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Getting Community Buy-in for Stormwater Funding

A FOUR-SESSION PARTICIPATORY WORKSHOP

Participant Workbook

Office of Research and Development
National Health and Environmental Effects Research Laboratory

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Participants planning stakeholder interviews. Photo credit: Marilyn Buchholtz ten Brink, 2017

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Getting Community Buy-in for Stormwater Funding: A Four-Session Participatory Workshop

Participant Workbook

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Notice and Disclaimer

This multi-session, participatory workshop is intended solely to support municipalities in securing stable funding for stormwater, and does not endorse any particular funding solution. The materials presented in this Participant Workbook are for agencies or organizations who work with communities facing stormwater problems to implement a workshop series focused on the technical needs for effectively engaging stakeholders to develop potential funding solutions. This Participant Workbook is a paired resource with the Facilitator Manual for this workshop (Twichell et al. 2018, EPA/600/R-18/214). This document was subjected to the Agency's peer and administrative review and was approved for publication as an EPA document. Mention of trade names or commercial products does not constitute endorsement or recommendation for use. While this workbook describes a method through which municipalities can work toward funding solutions for stormwater management, it does not substitute for CWA or EPA regulations, nor is it a regulation itself. Thus, it cannot impose legally binding requirements on EPA, states, territories, tribes, or the regulated community and might not apply to a particular situation or circumstance. EPA may change this guidance in the future. This is a contribution to the EPA Office of Research and Development's Safe and Sustainable Water Resources Research Program.

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www.epa.gov/water-research/water-research-publications-science-inventory

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Foreword

The United States Environmental Protection Agency (EPA) is charged by Congress with protecting the Nation's land, air, and water resources. Under a mandate of national environmental laws, the Agency strives to formulate and implement actions leading to a compatible balance between human activities and the ability of natural systems to support and nurture life. To meet this mandate, EPA's research program is providing data and technical support for solving environmental problems today and building a science knowledge base necessary to manage our ecological resources wisely, understand how pollutants affect our health, and prevent or reduce environmental risks in the future.

The National Health and Environmental Effects Research Laboratory (NHEERL) within the Office of Research and Development (ORD) conducts systems-based, effects research needed to achieve sustainable health and wellbeing. Research encompasses both human and ecosystem health, in that they are inextricably linked. One of the Laboratory's strategic goals in its research program is to advance research and tools for achieving sustainable and resilient watersheds and water resources. To that end, this Participant Workbook and its paired resource, "Getting Community Buy-in for Stormwater Funding: Facilitator Manual," (Twichell et al. 2018, EPA/600/R-18/214) are designed as publicly available tools to implement a multi-session, participatory workshop that guides and supports communities in developing community support for sustainable funding solutions for their stormwater management programs.

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Abstract

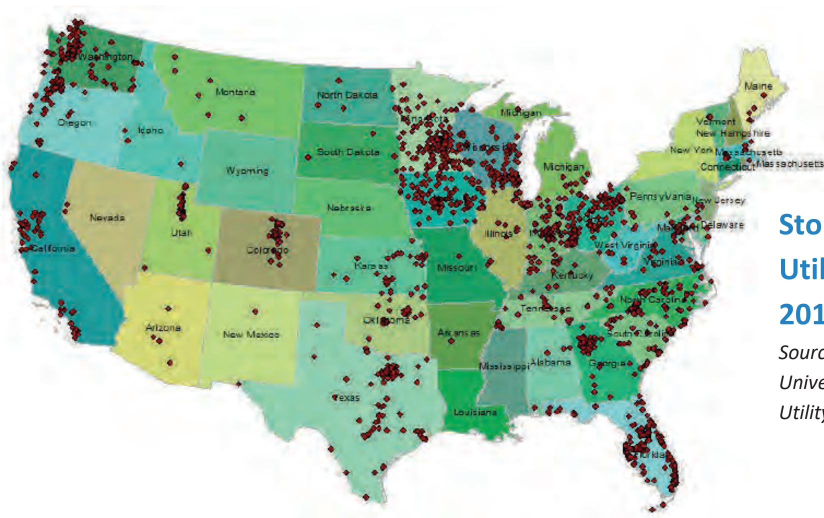
This Participant Workbook is a process tool for an agency or organization to use to implement a multi-session, participatory workshop for municipalities to engage their communities in the development of stormwater funding solutions. The workbook is a paired resource with a Facilitator Manual (Twichell et al. 2018, EPA/600/R-18/214). The workshop was designed by the United States Environmental Protection Agency's (EPA) Office of Research and Development (ORD) Atlantic Ecology Division (AED) and New England Office (EPA Region 1) with input from the Consensus Building Institute. This project is part of EPA's national Safe and Sustainable Water Resources Research Program in ORD, which aims to protect and sustain water resources via research in green and built water infrastructure, as well as increase understanding of community decision making for the use and financing of sustainable water infrastructure. In earlier research, EPA found that a lack of quality stakeholder engagement in stormwater funding and management is a key barrier to successful adoption of sustainable funding solutions in New England and elsewhere in the United States. Designed to meet a need for technical training on these topics, the workshop engages participants to apply a consensus-building approach to stormwater funding decisions. This approach reflects the best practices identified through past research in stakeholder engagement processes and decision making. In the four sessions, municipal staff are trained to use a set of well-established tools, techniques, and processes to develop community support for stormwater funding solutions in their towns. The process presented in this workbook was piloted in two separate rounds of the workshop sessions, but the components of this workshop are modular, and the series could be modified depending on the needs and resources of the implementing agency or organization.

INTRODUCTION

WHY STORMWATER FUNDING MATTERS

As urban areas spread, open land is increasingly converted to parking lots, buildings, sidewalks, and roads. These impervious surfaces prevent precipitation from soaking into the ground. Redirected stormwater can alter local hydrology, resulting in flooding, aquifer depletion, and habitat degradation or loss. Stormwater runoff also collects pollutants as it flows over impervious surfaces; thus, it is one of the primary causes of water quality impairment to our lakes, rivers, streams and coastal waters. Hydrologic modification and contaminated stormwater can foul drinking water, cause health problems, degrade habitat, close recreational areas to fishing and swimming, and impact local and regional economies.

Many communities have worked to address some of these challenges and other communities have launched stormwater programs because of more stringent stormwater control permits to municipalities operating "municipal separate storm sewer systems" (MS4s). Complying with these tougher requirements and protecting communities from the impacts of stormwater runoff can be expensive. There are a number of mechanisms that communities use to finance their stormwater programs. One of the most commonly considered mechanisms is a stormwater utility (also referred to as an enterprise fund). To date, approximately 1600 communities with MS4s across the United States have addressed funding challenges by establishing stormwater utilities.



Stormwater Utilities 2016

Source: Western Kentucky University Stormwater Utility Survey 2016

U.S. EPA-NEW ENGLAND'S EVALUATION OF MUNICIPAL STORMWATER FUNDING

While some communities have not yet sought to establish stormwater utilities or other dedicated funding streams, other communities have tried and failed. U.S. EPA-New England conducted a comparative case study analysis to better understand why some municipalities succeeded in adopting funding solutions while others did not.

U.S. EPA-New England's 2013 study, *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities* can be accessed online at:

https://www.epa.gov/sites/production/files/2015-09/documents/eval-sw-funding-new-england.pdf

U.S. EPA-New England found that stakeholder engagement and public outreach processes contributed to the development and adoption of adequate and sustainable stormwater program funding. This finding was reinforced by examples of communities whose efforts to adopt funding mechanisms failed after they did not involve stakeholders in program development. Case studies suggested that stakeholder engagement and public outreach:

- Provided a forum to proactively educate stakeholders about the need for improved stormwater management and funding, and for stakeholders to educate stormwater utility proponents about their concerns
- Gave opportunities to test and refine funding proposals using stakeholder feedback
- Enabled collaboration with stakeholders to develop innovative solutions that provided balance between the costs and services the community could support
- Facilitated access to local knowledge and expertise
- Built support and momentum for a consensus-based solution

Stormwater program funding proponents tailored funding proposals to their community's environmental, fiscal, and political contexts. Many of the municipalities that successfully implemented stormwater funding proposals, built support by proactively involving key stakeholders early in proposal development and decision making, using a variety of strategies. The table below highlights key lessons from municipal engagement and outreach efforts.

