PUBLIC INVOLVEMENT & TEAMING IN PLANNING

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COURSE OVERVIEW

NOMINAL GROUP PROCESS

- Opening Presentation
- Introductions
- Posing Activating Questions
- Generating Ideas
- Recording Ideas
- Discussion
- Selecting and Prioritizing Ideas
- Discussion of Results

LEARNING OBJECTIVES

By the end of this course you will be able to:

- Identify the characteristics of effective public involvement processes
- Facilitate a team or public meeting
- Design an interactive team or public meeting or workshop

Continued

LEARNING OBJECTIVES - Continued

- Identify behaviors that escalate conflict during a dispute with other agencies or the public – and identify behaviors that halt this escalation
- Develop a public participation plan
- Select appropriate techniques for a participatory process

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MON.	TUES.	WED.	THURS.	FRI.
Course Overview Public Involvement in the Planning Process The Role of Values in Planning	Current Uses of PI and Teaming Who is "the Public?" Meeting Leadership Skills Active Listening	Communi-cating Concerns Facilitation Facilitation Practice Designing Workshops Intergroup Behavior	Working in Teams Preventing Escalation Designing a Public Involve-ment Program Process Design Process Appraisal P.I. Techniques	Strategic Commun-ication Implemen-tation Issues Q&A

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CORPS STRATEGIC OBJECTIVES

- People. Be recognized for the technical and professional excellence of our world-class workforce, functioning as teams delivering projects and services.
- Process. Use the Project Management Business Process to operate as One Corps, regionally delivering quality goods and services.
- Communication. Communicate effectively to build synergistic relationships that serve the nation.

In today's planning environment, planners and project managers need two skill sets:

TECHNICAL SKILLS

PROCESS SKILLS

THREE-STEP TRAINING CYCLE

- Brief lectures or class exercise
- A class or team exercise
- Class discussion

- Different modes of learning work differently for different people
- The more learning modes, the more likely you are to remember
- Exercises bring material closer to life
- Skills require practice during the course (and after)
- During exercises you will learn from each other
- Working in teams is part of the learning

Because the course is interactive, it is important that you:

- Be here, and be on time – or your team will be short members
- Participate enthusiastically – it's part of the learning

CORE CURRICULUM COURSES

- Planning Orientation Workshop
- Planning Process Workshop
- Plan Formulation Workshop
- Environmental Considerations in Planning
- Economic Analysis in Planning
- Hydrologic & Hydraulic Considerations in Planning
- Public Involvement and Teaming in Planning

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PLANNING 101

CORPS STRATEGIC GOALS

- People
- Process
- Communication

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PLANNING COVERS ALL 3 STRATEGIC GOALS

- **People** - It insures we have talent & expertise to get us through existing and future water resource challenges.
- **Planning**- It is the first "P" in 3P
- **Communication**- Planners are the first POC with customers, engage public input, and tell the project story

WHY PLANNING IS IMPORTANT?

- Because anything that is PLANNED, often has reliable outcomes
- Because the stakes are high and budgets constrained
- Because we need to make informed, defensible decisions for the future
- Because scientific data needs a practitioner's touch
- Because it is an iterative process and can add value to a variety of initiatives

WHO DOES PLANNING

- Planning professionals
- Those with planning skills
- Project Delivery Teams

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SOME COMMON MYTHS ABOUT PLANNING

- Everyone in Planning is a planner
- Only Planning does planning; all planners are in planning
- All Project Managers can do planning
  Anyone can do planning

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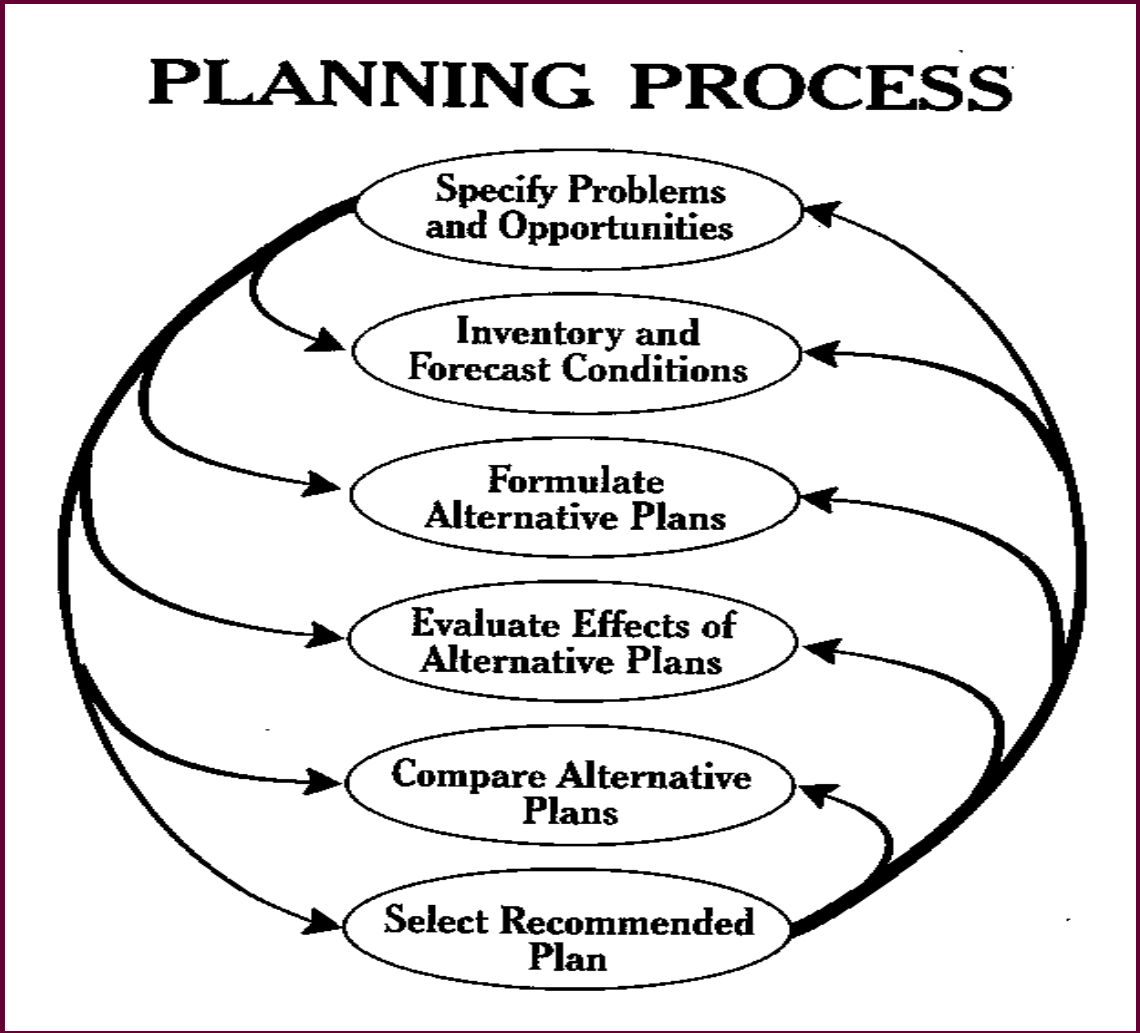
CORPS PLANNING PROCESS



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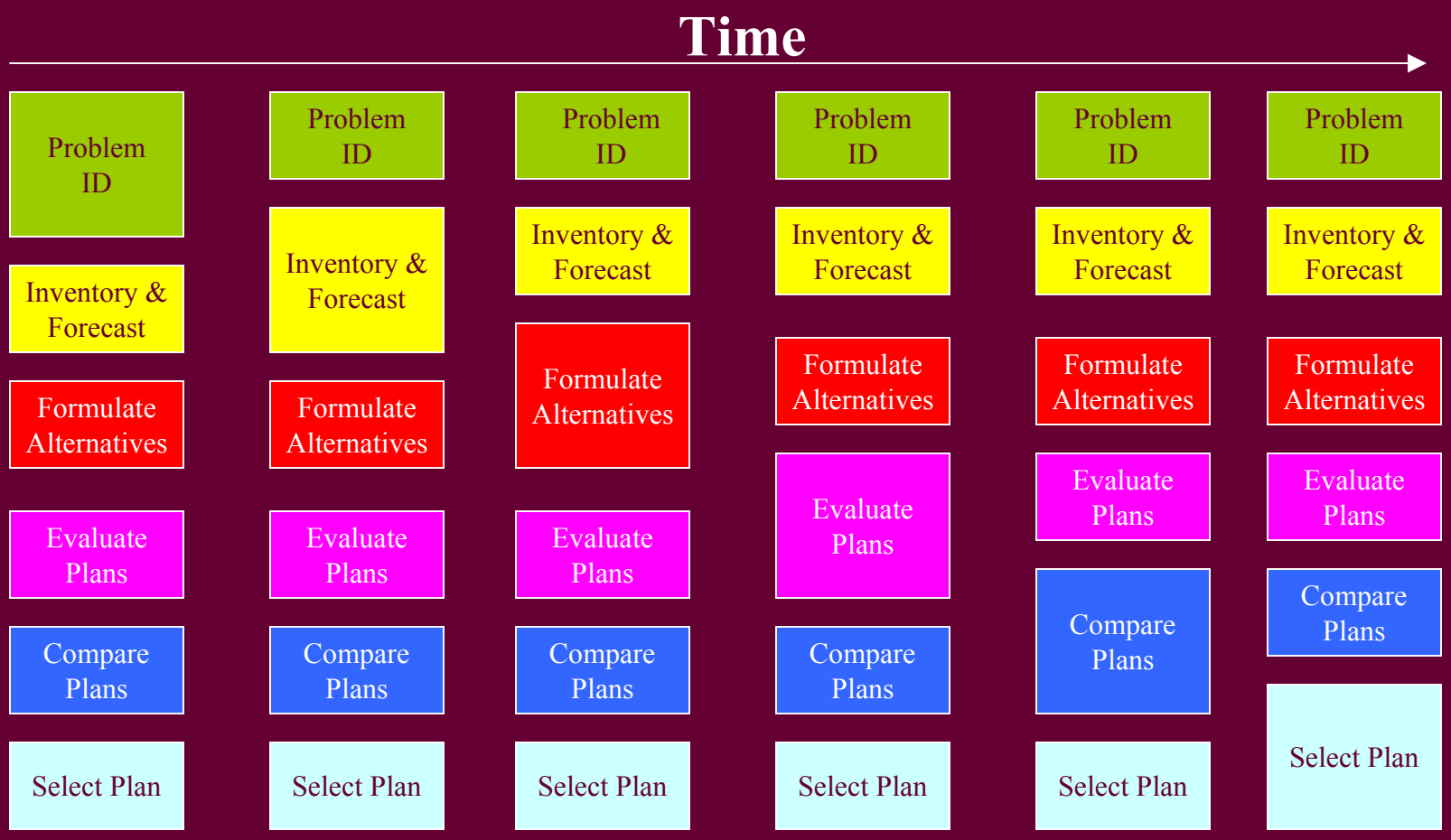
PLANNING IS ITERATIVE



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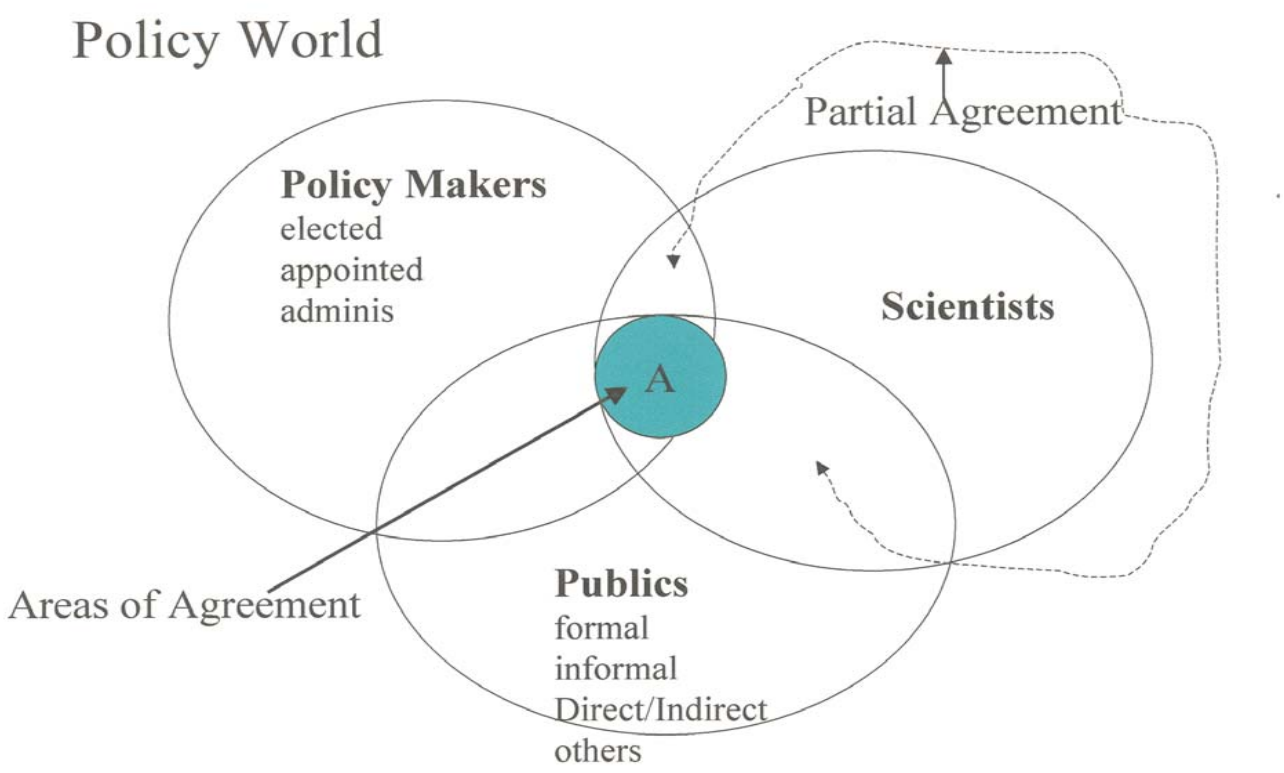
IMPORTANCE OF PUBLIC ENGAGEMENT



SOME BASICS OF PUBLIC INVOLVEMENT

- "The public" is anyone outside the Corps
- "The public" changes from issue to issue
- There will normally be some interaction with the public during each step in the planning process.

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PUBLIC INVOLVEMENT IN THE PLANNING PROCESS

- At each stage of the planning process the interaction with the public will include:
  - Providing information TO the public (so it can participate wisely)
  - Obtaining information FROM the public (so you can plan wisely)

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PUBLIC INVOLVEMENT IN THE PLANNING PROCESS

Planning Step	Information TO	Information FROM
1. ID problems & opportunities		
2. Inventory & forecast		
3. Formulate alternative plans		
4. Evaluate alternatives		
5. Compare alternatives		
6. Select plan		

CLASS ACTIVITY

- Complete instructions are on page
- The Corps is conducting a flood control project. Working with a partner, identify:
  - The information you will need to provide **TO** the public at each step in the planning process
  - The information you will need to obtain **FROM** the public at each step in the planning process.

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SPECIFY PROBLEMS AND OPPORTUNITIES

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Site visits and meetings with Corps Team, customer, and stakeholder Coordinate with PAO for news release Develop website Visit with office historians and technical experts	– How we assist, e.g. programs, authorities – How they can participate – Planning steps and schedule	– What are the problems and causes – Who is affected and how – What do people want/need – What are the opportunities for improvement – How important is the issue

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DURING SPECIFY PROBLEMS AND OPPORTUNITIES STAGE

- People have different definitions of what the problems or opportunities are
- The way you define the problem/opportunity can preclude or dictate the alternatives
- Without stakeholder involvement, there's a danger that you will come up with a problem/opportunity statement that eliminates alternatives that stakeholders see as viable

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INVENTORY AND FORECAST CONDITIONS

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Develop Newsletter Hold Open House Solicit input from resource management agencies, & others thru website	– Inventory of affected area – Baseline conditions – Factors affecting the future – How they can participate	– Whether we described baseline conditions accurately – Factors that affect future conditions – Assumptions to be used in making projections – Who would be affected, and how, by these changes

DURING INVENTORY AND FORECAST STAGE

- People's philosophies and beliefs dictate their image of future conditions
- Beliefs about future conditions can control the alternatives you consider – and your evaluation of the alternatives

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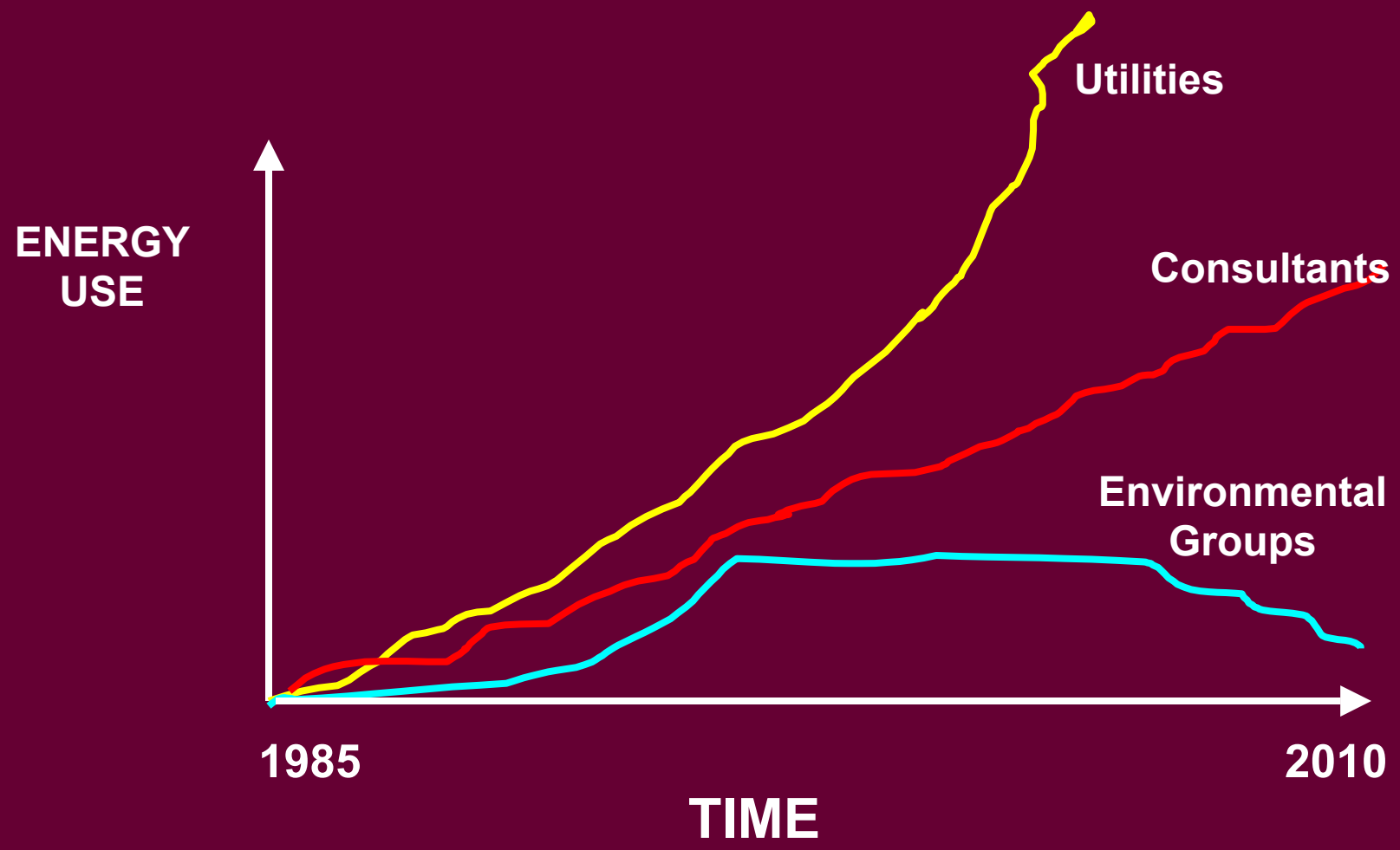
PREDICTED INCREASE IN ENERGY USE OVER A 25-YEAR PERIOD



