

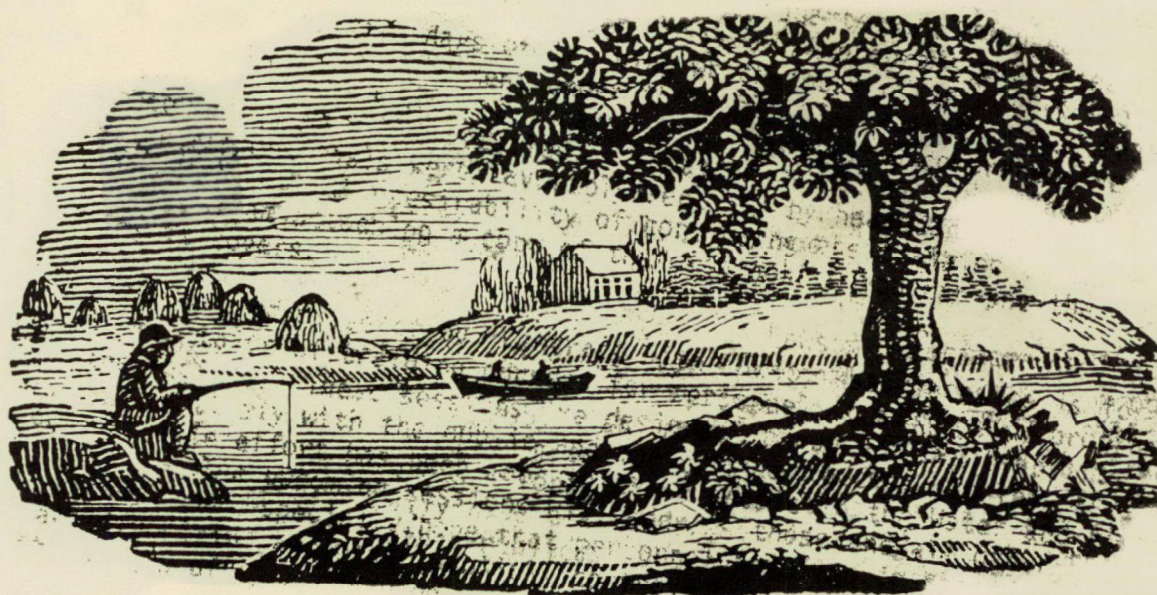
EPA and the Public

A Handbook On

Public Participation Concepts and Skills

Environmental Protection Agency

1981



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EPA Policy on Public Participation

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INTRODUCTION

The U.S. Environmental Protection Agency was established in the early 1970's amid public outcry against environmental degradation. Now, ten years later, the agency has incorporated comprehensive public participation in its pollution control and abatement activities. EPA needs public participation. As EPA's programs have matured, they have become more controversial. Public participation provides a fair opportunity for all parties to become informed and involved, and affect program results. EPA managers have found that public participation gives them early notice of public concerns so they can plan better and develop improved solutions. EPA officials have discovered that public participation can reduce the likelihood of time consuming and expensive litigation from parties whose concerns have not been heard or addressed. Finally, active public participation provides a forum for addressing and ameliorating conflict.

EPA's approach and sensitivity to public concerns has come a long way from the basic requirements for public notices and hearings in the early 1970's. For example, in 1979, the Agency adopted basic public participation regulations (40 CFR Part 25) for programs under the Office of Water and Waste Management. In 1980, EPA and the U.S. Department of Transportation published joint public participation guidelines for Air Quality/Transportation Planning. In 1981, the Agency announced a Public Participation Policy applying to all programs, thus assuring public and private interest groups opportunities to be aware of, and influence where appropriate, the full range of decisions by EPA, and by its state and substate grant recipients. One indication of EPA's progress in public participation is that the question is no longer whether to have public participation, but how to have it.

The EPA Public Participation Policy establishes the goals of increasing public knowledge and understanding of complex issues, of consulting with interested and affected publics in agency planning and decision-making, and of building support for Congressionally-mandated EPA programs and projects. The Policy lays out procedures that are efficient from a management point of view and are fair to all sectors of the public.

The decade of trial and error leading up to the development of the EPA Public Participation Policy has yielded many conclusions and recommendations. Successful public participation must begin early. It requires an open planning approach and a willingness on the part of government agencies to consult citizens and officials, and to sincerely use the public's contributions.

Early and open planning has many ingredients. The purpose and content of the program must be stated early, and in clear and specific terms. The public must know what decisions will be made, and when they are scheduled to occur. A system for two-way communication must be established. Government agencies must have effective ways not only to inform and educate, but also to listen to public concerns, needs, and recommendations, and to respond to them with appropriate action. A responsiveness summary is one tool that demonstrates government's ability to listen and respond.

The open process dictates that the public know who will make decisions, and on what basis. They must know which choices or options are open for public scrutiny, which are not, and why. The public must know the timing of various steps in a project, the information and sources of information to be used in decision-making, and the points in the planning process where the public will be consulted.

The goal is to build trust and credibility, and to keep emotions, human energy, and conflicts focused on substantive issues. Honest disagreements among participants, and between participants and the government become points for discussion and negotiation. The plan or program that emerges from open planning is the most likely to gain public and political support.

EPA officials have gained insight into effective public participation over the years. The following recommendations and conclusions, or do's and don't's, were drawn from analyses of past public participation programs. They reflect practical experience in designing, running, and evaluating public participation programs.

Some Do's and Don't's

- Effective public participation is a complex process. It demands a mix of social psychology, planning, and technical information. Public participation requires the same level of planning and analysis as engineering or other technical operations. For public participation programs, this requires the development of realistic work plans.
- Poor technical planning work may result in an expensive loss, but it can be undone given time and money. Poor public participation programs can prevent projects from ever being implemented, undermine good technical work, and are hard to undo, even with time and money.

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- Successful public participation requires the choice of a planning approach designed with public involvement in mind. It is difficult to insert public participation into on-going planning programs and approaches that have not had wide public involvement.
 - Developing education or information programs, or creating a public dialogue does not mean you have established public participation. The public expects to influence planning products and decisions, and will be dissatisfied with anything less.
 - Public participation programs must be tailor-made. Each public participation technique must be suited to the specific situation and audience. A technique useful in one part of an EPA region may be inappropriate in another.
 - Many public participation programs rely upon "reactive participation," where the public responds to ideas and proposals made by others. "Active participation" programs, where the public can initiate ideas and produce plans of their own, have often proved successful. Sound ideas generated by the public often have credibility and strong political support.
 - Participants must know the rules of the game, the limits of their power, who controls decision-making, and how to influence decision-making. Most importantly, participants must understand and accept their role as advisors, and not as decision-makers.
 - Effective public participation requires agency personnel and financial resources, time, facilities, and materials. An agency or organization must commit the required financial and human resources in a public participation work plan and budget.
 - Don't underestimate the ability of participants. With adequate training and educational resources, many participants are capable of mastering complex technical information and broad planning and policy concepts.
 - In many programs and agencies, the real power rests with staff engineers and planners who analyze information and make recommendations to their superiors. Public participants must have access, support, and influence at this level of decision-making if they are to shape the choices and alternatives presented to decision-makers.

Open and honest participation is the best means for EPA and states to meet Congressional and program mandates. The information in this handbook provides basic, practical skills to help make public participation easier and more successful.

Acknowledgments

Public participation is a complex subject, drawing upon many disciplines. Over the years, many people in and out of government have contributed to an understanding of public participation. Much has been written on the subject, as the length of the bibliography in this handbook attests. Employees of EPA, other federal agencies, and state and local government have learned much from practical experience. The thousands of citizen participants involved in EPA projects, and the work of consultants to EPA, have also contributed to what is known about public participation.

The editor would like to thank the many people and sources who contributed directly and indirectly to the material in this handbook.

Two sources in particular served as the starting point for this publication. They are: Public Participation Concepts and Skills, produced by Barry Lawson Associates, Inc. of Boston, Massachusetts, and Public Participation Evaluation Handbook, produced by CKT Associates of Topanga, California. Special thanks go to them.

Special thanks also go to Sharon F. Francis, Gail A. Martin, Richard J. DeSanti, Cynthia M. Nadai, and the review staff from EPA Headquarters and the Regions who provided much support and assistance.

Marc D. Kaufman
Writer/Editor

NOTE: This material is the result of research supported in part by the federal government and as such is not copyrightable. However, any use of the ideas or materials contained herein must provide appropriate crediting of Barry Lawson Associates, Inc., Boston, Massachusetts.

HOW TO USE THIS HANDBOOK

This handbook is designed as a reference tool for EPA and state agency personnel and grant recipients of EPA who work with the public. It contains information and guidance on many public participation skills. Use it to solve problems and answer questions. The book was not written to be read cover-to-cover. Thus some repetition occurs in the handbook. This was done deliberately so that each chapter could stand alone, and be copied and mailed in response to a request for information or guidance. Some redundancy also occurs where concepts in the Policy are expanded upon in a chapter.

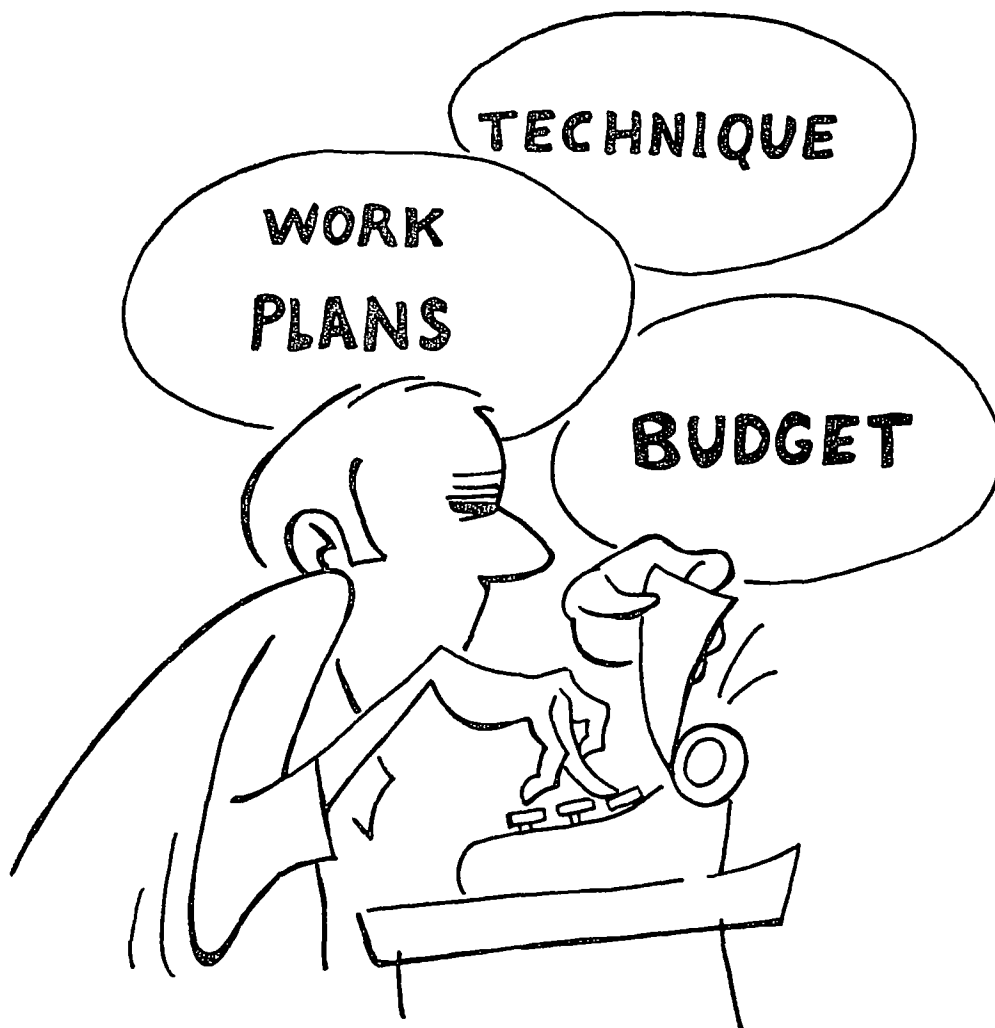
The handbook is divided into four broad chapters, covering planning and budgeting, consultation techniques, public information and education, and related and supporting skills and information. An appendix contains a summary outline of the EPA Policy, a copy of the policy, and a bibliography.

Each chapter follows a common outline, including:

- The Policy -- A summary of the Policy's requirements, where appropriate.
- Background and Summary -- A short narrative summary of the key points in the chapter.
- The Essentials -- The most important principles or techniques on a given subject or topic.
- Other Things to Consider -- Specific techniques, helpful hints, and detailed supporting information.
- Evaluation -- Questions to ask when evaluating various aspects of a product or process. The questions are equally useful to those who design, run and evaluate public participation programs.

Use the handbook as a personal working resource. Add notes to the pages or insert additional checklists or local examples, that will make the handbook more useful to you. For additional information or guidance, contact the Office of the Administrator at EPA Headquarters, or one of the ten EPA Regional Administrators.

Planning for Public Participation



How to Prepare Project Level Public Participation Work Plans

HOW TO PREPARE PROJECT LEVEL PUBLIC PARTICIPATION WORK PLANS

THE POLICY

According to the Policy, a work plan is a written planning tool setting forth objectives, schedules, techniques, audiences, and resource requirements. Work plans are prepared by EPA or applicants for EPA financial assistance. They may be elements of regulatory development plans or programs.

At a minimum, work plans must identify the following:

- o Key decisions subject to public participation;
- o Staff contacts and budget resources to be allocated to public participation;
- o Segments of the public targeted for involvement;
- o Proposed schedule for public participation activities to influence program decisions;
- o Mechanisms to apply the five basic functions of public participation -- identification, outreach, dialogue, assimilation, and feedback.

All reasonable costs identified in an approved work plan are eligible for financial assistance, subject to statutory or regulatory limitations.

BACKGROUND AND SUMMARY

A work plan integrates public participation activities with project milestones, and ensures a role for the public in influencing project decisions. It is a planning and management tool: it provides a structure and order to public involvement, coordinates activities, encourages cost effectiveness, and aids in timing events and allocating staff and financial resources. It facilitates coordination between public participation and technical program activities. The work plan is a written commitment to public participation on the part of EPA, a state, or a grant recipient.

A work plan establishes expectations for the public, and serves as a measuring stick by which the public can evaluate the effectiveness and timeliness of public participation activities. It serves as a public information document for interested citizens and officials. Preparing or reviewing a work plan, can be one of the first tangible activities of a citizen advisory group or other involved citizens. They help ensure that the ideas and techniques proposed in the work plan meet "community" needs and conditions. The work plan should reinforce an early and continuing role for the public.

Work plans must be of sufficient scope and detail to ensure the adequacy of proposed public participation activities. They must also be a working guide for carrying out the activities. For example, rather than state that "dialogue" will take place at a certain point, the work plan should indicate which consultation and information techniques will be used, and each activity's purpose and target audience, publicity methods, and approximate completion dates.

Work plans must respect and reflect the economic, social, and political environment of the project setting. A work plan for a small community must be different than that for a state or region. EPA must be flexible and adaptable when preparing and reviewing work plans. They are not static documents; they grow and change with time and project phase. They should be evaluated on a regular (e.g., semi-annual) basis. Each work plan must be tailor-made for each project, and then adapted for changing situations. Large projects may require a number of work plans. The goal is for EPA and grant recipients to remain sensitive to public needs and strive towards common sense public participation programs.

THE ESSENTIALS

I. How are public participation work plans developed?

- A. Every situation and community is unique. A single "model" work plan is doomed to failure. Analyze the problem or situation, establish a set of objectives, and build a program that meets objectives and helps to solve problems. Every work plan should be tailored to the specific demands in a community, state, region, or the nation.
- B. The process of preparing a work plan is cumulative; follow these steps to develop a work plan:
 - 1. Identify the key decisions to be made during the planning period.
 - 2. Identify outputs for each key decision; e.g., a draft of a final report, data findings, or recommendations.
 - 3. Develop one or more public participation objectives for each key decision or identified output. For example, an objective might be to inform the general public of the nature and scope of an issue, or to solicit public input on recommended management programs.

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4. Target specific people or groups for information and/or involvement. Target publics could include interested or affected citizens, business associations, public interest groups, or elected officials. In determining these target publics, consider the following questions -- Who are the decision makers involved? Is voter approval required to implement project recommendations? How much public consensus is needed?
 5. Choose specific public participation techniques based upon the identified objectives and target publics. Other factors which influence the choice of techniques are the time and money involved, available personnel, and the receptivity of the "community" to the technique.
- C. For each information or consultation technique chosen, the following questions should be addressed:
1. Does the technique meet consultation, information, or notification goals?
 2. What is the purpose of the technique? Is the use of this technique the best way to meet this purpose?
 3. Who is the target public for the specific technique?
 4. What publicity method or distribution channel will be used to inform or consult? Does this communications approach have credibility with the intended audience?
 5. How much lead time is required to accomplish this task or produce this product? How many hours will it take? Which staff members will be assigned to accomplish it? Do they have the time to do it?
 6. What is the approximate cost for all phases of this technique/product, including direct and indirect costs?
 7. How is this technique/product coordinated with other anticipated participation activities? With other public participation programs?

OTHER THINGS TO CONSIDER

NOTE: The following three sections detail the individual elements of a work plan.

II. What types of goals should be considered when preparing a work plan?

A. Setting goals helps to define a public participation program and the ingredients of a work plan. The goals of different projects may seem similar, but in every case, the goals should be based upon the specific needs identified for the project or plan.

B. Some common goals include, but are not limited to:

1. Identifying project issues and problems.
2. Ensuring broad community representation in planning and management.
3. Making programs sensitive to community economic, social, environmental, and political values.
- ✓ 4. Encouraging public education on the issues surrounding a proposal or plan.
- ✓ 5. Developing plans that are cost effective, and mirror the demands of the community.
6. Improving and supporting public decision making in the project.
7. Generating economical and sound alternatives.
8. Resolving highly charged controversies or conflicts through the participation or a cross section of affected interests.
9. Developing reasoned or acceptable solutions to issues and problems.
10. Avoiding delays and diminishing the potential of litigation slowing or halting a project.
- ✓ 11. Developing public acceptance and support for the project or plan.
- ✓ 12. Complying with the regulations

III. What is EPA looking for in requiring an identification of target publics?

- A. A simple list of the interest groups in a community should be sufficient. The list should identify all of the relevant interest groups and points of view potentially involved in, or affected by, a project or plan. The list may be shorter and simpler for a small community than for a large one.
- B. Examples of representative target publics common to many communities include, but are not limited to:
 - 1. Those living adjacent to potential project sites.
 - 2. Industries.
 - 3. Commercial and business interests.
 - 4. Real estate brokers.
 - 5. People or industries that will have to obtain permits or pay user charges, inspection fees, full adjustment charges, and other charges.
 - 6. Existing business organizations, such as the Chamber of Commerce or Business Roundtable.
 - 7. County or municipal agencies and boards.
 - 8. Organized taxpayer groups.
 - 9. Existing civic groups such as the League of Women Voters, church groups, and service clubs.
 - 10. Environmentalists.
 - 11. Print and broadcast news media -- reporters and editors.
 - 12. Farmers.
 - 13. Low income groups, including people on fixed incomes.
 - 14. Minority groups.
 - 15. Adjacent communities or counties potentially affected.

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16. Health groups, agencies, and organizations such as the American Lung Association.
 17. Labor unions.
 18. Other _____
-

IV. How are consultation, notification, and information techniques chosen?

A. Each proposed participation technique must serve an identifiable objective, and be tailored to meet a need at a specific time in the project.

1. Objectives change during different phases of a project, and may require changes in participation techniques. In general, planning projects go through six phases, and each phase may require different activities.

The phases include:

- a. Identifying problems.
- b. Establishing goals and objectives.
- c. Compiling information.
- d. Developing and evaluating alternatives.
- e. Selecting a plan.
- f. Revising and implementing a plan.

2. The timing of particular techniques is crucial. A technique that works successfully at one stage of a project, may not work well at another. Timing should help to determine the choice of some techniques.

B. The choice of a specific technique at a specific point in time should be governed by:

1. The objectives for the phase of the project.
2. The specific advantages and disadvantages of each technique.
3. Financial and time constraints which exclude some techniques or approaches.
4. Availability of personnel required to perform the task.
5. Anticipated receptivity of the "community" to certain techniques.

V. What are some of the types of consultation and information techniques available to public participation specialists?

A. Representative DIALOGUE techniques include:

1. Public Meeting -- A gathering of officials and citizens where the primary purpose is the presentation of new materials and ideas from EPA, the state, or grant recipient. Meetings provide an opportunity for attendees to make comments and ask questions.
2. Public Hearings -- A formal legal mechanism used to collect public comments on a proposed federal or state agency action.
3. Advisory Group -- A group of citizens and officials balanced according to the definitions of the EPA Policy, who provide advice to managers and staff.
4. Task Force -- A group of volunteers convened to study a specific issue or issues, and to make recommendations to EPA, the grant recipient, the advisory committee, or the consultant. They are generally short-term and project focused, as opposed to the long term and broad nature of advisory committees.
5. Workshop -- Concentrated learning sessions developed for relatively small numbers of citizens and officials. The goal is to study an issue, evaluate alternatives, and resolve outstanding issues.
6. Seminar -- Similiar to workshops, but generally planned to deal with only a single issue or problem.
7. Review Group -- A group of citizens and officials brought together to evaluate technical and scientific information, and to recommend courses of action to the EPA, the state an advisory group, or a consultant.
8. Phone-In Radio/Television Program -- Use of a radio/television public affairs program that allows listeners to call the station and talk to project staff and policy level officials.

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9. Hotline or Information Phone Number -- A phone line staffed with someone to answer questions from the public.

B. Representative OUTREACH techniques include:

1. Newsletter -- A regular publication by EPA, a state, the grant recipient, or the consultant, developed to keep the primary audience of a project informed of issues, developments, and public participation opportunities.
2. News Release -- A written communication to the news media for use as the basis for a print or broadcast story.
3. Fact Sheet -- A publication detailing planning and technical information on narrow aspects of projects or programs.
4. Brochure -- A publication which describes a complex issue or program as a part of a public education effort. A brochure describes the goals, issues, and needs of a project, and the role of the public in the project.
- ✓ 5. Project Library -- An information depository in a central location(s).
6. Briefing -- Well constructed oral and visual presentation of information.
7. Radio or Television Public Service Announcements or Advertisements -- Paid advertisements in the print or broadcast media; not to be confused with free public service announcements in the broadcast media (generally 10-30 seconds in length).
8. Responsiveness Summary -- A written document identifying public comments and agency responses, and distributed to participants and decision-makers. (Also assimilation.)
9. Interviews -- Structured one-to-one meetings between project staff and key officials and citizens. The goals of conducting interviews range from the collection of information to informing others about the project.
10. Referendum -- Submitting an issue to popular vote to ascertain the preferences of voters.

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11. Public Opinion Survey -- A method of ascertaining public perceptions or attitudes on an issue or problem, through statistically valid sampling and interviewing or polling.
 12. Newsletters/Newspaper Mail-Back Survey -- A mechanism to sample public attitudes and priorities, test for potential support or opposition, and identify political problems and public participation objectives.
 13. Staffed Telephone Number for Submitting Comments -- Establishing a telephone line, usually toll free, for collecting public comments.
 14. Summaries of Technical Reports -- They are written for non-technical audiences, and educate people on the content of technical studies and reports.
 15. Executive Summary -- A lay summary of a planning report.
 16. Audio-visual programs, including slide shows, and slide tape programs.
 17. Films on the project, or presentation at a film festival on related issues.
 18. Posters -- Posters prepared for public display in a community/region.
 19. Public Displays -- Staffed or free standing graphic presentations of information.
 20. Radio and/or Television Public Affairs Programs -- Use of free broadcast news or public affairs opportunities.
 21. School Programs -- Educational presentations designed for primary and secondary school, and college and university students.
 22. Creative Presentations -- Designing informational programs on a project paying particular attention to cultural or ethnic needs.
 23. Speakers Bureau/Public Speaking -- Establishing a system for providing public speakers to various audiences.

VI. If an agency is considering hiring a public participation coordinator, what are some of the qualifications and responsibilities of the person?

A. Some of the qualifications include:

1. Experience and understanding of EPA's public participation Policy, public participation regulations, environmental impact statement procedures, and EPA planning and implementation activities.
2. Background and experience in public communication, citizen involvement, small and large group dynamics, and methods to involve the public in agency priority setting and decision making.
3. Ability to work with divergent groups.
4. Knowledge of community structures and organizations.

EVALUATION

VII. What are some questions to ask when evaluating public participation work plans?

- A. Can the goals and objectives stated in the work plan be met by the overall work program?
- B. Can the proposed methods and techniques produce effective public involvement by each of the targeted audiences?
- C. Do the targeted publics represent a cross section of potentially affected publics? Are some obvious target publics missing?
- D. Do proposed consultation activities provide for adequate feedback to the public about how its information and opinions have been used?
- E. Do public participation opportunities relate to key decision points and priority issues in the planning process?
- F. Does the proposed work plan reflect a realistic understanding of the staffing and time requirements

to perform public participation? Materials preparation? Distribution and mailing? Staff availability? Timing? Actual costs?

- G. Does the work plan budget seem cost effective? Does the work plan suggest that program elements will build upon existing community committees, newsletters, service groups, and other organized groups? Does this proposed "piggy-backing" maintain credibility for the project?
- H. Do the proposed actions identified in the work plan meet the regulatory requirements? Does the work plan identify:
1. Staff contacts?
 2. Budget resources?
 3. Schedule of major consultation activities keyed to major decision points?
 4. Schedule of major information products, released prior to consultation points?
 5. Information mechanisms?
 6. Target publics?
 7. Inclusion of an advisory group, including a description of its responsibilities?
 8. Coordination among programs.
 9. Inclusion of a mechanism for regularly evaluating the work plan.
- I. Are the budget figures realistic compared to other projects of a similar size and community type?
- J. Does it appear that the work plan has been developed to meet the specific conditions and needs of this project, or has a boiler plate work plan been added to a grant application? Is the work plan project specific? Problem solving in its orientation?
- K. Are there provisions for coordination with other groups or agencies which may be performing similar public participation and information activities?

EXAMPLES OF WORK PLANS

NOTE: These examples of work plans are provided for illustrative purposes only. EPA does not recommend a single format. Review them for detail, structure, and design; then choose a format that best meets your needs.

In choosing examples for comments, neither EPA nor Lawson Associates seeks to criticize any particular government agency, grant recipient, or consultant. The examples were chosen because they provided an opportunity to make a particular comment or observation.

Finally, only parts of work plans are presented. The actual work plans are longer than what has been reproduced.

EXAMPLE A

MILLBROOK VALLEY INTERCEPTOR SEWER

GOOD FEATURES

1. Each of the decision points in the project are identified by phases. For each phase, the activities, objectives and dates are stated.
2. The staff contacts are clearly visible on the title page. Both addresses and phone numbers are provided.
3. Consultation and information techniques are divided into their respective categories. This gives the public an idea of when to expect information on the project versus an opportunity to participate.
4. Budgets have been developed for both direct and indirect expenses.
5. Additional information provided in the work plans includes addresses of town halls, libraries, and newspapers.

AREAS NEEDING IMPROVEMENTS

1. The audiences affected by this project are not identified clearly.

EXAMPLE A

MILLBROOK VALLEY INTERCEPTOR SEWER
201 FACILITIES PLANNING PROJECT

PUBLIC PARTICIPATION WORK PLAN
(Full scale program)

Public Participation Coordinator

John R. Elwood, Project Manager
Metropolitan District Commission (MDC)
20 Somerset Street
Boston, Massachusetts 02108
617 - 727-8880

Consultants:

Engineering

Steven H. Corr, Project Manager
Weston & Sampson Engineers, Inc.
10 High Street
Boston, Massachusetts 02110
617 - 357 - 5995

Environmental Assessment

Carl Noyes, Project Manager
Jason M. Cortell and
Associates, Inc.
244 Second Avenue
Waltham, Massachusetts
617 - 890-3737

WESTON & SAMPSON ENGINEERS, INC.

Steven H. Corr
Vice President

August 30, 1979

SCHEDULE OF ACTIVITIES

Phase I - Preparation of Study and Work Plan

<u>Activity</u>	<u>Purpose</u>	<u>Approximate Date</u>
Opening letter to interested parties	Inform Town Manager and interested organizations of start of Facility Plan, and formation of Public Advisory Group.	June 28, 1979
Establishment of Mailing List	To ensure interested citizens stay informed while the project continues. Included in this list will be libraries, newspapers, and radio stations.	July 23, 1979
Initial meeting of Public Advisory Group	Introduction of officials, engineers, description of project and Advisory Group's duties. Review of draft of Work Plan, choose a Group Chairperson.	August 20, 1979
Completion of Work Plan		
Public Notice of Project	Inform mailing list of formation of Advisory Group, purpose of project, copy of Work Plan.	Early September

PROJECTED MANHOURS FOR
PUBLIC PRESENTATION - WESTON & SAMPSON

<u>Activity</u>	<u>Est. Manhours</u>
Prepare mailing list	16
Mailings to organizations	44
Prepare technical information for public meetings and Hearing	88
Public Meetings	24
Public Hearing	24
Meetings with Town officials	72
Establish Public Advisory Group	40
Meetings with Public Advisory Group	40
Technical preparation & Responsiveness Summary	120
Preparation of Work Plan	20
Final Summary of Public Participation Program & Public Hearing	40
	<hr/>
Total	528
Total Cost (From Contract, including overhead and profit)	\$13,600

• MDC PROJECTED MANHOURS

Staffing is estimated at 250 hours.

CONSULTANTS EXPENSES

Weston & Sampson Engineers, Inc. - Jason M. Cortell & Associates, Inc.

Reproductions and Xeroxing

Including Work Plan, Responsiveness Summary, Meeting
Notices, handouts, Report sections
12,000 pages @ \$0.10/page \$1,200.00

Graphics for Meetings

Including maps, charts, slides, overhead
reprints for public meetings
100 sheets @ \$2.50/sheet 250.00

Travel

24 miles @ 9 trips x 2 Consultants @ \$0.17/mile 73.00

Stenographic

For Public Hearing 250.00

Meeting Rooms

4 meetings @ \$150/meeting 600.00

Advertising

3 meetings @ 2 ads/meeting @ \$100/ad 500.00

Total Consultant Out-of-pocket Expenses \$2,873.00

CONSULTATION TECHNIQUES

1. Public Advisory Group
2. Public Meetings
3. Public Hearing
4. Work Plan
5. Fact Sheet
6. Availability of Public Coordinator and Engineer

INFORMATION TECHNIQUES

1. Project Responsiveness Summary. To be sent out during Phases II, III, and IV.
2. Availability of Project Information in libraries and town halls.
3. Public Meetings
4. Public Hearing
5. Use of Media (radio, newspaper)
6. Public Advisory Group

ADDRESSES OF LIBRARIES AND TOWN HALLS

Lexington

Cary Memorial Library
1874 Massachusetts Avenue
Lexington, Massachusetts

Lexington Town Hall
1625 Massachusetts Avenue
Lexington, Massachusetts

Bedford

Bedford Public Library
Mudge Way
Bedford, Massachusetts

Bedford Town Hall
16 South Road
Bedford, Massachusetts

Arlington

Robbins Library
700 Massachusetts Avenue
Arlington, Massachusetts

Arlington Town Hall
730 Massachusetts Avenue
Arlington, Massachusetts

Lincoln

Lincoln Public Library
Bedford Road
Lincoln, Massachusetts

Lincoln Town Hall
Lincoln Road
Lincoln, Massachusetts

NEWSPAPERS

Arlington

Arlington Advocate
4 Water Street
Arlington, Massachusetts 02174

Bedford

Bedford Minute-Man
9 Meriam Street
Lexington, Massachusetts 02173

Lexington

Lexington Minute-Man
9 Meriam Street
Lexington, Massachusetts 02173

EXAMPLE B

CAPE COD

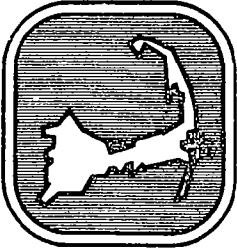
GOOD FEATURES

1. This work plan is directed towards achieving an overall objective by completing certain procedures. Procedures serve as decision points or tasks.
2. Each procedure details the interagency coordination, involvement of elected officials, public information and consultation techniques, and existing planning activities
3. Budget information is precise and structured according to procedures.

AREAS NEEDING IMPROVEMENTS

1. More detail is required on identifying the audiences affected by the project, aside from the elected officials.
2. A schedule would be helpful so that the public can anticipate, and prepare to become involved.
3. The Public Information and Consultation section could be more detailed, identifying meetings, news releases, response to comments, etc.
4. The appropriate agency contacts should be identified.

EXAMPLE B



CAPE COD PLANNING AND ECONOMIC DEVELOPMENT COMMISSION
1ST DISTRICT COURT HOUSE, BARNSTABLE, MASSACHUSETTS 02630
TELEPHONE: 617-362-2511

UNIFIED WORK PROGRAM

FOR

TRANSPORTATION AND TRANSPORTATION-RELATED

PLANNING ACTIVITIES

(MARCH 20, 1979 - JUNE 30, 1981)

MAY, 1980

Original UWP - January, 1979
Amendment #1 - October, 1979
Amendment #2 - May, 1980

AMENDMENT #2

CCPEDC

UNIFIED WORK PROGRAM

TASK: #2.3

TASK TITLE: Transportation - Air Quality Planning

OBJECTIVES:

To plan, evaluate and recommend measures to control air pollution from mobile sources so as to attain Federal Ambient Air Quality Standards within the time limits mandated by the Federal Clean Air Amendments of 1977, and to insure the consistency of the regional transportation planning process with the State Implementation Plan (SIP).

PREVIOUS WORK:

Massachusetts State Implementation Plan (SIP), 1978.

PROCEDURES:

- I. Establish and Maintain An Integrated Air Quality -
Transportation Planning Process (Product I/ A - E)
 - A. Interagency Coordination
 - *1. Identify specific role and responsibility of agency in terms of transportation and/or air quality planning and implementation functions. (DEQE, EOTC, DPW, CCPEDC). This will be carried out and funded under Task 1.3 - Prospectus.
 - **2. Develop and continue to maintain a Memorandum of Understanding which establishes formal and informal working relationships among programs and agencies. (DEQE, EOTC, DPW, CCPEDC)
 - a. procedures for informal coordination among staffs (staff contacts, etc.)
 - b. procedures for disseminating new data, analytical procedures, and/or research findings

c. continuation of interagency task force

- **3. Documentation/Progress Reports (DEQE, EOTC, DPW, CCPEDC)

B. Involvement of Elected Officials

- **1. Provide information to elected officials regarding range of measures or packages of measures that should be considered. (DEQE, CCPEDC)
- **2. Provide detailed information to elected officials on specific transportation measures as they are developed and evaluated. (DEQE, CCPEDC)
- **3. Obtain commitment of elected officials to support, fund, and/or implement air quality-related transportation programs and projects as they are identified. (DEQE, CCPEDC)
- **4. Advise elected officials of any proposed modifications to air quality-related transportation projects and programs. (DEQE, CCPEDC)
- **5. Informational materials will be prepared for monthly meetings of CCJTC and CCRTA. (DEQE, CCPEDC)

Note: The above Porcedures 1-4 will be carried out at monthly meetings of the Cape Cod Joint Transportation Committee (CCJTC) and the Cape Cod Regional Transit Authority (CCRTA). Separate meetings with Town Boards of Selectmen will also be held as necessary.

C. Public Information and Consultation

- **1. A mailing list of groups interested in air quality issues will be compiled and updated . (DEQE, CCPEDC)
- **2. An Air Quality Subcommittee of the CCJTC will be formed and will include groups identified above who are concerned with air quality matters. The Air Quality Subcommittee will be responsible for providing monthly reports to both the CCJTC and CCRTA.
- **3. Periodic reassessment of the public involvement process through the CCJTC Air Quality Subcommittee will be undertaken.
- **4. The Air Quality Subcommittee will be utilized as the public involvement mechanism throughout the entire air quality work program including formulation and adoption of a Air Quality Plan in the Second Round.

- ***5. EPA-DOT "Guideline for Public Participation" will be reviewed and tailored to best suit the region. (CCPEDC)
- **6. Documentation/Progress Report. (DEQE, CCPEDC) (First and Second Rounds)

D. Existing Planning Activities

- *1. Undertake annual review of transportation plans and programs for consistency with the State Implementation Plan, as required by the Federal Highway Administration under 23 USC 109 (j), according to criteria and procedures established in the SIP. (DEQE, EOTC, DPW, CCPEDC) Second Year Activities -- FHWA/MDPW
- **2. Revise planning documents (UPWP, TIP, TSME, etc.) appropriately to reflect air quality considerations. (EOTC, DPW, CCPEDC)
- **3. Documentation/Progress Reports. (DEQE, EOTC, DPW, CCPEDC)

II Defining the Problem (Product #II/ A - C)

*A. CO Hotspot Screening Process (CCPEDC)

Collect relevant data from existing sources for identified high congested/populated urban areas, on regional emissions, meteorological conditions and other relevant air quality related topics. Analyze traffic and congestion factors to determine a list of potential CO "hot spots" based on preliminary screening. Begin evaluating in more detail those identified verified CO "hot spot" areas, as first year Section 175 funding allows.

Preliminary evaluation within the identified highly congested/populated urban areas of the region (those areas to be identified by the region) of potential CO "hot spot" areas. Priority listing of potential and verified CO "hot spots".

**B. Air Quality Analysis (Emission Inventory and Future Projections, Level of Control, etc. (DEQE, DPW, CCPEDC). The CCPEDC will build up a technical capability for conducting air quality analysis through:

a. data collection validation and strategy validation

- population revision (consistent with water quality update in 1980)
- emission inventory
- geometrics/green time (updated)

****V. Administration and Management**

Monthly invoices will be prepared. Quarterly and Final Progress Reports consistent with UMTA reporting requirements will also be submitted.

PRODUCTS

- **I-A** Develop and maintain the DEQE - Cape Cod MPO Memorandum of Understanding re: The Conduct of Transportation Air Quality Planning in the Development of the Regional Transportation Element of the SIP.
- **I-B** Informational materials for monthly meetings of CCJTC and CCRTA and separate meetings with Town Boards of Selectmen as necessary. (on-going)
- **I-C** A CCJTC Air Quality Subcommittee will be established, and staffed to provide public input into the formulation and adoption of an Air Quality Plan for the Cape Cod Region. This Committee will be maintained and utilized throughout the duration of the program.
- **I-D** Annual review of transportation plans and programs for consistency with the State Implementation Plan. (on-going)
- ***I-E** An adopted Public Participation Process.
- *II-A** A Priority Listing of potential and verified "hot spots" on Cape Cod.
- *II-B** Collection of data and selection of models which will be used in evaluating air quality problems on Cape Cod.
- ***II-C** An updated or revised priority listing of potential and verified CO "hot spots" on Cape Cod.
- **III-A** Evaluate and respond to long term public policies relative to air quality.
- *III-B** Preliminary screening of RACM's and description of methods for analyzing transportation RACM's and their impacts.
- **III-C** Evaluate area specific alternative RACM measures and packages of RACM measures.
- **III-D/** Draft Recommendation of Specific RACM Projects in First Year
E which could reduce emissions by percent targeted in SIP Program.Final recommendations with Further Analysis in Second Round

- ***IV- D An Air Quality Plan for the Cape Cod Region will be recommended and formulated in the Second Round.
- ***IV- E Appropriate memorandum, funding/budget proposals, site analysis, regulations and reports.
- **V-A Monthly invoices, quarterly progress report and a final report.

The Final Report will have incorporated within its Products I through IV above. It will, therefore, include a review of transportation plans and programs for consistency with the State Implementation Plan. The final reports will also serve as the annual reports to DEQE and EPA on the status of air quality and transportation planning in the Cape Cod region.

Products from other tasks listed in this UWP which will be incorporated within the products of Task 2.3:

1. Unified Work Program - Annual Update and Extension (Amendments) (Task 1.2)
2. Unified Work Program - Development for next 2 years (Task 1.2)
3. Prospectus (Task 1.3)
4. Annual Transportation Reports (Task 1.4)
5. Detailed Development of Regional Transportation Plan for Upper and Outer Cape Cod Areas. (Task 2.1)
6. Update of Transportation Plan for Mid-Cape Cod Area (Task 2.1)
7. Annual Review and Endorsement of Regional Transportation Plan for Cape Cod for both TSM & LRE. (Task 2.1)
8. Maintenance and Updating of Transit Development Program - TDP. (Task #2.5)
9. Transportation Improvement Program (TIP). (Task 3.1)

LEGEND FOR TASK 2.3

- *First Round Only
- **First & Second Round
- ***Second Round Only

BUDGET INFORMATION

Grantee: Cape Cod Planning & Economic Development Commission

Project No:

PROJECT BUDGET

	<u>1st Round</u>	<u>2nd Round</u>
Personnel	\$20,000	\$26,996
Fringe Benefits	\$ 1,500	\$ 1,600
Travel	\$ 1,000	\$ 1,700
Supplies	\$ 1,000	-
Printing	\$ 2,344	-
Total	<u>\$26,344</u>	<u>\$30,296</u>

I Establish and Maintain an Integrated Air Quality/Transportation Planning Process

	<u>1st Round</u>	<u>2nd Round</u>
A. Develop/Maintain Air Quality MOU	\$ 700	200
B. Informational Materials for Meetings	\$ 2,000	\$ 1,400
C. Establishment and Staffing of CCJTC Air Quality Subcommittee/Public Information	\$ 4,000	\$ 3,000
D. Existing Planning Activities/Consistency with SIP	\$ 2,000	\$ 1,400
Sub-Total	<u>\$ 8,700</u>	<u>\$ 6,000</u>

II Defining the Problem

A. Priority Listing of CO "hot spots" on Cape Cod	\$ 700	-
B. Analysis of Air Quality problems on Cape Cod	\$ 600	\$ 1,000
C. Development of CO "hot spot" attainment measures	-	\$ 1,000
Sub-Total	<u>\$ 1,300</u>	<u>\$ 2,000</u>

[III Evaluation of Alternative Measures and Strategy Development

	<u>1st Round</u>	<u>2nd Round</u>
A. Long term public policies relative to air quality	\$ 494	800
B. Preliminary Screening RACM's and Methods for analyzing impacts of RACM's	\$ 2,000	-
C. Evaluate Individual and Packages of RACM's	\$ 9,000	\$ 3,500
D/E. Recommendation of Specific RACM Projects in First Year which could reduce emissions as percent targeted in SIP and Second Round Programming	\$ 3,000	\$ 4,700
Sub-Total	<u>\$14,494</u>	<u>\$ 9,000</u>
IV Plan Formulation Adoption, Implementation		
A. Draft and Final Air Quality Plan for Cape Cod Region	\$ 500	\$ 2,000
B. Assistance In Implementating Plan	-	\$ 9,000
Sub-Total	<u>\$ 500</u>	<u>\$11,000</u>
V Invoices, Quarterly Reports and Final Report	\$ 1,350	\$ 2,296
Sub-Total	<u>\$ 1,350</u>	<u>\$ 2,296</u>

PROJECT FINANCING

	<u>1st Round</u>	<u>2nd Round</u>
Federal Grant (100%)	\$26,344	\$30,296

CASH DISBURSEMENT SCHEDULE

<u>Quarter</u>	<u>1st Round</u>	<u>2nd Round</u>
1	\$ 6,500	\$ 5,049
2	\$ 6,500	\$ 5,049
3	\$ 6,500	\$ 5,049
4	\$ 6,844	\$ 5,049
5	-	\$ 5,049
6	-	\$ 5,051
Total	<u>\$26,344</u>	<u>\$30,296</u>

EXAMPLE C

PARKERVILLE

GOOD FEATURES

1. The brief project background provides participants with a useful overview, and recognizes the work plan as a public information document.
2. Target audiences are addressed explicitly.
3. Decision points are clearly identified with accompanying information and consultation techniques.
4. Explain how the Parkerville project relates to other water quality planning projects. This encourages coordination and helps to avoid duplication.
5. Staff contacts are clearly identified so that people are encouraged to call them and ask for additional information, or to be placed on the mailing list.

AREAS NEEDING IMPROVEMENTS

1. Even though each activity is timed to a specific month, an overall graphic schedule would be helpful.
2. More detail is needed to explain the objectives for each phase of the project.

EXAMPLE C

PUBLIC PARTICIPATION WORK PLAN FOR PARKERVILLE

(Full Scale Program Work Plan Model)

In conformance with
25.11 and
35.917-5(c)(3)(v).

Background

The Town of Parkerville has begun a comprehensive program to solve its sewage problems. On March 23, 1979 Parkerville was awarded a State and federal grant to help fund the first part of this program - a one year planning effort to explore various alternatives for the adequate treatment and disposal of the Town's wastewater. This effort, called "facilities planning," is described in the fact sheet, Clean Water for Parkerville, which accompanies this Work Plan.

The Parkerville Town Council, on the basis of competitive bid, has hired the engineering firm, Dezine & Specks Inc., of Sometown to do the technical planning and evaluations. In order to assure that the opinions and concerns of the Town's residents are accounted for in this work, several measures will be taken. This Work Plan describes these citizen involvement measures.

The Public Participation Work Plan for Parkerville was developed by Mr. Harold Leachfield and Ms. Sue Erline. Ms. Erline is the Administrative Assistant to the Town Council and Mr. Leachfield has been hired by the Council to serve as the Public Participation Coordinator on the project. Mr. Leachfield has lived in Parkerville for 23 years and has been active in community affairs through several local organizations. Mr. Leachfield is a retired community planner with extensive experience in several government programs. His relevant background includes writing public information, working with community groups and advisory committees, conducting citizen surveys, and organizing conferences and public meetings.

If you would like to comment on the Work Plan or if you would like more information on the project, contact Mr. Leachfield or Ms. Erline (see Page 3 for addresses and phone numbers).

Who In Parkerville Will be Involved in the Project?

Segments of Public Targeted
or Involvement
25.11(b)(4)

This depends upon the people of Parkerville. Because the project will eventually affect everyone in the Town, measures will be taken to reach the general public as well as identified active citizens and interested organizations.

-The project will reach out to all of the residents of the community through news releases, publication of fact sheets in the local newspaper, two public meetings and a public hearing.

-Direct mailing of meeting notices and fact sheets will be used to inform

- o residents in identified "problem areas" (potential "users")
- o abutters to potential treatment sites
- o members of local interest groups, especially the Chamber of Commerce, the League of Women Voters and the Taxpayer's Association.
- o the local media
- o advisory committee members

How and When Will the Citizens of Parkerville be Involved in the Project?

Schedule and
information/consultation
mechanisms
25.11(b)(2) and (3)

<u>Decision Phase</u>	<u>Information Mechanisms</u>	<u>Consultation Mechanisms</u>
Develop public participation work plan (month 1)	Fact Sheet; News Release (month 1)	<i>Set of membership by type</i> Select Advisory Committee; Open Meeting with Grantee, including Advisory Committee (month 1)
Assess Problem and Needs (months 2-4)	Meeting Notice, Fact Sheet (month 2) News Release (month 3) Information Materials for Public Meeting and Advisory Committee Meetings (months 2,3,4) Responsiveness Summary (month 4)	Public Meeting (month 4) Advisory Committee Meetings (months 2,3,4)
Evaluate Alternatives (months 5-9)	Meeting Notice; Fact Sheet (month 7) News Release (month 8) Informational Materials for Advisory Committee Meetings (months 4,5,6,7,8,9) Advisory Committee Field Trip (month 7) Responsiveness Summary (month 9)	Public Meeting (month 8) Advisory Committee Meetings (months 5,6,7,8,9)
Select Alternative (months 10-12)	Hearing Notice (month 10) News Release (month 12) Fact Sheet (month 11) Informational materials for the Public Hearing (month 12) Informational materials for Advisory Committee Meetings (months 10,11,12) Responsiveness Summary (month 12)	Public Hearing (month 12) Advisory Committee Meetings (months 10,11,12)

How Does the Parkerville Project Relate to Other Water Quality Planning?

208 Coordination
35.917-5(c)(3)(v)

Last year the Silver Salmon Regional Planning Commission adopted and submitted to the state an "areawide water quality management plan." This plan was the result of a two year planning process which looked at several aspects of water pollution control. Parkerville was represented on both the Commission and its water quality advisory committee during the study. Individuals who represented Parkerville during the Commission study will be included on the mailing list and they will be invited to serve on the Parkerville Clean Water Advisory Committee. Silver Salmon Commission Staff will also be invited to attend public meetings and some advisory committee meetings.

How Much Will The Public Participation Program Cost?

Staff Contact
and Budget by
Category
25.11(b)(1)

The following budget items, as with the rest of the facility planning costs, are reimbursible through the Federal grant at the rate of 75 per cent. The remaining 25 per cent will come from State and local funds.

Staff and Budget

Public Participation Coordinator

-Preparation of public participation work plan and fact sheet (including work in the community)		
5 days at \$100 per day	5 days	\$500
-Preparation for two public meetings and the Public hearing		
3 days per event at \$100 per day	9 days	900
-Preparation of 4 news releases, 4 fact sheets		
3 responsiveness summaries, meeting and hearing handouts		
14 items at an average of one day per item at \$100 per day	14 days	1400
-Staff responsibilities to the advisory committee, including preparing for and attending 12 advisory committee meetings, arranging the field trip, informal community meetings and other liaison work at \$100 per day	50 days	5000
	<hr/>	
Subtotal	78 days	\$7800

Engineering Staff

-Prepare for and attend two public meetings and the public hearing, including assistance in preparing informational materials 8 days at \$250 per day	8 days	2000
-Prepare for and attend 12 advisory committee meetings 12 days at \$250 per day	12 days	3000
	<hr/>	
Subtotal	20 days	\$5000
	<hr/>	
TOTAL	98 days	\$12,000

Other Expenses

Advisory Committee Budget (travel expenses, field trip and other expenses)	\$1500
Public Participation Coordinator Travel	250
Postage, supplies, advertising, miscellaneous	1500
Public hearing stenographer	500
	<hr/>
Subtotal	\$3750
<hr/>	
TOTAL PUBLIC PARTICIPATION BUDGET	\$16,050

Who is Responsible For The Public Participation Program?

As with all other aspects of the project, the Town Council is ultimately responsible for the public participation program. Ms. Sue Erline, Administrative Assistant to the Council, will provide overall day-today supervision of project developments. Mr. Byron Stooile of Design and Specks, Inc. is the project manager of the technical planning work and will supervise the public participation program.