Key Lessons for Stakeholder Engagement	Key Lessons for Public Outreach
▪ Identify and involve all key stakeholders. ▪ Proactively engage stakeholders that support developing a utility and those that oppose it. ▪ Foster deliberation and exchange of ideas among stakeholders with many points of view. ▪ Start by discussing what the proposed program should accomplish, and only then talk about how to fund it. ▪ Implement a stakeholder engagement process appropriate to the community's circumstances and budget. ▪ Recognize that building adequate community support takes more than achieving consensus on an advisory committee's recommendation.	▪ Make a compelling case that a stormwater funding program meets local critical needs. ▪ Demonstrate the cost-effectiveness of the funding approach. ▪ Use several forms of proactive outreach. ▪ Recognize that despite outreach efforts, the first bill arriving in the mail will be the first time many people become aware of the new fee — be responsive and flexible through the first few billing cycles.

Relevant findings condensed from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities*. EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. 117p.

CASE STUDY: OVERVIEW

From U.S. EPA-New England's comparative case study analysis, below are four local jurisdictions that employed extensive public outreach and stakeholder engagement efforts. All four stormwater utility proposals were subsequently adopted. The experience of these four communities highlights the benefits of stakeholder engagement and public outreach and illustrates how these processes can help lead to program adoption:

- ***South Portland/Long Creek (Maine)*** *used a consensus-based process led by a neutral facilitator that emphasized identifying and involving key stakeholders (both opponents and proponents of stormwater fees) and fostering consensus-based decisions by a stakeholder advisory committee. Participants developed and established a stormwater utility that local commercial property owners could choose to participate in to satisfy stormwater regulatory requirements.*
- ***Raleigh (North Carolina)*** *undertook a consensus-building process through a stakeholder advisory committee supported by a neutral facilitator. This effort was supplemented by meetings around the city with stakeholder groups. The stormwater utility proposal recommended by the committee was passed by the City Council.*
- ***South Burlington (Vermont)*** *used a combination of extensive public outreach, input from a stakeholder advisory committee, and one-on-one meetings with key stakeholder groups to develop a stormwater utility proposal that was subsequently adopted by the City Council.*
- ***Reading (Massachusetts)*** *designed and adopted a stormwater utility program by working with two stakeholder advisory committees and through engagement with the town's Town Meeting process.*

The benefits of public outreach and stakeholder engagement are reinforced by the stories of two other communities that did not involve stakeholders in program development. These communities failed to adopt a stormwater funding mechanism:

- ***Manchester (New Hampshire)*** *pursued a funding proposal that was developed by city staff, but never brought to a vote because of opposition from local elected officials based on their perception of economic conditions.*
- ***Berkeley County (South Carolina)*** *sought approval for a funding proposal developed by county staff but it was subsequently rejected by the County Council when significant stakeholder opposition to the proposal emerged.*

All case studies in this Participant Workbook have been adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities*. EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 21-22.

WORKSHOP SESSIONS SYNOPSIS

SESSION ONE

Anchoring programs to stakeholder interests

- **Key Stormwater Application:** Stormwater funding proposals must be anchored to municipal needs—if not, they may fail. It takes skill, preparation, and effort to identify your town's key stakeholders and discover their interests.
- **Tools/Skills/Knowledge:** Stormwater costs inventory; negotiation basics; stakeholder maps
- **Fieldwork:** Complete a stakeholder map with colleagues and brainstorm interview questions. *Purpose: Map your stakeholder landscape.*

SESSION TWO

Designing interviews to uncover interests

- **Key Stormwater Application:** Key stakeholder interviews will help you to uncover stakeholder interests that inform stormwater funding proposal development—you must ask the right people the right questions in the right way, and then LISTEN and LEARN.
- **Tools/Skills/Knowledge:** Develop questions for an interview template; active listening; separating interests from positions
- **Fieldwork:** Interview several key stakeholders in your municipality. *Purpose: Build relationships and determine key stakeholders' interests.*

SESSION THREE

Making sense of what you learn from interviews

- **Key Stormwater Application:** Content analysis will help you understand what you have heard in interviews so you can apply this information to your design of a stormwater funding proposal.
- **Tools/Skills/Knowledge:** Content analysis; stormwater funding and stakeholder self-assessment
- **Fieldwork:** Prepare to present on key themes from interviews and what they mean for your stormwater program. *Purpose: Synthesize what you have learned, translate your key stakeholders' interests into next steps, communicate progress, and develop messaging.*

SESSION FOUR

Synthesis and public outreach program design

- **Key Stormwater Application:** To take the next steps in your community, you will need to develop and effectively communicate a locally-compelling approach and messaging based on information from key stakeholders. Designing an acceptable stormwater funding proposal also requires implementing a tailored, community-wide outreach campaign.
- **Tools/Skills/Knowledge:** Professional critiques; group learning; public engagement tools; draft public engagement plan.

SESSION ONE

ANCHORING FUNDING PROPOSALS TO STAKEHOLDER INTERESTS AND MUNICIPAL NEEDS

Stakeholders need to know what problems you are trying to fix, what questions you have, and what you estimate costs to be. They want to be assured of the cost-effectiveness of a funding approach. Although this is not a "how-to-fund-a-stormwater-management-program" workshop, Session One provides you with some valuable stormwater planning and development resources. This information will better equip you to begin engagement with stakeholders in your community about developing a stormwater funding proposal.

Session One also introduces the basic concepts of negotiation theory as a valuable foundation for all stakeholder engagement. You will apply these concepts in later sessions as you interview key players in your municipality. Ultimately, you will work towards reaching agreement on stormwater funding solutions that meet both stormwater management needs and your stakeholders' interests. Although negotiation techniques can be used at any point in a consensus-building process, they are particularly useful early on to resolve potential conflicts before they result in an impasse or a major breakdown of your process.

Your fieldwork to identify and analyze stakeholders in your municipality will initiate the first step in this process.

CASE STUDY: BERKELEY COUNTY, SOUTH CAROLINA

Overlooking Stakeholder Concerns Can Lead to Eleventh Hour Opposition

Berkeley County sought a new source of revenue to comply with its anticipated MS4 revisions. The county's Engineering Department, working with a consultant, developed the utility concept and its initial design. They conducted no public outreach activities or stakeholder engagement efforts during program development. They proposed a flat fee based on land use because they didn't have sufficient data to calculate the impervious surface areas of residential and non-residential properties. The Department saw this fee structure as an "interim step" that would allow them to raise sufficient funds to calculate impervious surface areas later and develop a variable fee structure based more closely on actual site conditions.

In Berkeley County, proposed ordinances must be read at three meetings of the Committee on Public Works and Purchasing. After the third reading, the County Council votes on the measure. To prepare the Council for consideration of the stormwater funding proposal, the county Engineering Department held a budget workshop in which the County Engineer and a consultant described the stormwater utility concept and the revenue needed for stormwater management to achieve regulatory compliance. The consultant stated that the Council had only two choices (other than non-compliance with the anticipated permit): funding stormwater management through property tax revenues in the general fund or creating a stormwater utility. During the three readings at meetings of the Committee on Public Works between July and September 2011, County Council members and stakeholders began to voice concerns. A small but active citizens' group appeared at these meetings to oppose a stormwater fee. Council members also voiced increasing concerns about the utility concept. Issues raised included:

- *Citizens didn't know the utility was coming and didn't understand it.*
- *This was a new tax not a fee.*
- *It wasn't fair that businesses with large areas of impervious surface would only pay a bit more than a rural home on farmland.*
- *The flat fee wasn't fair because it didn't account for differences in impervious surface areas among properties.*
- *The county didn't need more money; it was complying with its existing stormwater permit.*
- *This was an unfunded federal mandate.*
- *This could turn into a "cash cow" allowing the county to fund other, unrelated projects.*

After the third reading, the proposed ordinance went to the Regular Council Meeting for a vote on September 26, 2011. Concerns similar to those voiced in previous Council and Committee meetings were expressed. The Council voted against the ordinance—even though county staff proposed reducing the stormwater fees by two-thirds.

Adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities.* EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 87-90.

INVENTORYING STORMWATER PROGRAM NEEDS & COSTS

Understanding your existing and anticipated future costs will help you to be prepared for better collaboration with your stakeholders. There are many tools and resources available to help municipalities plan for their stormwater expenditures. One helpful tool is the Metropolitan Area Planning Council "Stormwater Financing/Utility Starter Kit."

Metropolitan Area Planning Council *Stormwater Financing/Utility Starter Kit*
https://www.mapc.org/resource-library/stormwater-financing-utility-starter-kit/

- "Module 1: Needs Assessment" *Table 1.1 – Potential Expenditures:* Review existing and potential stormwater-related needs/expenditures for your municipality.
- "Existing Stormwater Activities and Expenditures"*:* Use template to succinctly demonstrate existing costs relating to stormwater management.
- "Introduction/Overview" *Table O.2 – What Fees Can Be Used For:* If considering a fee, this reference indicates what programs can be funded through fee revenues.

See complete references in Appendix A, pages 67-70.

