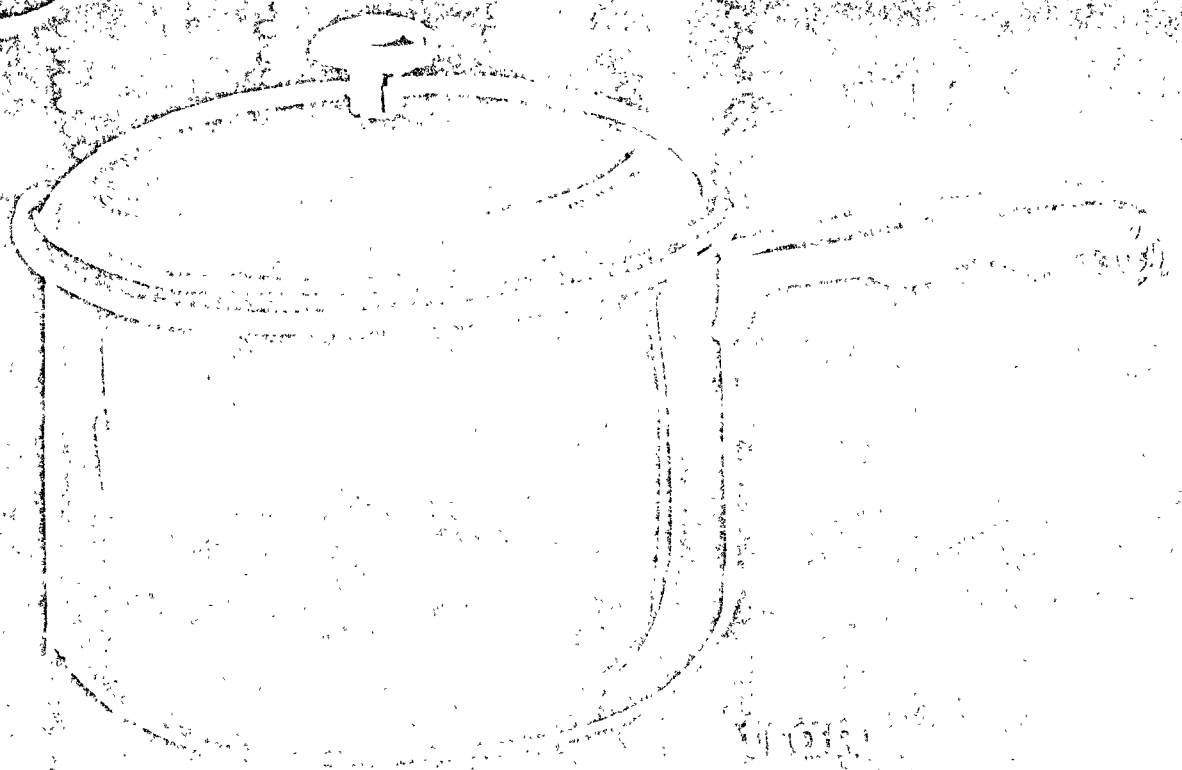


208 PUBLIC
PARTICIPATION

COOPERBOOK



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ENVIRONMENTAL PROTECTION AGENCY

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

SUBJECT: Cookbook on 208 Public Participation Programs

DATE: July 18, 1975

FROM: Frank M. Corrado, Director
Office of Public Affairs

TO: EPA Region V 208 Agencies, 208 Project Officers and State Environmental
Public Affairs Officers

As we promised you, here is the "Cookbook" on 208 Public Participation programs. We call it a cookbook because it contains a number of recipes for using public participation in the development of Sec. 208 programs.

In a few weeks you will also be receiving a slide show for Sec. 208 agencies on the same topic.

There is no "one way" to deal with public participation. But there are some minimum needs that must be addressed in each 208 program so that when the time for implementation comes, there will be a climate of acceptance within the community.

To that end we feel it is imperative that there be at least one person in each 208 agency whose full time job is to handle public participation. This may vary -more or less- in some circumstances.

The materials that have been culled here are taken from a number of sources.

You will receive, from time to time, additions for this cookbook. Put your own EPA ideas in here too. If you need technical help, tell your project officer. We'll be glad to help.

GOOD LUCK.


Frank M. Corrado

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- Sec. 4 Techniques for Communicating and Involving the Public
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- Public Hearings, Some Comments on Effectiveness
- Sec. 6 The Great Lakes, A Reader on Management Improvement Strategies
- Beyond Public Hearings: Suggestive Techniques for Public Participation

CITIZEN PARTICIPATION CHECKLIST FOR 208 AREAWIDE WASTEWATER
MANAGEMENT PROGRAM

APPLICATION AND WORK PROGRAM

AREA _____
STATE _____

Law, Regulations or Guidelines	Yes	No	Discussion
101(e). Public participation in development, revision of plan or program provided for, encouraged and assisted.			
40 C.F. R. 105.2. Agency will be responsive to public concerns and priorities.			
Improved popular understanding of programs and actions in development of plan.			
Active public involvement in and scrutiny of intergovernmental decision-making process on plan.			
Conferring with public before final agency decisions.			
Program of participation fosters a spirit of openness and mutual trust.			
40 C.F.R. 105.3. Staff responsibility and budget identified for each program for participation in development of the plan.			
40 C.F.R. 105.4. Continuing policy, program, and technical data at earliest practicable times, accessible for informed and constructive contributions. News releases, newsletters.			
Summaries of complex technical materials.			
Arrangement for providing technical and informational assistance to public groups for (Continued)			

Law, Regulations or Guidelines	Yes	No	Discussion
citizen education, community workshops, training and dissemination of information to communities.			
Prompt handling of requests for information.			
Early consultation and exchange of views with interested or affected persons or organizations. (Advisory groups, etc.)			
Maintain a current list of interested persons			
Provides central public collection or depository of reports and data. Copying facilities at reasonable cost.			
Provision for annual report of public participation provisions and activities, including activity, public response, and disposition of significant points raised.			
40 C.F.R. 105.6. Administrator or Regional Administrator reviews and evaluates.			
Where requested, additional information submitted. If inadequate opportunity, required additional measures taken.			
40 C.F.R. 105.7. Final actions benefit from and reflect consideration of public hearing.			
Agencies hold meetings on significant matters..			
Public hearing held if official finds "significant public interest" (including requests).			
Hearing notice to interested or affected persons, detailed fact sheets.			

Law, Regulations or Guidelines	Yes	No	Discussion
Location and time ease travel hardship			
Reports, documents and data to be discussed at hearing shall be available for a reasonable time prior to hearing.			
Schedule witnesses when necessary.			
No inhibition of free expression.			
12.1. Identify affected public interests and maintain involvement.			
Informed public developed so that participate in meaningful way to intelligent decisions.			
Citizens help in defining community goals and problems, delineate types of solutions, formulate alternative solutions, assist in defining impact assessment of each alternative.			
Facilitate identification of public preferences of each alternative.			
Detailed public involvement program assembled after area designation.			
Details specific mechanism at each step in planning process.			
Process structured so that depends absolutely upon receiving public inputs.			
Adjust participation programs to changing requirements.			
12.3. Identify participants, establish communication channels, convince participants that inputs are needed.			

Law, Regulations or Guidelines	Yes	No	Discussion
Evaluate public awareness of water quality problems.			
Assess relative importance of water quality and other goals.			
Evaluate attitudes toward growth and role of water quality management can plan in growth control.			
Assess attitudes about use of land use controls for water quality regulation.			
Determine public attitude toward regional plans that might result in some loss of local control.			
Public attitude toward innovative pollution control technology.			
Assess acceptability of certain impacts of a potential plan.			
Evaluate community attitudes toward institutional and financial alternatives to implement the plan.			
Get public response to preliminary impact assessment.			
Public comment on acceptance of plan to reflect community goals and preferences.			
Make local elected officials aware of public comments and options. (For entire program).			
12.4. Use mechanisms suggested and required in chart at various stages of plan.			
12.5. Evaluate and review public involvement program.			

Law, Regulations or Guidelines	Yes	No	Discussion
12.7. Provide clearly defined channels of citizen influence on decision makers.			
Define responsibility for carrying out public involvement.			
Provide adequate funding.			
Respond to all interested citizens.			
Develop a formal mechanism, fully funded public participation working group in partnership with 208 planning staff and management agency.			

OUTLINE OF OPPORTUNITIES FOR CITIZEN INVOLVEMENT

UNDER SECTIONS 106, 201, 208 and 303
OF THE WATER POLLUTION CONTROL ACT (P.L. 92-500)

FINAL REPORT NO. 1
SUBMITTED BY WISCONSIN'S ENVIRONMENTAL DECADE FUND
UNDER CONTRACT 5EO-0174A

[Re § 208]

AREA-WIDE PLANNING (sometimes called "section 208 planning"). This is the next higher level of sewer planning. Local governments in regions of a state with high density and serious water pollution problems are encouraged to join together to plan cooperatively for the entire area. Where this takes place, municipal planning would be completely superceded. As with the first stage of municipal planning, citizens can have an impact on land use and on choosing more effective and less costly methods of sewage treatment during the planning process and when hearings are held on the plan.

() 1. If you live in a populous area with severe water pollution problems, write to your state pollution control agency and ask whether your region is involved in area-wide planning. A sample letter follows:

(Insert date)

[choose appropriate state]

Dr. Richard Briceland
Illinois EPA
2200 Churchill Rd.
Springfield, Ill. 62706

Mr. Ralph Pickard
Indiana State Board of Health
1330 W. Michigan St.
Indianapolis, Ind. 42606

Mr. Ralph Purdy
Michigan Water Res. Comm.
Stevens T. Mason Bldg.
Lansing, Mich. 48926

Mr. Grant Merritt
Minnesota Pollution Control Agency
717 Delaware St., S.E.
Minneapolis, Minn. 55440

Dr. Ira Whitman
Ohio EPA
Box 1049
Columbus, Ohio 43216

Mr. Thomas Frangos
Wis. Dept. of Natural Resources
Box 450
Madison, Wis. 53701

Dear (Insert official's name):

We are interested in area-wide planning under section 208 of the Water Pollution Control Act amendments, PL 92-500, for the (insert name of region) region.

Please inform us of the following:

1. Has the Governor identified our region as one eligible for area-wide planning?

2. If our area has been so identified has the Governor designated an agency to prepare the area-wide plan or is application of an agency for designation pending?

3. If an agency has been so designated or is applying for designation, what is the name and address of the agency and the name of the chief official of the agency?

4. If an agency has been so designated, has the EPA approved the designation?

Thank you for your attention in this matter.

Sincerely,

cc: Mr. Harlan Hirt, chief
 Planning Branch
 EPA Region V
 230 South Dearborn St.
 Chicago, Ill. 60604

() 2. If you reside in a region identified as eligible for area-wide planning, but the Governor has not designated an agency to do the planning and has not actually said he will not designate such an agency, then meet with concerned local officials and urge them to form a planning agency themselves. This is permitted by section 208 (a) (4), and the eligibility of these agencies for federal monies should encourage the officials to act.

() 3. If a regional agency has an application for designation pending with the state, ask to be informed when hearings on the proposed designation will be held and to be given a copy of their submittal in support of their application for designation. A sample letter follows:

(Insert date)

(Insert official's name from item 1)
 (Insert official's title)
 (Insert name of agency)
 (Insert address)

Dear (Insert official's name):

This is to inform you of our interest in area-wide planning for (Insert region).

We respectfully request that you provide us with the following:

1. A copy of or opportunity to inspect the application for designation as an area-wide waste treatment management planning agency, as required by the EPA at 40 CFR 105.4;

2. Adequate notice of public hearings on the application to be conducted by the state as required by the EPA at 40 CFR 105.7 and 35.1056-1.

Thank you for your attention in this regard.

Sincerely,

cc: Mr. Harlan Hirt, chief
 Planning Branch
 EPA Region V
 230 S. Dearborn St.
 Chicago, Ill. 60604

() 4. If the application does not include provision for meaningful public participation in the planning process, attend the hearing that will be held on the application with a written statement insisting that such provision be made. Under its rules, the EPA is not supposed to approve any application that does not include public input (40 CFR 35.1054-1 (d) and (e) (9)). This can take two forms: participation in actually drafting the plan or participation on an Advisory Committee which reviews a plan after it is written. The former is to be greatly preferred.

() 5. Follow steps 4 and 5 under "Municipal Planning" in the development of the area-wide plan.



MANITOBA

LEGISLATIVE ASSEMBLY

9 June 1975

FOR THE READER:

This short paper was written with a view towards setting out basic ideas without much detailed elaboration.

It was written at the tail-end of a legislative session when time was at a premium, so that apologies must be tendered on matters of style and organization.

It will be my intention to expand upon the points raised, at the delivery of this paper.

Lloyd Axworthy
Member of Legislative Assembly

NOTES FOR AN ADDRESS: PUBLIC PARTICIPATION WORKSHOP

Part 1 - Reflections on the Garrison Diversion

The Garrison Diversion project is a major Irrigation and water control program presently being constructed in the State of North Dakota. Over the past two years strong evidence has emerged which suggests that the Garrison project will produce serious environmental damage to the river and lake systems of the Province of Manitoba. The Canadian and Manitoba governments have been pressing their American counterparts for assurances that damage would not occur and there has been a long-playing minuet of diplomatic dealings. Thus far the matter is unresolved and has now been referred to the International Joint Commission for examination and eventual recommendation on what should be done.

This particular example of a boundary water dispute is used to introduce this paper for two reasons. First, as a member of the Manitoba Legislature it is an issue of prime importance to me and I would be remiss not to make my concerns known to others who have an interest in environmental matters.

Secondly, it is a way of introducing the issue of citizen participation in environmental decision-making, particularly decision-making which has an international dimension. So often, discussion on citizen involvement is dealt with in disembodied theoretical terms. The Garrison case provides a number of direct

illustrations of the points that would otherwise be made in a more round about fashion.

Before drawing the argument, however, it is necessary to note that this is not the most propitious time to be making the case for citizen involvement, nor for that matter, improved environmental protection. Times have changed from the heady days of the late sixties and early seventies when political reform was fashionable, environmental causes popular and a spirit of change acceptable. We are now in a period of retrenchment. Prices, jobs, and insecurity over energy are high on the political agenda and there's little public patience with efforts on behalf of environmental defence which might impair or obstruct projects of economic significance.

Fortunately, there is a legacy from the earlier environmental battles which demonstrates the real worth of public involvement. There now exists a number of environmental advocates who increasingly can present hard facts and information. And, there are in many new jurisdictions new legal and institutional mechanisms, such as environmental impact studies and environmental agencies that can be used to communicate and give force to environmental problems.

This is certainly the case in the Garrison Diversion problem. In the past, the Columbia River project being a prime example, there was little if any representation of the public interest

other than through government agencies, and they often did not treat kindly individual rights in environmental matters. Decisions were made within governments and between governments and the people lost. In the Garrison Diversion problem this has not been the case.

On both sides of the border there have been active and vocal environmental protection groups. They have been very effective in bringing to public attention the dangers involved and supplying data to the press and the legislators. This has had a very direct influence on the proceedings, at least on the Canadian side, as their efforts have supplied government critics with the necessary ammunition to maintain pressure on the provincial and federal governments. Without such a supply of information, there might have been a tendency for the issue to die or for the governments involved to weaken their vigilance.

This role of the environmental advocates has been aided by the requirement under American Federal Law that an environmental impact statement be publicly released. The data in that statement has provided critics of the Diversion project with hard information that otherwise would not be available to anyone but the initiator, such as the Bureau of Reclamation, who in the past have not been too likely to reveal shortcomings of their projects.

An additional asset in the Garrison fight has been the existence of the Environmental Council of Manitoba, established in the Province of Manitoba in 1972. This council has been a useful

forum wherein the pros and cons of the Diversion project have been openly aired in Manitoba. The Council has also produced an excellent report on Garrison, when the Provincial Government failed in its responsibility to study the impact on Canada.

It can be seen then, that the network of environmental spokesmen, statutory requirements that information be supplied and forums where the issue could be aired have served a useful role in this particular issue. If these different ingredients of public involvement had not been in existence then it is unlikely that there would have been nearly as much public attention focused on the issue, not anywhere near the kind of legislative pressure on government, nor the activism of the two levels of Canadian government in pursuing the case. If past evidence of boundary disputes are any criteria, the issue might have already been settled behind closed doors to the disadvantage of the many Manitoba communities that derive sustenance from the Souris River to Lake Winnipeg.

This does not mean that the process of public involvement on this issue has been totally satisfactory or complete, only that it has had an influence. Certainly many of the demands of the citizen groups have not been heeded, nor is there a particularly receptive attitude on the part of the governments of North Dakota or Manitoba to their activities. There is no public funding for the support of environmental advocate groups, nor any apparent willingness to sit down to listen to grievances or concerns. The role of the public activists has been as

adversaries and publicists, generating opposition to the plan and questioning the handling of the matter by government officials.

The task of these groups is further complicated and handicapped because of the international character of the proceedings. To begin with, a major portion of those adversely affected by the project are on the Canadian side. Representations of their concern and public pressure on their behalf carry little weight in North Dakota or Washington for that matter. In fact, the Chairman of the Manitoba Environmental Council after a trip into North Dakota reported that most people in that state were of the opinion that Canadians were for the project. Obviously, the separation of communication systems and political systems obviate much of the trans-boundary effectiveness of public interest group pressure.

There has been a high degree of co-operation between environmental groups in the two jurisdictions, and the American group opposed to Garrison have received attention in Canadian media. But, it is fair to say that in general the undefended border between the two countries still acts as an invisible barrier to the flow of communication and information about respective public concerns, a fact noted recently by Canada's Environment Minister, Jeanne Sauve, who suggested the need for American public opinion to be aroused if Canada is to be protected against serious damage by the Garrison project.

Furthermore, the different system of institutional recourse presents obstacles to public action. The use of the courts as a means of taking action against the project is fraught with more difficulty than if the issue were in one country. It would certainly be more acceptable for a bordering state to take judicial action in the U.S. Federal Court than a bordering province. The Government of Manitoba has indeed refused to consider taking legal action on the grounds that this would interfere with the diplomatic efforts going on. There is some reason to suggest that a private Canadian Citizen may be able to take legal action in American Federal Courts, and some environmental groups in Manitoba have been discussing the strategy. It is an expensive procedure, however, and without government backing not likely to happen.

The same unwillingness by Canadian authorities to countenance citizen involvement is seen in their attitude towards public representations to the International Joint Commission. Under the procedures of the Commission, public hearings are to be held and be open to interested parties. This is not much of an open invitation if the meetings are held at a location distant from the aggrieved area, and if there is no support given to aid private groups who wish to attend.

When asked in Legislature whether they would assist municipalities in the Souris Basin or environmental groups in the province to make their case at I.J.C., the Provincial Cabinet Minister

Responsible for the Environment didn't even know that this was possible, and upon learning that there was provision for public hearings refused any aid on the grounds that this was an issue between governments, and any public concern would be voiced by government on behalf of the electorate.

This opinion of the Manitoba Minister effectively states the problem of public involvement in environmental cases of an international flavour. First is the attitude still held by many in public life that the conventional mechanisms of representative government are sufficient in insuring that the citizen will have a voice in decisions. While representative machinery is necessary and can often perform the function of registering people's concerns, it has its failings. The size of the administrative side of government is so large that elected members cannot keep all parts under surveillance. There is often a monopoly of information held by government agencies and they will act to protect their own vested interests. Yet, the feeling persists that as long as we have elections and representative chambers, the public interest is fully defended.

This feeling is compounded when an environmental matter goes beyond domestic jurisdiction, for the international sphere has always been considered the domain of governmental actors only (with the exception of the Nuremburg War Trials, cases of commercial law and some provisions in the E.E.C., the individual is not considered to have legal standing internationally). Thus, any

effort to improve the opportunity of citizen involvement in matters such as Garrison have double the trouble that such efforts have in the respective domestic jurisdictions.

Part 2 - The Case for Involvement

There is a popular assumption that citizen participation is a modern form of the Children's Crusade with mass numbers of idealistic individuals marching off to do battle with the heathen. The reality is that most citizens are not involved unless a specific issue directly and vitally affects them. There may be a passive approbation by many citizens that environmental protection is a good thing, but they will only become involved themselves if the water from their tap changes colour (speaking figuratively). Many will also get upset if the activities of environmental protection agencies means that they have more mosquitoes to swat, and they get downright mean if it means closing a polluting industry, particularly those who deal in slow death such as by heavy metal poisoning. People respond best to the quick and the spectacular.

With that fact in mind, does citizen involvement have a role to play in today's decision-making and why? The above account of Garrison provides one answer. The activism of certain private citizens can provide an essential antidote to the all too prevalent tendency of government to make wrong decisions because the advice they use is wrong, because there are a few vested interests whether public or private who are calling the plays or because government

decisions proceed on the inertia of what has gone on before. On the other hand, there is no magic to the influence of citizen inspired environmental advocacy. It is a tough demanding business with a maximum of frustration and abuse, and too often a minimum of reward.

But its role is essential. Without the involvement of a citizen movement on behalf of the environment many issues will be ignored; many issues will receive only one side of an argument and there will be a limited force behind efforts at maintaining the principle of a loyal opposition in today's society. As one who is involved in the legislative arena, the citizen advocates working in our jurisdiction have added a qualitatively different dimension to the political process by supplying both awareness, information and emphasis to environmental matters. Without them, politicians interested in environmental concerns would be highly circumscribed in being able to promote new legislation or opposing government on their environmental sins of omission or commission.

This role of gadfly in the political process is a far cry from the far-reaching expectations that heralded the coming of participatory democracy in the 1960's. Then there was going to be a new system, where a modern version of direct democracy would flourish, and citizens would share in the power of decision-making. Instead the environmental citizen movement, made up of an amalgam of interested citizens, public interest advocates, new special interest groups, research centers and the odd officially sanctioned

advisory group, have formed into a semi-permanent coalition to sting governments into action or prevent it from taking the wrong action. They must work through and with the political process and suffer all the frustration that goes with that process.

If one asks if this is important, then the answer is an obvious yes. Without this involvement many individual rights and concerns would be ignored for lack of spokesmen. Individual citizens would suffer flooding, poison air, contaminated water, overbuilt neighbourhoods and overused transportation corridors, because there was nobody to bring these issues to light and pursue them in the proper legislative, administrative and judicial levels.

As a society we would not be nearly as conscious of issues of environmental quality nor have made as much progress as we now have in gaining new or better laws. The fact that our Premier continually mutters about "environmentalists" who get in the way of hydro projects, or the Garrison diversion, is tribute to their effectiveness in sending the message to politicians.

This importance of the public advocate role is heightened in matters that come under international jurisdiction because such matters are normally even more remote from public pressure and influence. Thus, the dominance of "expert" advice, and political expediency is even more pronounced in environmental decisions arrived at internationally between governments or through international forums that deal with such matters. Recourse for the individual through the domestic political system or the courts is more difficult,

and therefore the "glare" of public awareness that can only arise through the involvement of private citizen groups has particular validity on matters that transcend borders.

A second question that is often asked is who should be involved. This question is often used as an effective dodge by decision-makers who seek to de-limit the orbit of involvement, using criteria such as those only directly affected by a damage or groups only recognized by governmental agencies as being legitimate spokesmen for an aggrieved group of citizens. This is done simply as a means of excluding those "troublesome" advocate groups who will busybody their way into issues. The real truth of the matter of course is that it is only such busybody groups that have the necessary technical knowledge and skills at representation to effectively make the case. The notion of class action in such cases should be solidly entrenched in court hearings and in hearings at quasi-judicial or administrative tribunals. Any effort to limit involvement to only aggrieved parties will immediately eviscerate the chief function of private representation which is to provide alternative courses of action and reveal information that has not been supplied through official sources.

The main brunt of environmental activism comes from a network of groups that have become dedicated to environmental protection and which usually rely upon public funding for their efforts. There are a limited number of university-based research centers that supply necessary research data. There is an odd assortment of public

interest groups such as Pollution Probe in our own province which are not greatly funded but have subsisted on various grants coming from Federal Government, community employment and summer employment schemes.

The main fact comes down to the ability of the environmental advocates who are the main thrust of citizen involvement to command public funding through government and less frequently through foundations or private donation. The paradox is that resources come from the agencies which are most likely to bear the brunt of attack and opposition.

In earlier years such funding was forthcoming. First because there was a public climate favourable to support of such activities and government officials wanted to be on the side of the angels. And, secondly, because in the early stages such groups weren't much of a bother.

Now, however, conditions have changed. Governments are under pressure to cut spending, and the first victims are groups engaged in advocacy work. Secondly, funding has a funny way of becoming limited just as such groups become effective. A good case in point was the Canadian Government's funding of the Canadian Arctic Resources Committee that was involved in matters of northern environment. They were supported up until the time that they become the chief protagonists to the government-industry sponsored Mackenzie Valley Pipeline. Now their support has been cut off.

The vital point is that an effective source of alternative opinion, dealing in a highly technical field of environment is going to cost money, mainly public money, and that immediately sets up an inherent contradiction because no government official, elected or otherwise can be expected to look kindly on paying the bills for the opposition. Until this problem is resolved the future of effective citizen involvement is not bright. Perhaps the only way ultimately is through public endorsement of an independent environmental defence fund that would provide support to effective groups and organizations, working similar to the Canada Council operation in the field of the Arts.

More is required, however, than funding. There must also be specific statutory and institutional mechanisms designed to ensure citizen involvement. The most important of these pertains to the disclosure of information. Government files and data banks are generally closed to public use. With the exception of the environmental impact statements required under American federal law, most jurisdictions can pick and choose what they want to tell about costs, and results of projects or activities that have an environmental impact. Yet without the information and data that is contained in government sponsored studies and reports, the ability of citizens to respond is limited. Thus, disclosure requirements are essential.

As well, governments have in many instances introduced requirements that their agencies hold public hearings on environmental

matters and there have been some attempts to form citizen advisory councils and other forums where citizens can have a voice. The results of such institutional forums are mixed. Some are treated seriously and given proper support in the way of staff assistance and resources. Most are ignored and treated as irrelevant appendages. Very infrequently do they have a real significance on decision-making.