TOWN COUNCIL:

Ms. Sue Erline
Administrative Assistant
Town Council
Parkerville, Anystate 00001
422-462-3400

TECHNICAL PROJECT DIRECTOR:

Mr. Byron Stooile, P. E.
Senior Engineer
Dezine & Specks, Inc.
Sometown, Anystate 00002
422-736-5303

PUBLIC PARTICIPATION COORDINATOR:

Mr. Harold Leachfield
7 Q1 Way
Parkerville, Anystate 00001
422-462-4380



How to Budget for Project Level Public Participation

HOW TO BUDGET FOR PROJECT LEVEL PUBLIC PARTICIPATION

BACKGROUND AND SUMMARY

Public participation activities require adequate and realistic resources, time, and materials. Many agencies have found themselves in the difficult position of facing an active public desiring information and participation, but having too small a budget and too little lead time to meet the public's demands. The best way to plan for adequate involvement activities is through the development of a realistic work plan and a supporting budget. Budgets are essential components of work plans.

Experience in conducting and costing out participation programs is useful when preparing a budget. Precise costs are difficult to present because different problems require different solutions, and because costs vary in different parts of the country for such things as developing public information materials, printing, advertising, and renting space. There are many ways to hold down costs, such as using volunteers and existing institutions and supports. Cash expenses for public participation in a small community, for example, need not be high. A retired teacher or a part-time employee might serve as public participation coordinator. A small community may have existing committees of town government that meet the advisory group balance requirements of EPA. Existing town council meetings might serve as public meeting forums. A high school civics class could perform interviews and surveys. A local newspaper might provide space for a regular column of information on a project, and avoid the cost of expensive publications. It is important to explore these options in advance and include them in the work plan and budget.

Public participation budgets require both direct and indirect costs. In public agencies, "direct" expenses cover outside services for which a bill is presented to the agency. Contracting for the development of public information materials, printing costs, rental of a hall, and buying advertising space in a local newspaper are examples of direct costs. "Indirect" expenses are costs normally incurred as a part of the agency's normal operations, such as the hours spent preparing and maintaining a mailing list, planning for a public meeting, or writing and editing a brochure or newsletter. Indirect costs can be high, and should be budgeted in advance so that staff time is available during busy periods. The budget is part of the work

plan, and should support objectives and activities identified in the work plan. All notification and consultation techniques should be included in the budget. Consider breaking budgets down into quarterly or semi-annual units, so that they reflect the variations in activities over time. Expenses will not be incurred at the same rate for the entire year of a budget.

THE ESSENTIALS

I. What is a Budget?

- A. According to Webster's New Collegiate Dictionary, a budget is a "Statement of the financial position of an administration for a definite period of time based on estimates of expenditures during the period and proposals for financing them; it is the amount of money that is available for, required for, or assigned to a particular purpose."

II. What is the role of the budget in public participation programs?

- A. As a part of the work plan, a budget is a planning and management tool, more than a strict financial document. It meets many purposes for public participation programs aside from detailing financial requirements. As a management tool, a budget can serve many of the following functions:
 - 1. It is through the budget process that realistic expectations and priorities are set, limitations are placed on public participation, and specific tools and techniques are funded. It is used to allocate human and material resources. It is the mechanism for matching revenues with expenditures.
 - 2. The budget is the central control mechanism to ensure that the goals and objectives of the work plan are being implemented, and in a timely manner. The budget can be used to schedule and sequence events, and ensure that participation activities parallel planning and other technical activities.

-
3. It is through the budget process that public participation is firmly established within the program, and given a long term place in government planning. If necessary a budget can be used to argue for a quality participation program.

III. What are fair and reasonable costs for various public participation tools and techniques?

- A. Costs for staff and various techniques or products differ in every part of the country. In addition, small communities have different needs and communication systems than large communities. This has a bearing on costs and options. No single formula exists for estimating costs. Each program is different, has different goals and objectives, and requires a different approach and work plan.
- B. The following list provides one guide to the amount of time it is likely to take to prepare or organize each program element. It is based upon the time requirements of a small public participation staff working for an east coast state with a population of 5.5 million. It may take more or less time in a particular part of the country or agency. The list provides one reference tool for preparing or evaluating budgets. In evaluating this chapter, some reviewers found the orders of magnitude low, while others found them high. They are certainly high for small communities. Compare these times (and costs) with the actual time allocations and costs for a given area, and modify them as necessary.

ESTIMATED
ORDER OF MAGNITUDE
TIME ELEMENTS FOR
PUBLIC PARTICIPATION ACTIVITIES

TIME ALLOCATED

1. News Release -- four to eight hours to write, gain supervisor/client approval, and issue to the media. 4 - 8 hours
2. Newsletters and Brochures -- six to ten days to research, write, draft, layout, and gain supervisor/client approval. (Add cost of printing and postage). 48 - 80 hours
3. Press Briefing -- one day preparation, one day of drafting charts and other materials, and a half-day attendance. 20 hours
4. Public Forum -- two days preparation and two days drafting of charts. 48 hours
5. Advisory Committee Formation -- seven to fourteen days. 56 -112 hours
6. Advisory Committee Meeting -- one to three days preparation and a half day attendance. 12 - 28 hours
7. Workshop -- eight to twelve days to develop discussion questions and questionnaires, prepare reports and responses to questions, secure meeting location, make arrangements, and attend workshop. 64 - 96 hours
8. Audio Visual Presentation -- three to five days for script writing and 2-3 days for photo reproduction. Add costs for photo processing, preparation of soundtrack, and announcer fees. 40 - 64 hours
9. Public Hearing or Meeting -- one day to plan, issue public notice and other invitations, and write opening statement; one day drafting charts, and two days attendance. (Add cost of a recorder and other staff people). 24 - 48 hours
10. Fact Sheets and Informal Newsletters -- two-three days for research and writing, one day to secure supervisor/client approval, one day for designing, drafting and layout. (Add cost of printing and postage). 32 - 40 hours

TIME ALLOCATED

11. Informational Mailing/Technical Report Summary -- four to seven days research and writing, one day to gain supervisor/client approval, and two days for design, drafting, and layout. (Add cost of printing and postage.) 56 - 80 hours
12. Summary of Draft EIS/Summary of Final EIS -- five to nine days writing, one day to gain supervisor/client approval, and two days drafting. (Add cost of printing and postage). 64 - 96 hours
13. Responsiveness Summary -- small scale (less than 25 comments): research, analysis, preparation, approval. (Add cost of printing and postage). 16 - 40 hours
14. Responsiveness Summary -- large scale (more than 25 comments): research, analysis, preparation approval. (Add cost of printing and postage). 40 - 250 hours
15. Public Opinion Surveying -- cost per interview, by method. Includes preparation of questionnaire, administration of the survey, presentation of data, and limited survey analysis.
 - a. Personal Interview \$25.00 - \$35.00 each
 - b. Telephone Interview \$10.00 - \$15.00 each
 - c. Direct Mail Survey \$ 5.00 - \$10.00 each

NOTE: To estimate costs, multiply the employee hourly rate (salary plus overhead costs, and fee, if appropriate) and multiply by the number of hours required to perform a task. For example, a public participation coordinator making \$16,000/year, earns \$7.69/hour. Estimating a fringe benefit rate of 16% the person's hourly rate increases to \$9.12. To produce a news release in four hours, \$36.48 should be budgeted for each press release. The same person working for a consulting firm carries an overhead rate of 120% - 200%, or more. Overhead covers such things as health insurance, secretarial support, rent, and heat. Using the lower figure of 120%, \$67.69 would be budgeted for each press release. Please see a longer description of direct and indirect costs in the following section.

OTHER THINGS TO CONSIDER

IV. What percentage of a budget does public participation require?

- A. It is NOT possible to suggest a percentage of total budget that should be applied to public participation. A public participation budget should meet the needs of a given project or solve a specific set of problems. For example, some wastewater treatment construction grants programs work with an average budget of 10-15% of the total Step 1 planning costs. The air quality "Section 175" program guidance also recommends 10-15%. However, these figures will vary from region to region; some regions have established specific public participation budget ceilings. In general, complex, politically difficult projects that cover large metropolitan or geographic areas, are costly. Non-controversial projects in small communities generally demand a smaller proportion of the overall project budget. Keep in mind, however, that small communities or projects that require much active participation, (especially with the assistance of a full time or part time public participation coordinator) can come in with a larger than average percentage of the total grant for public participation, even though the total dollar amounts are relatively low.
- B. Local conditions and grantee responsibilities have an important bearing on cost. Using existing committees, newsletters and the like, can save money.
- C. In every case, public participation budgets should meet specific identifiable objectives. Before preparing a budget, target audiences must be defined, goals stated, and problems identified. One effective way to establish a budget is to build a program around the need to solve problems and face specific issues. Cost out an ideal program, and then begin to cut back on the budget from the ideal to the real. If the agency or grant recipient approaches the process in this manner, it will have faced the difficulty of cutting projects and programs in the context of meeting objectives, and can still develop a sound public participation program based upon budget, staff, and other limitations. Each tool or technique chosen should be result-oriented, and meet a stated objective.

V. How should budgets be prepared?

- A. There are many ways to prepare a budget. Each organization or unit of government has a different system for categorizing activities and preparing budgets. The Expenditure Summary that follows provides a single sheet that summarizes all public participation expenses. A category-by-category description of the summary is included. Also included is a sample budget sheet prepared for the 2008 Water Quality Planning Program for detailing the costs of public meetings. Sheets like this can be prepared for each major public participation activity or product.

In a large, complex project, there may be several groups with public participation responsibilities (i.e., the grant recipient, a technical consultant, and a sub-contractor). In this case, consider requiring more than one budget with the work plan. Multiple budgets may help to identify responsibilities and avoid duplication of tasks and payments.

EXPENDITURE SUMMARY

EXPENSE	ACTIVITY	PUBLIC INFOR- MATION AND EDUCATION (notification)	CONSULT- TATION: ADVISORY GROUPS	CONSUL- TATION: OTHER	TOTAL
DIRECT:					
PERSONNEL:					
PROFESSIONAL					
CLERICAL					
PROFESSIONAL SERVICES					
GRAPHIC DESIGN AND PRODUCTION					
AUDIO-VISUAL DESIGN AND PRODUCTION					
PRINTING					
POSTAGE					
EQUIPMENT RENTAL					
FACILITY RENTAL					
MAILING LIST/ MAILING SERVICE (non-personnel costs)					
TELEPHONE					
ADVERTISING					
TRAVEL					
OTHER					
INDIRECT:					
AGENCY PERSONNEL:					
PROFESSIONAL					
CLERICAL					
IN-HOUSE PRODUCTION					
AGENCY OVERHEAD					
OTHER					
TOTAL				TOTAL:	
				FEE: _____	

GRAND TOTAL:

SAMPLE BUDGET SHEET:
DETAILING COSTS OF PUBLIC MEETINGS IN THE WQM PROGRAM

Direct Expenses

1. Development of public information material.			
a. writing and editing services: No. of hours or days X daily or hourly rate X No. of times used.		\$ _____	\$ _____
2. Printing			
a. publicity for meeting: No. of brochures/ leaflets/ news releases? etc. x unit cost		\$ _____	
b. background information for meeting: No. of pages x No. of copies x unit cost		_____	
c. reports to the public: No. of pages x No. of copies x unit cost		_____	\$ _____
3. Postage			
a. publicity for meeting: weight of each pkg leads to unit rate: rate x No. of pkgs		\$ _____	
b. background information for meeting: weight of each pkg leads to unit rate: rate x No. of pkgs		_____	
c. reports to the public: weight of each pkg leads to unit rate: rate x No. of pkgs		_____	\$ _____
4. Graphic Design and Production			
a. film: daily rental rate x No. of days		_____	
b. slides: design—contract or piece rate for No. of slides	\$ _____		
production—No. of transparencies x No. of copies x unit rate	_____	_____	
c. charts: design—contract or piece rate for No. of charts	\$ _____		
production—No. of charts x No. of copies x unit rate	_____	_____	\$ _____
5. Supplies			
a. envelopes. (see item 2 above) number of mailing x unit cost per envelope		\$ _____	
b. for participants (pencils, paper) number of participants x unit costs		_____	
c. for moderators. (chalk, felt tip pens) number of moderators x unit costs		_____	\$ _____
6. Facility Rental: agreed-upon rate			\$ _____
7. Equipment Rental			
a. blackboards, easels: No. of stations x rental rate		_____	
b. tape recorders: No. of stations x rental rate		_____	
c. projectors (film, slide, overhead) No. desired x rental rate		_____	\$ _____
8. Advertising			
a. newspaper advertising: for each paper, rate x No. of times		_____	
b. radio and TV spots: for each station, unit rate x No. of times		_____	\$ _____
9. Travel			
a. for agency staff: No. of miles x No. of people x mileage rate		\$ _____	
b. for meeting speakers/ leaders: No. of miles x No. of people x mileage rate		_____	\$ _____
10. Third-Party Payments			
a. Independent meeting evaluator: contract rate		_____	
b. Meeting stenographer: contract rate		_____	
c. Meeting note takers: No. x No. of hours x hourly rate		_____	
d. Projectionist: hourly rate x No. of hours		_____	
e. Meeting set-up: No. of people x No. of hours x hourly rate		_____	
f. Meeting clean-up: No. of people x No. of hours x hourly rate		_____	\$ _____
TOTAL, DIRECT EXPENSES			\$ _____

Indirect Expenses

1. Agency Personnel.			
a. meeting design: for each person, No. of hours x hourly rate		\$ _____	
b. meeting preparation: for each person, No. of hours x hourly rate		_____	
c. meeting conduct: for each person, No. of hours x hourly rate		_____	
d. information feedback: for each person, No. of hours x hourly rate		_____	
e. meeting evaluation: for each person, No. of hours x hourly rate		_____	\$ _____
2. In-house reproduction: No. of pages x unit cost			\$ _____
3. Agency overhead to above: % of all other unallocated costs necessary to support item 1 above			\$ _____
TOTAL, INDIRECT EXPENSES			\$ _____
TOTAL, PUBLIC MEETING			\$ _____

B. Expenditure summary activity line explained:

1. The public information and education/notification category covers all materials and supplies prepared for and distributed to the public. Included in this category are all publications such as brochures, factsheets, newsletters, report summaries, full reports, and public notices. Such items as informational public displays, slide-tape programs, and maintaining information depositories are also placed in this category.
2. The "Consultation: Advisory Group" column covers all costs incurred in the process of staffing, managing, and informing an advisory group.
3. The "Consultation: Other" column covers all non-advisory group activities, such as public meetings, hearings, workshops, and seminars.

C. Expenditure summary expense line explained:

DIRECT EXPENSES

1. Personnel, Professional: Covers the costs of all professional staff members. Take the total number of hours of each staff person's time committed to each information/notification or consultation activity and multiply by an appropriate hourly rate.
2. Personnel, Clerical: Covers the costs of all clerical staff members. Take the total number of hours of each clerical staff person's time committed to each information/notification or consultation activity and multiply by an appropriate hourly rate.
3. Professional Services: Covers the costs of professional services such as research, writing and editing, and the production of materials. Take the total number of hours committed to each project and multiply by an hourly rate.
4. Graphic Design and Production: For each piece of public information, estimate the design costs by adding together the contract or piece rate for a total number of publications, displays, posters, etc. For production, add the cost for paste-up of graphics and the total number of graphics, charts, photographs, etc., multiplied by appropriate unit costs.

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5. Audio-visual Design and Production: For each product, multiply the estimated total number of hours by an hourly rate for personnel and studio time.
 6. Printing: For all publications, take the total number of copies and multiply by a unit cost.
 7. Postage: For each publication, take the weight of each piece to be mailed multiplied by the postage piece rate; multiply the rate by the number of pieces, and number of issues produced.
 8. Equipment Rental: Total amount of equipment (i.e., movie, slide, overhead projectors) to be rented, for all meetings and public events multiplied by appropriate rental rates.
 9. Facility Rental: Total number of meeting or conference sites to be rented multiplied by a rental rate.
 10. Mailing List: The total costs of maintaining a mechanical or computer-based mailing list above the costs of in-house secretarial or professional time.
 11. Mailing Service: Total cost charged per piece multiplied by the number of pieces processed (collate, stuff, bind, mail).
 12. Telephone: Total cost of telephone service including estimated long-distance phone service charges.
 13. Advertising: Total direct expenses of purchasing advertising in newspapers and magazines, and radio and television.
 14. Travel: Total costs of travel by plane, train, car, or bus, for direct staff, advisory committee members, and others. For Automobile Travel: multiply the number of miles by the mileage rate.
 15. Other: Any expenses which are not covered in the other categories (e.g., supplies like envelopes, paper, pencils). Depending on the budgetary system, the agency/organization might include heat and rent as indirect expenses.)

INDIRECT EXPENSES

1. Agency Professional Staff: Total number of hours multiplied by an hourly rate for each activity, such as meeting preparation time per individual, informal contacts with the public per individual, meeting follow-up time per person per meeting, writing and editing time per person, etc.
2. Clerical Staff: Total number of hours multiplied by an hourly rate for activities such as photocopying, making follow-up phone calls prior to a public meeting, affixing mailing labels on materials, and stuffing and mailing invitations and publications.
3. In-House Reproduction: Total number of pages multiplied by unit cost.
4. Agency overhead: Percent of all other unallocated costs necessary to support an ongoing agency. For some governmental units, expenses such as rent and heat can be placed in this category.

OTHER THINGS TO CONSIDER

VI. What are some other things to consider when preparing or reviewing budgets?

- A. The budget should only cover those expenses directly attributable to public participation; work that is technical in nature or a part of general government responsibilities, should not be charged to public participation.
- B. Dollar amounts will vary for each region and city based upon factors such as:
 1. Size of community/population and resulting costs such as the size of the mailing list, the number of copies printed, and travel costs.
 2. Form and complexity of printing: Great price differentials occur in different types of duplication, such as offset printing, mimeographing, and photocopying. In general, one color (black) offset printing on two sides, is the

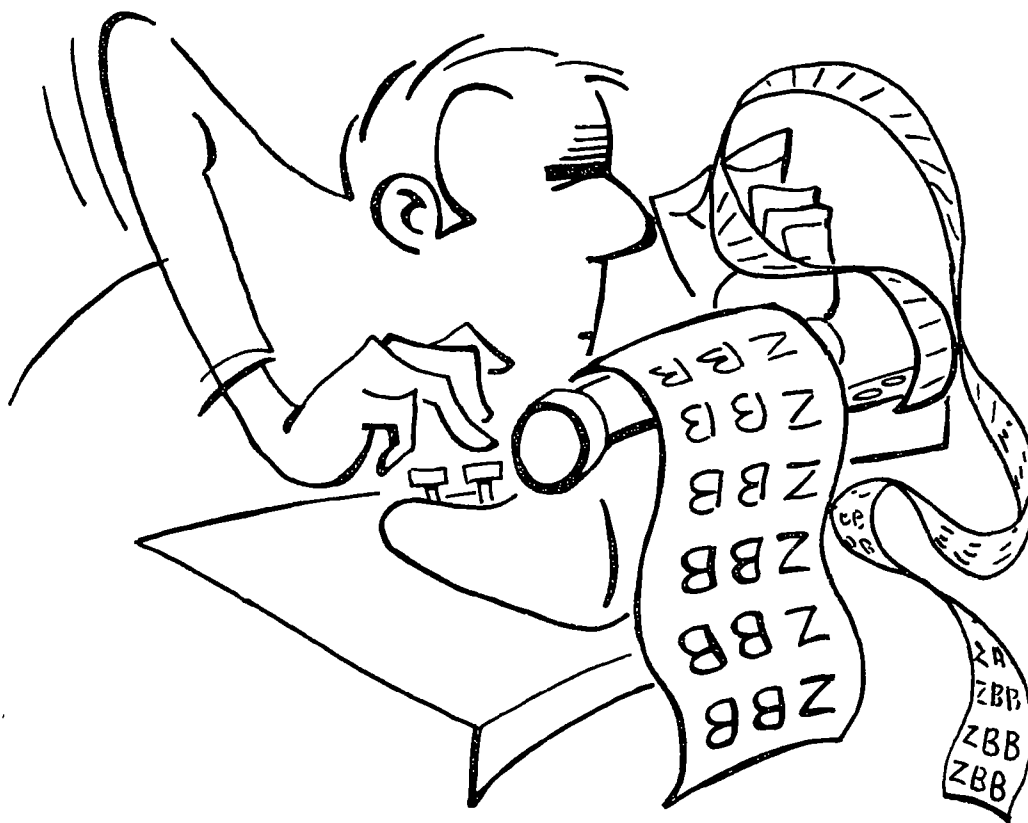
most cost-effective way to print public information materials. Whether the agency has on-site reproduction facilities (printing at cost), versus having materials printed commercially, can have a bearing on cost.

3. The availability and skill of volunteer workers make a difference in costing out public participation programs. Using volunteers can save money. Some EPA regions encourage the use of volunteers while others do not.
- C. The cost of a public participation coordinator will vary depending upon the institutional arrangements and background of the coordinator. The coordinator can be:
1. A trained employee on the state's or EPA's staff,
 2. A representative of a public interest group,
 3. A private citizen with background and experience in public participation programs,
 4. A consultant specializing in designing and/or running public participation programs,
 5. On a grant recipient's staff, or
 6. On a consulting engineer's staff.
- D. It is important for the person responsible for public involvement to have some say on the budget for carrying out that program. Preparing, defending, and authorizing expenditures in line with the approved work plan are important steps in carrying out this responsibility.
- E. Different audiences may need different displays of budget information. A state legislator, for example may have different needs than a group of interested citizens.

EVALUATION

VII. What are some questions to ask when evaluating budgets?

- A. Can all of the activities proposed in the work plan be accomplished within budget constraints?
- B. Does the budget reflect a clear set of priorities, objectives, and goals?
- C. Do the costs and time allocations for various items seem reasonable based upon past experience?
- D. Does the budget cover adequate staff time for the public participation coordinator and other professional staff people required to perform tasks or appear at public gatherings?
- E. Is the budget complete? Does it take into consideration both direct and indirect expenses?
- F. Is the budget structured like a management document so that progress in meeting the objectives of the work plan can be tracked through the budget process?
- G. Does the budget reflect a reasonable sequence of events and a realistic time schedule for accomplishing each of the items detailed in the budget?
- H. Does the budget indicate where the allotted funds are coming from? EPA grants, bonds, grant recipient, etc.?



**How to Participate in EPA Program Budget Planning and
Work with the Zero Base Budgeting System**

HOW TO PARTICIPATE IN EPA PROGRAM BUDGET PLANNING, AND
WORK WITH THE ZERO BASE BUDGETING SYSTEM

BACKGROUND AND SUMMARY

After a public participation work plan has been developed and an estimate of resource needs has been made, it is essential that these needs be fed into the EPA budget process effectively so that public participation activities will be given the resource support they require.

Participating effectively in the budget process requires an understanding of the steps involved in the annual budget cycle. It is important to determine the point in the budget process at which public participation costs should be identified as a discrete item rather than being included within larger categories of program activities. To ensure that public participation receives adequate budgetary support, the individuals generating public participation work plans must provide a compelling justification for the items included, and defend the estimates of resource requirements attached to each activity.

THE ESSENTIALS

I. How does EPA's budget process work?

A. EPA's budget process works on three fiscal years simultaneously:

1. The current year, for which the major concern is monitoring expenditures and reprogramming funds from programs that are under-budget to those that are over-budget;
2. The operating year, which is the next year after the current year; the primary activity here is agency development of resource expenditure plans that are more detailed than those contained in the budget submitted to Congress.
3. The budget year, which is two years after the current year; it is for this year that major planning and budget development is taking place.

NOTE: The next three sections provide an overview of the budget-related activities that occur in each

of these three years, beginning with the budget year -- the year in which the agency has the greatest flexibility and makes decisions on the largest scale.

- B. The Budget Year: During the budget year, the agency develops, for eventual submission to the Office of Management and Budget (OMB) and the Congress, its overall budget for the year two years away from the current year. This budget currently is developed through the Zero Base Budgeting (ZBB) system.

The essential concept of ZBB is that all resources desired by the different entities within the agency are critically evaluated and ranked in order of priority. Once desired resources have been ranked in priority order, it is possible to assign available funds starting at the top of the list and working down -- thereby ensuring that money is spent where it will do the most good. In theory, at least, ZBB eliminates the bias in favor of existing programs, and facilitates transfer of resources from older low-priority programs to newer high-priority programs. As the process is applied in EPA:

1. The first level of ZBB analysis is undertaken within "Decision Units," which consist of one or more program elements. There are approximately 140 ZBB Decision Units within EPA (for example, 16 in the air programs, 27 in the water quality programs, 4 in the noise programs).

2. Each Decision Unit analyzes what it could accomplish with different levels of funding. Generally, four "Decision Unit Levels" are considered:

Level 1	75% of current funding
Level 2	90% of current funding
Level 3	100% of current funding
Level 4	110% of current funding

3. At each of these levels, the Decision Unit identifies the outputs that can be accomplished with that level of funding. The levels are written sequentially, that is, Level 2 assumes that Level 1 has been funded, and identifies only the added cost of increasing the program up to Level 2 funding

and the additional outputs that would be accomplished with those funds. Both Headquarters and Regional personnel are involved in developing the documentation that accompanies the various Decision Unit Levels into the ZBB ranking process.

4. As the development of the budget proceeds, different Decision Unit Levels from throughout the agency are compared and then listed in order of priority. Thus, even Level 4 (10% increase over current) for a high priority program may rank higher than Level 2 (10% decrease) for a low priority program. The ranking process proceeds through five stages.
 - a. The Assistant Administrators and the Deputy Administrator rank the Decision Unit Levels for which they are responsible;
 - b. The Regional Administrators first develop their own ranking, and then meet to formulate a collective Regional ranking;
 - c. Media Task Groups look at priorities across program and regional lines, and develop a ranking according to different media such as air or water;
 - d. The rankings by the Media Task Groups are consolidated into a Draft Intermedia Ranking by the Office of Planning and Management (OPM), and distributed for review to all those who have participated in prior rankings;
 - e. The Agency Ranking Committee -- composed of Assistant Administrators and some Regional Administrators prepares the final ranking based on this draft.

The final ranking is presented to the Administrator.

5. Once the Administrator has approved the budget, the process proceeds as follows:
 - a. The budget is submitted to the Office of Management and Budget (OMB) in September.

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- b. OMB reviews and revises the budget and returns it to EPA. This "passback" may continue for a number of rounds until the budget is finalized -- usually around the end of December.
 - c. In the middle of January the President's budget is submitted to Congress. This budget submission must be recast according to the way Congress reviews the budget, and therefore is considerably different in form from the document developed for internal agency use.
- C. The Operating Year: The budget developed through the ZBB process is still too general to serve as a guide to the managers of individual programs. Thus, during the "Operating Year," the agency develops "operating plans," which spell out in detail how the dollars and work years that were allocated on a decision unit level through the ZBB process will actually be used. Operating plans are developed one year in advance of the year in which they are to be implemented.
- 1. Operating plans are usually prepared at the Deputy Assistant Administrator (DAA) and Regional Administrator (RA) levels. They are prepared for each "program element;" these are the components of the Decision Units used for ZBB purposes.
 - 2. Operating plans are based on a policy statement (the Operating Year Guidance) provided by top agency management, and on resource targets provided by OPM (based on the budget approved by Congress).
 - 3. Operating plans include "Projected Program Accomplishments" (PPA's), which are specific tasks or goals which the program commits itself to undertaking at a designated level of resource support. Operating plans also include program elements defined down to the "Object Class" level, which are specific types of costs, such as salaries, travel, and contracts.
 - 4. Operating plans are assembled and analyzed by OPM, approved by the Administrator and forwarded to OMB for review.

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- D. The Current Year: During the Current Year, the agency implements the operating plan developed the year before. Through the Program Accountability System (PAS), the performance of each program element is monitored and compared with the operating plan. Adjustments are made in operating plans, when necessary, to account for new circumstances or changes in the availability of funds. Where necessary, resources can be reprogrammed from one program activity to another, and from one object class to another.

II. How should consideration of public participation resource needs fit into the agency's budget process?

- A. Where and when should public participation costs show up in the budget?
1. The Policy on Public Participation reflects the belief that public participation activities should be integrated into other substantive activities within each program or project, rather than be separated into a distinct program element. This approach, combined with the fact that the resource allocation decisions made in the budget year through the ZBB process are of a fairly general nature, indicates that public participation resource needs should not be considered as a discrete item in formulating decision unit levels or identifying the outputs associated with each level. Public participation activities should, at this point, be subsumed within the larger categories of program activities they are designed to support.
 2. Resource needs for public participation should, however, be directly identified during the development of operating plans during the operating year planning process (one year prior to "current year" implementation). Public participation should at this point be included in the operating plan as a Projected Program Accomplishment (PPA), and the resources to support public participation

should be included in the resource allocations. Inclusion as such represents a binding commitment of resources which are difficult to change during current year implementation except through formal procedures for amending the operating plan or congressional reductions of the agency's funding level.

B. Who is responsible for public participation budgeting?

1. Under EPA budgeting procedures, DAA's and RA's are responsible for developing operating plans; under the Policy on Public Participation, AA's and RA's have the responsibility for ensuring that the public participation work plans on which resource estimates are based, are developed. Program level managers must play a large role in developing these documents. Anyone with direct public participation responsibility in a program must therefore become active in the development of the operating plan to be sure that the resource needs, identified through the public participation work plan, are transferred into the program's operating plan.

OTHER THINGS TO CONSIDER

C. What are the keys to participating effectively in the budget process?

1. Relate public participation activities to program goals, and to regulatory and legislative mandates. Be able to explain the need for public participation and how it will help advance the interests of the program.
2. Be prepared to justify the cost estimates attached to different public participation activities.
3. Develop good working relationships with resource managers; involve them in developing public participation budget needs and in estimating the cost of specific public participation activities.

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4. Become familiar with the budget process; learn the terms and concepts that resource planners use. The information presented here represents the most basic introduction; for more information, see the Planning and Budgeting Manual prepared by the EPA Office of Planning and Management.



How to Scope a "Community," Identify Potential Participants, and
Build and Use Contact Lists

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HOW TO SCOPE A "COMMUNITY", IDENTIFY POTENTIAL PARTICIPANTS, AND BUILD AND USE CONTACT LISTS

THE POLICY

Under the broad category of "Identification," the Policy calls for the development of a "contact" or mailing list. The list should contain the names of groups or individuals interested in or affected by a forthcoming action. Each project or program should have a contact list. It should be updated frequently. The Policy encourages sub-dividing the list by category of interest or geographic area.

The contact list is used to send announcements of participation opportunities, notices of meetings, hearings, field trips and other events, and notices of available reports and documents to the public. In addition, it is used to identify members of the public who may be considered for advisory group membership and other activities.

A variety of approaches should be used to collect names for the list.

BACKGROUND AND SUMMARY

A contact list is an important communications tool which allows an agency or organization to reach broad or targeted audiences with its messages. The better the contact list, the better the public outreach and delivery of information. A well-developed mailing list will reach a group of potentially active participants -- people who want to be involved in an agency program or plan, and/or a group that wishes to be involved by staying informed. The process of developing a contact list begins early in the public participation process. A citizen advisory group can help plan the approach used to develop the list. The process is one of analyzing or scoping a community, region, state or the nation, seeking potential participants or people who may be impacted by a project, and hence have a potential interest in it. The end product of the investigation is a contact list.

"Scoping" refers to the process of learning about existing "community" structures and how they work. Successful scoping can yield a working knowledge of existing organizations and groups, how they interact, their biases, and information on regularly scheduled events and publications. This information enables projects to capitalize on existing communication conduits, and to better target public participation programs. In small

communities, this process need not be elaborate. Learning about existing mailing lists, and collecting the names of some key civic and opinion leaders may suffice. A larger geographic area will require a more extensive effort. The utility of direct mail usually increases with the geographic size and population of the area or jurisdiction involved.

Great care must go into developing a contact list which includes active participants, appointed and elected officials, identifiable interest groups, key citizens and decision makers and potential participants. By anticipating potential participants, and keeping them informed throughout planning an agency will have prepared well for the final months of a program when interest and participation is heightened.

A contact list starts to become obsolete the day it is compiled. A static list soon becomes a dead list. They must be maintained regularly to remain effective. Establishing and maintaining a mailing list is time consuming and expensive, but necessary and cost effective.

Staff must be selective when adding names to a list to keep its size manageable, and to hold down postage costs. The list should be divided into identifiable sub-units or categories which will allow the agency to target messages to specific audiences, if desired.

I. What are some techniques for scoping a "community" (local-nationwide) and identifying names to be placed on an initial contact list?

- A. Many projects begin with an initial interviewing stage, where information is collected from officials and interested citizens. The names of people interviewed, as well as other names these people recommend, should be placed on the contact list.

This step is important in developing effective public participation programs. It demonstrates the agency's genuine interest in having active public involvement, and in accepting responsibility for pursuing participation.

- B. Interviews and discussions which occur during the development of advisory groups should yield additional names and addresses. Also, since the policy requires public notification prior to forming advisory groups, the people who respond to these notices should be placed on the mailing list.

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- C. Seek out existing lists. Other EPA and federal programs, as well as state and local programs, may have developed mailing lists which can be used in whole or in part. Sometimes, lists are exchanged or traded among agencies. Prepared lists should be carefully scrutinized, however, to make sure they are applicable.

Borrowed lists may be out of date. Verify some of the names and addresses on the list to test its current validity.

- D. Organizations with a potential interest in an agency program or action may have mailing lists of members important to the agency. Each agency or program with a mission must consider different types of groups. Representative groups include:

1. Outdoor recreation organizations like hiking associations, beach buggy associations, rod and gun clubs, cross country skiing groups, sports fisheries associations, snow mobile associations, and recreational boaters and sailors.
2. Commerce and business groups like manufacturer associations, associated industries, Chambers of Commerce, and the Jaycees.
3. Labor leaders and unions.
4. Environmental leaders and groups.
5. State and district farmers associations, including the Farm Bureau, Dairyman's Cooperatives, Conservation Districts, and Water Districts.
6. Health organizations like the American Lung Association.
7. University extension and county agricultural extension agents.
8. College and university student groups and clubs, including campus environmental groups.
9. Special interest groups like the American Automobile Association (AAA).
10. Public interest groups like Public Interest Research Groups (PIRG) and Common Cause.

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- E. Many civic and social organizations, such as the League of Women Voters or the Chamber of Commerce, have their own newsletters. For applicable groups consider requesting a copy of the group's newsletter mailing list.

Some groups protect their mailing lists, and will not release them to other groups. In those cases, request a story in the newsletter that describes the project and invites people to send in their names and addresses if they want to receive publications and notices.

- F. Specialized directories of organizations and businesses can provide additional names and addresses of potential participants. Examples include state directories of manufacturers, environmental groups, and chemical society members.

The business and reference section of libraries is a good starting point for reviewing various directories.

- G. Any individual who attends a public meeting of the agency, or one with a related mission, or calls or writes to the agency seeking information, should be added to the mailing list. Careful attention to the affiliations of various individuals or groups attending meetings or corresponding with the agency can yield entire categories of people to be added to the list.

- H. Local newspaper stories often contain substantial information of use to public participation specialists, including the names of people with a potential interest in the agency.

- I. The names of local reporters and editors, and appropriate newsletter editors, should be added to the mailing list. If time permits, interview reporters and editors with knowledge of an area or subject. Placing their names on the mailing list is one way of assuring that these "gate keepers" have direct access to information about a program.

- J. Elected and appointed officials with a potential interest (substantive or political interest) should be placed on the list.

- K. Consider placing the names of local educators, primary, secondary, high school, and college and university, on the list. Aside from their personal interest, these people can use project information

to develop classroom learning packages and programs, and turn their students onto the project and underlying issues. Often, children will communicate information and ideas on class projects and current events to their parents, thus affecting a secondary communication.

L. Secondary or miscellaneous sources of names for mailing lists include:

1. State revenue departments maintain lists of non-profit organizations in the state.
2. For states, the Secretary of State or offices of the legislative leadership maintain lists of legal lobbyists. In Washington, lobbyists register with the Senate Office of Public Records and the House Office of Records and Registration.
3. Local, regional, and state League of Women Voters environmental and land use chairpeople may have lists of potential participants. The national League maintains other lists.
4. University scientists, senior administrators, and technical experts (such as soil scientists, hydrologists, and law and political science faculty who specialize in land use and environmental law) might be placed on mailing lists. They may recommend the names of others who should be added to the list.
5. The public affairs or environmental control directors of major industries might be consulted for additional names and addresses.
6. Local neighborhood associations -- formal and informal -- may prove helpful.
7. Churches and church organizations.
8. Telephone directories, especially the yellow pages, provide lists of associations. Zip code directories may be useful when trying to reach one small part of a city or state.
9. Multi-service centers, community development corporations, community centers, and health centers might prove helpful in attempts to reach senior citizens and neighborhood or block associations.

II. What are the steps to follow when developing contact lists?

- A. The first step in the "planning" stage of preparing a contact list is to prepare a list of categories of people or groups to be reached. The categories should parallel the target publics identified in the work plan. As names are collected (see Section I) check off the appropriate category.
- B. Compare and analyze the mailing lists collected to remove duplications and reduce the total number of names. This is the "cleaning" stage. Depending on the size of the project, this step may be time consuming and costly.
- C. Consider mailing the first issue of a newsletter, public notice or other publication to all the names on the cleaned contact list, and include a pre-addressed post card to be sent back if they want their names to remain on the project list.
- D. If using a manual system, key or code the contact list for each target public category. The entire list can be used for a mass mailing, or part of the mailing list for a targeted mailing. If using a computer system code names by category to meet the same goal. Do not break up alphabetized lists until they are "cleaned".
 - 1. Establish a mailing list so that individual target publics can be reached from the beginning, and save time and effort later.
 - 2. The difficulty in preparing segmented lists concerns what to do with the names of people who have more than one affiliation and should have their names appear under several categories. This is not a problem for computer-based system. For manual systems such as a paper label copying system, consider maintaining a master list containing the names of all those on the mailing list. This list is used for mass mailings. In addition, separate lists are maintained by category for targeted mailings.

III. How are mailing lists maintained and improved?

- A. Expand contact lists as planning proceeds. Use mailing lists forms or return cards in publications, on displays, and have them available at conferences, meetings, and in public buildings.
- B. Make address corrections and changes promptly.
- C. Design a system for expeditiously adding new names and deleting obsolete ones.
- D. Consider sending several pieces of mail as a control to friends in the target area to learn how long mail delivery actually takes. This step helps ensure adequate lead time for mailings, and minimizes complaints about late delivery from citizens.
- E. Provide opportunities for people to remove their names from the mailing list. U.S. government agencies are required by law to send a pre-addressed return card once a year to all recipients, with a deadline for reply if they want to remain on the list. The recipient must add his/her own postage stamp to the return card. Other organizations may consider this method to "clean" their lists annually. Consider using a simple demographic questionnaire on return cards to aid in categorizing the list.
- F. There are many ways to manage mailing lists, ranging from simple typed label master systems, to the use of plastic or metal cards that imprint names and addresses onto labels, to computer based systems that produce printed labels.
 - 1. Smaller lists are easily and inexpensively maintained on photocopy label masters, arranged by community, zip code, or last name, and/or interest group. When labels are needed, photocopies of the label master are made on adhesive backed photocopy paper. The labels are peeled from the photocopy and placed on envelopes.
 - 2. For lists larger than one or two thousand names, it may prove cost effective in time and money to use an automated mailing system. Some automated systems are mechanical, while others are computer based. Mechanical systems rely upon plastic or metal cards that contain names and addresses, not unlike gasoline

credit cards, that are used to print labels quickly and efficiently. In computer based systems, names and addresses are coded into a computer. The computer prints names and addresses on adhesive labels or directly on to envelopes, when the information is retrieved. Computer systems offer the most flexibility in assigning various user or interest codes to names when they are placed in the computer; this allows for producing highly targeted mailing lists.

3. Managing mailing lists can prove expensive -- typing and clerical time for systems that rely upon a photocopy system, card making for mechanical systems, and computer inputting for computer based systems.
 - A. Copier systems have the least expensive start up costs, yet rely upon much clerical or secretarial labor for maintenance. Most offices have copying machines that can make copies on blank label sheets. In small communities, a copying machine is often available at a regional library or local printing business. Someone must place labels on envelopes.
 - B. Mechanical systems require the production of cards, someone to insert and delete cards, and people to place labels on envelopes. State and federal government surplus agencies are a good source for obtaining older metal plate mailing systems.
 - C. Computer systems, including word processors, require someone to input and remove names in the computer, someone to recall the names, and people to place labels on envelopes. Many government agencies have computer capabilities that can be used for mailing list purposes. If not, other government agencies, local universities, technical high schools, and some correctional institutions have computer facilities and personnel that government agencies may use at a low cost to program and retrieve mailing list information.

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4. In larger metropolitan areas, private mailing services represent an option for managing a mailing list and mailings within the office of a government agency or consultant. Listed in the Yellow Pages under "Letter Shop Services," these private companies offer the services of labeling, mailing list maintenance, inserting, sealing, zip coding, metering, and the preparation of computer generated letters. When including the cost of personnel and overhead in all the stages of mailing -- mailing list development, management, and the costs of tasks like stuffing and labeling -- mailing services may prove less expensive than doing the task within a government office. Compare the costs of performing these services in and out of the office before making a decision. Also, if the office does not have access to a computer to store and manage a large mailing list, acquiring this service through a mailing company may prove less expensive than purchasing computer time.

IV. How does EPA headquarters develop mailing lists?

- A. The EPA Office of Public Awareness maintains a national mailing list of over 70,000 names. The list has 14 main subdivisions, and numerous classifications within subdivisions.
 1. The 14 broad categories include agriculture, business/industry, consumer, environment, labor, minority organization, public/special interest group, urban, women, youth, education, private citizen, foreign, and media (see sample mailing list form).
 2. The agency uses several approaches to garner names for the master list, including buying names from private companies, logging the names of individuals and organizations calling the agency, and tracking organizations and individual constituencies in specialized areas.
 3. Individuals or groups wanting to place their names on the EPA list complete a form (see copy). The form details the information necessary for computer coding an individual or group by category. Note the numerous breakdowns in (2) "Areas of Work".

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4. When a publication must be sent out, OPA selects a specific target audience to receive it. Budget conditions at the time will determine how many categories/groups within the target audience can be reached. The appropriate mailing labels are prepared at EPA's computer facility in Denver.

- B. In addition to the OPA list, each office in EPA Headquarters maintains a list of its own.

OTHER THINGS TO CONSIDER

- V. What are the cost options, size limitations, and other requirements established by the U.S. Postal Service?

NOTE: While prices will change over time, the proportional cost of each mailing service will probably remain the same. The prices quoted here were applicable in January 1981.

- A. Mail Permit: Rather than stamp or meter each piece, a mail permit allows an agency/grant recipient to print a permit number on each piece.
 1. When used with bulk mail, Postal Service regulations require at least 200 identical pieces (size, weight, shape, and content), to be bound by zip codes, and placed in postal sacks provided by the post office.
 2. Approximately four days before the mailing, funds must be deposited to cover postage. The four days allows the Postal Service to enter the deposit on their computer. The cost of bulk mailing is 8.4 cents for up to 3.75 ounces, or 41 cents a pound for amounts above 3.75 ounces.
 3. For bound printed materials of 24 pages or more, the postal service has a "catalog rate." The catalog rate is 8.4 cents an ounce for up to 3.75 ounces, and 36 cents a pound for weights above 3.75 ounces.
 4. The cost of a mail permit is \$40.00 a year. There is a one time fee of \$30.00 charged for opening a mail permit account.

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- B. Business Reply Mail Postage: This service allows a permit holder to provide postage paid return cards and envelopes. The service is only available for first class mail.
1. The service has two price options. If the carrier is paid at the time of delivery, the cost of the service is 12 cents a piece plus the normal 15 cents for letters and 10 cents for post cards (for a total of 27 cents for letters and 22 cents for cards).
 2. Alternately, for a fee of \$75.00, the Postal Service allows clients to use an advance deposit trust fund. The cost per returned item is 3.5 cents plus the cost of first class postage (\$.10 or \$.15). The post office draws funds from the trust fund to cover postage; the carrier does not collect at the time of deliver. An agency must receive at least 900 pieces of return mail a year to offset the cost of the \$75.00 trust fund fee.
 3. The Postal Service charges \$30.00 a calendar year (January to January) for the use of the business reply service. Even if the service is purchased in November or December, the charge is \$30.00, and the agency will have to buy another permit on January 1.
- C. Each service type forces trade-offs regarding preparation and delivery time, cost, and returnability. Also, many other services exist, such as, first, second and third class regular, special third, and non-profit second. For additional information, see the postal service manual.
- D. The Postal Service has established size limitations on mail.
1. The Postal Service will not accept mail smaller than 3.5" x 5".
 2. 4.25" x 6" is the maximum size for postcards charged the post card rate. Anything larger costs the same as a first class letter.

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3. Mail larger than 6.125" x 11.5" will be charged a surcharge of 7 cents per piece for first class mail of an ounce or less, and third class mail of two ounces or less. The size limitation does not apply to bulk mail.

EVALUATION

- V. What are some questions to ask when evaluating contact lists?
- A. Is the contact list comprehensive, encompassing all of the key categories or target publics?
 - B. Is the contact list updated and cleaned annually?
 - C. Has a system been devised for adding and subtracting names easily and efficiently?
 - D. Has the list been broken down by zip codes if bulk mailing is anticipated?
 - E. Have adequate funds been allocated in the budget to cover the costs of maintaining the list and the cost of postage?

NOTE: The following is a copy of the EPA form used to add names to its mailing list. Note the categories EPA uses to prepare targeted contact lists.



Official Business
Penalty for Private Use
\$300

Postage and Fees
Environmental Pro.
EPA 335

Agent



United States
Environmental Protection
Agency

Office of
Public Awareness (A-107)
Washington, D.C. 20460

First Class

Your quick return of this form will insure that you continue receiving our materials.

To return this form, simply reverse the fold so that the return address faces the outside, staple or tape it closed, and drop it in the mail.

Thank you!

United States
Environmental Protection
Agency

Official Business
Penalty for Private Use
\$300



No Postage
Necessary
if Mailed
in the
United States

BUSINESS REPLY MAIL

First-Class Permit No. 11663 Washington DC

Postage and Fees Paid Environmental Protection Agency

**General Services
Administration (8BRC)
Centralized Mailing Lists Services
Bldg. 41, Denver Federal Center
Denver CO 80225**

Please Seal Before Returning

Invitation

In a continuing effort to promote greater public awareness and understanding of EPA's programs for protecting the public health and the environment, the Office of Public Awareness invites you to be placed on its mailing list.

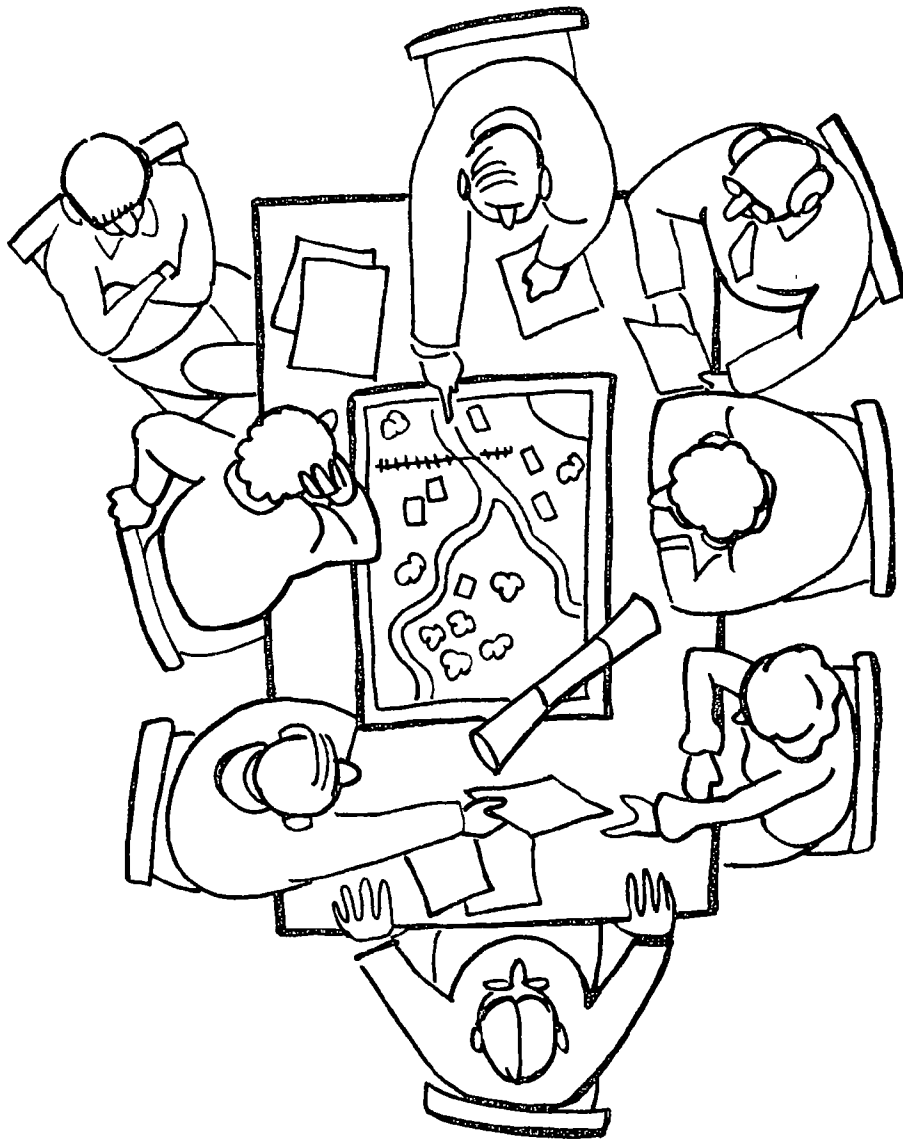
As you may know, EPA is charged by Congress to protect the Nation's land, air, and water systems. Under a mandate of national environmental laws focused on air and water quality, solid waste management and the control of toxic substances, pesticides, noise, and radiation, the Agency strives to formulate and implement actions which lead to a compatible balance between human activities and the ability of natural systems to support and nurture life.

You will be receiving general publications about the EPA programs in which you indicate an interest. If you want to receive technical information about a specific program, (i.e., air, noise, solid waste, toxic substances, pesticides, or water) please write directly to the technical program office, c/o EPA, Washington, DC 20460 and ask to be placed on their mailing list. A separate media list used for the mailing of news releases is maintained by the Office of Press Services.

RSVP Today

In the future, if you would like to report a change of address or want to be removed from our list, it is important that you send us copy of your mailing label along with your request.

Consultatio 1: Dialogue and Assimilatio 1



How to Successfully Work with and Manage Citizen Advisory Groups

HOW TO SUCCESSFULLY WORK WITH AND MANAGE CITIZEN ADVISORY GROUPS

THE POLICY

Under the category of "Dialogue," the Policy identifies advisory groups as effective mechanisms to gain continuing advice from a representative group of citizens, officials, and special interests.