Although these workshops are not primarily focused on the financial or operational aspects of building a stormwater utility, your work with stakeholders and the community will be grounded in the components of a stormwater funding program. Participants in these sessions will have different levels of familiarity with these components, and so these resources were selected to provide basic guidance if you are less familiar with some of the basic elements of stormwater financing.

Engaging your community in stormwater funding starts with understanding the problem you are trying to fix.

Exercise: Using your own knowledge and the resources provided, work with your municipal colleagues to answer the following questions:

1. *What are the strengths and weaknesses of our stormwater management program?*
2. *Where are our knowledge gaps?*
3. *If we had to present "The State of our Stormwater Program, and Why We Need a Dedicated Source of Funding" to our elected officials or town administration in two months, what two or three things would we have to do to be ready for that presentation?*

NEGOTIATION THEORY

HOW DOES NEGOTIATION THEORY HELP ME WITH STORMWATER FUNDING?

Developing a stormwater funding mechanism that suits your community requires knowing what your community cares about relative to stormwater. To address these interests, you will need to collaborate with others to craft solutions that meet both a wide range of community interests and your stormwater management needs.

In this section, we introduce fundamental principles of negotiation theory, which provide a valuable foundation for all stakeholder engagement. Negotiation techniques can help you work toward a consensus that everyone can live with. You will use negotiation techniques in your key stakeholder interviews to explore alternatives, understand the full range of stakeholders' interests in your municipality, and develop fair approaches.

WHAT IS NEGOTIATION?

Negotiation: Any decision-making process that requires agreement between two or more people.

The type of negotiation we will teach you in this course is focused on building relationships while achieving what you want. Relationship-building negotiation is not an exercise in force or manipulation. Rather, it is "mutual gains" negotiation where the focus is on learning what each party needs and wants so you can invent solutions to meet multiple needs, including your own.

Negotiation is not about forcing people to agree with you or manipulating them to do what you want. It is about developing solutions that meet both your interests and theirs.

COMMON HARMFUL ASSUMPTIONS

Negotiation is a zero-sum game; someone wins and someone loses.
It is natural to have a competitive, "fixed-pie" mindset about negotiation, but people who approach negotiation as a creative process that should result in mutual gains for all parties end up with better results for themselves, and better long-term relationships with others.

Good negotiators are tough self-advocates.
People who go into negotiations expecting to overwhelm their counterparts (or opposition, as they see it) with demands, arguments in favor of those demands, and unyielding self-advocacy often find their counterparts reacting in kind with equal or greater pressure. Negotiation becomes a "race to the bottom" as parties trade back and

forth for less and less value overall, thus limiting what is possible for each party to gain from the other.

Negotiation is inherently stressful.
We tend to associate negotiation with conflict. Most people do not enjoy conflict, partly because it can bring out our worst sides. One of the challenges with negotiation is to get past the emotional and psychological blocks that one might associate with conflict. One way to do this is to think of your negotiation counterpart as a partner in solving a joint problem, rather than an opponent in a fight or conflict.

ELEMENTS OF NEGOTIATION

There are three elements to every negotiation (substance, process, and relationship). Negotiating the substance—and ignoring the other elements—is a common mistake.

Substance: *What* the negotiated issues are. Examples include a budget proposal, a teenager's curfew, or where a country's borders are drawn.

Process: *How* a negotiation is carried out. Who participates? Does the negotiation take place in one meeting or over multiple interactions over time? How will decisions be made (for example, majority vote versus unanimity)? These are all process matters. Studies show that people report more satisfaction with outcomes if they trust that the negotiation process was open and fair, even if the outcomes were substantively worse than those from arbitrary or unfair processes (Hollander-Blumoff and Tyler 2008).

Relationship: *Who* is negotiating with whom. The purely transactional negotiation, such as bartering over the price of a souvenir in an open market, is a rare type of negotiation relative to the thousands of negotiations that make up your day-to-day life with people you will see over and over again. Trust, respect, empathy, and similar relational dynamics have tremendous impact on the outcomes of negotiations. Building, rather than destroying relationships, should drive your negotiation strategies.

FUNDAMENTAL "MUTUAL GAINS" NEGOTIATION TECHNIQUES

Using negotiation techniques in a successful consensus-building process requires (1) building positive relationships and (2) collaboratively problem-solving for "mutual gains." Below we provide three basic strategies to help you succeed.

Know your alternatives: A common pitfall in negotiation is comparing the offer on the table to your *ideal* outcome, or your aspirations, rather than your realistic alternatives. This pitfall occurs because people tend to think a lot about what they want and what arguments they will make to justify their demands, but very little time thinking about what they will do if they are unsuccessful in the attempt. The best negotiators have learned to realistically compare the offer on the table to the best they can do, or the best they can get, if they make NO AGREEMENT with their counterparts. Fisher and Ury (1991) call your preferred "second choice" your BATNA, or "Best Alternative To a Negotiated Agreement."

> **BATNA** is an acronym for your "Best Alternative To a Negotiated Agreement." Simply put, your BATNA is what you get if you and your negotiation counterpart(s) DO NOT agree to a solution.

Having a strong BATNA is powerful because it gives you good reason to say no to any deal that is less attractive than your BATNA. Spending time assessing your realistic alternative(s) and improving them before attempting to find a negotiated agreement is critical. Also, if your counterpart in a negotiation has a very unappealing BATNA, she or he is more likely to find a satisfactory agreement with you because your alternative will be better than their "walk-away" alternative.

Work with interests, not positions: Your stakeholders are people first. They have needs, desires, concerns, and fears that underlie their demands. So do you. The problem is that most of us express our interests in the form of *positions*. For example, let's say your spouse proposes to build a fence around your property because they are interested in increasing your family's safety from intruders. This underlying interest matters because positions usually set up a binary response: "Yes, we can build a fence," or "No, we can't." Knowing interests provides opportunity to explore if the fence is the best way to achieve safety and protection. Another solution, such as an alarm system or a guard, may be preferable. Positions are also vulnerable to misinterpretation. You might assume your spouse is interested in privacy and propose to install window shades instead. Window shades will do nothing to meet their underlying interests in preventing people or animals from entering your property. Your most important job as a negotiator is to discover interests and develop solutions that meet the true needs, not the stated positions. To uncover interests, you must ask questions like, "Why is that important to you?", "What problem are you trying to solve?", "How does that help you?" To be an effective negotiator, you must first identify interests and then craft solutions that meet them.

Be fair: A desire for fairness is hard-wired in us and no one wants to agree to a deal that is unfair, especially if they perceive that it is unfair to them. Fairness is also hard to assess because people have different ideas about what constitutes fairness. It is important to establish criteria for fairness that all parties can agree to, and then to evaluate proposed solutions using objective criteria.

For additional negotiation and consensus-building resources, see Appendix A, page 67-70

STAKEHOLDER MAPPING

A **stakeholder** is any person with an interest or stake in the outcome of a decision, policy, or action

Each municipality has a unique landscape of stakeholders, requiring place-based solutions that work within that context. Stakeholder maps are a tool to help identify whom to engage and how. They can be used to guide a tailored approach to developing community support. Today, you will build a map of all stakeholders, organized by their relative *power/influence* and *interest/stake in outcome* in stormwater program funding decisions.

Power/Influence describes the degree of influence each stakeholder has in the decision-making process relative to other stakeholders on your map

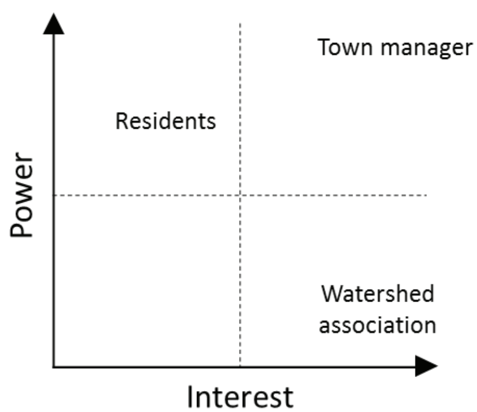
Interest/Stake in Outcome describes the extent that each stakeholder cares about and/or is affected by the outcome relative to other stakeholders on your map

This mapping exercise helps you better determine (1) which stakeholder groups must participate to ensure lasting consensus and (2) how to engage each stakeholder group so their concerns are heard and appropriately represented. Notice that this particular map (with power and interest as the axes) is agnostic on stakeholders' positions on stormwater funding. You will need to engage all stakeholders with a certain degree of power and interest, including both proponents or opponents.