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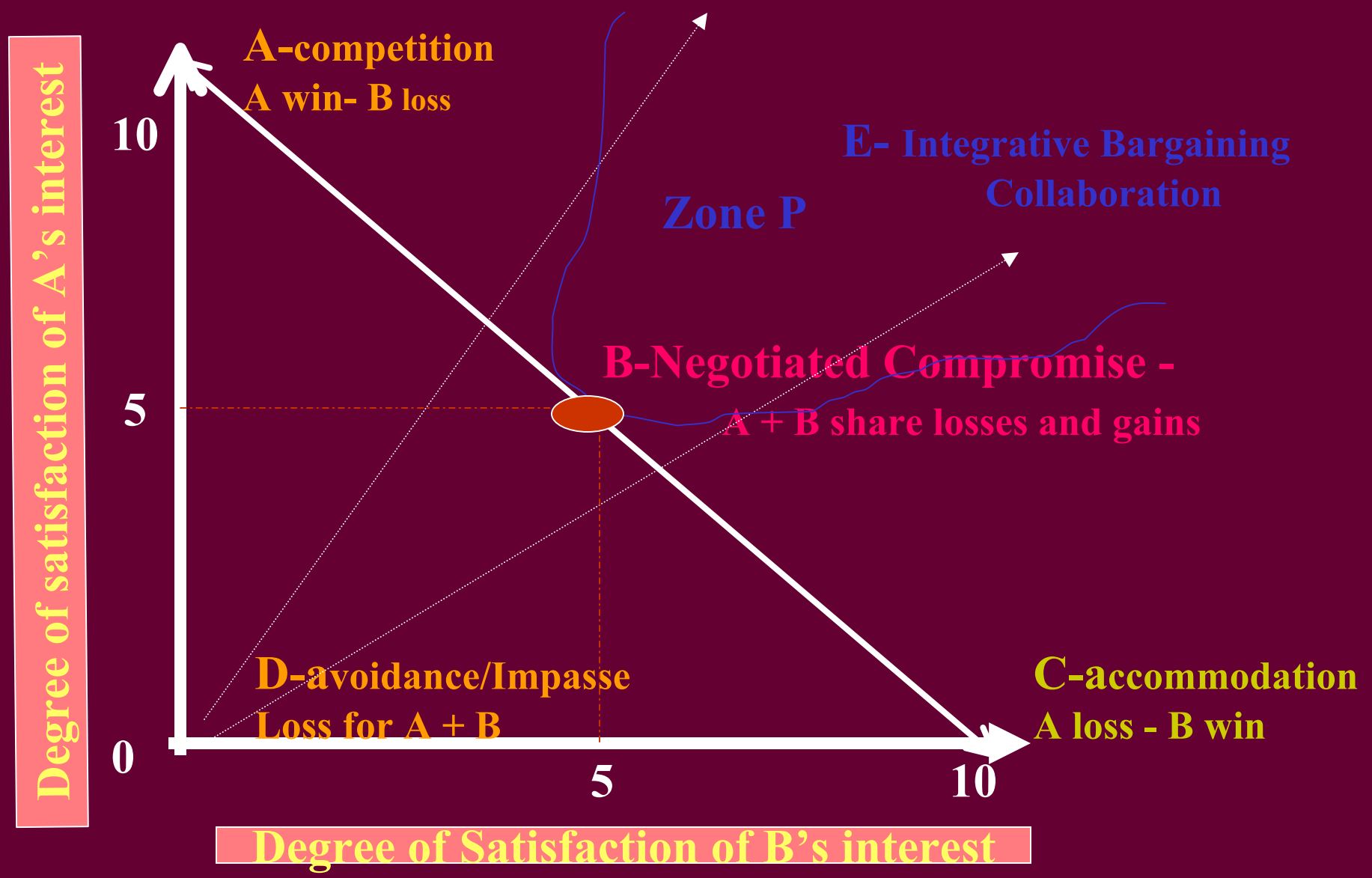
Strategies + Outcomes of Two Party (A&B) Disputes

from Thomas "Conflict and Conflict Management"



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FORMULATE ALTERNATIVES PLANS

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Conduct public scoping meeting Update website Conduct a survey of interests	– Future conditions without the project – Possible criteria – Technical possibilities – How they can participate	– Criteria for project success – Values that should drive formulation – Suggested alternatives

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DURING FORMULATING ALTERNATIVE PLANS STAGE

- Keep formulation separate from evaluation – avoid “variations on a central theme”
- Use alternative values or philosophies (e.g. NED, EQ, SQ), to drive alternatives formulation
- If people don’t see any alternatives that fit with their values or philosophy, they won’t consider the process legitimate

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EVALUATE EFFECTS OF PLANS

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Share with team and other districts Develop Newsletter Assure NEPA coordination Conduct stakeholders meeting	– List of alternatives – Initial assessment of feasibility – How they can participate	– Acceptability of the various alternatives – Anticipated effects of the alternatives

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DURING EVALUATING EFFECTS OF ALTERNATIVE PLANS

- Get agreement on criteria <u>before</u> you begin evaluating
- What you learn during evaluation often kicks off another round of plan formulation
- A danger: stakeholders – including internal Corps stakeholders – often approach the situation with a predisposition towards a particular alternative

COMPARE ALTERNATIVE PLANS

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Work with team and stakeholders during plan refinement	– List of feasible alternatives – How well each alternatives meets criteria – Impacts associated with each alternative – How they can participate	– Acceptability of the alternatives – Which impacts are of greatest concern – Ways to improve alternatives

DURING COMPARING ALTERNATIVE PLANS STAGE

- Comparisons are based on how well each alternative meets the criteria
- Avoid advocacy for a particular alternative

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SELECT A PLAN

POSSIBLE PI ACTIVITIES	CE Gives to Public	CE Receives from Public
Meet with customers to discuss outcomes Announce to public planning outcome Final newsletter Signing ceremony for FCSA or PCA News release PAO)	– Which alternative was selected – How the plan was modified in response to public comment – What happens next	• Willingness to accept/support the plan • Recommend-ations for implementation

DURING SELECTING A PLAN STAGE

- Key issue: Does the plan enjoy sufficient support that you will be able to implement it?

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DEVELOP A PUBLIC INVOLVEMENT PLAN

- Appropriate Level of Engagement

Who??

What?

How??

How Long??

How Much??

Final Product?

Lessons Learned?

Measured Effectiveness??

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HOW TO MEASURE PUBLIC INTEREST

PLANNER'S PERSPECTIVE

- Cooperative Environment
- Cost-Sharing means non-Federal investment in the outcome
- We don't always know what is best
- We live in a public political world
- We need to tell our story too

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SHARE SUCCESS STORIES

- District Publications
- *Planning Ahead*
- *Engineer Update*
- Scientific Magazines, Newsletters

TAKE AWAY POINTS

- Chief's Corporate Strategy: People, Process and Communication
- 6 Planning Steps
- How Public Involvement Fits in Project Planning
- Considerations for Public Involvement Plans
- Measure Success/Lessons Learned

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PUBLIC INVOLVEMENT PLANNING PROCESS

The goal:

By the time you select techniques you should know:

- Who the stakeholders are and at whom the program is targeted
- What has to be accomplished with them at each step in the planning process
- What you'll be doing with the information you learn from them

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DEVELOPING PUBLIC PARTICIPATION PROGRAMS

Three stages:

- **Process appraisal**
- **Process design**
- **Implementation planning**

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PROCESS APPRAISAL

Identify the appraisal team

▼

Clarify the decision being made

▼

Identify decision constraints and schedule drivers

▼

Identify issues and stakeholders

▼

Assess potential level of controversy

▼

Identify "decision-maker"

▼

Determine what level of participation is needed to resolve the issues

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PROCESS DESIGN

Identify the process design team

Identify the steps in the decision making process, and the schedule for completion

Identify involvement objectives for each step

Analyze the exchange of information that must take place to achieve the objectives

Identify appropriate involvement techniques to meet these objectives

Develop a plan integrating the techniques

IMPLEMENTATION PLANNING

- At this stage you are deciding such things as:
  - Where the meetings should be held?
  - Who is going to lead the meeting?
  - What has to be in the newsletter?
  - Which media need to be briefed?

WHY INVOLVE THE PUBLIC IN “TECHNICAL DECISIONS”

THE RATIONALE FOR PUBLIC INVOLVEMENT

- Improved quality of decisions by:
  - Anticipating public concerns and attitudes
  - Better problem definition
  - Full consideration of alternatives
  - Better understanding of why things “are the way they are”

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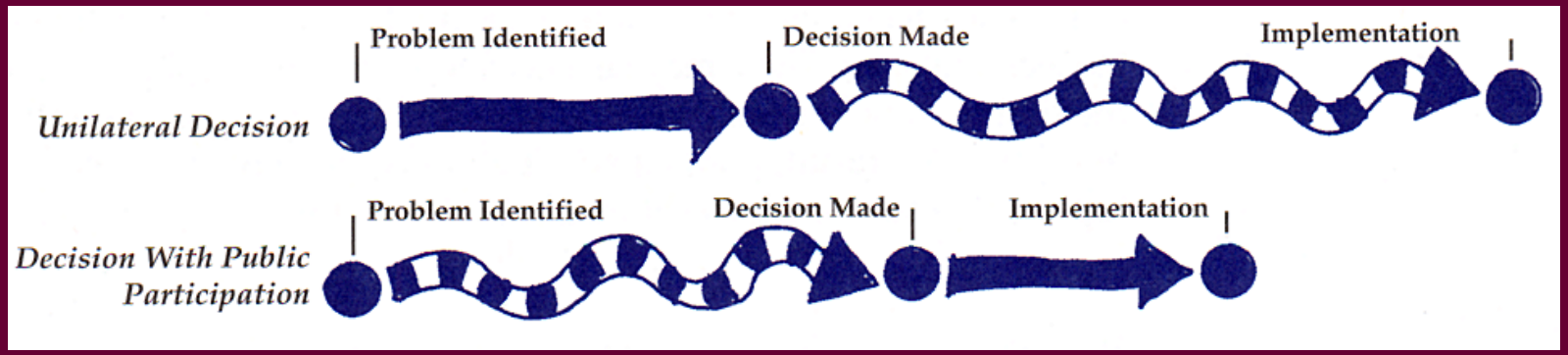
THE RATIONALE FOR PUBLIC INVOLVEMENT - Continued

- Minimizing cost and delay



THE RATIONALE FOR PUBLIC INVOLVEMENT - Continued

- Increased ease of implementation
- Enhances sustainability of implemented programs
- Avoiding "worst-case" confrontations
- Reduced perception of risk
- Developing civil society – putting the "civil" back in civil engineering

THE RATIONALE FOR PUBLIC INVOLVEMENT - Continued

- Many decisions people think of as technical decisions are actually choices between competing "values"
- "Values choices" involve having to choose between two things society thinks of as "good"

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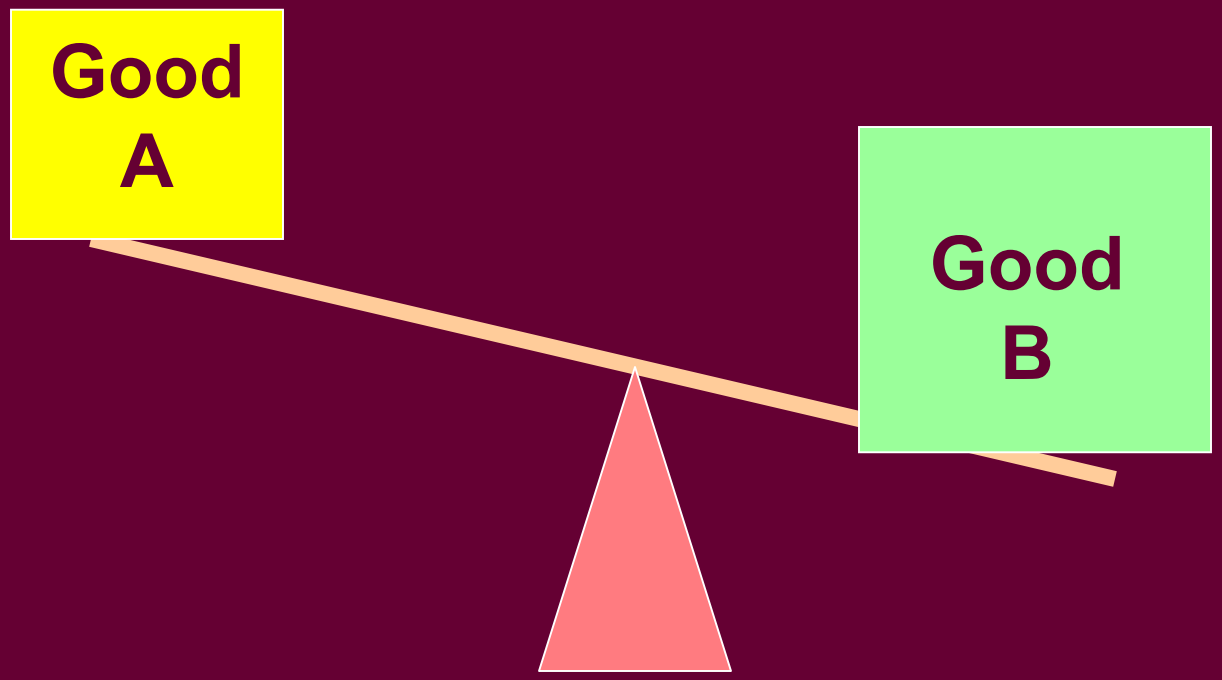
"VALUING" MEANS DECIDING WHICH "GOOD" IS MORE IMPORTANT



VALUES LINE-UP

- It's 2005, and there is now scientific consensus that second-hand smoking is a significant cause of cancer
- You are all the staff of a regulatory agency that has to act once it is known that a substance causes cancer

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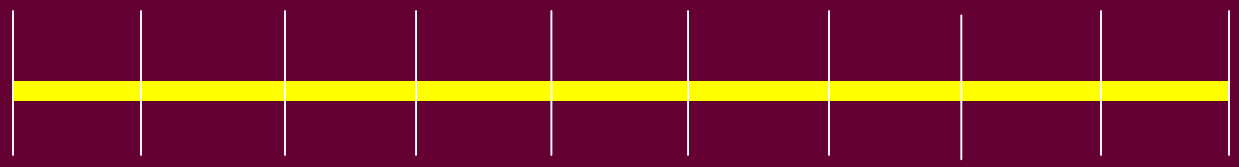
WHERE DO YOU STAND?

Smoking is my God-given right



Smoking in the presence of other people is a crime

DEBRIEFING THE EXERCISE

- The instructions made clear that the science was conclusive: secondary smoke causes cancer.
- There wasn't a disagreement on a technical basis, the disagreement was about values.

TWO VALUES CONTINUA

PERSONAL FREEDOM

PUBLIC WELFARE

GOVERNMENT IS BEST THAT GOVERNS LEAST

GOVERNMENT IS THE PROTECTOR OF PUBLIC HEALTH & SAFETY

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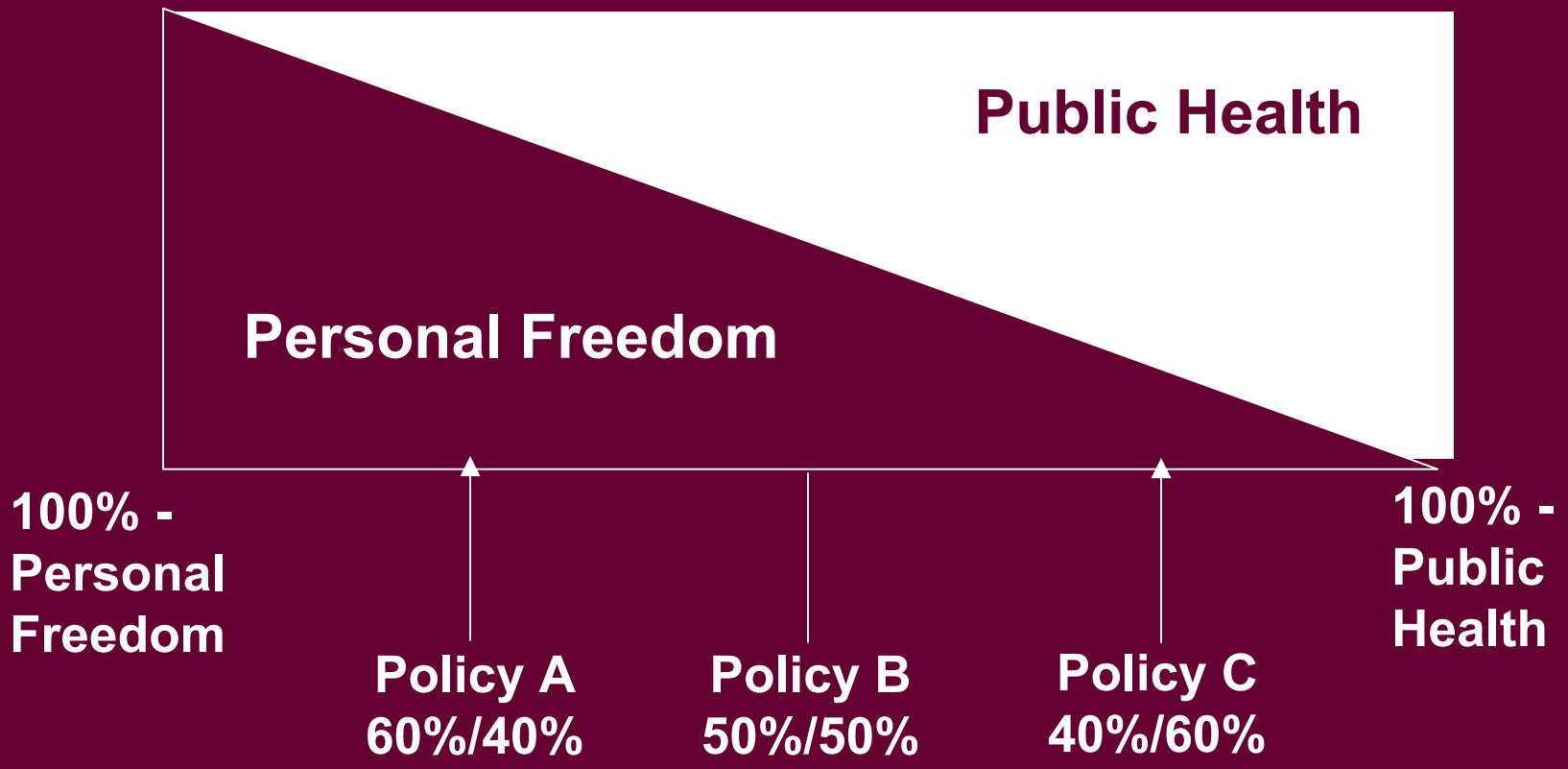
Policies are balance points along a continuum between two "goods."



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A MULTI-DIMENSIONAL VALUES MATRIX

ENVIRONMENTAL PROTECTION	Environmental protection is most important - achieved by individual/private action	Environmental protection is most important – best achieved by a mix of individual action and government action	Environmental protection is most important – best achieved by government action
WHAT IS THE PUBLIC WELFARE?	Environment and economics equally important – best achieved through individual initiative	Environment and economics equally important – but it requires both individual initiative and government action	Environment and economics equally important – but best achieved by government action
ECONOMIC DEVELOPMENT	Economic development is most important – best achieved by individual/ private action	Economic development is most important – best achieved by a mix of individual action and government action	Economic development is most important – best achieved by government
	INDIVIDUAL FREEDOM		GOVERNMENT ACTION

HOW IT IS BEST ACHEIVED

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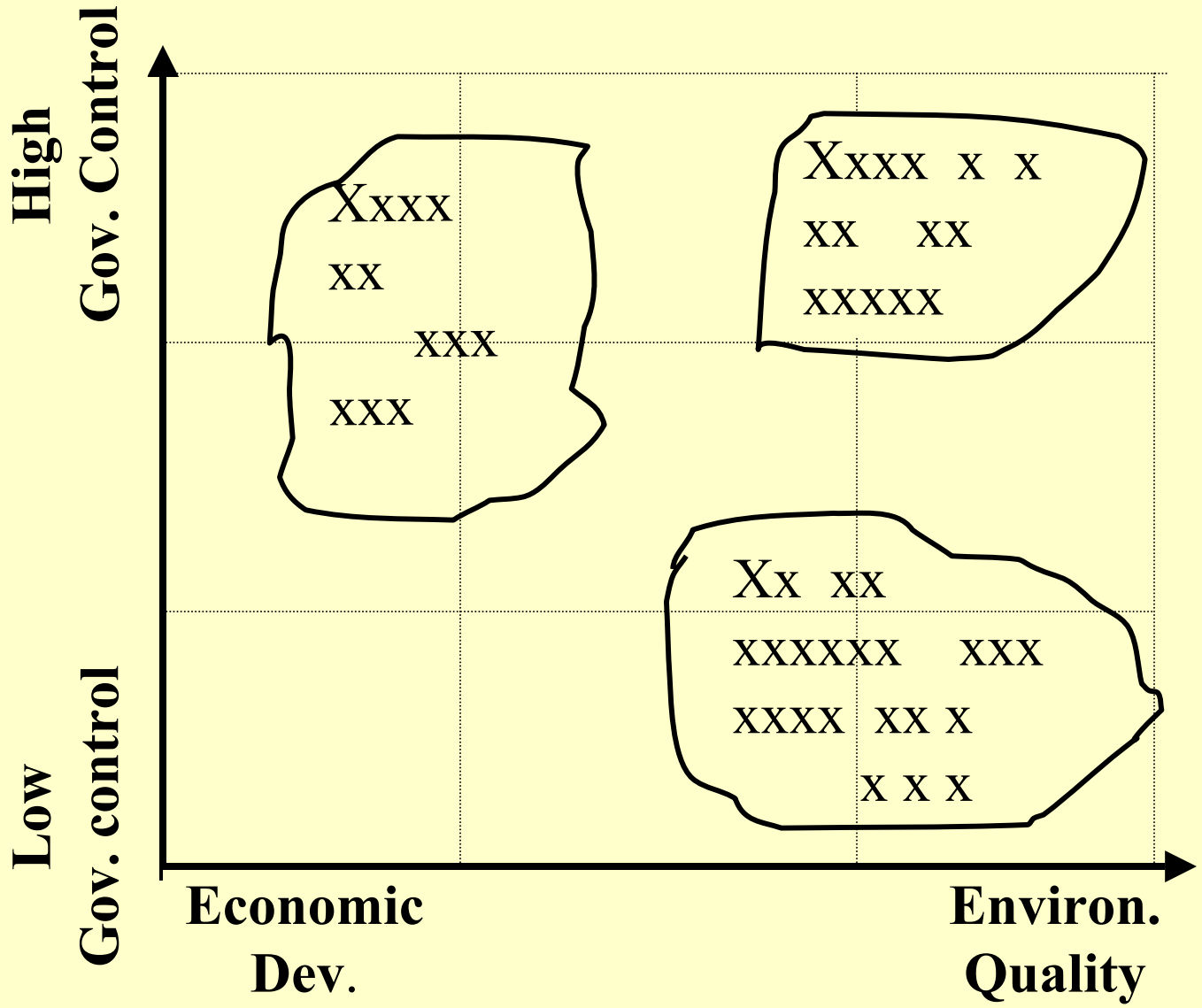
Developing Value Based Alternatives



SOME OBSERVATIONS ABOUT VALUES

- When there are big values differences, the other side will always appear “over-emotional” and “irrational”
- People of similar point of view will cluster together

SOME OBSERVATIONS ABOUT VALUES - Continued

- Agencies develop homogenous values
- People with the same values move ahead
- Different agencies have different values

CHARACTERISTICS OF "TECHNICAL" DECISIONS

- Involve one value dimension, e.g. water quality
- Governed by professional standards
- In theory, two technical people should come up with comparable answers

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WHY INVOLVE THE PUBLIC IN "TECHNICAL DECISIONS?