Yet it is important that there be specified forums which offer the opportunity for an expression of alternative views. In developing strategies for participation in the international arena, the establishment of formal institutional organizations designed to hear and involve citizens would provide legitimate vehicles for bi-national exchange of information on common problems and providing a major source of representations to tribunals considering cross-boundary disputes. For example, the establishment of a Citizen Advisory Council on Environmental Boundary Disputes, associated with the I.J.C. and connected with research and public interest centers in both countries might serve a very useful function in providing a vehicle through which private citizen involvement might be channeled.

It is interesting to note that in the recent series of U.N. conferences on Environment, Population, Food and the forthcoming one on Human Settlements, there has emerged an active group of so-called Non-Government Organizations which attend the conference and meet simultaneously with the official sessions. Often, the

(real debate at such conferences occurs in the N.G.O. meetings, and they have certainly been the source of many of the serious issues posed at such meetings. It demonstrates that there is emerging to some degree an international network of private activist groups and that they are insisting upon being heard in the formerly restricted world of diplomacy.

In specifics then, it would seem that if the International Joint Commission is to treat the issue of citizen involvement seriously then it must make one basic assumption and then follow up with a series of specific actions.

(First, it must be clear that the I.J.C. cannot effectively decide upon or recommend upon ideas referred to it unless there is a clear and direct expression from private citizens who are aggrieved or interested in the issue.

This expression will not be received simply by providing procedures for public hearings. In addition, written into the procedures would be the right of the I.J.C. to request the two governments involved to supply assistance to the citizen or non-governmental groups to enable them to make their voice heard. This involves support for investigation, research, travel and counsel.

In addition there should be the right to insist that governments disclose pertinent information in their possession to such groups and do so in ample time for perusal and examination.

The Commission might even go further and seek to set up a more

()
permanent forum or advisory group which would involve citizen's organizations from both countries and allow it to raise issues, comment on matters referred to the Commission and to solicit and support the representation of aggrieved or interested parties.

Obviously, the member governments of the I.J.C. will not greet such proposals with open arms. But if this meeting can conclude that such steps are required and then work to convince some politicians in both countries that these are wise and useful steps then there may be some chance of success.

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The winds and the waters do not respect lines of boundary drawn on a map, and the I.J.C. was the early twentieth century response to this fact. Public opinion on environmental matters likewise sweep across the boundaries and the late twentieth century response should be to create this citizen advisory council to the International Joint Commission.

A vertical strip of the word "SKINZ" in a large, bold, textured font. The letters are white with a black outline and a stippled texture. The letters are arranged vertically, with 'S' at the top, followed by 'K', 'I', 'N', 'Z', and 'K' at the bottom. The letters are slightly tilted to the right.

WELCOME!

I'm pleased that you are able to attend our "Making Citizen Participation Work" Seminar.

This workbook contains two articles and other resource materials which will serve as a summary of the material covered in the seminar.

At the back of the workbook is an Evaluation Form which I ask that you complete at the end of the day. This will provide us with the information we need to improve these sessions.

Also at the back of the book is a brief description of SYNERGY Consultation Services and its activities. If you wish further information there is space to indicate your interest on the Information Request Form.

I look forward to spending the day with you.

A handwritten signature in cursive script, reading "Jim Creighton". The signature is written in dark ink and is positioned above the printed name.

James L. Creighton

A MODEL FOR PUBLIC INVOLVEMENT IN THE PLANNING PROCESS

Stage	Major Public Involvement Tasks	Breadth or Scope of Involvement
I. STUDY INITIATION	<ol style="list-style-type: none"> 1. Identify probable publics. 2. Assess level of public interest in issue. 3. Design a work plan of P.I. activities coordinated with each step of the planning process. <ol style="list-style-type: none"> a. Establish some total goals/results you want from the P.I. activities. b. Review appropriate means of evaluating or measuring the success of your P.I. Plan. 	<p>Likely limited to key individuals or leaders of identifiable ("target") groups.</p> <p>Desireable to get some acceptance from critical groups on overall P.I. Plan.</p>
II. DATA COLLECTION	<ol style="list-style-type: none"> 1. Identify public needs, desires, and values. 2. Gather information from the publics concerning the resources. 	<p>Need to provide broad public opportunities to express needs, desires, and values.</p> <p>Make sure these opportunities provide access for non-organized groups and/or individual citizens to identify their problems.</p>
III. DEVELOP ALTERNATIVES	<ol style="list-style-type: none"> 1. Develop alternatives portraying the range of interests and values identified by the publics. 2. State (in lay language) the social, economic, and environmental implications of each alternative (free of values judgements). 	<p>Likely limited to key individuals or leaders of identifiable interest groups in order to provide the continuity of information needed to participate in the development of alternatives.</p>
IV. PRESENT ALTERNATIVES	<ol style="list-style-type: none"> 1. Obtain public reaction to the alternatives. Typically, this stage will result in a narrowing of the alternatives being presented and provide more information on "Trade-Off" items. 	<p>The broadest possible range of techniques should be used at this stage.</p> <p>This is the ideal time for such general involvement: the publics have specific plans to react to, but the agency is not committed to any particular plan.</p>
V. CONSENSUS SHAPING	<ol style="list-style-type: none"> 1. Obtain a consensus on the major characteristics of the plan to be recommended by the agency. (This may require another round of stages III and IV.) 	<p>This is a negotiating stage and hence usually limited to key individuals, leaders of interest groups, and others who have been active throughout the P.I. process.</p>
VI. PRESENT RECOMMENDATIONS	<ol style="list-style-type: none"> 1. Present the agency's recommended plan to the public for final review. 2. Review public comments and make final modifications as needed. (Late, but important, objections may require recycling from stage III.) 	<p>This is first time the agency is in the advocacy position. Therefore, this stage usually combines a number of informational techniques along with activities allowing for public reaction.</p> <p>Step 2 is accomplished by the on-going key leader/individuals group.</p>
VII. PRESENT FINAL PLAN	<ol style="list-style-type: none"> 1. Inform publics about the final plan based on the review of responses to the recommended plan. 2. Inform public of implementation plan. 	<p>Strong use of media and other techniques to communicate information to broad segments of public</p> <p>Also other techniques of a more personal nature to inform those who were actively involved during some stage of your planning process.</p>

THE USE OF VALUES: PUBLIC PARTICIPATION IN THE PLANNING PROCESS

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Not too many months ago a planner in a large governmental agency discarded about 150 letters from the public on a controversial issue because they were no help to him -- they contained no facts, no specific proposals -- all they contained were feelings.

Like many other planners, this planner has been faced with a dilemma: While law and agency policies have required him to seek out greater public participation in the planning process, he is ill-equipped to know what to do with the information once he has gotten it. Typically the materials he receives from the broader public appear to him to be "over-emotional", "ill-informed", and "not dealing with realities". But at the same time, any public participation program which puts all the emphasis on well documented, carefully prepared, scientific presentations from the public will build in a bias for only the well-funded interest groups. The planner is trapped between his professional training -- which typically equips him to deal with scientific fact, demonstrable propositions, and economic feasibilities, but not with feelings -- and the democratic philosophy which stresses that all the people should be involved in the decision-making, not just the special interests.

After five years as a Consultant and Trainer in citizen participation to almost all the federal agencies involved in it, as well as a number of state and local agencies; I have arrived at the conclusion that in the early stages of planning the previously avoided and discarded feelings and emotional expressions are a critical and valuable resource and go straight to the reason citizen participation is necessary. Feelings and emotions are indicators of values; and differences in values are what citizen participation is all about.

This paper details the thinking which led to these conclusions, as well as a practical method by which planners can use values in the development of planning alternatives.

Making "Political" Decisions

Most planners argue that they do not make political decisions. They mean they do not make decisions which would, or should, be made by the political process (through elected officials or a legislative body). But a careful examination of the difference between a decision the planner makes and a decision made through the political process indicates that the only difference is the "stake" involved -- the importance of this decision in terms of the benefits and costs distributed to different segments of the public. Every planner has had the experience of making a decision he considered to be "professional" only to find it made "political" by someone's intense reaction to the decision. A decision is political by its nature if it distributes benefits and costs to different segments of the public -- regardless of whether or not it is made through the political process.¹

By this definition purely professional decisions tend to be limited to assessments of resource capability or determinations of technical feasibility. It is a professional decision as to what level of pollutants is now in a river, or what percentage of the pollutants a particular method will remove; it is a political question (backed by the professional information) to determine how much pollution will be tolerated.

A Broader Definition of Benefits and Costs

The term "benefits and costs" immediately conjures up images of economic standards of measurement. Certainly many decisions made by planners bestow economic benefits and costs, e.g. the allowable density of a proposed development.

But most planners have expanded their definition of benefits and costs to include conflicting uses. A planner can make a decision which benefits hikers and cross-country skiers while assessing a cost in loss of land which can be used by snowmobilers.

But I wish to add still a third dimension to the definition of benefits and costs -- the dimension of values. By values I mean those internal standards by which we judge events or behavior to be good/bad, right/wrong, fair/unfair, just/unjust.² They are the normative standards by which we judge the way things "ought" to be. When a planner makes a decision to allow a timber cut in an isolated backcountry part of Alaska he may hear outraged cries from apartment dwellers in New York City, based not on any direct economic gain or even any realistic expectation that they will ever visit the land in question -- but based on the fact that the planner's decision is distributing a benefit or cost on the way they believe the land ought to be managed. The benefit or cost is solely in the values dimension.

3

Values choices are essentially choices between two positive goods. For example, if the issue is the use of seat belts one must find a position which balances "comfort" with "safety". If the issue is the mandatory use of seat belts, one must find the balance point between "individual freedom" and "public safety". All of these values indicated are good, desirable, positive; no one is against any of these values, the issue is which values should prevail in this instance. The act of "valuing" is one of finding the proper balance point between the two values in a given situation at a particular point in time.⁴

A policy is a balance point selected between competing values. Competing policies are competing judgments as to the relative importance of particular values in a particular situation.

This is illustrated below:

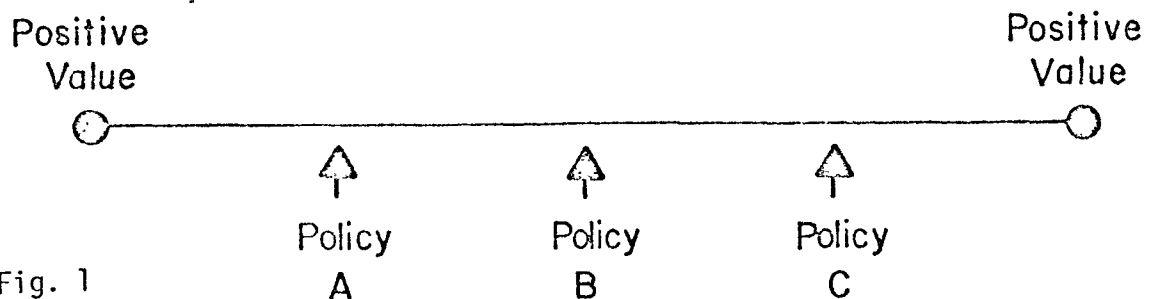


Fig. 1

Each policy is a balance point between two "goods". An individual may oppose a policy of an agency because he considers that the policy does not adequately recognize the importance of a "good" he supports. To the planner this individual may appear to be an "aginner" -- an individual who will consistently oppose anything proposed by the agency. But this opposition is based on this individual's positive support of some value which he believes the agency consistently does not properly value.

It is one of the characteristics of values arguments that the opponent will usually appear "over-emotional and irrational", committed to premises that he cannot rationally justify. The difficulty is that both sides -- both the planner and the various publics -- see the other as locked into preconceptions that no number of facts will shake. For values are a perception of reality based on our own set of personal rules governing our feelings. By virtue of unique life experiences, upbringing, training, and personal introspection each individual develops his own set of "meanings" for his experiences. These "meanings" -- and values are major standards by which we evaluate events to provide meaning to them -- cause each of us to have an individualized reality, a perception of reality which is always to some extent unique to that individual. When we confront someone with an individualized reality based on values which are substantially different, then the rules by which we judge reality are contradictory. We usually cope with this threat to our definition of reality by judging to the other person to be ill-informed or badly-motivated. When one individual views an act as an "outstanding program to stimulate economic well-being" while another individual views the same act as a "vicious desecration of nature's natural order", they are operating with individualized realities with premises so fundamentally different that these individuals appear to be emotionally committed to unjustifiable positions.

One reason that much information from the public is viewed as over-emotional and irrational is that it conflicts in much the same way with unconscious values held by the planner, or the agency for which the planner works. For underlying each agency's mandate and basic operating policies are very definite values. For example, many natural resources agencies have "multiple use" policies which attempt to balance the conflicting interests by providing a number of uses from the same land. Typically this orientation is described as "the Greatest Good for the Greatest Number". However, this orientation predisposes agency planners to naturally seek out ways of accommodating several uses, and avoid solutions that maximize single uses to the exclusion of other uses. When individuals or groups advocate that land be used solely for the one use they consider to be the "highest good", planners will tend to consider these individuals as selfish and self-serving, inconsiderate of other needs and interests, and will instinctively resist such proposals. The policies of the agency, and the values inherent in them, form a barrier of resistance to the proposals of individuals whose values differ from those of the agency.

Yet it is my conviction that the environmental battles of the present are primarily on the values dimension. While the battles of the past may have been among those most immediately affected and concerned about economics and use, the battles of the present are a struggle among competing fundamental values about how the land should be used and the life-styles associated with that use. The demands for citizen participation in the plan-

ning process are demands that agencies be accountable to a broader range of alternative values.

Accountability for Political Decisions

It is the essence of a democracy that there be accountability back to the public for decisions made by the government. If a school superintendent makes a decision about busing of school children there are immediate demands that the school board make the final decision; the logic being that the school board can be held accountable to public sentiment at the next election. A central theme in our philosophy is that governments can rule only with the consent of the governed.

Yet the national malaise is the fear that no one is able to make the system responsive; that increasingly there is no way to hold the government accountable. The reasons are multiple: the vastly increased size of the bureaucracy, the increased technical complexity of the decisions, the specialization of disciplines and agencies involved in decisions. There are many other explanations given as well, but whatever the reason the citizen still feels uncertain of his ability to exercise any control over "his" government.

To illustrate this problem, let's explore the chain of accountability for a federal policy or project (Fig. 2):

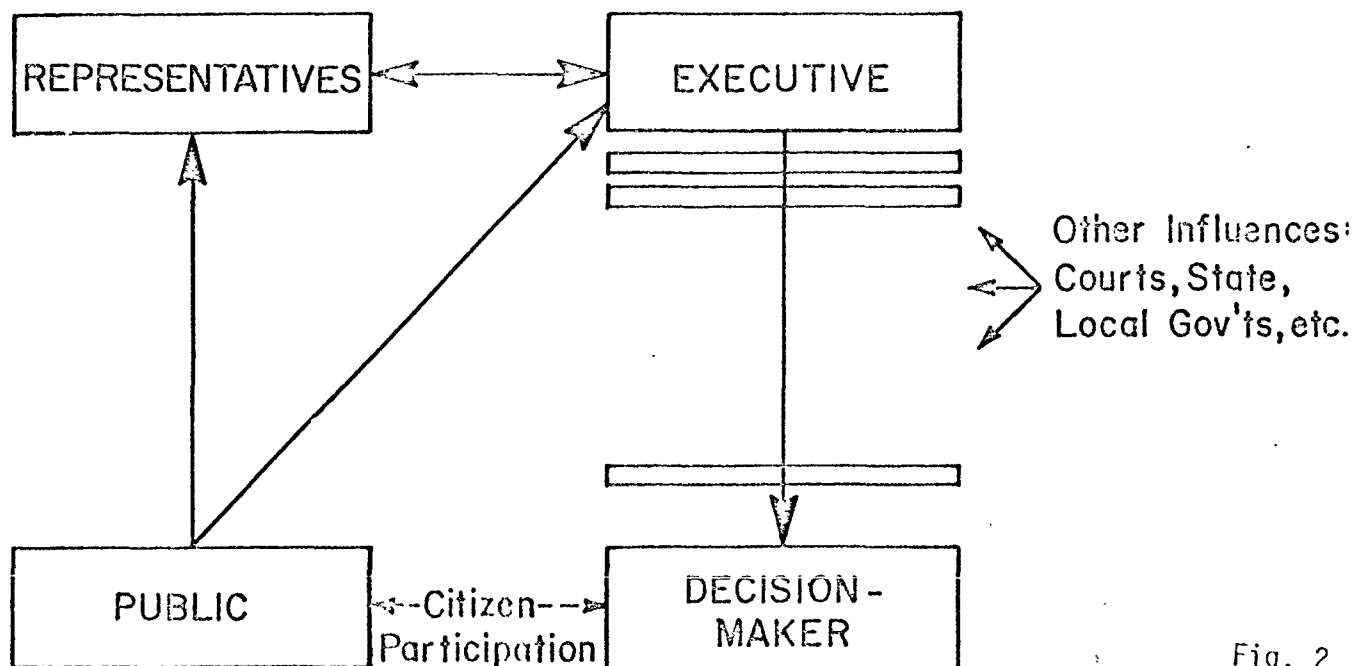


Fig. 2

First the public selects representatives. Already some degree of accountability is lost because they cannot select these representatives on one issue alone. They must buy them "as a package" with the possibility of stands on one issue cancelling out stands on another. Issue-by-issue accountability is already diminished.

The public also selects the President, the Executive. But it is a different public -- a national public -- than the local or state publics which elect the representatives. The result is that each may be accountable to a different version of public need.

Out of the interaction between these conflicting definitions of public need comes the legislation which defines "policy" for the agency. But these policies are in turn modified as they are interpreted by the various layers of bureaucracy who are in turn impacted by the courts, other agencies, state and local governments.

The result is that by the time we reach our planner the chain of accountability is very long and tenuous indeed. Typically there is a time lag of several years or more before a shift in public sentiment is reflected in policies which are recognized and followed down at the level of the individual planner. And even when these changes occur there is little possibility of issue-by-issue accountability: the giant bureaucratic wheels turn too slowly for decisions already "in the pipeline" to be adapted to the change in policy.

Yet somehow the system usually works. Many of the natural resource and development agencies went on for years being the "good guys" among the governmental agencies. It is only recently they have been portrayed as the "bad guy". What made the difference?

The Melting Consensus and the New Battleground

It is my belief that the long chain of accountability still worked as long as there was a framework created by a consensus of values within our society about the proper use of the land. So long as decisions did not stray too far from the great middle of this consensus there was little demand for accountability -- only those groups most directly affected by economics or use needed to contest the issues.

One way to conceptualize this consensus is as a normal bell-shaped curve with the great consensus in the middle and an overwhelming majority occupying a relatively homogenous values position.

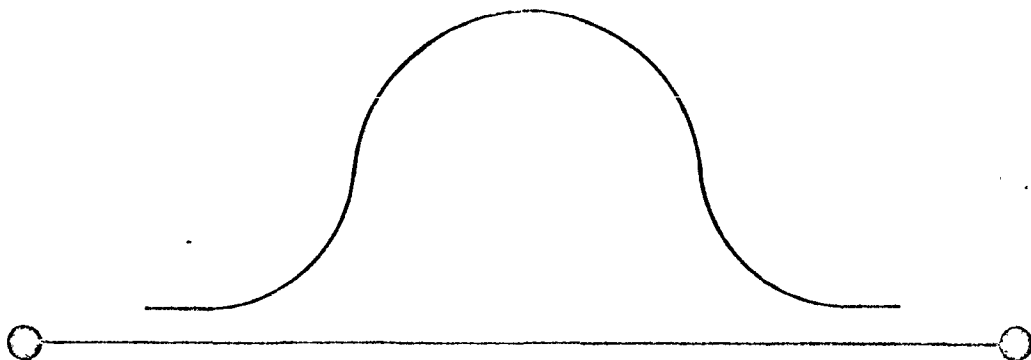


Fig. 3

Since the issue is "the proper use of the land" -- and bearing in mind that valuing is an act of selecting a balance point between two positive goods -- the polar extremes can be stated as follows:

ECONOMIC DEVELOPMENT -- Optimal development of the land to meet man's material needs.

ENVIRONMENTAL QUALITY -- Optimal maintenance of the total eco-system.

Continuing our image of the consensus as a bell-shaped curve, we can place the bell-shaped curve on this scale of values with Economic Development at one end and Preservation at the other. (Fig. 4).

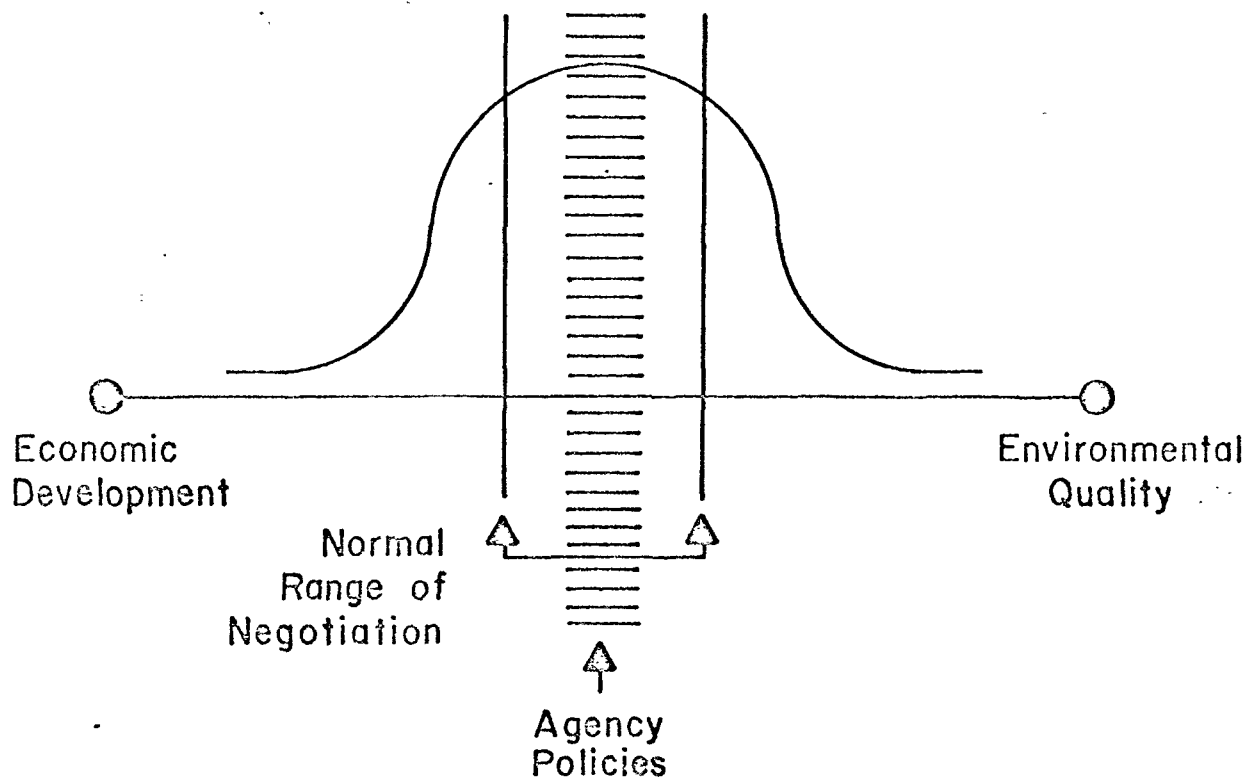


Fig. 4

Since the agencies whose policies affect land use (with the exception of the Environmental Protection Agency) were established during the period when this consensus existed, they operate within organizational mandates and philosophies which reflect this consensus.

The Environmentalist Movement which began in the mid-'60s was, in my opinion, a function of the breakdown of this consensus. Instead of an homogenous cluster towards the center, the consensus broke down and began to spread over a broader range of values. Graphically the result would look more like a melted eskimo pie than a normal bell shaped curve (Fig. 5).

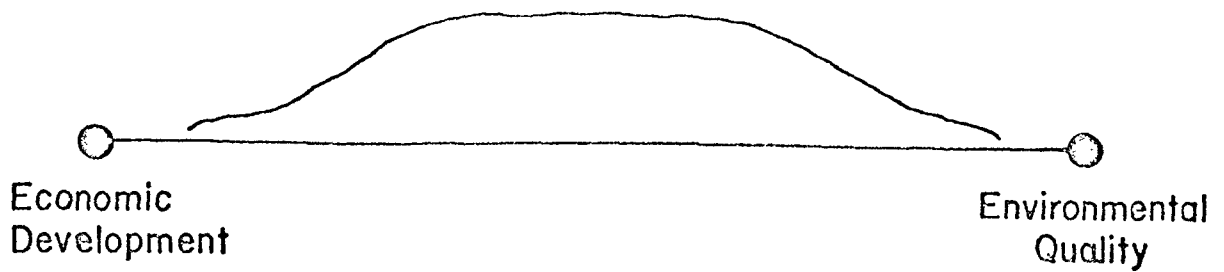


Fig. 5

The effect of this was to leave agency mandates and policies stranded without a consensus. Political strength was distributed across a broader range of values. New groups emerged who saw the agencies as adversaries -- and from their values position, rightly so, because the agencies now spoke on behalf of one segment of the public (occupying the values position on which formerly there was a consensus) rather than a consensus of the public at large. The agencies were "adversaries" because they could wield vast administrative and economic powers on behalf of those values embedded in agency mandates and policies. Finally, because power was distributed, strong new political forces emerged to challenge the groups and agencies which represented the old consensus. Each issue became a desperate battle for political superiority. Groups began to demand issue-by-issue accountability because each issue became a testing ground of political strength.

