

SMART PLANNING

& Effective Stakeholder Collaboration

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BOTTOM LINE UP FRONT

- SMART Planning = remain relevant and ready
- Effective Public Collaboration is vital to SMART Planning success
- Public Collaboration helps us recommend better solutions to water resource issues



Discussion Topics

- Topic Question
- Definitions
- Spectrum of Engagement
- Relevance of Public Involvement
- Recommendations
- Resources/Tools



TOPIC QUESTION

- How can PDTs implement stakeholder collaboration/ public involvement most efficiently and effectively within the SMART planning process?



Background

- CPCX Collaborative Capacity Evaluation
 - ▶ Respondents: 21% Planner 12% Environmental
 - ▶ 72% see collaboration as vital
 - ▶ 80% agree that mission success depends on
 - ▶ 33% feel time constraints are impediment
 - ▶ 50% feel funding constraints are impediment
- Lack of guidance, support, and resources



DEFINITIONS

■ Stakeholder –

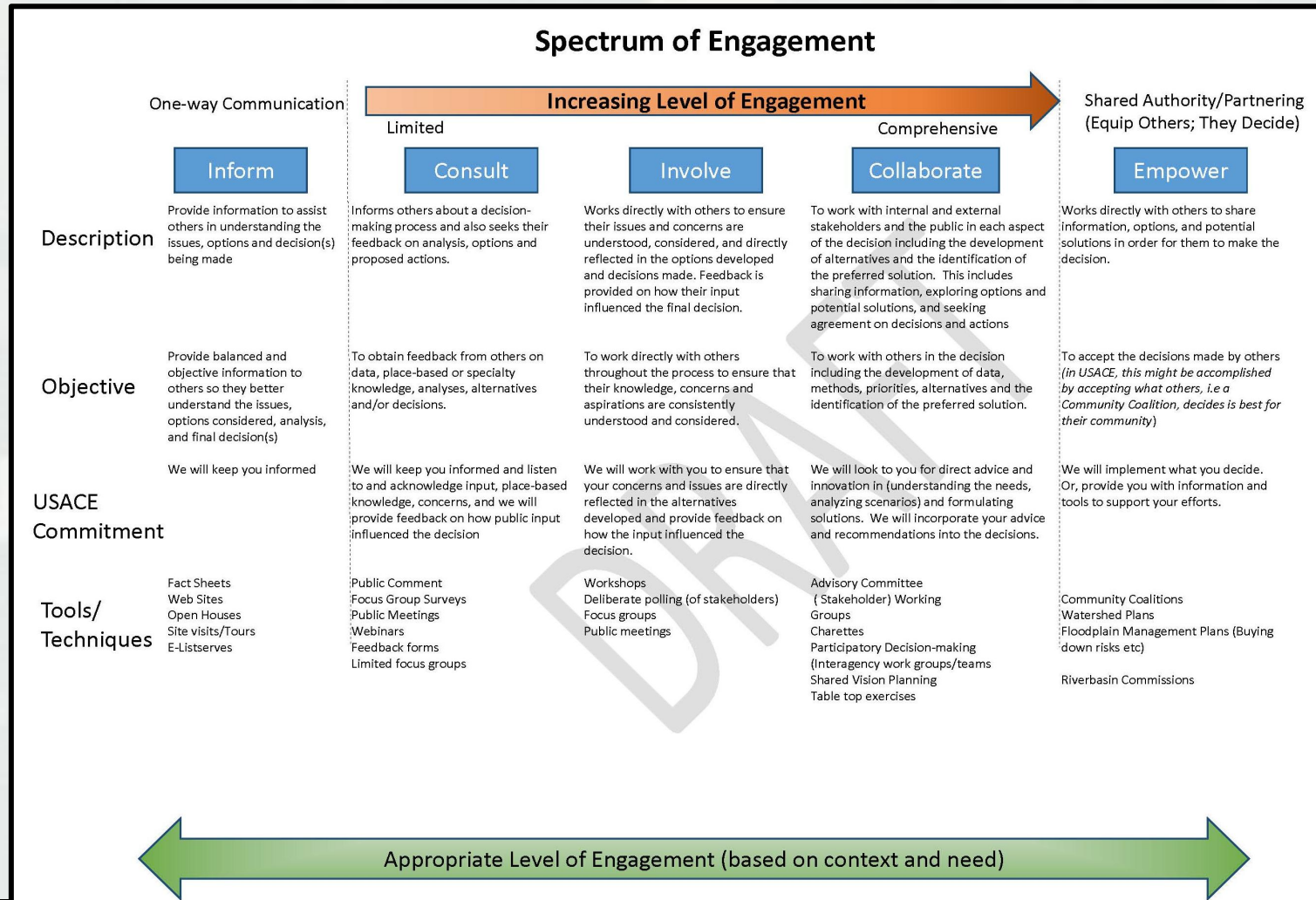
- Any individual or groups that has, or perceives they have, a stake in the outcome of the decision.