How to Use a Stakeholder Map:

1. *Stakeholder Inventory Worksheet (page 12):* **List** all stakeholders (individuals or organizations) in stormwater funding decisions.
2. *Stakeholder Map Worksheet (page 13):* **Plot** this stakeholder list along the power and interest axes on the map (example below). The stakeholders in the upper right quadrant of the map are your **key stakeholders**, that is, those with high power and high interest in your decision-making process. Consult trusted colleagues about your map.

Your stakeholder map is a "living" document. Plot new players as you think of them or as they emerge throughout your process. Be aware that stakeholders may move on the map during your process. We will revisit your map periodically over the course of this workshop series.



STAKEHOLDER INVENTORY WORKSHEET

Begin to brainstorm all possible stakeholders in your municipality's stormwater funding decisions, using names, positions, or groups. To ensure you capture everybody, think about the broad sectors of stakeholders, and who best represents each sector. The below list is not exhaustive and may not apply to every town, but may help direct your thinking.

Government	Non-profits	Residents	Business/Industry	Media
• Town/City • State/Federal • Leadership • Departments • Advisory bodies (committees, boards, commissions)	• Religious organizations • Hospitals • Universities/ schools • Environmental organizations/ groups	• Types of residents • Homeowners/ condo associations • Community advocacy & activist groups	• Development • Real estate • Small business • Large businesses/ corporations	• Television • Newspapers

Another way to make sure you capture everybody is to consider four types of stakeholders. Consider who (1) ***gains*** *or (2)* ***loses*** *from different stormwater funding options, who (3)* ***has responsibility*** *for making stormwater funding decisions, and who (4)* ***perpetrates*** *stormwater problems (e.g., by maintaining impervious cover).*

1.	16.
2.	17.
3.	18.
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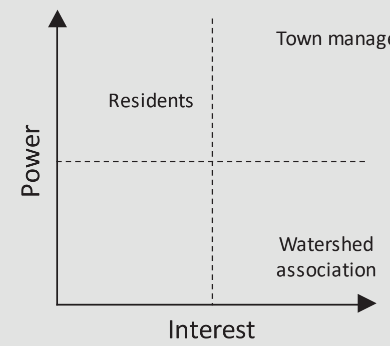
15.	30.

STAKEHOLDER MAP WORKSHEET

Plot your stakeholders (individuals or groups) on the chart. *The upper right quadrant of your map likely contains your key stakeholders.*

For example:



Review this map with 2-4 trusted colleagues, ideally people who have different information, networks, or views on stormwater funding than you, and adjust accordingly.

This is a "living" document. Stakeholders will likely emerge or move on the map over the course of your process. You can avoid surprises by doing a thorough job of identifying stakeholders up front and then revisiting your map periodically.

IDENTIFY KEY STAKEHOLDERS & DRAFT INTERVIEW QUESTIONS

Draft interview questions with your key stakeholders in mind to help you probe for concerns and interests. The goal is to create a customizable interview template that you can tailor for each key stakeholder interview.

Using your stakeholder map, create a "wish list" of 5-10 individuals or small groups (2-3 people) to interview.	
1. 2. 3. 4. 5.	6. 7. 8. 9. 10.

Craft three interest-seeking questions that are individually tailored for your 5-10 interviews. Consider what you can learn from them. Ask questions that probe for interests and encourage explanation, such as: ▪ "What concerns do you have about [X]?" ▪ "How do you think we should go about solving [Y]?" ▪ "What do you think of [A] versus [B] as options? Why would you go with that one?"
INTERVIEW 1:
1. 2. 3.
INTERVIEW 2:
1. 2. 3.
INTERVIEW 3:
1. 2. 3.
INTERVIEW 4:
1. 2. 3.

INTERVIEW 5:
1. 2. 3.
INTERVIEW 6:
1. 2. 3.
INTERVIEW 7:
1. 2. 3.
INTERVIEW 8:
1. 2. 3.
INTERVIEW 9:
1. 2. 3.
INTERVIEW 10:
1. 2. 3.

SESSION TWO

DESIGNING INTERVIEWS TO UNCOVER STAKEHOLDER INTERESTS

Each stakeholder and stakeholder group may have different interests, concerns, and desired outcomes regarding stormwater funding solutions. Targeted interviews will enable you to gather information that will help you to identify funding alternatives that may be acceptable to your community at large and to design a broader public engagement plan. By the end of Session Two, you will have the tools you need to prepare and conduct interviews with the key stakeholders identified in Session One.

This session focuses on HOW to conduct effective interviews. You will work with colleagues to draft appropriate interview questions. You will be trained in the practice of good interviewing, including active listening and techniques for eliciting your stakeholders' interests and concerns. Finally, you will plan the logistics for setting up interviews with key stakeholders. Our goal is that you leave today with an understanding of how key stakeholder interviews are an invaluable strategy for building consensus around challenging issues, including stormwater funding.

CASE STUDY: SOUTH BURLINGTON, VERMONT

Gaining Insights Through an Engagement Process and Stakeholder Meetings

The City of South Burlington faced several stormwater-related issues including compliance with new MS4 and TMDL regulatory requirements, a number of highly visible deteriorated stormwater systems, beach closures, localized flooding, erosion, and sedimentation. Hundreds of required stormwater discharge permits had expired for properties in the city, creating uncertainties about real estate transactions. Finally, there was a threat of a development moratorium to disallow any new discharges to impaired waters due to legal challenges brought by the Conservation Law Foundation under the Clean Water Act. Homeowner associations, developers and others pressured the city to develop a solution.

The city established a stormwater advisory committee (SWAC) to help develop a stormwater program and funding mechanism proposal. The SWAC was composed of homeowners, developers, local business owners, environmental organizations, technical experts and members of the education community. City staff and consultants also spent significant time and effort educating homeowners associations about how stormwater fees would be calculated and charged, as well as discussing the associations' needs, concerns and perceptions. Eighty commercial property owners who would receive bills of over $1,000 per year were invited to breakfast meetings. These discussions of impending fees were framed as opportunities to provide input on how the proposed stormwater program could provide value for them. Insights from the SWAC process and stakeholder meetings included:

- *The importance of helping large ratepayers navigate the permitting process.*
- *The importance of the city working with property owners during program implementation to resolve compliance issues before enforcement action was taken.*
- *Inclusion of a stormwater fee credit program.*
- *Identifying the correct balance between stormwater fees and service levels.*

The city also conducted broad public outreach, including public information brochures and public presentations describing problem areas, benefits, the differences between a tax and a utility, and information on how rates would be structured.

The proposal was presented twice to the City Council with an overview of stormwater, problem areas, the proposed utility structure and its benefits, and possible projects that the utility would fund. In March 2005, the City Council adopted the proposed stormwater program and established a utility with no significant public controversy.

Adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities*. EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 69-72.

CRAFTING A GREAT STORMWATER FINANCING INTERVIEW

KEY STAKEHOLDER INTERVIEWS ARE A POWERFUL TOOL

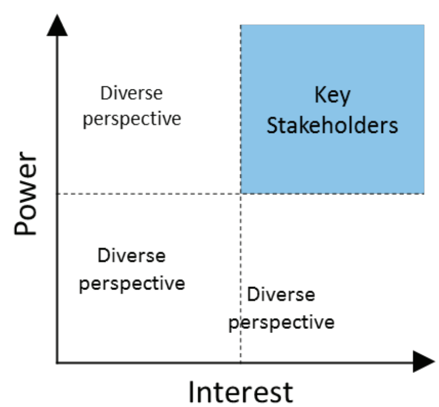
Key stakeholder interviews are a valuable method for eliciting stakeholder interests and concerns. This information will guide you to more collaboratively design solutions for everyone's benefit. The purpose of interviews is not to step on toes, alarm constituents, or push stakeholders in one direction or another. Instead, the goal is to simply to learn what people care about and why. You may prefer to call interviews "conversations," "one-on-one stakeholder meetings," or something different—it is up to you.

Think about key stakeholder interviews as "investigations." You simply want to collect as much information as possible.

As an interviewer, you must put aside your own agenda. Your goal is to use negotiation techniques to explore each stakeholder group's views, gather useful information, and discuss possible alternatives. Express interest in their perspective. Build rapport. After you have built trust, there will be later opportunities to educate and change minds.

WHOM SHOULD I INTERVIEW?

Aim to interview the **key stakeholders** in the upper right quadrant of your stakeholder map as well as those with **diverse or unique perspectives** from other quadrants of the map. **Be sure to interview both proponents and opponents.** Key stakeholders have both high power or influence in your community (at least relative to this topic) and high interest in the outcome. They require high intensity, one-on-one engagement. Stakeholder group representatives with unique perspectives from other parts of your map will provide you with the full range of views in town, since you likely will not have the capacity to talk to the vast majority of people. Remember to ask your interviewees who else they would recommend you talk to in order to keep your map up-to-date and accurate.