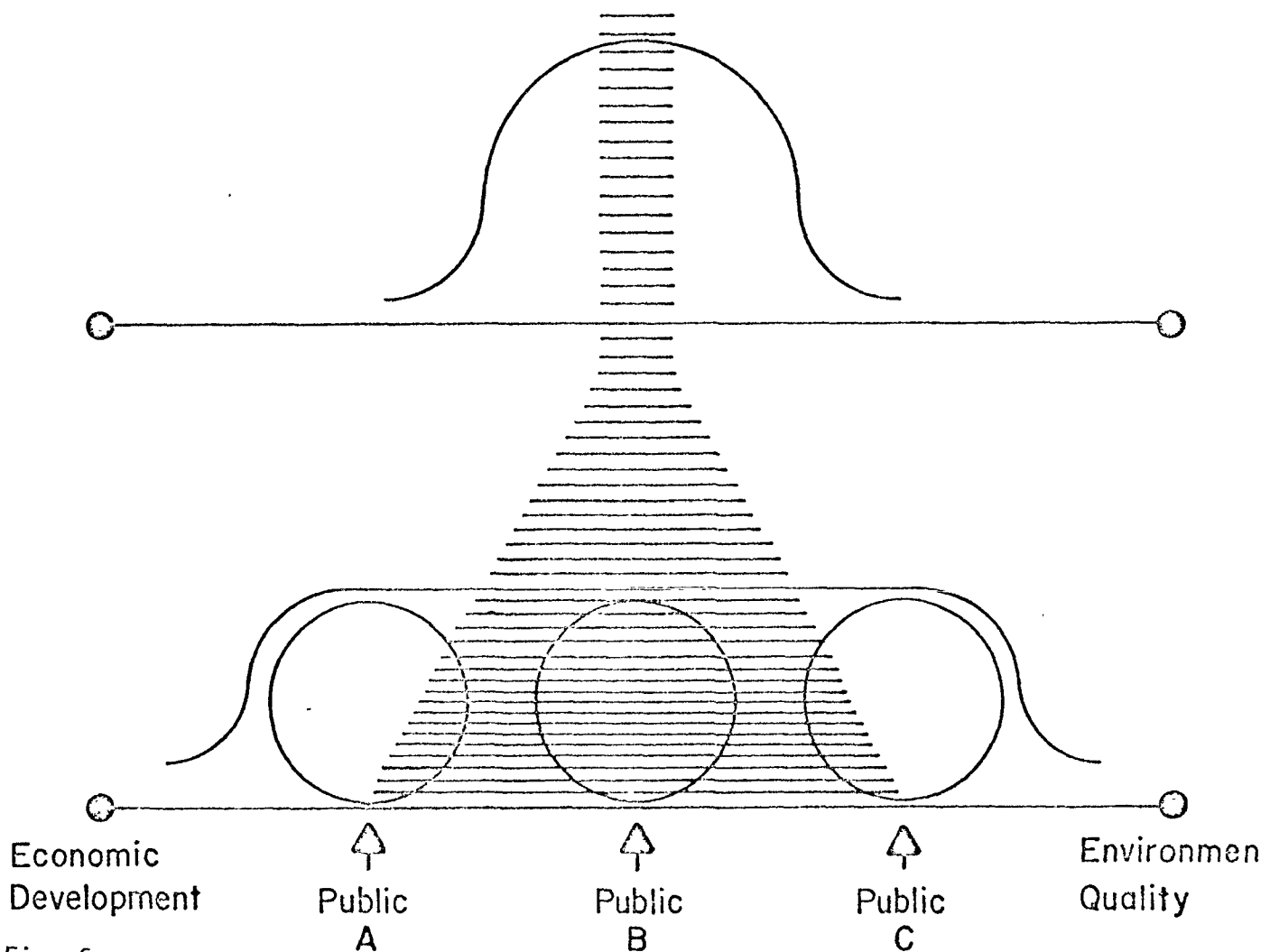


Fig. 6.

Providing Issue-by-Issue Accountability: Public Participation

But the line of accountability was far too drawn out and tenuous to provide issue-by-issue accountability. To survive, the system had to find an adaptive mechanism to provide this accountability in the short-term while buying time until either a new consensus would form (one of the groups would establish clear political dominance), or the land use agencies would learn ways of responding to the greater divergence of values. The adaptive mechanism was public participation.

Returning to our earlier diagram of the line of accountability: By constructing a link directly across the chasm between the public and the planner through public participation, the system could provide issue-by-issue accountability while still maintaining a representative form of government. The planner himself would be the direct recipient of the thoughts and feelings of groups which normally did not have access to decision-making within the agencies.

The Use of Values

Now back to our tragedy of the discarded letters (referred to at the beginning of this article). These letters were discarded because they contained no specific proposals, only feelings and general philosophical statements about the way the land should be managed. In effect they were discarded because they only contained values data. But if the purpose of public participation is to ensure consideration of the total range of values held by the public, then information about values held by the public was the most important information this planner could receive. His failure was to consider unimportant the information which would be most helpful in ensuring that public participation would do the job it was designed to do.

But the fact remains that even if he had appreciated the importance of the letters, he probably would not have known what to do with the information in them anyway. Few, if any, tools have been provided to the planner to assist him in utilizing the emotional, subjective and "irrational" world of values.

Having confronted this problem with numerous clients, I have been developing a technique for analyzing contributions from the public for underlying values and using these values specifically as the basis for developing the alternatives to be displayed for the public as part of the public participation process.

Identifying Values

Typically values are implied in people's speech or behavior rather than explicitly stated. While they play a strong role in shaping our lives, when they are stated explicitly they sound vaguely like "motherhood" or "apple pie" and are difficult to defend except as an act of faith. (For example, the writer of the Declaration of Independence fell back on the phrase "we hold these truths to be self-evident" to justify values as fundamental as Life, Liberty and the Pursuit of Happiness.)

Because values are rarely stated explicitly, we have found it necessary to train planners to identify implied values. The first part of this training involves teaching specific communications skills designed to acknowledge both content and feelings. We have found that a greater comfort with feelings is generally necessary for effective public participation and is especially important in learning to identify values. Until there is a value placed on the emotional component of communication there is little sensitivity to the fund of information from the public that communicates values.

To get planners started in identifying values, we first suggest they pay attention to three strategems used to communicate values:

- 1) Use of Values-Laden Language - This includes terms such as "raping the land", "locking up the land", "bureaucratic juggernaut", etc.

Some of my favorite examples of values-laden language comes from within the agencies. The Forest Service refers to certain stands of timber as "overmature, decadent timber" because the trees have ceased to grow as rapidly as they did when they were young. The same trees, if located near a highway right-of-way, would be viewed by the Federal Highway Administration as "fixed hazardous objects." The point is that the terminology reflects an orientation: the Forest Service is viewing the trees for potential timber harvest, while the Federal Highway Administration is viewing them as a potential safety hazard to drivers. This orientation communicates the values framework within which the agency is operating.

Naturally the different publics have their own collections of choice values-laden terms which can serve as a guide to their values for the planner.

- 2) Predicting a Dire Consequence - People will predict that an action will eliminate all the jobs in a locale, or will predict that the air won't be fit to breathe if an action is carried out. The kind of consequence they fear will reflect their values. The man from the Chamber of Commerce will predict a loss of jobs, while the preservationist will predict a total disruption of the eco-system. By implication, the consequences they select also indicate their values.
- 3) Referring to a Venerable Source - People may quote the Bible, the Constitution, the Declaration of Independence, famous Presidents or writers as proof that their position is the only right one. The strategy is to quote a source so venerable that people won't dare question the individual's position for fear of appearing to attack the venerated source. The difficulty is that sources which are venerated by one group may appear downright disreputable to another. The individual citing the latest Department of Commerce report on the Gross National Product is unimpressive to the individual who would more likely quote Henry David Thoreau. However, their selection of venerable sources is a source of information to the planner about their values.

Communication Characteristics(1)						Techniques for Communicating and Involving the Public	Objectives of Education and Participation Techniques				
Degree of Public Contact Achieved	Degree of Impact on Decision Makers(2)	Degree of User Sophistication	Ease of Use and Preparation	Ability to Respond to Varied Interests	Degree of Two-Way Communication		Inform/Educate	Identify Problems and Values	Get Ideas/Solve Problems	Feedback	Resolve Conflict/ Research Consensus
						Group A - Large Group Meetings					
2	1	2	2	0	0	1 - Public Hearings	1	2		1	
2	1	2	2	0	1	2 - Public Meetings	1	2		1	
						Group B - Small Group Meetings					
1		2	2	3	3	3 - Presentations to Community Groups	2	2		2	
1	3	3	2	2	3	4 - Site Visits	2	3		2	
1	2	1	2	3	3	5 - Advisory Body	3	3	2	3	2
1	3	1	2	3	3	6 - Task Force		3	3	3	2
1	1	2	3	2	3	7 - Role Playing Exercises	3	3	2		2
1	1	2	3	2	3	8 - Values Clarification Exercises	2	3	2		2
1	1	1	2	3	3	9 - Workshops	2	3	3	2	2
2	3	2	1	3	3	10 - Delphi Exercises	1	2	3	3	3
						Group C - Organizational Approaches					
2	2	3	3	2	2	11 - Regional and/or Local Offices	1	2	2	3	2
1	3	1	2	2	3	12 - Citizen Representation on Policy Boards		3	2	3	2
1	2	3	3	3	3	13 - Ombudsman and Community Advocate	2	3	2	3	2
3	1	3	3	2	3	14 - Public Interest Center	2	2		2	
						Group D - Media					
2	1	2	2	1	1	15 - Information Pamphlets, Brochures, and Summary Reports	1	1			
2	1	3	3	1	1	16 - Slide and Film Presentations	2				
2		3	2	2	2	17 - Tape Recorded Information Network	2	3	2	3	
3	1	3	1	3	2	18 - Radio Talk Shows	2	2		2	
3	1	2	2	1	1	19 - Press Releases and News Letters	1	1		1	
						Group E - Community Interaction					
1	1	1	1	2	2	20 - Response to Public Inquiries	1				
2	2	3	3	3	3	21 - Attitude Surveys - Mailed, Telephone, and Personal Interviews	2	3		3	2
						Group F - Legal Mechanisms					
1	3	1	3	2	3	22 - Citizen Suits	1	3	3	3	3
1	1	1	1	3	1	23 - Environmental Impact Review Statement	2	3	3	3	3

Footnotes appear on next page.

FIGURE IV. CAPABILITIES OF ENVIRONMENTAL RESOURCES EDUCATION
AND PUBLIC PARTICIPATION TECHNIQUES

Footnotes for Figure IV

- (1) These evaluations are based on a simple set of numbers - 1, 2, and 3 - respectively, representing low, satisfactory, and high degrees as noted below:

Key: "Degree of Public Contact Achieved"

- 1 = few people contacted
- 3 = a vast audience contacted

"Degree of Impact on Decision Makers"

- 1 = very little impact
- 3 = significant impact

"Degree of User Sophistication"

- 1 = requires technically oriented audience
- 3 = audience need not be literate

"Ease of Use and Preparation" (from agency point of view)

- 1 = little skill needed
- 3 = requires special training

"Ability to Respond to Varied Interests"

- 1 = responds to a few needs
- 3 = responds to many needs

"Degree of Two-Way Communication"

- 1 = very little
- 3 = high degree

- (2) Assumes the ultimate decision makers are not present.

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
<u>Large Group Meetings</u>			
Public Hearing	<ul style="list-style-type: none"> Definition: Formal public meeting usually required by law Purposes: To certify proposed plans and discuss other related issues 	Provides an opportunity for the public to ask questions and voice opinions. It is a traditional technique, familiar to many citizens.	Does not usually allow for two-way communication or continuity of interactions.
Public Meeting	<ul style="list-style-type: none"> Definition: Informal public proceeding Purposes: To discuss issues 	Same as above.	Same as above.
<u>Small Group Meetings</u>			
Presentation to Community Groups	<ul style="list-style-type: none"> Definition: Lecture and discussion with specialists Purposes: To identify community concerns and to inform citizens of the plans, issues, pollution control techniques, water quality agencies, etc. 	Opportunity for informing the public and exchanging information.	Is not a decision-making meeting. Lack of good two way communications may lead to citizen apathy.
Site Visit	<ul style="list-style-type: none"> Definition: Field trip to sites of existing or potential impacts Purposes: To sensitize planners and citizens to project impacts. 	Provides opportunity to more clearly understand the many dimensions of a problem	Time consuming and expensive, especially where sites are distant or inaccessible.

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
Small Group Meetings (Continued)			
5. Citizen Advisory Body	<ul style="list-style-type: none"> Definition: Formally appointed representative citizen group Purposes: To sensitize planners and citizens to project impacts 	<p>Provides opportunity for continuous two-way communications with a representative body and reduces the need for community meetings. Assists in gaining community support for a plan.</p>	<p>Role of body often mistakenly seen by the public as a decision making body and by agencies as a threat. Agencies are often reluctant to cooperate and use the body for superficial activities</p>
6. Citizen Task Force	<ul style="list-style-type: none"> Definition: Formally appointed citizens knowledgeable about a specific problem. Purpose: To study lay a professional concerns on a particular problem and make recommendations for action. 	<p>Provides indepth information on issues. Often can cut across agency jurisdictional boundaries to seek solutions to problems.</p>	<p>Task force has no power to implement findings. It is usually disbanded after its work is completed, thus limiting its continued involvement with the problem.</p>

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
<u>Small Group Meetings</u>			
7. Role Playing	<ul style="list-style-type: none"> Definition: An educational and decision making technique where real world problems are simulated by individuals who act the part (play the roles) of decision makers or citizens 	<p>Provides an opportunity for citizens to experience decision-making problems and become sensitive to the complexities of economic, social, and environmental decision making.</p>	<p>Requires skilled group leader to be most effective.</p>
8. Values Clarification Exercises	<ul style="list-style-type: none"> Purpose: To sensitize citizens and decision makers to the economic, political, social, and environmental aspects of resource decision making Definition: Carefully designed activities for people to examine conflicts between their behaviors (lifestyles) and their stated beliefs (values). 	<p>Provides an opportunity for the public and agency persons to re-examine the basis for their opinions and decisions on water resource issues and to potentially change their behaviors.</p>	<p>Requires careful preparation and well-trained leaders to be effective.</p>
	<ul style="list-style-type: none"> Purpose: To clarify people's values and align their behaviors to these values. 		

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
Small Group Meetings			
9. Workshops	<ul style="list-style-type: none"> Definition: Working sessions in which interested, affected public and government representatives discuss specific issues Purpose: To identify and to recommend solutions to problems 	<p>Provides an opportunity for two-way communication and a good learning experience for both the public and government representatives.</p>	<p>Same as above.</p>
10. Delphi Exercises	<ul style="list-style-type: none"> Definition: An educational and decision-making tool in which citizens and decision makers can choose alternatives via pair-wise comparisons Purpose: To reach consensus on the solutions to problems by jointly considering the opinions of a diverse group of expert witnesses 	<p>Facilitates the processing of a large amount of information in a systematic manner. Immediate feedback and ranking by Delphi is a low cost method of assimilating expert opinions.</p> <p>Requires skilled group leader and participants who are committed to the objective of reaching a consensus.</p>	

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
<u>Organizational Approaches</u>			
Regional and Local Offices	<ul style="list-style-type: none"> Definition: Public agency offices located close to projected areas to administer programs 	<p>Opportunity for agency personnel to become more sensitive to local issues. Increase services at the local level.</p>	<p>May be expensive to house. There may be some loss of central control.</p>
	<ul style="list-style-type: none"> Purpose: To provide better contact between agency and local citizenry 		
1. Citizen Representation on Policy Bodies	<ul style="list-style-type: none"> Definition: Lay citizen participation in the decision-making process 	<p>Permits citizens to participate in decision making. Encourages commitment to support project implementation.</p>	<p>Appointed representatives may not, in fact, represent their constituency. To be effective, representative must be forceful and articulate.</p>
	<ul style="list-style-type: none"> Purpose: To provide community interest groups with greater involvement in decision making 		
3. Ombudsman and Community Interest Advocate	<ul style="list-style-type: none"> Definition: An agency appointee to serve as a liaison with the community. 	<p>Provides a mechanism for two-way communication between public and agency. Cuts through bureaucratic roadblocks.</p>	<p>Agency can abuse this mechanism by not giving the ombudsman access to vital information or by not considering citizen concerns.</p>
	<ul style="list-style-type: none"> Purpose: To investigate and resolve community complaints and make policy recommendations to decision makers. 		

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUE
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
Organizational Approaches (Continued)			
4. Public Interest Center	<ul style="list-style-type: none"> Definition: An office which disseminates information and provides speakers for community meetings Purpose: To serve the community as a source of information on environmental issues, citizen rights, and technical information. 	Provides a new institution devoted to assisting the citizen in improving two-way communication with government.	May easily be ignored by government which may see the Center as a threat to their authority or merely as a public relations office.
Media			
5. Information Pamphlets, Brochures, and Summary Reports	<ul style="list-style-type: none"> Definition: Brief written materials on environmental issues Purpose: To provide the public with general information and easily understood documents. 	Can reach a large number of people at a low cost to the agency. Simplify complex information for easy consumption.	One-way communication with little feedback. Brevity may omit key information from being transmitted.

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
Media (Continued)			
16. Slides and Film Presentation	<ul style="list-style-type: none"> o Definition: Brief pictorial presentation showing water quality issues and solutions o Purpose: To create awareness of water quality problems, and methods of dealing with them (e.g., land use practices). 	<ul style="list-style-type: none"> Can be inexpensive to develop. Distribution of films when used with local issues and opinion leaders it can be an effective change tool. and projectors can be expensive. 	
17. Tape Recorded Information Network	<ul style="list-style-type: none"> o Definition: Tape cassettes sent to citizen groups with discussion topics. Citizen responses are recorded and returned. o Purpose: To inform citizens and obtain their opinions on issues quickly. 	<ul style="list-style-type: none"> Allows information to be distributed to a wide audience. Promotes two-way communication. 	<ul style="list-style-type: none"> Technique is expensive. Requires time to prepare.
18. Radio and Talk Show	<ul style="list-style-type: none"> o Definition: Program which provides experts a forum to respond to telephoned questions from citizens. o Purpose: To provide a forum where many citizens can listen to a question and answer session with leaders or experts. 	<ul style="list-style-type: none"> Citizens can have direct two-way communication with decision makers and a wide audience can be reached. 	<ul style="list-style-type: none"> Agency administrators may be unwilling to commit the time to such a program. They may also not like the public scrutiny.

(Continued)

Media

(Continued)

<u>TECHNIQUE</u>	<u>DESCRIPTION</u>	<u>ADVANTAGES</u>	<u>DISADVANTAGES</u>
19. Press Release, Special Feature Articles and News Letters	<ul style="list-style-type: none">o Definition: Easily understood articles which reach a wide audienceo Purpose: To inform people of issues rapidly. To announce meeting dates, changes in technology and changes in the law.	Provides a forum for local issues and continuous communication.	Editorial subjectivity distort issues and destroying updateness. Maintaining updated mailing list may be expensive.

E. Community Interaction

20. Response to Public Inquiries	<ul style="list-style-type: none">o Definition: Official response through letter, telephone, or other.o Purpose: To maintain good communications with the public and to respond to questions	Can provide honest and precise responses to concerns of citizens.	Requires open and knowledgeable persons in agency to respond competently.
21. Formal Attitude Survey	<ul style="list-style-type: none">o Definition: A systematic assessment of a representative sample of a communityo Purpose: To determine the values and positions of the public on specific issues	Provides an objective view of popular values and preferences that are representative of the community.	Is expensive and requires experts to conduct accurately. Questions must be carefully worded so as to be interpreted correctly by respondents and analysts.

While these three guides merely serve to make planners aware of values, we have found that these guides combined with the communications skills training provides a sufficient introduction that soon planners are able to reliably identify the values of one individual or groups as compared with another.

The Methodology for Developing Alternatives Based on Values

The basic methodology for developing alternatives based on values is as follows:

1. Analyze Public Contributions for Underlying Values Issues

Using all of the guidelines indicated above, the planner analyzes all the contributions -- whether letters, reports, comments at meetings -- to determine which values issues appear to separate the various publics. Once the planner has isolated the major values issues he can set up values continuums with the opposing values at opposite ends as illustrated earlier. He may also be able to identify other positions which constitute mid-points along the continuum.

We have found that it is often possible to capture the differences between publics with as few as two continuums. This allows the planner to set up a simple matrix as a way of displaying the continuums. For example, the matrix which most frequently defines the issues in federal public works projects is as follows:

Gov't Action/ Public Welfare Or Safety			Gov't Action/ Environmental Quality
Limited Gov't Controls Maintaining Individual Freedom And Free Enterprise		Limited Gov't Controls/ A Balance of Opportunities	
Individual Freedom/ Free Enterprise	Individual Freedom/ Economic Development		
	Economic Development	A Balance of Opportunities	Environmental Quality

Fig. 7

When there are more than two continuums necessary to distinguish the publics then other display methods may have to be used. For example:

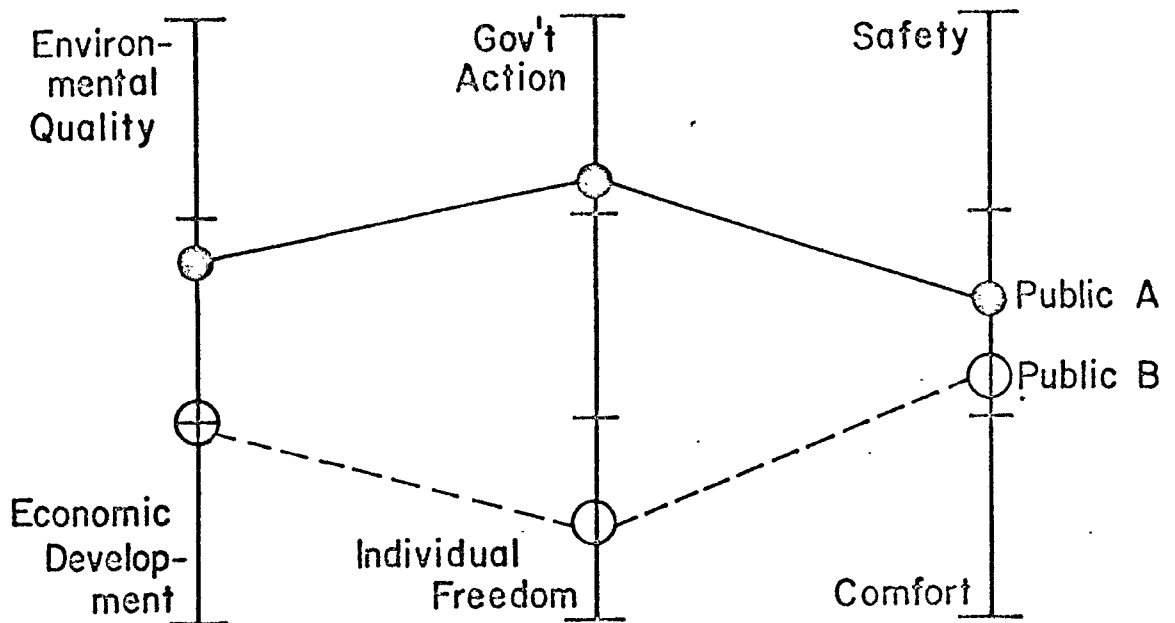


Fig. 8

The planner may then want to conduct a "trial run" on the values continuums he has selected by tentatively placing significant groups in the position he believes they occupy on the display. If the display does not succeed in differentiating the different groups the planner will have to reexamine the continuums selected, as they apparently are not the distinguishing values issues.

2. Identify Clusters of Publics

Using the actual information received from groups and individuals (so as to avoid preconceptions as to what their positions may be), the planner indicates the location on his display of the publics he has identified. It will probably prove desirable to use acetate overlays so that groups and individuals are displayed on separate sheets other than having to decide how many individuals a group leader represents. The resultant display will resemble a frequency distribution based on the publics' contributions. For example (Fig. 9):

Government

Individual

Economic
Development

Environmental
Quality

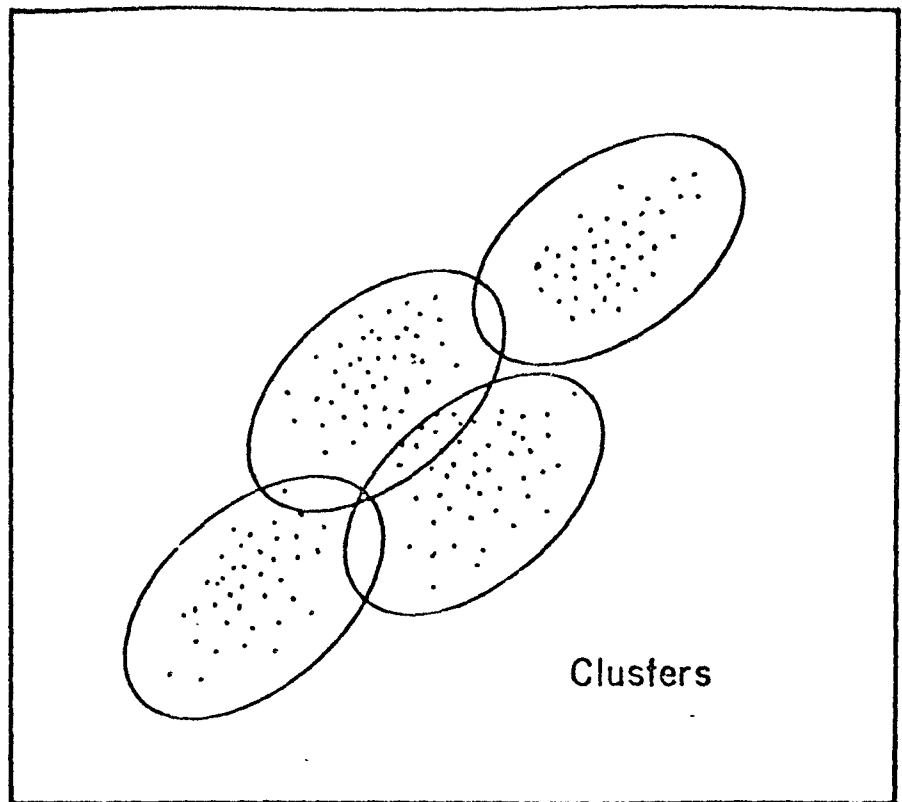


Fig. 9

For the purposes of this analysis it is not necessary to have a precise numerical tally; we are attempting only to identify significant clusters of individuals or groups around values positions. In the graph above, for example, there are four significant clusters, even though there are numerical differences in size between the clusters.