Most larger decisions made by agencies aren't really technical decisions, but values choices, informed by technical information

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WHY VALUE CHOICES NEED A PARTICIPATORY PROCESS

- Stakeholders view decisions about values as “political”
- Technical training doesn’t make us more qualified than others to decide what’s good for society

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WHY VALUE CHOICES NEED A PARTICIPATORY PROCESS - continued

- Agencies still have to make decisions that involve values choices; but values choices are prime candidates for participation

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WHY VALUE CHOICES NEED A PARTICIPATORY PROCESS

continued

- When agencies are confused about the difference between technical and values choices, stakeholders often begin to second-guess the agency technically

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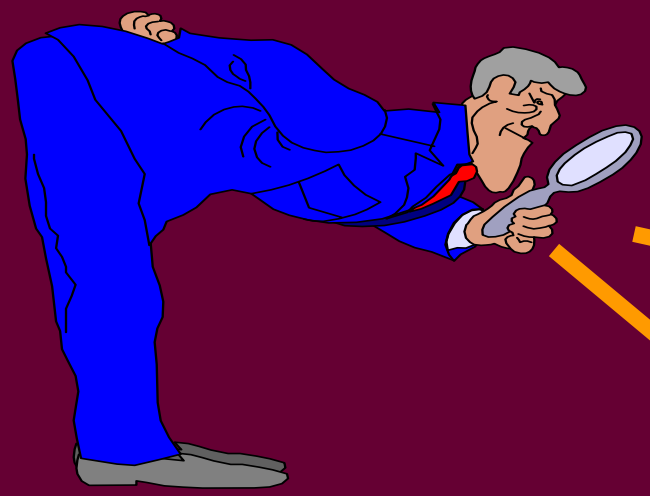
Old Model
Stand off: Value Free: Objective scientist/observer



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New Model

We interact with that which we observe and change it as it changes us in the process

Water management (and water reform) is ALWAYS political…..

Ancient Chinese Characters describing water management

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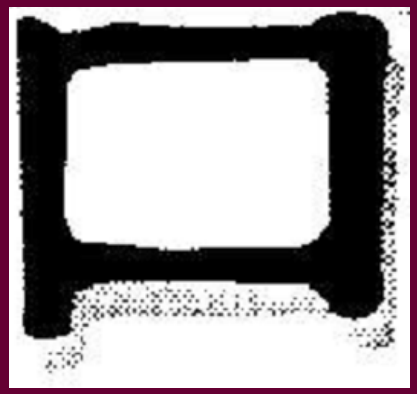

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river + dyke = Political order

CLASS EXERCISE

- Complete instructions are on page
- The instructor will assign you to a team
- In your team, formulate a plan in accordance with the instructions given to your team
- Do not read the instructions given to the other teams

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OVERNIGHT ASSIGNMENT

- Once you are assigned to a team, make assignments to ensure all cases are read overnight, with key points identified for a presentation
- You will have an hour in the morning for your team to prepare a 10-minute presentation for the Chief

TUESDAY

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BRIEFINGS FOR THE CHIEF

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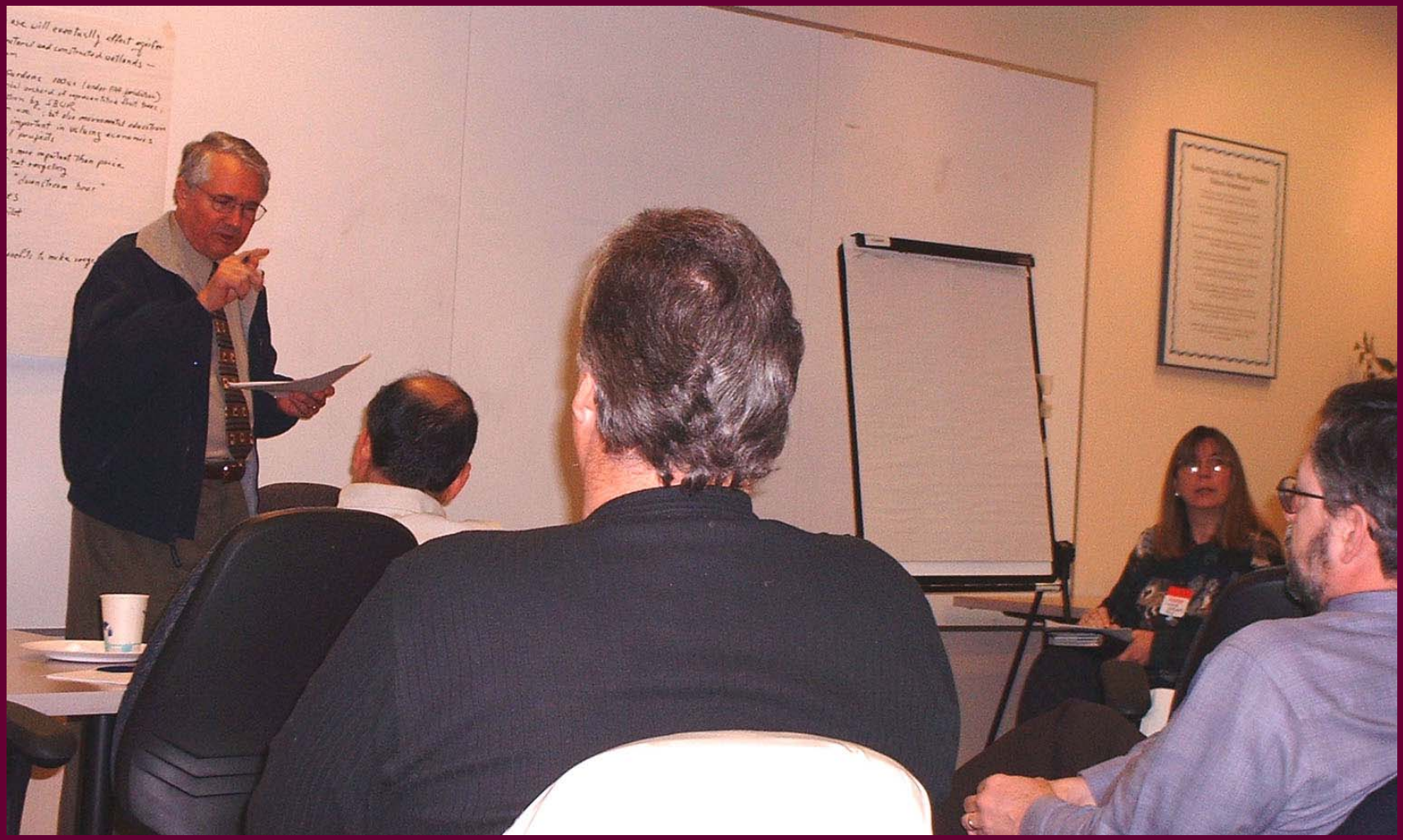

WHY IS “PUBLIC ENGINEERING” IMPORTANT?

TEAM ASSIGNMENT

- Complete instructions are on page
- Urgent message from the Chief's Office
- Delegation tomorrow from a new democracy
- Questions:
  - Why are public engineering agencies needed in a democracy?
  - How are public engineering agencies different from private A/E firms?

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PUBLIC ENGINEERING AND PUBLIC INVOLVEMENT

- Decisions about use and management of resources involve values choices
- Public engineering organizations provide a process for resolving these values choices
- Public participation is central to the Corps' role as a public engineering organization, because it is the mechanism by which we can resolve values differences

WHO IS “THE PUBLIC?”

WHO IS "THE PUBLIC?"

- "The public" changes from issue to issue
- "The public" consists of those who see themselves as having a "stake" in the decision

WHAT IS A "STAKEHOLDER?"

- Stakeholders are:
  - People or groups who see themselves as having rights and interests at stake – those affected
  - Indirectly and directly affected groups
  - Those who can affect
  - Clients are stakeholders, but not all stakeholders are clients

WHO ARE THE STAKEHOLDERS?

Questions to Ask:

- Who might be affected?
- Who is responsible for what is intended?
- Who are representatives of the likely affected?
- Who will be actively against?
- Who can contribute resources?
- Who are the voiceless?
- Whose behavior will have to change?

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WHO ARE THE STAKEHOLDERS?

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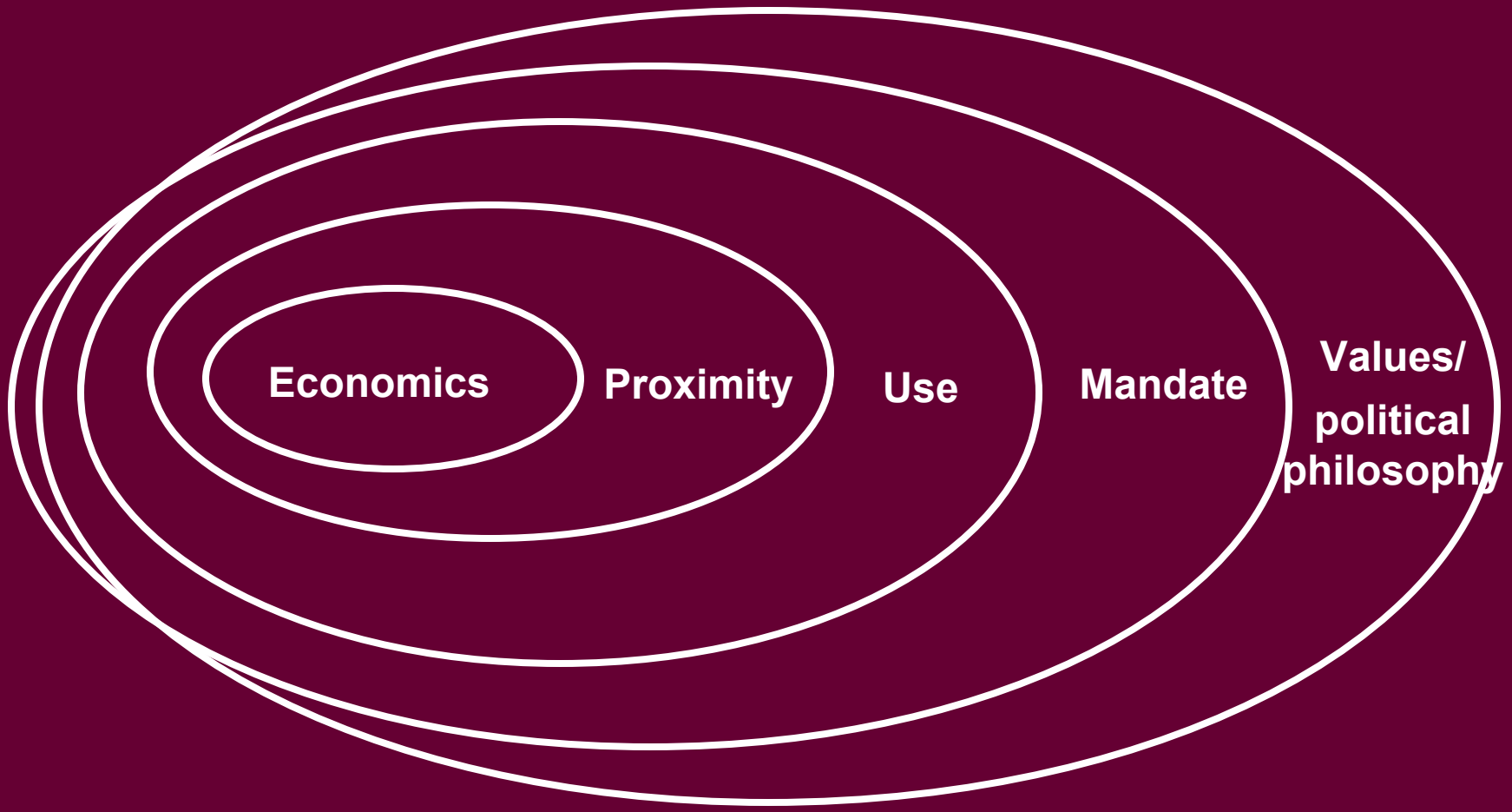
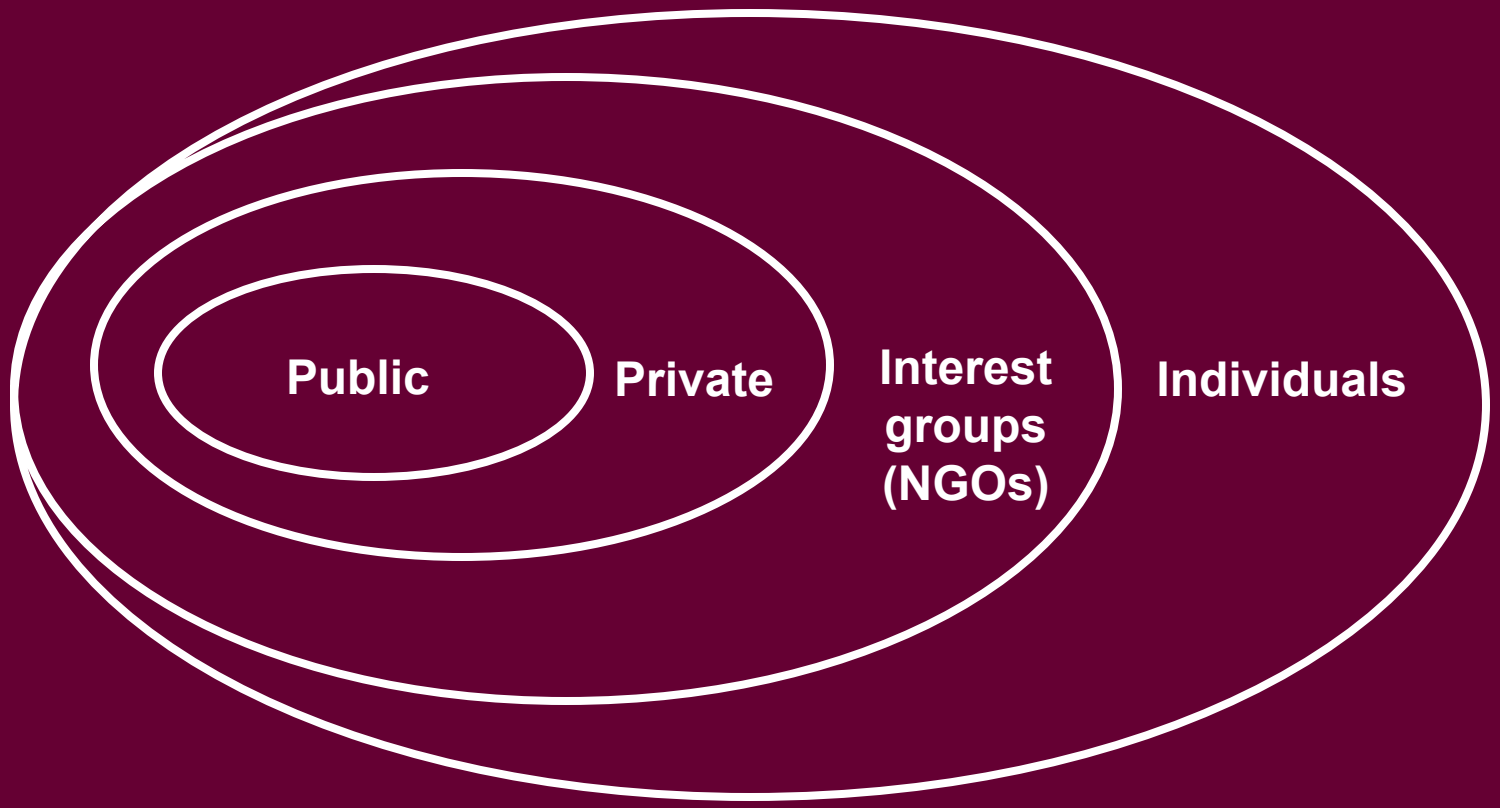
STAKEHOLDERS, BY TYPE OF IMPACT



STAKEHOLDERS, BY SECTOR



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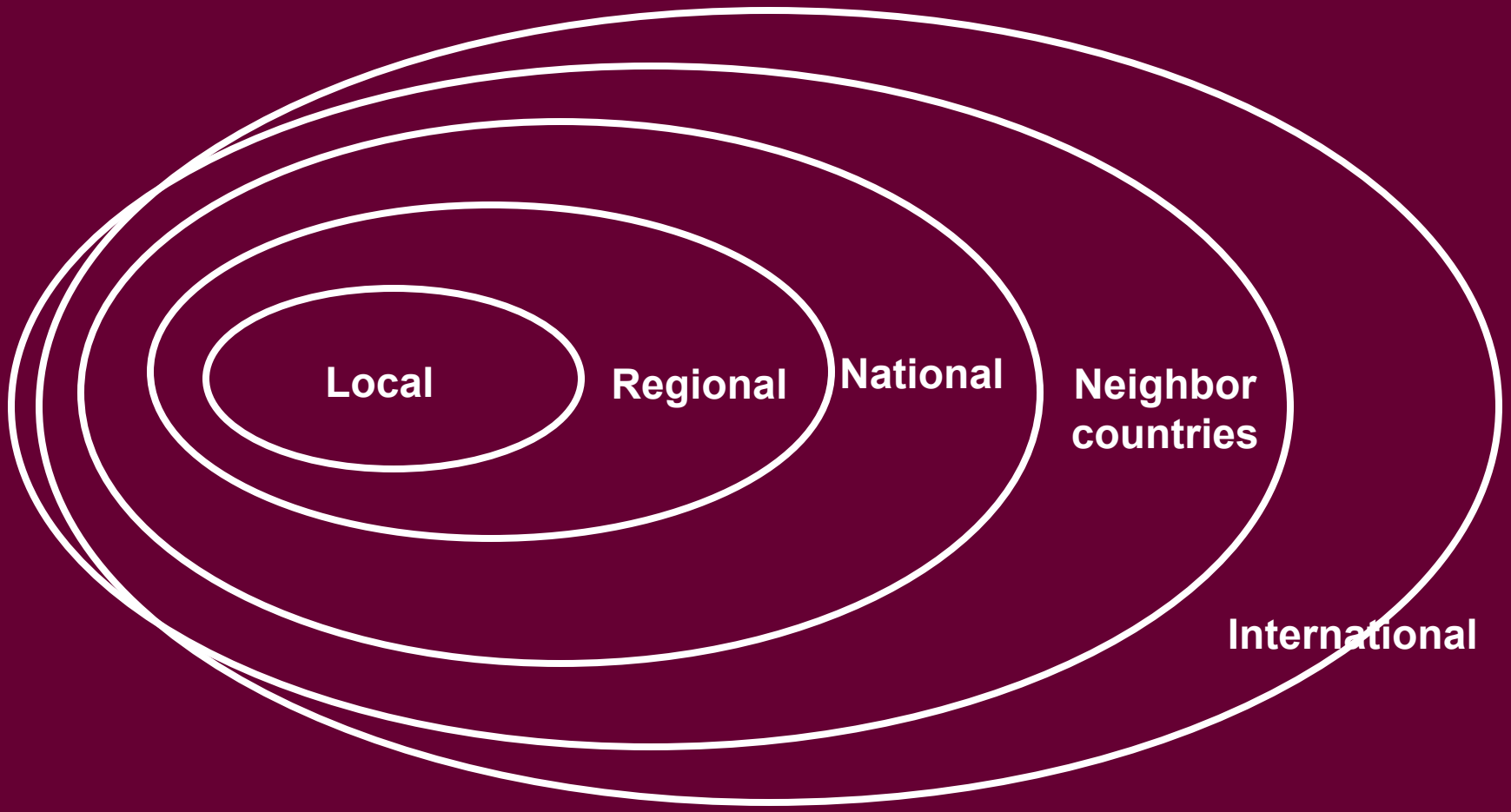
STAKEHOLDERS. BY LOCATION