■ Collaboration / Public Involvement –

- To work with internal and external stakeholders and the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.
- For USACE Planning ~ USACE retains the ultimate authority for the final decision.



Spectrum of Engagement



Spectrum of Engagement

One-way Communication



Shared Authority/Partnering
(Equip Others; They Decide)

Inform

Consult

Involve

Collaborate

Empower

Description

Provide information to assist others in understanding the issues, options and decision(s) being made

Informs others about a decision-making process and also seeks their feedback on analysis, options and proposed actions.

Works directly with others to ensure their issues and concerns are understood, considered, and directly reflected in the options developed and decisions made. Feedback is provided on how their input influenced the final decision.

To work with internal and external stakeholders and the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution. This includes sharing information, exploring options and potential solutions, and seeking agreement on decisions and actions

Works directly with others to share information, options, and potential solutions in order for them to make the decision.

Objective

Provide balanced and objective information to others so they better understand the issues, options considered, analysis, and final decision(s)

To obtain feedback from others on data, place-based or specialty knowledge, analyses, alternatives and/or decisions.

To work directly with others throughout the process to ensure that their knowledge, concerns and aspirations are consistently understood and considered.

To work with others in the decision including the development of data, methods, priorities, alternatives and the identification of the preferred solution.

To accept the decisions made by others
(in USACE, this might be accomplished by accepting what others, i.e a Community Coalition, decides is best for their community)

USACE
Commitment

We will keep you informed

We will keep you informed and listen to and acknowledge input, place-based knowledge, concerns, and we will provide feedback on how public input influenced the decision

We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how the input influenced the decision.

We will look to you for direct advice and innovation in (understanding the needs, analyzing scenarios) and formulating solutions. We will incorporate your advice and recommendations into the decisions.

We will implement what you decide. Or, provide you with information and tools to support your efforts.

Tools/
Techniques

Fact Sheets
Web Sites
Open Houses
Site visits/Tours
E-Listserves

Public Comment
Focus Group Surveys
Public Meetings
Webinars
Feedback forms
Limited focus groups

Workshops
Deliberate polling (of stakeholders)
Focus groups
Public meetings

Advisory Committee
(Stakeholder) Working Groups
Charettes
Participatory Decision-making (Interagency work groups/teams)
Shared Vision Planning
Table top exercises

Community Coalitions
Watershed Plans
Floodplain Management Plans (Buying down risks etc)