3. Write Descriptions of the Values for Each Cluster

Using the numerical tally as a guide, the planner now writes a brief description of the values that appear to be associated with each cluster. It is these descriptive paragraphs that will be shared with the public. It is our experience that the displays can be misunderstood (an individual doesn't like seeing himself as nothing more than a mark on a chart), while the philosophical summaries are quite acceptable. To be certain that the values of the different groups are accurately portrayed the planner may want to share the statements he has developed with selected groups important to each cluster to ensure that the statements capture their positions. This also ensures a clearer understanding of the values for which the group stands.

4. Develop an Alternative for Each Values Cluster

Using the value summaries as a guide, and where available the actual recommendations of the group as a "reality check", the planner now does the best professional job he can of developing an alternative which best incorporates the values held by each values cluster. In effect, it is a form of advocacy planning, except advocacy planning on behalf of all the different values positions.

One problem that frequently emerges is that the alternative which best portrays a particular values position run afoul of laws, financing procedures, or agency mandates. But our experience suggests that it is extremely important that these alternatives not be excluded, but that the limitations be identified as part of the Implications (Step 5).

The reasons for this are:

- a) There is a natural tendency for agencies to limit alternatives to those which have been acceptable within the agency in the past. Yet the whole point of public participation is to seriously consider a broader range of values.
- b) Some of the constraints which the agency believe to be real can be surmounted when the public feels strongly enough about an issue. For example, contracts that have already been let can be bought back if enough importance is attached to doing so. Alternatives sources of financing can be found if people feel strongly enough about a project.
- c) People feel excluded from the process if after sharing their thoughts and feelings no alternatives are developed which indicate that the agency heard and understood those thoughts and feelings.
- d) If the public is never confronted with the implications of its values - if the agency always rules out options that it considers "way out" - then the public is never smarter about the consequences of what it is proposing. Public participation does also serve the function of public education.

5. Identify Implications of Each Alternative

The planner has "taken on" different values premises to develop the alternatives, but now he must describe the implications of the alternatives in as "values-free" a manner as possible. These implications include all the economic, social, and environmental consequences of each alternative, but ideally these implications can be stated with sufficient objectivity that almost everyone - regardless of values position - can agree that the implications are accurately stated.

To do this the planner must learn to describe implications with a minimum of values-laden language. For example, we have learned from experience - some of it a trifle bitter - that implications should not be stated as "pro" or "con". An anticipated increase in population in an area, for example, is positive to one person and negative to another. The implication should be stated as factually as possible, e.g. "anticipated increase in population of 5-10%."

6. Evaluation of the Alternatives Through Public Participation

Once the alternatives and implications are developed (and they may have been developed with the assistance of a task force or steering committee made up of the various public interests) they are then shared with the public through the whole gamut of public participation techniques including public meetings, workshops, newspaper articles, show-me-trips, etc.

While the great bulk of the public will rule out certain of the extremes when faced with the implications, this narrowing-down process is not being done for them by a paternalistic agency. As a result they feel - and are - a genuine part of the decision-making. In addition they may devise ways of improving the alternatives, or combining features of several alternatives to avoid undesirable implications. By listening to public comment carefully, the planner also acquires a great deal of information as to which trade-offs would be acceptable, and which not.

Nothing about this technique removes the agency from its final decision-making role; the technique simply serves to clarify the fundamental values differences, expose them to the public along with the implications of each alternative, and provide the decision-maker with substantial information on how the public would negotiate the differences. Our experience is that when this technique is used as part of a thorough and open public participation program that the various interests will arrive at substantial areas of common agreement.

The Validity of Values Analysis:

Since this process has been taught as a part of training programs with a number of agencies we have had a chance to get at least a subjective response of on-the-ground planners to this approach. Uniformly they have been enthusiastic about the method, feeling that it opened up entirely new material that they had not considered, and that it provided them with an approach that more nearly fit the emotional realities of their planning situation.

Two examples of the value of this method were presented in an advanced training program we put on for the U.S. Forest Service in Juneau, Alaska:

The Mendenhall Glacier: For some time the planners for the Mendenhall Glacier Recreation Area had been stymied by the apparently overwhelming divergence of views they had received in letters from the public. Analyzing the letters for specific proposals they had identified over 200 alternative proposals. Naturally, there was no way to respond to the vast majority of the proposals without turning the entire area into wall-to-wall concrete. In addition, the Glacier area was politically sensitive since the glacier is only 15 minutes from downtown Juneau, capital of Alaska. The small valley in front of the glacier contains housing for most of the governmental and business elite of Juneau.

Using the method of values analysis described above, the planners reviewed the letters a second time for the values communicated by the publics. To their astonishment they found that in terms of values there was almost complete unanimity on a minimum human impact approach to the recreation area. In effect the letters said, "the most important thing is to keep the area in its natural state, but it would be nice to have nature walks (4-wheel drive trails, bicycle trails, etc., etc.)."

As a result of using the values analysis the planners felt they were now able to proceed to develop alternatives that would be generally acceptable to the public, incorporating only low impact developments in the alternatives.

The South Tongass National Forest: Planners from the South Tongass National Forest (Alaska) also participated in this training program and used as their material a large politically sensitive planning unit on which they had just completed public participation and were ready to announce a decision.

With the public input fresh in their minds they were able to quickly identify four values positions around which significant publics had clustered. But when they reviewed the alternatives they had developed it became apparent that they had not developed an alternative for one of the values positions around which some of the most politically active groups clustered. While this was caused in large measure by an effort to stay within pre-existing contracts with a logging firm, they could see that this did pose a potential for court action by the groups which could maintain that their viewpoint had not been considered. And in fact this predicted "dire consequence" did occur. The planners now believe that by using the values analysis approach on future projects they will reduce the risks of significant publics feeling unrepresented by the alternatives developed.

Areas of Further Research

While the technique appears to be extremely promising there do remain areas which will need to be developed further in actual case studies. These include:

- 1) Developing further guidelines to assist planners in recognizing and identifying values.
- 2) Developing techniques for identifying values which will have high degrees of statistical reliability so that a different planner would arrive at the same identification.
- 3) Development of additional methods of displaying values issues, including more adequate ways of displaying problems involving more than two continuums.
- 4) Identifying those public participation techniques which are most helpful in evaluating a broad range of alternatives.

Conclusion

If the purpose of public participation is to ensure that the full range of values held by the public be incorporated in the planning process, not just those values normally accepted by agencies, then it will be necessary to learn to recognize and deal with emotional values-laden contributions of the public, not just the factual information with which the planner is more comfortable. By recognizing emotional contributions as a rich resource for information about values held by the public the planner can begin to extend understanding to values he would not ordinarily consider. The technique of developing alternatives based on all major values positions held by the public ensures that the planner is not an advocate for some groups, and an adversary of others. It is also a clear communication to the public that the agency is responsive and accountable to all the publics.

Notes:

1. This definition is adapted from a distinction of "party politics" (who occupies the seats of power) and "policy politics" (what happens - decisions which grant benefits and bestow costs) by Dr. R.W. Behan, University of Montana, from a presentation to a Tri-Forest Conference of the U.S. Forest Service, April 27, 1972, at Boise, Idaho.
2. This definition of values is taken from Clarifying Public Controversy, Fred M. Newmann and Donald W. Oliver; Little, Brown & Co., 1970, p. 43.
3. Newmann and Oliver, op cit, p. 44.
4. Statistical terminology would refer to the two polar extremes as dimensions and the actual point in between selected by the individual as the value. I have chosen, however, to use terms more familiar to the general public.
5. Newmann and Oliver, op cit, p. 44.

A Strategy for Planning with Alternative Futures

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There is an old science fiction plot in which a man enters a time machine and goes back in time millions of years. Upon stepping out of the machine into the ancient past, he accidentally squashes a small, furry animal. When he returns to present time, he finds that the sky is green, everybody has four eyes and three arms — he has made everything different by going into the past and destroying the small, furry animal which was the critical link in the evolutionary chain which would have resulted in what we call the "present."

The point in sharing this little tale is that many desirable futures are "killed" by a decision that appears insignificant at the time but that ultimately closes off a desirable future.

This problem becomes extreme when it is difficult to predict a most probable future — when there could be several alternatives of nearly equal probability or desirability.

Let me illustrate with an actual planning problem as a behavioral science consultant. I was named to a team proposing to develop a master plan for a major new campus of a large state university. The new campus was to be largely oriented towards graduate studies in the social sciences. The ultimate enrollment would be 25,000 students. At present a small agricultural college occupies a portion of the land and the faculty of this college would play a significant role in the decision-making.

These are the problems we faced:

- 1) It was impossible to pick any one future as the single most probable future. With higher education in the volatile state it was in at that time, it was virtually impossible to pick any single future as the one most likely to occur. Instead we would have to construct a range of alternative futures of nearly equal probability.
- 2) Decisions made now would be made within a radically different values framework than that which would be in existence once the campus was in operation. The agricultural school faculty tended to be conservative and traditional in their values and teaching orientations. On the other hand, the predominant social science faculty which would soon occupy the campus would tend to be much more liberal and experimental. Decisions which would be considered brave by the current faculty might be considered as unbearable limitations by the future occupants.

PLANNING TO CREATE AND PRESERVE OPTIONS

This kind of situation has led me to believe that a major function of planning must be to preserve and create options rather than close them — and an implication of this is that a planning process should identify when decisions close off futures that the decision-maker might subsequently wish to be able to consider.

This problem can be illustrated by another science fiction plot in which a man is drinking in a bar. Our hero, whom we'll name Joe, leaves the bar and as he leaves it he must decide whether to turn left down the street or right up the street. Because it is a science fiction plot he is able to do both. Joe Left runs into an old friend who has just invented a great new product. They go into business together, make their fortunes, and live out their years as wealthy and happy men.

Joe Right also runs into a friend who invites him back in for another drink, beginning a binge that plants Joe Right firmly on the path of alcoholism. However, Joe pulls out of it and becomes a national leader in Alcoholics Anonymous, proving that talent will receive its reward.

The point is that the decision as Joe left the bar was one of those no-turning-back decisions after which everything is different. The trick is to know that you are reaching one of these decisions.

One method is to use voodoo. The voodoo advocates call these critical junctions "cusps" and have elaborate rituals — involving readings of the entrails of chickens — to assist in predicting when a cusp has been reached and what path to take. Now we are all too rational for voodoo, so we hire planners. But we can reasonably expect at least as much from a planner as from the entrails of a chicken, namely some guidance as to when we can reach decision points beyond which our whole history will fundamentally change.

But the difficulty is that most planning loses track of the critical assumptions. If alternatives were considered, they are usually lost from sight once "the plan" is agreed upon. Or, they go unnoticed as obscure technical assumptions.

To illustrate: A governmental client was planning for future water needs in a region. A bitter battle raged in the planning team whether the amount to be needed would be four billion or five billion acre feet of water. But hidden deep in a 500 page report was an assumption that agricultural yields would continue to improve at the same rate as they had in the past, during the period of the introduction of nitrogen fertilizers, substantially increased irrigation, etc. But if this assumption was not correct — and there was considerable evidence that it was at least questionable — the estimate could have to be raised to as much as 25 billion acre feet of water. But worse yet, nothing about the planning process was going to provide the decision-maker with any information to evaluate whatever the technical assumption was in fact bearing out. The need is for the planning system to maintain visibility for the assumptions and provide a methodology for conscious review of their continuing appropriateness.

The need for this method of review is greatly increased with most public planning since the time scale from conception to completion of most public works projects now runs close to 25 years. This raises considerable dilemmas for agencies now attempting to incorporate citizen participation in the planning process. With the average American moving once every four years and with major shifts in values from one generation to the next, the planner is quite literally dealing with a different public now than he will as the planning nears completion. While most agencies badly need to consult the public as part of the decision-making process, the consultation becomes meaningless unless the planning process provides a systematic method by which fundamental premises may be subjected to review. A planning process which makes all the major decisions at the "front end" will force the planner into continuing conflict with the public he faces.

CRITERIA FOR AN EFFECTIVE PLANNING PROCESS

These philosophical meanderings lead me to believe in these three criteria for an effective planning process:

- 1) The planning process should protect and create options.

- 2) The planning process should identify those decisions beyond which we are committed and may have "killed off" a desirable future.
- 3) The planning process should provide visibility to the assumptions made in planning, and provide a system for reviewing the validity of these assumptions and selecting other futures throughout the duration of the planning process.

THE ALTERNATIVE FUTURES APPROACH

In an effort to meet these criteria, I have devised a methodology which I call the "Alternative Futures Matrix."

The basic notion behind the Alternative Futures Matrix is to identify the range of alternative futures; identify the cross impacts of programs designed to implement each future; and devise a decision-making process which allows for subsequent review of those decisions which materially close off any of the futures. In this manner a broad range of futures is kept alive for the longest possible period of time, and decisions are brought closer to the point in time when the impacts of the decision will be felt. In addition, each decision is made with maximum visibility as to the implications of each decision on the full range of alternatives.

A description of the Alternative Futures Matrix methodology follows:

DEVELOPING AN ALTERNATIVE FUTURES MATRIX

1. Developing Alternative Futures Scenarios

The first task in developing an Alternative Futures Matrix is to develop a range of alternative futures—scenarios based on the most probable projections of alternatives given both the external and internal factors affecting the particular planning situation.

External factors can include such things as general economic conditions, actions of other organizations, the political climate, a technological breakthrough. Which factors are critical varies from situation to situation.

Internal factors also differ widely depending on the type of organization. In private industry these factors can include such things as an innovative marketing strategy, market position, financial position. Governmental agencies share with private industry such critical factors as personnel strengths and weaknesses, adequacy of research programs, and in particular the values of top management and the climate these values may create in the organization. These values—whether they be competition, cooperation, innovation, integrity, candor, growth, productivity—are the standards by which events and behavior in the organization are judged to be good/bad, right/wrong, successful/unsuccessful, and substantially shape the range of alternative futures which can be considered.

An example of scenarios is given below. These scenarios were developed by a group of Forest Service employees during a training program on the Alternative Futures Matrix and are their assessment of what the Forest Service land management philosophy would be given three divergent projections of the future. The three futures were based on directions from the instructor to develop one future based on a straight-line projection from the present, one assuming some fundamental shift in values, and another assuming a major technological breakthrough.

BASIC ASSUMPTION:	ALL POPULATION AND ECONOMIC PATTERNS WILL CONTINUE THEIR PRESENT TRENDS.
Predicted Outcome:	Famine; starvation; extreme competition for resources between nations; a shift in balance of power towards resource producing nations and away from resource consuming nations.
Likely Forest Service Management Philosophy:	Maximum orientation towards timber and mineral commodity production; minimal concern for aesthetics; recreation and wildlife uses allowed only when not in conflict with commodity output.
BASIC ASSUMPTION:	A WORLD-WIDE SHIFT IN VALUES WILL TAKE PLACE ALLOWING FOR SUBSTANTIAL REDUCTION IN BIRTH RATE.
Predicted Outcome:	Similar to Future #1 over short run but some stabilization subsequently as population and resources balance out.
Likely Forest Service Management Philosophy:	Oriented to production of commodities over the short run but with an eye to preserving amenities to be available after immediate crisis is past.
BASIC ASSUMPTION:	ASSUME A MAJOR TECHNOLOGICAL BREAKTHROUGH IN PHOTOSYNTHESIS SUCH THAT WE ARE ABLE TO MEET BASIC ENERGY AND FIBER NEEDS DIRECTLY THROUGH PROCESSING OF ORGANIC MATTER.
Predicted Outcome:	Sufficiency of resource supply. Probability that forests would not be the best producers of plant material in large quantities (more likely to be subtropical and tropical lowlands). As a result there might be substantial shifts of population towards areas of higher production.
Likely Forest Service Management Philosophy:	Since forests would not be the most efficient sources of bio-mass, the forests would probably be managed for maximum water production, with water to be transported to other areas. Recreation demand may shift due to shifts in population. Ample resources for aesthetic values to be incorporated.

When applied to specific planning problems these Alternative Management philosophies would in turn prescribe the range of alternative futures which could be considered for a specific planning situation.

When the planner represents a public agency the scenarios are developed with full citizen participation and are selected to ensure that the full range of values of the publics are portrayed in the scenarios. The scenarios also provide an opportunity for management or clients to review and provide comments on limits they see in the situation.

Once the scenarios have been developed, a selection is made — again with full participation of the various publics — of those alternatives of sufficient probability and importance that they should be built into the planning process.

2. Developing Programs for Each Alternative

Then an outline is developed which would be required to shape each alternative future. This outline would consist of a detailed analysis of the decisions that would have to be made to develop and implement a plan responsive to the assumptions of the particular scenario. These decisions are programmed out over time so that it is possible to see the sequence of decisions which must be made as well as the approximate point in time when they will have to be made:

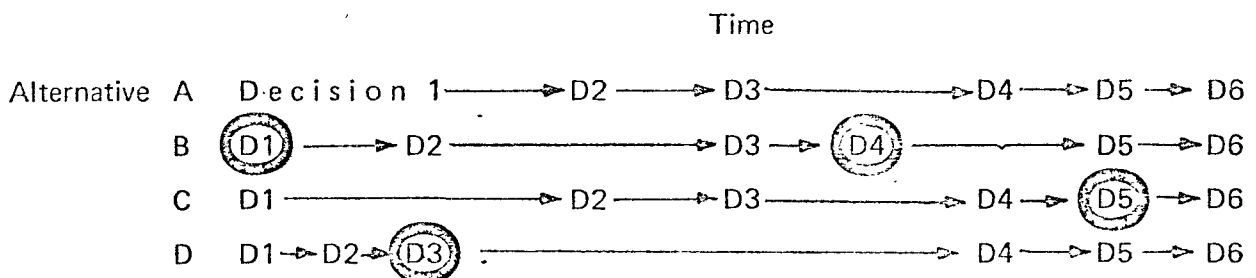
These programs will substantially resemble a flowchart of decision-making junctures spread out over time.

Each program is also analyzed to determine if any decisions must be made now to preserve this future. These decisions are "front-ended" in the decision-making sequence — placed near the front end so examination of them is forced as part of developing the plan. The development and review of these programs is again a natural period for participation of the public.

3. Identifying Cross Impacts

The review of these programs does not yet result in an approval to proceed with any one program, but rather an agreement that the program represents the probable strategy if the organization were going to commit to one particular future. Instead, these programs now form the basis for cross-referencing the impacts of the decisions made in one program upon the programs of the other alternative futures. A decision made in one program — such as a massive commitment of capital or a decision to put roads in an undeveloped area — may reduce or eliminate the ability of the organization to retain another alternative future as an option. These decisions are identified as "high-cost" decisions: the cost referred to is the loss of options available to the organization. Decisions that do not materially affect the organization's other options are "low-cost" decisions.

The alternative futures, their accompanying programs arranged in a sequence of decision-making, and identification of "high-cost" decision can now be summarized in a matrix. Although greatly simplified, the summary might be presented visually in this manner:



All circled decisions are high-cost decisions → to proceed with this decision will commit resources in such a way that limits the ability to maintain the other alternatives. For example, the first decision in Alternative B is a high-cost decision, so immediately we have to make some decisions affecting the other futures. The matrix also allows us to know the time sequence, e.g. Decision 2 of Alternative D will have to be faced before Decision 2 of the other alternatives.

4. Developing an Operating Program

Now we are down to the hard decisions involved in actually hammering out our operating program. We now know the range of alternative futures, some notion of what it would take to create those alternatives, and in particular, what options we will be closing when we make a decision.

A decision may be made to proceed with a decision that "kills off" another future. These kinds of decisions will have to be made — but they are made with conscious awareness of the risks. The assumptions are clarified in such a way that accidentally killing off a desirable future should be minimized.

Typically the operating program will be a composite of several of the programs developed. We may choose to maintain certain options by not becoming so committed to a particular alternative future that we unnecessarily lose options that in the future we may wish we had retained.

5. Decision-Making at "High Cost" Junctures

But the use of the Matrix continues: since the various programs are projected out over time, and since "high-cost" decisions are identified, the planning process is established in such a way that the approach in time of a high-cost decision triggers a review preparatory to making the decision. Because the high-cost decisions have been identified, and because there have been time estimates on when the high-cost decision will be reached (or at least a knowledge of the sequence in which they will be reached), it is possible to direct study and research towards having the requisite information for making this decision available at the time of the decision. Conversely, there is no requirement to make decisions prior to their sequence in the program — in effect major decisions are postponed until they have to be made. If the cost of not making a decision now is to close options then that decision would be identified as a high-risk decision at the point in the sequence of decision-making that failure to act would foreclose options.

Naturally the definition of a decision as "high-cost" itself rests on certain assumptions. But because the critical decision-making junctures have been identified, the assumptions come up for periodic review. Built into the review of each high-cost decision must be a review of the assumptions upon which the projections have been based and a determination of the degree to which the assumptions are bearing out.

In addition, each review of a high-cost decision triggers a review of the degree to which the alternative futures continue to accurately portray the options. Some futures may have been "killed" off, assumptions contained in others may have been inaccurate, new options may have emerged. Thus the high cost decisions serve as a triggering mechanism for regular and timely updating of the entire system.

Finally, the review of high cost decisions serves as a natural juncture for future citizen participation. Rather than having to make all decisions at one point in time with only those publics participating at that point in time, critical decisions can be programmed out in time and the public can be involved at a point closer to the actual time of impact.

ADVANTAGES OF THE ALTERNATIVE FUTURES MATRIX

As outlined above, this system has the following advantages;

1. The alternative futures remain visible even after the basic operating program has been developed.
2. High visibility is maintained for the impacts of the program on other options available.
3. Visibility is maintained for those decisions that produce a "point-of-no-return" impact.
4. Review processes are automatically triggered when a "High-Cost Decision" is reached, so the planner and public both know when major additional decisions will be made.
5. Research and data collection can be targeted in time towards those points at which they will be needed.
6. Preparation of the futures and development and review of the programs for each future provide natural points for public participation.

UTILIZATION OF THE ALTERNATIVE FUTURES MATRIX

So far the Alternative Futures Matrix procedures have been used primarily as a training device, using practical problems brought to the workshops by participants.¹ Already we have identified needs for more adequate methodologies for displaying in a visual manner the decision-making sequences and the cross-impacts between alternatives so that they are immediately understandable to the public.

However, participants are enthusiastic and report that the methodology forced them to consider a much broader range of alternatives than they would have considered in the normal planning process. In addition, they report that the cross-impacting has frequently identified decisions which previously they would have considered to be relatively unimportant but which had major impacts on the other futures.²

We are now identifying planning projects on which we will have an opportunity to employ the entire procedure continuously over a period of time to determine whether it will satisfy the criteria it is developed to meet.

NOTES

1. Workshops conducted include:
 - Seminar on the Use of the Land, U.S. Forest Service, September, 1973, Enterprise, Oregon.
 - Environmental Quality Workshop, U.S. Forest Service, May 1974, Denver, Colorado.
 - Corporate Planning Staff, Wickes Corporation, August 1974, San Diego, California.
2. Verbal evaluation of participants in the workshops indicated above.

ALTERNATIVE FUTURES PILOT STUDY

The preceding article is the basis for a pilot study of the Alternative Futures planning process sponsored by the U.S. Bureau of Reclamation. The Alternative Futures procedures are being applied on a total water management study of four counties (Solano, Napa, Lake, and Yolo) in California now being conducted by the Bureau of Reclamation.

The first activity of the study was to conduct a simulation activity for internal staff of the Bureau applying the Alternative Futures procedures to a portion of the study area. In addition to familiarizing Bureau staff with the process this simulation served to clarify two additional points about the use of the process:

- 1) Much of the "data base" which provides the "givens" of a study turns out to have a number of assumptions about the future embedded in it. Once assumptions are carefully examined a great deal of "hard" data has to be re-worked because of unconscious assumptions about the future built into it.
- 2) The linear method of presenting the decisions related to each scenario distributed over time (see the diagram in the preceding article) may not be the most effective method of display and analysis. We will also be considering the use of decision-making trees as an alternative form of analysis. Each branching point in the decision-making tree is a "High-Cost Decision", and assumptions underlying each decision will be identified to serve as a guide to decision-makers when they reach these points.

Between January - May of 1975 there was an extensive citizen participation program involving the public in projecting alternative Futures for the four counties involved in the study. This participation included two series of one-day workshops plus a series of evening meetings in each county. These activities were advertised to the general public in a brochure which presented three provocative scenarios about the future and invited their participation in several ways. The brochures were distributed widely throughout the four counties including being available on drug store and grocery store counters.

In the one-day workshops participants went through the entire process of developing futures scenarios and estimating the water demands which would be associated with each scenario. In the evening meetings participants had an opportunity to react to the scenarios developed in the one-day workshops and identify other problems and needs.

Copies of the workbook given the participants in the one-day workshops are available in limited quantities.

The contributions received from the public are now being analyzed and a set of consensus scenarios prepared. Once these scenarios are completed it will be possible to project probable management strategies associates with each scenario and begin to cross-reference decisions in order to identify "High Cost" Decisions and develop an operating plan. A preliminary report on the study's progress will be completed by July 1, 1975. A final report with special emphasis on the cross-referencing technique will be available in Fall 1975.

INSTRUCTIONS FOR ONE-DAY WORKSHOPS

TEAM ACTIVITY: IDENTIFYING FACTORS WHICH AFFECT THE FUTURE

Instructions: As a team make a list of those factors which will affect the future in either your county or other counties in the Four-County Study area. These may be factors that either encourage or inhibit development. While we naturally want to identify the important factors, you need not worry about whether or not a particular factor is important enough to be included on the list -- your team will assign priorities to these factors in a subsequent activity. Record your team list of factors on the form on the next page.