SELF IDENTIFICATION

Describe the project in a news story, a newsletter, a brochure, or announce a public meeting and see who says they are interested

THIRD-PARTY IDENTIFICATION

- Draw up a list of people you know will want to be involved, and ask them who else needs to be involved
- Ask local elected officials
- Ask other agencies

STAFF IDENTIFICATION

- Intuitive/experiential
- Lists of groups or individuals
- Geographic analysis
- Historical analysis
  - Lists of participants in similar issues
  - Newspaper clippings regarding local issues
  - Correspondence files
  - Public comment sections of EAs, EISs

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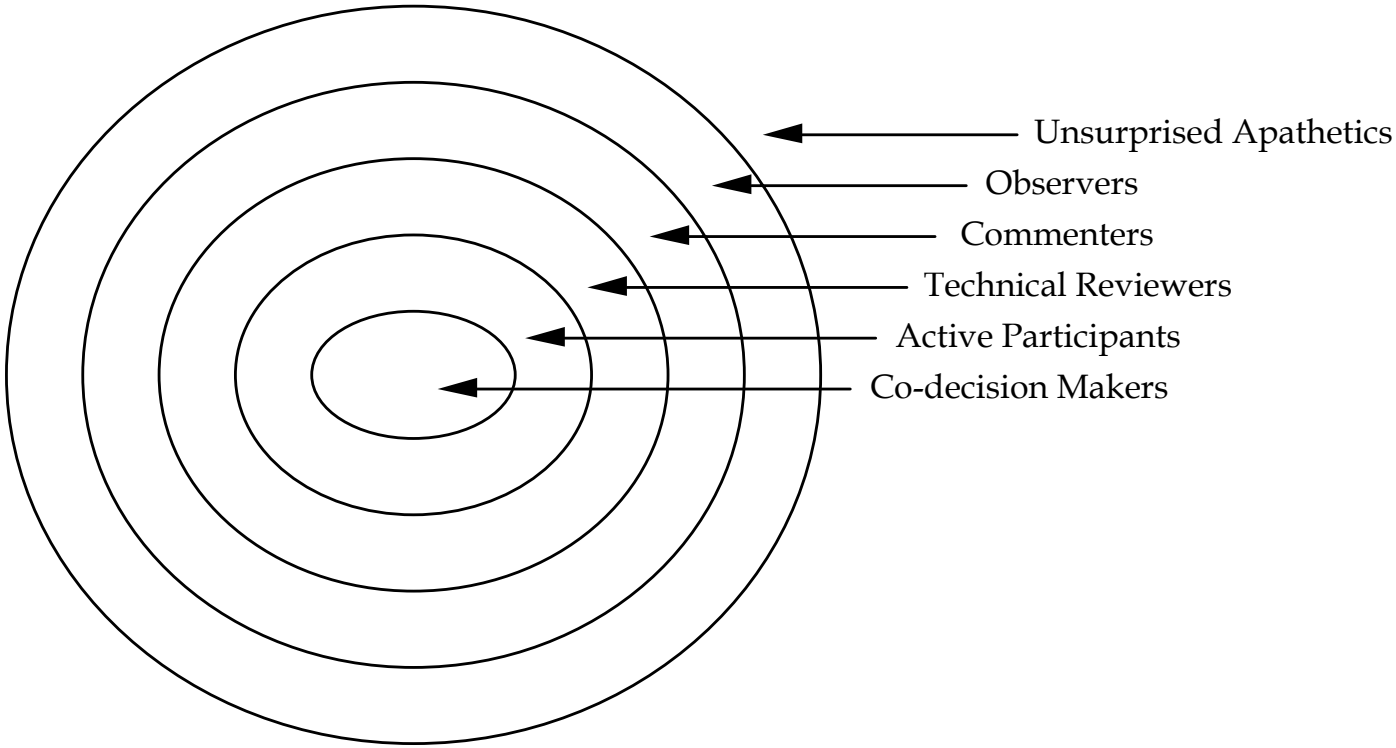
WHAT ROLE DO STAKEHOLDERS PLAY?



Key Issue: The closer to the center you are, the more influence you have on the decision, but the more time, energy and commitment of resources is required

ORBITS OF PARTICIPATION

- Co-Decision Makers
- Active Participants
- Technical Reviewers
- Commenters
- Observers
- “Unsurprised Apathetics”

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DIFFERENT ORBITS MAY BE INVOLVED IN DIFFERENT WAYS

ORBIT OF PARTICIPATION	POSSIBLE MECHANISMS
Co-decision makers	Interagency teams, partnering, negotiation
Active participants	Interactive workshops; advisory groups or task forces
Technical reviewers	Peer review processes. technical advisory committees
Commenters	Public meetings, comment periods
Observers	Newsletters, information bulletins, web pages
Unsurprised apathetics	Press releases; news stories

ASSIGNMENT

1. Complete instructions are on page
2. For your case:

- Identify stakeholders
- Identify the probable position of each stakeholder (positive or negative)
- Estimate how important this issue will be to this stakeholder
- Estimate the power of each stakeholder
- Calculate scores

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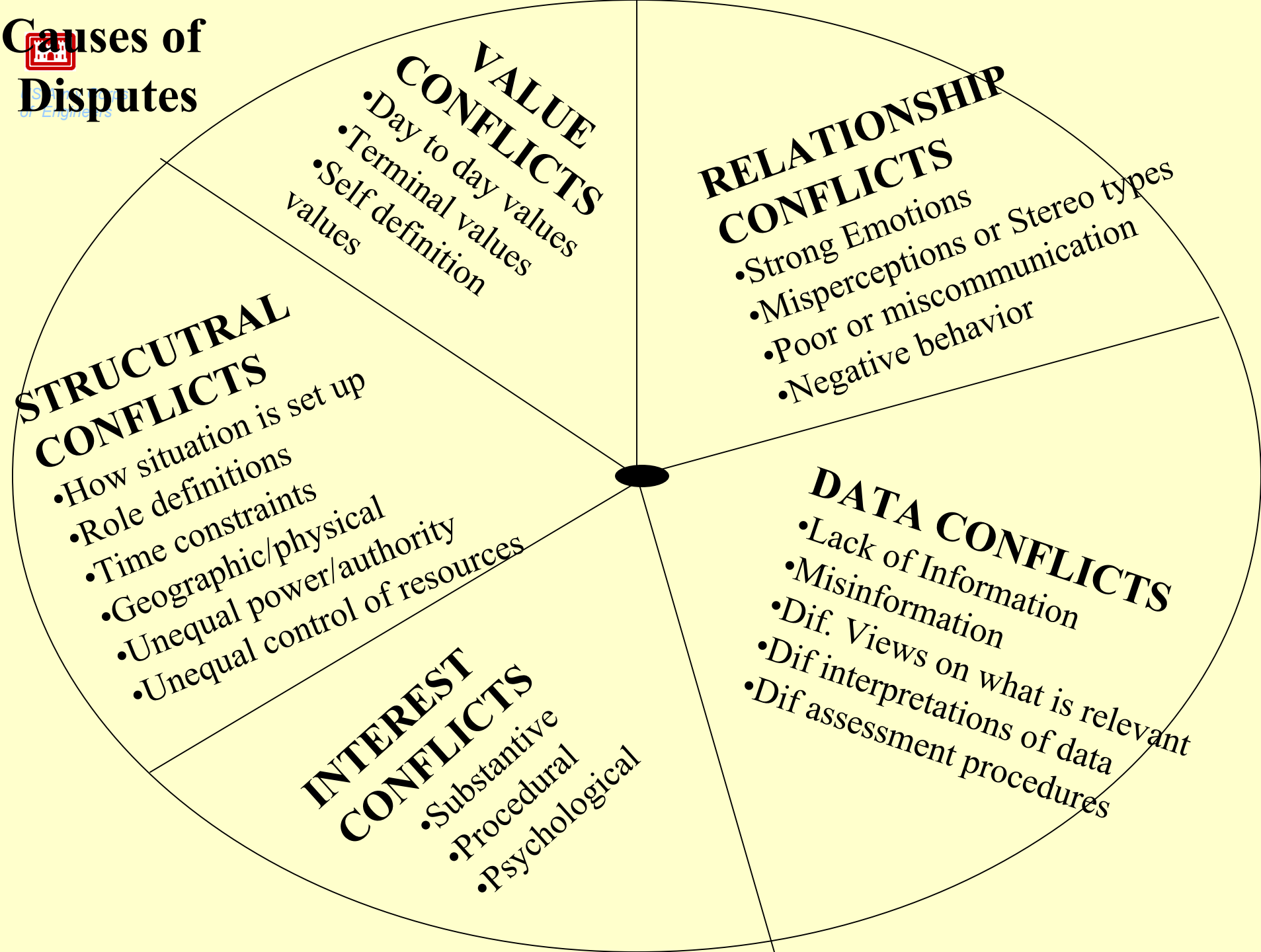
BUSINESS EGGS NEGOTIATION

Causes of Disputes



DE-BRIEFING: BUSINESS EGGS

- The biggest barrier to a successful negotiation in the Business Eggs Case is the perception that this is a “zero-sum game,” meaning that for one side to gain, the other side must give up an equivalent amount.

BUSINESS EGGS - Continued

- Additional levels of complication include:
  - **Reasons to mistrust the other person, e.g. lawsuit, past history**
  - **Time pressure**
  - **Anger that international crime figures could benefit**
- If people believe it is a zero-sum game, they engage in adversarial behavior that guarantees that it will be a zero-sum game.

POSITIONAL BARGAINING

- The sides open the negotiations by taking fixed positions.
- Charges and countercharges about the other parties' behavior or proposals
- The parties enter into a series of reciprocal concessions until a compromise is reached or the negotiations break off.

POSITIONAL BARGAINING

- The absolute best outcome that positional bargaining can produce is a "compromise"
- There's no potential for all parties to be fully satisfied with the outcome.
- The adversarial posturing and unsatisfactory nature of the compromise may destroy the working relationship.

The alternative is to focus on interests…

INTERESTS: ***The fundamental needs or conditions which people or groups must meet for continued survival, success or fulfillment***

…instead of positions

POSITIONS: *The positions people take about how they will achieve their interests.*

FOCUS ON INTERESTS

- Even when positions appear mutually exclusive, parties' fundamental interests may be met in a number of ways.
- When parties get emotionally wedded to a particular position, the position they adopt may exclude a mutually acceptable outcome -- and sometimes is not even in their own interest!

STEPS IN AN INTEREST- BASED PROCESS

1. Focus on meeting everybody's interests, not necessarily their positions.
2. Get everybody to agree on the principles
3. Get everybody involved in generating alternatives

Continued

STEPS IN AN INTEREST- BASED PROCESS - Continued

4. Separate the solution generating process from the evaluation process

5. Reach an agreement on which solutions do the best job of satisfying the principles

INTEREST- BASED PROCESS - Continued

- This approach is entirely consistent with the Corps Six-Step Planning Process
- Just as the “zero-sum” assumption is a self-fulfilling prophecy, experience shows that the belief that there is a solution that meets everybody's interests can also be a self-fulfilling prophecy.

HOW DO YOU IDENTIFY INTERESTS

- The key is listening closely to what people are really telling us
- Most of the time we are just listening to get our arguments ready

ACTIVE LISTENING

CLASS ACTIVITY

- Complete instructions are on page
- The instructor will pair you off
- Agree on which of the two of you will be the “halfway house director” which the neighbor
- Read your own role; don’t read the other role
- Play your roles – your job is to convince the other person you are right

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WHAT HAPPENS WHEN PEOPLE FEEL RESISTED

- They feel compelled to repeat whatever they felt was not acknowledged
- They “escalate” -- more emotional language; voice tone sarcastic; volume increases.
- They become more accusatory.
- Their position becomes more rigid and fixed.
- They become less open to alternatives.
- They start seeing others as the enemy.

ROADBLOCKS TO LISTENING

- Ordering, demanding
- Warning, threatening
- Admonishing, moralizing
- Persuading, arguing, lecturing
- Criticizing, judging, evaluating
- Interpreting, diagnosing

ROADBLOCKS TO LISTENING - Continued

- Advising, giving answers, offering solutions
- Criticizing, disagreeing, contradicting
- Praising, agreeing
- Reassuring, sympathizing
- Probing, questioning
- Sarcasm, kidding, humor
- Diverting, avoiding

WAYS TO ACKNOWLEDGE

- Summarize your understanding of what people are thinking and feeling.
- Record a summary on a flip chart.
- Use the flip chart summary as the record of the meeting.

ACTIVE LISTENING

- Summarize, rather than judge, what the other person is saying
- Summarize both feelings and ideas
- Avoid lead-in phrases – “I hear you saying…”
- Choose words that match the intensity of the feeling

WHY MEETING LEADERS USE ACTIVE LISTENING

- If there is no acknowledgement, people feel incomplete and unsatisfied
- Disagreeing causes escalation
- Agreeing can alienate someone else in the audience
- Active Listening creates an environment in which people begin to share interests, not just positions

WHEN IT IS MOST IMPORTANT TO SUMMARIZE FEELINGS

- Voice tone or word choice shows high intensity
- Repeating the same point
- When people say they are not being understood

HOW AUDIENCES REACT TO MEETING LEADERS

WHEN A MEETING LEADER MUST INTERVENE

- Group has drifted off the agreed-upon topic
- People are interrupting each other
- Comments exceed agreed-upon time limits
- Comments are insulting
- Remind the group of time limits
- To propose the use of a technique

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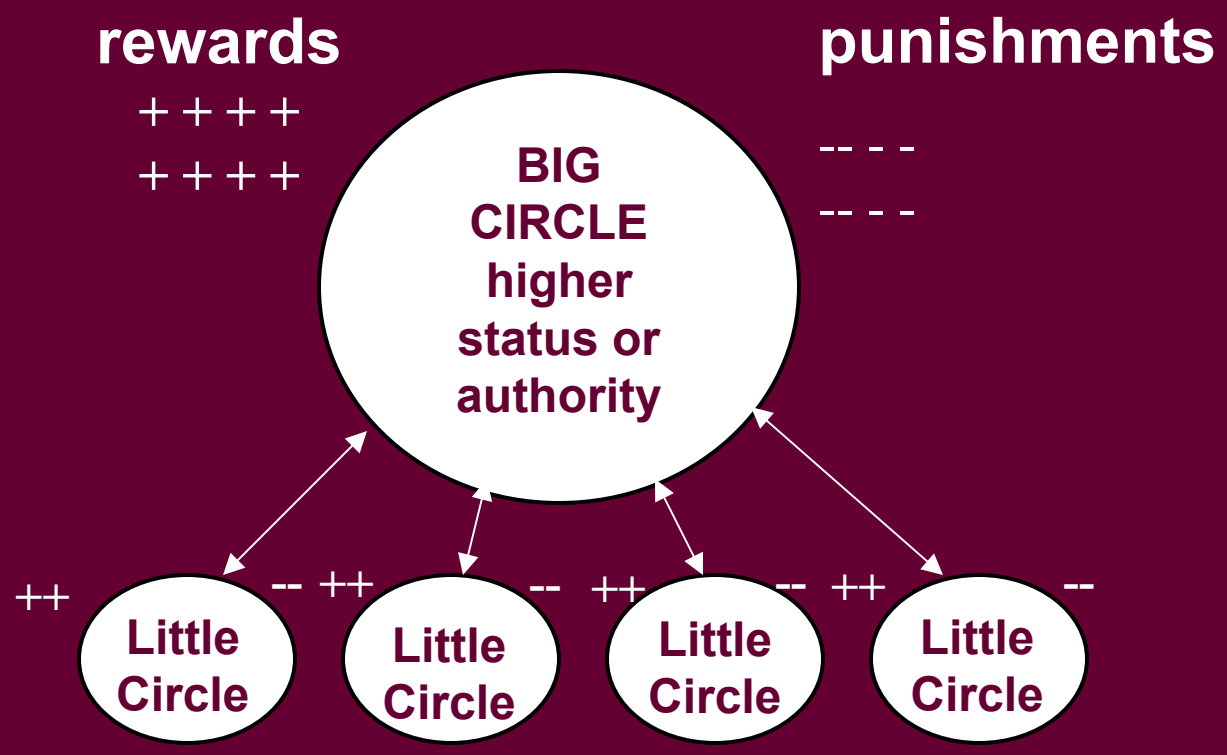
THE PROBLEM WITH USING POWER



THIS CAN LEAD TO "EQUALIZING BEHAVIORS"

- "Cutting down to size" – constant attacks
- Teaming-up in opposition
- Finding another "bigger circle," e.g. courts
- Withdrawal
- Passive/aggressive – no open opposition, but constant undermining, delays, nit-picking

AN IMPORTANT NOTE:

“Equalizing behavior” is a key dynamic between agencies, and between supporters and opponents

OVERNIGHT ASSIGNMENT

- Carefully read the case study assigned to your team
- Think about roles you would like to play, and key issues you would like to see discussed

WEDNESDAY

COMMUNICATING CONCERNS

BEHAVIORS MEETING LEADERS SHOULD AVOID

- Judging, admonishing
- Proposing solutions without giving a reason that makes sense from the audience's perspective
- Using power

WHEN A MEETING LEADER JUDGES OR USES POWER

- It stimulates equalizing behaviors
- The impact is exaggerated due to the psychological size of the meeting leader
- People feel “put down” in front of their friends and peers

COMMUNICATING CONCERNS

- Send the problem, not the solution
- Communicate a feeling – appropriate to your role as a facilitator - not a judgment
- “Own” your feelings
- Describe behavior instead of evaluating it

THE MODEL

I feel (ownership) + feeling word + behavioral description (and sometimes) + suggestion

AN EXAMPLE

"I'm frustrated because I would like to have a lot of interaction, but I'm also concerned that people aren't getting a chance to complete their comments without interruption. Perhaps you could raise your hands and let me call on you."