The primary function of an advisory group is to provide elected and appointed officials with information and recommendations on project/program issues. Recommendations may address policy development, project scope and alternatives, financial assistance applications, work plans, major contracts, interagency agreements, and budget submissions, among others. Advisory groups provide a forum for addressing issues, promoting constructive dialogue among the various interests represented in the group, and enhancing community understanding of the agency's actions.

For EPA headquarters and regional advisory groups, the provisions of the federal Advisory Committee Act (P.L. 92-463) and General Service Administration (GSA) regulations on Federal Advisory Committee Management apply. These federal provisions do not apply to state, sub-state, and local advisory committees; however, the Policy details special advisory group requirements for assisted agencies. For EPA programs carried out by state, sub-state, and local agencies, the following provisions apply.

Membership on advisory groups must consist of substantially equivalent proportions of the following four groups:

1. Private citizens who will incur no financial gain or loss greater than the average homeowner, tax payer, or consumer, as a result of action of the assisted agency.
2. Citizens or representatives of organizations with substantial economic interest in the plan or program.
3. Elected and appointed federal, state, local, and tribal officials.
4. Representatives of public interest groups with non-economic interests in the action.

EPA or delegated states must approve the composition of advisory groups. Where a project has a geographic focus, the advisory group members should come from that area. Advisory groups must have professional and clerical staff assistance, and an operating budget to cover expenses.

The minutes of all meetings, and advisory group recommendations, including minority reports, are public information and must be made available to the public and to affected or interested government agencies.

BACKGROUND AND SUMMARY

Advisory groups are established to provide an outside perspective on agency projects and programs. Advisory group members perform the valuable role of serving as long-term participants in a planning project. Members will continue to learn as the project proceeds, make a commitment to the planning process, and serve as a good sounding board for new ideas. Members will provide input and response to agency recommendations, and may develop recommendations of their own. Advisory group members may adopt some of the goals of the project and communicate them to others.

Successful citizen advisory groups consist of a balanced mix of identifiable groups which have an interest in a project. In general, it is best to tailor-make advisory groups for each project. However, in small communities, existing committees that meet EPA's balance requirements should be considered. Working with existing groups, such as a local environmental advisory committee can avoid duplication, increase credibility, and build upon existing community outreach networks.

Advisory group members must understand and accept their role and responsibilities; advisory group members advise, but do not have decision-making authority. They should be well trained in the subject area and study methodology at the beginning of the process, and be kept well informed throughout planning. Advisory group members should develop and embrace reachable goals and have specific identifiable tasks to perform. Their opinions must be received with an open mind. Advisory groups need staff support in order to be effective. The basic principles in this chapter apply to small and large committees, and to any setting -- community, state, region, or the nation.

THE ESSENTIALS

- I. What are some of the functions of citizen advisory groups?

Note: Advisory groups will perform some, but not necessarily all of the following functions.

- ✓ A. Ensure public REPRESENTATION in EPA programs.

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1. Provide a community/state/regional/national perspective on EPA projects and programs; express "community" values or needs.
 - ✓ 2. Serve as a link between the community and the agency, ensuring more responsive and responsible government.
 - ✓ 3. Represent particular points of view or special interests.
 - ✓ 4. Provide an opportunity for regular and ongoing participation by interested publics.
 - ✓ 5. Serve as a forum for the discussion of issues relevant to citizens living in the community, state, region, or nation.

✓ B. ASSIST and ADVISE.

- ✓ 1. Provide response to agency recommendations; serve as a sounding board for new ideas.
2. Provide new ideas, recommendations, or potential sources of information.
- ✓ 3. Assist in the development of public participation and public affairs programs within the community, state, region, or nation.
4. Assist in resolving controversial projects and evaluating complicated issues.
- ✓ 5. Perform technical reviews, and make recommendations on technical data and analysis.
6. Assist in priority setting in annual work plans.
7. Help set site-specific or issue-specific planning priorities.
- ✓ 8. Help plan, host, and participate in public meetings with citizen/special interest organizations or federal, state, or local agencies.
9. Help the staff reach opinion leaders.
10. Explain plans and policies to others (local, state, or other government officials, organized groups, and citizens), and advise EPA or the grant recipient of their reactions and comments.

C. REVIEW and MONITOR.

1. Monitor progress and plan implementation.
2. Provide a broader-based review of plans and programs than could be accomplished by agency personnel.
3. Review and comment upon all written material designed for use by the general public.

D. Promote public EDUCATION.

1. Act as a source or channel of information or communication for those individuals and groups wanting information or participation.
2. Assist in taking issues to the public, where appropriate.
3. Help educate the public about agency programs and planning.
4. Devise parts of action or awareness plans, such as workshops and field trips.

II. What are some of the principles governing the use and effective management of citizen advisory groups?

- A. Advisory group members must understand and accept their role -- they are advisors, but do not have decision-making authority. Members should accept the limits of their responsibilities or not become a member of an advisory group. Misunderstandings on this central issue can cost the group valuable time and credibility.
- B. In order to prevent mis-communication and mis-representation, clearly define the roles and responsibilities of group members in advance of the first meeting. The more specific the agency is in defining, stating, and limiting the scope of activities of group members, the better the group will work to meet the needs and objectives of the program.
- C. Defining needs and objectives is not easy; it takes time and careful analysis on the part of the agency. However, this planning step can help to establish an agenda and method of working with the advisory group for its term of operation.

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- D. The needs and objectives of the members of the advisory group may vary from those of EPA or the grant recipient. In planning for the group, anticipate their needs. Why have they joined the group? What is their agenda? The advisory group represents both government and the governed. Both sides must have some of their objectives met if the advisory group process is to be successful.
 - E. The easiest way to ascertain the needs and desires of the group members is to ask them. Either in one-to-one meetings, or at the first meeting of the group, have the members identify their objectives and some of the substantive program areas in which they would like to participate.
 - F. Out of this process, the group members should develop and embrace reachable goals and have specific identifiable tasks to perform.
 - G. The more specifically work tasks are defined, the better group members will be able to embrace and understand their roles, the more satisfied they will be as committee members, and the more assistance they will provide to the agency or grant recipient.
 - H. Advisory group members must be well trained at the beginning of the process, and be kept well informed throughout their term on the committee. Training topics should include substantive background information, planning methodologies, technological or planning alternatives, and information on the role and responsibility of the advisory group.
 - I. Unlike other publics of EPA or grantee projects, the advisory group members represent long term participants. The more they learn over time, the more effective they will be as sounding boards for new ideas, reviewers of policies and programs, initiators of recommendations, and pulse takers of the community at large. They will develop "institutional" memories, or a sense of the history of past actions and decisions. Other participants, such as attendees at public meetings, change over time. Individuals have different levels of knowledge and understanding, and often need catch-up time to understand the context for current recommendations. This is not true for advisory groups members.
 - J. Advisory groups need staff support to be effective. The policy calls for staff support, and each public participation work plan should specify financial and staff support. The successful operation of the

committee may require a large investment of time. Specialists from EPA, the state, or local grantee, may be called upon to brief the committee, answer their questions at crucial points, or train group members. Program managers must allocate a portion of various staff specialists' time to the advisory group process. In addition, advisory groups need someone to arrange meeting locations, prepare minutes, handle mailings, and perform other logistical and support tasks.

- K. The more substantive work advisory group members perform, the more likely they will be to adopt some parts of the project as their own. The greater the investment in time and energy, the more likely they will be to defend the products of their labor. The group members need the reinforcement of knowing how and when their input is being used.
- L. For new advisory groups, it often takes time for advisory group members to feel comfortable with one another and with the project manager and staff. For groups that meet monthly, it often takes a meeting or two before the group is able to focus on substance. Members need to clarify their roles, meet other members, and establish the limits of their individual and collective power and responsibility.
 - 1. Rather than fight or short circuit this process, recognize it as a part of the social dynamics of forming a new advisory group.
 - 2. Build upon the process, and work with the group to establish goals, identify upcoming work, or begin the education or training program. Maintain flexibility and respond to committee needs.
- M. Advisory group members rarely reflect the demographics of the "community at-large." Members are generally better educated, more vocal, and more political than other citizens. This does not mean that advisory groups are not helpful -- on the contrary, it is because of these attributes that the members work well as community interest representatives.
- N. Give members a sense of accomplishment, success, and reinforcement. For example, summarize progress made at the end of each meeting, explain upcoming committee work and show members how their efforts have contributed to the project.

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- O. Follow through on all commitments made to the group. Staff members must not make commitments which cannot be met or that they do not have the authority to implement.

III. What is an appropriate size?

- A. A small group may work together more easily, but a large group may be more representative. An advisory group should be large enough to represent major points of view but small enough to be a forum for discussion and work.
- B. If the advisory group has more than 15-20 members, an executive or steering committee may be necessary for day-to-day contact with the agency. Also, consider dividing the group into smaller work committees consisting of five to seven members to complete work assignments. Seven plus-or-minus two is generally considered the best range for group interaction and discussion. Working as a member of a smaller group often feels more satisfying than working as a member of a larger group.

IV. What steps should be followed in forming an advisory group?

- A. Establish logical or common sense categories for membership on the advisory committee.
- B. Identify public interest groups, economic interests, and public officials who are interested in or affected by the assisted activity.
- C. Inform citizens of the activity, using newspaper announcements and other media, mailing written announcements to interested persons, contacting organizations and individuals directly, and requesting organizations to contact their members.
- D. Consider contacting potential advisory group candidates to see if they are willing to join the advisory group and recommend other potential participants.
- E. Clearly explain to each potential member the function and responsibility of the advisory group.
- F. In some cases, especially in small communities, an existing or modified existing committee may be used if the balance criteria are met.

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- V. Must committee recommendations be used in the final plan?
- A. Relevant committee recommendations should be included in the plan.
 - B. Group recommendations and suggestions should appear in a responsiveness summary, and allow for noting where the advisory group had a major influence on the direction and details of the plan.
 - C. All recommendations, including those that seem unwise or unrelated to the project, should be responded to and treated with respect. Provide a detailed explanation when suggestions are not adopted.
 - D. Responses to committee recommendations should be specific and prompt.
 - E. Maintain a constant two-way flow of information and ideas, and avoid surprises at the end of a project.

OTHER THINGS TO CONSIDER

- VI. What personal characteristics should advisory group members have?
- A. Interest in the project and a willingness to work for the length of the project.
 - B. Ability to work in a group; ability to work with persons of opposing viewpoints.
 - C. Identify with -- and representative of -- community/state/national interests.
 - D. Technical expertise in some members.
- VII. What written rules or agreements should be established with the advisory group?
- A. Written rules or bylaws should define committee responsibilities and functions, and agency responsibilities and commitments to the advisory group. The committee may adopt its own rules. Keep rules simple.

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- B. The rules should establish procedures on issues such as voting, the role of observers at advisory group meetings, attendance requirements, the function and role of subcommittees and the use of parliamentary procedures.
 - C. Rules should establish when written materials will be made available to committee members, how long advisory group members have to review this material, and how comments will be treated by the agency.
- VIII. What are the important considerations in managing advisory group on the state/national level?
- A. State/national level groups should meet in various locations around the state/nation.
 - B. Issues of statewide/nationwide concern must be clearly identified.
 - C. Statewide/nationwide groups have the difficult task of finding ways of maintaining interest over time, and of making issues relevant to a local, state, sub-state, and national perspective.
 - D. Coordinate activities of advisory groups working on related programs.
- IX. What are some helpful hints for making individual citizen advisory group meetings more successful?
- A. Meetings should be planned and scheduled with the committee. Committee members should help set the agenda.
 - B. Meeting agendas should be realistic and planned to accomplish goals within the time constraints of a single meeting. Committee members feel frustrated if they can not accomplish the work presented to them. Often only one major topic, or selected aspects of a major topic, can be handled in one meeting.
 - C. The topic must be important, and be perceived as important, by advisory group members.
 - D. The topic or theme of the meeting must be appropriate to the planning phase of the project currently underway.

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- E. The format for the advisory group meeting should maximize participant discussion, be as simple as possible, and support the goals of the meeting.
 - F. If presentations are to be made, speakers should be knowledgeable, credible, personable, and responsive.
 - G. Arrangements should be made by the agency's staff for such things as note taking, preparation of minutes, preparation of follow-up reports, and for providing refreshments, if appropriate.
 - H. Only schedule advisory group meetings if they are needed. Do not waste the time of group members. If a plan or study is entering a data collection phase, for example, and there is no need for an advisory group meeting, explain the situation to the group, and let them decide whether or not to meet.
 - I. When long intervals occur between meetings (e.g., 2 months), some type of written report or up-date should be sent to group members. This helps to maintain open lines of communication and interest in the project.
 - J. Where possible, encourage the group to operate by consensus rather than voting. Understanding the various points of view is important to the agency; forcing the group to vote is not. Vote taking can sometimes polarize the group members, and force them into hard positions.
 - K. Encourage the advisory committee to have a strong chairperson. The committee might need a temporary or "floating" chairperson for a limited time period; once members get to know one another, the committee can elect a permanent chairperson.
- X. Working with an advisory group is a human interaction. Therefore, simple considerations can make a large difference. What are some of the little things that make a difference?
- A. Early and frequent evidence that input is important.
 - B. Recognize and respect the style and personal preferences of members.
 - C. Produce easy to read, timely, and understandable briefing material.

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- D. Good preparation, such as giving effective and interesting presentations, choosing sites for meetings based upon the transportation and other needs of committee members, and getting materials to members early so they have time to digest information prior to meetings.
 - E. Promptness of staff.
 - F. Avoid or clear up immediately, any misunderstandings among advisory group members, or between the advisory group and the staff.
 - G. Take steps to assure good attendance, such as telephoning members in advance of the meeting.
 - H. Ensure that individual members receive something from their membership, such as knowledge, status, and prestige.
 - I. Reinforcement for advisory group activities through the news media and the newsletters of organizations with an interest in EPA activities. Inform interested publics of the group's work.

EVALUATION

- XI. What are some questions to ask when evaluating and determining the success of citizen advisory groups?
 - A. Does the composition of the group comply with the balance requirements of the Policy?
 - B. Has the group's representation remained balanced over time? Is the group properly balanced for the tasks being performed?
 - C. Were national, state, or community leaders involved in recommending members for the advisory group?
 - D. Is the group representative of the interested and affected community? Are some groups obviously omitted or over-represented? Does the group membership suggest that a fair cross-section of the community exists? Was the public given an opportunity to comment on the group's composition?
 - E. Has the group been well briefed and educated on the key issues in the project/program? Has a formal training program been designed? Are there areas for improvement?

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- F. Have members found the information provided understandable, adequate, and timely? Do they have enough technical information? Are they overwhelmed by unnecessary detail?
 - G. Are the committee meetings interesting, goal oriented, and well attended by advisory group members?
 - H. What issues are submitted to the advisory group, and how are they sent? How has the committee's advice been used? Is the group informed when its advice is used? Not used?
 - I. Has the project manager identified the important decisions, and sought the advice of the group on them?
 - J. Is the group providing information and recommendations of substantive value? Is this advice being applied in policy formation, decision-making, program planning, and program implementation? Does the agency respond in depth to advisory group recommendations?
 - K. Does the advisory group work effectively and efficiently? Are conflicts and differences in points-of-view among group members or between the advisory committee and the agency constructive?
 - L. Do agency staff members provide adequate support? Is the staff used well by the advisory group? Is the staff/group relationship satisfactory to the agency? To the advisory group?
 - M. Do advisory group reports exhibit independent thought and analysis? Are they merely "rubber stamps" for EPA or the grant recipient?
 - N. Do members of the advisory group have a major role in planning and implementing the public participation program, and in presenting the program to the public? Should they?
 - O. Are special interests and other interested publics aware of the work of the group? Do members of the advisory group carry back to the groups they represent information about the program?
 - P. If the group serves more than one EPA program, does it serve them with equal effectiveness and commitment?



How to Organize and Run Effective Public Meetings and Field Trips

HOW TO ORGANIZE AND RUN EFFECTIVE PUBLIC MEETINGS AND FIELD TRIPS

THE POLICY

The Policy addresses public meetings under the general category of "Dialogue." The goal in any form of dialogue, such as meetings, hearings, and workshops, is to encourage an exchange of views, and open exploration of issues, alternatives, and consequences.

Public meetings must be preceded by the timely distribution of information, and occur sufficiently in advance of decision-making to make certain that the public's options are considered, and to permit response to public views prior to agency actions.

Meetings should be held at times and places which encourage attendance and participation. Whenever possible, they should be held during non-work hours, such as evenings and weekends, and at locations accessible by public transportation.

BACKGROUND AND SUMMARY

Public meetings are agency-sponsored gatherings, open to the general public, and held to inform or involve the public in planning and decision-making. They allow for two-way communication, and generate interest and participation in a project. They should be used selectively, integrated with other public participation techniques, and designed to meet specific measurable objectives. The public includes any individual or organization other than members of the agency/consultant staff.

Meetings should be well organized, and have an agenda which details work to be accomplished and assigned responsibilities. The length of formal presentations should be kept to a minimum, consistent with the need to bring all attendees to a common level of knowledge on the subject matter. The site selected for a meeting should have the facilities and space needed to meet the meeting's goals. "We-they" attitudes should be avoided, as should the use of technical or professional jargon. The moderator of the meeting should summarize progress on decisions made before adjourning the meeting. Following a meeting, prepare concise meeting minutes or a responsiveness summary and disseminate them quickly to prevent misunderstanding and poor communication. Follow through on all commitments made to the public. Public meetings should be evaluated by participants and staff.

Provide timely and meaningful information throughout the planning process as a key to promoting response and participation from the audience. Consider co-sponsoring public meetings with other government agencies and private organizations. Co-sponsorship can lend credibility to meetings, avoid duplication, and increase attendance. Also, in small communities, consider holding joint public meetings as a part of the regularly scheduled town meetings if project goals can be met. The principles in this chapter apply to large and small meetings, and from the small community to the national level.

NOTE: A public meeting checklist appears at the end of this chapter.

THE ESSENTIALS

- I. What are the factors to consider when planning and preparing effective meetings?
 - A. Identify the agency's objectives, expectations, and desired results for the meeting.
 - B. Identify the audience's objectives, expectations, and desired results.
 - C. Match the composition and size of the group invited to attend a meeting with agency objectives.
 - D. Decide on the level of participation and involvement desired, and choose the meeting structure and format that can best meet agency objectives. Then, choose the specific methods and techniques for discussion, planning, problem solving, and decision-making.
 - E. Choose a meeting location, keeping in mind necessary room arrangements, equipment and supply requirements, and accessibility by public transportation.
 - F. Identify the roles and responsibilities of various staff members and citizens who will participate in the meeting.
 - G. Make sure that everyone who wants to speak has an opportunity to do so.
- II. When should public meetings be held?
 - A. When the agency wants to inform people, clear up misunderstandings on agency actions or plans, or generate public discussion on policies, plans, or recommendations.

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- ✓ B. When the agency wants to reach a large number of people directly at a meeting, and indirectly through follow-up media coverage in local and regional newspapers, and on radio and television.
 - C. When the agency wants to encourage comment and debate among various groups interested in the project or issue and to encourage more community dialogue and priority setting or problem solving.
 - D. When community interest on an issue is high.
 - E. When participants in a project feel the need to share information and ideas with the rest of the community.
 - ✓ F. When an agency seeks to communicate with an audience larger and more diverse than a citizen advisory group.
 - G. If the sole purpose of conducting a public meeting is to educate the public, consider whether the public meeting is the most effective technique to use to meet this goal. The use of educational tools such as newsletters, fact sheets, slide programs, or sending public speakers to the regularly scheduled meetings of organized groups, may prove more successful.

III. What are some useful techniques for getting people to attend meetings?

- A. The best tool for generating attendance at large public meetings is direct mail, followed by one-to-one contact.
 - 1. In one major survey of how people who attended meetings and hearings heard about the event, the largest number said they received something in the mail that told them about the gathering. The second most common response was that someone told them about the event. Word-of-mouth proved to be an effective communications channel. Less than five percent of those surveyed said they saw a notice in the newspaper or heard about it on radio or television.
 - 2. Consider the use of a telephone network to initiate the word-of-mouth communications system. This is especially effective in small communities and in neighborhood organizing.

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- B. Create an exciting theme which appeals to people's personal or economic interests for use in invitations, posters, and mass media announcements of public meetings. Personalization of issues will help to capture the public's attention.
 - C. Newspapers and other mass media provide a helpful reminder to people who plan to attend a meeting, but are generally not effective for drawing people who did not know about the meeting.

IV. What criteria affect the topics and design of a meeting?

- A. Do not mix too many topics in a single meeting. Stick to one major theme, if possible.
- B. Do not allow the meeting to last more than three hours; many people consider two hours optimal.
- C. Topics chosen should be timely and coordinated with current planning work. Participants should be interested in the subject and consider it important.
- D. Use different meeting formats for reaching different goals (i.e., lectures, panel discussions, workshops, conferences, interactive sessions, questions and answers, and the use of audio-visuals).

V. What are some helpful hints for organizing and arranging successful public meetings?

- A. Hold public meetings during non-working hours if your goal is to attract working people. Evening meetings scheduled on a Monday-Thursday evening have proved successful in many locations.
 - 1. Avoid holding meetings on Friday evening.
 - 2. Only schedule Saturday session if an all day meeting is required.
 - 3. Consider the needs of people who have to drive long distances when setting starting times.
- B. When scheduling public hearings, attempt to have at least one hearing scheduled for a non-work period so that working people can attend and present testimony or listen to the remarks of others.
- C. Consult the calendars of local and other government groups or agencies to avoid scheduling conflicts for some potential participants. Local officials often

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- feel angry when public meetings or hearings are scheduled in their community on a night when the municipal council or board regularly meets. In small communities, consider conducting the meeting in conjunction with a regularly scheduled board meeting.
- D. Choose a location thoughtfully. Some locations, such as private homes and exclusive clubs may be uncomfortable or threatening to some participants. Holding a meeting at the site of the point of controversy may stimulate conflict at the meeting.
 - 1. One public participation coordinator wisely arranged for a meeting on a controversial hazardous waste facility siting proposal to be held in the local church where the environment restrained tempers and emotions.
 - 2. The most neutral meeting places are schools, libraries, town halls, community centers, and public convention facilities.
 - E. When planning public meetings and hearings on issues of statewide concern, consider holding a series of meetings around the state in order to encourage active public involvement. A single meeting at the state capital alone may attract statewide organizations and some interested local officials, but may be perceived as being too far from home for many potential participants.
 - F. Hold a meeting as close to the center of interest as possible.
 - G. When choosing speakers for a public meeting, ensure that they have the appropriate expertise and are perceived by the audience as qualified. Restrict their remarks to a limited number of issues. Speakers should adapt their remarks to the knowledge, interest and experience of the audience.
 - H. A moderator for a public meeting, should be perceived as neutral on the issue, have sufficient knowledge of the topic to field difficult questions and facilitate a fair exchange of ideas, and be willing to work for the goals of the meeting.
 - I. Give notice of meetings at least 30-45 days in advance to allow people ample opportunity to prepare for the meeting and to allow for adequate publicity. (See chapter on public notices.)

VI.. What is the value of preparing an agenda for public meetings?

A. An agenda meets many objectives including:

1. Structures the meeting, by establishing a meeting work plan.
2. Sets a time schedule for meeting events or topics.
3. May establish specific results to be achieved by the end of the meeting.
4. Establishes roles for various participants in the meeting.
5. Helps establish where a meeting fits into the total planning process.

OTHER THINGS TO CONSIDER

VII. What are some variations on large group public information meeting formats?

- A. Lecture: A well known authority presents a speech intended to educate, explain, or influence. Studies on the impact of public speeches indicate a recall of 10% three days after the event if a lecture is presented without supporting graphics or audio-visuals. With slides, overhead projections, films, flip charts, or other graphic supports, the retention level increases to as high as 65% three days after the event. See Chapter on audio-visual aids.
- B. Symposium: A form of lecture where four to six authorities, each representing different points of view or disciplines, speak to one aspect of an issue.
- C. Panel: Four to six participants, each with a different background or perspective, discuss and debate an issue in front of a larger audience. A lively panel discussion can highlight the major issues or points of controversy, hold the attention of listeners, and help individual participants formulate their own opinions.
- D. Films, a Film Festival, Slide Tape Program: Sophisticated media alone, or media supporting a person, communicate information and ideas. Visual media help people to conceptualize issues and

problems, and to develop "mental pictures," which aid education, attitude formation, and retention of information. In general, movies are considered the most persuasive visual medium available.

- E. Debate: Representatives of various points of view come together in a public forum to present and defend their ideas. The format can prove exciting to the audience and participants alike, and help the audience to decide how they feel about the issues.
- F. Inquiry or Colloquy: A panel of interested participants question senior agency officials about various aspects of a plan or proposal. They ask questions on behalf of the various interests present in the audience. The questioners can be experts or non-experts.
- G. Open Forum: Members of the audience are invited to present a three or five minute statement before the entire meeting. From the agency's point of view, the format allows for gathering public comment. From the audience's perspective, the format helps to vent frustration, provides for the transfer of information, and allows for competition in public persuasion. This format is often a standard part of a public hearing.

VIII. What are some rules for working with guest speakers at public meetings?

- A. Inform each speaker in advance of the structure of the meeting and the amount of time available.
- B. Clarify the roles of the various participants at the meeting in advance.
- C. Hold speakers to a time schedule. For example, place a time piece on the lecturn to remind the speaker of the time, or have a staff member hold up a sign signaling the speaker when only five minutes remain in the allotted time. Make sure the speaker understands the signal chosen.

IX. What are some useful suggestions for dealing with disruptive, angry, or boisterous, people at public meetings?

- A. Do some scouting or homework in advance of public meetings to ascertain who the potentially disruptive people are likely to be.

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- B. Consider talking to some of these people in advance of the meeting to explore the source of their discontent and to see if a solution to their issue exists.
 - C. If several groups seem to be at odds with one another, it may be appropriate to bring the parties together privately in advance of a large public meeting in an attempt to work out their differences.
 - D. It may be helpful to set aside several meetings at the beginning of the public participation program to encourage people to state their needs, personal agendas, or concerns.
 - E. If the problem is one of confusion in roles between staff and participants, this issue should be the focus for group discussion and resolution.
 - F. If a few members of the audience seem to do all the talking, it might be appropriate to:
 - 1. Place a time limit on any individual's comment period.
 - 2. Have other participants or the staff talk to the few domineering people in advance of the meeting and ask them to be more sensitive to the needs of others.
 - 3. Use special group management techniques which structure equal participation by all participants. (See Section XIII.)
 - G. Do not ignore substantive differences between agency staff and participants; address them. Work with the audience to let them see that differences can be healthy. Together, explore ways to improve the situation. One option is for the citizens to prepare a plan or proposal of their own. Another is for the staff to plan a workshop where citizens and staff can work together to find other solutions or options.
 - H. Sometimes, participants at a meeting are there just because a representative of regional, state or the federal government is present and available. For them, the specific purpose of the meeting is less important than having access to government representatives. The moderator might acknowledge their need, state that the sponsoring agency does not represent that particular program or need, and offer to help put them in contact with the right people. Consider using the agenda as a mechanism to bring the group back to the issues at hand by having the

moderator say something like, "Let me talk to you at the break and give you some names and phone numbers. We have much to accomplish tonight, and I would like to return to agenda item 2."

- X. What is the value of field trips and how should they be organized?
- A. Field trips have proved valuable in many EPA programs. Field trips allow participants -- citizens and officials -- to visualize and comprehend a situation and problem. Touring a faulty wastewater treatment plant, examining a modern hazardous waste facility, or touring farms that have instituted runoff controls, for example, removes issues from the theoretical and makes them real. People sometimes learn best through first hand observation.
 - B. Field trips should augment, but not take the place of public meetings.
- XI. What are some helpful hints in organizing field trips?
- A. Field trips should be planned carefully so that they are enjoyable learning experiences.
 - B. A well organized trip builds credibility for the sponsoring agency.
 - C. A knowledgeable tour guide should conduct the field trip. The guide should be well briefed about the group, their needs, and the questions the group may ask. The tour guide should consider potential questions and prepare honest, substantive, and direct answers.
 - D. Provide participants with background information to read in advance of the trip.
 - E. Staff members or the public participation coordinator should join the field trip as a known entity, and as a trouble shooter if such a role is necessary.
 - F. A staff member should explain to the participants the significance of the visit, what the group is likely to see, and how the trip fits into the overall planning or participation program.
 - G. The staff member should see that all participant questions are answered before the end of the field trip.

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- H. Field trips provide good news, photo, and film opportunities.
 - I. Informal exchanges between staff and participants should be encouraged on field trips. Such experiences "outside the office" help to humanize the project or program.
 - J. Clarify personal financial obligations early, such as whether each participant will pay a portion of a rented bus fee or whether the agency will cover the cost. Field trips are generally grant eligible.

XII. What are some innovative small group techniques applicable to EPA programs?

- A. The Nominal Group Process.
 - 1. The nominal group process is a group dynamics technique helpful in goal setting and problem identification. It is a highly structured process where group activity is centered around answering a single value-laden or conflict-laden question.
 - 2. The nominal group process gives all group members the same opportunity to respond to the question. Through the use of a round robin reporting technique, and controlled group discussion, quieter members have the same access to the group as do more vocal members. No single group member can dominate the conversation. There are no right or wrong answers. The group works together, albeit in a structured manner, to produce a tangible group product or solution.
 - 3. The following steps are taken in order to develop a set of priority issues, goals, or needs:
 - a. A group leader or moderator explains the purpose of the exercise.
 - b. The group leader poses an open-ended question to the group, and instructs each member to work silently and alone, and to write responses to the questions in list form on a piece of paper or on three by five cards, placing one idea on a card.

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1. The question should be open ended, such as "What are your goals for the citizen advisory group?", or "What are the factors inhibiting the group from reaching its goals?".
- c. The group leader asks each person to give one idea from the written list. As it is given, the leader or a group recorder writes the idea or answer on a flip chart pad or black board in view of the entire group. This round robin reporting technique continues until all of the ideas generated by the group are placed on the master list before the group.
1. There is no group discussion during this phase.
 2. Members with the same general response as someone else should inform the group leader so that a check can be placed by that particular response.
- d. The list represents a group product. The group discusses the responses on the master list. Discussion may range from points of clarification to substantive discussions of the issues and themes generated by the group. The round robin reporting technique removes any single member's identity from items on the list.
- e. Sometimes the purpose of the exercise is to generate a master list of ideas. At other times the goal is to set priorities among various responses. If this is the goal, the group leader asks each person to rank order to the top three to seven responses on the master list. The group members again work silently.
- f. Using the round robin approach, the moderator again asks each participant to state a preference in order of priority. One priority listing is given per round. The process is repeated until each member has stated the three to seven priority items.

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- g. The group leader takes a tally of the group's responses and circles the ideas with the most checks. The responses receiving the most checks are considered the ranked consensus of the group.
1. A group discussion follows in which the group leader attempts closure with the group, identifies the priority issues or ideas, and seeks to develop a workplan or action plan to put the ideas into effect.
 2. In some situations, a group will first pick ten items of high priority, have a group discussion on the top ten ideas, and then go through a second round of priority setting and round robin reporting to reach group consensus on the five items of most importance or highest priority.
2. The technique works well with both large and small groups. To use the technique with a large group, break the large group into a manageable number of smaller groups (5-9 to a group), and have each smaller group perform the exercise as stated above. The moderator gives instructions to the groups, asks each group to choose a recorder, and visits each of the group tables during the exercise to make sure the exercise is going well. After all the groups have completed the entire exercise, the group leader asks the recorder to speak for the group, and one more round of round robin reporting and priority setting is conducted. Through this method, a new flip chart summary reflecting the priorities of the entire group is prepared.

Another version of the exercise has each of the smaller groups report their priority ideas or solution. A group summary is prepared. The group leader may then take the responses of the individual groups, and after the meeting analyze them, and report back to the large group at another group meeting. This step saves time, and for some questions, collecting and analyzing several group's consensus lists is more valuable for the project staff or sponsoring agency.

B. The Charrette.

1. The charrette is a problem solving technique based upon conducting marathon meeting sessions with the goal of solving problems and resolving conflicts, developing a set of recommendations, or preparing a plan or final report. Participants with different points of view meet in highly intensive sessions which may last from several days to several months. The technique requires a large commitment of time from staff and public participants. Participants work to find the best solutions to problems within agreed upon deadlines.

Depending upon the participants and the problems to be addressed, the charrette may be conducted at night or on weekends. Sometimes, participants go into retreat and work together on an around the clock basis at a conference center or similar facility. Participants include representatives of the responsible implementing agency, other government agencies with an interest in the project, and citizen and interest groups.

2. A charrette requires considerable advance planning. Scheduling the time of resource people, issuing invitations, making site location arrangements, and the like, takes time. The staff members may have to invest considerable time preparing issue, policy, or options papers, and collecting background information and data. Schedule two to three months for planning. Often, a steering committee with representatives of all participants will organize and orchestrate the charrette.

Charrettes must be designed to meet the needs of the problem under discussion, and the participants. Regardless of the form or style, charrettes generally perform six major tasks:

- a. Define the problem and issues that need to be resolved, and develop goals.
- b. Analyze the problem and alternative approaches.
- c. Create task forces which clarify issues and develop supporting data.

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- d. Develop and refine (by staff and resource people), proposals which respond to the key ideas and solutions generated by charrette participants. The refined proposals, in the form of charts, graphics, maps, and models, are reviewed and modified by citizen participants.
 - e. Present the final proposal (by citizen spokesperson) to a "jury" of officials not present at the charrette, who officially approve the plan or project, and if applicable, fund it.
 - f. Select a follow-up committee to implement the plan.
3. Charrettes require active publicity, outreach, and public information. The affected or interested "community" must know the charrette exists, its purpose, its key decision or action points, and the extent of its progress. The goal in the outreach program is to encourage public submission of ideas and suggestions to charrette participants.
 4. Running a charrette often yields the added benefits of establishing new lines of communication, new perceptions and insights into solving problems, and the development of relationships among participants which often continue after the charrette has ended.
 5. Depending on length, charrettes can be expensive. They require staff skilled in group dynamics, facilities for meeting over a period of time, food, and materials like flip charts, A-V equipment, and copying facilities. Staff salaries must be covered, and sometimes, citizens receive reimbursement (or honoraria) for out of pocket expenses.
 6. Charrette participants will expect the sponsoring agency to accept their recommendations. They will also demand active involvement on the part of the agency or grant recipient in the charrette. Finally, they will require access to all project information which might affect their analyses and recommendations.

C. The Delphi Method

1. The Delphi Technique involves the use of questionnaires to obtain a consensus of opinion from a panel of experts about an issue or problem. It is used as a method of forecasting or problem solving. Delphi structures group communication so that a group of individuals can draw upon a larger audience of experts in seeking solutions to complex problems.
2. In the most common Delphi, a small team will design and send a questionnaire to a larger group. The returned questionnaires are evaluated by the design team, and a follow-up questionnaire prepared. This process continues until the team feels it has enough information to make decisions or propose recommendations.
3. While the form of a Delphi will vary, each Delphi will contain the following:
 - a. Some method for individuals to contribute information and knowledge.
 - b. Some degree of anonymity for individual responses.
 - c. Flexibility in the use of "best" or "appropriate" procedures for accomplishing various aspects of the Delphi.
4. Delphi is most useful when:
 - a. The problem to be discussed does not lend itself to precise analytical technique, but requires subjective judgments on a collective basis.
 - b. The individuals contributing to the process do not have prior experience in working together.
 - c. More individuals are needed than can efficiently interact in person.
 - d. The efficiency of the group process may be improved through the collection of additional information and insights by non-group members.

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- e. Anonymity among participants is helpful because individuals do not trust or work well with one another because of political or other differences.

D. The Samoan Circle

1. The name Samoan Circle describes a large group interaction technique where participants at a meeting state a position or concern by taking a turn at sitting around a central table to make a statement. They leave the table after speaking to make room for others who wish to make a statement. The technique is useful when emotions are high, when people are reluctant to break up into smaller groups, where many people have something to say, if a trained facilitator or moderator is not present, and if participants are willing to go along with this type of highly structured process.
2. The Samoan Circle is structured in the following way:
 - a. Chairs in the meeting room are set up in concentric circles. A round table with four to six chairs is placed in the center of the smallest circle.
 - b. Anyone who wishes to speak must take a seat at the center table.
 - c. An individual may join an existing discussion, make an independent statement, ask a question, support or refute the position of someone else at the table, or propose a new topic for discussion.
 - d. When finished, a person leaves the table and the place is taken by someone else. If someone wants to speak, and there are no vacant chairs around the table, the person stands behind one of the seated people and takes a place when a speaker is finished.
 - e. People may return to the table as often as they wish.
 - f. Sometimes a recorder or secretary will take notes during the exercise. At other times, no notes will be prepared. In this case,

the value of the exercise is for the participants at the meeting to vent frustration and to hear the perspectives of others.

- g. The Samoan Circle discussion continues until no one is left at the table, or until reaching a previously agreed upon closing time.

XIII. What is the role of a small group discussion moderator or facilitator?

- A. To help the group to reach its maximum level of productivity.
- B. To keep the group focused on specific issues and agenda items, and to help the group reach measurable objectives.
- C. To involve all participants, paying particular attention to less talkative members.
- D. To maintain balance within group discussions.
- E. To ensure the accuracy and credibility of information used by the group.
- F. To improve lines of communication among group members and to clarify comments and ideas.
- G. To summarize main points, identify accomplishments, and conclude discussions.

XIV. What are some techniques for evaluating public meetings?

- A. Written and/or oral evaluations of public meetings by participants provide information on the results, impact, and value of the meeting.
- B. Written evaluations provide a regular, simple, and quantifiable source of data on participants and their responses to a meeting.
 - 1. Questions can be open-ended or closed-ended. Open-ended questions provide space for the participants to write a response to a question. Close-ended questions force the respondent to choose among limited options such as true-false, multiple choice, or to check a number on a line.

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2. Closed-ended questions are easiest to work with and code for analysis. However, always include at least one open-ended question that lets meeting participants add comments or thoughts not necessarily covered in the closed-ended questions.

C. Themes to be covered in evaluations include:

1. The Importance and Relevance of the Topic and Questions: Did the topic hold the attention and interest of the audience? Did the staff get what they wanted from the meeting. Did the audience get what they wanted from the meeting?
2. The Relevance and Interest of the Information Presented?: Were presentations well prepared and delivered? Was the audience interested in the topic?
3. The Capacity of the Meeting's Sponsors to Deal with the Audience's Questions in the Time Available: Was the agenda realistic? Were questions relevant to the meeting topic? Was sufficient time allocated to answer questions? Had the staff anticipated the audiences' questions in advance? What information did the audience seem to have difficulty with?
4. The Meeting Format: Did the format meet the goals of the meeting? Did the format facilitate group discussion and learning? Did the format support learning and hold the attention of the audience?
5. The Opportunity for Each Participant to Speak: Did meeting participants who wanted to ask a question or make a statement have an opportunity to do so?
6. Leadership Direction and Support: Did someone chair or direct the meeting? Did this person have the respect of the audience? Did this person further the goals of the meeting?
7. Physical Arrangements: Was the site well chosen to be consistent with the meeting goals? Did participants feel comfortable in the setting? Could attendees get to the site easily relying upon mass transportation?

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8. Implementing Recommendations: What changes in format or materials should be made to improve the next meeting? How can the data collected in the evaluation be used to help plan the next meeting?

EVALUATION

XV. What are some questions to ask when evaluating public meetings in general?

- A. Did the staff or participants have a good reason for holding this meeting? What was the goal of the meeting? Was the goal clearly stated? Did the goal of the agency or staff match that of the audience?
- B. Did the meeting precede and relate to a key decision point? Was the audience aware of this fact?
- C. Was attendance at the meeting consistent with the meeting's goals?
- D. Did the staff provide written background material? Was there just enough, too much, or too little? What products were provided to attendees? (check)

_____ Executive Summary
_____ Technical Summary
_____ Fact Sheet
_____ Newsletter
_____ Technical Report
_____ Maps and Graphs
_____ Other _____

- E. How long was the program? Was the agenda followed closely? Was the program just right in length, too long, or too short? Did the audience remain attentive for the entire program?
- F. Were the moderator, speakers, and supporting staff appropriate for meeting the session's goals?
- G. Was the informational program well presented? Was the speaker(s) well informed? Did audio-visual materials contribute to the informational aspects of the program? Was the informational program well balanced, too technical, or not detailed enough?

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- H. Did the sponsoring agency evaluate the meeting?
1. If so, was the participant group representative of the affected community?
 2. If so, did the participants seem to understand the purpose of the meeting? Plan? Project? Timetable? The public's role? The timing of the key decision points? How the public's comments would influence the program? The government agencies involved? Costs? The source of funds? Which agency or group would implement the program or plan?
- I. Did the public receive complete answers to their questions?
- J. Did a staff member take notes at the meeting for use in program development and potentially in a responsiveness summary?
- K. Was formal public notice sent 45 days prior to the meeting? Did the notice clearly state: (check)

_____ Purpose
_____ Date and Place
_____ Time
_____ Directions to the meeting site
_____ Parking, transportation and other supporting
_____ information

PUBLIC MEETING CHECKLIST

1. Primary meeting purpose: _____

2. Meeting audience (identify potential participants):
 - a. Interests identified and categorized: _____

 - b. Organizations and individuals identified: _____

3. Meeting format: _____
4. Meeting place: _____
DATE: _____ TIME: _____
Rain Date: _____
5. Does the meeting place have:
 - A. a central location? _____ yes _____ no
 - B. public transportation access? _____ yes _____ no
 - C. suitable parking? _____ yes _____ no
 - D. adequate facilities:
 1. lecterns? _____ yes _____ no
 2. loud speaker system? _____ yes _____ no
 3. blackboards and easels? _____ yes _____ no
 4. projectors? _____ yes _____ no
 5. tape recorders? _____ yes _____ no
 6. chairs? _____ yes _____ no
 7. tables? _____ yes _____ no
 8. meeting room setup? _____ yes _____ no
 9. meeting room cleanup? _____ yes _____ no
 - E. Is there a rental fee? _____ yes _____ no
What does the rental fee include? _____

 - F. Contact at the facility (name, address, phone):

6. Meeting space:
 - A. total number of people expected: _____
 - B. seating arrangement and type: _____
7. Invitations and notification:
 - A. Have notices or invitations been prepared? _____ yes _____ no

B. Have notices or invitations been sent to:

- | | | |
|--|---------|--------|
| 1. advisory committee members? | ___ yes | ___ no |
| 2. interested publics taken from
your mailing list? | ___ yes | ___ no |
| 3. local news media? | ___ yes | ___ no |
| 4. identifiable interests
and organizations? | ___ yes | ___ no |
| 5. others? | ___ yes | ___ no |

C. Total number of invitations sent: _____

D. Will there be follow-up phone calls
to key people? ___ yes ___ no

By whom? _____
When? _____

E. Have your supervisor and other
officials been told of the
meeting? ___ yes ___ no

Are they to attend? ___ yes ___ no

Has someone reserved the time
in their calendars? ___ yes ___ no

8. Has an agenda been prepared and
approved? ___ yes ___ no

Has it been distributed? ___ yes ___ no

Does it include:

A schedule of events
at the meeting? ___ yes ___ no

Questions to be addressed? ___ yes ___ no

9. Who is sponsoring the meeting? _____

Is there a co-sponsor? _____ yes _____ no

Explain: _____

Has each sponsor approved the agenda
and publicity materials? _____ yes _____ no

Explain: _____

Has each sponsoring group's membership
been invited formally to a meeting? _____ yes _____ no

Explain: _____

10. Who will moderate or chair the meeting? _____

Has this person been notified? _____ yes _____ no

11. Graphic and information materials needed for the meeting:

A. What information materials will be handed out?

1. Have they been designed
and printed? _____ yes _____ no

2. How many copies of each: _____

3. Date due back from the printer or photocopy department:

B. Will graphics be used in the
presentation? _____ yes _____ no

1. What graphics materials are planned? List:

2. Have the graphic materials been
designed and produced? _____ yes _____ no

3. If not, when will they be produced?

4. When are they due back from the production department/contractor?

5. Has appropriate display equipment been ordered for the meeting site? ☐ yes ☐ no

12. Publicity:

A. What publicity methods have been selected?

B. Have materials been prepared? ☐ yes ☐ no

C. How many copies of each type? _____

D. When will they be distributed?

E. Who will follow up on publicity:

By phone: _____

In person: _____

13. Meeting arrangements:

Have the following arrangements been completed or obtained?

A. lecterns, chairs, tables	<input type="checkbox"/> yes	<input type="checkbox"/> no
B. speaker system	<input type="checkbox"/> yes	<input type="checkbox"/> no
C. projectors/screens	<input type="checkbox"/> yes	<input type="checkbox"/> no
D. space cleared for wall displays	<input type="checkbox"/> yes	<input type="checkbox"/> no
E. registration table and space	<input type="checkbox"/> yes	<input type="checkbox"/> no
F. personnel for registration	<input type="checkbox"/> yes	<input type="checkbox"/> no
G. refreshments ordered	<input type="checkbox"/> yes	<input type="checkbox"/> no
H. name tags ordered and completed	<input type="checkbox"/> yes	<input type="checkbox"/> no

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- | | | |
|--|------------------------------|-----------------------------|
| I. identification cards for people sitting at a podium | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| J. room arrangements completed | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| K. audio-visual equipment tested | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| L. audio-visual equipment set up | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| M. ventilation/heating system tested | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| N. easels and blackboard ordered | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| O. supplies (pencils, paper, chalk, felt tip pens, scotch tape, masking tape, thumb tacks, scissors, stapler, extension cords) | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| P. meals | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| Q. press table | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| R. facilities restored and cleaned | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| S. equipment returned | <input type="checkbox"/> yes | <input type="checkbox"/> no |
14. Have senior officials giving presentations been briefed? ☐ yes ☐ no
15. Recording the proceedings:
- Method(s) to be used: _____
- _____
- Personnel or equipment ordered and obtained? ☐ yes ☐ no
16. Meeting evaluation:
- Method(s) chosen: _____
- Evaluation completed? ☐ yes ☐ no
- Recommendations made? ☐ yes ☐ no
- Accepted? ☐ yes ☐ no



How to Conduct and Evaluate Public Hearings

HOW TO CONDUCT AND EVALUATE PUBLIC HEARINGS

THE POLICY

Under the broad category of "Dialogue," the Policy details requirements for public hearings. While the most familiar forum for dialogue, and often mandated by regulation or law, hearings should not serve as the only forum for citizen input. When used, they should occur at the end of a process that has given the public earlier access to information and opportunities for involvement.

In general, the Policy requires well publicized notice of public hearings at least 45 days in advance. All interested and affected parties on the contact list, and the media, should receive notice. In some cases, 30 days notice is allowed. Permit programs and EIS hearings must have at least 30 days notice. Only in emergency situations when an imminent danger to public health and safety exists, or in situations where a legally mandated timetable exists, may less than 30 days notice be permitted.

The public notice must identify the issues to be discussed at the hearing. Supporting information must include:

- A discussion of alternatives identified and open for review
- Tentative agency conclusions on major issues
- Information on the availability of an EIS, a bibliography, or other relevant documents
- Procedures and contacts for obtaining further information
- Identification of the information/review the agency desires from the public

All relevant information must be made available to the public at least 30 days before the hearing.

The Policy encourages an informal hearing atmosphere whenever possible. An agenda should allocate time for presentations, questions and answers, and formal testimony. Hearing procedures and structures must not inhibit the free expression of views. If appropriate, the agency should consider holding a pre-hearing meeting to discuss key issues. Hearings should be held in the geographic areas most affected by agency actions.

At the beginning of the hearing, the agency must inform the audience of:

- The issues involved in the decisions to be made
- The considerations the agency will take into account under laws and regulations
- The agency's tentative conclusions, if any
- The information the agency solicits from the public

The Policy requires the preparation of a formal hearing record, such as a verbatim transcript or an audio tape recording. Hearing records must be left open for at least 10 days to receive additional public comment, and be available for inspection and copying. Should a responsiveness summary follow a hearing, it must be provided to those who testified at or attended the hearing, as well as to anyone requesting a copy.

SUMMARY AND BACKGROUND

Public hearings are required activities in most EPA programs. They provide highly structured opportunities for hearing and collecting public testimony on projects and issues. Public hearings occur during the public comment period, and often serve to encourage the preparation of written comments by the public.

Holding a public hearing does not mean that an agency has conducted a public participation program. Under normal circumstances many other public participation events must occur prior to a hearing so that the public has had an opportunity to gain considerable knowledge and understanding of the issues.

While public hearings are formal events, a variety of hearing formats exist. A format should be chosen that meets the needs and conditions of the project.

Sometimes, more than one hearing should be conducted to meet the needs of the public, even if only one hearing is required by the regulations. If multiple hearings occur, at least one session should take place in the evening so that working people can attend. Choose locations and times that facilitate attendance. Sites should be accessible by public transportation.

Frequently, opponents to projects will organize themselves and attend public hearings. Project proponents often think they have less need to attend, and may have to be encouraged to attend

and speak. Government representatives must treat all groups and interests equally. However, members of a citizen advisory group or other involved citizens may encourage supportive citizens and officials to speak out for projects they support.

Note: A public hearing is a type of public meeting. Therefore, much of the material in the chapter on effective meetings applies here. Please see that chapter for further information.

THE ESSENTIALS

- I. What are some procedures for conducting public hearings?
 - A. Begin with an opening statement that includes a summary of major recommendations or conclusions, a description of the public participation program, and an explanation of the hearing rules.
 - B. Consider having a question and answer period so that issues are clarified and proposals explained. Questions can be taken in the hearing room or in an adjacent room.
 - C. Accept public testimony scheduled in advance. However, avoid giving one category of testimony the "best" time periods, as this may alienate general citizens who may also want to speak. Set a time limit for oral testimony (such as five or ten minutes) and encourage participants to submit longer written testimony.
 - D. Have an additional period of testimony for those who did not schedule their remarks in advance. Consider taking them in the order in which they signed up at the hearing, or schedule blocks of time for particular points of view. When many people sign up at once, names can be drawn at random.
 - E. End with a closing statement in which the schedule for additional hearings, the length of the comment period, procedures for providing additional testimony, and a statement on how to view or obtain copies of the complete hearing record, are described.
 - F. Attempt to hold to a set schedule for those participants who have signed up in advance to speak at a public hearing.

