencies to address this issue.

	would require agreement by all those parties.	
Complying with P2 system uses up substantial time that could be spent in collaboration while providing little or no value-added for project manager	It is very clear that a number of planners believe that the P2 system provides little value for planners. But this is not really a collaborative planning issue.	No action – outside the scope of this study
Cap on continuing authorities	This is outside the control of the Corps.	No action – outside Corps control
Inability to issue contracts without all money in hand	This project manager may have been misinformed, as this is common practice.	No action required
Inability to participate in activities that would lead to cooperative projects	Project managers report that there are insufficient funds to participate in meetings that could lead to new cooperative planning projects.	Allocate funds for participation in pre-study meetings with other agencies.
Inability to fund state participation	Currently the Corps can reimburse travel and related expenses, but cannot fund staff time. There are mechanisms under which Federal agencies can contract for technical work to be performed by state or local agencies, and meetings required to oversee that work are a legitimate expense.	No action – outside Corps control
Constraints of the Federal Advisory Committee Act (FACA)	Guidelines for implementation of the FACA are issued by a secretariat within the General Services Administration.	No action – outside of Corps control
Delays in responses from	This is a perennial problem in all agencies, and well outside the	No action – outside scope of this study

HQ	scope of this study.	
Need for mentoring	The survey results show that mentoring is the key method by which planners are trained to be project managers. Yet there does not seem to be a formal mentoring program and some districts report that experienced project managers are so busy they are not able – or rewarded – for mentoring.	Establish a formal mentoring program including career rewards for mentoring.
INSTITUTIONAL BARRIERS IDENTIFIED IN HARRIS COUNTY CASE		
All Corps procedures had to be followed	Harris County reports that it anticipated greater freedom under Section 211(f) to conduct the studies according to its own procedures. The Corps insisted that if the Federal government was to pay 50%, the Flood Control District had to comply with all Corps regulations.	No action – outside the scope of this study
Congressional authorization not secure	The non-Federal sponsor does not know in advance whether Congress will authorize the funds to reimburse the Federal share. This is inherent in the way the legislation is written and is a risk that must be assumed by the non-Federal sponsor.	No action – outside of Corps control
Financial capability of the local sponsor	The law is set up in such a way that only well-funded non-Federal entities can utilize the Section 211(f) procedures. This is inherent in the law itself and outside the Corps' control.	No action – inherent in the law itself
Initially policies and procedures were not defined	For a period of time after the law was passed there was no guidance. Then a policy Guidance Letter was issued that addressed this problem.	No further action required.

Resistance due to fear of loss of planning staff	This is inherent in the situation. Congress has granted non-Federal agencies the right to utilize the Section 211(f) process, and the Corps will comply with the law.	No action – inherent in the situation
Education of local sponsor	This item is identical to an issue identified (above) in the interviews.	As shown above, develop information materials, possibly web-based, that communicate information about Federal rules and regulation to non-Federal sponsors in an accessible manner.
Education of external consultants	The Galveston District reported that on the Harris County cases one of the problems was that some of the external consultants hired by the Flood Control District expected to prepare technical reports justifying a single outcome rather than an objective comparison of all the alternatives.	Prepare an information document for external consultants explaining the underlying philosophy and rationale for Corps planning procedures.
INSTITUTIONAL BARRIERS IDENTIFIED BY EXTERNAL PLANNERS		
Constraints of the Clean Water Act	External planners argued that there were some fundamental contradictions between the logic of the Clean Water Act and an approach that would consider impacts on a total landscape. They argued that the project-by-project approach sometimes produced “postage-stamp” wetlands that were not viable biologically.	Corps management needs to decide whether it supports the concept of a regional or “landscape” approach that would integrate habitat management planning done by local governments with the Corps 404 permit process. If a decision is made to support this approach, then the Corps should consider: o Recommending changes in the Clean Water Act needed to authorize this

		approach more explicitly o Issuing formal guidance o Identifying appropriate kinds of General Permits that would accomplish the needed integration.
Need for formal guidance	External planners recommend that if Corps management is supportive of the integrated approach it needs to issue guidance stating this support.	See above
Possible need for a new kind of General Permit	New kinds of permits may be necessary to support the integrated approach.	See above
Staffing constraints	External planners reported that Corps regulatory staff were often so busy with individual permits that they were unable to contribute to the development of habitat management plans, even when invited and encouraged to do so.	Dedicate one or more staff person in each district to work in cooperation with local governments on development of habitat management plans.

Appendix 1
PROJECT MANAGER QUESTIONNAIRE

This questionnaire is being distributed as part of a study to identify organizational/ institutional barriers that inhibit the use of collaborative planning. During a second phase of this study, efforts will be made to identify ways to remove or minimize these barriers. Your participation could help the Corps utilize collaborative planning more effectively. The results of the survey will not include information traceable to any individual of organizational unit.

Please return the completed form to Darrell Nolton, CEIWR-GI.

Thank you for your participation.

Organizational

Years you have been a planner in the Corps?

☐0-2 years ☐ 2 – 5 years ☐5 – 10 years ☐10-20 years ☐21+

Which title best describes your position?