Set realistic expectations about what you can accomplish based on your local knowledge of your municipality. Doing interviews is time-consuming, but rewarding. These interviews will bring you closer to capturing and understanding the range of your stakeholders' respective concerns and identifying potential areas of mutual gain. You do not need to interview everyone in town. Typically, after 20 or 30 interviews (not 100!) you will find additional interviews are no longer garnering any new information.

WHAT ARE THE "RIGHT" QUESTIONS AND HOW SHOULD I ASK THEM?

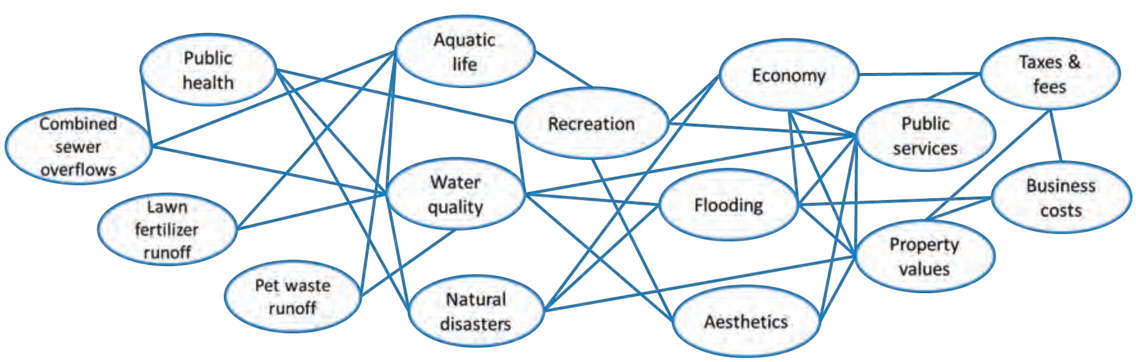
Ease in by eliciting local knowledge and experience

People love to share their history and play the role of local expert. By asking interviewees to share their insights, you can avoid creating an atmosphere of interrogation. Start with an easy question about your interviewee's experience and feelings about a topic to build rapport and make them more comfortable sharing their ideas and interests. These stories also help you determine what people care about and thus provide compelling fodder for developing a more robust stormwater program.

In your lifetime, how has the condition changed in streams where you live?	*Has beach attendance changed while you have lived in this town?*	*Have you ever experienced flooding?*

As you discover what people care about, focus the interview on those topics

Many stormwater issues are highly related. For example, flooding can impact water quality, which in turn can impact public health, aquatic life, the cost of public services, and so on. Some issues that you may deal with, like water quality, will not always be visible to others. Others, like flooding or the cost of public services, will be highly visible. Use the interview to learn what each stakeholder group cares about, then help them connect it to other stormwater issues. All are effective lenses through which stakeholders can become invested in collaboratively developing stormwater solutions.

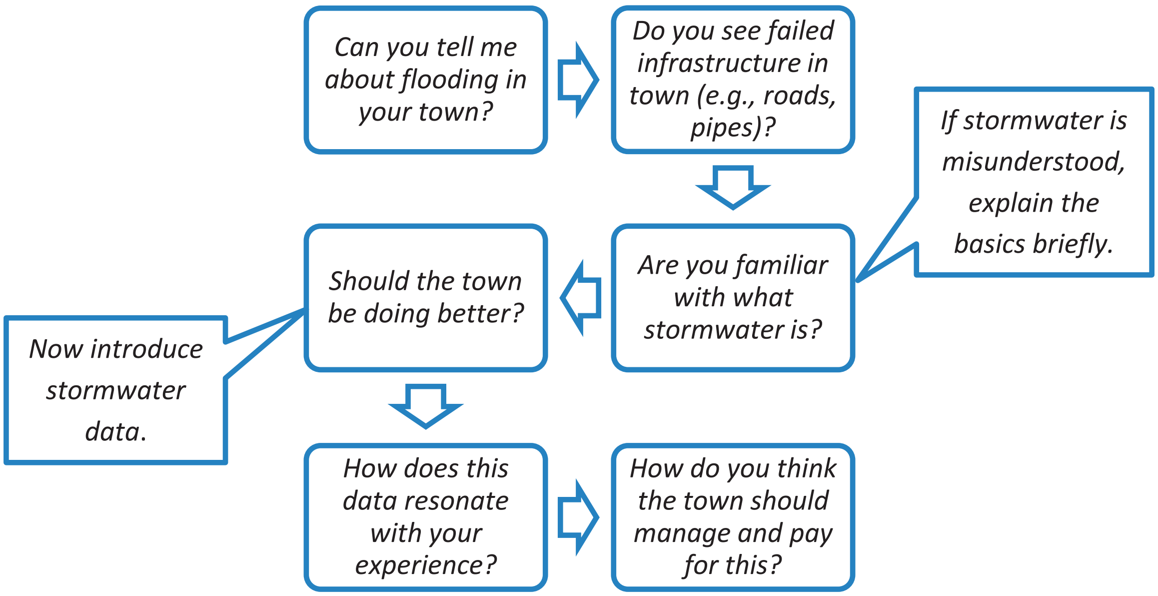


Keep questions general and open-ended

Asking very specific questions can limit the responses you receive. Designing more general and open-ended questions means that anyone can answer them and allows you to use them for multiple stakeholders. For instance, instead of asking "Would you be willing to create a covenant that will charge a fee for failed maintenance of stormwater systems?" rephrase the question to, "How do you think we should pay for maintaining our failing stormwater systems?" You can always ask follow-up questions that require higher-level expertise to some stakeholders, but start with more open-ended, general questions.

Doing interviews is a chance to educate, but your timing is important

Asking sensitive questions or overloading interviewees with too much technical information can put them on defense. It is always tempting to share what we know; however, steer emphasis away from your own agenda and knowledge base. Focus on learning what your interviewee knows and what their perspective is. Use data or information strategically and sparingly. Only offer information to help them contextualize their experiences and the issues that they value.



Use neutral language

Words can have baggage. Terms such as "funding mechanism" or "enterprise fund" may be less controversial than "stormwater utility," "stormwater fee" or "stormwater tax." It may be more appropriate to start by exploring general ideas about funding, for example, ask "What is the best way to pay for stormwater issues?" rather than discussing specific funding mechanisms. Pay attention to local and individual trigger points and adapt your interviews as needed.

INTERVIEW CHEAT-SHEETS

Stakeholder Interviews: A to Z, *page 22-23* – Quick guide to your interview process, from planning to analysis.

Interview Template – Sample, *page 24-26* – Create your own interview templates (10-12 questions per 1-hour interview) by selecting from a large list of sample questions and modifying language from a sample introductory statement.

Setting up Interviews – Sample Communications, *page 27-28* – Use or modify sample language to craft appropriately-worded meeting invitations to interviewees.

STAKEHOLDER INTERVIEWS: A TO Z

SUMMARY

This resource is a quick guide to your interview process. For great stakeholder interviews:

1. **Select the right people to interview**
2. **Prepare an interview template** ***(see Interview Template - Sample, page 24-26)***
3. **Set up the interviews and prepare the interviewees (*****see Setting up Interviews - Sample Communications, page 27-28*****)**
4. **Listen and learn**
5. **Take good notes**
6. **Synthesize and analyze what you have learned**
7. **Share your results and confirm understanding**

DETAIL

1. Select the right people to interview

- Use a tool or established process to generate a starting list (*Stakeholder Mapping, page 11; Stakeholder Inventory Worksheet, page 12; Stakeholder Map Worksheet, page 13)*
- Check your list with people whose knowledge of stakeholders is different from yours.
- Check your list with people whose assumptions about the metrics in your tool (i.e., who has power and who has influence) might be different from yours.
- Start with your <u>key stakeholders</u>, that is those who have the most power and influence. Also, think about those who represent <u>unique perspectives</u> in your community. Determine how many one-on-one conversations you need to have and how many interviews could be done in small groups of two or three people. <u>Challenge yourself to talk with opponents and proponents.</u>
- Select a manageable number of total interviews, given your time constraints and resources.
- Assume that your list will evolve as you go along.

2. Prepare an interview template *(see Interview Template - Sample, page 24-26)*

- To start, <u>assess what you need to know</u> in order to achieve your goal.
  - Possible areas to consider: history/context, scientific or other technical data, relationships or dynamics among stakeholders, stakeholder opinions and interests, stakeholders' resources (including dollars, intellect, network of support, media contacts, etc.)
- Consider how much of the information that you need you already have and what you lack.
- Question your own assumptions about what you know already. If you have any doubt, assume you lack something and it is worth asking about. It is better to ask and have your knowledge confirmed than to fail to ask and miss an opportunity to learn something useful.
- <u>Draft some introductory language</u> that explains in a brief paragraph about why you are holding interviews, what you hope to achieve, the approximate number of people you expect to interview, and what the interviewee needs to do to prepare. Explain that the interviews are confidential and briefly describe how you plan to aggregate and use the information you learn from the interviews. State how long you expect the interview to last. State that you would like to take notes.