TEAM ACTIVITY: EVALUATING THE IMPORTANCE OF EACH FACTOR

Instructions: As a team select the three factors you believe will be most significant in affecting development in the Four-County region. Two criteria you may want to consider are: (1) Amount of impact -- how much impact this factor will have if it changes or remains the same; (2) Likelihood -- the probability that this impact will occur. Indicate your selection on the form on the next page. Then review the remaining factors, and assign them to the three categories: High Impact, Middle Impact, Low Impact. You will find yourself under time pressure, so regulate your time accordingly. At the end of the time, select a spokesperson who will present a report of your team's results to the total team.

TEAM ACTIVITY: DEVELOPING AN ALTERNATIVE FUTURES SCENARIO

Instructions: Develop a scenario -- a little "scene" -- describing the future development in your county based on the theme assigned your team. To do this you may wish to review the other factors which affect development in light of your theme, as illustrated on page 9. The scenario should be sufficiently detailed in terms of population size, agricultural patterns, and location of population centers and industry that water demands can be developed from it.

TEAM ACTIVITY: ESTIMATING WATER NEEDS

Instructions: As a team, develop your best guess of the amounts, quality, and location of water needs in your county in the year 1990 based on the scenario developed by your team. Potential water supply sources are listed on the following page.

INFORMATION ABOUT SYNERGY CONSULTATION SERVICES:

SYNERGY Consultation Services was founded in 1969 by James L. Creighton. SYNERGY provides training and consultation services in the fields of citizen participation, alternative futures planning, and management of interdisciplinary teams.

SYNERGY's Citizen Participation/Public Involvement Skills Course is the most widely used course in the citizen participation field among governmental agencies. This course is designed to provide a basic understanding of the principles of designing and conducting citizen participation programs. The course also includes practical workshops on communication skills, meeting leadership, and analyzing values information received from the public. Agencies which have utilized this course include the U.S. Forest Service, U.S. Bureau of Reclamation, Army Corps of Engineers, Federal Highway Administration, National Park Service, Bureau of Land Management, and a number of other federal and state agencies.

SYNERGY also provides direct consultation on the design and conduct of citizen participation programs, including the development of a number of innovative citizen participation strategies. In addition SYNERGY is involved in studies on alternative futures planning procedures and analysis of underlying values systems and other citizen participation methodologies. SYNERGY's consulting clients have included the U.S. Bureau of Reclamation, Federal Highway Administration, Army Corps of Engineers, California Dept. of Water Resources, U.S. Forest Service, Soil Conservation Service, and other governmental and industrial clients.

A brief brochure on the consulting services provided by SYNERGY is included in this workbook. Training Officers or others in a position to consider citizen participation training are invited to request a complimentary copy of the participant's workbook for the SYNERGY Citizen Participation/Public Involvement Skills Course. A space is provided on the attached Information Request form to request this material.

Or call or write:

SYNERGY, 133 Willet Circle, Watsonville, California 95076 (408) 724-2836

EVALUATION FORM

() How well did this seminar meet your expectations?

Which course material did you find most helpful?

() Do you have comments or suggestions about how the seminar was taught?

Did the seminar brochure accurately represent the seminar?
Could you suggest improvements?

INFORMATION REQUEST FORM

NAME _____ TITLE _____

AGENCY _____

ADDRESS _____

PHONE _____

_____ I would like to receive a copy of the participants' workbook for the SYNERGY Citizen Participation/Public Involvement Skills Course. My agency may have an interest in this training.

_____ I would like to receive more information about consulting services offered by SYNERGY in the design and conduct of citizen participation programs.

_____ I would like to be kept informed of SYNERGY research in these areas:

_____ Alternative Futures Planning Procedures

_____ Methods for Analyzing Values

I suggest that you contact
concerning:

Other information needed:

THE FOLLOWING PAGES ARE EXCERPTS
FROM A PAPER BY

Roslyn Glasser
Dale Manty and
Gerald Nehman

PRESENTED TO
International Water Resources
Association UNESCO
Paris and Strasbourg, France
March 24-25, 1975

The entire paper is highly useful
and interesting to those concerned
with public participation and
planning. Copies can be obtained
through the authors. Ms. Glasser
is with the Ohio Environmental
Protection Agency in Columbus.
Mr. Manty is at the Ohio State
University in the Natural Resources
Department. Dr. Nehman is with
Battelle-Columbus Laboratories.

TABLE 1. PUBLIC PARTICIPATION AND EDUCATION TECHNIQUES
(Continued)

TECHNIQUE	DESCRIPTION	ADVANTAGES	DISADVANTAGES
F. Legal Mechanisms	22. Citizen Suits	<ul style="list-style-type: none"> Definition: Opportunities in the law for citizens to sue agencies and individuals for not enforcing water-related laws Purpose: To insure that the laws are enforced, that consideration is given to the impacts of projects, and that public information is available 	<p>Provides direct line of citizen access to the policy process, and insures equitable discharge of agency responsibility as defined by the judicial system. The threat of suit also acts as a restraint on agency action and is not expensive</p> <p>Is often expensive. Few citizens have the skills to use this technique effectively. It is often used to block agency actions, stopping them from fulfilling their public responsibilities</p>
	3. Environmental Impact Statement	<ul style="list-style-type: none"> Definition: Legal document that must be filed by any agency spending federal funds on a project with potentially large impacts. Purpose: To provide the public and other agencies with technical data needed to understand the nature of the potential impacts from a project 	<p>Is a source of information for proponents and opponents of the project to support their viewpoints. Often, the statements are prepared by researchers not employed by the developer. This outside viewpoint can help the developer improve his project.</p> <p>Is usually highly technical and difficult to read and understand. They are prepared late in the planning process so that many decisions are already irreversible. They often cause delays in the project planning, causing unnecessary expenses to the developer.</p>

THE CONSERVATION FOUNDATION

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USES OF MEDIA

THE DISTRIBUTION SYSTEM

Jeannette Brinch
The Conservation Foundation

Delivered before the
International Joint Commission
Public Participation Workshop
Ann Arbor, Michigan
June 24-25, 1975

The fact that there are so many representatives of government agencies in this audience encourages me. You are here because you realize that public hearings seldom give you the kind of public involvement you need prior to making a decision. You are looking for other methods of communication, of insuring a more meaningful input from the people you represent. As a citizen and as a professional environmental activist, I applaud your desire to find new channels of communication.

What are the channels? They can be anything your imagination and budget desire. Newspapers, newsletters, information brochures, action alert bulletins, radio, cable, public and commercial television, films, slides and tapes, are all viable channels of communication. Combinations of any of these may be used to give more variety and mind-catching appeal. And new communications channels are being opened every day, such as a computerized information system being developed in California, which allows interested organizations to receive information and to instantaneously enter their policy recommendations to a regional planning agency via computer systems installed in their offices.

The criteria you use to decide which media will suit your particular need arise from what you want to accomplish. This includes:

- what issue or issues you want to deal with;
- whether and what kind of response you want to elicit;
- and
- what kind of audience you want to reach.

For instance, if you want the public to know who you are and what you are about - to make them aware of you but not necessarily aware of any particular issue - you will need to conduct a "blanket" campaign. This means you will make use of television, both cable and public, radio and newspapers, the three most far-reaching communications forms, as well as any printed material, to reach the general public. With the plethora of visual, auditory and sensual (communications) bombardments we all receive every day, it is imperative that you use your imagination with these media channels.

The television set can be used to your advantage, for your audience can both see and hear you. On public television, it is necessary that you have a funding source - which of course may be the government agency you represent - to help you finance what is often an expensive production. You will need to put it together with the help of a writer, producer, director, and any other staff people you need to tell your story. You can either bring a finished product to the station on film or videotape, or take advantage of the many creative people within the studio who will be happy to work with you. You might produce a short videotape or film, with a narration, or have a panel discuss your activities, or produce a skit or sing a song.

Cable television is relatively new and allows you to be

your most innovative. Unlike public television, high financial costs are not part of the picture. You may use cable television to hold a group meeting, a discussion session which exposes the public to who you are and what you do, a song and dance show -- all with little or no prior technical know-how. You need only be somewhat organized and let your imagination take over.

Commercial television, although expensive and difficult to work with, can also be used to communicate your ideas. Although I stress public and cable television as effective media channels for public participation, commercial television is responsible to the "Fairness Doctrine" as well, and has shown some degree of public interest orientation. So you should not rule out commercial television when planning a media program.

Radio is just about the least expensive media technique you can use to get your "image" across. You can prepare tape cassettes ahead of time, using any number of audio techniques, including narration, sound effects, and music. The station manager will just insert the cassette when possible during the day's programming. Of course, many stations require that you work within their own format and time frame; in other words, you must make a presentation to fit their specifications. If you want to "blanket" the media, using radio as one channel of communication, it is wise to remember that you probably should not use Public Service Announcements. PSA's, as they are called, are 15-, 30- and 60-second spot announcements, which are read whenever the broadcaster has the time. Generally, only non-profit groups are allowed PSA's, and have no control over when

and within what context the message will be heard. So, if you want to make people aware of you in a meaningful way, it is worth the minimal cost for paid radio broadcasting.

To complete your "blanket" campaign in making the public aware of your existence and activities, you will need to take advantage of printed media, as well as broadcast media. You may take out a paid advertisement in a newspaper, which either informs the reader of your existence and activities, or alerts the reader to your television and radio broadcasts. Or, you may alert a reporter to your activities.

You may wish to send out to the general public information brochures or newsletters recounting your current activities. public. This, of course, requires financial backing if you intend to "blanket" the audience.

In a "blanket" campaign, that audience is the general public. You want to inform, to make them aware of you. Only. You are not asking the audience to do anything or to make a response to your campaign. You are trying to make yourself known and your cause a creditable one in the eyes of the general public.

If you want the public to be aware of a specific issue, rather than just generally to be aware of your existence, you will need to apply a different set of criteria and perhaps different communications techniques.

First, you will need to pinpoint your audience. Here, your audience is of much narrower scope than in your "blanket" campaign. You are looking for an audience which will either be particularly responsive to the issue or issues you are promoting,

or an audience which is not responsive, in hopes of changing their minds. To select the audience, it is wise to answer the following questions first:

- what issue or issues do you want to expose; and
- what do you know about the types of audiences reached by different communications channels.

For instance, if you want to bring a water diversion project to a selected, concerned audience, you would contact conservationists, ranchers, farmers, other landowners, and any others whose special interest would be affected by the diversion project. You would be selected in choosing methods of communication to reach this audience. You might:

- publicize in farm journals they would likely read;
- have a radio tape played over a station they would likely listed to, such as a news show on farm prices, weather, or new farming techniques; and
- send out action alerts via a farm association's membership list.

Basically, the methods of communication you use for publicizing a specific issue are the same as those for making a broad audience aware of your existence through a "blanket" campaign. Radio, cable, public and commercial television, newspapers and other periodicals, action alerts, and information bulletins, among others, are all useful. What differs is your more selected audience for a more specific issue.

When you want your audience to make a response to your communication, rather than to only be cognizant of your activ-

ities or to be alerted to the issues you are most concerned about, you may need to mix your communications techniques. You will identify your audience - either broad or more narrow - you will decide on the issue or issues to publicize, and then you will need to decide what kind of response you want the audience to make.

You must keep this in mind if you are to achieve some degree of public participation in your decision-making. Far too often, the first two purposes of communication spoken of here - general organization awareness and specific issue awareness - are mistaken for public participation, when actually they are public information. A public information program rarely encourages anyone to do anything, and thus no real input is made on a policy decision. Public hearings are typical in this regard - they tend to inform the public, rather than to gain public input or action.

So, if you've decided you would truly like to involve the public in the decision you are making, you will need to develop communication channels which encourage this development. The involvement may take any form, including letter writing, membership on advisory committees, citizen organizing, and direct policy input.

For instance, if you want your audience to contact you with a negative or positive response to a program or issue, you may want to use both print and broadcast media. You might arrange a film and narration - or a panel discussion or dramatic presentation - over your local public television channel, and

at its conclusion either give the audience a contact person or office and telephone number with which to state a position, or refer the audience to a newspaper article which examines the issues more fully and then provides the contact person or office.

You might send an action alert on an issue to a selected, target audience and follow that with a radio or television broadcast with a more extensive discussion of the issue and with information on who to contact. Or, you could reverse this order by having the broadcast first and announcing the availability of printed material and contacts at the program's end.

You might want to establish a network of advisory committees throughout a region to help you make a decision on an issue of regional significance. It would then be helpful to produce a public television or radio show which would reach a regional audience; the issue could be discussed by a group representing several interests, and at the show's conclusion, the need for advisory committees throughout the region would be highlighted. You would ask for volunteers, establish a contact person and telephone number, and wait for the responses.

In any event, what you need is an informed audience, an audience selected with enough care and fed the right information at the right time to make an informed contribution to the decision at hand.

Any of the media techniques explained at the beginning of this paper are suitable for public participation programs. The important element is response. You wish to inspire the audience

to become involved. In this regard, it is not always necessary to start from scratch. You may have produced a number of public information pamphlets, begun a newsletter, or arranged a slide show for in-house staff. To turn these communications tools into public participation - not just information - mechanisms, is a relatively easy task. All three could be adapted to suit an audience of PTA members, neighborhood organizations, businessmen, or college students. The media would inform the audience but instead of leaving it at that, the audience would be asked to issue policy recommendations, to state their views, to make an input. No need to be formal - these presentations and personal contacts would not be hearings. Rather, they would be public information and participation events. Here again, the major criteria for using any media technique you wish are response and action.

Now that I've suggested a few media techniques you can use to suit your public participation needs, you may now be wondering if any of these techniques have actually been put together and been successful. With relief, I can say many of them have. The following examples are just a few success stories.

In Denver, Colorado, an exciting public television show has been produced for broadcast throughout the Rocky Mountain Region. Called "Feedforward," this 30-segment series has focused on land use, water quality, energy development, growth and a number of other environmental problems as they relate to the Rocky Mountain Region. One-half hour segments, filmed on location throughout the region, visually expose the audience

to both the problems and the major special interests concerned with those problems. What has made this a public participation program as well as an information program, are viewer groups established throughout the region. The viewer groups have watched the weekly series and reacted to the programs, asked questions of the program's writer and director, and have used the program's information base to focus and activate their participation in local and regional environmental decisions. Response to "Feedforward" has been positive; it has not only created an informed citizenry, but it has created a channel by which they can reach decision-makers with their input.

Also in Denver, a combination of media techniques was used to open up communication on an issue of some controversy, the use and misuse of the Platte River. A 12-minute film with narration was produced for public television on the Platte, followed by almost 50 minutes of questioning via telephone of a 3-person expert panel, all shown on the television screen. Seventy calls were taken on the air and several hundred were taken off the air for an hour following the show. Not only were contacts made, but views were expressed which gave those who were making decisions on the fate of the Platte a good idea of the public consensus.

Media programs which present information and seek participation may most effectively use a multi-media approach. Such an approach was taken at one of ten regional Conservation Foundation Water Quality Training Institutes, funded by the Environmental Protection Agency, and aimed at informing and educating citizen leaders on their roles and rights under the 1972 Amendments to

the Federal Water Pollution Control Act. The workshop opened with a multi-media program, consisting of a 3-screen, 3-projector slide show, with a simultaneous narrative play, background music, and at its finish, a sprinkling of the audience with water. This program served to highlight the major water quality issues, get the audience superficially "involved" (via the sprinkling), and to initiate dialogue between them on the major issues for the workshop.

Another of the Conservation Foundation Regional Water Quality Training Institutes used a very different combination of media techniques, role-playing and videotape. A mock permit hearing was held during which a draft industrial discharge permit was distributed to all Institute participants. A panel representing members of a state water quality control board heard prepared testimony by their staff, by the industry and by the Sierra Club, as well as comments from the Institute participants. All these helped to disclose the kinds of issues likely to come up in a permit hearing.

The mock hearing was followed by a videotape of hearings on a large city's sewage problems. The videotape served mainly to emphasize the purely informational role of hearings, and precipitated audience discussion of alternative participation techniques. You might use role-playing and videotape to personally involve your audience in current decision-making; by allowing them to act out their viewpoints, the policy decisions they might make on an issue, you might more easily reach the correct decision.

In Santa Barbara, California, a project appropriately en-

titled "ACCESS" is attempting to utilize computerized technology as the mechanism through which the public can make its input into environmental decision-making. ACCESS (Alternative Comprehensive Community Environmental Study System) has been designed to create a neutral forum through which policy makers, citizen groups and special interests can analyze and discuss regional problems, options and issues. A number of communications techniques and technologies, such as regional situation rooms and computer modeling, are being developed.

The regional situation rooms are equipped with maps, computers, television, both broadcast and cable, and citizen polling and feedback systems, and are used to examine real world environmental issues, test and discuss policy alternatives and experiment with the technology. Computer modeling and interactive computer graphics simulate real world environmental systems. An individual can work with the simulator and interact with changing variables.

Simply stated, ACCESS is attempting, through the use of a technological approach, to install computers in participating organizations by which issues may be explored at will. Reactions, suggestions and action initiatives are fed back into the computer to the decision-makers.

In Raleigh, North Carolina, cable television has been used by the local Community Council to inform constituents and elicit responses from them on community-wide problems. The Council meets before the television cameras, and then the telephone is used as the feedback loop. Citizens speak both with each other and with the Council at the television studio to make their

input known.

The Environmental Protection Agency sponsored a television show on Lake Michigan not too long ago which allowed the expression of diverse interests on the future of Lake Michigan. Seventeen people from communities bordering the Lake met before the television cameras to discuss their special interests in the Lake and the Lake's environmental future. These seventeen people represented special interests, but they were citizens as well, and they were provided an access route to the decision-makers who control the Lake's quality.

In Colorado Springs, Colorado, the Pikes Peak Area Council of Governments has produced a slide-tape show on a current water quality project in which they are now engaged. The 1972 Federal Water Pollution Control Act Amendments establish planning processes to begin in selected areas across the country with significant water quality control problems. Such planning efforts are to achieve a system of land use and water quality management which not only assures environmentally sound sewage treatment systems, but attempts to get a handle on myriad non-point source problems including street runoff, agricultural, silvicultural, and construction runoff. The areawide planning processes are to provide a mechanism for early citizen input. The Pikes Peak Area Council of Governments, on whose shoulders this responsibility rests, has put together a slide-tape show which explains the planning program and pinpoints the areas for citizen involvement. It is being circulated to a wide audience, including neighborhood associations, civic groups, and schools, and is to serve as both an information tool and a springboard for

action.

(The examples I have just outlined represent what has become a most important ingredient - communication for public participation -- in any organization's overall program. It is my view that it no longer makes sense to confine one's public policy activities to purely written material; that we only have so many hours per day to devote to the stacks of printed matter which come across our desks. We may find that effectiveness in both communicating and in eliciting public involvement is enhanced by the use of media channels - and that the decision will thus be a more enlightened and a more popular one. Which brings me around to my final point - how to evaluate the effectiveness of your media program for public participation.

(If you have conducted a "blanket" campaign for organizational awareness, you will want to evaluate whether or not your organization has become familiar to a large segment of your audience. A random telephone survey should accomplish this -- and you should be quite satisfied with a 2-5% return. If you have tried to inform a segment of the public about a particular issue, you may again use a telephone survey to test your results. Realistically, media work on a particular issue can only go so far without triggering a response. To evaluate whether people have become aware of a particular issue, you will need to see a response - or else you will find yourself just quizzing people on the issue you have publicized.

(On the other hand, if you are willing to wait some time before evaluating your media effectiveness, and there is a policy decision coming up which requires a vote or other show

of opinion, it may be very easy to evaluate your effectiveness. By evaluating the results of the vote, you may evaluate how well your issue was understood by the public.

If your purpose in communication has been to elicit an informed response, you again can simply count the number of responses or go into more depth by evaluating the content of the responses received. Far too often decision-makers complain they spend huge sums of money on public information programs and receive no response. They are all sure that they alone know how to communicate. If your purpose is to get a response as well as to inform - if the audience knows you want their informed response - you will get a response. You obviously can evaluate your media techniques by the number and quality of responses.

What I am saying here is that it is almost impossible to accurately evaluate the effectiveness of your media program unless a built-in feedback loop is included in the program.

This means that for true public participation in the decision-making process, your media program must trigger a response from your audience. The public must be provided with a means to act on the information you are generating through whatever media channel you use. Response and action are your evaluation tools. You should be assured, however, that although you cannot measure the effectiveness in all cases, you will get results.

Paper to be given
at Session III
Public Hearings

P U B L I C H E A R I N G S

Some Comments on their Use & Effectiveness

David Estrin

June, 1975

Preliminary Draft

Albera

To those who worship (or at least espouse) the doctrine of public participation as being fundamental to sound planning and decision making, the ritual of public hearings is familiar. Indeed to attack the ritual is to commit heresy.

But it must be admitted that there are many sympathizers with the doctrine of public participation who say that too often the public hearing ritual not only fails to bring worshippers of participation closer to their ultimate goal of revitalizing democratic practices, it rather in some cases leads to rule by frenzied extremists.

In 1974 a University of Toronto sociology professor labelled "an exercise in futility and likely to give rise to quite misleading conclusions" public meetings being held by the Canadian Institute of International Affairs on the subject of world population policy. The Institute had arranged public consultation meetings in various cities "to enable the Canadian people to express their views regarding both Canada's position at the U.N. World Population Conference and a population policy for Canada".

According to Professor Anthony H. Richmond,
" in contrast with a scientifically designed sample
survey of opinions, public meetings are likely to
elicit the views of entirely unrepresentative sections
of the population, particularly extremists represent-
ing minority positions."

And no lesser a professional than Dr. O.M. Solandt,
former chairman of the Science Council of Canada,
in his final " Solandt Commission Report "(on the
environmental effects and routing alternatives for a
500 kilovolt transmission line that Ontario Hydro
planned to build through rural lands and across the
Niagara Escarpment in southern Ontario) stated that "the
public hearings mechanism may be evolving into an
institutional structure by means of which a minority
can short-circuit the established mechanisms of
democracy and achieve its own ends without the op-
position even being mobilized or heard."

Why is it that such professionals challenge
the public hearing ritual ? How can they be so
vehemently against a forum historically associated
with the democratic process ?

One answer appears to be that because public participation is now in vogue, public meetings are the first methodology that occurs to governments and institutions who wish to quickly appear to remedy structures which were purposefully designed in prior times to avoid such participation. It is because public hearings have been added on rather than integrated into pre-existing policies and statutory procedures in an attempt to quickly bring the public into the process, and that concurrently there has been a failure to recognize that public hearings are not valid methods of involvement in certain circumstances, that the criticisms made above, and others, are validly made.

It is worthwhile at this point to look at the diversity of objects which public hearings seem to be expected to fulfill under a variety of laws.

Information and Decision Making Hearings

There appear to be four varieties in this category :

1) Those for securing information and general opinions on a subject prior to the undertaking (usually by experts) of a major study leading to a final report containing recommendations. Examples : IJC hearings held at the commencement of studies pursuant to two

references regarding Great Lakes Water Quality, and Pollution of the Great Lakes System from Land Use Activities. Here the IJC material preceeding the hearings stated they were preliminary public hearings "for the purpose of receiving information relevant to the subject matter of the studies." They have been described as "a very open-ended hearing, since there was no study plan or report upon which to comment."

2) Those for the expression of opinions which are in reaction to general policies or recommendations tentatively adopted. For example, the public meetings held by the Canadian Institute of International Affairs (supra); hearing currently being held across Canada by a Joint House-Senate Committee to gather reactions to the federal government's Green Paper on Immigration Policy; hearings held to receive public reaction to the interim report of the International Great Lakes Levels Board to the International Joint Commission; hearings by Planning Boards in Ontario municipalities at a point prior to recommendation for adoption by municipal councils of Official Plans or changes in zoning by-laws.

3) Those which provide a forum for reactions to courses of definite action proposed in some final

report or in a draft piece of legislation. For example, the hearings held over the Village Lake Louise Development proposal in Banff National Park, hearings held after the government had advertised for development proposals and had made a legal agreement with a consortium allowing for development of its plan; hearings held after a decision to expropriate property (exercise power of eminent domain) has been made to determine whether that taking is necessary in the circumstances; IJC hearings in 1970 on a final report concerned with pollution in the lower lakes which report, inter alia, recommended that a program of phosphorous control be implemented; hearings currently being held by the Ontario Environmental Hearing Board on a report containing recommendations for action to prevent continuing health hazards associated with secondary lead smelters; hearings before the Ontario Municipal Board to sanction Official Plans or changes in zoning by-laws adopted by municipal councils; hearings before a House of Commons Committee considering an Environmental Contaminants Bill which would regulate many aspects of industrial activities in Canada.

4) Those for obtaining facts and opinions which will be evaluated in relation to the plans of a project proponent (including governments) desiring to start a large specific project or activity . For example,

hearings being held by Mr. Justice Berger in regard to conditions that might be imposed on a right of way for a Mackenzie Valley Gas Pipeline in the Northwest Territories; hearings to be held before the National Energy Board by competing companies for a "certificate of public convenience and necessity" to actually construct such a pipeline; the Solandt Commission Hearings (supra) ; hearings by the Ontario Environmental Hearing Board required prior to approval of most waste disposal sites in Ontario and certain types of sewage works; hearings held over the federal government's plans to build a second Toronto international airport near Pickering.

Manipulative Hearings

Of these there appear to be three varieties :

1) One type appears to qualify as positive manipulation (assuming one agrees with the objects of those seeking public support) and is usually part of a policy designed to generate public support either for action recommended by a body which itself has little power or for specific plans by government to deal with powerful interest groups. The IJC has itself acknowledged that it sees public hearings as a mechanism to achieve the first object described: "The Commission's established credibility and influence

must be maintained and hopefully increased (through public meetings, surveys and programs to disseminate information) ... and be carried on in such a way as to serve the important purpose of improving the Commission's position with respect to the public's knowledge of and trust in the Commission's work".

As another writer has put it :

The Commission, not having enforcement powers, depends on public support when it makes its recommendations to the governments ... public pressure brought to bear upon the governments may prove most effective in getting ... action taken. The public hearing is the major communications link between the Commission and the public. Conducting these hearings is the main way that the IJC build up public support. This is a benefit quite apart from receiving information and opinions, and from the Commission's point of view is probably more important.