CLASS ACTIVITY

- Complete instructions are on page
- Silently, write what you would say if you were the facilitator
- Pick a partner
- Discuss how best to send concerns without creating defensiveness or putting people down

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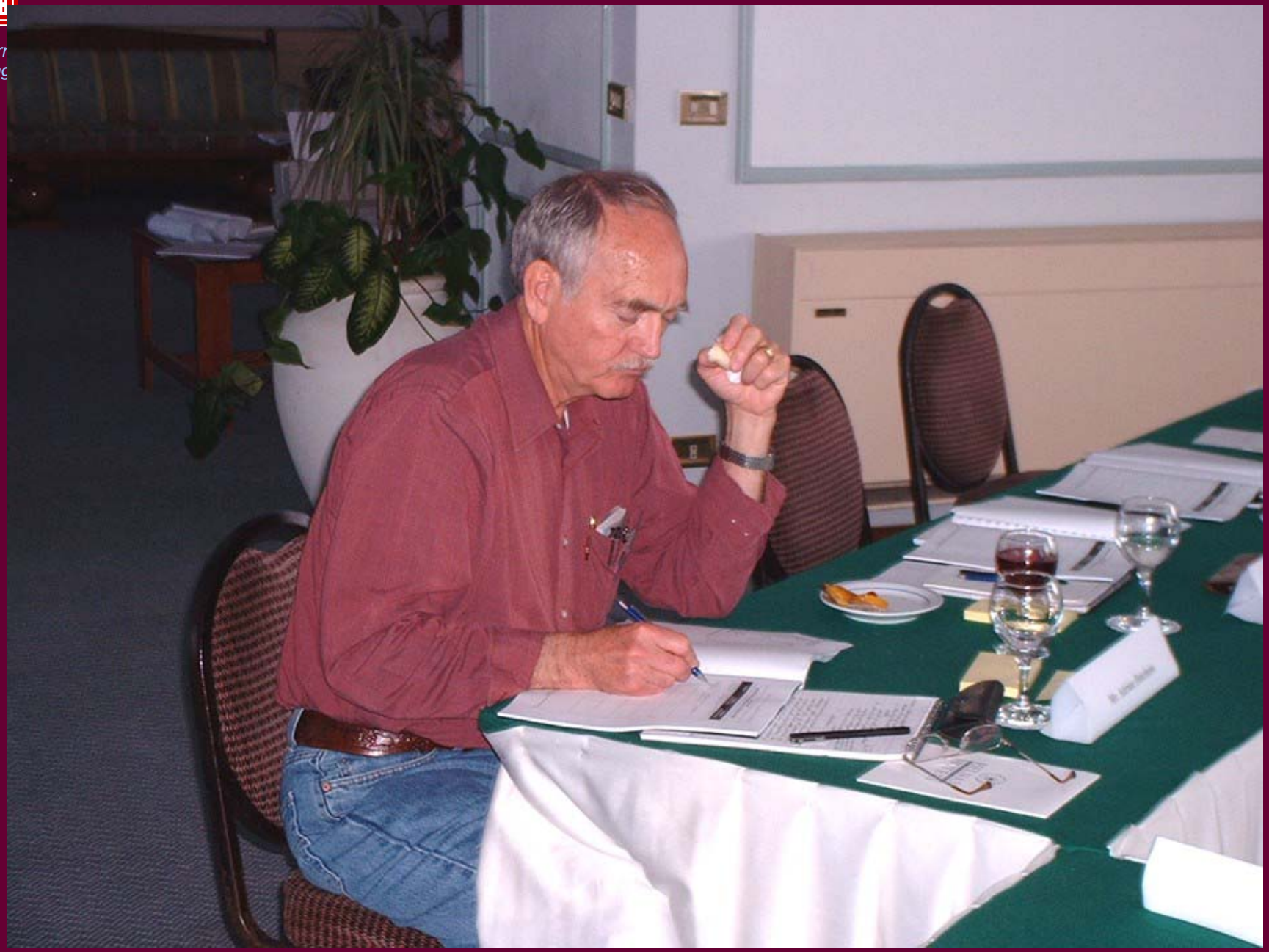

FACILITATION

THE ROLE OF THE FACILITATOR

- Some structure is in everybody's interest
- But if the person running the meeting has a stake in the outcome, people fear that control of the meeting will lead to control of the outcome
- A "facilitator" is given some control over the process, in return for being neutral on content
- Facilitator still consults with the audience on major process changes

THE KEY PRINCIPLE

The facilitator acts on behalf of everybody in the meeting, providing a structure that serves everybody's interests

THINGS A FACILITATOR DOES

- Helps design the meeting process
- Works with the group to set the agenda and ground rules
- Summarizes comments or concerns
- Helps group observe agreements about time limits, staying on track

THINGS A FACILITATOR DOES

- Suggests group process techniques
- May call on speakers
- Restates conflicting positions – so both sides can hear
- Summarizes decisions made by the group

QUALIFICATIONS OF A FACILITATOR

- Skilled in active listening and communicating concerns
- Knowledgeable about group process design
- Personal ability to avoid judging and remain neutral
- Sufficient knowledge about the subject matter so he/she can follow the conversation

THE RECORDER ROLE

- The Recorder keeps a visual summary of what people say
- May use flipchart, wall covered with butcher paper, or laptop with digital projector
- Recorder's summary usually serves as the record of the meeting

POINTERS FOR RECORDERS

- Each participant is the expert on his/her comment – capture the comment the way the participant wants it
- Ask people to review recorder's summary, and make corrections (but only to their own comment)
- Most important to summarize content

OTHER MEETING LEADERSHIP ROLES

- Spokesperson: The person who speaks for the Corps, or states the Corps' position
  - Facilitator and Recorder should never be put in the position of speaking for the Corps
- Fact Person ("expert"): Limited to factual issues only

REMEMBER:

All people in other roles must work through the facilitator or they will undermine the facilitator's control of the meeting

TEAM EXERCISE

- Complete instructions are on page
- Work in your assigned team on your assigned case
- By the end:
  - Identify Problems and Opportunities
  - Develop Objectives and ways to measure effectiveness (“principles”
  - Identify a set of alternatives
- Rotate as facilitator and recorder
- Give each other critique

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DESIGNING AN INTERACTIVE MEETING OR WORKSHOP

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LEVEL OF PARTICIPATION

	HIGH	PARTICIPATORY TECHNIQUE
Agreeing to the decision		Joint Decision Making
		Assisted Negotiations
Having an influence upon the decision		Collaboration/Mediation
		Facilitation/Interactive Workshops
		Task Forces/Advisory Groups
Being heard before the final decision is made		Public hearings
Being informed about the decision being made		Conferences, symposia
	LOW	Public information

PROBLEMS WITH PUBLIC HEARINGS AND LARGE MEETINGS

- Easily “captured” by small but organized activist groups
- Don’t permit dialogue or interaction
- You don’t hear from most people in the audience
- People who come to get information may have to listen to hours of speeches just to get the few pieces of information that they want

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GOALS OF AN INTERACTIVE MEETING

- Reduce “speechifying” and posturing
- Get many more people involved
- Get interaction between people with different viewpoints
- Produce a “product,” e.g., develop lists of brainstorming items, rank items

TYPES OF INTERACTIVE MEETINGS

- Large meeting, work-at-the tables:
  - Plenary session;
  - Discussions at tables to complete an assignment;
  - Plenary session for report outs and general discussion

TYPES OF INTERACTIVE MEETINGS - Continued

- Large group, small group meetings:
  - Plenary session,
  - Audience divided into small groups (possibly using color coding or other systems to create heterogeneous groups) which complete an assignment;
  - Plenary session for report outs and discussion

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LARGE GROUP - ROOM ARRANGEMENTS

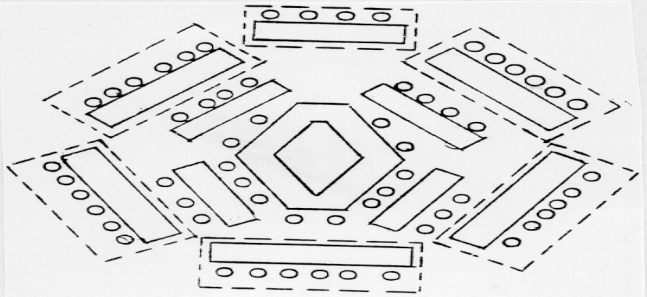

Figure F

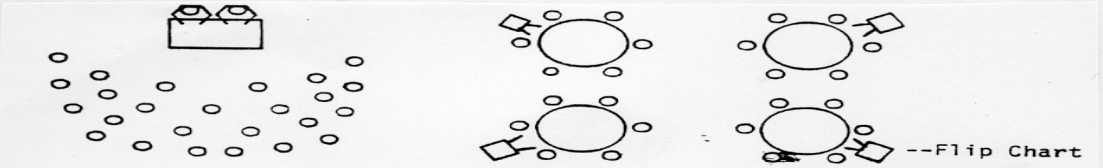

Figure G

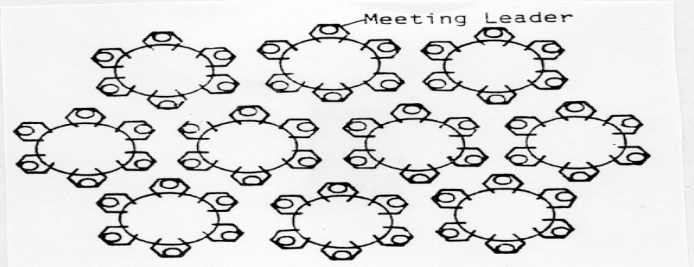

Figure H

TYPES OF INTERACTIVE MEETINGS - Continued

- Workshops: Smaller group, may work as a single group, or use some version of small group format

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SMALLER GROUP – ROOM ARRANGEMENTS

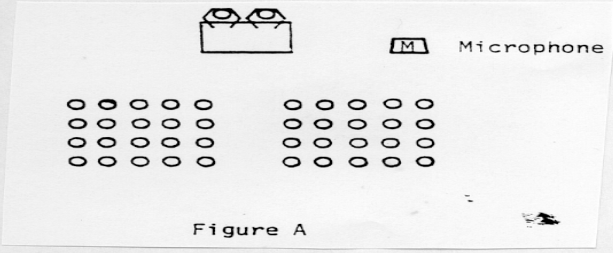

Figure A

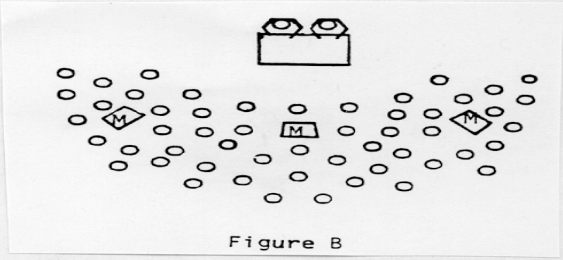

Figure B

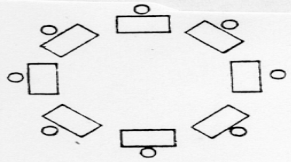

Figure C

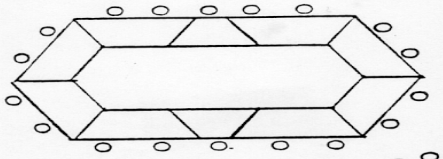

Figure D

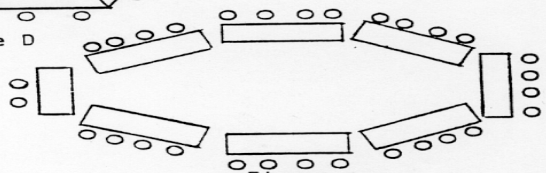

Figure E

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TYPES OF INTERACTIVE MEETINGS - Continued

- Open houses:
  - Drop-in during announced hours
  - “Stations” set up, organized around key topics with an expert on that topic at the station;
    - flip chart for recording comments;
    - chairs at each station to permit small group discussion.
  - Can be an adjunct to other kinds of meetings
  - Do not necessarily result in a product

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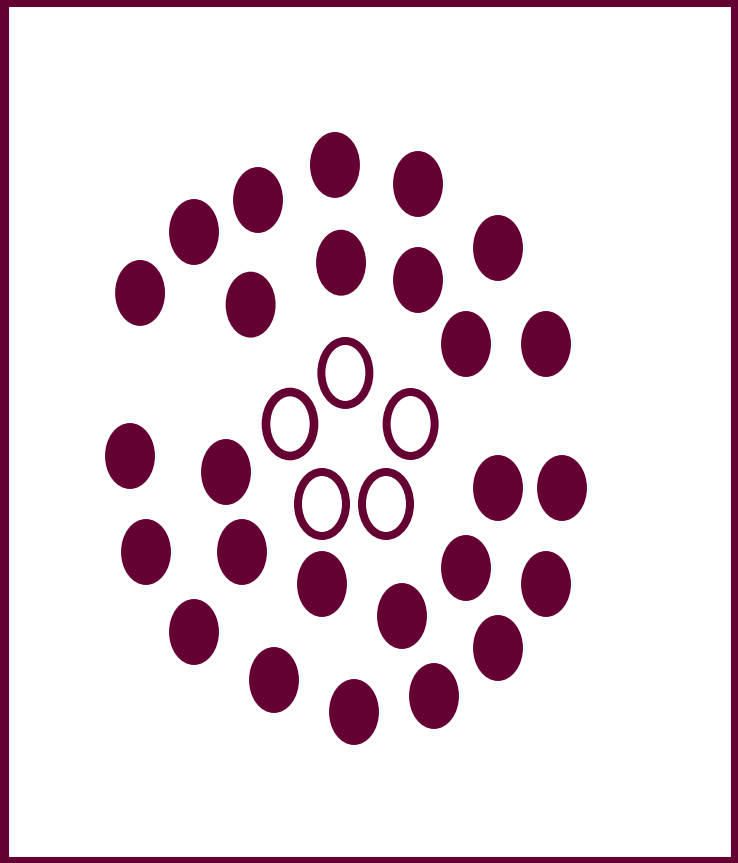
OPEN HOUSE

SAMOAN CIRCLE



- "Inner circle" surrounded by chairs in concentric rows with open aisles permitting access to inner circle
- Complete freedom of interaction within the inner circle
- If you want to speak, get up and move to inner circle

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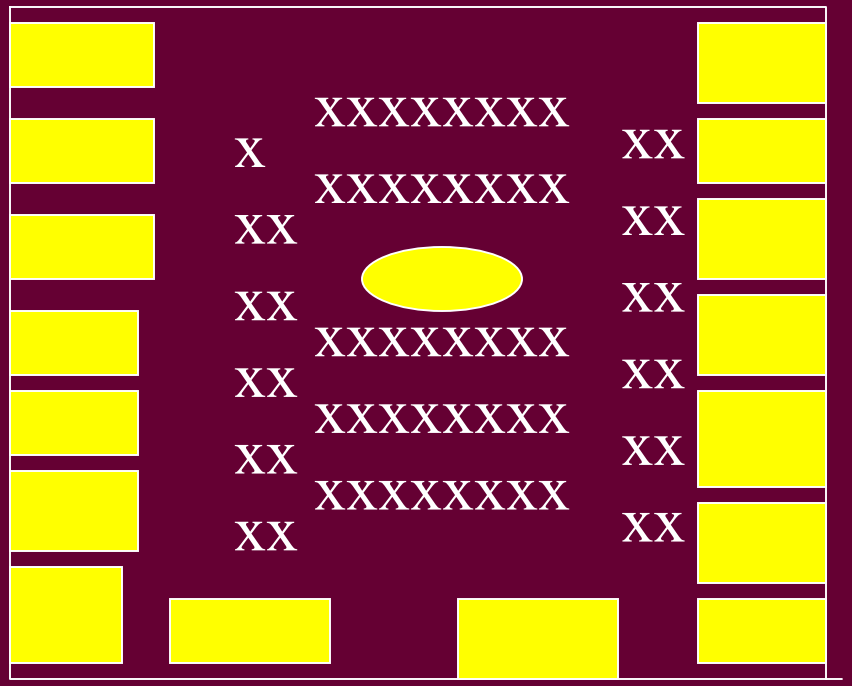
OPEN SPACE

- Plenary session during which any participant can announce a topic
- Room assigned to each topic
- Wall charts for sign-ups
- Person who announced the topic serves as the meeting convener
- Participants move around from group to group as they wish
- Plenary report-back
- Convener prepares summary of his\her group



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DECIDING WHAT KIND OF MEETING YOU NEED

FORMAT FOLLOWS FUNCTION

Is this meeting for:

- **Information giving**
- **Information receiving**
- **Interaction**
- **Consensus formation/negotiation**
- **Summarizing**

WHEN WORKSHOPS MAKE SENSE

- You want high levels of interaction
- You want a “product” outcome
- Stakeholders need to interact with each other
- The numbers of interested people is small enough that a workshop – or several workshops – will handle them

DESIGNING WORKSHOPS

- Facilitated
- Ideal size - 12-15 (but usually larger)
- Duration - 2-3 hours (or more)
- Ways to handle more people:
  - Repeated workshops
  - Daytime/evening workshops
  - Interest groups select representatives

DESIGNING WORKSHOPS - Continued

- Typical Structure:
  - Orientation
  - Group activity to complete a product, e.g. brainstorming lists of alternatives then rankling them
  - Group discussion

WHEN INTERACTIVE LARGE GROUP MEETINGS MAKE SENSE

- You want interaction
- You want stakeholders to interact with each other
- The number of participants is large
- You want high visibility

GRAB BAG OF INTERACTIVE TECHNIQUES

- Force field analysis
- Brainstorming
- Post-it blizzard
- Nominal group process
- Colored dots – “dot democracy”
- Allocate $ (allocate $100 between alternatives)
- Likert scales
- Normative guides

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NOMINAL GROUP PROCESS

- Opening presentation
- Pose an activating question
- Break into small groups/work at tables
- Introductions
- Silent generation
- Record ideas on flip-chart
- Clarify ideas
- Prioritize ideas
- Discuss of results

BENEFITS OF INTERACTIVE TECHNIQUES

- To help groups develop a group identity and grow as a group
- To have groups “own” their own tools of evaluation
- To help groups take stock in a non-threatening way

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DOT DEMOCRACY IN ACTION

INSTRUCTIONS: ***You have three dots, distribute them any why you like; all three on 1 or two on one a one on another, etc.***

Statement 1 xxxxxxx

Statement 2 xx

Statement 3 xxxxxxxxxx

Statement 4 xx

Statement 5 xxxxxxxxxxxxxxxxxxxxxx

Statement n x

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USING LIKERT SCALES

Q. How do you feel about the following statements?

		STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	
Agree that we agree	**Statement 1**	XX XX	XXXX XXXX	XX	XX	
Agree that we disagree	**Statement 2**	XX	XX		XXXX XXXX	XXX
No Pattern	**Statement 3**	XXX	XX	XX	XX	XXX
Polarization	**Statement n**	xxxxx				xxxxx

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EXAMPLE: CREATING THE GLOBAL WATER PARTNERSHIP Stockholm '96

Q1. Concept of Creating a Partnership

STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE
xxx	xxxxxxx	xxxxx		
	xxxxxxx	xxxxx	x	
x	xxxx	xx		
x	xxxxxxxx	xxx	xxx	
xxxxx	xxxxx	xxx	x	

x=Dev(12) x=Mulitlaterals(15) x=Bilaterals(14) x=NGOS(7) x=other(13)

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EXAMPLE: GLOBAL WATER PARTNERSHIP

Q2. Management Report

STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE
	xxxxxxxx	xx	xxxxxxx	
	xxxxxx		x	
	xxxx	x	x	
	xxxxxx	xx	x	
	xxxxxxxxxx	x		

x=Dev(12) x=Mulitlaterals(15) x=Bilaterals(14) x=NGOS(7) x=other(13)

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EXAMPLE: THE GLOBAL WATER PARTNERSHIP

Q3. Mission Statement

STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE
xx	xxxx			
xxxxx	xxxxxxxxxxx	x	x	
xxx	xx	x		
xx	xxxxxx	x		
xxx	xxxxxxx			

x=Dev(12) x=Mulitlaterals(15) x=Bilaterals(14) x=NGOS(7) x=other(13)

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Partnering Evaluation Form

	Low	Below Average	Above Average	Average	Excell
Teamwork					
Understanding "others"					
Walk the Talk					
Mutual Respect					
Openness					
Honesty					
Professionals					
Quality of synergy					
Trust					
Effective Communication					
Responsiveness					
Issues/conflict Resolution					
Goal Clarity					

Total: _____Average_____

Observations:

Plans to implement:

1. (Low) consistently fails to meet expectation of Partnering team
2. (Below Average) Occasionally fails to met expectations of partnering team
3. (Average) Meets expectations of Partnering team
4. (Above Average) Occasionally exceed expectations of Partnering Team
5. (Excellent) Consistently exceeds expectations of Partnering team

ADDED DIMENSIONS AT GLOBAL CONFERENCES

- Multiple languages – simultaneous translation over earphones
- Use of technology for visual recording: white boards, interactive computers, plasma screens, etc.

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AN EXAMPLE: NATIONAL LISTENING SESSIONS

Purpose of sessions was to get input on the following questions:

1. What are the key water challenges facing our country (this region)?
2. Why is it a problem? What impact is the problem already having or is likely to have?
3. What actions should we take to respond to the challenge?
4. Who should take these actions? What should the Federal government do? What can you and your organizations do?

NATIONAL LISTENING SESSIONS

- Continued

- Audience size variable: 50 – 500 (and no way to know for sure until the day of the event)
- HQ wanted to use the same meeting format in each workshop to ensure data would be comparable

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NATIONAL LISTENING SESSIONS

- Continued

- FORMAT
  - Opening presentation by Commander
  - Assignment-at-tables:
    - Introduce around table
    - Silently generate issues/challenges in their region
    - Go around table, one idea as a time
    - Educate each other about the issue
    - Pick 5-6 most important issues
  - Plenary – Reports from Small Groups
  - Issues posted on walls – vote with dots
  - Break or lunch

NATIONAL LISTENING SESSIONS

- Continued

- FORMAT – Continued
  - Plenary: Select topics for group discussions
  - Assign each agree-upon topic to a table
  - Go to the table with the topic that interests you the most
  - At each table, develop an action plan for your issue
  - Plenary: Reports on action plans
  - Closing summary by Commander

TEAM EXERCISE

- Complete instructions are on page
- Your team will be assigned a topic and meeting purpose
- Design a workshop or interactive large group meeting to achieve the meeting purpose

WORKING IN TEAMS

INTERGROUP BEHAVIOR EXERCISE

- Complete instructions on page

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THURSDAY

WORKING IN TEAMS
Continued

SHARING CONTROL OF THE PROCESS

- Teams make joint decisions about how they are going to work together
- When you share control of the process: the team must make decisions about process as well as about content – many people are not used to making team decisions about process, instead process decisions are made by the boss or corporate culture

CAN THE CORPS FACILITATE THE TEAM PROCESS?

- The Corps can try to manage the process in a “facilitative” manner – but whether this is accepted or not depends on the stakes in the decision, the past relationships between the parties (e.g. trust), and the skill of the facilitators

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PROCESS COMMUNICATES RELATIONSHIP

CONTENT	Information, facts, arguments
RELATIONSHIP	How much you value, care about, or respect the other person

Often RELATIONSHIP is communicated in non-verbal behaviors or in other subtle ways to which we respond, often without being aware that we are doing it.