Riverbasin Commissions

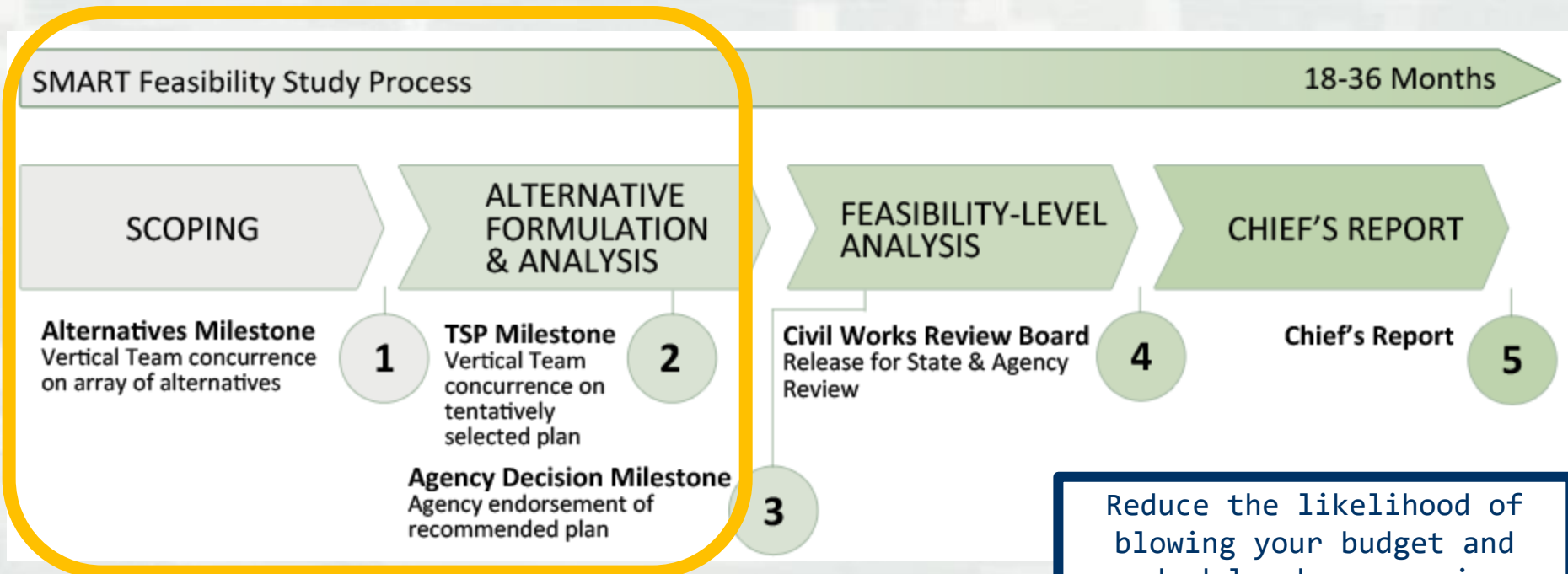
Appropriate Level of Engagement (based on context and need)

Right Size for Collaboration

- One size does NOT fit all for USACE Projects
- Scope, scale, and level of controversy
- Public Involvement format should adapt to your project
 - Public hearings, meetings, workshops, websites, open houses, small group dialogues, focus groups, flyers, press releases, and foreign language translation



TOPIC RELEVANCE



How can we most effectively and efficiently conduct public involvement before public review?



Reduce the likelihood of blowing your budget and schedule by assessing stakeholder collaboration early in terms of risk and uncertainty!

RECOMMENDATION # 1

- Incorporate Public Involvement Risks to Planning Risk Register
 - Public Involvement as a risk element
 - Informs PDTs and PMPs for effective resource allocation



RECOMMENDATION # 1

- Incorporate Public Involvement

A		B	C	D	E
1	Item	Date			
2	Id number	entr (rec each date entr was	9		
3	1 ECON	8-M			
4			10		
5			11		
6					
7					

Project Scope Maturity and Growth		<ul style="list-style-type: none">• Project accomplish intent?• Investigations sufficient to support design assumptions?• Design confidence?• Water care and diversion fully understood, planned?
Public Involvement		<ul style="list-style-type: none">• What are the issues?• Who are the stakeholders?• What is the level of controversy?
Acquisition Strategy		<ul style="list-style-type: none">• Contracting plan firmly established?
		<ul style="list-style-type: none">• Accelerated schedule or harsh weather schedule?• High risk or complex construction elements, site access, in-water?

Summary Page	Risk Elements	DMP #1	DMP #2	DMP #3	DMP #4	H M L rating definitions
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RECOMMENDATION #2