*not even
open me*

As examples of hearings in situations where governments desire to take strong actions but feel the need to elucidate the problem before bringing in what otherwise may appear as harsh laws one might refer to the Cliche Commission inquiry into Quebec's labour problems or the Anti-Crime probe in that province. Out of the Cliche Commission revelations came laws putting the largest Quebec Construction Union in trusteeship and reversing the traditional burden of proof on a citizen to prove himself not guilty of an offence - in this case of being a participant in an

illegal strike.

2) In quite the opposite way, public hearings may be an important part of a scheme whereby a government not anxious to take action on a controversial issue may gain reasons for inaction. Particularly in hearings involving complex issues the public may indeed become bored with the controversy or confused by the differing expert viewpoints and in the result the government appears to have some justification for delaying action until "clearer evidence" emerges. An example is the way in which the demand for action over ambient air lead levels in residential neighbourhoods adjoining secondary lead smelters in Toronto has been handled by the Ontario Government. It first refused to take any action, then appointed a committee of experts to make recommendations and then, after receiving the report of the experts, decided to have the Environmental Hearing Board undertake lengthy hearings on the recommendations, which hearings were poorly attended and of such duration as to leave not only the public but concerned experts bewildered as to whether the Board will be ever capable of coming out with a final and clear recommendation for action.

3) They may be an attempt by the power broker to give token recognition to the concept of public participation by providing some opportunity for ventilation of opposing viewpoints. However, in reality the hearing is part of a slick public relations program designed to "sell" ~~the project or principle (or one alternative most favored by the proponent)~~ by emphasizing the attributes and glossing over or ignoring entirely the negative aspects or further alternatives. "Planning" for many hydro and highway routing projects has, in the past at least, qualified for this category.

Having identified some uses of public hearings, and having seen in these examples a variety of different purposes motivating the hearings, it is not surprising that the criticisms set out at the outset, and others, continue to be made of such procedures. For it is obvious that public hearings are only one device that ought to be used to obtain the public participation objectives of the procedures with which they are connected. Public hearings, as suggested at the outset, are too often viewed as the panacea for public involvement and yet, given the multitude of specific objectives exemplified above, in themselves may not be truly useful.

It would appear from analyses done and observations made at some of the hearing processes referred to above, that public involvement varies, and that variation, it is suggested, is related to the following :

- a) the degree to which individuals or organized groups perceive themselves to be affected by the subject matter of the hearing;
- b) the immediacy of the perceived action that may result following the hearing;
- c) the power or perceived power of the institution supposedly interested in the results of the hearing to take action on issues raised at such hearings;
- d) the ability of persons appearing at the hearing to have any influence in regard to the subject matter of discussion.

Assuming that persons feel that the conditions above are such as to make their participation worthwhile, such participation may still be affected by the following variables :

- e) amount and timeliness of notice regarding the subject matter of the hearing and the degree to which such notice or other pre-

hearing methods give information about factors (a) - (d) above;

- f) the degree of information in non-technical language available prior to such hearings concerning the subject of the hearing and the availability of knowledgeable officials to discuss such information;
- g) the formalities of the hearing process, and where formalities are present, the availability of persons experienced with the hearing procedures to explain these in advance, to prevent intimidation and encourage participation, and the availability of other resources, such as legal assistance, money for research, or availability of community organizers.

It is suggested that unless the public can perceive the factors suggested and that the other factors above identified are present, public hearings may well be a wasted effort.

When hearings are held in circumstances which give rise to such perceptions and are so organized then participation may be more meaningful, positive, and representative than were the forums criticized in the remarks quoted at the outset.

THE GREAT LAKES OF THE UNITED STATES AND CANADA

A Reader On
Management Improvement Strategies

Editors

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Policy: Some Policy Issues

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CHAPTER VII

PUBLIC PARTICIPATION*

Introduction

Public participation refers to activities of private citizens or groups of citizens in trying to influence decision-making. Direct participation of the public in governmental decision-making processes is neither a new concept nor an unprecedented practice. Canada and the United States have nurtured the principles of participatory democracy from the time of their birth as nations. These two nations have open systems that allow dissension and criticism and promote citizen involvement in many areas of decision-making. These two democracies constitute a social experiment in which the governments and the people endeavor to solve the complex problems of modern society in the face of financial resources that always seem inadequate and with public institutions that always seem better suited to address the problems of the past rather than those of the present or future.

What is new about the concept of public participation is a heightened interest in it on the part of the public and a marked shift from its previous focus of application at the local level to the state, provincial and, particularly, the federal level. A reaction is now taking place in response to the continually growing power of the federal governments and their increasing capacity to

*Based in part on a master's thesis by Arvid L. Thomsen entitled, Public Participation in Water and Land Management, Cornell University, 1973.

affect the everyday lives of citizens. Much of the new interest in direct intervention was brought about by abuses committed by policymakers who heretofore operated without effective restraint simply because the public ignored or abdicated its responsibilities. The situation in recent years has been radically altered. People are demanding a say in how their natural resources are to be used. The public, when convinced that activities are proceeding in an improper direction, has been successful in stopping those activities or at least changing their direction. The Florida Barge Canal controversy in the United States and the Spadina Expressway controversy in Canada are excellent examples of effective citizen intervention.

The trend is clearly toward more citizen participation. Governmental agencies are now moving to deal with this phenomenon. Agency guidelines are being revised, public hearings are being treated by agencies with more seriousness and new legislation is being drafted to permit citizens to seek relief directly against the government in the courts. Public intervention in the planning process reduces misapprehension, softens what might otherwise be hardened viewpoints and facilitates the resolution of differences.¹ It can also tie things up in knots. The challenge of the public administrator is to find a way to ensure that consideration of public viewpoints do not impede the decision-making process. "Public participation does not transfer the authority and duty for making decisions from those entrusted by law with that responsibility to those who are eager to participate."²

Public participation is here with us to stay. The mechanisms to promote, sustain and guide it must be built into the new joint

organization. Public participation must have standing equal to the research task and the information system of the new organization. These three major functions should be mutually reinforcing, each drawing strength from the other two. If these three functions (research, information system, public participation) are planned and managed with skill, their interaction would be synergistic. It is from this triad of functions that the new organization derives its viability, independence and identity.

This chapter is in two sections. The first provides a framework of considerations useful in the development of a public participation program. The discussion is in general terms. The second section illustrates how these considerations might be applied in the context of the postulated new organization for the Great Lakes region.

General Considerations in Developing a Public Transportation Program

The primary assumption underlying efforts to involve the public in water and land management is that it is an effective means of including social considerations in management decisions. The effectiveness of this means of embodying social issues in decision-making is yet to be proven and is still debated. The concept of public participation has long been given lip service but its application in any meaningful way is yet to be tested. Furthermore, because each region is unique in terms of its resource-mix and its people there is no single best approach to the organization of public participation programs. As a result, attempts to involve the public in decision-making have to be viewed for the time being as experimental with constant re-evaluation of an integral

part of these attempts. The success of these experimental attempts will be determined to a great extent by the flexibility of approach and the degree to which these programs are integrated with the entire decision-making process.

Organization of public participation programs should be developed around three main program functions: (1) educating the public, (2) educating the agency and (3) public and agency interaction and dialogue. These functions are interrelated and the success of any one depends upon the success of the others.

A. Public Participation Functions

Educating the Public. Informing or educating the public is a continuous process inherent in any public participation activity. One objective of this kind of activity is a better-informed public. The dissemination of the right information to the right people at the right time is a most important prerequisite to an effective public participation effort. It is also important to remember that this is but one function of a public participation program. Too often agency attempts to improve citizen involvement have been simply attempts to provide better information to the public. This is only one part but an important one of public participation programs.

Although the scope of public information may initially be considered infinite, potential subjects can be separated into three categories:³ substantive, organizational and procedural. The need for substantive information is obvious. If the public is to play some role in decision-making, it must acquire varying degrees of knowledge about the problem, possible solutions, trade-offs, and implications of various management strategies.

Less apparent is the need for information concerning the organizations involved in management, their organizational and decision-making structures and their legal and potential scope of management. This is especially important because of the present fragmented nature of resource planning and management. Local people often become confused because of the overlapping of or the apparent (and real) gaps in responsibilities. Good intergovernmental and interagency relations, together with public information that identifies these relationships and responsibilities to the degree possible, is necessary to reduce confusion, legitimize the management process and promote public interest and participation.

Closely related is the need for procedural information. Participants must know not only about the public involvement processes but about the processes of management as well. Information concerning the processes of identifying goals, planning, deciding (including initiation, choice and ratification), developing and allocating resources, executing and evaluating should be presented so that the hopes and expectations of participants are kept in a perspective that will minimize disappointment and discouragement.

In an impact study of power projects in Schoharie County, New York, 61 percent of the public responding to a survey indicated that they needed more information. Warner's survey of public participants indicated that 57 percent of the participants needed more information than has been available in the past.⁴ The need for more information ranked third as a change needed to increase the effectiveness of public participation. Specifically, the respondents indicated the information should be more widely circulated, increased in amount, more understandable, more basic in nature, used to identify conflicting viewpoints, and more explicit in identifying and explaining assumptions. Some respondents indicated that the information usually received was too complex, others claimed it was too simplistic. This result illustrates the need for flexibility in disseminating information. Information must be prepared and packaged differently for different groups depending upon their own characteristics and needs.

Communications experts must become acquainted with the relevant publics and then supply the wide range of needed information in varying degrees of completeness and technical detail depending upon the receiving public and the time relative to the decision-making process.

Educating the Agency. Before useful information can be obtained from the public the first function of public participation must be effective, i.e., the public must be well-informed. Failure to adequately inform the public can be a source of failure in attempts to determine public values, needs and desires. Public hearings are widely criticized on this basis. Questionnaires and other survey methods lose much of their potential value if the responses are from uninformed people.

Assuming an informed public, there are still many problems in eliciting and using public response. Finley and Hickey found that three major factors tended to alienate the public in the Susquehanna Basin:⁵

- "1. Filling the agenda so that reactive groups must wait several meetings to present their views.
2. Failure to seriously consider the views of the reactive groups.
3. Taking a generally negative attitude toward any position of the reactive groups because of the source and not because of the substance of the position."

Yet, the Susquehanna Coordinating Committee considered generation of public response the most important objective of the public participation program that they initiated.⁶

Warner's survey of government administrators and planners indicated that more public feedback and reaction to proposals was a major goal of public participation programs. In the same survey, these respondents rated the value of information produced by public participation very low.⁷ These two examples indicate that techniques for collecting useful information from the public are not well-developed. Therefore an experimental approach with qualified communications professionals may be a prerequisite to obtaining useful information from the public. This information can be obtained by asking, inferring from behavior or by psychological tests. All of these methods require special professional competence for design, implementation and interpretation. This competence must be acquired if any management agency is serious about implementing a public participation program.

It is important to point out that in most cases today the public is likely to respond or react at some time or another. If this response is effectively elicited at the proper time, mutual accommodation or innovative conflict may result.⁸ However, if this response is not obtained by some kind of design it is likely to be spontaneous with a lack of proper information leading to disintegrative conflict.⁹

Dialogue. The third function of a public participation program is to establish a dialogue or two-way communication between the agency and the public. This function appears to be the major thrust of many recent public participation programs. The first two functions of public and agency education become supportive and a part of the two-way communication efforts. Perhaps this thrust is a result of the recognition of the difficulties and ineffectiveness of simply informing the public or obtaining public response to proposals. Another possible reason is the realization that informing the public and obtaining information from the public is an iterative process. The public finds it difficult to respond without proposals to respond to and has little motivation to respond when a study is completed and one plan or proposal is presented.

Thus, the concept of working with the public rather than for it has emerged. Another factor that favors the third function is that the public is demanding a more direct relationship with the management agency. Warner's survey of potential participants indicated that whereas the past roles of these respondents were mainly as observers or independent reviewers, their desired roles included participation in the formulation of objectives, recommendations and alternatives. In other words, the public desires and in some cases demands that it be provided the opportunity to react to a process rather than a final plan.

The rationale for concentrated efforts to establish a two-way flow of communication in public participation programs is evident in a statement by Tabita:¹⁰ "In the final analysis, success in accomplishing the mission will rest more than ever on making the public a member of the team. We can no longer afford the mechanisms for achieving public support used in the past. Old methods must be improved and new methods developed and total reliance should not be placed on any one system or set of tools for reaching and retaining the public's sympathetic interest. In view of the developing possibility of vocal, special interest groups obscuring the best public interests, it is vital that the public be informed at every level of possible concern, that it be supplied with all of the facts necessary for intelligent decision and at its cooperation in every step of the planning process be secured."

B. Tasks and Activities

Programmed public participation is not operational until the objectives are translated into specific tasks and activities. This is a difficult practical problem confronted by agency personnel. Since issues and people vary in nature from place to place and time to time, program design is the heart of the experimental approach to public participation. Specific issues and people together with available resources will determine the scope and nature of the public participation program and the relationship of the agency and the people.

Regardless of whether the public participation effort is minimal or an elaborate program is attempted, there are four major activities in the design and implementation of a public participation program.

These activities are: (1) identification of the publics, (2) timing the involvement relative to the decision-making process, (3) selection of communication mechanisms, and (4) continuous evaluation and adjustment.

Identification of the Public. Just as there is no single "public interest" no matter how small the problem, neither is there a single identifiable public. The public as referred to in public participation and in the context of the Great Lakes Basin actually includes a conglomeration of interests that change with the issues and over time.

While statistical descriptions of the public in terms of such dimensions as age, economic status, education, professional interest, etc. is useful in two of the major functions of a public participation program (educating the public and educating the agency), the identification of the public to become involved in the third function, dialogue, is a far more complex process. Obviously, public information can be disseminated widely and public opinion can be elicited on a rather broad basis but the dialogue function is severely restricted as to the number of people that can become involved. Also a great deal of interest, motivation and commitment is required of the public participating in the dialogue function.

As a result, it is sufficient to identify only the influentials. Influentials are those individuals or groups having a potential for, reputation of, or record of influencing decision-making on the issue of concern or related issues. Wengert contends that the identification of influentials is static and fails to deal with those who are not influential but have a definite stake in the results of the decisions.¹¹ This criticism can be softened if the word "potential" is interpreted

liberally in the identification process. Working outside of organizations or cutting across organizational lines has not been too successful, probably because those who desire to participate prefer to become involved through an organization, if there is one, that represents their point of view on a particular issue. Also, it is a vain hope with the usual resources and time constraints to organize the unorganized on any kind of community or regional basis.

Three techniques have been proposed for identifying community leaders. These techniques are easily adapted to identifying individuals and groups that ought to participate in water and land management decisions. They are the positional approach, the reputational approach and the decisional approach.

The "positional approach" is used to identify individuals and groups who are in a position to be affected by or to affect decision-making. Organized special interest groups, universities, local planning groups, active citizen committees, local planners, industrial and business officials, flood plain residents, etc. can be identified on a positional basis.

The "reputational approach" consists of asking informants to name and rank community influentials. The informants can be selected panel or a random sample of community members. Public agencies involved in the area are often valuable informants on influentials. The snowball technique can also be used. In this technique all those identified are asked to act as "informers" as well in identifying other influentials. The process is continued until no new influentials are identified in the interviews.

The "decisional approach" is also known as the "event analysis" or "issue" approach. It involves tracing the actions of groups and individuals in regard to decision-making and policy formulation within the context of specific issues. Tracing may be done by gathering data from extensive interviews, from attendance at committee and organizational meetings, from reports, records of public hearings, speeches, news articles, etc. This approach tends to identify overt power rather than power potential or perceived power and recognizes influence as a process rather than as a static fixture.

Each approach in itself appears inadequate.¹² Regardless of the extensiveness of the identification process, a combination of the three approaches should be used in the process of identifying participants. When the list is completed it serves as a complete list for the dissemination of information and a list of potential respondents to agency questions. The list also serves as a source for identifying those who might best represent the public in the dialogue function and may help indicate the likelihood that any group or individual will make the required commitment. It may help identify potential conflict situations and problems of representation that must be solved by the agency.

The original list must not be considered final. Identification of participants has to be a continuing process. Attitudes and opinions are likely to change as awareness and knowledge of the management problems and alternative solutions are increased through the public participation program.

Combining the three approaches creates the possibility of many degrees of sophistication and systemization of the identification process.

Groups and individuals identified in each approach can be ranked or graded regarding their representativeness, degree of organization, legitimacy, visibility, scope of influence, etc. Decisions can be made regarding who should be informed, who should be interviewed and who should be invited to participate directly in dialogue with the management agency.

Timing of Involvement. Once the participants have been identified the next task is to determine the points in the decision process when the public can and should be involved. Two primary timing concerns are the initiation of involvement and the frequency of involvement.

In Warner's survey of private groups involved in agency planning studies, the 143 respondents ranked timing of involvement opportunities second in importance in needed improvements to allow more effective participation.¹³ These respondents stressed the need for early and frequent public participation throughout the decision making process. The public needs to be involved early so that they can participate in the formulation of objectives, recommendations and alternatives rather than simply react to agency determined plans, often with insufficient time to adequately consider the proposals.

The Susquehanna Communication - Participation Study has been cited as an innovative attempt to involve the public in decision-making.¹⁴ The lack of success experienced here was to a great degree a result of beginning the program with only 1 1/2 years of the six-year study period remaining.

Frequency of involvement is usually related to natural review points in the particular decision process. Although each issue

situation will be somewhat unique in this respect, there are five points in general where there is something to present to the public and something for them to react to:

1. Formulation of Goals and Objectives.
2. Results of Technical Studies.
3. Formulation of Alternatives.
4. Evaluation of Alternatives.
5. Presentation of Final Plan.

Involving the public in the formulation of goals and objectives is important because it provides the opportunity to establish good working relationships at the conceptual stage. Agreement is more likely here because of the absence of the necessity of commitment. It allows the public and the agency to get to know and understand one another which is important throughout the public participation and decision-making process.

Maintaining public involvement through the technical studies is likely to provide three potentially valuable results:¹⁵

1. Acquisition of a broader spectrum of data;
2. Verification of assembled data; and
3. Reinforcement of relationship with public.

Local technical people can be especially valuable in this phase.

Public participation in formulating and evaluating alternatives relates primarily to the dialogue function of public participation programs. Public input in this phase will expand the range of alternatives, develop a better understanding of feasibility, develop a better understanding of the complexity of the problems including the

required trade-offs and promote and reinforce relationships established in earlier phases.

Presentation of the final plan is primarily an information function. However, access must be provided for dissenting arguments. If the participation program has been successful in earlier phases there should be minimum dissent at this point. However, those who preferred not to participate until this point or who feel left out may respond.

There may be times during the decision process when considerable time elapses between major involvement points, e.g. during technical studies or while awaiting agency review or political ratification. During these times it is important to maintain relationships through the informing function by reporting on progress and agency processes even though there is very little progress.

Selection of Communication Mechanisms. Effective participation of all interests is only possible if the management agency is successful in providing adequate communication links with and between the participants. Because of the diversity in participants and the relatively different kinds of information transmitted at various times in the decision process a variety of mechanisms may be necessary for effective participation. This is one reason why identification of participants and determination of timing are important first steps in implementing a public participation program.

Although many of the mechanisms for public involvement are multiple purpose in nature, each can be classified according to its primary functional use. Some mechanisms are particularly useful for educating the public while others provide useful information for the agency. Still

others provide the opportunity for agency-participant dialogue. Many mechanisms are complementary to the successful utilization of others. For instance, those mechanisms used to inform the public quite obviously complement attempts to obtain qualified information from the public and efforts to engage in informed dialogue.

Information is usually disseminated through public notices, newsletters, news media, a speakers bureau or published agency reports. Public notices usually contain terse, inconspicuous information concerning public meetings, hearings, etc. Newsletters can be published on a regular basis to provide specific controlled information and are distributed to individuals identified as potential participants. The news media include television, radio and the newspapers. Of these, the newspapers are often considered the most accessible, least expensive and most effective. A speakers bureau can be organized to provide speakers to clubs, schools or other organizations that regularly schedule guest speakers. Regular or especially prepared agency reports are also used to educate the public. In addition, public displays and films can be utilized.

Common techniques for information collection include surveys, public hearings, public inquiries and special study task forces. Surveys utilize various polling and interviewing techniques. Public hearings are the most widely used formal device for entertaining the views of all interests on a particular issue. Public inquiries are similar to public hearings except they are informal. Special study task forces may be established to investigate a particular issue and report to the management agency and the public.

Dialogue or two-way communication can be achieved by informal contacts, workshops, group advocates, advisory committees, formal meetings and informal meetings. Informal contacts are probably the most important since they are complementary to all other devices. Workshops are, as implied, work sessions where participants are encouraged to openly discuss issues and alternative actions. They are informal in nature, restricted to relatively small groups and may be conducted in a series. The group advocate technique requires interested groups to elect a representative to express their viewpoint and return pertinent information to the group. Advisory committees can be appointed to represent various interests, however they are usually selected and charged to represent the views and interests of the more general public. Its relationship to its constituents is different from that of the group advocate in that the advisory committee is usually (but not necessarily) appointed, not elected, and its constituents are not as well defined. Formal and informal meetings are useful for exchange of information. They differ from the workshops in that the development of ideas and alternative solutions to problems are not included as objectives.

Continuous Evaluation and Adjustment. Continuous evaluation and adjustment of all activities is an essential component of the responsive, experimental approach to public participation. Objective self-evaluation may be one of the most difficult of all the tasks. For this reason it is often desirable to secure outside observers, probably from a university, for this activity.

Since evaluation criteria have not been well-developed and in any case will not be easily defined, the evaluation itself is essentially experimental. As a starting point the program should be evaluated relative to its stated objectives with a view toward changing the objectives or adjusting the activities to make the two more compatible. Techniques should be developed for evaluating the success or benefits of the program in view of the resources committed on a marginal bases. Questions concerning organizational and structural deficiencies, representativeness of participants, responsiveness, flexibility, scope and specificity of participants, and interest motivation and maintenance must be considered.

When deficiencies are identified, alternative means of eliminating them should be developed. Those alternatives that cannot be adopted in the current program may be feasible in future public participation experiments. Thorough, continuous evaluation and corresponding adjustments in the processes will form the basis for long range success in public participation in water and land management.

A Public Participation Program in the Great Lakes Basin

The foregoing section developed a framework of considerations that those charged with designing a public participation program must take into account. This section examines some of those considerations and their associated assumptions in more specific detail and with special reference to the Great Lakes region.

As discussed in this and previous chapters, a fundamental assumption with respect to the new organization is that it would carry

out its treaty mandate in two basic modes of operation. They are:

(1) independent or autonomous operations in which the new organization deals directly with citizens or groups of the public or private sectors; (2) an indirect role consisting mainly of facilitating the coordination of the planning and programmatic activities of existing public agencies of the region. This modus operandi suggests that a Great Lakes organization public participation program would consist of two distinct yet interrelated components. The first includes public participation activities undertaken directly with the public. The second concerns the organization's role in the public participation activities of existing government agencies with resource responsibilities in the Great Lakes region.

A. Activities of the Regional Agency

The new organization should develop its own relationship with the public for a number of reasons. Such an endeavor would enhance the agency's visibility and accountability and help to legitimize its mission. It would also promote an international, regional perspective and provide valuable information concerning the public's perception of the proper scope and function of a new joint organization.

This discussion of direct relationship public participation activities is pegged to three of the four major activities which were outlined in general form earlier in this chapter. They include: identification of public participants; determination of the proper timing of activities; and selection of communication mechanisms. The fourth activity, that of continuous evaluation and adjustment, is not included in the discussion.

Identification of Participants. Identification of potential public participants is never a simple task, especially in an area as large as the Great Lakes region. When a problem is confined to a small area the identification of public participants and the motivation of their involvement may involve only the usual problems. On a regional scale, however, it becomes more difficult to involve a significant portion of the public.

Although information should be disseminated as widely as possible and public feedback should be elicited from as large a cross section of the public as possible, most public participation activities of a regional nature will necessarily involve, more often than not, regional influentials. This as a frank recognition of things as they are. It does not imply that the organization should not exert every effort to encourage citizen involvement on the broadest scale, because it should. The idea is to raise the level of consciousness of people living in the Basin, imbuing them with a regional outlook and an understanding of the goals of the new organization. A very successful public participation program would be one in which this "regional outlook" is acquired by at a substantial sector, say one-half, of the region's citizens. With regard to active citizen participation, a much smaller percentage is envisioned for example, through organized groups possible 2 percent of the Basin population might fall within this category. Reliance must be placed on the leadership of such groups, i.e., the influentials. These leaders and influentials who have experienced and recognized the benefits of public participation and who are aware that change takes time are the only group likely to commit the necessary resources to

come involved. These people can be identified by using the positional, participational, and decisional approaches as described earlier.

Potential participants identified by these approaches would include: the news media (including all radio and television stations and all newspapers in the region), universities, environmental organizations, public interest groups such as the League of Women Voters and various other citizen advisory committees concerned with regional problems. It may in fact be useful to organize a citizens' task force to assist in the identification of potential public participants.

This selection task can never be completed. As time passes and new problems and issues emerge new participants will appear while others will fade from the scene. Also, public participation activities can be expected to produce new leaders as members of the public become better informed of the problems of the region and of the potential for participation.

Timing. The two primary timing concerns are the initiation of involvement and the frequency of involvement. Frequency depends on the decision-making process and on the communication mechanism. Other than the recommendation that the public should be involved continuously as much as possible, further discussion regarding frequency is included in the section on communication mechanisms.

Public involvement must be initiated early. The reasons for this are: (1) the public normally requires a great deal of information to promote awareness and interest; (2) the public must be adequately informed if it is to play a useful role; and (3) it is easier to establish good relationship among the various interests early when discussions concern concepts and there is time and opportunity for accommodation.

Communication Mechanisms. Although most communication mechanisms are multiple purpose, each can be classified according to its principal function. These three functions are: (1) to educate the public, (2) to educate the agency and (3) to promote dialogue between the agency and the public and within the public.