☐ Division/Branch Chief ☐Project manager ☐Senior Planner ☐Planner

☐☐Other☐

Policy

Please check the appropriate box (yes/no) for the items below:

☐☐Yes ☐☐No	I have read and understand the contents of US Army Corps of Engineers EC1105-2-409, Planning in a Collaborative Environment, 31 May 2005
☐☐Yes ☐☐No	I have read and understand the contents of Executive Order 13352 of August 26, 2004, Facilitation of Cooperative Conservation
☐☐Yes ☐☐No	I have read and understand the contents of Executive Order 13352 of August 26, 2004, Facilitation of Cooperative Conservation Office of Management and Budget and President's Council on Environmental Quality Memorandum on Environmental Conflict Resolution, November 28, 2005

Collaborative Planning

1) On approximately how many studies in which you've been involved has collaborative planning been used?
   a. GI, studies with specific authorization and funding ____
   b. CAP, smaller studies, < 5M with continuing authority ____
   c. Other, special studies, i.e., Everglades, Upper Miss, LA Coastal. ____
2) Indicate with an X which statement below best describes collaborative planning as it is practiced in your district/division?

___ There is a study team, which includes the Corps, sponsors and other federal, state or local agencies, that oversees the study but final decisions are made by the Corps.

___ There is a study team, which includes the Corps, sponsors and other federal, state or local agencies, that oversees the study with final decisions made by agreement of the entire study team.

____Other (Please describe);_____

3) Please indicate (with an X) which statement below best reflects your experience:

___ Collaborative planning is used frequently in my organization and is considered good planning practice.

___ Collaborative planning is used occasionally depending on the circumstances of the study.

___ Collaborative planning is used rarely and only when there are exceptional circumstances.

4) Please indicate (with an X) which statement below best reflects your experience:

___ Collaborative planning has proven to be very valuable and more than justifies any added time and expense/

___ On some studies collaborative planning has proven to be very valuable, but on others it has been a waste of time and money.

___ Collaborative planning is something we're required to do, but if we didn't have to we wouldn't bother.

5) If you were to write 1-3 sentences of guidance on when to use collaborative planning, what would you say?

6) Which statement below best describes your experience:

___ I received adequate training on how to conduct collaborative planning processes through on-the-job training and/or formal training programs.

___ I didn't receive training on how to conduct collaborative planning processes but feel comfortable that I have the skills to do so.

___ I didn't receive any training on how to conduct collaborative planning processes and I feel uncertain about my skills to do so.

7) Beyond compliance with regulations, which of the factors below is the primary motivator to engage in collaborative planning?

a. ___ Visibility/chance to demonstrate my skills

b. ___ Increased likelihood of implementation

c. ___ Resolution of disputes between agencies

d ___ Trying to do a good job

e. ___ Other: _____

8) What are the best incentives which the Corp could or does offer to encourage you to utilize collaborative planning?

9) Indicate which of the items below pose barriers to use of collaborative planning (you can check as many as want):

___ Lack of management support

___ Lack of study funds

___ Time pressures

____ Cost sharing requirements

___ Other Corps policies and procedures

___ Other laws and institutional constraints

11) If you indicated “Corps policies and procedures” specify which policies and procedures and how they affect you:

14) If you could do just 1-2 things to increase the use of collaborative planning, what would you do?

(CPC) Conflict Resolution & Public Participation Center

The Institute for Water Resources (IWR) is a Corps of Engineers Field Operating Activity located within the Washington D.C. National Capital Region (NCR), in Alexandria, Virginia, and with several satellite centers across the U.S. IWR was created in 1969 to analyze and anticipate changing water resources management conditions, and to develop planning methods and analytical tools to address economic, social, institutional, and environmental needs in water resources planning and policy. Since its inception, IWR has been a leader in the development of strategies, methods, and models for planning and executing water resources programs.

IWR strives to improve the performance of the Corps water resources program by examining water resources problems and offering practical solutions through a wide variety of technology transfer mechanisms. In addition to hosting and leading Corps participation in national forums, these include the production of white papers, reports, workshops, training courses, guidance and manuals of practice; the development of new planning, socio-economic, and risk-based decision-support methodologies, improved hydrologic engineering methods and software tools; and the management of national waterborne commerce statistics and other Civil Works information systems. IWR serves as the Corps expertise center for integrated water resources planning and management; hydrologic engineering; collaborative planning and environmental conflict resolution; and waterborne commerce data and marine transportation systems.

The Institute's Hydrologic Engineering Center (HEC), located in Davis, CA specializes in the development, documentation, training, and application of hydrologic engineering and hydrologic models. IWR's Navigation Data Center (NDC) and its Waterborne Commerce Statistical Center (WCSC) in New Orleans, LA, is the Corps data collection organization for waterborne commerce, vessel characteristics, port facilities, dredging information, and information on navigation locks. The Institute's newest center is the Risk Management Center (RMC).