- Draft questions that would help you get the information you sketched out above.
- Revise/reframe questions to be open-ended, neutral, and to demonstrate maximum curiosity.
- Reorder the questions so the flow eases people into the interview. Start with a few "softballs" to get conversation flowing.
- Reduce the number of questions to a manageable set for the time you expect to have. Assume 10 – 12 rigorous questions per hour.
- Make any necessary adjustments to "customize" the interview to each individual (rephrase questions, plan to provide some context/background, delete/add 1-2 tailored questions, etc.).

3. Set up the interviews and prepare the interviewees (*see Setting up Interviews - Sample Communications, page 27-28*)

- Decide how to make the initial request. Email, call, or ask in person depending on your relationship with the person and the level of convenience afforded by any option.
- Prepare a short spiel inviting them to meet with you and why.
- Find a mutually-agreeable time and place to meet. It is always preferable to meet on the most comfortable turf for the interviewee (their office, home, neutral location, etc.).
- Send the interviewees your customized Interview Template and any instructions to prepare (usually they just need to read through it, but sometimes they may have to gather some data or other information based on what you would like to talk about with them).

4. Listen and learn

- Create a comfortable, informal physical space to the extent you can.
- Get in the mindset of investigation. You are not there to explain/educate. You are there to learn.
- Use active listening techniques to maximize learning and relationship/trust building (*Crafting a Great Stormwater Financing Interview, page 19-21*; *Active Listening for Key Stakeholder Interviews, page 29-31; Separating Stormwater Interests from Positions, page 32-34*).

5. Take good notes

- Confirm they are okay with you taking notes (if not, record key ideas directly following).
- If you can have a note taker join you without making things awkward, that is best. It allows you to focus on listening and asking good follow-up questions.
- Notes should seek to capture the key ideas from the interviewee's perspective. Verbatim notes are not necessary, but minimal interpretation should be done by the note taker/interviewer.
- Taking notes on paper or on a computer is fine, but try to make the tool as unobtrusive as possible (i.e., set the laptop to the side so the interviewee feels like they're talking to a person, not the back of a computer) and try to look at the person more than your paper or computer.
- Feel free to pause for a moment if you need more time to finish a thought in your notes.

6. Synthesize and analyze what you have learned (to be discussed in Session Three)

- Read through your interview notes to identify positions and interests.
- Synthesize common positions and interests across interviews to understand themes.
- Determine what questions you still have for future interviews or past interviewees.

7. Share your results and confirm understanding

- Share your draft synthesis with all interviewees and ask whether you have mischaracterized anything from their perspective or missed anything (remove identifying information).
- Invite interviewees to provide you with more information or to refine what they said before.

INTERVIEW TEMPLATE – SAMPLE

This template should be adjusted for each interview. Select 10-12 questions per hour that you plan to ask all of your interviewees, and an additional 1-2 questions that are tailored for each interview. Share this template with your interviewee(s) in advance of the interview. It will help them feel prepared, serve to clarify any assumptions about your agenda, and demonstrate your intention to learn about their perspective. Having questions prepared will also help you to be more systematic and avoid inserting your own views.

EXAMPLE (INFORMAL) STATEMENT AT TOP OF INTERVIEW TEMPLATE

Thank you for your willingness to speak with us about [flooding and water quality in our town]. We are hoping to talk with [an approximate number of] stakeholders about their views on these topics so we can understand what people care about and how we can better serve the town. We will probably not get to all questions, but we wanted to give you an idea of the kinds of things we'll be asking you.

We will take notes during our conversation and share them with you to ensure accuracy. We will write up and share a summary of what we learn in all these conversations. It will list the names of the people we spoke with, but the content will be aggregated and none of it will be attributed. In that sense, these conversations are confidential and we hope you feel you can speak freely.

Please don't hesitate to contact me if you have any questions before we meet.

[Here you might insert an additional paragraph to orient your stakeholders to some basics of stormwater management or vocabulary, the MS4 permit, or any other orientation to the issue that you think would be necessary or helpful. You may also choose to include a relevant fact sheet or article for some additional background information].

QUESTIONS

INTRODUCTORY QUESTIONS

Start with a very easy question to make the interviewee comfortable talking. Make sure you know how to spell their name and title correctly.

- [If you are not intimately familiar with their work, ask] Tell me a little about your [job], [role in X organization].
  - What are the biggest challenges you face in your work?
  - Who are your constituents, or to whom do you feel accountable?
  - Do you work with any other organizations with specific connections to these issues?

- Aside from your formal work with [X organization], do you have any unique personal connection to flooding or water quality in our town?
- [If you provided some background information] Do you have any questions or comments about the summary information I provided about stormwater management?

FOUNDATION QUESTIONS

- What do you like most about living/working in this town? Why?
- What does our town government do best?
- Where does our town government have the most opportunity to improve?

BASIC FLOODING/WATER QUALITY QUESTIONS

- Describe our town's flooding situation from your perspective.
  - Where are the trouble spots?
  - What is the cause of these problem areas?
  - What do you think some of the solutions might be to address these issues?
- Describe our town's water quality situation from your perspective.
  - What are the key issues that need to be addressed?
  - What kinds of things should be done, or done better, to address them?
- Who is responsible for managing flooding and water quality in our town? If this is several groups of people, what is each group's role?
- How important are stormwater issues relative to other town needs or issues?
  - For example, how does flooding/water quality rank against schools, public safety, zoning, etc.?
- Do you think folks in our town care about stormwater? Do they even know what it is?
- What problems that are caused by stormwater in our town bug people the most?
- Let's wave a magic wand and say that we have all the money in the world for stormwater management in our town. Now pretend it's ten years from now and you're being interviewed for a local news story on the success of our innovative stormwater management efforts over the past decade. What do you highlight?
- 20 years from now, what would you hope to see going on in town relative to water quality/flooding/public safety/community revitalization/etc. efforts?

FUNDING QUESTIONS

- Do you have any idea how expensive some of the solutions you proposed above might be? Or what kind of resources they might take?
- Where do you think the money should come from?
  - What are some pros/cons of getting money from those sources?
- If we were to explore the option of an independent fee or enterprise fund to manage stormwater, what kind of questions or pushback should we anticipate? And why?
- Where would we find proponents for an independent fee? And why?

- Why is it so hard to fund stormwater management in our town?
  - What would make it easier?
- We know people don't like taxes or fees. They would rather not pay them at all, but if they're going to pay them, we know the fees at least need to be affordable and fair.
  - What do you think qualifies as "affordable" on this issue?
  - What factors do you think people take into account when they judge a fee to be "fair" or "not fair?"
  - Aside from affordability and fairness, what else do you think people care about when it comes to supporting public expenditures?
- If we were to start charging a fee for stormwater, what do you think would be the fairest way to do it?
- Under what circumstances would you be willing to help pay for stormwater?
- Do you see these issues differently as a business owner versus a homeowner?
- What concerns do you have about setting up another fee structure in our town for dealing with stormwater? Are there pros and cons that you can articulate?
- There are various mechanisms through which stormwater management might be funded (explain, perhaps with a graphic or resource of some kind).
  - What is your opinion of the feasibility of any of these options in our town (and why?)

PUBLIC ENGAGEMENT QUESTIONS

- What are the key misconceptions about stormwater that would need to be addressed in order for more people to understand and appreciate the importance of good stormwater management?
- What needs to happen to raise the level of knowledge and interest in stormwater in our town?
- Do you think we could get anyone in town to rally around a new approach to funding the management of stormwater? Who, and why them?
- What are some good ways to increase education about stormwater?
- Who is going to be most opposed to stormwater funding? Why?
- Who is the most critical to involve in future efforts?

TECHNICAL QUESTIONS

- What data or other information do we not have that we would need in order to develop a healthy stormwater funding program?

CLOSING QUESTIONS

- What did I not ask you about today that I should have?
- Who else should I be talking to?

SETTING UP INTERVIEWS – SAMPLE COMMUNICATIONS

Between Sessions 2 and 3, your fieldwork is to schedule and conduct 5-10 initial interviews. **Challenge yourself to interview both proponents and opponents among:**

- **Key stakeholders** in the upper right quadrant of your stakeholder map
- **Stakeholders with unique perspectives** from other quadrants of the map

You can conduct interviews with individuals or with small groups (2-3 people maximum).