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PROCESS COMMUNICATES RELATIONSHIP - Continued

When people work in groups to reach a decision, they also communicate at these two levels.

WHAT is being decided	Information, facts, arguments
HOW it is being decided	**Who gets to participate in making the decision?** **What information or values are treated as important?** **Who is listened to?** **Who has the most influence on what ?**

PHASES OF TEAM DEVELOPMENT

- Forming
- Storming
- Norming
- Performing

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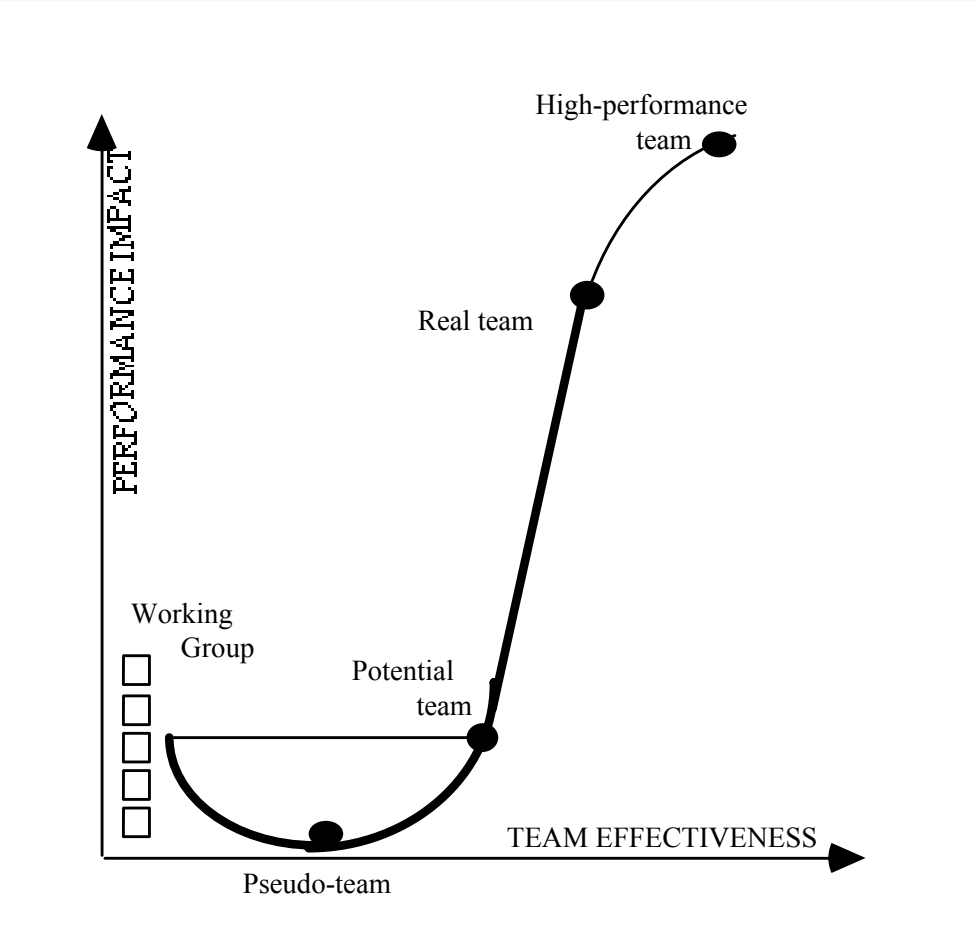
DIFFERENT TYPES OF TEAMS



BASICS OF SETTING UP A TEAM

- Size – 10-12 ideal – may have to use subgroups if larger
- Mix of skills – technical, process, interpersonal
- Common sense of urgency or purpose
- Define a “solution space” with management

BASICS OF SETTING UP A TEAM - Continued

- Goals must be both realistic and a "stretch"
- Team defines way to measure success, so team can tell when it achieves it
- Emphasis on team, not individual, performance
- Approach must be concrete, clear, and understood

BUILDING TEAM PERFORMANCE

- Substitute agreed-upon norms for unconscious expectations
- Spend lots of time together
- Consider having a team room
- Hook up electronically
- Challenge the group regularly with fresh facts and information

BUILDING TEAM PERFORMANCE - Continued

- Agree on meeting procedures and critique how well you are doing
- Agree on a problem-solving process
- Use small group processes to stimulate creativity
- Use visual recording
- Develop a team training plan

BUILDING TEAM PERFORMANCE - Continued

- Schedule periodic “process” retreats
- Plan for how to incorporate new team members into the team
- Celebrate successes
- Recognize the value of different personalities and roles

TEAM EXERCISE

- Complete instructions on page
- Develop a “skit” that illustrates:
  - How a dispute gets started
  - How a dispute evolves if escalation remains unchecked

SEQUENCE OF ESCALATION

- Triggering comment or action
- Proliferation of issues
- Formation of adversarial alliances
- Distortion of communication
- Rigid and extreme positions
- Focus on hurting each other

FIVE LEVELS OF CONFLICT

LEVEL *US Army Corps of Engineers*	MAJOR OBJECTIVE	KEY ASSUMPTION	EMOTIONAL CLIMATE	COMMUNICATION STYLE
1. Problem Solving	Solve the problem	We can work it out	Hope	Open, direct, clear and non-distorted; interests recognized
2. Disagreement	Self-protection	Compromise is necessary	Uncertainty	Cautious, vague and general language; “calculated” thinking begins
3. Contest	Winning	Not enough resources to go around	Frustration and resentment	Strategic manipulation; distorted communication; personal attacks begin; no one wants to be the first to change
4. Fight	Hurting the other	Other party cannot and will not change; no change necessary in self	Antagonism and alienation	Verbal/nonverbal incongruity; perceptual distortions; refusal to take responsibility
5. War	Eliminating the other	Costs of withdrawal greater than the costs of staying	Hopelessness and revenge	Emotional volatility; no clear understanding of issues; self-righteousness; compulsiveness; inability to disengage

BREAKING THE SPIRAL OF ESCALATION

The key:
***TAKE RESPONSIBILITY FOR YOUR OWN BEHAVIOR* -- do not have to let the other person or group's behavior dictate yours**

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BEHAVIORS TO REDUCE ESCALATION

- Schedule regular "process checks" – times you can talk about how you are working as a team without having to have a crisis
- Share concerns <u>before</u> you find yourself accumulating grievances
- Share problems without blaming or accusing
- When people send you positions, probe for the underlying interests

BEHAVIORS TO REDUCE ESCALATION - Continued

- Don’t team-up or “pile-on”
- Check out your interpretations
- Schedule “venting” sessions
- Separate problem-solving session from venting-session
- Consider using a neutral facilitator

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DESIGNING A PUBLIC PARTICIPATION PROGRAM

The goal:

By the time you select techniques you should know:

- Who the stakeholders are at whom the program is targeted
- What has to be accomplished with them at each step in the planning process
- What you'll be doing with the information you learn from them

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DEVELOPING PUBLIC PARTICIPATION PROGRAMS

Three stages:

- **Process appraisal**
- **Process design**
- **Implementation planning**

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PROCESS APPRAISAL

Identify the appraisal team

▼

Clarify the decision being made

▼

Identify decision constraints and schedule drivers

▼

Identify issues and stakeholders

▼

Assess potential level of controversy

▼

Identify “decision-maker”

▼

Determine what level of participation is needed to resolve the issues

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WHO NEEDS TO BE INVOLVED IN THE PROCESS APPRAISAL

People/organizational units that will be impacted by the decision or by open discussion of the topic?	
People/organizational units who will be called on to assist with the public participation effort?	
People with special expertise that will be needed, e.g. writers, graphics?	
People whose participation is needed for credibility?	

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CLARIFYING THE DECISION BEING MADE

What method is appropriate for isolating people from flooding?

What kind of structure should be built?

Where should the structure be located?

DECISION CONSTRAINTS AND SPECIAL CIRCUMSTANCES

- Management pre-commitment to an outcome
- Schedule or resource constraints
- Constraints on release of information
- Opposition to public participation from within the Corps

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SPECIAL CIRCUMSTANCES	YES	NO	IMPACT ON PROGRAM
Cultural/ethnic sensitivities (e.g. most impacted people are from a single cultural/ethnic minority).			
National interest (e.g. most interested stakeholders are in Washington D.C., not near the site)			
Distance (interested stakeholders are scattered over a large area geographically)			
Issue connected politically to other issues - difficult to keep this issue distinct			
Level of interest - outrage versus apathy			
Political sensitivities - key political figures have positions or reputations to defend related to this issues			

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IDENTIFY ISSUES AND STAKEHOLDERS

Issues	Internal Stakeholders	External Stakeholders

WHO IS A "STAKEHOLDER?"

- Stakeholders are:
  - People or groups who see themselves as having rights and interests at stake – those affected
  - Indirectly and directly affected groups
  - Those who can affect
  - Clients are stakeholders, but not all stakeholders are clients

WHO ARE THE STAKEHOLDERS?

Questions to Ask:

- Who might be affected?
- Who is responsible for what is intended?
- Who are representatives of the likely affected?
- Who will be actively against?
- Who can contribute resources?
- Who are the voiceless?
- Whose behavior will have to change?

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WHO ARE THE STAKEHOLDERS?

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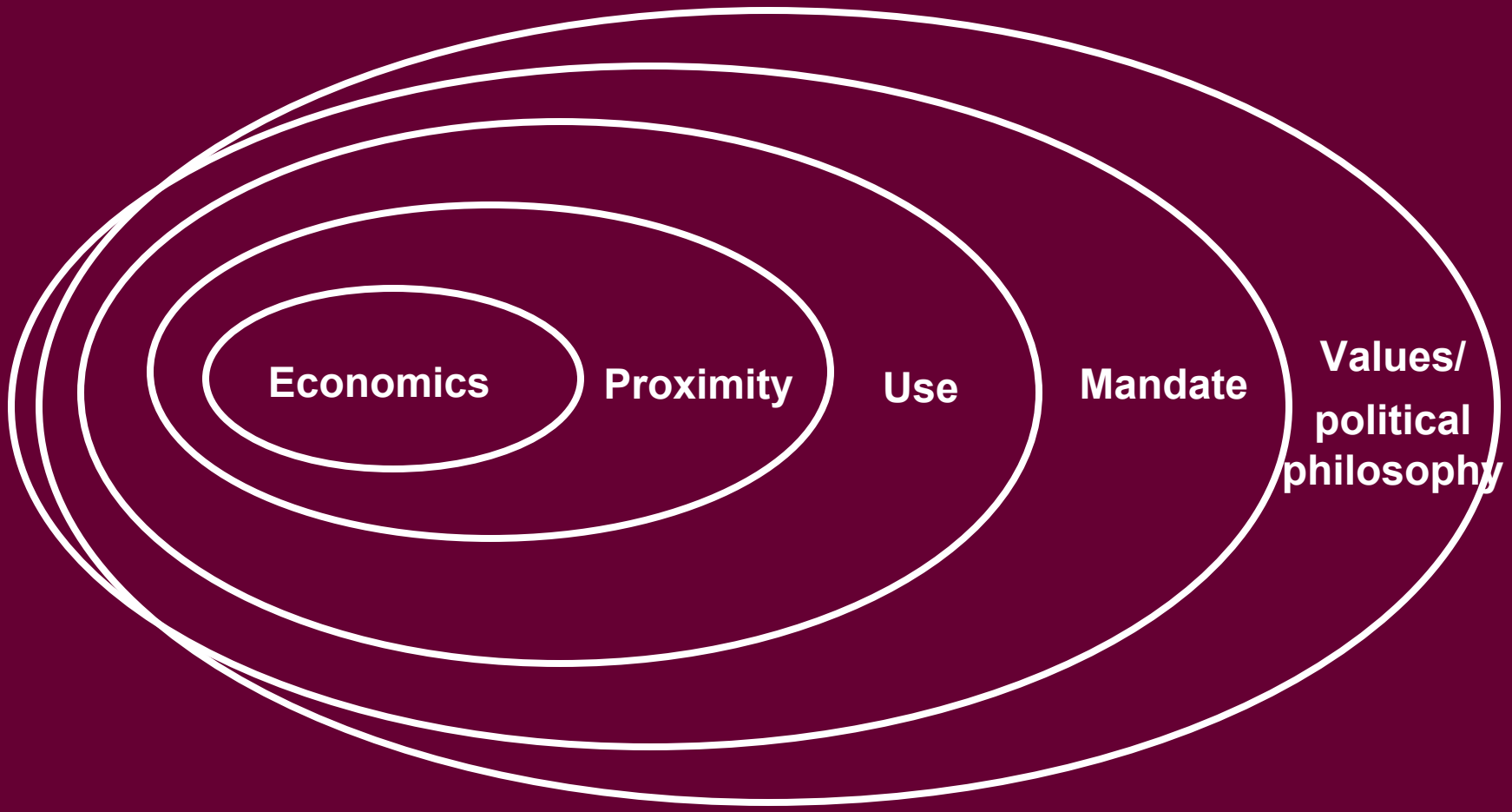
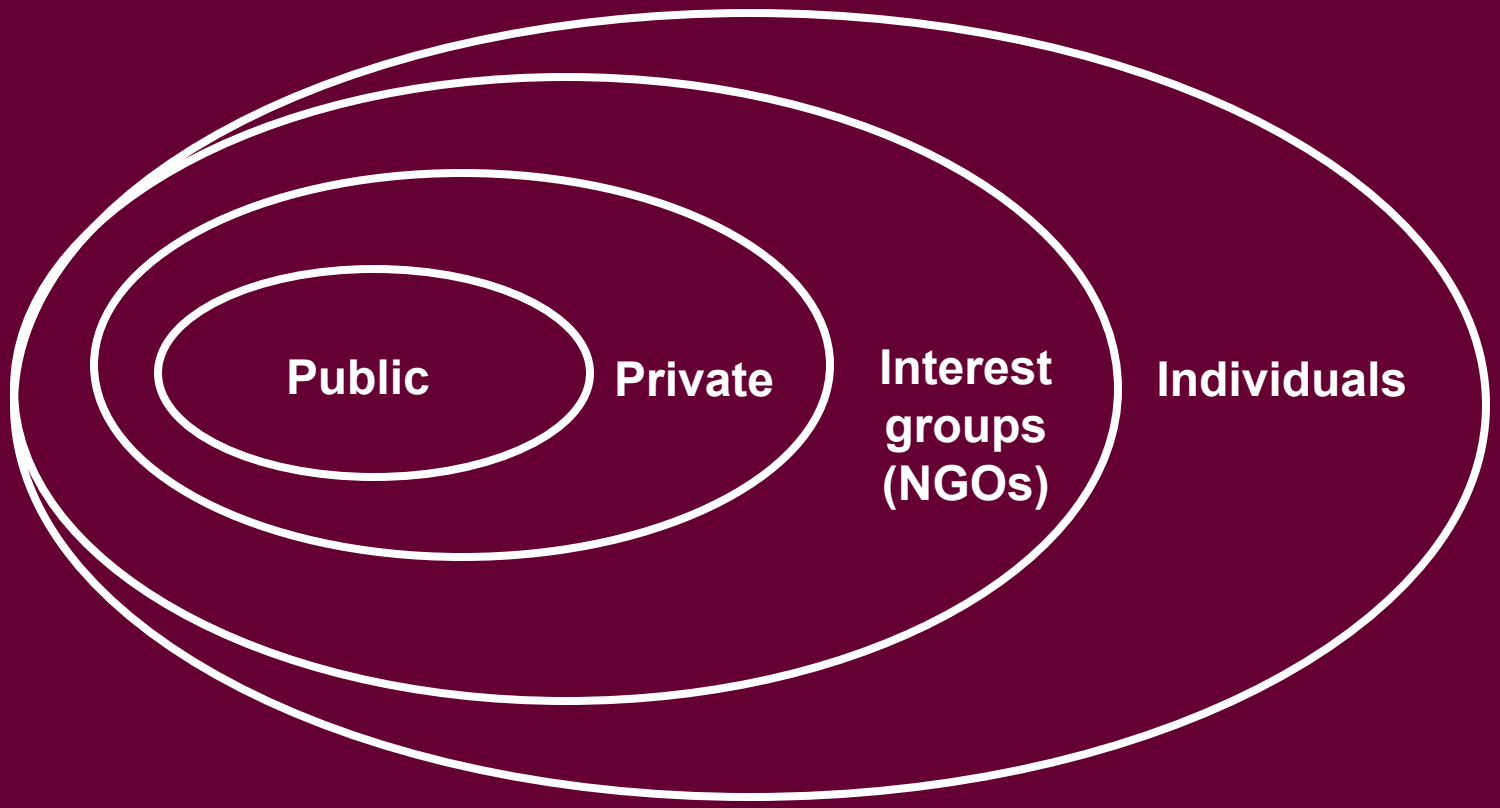
STAKEHOLDERS, BY TYPE OF IMPACT



STAKEHOLDERS, BY SECTOR



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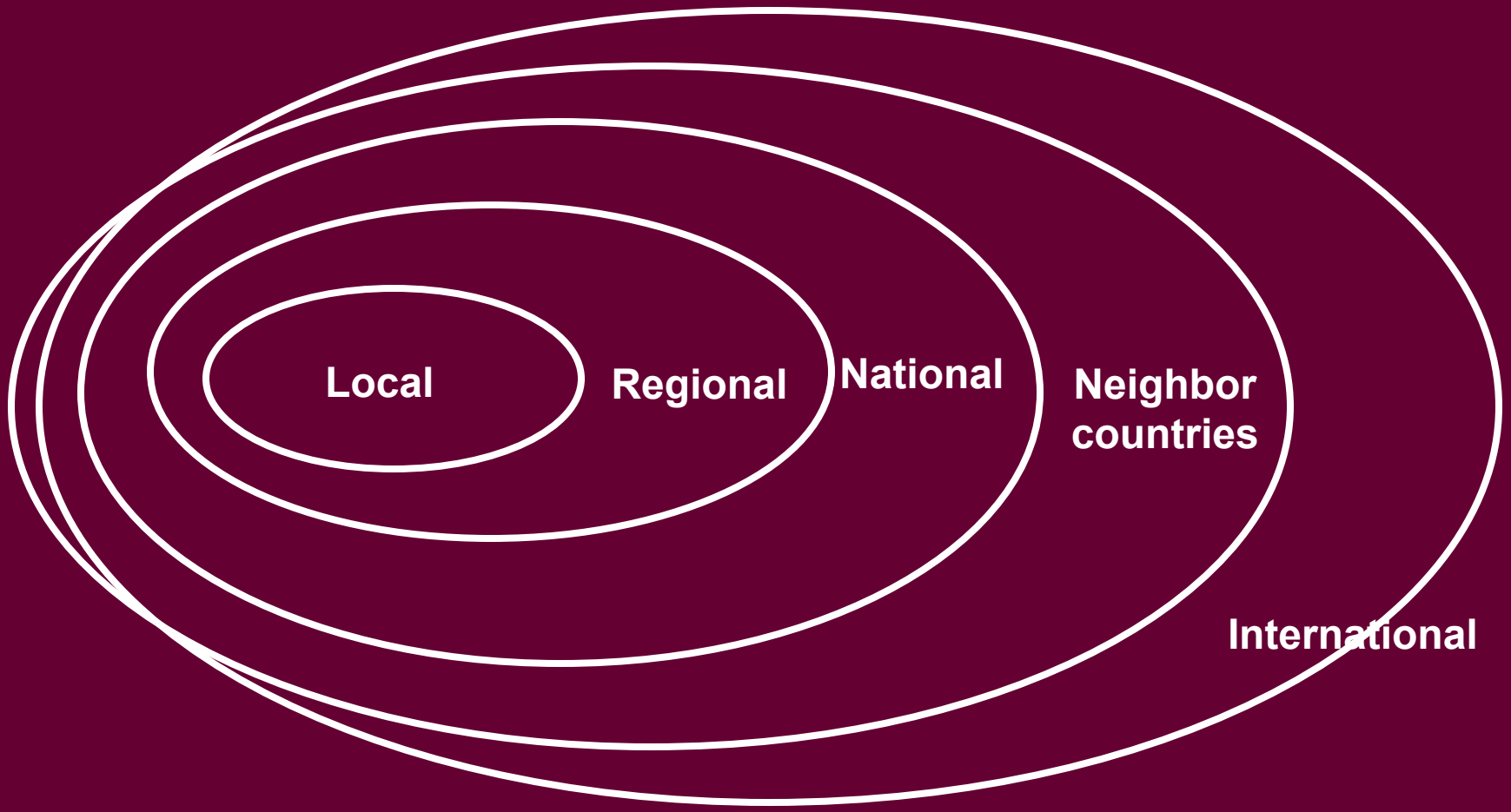
STAKEHOLDERS. BY LOCATION



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DEVELOPING AN ISSUE MANAGEMENT PLAN

ISSUE:	***RESPONSIBILITY***
Studies that must be completed before this issue can be resolved:	
Policy decisions that must be made before this issue can be resolved	
Informational materials that need to be developed to address this issue	
Other actions needed	

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ASSESSING LEVEL OF CONTROVERSY

ISSUE	Prior Contro-versy on same Issue		Tie-in to Another Major Issue/ Power Struggle		Significance to Major Stakeholders			Probable Level of Controversy		
	Yes	No	Yes	No	Low	Med.	High	Low	Med.	HI gh

WHY IDENTIFY THE DECISION-MAKER?