SMART Feasibility Study Process

18-36 Months

SCOPING

Alternatives Milestone
Vertical Team concurrence
on array of alternatives

1

ALTERNATIVE FORMULATION & ANALYSIS

TSP Milestone
Vertical Team
concurrence on
tentatively
selected plan

2

Agency Decision Milestone
Agency endorsement of
recommended plan

3

FEASIBILITY-LEVEL ANALYSIS

Civil Works Review Board
Release for State & Agency
Review

4

CHIEF'S REPORT

Chief's Report

5

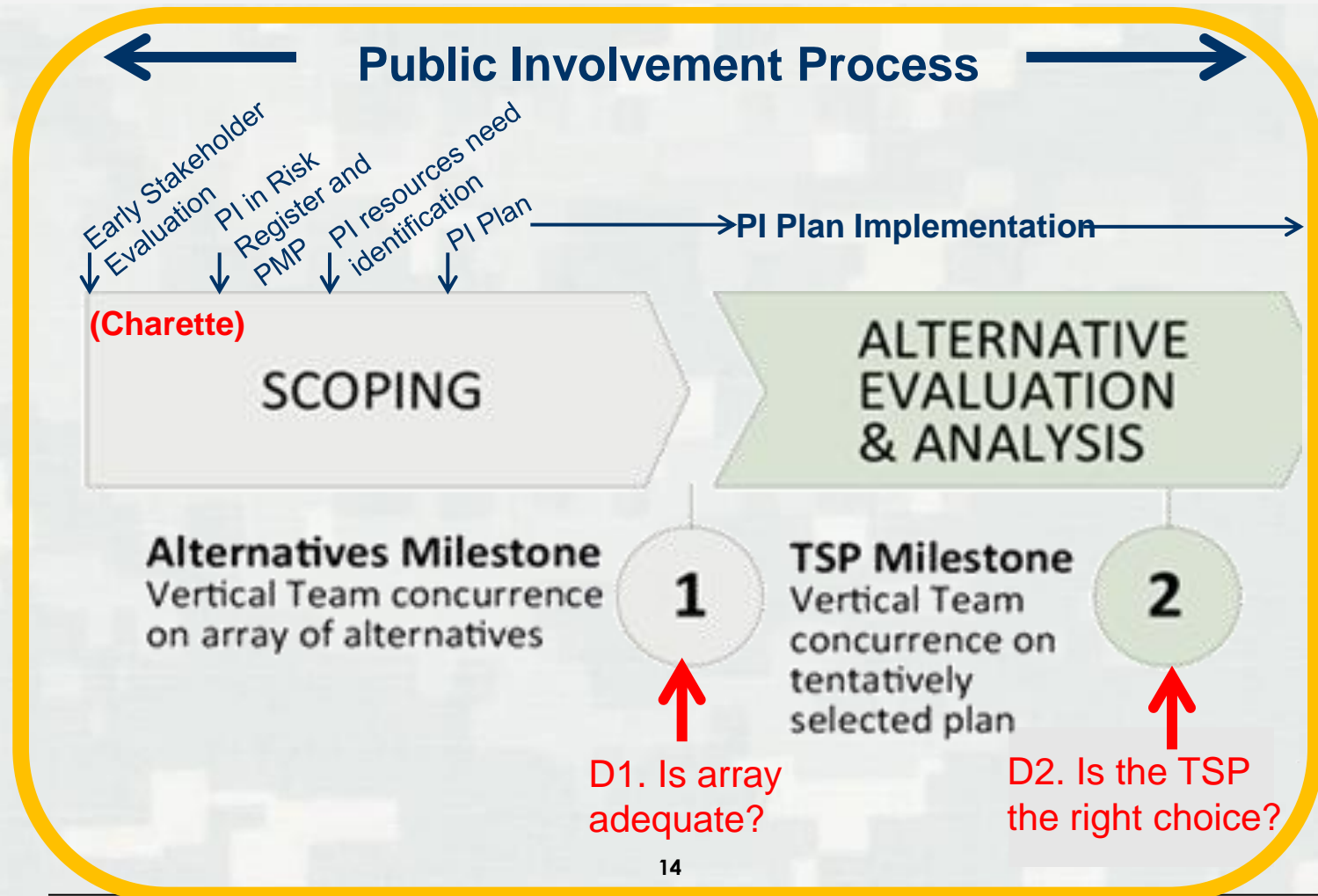
How can we reduce the “pressure” through collaboration and public involvement to help meet our project schedule?

How can we most effectively and efficiently involve public involvement and collaboration before public review?



RECOMMENDATION #2

- Strategize Public Involvement Based on SMART Milestone Decisions.



RECOMMENDATION #3

- Create a Communication Plan/ Public Involvement Plan
 - Stakeholders
 - Issues
 - Level of Controversy
 - Strategy



RECOMMENDATION #3

Communication Plans Template:

<https://intranet.usace.army.mil/hq/Pages/CommToolbox.aspx>



US Army Corps
of Engineers®
HQ USACE Intranet

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REFERENCES

HECSA
SUPPORTINFORMATION
GUIDES

TOOLS

HQ USACE Intranet > Communications Toolbox

Policy and Guidance

- ER 360-1-1 USACE Public Affairs Program
- ES 28000 Communication Planning Process
- ES 28100 Strategic Engagement Planning Process
- The Army Public Affairs Program
- FM 3-61 Public Affairs Operations

Resources

- USACE Branding
- USACE Exhibit Program
- AKO Public Affairs Portal
- Army Strategic Communication Calendar
- USACE PPT Template featuring Army Logo
- Communication Planning Portal
- Communication Training Modules