- G. Have some type of registration card available at the hearing site for people who wish to speak but did not pre-register. The card might include:

Name	_____
Address	_____
	_____ Zip _____
Telephone Number	_____
Organization	_____
Location of hearing (please check one)	
_____ Iowa City,	_____ Des Moines _____ Ames
Please Check:	
I would like to make a statement	_____
I may want to make a statement	_____
I would like to ask a question	_____
I would like my name to be added to your mailing list.	_____
I would like my name removed from your mailing list.	_____
I would like to receive a responsive- ness summary.	_____

EVALUATION

- II. What are some questions to ask when evaluating public hearings?
- A. Was the purpose of the hearing stated to the public in attendance? Were the issues clearly stated to the public?
- B. Were hearing notices sent out 45 days in advance? Did participants indicate that they were notified well in advance? Did they receive reminders a week or two before the hearing?

C. Were notices sent to a cross section of the population? To whom?

_____ Officials
_____ Organized Groups
_____ Affected Citizens
_____ Others _____

D. Were any significant groups omitted? If so, which ones? _____

E. Were communication efforts beyond public notices used to reach people? Which techniques were used?

_____ Direct mail letters
_____ Posters in prominent places
_____ Phone calls to opinion leaders
_____ Media or publicity events
_____ Other _____

F. Were background information documents available to the public at least 30 days before the hearing? What was provided?

_____ Executive summary
_____ Fact sheets
_____ Copies of full technical reports
_____ Newsletters
_____ Other _____

G. Did participants at the hearing seem to have a sufficient knowledge of the issues discussed? Had the public read the educational materials prepared in advance of the hearing? According to the participants, were the materials helpful in clarifying issues or explaining proposals?

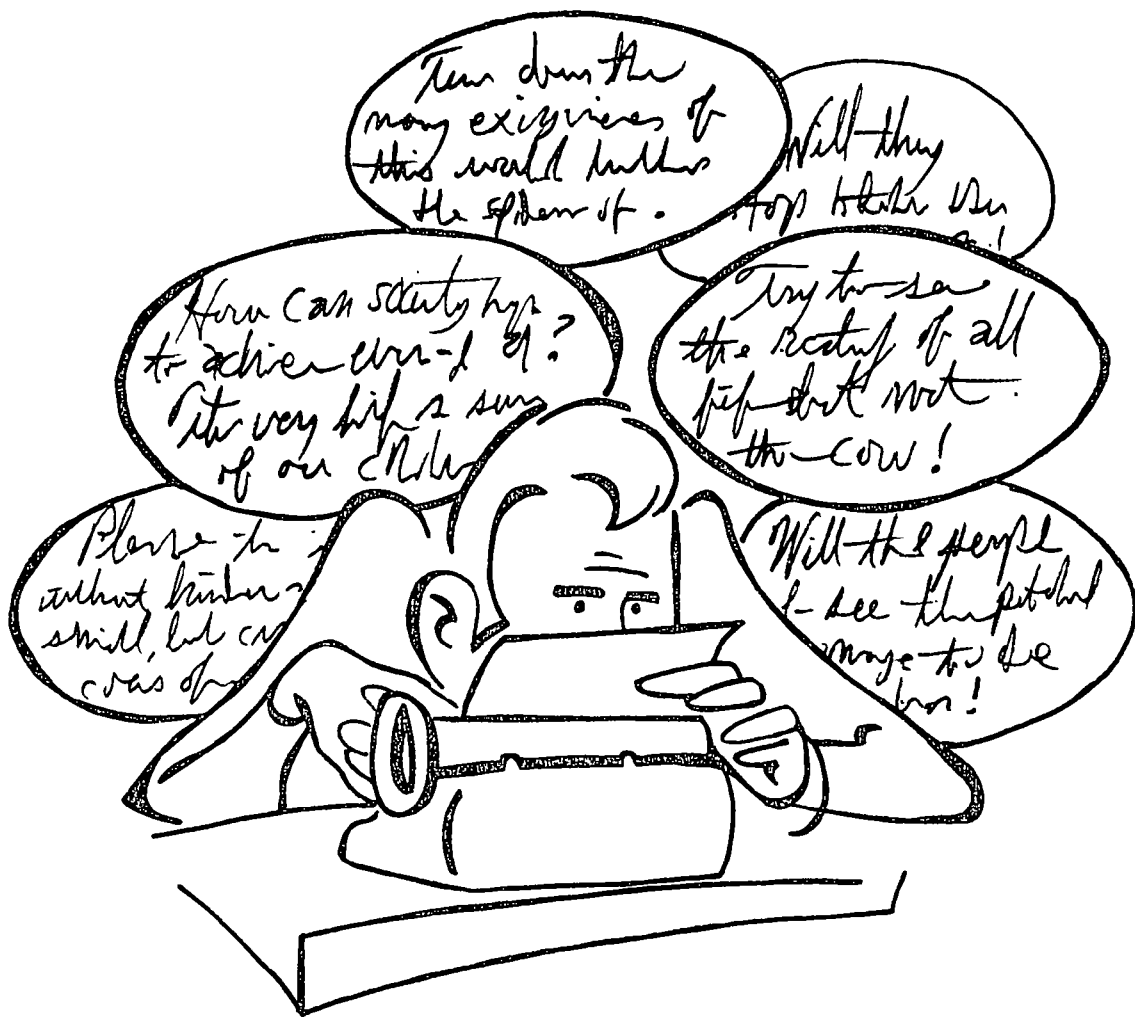
H. How many hearings were conducted? Were some hearings held after working hours? Were hearings conducted at one location or at several? Would hearing participants prefer to have hearings scheduled at a different time, place, or location, in the future?

I. Was the hearing organized so that there was advance scheduling of speakers? Did all those who wished to speak have an opportunity to do so? Did the speakers seem to represent a balance of perspectives, and governmental and non-governmental points of view?

J. Were the hearing examiners attentive to the various speakers throughout the length of the hearing? Did

they just receive testimony silently, or did they respond to points raised by the various people presenting testimony? Was this the appropriate role for this hearing?

- K. Was a hearing transcript prepared? Was it an accurate reflection of the hearing's events? Did citizens know in advance that their comments would be part of a formal hearing transcript?
- L. Was an "open record period" announced and explained to the public? Was additional testimony submitted to the agency during the open period?
- M. Was the hearing record made available to the public? Was a summary of the hearing record made available to the public? To the media? How did citizens and officials request copies of the transcript, if they desired one?
- N. Did the agency prepare a responsiveness summary following the hearing? Did the summary fairly reflect the points of view stated in written and oral testimony?



How to Prepare and Distribute Responsiveness Summaries

HOW TO PREPARE AND DISTRIBUTE RESPONSIVENESS SUMMARIES

THE POLICY

Documenting and communicating how the public has influenced final agency decisions and actions is at the core of successful public participation. Under the categories of "assimilation" and "feedback", the Policy requires written documentation that public input helped to shape agency activities. Responsiveness summaries, regulatory preambles, and environmental impact statements, are among acceptable formats. This chapter concentrates on responsiveness summaries.

A responsiveness summary is a document that summarizes the comments made by the public and states specific agency responses to the comments. A responsiveness summary is used to inform the public of how their comments are utilized. It keeps the public informed about the current state of a project. It provides decision-makers and reviewers with an overview of public reaction and concern. It provides the public with a device to track the success or failure of the participation effort.

The responsiveness summary (or similar report) must:

- explain the type of participation activity conducted
- identify participants and their affiliation
- describe matters on which the public was consulted
- summarize viewpoints, comments, criticisms and suggestions
- disclose agency's process in reaching a decision
- set forth agency's specific responses in modifying proposed actions or rejecting public proposals, and reasons for such actions

It is important to distribute the responsiveness summary widely to participants and decision-makers.

BACKGROUND AND SUMMARY

Responsiveness summaries should be brief and concise documents summarizing the comments and responses of various publics and government agencies. Complex issues and comments should be broken down into component elements. Similar comments from several groups or individuals should be re-phrased into a single comment with a single response, unless this would obscure important variations. Comments should be rephrased where necessary for clarity or conciseness. Organize the responsiveness summary so that participants can find their comments easily and logically. Do not avoid negative points of view -- the responsiveness summary should contain an honest assessment of public comments.

In some EPA programs, a single responsiveness summary may be required at the end of an activity; in others, several responsiveness summaries may be required -- one at each major decision points, in addition to a final summary.

The Final Responsiveness Summary for an EPA project must include a summary and evaluation of the public participation activities undertaken, and an evaluation by the advisory group (if one existed). This provides a written history of observations and lessons learned for future use in the same locale.

There is no single format that should be used. Various grant recipients and EPA and state agency offices have established formats that meet their needs. Several examples of good and bad formats, along with comments, are provided at the end of this chapter.

THE ESSENTIALS

- I. What are the benefits of preparing responsiveness summaries?
 - A. They help to see if program and public participation objectives are being met.
 - B. They provide feedback to citizens on their comments and interpretation.
 - C. They help to determine if public information products are being read, understood, and used in a timely and meaningful manner.
 - D. They provide insight into the degree of success of public hearings and meetings.
 - E. They provide a check on the success of innovative participation and information techniques to inform and elicit meaningful comments.
 - F. They can be used in a mid-course assessment of the public participation program; this review may suggest changes for the remaining phases of an agency project.
 - G. The Final Responsiveness Summary gives the participating public a chance to provide the agency with an evaluation of the participation program.

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-
- H. They provide opportunities to organize the issues raised by the public and to view them from a new perspective.
 - I. They help to document the decision-making process.
- II. What is the appropriate timing of the publication?
- A. In general, when decisions are being made following public consultations, meetings, and hearings.
 - B. After specific decision points (often designated in individual program regulations and guidance, and work programs).
- III. What is the appropriate routine for handling minor comments?
- A. Note them and respond as appropriate.
 - B. They can be put together in a section of the summary.
- IV. What are the requirements of a final responsiveness summary?
- A. It must include an evaluation of the effectiveness of the public participation program.
 - B. The final responsiveness summary should describe:
 - 1. The number and effectiveness of meetings, mailings, and hearings at which the public was informed or consulted about the project (e.g., Were meetings held only at major decision points or was the public involved at other times?).
 - 2. The numbers and kinds of diverse interests which were involved in the project (e.g., What organizations and special interest groups provided advice?).
 - 3. The extent to which citizen's views were taken into account in decision-making (e.g., Were comments used or rejected? Why?).
 - 4. The specific changes, if any, in project design or scope (e.g., What kind of changes occurred as a result of citizen input?).

OTHER THINGS TO CONSIDER

V. Who should receive responsiveness summaries, and how should their availability be publicized?

A. Responsiveness summaries should be sent to:

1. The decision-making official(s).
2. Each participating agency, organization, or individual mentioned in the responsiveness summary as well as affected officials.
3. The members of the advisory group, if the program has one.
4. All project participants, those who commented on EPA materials, and people who attended program meetings.
5. Make it available to the public on request.

B. Publicize their availability through:

1. Announcements in agency and other newsletters.
2. Issue press releases announcing the availability of the document.
3. Place copies in program depositories.

VI. What are some helpful hints for preparing responsiveness summaries?

A. Choose a format that makes it easy for people to find the specific information they are interested in. The numbering system, layout, use of type faces, dividing comments by category (according to groups who commented or by subject matter), should all support this primary goal.

B. Accurately portray public comments. Use one of several methods to document public statements. A legal transcript can be prepared. Staff members, volunteers, or interns can take notes of questions and responses at public meetings. The public session can be tape recorded, and either turned into a written transcript, or used to verify staff notes. There is no one recommended method.

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-
- C. Be sure to include staff time in the budget and work plan for staff members to prepare the responsiveness summary, and for others to review it.
 - D. Demonstrate, where appropriate, that some public comments changed or modified some parts of the program or plan.
 - E. Consider including a cover letter with the summary as a way to personalize the report, and highlight selected comments and responses.
 - F. Keep different events such as meetings and hearings separate within the summary. Otherwise, the public will be confused by the context for various comments and responses.
 - G. Don't include a full copy of letters and reports received as a part of the public process. Just highlight the key points. Make all written comments available at an information depository.
 - H. There is no rule concerning the use of full names in the summary. Whatever the choice, be consistent throughout.

EVALUATION

- VII. What are some questions to ask when evaluating responsiveness summaries?
 - A. Did the responsiveness summary provide a reasonable description of the events, a summary of comments and points of view represented, and a summary of the responses of the sponsoring agency?
 - B. Did the responsiveness summary provide adequate depth to the comments and responses? Would someone not present at the event(s) have a clear idea of what transpired?
 - C. Is there an indication that the public had an impact on the specific key decision point of the responsiveness summary, or on the project as a whole? If so, how is this impact expressed?
 - D. Who are the organizations and individuals cited in the summary? Do they represent a good mix of community leaders, business interests, government agencies, potentially impacted neighbors of the

project, and the other major targeted publics of the project? Are any key groups or individuals unrepresented, and if so, why?

- E. Do the comments suggest a strong and coordinated opinion from a particular perspective, such as abutters to a site? Should these organized and vocal views receive more attention than some others?
- F. Did the comments suggest a sound understanding of the issues? Did the public education program contribute to a better understanding of the issues?
- G. Does the summary suggest that citizens and officials had ample opportunity to express their views and perspectives?
- H. Does the summary indicate that citizens and officials had adequate notice of meetings and hearings.
- I. Do the responses to comments seem complete and reasonable? Do they make a strong and convincing argument for decisions or directions taken? Are they responsive to the difficult issues raised by the public?
- J. Did the preparers of the summary use a design and format that makes it easy for the reader to find key issues, and differentiate between comments and responses?
- K. Did the preparers of the summary include aids such as a cover sheet describing the content of the summary, a brief description of the project as a part of the introduction, and an outline of the organization of the summary?
- L. Did the final responsiveness summary include an evaluation and analysis of the use of various public participation techniques and approaches that might prove useful in future participation efforts? Did citizens, such as the members of an advisory group, evaluate the participation program? If so, did their observations parallel those of the staff?
- M. Did the summary include copies of sign-in sheets, notifications, handout material, agendas, and questionnaires and evaluations? Were they helpful, or just extraneous material in the summary? Would a brief description of materials provided prove more useful to the reader?

-
-
- N. How was the responsiveness summary distributed? Was it sent to affected decision makers? To those people who made comments? To the people who attended the hearing or meeting? To potentially impacted groups and individuals? To information depositories or libraries?
- O. Was notice of its availability sent to the news media, and the editors of newsletters with a potential interest in the project?
- P. Was the length of the summary short enough so that people might, in fact, read it? On the other hand, did it seem like a long and weighty government report destined to be placed on a shelf, and not read?

EXAMPLES OF RESPONSIVENESS SUMMARIES

NOTE: These examples of responsiveness summaries are provided for illustrative purposes only. EPA does not recommend a single format. Review them for substance, length of response, design, and format; then choose a format that best meets your needs.

In choosing examples for comments, neither EPA nor Lawson Associates seeks to criticize any particular government agency, grant recipient, or consultant. The examples were chosen because they provided an opportunity to make a particular comment or observation.

Finally, only parts of a responsiveness summary are presented. The actual summaries are longer than what has been reproduced.

EXAMPLE A

WEST WARWICK REGIONAL SEWAGE STUDY

GOOD FEATURES

1. Identifies a contact person and phone number.
2. Easy to read title identifying the document, subject, activity and date.
3. Italic type section explains the reason for writing a responsiveness summary according to the regulations.
4. Identifies notification procedures so that people will know how to find out about the next meeting.
5. Gives a quick review of the meeting agenda, and describes the audio-visual materials available for other speaking engagements.
6. Identifies speakers and attendees at the meeting.
7. Summarizes the major concerns and responses for a reader who wants a quick understanding of the meeting.
8. Gives readers an action step by explaining future public participation activities.

AREAS NEEDING IMPROVEMENT

1. In the statements and questions section, more of a distinction needs to be made between the comments and the responses.

EXAMPLE A

Keyes Associates

Date: July 22, 1980
Contact Person: K. A. Cevoli
828-2853
861-2900
Project #: C440123-01

RESPONSIVENESS SUMMARY
West Warwick Regional Sewage Study
Public Meeting on Draft Alternatives
July 10, 1980

"In accordance with federal public participation regulations, a summary of issues discussed and action taken in response to citizen comments will follow each public meeting and hearing."

NOTIFICATION PROCEDURE:

Forty-five days prior to the public meeting Streamline was distributed identifying the major issues and notification of the public meeting. On 5/15/80 an article appeared in the Pawtuxet Valley Times regarding the future meeting. Thirty days prior to the meeting a Streamline outlining the various alternatives and the draft costs was distributed throughout the Pawtuxet River Valley. Several articles appeared in the Pawtuxet Valley Times and the Providence Journal prior to the meeting. Advertisements were placed in the Pawtuxet Valley Times and on the WKRI radio station two weeks prior to the meeting. Posters were displayed in town halls and libraries throughout the valley.

Background information was available at local information stations thirty days prior to the meeting.

In addition to the Streamline which outlined the alternatives and their costs an information packet was available at the public meeting.

AGENDA:

Media used to present the following issues included slides, overhead transparencies and information packets.

- Overview of present conditions at the West Warwick sewage treatment plant.
- Future projections for population and flow.
- Regionalization
- Regional and Sub-regional service area.
- How to choose alternatives of sewage treatment collection and disposal.
- Alternatives for liquid and solid treatment and disposal.
- Environmental Consequences of preferred alternatives.

PARTICIPANTS:

Speakers: O. Raymond Coutu, West Warwick Town Council President
 John J. O'Hare, Town Planner, West Warwick
 Dr. Carlos Carranza, Baystate Environmental Consultants
 James J. Geremia, Project Manager, Keyes Associates
 Kathleen A. Cevoli, Public Participation Coordinator

Attendees: Over forty residents throughout the Pawtuxet River Valley representing various publics. (see enclosed sign in sheet).

ISSUES:

All of the questions in this document were addressed at the meeting and will become part of the West Warwick Regional Sewage Study. None of the issues raised indicated a change in the treatment processes or collection system. Below is a list of major concerns and how they will be addressed:

<u>Issue</u>	<u>Action</u>
Coventry's reluctance to participate in the West Warwick System - comments indicate that the town is not ready to make any commitment to reserve capacity at this time.	Coventry will not be asked to make a commitment until just prior to design in early 1981.
Industrial participation in the West Warwick System--particularly the proposed tie-in of American Hoechst.	An indepth explanation of industrial participation is included in the question and answer section. A thorough cost breakdown will be printed in the summary of the study.
Necessity of Upgrading and Expansion for West Warwick.	Limitations and projections are addressed in the question and answer section.
Who should administer a regional sewer system?	This issue is one that will be decided on the local level when administration of regional agreements is discussed prior to design.
Participation of residents in the Hope section of Scituate.	A meeting will be arranged with residents in Hope to discuss the issues.
Inflation, Operation and Maintenance, placement of interceptor lines in neighboring communities.	All of these concerns are addressed in the question and answer section.

What's Next:

All issues raised at the meeting are summarized in the question and answer section. If any further information is needed or you are dissatisfied with the action taken contact K. A. Cevoli.

In late August a summary of the draft study will be distributed throughout the Pawtuxet Valley. The full document will be available at local libraries in West Warwick, West Greenwich, Coventry and Scituate. A final public hearing on the plan will be held in late September.

STATEMENTS AND QUESTIONS

Coventry: Area residents voiced many pro and con sentiments regarding sewers for Eastern Coventry, some are below:
Last opportunity for Coventry to tie in for the next 20 years.

Sewers are not a necessity for Coventry residents.

Cost should not be the only issue that determines whether or not Coventry becomes part of the system.-also consider...

- Public health-human wastes running into Tiogue Lake, Johnsons Pond, Pawtuxet River.
- Water Quality
- Coventry needs sewers to lower tax base with industrial input.

Would division of groundwater in Coventry effect drinking water wells?

A few inches could be lost by connecting east in Coventry's flows to the West Warwick system.

Further septic system failures in Coventry may also eventually foul drinking waters by 2000.

Coventry will be charged a comparable rate for use of the West Warwick facility whether or not they tie in. There will soon be an increased fee for septage disposal from Coventry at the West Warwick treatment facility.

Is Coventry limited to 3.5 mgd for 20 years?

The state has designated a flow allocation to all communities in the valley.

A change in population growth could mandate a change in future flow considerations for Coventry.

EXAMPLE B

DETROIT WATER AND SEWAGE DEPT.

GOOD FEATURES

1. The title page clearly and simply states the title, sponsor, project, and dates of the events covered in the responsiveness summary.
2. The question and response format works well, especially as the questions are grouped by major issue.
3. A review of the meeting format and presentations provides useful information on major consultation points
4. In the addendum, the responsiveness summary successfully presents information on the use of various techniques, such as how people heard about public meetings. In addition, the recommendations presented on each technique provide a good written record for the next group to consider when launching a public participation program.
5. In the second addendum, the summary of locations and dates of public meetings is useful, as is supporting information on the extent of the participation program useful for others. It is clearly stated.

AREAS NEEDING IMPROVEMENT

1. The location of the issues between the questions and responses in the same typeface makes it difficult to easily find where the issues are located.
2. The title page should identify a contact person to answer questions concerning the project or responsiveness summary.
3. The names of people who made comments should be added.

EXAMPLE B
DETROIT WATER & SEWERAGE DEPARTMENT
FINAL FACILITIES PLAN
RESPONSIVENESS SUMMARY
FOR
PUBLIC MEETING SERIES NO. 2

PUBLIC PARTICIPATION PROGRAM

January 24, 1980 -- SEMCOG, Book Building, Detroit, 1:30 p.m.
February 6, 1980 -- Dearborn Civic Center, Dearborn, 7:00 p.m.
February 7, 1980 -- Mercy College, City of Detroit, 7:00 p.m.

Prepared by:
Detroit Water & Sewerage Department
and
Giffels/Black & Veatch
Consulting Engineers
A Joint Venture

This responsiveness summary has been prepared to summarize the comments and questions made by the citizens who attended the public meeting series No. 2 and the responses made by the Detroit Water & Sewerage Department (DWSD). The purpose of this summary is to let the public know that their comments are being utilized and to inform them about — the current status of the Final Facilities Plan and Environmental Impact Statement (FFP/EIS). It also provides decision makers with an overview of the public reactions to the project. Tapes of each meeting are also available for review at DWSD.

MEETING PRESENTATION

The format and presentations were identical at each public meeting. A review of the presentations are as follows:

- I. DWSD provided a review of the intent and purpose of the facilities planning process and invited the public to participate.
- II. A member of the Citizens Advisory Council (CAC) explained the purpose, composition, and task of the (CAC) and welcomed additional public participation.
- III. Giffels/Black & Veatch delivered presentations on four aspects of the Final Facilities Plan — Environmental Conditions, Wastewater Flow and the Treatment System, Options Under Consideration for Combined Sewer Overflows and Options Under Consideration for Ultimate Solids Disposal.
- IV. EcoSciences, Inc. reviewed the purpose and schedule of the Environmental Impact Statement for the FFP and invited public input.
- V. A discussion period followed the presentations with citizens asking questions about specific presentations, particular aspects of the FFP, features of the treatment process and the facilities planning process in Southeastern Michigan. Some citizens offered suggestions and others voiced concerns.

ISSUE 1: A number of people asked questions that pertained to Environmental conditions.

Question: Does the speed of the river or any water way contribute to the quality of that water?

Response: Yes, the speed has a significant affect on water quality. Some 200,000 cubic feet of water per second flow through the Detroit River at a speed of approximately 1.9 miles per hour. The velocity of the Detroit River moves some of the fluids and particles along a little bit faster and suspends them further than the Rouge River which is much narrower, much smaller and slower moving. The particles have more opportunity to settle in the Rouge River which affects the water quality in negative fashion.

Question: What does non-attainment area mean?

Response: Non-attainment area means an area where, according to the best estimates and research done by the Environmental Protection Agency (EPA), the air does not meet EPA air quality standards. For example, the DWSD along with other industries like Great Lakes Steel are now embarking on a very serious program to clean up the emissions.

Question: How will DWSD comply with the air pollution standards if all the sludge is to be burned?

Response: Scrubbers are being added to the incinerators. This may enable the City of Detroit to burn all the sludge from dry weather flow at complexes one and two at the DWWTP. It will require meeting rather strict air pollution standards. This is under consideration with another consultant working on the incinerators. The DWWTP is responsible for only between one and two percent of the air pollution in that area. For a significant change, it is going to take more than DWWTP cleaning up its incinerators.

ISSUE 2: The questions below were concerned with various aspects of the Detroit Wastewater Treatment Plant.

Question: What is the ultimate capacity of the Detroit Wastewater Treatment Plant?

Response: The projected needs are based on projected dry-weather flows, wet-weather flows, infiltration/inflow, plant recycle, and so forth. Domestic flows are projected based on the SEMCOG Small Area Population forecast, Version 79. Using these populations figures, projected recycles, etc. this projected capacity falls within a reasonable range of what will be needed. These numbers are preliminary right now. The object of the Final Facilities Plan is to come up with a plan that would provide methods to treat the projected flow.

"The purpose of my coming here tonight is to raise some concerns and also to inform you about certain projects which should influence your plans from a human point of view. Especially, we are concerned about the possible expansion of the plant towards our residential area. I know that the questions you have for tonight deal more with the technicalities, but I learned that if you don't jump early enough into the planning process with certain concerns, you may miss the boat."

"I am very much for what the water treatment plant and for the few people who are trying for the large community; but I am also here to inextricably protest, request, and beg (you) not to expand any further up towards that neighborhood which we want to so desperately to keep".

ADDENDUM # 1 — EVALUATIONS

Evaluations were distributed to each participant who attended the second series of public meetings held in February 1980. The results of the evaluations received are as follows:

1. How did you learn about these meetings?

Newspapers Ads —	2
Newspaper Articles —	1
Radio Spot —	1
City Halls —	3
Special Mailing —	3
Newsletter —	1
Friend —	2
River Rouge Renaissance Committee —	1

2. Do you think the meeting accomplished its objective?

Yes — 13

(But needs improvement)

(Meeting fulfilled federal law requirements)

Didn't know what objective was.

3. What portion did you consider to be most important?

All of it	3
Questions & Answers	
Good presentations	2
Magnitude of solids disposal problem	3
Combined sewer overflow problem	2
Chance for people to air their grievances	

4. What portion did you consider least important?

Environmental Conditions
 A few questions
 Slides were helpful, but too many, shown too quickly are ineffective
 It's all important

5. Were the presentations informative and easy to understand?

Yes — 13
 No — 1
 Presentation on environmental conditions was inadequate.

6. Were you able to ask questions or express your concerns and/or comments?

Yes — 12
 No — 0

"My biggest reaction was the lack of imagination of the engineers in conceiving alternatives. For example, separation or accumulation of solids at sources; why the separate sewers are not practical (storm separate from sewage)."

7. How could this meeting have been more effective?

Start at 7:30 p.m.; 7:00 p.m. is too early.
 More time for discussion, less time on technical detail.
 Better attendance
 More publicity in newspapers and other media.
 Learned of meeting from newspaper ad; would have liked to learn more.
 It was well done.

8. Were the locations convenient?

Yes — 11
 No — 1
 Closer to Delray

9. What recommendations would you make regarding future meetings?

Additional information on costs. Hold on Saturday or Sunday afternoon. More publicity to get more people involved. Hold a series of meetings to discuss each topic in detail.

In general, the responses were positive, and the majority of people who returned evaluations felt the meetings had been effective and accomplished the objective of informing the citizens who attended and soliciting input from them.

In spite of receiving evaluations only from approximately one-third of the total audience, the analysis provides general insight into the concerns of citizens. Suggestions regarding holding meeting on weekend afternoons or at 7:30 p.m., holding meetings to discuss one topic in detail and having more publicity to involve more people; all these remarks are valuable.

ADDENDUM # 2 — PUBLICITY

Newspaper Advertising:

All daily and weekly newspapers in Southeastern Michigan were sent a press release and fact sheets. In addition, advertisements were purchased in the following newspapers.

Thirty-day notice — January 7 & 8, 1980:

Detroit Legal News
Detroit Free Press
Detroit News

Week of Public Meetings:

Oakland County

Birmingham — Bloomfield Observer Eccentric
Farmington Eccentric
Northville Record
Novi News
Rochester Eccentric
Royal Oak Daily Tribune
Southfield Eccentric
Troy Eccentric
West Bloomfield Eccentric

Macomb County

Community News
Macomb Daily

Wayne County

Canton Observer Eccentric
Dearborn Heights Leader
Dearborn Press & Guide
Garden City Observer Eccentric
Grosse Pointe Guardian
Harper Woods Herald
Livonia Observer Eccentric
Metro Detroit Monitor
Michigan Chronicle
Northeast Detroiter
Plymouth Observer Eccentric
Redford Observer Eccentric
Westland Observer Eccentric

Radio:

Public Service Announcements were sent to all radio and television stations in Southeastern Michigan, and were run on WJZZ, WMJC, WJLB, WJR, WGPR and WCHB.

Outdoor Signs:

Messages were run the week of public meeting series # 2 on the Ford Motor Company I-94 sign and both of the General Tire & Rubber Company signs on the Chrysler and Lodge Expressway.

Newsletter and Special Mailing

Dates, locations and topics were listed in the Calendar of Events section of the November and January issues of MOVING AHEAD — POLLUTION CONTROL. Flier announcements were mailed to over 900 names and organizations on the Newsletter mailing list.

Distribution Sites:

Several locations listed below were sent or delivered packets of flier announcements to be placed for public access. Those locations were:

City-County Building
Bank of the Commonwealth on Fort St.
Manufacturers National Bank on Lafayette
Detroit Bank and Trust on Fort St.
Wayne State University — Administrative Services Bldg.
Ford Auditorium
Neighborhood City Halls
Detroit Public Library
Wayne County Community College on Fort St.
Water Board Building — Main Office

EXAMPLE C

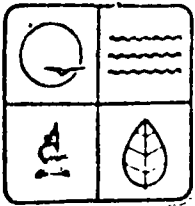
BUTLER COUNTY LANDFILL

GOOD FEATURES

1. A cover letter describes the purpose for writing this responsiveness summary and identifies a contact person. The cover letter adds a personal touch to the public participation process.
2. Detailed engineering information is given, including the location of the site.
3. A concise summary of the project is provided in one paragraph.
4. A summary of the issues raised at the meeting and their status is stated on the first page. This facilitates reading the responsiveness summary.
5. Questions and answers are clearly stated. Each subject area is easy to locate.

AREAS NEEDING IMPROVEMENT

1. The people who attend the public meeting and made comments should be identified.
2. More information is required on how the public meeting was advertised? How many people attended?



EXAMPLE C

October 16, 1980

To Whom It May Concern:

The Department of Natural Resources conducted a public meeting on August 13, 1980 in Poplar Bluff, Missouri to discuss the pending application for a permit to operate the Butler County Landfill.

In response to written and verbal public input, Natural Resources' public participation section offers the attached 'Summary of Response to Public Comment'. We trust that this summary answers concerns expressed by those interested.

Should clarification be needed, please contact the Solid Waste Management Program, Department of Natural Resources, P.O. Box 1368, Jefferson City, MO 65102.

Sincerely,

Rick Anderson
Public Participation Specialist

RA:ph

MISSOURI DEPARTMENT OF NATURAL RESOURCES

P.O. Box 176 Jefferson City, Missouri 65102 (314) 751-3443

Joseph P. Teasdale Governor

Fred A. Lafser Director

C-2 RESPONSIVENESS SUMMARY

BUTLER COUNTY LANDFILL
SUMMARY OF RESPONSE TO PUBLIC COMMENT

Specifics

Status of application:
Permit issued Oct. 9, 1980

Applicant:
Poplar Bluff Const. and Dev. Co., Inc.
P.O. Box 442
Poplar Bluff, MO 63901

Consulting Engineer:
S.H. Smith and Company
301 South Main St.
Poplar Bluff, MO 63901

Date of original engineering report:
June 16, 1980

Date of supplemental reports:
August 7, 1980
Sept. 15, 1980

Location:

Thirteen miles northeast of
Poplar Bluff, Missouri.

Located in Southeast $\frac{1}{4}$ of
Section 21, Township 26 North,
Range 7 East.

Summary of case background and status:

Based on a request, the Missouri Department of Natural Resources, Division of Geology and Land Survey prepared an engineering and geologic report dated September 28, 1979 on a potential solid waste disposal site near Poplar Bluff, Missouri. The site was also surveyed by the Poplar Bluff Regional Office on October 29, 1980.

Borings were made on the site by S.H. Smith & Co., the engineering firm retained by the applicant, and reported on in a letter dated November 26, 1979. A second engineering and geologic report was prepared on December 10.

On June 25, 1980, the department received the design and operations manual and permit application for the landfill permit. Two days later, the department issued press releases indicating that an application had been filed, and that a public meeting would be held if requested. The public meeting was held on August 13, 1980 in Poplar Bluff.

This summary contains the department's response to the issues raised by the citizens at that meeting, and in letters sent to the department.

Status report:

To aid review, questions and comments have been grouped by subject area as follows:

Topics raised by public	Status of issue	Page number
1) Water Contamination	Led to further on-site investigation of area.	2
2) Ownership and Liability	Property transfer from United States Forest Service required before construction.	4
3) Controls on operations	Already addressed by departmental review.	5

RESPONSIVENESS SUMMARIES C-3

The remainder of this summary is arranged with a short description of the concerns and questions raised. This description is followed by the response of the Department. Some rephrasing has been done to keep this summary short and to the point.

SUMMARY OF RESPONSE TO CITIZEN'S CONCERNS

Issue: Water Contamination

Q: We are very concerned that this landfill will lead to the contamination of area waters. Many people here rely on wells, springs, and creeks in the area.

A: Of course any landfill, if improperly constructed or operated, could pollute the water. The department feels that if constructed and operated according to permit conditions, there will be no danger to area waters. Several steps are being taken to prevent water from passing through the wastes to be placed in the landfill and polluting the water as a result. These steps include: 1) diverting storm water from flowing into the burial area; 2) maintaining a layer of relatively impermeable soil as the base of the burial area and 3) grading and reseeding the top of the trenches to permanently divert storm waters away from the area of the trenches. These and other steps will provide adequate protection for the springs and creeks as well as the underground water used for drinking.

Q: This area has a number of springs that I am afraid could become polluted. Have you checked the area for springs?

A: Department staff have been on the site and is aware that there are springs in the area. It is the belief of the department's technical experts that the landfill design and specifications will protect groundwater in the area, including the water which comes to the surface in springs.

Q: What assurances can you give us that water will not become contaminated?

A: Through years of experience, it has been learned that when a landfill is designed and constructed to meet certain design considerations, it will not result in water contamination. Almost all problems associated with landfills are the result of improper operations. While it is not possible to give a total guarantee on the safety of anything in our modern world, the Department of Natural Resources would not issue a permit to this facility if it would be a likely source of water contamination.

Butler Co. Landfill/

Issue: Controls on Operations

- Q. What is done to control odors?
- A. Operating procedures required for landfills makes provisions to address potentially bothersome problems. For instance, all refuse placed in the landfill must be covered daily by 6 inches of soil to minimize odor problems, as well as rodents and other pests.
- Q. The operations of the landfill sound rather complex. I don't believe that the operator will be able to follow the plans that have been prepared.
- A. To assure that the approved specifications are followed, the department has specifically required a registered professional engineer be retained to supervise all excavation and construction and to submit quarterly reports to the department. Additionally the department itself makes quarterly on-site inspections to check for compliance.
- Q. Will burning be allowed at the landfill?
- A. The permit for this landfill does not allow burning.
- Q. If poisonous chemicals are placed in this landfill, we are going to have contaminated waters.
- A. First, this is not a landfill for hazardous wastes. Toxic materials cannot be accepted for disposal. Second, it is in the best interest of the landfill operator and the creators of such waste not to attempt such an action because the penalties are very stiff. Finally, the inspections conducted by the department would reveal such violations and a lawsuit could result. The landfill will not have poisonous or otherwise hazardous waste, and is designed to protect public health and the environment from contamination.

The Department of Natural Resources appreciates the input from citizens on this landfill and other environmental issues. If at any time you have information that you feel the department should be aware of, please contact the Poplar Bluff Regional Office at (314) 785-0832.

#

Information and Notification: Outreach



How to Plan Public Information Programs and Develop Publications

Barry Lawson Associates, Inc.
190 High Street • Boston MA 02110

HOW TO PLAN PUBLIC INFORMATION PROGRAMS AND DEVELOP PUBLICATIONS

THE POLICY

Under the category of "Outreach," the Policy requires the development of effective public information to enable citizens and officials to participate in an informed and timely manner. Outreach methods include publications such as fact sheets and technical summaries; questionnaires, surveys, and interviews; information materials developed for the print and broadcast media; and the educational activities of financially assisted organizations.

Overall, outreach activities should promote understanding and highlight and summarize critical issues. The social, economic, and environmental consequences of potential actions, options, or decisions should be clearly stated when possible. Public information materials must be distributed prior to public consultation. The public should also have access to full reports and documents. Place publications in information depositories.

At a minimum, outreach materials must include:

- background information
- legal justification or the triggering event for the action
- timetable of proposed actions or planning phase
- summaries of lengthy or technical material
- delineation of issues
- alternatives or tentative determinations made by the agency
- whether an EIS is, or will be available
- ways to encourage public participation
- names of people to contact for further information

BACKGROUND AND SUMMARY

Education and the dissemination of public information are essential to successful public participation. The more substantive information citizens have available, the better equipped they will be to participate. Short, simple printed publications are an ideal way to appeal to broad general audiences, and provide timely and meaningful information to various publics. Written materials meet the needs of people who stay involved by staying informed. They are available to be used at the reader's convenience. The agency controls the content of publications and the means of distribution.

Publications must be well conceived and written, and thoughtfully designed and printed, to capture and hold the attention of readers. The process requires a long lead time. A design theme should be followed through all publications to maintain consistency and provide strong visual identification to the project. Materials must be accurate, thorough, and well edited. Finally, material must be presented in a timely manner, with distribution preceding each major consultation activity. A publication program must maintain some flexibility to develop materials which solve problems or help projects over difficult periods.

Printed materials should explain how a proposed action will affect the reader or present the potential outcomes of alternative actions. Avoid technical jargon. Graphics and illustrations should be used creatively to increase understanding.

These basic principles apply in both small and large communities. In small communities, however, a public information effort can be more easily integrated into a community's life. For example, rather than begin a newsletter, a project might request space for a weekly column in the local newspaper. There are many low cost and no cost ways to meet public information goals (see Section X).

THE ESSENTIALS

- I. What are some general principles for developing public information programs?
 - A. The first step in developing an effective information program is to plan for a publication effort. This should be demonstrated in the work plan. The work plan must realistically balance the cost, timing, quality, scope, variety of publications, and identify target audiences, for various publications. Using the plan for guidance, work can proceed on individual publications with knowledge of how each publication will contribute to the total public participation effort.
 - B. Written communication should meet the five criteria embodied in the acronym ANSVA: ATTENTION, NEED, SATISFACTION, VISUALIZATION, ACTION
 1. Attention: Each information product should capture the attention of its intended audience by using a theme or issue important to that audience. Often, the theme has a human appeal.

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2. Need: Each publication should demonstrate that the reader has a need or problem.
 3. Satisfaction: The written piece should show how the government program or plan can meet or satisfy the readers' need or problem.
 4. Visualization: People often comprehend and retain complex ideas and material better if they can see the material visualized. These "mental pictures" may be in the form of charts, diagrams, illustrations, photographs, or mathematical displays. The adage, "a picture is worth a thousand words" has proved true in many studies of reader/audience comprehension and retention rates.
 5. Action: Each piece of public information should invite action. Attending a public meeting, placing a name on a mailing list, or joining an advisory group, are examples of action steps. Public information is effective only if it provides the basis for potential change. The action step reinforces learning.

C. Another way to consider the five criteria in the acronym ANSVA is to make sure all publications answer the questions, What?, So What?, and, Now What?

II. What are some general guidelines for developing public information products.

- A. Begin each writing project by developing a detailed outline of the content to be covered.
- ✓ B. Every information program must operate on at least two levels -- the publics that are already interested and involved, and those who are not. The information directed toward the involved group should support public participation, and may include more complex or detailed information or progress reports. Fact sheets and lengthy information pieces fall under this category. The information directed to the less involved group might be considered preliminary to participation. These materials should be attractive and brief, and appeal to the needs and concerns of lay people.

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- C. In headlines and initial paragraphs, attract attention and interest with thought provoking statements or questions. Link problems and issues with the reader's life and experience. Personalize messages; demonstrate how EPA's programs affect people's lives.
 - D. Early in the text introduce the content of the publication.
 - E. Write clearly, simply, and directly, avoiding technical terminology and professional jargon. Translate technical language into terms the public can understand, or define technical terms the first time they are used in a publication. Like newspaper reporters, write general purpose materials for an eighth-grade reading level.
 - F. Use short declarative sentences with active verbs to make key points. Avoid the use of long and complex sentences. Say it simply.
 - G. Use conversational English. For example, use "do" for "accomplish" and "because" for "in view of the fact that." (See longer list of examples at the end of this chapter.)
 - H. Consider using human scale comparisons, rather than technical terms, to communicate a point. For example, "The facility will generate noise approximately equal to that of a typical city street," or "The cost per family will be about \$100 per year."
 - I. Limit the length of the material. Five double-spaced pages (about 1500 words) is all the general interest citizen will typically take the time to read. If the material requires greater length, prepare a one-page summary for readers with limited time. Another approach is to design a longer piece so that someone with limited time can read highlights in five (5) minutes, more in depth material in 15 minutes, and complete the entire piece in 30 minutes. By telling the reader how a piece is structured on the first page, the reader can choose how much time to invest in the piece.
 - J. Don't lose sight of broad perspectives and goals when developing materials. For example, in technical documents, provide a summary that stresses concepts, not just facts. Organize material conceptually with facts and data providing the foundation for basic themes.

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- K. Each individual element in an information and education program should be easily linked to the overall program. The reader/viewer should easily see the relationship between a particular topic or product and the total project.
 - L. Pre-test all public information products by asking several lay citizens or officials to read and critique drafts for clarity, order, comprehensiveness, and detail. This final review can help ensure high quality publications that meet their intended goals.
 - M. Use graphics and illustrations to support the written content of a publication. Photographs, charts, and drawings can communicate ideas quickly, directly using few words. Using several type faces, such as a standard and an italic typewriter type, can lend emphasis and clarity. Capitalization and underlining adds emphasis, too.
 - N. Always make full reports and technical information available to the public for review, in addition to providing lay summaries. Providing access to all information supports public participation goals. Materials should be available at easily accessible depositories. Let the public know where and when the materials are available.
 - O. For general purpose publications, such as brochures and newsletters, distribute copies to people whose names are on a project mailing list, advisory group members, and potentially affected elected and appointed officials. Mail copies of publications to media outlets in the project area. Make publications readily available to the general public at libraries, government buildings, shopping centers, and other public places. Include publications as a part of a project display.

OTHER THINGS TO CONSIDER

- III. What role does a general or introductory brochure play in an overall public information program?
 - ✓ A. A general pamphlet or brochure is a useful tool to explain the background and mandate of a program, the role of the public in the planning process, and the

expected outcomes of the project. A brochure should be an easy-to-read, quick summary of agency/program goals and objectives. It should provide answers to common questions.

- B. A brochure should include a brief background on the program, the planning process, schedules for up-coming events, and the points where public involvement is most important and how it is organized.
- C. The publication should give the reader a sense of the scope of the final plan, how planning will proceed, possible alternatives, potential impacts on the area's growth and development, and possible program effects on taxes and quality of life.
- D. The brochure should be written with a long-term perspective in mind, so the publication remains timely throughout the plan or study.
- E. Distribute the brochure widely in the early stages of a project. Timing is important for establishing credibility and for informing the public early.

Mail copies of the brochure to all media outlets in the planning area, accompanied by a cover letter explaining the program and offering a name and address to contact for further information. The letter should explain why the project is important and how it might affect the nation/region/state /community.

- F. Include a pre-addressed mail-in form as a part of the brochure so that people with an interest in the program can be added to the project mailing list. Let the public know that other materials will follow as the program develops (i.e., newsletters, report summaries, etc.).
- G. Include a name, address, and phone number in the brochure for the public to contact for additional information.

IV. What roles do newsletters play in public participation programs?

- A. Newsletters facilitate a regular flow of information to the primary audiences of a public participation program. They provide timely and useful information to citizens. They are an inexpensive way to regularly promote understanding, dialogue, and the public participation process.

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- B. Newsletters should inform without bias. They should not be used as an advocacy tool. Newsletter editors must maintain credibility if the newsletter is to remain effective over time.
1. Separate opinion from other material, and label it as such.
 2. Sometimes credibility can be enhanced by printing statements developed by representatives of opposing points of view.
- C. Link key issues to subjects and ideas the general public can understand and appreciate.
- D. Newsletters can provide timely information such as:
1. Articles on new developments in a project.
 2. Reports on public involvement activities, and how to join them.
 3. People stories are particularly good for reader interest, but should not over used. Describe the activities of citizens and officials working on various aspects of a project. Use people stories to provide drama and to encourage citizens to participate. Avoid long lists of names.
 4. Feature articles on major issues in a project, the most common questions asked by the public, or the primary concerns of officials or other professional. Also, consider reprinting relevant articles from other publications.
 5. Calendar of upcoming meetings.
 6. Summarize meeting comments and responses. If used as an informal responsiveness summary, newsletters reach the most important audience of a participation program with timely and useful information documenting the value, history, and impact of public participation.
 7. Consider having members of an advisory group, or other citizen participant, write a regular column. If stories are invited from guest authors, detail editing ground rules in advance.
 8. The names and addresses of people to contact for further information.

9. Maps and other forms of graphic information.

10. Lists of information and audio-visual materials available to the public, and the locations of resource material.

— E. More than any other information tool, newsletters can be used imaginatively. Maps for citizens to evaluate, mark-up, and return; word puzzles based upon some of the new words and concepts citizens are learning in a participation program; attitude and opinion questionnaires; and contests such as a documentary photography contest, are just a few unusual suggestions for newsletters. These techniques make newsletters an enjoyable and interesting experience for readers.

F. Newsletters should be mailed to local and regional media representatives as another way of keeping them informed of progress in the program.

G. The editors of other newsletters with a potential interest in the subject of your newsletter should receive copies as well. They may find information of importance they would like to pass on to their readers.

H. Many citizens will keep all issues of a newsletter as a historical record of their involvement in a project. Number and date all newsletters.

V. What role do fact sheets play in an overall public information program?

A. Fact sheets are an adjunct to newsletters and other publications. They are most useful for providing an in-depth analysis of specific, complex issues of public concern. They may be longer than newsletters and contain more detail.

B. Some fact sheet topics will be chosen in advance; others will evolve from questions and concerns raised during the public process.

C. Fact sheets can be distributed as a part of a newsletter or as a separate publication. They can be mailed to the entire mailing list or to selected groups. They should be available to anyone for the asking.

D. They are most useful for presenting large blocks of information at crucial decision points in a project.

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- E. They provide excellent background for citizen activities at public meetings and conferences.
 - F. Some EPA programs and regulations require the preparation of fact sheets at specific points. (See individual program regulations and guidance.)
 - G. Fact sheets can be produced inexpensively, and are easily up-dated as programs mature and become more refined.

VI. How long does it usually take to prepare a typical public information product?

- A. Scheduling adequate writing, review, and production time is an important element of information planning. Plenty of lead time is required to produce a high quality document. For example, for a state government to produce a twelve-page newspaper tabloid that serves as an executive summary and public hearing notice, the following time schedule is suggested (in person days):

- 1. Writing first draft10 days
- 2. Typing the first draft.....3 days
- 3. Agency staff reviews/citizen reviews
of first draft5 days
- 4. Consolidation of reviews and
rewrite.....5 days
- 5. Retyping.....3 days
- 6. Graphic design, typesetting,
paste-up.....5 days
- 7. Printing.....8-10 days
- 8. Preparation for mailing
(5000 copies).....3 days
- 9. In the mails.....5 days
- 10. Date in citizen's hands.....30 days
before public meeting
or hearing

- B. Every state and region operates under a different set of conditions. Large information staffs can produce materials more rapidly than a one person information office; some government offices have access to rapid in-house printing, while other agencies have to go through a competitive bid procedure which adds substantial time.
- C. Leave time for unanticipated problems when estimating the time requirements for every product. Delays in reviewing and printing occur with some frequency.

VII. What are some techniques for holding down publication and other public information costs?

- A. Hold down printing costs by printing in one color, and on a large size paper (i.e., 11" x 17", folded).
 - 1. Black ink generally costs less than colored inks.
 - 2. Quick offset printers generally cost less than larger printers. Provide camera ready copy.
 - 3. Experiment with ink and paper color combinations as a low cost graphic arts technique.
 - 4. If the budget permits, two color printing and colored paper offers many creative possibilities at a reasonable price.
- B. When possible, make publications self mailers, and explore the use of a bulk permit if the agency does not have federal "franking" privileges. (See the chapter on mailing lists for more information on mailing options.)
- C. If applicable to the setting, consider no cost public information options such as using existing newsletters or newspaper columns rather than beginning a new newsletter, using regular meetings of town boards and public bulletin boards to inform the public, and using existing groups and organizations as the central focus of a communications program.
- D. Make presentations on radio and television public affairs programs. Supply public service announcements.

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- E. Use graphics creatively. Purchase books that contain non-copyrighted artwork ready to be clipped and used in publications. Creative use of a typewriter, such as using a variety of type faces and sizes adds visual clarity and emphasis.

EVALUATION

VIII. What are some questions to ask when evaluating information/education programs and products?

A. Information planning

1. Have information needs been identified in the overall public participation work plan?
2. Do the program elements in the information plan work together to support one another, and build successfully upon one another?
3. Do information products precede consultation activities in the work plan? Has this schedule been maintained?
4. Are the goals of the information program and each program element clearly stated.
5. Does each information piece have a definite goal and a targeted audience?
6. What types of information products are anticipated? Are a variety of methods used to communicate with various target publics? From the list below, check the information products anticipated in the work plan.

- ___ Brochures
- ___ Fact sheets
- ___ Direct Mail Letters
- ___ Flyers
- ___ Posters
- ___ Articles in other community or agency newsletters
- ___ Issue Papers and Options Documents
- ___ Executive Summaries
- ___ Speakers Bureau
- ___ Weekly Newspapers
- ___ Daily Newspapers
- ___ Radio and Television Talk and Public Affairs Programs
- ___ Radio and Television News Programs

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- Slide Program
 - Slide Tape Program
 - Films
 - Other Media

B. Information products.

1. For each public information product, are the issues and alternatives defined in an accurate, realistic, and understandable manner? Are the decisions requiring public involvement clearly stated?
2. Are the social, economic, and environmental impacts and consequences clearly defined and stated for each alternative?
3. Do explanatory materials contain clear, concise, and factual information?
4. Are technical and professional terms, and government acronyms defined and explained? Has a glossary of terms been prepared?
5. Have individual information products been pre-tested with lay citizens and officials prior to printing and distribution?
6. Are information products provided free of charge to the public? If there is a cost, is the cost nominal?
7. Do all information materials contain the name, address, and phone number of a public participation contact person within the agency who can answer questions and provide information? Does this person have public participation training? Has an adequate amount of time been allocated for this person to work with the public?