SAMPLE INITIAL INVITATIONS

It may take some time to set up meetings, so you should get started as soon as possible. Send invitations to meet by email, phone, or in person, depending on your relationship with your interviewee. We have prepared a few sample spiels to make this easier for you—use your best judgement to communicate about these topics appropriately.

The following sample applies to those with little OR a lot of familiarity with stormwater issues or funding. The language is indirect and works for opponents and proponents.

We're participating in a stormwater workshop, and we're looking to hear what you think about [some of the challenges you face in managing these issues / our town's flooding situation from your perspective / our town's water quality situation from your perspective]. As part of this workshop, we are reaching out to a range of stakeholders in town about their views on [flooding and water quality topics] so we can understand what people care about and how we can better serve the town. We're looking to collect and summarize how a variety of stakeholders in town feel about these issues. At your convenience, would you be open to sitting down with us for an hour or two in the next few weeks at [their office or a neutral location] so we can get a handle on your perspective?

The following sample is more direct. It works for opponents and proponents, but is aimed to those with greater familiarity with stormwater issues or funding.

We're trying to get our hands around how best to approach stormwater-related issues in town and some of the challenges associated with funding stormwater-related projects. We'd value your perspective on these topics and would appreciate getting some help to think about how we can better serve the town. In fact, we're aiming to hold a number of one-on-one stakeholder meetings, to get a sense of the range of perspectives in town. Can we find an hour to come by [their office or a neutral location] in the next few weeks?

It may be helpful to share a thought-provoking article or fact sheet in advance. Remember, most people will be relatively unfamiliar with stormwater topics compared to you. Providing background information may help them feel more prepared to talk with you. Use good judgement in selecting resources and avoid resources that use jargon heavily.

SAMPLE FOLLOW-UP ONCE THEY HAVE AGREED TO MEET

The following sample uses indirect language. It works for opponents and proponents, and applies to those with a little OR a lot of familiarity with stormwater issues or funding.

Thank you very much for your willingness to sit down with us—we're looking forward to hearing your perspective on how best to work through how we might better serve the town in tackling [water quality and flooding issues / revitalization and remediation projects / flooding and public safety issues / something else that might appeal to your interviewee without directly using the term "stormwater"]. Would [propose 2-3 times and dates] be a convenient time for us to come by [their office or a neutral location]? We have attached a template [attach your version of the Interview Template – Sample, pages 24-26*] that we'll be using with a number of stakeholders in town to give you an idea of the range of topics and discussion points we're hoping to cover during our conversation. We would like to take notes during these conversations, unless you'd prefer otherwise. Please let us know if you have any questions, or if we can provide you with any additional resources. We look forward to talking with you.*

After the interview, follow up with a thank you. Send a copy of your notes to them and ask them to verify your understanding of the conversation. This will increase transparency around your conversations.

Ultimately, the goal is to create and share a summary of what you learned from interviews in the form of a presentation, memo, report, or other format. You will work to synthesize what you have learned in Sessions Three and Four.

ACTIVE LISTENING FOR KEY STAKEHOLDER INTERVIEWS

WHAT IS IT AND WHY DO I NEED IT?

Now that you are ready logistically for key stakeholder interviews, this section will focus on HOW to conduct better interviews. Active listening is a technique for strengthening your interviews. At a basic level, active listening helps you to more fully understand each stakeholder groups' interests and values, including their relative importance. More crucially, active listening allows you to identify potential areas of mutual gain.

Active listening is both a skill and an intention. We can teach you the skill, as it is a technique that can be learned and practiced. Your intention to actively listen must come from you. Interviews are only effective when you are interested and prepared to genuinely listen and learn.

There are multiple benefits to active listening:

1. Learn new information (for example, data, stories, interests, opportunities)
2. Meet a basic human need to be heard and treated with respect
3. Model the behavior you expect from stakeholders
4. Help identify and address emotions, so you can talk more productively

HOW DO I DO IT?

Negotiations tend to be high stress situations. You must juggle many separate concerns at once, such as how your body language appears and how to respond to new information. As you listen to someone speak, you are likely to be hearing two voices. The first is the other party's voice and the second is your *internal voice.* Most of us tend think about our response even before the other person has stopped talking. Consider a classroom in which every student has their hand raised while another is speaking. Most likely, none of the students are listening to their classmate because they are crafting a response in their head. This tendency makes it impossible to listen effectively. Although we may think we can, it is impossible to listen to two things at once.

To actively listen, we need to quiet our internal voice and focus on learning. Active listening is not "being nice" or agreeing. It is not simply nodding or saying stereotypical listening phrases such as "uh huh" and "I know how you feel." Active listening takes work. We must put aside our internal judgements and respond outwardly with genuine and open-minded interest.

It is important to be aware of the assumptions we make while listening. These affect our internal commentary and our ability to accurately understand our stakeholders' concerns.

Limiting Assumptions	Helpful Assumptions
"There's no point. I've heard it all before." AND "What they have to say is 90% nonsense."	**"If I listen carefully, I may learn useful information that will help me change their choice."**
"I won't persuade them by listening – I need to make arguments."	**"If I listen effectively I can satisfy their interest in being understood and build my credibility."** **"If I demonstrate good listening, it makes it easier for them to reciprocate by listening to me at a future time."**
"Listening conveys agreement, and I don't agree with them."	**"I can listen without agreeing."**

You cannot get rid of your internal voice, but you can make an effort to refocus it:

- Allow yourself to be curious and let the thread of conversation go where it goes
- Focus on learning: listen to WHAT is being said as well as HOW it is being said (listening for emotions can help you interpret what you hear)
- Resist the urge to judge, defend, educate, or give advice
- Remind yourself why understanding their view is important
- Turn off your thoughts while you are listening (for example, thinking of a response)

Active listening requires effort to change your own behavior as well. Too often, we forget that our words may trigger reactions in others. Good listening depends not only on the questions we ask, but also on how we, as interviewers, respond. By mastering active listening techniques, we can signal to interviewees that we are interested in hearing their perspectives, building relationships, and learning.

1. **Paraphrase:** Restate what you heard without necessarily agreeing (for example, "Let me make sure I get this right…Have I got it?")
2. **Inquire:** Test your understanding by clarifying specifics (for example, "Can you explain what you meant by…?" OR "Why…?" OR "Can you help me understand…?")
3. **Acknowledge:** Listen for underlying feelings and demonstrate understanding, sincerity, and empathy through acknowledging statements. (for example, "That must have been concerning to you…" OR "You must be very proud of….")

Be careful of "Hot" inquiry. This is when you phrase something as a question, but it is really an argument in favor of what you want.

Examples of "Hot" Inquiry:

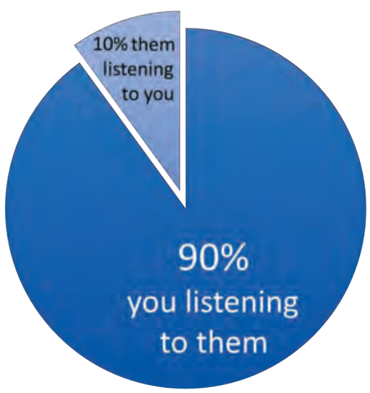
- "But don't you think we'd be better off using the other strategy?"
- "Do you really think that would work?"
- "Seriously?"

In a cross examination, a good lawyer never asks questions without already knowing the answers. Essentially "Hot" inquiry, their questions are designed to elicit specific answers or conclusions. With active listening, it is the opposite. A good listener never assumes to know the answers. They only ask questions with the purpose of understanding what they do not know. To avoid "Hot" inquiry, ask yourself: What is the purpose of this question? If the purpose is not to learn something, then you should not ask it.

For additional active listening resources, see Appendix A, page 67-70.

APPLYING ACTIVE LISTENING IN YOUR INTERVIEWS

Be prepared to do very little talking during your interviews. Even if people tend to come to you for information in your day-to-day job, resist the urge to educate! Encourage your interviewee to talk for the majority of the time. Plan 10-12 questions (per hour) in advance to help discipline your tendency to insert your own view in the conversation.



Document your interviews by taking a complete set of notes. Afterwards, share your notes with your interviewee to confirm that you have accurately recorded their responses and understand them. This way, stakeholders know they were listened to and can verify that you interpreted their views correctly.

CONFLICT RESOLUTION STRATEGIES THAT COMPLEMENT ACTIVE LISTENING

- Some people might ask a question over and over but may not want to listen to your response. One strategy is to keep them talking—you are here to learn! As much as possible resist trying to answer their questions. Try to answer a question with a question: "I'm hearing in your questions that you're concerned about [X] and I'd like know more about why you feel that way. Can you break that down for me?"
- Some people need to vent until they start to run out of steam. Be empathetic. Listen and learn. Meet their need to be heard. At that point, you can start asking questions.