- Worst-case scenario: Work with public, achieve a consensus, but it is over-ruled by someone in Wash DC
- Ask the decision-makers who the critical constituencies are
- Get decision-maker to buy into the process design

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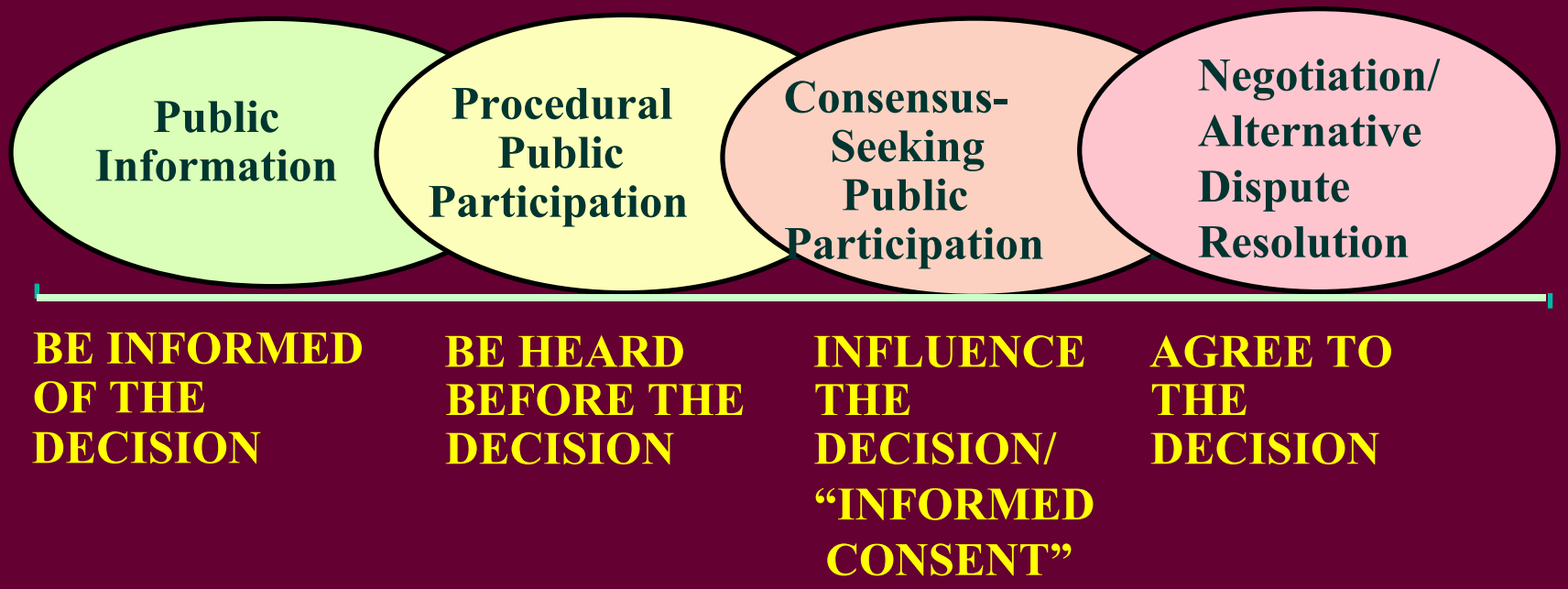
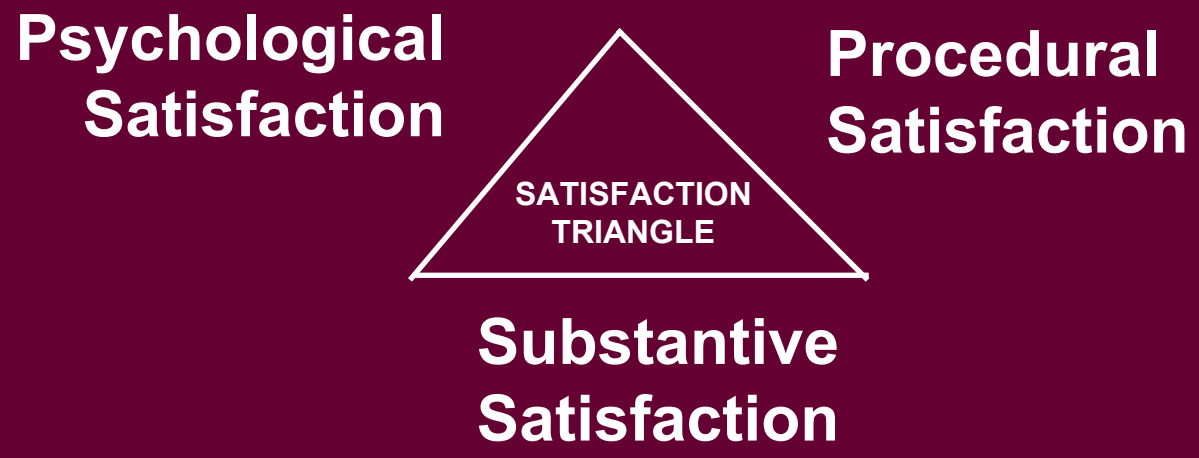
WHAT LEVEL OF PARTICIPATION IS REQUIRED FOR IMPLEMENTATION?



THE SATISFACTION TRIANGLE

- People derive satisfaction from different aspects of participation:



HOW MUCH POWER OVER THE PROCESS ARE YOU WILLING TO SHARE?

- How much control over the process you share depends on the “orbit”
- With co-decision makers: Your chances of achieving a mutually acceptable outcome are low unless you are willing to share control over the process

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HOW MUCH POWER OVER THE PROCESS ARE YOU WILLING TO SHARE?

With public groups:

- Do they bring something to the table [having to share power with someone you see as having less at stake breeds resentment?
- Do they commit up-front to finding a solution (or wait until you make a decision then tell you whether you guessed right or not)?
- Will they commit the time, resources or energy to be a full partner?

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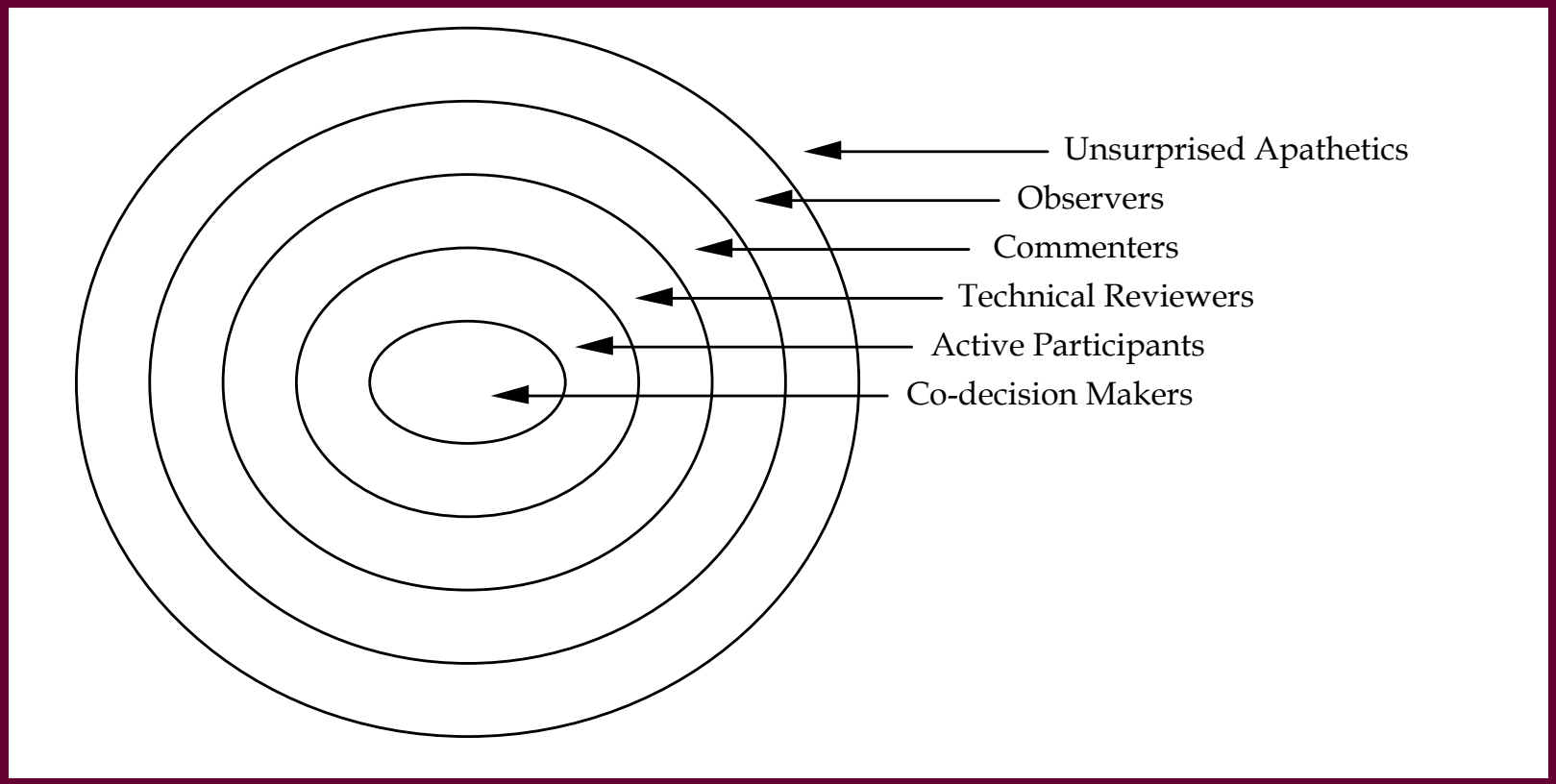
ORBITS OF PARTICIPATION



Key Issue: The closer to the center you are, the more influence you have on the decision, but the more time, energy and commitment of resources is required

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DIFFERENT ORBITS MAY REQUIRE DIFFERENTS LEVELS

ORBIT OF PARTICIPATION	LEVEL OF PARTICIPATION
Co-decision makers	Agree with the decision
Active participants	Substantial influence over outcome
Technical reviewers	Substantial influence over technical methodology
Commenters	Be heard before decision
Observers	Provided complete information
Unsurprised apathetics	Given sufficient information to decide whether to explore further

TEAM ASSIGNMENT

- Complete instructions on page
- Conduct a Process Appraisal for the case assigned to your team
- Agree on 2-3 major things you learned from doing the appraisal
- Be ready to report on these 2-3 major things

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PROCESS DESIGN

Identify the process design team

Identify the steps in the decision making process, and the schedule for completion

Identify involvement objectives for each step

Analyze the exchange of information that must take place to achieve the objectives

Identify appropriate involvement techniques to meet these objectives

Develop a plan integrating the techniques

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WHO NEEDS TO BE INVOLVED IN THE PROCESS DESIGN

People/organizational units that will be impacted by the decision or by open discussion of the topic?	
People/organizational units who will be called on to assist with the public participation effort?	
People with special expertise that will be needed, e.g. writers, graphics?	
People whose participation is needed for credibility?	

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STEPS IN THE DECISION MAKING PROCESS/SCHEDULE

STEP IN DECISION MAKING PROCESS	COMPLETION
Specify problems and opportunities	
Inventory and forecast conditions	
Formulate alternative plans	
Evaluate effects of alternative plan	
Compare alternative plan	
Select recommended plan	10/30/03

Work back from end date

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IDENTIFY PUBLIC INVOLVEMENT OBJECTIVES

STEP IN DECISION MAKING PROCESS	PUBLIC INVOLVEMENT OBJECTIVES
Specify problems and opportunities	
Inventory and forecast conditions	
Formulate alternative plans	
Evaluate effects of alternative plan	
Compare alternative plan	
Select recommended plan	

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Step in the Process	Possible Participation Objectives
Identifying Problems and Opportunities	Obtain a complete identification and understanding of how the problem(s) is viewed by all significant interests
	Agree on evaluation criteria and measures
Inventorying and Forecasting Conditions	Identify key assumptions of stakeholders about future conditions Get agreement on a set of scenarios that portray the range of probable future conditions
Formulating Alternatives	Get agreement that the set of alternatives that has been formulated captures the values orientations of the major stakeholders
Evaluating Alternative Plans	Develop a complete understanding of the impacts of the various alternatives, as viewed by the public Assess the relative merit assigned to alternatives by various interests
Comparing Alternative Plans	Determine which alternative would be the most acceptable
Selecting a Plan	Ensuring the stakeholders are informed on the basis for the decision

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INFORMATION EXCHANGE

Public participation objective:

Assess the relative merit assigned to alternatives by various interests.

To stakeholders	From stakeholders
• The technical feasibility of each alternative	• What various sectors of the public like and dislike about each alternative
• Study results regarding the environmental, economic and social impact of each alternative	•Relative ranking of alternatives by various groups
	• Perceptions about the environmental, economic and social impact of each alternative

TEAM EXERCISE

- Complete instructions are on page
- Complete the Process Design for the case assigned to your team – stopping just before you get to selection of techniques
- Identify 2-3 major things you learned during the Process Design
- Be prepared to report on these major things

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SELECTING PUBLIC INVOLVEMENT TECHNIQUES

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IDENTIFYING APPROPRIATE TECHNIQUES

- Use different techniques to reach different audiences within the public

ORBIT	TECHNIQUE
Co-Decision Makers	Policy committee, partnering
Active Participants	Task force, workshops, interactive meetings
Technical Reviewers	Peer review panel, technical advisory group
Commenters	Workshops, interactive public meetings, public hearings
Reviewers	Newsletters, fact sheets
Informed Apathetics	News releases, media briefings, talk shows

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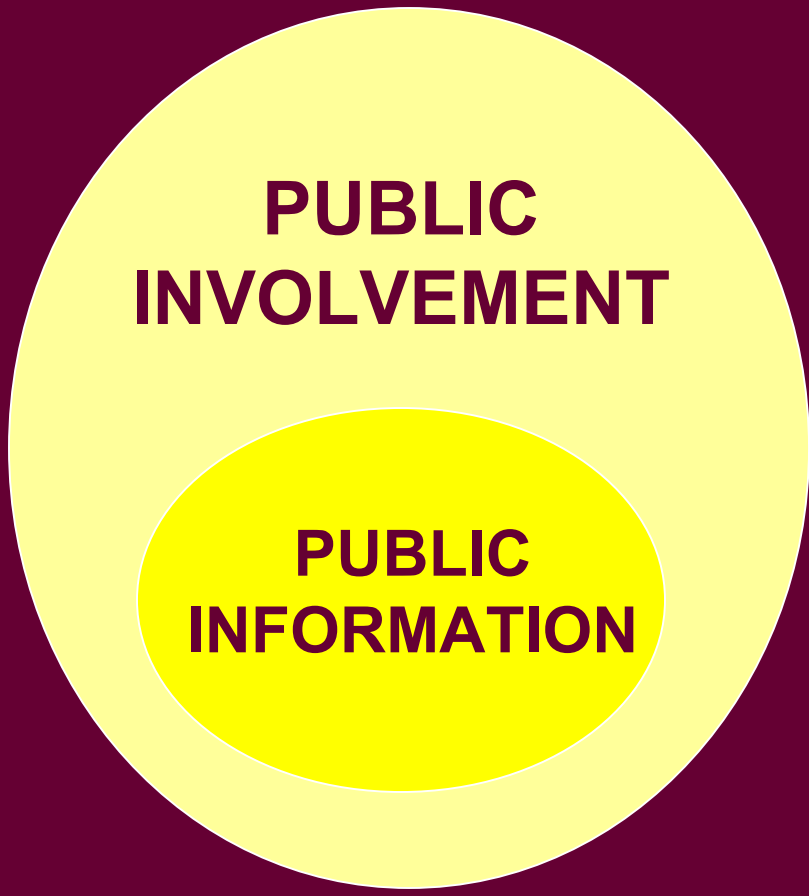
THE PUBLIC INVOLVEMENT PLAN INCLUDES A PUBLIC INFORMATION PLAN

- Inside every good public involvement program is a good public <u>information</u> program -- good public information is a necessary precondition, just not enough in-and-of itself.



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LEVEL OF PARTICIPATION

HIGH

PARTICIPATORY TECHNIQUE

Agreeing to the decision

Joint Decision Making

Assisted Negotiations

Collaboration/Mediation

Having an influence upon the decision

Facilitation/Interactive Workshops

Task Forces/Advisory Groups

Being heard before the final decision is made

Public hearings

Being informed about the decision being made

Conferences, symposia

Public information

LOW

INFORMATION-PROVIDING TECHNIQUES

- Newsletters
- Fact sheets
- Newspaper inserts
- Public service announcements
- Paid advertisements
- Briefings
- News releases
- Press kits

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INFORMATION-PROVIDING TECHNIQUES - Continued

- Exhibits/Displays
- Web pages
- Information repositories
- Mailings – summaries of environmental reports
- Feature stories
- News conferences
- Speaker's bureau

INFORMATION-GATHERING TECHNIQUES

- Focus groups
- Polls, surveys, questionnaires
- Plebiscite

INTERACTIVE TECHNIQUES

- Interviews
- Open houses
- Workshops
- Interactive public meetings
  - Large group/small group
  - Large group at-the-table
  - Samoan circle
  - Open space

INTERACTIVE TECHNIQUES

- Continued

- Public hearings
- Hotlines
- Retreats
- Internet
- Participatory television/cable television

SOME POINTERS

- Use interactive techniques in preference to formal meetings
- If you must use a formal meeting, consider:
  - Make sure it is the conclusion of the public participation process, not the whole process
  - Providing other mechanisms for participation alongside the meeting
  - Use interactive formats to make it less formal

MORE POINTERS

- If the conflicts are between parties, not just with the Corps, use techniques that encourage interaction between the parties
- Maintain visibility -- find ways to preserve visibility even during “internal” study periods

TEAM EXERCISE

- Complete instructions are on page
- Complete the selection of techniques for your case
- Prepare a report on your plan, with emphasis on “why” you made the choices you made

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FRIDAY

STRATEGIC COMMUNICATION

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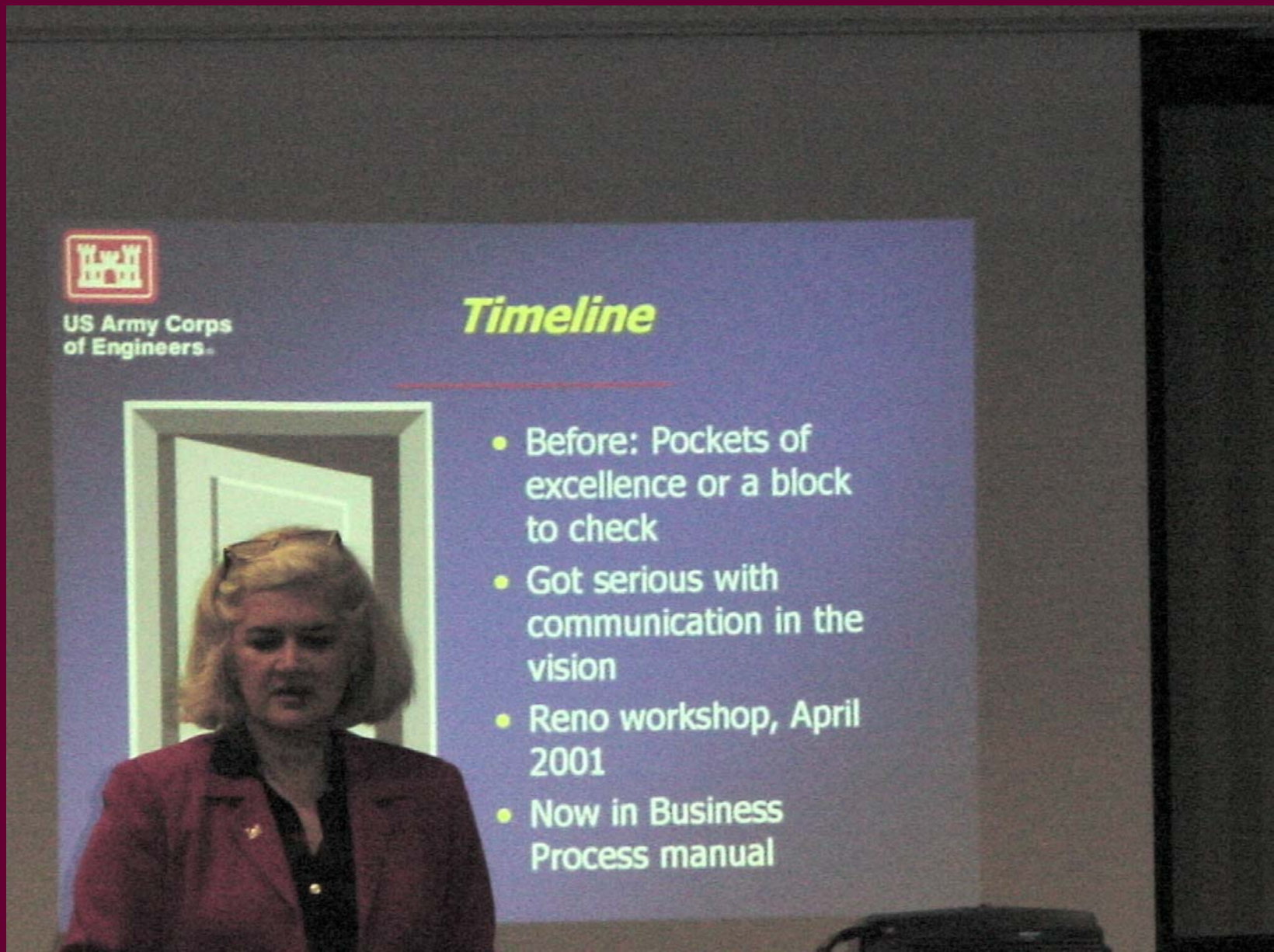
STRATEGIC COMMUNICATIONS



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Integrating Communications into Project Management Plans

The 5-Step Process

TIMELINE

- Before: Pockets of excellence or a block to check
- Get serious with communication in the vision
- Reno workshop, April 2001
- Now in Business Process manual

THE TEAM

- Mostly PMs
- Several other SMEs
- Hand-picked
- Skeptical at first
- Great results!