C. Target publics.

1. Are informational materials targeted toward identified publics as well as more general publics?

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2. Can you identify 5 targeted publics from looking at the work plan or individual proposals?

3. Do these target publics appear to cover the primary interests of the project? Is the group representative of the affected geographic area?

D. Timing.

1. Has adequate time been allowed for the preparation, testing, and printing of materials in order to get materials to participants at least 30 days prior to meetings and hearings?
2. For materials already prepared, how soon before a key event were they distributed?
3. If materials were not delivered 30 days before the public event, what were the causes for the delay, and how can problems in scheduling be corrected?

E. Distribution and Outreach.

1. Was there an adequate balance between materials developed by the agency (newsletters, fact sheets, etc.) and the use of the mass media?
2. Were in-house publications used effectively?
3. Were the mass media -- weekly and daily newspapers, radio, and television -- used effectively?
4. Were key target publics and individuals placed on the agency mailing list to receive public information.

F. Graphic Design.

1. Has a consistent graphic design format been used in all printed and audio visual materials for the project?
2. Will the materials look attractive and interesting to the prospective reader/viewer?
3. Have graphic elements such as maps, charts, diagrams, and photographs been used to improve communication and make technical or scientific information more understandable? Are they understandable?

G. Other.

1. Rumors

- a. Has preventive information been circulated widely throughout the community or region so that rumors bearing false information are minimized?
- b. Has a rumor phone been established or considered? Is it a necessary tool for this project?

2. Information depositories

- a. Have information depositories been established? In central locations?
- b. Are they kept current with up-to-date materials?
- c. Are summaries and full documents available at depositories?
- d. Has the existence and location of the depositories been adequately publicized?

3. Speakers bureaus

- a. Has a speakers bureau been established as part of the information program?
- b. Have individual presentations been previewed and critiqued by co-workers, consultants, or citizens active in the project?

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- c. Have the speakers been adequately prepared and trained for their public speaking functions?
 - d. Do they serve as credible sources of information?
 - e. Have good supporting materials such as speeches and audio visual programs been prepared for them? Are these products exciting and useful?

4. Numbers

- a. Have adequate numbers of copies of printed materials been prepared?

A TABLE OF SIMPLE AND COMPOUND PHRASES

Use simple or conversational English
when writing for the public

Compound

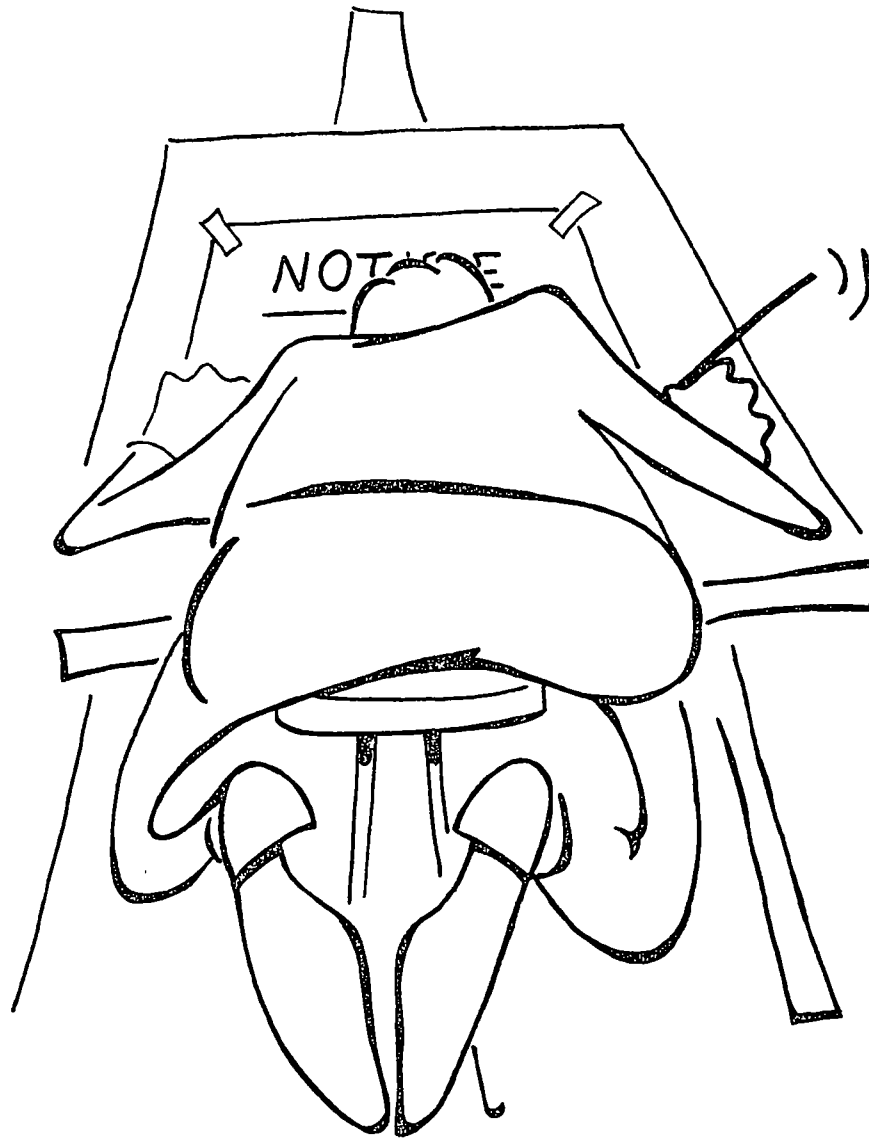
at that point in time
by means of
by reason of
by virtue of
for the purpose of
for the reason that
from the point of view of
in accordance with
in as much as
in connection with
in favor of
in order to
in relation to
in terms of
in the event that
in the nature of
on the basis of
prior to
subsequent to
with a view to
with reference to
with regard to
with respect to
despite the fact that
because of the fact that
in some instances the
 parties can
in many cases you will find
during the time that
for the period of
in accordance with
in so far as ... is concerned

there is no doubt but that

Simple

then
by
because of
by, under
to
because
from, for
by, under
since
with, about, concerning
for
to
about, concerning
in
if
like
by, from
before
after
to
about, concerning
about, concerning
on, about
although, even though
because

sometimes the parties can
often you will find
during, while
for, during
by, under
(omit it entirely and
start with the subject)
doubtless, no doubt



How to Prepare Public Notices

HOW TO PREPARE PUBLIC NOTICES

THE POLICY

Under the category of "Outreach," the Policy addresses notification. The agency must notify all parties on the contact list and the media of opportunities to participate. While required by program regulations, published legal notices do not substitute for this broader notice. In general, notification should take place at least 30 days before proposed actions, and 45 days before public hearings.

BACKGROUND AND SUMMARY

Public notices represent one of many public notification techniques. They have the goal of stimulating interest in and increasing attendance at up-coming meetings and hearings. Other communication devices, discussed in the public meeting and public information chapters, should also be used. Just publishing a public notice does not guarantee that the public will be adequately notified of public events. Direct mail and one-to-one telephone contact, for example, work effectively if the goal is to generate attendance at public meetings.

In small communities, posting notices around town, and printing notices in the local newspaper may reach a large number of people for a relatively low cost. In larger geographic areas, the number of activities required and their costs will likely be higher. Once more, match the technique to the setting.

Public notification 30-45 days in advance of an event or a decision provides adequate time for citizens and officials to prepare testimony and comments. A reminder notice five to seven days in advance is helpful. Public notification affords citizens a fair and equal opportunity to participate. Public notices can help meet these goals.

Public notices must be seen to be effective. They may be in the form of letters, newspaper advertisements, posters, or other graphic formats. They should entice readers so that they are read. Using eye-catching headlines or photographs, or personalizing issues, helps to do this. Notices should explain why it is important to attend the meeting or hearing, how this event fits into the overall public participation effort, and what influence or responsibility attendees will have. The notice should highlight issues to be covered at the event, decisions to be made, and the potential impact of decisions. Avoid the use of a strict legal notice format, such as those in the legal notices section of newspapers; these notices are rarely seen or read by the primary audiences of public participation programs.

THE ESSENTIALS

- I. What are some guiding principles for preparing good public notices?
 - A. Public notices should be distributed so that they are highly visible to the targeted audiences. Distribution should occur well in advance of the meeting or hearing. Respect the requirement for 30-45 days notice. This length of time allows busy people to schedule the event in their calendars, and to prepare comments and testimony.
 - B. Keep public notices brief and to the point. Conceptualize issues from the public's point of view. Personalize notices. Present the information in language familiar to lay people; avoid the use of jargon, government acronyms, and complex technical terms.
 - C. Notices should highlight the economic and environmental issues of concern, the implications of the issues, and the decisions to be made.
 - D. The notice should indicate how participation in the event will relate to subsequent decisions and the resolution of issues.
 - E. Use graphics to capture the attention of the audience, to tell a story, and to increase recall.
 - F. If possible, have public information specialists and graphic designers prepare the notice. If this is not possible, have an information specialist review the notice.
 - G. Pre-test public notices with the public before their distribution. Make sure the public receives the message intended by the agency.
 - H. Distribute the notice through direct mail to organizations and individuals with a potential interest in the meeting or hearing.
 1. In one major survey of how people who attended meetings and hearings heard about the event, the largest number said they received something in the mail that told them about the gathering. The second most common response was that someone told them about the event. Word-of-mouth proved to be an effective communications channel. Less than five percent of those surveyed said they saw a notice in the newspaper or heard about it on radio or television.

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2. Consider the use of a telephone network to initiate the word-of-mouth communications system. This is especially effective in small communities and in neighborhood organizing.
- I. Distribute the notice widely to the print and broadcast media.
 1. Provide a camera ready copy to newspapers for placement as an advertisement or as a free calendar announcement. "Run-of-paper" or display advertising rates are higher than classified rates applied to legal matters. Display advertising is generally more expensive.
 2. Provide a slide of the notice to television stations for them to use as a background image when announcing the event.
 3. For radio and television, include a public service spot announcement or press release, along with the notice. This will increase the likelihood of the notice getting "air time."

OTHER THINGS TO CONSIDER

- II. What are some helpful hints in preparing public notices?
 - A. When preparing a public notice, be creative. Do not feel hamstrung by past practices. Like any human communication, imagination and newness can help to capture the audience's attention.
 - B. Popularize issues. Ask why the public should care about the subject of the meeting or hearing from their point of view, and not that of government. Mirror the answer in the notice.
 - C. Thought-provoking statements, as long as they are founded in fact, can capture the audience's attention, and motivate people. Use them in notices if they meet agency goals.
 - D. Emphasize the important advisory role of the individual in planning, problem solving, and in making decisions.
 - E. Like a good press release, the public notice should explain the who, what, where, when, and why of the event. If any of these elements are missing, the notice will lack an important piece of information.

-
-
1. The "Who" should include the sponsors of the meeting or hearing, as well as an identification of the primary audiences of the public notice. Also, include the name, address, and phone number of an individual for the public to contact for additional information.
 2. The "What" should include a brief, clear statement of the most important issues under consideration.
 3. The "Where" includes the location of the event, along with transportation directions. Also include the locations of information depositories, and other information resources, if relevant.
 4. The "When" refers to the date and time of the event.
 5. The "Why" should include things like the purpose of the meeting, the citizen's role, and the problems under consideration. These issues should be stated from the citizen's perspective.

EVALUATION

- III. What are some questions to ask when evaluating public notices?
- A. Was the public notice part of an overall plan of notification and information? Were the elements of the plan, such as the use of advertisements, public service spots, and public speaking events, well coordinated?
 - B. Did the public notice appear 30-45 days before the event, allowing adequate time for the public to prepare?
 - C. Was the public notice attractively designed? Did it capture the reader's eye, and quickly communicate the intent of the event?
 - D. Was the method of distribution relevant to the community or state? Did it build upon existing communication channels?
 - E. Did notices reach all of the potentially affected individuals and organizations? How was distribution coordinated? Were both opponents and proponents included in the distribution?

-
-
- F. Was the notice displayed prominently in the media and posted in visible locations at least 30 days in advance of the event?
- G. Did a press release accompany the notice? Were other media events organized, such as briefing reporters or the preparation of feature articles?
- H. Did the notice emphasize why the event was held? Did it identify the important decisions, issues, and program impacts?
- I. Did the notice stress the importance of citizen attendance and participation? Did it explain how participation would affect decisions and value choices?
- J. Did the written notice include:
1. A timetable in which decisions will be made?
 2. An identification of issues under consideration?
 3. A description of alternative courses of action?
 4. A brief listing of applicable laws and regulations?
 5. An identification of locations where relevant documents were obtainable?
 6. The names of individuals to contact for additional information.

EXAMPLES OF PUBLIC NOTICES

Note: These examples of public notices are provided for learning purposes only. Since EPA does not recommend a single format, it is helpful to learn from the experiences of others. Review them for substance, length of response, design, and format; then choose a format that best meets agency needs.

In choosing examples for comments, neither EPA nor Lawson Associates seeks to criticize any particular government agency, grant recipient, or consultant. The examples were chosen because they provided an opportunity to make a particular comment or observation.

*EDITOR'S NOTE: Much of the information contained in this chapter came from an EPA publication, How to Write a Public Notice: A Collection of Examples, by Barry H. Jordan, Office of Water Program Operations. December, 1979. Please see the original publication for additional information and examples.

Type

Good Features

Points to Consider

This is an example of a simple newspaper ad used to attract public attention prior to a public hearing.

The ad generated several phone calls for more information for two reasons: the ad was placed in a prominent location in a widely circulated newspaper, and the ad highlights a few dramatic issues related to the hearing.

The use of such an ad should be carefully considered.

There is no question that a well done, well-placed ad will attract attention; however, caution must be used to avoid overstatement.

The cost of such an ad is usually much higher than the cost of a legal notice, particularly in large metropolitan newspapers.

It is not possible to *tell* a newspaper where to put a legal notice. Certain locations can be *requested* for display ads.

BOSTON HARBOR

- "NO SWIMMING" in Charles & Mystic Rivers
- "SHELLFISHING BANNED" in Inner Harbor
- 400,000 pounds of partially treated sewage & toxic waste flow into Boston Harbor daily

Does it have to be this way? Are you responsible?
What do you want done for a clean Boston Harbor?

Let the U.S. Environmental Protection Agency know
at a public hearing on:

Monday, November 20, 1978
Faneuil Hall, Boston
1:30-5:30 P.M. and 7:00-10:00 P.M.

At the hearing EPA will hear your comments on its recommendations for cleaning up the Harbor and its tributaries. The EPA recommendations include:

- a \$770 million water pollution control project with waste water treatment at Deer Island
- environmentally sound sludge disposal

For more information contact EPA's Office of Public Awareness at 223-7223.

Type

Good Features

Areas Needing Improvement

This invitation/hearing notice was prepared by a consultant for an EPA training session. Even though it is for a hypothetical situation, the notice exhibits several important features.

The notice could stand by itself, as a newspaper ad, poster or mailer.

The format is not particularly distinguished, but the notice contains essential information which must be included in any effective notice:

- Outline of issues in prominent location;
- A list of technical alternatives;
- Information on where and when to review documents;
- Information on how and when to make formal comments;
- Name and phone number of project contact person;
- The date, time and location of the hearing, a central, easily reached location at a time when most people can attend.

In this example a letter, co-signed by a local official, is sent to an extensive mailing list, in addition to publication of the notice in the local newspaper and posting in prominent locations in the community. This extra step is taken because those responsible for the project are aware of a very important fact regarding meeting or hearing notification: most people who attend meetings or hearings do so because they have been contacted directly, either by phone, through the mail or in person, not because of a formal notice, newspaper article or paid ad; This fact has been verified in surveys and is borne out by actual experience every day. This fact must be taken into account by those conducting the hearing or meeting. Existing communications networks such as newsletters should be used, as well as some form of direct contact. In most cases, reliance solely on the "media" will be insufficient.

The elected official also indicates in the letter that views expressed at the hearing will be used in decision-making.

The notice does not mention the availability of a technical summary or fact sheet. While not directly related to notice content and form, such a summary is an essential part of any project. If one is available, it certainly should be mentioned in the notice.

For the most part, the notice avoids jargon; however, "collection system," "mgd," and "secondary treatment" are not everyday terms.

Board of Selectmen
PUBLIC HEARING
on Water Pollution Control

PUBLIC OPINION WILL BE SOUGHT ON ALTERNATIVE WASTE TREATMENT PROPOSALS
FOR THE TOWN OF MYTICAL

TIME: WEDNESDAY, FEBRUARY 18, 1977, BEGINNING AT 7:30 P.M.
PLACE: MYTICAL SENIOR HIGH SCHOOL AUDITORIUM

ISSUES: Should the sewer service district be expanded?
Should the capacity of the treatment plant be increased?
Should further sewage treatment be installed?
What would be the social and economic impacts of an expanded or regional facility?

ALTERNATIVES TO BE DISCUSSED:

1. Secondary treatment at existing plant with no expansion of present capacity (7 mgd)
2. Secondary treatment with expansion of capacity (15 mgd) and collection system (see map)
3. New regional treatment facility with wastewater over 15 mgd capacity and expanded collection system (map)
4. New regional plant with wastewater over 15 mgd capacity and expanded collection system (map)

DETAILED PLANS AND ANALYSIS OF ENVIRONMENTAL IMPACTS FOR EACH ALTERNATIVE may be examined at the Mytical Town Hall (8:00 A.M. to 5:00 P.M. Monday through Friday) except legal holidays. The Mytical Public Library (8:00 A.M. to 5:00 P.M. Monday through Friday) and 8:00 A.M. to 2:00 P.M. on Saturdays) or in the Auditorium prior to the hearing (starting at 6:30 P.M.).

A SEPARATE PUBLIC HEARING will also be held in the NEWBERRY TOWN HALL on Thursday, March 10, 1977, beginning at 7:30 P.M. Plans and analysis are available at Town Hall (8:00 A.M. to 5:00 P.M. Monday through Friday) except legal holidays. A separate publicity report for this hearing will also be published.

If you are unable to attend the hearing or would prefer to submit your comments in writing, signed written statements will be accepted up to the beginning of the hearing. Comments received after the hearing and will be entered as part of the hearing record. Signed statements received prior to the date of the hearing will be read at the hearing. Comments should be addressed to the Board of Selectmen.

The hearing is being held in accordance to the hearing (Environmental Policy Act, the Federal Water Pollution Control Act) Amendments of 1972 and Massachusetts environmental statute. On the basis of expanded sewer system and the environmental effects, monetary costs, feasibility, resources and energy use, the results of the various proposals, a selected plan will be chosen and 75% Federal, 15% state funding will be sought.

For more information, call Sue Ewing, Community Liaison Officer for Deane and Sparks Inc. Engineering Consultants, at 887-1234.

Dear Mythical Citizen,

We would like to extend an invitation to you to participate in a public hearing to help select among alternative waste treatment proposals for Town of Mythical. The hearing will take place on Wednesday, February 16, 1977 at 7:30 p.m. at the Mythical Senior High School Auditorium.

The different proposals for handling the current and expected wastewater flows have highlighted a number of significant issues, including:

- . should the sewer service district be expanded?
- . should the capacity of the treatment plant be expanded?
- . should Mythical join with adjacent Makebleeve and construct a regional treatment facility, phasing out Mythical's current plant?
- . what would be the land use impacts of an expanded facility?

Each of the proposals entails different environmental and monetary costs and benefits, and we are seeking the advice and ideas of you and other citizens to help in making the choice between them. We hope you will join us on February 16. Please refer to the enclosed hearing notices for further details.

Sincerely,

Ima C. Leckman
Chairman,
Mythical Board of Selectmen

Board of Selectmen **PUBLIC HEARING** on Water Pollution Control

PUBLIC OPINION WILL BE SOUGHT ON ALTERNATIVE WASTE TREATMENT PROPOSALS
FOR THE TOWN OF MYTHICAL

TIME WEDNESDAY, FEBRUARY 16, 1977, BEGINNING AT 7 30 P M
PLACE MYTHICAL SENIOR HIGH SCHOOL AUDITORIUM

ISSUES Should the sewer service district be expanded?
Should the capacity of the treatment plant be expanded?
Should Mythical and Makebleeve join in building a regional treatment facility?
What would be the land use impacts of an expanded or regional facility?

ALTERNATIVES TO BE DISCUSSED 1) secondary treatment at existing plant with no expansion of present capacity (7 mgd),
2) secondary treatment with expansion of capacity (9 mgd) and collection system (see map),
3) new regional treatment facility with Makebleeve, with 1 0 mgd capacity and expanded collection system (map),
4) new regional plant with Makebleeve with 1 2 mgd capacity and expanded collection system (map)

DETAILED PLANS AND ANALYSIS OF ENVIRONMENTAL IMPACTS FOR EACH ALTERNATIVE may be examined at the Mythical Town Hall (9 00 A M. to 4 00 P M. Monday through Friday except legal holidays), the Mythical Public Library (9 00 A M. to 9 00 P M. Monday through Friday and 9 00 A M. to 2 00 P M. on Saturday), or in the Auditorium prior to the hearing (starting at 6 30 P M.)

A SIMILAR PUBLIC HEARING will also be held in the MAKEBLEEVE TOWN HALL on Thursday, March 10, 1977, beginning at 7 30 P M. Plans and analyses are available at Town Hall (9 00 A M. to 4 00 P M., Monday through Friday except legal holidays). A separate announcement for this hearing will also be published.

If you are unable to attend the hearing or would prefer to submit your comments in writing, signed written comments will be accepted up to midnight of the seventh calendar day after the hearing and will be entered as part of the hearing record. Signed statements received prior to the close of the hearing will be read at the hearing. Comments should be addressed to the Board of Selectmen.

This hearing is being held in response to the National Environmental Policy Act, the Federal Water Pollution Control Act Amendments of 1972, and Regulations promulgated thereunder. On the basis of expressed public opinion and the environmental effects, monetary costs, feasibility, resource and energy use, and reliability of the various proposals, a "selected alternative" will be chosen and 75% federal/15% state funding will be sought.

For more information, call Sue Erline, Community Liaison Officer for DeZine and Specks Inc., Engineering Consultants, at 987-1234.

Type

Good Features

Areas Needing Improvement

This is an excellent example of a meeting notice/mailer.

The cover calls immediate attention to the hearings.

The notice would be improved by a better title ("208 Public Participation Bulletin" is not very exciting) and with a better section on plan contents which highlights major issues of public concern.

The information is clearly presented.

A phone contact is given.

Many depositories are listed, and the availability of a plan summary is noted.

Information on how and when to make comments is given.

The public has three options for commenting: hearing testimony (evening and weekend sessions included), telephone comments, or written statements.

The notice informs the public of informational meetings being held prior to the formal comment period.

public participation bulletin
arewide clean water planning

PUBLIC INFORMATION MEETINGS ALSO SCHEDULED

To help you interpret the clean water proposal prior to the hearings, NIPC will hold a series of public information meetings.

In Chicago, at the NIPC offices (400 W Madison St.), beginning at 1:30 p.m. on the following dates, these parts of the clean water proposal will be discussed.

Tuesday, May 30 — Agricultural and septic system pollution control.

Tuesday, June 6 — Urban stormwater run-off and combined sewer pollution control.

Tuesday, June 13 — Wastewater treatment plant and other point source pollution control.

Tuesday, June 20 — Management systems, costs, and financing of water pollution control.

LIBRARIES AT WHICH COPIES OF THE DRAFT CLEAN WATER PLAN ARE ON RESERVE

Chicago

- Main Library—425 N. Michigan
- Social Science & History Division
- Science Division
- Business & Industry Division
- Cultural Center—78 E. Washington
- Brighton Pk.—4314 S. Archer
- Jefferson Pk.—5363 W. Lawrence
- Woodson—9525 S. Halsted
- Woodlawn—6247 S. Kimbark
- Hild—4536 N. Lincoln
- Legler—115 S. Pulaski

Suburban Cook County—North

- Arlington Heights
- Evanston
- Glenview
- Mt. Prospect
- Northbrook
- Palatine
- Park Ridge
- Schaumburg
- Skokie
- Streamwood
- Wheeling
- Winnetka

Suburban Cook County—South

- Chicago Heights
- Harvey
- Palos Hills
- Park Forest
- Tinley Park

Suburban Cook County—West

- Bellwood
- LaGrange Park
- Oak Park
- Schiller Park

DuPage County

- Addison
- Bensenville
- Glen Ellyn
- Lombard
- Oak Brook
- Naperville
- Roselle
- Villa Park
- Westmont
- Wheaton
- Winfield
- Wood Dale

Lake County

- Antioch
- Barrington
- Fox Lake
- Grayslake
- Highland Park
- Lake Forest
- Lake Villa
- Libertyville
- Round Lake
- Wauconda
- Waukegan

McHenry County

- Algonquin
- Cary
- Crystal Lake
- Fox River Grove
- Harvard
- Marengo
- McHenry
- McHenry-Nunda
- Richmond
- Woodstock

Kane County

- Dundee
- Elgin
- Geneva
- Hampshire
- St. Charles
- Sugar Grove

Will County

- Bolingbrook
- Joliet
- Lockport
- New Lenox
- Peotone
- Romeoville
- Wilmington

Clean water plan hearings announced!

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- Hild—4536 N. Lincoln
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Suburban Cook County—North

- Arlington Heights
- Evanston
- Glenview
- Mt. Prospect
- Northbrook
- Palatine
- Park Ridge
- Schaumburg
- Skokie
- Streamwood
- Wheeling
- Winnetka

Suburban Cook County—South

- Chicago Heights
- Harvey
- Palos Hills
- Park Forest
- Tinley Park

Suburban Cook County—West

- Bellwood
- LaGrange Park
- Oak Park
- Schiller Park

DuPage County

- Addison
- Bensenville
- Glen Ellyn
- Lombard
- Oak Brook
- Naperville
- Roselle
- Villa Park
- Westmont
- Wheaton
- Winfield
- Wood Dale

Lake County

- Antioch
- Barrington
- Fox Lake
- Grayslake
- Highland Park
- Lake Forest
- Lake Villa
- Libertyville
- Round Lake
- Wauconda
- Waukegan

McHenry County

- Algonquin
- Cary
- Crystal Lake
- Fox River Grove
- Harvard
- Marengo
- McHenry
- McHenry-Nunda
- Richmond
- Woodstock

Kane County

- Dundee
- Elgin
- Geneva
- Hampshire
- St. Charles
- Sugar Grove

Will County

- Bolingbrook
- Joliet
- Lockport
- New Lenox
- Peotone
- Romeoville
- Wilmington



public participation bulletin areawide clean water planning

PUBLIC HEARINGS ON DRAFT CLEAN WATER PLAN ANNOUNCED

The Northeastern Illinois Planning Commission has scheduled eight public hearings on its proposed Areawide Water Quality Management Plan for the six-county metropolitan area. This draft plan suggests strategies for solving the region's water pollution problems and a management system for getting the job done. The proposal also describes the ways in which this multi-billion dollar program can be financed. A clean water plan must be adopted in order to qualify this region for state and federal grants for many wastewater treatment system improvements and water pollution control projects already planned. This plan will be a blueprint for public and private action in water pollution control for years to come.

Hearing dates and locations are as follows

- Saturday, June 24 — Chicago, NIPC office,
400 W. Madison St.
- Monday, June 26 — DesPlaines Civic Center
1420 Miner St.
Geneva; Kane Co. Gov't Center
719 Batavia Ave.
- Tuesday, June 27 — Crystal Lake
North Union High School
170 N. Oak St.
Hinsdale Village Hall,
19 E. Chicago Ave.
Joliet, Will Co. Courthouse,
14 W. Jefferson St.
- Wednesday, June 28 — Libertyville Village Hall,
200 E. Cook Ave.
Hazel Crest Village Hall,
1818 W. 170th St.

All hearings will remain in session for a minimum of one hour after they are convened. The Saturday hearing in Chicago will begin at 10 a.m. The seven hearings in suburban communities will have an afternoon session beginning at 3 p.m., and an evening session at 7:30 p.m. Procedures for registering for the hearing, and for the conduct of the hearing are available, and they should be requested from NIPC if you plan to make a statement. Call Larry Aggens, Mike Chapin, or Marty Moser (312) 454-0400, for a copy of the procedures or for any additional information.

CLEAN WATER PROPOSAL AVAILABLE FOR REVIEW AT 350 LOCATIONS

The complete draft clean water plan is more than 1,000 pages long. Copies are being placed on reserve for public review in each municipal building, and in each county planning office. Copies are also available for inspection in the NIPC office, the offices of four intercommunity councils, and in 75 libraries listed in this bulletin. Officials of agencies designated for plan implementation, and members of the Local Steering Committees and Areawide Advisory Committee will also have copies of the complete draft plan.

A 45-page summary of the draft plan will be sent to all clean water planning advisors and to persons who have been active in the basin planning process. Summaries will be sent to others who request a copy at no charge.

HOW YOU CAN GIVE US YOUR COMMENTS AND SUGGESTIONS

NIPC has tried to make it as easy as possible for you to tell us what you think about the draft plan. You may make a statement at one of the eight public hearings. As an alternative, you may submit a statement by mail, until July 8, or you may telephone a statement to NIPC between 10 a.m. and 4 p.m., during the week of June 26th. Telephone statements will be transcribed in the hearing record, or summarized there if they are longer than five minutes. Written statements will be reproduced in the hearing record in the form in which they are received.

northeastern illinois planning commission

400 West Madison Street Chicago, Illinois 60606

(312) 454-0400

Type**Good
Features****Areas Needing
Improvement**

This is an example of a poster/
mailer notice.

The notice emphasizes the alter-
natives for specific locations in
the community.

There is no mention of major
issues of public concern.

There is also too much technical
jargon; e.g., lateral sewer pro-
gram, extended aeration, rotating
biological contactors, two-stage
trickling filters, etc.

In short, the writer is assuming
too much knowledge about the
project in the community. Even
in a well-publicized and/or con-
troversial project, this is a
dangerous assumption.

The notice should include a con-
tact for more information.

PUBLIC HEARING
on the
Wastewater Management Plan
for the
Town of New Field

. . . to discuss the alternative solutions and the recom-
mended plan for the Boomis Heights, Plain Meadow,
West End Pond areas, and the Sewage Treatment Plant.

Boomis Heights

- Community septic system, alternatives 1 & 2
- Subsurface sand filter • Land application
- Conventional sewerage, alternatives 1 & 2
- Abandonment of dwellings

Plain Meadow

- No build • Lateral sewer program

West End Pond

- No build • Sewer to New Hartfield STP
- Sewer to Windsted STP

Sewage Treatment Plant

- Land application • Extended aeration
- Rotating biological contactors
- Two-stage trickling filters

The Date: Monday, April 5, 1978 **Time:** 7:30 P.M.
The Place: The New Field Town Hall

Type

Things to Consider

This is an example of a public notice designed to reach a specific audience.

In many instances writing a notice that can be read and understood by the affected public means taking the extra step of writing the notice in a language other than plain English.

When this extra step is taken, it is advisable not to give a literal translation of an English language notice. The notice should be actually *written* by someone with a good knowledge of the idiom and nuances of the other language. It may be advisable to seek assistance and advice from a member of the community.

Of course, the principles regarding content and distribution also apply to these types of notices.

美國農業部人類營養學研究中心 公眾聆聽會簡介

集會地點：昆市社區學院

日期：一九七九年五月廿日 時間：下午兩點半

美國人類營養學研究中心是個什麼的組織？
美國人類營養學研究中心是專為研究成人及老年人營養問題而設。該中心隸屬聯邦農業部，並由其直接管理。

該中心將在何處設立？

該中心將設立於波士頓市中心，史提頓街與華威頓街交界處之西南角，鄰近英丹區醫院對面之音樂劇院為毗鄰。地盤面積為二十萬平方呎。所設計之建築物高十五層。現時該場地正進行地盤工程。

該中心有何種設備及有何種職員在該中心工作？

該中心所有設備及器材均為該研究工作之計劃內而設計。其中已包括一個由八個不同工作部所組成之研究單位。另一個是容納廿至三十個門診病人的部門以供給本地醫學研究用之資料。職員辦公室、化驗室、專供實驗用之動物飼養室等。該中心將僱用職員二百廿八名。

該中心建設費用若干？

該研究中心估計約耗費二千萬元。該資金百分之七由聯邦政府負責支付。

建築工程何時開始？

計劃由一九七九年七月開始動工，預計於一九八一年十月全部工程完成。

該中心之設立，如何符合南灣區之更新重建計劃？

根據南灣市區之更新重建計劃，該地盤原指定作醫院建設之用。該中心之設立亦符合該計劃，則符合原定之目標。

該中心動工期間及完工後之土地用途，其聲響程度會否影響附近之安寧？

當該中心正式啟用後，由於該處之建築聲響程度，對附近之安寧，因

(2)

其設計將符合波士頓市噪音管制之條例。至於在動工期間，因專用打樁機，在短期內很難避免有較大之嘈雜聲響。所發聲響雖較較大之建築地盤噪音聲響劇烈，但英丹區醫院及鄰近英丹區醫院之書房樓，其次則為英丹區醫院及鄰近英丹區醫院之書房樓。有關方面將盡量減輕聲響之程度，但在動工之短期內聲響難免是免不了的。

泊車及交通問題，將受何影響？

預計在該中心完成後，每日將有車輛進出約二百五十次。雖然該地區現時交通之擁擠程度，此增加數倍，實屬重大之影響。又在該中心完成後，該區將失去現有之一百個車位之泊車場，而該中心亦不會提供職員之泊車位。雖然這樣會增加該區泊車之需求，但是現時附近之泊車場之容量，亦能應付所增加之需要。

波士頓區之公共設備系統能否供該研究中心之需要？

該地盤設有供水之規劃，廢物排水系統，風雨排水系統及暖氣，足夠供該研究中心之用。

在該中心內，會否使用化學藥品及含放射性之物質？

在該中心內，各實驗室及廚房均須用於食物分析及化驗營養成分之用。中心之實驗室內將有適當之設備來使用化學藥品，例如加拿大及其中間性產品之特別容具。研究中心亦將會用低層級之放射性物質，在實驗室探測營養成分在動物中之分布。一般專門之職員將負責控制放射性物質之應用，及其廢物之處理。

該研究中心之廢水及排水廢棄系統會否對該區之空氣有不良之影響？

該研究中心將用油煙爐燒煤，該系統發散煙氣之功能一定符合麻省空氣質量控制之標準。由於麻省居住環境質量網際工程部核准，在實驗室或動物相屋之辦公室，則將廢氣經由通風之系統排出。在一般正常情況下，則不必特別處理。若有必要時，該中心才有適當之設備及設施處理。廢水公共衛生署將帶帶備駐在動物相屋及實驗室內相鄰之標準。

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How to Work with the Press and Write Effective Press Releases

HOW TO WORK WITH THE PRESS AND WRITE EFFECTIVE PRESS RELEASES

SUMMARY AND BACKGROUND

Members of the print and broadcast news media represent an important audience of public participation programs. Keeping the news media informed on various issues of public concern, and educating reporters on the content of the planning methodology and the specific issues of a project, and the role of the public in the overall program, can mean better and more accurate reporting of public meetings and major decisions. Editors and reporters can help encourage public involvement and understanding through supportive editorials, well placed stories, feature articles, and access to various broadcast news and public affairs programs.

Media activities should match the project setting. A small rural community may have only one news outlet, such as a weekly newspaper. In that case, project staff would work closely with a local reporter or editor. A nationwide news campaign requires a multitude of activities directed toward national, regional, state, and local reporters and news outlets. Each level of activity -- local, multi-county, statewide, multi-state, and national -- has unique media challenges to address. The principles that follow should be tempered by experience, the locale, and the goals of the press activity.

Developing good press relations requires an open and flexible attitude and the availability of substantive materials developed with an understanding of the needs of the broadcast and print journalism industry. First and foremost, the press is looking for "news" -- the reporting of current events. Sometimes an event is staged to meet this need. For example, conducting a field trip for an advisory group and inviting reporters to come along, inviting reporters to attend a public meeting or hearing, or conducting a press conference, provides immediacy and a news perspective.

In general, the media is interested in facts and events, in names and human interest perspectives, in finding themes that will interest their readers (conflict and controversy), and in remaining neutral. Reporters are not interested in values, "truth", persuasion, and exhaustive technical detail. When preparing materials for the press, meet these needs of the media, and not necessarily the needs of an agency or organization. This will increase the likelihood of getting information about a program or group into the mass media.

Personal contact with reporters and editors is vitally important. Strong links to the media can be built through editorial board briefings, meetings with individual reporters, press briefings before major public events, and by preparing briefing materials that inform reporters. Keep a list of the

names, addresses, and phone numbers of all reporters who attend agency events, meetings, and press conferences. The chance meeting at such an event is the basis for a personal relationship.

Agency personnel should work with individual reporters and editors to develop articles and editorials. Press advisories and press releases should be well timed and constructed like a newspaper or broadcast story. In addition, agency personnel should aggressively pursue broadcast opportunities such as talk programs and weekly public affairs programs. Also consider inviting a reporter or editor to become a member of an advisory group to aid the public education/participation effort.

Working with the press should become a symbiotic relationship -- the press needs information and ideas for stories, and the agency wants to communicate with many audiences through the media.

THE ESSENTIALS

- I. What are some reasonable suggestions for working with the press?
 - A. Deal with the press on a personal basis, rather than relying solely upon standard press release distribution, if publicity for certain events is to be assured.
 - 1. At the early stages of a planning process, the staff should identify reporters and editors who might have a particular interest in a project, and develop close working relations with them. They will be more likely to provide substantive coverage at critical times.
 - 2. Reporters can be important sources of information about a community or region, and the major political leaders in an area. Reporters often enjoy talking about what they know.
 - 3. Continue to work with reporters as individuals for the length of a project.
 - B. Provide a fact sheet, press release, or brief official statement to back-up a reporter's notes. The handout represents one accurate source of information. Having a good release, however, does not guarantee against a reporter sensationalizing a story on a public meeting or hearing.

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- C. Don't quarrel with a reporter who prints or broadcasts an error. Instead, try for a follow-up story, an editorial, or a letter to the editor. Be positive. Use the situation to educate the reporter to get a more accurate story the next time.
 - D. If the agency/organization has access to a public participation or public information specialist, consult this person before making contact with the media. When the agency has contact with the press, inform the public affairs specialist of the contact and what was said.
 - E. Consult agency public affairs staff throughout the life of a project -- you may be working on a newsworthy project that could benefit from more public exposure and not even know it.
 - F. Recognize the time constraints of the print and broadcast news industry, and meet the deadlines of various news outlets as a way of helping reporters and your program. Each news source -- radio, television, weekly newspapers, and daily newspapers -- has different deadlines for production and printing.
 - G. Don't create controversy, but don't avoid it either. Take advantage of the heightened public visibility of a controversy by focusing attention on the facts and issues. Do not respond defensively. Controversy builds public interest and gets front page newspaper space and prime time broadcast airing. Turn controversy and negativism into something positive. Focus on the issues.
 - H. Never give quick off-the-cuff answers to reporters when they call. Tell the reporter you have to look through some material before answering his question, and promise to return the call within 10 to 15 minutes. Think through your answers, talk with others, and then return the call. Never give a "no comment" answer. Answer questions from written notes, and keep the notes for your record. For the broadcast industry, answer in short, written-to-be-spoken sentences.

II. What factors should be considered when preparing press releases?

- A. News releases are the most common, although by no means exclusive, means of communicating information to the press. Releases can be used to announce new programs; to focus the public's attention on changes in a department's rules or regulations; to comment on a local or national news development; to announce the issuance of a new or extended grant; to announce a public meeting; or to highlight a speech or testimony.
- B. News releases should follow an "inverted pyramid" style, in which the most important and newsworthy elements appear in the first paragraph, with additional information included in descending order of significance.
- C. The first paragraph should include the "who, what, where, when, and why." This establishes the news value of the story.
- D. When selecting the lead sentence or first paragraph, try to determine the most important or newsworthy issue to bring to the immediate attention of the reporter and the public.
- E. If the release covers a speech, include a good selection of COMPLETE QUOTES for the reporter who does not have the time to read a complete speech. Don't paraphrase a speech, as reporters are less likely to use an excerpt than an actual quote in their stories. Either include a copy of a full speech along with your release, or let reporters know where they can quickly get a copy.
- F. Reporters often prefer to transfer information or ideas through attribution or direct quotes. This transfers the responsibility for credibility or correctness on to the person being quoted. When preparing press releases, state the most important information in quotes attributed to a respected and qualified person. For example, you might write, "According to EPA Administrator Mary Doe '...,' Doe added, '...'. " Reserve the use of the third person style for providing back-up information.
- G. Where possible, supply a local angle when mailing many releases over a large region. Lists of place names, or local participants, help to provide a local perspective important to media outlets.

Another way to achieve this goal is to prepare "fill-in-the-blanks" releases to be completed and distributed by advisory group members in their own localities.

H. The heading on the top of a release should include:

- issuing agency and address
- release time (For Immediate Release or Please Observe Embargo Until), and date
- name and phone number of a contact person to reach for further information

You can use agency letterhead, adding the heading information, or design special news release letterhead. (See example).

I. A news release should be considered in large part a fact sheet conveying to reporters the information necessary to write an intelligent story. Anticipate reporters' basic questions about programs or policy, and include answers within the release.

J. A news release should be fairly brief, generally limited to no more than two double-spaced pages. A typical in-desk at a daily newspaper will receive 12-18 inches of press releases a day. If a release is too long, it simply will not be read. At the same time, the release must not be so sketchy that a reporter must dig for essential facts.

K. Press releases should be written in clear, concise, and understandable language. Do not use professional jargon or terminology that few reporters or citizens understand.

L. Use press releases selectively. Editors who receive many trivial releases from an agency will begin to ignore everything with an agency's name and address on it.

M. Effective press coverage will only be given to events considered "newsworthy." Address news values in press releases, such as drama, conflict, controversy, immediacy, nearness, timeliness, and pocket book and health impacts. Link messages to the interests of readers and potential impacts they can understand. Select press stories carefully.

N. Distribute the press release widely to broadcast and print reporters. Include weekly newspapers and "shoppers," and the newsletters of interested organizations, on the distribution list.

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- O. Releases of more than local interest should be distributed to the wire services, AP and UPI. Newspapers and broadcasters will often pick up wire service rewrites.
 - P. If the resources exist, write a different release for the broadcast media than the print media. Radio announcers in particular may not have the time to edit a release in newspaper style for the more conversational radio style. Broadcast releases should have short sentences, active verbs, and be concise. The copy should not run longer than 45 seconds when read aloud, about 90 words.
 - Q. Call interested reporters and inform them of the release and let them know they can call you if they have further questions.
 - R. Remember that television is a visual medium. Consider providing a color slide to television stations for use "on camera" while a story is being reported. When possible provide photo opportunities for television reporters.

III. What are some additional tools for working with the media?

- A. A PRESS ADVISORY informs the press of an upcoming event for which the agency would like coverage (i.e., a field trip, a speech, or a public hearing). It allows assignment editors and reporters to schedule major events.
- B. A PRESS CONFERENCE provides an opportunity for reporters to question officials on significant or potentially controversial developments. Always provide a handout containing basic information. In general, provide photo opportunities. Reporters will not attend a press conference unless the news or issue warrants it. Issuing a press release will suffice in most cases.
- C. A PUBLIC SERVICE ANNOUNCEMENT (PSA) is a brief statement on radio or television, broadcast free of charge, and used to publicize programs or events. They are generally limited to 10-30 seconds. They can be pre-recorded or provided as written copy for the station's announcer to read. Frequently, stations will provide free production assistance and studio time.

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- D. A CALENDAR INSERTION is a short notice sent to a weekly or daily newspaper to notify the public of an upcoming event. They appear in calendar sections of newspapers, and are used for announcing an event on a particular date.
 - E. An EDITORIAL BOARD BRIEFING is an informational meeting with senior editors of a newspaper, or radio or television station, for the purpose of answering questions and educating the editors about a project or agency. Either party may request the meeting. Use this technique sparingly.
 - F. A LETTER TO THE EDITOR is a written and signed correspondence for publication on the "op-ed" page of a newspaper. It is particularly useful for explaining and defending a point of view, a recommendation, or a conclusion. Some letters to the editor are accepted as signed guest editorials.
 - G. A BROADCAST EDITORIAL RESPONSE is the device radio and television stations use to provide equal broadcast time for people and organizations who disagree with a broadcast editorial. Generally, 30-60 seconds of on-air response time is provided during the evening news.

OTHER THINGS TO CONSIDER

IV. What rules govern media deadlines?

- A. Morning newspapers generally cover news events occurring between 9:00 am and 9:00 pm. Major stories may be filed as late as midnight. Morning newspapers typically come off the press before 5:00 A.M.
- B. Evening newspapers have deadlines of approximately 10:00 am for same day editions, which are usually published about 1:30 pm.
- C. The final hours before the daily newspaper is printed are hectic. Don't try to call an editor to have a talk or to arrange a visit during these busy hours. Wait for a quieter hour; early afternoon is best for both morning and evening newspapers.

D. Many Sunday newspapers have a deadline of Saturday noon. (Hence, a 2:00 pm Saturday speech should be provided to the press in advance.) Special Sunday newspaper sections may have deadlines of Wednesday or Thursday.

E. The largest audience for television news occurs at 5:00/6:00 pm. While important, the 10:00/11:00 pm news is second to the 5:00/6:00 pm news in viewer audience. Television stations require a minimum of two hours to transport, develop, edit, and write the copy for a piece of television news film. Schedule events to fit within the technical limitation of the industry.

Some stations use mini-cams, electronic cameras that use micro-wave systems to send film images directly to a station. Even with this technology, stations need to edit color video tape and prepare the written dialogue.

Only for exceptional stories will TV news directors hasten the process.

F. Radio receives its largest audience of the day during the morning (7:00-9:00 am) and evening (4:00-6:00 pm) "drive" times. These are the best hours of the day to appear on radio news programs. Schedule speeches, events, and interviews to place the agency on the hourly news during the drive time periods of the day. For example, a 1:00 pm call/interview may put you on the 3:00 or 4:00 pm news, whereas a 4:00 pm event will put you on the 5:00 or 6:00 o'clock newscast.

G. Many weekly newspapers are published on Wednesday or Thursday, with a Monday mid-day deadline for receipt of copy. Check with the local weekly newspaper for exact deadlines. When mailing press releases, leave plenty of time for the release to get to the weekly before the deadline. For releases without a timed deadline, mail the release 10 days in advance.

H. Pay attention to local and regional newsflows for periods of time when the agency can best expect good coverage. News flow refers to the pacing of news events in an area; sometimes much is happening and at other times little occurs. For example, Saturdays and Sundays are relatively quiet news days. Stories which might appear on Page 10 on a busy day might get front page play on a Sunday or Monday morning newspaper.

V. Can the media help meet public participation goals?

- A. The mass media may stimulate interest, but they do not provide sufficient depth of information to allow for informed and intelligent comments and criticisms at public hearings and meetings. Feature length stories, and publications such as report summaries and newsletters, are more effective. People with an interest in a project will read well-written and designed publications.
- B. The mass media play a useful reinforcing supporting, and legitimizing role for participants and a program. Active participants will often pay careful attention to the way the news media cover their activities.

However, people are selective about their reading, viewing, and listening. There is no guarantee that people will pay attention to print and broadcast messages.

- C. Public service announcements do little to attract people to public meetings, but may serve to remind someone who had planned to attend the meeting. (see public meeting chapter for techniques to increase attendance).
- D. Broadcast news programs deal with timely news, but not necessarily with general public affairs or issues in depth.
- E. Radio and television talk programs, interview programs, and other public affairs programming can be effective in raising public awareness of a process and events. To be effective, however, locally oriented programming must be used in-depth by an agency. A single program or two will not reach enough people; using every available news and public affairs program within a limited time period may reach many interested people.
- F. While Americans turn to broadcast media for news, they turn to newspapers and magazines for an in-depth understanding of issues and for editorial comment. Also, while the broadcast media serve a regional market, most newspapers reach a local market.
- G. The use of purchased advertising space or time to announce major public events should be considered as a communications tool. People are used to receiving

messages through advertising. Under certain circumstances, this medium is useful for public participation and information programs.

EVALUATION

- VI. What are some questions to ask when evaluating a program of working with the press?
- A. Has the agency or organization clearly identified those issues it wishes to present to the public through the mass media?
 - B. Does the agency have a list of personal contacts in the media to call upon at appropriate times? Do reporters occasionally call the agency seeking information?
 - C. Does the agency find that its press releases are picked up by weekly and daily newspapers, and by radio and television news programs? Does the agency have a clipping service or some other way to monitor the success of its press programs?
 - D. In its public participation work plan, does the use of the media represent a reasonable proportion of proposed public information activities?
 - E. Has the agency aggressively pursued broadcast opportunities such as interview programs, call-in radio programs, television news features, and other radio and television program types?
 - F. Does the press regularly attend agency events such as meetings, press conferences, and field trips?
 - G. Has the press fairly represented the points of view of the agency in its stories and reports? Do reporters seem knowledgeable about the major questions and issues of the project?

NEWS SOURCE:
AGENCY NAME

United States
Environmental Protection
Agency
Region I

Office of
Public Awareness
John F Kennedy Federal Building
Boston, Massachusetts 02203



NEWS RELEASE
LETTERHEAD

Environmental News Release

Contact Person

RELEASE
INFORMATION

FOR IMMEDIATE RELEASE AUGUST 28, 1980 Elizabeth M. Strock
(617)223-4704

Adams Urges Creativity in Water Pollution Control

The environmental movement is entering a period of economic austerity and environmental administrators should be prepared to tighten their belts, according to EPA Regional Administrator William R. Adams, Jr. Mr. Adams made his remarks before the annual meeting of the Association of State and Interstate Water Pollution Control Administrators in Burlington, VT.

Mr. Adams said that government at all levels is feeling the pinch of inflation and tight money and that we cannot really expect to see any increases in funding to state water pollution control programs. In addition, Mr. Adams said, "There is a very strong anti-regulatory atmosphere on Capitol Hill. In this election year, I believe that elected officials are going to be very sensitive to that feeling and are not going to be inclined to authorize increased spending. We as environmental administrators are going to be the subjects of increasing Congressional scrutiny and we are going to have to tighten our own belts before they are tightened for us."

Water programs are perhaps the oldest and largest of the environmental programs. For fiscal year 1981, the Environmental Protection Agency nationally has \$240 million and 3,600 positions for water programs. The states will

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Related and Supporting Skills



How to Make Better Presentations at Meetings and Hearings

HOW TO MAKE BETTER PRESENTATIONS AT MEETINGS AND HEARINGS

BACKGROUND AND SUMMARY

Public presentations play a major role in public participation programs. Presentations afford opportunities to communicate in person, educate, and persuade. Many people learn best by listening and viewing, and then asking questions. Recognizing some simple rules for making presentations and paying attention to style and process has much bearing on effectiveness. The impact of presentations is, in part, related to the human interaction involved. Making a strong impression, and passing on valuable information, can help to reach many planning and participation goals. The guidelines in this chapter apply in small, medium, and large communities.