Educating the Public - A well-informed public can be the key to the success of a public participation program as well as a valuable assistance to successful resource management coordination. Information should include the structural and procedural as well as the substantive aspects of management.

Effective use of the news media has the potential of informing people at a lower per capita cost than any other mechanism. The new joint organization must establish a good rapport with the Canadian and U.S. television networks as well as the independent stations. Arrangements should be made to obtain maximum use of no cost or minimum cost public service programming opportunities available through the television medium.

Newspapers are probably the easiest to use and require the least commitment of financial resources. A series of articles prepared for newspaper dissemination might be undertaken. These articles might appear weekly in all of the region's major newspapers. In addition, articles on current management events should appear frequently, or at least weekly.

Newsletters can also be an effective mechanism for informing the public. Newsletters are currently published by regional agencies such as the Great Lakes Basin Commission and smaller regional agencies such as the Erie and Niagara Regional Planning Board. The first newsletters

should be distributed widely. A subscription form should be included in each issue for those wishing to remain on the mailing list and for suggestions concerning others who are likely to be interested. The subscription form should request information that will be useful in keeping the lists of subscribers current.

Agency reports should be described and summarized in newsletters and the availability of these reports should be clearly indicated. These reports should be made available to all interested parties upon request. Inavailability of agency reports is often a source of public alienation and distrust. In addition, all agency reports should include an introductory summary succinctly stating the objectives, major findings and conclusions of the report. This summary may satisfy the needs of many who otherwise would find it necessary to read the entire report. An annual report should also be prepared and distributed for public consumption.

Speakers' bureau activities are likely to reach few people and require too much of the agency's resources to be effective. However, other innovative activities could take its place. Movies and self-orienting slide presentations should be prepared and advertised through news media and the agency newsletters. Displays and posters can be located strategically. The Ontario Water Resources Commission (OWRC)¹⁶ has had success in this public information technique and its experience might be drawn upon.¹⁷

Educating the Agency - An agency that is well-informed concerning characteristics, values, opinions and needs of the public it serves is likely to be more successful in implementing an effective public

participation program. Also, its management decisions will tend to be more responsive and command more public support. Although agency personnel will, in the course of things, come to know the public, it will, nonetheless, be useful for the agency to design certain aspects of its public participation program primarily to receive public input or feedback.

Public hearings and inquiries are appropriate for specific problems fairly local in nature. For the broader problems of regional management, surveys and citizen task forces may be more appropriate. Although the value of surveys is often questioned because results can depend on the way questions are asked and the interpretation of the raw data, surveys can play an important although limited role in informing the agency about its public. Surveys can also be included as part of other public participation activities such as identification of potential participants, newsletter subscriptions, workshops, etc. The potential for acquiring a great deal of information rather inexpensively and quickly in this manner should not be overlooked.

Citizen task forces can be formed to investigate the nontechnical side of almost any management problem. These task forces can be especially useful when dealing with social issues or social conflict. Task forces can be employed to assist in identifying potential participants, evaluation of the effectiveness of public participation programs and collecting survey data as well as mobilization of reaction to agency proposals.

Dialogue - At first glance it may seem apparent that there is little chance for dialogue between the agency and the publics in the management

an area as large as the Great Lakes region except in specific localized problems. This challenge can be made less formidable with proper attention paid to some less obvious techniques which complement and even reinforce the methods already discussed.

An example is the importance of establishing good informal relations with as much of the public as possible. Many major newspapers in the region have writers that specialize in Great Lakes news. Frequent communication with these individuals, informal in nature, is a prerequisite in many cases to effective use of the newspapers for informing the public. Although these individuals should be asked to participate in as many programmed activities as possible, the informal relationship is likely to affect not only their interest in participating but the quality of information the public gets as well. Opportunities to make informal contacts or establish good informal relations with media representatives would never be neglected.

Workshops may be considered too limited in scope and too specific requiring too great a commitment of time and resources on the part of public and the agency to be appropriate for an area the size of the Great Lakes region. Yet, Canada has initiated a nationwide series of workshops in which Canadians can participate in shaping guidelines for future resource development and conservation. This series is called "Man and Resources Conference." Each province has the freedom of implementing the program as it sees fit. Ontario has planned for initial discussions within existing citizen organizations. Next, a representative from each organization will attend a community workshop. Delegates selected from these workshops will attend regional workshops. Delegates

from the regional workshops will attend a provincial meeting. Following this provincial meeting, experts will analyze the alternatives identified by the series of workshops.

The highlight of the program, a national workshop, was held in November 1973* - the main purpose of setting guidelines for future policy and action.¹⁸ There is potential for a similar program under the aegis of the new binational organization.

The Ontario approach to the Man and Resources Conference is a combination of the workshop mechanism and the use of group advocates. In an area the size of the Great Lakes region, the group advocate technique can be very useful. This technique is also compatible with the recommended combined method of identifying potential public participants. Those (groups or individuals) identified as most influential are likely to make up the core of the advocate system. The use of group advocates is effective in decentralizing the public participation program in a large region.

Citizen advisory committees can also be very effective when dealing with broad regional problems. Recognized leaders with a public-regarding ethos should be selected to serve on these advisory committees. These advisory committees can effectively participate in all phases of decision-making and in all phases of the public participation program. Individuals on these committees can provide important links with the public that can improve informal relationships. Individuals willing to serve on advisory committees must commit considerable personal resources to the effort. Therefore a policy of reimbursement for certain expenses should be considered.

*Reports of the workshop were not available at the time of publication of this Reader.

Formal and informal meetings should be encouraged at all times throughout the region. Some of these meetings should be initiated by agency, others will be organized by interested citizens. Educational materials and agency personnel should be available for use at these meetings. Communication is likely to be less restrained in this kind of forum than in some of the more formal activities. The unrestrained communication can lead to early recognition of conflict situations thus saving time for the agency and the public to obviate some of these conflicts.

B. Coordination of Domestic Agency Programs

It is a fundamental assumption of our organizational model that most of the present management activities will continue to be carried out by agencies of the governments in Canada and the United States and that the proposed new organization will attempt to coordinate those domestic agency activities that affect the Great Lakes region. Part of the new agency's public participation program should include surveillance, coordination and support of the public participation activities of the domestic agencies. It should help ensure a more representative regional approach to management in two important ways. First, the regional agency's efforts in evaluation and research and its experiences in communicating with the publics of both countries ought to complement and enhance the more specialized and limited public participation programs of the individual domestic agencies. Secondly, the increased awareness of the strengths and weaknesses of the domestic agencies' efforts resulting from the regional agency's (Operations Office) surveillance and coordination efforts

will aid in the refinement of the new organization's program and its useful integration into the organization's planning and decision-making process.

Four tasks are involved in the coordination of the domestic public participation programs: (1) surveillance; (2) evaluation; (3) research; and (4) reporting.

Surveillance. Identification of participating agencies and their functions is an obvious prerequisite for the new regional agency's coordination mission. This identification process should include a description of each agency's efforts in public involvement. Once this determination has been made, the communications and human behavior professionals of the new organization can begin examining the activities and experiences of the domestic agencies. This should not be a difficult task because in recent years most agencies require a detailed report on their own public participation activities for their own use.

Evaluation. Public participation experiences of the domestic agencies should be evaluated individually and in relation to the international, regional perspective promoted by the new organization. Special attention should be paid to duplicated efforts and possibilities for combining or integrating public participation programs of two or more agencies. Comparing the scope and specificity of involvement with the potential participants identified by the new regional agency may identify omissions in representation.

Warner suggests four types of evaluation criteria that might be included in a list of general performance criteria: 19

1. To what extent does the program provide opportunities for members of the public who wish to participate to do so?
2. What efforts are being made to make the public aware of participation opportunities?
3. Is the public provided with adequate information for effective participation?
4. To what degree does the agency respond to the results of public participation efforts?

Techniques for evaluating the effectiveness of public participation programs are for the most part undeveloped. Evaluation efforts by the new regional agency working in cooperation with the domestic agencies and university consultants can begin to make some progress toward the development of effective evaluation techniques.

Research. Experience in evaluating public participation efforts of the domestic agencies as well as those of the new organization will serve to identify research needs. Research in communications and human behavior is often highly generalized. The operations of the new regional agency provide the opportunity for numerous, in depth case studies on related issues. Therefore, the activities of the new regional agency should be of great interest to students of communication and human behavior.

Once research needs have been identified, research activities should be initiated either by the new regional agency and the domestic agencies or through contractual arrangements with universities or other appropriate research oriented institutions.

Reporting. Extensive reporting on public participation coordinating activities should be directed in two ways: (1) to the domestic agencies; and (2) to the public.

If there is to be any hope for coordinating public participation activities of the domestic agencies, these agencies must be aware of the regional agency's mission and the international, regional perspective; experiences of other agencies; research activities and results and possibilities for coordination and integration of public participation activities. This can be accomplished by frequent reporting of the regional agency's activities and results.

Of equal importance is the reporting of public participation opportunities and the results of public participation efforts in the region. This reporting should foster the desired regional perspective among all the people who live and work in the Great Lakes Basin. Also, it will help recruit activist citizens by increasing awareness of opportunities to participate and by promoting a sense of achievement for those who do actively participate. This reporting of opportunities and accomplishments may also serve to eliminate some of the confusion that obtains when a number of specialized agencies of different levels of government take part in a large scale, coordinated effort.

Recapitulation

It is essential in any new institutional arrangement established by the two governments for improving the management of the water and related land resources of the Great Lakes region that the role of public participation be recognized and be made an integral part of such an arrangement.

In the new organization, the public participation program should be accorded the same priority as the research function and the information system. These three functions should mutually reinforce each other with synergistic effects.

The public participation program, as in the case of the organization's information system, should be centralized for program guidance, evaluation and reporting, yet decentralized in its implementation as much as possible.

The organization's public participation program should be conceived and developed as consisting of two separate but related areas of activity: (1) a direct relationship with the public; and (2) an indirect relationship through the monitoring, coordination and support of the public participation efforts of the domestic agencies.

Regional activities should be reported as widely as possible as one means of sustaining an effective public participation program.

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BEYOND PUBLIC HEARINGS:
SUGGESTIVE TECHNIQUES FOR PUBLIC PARTICIPATION
IN A TRANS-NATIONAL RESOURCE MANAGEMENT ENVIRONMENT

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BEYOND PUBLIC HEARINGS

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Like beauty, what constitutes "public participation" is in the eyes of the beholder. At its basic level, participation means that those affected by decisions should have a role in the making of such decisions. Institutionalization of this citizen decision norm has support in social contact and representational theory in which elected accountable officials are either trusted to make decisions or act as a conduit for public views.¹ However, as society has become more complex, major social choice decisions have come to be made not in institutional legislative environments but in less accountable Regulatory Administrative and Planning environments.² The citizen participation movement of the 1960s was recognition of this shift in the locus of social choice decision making.³

Beyond responding to the emergent institutional shift, public participation is also a symptom of the increasing discontinuity between the nature of social choice decisions (esp. Resources) and jurisdictional boundaries.⁴ In this light participation is often looked to as a means of mobilizing a regional affected constituency without regard for jurisdiction or boundaries. Such regional groupings can occur at the intra or international level. Title II's R.B.C. and Federal Interstate compacts are two of the more recent in a long series of intra-national U.S. regional organizations designed to overcome the jurisdictional problems.

At the international level the concept of mobilizing regionally defined constituencies into larger societal institutions has been at the

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heart of discussion on Nation-Building.⁵ However, the concept of mobilizing cross-national affected party constituencies around specific issue areas without regard for jurisdiction boundaries in order to simultaneously influence multiple national planning and/or administrative decisions is still relatively new academically.⁶ Some authors have recently gone so far as to suggest application of a modified Title II intra-national body to the international problem of the Great Lakes.⁷

The fact that public participation is done intra or internationally; or can be part of administrative, planning or legislative functioning, complicates the difficult task of clarifying the goals of public participation. Any evaluation of public participation, either generally or in specific cases, must be done against some goals of such programs. The water resources planning literature and actual programs often fail to clarify the nature of such goals.⁸ At the broad level it is possible to classify the goals of public participation as data generation; evaluation, and public services. Data generation refers to defining needs, issues, and goals for the public of a region. Evaluation generally involves identification of alternative action, impact location, and potential social reactions. The public service goals of participation include representing the public, acting as a "surrogate" public sounding board, aiding in public acceptance of a plan and/or decision and helping to develop a consensus in a region.

In general, governmental regulatory decision making is most concerned with evaluating goals of alternative identification, impact location and reaction. Long term government planning, while concerned with evaluation, is more likely to be involved with the goal of data generation on regional needs, issues, and goals. Traditional legislative decision making and,

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indeed, some short term implementation planning tends to focus on service goals such as plan acceptance and representation. Thus, the multiplicity of goals embodied in public participation depends on the functional and geographic characteristics of decision making environments as well as the multiple perceptions of those actually involved in implementing such programs.

The problem of evaluating techniques for public participation then becomes one of matching component techniques to specific goals and implementing the appropriate techniques in management. The specific goals being matched depend in great measure on the decision making environment within which the public participation program is operating.

There is a multiplicity of techniques available for public participation programs.⁹ Their effectiveness depends on what goals they are expected to serve and in what type of decision environment they are used. The striking fact of the literature on public participation is its singular emphasis on techniques coupled with an absence of contextual analysis of the effectiveness of these techniques. Legislative requirements for public participation programs by failing to provide specific guidelines encourage the concentration solely on technique. Each program must spend a major portion of its energy and resources deciding which technique is appropriate for their study.

The danger of a solitary emphasis on technique, besides obscuring important goal considerations, is the encouragement it gives to non critical borrowing and adopting of techniques. For example, a "community action program" used in one model city may not be suitable for use in another model city, much less in an international environment. Therefore, in order to avoid the dangers of overemphasis on technique, the managers of

public participation programs must establish their goal priorities and on the basis of these priorities, plus cost, evaluate which techniques would best serve which goals.

Complicating the problem of matching techniques to goals is the basic confusion in public participation between the citizen as actor and the citizen as data base. Sometimes public participation is thought to be "public" decision making, while at other times it is taken to mean expanded consideration of social impacts both long and short run. Public participation in its broadest sense can and should combine data gathering on populations and activity of elements from that population. Furthermore, it is not necessary that the active elements of a population should be those who generate data on that population. Data generation can be done by numerous experts. To move beyond public hearings, public participation must seek varying combinations of skills built on integrated use of social science expertise and population opinion leading elites. Since there is no "one way" to find the balance the remainder of this paper offers suggestions as to how multiple techniques can encourage both activity by elements of population; and generation of data on those populations in terms of the broad goals of public participation.

Techniques of doing public participation can be seen falling into five broad categories: organization frameworks, field work, simulation, expert paneling, survey work, base line data generation, and political-legal techniques. Within each of these broad areas several specific techniques can be identified.

Table 1 is a matrix placing techniques of public participation against the goals of public participation. The checks in the cells indicate a subjective evaluation as to what techniques best serve which goals.

GOALS	DATA GENERATING			Alternative Action	EVALUATION			BROAD SERVICE		
	Needs Id.	Issue Id.	Goals Id.		Project Location	Impact Reactions	Sounding Board	Rep. Public	Public Acceptance	Broad Consensus
TECHNIQUES	CAG's						X	X	X	X
	TA	X	X	X	X	X				
Primary Plan Organization	Monitoring System				X	X	X			
	Advocacy					X	X	X	X	
	Ombudsman					X	X	X		X
	Telecomm.	X	X	X		X	X			
Field Work	Part. Observ.	X	X	X	X	X				
	Offices				X	X	X			
Simulation	Workshops				X	X	X	X		
	Demonst. Projects						X	X	X	X
Expert Paneling	Gaming				X	X	X			
	Role playing				X	X	X			
Surveys	Mute Courts						X		X	
	Brainstorming	X	X	X	X	X				
Base Line Data Improvement	Delphi				X	X				
	Policy Capturing	X	X	X		X	X			
Traditional Political	Attitude & Opinion	X	X	X		X		X		
	Value	X	X	X		X		X		
Campaign Issues	Mini	X	X	X		X		X		
	Collection Data		X	X		X		X		
Referendums	Face-Coding Census	X		X	X					
	Secondary Survey	X	X	X						
Votes	Referendums					X		X	X	X
	Issues						X	X	X	X

While each technique can have an effect on other goals the first object of the chart is to relate techniques to their best suited goals.

For instance, one of the major problems with citizen advisory committees is that citizen advisors are recruited on the basis of one goal, and are expected to serve multiple goals. As the chart demonstrates CAC's serve best in a broad services capacity by acting as a sounding board or becoming opinion leading elites. While CAC's can generate data on public needs, issues and goals, they are likely to be inaccurate sources of such data because they are by nature selective and non-representative. CAC's also run the risk of producing misleading evaluations of alternative action calculations, impact location, and potential reactions. If citizen advisory committees are seen in interest aggregation roles as representatives for a region, they can undermine the credibility of legitimate representative institutions.¹⁰ However, if CAC's break down structural separation of citizen-planner; develop cross-role functional coalitions of interest, and recruit a broad range of interest group leaders, they can act as an effective mechanism for cooption and integration of opinion leading elites into decision making.¹¹

Major alternative organizational frameworks to CAC's for incorporating public values into the social choice process are technology assessment (TA), advocacy hearings and Ombudsmen. TA represents a relatively new research framework designed specifically to locate secondary and unanticipated consequences of alternative actions.¹² As such its main strengths rest on its ability to identify needs, issues and goals as well as to evaluate such data. Recent attempts have been implemented in combining both a TA framework and CAC structure.¹³

Advocacy hearings represent a middle ground between a public hearing and a full scale trial in a lower court. Such a technique is really a fine tuning of the public hearing technique; it attempts to overcome the open-ended nature of hearing procedure,¹⁴ the lack of rules of evidence,¹⁵ and the short commentary periods of such hearings.¹⁶ As such advocacy hearings are geared to evaluation and broad service goals. They are also often seen as means for reducing litigation and court burdens.

An Ombudsmen approach is best suited to short turn around responsive situations.¹⁷ Such an institutional arrangement is primarily useful as a sounding board, surrogate public representative and location and reaction index for impacts. Telecommunication techniques, such as "wired city," "televoting," etc.¹⁸ are also useful as means for locating impacts, a sounding board, and data generators. However, both of these techniques suffer by the fact that the quality of data is limited by changes in sample size and that they, by overburdening the public with choices run the risk of inducing political apathy.

Field techniques are primarily suited to evaluative and broad service goals. Workshops have frequently been used in water resources planning,¹⁶ demonstrations in administrative implementation decisions,¹⁷ and field offices in monitoring programs.¹⁹ While workshops have often stressed their role in data generation, the selective ad-hoc nature of those attending the workshops weakens the validity of the data generated. However, workshops, if properly structured with clearly defined roles and objectives can provide interesting evaluations of alternatives, impact locations, and potential reactions. The workshop's manageable number of people offers unique opportunities ranging from graphic display to encounter techniques.¹⁸

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Field offices, because of continual commitment to monitoring can provide important longitudinal impact location and reaction data if classification of data is well conceived. On the other hand, the high degree of institutionalization and links to "official" bodies characteristic of field offices inhibit their "public credibility." Demonstration projects are usually aimed toward selling or educating the public to a project, not encouraging participation. However, it is possible that demonstrations repeated over time can provide unique social laboratory conditions from which trained experts can monitor relationships between changes in project content and changes in public attitudes while controlling time and geography.

Participant observation by the public of all planning, legislative and administrative decisions which effect them has roots in the concept of town meetings. Depending on the degree to which "observer" publics actually participate in any decision environment, excellent selective data on needs, issues and goals can be accumulated from public participation observation. As the stakes in actual decision process rise, the necessity of making value choice trade-offs also rises. From the arguments over values, issues and goals, profiles of the participants emerge. Unfortunately, constraints of size and recruitment limit the number of publics who could participate. Employment of telecommunication techniques could open up decision environments to increased observation yet such techniques are not likely to increase participation; they also run the risk of turning decision making into a spectator sport.

While simulation techniques have been frequently used in technical water resources planning, integration, social analysis into them has proved a difficult task. The major problem with simulation techniques is that they are

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used to project the optimal political environment possible for plan support. However, in the absence of data and uncertainties of reaction of future contingencies, simulation can provide excellent evaluative and data generation.

Many varieties of simulation from machine-machine to man-machine exist. While machine simulation has the advantage of generating models with small staff and near laboratory conditions, it is only as good as the data provided. Such simulations often have difficulty sensing new social parameters.²⁰ Man-machine simulation, though suffering from selective data, has the advantage of allowing for interaction of planners and other publics in advisory group structures or workshop settings. The KSIM cross-impact simulation system for water resources planning has been helpful in problem formulation, variable identification and impact location and reaction.²¹

Gaming and role playing are spin-offs of the man-machine simulation discussed above. Like simulations, data generated by these techniques on the evaluation process and impact reactions can be significant. Games have been developed in business, education, urban areas, civil rights, health care, ecology and politics and government.²² Even Technology Assessment has seen innovative attempts at gaming in the forms of the BREAKTHROUGH games--Energy Crisis, TA, and R&D.²³

Other game-like simulations such as the computer-aided graphic instruction network PLATO in Illinois, or Harold Lasswell's social planetarium and future firms are innovative attempts at participatory future projection.²⁴

Games can be as limiting as they are useful. The closer role playing comes to the real world, the more valid the game. Yet as the game increasingly approximates the real world, the necessity for such a game decreases.

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Simulation can offer numerous ways of limiting variables, building scenarios and generating data. They are, however, limited by the nature of participants, the requirements for specific expertise and their basically heuristic nature. All too often simulation is used as a convenient substitute for the "real political" world and as a crutch to decision makers, making them feel that they have made manageable the unmanageable.

Because of their relatively low costs in time and money expert paneling techniques are most frequently used in technology forecasting and technology assessment studies.²⁵ With proper controls, clear research designs, and well-designed questions, expert panels can be a very effective mechanism for generating data and providing evaluation. In some cases, such as "Policy Capturing," they can also be used as a mechanism for public-expert interaction to develop value preference profiles on key issues. They can also be combined with workshops and citizen advisory groups.²⁶ Possibilities of expert paneling range from brainstorming to formal Delphi techniques.²⁷

Such expert techniques are built around the concept that experts about a population are generating data on that population. When combined with surveys or other techniques involving elements of specific populations, experts can provide comprehensive data and evaluation background for minimal costs. However, in order to be fully used they require experienced management.

Without doubt the best method to get at "the regional public" values and attitudes is survey research work. There is a range of possible survey approaches all require expertise and money. To a surprising degree, however, some of these problems could be avoided by using a specialized market research firm offering specific survey packages at varying costs. Attitude,

opinion and value surveys will provide the best data on a regional population and, when combined with theoretical research, very solid evaluation. Selective telephone surveys and/or interviews are inexpensive, relatively easy, and offer possibilities of combination with other field work techniques. One innovative compromise approach used in a recent technology assessment is a "mini-survey-bayesian" statistical analysis used as a check on expert panel social impact projections.²⁸ As this mini survey suggests, there is a great deal of room for experimentation in this area.

Beyond survey work, certain other possibilities for extending data generation on populations exist. For example "election" data can provide issue salience profiles for regions and base projections of a population's political response. Geo-coding techniques of displaying and aggregating census data are increasingly being used in health care planning.²⁹ One further area that is generally neglected is the use of secondary survey analysis and data banks as bases for developing population profiles and assessing possible impacts.³⁰ Advantages of such techniques are that they are relatively accessible and inexpensive. Disadvantages are that the data is time bound, and classification systems might not be well suited to all decision environments. Also access to and integration of such data calls for extension of expertise to social science areas.

to be re-evaluated

Traditionally, participation of the public has meant voting for representation. All too often the significance of both the vote and the legislature is passed off as meaningless, over political, and non-technical. Nevertheless, insofar as decisions are key social choice decisions, use of traditional modes of public participation is particularly crucial in performing broad service roles of decision acceptance and representation.

Thus, use of referendums and politicization of issues in campaigns should also be considered as participation options. Closer integration of legislatures and their representatives to non-legislature decision making environments is another critical option.

Conclusions

Having presented various techniques and goals of public participation-- What is the decision maker left with? What guidelines should (s)he follow?

To begin with, there is no "one-way" to "do" public participation. Techniques depend on clear articulation of goals which itself depends on the decision making environment. The decision making environment can be characterized in various ways, but for public participation the geographic and functional characteristics are most important. Once having established goals, the best general policy is employment of multiple techniques built on integration of a wide range of expertise, government officials, and the general public.

It is most important to distinguish when activity by people of a region is needed as opposed to data and projections about people in a region. The first instance calls for selective recruitment of opinion leading elites. The second requires social science expertise. Correct phasing of these elements in the decision making environment is critical.

Finally, in any case where "public participation" is deemed necessary, multiple links between decision makers and the public should be maintained. No one group of citizens or techniques will be representative of the public. Thus, such links can provide mutual checks on varying source input to decision making.

Overall, the greatest payoffs for most non-legislative decisions will come through the enhancement of base line data techniques--particularly in

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use of secondary survey analysis. More emphasis should also be placed on primary survey techniques. However, the most likely techniques to be refined, due to cost problems, are expert panel techniques. Beyond these techniques lies the opportunity for citizen advisory groups of opinion leading elites, and social science experts to combine with government officials in developing a variety of techniques.

Public participation as a concept is too symbolically important to be employed as widely and as sloppily as it has been. Needed is a clearer emphasis on goals to be attained and less fascination with employment of techniques simply because they exist. The Harvard Political Scientist Samuel Huntington offers a caveat pertinent to the current indiscriminant use of the public participation concept. He states:

To the extent that Americans become carried away by their political ideals, they are in danger of doing away with their political institutions. 31

FOOTNOTES

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REGION V

What to Look for in a 208 Public Participation Program

July 22, 1975

Frank R. Corrado, Director
Office of Public Affairs

208 Project Officers

Here is a brief guideline for judging work by 208 agencies on their public participation programs. Some of it is subjective, but all of it is based on past experience.

Budget - The Sec. 101(a) budget should be around 10% as a minimum. Public Affairs would like to review sub-contracts in excess of \$2500 for cost effectiveness.