StrongPoint

- StrongPoint - Enterprise KM Prepare for Tomorrow v6i13
- StrongPoint - National Dam Safety Awareness Day v6i14
- StrongPoint - Interim Risk Management Activities at Formerly Use Defense Sites v6i12
- StrongPoint - Human Capital Lifecycle Incorporates Talent Management Strategies for Success v6i11
- StrongPoint - President's Fiscal 2016 U.S. Army Corps of Engineers Works Budget v6i10
- StrongPoint - USACE Completes North Atlantic Coast Comprehensive Study v6i9
- FY16 Budget StrongPoints
- StrongPoint - USACE Completion of Sandy beach restoration project v6i8
- StrongPoint - USACE Awards New 5-Year Enterprise Information Technology v6i7
- StrongPoint - Staying Healthy this Winter, Holiday Season v6i6

STRATEGIC COMMUNICATION PLAN OUTLINE

Project/Program/Issue Name

Date

- I. → Defining the Assignment or Challenge
 - II. → Identify USACE Vision, Values and Goals
 - III. → Identify Stakeholders/Partners and their Interests
 - IV. → Conduct Situation Analysis (S.W.O.T.)
 - V. → Establish Communication Goals, Objectives and Metrics
 - VI. → Identify Key Themes, Key Messages and Talking Points
 - VII. → Action Plan (Identify Communication Tactics, Communication Materials, and Communication Activities, and Budget Requirements, Action Matrix)
 - VIII. → Communication Evaluation
 - IX. → Presenting the Plan
 - X. → Implementing the Plan
- Division/District Public Affairs POCS
- PM

<https://cops.usace.army.mil/sites/CPD/default.aspx>



RECOMMENDATION #4

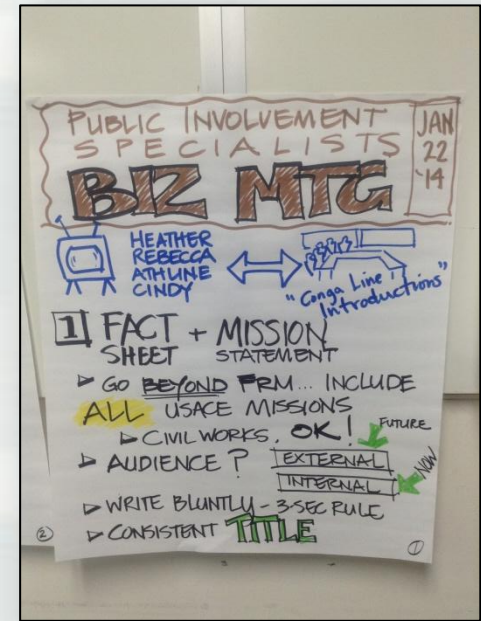
As possible, leverage your non-Federal sponsor and PAO:

- Example from SPD
- Examples from PI Specialists



RECOMMENDATION #5

Use your Resources:



Conflict Resolution & Public Participation Center of Expertise (CPCX)

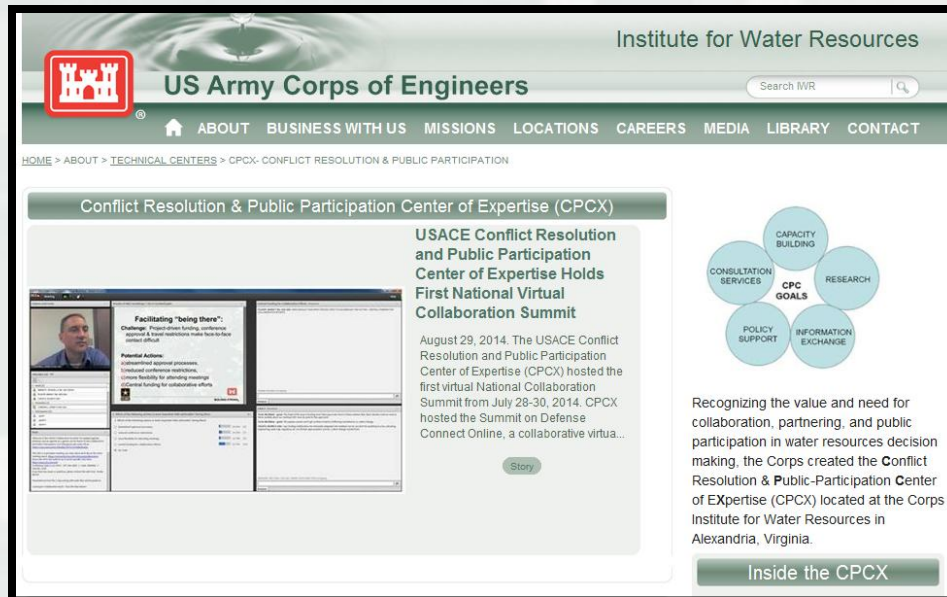



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Resources:

- Conflict Resolution & Public Participation Center of Expertise

<http://www.iwr.usace.army.mil/About/TechnicalCenters/CPCXConflictResolutionPublicParticipation.aspx>



Institute for Water Resources

US Army Corps of Engineers

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HOME > ABOUT > TECHNICAL CENTERS > CPCX- CONFLICT RESOLUTION & PUBLIC PARTICIPATION

Conflict Resolution & Public Participation Center of Expertise (CPCX)

USACE Conflict Resolution and Public Participation Center of Expertise Holds First National Virtual Collaboration Summit

August 29, 2014. The USACE Conflict Resolution and Public Participation Center of Expertise (CPCX) hosted the first virtual National Collaboration Summit from July 28-30, 2014. CPCX hosted the Summit on Defense Connect Online, a collaborative virtual...

Story

Recognizing the value and need for collaboration, partnering, and public participation in water resources decision making, the Corps created the Conflict Resolution & Public-Participation Center of EXpertise (CPCX) located at the Corps Institute for Water Resources in Alexandria, Virginia.

Inside the CPCX



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Resources:

- Conflict Resolution & Public Participation Center of Expertise

Related Links

CPCX's Shared Vision Planning Program

The Shared Vision Planning program is CPCX's program on the intersection of computer tools with multi-stakeholder collaborative processes: www.SharedVisionPlanning.us

USACE Collaboration and Public Participation Community of Practice:
<https://cops.usace.army.mil/sites/PPP/default.aspx>

Facilitator Resources

Universities affiliated with Policy Consensus Institute

USIECR Roster of Environmental Conflict Resolution Practitioners

USACE Facilitator Database: Find a facilitator

Other Agencies' Environmental Conflict Resolution Programs

Federal Energy Regulatory Commission, ADR Page

Interagency Alternative Dispute Resolution Working Group

U.S. Department of Agriculture Forest Service, National Partnership Program

U.S. Department of the Air Force

Resources:



- Public Involvement Specialists
 - Public Involvement Specialists improve USACE's capacity to engage the public and agency partners at the county, state and federal levels. PI Specialists specifically support the stakeholder engagement components of SMART Planning, USACE Infrastructure Strategy and Watershed-informed Budgeting



Resources:

- CPCX Public Involvement Specialists
- <http://www.iwr.usace.army.mil/Portals/70/docs/cpc/PI%20Specialist%20Fact%20Sheet.April2015.pdf>

Public Involvement Specialist	Location
Lynn Greer Outreach Specialist	LRD - Buffalo District
Brandon Brummett Outreach Coordinator	LRD – Louisville District
Mary Weidel Project and Program Manager	LRD – Detroit District
Jerica Richardson Project Planner and Environmental Justice Coordinator	MVD – St. Louis District
Kevin Bluhm Economist and Outreach Specialist, Planning Branch	MVD - St. Paul District
Rebecca Soileau Geologist, Hydraulics and Hydrology Branch	MVD - St. Paul District
Gigi Coulson Planner, OSE Specialist, Social Scientist	MVD – New Orleans District