"We're already having public meetings. Isn't that enough?"

"What is this really going to accomplish?"

We won't have time for this…"

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Integrating Communications into Project Management Plans

The 5-Step Process

STEP 1 -- AUDIENCE

- PDT needs to ask:
  - Who is affected by this project
  - Who affects the project? How? Why?
- To identify stakeholders, consider:
  - Geography
  - Economics
  - Quality of Life
  - Political sensitivity
- Document key information for PDT access

STEP 2 – IDENTIFY ISSUES

- What are the problems, concerns, issues?
  - Technical
  - Institutional
  - Political (Tribal, Federal, State, Local)
  - Environmental
  - Cultural
  - Other
- How do these affect the project?

STEP 3 -- RESEARCH

- Listen to better understand expectations, problems, concerns, issues
  - Talk with local sponsors, customers
  - Talk with interest groups
  - Review existing documents
  - Conducts survey or focus groups

STEP 4 -- COMMUNICATE

- Design communication strategy for each interested party and link to project milestones
  - Determine key messages for each step
    - Timely, clear, honest, sensitive, relevant, open, consistent
    - It's OK for a message to draw feedback, as in "Tell us what you think about this plan…"

STEP 4 – COMMUNICATE - Continued

- Get help
  - Toolbox PAOs are there to help. Involve them early.
- Get stakeholder feedback and use it

STEP 5 - EVALUATE

- Define success: Did the communication strategy…
  - Allow us to define the playing field?
  - Allow us to frame the issues?
  - Bind us to our partners?
- Was the majority of the dialog fact-based rather than emotional?

5 STEPS TO EFFECTIVE INTERVIEWS WITH THE MEDIA

OBJECTIVE

- Help you become a better communicator
- Help you tell the USACE story
- Raise your comfort level

PHILOSOPHY – WHY INTERVIEW

- Public's right to know
- Understanding = Support
- Opportunity to deliver message
- Opportunity to set the record straight

HOW TO APPROACH INTERVIEWS

- Business deal – Mutual gain
- Prepare
- Negotiate

EFFECTIVE INTERVIEWS

1. Get the details
2. Get the questions
3. Develop messages
4. Do the interview
5. Evaluate, improve & inform command

1. GET THE DETAILS

- Name, publication, station, organization
- Ground rules
- Deadline
- Topic & angle
- Ask yourself – Am I the right person?
- Air Date
- Coordinate

2. QUESTIONS & ANGLE

- What are the reporter's questions?
- From what viewpoint are the questions posed?
- What is the objective?

WII - FM

- Every audience is tuned into one station – WII – FM. The call letters for "What's In It For Me?"
- Media needs: facts, figures, quotes, plain English and access

DEVELOP MESSAGES

- Get your team together
- What's the issue?
- Prepare the 5 best and worst questions
- What are the 15 most important words you can tell the audience?
- What are logical follow on questions?

DEVELOP MESSAGES

- First Questions:
  - What outcome do you want?
  - Who is the audience?
- Develop the message using:
  - Logic
  - Word choice
  - Message
  - Legal Issues

MESSAGES

- Army based – America's Army
  - Army Transformation
  - Homeland Security
- Corps Vision-based
  - People
  - Process
  - Communication

4. DO THE INTERVIEW

- Get back to the reporter
- What you like like vs. what you say
- Ready with messages – key phrases
- Listen to the questions
- Respond in terms of people – not programs or statistics
- Tape the interview – audio or video

MAGIC WORDS – BOWING OUT

- I'm not prepared to talk about that issue today. Let's schedule…
- The answer to that would be pure speculation. <<<STOP>>>
- My personal opinion isn't important, what's important is…

MAGIC WORDS - BRIDGING

- …just as important is …
- Another important point …
- We may be overlooking the facts …
- I don’t know about that, but what I do know …
- No, let me explain …

MAGIC WORDS - FLAGGING

- Don’t lose sight of the fact …
- The most important thing is …
- (I think) It boils down to …
- Focus on this one point, because …
- Let me correct something you said …

IN FRONT OF THE CAMERA

- Objective: Deliver your message
- Objective: Tell the truth
- Variety of formats
- Pick out strong points
- Television interview techniques good for all media interviews, press conferences, public meetings

TALK SHOW FORMAT

- Answers short – messages simple
- Speak in English
- Be aware of body language
- Talk with the interviewer
- Always take a PAO with you
- Watch the show

STAND UP

- Sound bite answers
- Give your message
- Speak in English
- Talk with the interviewer

REMOTE

- Unusual situation
- No reporter
- Talk to the camera

AFTER ACTION

- Provide promised material
- Develop any new messages
- Inform appropriate people
- Accept a balanced story
- Set the record straight if appropriate

EVALUATION

- How did you look?
- How did you sound?
- What did you say?
- What message received/used?
- What was your overall impact?
- Will your mother be proud of you?

ADVANCE PLANNING

- Get your PAO on the team
- Philosophy: Maximum Disclosure – Minimum Delay
- Develop communication plan, sample questions & answers
- Consider public interest
- Educate reporters, special interests

ADVANCE PLANNING - Continued

- Prepare 5 best questions
- Prepare 5 worst questions
- Do it NOW and keep updated
- Watch television interviews critically

READING MATERIAL

- Media card
- USACE Public Affairs Resource Page:
  - http://www.hq.usace.army.mil/cepa/paresources/paresource.htm
- Communicators Guide:
  - http://www.fcn.gov

SPECIAL ISSUES

- Federal Advisory Committee Act
- Conducting polls & surveys
- Public Hearing Requirements
- Using the Internet

FEDERAL ADVISORY COMMITTEE ACT (1972)

- Recognize the value of public advice and counsel
- Provide advice that is relevant, objective, and open to the public
- Act promptly to complete their work
- Comply with reasonable cost controls and record keep requirements

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GSA APPROVAL OF ADVISORY GROUPS

- Advisory committees must receive approval from a GSA secretariat before they can be established
- This process can take at least 6 months
- Most of what GSA wants to see is consistent with good public involvement
  - Representative
  - Open
  - Good records

EXAMPLES:
CORPS FACA COMMITTEES

- Chief of Engineers Environmental Advisory Board
- Inland Waterways Users Board
- U.S. Army Coastal Engineering Research Board

EXCEPTIONS TO FACA

- No approval required if group is not asked to produce a group recommendations or reach consensus, i.e. OK if opinions are expressed as individuals
- Example: Environmental Management Program Committee, Upper Mississippi EMP – considering a coordinating group, not a decision making group

CONDUCTING POLLS & SURVEYS WITH FEDERAL MONEY

- Law designed to protect the public from intrusive questioning, e.g. regulators asking questions of the people they regulate
- Basically, if you are going to use a formal poll, survey or questionnaire, you must first get OMB approval
- Takes at least 6 months

CONDUCTING POLLS & SURVEYS WITH FEDERAL MONEY

- Continued

- OMB review is primarily to ensure it isn't intrusive and uses good research design
  - Representative sample
  - Questions aren't "leading" or biased
- Can't pass Federal money on to a state or partner to do the survey/poll

CONDUCTING POLLS & SURVEYS WITH FEDERAL MONEY

- Continued

- Options:
  - Conduct interviews – use open-ended questions
  - Arrange for someone else to do the poll/survey

PUBLIC HEARING REQUIREMENTS

- Minimum requirements:
  - Adequate public notice - minimum two weeks
  - "Complete record" - usually a court reporter transcript – but could be a typed-up tape recording
  - "Hearing Officer" – but doesn't specify meeting leadership style

CREATIVE HEARINGS

- Motor home river basin study
- Phone-in telethon
- Phone-in comments
- Railway caboose

USING THE INTERNET

- Present state-of-the art
  - Web page for major studies
  - Using the Internet to get out announcements to people who are actively involved
  - Using the web page as the information repository
  - Experimentation with interactive forums, e.g. EPA Public Involvement Policy

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DOES USE OF THE INTERNET BUILD IN A "DIGITAL DIVIDE"?

- Problem: Not everybody has access to a computer & modem
- Both a socio-economic and generational issue:
  - African-American use lower than other ethnic groups, but catching up fast
  - Asian use is higher than average, but new immigrant rate is lower
  - Older Americans' use is lower than average, but rapidly catching up, and when they do use it, they spend more time on it

EXAMPLES

- Web site: Everglades Study

http://www.evergladesplan.org

- Information repository: Fort Ord

http://www.fortordcleanup.com/docreview.shtml

- Interactive discussion: EPA

http://www.network-democracy.org/epa-pip/archive/date-X1.html

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EVALUATING PUBLIC INVOLVEMENT

There are several motivations for evaluating public participation:

- Wanting to know if people were satisfied
- Wanting to learn what improvements should be made in future program
- Wanting to have solid information upon which to make comparative judgments

CURRENT STATE-OF-THE ART

- Relatively little comprehensive evaluation of public participation
- Little “hard data” for comparative judgments

PROBLEMS WITH EVALUATION

- The belief that a democratic decision is "better" whether or not it is more cost effective
- The "end state" is not always well-defined.
- The evaluation may be very different depending on which of these goals is measured
- Public participation can be evaluated as a process or for the outcome it produces

SATISFACTORY METHODOLOGY

- Identify stakeholders
- Have each stakeholder group identify its goals
- Conduct evaluations that permit you to identify the extent to which each stakeholder group satisfies its objectives

EVERYDAY TECHNIQUES

- Interviews
- Hand-In response forms
- Mail-in response forms
- Citizen committee review
- Check-point meetings
- Post mortems
- Polls (conducted by other agencies)

WHY CONSULTANTS MAY BE USEFUL

- In-depth experience with public involvement
- They have staff/mechanisms in place
- Ability to provide short-term focused support
- Other agencies may perceive the consultant as more neutral
- Provide a different perspective

ROLES CONSULTANTS CAN PLAY

- Process advisor
- Meeting facilitator
- Implementation/logistics coordination

ROLES CONSULTANTS SHOULD NOT PLAY

- Don’t put consultants in a position to speak for the Corps
- Don’t make the consultant the “face” of the program
- Don’t relinquish decision-making about the process to the consultant

KEY ISSUE

- You can't buy a "turn-key" public participation program – to try will only divorce the public participation from the real decision making.

IMPLEMENTATION PLANNING

IMPLEMENTATION PLANNING

- At this stage you are deciding such things as:
  - Where the meetings should be held?
  - Who is going to lead the meeting?
  - What has to be in the newsletter?
  - Which media need to be briefed?
  - Determining the cost of a project PI plan

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BUDGETING FOR PUBLIC INVOLVEMENT

- Must be part of original study budget or it will always get short-changed
- Like planning, public involvement budgets are built-up, rather that starting with a dollar figure then designing the program to match it
- Work sheets for each public involvement technique are provided

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PROBLEMS WITH RULE-OF-THUMB PERCENTAGES

- Experience: 10-20% of study costs, but…
  - Projects differ in level of controversy; more controversial projects may require higher level of participation
  - Projects differ in geography (small area vs big area)
  - Percentage probably highest on smaller projects, as there is a minimum

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WAYS TO ASSESS CONTROVERSY FOR "RUN-OF-THE-MILL" PROJECTS

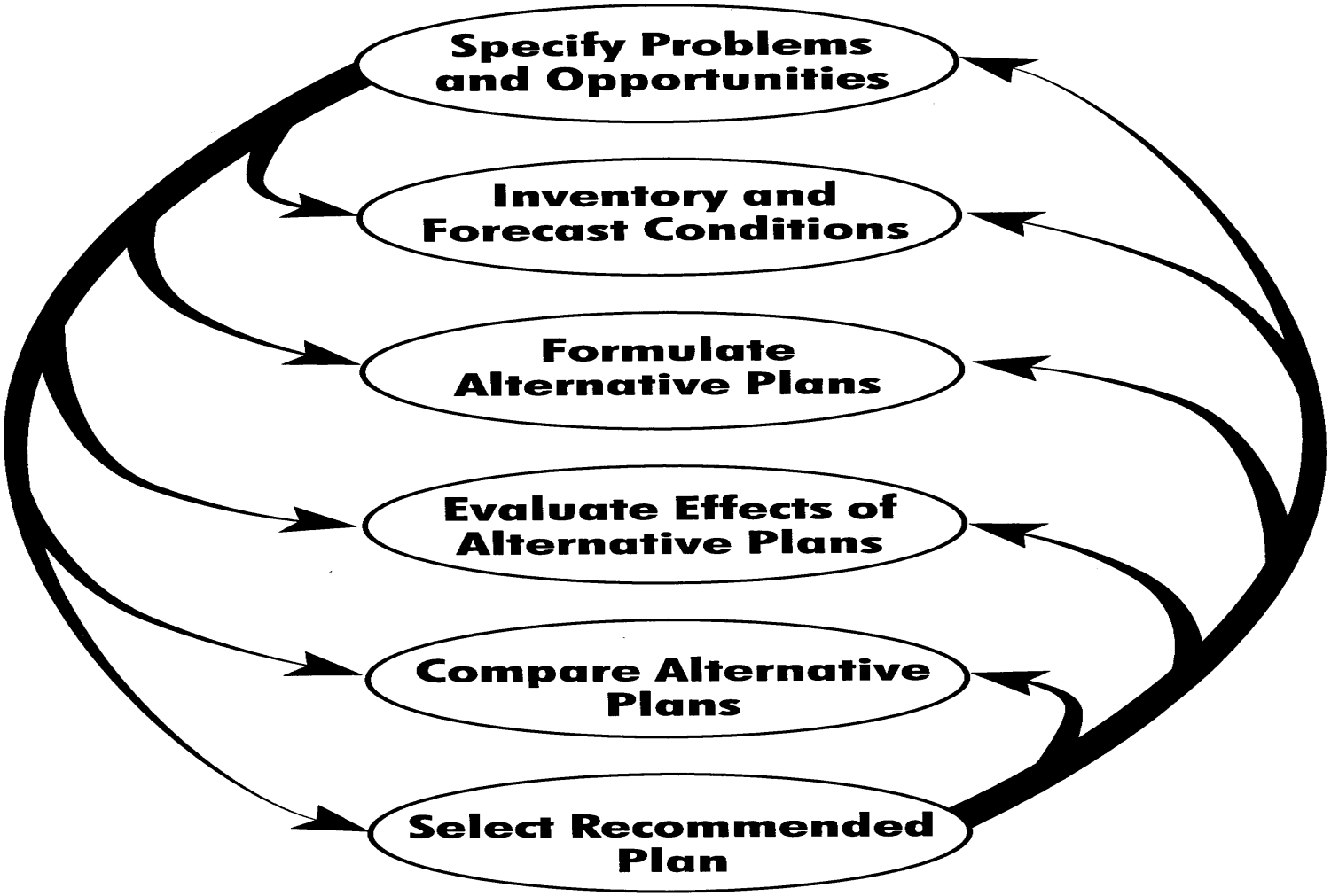
- Quarterly or semi-annual open house – each "station" is a different issue
- Public meetings that address multiple issues
- Periodic summary of all public involvement in organization (e,g, district) with invitation to submit comments or phone

Q & A WITH INSTRUCTORS

PITIP Summary

the Key Messages

The Corps Planning Process



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Why Conduct Public Involvement Programs?

When we conduct effective public Involvement Programs - we:

- Improve quality of our decisions
  - Anticipating public concerns
  - Better problem definition
  - Full consideration of alternatives
  - Better understanding of why things "are the way they are."
- Reduce cost and delay - when people accept a decision it results in:
  - faster implementation
  - sustainable implement.
- Reduce perception of risk
- Reclaim the "civil" in civil engineering

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Who Is the Public?

People participate because they see themselves as having a stake in the decision. This stake may be:

Economics - someone who benefits or is hurt economically

Use - someone who currently uses or wants to use a resources

Proximity - visual impacts, dust, noise, nuisance

Mandate - agencies with land use, environmental, or water resources responsibilities

Values - people's philosophies about the way things "ought to be."

"The Public" - those people who see themselves as having a stake in a decision - changes from issue to issue.

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What Is Involvement?

- **Being Informed about the Decision Being Made.** This is really public information, "not public involvement."
- **Being Heard Before the Decision is Made.** With the Corps making the final decisions
- **Having an Influence Upon the Decision.** The Corps works with SH's collaboratively to address as many issues and tries to develop an approach that is largely accepted before final decisions
- **Agreeing to the Decision.** This level is reserved for partners or regulatory agencies.

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Match Techniques to Intended Level of Involvement

LEVEL OF PARTICIPATION		PARTICIPATORY TECHNIQUE
	HIGH	
Agreeing to the decision		Joint Decision Making
		Assisted Negotiations
Having an influence upon the decision		Collaboration/Mediation
		Facilitation/Interactive Workshops
		Task Forces/Advisory Groups
Being heard before the final decision is made		Public hearings
Being informed about the decision being made		Conferences, symposia
		Public information
	LOW	

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PROCESS APPRAISAL

Identify the appraisal team

▼

Clarify the decision being made

▼

Identify decision constraints and schedule drivers

▼

Identify issues and stakeholders

▼

Assess potential level of controversy

▼

Identify “decision-maker”

▼

Determine what level of participation is needed to resolve the issues

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PROCESS DESIGN

Identify the process design team

Identify the steps in the decision making process, and the schedule for completion

Identify involvement objectives for each step

Analyze the exchange of information that must take place to achieve the objectives

Identify appropriate involvement techniques to meet these objectives

Develop a plan integrating the techniques

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Common Techniques

Information Activities

- Briefings
- Feature stories
- Hotlines
- Info. repositories
- Newsletters
- New Releases
- Speakers bureau
- Web Sites

Interactive Techniques

- Interviews
- Advisory Groups/Task forces
- Open houses
- Public Hearings
- Large group - Small group meetings
- Interactive workshops

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Implementation Principles

- Include the public involvement program in the original planning study budget
- Like planning studies, public involvement program budgets are built “up” not “down” from a pre determined amount
- Satisfying legal minimums alone may not be enough to resolve issues or get commitment
- “Adequacy” is defined by what you need to get a decision that can be implemented

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Principles of Consensus Building

- Use Process to Build Consensus
- Create a Commitment to Implementation by participation in Decisions
- Accept the Legitimacy of Feelings
- Start by Defining the Problem Rather then Proposing Solutions or Taking Positions
- Focus on Interests
- Identify Numerous Alternatives
- Separate the Generation of Alternatives from their evaluation
- Agree on Principles or criteria to evaluate Alternatives
- Expect Agreements to go Through several Refinements
- Document Agreement to Reduce Risk of later Misunderstanding
- Agree on the Process by which Agreement can be Revised

Water management (and water reform) is ALWAYS political…..

Ancient Chinese Characters describing water management

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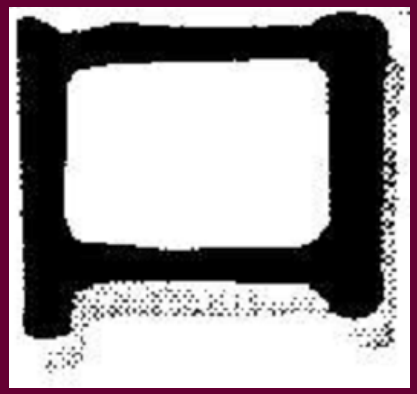

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river + dyke = Political order