Information presented must be new and useful. Don't just repeat information available in printed materials. Assume the attendee has already read handouts and newsletters. Highlight essential information presented in printed materials, and expand upon it. Establish as much human contact as possible. Greet friends and acquaintances in the audience. Don't speak down to the audience; speak directly to them. Use several different elements in the course of a large meeting, such as a formal speech, time for questions and answers and possibly interactive exercises. Use graphics and audio-visual aids to enhance communication and education. Graphic materials can help the audience conceptualize and understand complex material. Make the room work for you by controlling such environmental factors as lighting, seating, and temperature. Recognize always that you are involved in direct human communication, that you have a captive audience with members present to listen and talk, and that the very nature of public speaking gives the speaker power and control. Anticipate the audience's needs and potential questions. Above all else, plan your presentation. Organize your thoughts. Know what you will say.

The keys to effective presentations are innovation, illustration, and demonstration. Public speaking is not unlike theater -- it is a process where communication of information and ideas is paramount. People will remember unusual presentations. Help them to relate information to aspects of their lives. Visualization helps to accomplish this goal. Finally, be credible, honest, and open.

THE ESSENTIALS

- I. What are some of the factors to consider when preparing and giving a speech?
- A. Plan your speech. At a minimum, prepare an outline of goals, major issues to be discussed, and information to be presented to support main themes. Consider the needs and desires of the audience as well as the needs of the agency or grantee.
- Evaluate the needs, goals, and starting perspectives of the audience, and let this analysis influence the form of information presented. Consider such things as whether audiences are likely to be friendly or unfriendly, lay or technical in their background, and whether they want only to listen or to respond and contribute.
- B. Work from an outline or prepare a full speech based on an outline. Writing out a speech gives many people more confidence and is one way of assuring that all points are covered.
1. Personal style is the most important determinant of how materials are organized for a presentation. Some people like to work from a written outline, some from 3" X 5" cards, some from a full written text, some from slides, and some from flip charts or briefing charts.
 2. Feel comfortable and familiar with your chosen medium of organization. Use it as a support when presenting.
- C. When planning your presentation, consider an "old chestnut" of public speaking -- "Tell 'em what your going to tell them, tell 'em, and tell 'em what you told 'em."
1. This recommendation is not meant to be derogatory.
 2. It recognizes the importance of reinforcement in adult learning. It completes the communication for the listener. For people who arrived during the middle of a presentation, it informs them of what they missed.

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3. It recognizes the importance of organizing, highlighting, and summarizing main points for the audience. It serves to clarify main themes for the audience at the end of the presentation.
- D. Recognize that in most settings -- even among hostile audiences -- the public speaker is perceived as a credible and respected source of information and ideas. The presenter inherently has power based upon the role of primary speaker and because of control over information and other resources.
1. The assumed credibility can be lost if the presenter speaks without knowledge or conveys disorganization. Good preparation prevents this from occurring.
 2. Project an air of confidence. The audience naturally assumes that the speaker is confident and competent. Let the perception continue even if you feel nervous.
- E. Draw the audience in. Don't just speak "at" the audience, but ask them rhetorical questions and make thought-provoking statements that hold their interest.

One way to draw out the audience is to find out who they are -- consider using an icebreaker or warm-up exercise based upon asking the audience questions that will reveal their backgrounds, interests, and perceptions. The answers to the questions help to build a group profile. If the goals of the meeting call for involving the public, this technique begins active participation at the beginning of the meeting.

- F. Use short sentences when you speak. Avoid professional jargon and complex terms, if possible. Define all concepts and words not easily understood by lay audiences. Avoid creating a "we-they" attitude.
1. Planning, preparation, and careful choice of words can avoid the perception of speaking down to an audience.
 2. No one wants to turn off an audience. It can be an inadvertent result of speaking to an audience as if they had a knowledge of technical, governmental, or other professional terms.

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- G. Use illustrations and examples from the state or locale to help communicate and bridge the gap from technical information to local understanding.

People are most interested in the places and people they know. Using locally based slides or graphics helps local people to better understand issues and solutions relevant to them.

- H. Use audio-visual (A-V) and other graphic materials to help you communicate. People learn better and retain more of what they learn if both their eyes and ears are used. The chapter on audio-visual materials provides more information on the use and effectiveness of A-V.

- I. Practice your speech before others or alone using a video or audio tape recorder. If other people are involved, have them evaluate the speech for length, logic, clarity, interest level generated, rate of delivery, voice level, conversational pattern, and usefulness of graphic aids.

- J. Calculate how long your presentation will take. Make sure it will fit within the allotted time. Make modifications as necessary.

1. A presentation represents an implied contract beyond a speaker and an audience. Once a schedule is set in an agenda or meeting announcement, the schedule should be met.

2. Consider starting a speech or program by saying something like, "I will speak on "X" subject for "X" amount of time. Then I will take questions." This type of statement establishes ground rules and expectations for the audience.

- K. When giving the speech, vary the pitch, speed, and volume of your voice. Enunciate clearly.

1. As in acting, varying the sound and pitch of the human voice helps to hold the audience's attention and interest.

2. A droning monotone lulls the audience and rarely excites them. Do not feel inhibited to use the full range of your voice. A theatrical approach can help communication and learning.

- L. Nervousness is a common problem among public speakers. Some speakers feel more relaxed if they take three deep breaths before starting. Others

hold on to the sides of the podium for comfort and stability. Find a technique that works for you.

Start by talking to just one "friendly" face in the audience, as if you were having a personal or professional conversation. As you progress in your speech, let your eyes move to other members of the audience. Find two or three people in the audience to "talk to" and move your eyes from person to person. Think about public speaking as many one-to-one conversations occurring at once, rather than as one person speaking to a hundred people.

Some people have found adult education or college courses in public speaking helpful. Others have found commercial courses like the Dale Carnegie Institute and Toastmasters the best way to gain public speaking practice and to increase confidence. Consider them.

- M. Dress and appearance may have a bearing on how a speaker is received by an audience. Feel comfortable in your dress. Make it neat, but not flashy or conspicuous. Clothing should not distract the audience. In general, business-like attire is the least conspicuous.

Recognize the importance of non-verbal communication as stated through posture, clothing, facial movements, and body movements. The chapter on conflict resolution contains information on non-verbal communication.

OTHER THINGS TO CONSIDER

- II. What are some of the answers to common questions raised by EPA employees, grantees, and others concerning presentations?
 - A. It is not unusual to lose track of a thought, or to blank out mentally, while speaking in public. If this happens to you, consider using flip chart outlines, or a slide outline, to remind you of the major points you wish to make. If you use a paper outline or 3" x 5" cards, place a mark on the parts of the outline completed, or place the cards face down. It will be easier to find your place if you do lose your train of thought.

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- B. Should you inadvertantly skip a piece or block of information in a presentation, just continue with the presentation if the information is not crucial. No one other than you will know that something has been left out.
1. Try not to digress in your speech as this may prove confusing to the audience.
 2. If the piece of information is important, weave the information into the current topic of your presentation.
- C. Do not wait to prepare your speech while on your way to a meeting site. Plan ahead. You cannot do your best at presenting or persuading by "winging it."
- D. If you think the audience of a presentation is likely to be angry or hostile, consider going to the meeting early to talk to several individuals about their fears and concerns. Present this information to the group in your introduction. Recognizing and acknowledging their fears can go a long way toward showing that you are listening and sensitive to their needs.
- E. If you are asked a question and do not know the answer, don't answer it. Be honest; don't make up an answer. You risk losing credibility and respect by giving a false or partial answer. State that you don't know the answer, but promise the group that you will get back to them by a certain day with an answer.
- F. If you have run out of time in answering questions at the end of a presentation, consider pointing out and introducing key staff people, and tell the audience they will be available to answer questions or accept comments for a half hour after the meeting. Stick to the closing time announced at the beginning of the meeting or presentation.
- G. When dealing with hecklers or troublesome people in the audience, remember that you have the power and control. Don't lose it. The public meeting section contains some recommendations on how to deal with troublesome situations at meetings and presentations.

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- H. If you have handouts, don't let them become a distraction during a presentation. They should provide reinforcement following an address. Consider giving them out after the presentation, unless the audience will use them during the presentation or will have an opportunity to review them in advance of the presentation.
 - I. If you use audio-visual products, practice working with the material and hardware to get the timing down tight.

III. How are graphics useful in increasing the effectiveness of presentations?

- A. Graphics are used to visualize ideas and concepts. They help people to understand what you're saying by adding visual dimensions to your words. To many people, the combination of visual and oral information makes for easier learning.
- B. Use local photographs and slides when discussing general problems and issues. While a general problem concerning water quality, for example, may elude someone, showing a polluted local stream can bring the issue home.
- C. Use charts and graphs to support the presentation of numerical information.
- D. Develop sketches and drawings to convey various designs and plans.
- E. Use local maps to show the location of projects, and to convey information on land use and character.
- F. Line drawings and cartoons are useful for making points not easily displayed in another graphic form.
- G. When preparing graphics, make sure they are not too crowded in detail. Do not over-use color. See that line detail, letters, and symbols are bold enough to be seen from the back of a room.
- H. Practice presenting the full program using graphic materials so you are familiar with their use and order.
- I. Consider giving participants standard paper size copies of various graphic aids used in your presentation. They will be able to write on the paper copies, and have them for future reference.

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- J. Mix different graphic types in a single presentation: For example, you might want to use slides, slide tape, overhead projections, or films, for the major portion of a presentation. Once the lights are turned on, you might want to refer to maps which the audience can then peruse after the formal part of a meeting. Also consider placing materials for display on large mounted display boards. The combination of media performance followed by a live presentation works particularly well.
 - K. Be innovative. For example, hold up gallon jars of different colored waters, or pass low flow water conservation devices among the audience. These "involving" techniques all help to communicate, inform, and visualize.

NOTE: See the chapter on audio-visual and visual aid products for more information.

IV. How does the seating arrangement affect the potential outcome of a meeting?

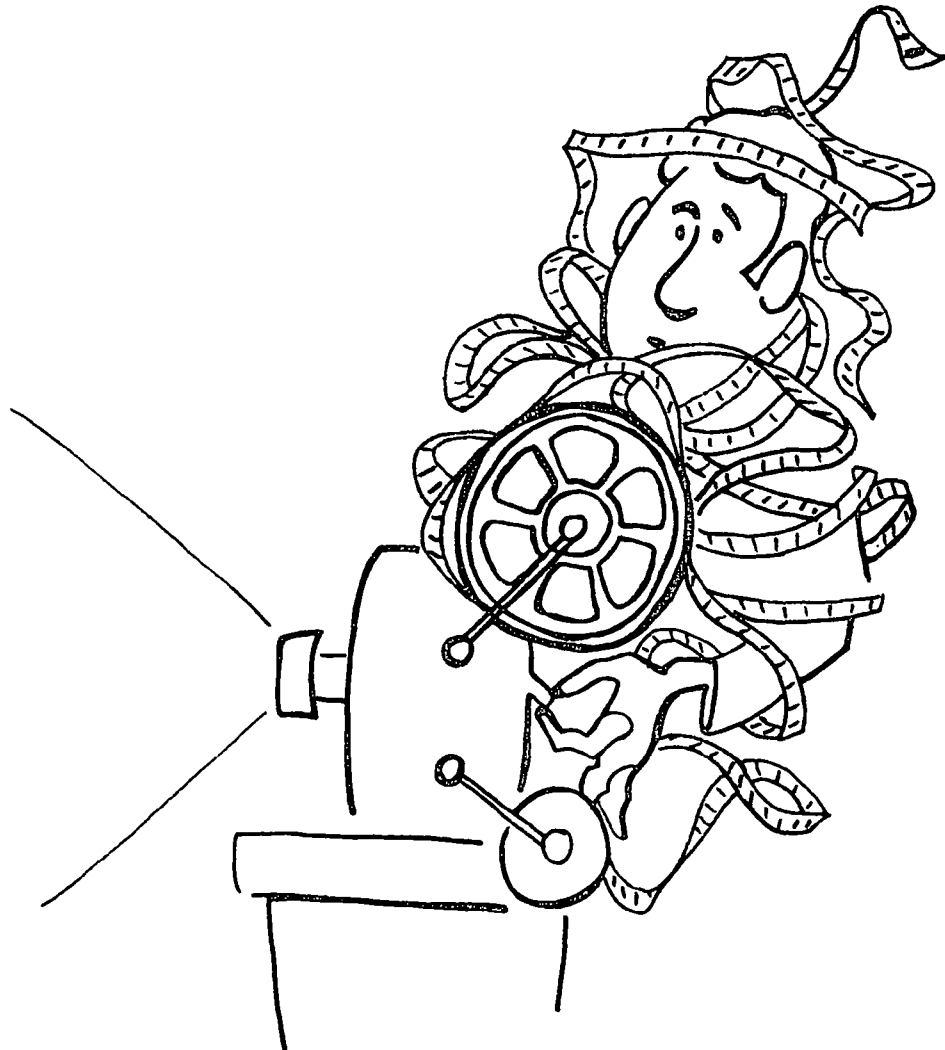
- A. Meeting arrangements facilitate the interaction and flow of information in a room. Formal public meetings have the goal of one-way or two-way communication. Informal meetings often have the goal of complex communication where each of the participants communicates with one another. Seating arrangements can control the type of communication possible.
- B. For formal meetings, a theater or classroom arrangement facilitates one-way or two-way communication. In this arrangement, the audience faces the speakers, who are located in the front of the room. The power to control both content and process is held by the people running the meeting.
- C. For small discussion groups, seating members at a round table facilitates the most interaction. No power relationships exist based on seating location, as all seats hold the same value. Next in order of preference is a square table. For larger groups, putting several rectangular tables together to make a large square works well. Communication will occur both across the table and from side-to-side. Plan on two or three feet per participant sitting at a table when you plan your meeting space.

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- D. Seating arrangements should be based on the maximum number of expected participants.
 - E. For small groups, group dynamics specialists have found that in groups of 5-7, people will generally speak to one another; in groups of 8-12, "quiet" participants generally only talk to the group leaders; and in large discussion groups of more than 12 people, 5-7 people will tend to dominate the group.

EVALUATION

- V. What are some questions to ask when evaluating presentations?
 - A. How was the presentation received by the audience? Did it meet its intended goal?
 - B. Did the presentation meet the needs of the audience as well as of the agency or grantee?
 - C. Did the presentation include a variety of formats, or audio-visual or visual aids to hold the attention of the audience, and increase the retention of information?
 - D. Did the presenters practice their part of the program in advance?
 - E. Is there a need for training in presentation and public speaking skills for agency or grantee staff?
 - F. Were public participation specialists consulted in the preparation of materials?
 - G. Was the presentation previewed and critiqued by non-staff people such as an advisory group or other interested citizens?
 - H. Was the presentation consistent with past presentations in concept, information and goals? Will it be possible to build upon the presentation for future activities?
 - I. Was the presentation evaluated by the audience? If not, why not? If so, what did the evaluations reveal that might suggest improvements for future presentations?

J. Was the person who gave the presentation the proper person to do it? Was the person knowledgeable? Respected? Known to the audience?



How and When to Use Audio-Visual (A-V) and Visual Aid Products

HOW AND WHEN TO USE AUDIO-VISUAL (A-V) AND VISUAL AID PRODUCTS

BACKGROUND AND SUMMARY

Audio-visual and visual aids help to create mental pictures of products or events, thereby reinforcing learning and improving the retention of information. They improve understanding by helping the audience to conceptualize problems, issues, or developments. Visual products improve presentations by increasing audience interest and recall. Audio-visual products in general, and film in particular, are highly persuasive communication devices. They have a place in small and large communities.

Audio-visuals and visual aids include a wide variety of communication products including: slide programs, slide-tape programs, overhead projections, movies, flip charts, video tapes, video cartridges, and video discs. Each element of an audio-visual product -- a single slide or a page of a flip chart presentation, for example -- must be simple and contain only one message. Placing more than one message on a single image confuses the audience and diminishes the potential impact of visual media.

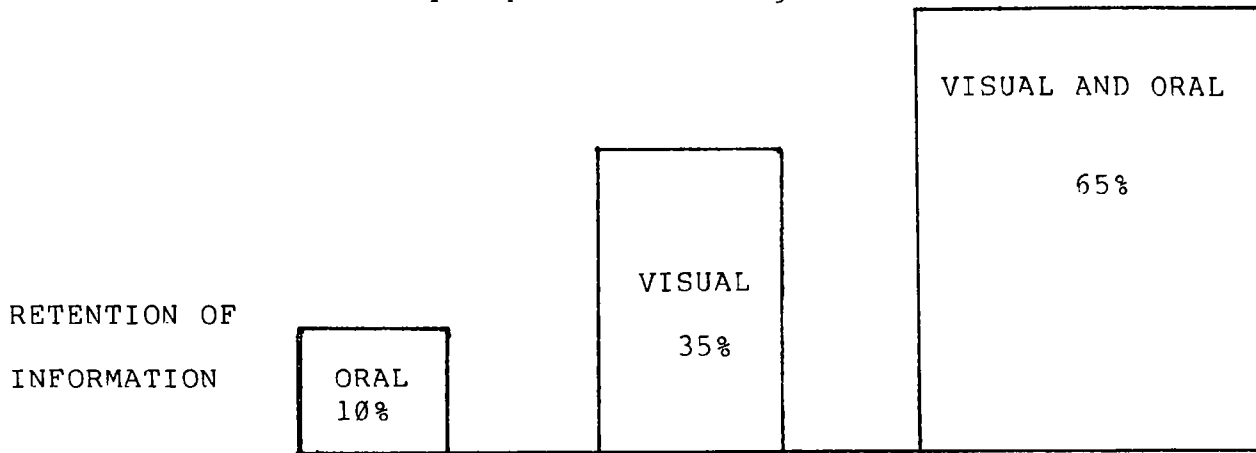
For all A-V products, a thorough analysis of the agency/program goal -- what you want to say -- should precede production. Prepare a detailed outline of the desired content of a given product. Then begin to collect the images and elements necessary in the program. Freehand sketches, color images from magazines, annual reports, and other glossy publications, can yield high quality but inexpensive material for slide programs, video programs, and films. Audio-visual products should tell a complete story and highlight the most important themes or issues. While A-V materials can be expensive, many shortcuts are available to produce high quality but low budget programs. This is especially important for small communities or programs with low budgets.

THE ESSENTIALS

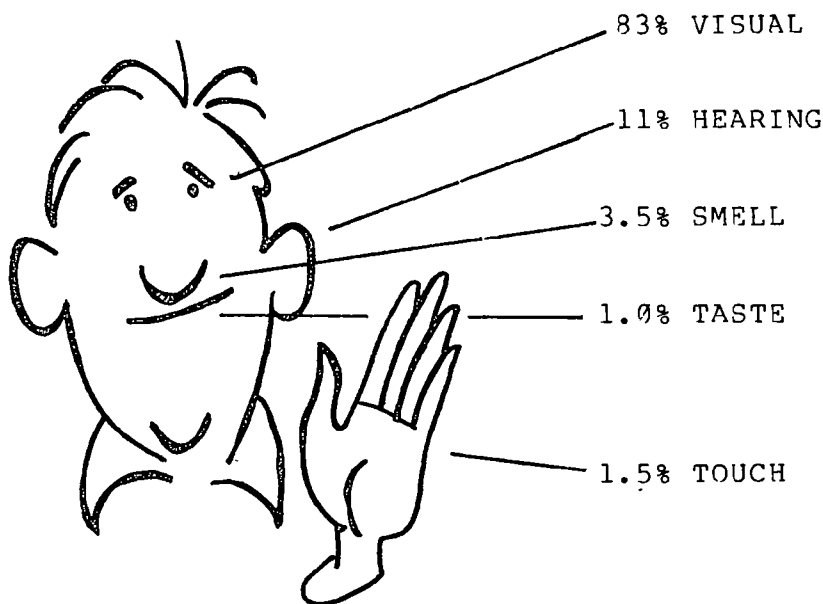
- I. Why should audio-visual products and visual aids be used in public presentations?
 - A. Visual aids and audio-visual products improve impact, interest, and the retention of information and ideas.
 1. In many studies, experimental psychologists and educators have found that retention of information three days after a meeting or other event is six times greater when information is presented by visual and oral means than when information is presented by the spoken word alone.

2. The studies suggest that three days after an event, people retain 10% of what they heard from an oral presentation, 35% from a visual presentation, and 65% from visual and oral presentation.

Memory Improvement Using A-V



- B. Studies by educational researchers suggest that approximately 83% of human learning occurs visually, and the remaining 17% through the other senses -- 11% through hearing, 3.5% through smell, 1% through taste, and 1.5% through touch.



II. What are some common audio-visual techniques?

- A. Audio-visual products fall into one of two categories -- simple, single image media, or more complex multiple image media or "images in motion."
1. The simple, single image media cover those technologies that rely upon static images, and include overhead transparencies, 35mm slides, 35mm film strips, 35mm slide tape programs, and flip charts.
 2. Multiple image media include films, film-o-graphs, video tapes, video cartridges, and video discs.
- B. Each A-V technology, like all public participation techniques, must be evaluated on the basis of agency capabilities and budgets, the agency goals in the overall public participation program, and the intended audiences.

The availability and cost of production facilities, equipment, means of distribution and duplication, and available staff expertise, all affect the budget.

III. What are some specific audio-visual techniques, and what are their relative advantages and disadvantages?

- A. 35mm slides and slide programs
1. 35mm slide programs are a medium well known to most audiences. They can project a professional image for the agency, have great impact on an audience, are flexible, relatively inexpensive to produce, and if necessary, can be produced quickly.
 2. Slides, like photographs, have high credibility with audiences. Viewers looking at photographic slides taken in the field often feel that seeing is believing -- hence the power of slides. In addition, slide programs are not limited to field photographs. The best slide programs often mix field photographs with slides of charts, graphs, and other supporting images.
 3. The only hardware required is a slide projector and a screen. Slide programs are easy to package in slide trays. Changes in slides or in

their sequencing can be done rapidly to meet changing conditions or audiences. Note: See Section V for a description of low-cost slide show production.

B. Slide-Tape Programs

1. Slide-tape programs are self contained. They have a prerecorded sound track that is coordinated with the slides through the use of an electronic synchronizer. The recording tape includes electronic signals that activate a connected slide projector so that image and sound are perfectly coordinated.
2. Slide-tape programs are like movies -- they can take the place of a speaker, or augment a live presentation. They can be used in rear view projection devices for continuous showings at fairs and workshops.
3. They do not have the full impact of a film, but for a fraction of the price of producing a movie, slide-tape programs can meet many similar program needs. They have the advantage over film of flexibility -- slides can be changed quickly to meet the needs of specific audiences. The sound track remains the same, or several sound tracks are produced, each targeted to a specific audience or area.
4. They can be produced "in-house," or by a private firm (listed in the Yellow Pages under "Audio-Visual Production Services." If produced by the agency, a master tape must be prepared in a recording studio. The tape is based upon a written script, and can contain any mix of audio material, including interviews, sound effects, music, and a narrator's voice. Slides and script must be coordinated.

C. Overhead Transparencies:

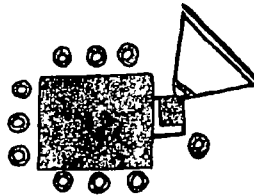
1. Overhead transparencies can be made quickly, simply, and inexpensively. A transparency can be made in minutes from camera-ready art using a standard office paper copier. The standard transparency size is 8 1/2" x 11". The only piece of hardware required is an overhead transparency projector.
 - a. Most manufacturers of paper copiers offer clear and colored acetate sheets that run through copying machines like paper, but

transfer a black image onto acetate for use as overhead transparencies. Any camera ready image -- words, illustrations, charts, and diagrams -- will transfer to the plastic material.

- b. Colored gels can be added to any base color acetate to provide diversity and highlighting. Simply cut a piece of colored acetate gel, available at art stores, to the shape and dimensions needed to highlight a particular part of a transparency. The second (or third) color is taped to the edges of the transparency with clear tape, or glued over an area with clear invisible adhesive such as spray adhesive.
 - c. Permanent ink color marker pens are available for use in hand coloring parts of an overhead transparency.
- 2. Overhead projections have many advantages -- they are easy and quick to prepare, versatile, flexible, and relatively inexpensive to produce. There are disadvantages as well. The projected image size is sometimes too small to be seen from the back of a large room. Often, the image does not sit square on the screen, as the head of the projector is tilted to increase the size of the image. Some speakers can not easily write on the transparency while it is on the projector. Sometimes the projector head gets in the audience's way. Some speakers feel captive to the machine, because they must change each transparency by hand.
 - 3. Overhead transparencies can be developed during a presentation by marking on acetate sheets with water soluble or permanent transparency pens. The same approach can be used to add information to existing transparencies. In both cases, a damp tissue can be used to wipe information off a transparency that has been marked with water soluble ink.
 - 4. Opaque objects placed on a projected transparency create a shadow or silhouette that serves to highlight information. For example, a rubberband on a transparency makes the

impression of words being circled; a swizzle stick or other pointed object can be used as a pointer or word highlighter; a straight piece of wire can be used to underline key words or phrases.

5. A 45 degree angle to the audience is the most effective location for an overhead projector and screen. This provides for the least obstructed view. Ideally, the projector would sit on a table lower than surrounding tables or platforms which makes it less imposing.



6. Transparencies with too much information -- especially typed pages designed for a printed piece and transferred to acetate -- are confusing. Keep transparencies simple.

D. Film Strips

1. A film strip is a media product that contains visual information on a continuous strip of film. The information may be identical to that of a slide program. They are constructed in a manner similar to slide programs. Unlike slide programs which are easy to change and adapt to local conditions, film strips cannot be easily changed from their original form. They are easy to carry around, and the user never has to worry about images getting out of sequence, or of some images appearing upside down. Film strips require the use of a specially designed projector, often available at local public schools.

E. Flip Charts and Other Charts

1. Flip charts are large sheets of paper or posterboard on which key words or graphics are penned. They serve as visual aids during presentations, provide information, and give audiences something to look at other than the speaker.
2. As in all audio-visual products, each sheet of paper should contain one idea or theme.

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3. Words, charts, diagrams, and other symbols must be penned in a large enough size to be seen by people furthest from the speaker. See Section VI for more information on this topic.

F. Films

1. Film is considered the most powerful and persuasive communications tool yet developed. When audiences sit in a darkened room and watch a moving image on a larger-than-life screen, they are susceptible to direct and indirect emotional appeals. People are often moved by the combination of acting, dialogue, musical sound track, visuals, and special effects. This aspect of film making must be considered even if the goal of an agency is to produce a balanced documentary or informational film.
2. Film is expensive. Less expensive documentary films done at a university film center will often cost at least \$1,000-2,000/minute, or \$30,000-50,000 for a half hour film. Movies produced at a professional film production house often cost much more -- \$50,000-100,000 for a half-hour film.
3. Producing a movie takes expertise and experience rarely available within a government agency. A producer, director and writer are needed to research, write, and plan the film; they are supported by lighting, sound, camera and lab technicians. (See Section IV for information on managing A-V production.) Film is expensive because of the large number of people involved in every phase of film production, and the high cost of film processing.
4. Films can be copied and shown in many places at once. Often, films can be broadcast on local television stations to increase outreach and impact.
5. The content of films should not be timed to a specific event or activity. Because of high production costs, films should remain relevant for a long period of time. Broad perspectives should be emphasized, and supported with local examples.

G. Film-o-graphs

1. Film-o-graphs are films made from still images such as photographs, slides, charts, and original art work. Live motion sequences are not included. The process of building a film-o-graph is not appreciably different from constructing a sophisticated slide program, though the finished product is more sophisticated and in the form of a 16mm film. Rather than use a copy stand, an animation camera is used to individually photograph images. Most 16mm movies contain 24 frames per second of film. Six frames are needed to leave a lasting impression in the mind (one-quarter of a second). Hence individual images may be photographed six-ten (6-10) times in a film-o-graph. Individual images can be dissolved into one another, or can be photographed so as to create the effect of rapid movement of one image to another. Film-o-graphs can carry a sequenced sound track like a traditional film; they can also be made without sound tracks.
2. Their main advantage is low cost. Because the entire film is made in a studio, the costs for film-o-graphs can be as low as one-quarter to one-half that of a motion picture film. Fewer people are needed in production, less raw film is used, and production time schedules are shorter.
3. Film-o-graphs are a good second choice if the agency can not afford a full fledged documentary. Like film, a well made film-o-graph has power, impact, longevity, and high retention value.

H. Video Tape and Video Cassettes

1. Video tapes and cassettes represent different versions of the same technology. Video tape is an open reel of tape that electronically carries both a picture and a sound track, while a video cassette is no more than a convenient way to package video tape for easier use. It is comparable to audio tape cassettes.
2. Most commercial television programs are recorded and broadcast on video tape. Videotaped programs can be recorded and broadcast

immediately. Playback is through some form of television set, from small home sets to large commercial screens. Videotape can be edited.

3. Compared to film, videotape is an inexpensive medium. The basic hardware consists of a videotape camera, a videotape recorder/editing deck, and a playback screen (a color or black and white television set). Complete, light weight portable black and white half-inch video systems can be purchased for as low as \$1,500-2,500. Cassettes and reels of tape are reusable; a sixty minute black and white cartridge costs less than \$25.00.
4. Videotape can play multiple roles in public participation programs. The hardware is versatile, and open to creative applications by staff and public participants. Some possible uses include:
 - a. Create a visual record of an especially important public meeting, workshop, or advisory committee meeting for citizens and officials unable to attend.
 - b. Prepare videotapes of site investigations and other field activities for citizens and officials unable to attend.
 - c. Use videotape as a training and learning tool. Agency representatives can practice presentations before a video tape camera and critique their own performances. Actual presentations before the public can be recorded for a similar analysis and evaluation after the event.
 - d. Provide videotape equipment to active citizens, and encourage them to record their questions and concerns in a visual format.
5. Videotape equipment is easy to use. A single button generally turns on the video/audio recorder. The camera is focused like a home movie camera, except that the image is viewed through a small television screen (about 2" x 2") built into the camera's eyepiece. Practicing and playing with the equipment is the best way to overcome hesitations about its use.

Some citizens and officials feel uncomfortable when they know they will be videotaped. For some people, videotaping represents an invasion of their privacy. Be sensitive to these people's needs. Videotape can prove a useful tool only so long as the staff and public do not feel threatened by it.

I. Video Discs

1. Video discs represent the latest in audio-visual technology. A video disc is the visual equivalent of a phonograph record -- it looks like a standard 33 1/3 rpm record. However, here the comparison ends. The disc contains pre-recorded television signals that contain an audio and visual message. The disc is played back through a video disc player that serves the same function as a record player. Their ease and convenience, relative low cost, and market availability (as a result of a massive marketing and sales effort by major manufacturers planned for the early 1980's) will make them common items in this decade.
 - a. Initially, video discs will only come pre-recorded. Video disc players will be available, but not recorders. The industry claims that the production costs of video discs, as well as the technological advantage of having instant access to any part of a 60 minute program, will make them competitive with videotape.
 - b. As a pre-recorded medium, video discs could be used by government agencies in training, education, and career advancement programs. They may also be used to train or educate members of citizen advisory groups.

IV. How can an agency plan and manage non-agency production of audio-visual and visual aid products?

- A. Many times, an agency or grantee will contract for audio-visual production from private firms. Because of the creative and artistic nature of audio-visual products, some managers have had difficulty getting the product they had in mind -- they sometimes receive the product that the producer or director had in mind. Ways to minimize conflict, and receive the desired product include:

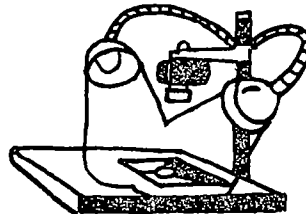
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1. Clearly identify in a Request for Proposals (RFP) or other written document the purpose of the product, the intended audiences, how the product will be used and by whom, time schedules, and budget resources.
 2. View audio-visual materials the firm has produced in the past to make sure that the firm has the artistic and technical capability to perform the tasks outlined in the RFP.
 3. Meet with the producers and directors the agency would work with if the company were to receive the contract to make sure that the agency personnel working on the project can work successfully with the audio-visual consultant.
 4. Include artistic and creative parameters in the qualifications the agency will use in choosing a production house. Do not choose a consultant based on price alone -- make sure the firm has the staff, equipment, and experience to produce the product the agency has in mind.
 5. In the RFP, request final editorial review at each key planning and production stage -- after the preparation of outlines, review of raw film footage or slides, review of a draft program or film, and review and critique of the proposed final product. While this approach requires a large investment of agency time in project management, it is the only safe way to ensure the agency is satisfied with -- and then uses -- the audio-visual products purchased.

OTHER THINGS TO CONSIDER

V. What are some techniques for producing inexpensive slide programs? (Note: The following material details step-by-step techniques for making slide programs. It is included in this handbook so that small communities and programs with low budgets will have the information necessary to use this popular, inexpensive A-V technique.)

- A. Building slide programs "in-house" can be accomplished speedily and at low cost. Turning to professional slide and film production studios is often very expensive.

1. On field trips to project sites, agency staff should consider taking photographs for future use. Building a slide library containing photographs of each stage of a project's development and having slides of related projects, provides a base from which to build a slide program.
2. Catalog and categorize slides, and place a date, location, and other relevant information on each slide.
3. Any two dimensional graphic such as color photographs, diagrams, charts, and cartoons clipped from magazines or other well printed publications, report covers, original art work, blue prints, and newspaper headlines can be photocopied to make slides. Understanding how to do this can save time and money.
 - a. The easiest camera to use for photo copying is a single lens reflex camera (SLR), because the user can see the exact dimensions of the image to be photographed through the viewfinder. Some range finder camers can be used in photocopying, though they require special hardware to be used, such as copy stands with set leg lengths.
 - b. Several pieces of equipment in addition to a camera are also needed: (a) a copy stand (or a very steady arm) to hold the camera for the precise focusing required in photo copying, (b) a source of light -- either artificial light from photo flood bulbs or a photography area with predictable amounts of indirect sunlight. Many copy stands come with attached lights. Artificial lights should be used in pairs, and directed at the copy at a 45 degree angle,



(c) A close-up lens system -- a normal 50-55mm lens cannot focus close enough to many printed materials to make slides. Some type of special lens -- either an auxiliary close-up filter or a macro lens is needed. A macro lens is a lens designed

for close-up photography. A less expensive way to meet the same objective is with a set of close-up filters. These filters look like standard glass filters, but are actually magnifying lenses for a camera. They are sold in sets of three, with additive powers of +1, +2, and +3. They can be used individually or in any combination up to +6. They cost less than \$20.00 a set. The other two close-up options, bellows and rings, do not work well for photocopying, (d) A cable release -- a cable that trips the shutter without moving the camera.

c. The camera is placed on a camera copy stand or a tripod which can hold a camera in a horizontal position. Indirect sunlight or two artificial photoflood lights are directed on a flat horizontal surface. An 18% grey board (available at camera stores, this board reflects average light under any conditions) is used to take light readings. In the case of an SLR with a built-in light meter, take a light reading directly off the 18% grey card sitting in the horizontal area where materials are to be photocopied. This card is used because most light meters would be deceived by the brightness of light reflecting off white paper or darkness of readings taken off dark paper. Once the f. stop and speed are set, focus on each two-dimensional item and begin shooting one item after another until complete. If material to be photocopied is grouped by size, constant refocusing and changing close-up lenses is minimized.

4. Films that can be "E-6" processed, such as Ektachrome, can be processed by many photo labs in less than a day.

B. The process of producing a slide program is not appreciably different from that of preparing a public education publication.

1. Decide on the purpose and audience of the slide program, identify who will use it, whether it will be used by a speaker as a part of a larger presentation or stand alone, and whether or not the content will be dated or long-lived.

2. Identify the intended audience for the slide show, and their needs and interests.

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3. Prepare a written outline for the slide show and accompanying sound track, lecture, or speech. The outline should identify the messages and themes you wish to communicate to intended audiences.
 - a. Many professional media companies produce a "story board," with copy on one side of a page and a freehand drawing of the slide content on the other side of a page. This creates a visual, as well as written outline.
 - b. The process of preparing an outline may indicate field photographic needs, as well as artistic and other materials needed to produce the show.
 - c. If possible, work on a large surface light table, where an entire slide program can be viewed at once. One technique is to group slides according to major themes in the outline, and select slides from one subject category at a time. This is equivalent to building a book one chapter at a time. It allows the producer to construct a program without becoming overwhelmed with too many slides at once.
 4. Once a slide program is complete, pretest it with a group of lay people who can critique it and make recommendations to improve the amount and quality of information presented. Make modifications before taking the program public.
 5. If the slide program is self-contained (slide-tape), make sure all members of the staff who might use it preview the program. It might be helpful to prepare a series of questions for speakers to use following the slide program to encourage discussion. For slide programs that require a spoken narrative or speech, have speakers practice their presentation.
- C. Consider using a dissolve unit for smoother continuity and greater sophistication. A dissolve unit coordinates slide projection from two slide projectors that are directed at the same spot on the

screen. Rather than have a moment of darkness between slides as with a single projector, a dissolve unit lowers the light on one projector while increasing it on the other. The audience watches images "roll over" one another smoothly, rather than the choppy motion of a single projector. An image is always on the screen when a dissolve unit is in use.

1. The speaker has a single slide change button; the dissolve unit transfers power from one projector to another automatically.
2. To use a dissolve unit, a slide program is prepared. Number the slides and put the odd numbered slides in one tray, and even numbered in the other.
3. Many slide projector manufacturers also make dissolve units. Two projectors and a compatible dissolve unit are needed.

VI. What are some of the small things that make a difference when producing audio-visual and visual aids?

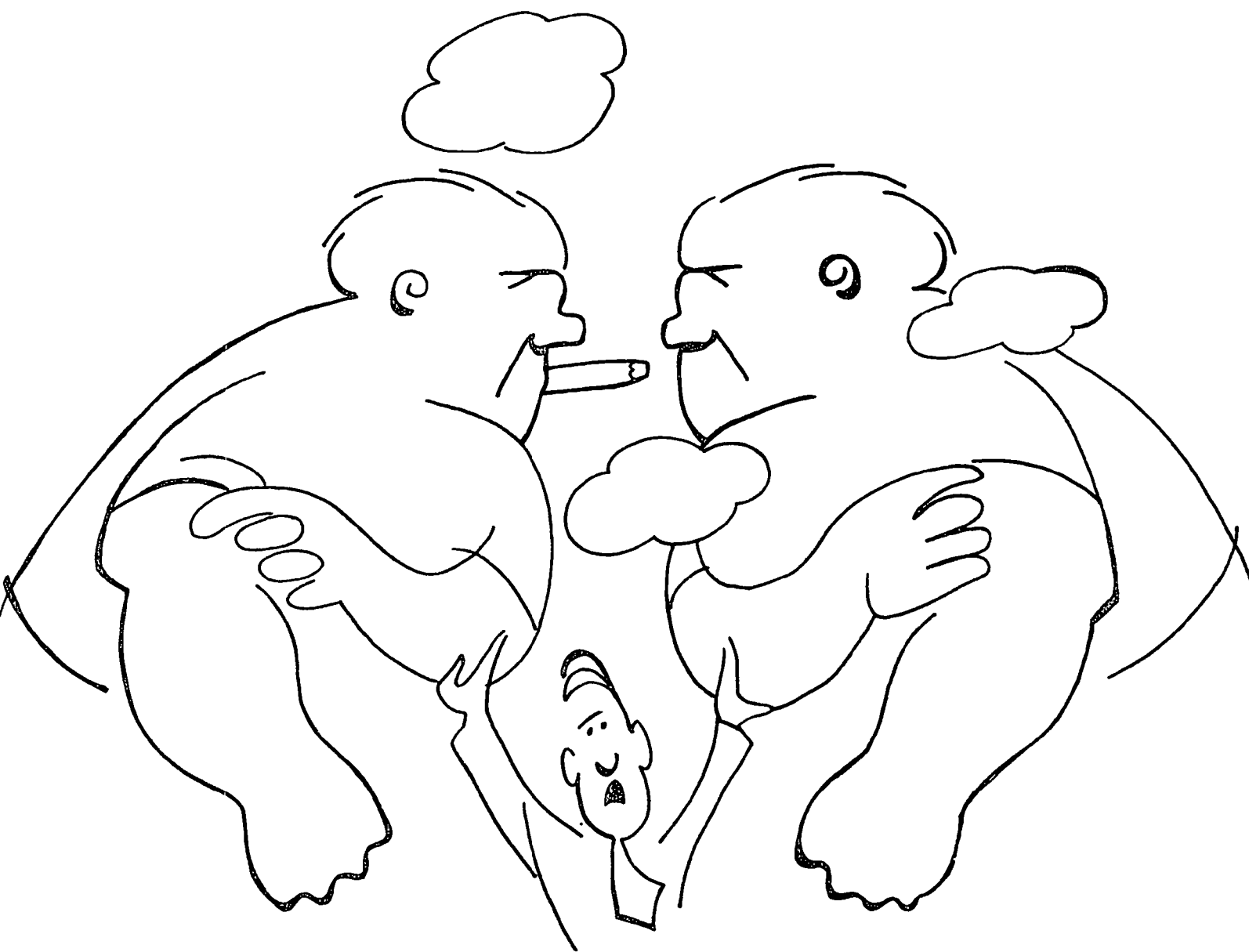
A. According to one major study on visual aids, poor products generally fall into one of four categories:

1. The graphic is too crowded -- the user tries to put too much information on a single visual. Reduce the message to its simplest form, and use several visuals to convey a thought or idea. Make only one point with each visual.
2. Color has been misused -- colors should have meaning and impact, and be used sparingly and intentionally. Color should play a function for the visual, with cool backgrounds supporting key messages and halting colors used for impact. Maintain sufficient contrast when using more than one color.
3. Line detail is too light or letter size is too small -- lines and letters must be thick enough to be seen from the back of the room. In general, make each letter at least 1/32" high for each foot of distance from the material. For example, a 1 inch letter is legible from 32 feet, and 2" letter from 64 feet. Divide the distance from the back of the room to the visual by 32 to determine the minimum size of letters.

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4. Letters and symbols are hard to read -- poor penmanship, lettering too small for the room, and too much information on the visual, are the primary causes for this complaint. Use block lettering, as it is easiest to read. Use all capital letters, and do not slant or italicize letters.

EVALUATION

- VII. What are some questions to ask when evaluating audio-visual and visual aid materials?
- A. Were materials well planned to fit the objectives of the public participation program?
 - B. Were they well timed -- were they produced on time? Were major products available when they were needed?
 - C. Were major materials such as slide programs or films previewed and evaluated by lay audiences prior to their release?
 - D. Have audiences evaluated the audio-visual materials? What have the evaluations revealed?
 - E. Are materials being used by a speakers bureau, field staff, and others?
 - F. Has a method of promotion and distribution been developed? Have the goals of the promotional program been met?
 - G. Have audio-visual materials proved cost effective? Are materials and art work prepared for use in an A-V program also used in printed material and displays?
 - H. Have audiences responded positively to the A-V materials? Are the materials perceived as credible by their intended audiences?
 - I. Do audiences seem to learn substantive information from A-V programs? Does A-V support overall learning? Does A-V build credibility and good will for the sponsoring agency?



How and When to Apply Conflict Resolution Techniques to Environmental Disputes

HOW AND WHEN TO APPLY CONFLICT RESOLUTION TECHNIQUES TO ENVIRONMENTAL DISPUTES

BACKGROUND AND SUMMARY

"Conflict resolution" refers to the many techniques developed to resolve disputes and lead to socially and politically acceptable solutions to environmental conflicts. Increasingly, problems concerning the scale, design, activity mix, land and water use, and other features of major commercial, residential, or mixed-use development proposals are being settled through conflict resolution techniques in an attempt to avoid the costs of litigation. Also, there is an increasing interest on the part of government and business to accommodate, rather than confront, when values and needs differ.

Conflict resolution techniques, such as negotiation, mediation, information sharing, and fact finding, have their roots in the labor-management collective bargaining field. The techniques must be modified when applied to the natural resources area, however, because the nature of the disputes and the participants are different.

Conflict resolution is not an end in itself; conflict resolution techniques must be goal-oriented and lead to sound decisions. Conflict must be perceived as a healthy competition of values and ideas.

Different conflict resolution techniques are applied at various stages of disputes. The goals at each stage of a project are to keep lines of communication open, to seek solutions through the sharing of information and ideas, and to minimize polarization of disputing parties.

It is often a public participation specialist, or others aware of conflict resolution techniques, who may know when to apply them in specific situations. Conflict resolution techniques should be applied in very few situations. The situations must meet a variety of criteria before the option of conflict resolution is suggested.

Conflict resolution assumes a willingness on the part of all parties to negotiate. By definition, this also means that each party is willing to accept less than its total demands -- each party must give up something in the search for a compromise solution.

In any conflict situation, it is important to seek consensus at each major stage of the decision making process. Goals and needs must be clarified and defined in sufficient detail so that all parties can agree on the information and methods to be used in determining potential solutions.

There must be an explicit statement on the limitations of data. The usefulness of various kinds of information for addressing specific questions must be defined. An analytical methodology acceptable to all parties must be chosen. Systems for testing the potential impacts of alternative solutions and scenarios must be established.

Timing plays an important role in the choice of conflict resolution technique. Mediation, for example, works best after participants have reached a point of impasse, and at least one side has realized that there cannot be a unilateral victory. External pressures, such as a federal agency deadline, can have a bearing on conflict resolution. Some conflict resolution techniques, such as negotiation and fact finding, can provide help at earlier stages in the discussion process, and prevent extreme polarization and a deadlocked situation requiring mediation.

In each conflict situation, the number and mix of participating parties, and their degree of involvement, will vary. Each major group or individual with an interest in the outcome of a dispute should be given an opportunity to participate in the discussion or negotiation. Excluding parties who can block a final settlement through litigation or other means, vitiates the attempted resolution. There is no clear consensus on who should choose participants in negotiation. It is generally done by the negotiator or by parties to the dispute. An intermediary, such as a mediator or negotiator, plays an important role in determining the outcome of a dispute.

The overriding need in any conflict situation is to maintain flexibility and the desire to reach a mutually satisfactory solution to a dispute. This requires sensitivity to other points of view, toughness in a bargaining situation, knowledge of negotiation, and technical skills. There must be a desire to maintain open lines of communication. Participants must be willing to take risks.

- I. What is meant by the term "conflict resolution"?
 - A. Conflict resolution is an umbrella term which includes a variety of interactive problem-solving techniques. Among the primary tools of resolving conflicts are the following:
 1. Negotiation: The process of attempting to resolve disputes by meeting, discussing, and agreeing on facts, questions and solutions. The parties design their own solutions to the problems.

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2. Mediation: A process of intervention by an acceptable impartial third party with no decision-making power who attempts to assist and persuade contending parties toward mutual settlement of their disputes.
 3. Conciliation: A process whereby an individual who is not a party to the conflict brings the disputing parties together so that they can try to solve their problems, but does not take further part in the conflict resolution process. The conciliator need not be impartial.
 4. Arbitration: A process whereby the power to resolve the problem is given by the parties or the courts to an impartial third party or parties. The arbitrator(s) must deal only with the facts, within the guidelines agreed to by the parties. The decision is usually considered legally final and binding.
 5. Fact-Finding: A process involving a neutral or impartial third party to determine and study the facts and realities underlying dispute. Findings sometimes contain recommendations, and depending on the situation, may be made public.
 6. Information Sharing: Recognizing that conflicts often arise from lack of information or from differences in interpretation, information sharing is a process for providing uniform information to all participants in a dispute. The process may call for seeking agreement on the sources of information to be used. The information may be engineering or scientific data, or more conceptual material on the current status of a program, the implications of continuing with current practices, or enumerating alternatives and their implications.

II. What are the steps to follow in seeking conflict resolution?

- A. Step 1: Identify the parties that ought to be involved in planning and negotiation.
- B. Step 2: Ensure that groups and key individuals with a stake in the outcome are appropriately represented.
- C. Step 3: Define the issues and confronting differences in data, assumptions and values.

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- D. Step 4: Generate a sufficient number of alternatives.
 - E. Step 5: Agree on the boundaries and time horizon for impact assessment.
 - F. Step 6: Weight, scale, and amalgamate judgements about impacts.
 - G. Step 7: Identify appropriate compensatory actions or mitigating measures.
 - H. Step 8: Implement the bargains that are made.
 - I. Step 9: Hold the parties to their commitments.

III. What is the role of an intermediary, such as a mediator or negotiator?

- A. Creates a climate of trust and a willingness to discuss on the part of participants
- B. Ensures fair and adequate representation
- C. Assists the participants in defining the key issues and setting priorities in the order in which they will be discussed
- D. Encourages clear communication, and ensures that all points of view are heard
- E. Ensures the credibility of scientific or other information and expertise during discussions
- F. Offers suggestions on problem solving approaches (but does not offer opinions on substantive issues)
- G. Helps break deadlocks by setting goals and deadlines
- H. Suggests solutions or alternative solutions
- I. Outlines implementation plans and helps create mechanisms for implementation and enforcement of the agreement.

IV. Each conflict resolution technique requires some negotiation. What are the steps to follow in any negotiating situation?

- A. Step 1: Define the problem from the various points of view in the dispute. Similarities and differences in perspective should be articulated so that attention can be focused on developing strategies for achieving agreement.
- B. Step 2: Diagnose the problem and study the facts in order to understand the causes of the conflict. Identify hidden agendas and false assumptions. Assess the political and policy implications of the dispute.
- C. Step 3: Assign priorities to issues and needs in the conflict. Establishing an order of importance for various aspects of a conflict is an important step in seeking alternative solutions. With priorities set, it is easier to keep negotiations centered on the primary issues, and not be diverted to secondary issues.
- D. Step 4: Determine courses of action or positions for each priority area of the conflict. Establish an initial position or demand, a fall back position, and a bottom line position. This process helps to establish areas for negotiation.
- E. Step 5: Develop arguments and collect supporting data. Be able to substantiate a case and persuade others of its validity.
- F. Step 6: Evaluate and determine your strengths and weaknesses, and take steps to bolster weaker arguments and positions by developing new resources or finding additional allies.
- G. Step 7: Anticipate the other parties' needs, demands, positions, constraints, strengths, and weaknesses. Evaluate who holds final decision-making authority in the other parties' camps. Try to determine their likely responses to arguments.
- H. Step 8: Develop strategies and tactics for negotiations which will allow your party to reach goals and defend bargaining positions.