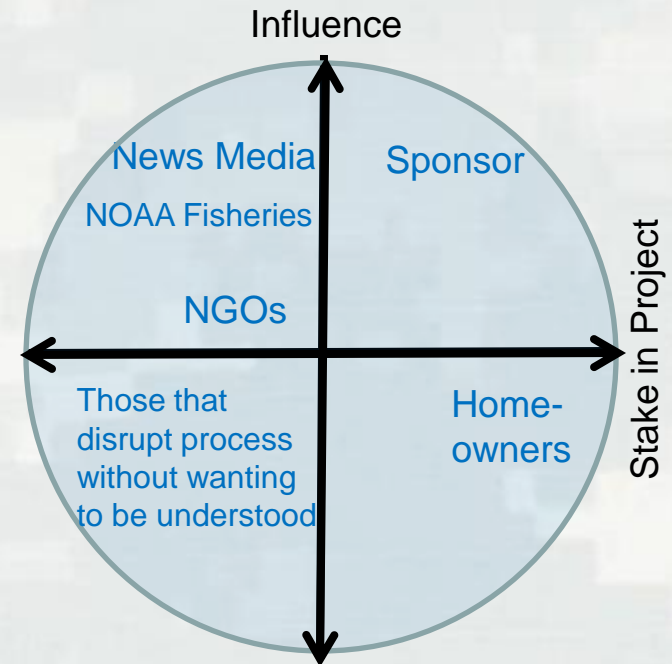
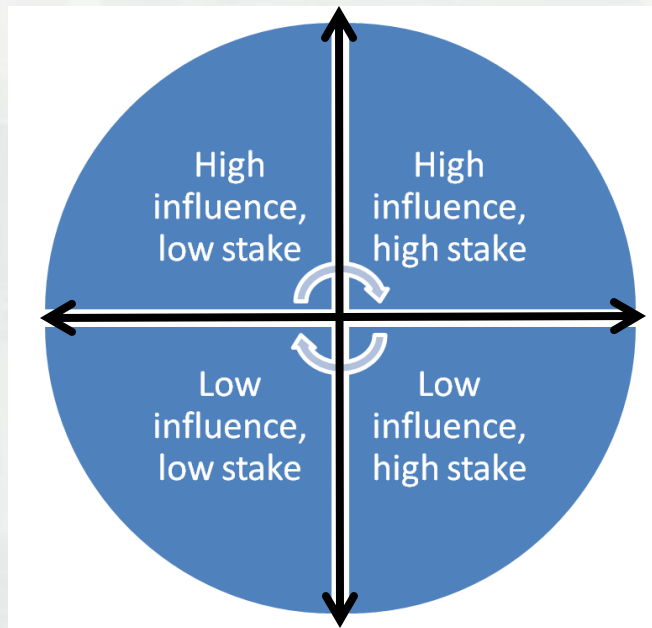


Jennifer Salak Outreach Specialist, Planning Branch	NWD - Omaha District
Amy Echols Deputy Chief for Public Affairs	NWD - Portland District
Amanda Andraschko Tribal Liaison	POD - Alaska District
Ellen Lyons Project Manager, Regulatory Division	POD - Alaska District, Fairbanks Field Office
David Apple Chief, Watershed Planning Section Planning and Policy Division	SAD - Jacksonville District
Jeff Morris Team Leader, Plan Formulation and Economics Branch	SAD - Savannah District
Eileen Takata Watershed Program Manager	SPD - Los Angeles District
Joél Benegar Senior Project Planner, Plan Formulation	SPD - San Francisco District
Chris Baker Economist, Southwest Division Regional Planning and Environmental Center	SWD - Tulsa District
Kate Alcoba Biologist, NEPA Coordinator	NAD - New York District
Julia Battocchi Environmental Munitions Design Center Engineering Division	NAD - Baltimore District



Resources:

- Stakeholder Stake vs. Influence Model



Resources:

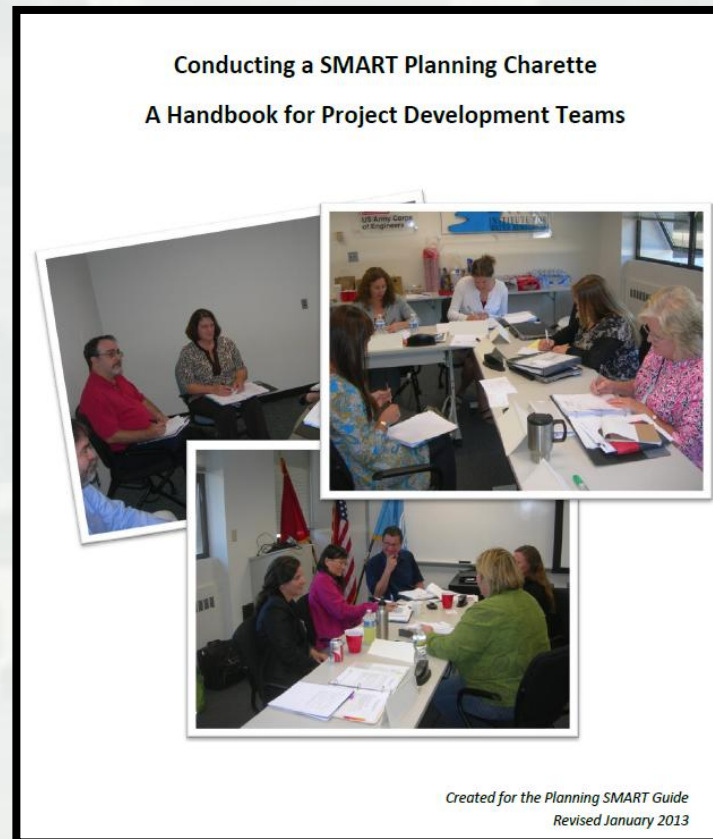
Existing Tools:

- CPCX SharePoint
 - Charette Handbook
 - Message Map Template
 - Decision Tree for Virtual Tools



Resources:

- Charette Handbook/ Facilitation Support



Resources:

- Message Map Support

Stakeholder: Question or Concern:		
Key Message 1	Key Message 2	Key Message 3
Supporting Fact 1-1	Supporting Fact 2-1	Supporting Fact 3-1
Supporting Fact 1-2	Supporting Fact 2-2	Supporting Fact 3-2
Supporting Fact 1-3	Supporting Fact 2-3	Supporting Fact 3-3

Resources:

- Virtual Tools Decision Tree/Support with using virtual tools

Choose Your E-Collaboration Suite

Question I: Who will you be collaborating with?

SUITES	USACE-ONLY*	DOD*	GOVERNMENT	OTHER
APAN				
SHAREPOINT				
MAX.GOV				
KNOWLEDGE HUB				
MILSUITE				
YAMMER				

*Common Access Card (CAC) Required

*Contractors Included



Resources:

- Virtual Tools Decision Tree/Support with using virtual tools

Question 2: What features are you looking for?

SUITES	FILE SHARING	FORUM	CALENDAR	CHAT
APAN	X	X		X
SHAREPOINT	X	X	X	
MAX.GOV	X	X	X	
KNOWLEDGE HUB	X	X	X	X
MILSUITE		X		X
YAMMER	X	X		X

*Contractors Included



PATH FORWARD

- What's in the works:
 1. PI Plan Template embedded within PAO Communication Plan
 2. Principles of Public Involvement (Draft)
 3. BMPs for FRM Meetings
 4. Creation of USACE Public Involvement Policy
 5. Updated Planning Guidance (potential to address Public Involvement)



Summary

- Vital to SMART Planning success and better solutions
- Can be more efficient and effective than avoidance
- Leverage to reduce risk and meet your goals
- Is scalable and adaptable
- Leverage communication plans and risk registers to help justify the use of resources within 3x3x3 constraints
- Tools and resources are available



THANK YOU!

- Questions & Discussion
 - Joél Benegar (415) 503-6848
 - Gigi Coulson (504) 862-1095



For More Information

CPCX Core Staff

- **Hal** Cardwell, Ph.D. – Program Direction & Collaborative Modeling support
- **Seth** Cohen, Ph.D., - CoP lead, Conflict Resolution Specialist, Facilitator and Trainer
- **Stacy** Langsdale, Ph.D. – Evaluation, Risk Communication, Collaborative Modeling
- Maria** Lantz - Public Participation, Virtual Collaboration, Facilitator and Trainer
- **Cindy** Wood, Regulatory Issues & Communication

CPCX Division Liaisons

- **David** Bauman, SAD
- **Michael** Coffey, NWD
- **Roselle** Henn, NAD
- **Cindy** Barger, POD
- **Charissa** Kelly, SWD
- **Mike** Saffran, LRD
- **Cindy** Tejeda, SPD
- **Chris** Koeppel, MVD

CPCX - www.iwr.usace.army.mil/cpc

Shared Vision Planning – www.SharedVisionPlanning.us

Collaboration & Public Participation CoP

https://cops.usace.army.mil/sites/_CPP/default.aspx



Additional Written Resources

- Institute for Water Resources
 - ▶ *IWR OSE Primer 2013-R-02*
 - ▶ *Applying Other Social Effects in Alternatives Analysis*
 - ▶ *Other Social Effects Handbook*
 - ▶ <http://www.iwr.usace.army.mil>
- EPA Public Participation Guide
- EPA Response to Public Comments on EJ 2014
- NOAA Social Science Tools for Coastal Programs
 - ▶ *Introduction to Stakeholder Participation*
 - ▶ *Introduction to Conducting Focus Groups*
- Research Resources for the Social Sciences
 - ▶ <http://www.socsciresearch.com>
- NRCS Social Science Team
 - ▶ <http://www.ssi.nrcs.usda.gov/index.html>