Other enterprise centers at the Institute's NCR office include the International Center for Integrated Water Resources Management (ICIWaRM), which is a distributed, intergovernmental center established in partnership with various Universities and non-Government organizations; and the Conflict Resolution and Public Participation Center (CPC) which includes a focus on both alternative dispute resolution processes (ADR) and the integration of public participation techniques with decision support and technical modeling – Computer Assisted Dispute Resolution (CADRe) – such as manifested in the technique known as Shared Vision Planning (SVP). The Institute plays a prominent role within a number of the Corps technical Communities of Practice (CoP), including the CoPs for Planning; Economics; Operations and Regulatory; Hydrologic, Hydraulics & Coastal Engineering; Environmental; and Strategic Planning.

For further information on the Institute's Conflict Resolution and Public Participation Center and CADRe-related activities please contact Dr. Hal Cardwell, 703-428-9071 or via e-mail at: hal.e.cardwell@usace.army.mil, and, for ADR or citizen participation activities, please contact Dr. Jerry Delli Priscoli, 703-428-6372, or at: jerome.dellipriscoli@usace.army.mil.

The Director of IWR is Mr. Robert A. Pietrowsky, who can be contacted at 703-428-8015, or via e-mail at: robert.a.pietrowsky@usace.army.mil. Additional information on IWR can be found at: http://www.iwr.usace.army.mil. IWR's NCR mailing address is:

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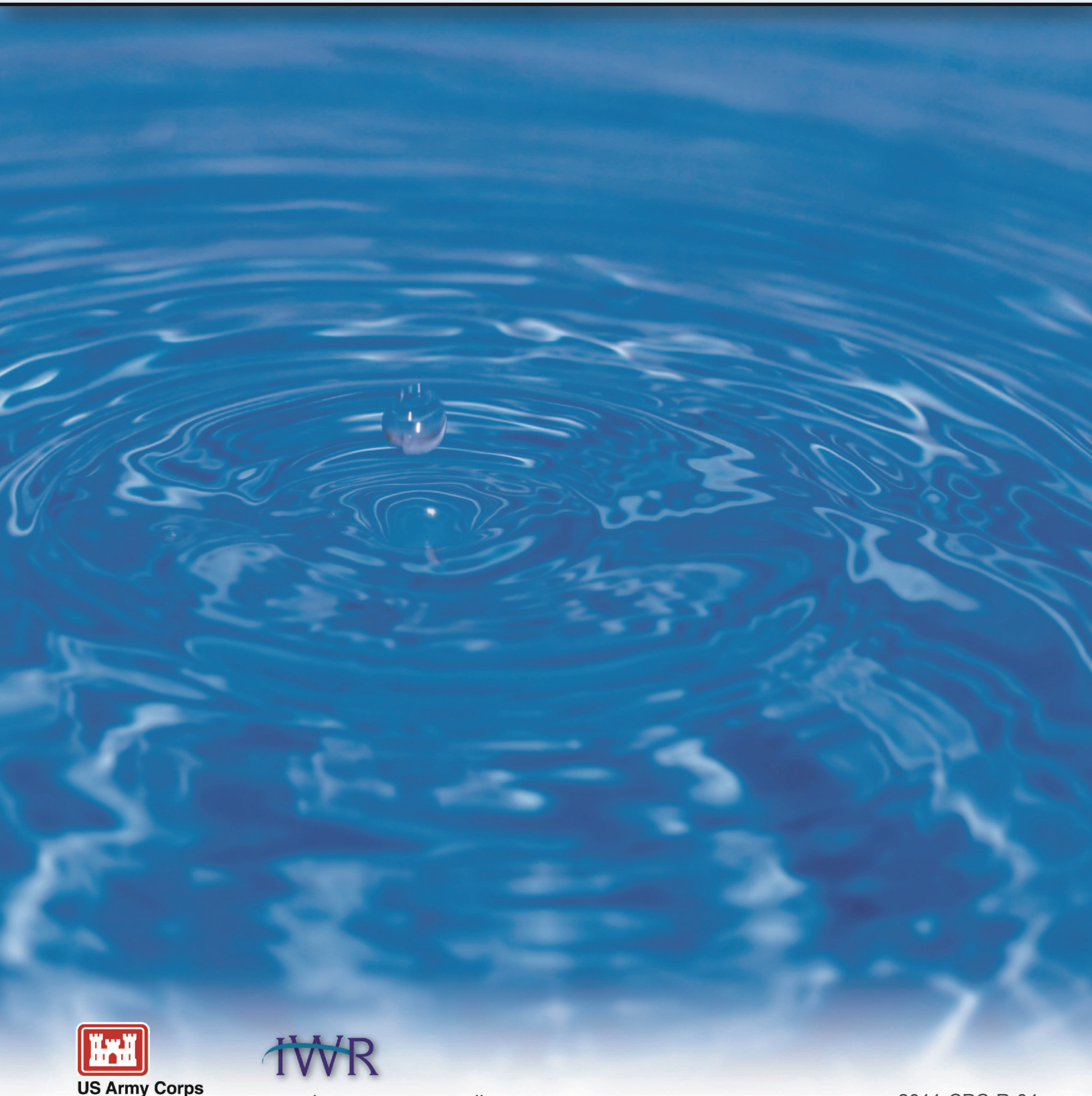

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