I. Step 9: Identify constituency, organize them, and choose a negotiating team. Establish the authority of the negotiation team and systems of communications to keep all interested agency parties informed on progress in negotiations.

J. Step 10: Practice negotiating techniques and various ways to state the case.

V. What are Some₂ Guidelines for Managing Complex Problems in Negotiations?

A. To deal with a complex problem, divide the problem into manageable sub-parts, with each one representing a substantive issue.

B. Look behind generalizations for hidden facts and values, and then separate facts from assumptions and values.

C. Begin negotiations early. Early participation will help to improve communications among various parties, and help to avoid the development of mis-information.

D. Resolve issues and disputes one piece at a time. Build upon past successes to resolve future issues.

E. Allow enough time at the start of the process to involve the participants and sort out the manageable parts of the dispute. Investing this time early in the negotiations will save time later.

F. Try to avoid discussions about impacts and conclusions until agreements have been obtained on a definition of the problem and the basic facts and assumptions required to resolve it.

G. Not all issues should be discussed by all participants. Consider what the best composition of participants is for each stage of the negotiations, taking into account levels of responsibility, expertise, and direct concern with the issue under discussion.

VI. What are Some Helpful Hints for Negotiating?

A. Recognize that every party in a negotiation has power and options if they choose to use them.

1. Power in a negotiating session is in part based on the perception of power. Let your opponents

know you have options, and hence power. You may not choose to use these options, but they're helpful in establishing a power relationship.

2. Persistence in negotiations can yield power. If you feel strongly about a particular set of demands, and they are "non-negotiable", don't yield on them. Continue to explore new ways to present these demands as part of your bargaining strategy.
- B. Recognize that anything is negotiable. Any issue or point in the subject of negotiations is fair game for negotiation.
1. Don't accept "no one ever did that before," as an answer. It does not matter that no one did it before--it is fair game in your negotiation.
 2. Any list of guidelines, criteria, and other planning factors are the result of compromise and negotiation themselves. Therefore they are subject to further negotiation by you.
- C. Decisions and agreements are formulated and built through hard work and persistence. Don't be deceived by the idea of negotiation being an easy forum for "finding" agreements.
- D. Successful negotiations, or win/win negotiations, allow both sides to have their needs met. One clue to successful negotiations is to find out what the other parties REALLY want, and show them a way to reach their objectives while outlining a way for you to reach yours.
- E. Timing is essential. Generally, concessions occur at deadlines. Know your opponent's deadlines, and your own, and make this knowledge work for you.
1. If no outside deadlines exist, set them. Without time horizons, negotiations will not end.
 2. The anticipation of the resolution is often greater than the reality of the actual agreements. Setting deadlines forces decisions.
 3. Any offer put forward by your group should have an expiration date and time. Offers without deadlines do not induce decisions. More often than not, they induce delays while other parties explore the possibility of better terms.

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4. Make sure you bargain for both long and short term interests.
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- F. Personalize issues and agreements. Make the representatives of big business, big government, or any other large institution take personal accountability for the decisions made. Locking a personal commitment into the agreement, along with the institution's, means that a person's honor is on the line, and this person will work within the institution to make sure the agreement is implemented.
 - G. Hold negotiation sessions in person. While you might have informational conversations over the telephone, avoid negotiating over the phone. It is easier for someone to say "no" over the phone than in person. Also, face-to-face negotiations helps to personalize large institutions.
 - H. Do negotiating in private. People feel defensive and resist change and the acceptance of new ideas if they are forced to negotiate before the media or in public meetings.
 1. Settle differences in private, and present the outcomes to the public and media.
 2. While this violates basic public participation principles, one of the lessons from labor-management negotiating is that bargaining must take place in private if it is to be successful.
 - I. Whenever possible, be the initiator in the negotiations. If someone needs to take notes, write memoranda confirming understandings, or make phone calls, be the one to do it.
 1. The person who summarizes, states, or sets priorities, controls the situation.
 2. In general, information is power. The person who controls information, controls power.
 3. For example, after many hours of discussing and arguing, the group finally reaches agreement on a key point. By taking the initiative to write up the agreement after the negotiating session, you make sure that the final agreement is as you perceive it. When it comes time to review and approve the written version, you are in a stronger position not to lose ground than others involved in the negotiating.

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- J. When making proposals, make explicit requests. You cannot ask for that which you are unclear about.
1. Form the request in terms of the principles held by the other side.
 2. Put your proposals forward in a form that allows someone to say yes or no to them. Providing a list of options muddles the negotiations.
 3. Being specific in a proposal buys influence at the cost of flexibility. A proposal to charge a specific fee per tonnage of hazardous waste, for example, carries more weight than a request for fair compensation at an appropriate time. Credibility increases when you show your adversary you have detailed plans and an implementation program. Having contingency plans available should your initial proposal not succeed also builds credibility and establishes both your high level of capability and honest intentions.
 4. Sometimes it is easier to make a request for in-action (do not initiate an action), as opposed to action. Let the rules of large organizations such as the fact that bureaucracies move slowly and resist change, work for you.
 5. Sometimes, narrowing a proposal to a single limited area can yield a success when a broad proposal would not. Your plan or strategy could include many small things your group considers important. From the other side's point of view, the immediate cost of yielding to a request will be less, if less is asked. Also, each small success or positive experience provides a precedent for future agreements and action.
- K. In general, if there is a small chance of having to pay a great cost as the basis for reaching an agreement, it IS worth taking the risk. However, if there is a small chance of receiving a large benefit, the risk is NOT worth taking.
- L. There is no need to reach agreement on the REASONS if those present can reach agreement on the appropriate ACTION to be taken.

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1. Sometimes there is a tendency to emphasize purposes and values as a way to boost a proposal. However, if all parties can agree to an action step, retrain from moralizing. It proves counter-productive.
- M. It sometimes takes time for people to get used to a new idea or innovative approach. Be patient.
1. One strategy calls for the initiator of the idea to toss out the idea and let it be rejected. Change its dressing or appearance, and toss it out several more times. If the idea has validity or merit, it is not uncommon for the idea to gain acceptance over time. Eventually, the idea or proposal will develop the aura of having been around for a while.
 2. It is important to make the proposal appear different if it has been rejected before. Each new proposal represents a new opportunity for evaluation and decisions. It allows other parties to reverse past decisions without losing face.
- N. Recognize early that different parties in a dispute have different needs and perceptions. One definition of successful negotiation is meeting the needs of participants. To do this successfully, all parties must be approached based on the way they define their needs. Use the lead time before negotiations to begin to find out about the needs of the other parties. If you wait until negotiations begin, it will be more difficult to discover this information.
1. Your opponent's perception of what is important controls their decisions -- not your perception or some objective standard. No matter how irrational they may appear, if your goal is to influence them, deal with them based on their needs and perceptions. Deal rationally with what you perceive as their irrationality.
 2. Don't think in terms of good guys and bad guys in the dispute. All parties perceive themselves as fair, honest, reasonable, and as meeting a social need.
 3. Try to convince opposing parties that your proposals should be accepted in terms of the values they hold.

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4. Self-righteousness does not have a place in negotiations. Attempting to point out to adversaries that they ought to make a decision based upon your parties' definition of fairness, history, principles, or morality, is at best a diversion from the immediate task at hand, and at worst destructive of the desired results.
- O. Don't threaten an opposing party with an ultimatum unless your party is prepared to back it up. If the other party BELIEVES you are prepared to back it up, you probably won't have to.
1. In general, in a negotiation, if you insist on all or nothing, and do not have the capacity to get all, the demanding party often gets nothing.
 2. Before making threats, consider what might happen if the threat fails to exert its desired influence. Has your party gained or lost credibility?
- P. Maintain your parties' credibility at the negotiating table. Integrity and credibility can only enhance your position.
1. All commitments and agreements must be met. If you can't meet a set of conditions or agreements, don't make them.
 2. If doubts exist about the sincerity or genuineness of an offer, concentrate on this problem before negotiating substantive issues.
- Q. Don't be afraid to ask opposing parties for help during negotiations. It is reasonable to explain that you don't understand something, and ask for an explanation or for more information. Asking for assistance helps shift the environment from one of competition to one of collaboration.
1. Asking for assistance and information builds mutual trust.
 2. It helps to personalize issues, and build stronger personal relationships among negotiating members.
 3. Your party compromises nothing when asking for information.

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4. On the other hand, take the initiative and provide information to other parties when appropriate. Give a little to get a little in the negotiations. By taking the initiative, your party influences the expectations of the other parties.
- R. A general rule of thumb in strategy development, is that if you are selling, start high, and if you are buying, start low. However, don't be insulting by setting parameters on a position that seems absurd to any party.
1. The goal is to test the negotiating waters, and to provide room to maneuver.
 2. The initial position may help to establish or lower your opponent's expectations.

OTHER THINGS TO CONSIDER

VII. What are some do's and don'ts of negotiation?³

A. Some do's of negotiations

Prior to Negotiations

1. Agree to negotiate only with authorized representatives of legitimate interests.
2. Prepare thoroughly.
3. Aim for accommodation and compromise rather than "win" or "wipe out."

Negotiations

1. Be calm and cool.
2. Be personable; use names; be respectful.
3. Be confident in yourself and in the process.
4. Be flexible.
5. Be reasonable.
6. Listen carefully.
7. Keep meeting focused on the issues.

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8. Sell your ideas persistently.
 9. Phrase questions for a positive response.
 10. Study alternatives and new information.
 11. Caucus when necessary, but don't keep the other side waiting too long.
 12. Avoid intimidation.
 13. Respect confidentiality.
 14. Express appreciation of time and effort expended by others.
 15. Close on a positive note.

B. Don't's of negotiations include:

Prior to Negotiations

1. Don't underestimate other parties.
2. Don't over estimate yourself, your team, the justification of case or strategies.
3. Don't wait to prepare.
4. Don't talk loosely about your plans or attitudes toward other parties.

Negotiations

1. Don't argue publicly among yourselves; save it for the caucus.
2. Don't lose your temper.
3. Don't waste people's time.
4. Don't list priorities for the other side.
5. Don't escalate demands or present surprises.
6. Don't oversell.
7. Don't react too unfavorably to your own mistakes; don't be defensive; don't blame; don't apologize.
8. Don't rush the other side.

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9. Don't be pressured; if you have doubts, delay.
 10. Don't be afraid to let issues stay on the table.
 11. Don't keep worrying about the end result.
 12. Don't end meetings on a negative note.

Do Not Ever

1. Make promises you cannot keep.
2. Lie.
3. Assume.

VIII. What is environmental mediation, and what is behind its current popularity?

- A. According to the University of Washington's Office of Environmental Mediation, mediation is a voluntary process in which those involved in a dispute jointly explore and reconcile their differences. The mediator has no authority to impose settlement. His or her strength lies in the ability to assist the parties in resolving their own disputes. The mediated dispute is settled when the parties themselves reach what they consider a workable solution.
- B. Among the many conflict resolution techniques, mediation has received much study by universities and others as a new and useful tool when applied to environmental disputes.
- C. Several criteria differentiate environmental mediation from other conflict resolution techniques.
 1. Involvement in the mediation process is voluntary.
 2. Exploration of issues in dispute must be carried out jointly by all parties, even though all parties do not agree to all issues.
 3. The mediator has no authority to impose a settlement. The participants must agree to a given settlement on their own.
 4. The mediator facilitates the negotiation process by assisting the parties in reaching a resolution acceptable to them.

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5. The mediator shares the responsibility of ensuring that any solution represents a workable solution -- one which is politically, physically, and financially feasible. This responsibility on the part of the mediator is inversely proportional to the experience and sophistication of the least skilled party to a dispute.
- D. What criteria can be applied to determine the applicability of mediation in specific environmental disputes?
1. The mediation process is most appropriate at the point in a dispute when the issues have been defined, the parties are visible and highly involved, and there is some sense of urgency in resolving the conflict. Such circumstances typically occur near the point of impasse.
 2. There must be some relative balance of power in which it is recognized that the parties each have some ability to exercise sanctions over the other.
 3. There must be some reasonable assurance that the responsible authorities will implement an agreement reached by the disputing parties.
- E. What steps should be followed in a mediation process?
1. Step 1: Make an initial contact and explore the viability of mediation with the disputing parties.
 2. Step 2: Decide on whether mediation is an appropriate tool to use.
 3. Step 3: If the answer to Step 2 is yes, design the mediation process for the specific conflict.
 4. Step 4: Determine whether the parties are willing and able to commit to good faith negotiation and agreement.
 5. Step 5: If the answer to Step 4 is yes, enter into formal mediation.
 6. Step 6: Reach agreement or not.
 7. Step 7: If the result of Step 6 is agreement, implement the recommendations or program.

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- IX. What are some listening skills important to negotiations and working with others?
- A. Concentrate on what the other person is saying -- listen to understand. Focus attention on the words and ideas of the other person.
 - B. Do not talk while someone else is talking. It is impossible to listen while talking. Talking sends a non-verbal message to the other person that you do not consider what is being said important.
 - C. Look at the other person and show that you are listening. Establish eye contact, nod your head, smile when appropriate, and take notes -- all of these behaviors tell the other person you are listening.
 - D. Concentrate attention on the main points in a discussion. Do not become bogged down in details, such as a story or example. Focus attention on the high-priority issue.
 - E. Empathize with the other person and their argument. Try to put yourself in their position and evaluate arguments from their point of view.
 - F. React to the other person. Ask questions. Show involvement verbally and nonverbally. Do not ask questions or make gestures that will put down the other person. React to ideas and not to the personality of the other person. Good ideas can come from people you don't know or like.
 - G. Recognize that communication is a two-way process. Participants in communication share responsibility. If you don't understand something, ask for clarification.
 - H. Consider clarifying your understanding by paraphrasing the other person's position aloud, and asking the other party to verify its accuracy.
 - I. Do not make hasty judgments. Wait until all facts and ideas are presented before making judgments.
- X. What are some non-verbal communication cues important to determining how well someone is listening?
- A. An active listener will establish eye contact, nod at appropriate points, and take notes carefully.

B. Body posture reveals much about how somebody is listening and responding. For example:

1. Dominance is communicated by leaning back when listening or talking, by placing hands behind the head when speaking, or standing erect when speaking before a group.
2. Open hands, uncrossed legs (for men), and uncrossed arms suggest openness to ideas and people.
3. On the other hand, arms crossed across the chest, crossed legs (for men), tightened fists, and sitting reversed in an armless chair (for men) suggest that a person is threatened. These are defensive gestures.
4. Frowning, placing a hand over the mouth, a nose wipe, and a finger along the side of the nose, suggest suspicion, evaluation, or disagreement.
5. Nervousness is communicated by gestures such as rapid smoking, fidgeting in a chair, covering a mouth while speaking, perspiring hands, face or forehead, wringing hands, avoiding eye contact, pulling on the ear lobes, or wiping hands on clothes.
6. Boredom is communicated by gestures such as doodling, drumming fingers on the table or arm of a chair, rapid kicking of the foot, or staring off into space.
7. Wringing of hands, running fingers through the hair, rubbing the back of the neck or the temples, fingers flicked in the air, and the kicking of imaginary objects suggest frustration.
8. When people are evaluating an idea, they may stroke their chin or nose, chew the end of their glasses, pipe or pen, tilt their heads back and look toward the ceiling, or leave the table to stretch or take a walk.

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2. Selected readings on Conflict Management, American Arbitration Associates and Clark McGlennon Associates, Inc., April, 1980, p. 18.
3. Op. cit., p. 8, 9.
4. Cormick, et al., p. 13-16.
5. Op. cit., p. 13-16.

In addition, material for this chapter on conflict resolution was drawn from numerous sources. We wish to thank the following organizations for the use of their materials.

American Arbitration Association
Research Institute
140 West 51st Street
New York, New York

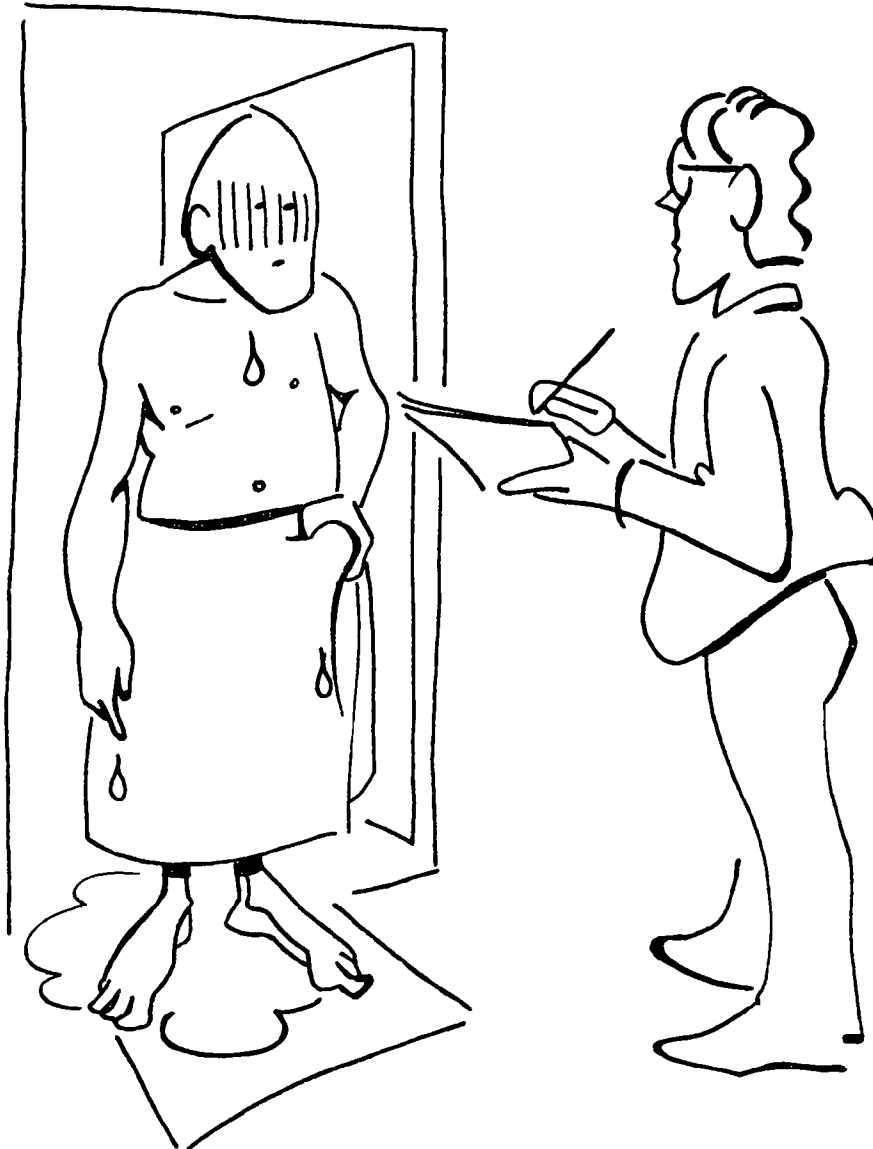
Clark-McGlennon Associates
148 State Street
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Environmental Impact Assessment Project
Laboratory of Architecture and Planning
Massachusetts Institute of Technology
Cambridge, Massachusetts

Martin-Simonds Associates
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RESOLVE
Center for Environmental Conflict Resolution
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Institute for Environmental Mediation
3313 Queen Anne Ave., N.
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How and When to Conduct Public Opinion and Attitude Surveys

HOW AND WHEN TO CONDUCT PUBLIC OPINION AND ATTITUDE SURVEYS

BACKGROUND AND SUMMARY

Note: Public opinion surveying is a controversial public participation technique. Some people find them useful, others do not. In preparing this chapter, the assumption is made that approval to perform a survey has been given. This chapter contains basic information on options, costs, and procedures. This information will help save time and money when working with survey professionals. Recognize, however, that obstacles to surveying exist. EPA regulations (40 CFR 30.630, appended to this chapter) place limits on surveys and questionnaires. Some EPA regions have developed guidance which prohibit the use of limited public participation funds for this purpose. Investigate these obstacles before proceeding with a survey proposal.

Public opinion and attitude surveys are information collecting tools. Survey information can serve as a guide to planning, and provides insight into people and their concerns and levels of knowledge. This information is useful in designing public participation and education programs.

Surveys measure public opinions and attitudes, yielding information on the breadth and depth of feeling on the part of various publics, or a cross section of the population at large. They ensure that attitudes and opinions of the entire population -- even people not actually involved in the project -- will be considered in planning. This means that survey data can be used as a public participation tool, providing one more source of information on people's desires and needs. However, surveys represent only one source of information; projects must still use many other forums for collecting information and advice from the public. A survey does not take the place of public meetings, hearings, workshops, and other consultation activities.

The release of survey data often serves to heighten public interest in the project under consideration. The media will often report on survey results. Planners must consider the consciousness-raising aspects of surveys as they plan for them. Also, for projects where a survey is conducted early, the survey results may be the first tangible products of the project.

Surveys can provide information in three areas -- attitudes, opinions, and levels of knowledge. A survey should have one goal, and pursue it. A survey cannot provide in depth information in all three survey areas.

There are three common ways of conducting surveys -- through face-to-face interviews, through telephone interviews, and through mailed questionnaires. There are costs and benefits for each of the survey techniques.

The choice of survey type should be guided by the goals of the survey. The ultimate use of the data, and the type and format of data analysis, will affect the way the survey questionnaire is prepared. Packaged computer programs exist to analyze survey data, but surveys must be designed in advance to use these quick and efficient programs.

Opinion survey procedures must be open to public scrutiny. Interested citizens should have access to survey design information, the sampling method, and the raw data. They should have the option of analyzing the data on their own. They should know who analyzed the data for the agency, and how it was done. These extra steps will help to build credibility and trust for the sponsoring agency, and support public participation goals.

Survey preparation and analysis is complex. Many variables influence the design of questionnaires, and survey sample type and size. Most often, government agencies will contract for these services. The following material is based upon this assumption.

THE ESSENTIALS

- I. What kinds of information can surveys provide?
 - A. Surveys can be used to collect three types of information -- attitudes, opinions, and levels of knowledge.
 1. Attitudes generally refer to more long term, deeper emotional feelings and responses. Attitudes are slow to change, and are often founded in religious, family, and socio-cultural background. Understanding the public's basic mind set toward problems and issues can be helpful to planners. For example, attitudes toward growth and development, or creating more or less government fall into this category.
 2. Opinions often take the form of short lived responses to political issues and events. Opinions can change quickly, and are susceptible to new information and the persuasions of opinion leaders. They are not founded in basic emotions or beliefs. For example, how citizens feel about permitting a new source of air pollution, or inspection and maintenance of automobile pollution control systems is important information for planners, engineers, and administrators.

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3. Surveying levels of knowledge is important because of the inter-relationships between information and opinions and attitudes. If people have mis-information on an issue they may base their emotional responses on faulty knowledge. Information on levels of knowledge is helpful in developing information and education programs.

People with negative attitudes and/or opinions and a high level of knowledge require different information and participation programs than people who have a strong opinion but little substantive information.

- B. Because of survey length and time limitations, a survey should have a single main focus. It is difficult to prepare a survey that collects useful information on all three survey information types. Examples of survey themes include:

1. Gathering information on various public's current knowledge, attitudes, and opinions on a specific project.
2. Presenting a new idea or concept to the public and seeking responses to it.
3. Seeking solutions to problems or generating new information or ideas.
4. Measuring changes in opinion and levels of knowledge over time.

II. What are the common survey methods used for collecting data?

- A. Three basic methods exist for collecting statistically valid information -- personal interviews, telephone interviews, and mailed questionnaires.

Other survey techniques, such as placing questionnaires in newsletters and magazines are useful in meeting public participation goals and in collecting information. However, the information is not representative of the public at large. The survey sponsors have no way of determining who responded, or why.

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- B. Field or personal interviews call for face-to-face contact between randomly selected respondents and an interviewer. It is the most effective technique of the three, but because of the cost of sending interviewers into the field, it is also the most expensive. Personal interviews have flexibility, permit the use of visuals, and allow the interviewer to prepare written observations. It is the most precise technique -- interviewers can make sure that every randomly selected participant is contacted.
1. Respondents tend to answer questions more completely than in the other two survey types, in part because they can speak their answers rather than write them. For people who have difficulty reading, interviews are best.
 2. The interviewer can probe open-ended responses to clarify answers.
 3. Field interviews allow for longer and more complex questionnaires. In general interviews should not last more than 45 minutes, compared to 10-15 minutes for telephone surveys, and 5-10 minutes for mail surveys.
 4. If the sequence of questions is important, field interviewers can control it.
- C. Because of costs, speed, and the fact that some 98% of American homes have telephones, more and more surveys are conducted by telephone. The person conducting the interview must convince some people to stay on the phone to answer questions. It is easier to refuse to be polled over the telephone than in person. The questionnaire must be shorter and less complex than in face-to-face interviews. Long lists of choices (i.e., multiple choice) don't work because people can't remember the options. Shorter and simpler questions work best.
1. Field interviews may take days or weeks to complete, depending on the size of the sample and the number of required return visits to interview people not at home on the first attempt. Telephone interviews can be conducted quickly. For example, most of the daily polling that occurs during national elections is done by telephone. Dozens of people working from phone banks can make interview calls at the same time. The Bell System has even established an entire service (the 900 series) for performing low cost telephone polls.

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2. Pollsters can keep careful records of those in the random sample who responded and those who did not. Accuracy and predictability is high.
 3. Sometimes, a phone interview has less bias because people are not responding to the sex, color, size and other characteristics of interviewers.
 4. Some interviewers tend to avoid high-crime neighborhoods. This is not a concern with phone interviewing.
- D. Mailed surveys are self-administered questionnaires. They are the least expensive survey technique, and contain the most limitations. The average response rate is about 30% -- this means that the sample size must be three times more than needed. Respondents have no particular reason to respond. They do not have to say "no" to another person; they merely toss the survey into the waste can. People tend not to like to write answers to questions, so mail surveys often rely upon close-ended questions. People are likely to take less time to complete an impersonal questionnaire, than to answer questions in person or over the phone.
1. Because the questionnaire relies upon the postal system, it can take several weeks to conduct. Also, if the initial response rate is especially low, it may be necessary to do a second mailing. This adds additional time and expense.
 2. Respondents sometimes take time to think about their answers. This can make it difficult to get quick reactions from mail surveys.
 3. Mail surveys do not permit control over the sequence of questions, if that is important. Some people will read the entire questionnaire before beginning to answer questions.
 4. Sometimes respondents will consult with family members and friends before answering questions. It is difficult to know whether the mail responses are the respondents' alone, or an amalgam of ideas.

III. What are some general rules for designing questionnaires?

- A. Survey questionnaire design is a highly specialized field. A questionnaire can determine the success or failure of a survey. Questions must meet the goals of the survey. They must be neutral or non-biased in their tone. A poorly worded questionnaire can yield incomplete and incorrect data.
- B. Two types of survey questions exist -- closed-ended questions and open-ended questions. In closed-ended questions, the respondent chooses among a group of alternatives, such as true-false, a multiple choice of a-e, or checking a point on a line from strongly agree to strongly disagree. In open-ended questions, the respondent answers with his/her own words.
 - 1. Closed-ended questions work best when the desired information is factual (such as demographic information on age, family size, income, and marital status), where the range of choices is predictable, or where the goal is to measure a social response. Closed-ended questions are easiest to compute and analyze.
 - 2. Open-ended questions work best for gathering information in-depth on people's feelings and motivations. The responses are more difficult to code and analyze. They do not work well in self-administered (i.e., mail) surveys.
 - 3. Often, closed-ended questions will include an "other" category in multiple choice lists. This is a type of open ended question. Even if it will not be coded for analysis, it is often a good idea to include some open-ended questions (i.e., "Is there anything else you would like to add on the subject?") in closed-ended surveys as a release valve for respondents who feel frustrated by the limited choices offered in the close-ended format.
 - 4. When seeking demographic information in closed-ended questionnaires, use large intervals of numbers. Income, for example, might be grouped by \$5,000 increments. Since no one wants to be in the lowest category, make it difficult for people to fit into this category, such as by starting average family income at \$2,500. If the data will be compared with other information, such as the federal census, make sure the groupings for age, education, and income are the same as those used in the comparison survey.

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- C. The order of questions in a survey must make common sense to the people being interviewed. Most of the questions should proceed from the general to the specific. A logical questionnaire, where the respondent understands the goals and order of the survey, will often encourage more open and complete responses to questions. It can also decrease sensitivity and increase honesty to personal questions.
- D. Within the survey, the respondent should know when themes or subjects are being changed. This helps to create a logic or flow to the survey. In an interview survey, for example, the interviewer might say something like, "Now, I'd like to ask you a few questions about your community," to make a shift.
- E. Language should be simple and easy for a lay person to understand. All questionnaires should be pre-tested to ensure that the public has the same understanding of the question as the survey writers. Some words have different meanings to different groups. Any terms that might be new or confusing to the person being surveyed should be defined. Sometimes showing the respondent a photograph or drawing helps to explain concepts, ideas, or facilities.
- F. How the data will be collected and analyzed will have bearing on the question design. For example, computer coding and analysis of closed-ended questions is simple and quick; open-ended questions are harder to code and interpret.
- G. Questions must appear balanced and fair. The answers to closed-ended questions must appear balanced, fair and comprehensive. For example, rather than ask whether the individual likes location A or location B, the questionnaire might ask about location A, location B, another location, or not building a landfill at all. This format of questioning, though wordy, yields the most non-biased answer.
- If the respondent thinks the survey seeks a specific answer, the respondent may give the desired answer, and not his/her genuine feelings.
- H. If the survey includes questions that ask the respondent to agree or disagree with a number of statements, the statements should be equally divided between negatively worded and positively worded statements.

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- I. When asking sensitive value-laden or personal questions, two techniques work well in gaining honest and non-defensive answers. One is to lead the question with a qualifying statement that sanctions a negative action. For example, the question might read, "Many people didn't get a chance to read about the new sewer proposal. Did you happen to have the time to read the executive summary, or not?"

The other technique is to place the sensitive question in the third person, rather than the first person. Rather than ask whether the individual will vote to support the bond issue to build the new sewer plant, the question might read, "On the basis of your knowledge of the community, do you think the voters will vote to approve the bond issue, or not?"

- J. All questionnaires need careful and detailed instructions for all types of questions. This includes written instructions for mail surveys, and oral instructions for telephone and field surveys.
 1. Careful attention to instructions clarifies questions and increases the predictability of getting uniform interpretations and answers. For example, in rank order questions, let the respondent know that "1" is low and "5" is high, or that the respondent should only check one response out of the list.
 2. In personal interviews, it helps to hand a card containing written questions and answers to the person being interviewed. The interviewer records the answer; the respondent gets to see the question and options.
- K. The layout and design of the questionnaire should appear orderly and clear. The reader should know at a glance where to begin, how to proceed, and where to place answers.
 1. Attempt to keep a question and answer on the same page.
 2. Consider using several type faces (standard and italic) to separate instructions from questions and answers.

IV. How is the size of the survey sample determined?

- A. In general, four factors dictate the size of the survey -- the nature and complexity of the issues under investigation, the degree of accuracy required, the funding available for surveying, and the time available for information collection.
- B. The quality of information collected should be the main determinant of survey size. Quality of data is more important than quantity of data.

The quality of data is determined by the size of the sample, the demographics and source of the sample, and the type of survey (mail, personal, or telephone) conducted.

- C. Many methods exist for selecting a sample. Some methods yield a statistically valid representative sample, and others do not. Sometimes it is important to choose a sample that will statistically represent the total population of the area, with an error or confidence factor of 5% or less. At other times, the goal may be to pool an entire block or neighborhood, knowing that the selected area is demographically different from the rest of the community.

- 1. To develop a statistically valid sample, a form of probability sampling is used. Once the population to be surveyed is identified, a systematic procedure for selecting a representative sample of the whole population is developed. The system should give everyone in the survey audience an equal opportunity of being chosen.

Random sampling is the umbrella term used to describe the method for choosing a statistically valid survey population from the target audience. A variety of random sampling techniques exist, including simple, systematic, and stratified random sampling.

- 2. Sometimes survey specialists deliberately over sample certain populations that might normally be under represented. For analytical purposes, complex weighting procedures are then used to balance the data back to the more normal proportions found in the population at large. This is one of several more complex sampling techniques that survey practitioners use.

D. The process of selecting the final survey sample size is complex, and founded in mathematical and statistical theory. However, the common rule of thumb used by survey specialists calls for a sample size of roughly 2-10% of the targeted public, but not less than 400 nor more than 2000 people.

1. For example, the Nielsen television preference survey polls approximately 1600 households in the United States to develop its nationwide data.

2. Both the size of the sample chosen and the technique used to draw the sample have a major impact on the cost of the survey. The larger the survey sample size, the more expensive the administration and analysis of the survey.

V. When is the proper time to do public surveys?

A. The timing of a survey is dependent on the goals of the survey.

1. If the goal is to collect baseline data on public knowledge, opinions, and values, the survey should occur prior to planning.

2. If the goal is to test a plan or approach on the public, the survey should be conducted during the plan evaluation and review stage.

3. If the goal is to measure changes in knowledge and opinions over time, several surveys are needed. One survey should occur prior to the implementation of the education/participation program. The other survey should take place after the education/participation program.

VI. What steps are necessary to plan, design, and implement a survey?

A. Developing and preparing the questionnaire is the first step. This includes:

1. Identifying the issues and questions to be asked.

2. Designing the questionnaire.

3. Pretesting the questionnaire.

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4. Making adjustments and changes in the questionnaire as a result of the pretest and other reviews.
 5. Printing the questionnaire.
 6. This step requires two to four weeks to complete.
- B. Administering the questionnaire is the second step in the process. This step includes:
1. The training of interviewers, if necessary.
 2. Distributing the questionnaire.
 3. Conducting the interviews/waiting for mail responses to be returned.
 4. Follow-up on missed respondents or non-respondents.
 5. The time required depends on the type of survey:
 - a. Field interviews take 2-3 weeks.
 - b. Telephone interviews take 1-2 weeks.
 - c. Mail questionnaires take 3-4 weeks.
- C. Analyzing the results is the final step. This step includes:
1. Editing and coding responses, as necessary.
 2. Computer processing and printing of tabulations.
 3. Analyzing data, synthesizing material, and re-running parts of the program to do cross tabular analyses (comparing the answers of one question to the answers of another, seeking new information and insights).
 4. Reporting the results to the public or to more specialized audiences.
 5. Depending on the complexity of the summary, access to computers, and the amount of time required for re-running parts of the program, this step can take 2-4 weeks.

VII. What are the costs for doing a survey, and who can do it?

A. Costs are determined by many factors. Among them are:

1. Degree of difficulty in developing the survey design.
2. The size of the survey sample.
3. The method of surveying -- personal interviews, telephone, or mail.
4. The design of the survey -- random sampling vs. less stastically valid sampling.
5. Level of skill needed to perform interviewing.
6. Length of the interview.
7. Location of the interview.
8. Time of day.
9. Type of respondent (e.g. executive, housewife, minority group member).
10. Need and level of follow-up activities to reach non-respondents.
11. Complexity of coding and editing of raw data.
12. Amount of computer time/analysis needed.
13. Length and complexity of the analytical report on the data required.
14. Environmental factors, such as the weather, and political difficulties.

B. The following represents estimated costs for each survey type. These figures include the costs of preparing the survey questionnaire, administering the survey, coding, editing and key punching, and performing a basic analysis of the data.

1. Personal interview, per respondent: \$20 - \$40
2. Telephone, per phone call: \$10 - \$20
3. Mail survey, per questionnaire: \$ 5 - \$10

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- C. Due to the complexity and special nature of the survey process, government agencies invariably contract for survey work. Each community or state has some survey research capability. Look at a university or college survey research center (non-profit), or a for-profit survey center affiliated with a university. Many commercial survey companies do market and political analyses, and opinion polling. Look in the yellow pages under "Market Research and Analysis," and "Public Opinion Analysis," for the names of these companies.

VIII. What are some questions to ask when evaluating surveys?

- A. Was the survey necessary? Was it the best and most cost effective method of reaching stated goals? What were the goals behind the survey? Were the goals met?
- B. Were the results of the survey useful? How was the data used, and by whom?
- C. Did the survey stay within budget constraints?
- D. Was the data and analysis shared with the public? What was the public's response to the survey? Did the survey results aid in overall public participation or planning? If so, how?
- E. Did the survey have an impact on the project? How did the survey affect project decision making?
- F. Was the survey appropriately timed? Would an earlier or later survey have been more useful?
- G. Who performed the survey and analysis? Was this the appropriate group to do this work? Did they lend credibility to the effort?

NOTE: Much of the information in this chapter was developed from material in Effective Citizen Participation in Transportation Planning. Volume II, A Catalog of Techniques, U.S. Department of Transportation, Federal Highway Administration, Washington, D.C. 20590, 1976. We thank them for their assistance.

EPA Regulations on Surveys and Questionnaires (40 CFR 55.30.630)

(a) Costs associated with the collection of data or information through surveys or questionnaires by a grantee (or party to subagreement) shall be allowable project costs only if prior written approval of the Project Officer has been obtained for such survey or questionnaire. The Project Officer shall not give such approval without the concurrence of the EPA Headquarters Reports Management Officer to assure compliance with the Federal Reports Act of 1942 (44 U.S.C. 3501-3511).

(b) A grantee (or party to subagreement) collecting information from the public on his own initiative may not represent that the information is being collected by or for EPA without prior agency approval. If reference is to be made to EPA, or the purpose of the grant is for collection of information from the public, prior clearance of plans and report forms must be requested by the grantee through the Project Officer.

Appendix

SUMMARY OUTLINE: EPA POLICY ON PUBLIC PARTICIPATION

- Strengthens EPA's commitment to public participation.
- Emphasizes the responsibility of senior management to ensure that the policy is implemented properly.
- Establishes uniform procedures for public participation.
- Identifies mandatory and discretionary public participation activities.
- Applies to:
 - EPA rulemaking, when the regulations are classified "significant" under Executive Order 12044.
 - Administration of permit programs.
 - State and substate programs supported by EPA grants or cooperative agreements.
 - The process of delegating responsibilities to states.
 - Major policy decisions, including priority setting.

THE MAJOR CONCEPTS IN THE POLICY ARE:

To establish:

- Five basic functions required in all public participation activities:
 - Identification
 - Outreach
 - Dialogue
 - Assimilation
 - Feedback
- Public participation work plans.
- Agency funding to assist public participants.
- Authority and responsibilities of:
 - The Administrator
 - Regional Administrators
 - Assistant Administrators
 - Director, Office of Public Awareness

THE POLICY SETS FORTH THE BASIC PREMISE OF PUBLIC PARTICIPATION
IN EPA

- Public participation will improve Agency decisions, and make Agency decisions more acceptable to the public.
- Agency officials will provide for, encourage, and assist participation by the public.
- Extra encouragement and assistance may be required to ensure participation by groups with fewer opportunities for involvement, or more limited resources.
- Agency employees should strive to do more than the minimum requirements.
- Public participation must begin early, and continue throughout the decision-making process.
- The public must have an opportunity to influence and shape Agency decisions.
- Public participation should be concentrated on activities where alternatives are available or where substantial agreement will be needed from the public if the activity is to be carried out.
- Agency officials must avoid advocacy and pre-commitment to any alternative prior to decision-making.
- Agency officials should actively seek to resolve conflicts over issues among members of the public.
- Effective public participation will reduce the need for the public to go to court to resolve disputes.

THE OBJECTIVES OF THE POLICY ARE TO:

- Create early and continuing opportunities for public participation in Agency decisions;
- Promote public involvement in implementing environmental laws;
- Ensure public understanding of official programs and of the implications of potential alternatives;
- Obtain the public's assistance in identifying alternatives and selecting from among alternative courses of actions;
- Inform the public as significant developments arise;

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- Create equal and open access to the regulatory process;
 - Ensure government understanding of and responsiveness to public concerns;
 - Demonstrate the impact of public input on government decisions;
 - Anticipate conflicts and provide early means for resolution;
 - Foster trust and openness between public agencies and the public; and
 - Emphasize the responsibilities of Agency and program management for promoting effective public involvement in decision making and government action.

GENERAL PROCEDURES FOR ALL PROGRAMS

Identification:

- Target members of the public who are likely to be affected by or interested in forthcoming agency activities;
- Use techniques to identify interested persons and areas of interest among the public;
- Develop a contact list and add to it as needed and upon request;
- Use the contact list in announcing participation opportunities and other events, and in identifying potential members of advisory groups;
- Use questionnaires and other means to determine the levels of public awareness.

Outreach:

- Ensures that the public can participate on an informed and timely basis.
- Outreach methods include among others:
 - publications such as fact sheets, technical summaries, and bibliographies
 - questionnaires, surveys, interviews

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- media programs, news releases
 - education activities by financially assisted organizations
- Outreach materials must include:
 - background information
 - legal justification or the triggering event for the action
 - timetable of proposed actions
 - summaries of lengthy or technical material
 - delineation of issues
 - alternatives or tentative determinations as seen by the Agency
 - whether an EIS is or will be available
 - encouragement of participation
 - names, addresses and phone numbers of persons to contact for information
 - Social, economic, and environmental consequences should be stated whenever possible.
 - Summaries must not substitute for access to complete documentation.
 - Persons on the contact list and the media must be notified of participation opportunities in a manner consistent with outreach requirements, and not simply through legal articles.
 - Notification should be at least 30 days before Agency action, and 45 days before public hearings.
 - Comment period should be sufficient for public response, generally allowing at least 60 days.
 - State and substate programs should provide notice of participation opportunities within 45 days of award.
 - Copies of documents should be free of charge, or available at cost, and be consistent with Freedom of Information Act requirements (see 40 C.F.R. Part 2).
 - Free copies may be reserved for persons or groups with limited resources.
 - Depositories for documents and other information shall be:
 - at public libraries and universities when possible
 - readily accessible by the public
 - available for use during off-work hours
 - copying facilities available

Dialogue:

- Exchange of views between responsible officials and members of the public.
- Preceded by distribution of information.
- Occurring sufficiently in advance of Agency action to influence that action, and to permit agency response to public views.
- Provided for at times and places that facilitate participation.
- Dialogue forms may include among others:
 - public hearings, usually at the end of the participation process
 - review groups or ad hoc committees
 - workshops
 - conferences
 - task forces
 - personal conversations and correspondence
 - series of meetings
 - toll-free telephone access
 - citizen hearings panels
 - other techniques chosen to meet particular needs

Dialogue: Requirements for Public Hearings

- 45 days notice to persons on contact list and media, unless Assistant Administrator or Regional Administrator finds 30 days sufficient for effective participation.
- At least 30 days notice in permit programs.
- Notice of EIS hearing consistent with EIS regulations but no later than 30 days prior to hearing.
- Less notice time in emergencies or where legally mandated.
- Content of notice:
 - background
 - identify matters to be discussed
 - discuss alternatives identified and any tentative conclusions
 - availability of an EIS
 - bibliography of other relevant materials
 - procedures for additional information
 - specify information that is solicited by the Agency

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- All relevant background information must be available at least 30 days before the hearing.
 - Conducting the hearing:
 - informal atmosphere wherever possible
 - time for presentations, questions and answers, and formal comments on the record
 - audience must be informed of the issues involved, considerations that will be taken into account, any tentative conclusions, and the information particularly solicited
 - hearings should be held in geographic areas affected by the action being considered
 - meeting to discuss issues prior to hearing when beneficial
 - hearing record
 - transcript or other complete record
 - left open for at least 10 days following hearing for additional comments
 - copier available at cost, or free of charge
 - responsiveness summary when prepared, provided to all who participated or who request a copy

Dialogue: Requirements for Advisory Groups

- When established by EPA, Federal Advisory Committee Act (PL. 92-463) and General Service Administration (GSA) regulations must be followed.
- Special requirements for state, substate and local programs.
 - membership in substantially equivalent proportions of:
 - . private citizens
 - . representatives of public interest groups with non-economic interest in the action
 - . Federal, State, local and tribal officials
 - . citizens or representatives of organizations with substantial economic interests in the plan or program
 - professional and clerical staff time available
 - operating budget for expenses
 - reimbursement of reasonable out-of-pocket costs
- Advisory group recommendations and meeting minutes are public information, available to the public and other agencies.

Assimilation

- Demonstrating that public input has been used in shaping agency actions.
- Consideration of public input must be demonstrated, and may take the form of Responsiveness Summaries, regulatory preamble, or other appropriate forms.
- To demonstrate assimilation of public input,
 - explain the type of participation activity conducted
 - identify participants and their affiliation
 - describe matters on which public was consulted
 - summarize viewpoints, comments, criticisms and suggestions
 - disclose Agency's process in reaching a decision
 - set forth Agency's specific responses in modifying proposed actions or rejecting public proposals, and reasons
- Responsiveness Summaries must be used by the Agency in decision-making.
- Final Responsiveness Summaries must include an evaluation of the public participation activities performed.

Feedback

- May be in the form of personal contact, if the number of participants is small. Otherwise a Responsiveness Summary or publication should be mailed to those on the contact list.
- All public participants must receive feedback.
- Persons who participated must be informed of the final action taken, and the effect of public comments on that action.
- Written feedback must be made available to the public, and notice of availability must be given.

PUBLIC PARTICIPATION WORK PLANS

- Written planning tools setting forth objectives, schedules, techniques, audiences, and resource requirements

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- Undertaken by EPA or applicants for EPA financial assistance
 - Work plans must include:
 - key decisions subject to public participation
 - staff contacts, including address and phone number
 - budget resources allocated for public participation
 - segments of public targeted for participation
 - proposed schedule of public participation activities
 - mechanisms to achieve the identification, outreach, dialogue, assimilation and feedback functions of public participation
 - All reasonable public participation costs identified in an approved work plan will be eligible for financial assistance.
 - Work plans will be prepared for individual projects and also at the program level.
 - Assistant Administrators and Regional Administrators ensure that program work plans are used in the budgetary process.
 - Work plans will be reviewed by the Special Assistant for Public Participation who will work with program and regional managers to ensure that public participation is planned effectively.
 - Work plans may be used as public information documents.

ASSISTANCE TO THE PUBLIC

- Assistant Administrators, Office Directors, and Regional Administrators can provide funds to outside organizations and individuals to promote public participation activities.
- Applicants for financial assistance for non-regulatory or non-adjudicatory participation will be judged by the following criteria:
 - prepared activity will further the objectives of public participation policy
 - result in participation by an interest not adequately represented
 - resources will be inadequate for participation without assistance
 - work can be accomplished completely

AUTHORITY AND RESPONSIBILITY

Administrator

- Overall direction and responsibility.
- Aided by the Special Assistant for Public Participation.
- Establish policy direction and guidance.
- Review public participation program work plans, including resource allocations.
- Coordinate funding, and provide technical assistance to outside groups as appropriate.
- Provide training and incentives to Agency personnel.
- Evaluate the adequacy of Agency public participation activities, at least annually.

Assistant Administrators

- Identify and address activities where application of policy is required.
- Identify and address forthcoming major policy decisions where policy should be applied.
- Ensure that work plans are developed annually for programs and by grantees.
- Implement approved public participation and information work plans.
- Ensure that program regulations are amended to incorporate policy provisions.
- Evaluate public participation activities in their jurisdiction, and revise as necessary.
- Encourage coordination of activities where appropriate.
- Provide guidance and assistance to support regional office activities.
- Seek public participation in national policy development.
- Consider funding authorized pilot and innovative demonstration projects.
- Consider measures to ensure policy implementation in manager's performance standards.

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- Provide financial assistance for public participation at the national level.

Regional Administrators

- Identify and address activities where application of policy is required.
- Identify and address forthcoming major policy decisions where policy should be applied.
- Ensure that work plans are developed annually for programs and by grant recipients.
- Implement approved public participation and information work plans.
- Ensure that public participation is included by applicants in the development of funding applications, State-EPA agreements, and other decisions identified by the Policy.
- Provide guidance and technical assistance to grantees.
- Evaluate public participation activities annually and revise them as necessary.
- Encourage coordination of activities where appropriate.
- Support and assist the public participation activities of Headquarters.
- Ensure that staff are trained and that necessary resources are allocated.
- Ensure policy implementation in manager's performance standards.
- Provide small grants to citizen groups, subject to the availability of funds.

Director, Office of Public Awareness

- Assist Headquarters and regional programs in identifying persons to include on contact lists.
- Assist Headquarters and regional programs in developing and distributing outreach materials.

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- Develop annual public awareness/participation support plans to complement work plans and identify resource requirements.

COMPLIANCE

- Assistant Administrators, Office Directors and Regional Administrators must ensure that activities under their jurisdiction comply with the Policy.
- Compliance by approved State programs will be ascertained during annual review and any other program audit or review.
- Inadequate compliance may delay grant award.
- Specific Policy requirements may be involved if greater public participation will result.
- Citizens with information of non-compliance should notify the appropriate Regional Administrator or Assistant Administrator, and, if necessary, the Administrator.
- Instances of alleged non-compliance will be investigated promptly, and corrective action taken where necessary.

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Monday
January 19, 1981

Part XXXII

**Environmental
Protection Agency**

Responsiveness Summary and Preamble
on Public Participation Policy

FINAL POLICY

ENVIRONMENTAL PROTECTION AGENCY

[AS-FRL-1688-8]

Responsiveness Summary and Preamble on Public Participation Policy

AGENCY: Environmental Protection Agency.

ACTION: Policy.

SUMMARY: This Policy is designed to provide guidance and direction to public officials who manage and conduct EPA programs on reasonable and effective means of involving the public in program decisions. The Policy applies to programs under the Clean Air Act (Pub. L. 95-95), Quiet Communities Act (Pub. L. 95-609), Resource Conservation and Recovery Act (Pub. L. 94-580), Toxic Substances Control Act (Pub. L. 94-469), Federal Insecticide, Fungicide and Rodenticide Act (Pub. L. 95-396), Safe Drinking Water Act (Pub. L. 95-190), and the Clean Water Act (Pub. L. 95-217).

The Policy establishes the objectives of public participation in EPA programs, outlines essential elements that must be incorporated in any public participation effort, discusses a number of public participation mechanisms with ground rules for their effective use, and assigns responsibility for planning, managing, funding, and carrying out public participation activities to EPA managers. The intent of the Policy is to ensure that managers plan in advance needed public involvement in their programs, that they consult with the public on issues where public comment can be truly helpful, that they use methods of consultation that will be effective both for program purposes and for the members of the public who take part, and finally that they are able to apply what they have learned from the public in their final program decisions.

The Policy provides a uniform set of guidelines and requirements applicable to all EPA programs, thus assuring a consistent base level of effort. The Policy applies to all EPA activities as well as to State and local activities funded or delegated by EPA. EPA will develop work plans as part of the annual budget development cycle, and amend program regulations as needed to incorporate the Policy. Affected programs are listed in the Appendix to the Policy.

DATES: This Policy is effective on January 19, 1981.