Manpower - Any public participation program in excess of \$50,000 in total costs should have a minimum of one full time person assigned to public participation. All other programs, no matter what size, should have the equivalent of one man-year for this activity. There must be a specific contact for public participation in each agency.

Minimum Program - Any 208 program must at the outset establish a mechanism that affirmatively seeks to involve all major points of view in the region (farmer, citizen activist, real estate developer, labor, industry) in the development process.

Also, each program must develop a mechanism which is open-ended so that members of the general public who wish, can participate in the plan development.

This necessitates an information program that informs the general public that the plan is under development and that participation is possible.

Therefore, as a minimum, each program should have:

1. a citizens advisory board which meets on a monthly basis publicly to review plan development and comment. Technical resources needed by the committee to help it review the program should be provided by a specific contact.
2. a public information program should be put together which informs the public, via mass media, of the 208 process. Names of committee members should be prominently publicized for public input. Public meetings

should be held at key stages by the advisory committee for public review.

Special Cases - In special cases where there has been significant public interest on public participation in the 208 process, like NPIC, and where there is significant budget resources, a staff person on the 208 agency who is directly responsible to the citizens advisory committee is advised. This implies that the person is chosen for the job by the advisory committee.

Technical Assistance - During the first few months, Region V Public Affairs will provide technical assistance in plan development to EPA 208 project officers. As of this time a "cookbook" has been prepared for each agency with public participation ideas. Shortly, a slide show will be made available for each agency to use.

At the same time, Region V State public affairs directors are being trained in public participation activities in order that they might take over technical assistance on public participation by October of this year.

For review of budgets and/or other technical assistance at this time please contact Frank Corrado 3-5800 or com. line 337.

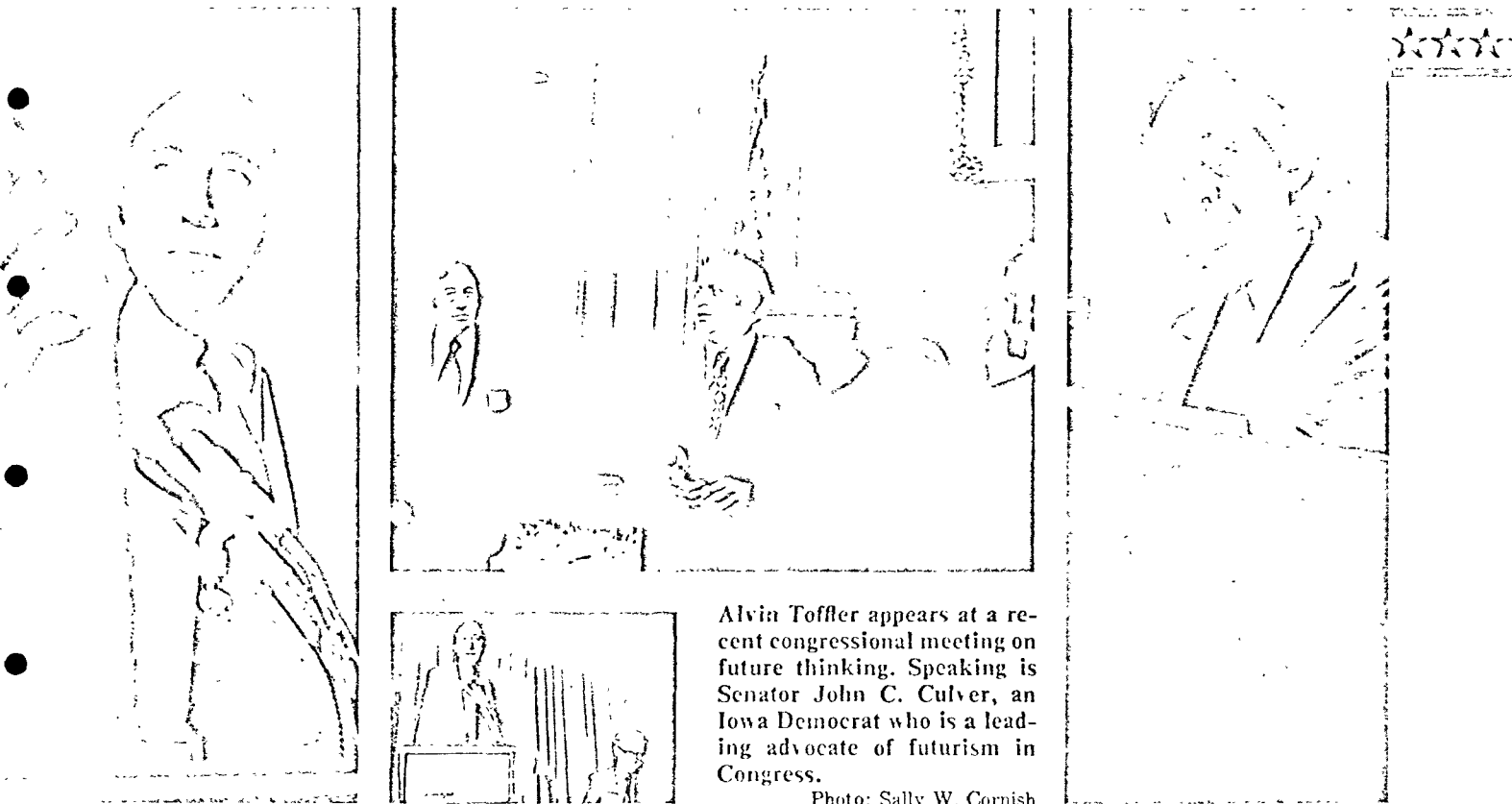
Frank M. Corrado

cc: Skip Price
Bill Cloe
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There is no single or magical way to build a truly anticipatory democracy. In general, we need to support any program or action that increases future-awareness in the society, while simultaneously creating new channels for genuine, broad-based citizen participation. This means, among other things, an emphasis not on "elite" or "technocratic" futures work, but on mass involvement. We certainly need experts and specialists; they are indispensable, in fact. But in an anticipatory democracy, goals are not set by elites or experts alone. Thus, where futures activity exists, we need to open it to all sectors of society, making a special effort to involve women, the



Alvin Toffler appears at a recent congressional meeting on future thinking. Speaking is Senator John C. Culver, an Iowa Democrat who is a leading advocate of futurism in Congress.

Photo: Sally W. Cornish

poor, working people, minority groups, young and old—and to involve them at all levels of leadership as well. Conversely, where participatory activities exist at community, state, or federal levels, or within various corporate or voluntary organizations, we need to press for attention to longer-range futures.

A/D Activities Take Many Forms

Anticipatory democracy may take many different forms, including the following:

1. Creation of city or statewide "2000" organizations. These bring thousands of citizens together to help define long-range goals. These goals are sometimes then embodied in legislation. Examples include Hawaii 2000, Iowa 2000, and Alternatives for Washington—all three at the state level; Seattle 2000 at the city level. Some sort of "2000" activity has been identified in over 20 states.

2. Certain important movements in American society are inherently pro-participative: they work to open the society to the full participation of women, ethnic minorities, the elderly, the poor, or others who are frequently excluded from decision processes in the system. Working with these movements to introduce greater future-consciousness, more attention to long-term goals, awareness of new technologies or social trends that may impact on them, contributes to the spread of A/D.

3. Media feedback programs. Radio and TV audiences are seldom given a chance to voice *their* views—particularly about the future. The use of TV, radio, cable TV, cassette, the print media and other communications systems to present alternative futures and provide channels for audience feedback simultaneously increases both participation and future consciousness.

4. Congressional reform. Passage of a "foresight provision" (HR 988) in the U.S. House of Representatives now for the first time requires that most standing committees engage in futures research and long-range analysis. By strengthening the Congress vis a vis the Executive Branch, it increases the potential for democratic participation as well. For example, anticipatory democracy organizations like Alternatives for Washington or Iowa 2000 could systematically feed citizens' views on the future into foresight discussions in Congress. We need "foresight provisions" in the Senate, and in state legislatures and city councils as well.

5. Community Action Programs. Nearly 900 CAPs exist in all parts of the nation. Aimed at combatting poverty, they all involve some form of participatory planning, often neighborhood based. Attempts to strengthen participation and to extend planning beyond the short term also help the move toward anticipatory democracy.

6. Referenda. There are many

ways to link referenda to long-term future issues. (The British just made a long-range decision to stay in the Common Market—and relied on the referenda to tell Parliament how the country felt on the issue.)

7. Steps aimed at involving workers, consumers, minorities, women, and community groups in decision-making in industry and government—when linked to long-term planning—further the process of A/D. The Congressional Office of Technology Assessment, for example, has an active Citizens Advisory panel that becomes deeply involved in decisions about the very long-range effects of new technologies. Movements for worker participation or self-management in industry, for consumer watchdog agencies, for participatory management can all be encouraged to become more future-conscious. Unless participation affects the planning process, it has little impact.

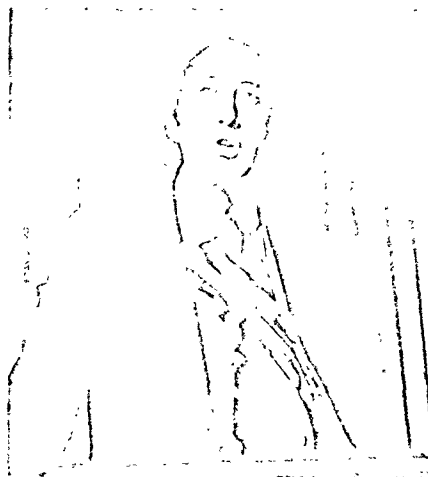
8. Futurizing the programs of organizations like the Young Women's Christian Association, the Red Cross, or the National Education Association—to choose three at random—helps spread the necessary awareness through the network of existing voluntary organizations.

9. Opening up global or transnational organizations to greater participation and future-consciousness. The United Nations conferences, especially the informal meetings that occur

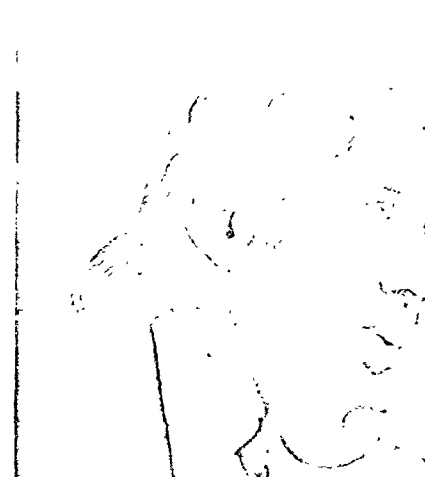
Democracy

simultaneously with them, are opportunities for introducing A/D on the global scale. Such conferences as those devoted to the law of the sea in Caracas, population in Bucharest, environment in Stockholm, food in Rome, women in Mexico City, and the forthcoming one on human settlements in Vancouver are events at which globally-oriented people and non-governmental organizations with local constituencies can get together to exchange information and strategies, and to influence formal policy.

10. Creation of participatory planning mechanisms within community organizations. For example, bringing the entire membership of a church, or a



"A system break of some kind is coming; a new civilization is beginning to emerge."



"There is a tremendous amount of pent-up political emotion in this country. People feel that the future is being bumbled away."

Possible A/D Programs

Members of Alvin Toffler's A/D (Anticipatory Democracy) Network compiled the following list of possible A/D activities. They emphasize that these are some possibilities—not necessarily recommendations. It is up to *you* to decide whether any of them are appropriate. You may want to adapt them or, better yet, invent your own!

- Visit your city council or state legislature and urge passage of a "foresight provision" modelled after H.R. 988 in the House of Representatives.

- Set up "futurist consciousness teams" to attend political rallies and meetings. These teams would ask speakers to explain what effect their proposed programs might have on, say, the year 1985 or 2000. By pressing for a discussion of long-range consequences, the entire political discussion is raised to a higher level. Another question that can be asked: "If we don't really know what effect your proposal will have by 1985, what procedures ought we to be following to find out?"

- Phone a radio talk show and suggest a program on the future, inviting listeners to suggest goals for the community over the next 15 or 25-year period. Such shows have already been tried out in San Diego, Dallas, Atlanta, New Orleans, and other cities. A good response can be used to get interested listeners together to form an A/D group.

- Contact the city or state planning agency and suggest citizen participation activities like Alternatives for Washington. Provide the agency with the names of individuals who will take the initiative in organizing these activities, and sources of information on previous activities of this kind.

- Get a group of futurists to visit the nearest Community Action Agency or Community Action Program and ask: 1. What the futurists can offer in the way of methods, insights, perspectives. 2. What the futurists can learn from community experiences with public participation in planning.

- Organize speaking teams for community groups that express an interest in A/D or futurism.

- Working with your local Bicentennial planning group, arrange for an anticipatory democracy booth at local events. Use booth to distribute A/D literature, but also to get ideas and criticism about the future of your community from the public.

- Approach major companies in your area and ask them to make public in at least a general sense their plans for new investment, jobs, technologies, etc. Publicize their reactions as well as their plans. Ask to what degree consumers, employees or public officials were consulted in drawing up the plans.

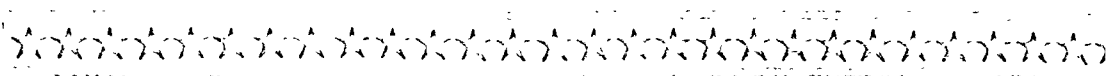
- Place ballot boxes in local supermarkets, shopping centers or movies, with ballots asking passers-by to check off the three things they most like and the three things they most dislike about the community. Pass findings to local press and relevant officials. What are they doing now to preserve the good and eradicate the bad by 1985?

- Organize an open discussion of long-term goals in a church or synagogue to define its purposes in relation to the community over a 10 to 25-year period.

- Working with doctors, the nursing association, and other community health groups, try to organize a community-wide "health plebescite," asking, through the mass media and other channels, for ordinary people to tell what they think is wrong, and what they think will be needed to improve health services by 1985. Compare their priorities with the local health budget.

- Approach parent-teacher associations, teachers' organizations, and students to run an Education 1985 or Education 2000 Conference through which parents and teachers, as well as professionals, have a chance to voice problems, hopes and fears about the future and to suggest ways of futurizing education.

Anticipatory democracy is not a single "thing"—it is a process. It can be created in a wide variety of ways. It's up to you to create your own.



Toffler Speaks on Futurism in Politics



"What I call 'the general crisis of industrial society' has hit the global economic system."

America's continued economic problems have caused many people to reevaluate their opposition to long-term planning. But government and industry are still under the influence of an industrial mentality which assumes that planning must be centralized and hierarchical. *Future Shock* author Alvin Toffler believes that the multichannel super-industrial society now evolving will require a flexible, decentralized planning process open to ordinary people as well as experts.

broadly representative group of parents, teachers and students in a school, or patients, medical staff and service employees in a hospital into the planning process advances anticipatory democracy. Provided the process is truly participatory and the time horizon reaches beyond, say, 10 years, it strengthens A and helps educate people to play a more active role in the national political system as well.

The future of futurism in politics was the subject of futurist Alvin Toffler's speech at the closing session of the World Future Society's Second General Assembly, held in Washington, D.C., June 2-5, 1975.

Toffler identified two fundamental changes that are occurring in the United States:

1. The American people are tired of management-by-crisis. Disturbed by the energy crisis, they are developing a more positive attitude toward planning.

2. Americans are beginning to feel that they are not in control of their political institutions. Millions of Americans now think that the political institutions are obsolete and that new, participatory ones are needed.

Toffler attributed these shifts in the public mood mainly to the country's recent economic problems. He offered the following analysis of the economic situation:

"The economic crisis reveals how totally obsolete our conventional economic models and stabilizers are. Many of the structures that we created for stabilizing the economy are essentially aimed at preventing a repetition of 1929 or 1933 when that is no longer the problem that faces us. They were designed at a time when we did not have \$180 billion in trans-national currency called 'eurodollars' floating around the world system. They were designed at a time when we did not have very powerful multi- and trans-national corporations and institutions. They were designed at a time when conditions were more or less uniform (as they tend to be in traditional industrial societies). I believe what is happening now is a deep intensification of the general crisis of in-

dustrial society. A system-break of some kind is coming; a new civilization is beginning to emerge. We don't know the outlines, but we know that something fundamental is happening. What I call 'the general crisis of industrial society' has hit the global economic system."

"We need people who can see straight ahead and deep into the problems. Those are the experts. But we also need peripheral vision and experts are generally not very good at providing peripheral vision."

The breakdown of industrialism, said Toffler, is much larger than the breakdown of capitalism or socialism. "Industrialism is a culture, a package, a civilization. Mass production, mass distribution, and technology are fundamental parts of it, but it is also dependent upon other systems—mass education, mass media, the money system. All industrial societies share bureaucratic forms of industrialization, top-down hierarchical forms of organization. All industrial societies essentially share a materialistic value system. All industrial societies, by and large, are dependent on the nuclear family. All industrial societies are addicted to fossil fuels and all industrial societies, whether communist or capitalist, Japanese or Swedish, share certain

Alvin Toffler is the author of *Future Shock* and *The Eco-Spasm Report*. For more information on his anticipatory democracy network, write to: Alvin Toffler, c/o A/D Network, 31 W. 13th Street, New York, New York 10011.

epistemological assumptions about time, space, causation, certain conceptual models about how society works. Put those all together and you have a culture. And it is that culture which I think is now unraveling--and that may well be the best news that the planet has had in about 300 years."

Bureaucracies Are Obsolete

The demise of industrialism is no cause for pessimism, Toffler insisted, because industrialism assumed that "certain types of structures could handle all the basic decisions necessary to manage the society." But those structures--bureaucracy, parliamentary democracy, and centralized planning--are breaking down today. Bureaucracies work best in a routine, orderly, predictable environment, but we no longer have such an environment. Centralized

"Acceleration is one of the key features of the super-industrial revolution," Toffler declared. "Events are occurring so fast that we forget them before we have had a chance to learn from them."

-Alvin Toffler

planning has shown serious weaknesses and even the communist countries are trying to decentralize the planning process because of the enormous information overload at the top levels." Parliamentary democracy is now under severe attack in all of the industrial countries, mostly because of obsolete structures which "were products of the industrial revolution and reflect an industrial mentality."

Acceleration is one of the key features of the super-industrial revolution, Toffler declared. Events are occurring so fast that we forget them before we have had a chance to learn from them. Some of our basic assumptions about the electoral process are being challenged by this rapid change. Toffler explained one such challenge:

"We believe, for example, that we

geographical districts. But this assumption was born of an agricultural era when people were rooted to the land and the land was the most important factor of production. The assumption there is that if you don't like what your representative has done in the last two years, you can vote him out. The assumption on which the system was based never took into account the possibility that 42 million Americans would change their residences each year and that I may not be able to vote against my congressman because I am no longer in his district. And now he faces a new constituency which knows little or nothing about his past record." This fluid situation increases the difficulty of forming lasting political coalitions.

The other key feature of the super-industrial revolution, Toffler asserted, is "a shift from industrial standardization and homogeneity to heterogeneity and destandardization. We are becoming a much more diverse society based on new, more diverse technological bases, more varied occupational specialties, different lifestyles, conflicting value systems, differentiated age-groupings in the society, and a renewed ethnicization in the United States. We are becoming what the Japanese call a multichannel society."

This diversification is happening in all the industrial countries, often taking the form of secessionist movements, notably in Canada, France, and the United Kingdom.

Although politicians are lamenting the loss of unity and consensus, Toffler insisted that the shift to super-industrial diversity is "a fundamental survival shift," which, unfortunately, has caused problems that "our weak and fragile institutions can no longer solve." While the result has been fragmentation, dissension, and conflict, Toffler pointed out that "diversity can be based on symbiosis as well as clash and conflict." The overload on our decision-making systems has created a political malaise that could lead to a new kind of fascism. But the possibility also exists of "a major leap forward to a more decent ecologically balanced, equitable, and democratic society."

Radically Different Planning Is Needed

To achieve this breakthrough, Toffler suggested, we must break free of the industrial mentality which has been

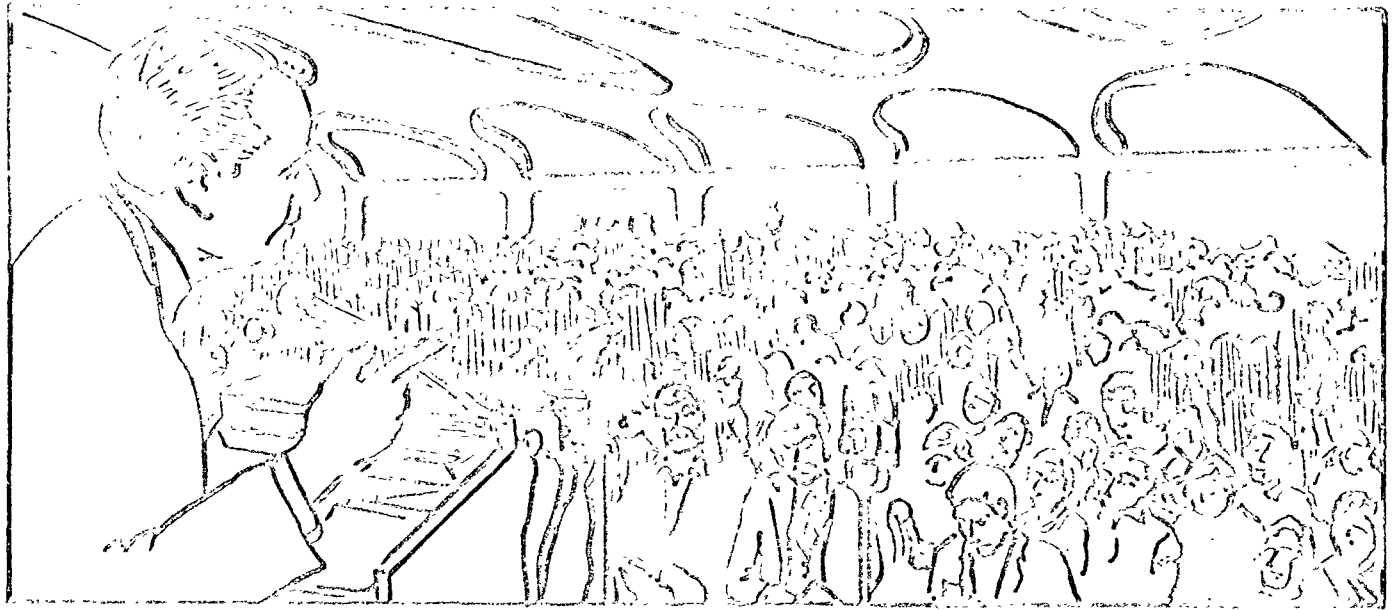


years, but is no longer applicable in many new situations. He explained how that industrial mentality has particularly affected the nature of planning:

"We have seen, in the history of planning, continual efforts to standardize information, to centralize it, to concentrate power, to embrace larger and larger units or systems within the plan and to add experts. All of that adds up to industrial-style planning, technocratic planning. This industrial mentality is now being challenged by an alternative consciousness. It is being challenged not only by angry people who might be called 'plantees'—people who are planned upon—but by many people who do not know they are plantees. In fact, we are all consumers-of-plans, and consumer revolt will continue to occur as more and more of the life-support systems in this society begin to break down. Technocratic planning, like bureaucracy, is designed for undifferentiated or simple industrial societies and for slow-change conditions. But the U.S. is no longer a traditional industrial society, let alone a simple one. Hence, we need a radically different approach to planning."

Integrated coordination of planning at the national level is needed, Toffler conceded, but "we need to realize that the nation-state may no longer be the single or most appropriate focus for a lot of this activity. We are going to need subnational planning on a decentralized basis, sectoral planning, institutional planning. We are going to need custom tailored, continually flexible and changing plans, and those cannot be custom tailored from the top. Moreover, nations are becoming less and less independent of one another and therefore we are

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"The sexual mores, family structures, and value systems of the society impinge on the economic system and alter it in sometimes much more important ways than are trackable in any of our econometric models and fancy input-output systems."

-Alvin Toffler

going to need to have transnational inputs into that planning process."

Toffler also warned against economic planning which fails to take into account social, cultural, and political problems. He declared that "the sexual mores, family structures, and value systems of the society impinge on the economic system and alter it in sometimes much more important ways than are trackable in any of our econometric models and fancy input-output systems."

Ordinary People Can Help Planners

Although we need experts, ways must be found to involve ordinary people

in the planning process. Toffler used the analogy of the human eye to describe what is needed:

"We need people who can see straight ahead and deep into the problems. Those are the experts. But we also need peripheral vision and experts are generally not very good at providing peripheral vision. And I would suggest that what we need is a whole set of new ways of relating 'experts'—people who have Ph.D.s and specialized expertise—and lay-experts—those who are extremely expert about their little piece of the environment, which may turn out to be very important to the rest of us as well."

As we shift from industrialism to super-industrialism, Toffler suggested, network forms of organization will supplant pyramidal-bureaucratic forms. The networks will have to be participatory, Toffler insisted, and state planning programs like Hawaii 2000, Iowa 2000, and Alternatives for Washington could serve as initial models for such "anticipatory democracy" networks.

Expressing satisfaction that businessmen and government officials are joining the public in taking long-term planning more seriously, Toffler nevertheless confessed to a nervous feeling "when I see big business, big government, and big unions all agreeing on something."

Toffler closed his speech with a warning that "there is a tremendous amount of pent-up political emotion in this country. People feel that the future is being bumbled away. And for this reason I believe we are entering into

"Technocratic planning, like bureaucracy, is designed for undifferentiated or simple industrial societies and for slow-change conditions. But the U.S. is no longer a traditional industrial society, let alone a simple one. Hence, we need a radically different approach to planning."

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the most exciting and turbulent period in the history of planning, in the history of the United States, in the history of industrial society, in the history of the globe. And unless we prove to be highly inventive social innovators, unless we begin to invent models that open those channels, we will attempt to apply yesterday's obsolete methods to tomorrow's problems, with disastrous results for democracy." He concluded with a plea to all futurists to help in finding ways to "destandardize, decentralize, deconcentrate, descale, and democratize planning."