FOR FURTHER INFORMATION CONTACT: Sharon F. Francis, Special Assistant for Public Participation, Office of the Administrator (A-100), Environmental

Protection Agency, 401 M Street, SW., Washington, D.C. 20460, telephone 202/245-3066.

SUPPLEMENTARY INFORMATION: The Policy which takes effect with this publication is the result of long and careful consideration on the part of EPA, State and local agencies, and the diverse public that is actively concerned with EPA programs. EPA already enjoys a substantial amount of involvement from an active and interested public. Indeed, to that public goes substantial credit for progress made in cleaning up environmental pollution over the last ten years. There has been recognition, however, both inside and outside the Agency, that new steps need to be taken to ensure that members of the public affected by EPA programs are given an earlier and better opportunity to be heard in EPA decisionmaking.

EPA has received a significant volume of thoughtful criticism of its performance in implementing its legally mandated public participation activities and its more general responsibility to involve the public in governmental decisions. The desire of the public to have a stronger role in shaping government programs which affect their lives, businesses, and communities, and also the growing need for governmental units at all levels to participate in the programs of other governmental entities has stimulated this criticism. Government decision-makers have become increasingly aware of the capability of the public to make constructive use of opportunities for involvement. This new awareness has been accompanied by increased practical experience in using a variety of techniques to facilitate public involvement.

For these reasons, EPA has recognized the need to improve public involvement in governmental decisions by clarifying the rights and responsibilities of potential participants and those responsible for administering public participation programs. This will lead to better decisions, more satisfactory opportunities for the public to pursue their goals through government, and greater public confidence in government because decisions will be made with participation by interested and affected members of the public.

Both EPA and members of the public have more demands on their scarce time and resources than can be filled, and need to use them where the results can be most effective. This Policy's common objectives, procedures, and emphasis on results will benefit the entire Agency, and will give the public new confirmation that EPA intends to be as

responsive as possible to public questions, concerns, and preferences.

This Policy is the result of analysis and reforms instituted at the Administrator's direction by the Agency Task Force on Public Participation. The Policy was initially proposed in the *Federal Register* on April 30, 1980. In order to ensure that the proposed Policy received attention from the various sectors of the public active in EPA's programs, the Agency mailed copies of the proposal to a nationwide mailing list that included business and industry, labor organizations, professional and trade associations, news media, consumer and women's organizations, environmental and public interest groups, Black, Hispanic, and Native American organizations, scientific, public health, legal and planning societies, and State agencies.

Additionally, each of EPA's ten regional offices received copies of the Policy for distribution to their constituent lists at the regional, State and local levels. A number of regional offices wrote and distributed summaries of the proposed Policy, as well as held meetings to give members of the public opportunity to raise questions and express their views. Public meetings were held in Boston, Chicago, Columbus, Minneapolis, Denver, Seattle, Portland, Boise, Anchorage, and Washington. As a result of these outreach efforts, close to 500 members of the public took part in discussions and offered comment on the proposal.

The following analysis of the comments received, in terms of the affiliation of the person commenting, provides insight on the expectations and needs of various sectors of the public.

Written comments were received from people in forty-two States, with the largest number of comments coming from States where EPA's regional offices had also stimulated public meetings, namely Massachusetts, Connecticut, Minnesota, Ohio and Washington. Written comments were in almost every case substantive and extensive, often running many pages in length. In almost all cases, the people who wrote had been involved with EPA programs either as public participants or program managers, and their comments reflected this reservoir of practical experience.

The largest section of the public who commented were public interest groups, including environmental, consumer, and local civic groups. They provided 30% of the comments received and were closely followed by economic interests, including industries, business, and trade associations with 27%. Additionally, 15% of comment came from State agencies, 10% from citizens-at-large, 10% from

local officials, 6% from other federal agencies, and 2% from academic institutions.

Over 420 issues were addressed, and of these, the ones that drew the greatest amount of discussion were the following: the composition of advisory groups; whether to provide financial assistance to the participating public, and under what criteria; whether to apply the Policy to State agencies carrying out EPA programs; and the content and use of Responsiveness Summaries.

Eighty-five percent of those who commented supported a final Policy as strong or stronger than the one the Agency proposed in late April, and this support came from all sectors of the public. In the case of State agencies, for example, only 7 of the 44 who commented were negative about EPA's emphasis on public participation or wanted to see it weakened. The other 37 agencies all wanted a Policy and wanted it even stronger than EPA proposed. Economic interests expressed opinions on both sides of the issue, but 20% wanted it stronger and 50% supported the Policy as proposed.

Those who opposed the proposed Policy said that EPA should not be in the business of stimulating participation. People who are really concerned, they said, will come forth and participate on their own. This assumes, however, that people on their own will know that environmental decisions are about to be made, that these decisions affect them, and that they will have enough background information to be able to contribute to what is usually a technical and complex discussion.

The Agency agrees that public participation must not be a contrived exercise, nor should it be undertaken with the purpose of manipulating the public into agreement with a governmental position. EPA recognized its responsibility to give affected sectors of the public a fair opportunity to know of forthcoming governmental decisions and to be heard when those decisions are made. Clear requirements will make public involvement more cost-effective, both for EPA management and for the various sectors of the public.

It is clear from widespread support for an effective Policy that EPA's emphasis on public participation struck a responsive chord in all sectors of the public. The public's thoughtfully reasoned statements for amplifying or strengthening aspects of the proposed Policy have convinced us of the merit of a number of changes. EPA recognizes the commitment it is now making to more open and effective consultation with the public. This Policy will provide

a strong and practical framework to guide our interactions in the months and years ahead.

Summary of Response to Public Comment

The following sections respond to major points raised in comments made by the public.

1. *Objectives of EPA's Policy:* There was support from all sectors for the objectives stated in the proposed Policy, but a number of people called for additions as well. These include the role of the public in identifying and selecting among alternatives, the importance of early and continuing involvement, the significant opportunity that public participation affords for anticipating and reducing conflicts, and the need to create equal access to the regulatory process. Commentors also pointed out that objectives need to be comprehensive since they provide the yardstick for evaluation. All of these suggestions have merit, and EPA has added them to the final Policy.

2. *Application of the Policy to EPA Programs Under State Administration:* Most of the laws administered by EPA designate certain programs which can be administered by a State, instead of by EPA, if the State program meets statutory and regulatory criteria. The proposed Policy required EPA to provide for public participation in the process of deciding to approve such State programs. It also provided that, after approval, the State would assume responsibility for meeting the public participation requirements.

In the preamble to the proposed Policy, EPA drew attention to this matter, and specifically asked for comment on whether the Agency should apply the Policy to EPA programs when conducted by States. A major proportion of commenters from all categories preferred the option as proposed, on the grounds that participation is needed and beneficial to program decisions regardless of who administers the program. A much smaller number of commenters favored permitting States to achieve "substantially equivalent results" to EPA's Policy; however, none responded to EPA's request for "specific suggestions for wording and evaluation criteria" since "substantially equivalent provisions have a history of being easy to espouse but difficult to demonstrate." After reading all the comments, EPA concludes that the Policy, as proposed, has sufficient flexibility within a context of practical requirements that it will be beneficial to State program administration.

Two years ago, when EPA proposed its regulation for public participation in

Clean Water, Drinking Water and Solid Waste programs (40 CFR Part 25), the question of applying the requirements to States was intensely controversial. Now, with more than a year of experience in those programs, the worst apprehensions have not materialized and public participation has begun to prove its constructive role. Most State agencies, therefore, were not troubled by the proposal. In view of the comments received and the discussion above, EPA finds no need to alter this aspect of the Policy.

3. *Consistency with Part 25 Regulations for Public Participation in Water and Waste Management Programs:* In proposing the Policy, EPA made a conscious effort to ensure compatibility between its provisions and those of the earlier Part 25 regulation for programs under the Clean Water Act, Safe Drinking Water Act, and Resource Conservation and Recovery Act. Two additions that EPA is now making to the Policy will further remove the differences between the two documents and bring the Policy into closer alignment with Part 25. One change is the requirement that EPA review and require further efforts as needed to achieve the balanced membership requirement for advisory groups. The other change is that EPA may require corrective action on the part of State program grantees to ensure compliance with the Policy. While differences in wording remain between the two documents, EPA holds that 40 CFR Part 25 fulfills the intent and requirements of the Policy in the procedural areas (Section D. of Policy) of common subject matter. If differences remain between Part 25 and the Policy, Part 25 will control. The sections of the Policy on work plans, assistance to the public, and authority and responsibility augment the requirements contained in 40 CFR Part 25, and apply to all programs of the Agency.

4. *How to Identify the Public Who Should Participate:* Many of those who commented on the Identification section of the Policy liked our emphasis on developing a contact list of interested or affected members of the public at the outset of a participation opportunity. Several pointed out, however, that contact lists need frequent updating, especially on lengthy projects. This change we are incorporating. A number of those who commented on this section requested that the Policy indicate the uses of a contact list, and we have revised the Policy to do so.

5. *Ways to Inform and Reach the Public:* The majority of comments asked for amplification of the Outreach

section. Commenters sent many valuable suggestions, many of which the final Policy incorporates. Some general areas of concern with which we agree, and have responded to in the final Policy, include the following: (1) public access to information is critical to successful public participation programs; (2) information must be translated from "technical" language into language understandable to the lay public; (3) outreach activities should be emphasized as ongoing activities so the public can be kept up to date on matters of concern; and (4) the uninterested but impacted publics' views need to be solicited in some manner.

Specific comments addressed each of the major sections of Outreach. Under *Methods*, commenters suggested further use of a variety of techniques, many of which we have added to the final version. Under *Content*, it was suggested that materials be prepared in clear, concise language to inform the public of triggering events which initiate a proposed action, and provide details on supporting research analysis and methodology. These suggestions, along with the availability of Environmental Impact Statements, were included in the final Policy. Under *Notification*, the major concerns were that notices should inform the public about the initiation of a decision-making process and that we should describe the type of media notice required. In the *Depositories* section, commenters suggested public and university libraries as appropriate locations, and that consideration ought to be given to accessibility, travel time, parking, and availability during off-work hours. We agreed with these suggestions and included them in the final Policy.

6. Public Notification of Financial Assistance Awards: We received complaints from the public that often they never hear about EPA funded projects that provide participation opportunities in programs of State, substate, and local governments. They suggested that we incorporate some type of requirement that notice be given either at the time EPA receives applications, or after award acceptance. After careful consideration, and with a conscious effort to keep the Policy consistent with 40 CFR Part 25 regulations, we have added a section under *Timing* that the recipient give public notice within 45 days of award acceptance.

7. Methods to Improve Communication Between EPA and the Public: Many commenters were dissatisfied with the *Dialogue* and *Hearing* section. They felt we placed too much emphasis on describing hearing

requirements, and did not give enough attention to other methods of ensuring communication between EPA and the public. We responded to these concerns by amplifying the *Dialogue* section to include these suggestions and listing other methods of soliciting and using public input. These methods include review groups, workshops, conferences, personal correspondence and conversations, meetings, and citizen panels.

8. Suggestions for Improvement of Hearing Format: All sectors of the public responding felt that hearing procedures needed to move away from rigid rituals and be more attuned to listening and responding to the public's views. We agree that public hearings can be more successful if they are conducted in a non-intimidating manner, and if the public has been informed of the issues and has access to pertinent information prior to the hearing. Those who commented on the *Content of Notice* section stressed the importance of early and clear discussion of the issues and alternatives the public is asked to comment upon. Under *Conduct of Hearing*, many commenters asked for more informality and opportunity for questions and answers in the hearing. People also commented that hearings are often located too far from the affected area. We have revised the Policy to incorporate these ideas.

9. 45-Day Notice Prior to Hearings: Although some commenters felt that a 45-day notice prior to the date of a hearing was a needless delay of time and would slow down the process, others felt that 45 days was much too short a time to expect individuals or groups to prepare adequately for hearings, and some said that a 60 or 90-day notice would be more appropriate for proper preparation. Approximately 30% of the respondents favored a 30-day or less notice period, with the remaining 70% favoring a 45-day or longer period. However, the bulk of the comments favored keeping the hearing notice requirement at 45 days. The major reasons for the 45-day notice period include: (1) there is little control over mail deliveries, and often the interested public receives information too late to prepare effectively for hearings; (2) many groups meet once a month and need time to meet and discuss the notice to decide on a course of action; (3) travel time over long distances is often involved to acquire and review material; and (4) the review material is often complex and requires time for research.

Additionally, we received comments concerning the discretion given to Assistant Administrators and Regional

Administrators to waive the 45-day requirement to 30 days or less in emergency situations, or if the issues are not complex or controversial. Some commenters objected to the waiver saying it gives the Assistant Administrators and Regional Administrators too much discretionary power, and feared they may use the waiver more often than necessary. We feel some flexibility must be maintained here, and that the Assistant Administrators and Regional Administrators would be able to make exceptions they feel are warranted. However, we have stated that those objecting to a waiver may appeal to the Administrator of EPA.

10. Composition of Advisory Groups: One of the subjects most widely discussed in the proposed Policy has been the composition of advisory groups. Almost all who commented on this subject believed EPA was fair and used good judgment to prescribe a balance of backgrounds among advisory group members; however, a great many commenters believed certain categories sympathetic to their own viewpoints should be given added weight, or others of contrasting views should be prohibited.

Overall, commenters favored EPA's proposed balance of categories two-to-one, and we intend to retain this provision, with two important additions: tribal officials have been added as another category of public officials, and we have made clear that elected public officials should not be from the decision-making body the group is advising. Several people wanted "citizens with economic interests" and "organizations with economic interests" as two separate categories, but we do not agree with this proposal. We prefer to leave the citizen-at-large category unencumbered so appointing officials can have room to select a variety of individuals with potentially worthwhile contributions.

11. Proof of Effort to Achieve Advisory Group Composition: A number of those who commented were concerned that the balanced membership of advisory groups could be manipulated if there is not some degree of oversight by EPA. They also pointed out that the 40 CFR Part 25 regulation has a section calling for demonstration of "proof of effort," and this section has given valuable oversight to agencies with advisory groups. We agree that federal guidance may be valuable in this area and consequently have added a section that requires advice, assistance, review, and approval by EPA.

12. Use of Advisory Group Recommendations: A number of people

experienced with advisory groups reported their frustration with instances when the group felt their recommendations were being suppressed by the agencies they advised. Since a major purpose of this Policy is to improve openness on the part of governmental entities, we have added a short section to the Policy which makes it clear that advisory group recommendations should be publicly available.

13. The Frequency and Use of Responsiveness Summaries: The great majority of those who commented on the subject of Responsiveness Summaries supported EPA's requirement, and thought these summaries would provide an important addition to decision-making. A few people pointed out, however, that our emphasis should not be on documenting public views as much as it should be on using them. We agree with these comments and have added some language to reflect this emphasis. Additionally, there was a certain amount of misunderstanding that Responsiveness Summaries would be required after every hearing or meeting. This is not our intent, but rather it is that Responsiveness Summaries be prepared at "key decision points." These will be identified in public participation work plans, as well as in program regulations where they are being revised to incorporate provisions of this Policy.

14. How Much Feedback Should Be Provided to the Public on the Results of its Participation?: EPA's proposal that feedback be provided received strong support from all sectors of the public. A number of commenters wanted to see feedback provided within a time limit, such as 60 days, though others recognized the burden that such acknowledgements would place on the Agency's staff. Throughout the comments on this section was the desire on the part of participants to know substantively why their suggestions were or were not accepted. EPA does not have the staff resources to be able to commit itself to interim replies of a substantive nature, especially when the number of comments on many issues run into the thousands. We do, however, recognize a serious commitment to providing feedback and thus are revising the policy to state that all "participants in a particular activity (must) receive feedback," not just "have access" to it as stated in our earlier proposal.

15. The Use of Work Plans: In EPA's initial proposal, public participation work plans were contemplated for two reasons: first, good public participation needs to be carefully planned, and

second, the resource outlays needed for public participation should be built into program operating budgets. Many members of the public, as well as State and substate officials who commented on the Policy, supported EPA's emphasis upon work plans. In fact, several said work plans should be discussed earlier in the Policy, a suggestion we have taken. Additionally, we have added some clarifying and strengthening language on the content of work plans and the timing of their preparation. Work plans will be developed at both the program and project levels, and EPA will provide guidance on the content of these documents.

16. The Use of Public Funds to Assist the Participating Public: To a large extent the debate over financial assistance to members of the public or public organizations focussed on the use of such funds in regulatory or adjudicatory proceedings. The debate was rendered moot by Congress in its action on EPA's 1981 appropriation which prohibited use of EPA funds for that purpose. The final Policy reflects the removal of this controversial aspect. Other types of public participation funding (e.g. travel expenses for witnesses at public hearings on hazardous waste disposal siting) proved uncontroversial and occasioned little comment. It is the Agency's intention to continue to fund such non-regulatory, non-adjudicatory participation.

17. The Responsibility of EPA Officials for Implementing the Policy: Many people who commented on the Policy liked the Agency's proposal which outlined the authority and responsibility of various Agency officials for ensuring the Policy's implementation. Several pointed out, however, that the language was confusing and duplicative. Therefore, we have rewritten that section with separate duties identified for Regional Administrators, Assistant Administrators, the Director of the Office of Public Awareness, and the Administrator. These sections should clarify the previous ambiguities.

18. Ensuring Compliance with the Policy: A large proportion of commenters wanted reassurance that this Policy is more than a collection of good intentions, and that EPA will stand behind its provisions and enforce them. They were particularly concerned with State and substate assistance recipients, and urged EPA to develop enforcement sanctions. While we hope that sanctions will not be necessary, we have amended the Policy with a section on sanctions that gives greater emphasis to Policy enforcement.

19. Relationship Between Public Participation Policy and Environmental Impact Statement (EIS) Process: Several people noted that the proposed Policy was silent on how the Policy fits with the Agency's EIS procedures. EIS's are undertaken primarily for grants for wastewater treatment plans, new source National Pollutant Discharge Elimination System (NPDES) permits, and certain major regulations. Many of the goals of this public participation Policy and EPA's EIS programs are similar. The requirements of the new Policy will serve to reinforce, and in some cases, supplement existing EIS procedures. In revising the Policy, we have added a number of references to EIS's to emphasize this relationship.

20. Overall Evaluation of Effectiveness: Several commenters from Federal or State government agencies, as well as several citizens with years of experience as active participants, drew attention to the importance of evaluating the Policy. They said this should be done both to oversee how well its provisions are being followed and to identify, where possible, the results of improved public involvement on Agency decisions and program implementation.

EPA is committed to evaluating this Policy within three years from the date of publication. This will be done under the direction of the Administrator's Special Assistant for Public Participation. This evaluation will include such matters as effectiveness of requirements, enforceability, resource expenditures, alternative public participation methods, public reaction, and reporting requirements.

Conclusion

EPA has made a number of additions and improvements to the proposed Policy on the basis of what it learned from the public during the comment period. Indeed, the revised Policy itself is a good example of how public involvement augments the Agency's work. The overwhelming proportion of statements came from people with long experience in public policy. All reflected a similar outlook: they, like EPA, want to make the system work better. Among many interesting statements, a few examples indicate the challenge of the public's expectations:

A planning board chairman from a small New England town spoke of the resentment that the public has come to feel toward the work of bureaucrats. From his experience in marshalling talent to address local problems, he suggested that EPA consider recruiting broad based citizen task forces or advisory groups to develop all the Agency's regulations and other major

policy items. They should be given a deadline, and only if they failed to produce, should EPA step in and do the work. "That would be real participation," he said.

A major national chemical manufacturer opened its statement by saying the Policy is not needed, since the company believes it duplicates existing procedures. The company continued, however, to urge substantial reform of EPA practices in order to give the public a much earlier opportunity for participation before the bureaucratic momentum becomes too great to accept any changes. They also advocated genuine responsiveness to the public, not just a "superficial consideration of comments."

A citizen group that has been working for years to reduce adverse environmental consequences from two oil refineries cited a series of disappointing interactions with EPA: delays in obtaining requested materials for review prior to hearings; difficulties in seeing pertinent materials even when they visited State offices; the high costs of reproducing documents; and a feeling that government agencies were giving substantial amounts of time and assistance to industrial applicants, but were not even willing to answer the questions of opponents, let alone assist them more substantially. The group also had the impression that EPA had its mind made up at the time of a public hearing, and the citizens felt their own efforts were wasted.

Statements such as these reveal the frustration that many members of the public have experienced when trying to work with the Agency, and they also point to the motivation and high hopes that the public continues to hold about participating in environmental protection issues. Public participation lies at the heart of the Agency's credibility with the public. It affords the best tested recipe for citizens to influence the governmental decisions that affect their lives and pocketbooks. This Policy takes an important step in defining when EPA will undertake public participation, and in saying that when we do it, we intend to do it right.

Members of the public who wish to obtain the background Compilation of Issues with their disposition and List of Commenters on this Policy may do so by contacting: Sharon F. Francis, Special Assistant for Public Participation, Office of the Administrator (A-100), Environmental Protection Agency, 401 M Street, S.W., Washington, D.C. 20460, telephone 202/245-3066.

Dated: January 13, 1981.

Douglas M. Costle,
Administrator.

Final E.P.A. Policy on Public Participation

This Policy addresses participation by the public in decision-making, rulemaking, and program implementation by the Environmental Protection Agency (EPA), and other governmental entities carrying out EPA programs. The term, "the public" as it is used here, means the people as a whole, the general population. There are a number of identifiable "segments of the public" who may have a particular interest or who may be affected one way or another by a given program or decision. In addition to private citizens, "the public" includes, among others, representatives of consumer, environmental, and minority groups; the business and industrial communities; trade, industrial, agricultural, and labor organizations; public health, scientific, and professional societies; civic associations; universities, educational, and governmental associations; and public officials, both elected and appointed.

"Public participation" is that part of the agency's decision-making process that provides opportunity and encouragement for the public to express their views to the agency, and assures that the agency will give due consideration to public concerns, values, and preferences when decisions are made.

A. Scope

The requirements and procedures contained in this Policy apply to the Environmental Protection Agency and other governmental entities carrying out EPA programs (referred to herein as "agency"). The activities covered by this Policy are:

EPA rulemaking, when regulations are classified as significant, (under terms of Executive Order 12044);

The administration of permit programs as delineated in applicable permit program regulations;

Program activities supported by EPA financial assistance (grants and cooperative agreements) to State and substate governments;

—The process leading to a determination of approval of State administration of a program in lieu of Federal administration;

—Major policy decisions, as determined by the Administrator, appropriate Assistant Administrator, Regional Administrator, or Deputy Assistant Administrator, in view of

EPA's responsibility to involve the public in important decisions.

When covered activities are governed by EPA regulations or program guidance, the provisions of the Policy shall be included at appropriate points in these documents. Before those changes are made, the provisions of the existing regulations or program guidance shall govern.

B. Purpose

The purpose of this Policy is to strengthen EPA's commitment to public participation and establish uniform procedures for participation by the public in EPA's decision-making process. A strong policy and consistent procedures will make it easier for the public to become involved and affect the outcome of the agency's decisions.

This in turn will assist EPA in carrying out its mission, by giving a better understanding of the public's viewpoints, concerns, and preferences. It should also make the agency's decisions more acceptable to those who are most concerned and affected by them.

Agency officials will provide for, encourage, and assist participation by the public. Officials should strive to communicate with and listen to all sectors of the public. Where appropriate, this will require them to give extra encouragement and assistance to some sectors, such as minorities, that may have fewer opportunities or resources.

The Policy identifies those actions which are required and others that are discretionary, on the part of agency managers. The Policy assumes, however, that agency employees will strive to do more than the minimum required, and is not intended to create barriers to more substantial or more significant participation. The Policy recognizes the agency's need to set priorities for its use of resources, and emphasizes participation by the public in decisions where options are available and alternatives must be weighed, or where substantial agreement is needed from the public if a program is to be carried out.

Public participation must begin early in the decision-making process and continue throughout the process as necessary. The agency must set forth options and alternatives beforehand, and seek the public's opinion on them. Merely conferring with the public after a decision is made does not achieve this purpose.

Agency officials must avoid advocacy and precommitment to any particular alternative prior to decision-making. The role of agency officials is to plan and

conduct public participation activities that provide equal opportunity for all individuals and groups to be heard. Officials should actively seek to facilitate resolution of issues among disagreeing interests whenever possible.

Decision-makers are aware that issues which are not resolved to the satisfaction of the concerned public may ultimately face time-consuming review. If the objectives of EPA's public participation program are achieved, delays to accommodate litigation should be reduced.

C. Objectives

In establishing a policy on public participation, EPA has the following objectives:

- To use all feasible means to create early and continuing opportunity for public participation in agency decisions;
- To promote the public's involvement in implementing environmental protection laws;
- To make sure that the public understands official programs and the implications of potential alternative courses of action;
- To solicit assistance from the public in identifying alternatives to be studied, and in selecting among alternatives considered;
- To keep the public informed about significant issues and changes in proposed programs or projects, as they arise;
- To create an equal and open access for the interested and affected parties to the regulatory process;
- To make sure that the government understands public goals and concerns, and is responsive to them;
- To demonstrate that the agency consults with interested or affected segments of the public and takes public viewpoints into consideration when decisions are made;
- To anticipate conflicts and encourage early discussions of differences among affected parties;
- To foster a spirit of mutual trust, confidence, and openness between public agencies and the public.

D. General Procedures for All Programs

Each Assistant Administrator, Office Director, or Regional Administrator shall determine forthcoming decisions or activities to which this Policy should be applied, and take the steps needed to assure that adequate public participation measures are developed and implemented.

To ensure effective public participation in any decision or activity, the agency must carry out five basic functions: Identification, Outreach, Dialogue, Assimilation, and Feedback.

1. *Identification.* It is necessary to identify groups or members of the public who may be interested in, or affected by, a forthcoming action. This may be done by a variety of means: developing a contact list of persons and organizations who may have expressed an interest in, or may be affected by the nature of their purposes or activities; or have an interest in a forthcoming activity; requesting from others in the agency or from key public groups, the names of interested and affected individuals to include; using questionnaires or surveys to find out levels of awareness; or by other means. If EPA is required to file an Environmental Impact Statement (EIS), the scoping process can be used to identify interested parties.

The responsible official(s) shall develop a contact list for each program or project, and add to the list whenever members of the public request it. The list should be up-dated frequently, and it will be most useful if subdivided by category of interest or geographic area.

The contact list shall be used to send announcements of participation opportunities, notices of meetings, hearings, field trips and other events, notices of available reports and documents, and for identifying members of the public who may be considered for advisory group membership and other activities.

2. *Outreach.* The public can contribute effectively to agency programs only if it is provided with accurate, understandable, pertinent and timely information on issues and decisions. The agency shall make sure that adequate, timely information concerning a forthcoming action or decision reaches the public. The agency shall provide policy, program, and technical information at the earliest practical times, and at places easily accessible to interested and affected persons and organizations, so they can make informed and constructive contributions to decision-making. Information and educational programs shall be developed so that all levels of government and the public have an opportunity to become familiar with the issues and the technical data from which they emerge. Informational materials shall highlight significant issues that will be the subject of decision-making. Special efforts shall be made to summarize complex technical materials for the public.

a. *Methods.* The objective of the agency's public outreach program is to insure that the public understands the significance of the technical data so that rational public choices can be made. Outreach programs require the use of

appropriate communication tools, and should be tailored to start at the public's level of familiarity with the subject.

The following, among other approaches, may be used for this purpose:

- (1) publications, fact sheets, technical summaries, bibliographies;
- (2) questionnaires, surveys, interviews;
- (3) public service announcements, and news releases;
- (4) educational activities carried out by public organizations.

b. *Content.* Outreach materials must include background information [e.g. statutory basis, rationale, or the triggering event of the action]; a timetable of proposed actions; summaries of lengthy documents or technical material where relevant; a delineation of issues; alternative courses of action or tentative determinations which the agency may have made; whether an EIS is, or will be, available; specific encouragement to stimulate active participation by the public; and the name of an individual to contact for further information.

Whenever possible, the social, economic, and environmental consequences of proposed decisions and alternatives should be clearly stated in outreach material. Technical evidence and research methodology should be explained. Summaries of technical documents should be footnoted to refer to the original data. Fact sheets, news releases, summaries, and similar publications may be used to provide notice of availability of materials and to facilitate public understanding of more complex documents, but should not be a substitute for public access to the complete documents.

c. *Notification.* The agency must notify all parties on the contact list and the media of opportunities to participate and provide appropriate information, as described in the first paragraph of Section 2.b. above. Printed legal notices are often required by program regulations, but do not substitute for the broader notice of the media and contact list required by this section.

d. *Timing.* Notification (above) must take place well enough in advance of the agency's action to permit the public to respond. Generally, it should take place not less than 30 days before the proposed action, or 45 days in the case of public hearings (exceptions in the case of public hearings are discussed under Dialogue, below).

Where complex issues or lengthy documents are presented for public comment, the comment period should allow enough time for interested parties to conduct their review. This period

generally should be no less than 60 days. Where participation opportunities are to be provided in programs of State, substate, and local governments supported by EPA financial assistance, notice shall be given by the recipient to the public within 45 days after award acceptance.

e. Fees for Copying. Whenever possible, the agency should provide copies of relevant documents, free of charge. Free copies may be reserved for private citizens and public interest organizations with limited funds. Any charges must be consistent with requirements under the Freedom of Information Act as set forth in 40 CFR Part 2.

f. Depositories. The agency shall provide one or more central collections of documents, reports, studies, plans, etc. relating to controversial issues or significant decisions in a location or locations convenient to the public. Depository arrangements should be made when possible with public libraries and university libraries. Consideration must be given to accessibility, travel time, parking, transit, and to availability during off-work hours. Copying facilities, at reasonable charges, should be available at depositories.

3. Dialogue. There must be dialogue between officials responsible for the forthcoming action or decision and the interested and affected members of the public. This involves exchange of views and open exploration of issues, alternatives, and consequences.

Public consultation must be preceded by timely distribution of information and must occur sufficiently in advance of decision-making to make sure that the public's options are not foreclosed, and to permit response to public views prior to agency action. Opportunities for dialogue shall be provided at times and places which, to the maximum extent feasible, facilitate attendance or participation by the public. Whenever possible, public meetings should be held during non-work hours, such as evenings or weekends, and at locations accessible to public transportation.

Dialogue may take a variety of forms, depending upon the issues to be addressed and the public whose involvement is sought. Public hearings are the most familiar forum for dialogue and often are legally required, but their use should not serve as the only forum for citizen input. When used, hearings should be at the end of a process that has given the public earlier opportunity for becoming informed and involved. Often other techniques may serve a broader purpose:

- *Review groups or ad hoc committees* may confer on the development of a policy or written materials;
 - *Workshops* may be used to discuss the consequences of various alternatives, or to negotiate differences among diverse parties;
 - *Conferences* provide an important way to develop consensus for changing a program or the momentum to undertake new directions;
 - *Task forces* can give concentrated and experienced attention to an issue;
 - *Personal conversations and personal correspondence* give the individualized attention that some issues require;
 - *Meetings* offer a good opportunity for diverse individuals and groups to express their questions or preferences;
 - *A series of meetings* may be the best way to address a long and complex agenda of topics;
 - *Toll-free lines* can aid dialogue, especially when many questions can be anticipated or time is short;
 - *A hearing panel* composed of persons from representative public groups may be used in non-adjudicatory hearings to listen to presentations and review the hearing summary.
- This list is not exhaustive, but it indicates the importance for program managers in being flexible and choosing the right techniques for the right occasions.

a. Requirements for public hearings.

(1) *Timing of Notice.* Notices must be well publicized and mailed to all interested and affected parties on the contact list (see 1. above) and to the media at least 45 days prior to the date of the hearing. However, when the Assistant Administrator or Regional Administrator find that no review of substantial documents is necessary for effective participation and there are no complex or controversial matters to be addressed, the notice requirement may be reduced to no less than 30 days in advance of the hearing. Additionally, in permit programs, notice requirements will be governed by permit regulations and will be no less than 30 days. Notice for EIS's are covered by EIS regulation which calls for a 45-day review period, with an optional 15-day extension. Notice of the EIS hearing is generally contained in the Draft EIS. Hearings on EIS's are usually held before the end of the EIS review period, but no earlier than 30 days after the EIS notice. Assistant Administrators or Regional Administrators may further reduce or waive the requirement for advance notice of a hearing in emergency situations where there is imminent danger to public health and safety, or in

situations where there is a legally mandated timetable. Assistant Administrators may also reduce this requirement if they determine that all affected parties would benefit from a shorter time period.

Members of the public who object to a waiver may appeal to the Administrator, stating their reasons in detail.

(2) *Content of Notice.* The notice must identify the matters to be discussed at the hearing and must include or be accompanied by: (a) a discussion of alternatives the public is being asked to comment upon and the agency's tentative conclusions on major issues (if any); (b) information on the availability of an EIS and bibliography of other relevant materials (if appropriate); (c) procedures and contacts for obtaining further information; and (d) information which the agency particularly solicits from the public.

(3) *Provision of Information.* All reports, EIS's, and other documents and data relevant to the discussions at public hearings must be available to the public on request after the notice, as soon as they become available to agency staff. Background information should be provided no later than 30 days prior to the hearing.

(4) *Conduct of Hearing.* The agency conducting the hearing must inform the audience of the issues involved in the decision to be made, the considerations the agency will take into account under law and regulations, the agency's tentative conclusions (if any), and the information which the agency particularly solicits from the public. Whenever possible, the hearing room should be set up informally. The agenda should allocate time for presentations, questions and answers, as well as formal commentary on the record. When needed, a pre-hearing meeting to discuss the issues should be held. Procedures must not inhibit free expression of views. When the subject of a hearing addresses conditions in a specific geographic area, the hearing itself should be held in that general area.

(5) *Record of Hearing.* The hearing record must be left open for at least ten days to receive additional comment, including any from those unable to attend in person, and may be kept open longer, at the discretion of the hearing officer. The agency must prepare a transcript or record of the hearing itself and add additional comments to the complete record of the proceeding. This must be available for public inspection and copying at cost at convenient locations. Alternatively, copies shall be provided free. If tapes are used, they should be available for use and copying on conventional equipment. When a

Responsiveness Summary (see Assimilation below) is prepared after a hearing, it must be provided to those who testified at or attended the hearing, as well as anyone who requests it.

b. *Requirements for advisory groups.* Formation of an advisory group is one of the methods that can be chosen to gain sustained advice from a representative group of citizens.

The primary function of an advisory group is to assist elected or appointed officials by making recommendations to them on issues which the decisionmaking body and the advisory group consider relevant. These issues may include policy development, project alternatives, financial assistance applications, work plans, major contracts, interagency agreements, budget submissions, among others. Advisory groups can provide a forum for addressing issues, promote constructive dialogue among the various interests represented on the group, and enhance community understanding of the agency's action.

(1) **Requirements for Federal EPA Advisory Committees:** When EPA establishes an advisory group, provisions of the Federal Advisory Committee Act (Pub. L. 92-463) and General Service Administration (GSA) Regulations on Federal Advisory Committee Management must be followed.

(2) **Requirements for State and Substate and Local Advisory Committees:** (Explanatory Note: The following guidelines do not apply to advisory committees, as defined by the Federal Advisory Committee Act, which are established or utilized by EPA.) In instances where regulations, program guidance, or the public participation work plans of State, substate, or local agencies, call for advisory groups, the following special requirements will apply:

(a) **Composition of Advisory Groups.** Agencies must try to constitute advisory groups so that the membership includes the major affected parties, reflects a balance of interests, and consists of substantially equivalent proportions of the following groups:

- Private citizens. This portion of the advisory group should not include anyone who is likely to incur a financial gain or loss greater than that of an average homeowner, taxpayer, or consumer as a result of any action that is likely to be taken by the managing agency;

- Individual citizens or representatives of organizations that have substantial economic interests in the plan or project;

- Federal, State, local, and tribal officials. These may be both elected and policy-level appointed officials, so long as the elected officials do not come from the decision-making body the group is advising;

- Representatives of public interest groups. A "public interest group" is an organization which has a general civic, social, recreational, environmental, or public health perspective in the area, and which does not directly reflect the economic interests of its membership.

Generally, where an activity has a particular geographic focus, the advisory group should be composed of persons from that geographic area, unless issues involved are of wider application.

Where problems in meeting the membership composition arise, the agency should request advice and assistance from EPA or the State in the case of a delegated program. EPA shall review the agency's efforts to comply, and approve the advisory group composition, or, if the agency's efforts were inadequate, require additional actions.

(b) **Resources for Advisory Groups.** To the extent possible, agencies shall identify professional and clerical staff time which the advisory group may depend upon for assistance, and provide the advisory group with an operating budget which may be used for mailing, duplicating, technical assistance, and other purposes the advisory group and the agency have agreed upon. The agency should establish a system for reimbursing advisory group members for reasonable out-of-pocket expenses that relate to their participation on the advisory group.

(3) **Advisory Group Recommendations:** Recommendations, including minority reports and the minutes of all meetings of an advisory group, are matters of public information. As soon as these become available to agency staff, the agency must provide them to the public on request and distribute them to relevant public agencies. Advisory groups may communicate with EPA or the public as needed, or request EPA to perform an evaluation of the assisted agency's compliance with the requirements of this part.

4. **Assimilation.** The heart of public participation lies in the degree to which it informs and influences final agency decisions

Assimilating public viewpoints and preferences into final conclusions involves examining and analyzing public comments, considering how to incorporate them into final program decisions, and making or modifying decisions according to carefully

considered public views. The agency must then demonstrate, in its decisions and actions, that it has understood and fully considered public concerns. Assimilation of public views must include the following three elements:

a. *Documentation.* The agency must briefly and clearly document consideration of the public's views in Responsiveness Summaries, regulatory preambles, EIS's or other appropriate forms. This should be done at key decision points specified in program guidance or in work for public participation.

b. *Content.* Each Responsiveness Summary (or similar document) must:

- explain briefly the type of public participation activity that was conducted;
- identify or summarize those who participated and their affiliation;
- describe the matters on which the public was consulted;
- summarize the public's views, important comments, criticisms and suggestions;
- disclose the agency's logic in developing decisions; and
- set forth the agency's specific responses, in terms of modifying the proposed action, or explaining why the agency rejected proposals made by the public.

c. *Use.* The agency must use Responsiveness Summaries in its decision-making.

In addition, final Responsiveness Summaries that are prepared by an agency receiving financial assistance from EPA must also include that agency's (and where applicable, its advisory group's) evaluation of its public participation program.

5. **Feedback.** The agency must provide feedback to participants and interested parties concerning the outcome of the public's involvement. Feedback may be in the form of personal letters or phone calls, if the number of participants is small. Alternatively, the agency may mail a Responsiveness Summary to those on the contact list, or may publish it.

a. *Content.* The feedback that the agency gives must include a statement of the action that was taken, and must indicate the effect the public's comments had on that action.

b. *Availability.* Agency officials must take the initiative in giving appropriate feedback, and must assure that all public participants in a particular activity are provided that feedback. As Responsiveness Summaries are prepared, their availability should be announced to the public. When regulations are developed, reprints of

preambles and final regulations must be provided to all who commented.

E. Work Plans

A work plan is a written document used for planning a public participation program. It may be an element of regulatory development plans or program plans. Each work plan should include the following elements: objectives, schedules, techniques, audiences and resources requirements. Work plans should be completed on both a program and project level or for each activity identified under Scope of the Policy.

Public participation work plans, undertaken by EPA or by applicants for EPA financial assistance, shall set forth, at a minimum:

1. Key decisions subject to public participation;
2. Staff contacts and budget resources to be allocated to public participation;
3. Segments of the public targeted for involvement;
4. Proposed schedule for public participation activities to impact program decisions;
5. Mechanism to apply the five basic functions—Identification, Outreach, Dialogue, Assimilation, and Feedback—outlined in Section D of this Policy.

Reasonable costs of public participation incurred by assisted agencies, including advisory group expenses, and identified in an approved public participation work plan, will be eligible for financial assistance, subject to statutory or regulatory limitations.

Assistant Administrators and Regional Administrators will ensure that program work plans are developed in a timely manner for use in the annual budget planning process. Work plans will be reviewed by the Special Assistant for Public Participation, who will work with program and regional managers to ensure that work plans adequately carry out this Policy. Work plans may be used as public information documents.

F. Assistance to the Public

EPA recognizes that responsible participation by the various elements of the public in some of the highly technical and complex issues addressed by the agency requires substantial commitments of time, study, research analysis, and discussion. While the Agency needs the perspectives and ideas that citizens bring, it cannot always expect the public to contribute its efforts on a voluntary basis.

Assistant Administrators, Office Directors, and Regional Administrators can provide funds to outside organizations and individuals for public

participation activities which they, as EPA managers, deem appropriate and essential for achieving program goals, and which clearly do not involve rulemaking or adjudicative activities.

Participation Funding Criteria—Any financial assistance awarded by the Agency for non-regulatory or non-adjudicatory participation should be based on the following criteria:

- (1) whether the activity proposed will further the objectives of this Policy;
- (2) whether the activity proposed will result in the participation of interests not adequately represented;
- (3) whether the applicant does not otherwise have adequate resources to participate; and
- (4) whether the applicant is qualified to accomplish the work.

These are the primary tests for public participation financial assistance. From among those who meet these tests, the Agency will make special efforts to provide assistance to groups who may have had fewer opportunities or insufficient resources to participate.

G. Authority and Responsibility

Public participation has an integral part in the accomplishment of any program. It should routinely be included in decision-making and not be treated as an independent function. Managers shall assure that personnel are properly trained, and that funding needs are incorporated in their specific budgets.

Responsibility and accountability for the adequacy of public participation programs belongs primarily to the Regional Administrators and the Assistant Administrators, under the overall direction of the Administrator.

1. *The Administrator* maintains overall direction and responsibility for the Agency's public participation activities. Specifically, the Administrator, aided by the Special Assistant for Public Participation, will:

- (a) establish policy direction and guidance for all EPA public participation programs;
- (b) review public participation program work plans, including resource allocations;
- (c) coordinate public participation funding to outside groups to ensure the most economical expenditures;
- (d) provide technical advice and assistance as appropriate;
- (e) develop guidance and training needed to ensure that program personnel are equipped to implement the Policy;
- (f) provide incentives to agency personnel to ensure commitment and competence; and
- (g) evaluate at least annually the adequacy of public participation

activities conducted under this Policy, and the appropriateness and results of public participation expenditures.

2. *Assistant Administrators* have the following responsibilities:

- (a) identify and address those activities where application of this Policy is required;
- (b) identify and address those forthcoming major policy decisions where the Policy should be applied;
- (c) ensure that program work plans are developed annually to provide for adequate public participation in the above decisions and activities;
- (d) implement approved work plans for public information and public participation activities;
- (e) ensure that, as regulations for the programs cited in the Appendix of the Policy are amended, they incorporate the Policy's provisions;
- (f) evaluate the appropriateness of public participation expenditures and activities under their jurisdiction, revising and improving them as necessary;

- (g) encourage coordination of public participation activities;
- (h) provide guidance and assistance to support regional office activities;
- (i) seek public participation in decisions to modify or develop major national policies, at their discretion;
- (j) consider funding authorized pilot and/or innovative demonstration projects;
- (k) consider measures to ensure Policy implementation in appropriate managers' performance standards;
- (1) provide financial assistance, as appropriate and available, for authorized public participation activities at the national level.

3. *Regional Administrators* have the following responsibilities:

- (a) identify and address those EPA and EPA-assisted activities where application of this Policy is required;
- (b) identify and address those forthcoming EPA and EPA-assisted major policy decisions where the Policy should be applied;
- (c) ensure that work plans are developed annually by their programs and recipients to provide for adequate public participation in the above decisions and activities;
- (d) implement approved work plans for public information and public participation activities;
- (e) ensure that public participation is included by applicants in the development of program funding applications to EPA, and in other decisions as identified by this Policy;
- (f) provide guidance and technical assistance to recipients on the conduct of public participation activities;

(g) evaluate annually public participation activities of State, substate, or local entities revising and improving them as necessary;

(h) encourage coordination of public participation activities;

(i) support and assist the public participation activities of Headquarters;

(j) ensure that Regional staff are trained, and resources allocated for public participation programs;

(k) incorporate measures to ensure Policy implementation in managers' performance standards;

(l) provide small grants to representative public groups for needed public participation work;

(m) evaluate the appropriateness of public participation expenditures and activities, revising and improving them as necessary.

4. The Director, Office of Public Awareness has an important role in the development and support of Agency public participation activities. The Director will:

(a) assist Headquarters and regional programs in identifying interested and affected members of the public in compiling project contact lists;

(b) support Headquarters and regional programs in development and distribution of outreach materials to inform and educate the public about environmental programs and issues, and participation opportunities;

(c) develop annual public awareness/participation support plans to complement public participation work plans and identify resource requirements.

H. Compliance

Assistant Administrators, Office Directors, and Regional Administrators are responsible for making certain that, for the activities under their jurisdiction, all those concerned comply with the public participation requirements set forth in this Policy.

Regional Administrators will evaluate compliance with public participation requirements in appropriate State and substate programs supported by EPA financial assistance. This will be done during the annual review of the States' program(s) which is required by grant provisions, and during any other program audit or review.

If the Regional Administrator is not satisfied that this Policy is being carried out, he or she should defer grant award until these conditions can be met where that course is legally permissible. A Regional Administrator may grant a waiver from specific requirements in this Policy upon a showing by the agency that proposed actions will result in substantially greater public

participation than would be provided by the Policy.

The Administrator of EPA has final authority and responsibility for ensuring compliance. Citizens with information concerning apparent failures to comply with these public participation requirements should first notify the appropriate Regional Administrator or Assistant Administrator, and then if necessary, the Administrator. The Regional Administrator, Assistant Administrator, or Administrator will make certain that instances of alleged noncompliance are promptly investigated and that corrective action is taken where necessary.

Appendix—List of Citations Covering Program Grants, Delegations, or Permits to State and Substate Governments

The Public Participation Policy will be incorporated in program regulations that cover financial assistance or delegations of authority to State or substate governments or approval of State programs. Where consolidated awards exist under these provisions, they also will be covered. Programs under the Clean Water Act, Safe Drinking Water Act, and the Resource Conservation Recovery Act are already covered by this Policy insofar as they have been amended, or will be amended, to incorporate 40 CFR, Part, 25. Consolidated permit programs are covered by 40 CFR, Parts 122, 123, and 124. Regulations that refer to existing programs now covered by the Policy will have to be amended to incorporate its provisions. Where program regulations are not yet written, the Policy shall be incorporated.

Clean Air Act (Pub. L. 95-95)

Air Pollution Control Program Grants

Sec. 105—Grants to State and local air pollution control agencies for support of air pollution planning and control programs. (Catalogue of Federal Domestic Assistance No. 66.001.)

Sec. 106—Grants to interstate air quality agencies and commissions to develop implementation plans for interstate air quality control regions. [When funded].

Urban Mass Transportation Technical Studies Grants (DOT)

Sec. 175—Grants to organizations of local elected officials with transportation or air quality maintenance responsibilities for air quality maintenance planning. (CFDA No. 20.505.)

Sec. 210—Grants to State agencies for developing and maintaining effective vehicle emission devices and systems inspection and emission testing and control programs. [When funded].

Quiet Communities Act (Pub. L. 95-609)

Quiet Communities—State and Local Capacity Building Assistance

Sec. 14(c)—Grants to State and substate governments and regional planning agencies for planning, developing, evaluating, and demonstrating techniques for quiet communities. (CFDA No. 66.031.)

Toxic Substances Control Act (Pub. L. 94-469)

State Toxic Substances Control Projects

Sec. 28—Grants to State for establishing and operating programs to complete EPA efforts in preventing or eliminating risks to health or environment from chemicals. (CFDA No. 66.800.)

Federal Insecticide, Fungicide and Rodenticide Act (Pub. L. 95-396)

Pesticides Enforcement Program Grants

Sec. 23(a)—Funding to States/Indian tribes through cooperative agreements for enforcement and applicator training and certification. (CFDA No. 66.700.)

Resource Conservation and Recovery Act (Pub. L. 94-580)

Sec. 3005(a)—Issuance of permits for treatment, storage and disposal of hazardous waste.

Sec. 3006—Delegation of authority to administer and enforce hazardous waste program.

Sec. 4002—State Planning Guidelines.

Solid and Hazardous Waste Management Program Support Grants

Sec. 4007—Approval for State, local, and regional authorities to implement State or Regional Solid Waste Plans and be eligible for Federal assistance. (CFDA No. 66.451.)

Sec. 4008—Grants to State and substate agencies for solid waste management, resource recovery and conservation, and hazardous waste management. (CFDA No. 66.451.)

Sec. 4009—Grants to States for rural areas solid waste management facilities. (CFDA No. 66.451.)

Solid Waste Management Demonstration Grants

Sec. 8006—Grants to State, municipal, interstate or intermunicipal agency for resource recovery systems or improved solid waste disposal facilities. (CFDA No. 66.452.)

Solid Waste Management Training Grants

Sec. 7007—Grants or contracts for States, interstate agency, municipality and other organizations for training personnel in occupations related to solid waste management and resource recovery. (CFDA No. 66.453.)

Safe Drinking Water Act (Pub. L. 95-190)

Sec. 1421(b)—Issuance of permits for underground injection control programs.

State Public Water System Supervision Program Grants

Sec. 1443(a)—Grants to States for public water system supervision. (CFDA #66.432.)

State Underground Water Source Protection—Program Grants

Sec. 1443(b)—Grants to States for underground water source protection programs. (CFDA #66.433.)

Clean Water Act (Pub. L. 95-217)

Construction Grants for Wastewater Treatment Works

Sec. 201—Grants to State, municipality, or intermunicipal agencies for construction of

wastewater treatment works. (CFDA #66.418.)

Water Pollution Control—State and Interstate Program Grants

Sec. 106—Grants to State and interstate agencies for water pollution control administration. (CFDA #66.419.)

Water Pollution Control—State and Areawide Water Quality Management Planning Agency

Sec. 205(g)—Delegation of management of construction grants programs to State designated agency(ies). (CFDA #66.438.)

Sec. 208—Grants for State and areawide waste treatment management planning. (CFDA# 66.426.)

Water Pollution Control—Lake Restoration Demonstration Grants

Sec. 314—Clean Lakes Program.

Sec. 402(a)—Issuance of permits under National Pollutant Discharge Elimination System.

Sec. 404—Issuance of permits for disposal of dredge and fill materials.

Pub. L. 94-580, Sections 3005 & 3006;

Pub. L. 95-190, Sections 1421-1423;

Pub. L. 95-217, Section 402;

Pub. L. 95-217, Section 404;

Pub. L. 95-95, Section 165;

Proposed consolidated permit regulations, covering: Hazardous Waste Program under RCRA; UIC Program under SDWA, NPDES and Section 404 of the Clean Water Act, and the PSD Program under the Clean Air Act.

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