SEPARATING STORMWATER INTERESTS FROM POSITIONS

In Session One, we learned that a fundamental technique used in good negotiation is probing for the interests that underlie your stakeholders' positions. Here, we will discuss WHY negotiating interests and not positions is so important and HOW to uncover interests in your key stakeholder interviews.

POSITIONS VS. INTERESTS

Position

A definitive suggestion or demand that can only be solved in one way:

- "I want [X] to happen"
- "For this to be successful, we have to do [X]."
- "If we don't go with [X], I'm out of here."

Interest

Underlying needs that can be met with multiple objectives:

- "I want [X] to happen because (a) it is fair and (b) it will reduce flooding."

There are multiple ways to solve an issue with interests (a) and (b).

SATISFYING POSITIONS RARELY LEADS TO LASTING CONSENSUS

1. **Positions may be mutually exclusive.** If two positions cannot be satisfied at the same time, it will appear that no solution is possible.
2. **Solutions based on positions are fragile.** If you meet one stakeholder group's position at the expense of your own or others' interests, it can damage relationships and/or the solution may not be durable.
3. **Solutions based on positions often waste valuable time.** Such solutions are likely to ultimately fail because they do not address root problems. Failure can degrade trust and it can be a setback when you have limited time to identify a solution.
4. **Satisfying positions rarely solves the real problem or meets the real need**. We are not always very good at knowing what we really need or asking for it. Satisfying under-informed positions is unlikely to result in the best solution.
5. **Some positions are taken without sufficient knowledge**. If a stakeholder's position on an issue is under-informed, the problem will not be solvable until they become informed. Stakeholder interviews are a valuable tool to gather information to inform education and outreach.

Angela and John both want the same whole orange. If you give the orange to Angela, only she will be satisfied. If you compromise by splitting the orange in half, neither John nor Angela will be satisfied. Based on positions alone, neither solution satisfies both people. When you inquire WHY each wants one whole orange, it turns out that John wants the orange to make orange juice and Angela wants the orange for its zest. You can meet both interests by giving Angela the zest and John the juice. Compromise is not always a good solution if it is based on positions. The solution that fully satisfied both John and Angela became clear only after you elicited their underlying interests.

NEGOTIATING BASED ON INTERESTS

When you learn what needs, concerns, and hopes underlie people's decisions, you can develop solutions that meet both their interests and those of your stormwater program. First, you need to know how to identify interests in interviews. There are two basic levels of interests: fundamental and secondary. Both are important. Fundamental interests tend to be universally shared. Secondary interests are more tangible and more context-dependent. Secondary interests can help you to shape potential solutions to suit local context, and fundamental interests anchor them in what everyone cares about.

Examples of Secondary Interests

Clean water
Strong economy
High property value
Recreational opportunity
Beautiful views
Good amenities
Toxin-free environment

Examples of Fundamental Interests

Equity
Fairness
Community
Health & Safety
Legacy
Quality of life
Stability

In interviews, you will need to dig deeper to identify the fundamental interests that underlie your interviewee's secondary interests. For example, if a stakeholder's secondary interest is clean water, their fundamental interest may be health and safety for their children OR it may be that they are more interested in quality of life, because water quality affects their recreational opportunities. The best rule of thumb is to keep asking "Why do you care about that?" until you learn their core concerns. Fundamental interests will help you to best identify areas of potential agreement and mutual gain.

APPLYING ACTIVE LISTENING SKILLS TO GET FROM POSITIONS TO INTERESTS

It is not as difficult as it may sound to dig further into a stakeholder's interests. For the most part, people want to talk about issues that concern them. The key is to actively listen. Genuine interest makes interviewees feel more comfortable, respected, and that their views are important to you. The following techniques can help you encourage this dynamic while more systematically investigating interests:

First, get an overview, then go back for additional layers of information. Your interviewee will feel comfortable talking about what they know while you listen for topics to learn more about. If you delve too quickly into one issue without learning the big picture, you may miss important topics that would help you to better craft potential funding options. You can always go back to each topic and dig deeper.

Dig deeper by asking for more detail and clarification. Keep asking "What else?" Find out how they feel and why their view is important to them. Learn their fundamental interests.

Sample Question Lead-ins:

- "Why…?"
- "Any other reasons for...?"
- "Tell me more about why you want what you do?"
- "What is it about [X] that bugs you the most?"
- "When that happens, how do you feel?"
- "Let's say you could just wave a magic wand and things would be different. Would you? Why?"

Recognize all assumptions you bring to the conversation. Use paraphrasing and clarification questions to ensure that you have heard and understood your interviewee's interests. This technique demonstrates your willingness to problem solve with them and other stakeholder groups to craft potential solutions for everyone's mutual gain.

Sample Questions:

- "So, is the reason you're asking for [X position] because it will help you satisfy [Y interest]?"
- "From your perspective, is [X position] the best way to meet [Y interest]?"
- "I understand that you want [X position], but if you could meet your underlying concern of [Y interest] another way, would that be okay?"

MUNICIPAL INTERVIEW PLANNING

From the key players that are on your wish list to interview (Session One fieldwork), identify whom you think you can feasibly interview before the next session. Talk with your municipal partners about setting realistic interview goals.

Whom do you think you can feasibly interview (one-on-one conversations or small groups) between this session and the next?	
Are there any tasks you need to complete before the interviews can happen? (for example, finalize stakeholder interview template, revisit stakeholder mapping)	
What interview timeline will work for you and your town partners?	
Scheduling window (provide dates)	Interview window (provide dates)
Which municipal partner should do which task?	

SESSION THREE

MAKING SENSE OF WHAT YOU LEARN FROM INTERVIEWS

Developing support for your stormwater financing proposal depends upon satisfying your stakeholders' interests as well as meeting your stormwater program needs (for example, fairness, co-benefits, clean water, budget transparency, etc.). Session Three provides a methodology (content analysis) for analyzing stakeholder interview responses to identify their full range of interests.

Content analysis can help to remove you, as much as possible, from your own lens of interpretation. We will employ strategies to systematically extract information and condense key interests. This method of analysis will help you take a systematic approach to assessing stakeholder interests. In Session Three, there will be multiple opportunities to discuss your colleagues' insights and approaches as you develop your own. You will discuss interview responses and themes with colleagues from other municipalities as you deliberate possible solutions that address common interests.

This session gives you the skills to piece together the landscape of stakeholder interests in your municipality and in similar communities. Using this information, you can best formulate the next steps in crafting a consensus-based funding proposal supported by an effective public engagement strategy (discussed in Session Four).

CASE STUDY: RALEIGH, NORTH CAROLINA

Developing a Menu of Alternatives for Collaborative Decision Making

Development of a stormwater utility in Raleigh, North Carolina, was led by the Department of Public Works' Stormwater Division. The City Council supported the concept and created a Stormwater Utility Stakeholder Group to advise it on program design and funding options.

The stakeholder group was comprised of 25–30 participants selected by the City Council. To select members, the city's consultant provided the Council with a list of 15 stakeholder categories that should be represented. The City Council then nominated specific individuals to represent each of these categories. (According to one project contact, "everybody knew who needed to be involved.") Participants included representatives from the development community, environmental groups, the real estate industry, neighborhood groups and schools. By convening this group, the city hoped to make sure that the proposed program was what citizens wanted (and were willing to pay for) and thus gain community support. There was an explicit decision not to include City Council members on the committee so stakeholder group members would be more comfortable speaking freely.

A key focus for the stakeholder group was agreeing on a balance between their desired level of stormwater funding services and the funding required to provide these services. During the process, a consultant presented stakeholders with a "menu" of funding options that represented different service levels (see table below). The stakeholders then voted on their preferred level of service. Ultimately, stakeholders agreed on the "B" service level, an increase from existing levels of service, which were in the "C" and "D" range (see highlights in table).

Level of Service	Annual O&M	Annual Management, Compliance and Implementation Cost	Annual Capital Improvement Project	Annual Program Cost	Estimated User Fee ($/SFU/ month)	Equivalent Tax Rate ($/$100)
A	$6 million Fully Preventative/ 100% Routine	$5 million Comprehensive Planning + Compliance + Full Implementation	$6 million 16-year program	$17 million	$5.76	$0.067
B	$4.8 million Mixture of Routine and Inspection-Based	$3 million Proactive Planning + Compliance + Systematic Implementation	$4 million 25-year program	$11.8 million	$4.00	$0.046
C	$3 million Inspection-Based Only	$2 million Priority Planning + Compliance + Partial Implementation	$3 million 33-year program	$8.0 million	$2.71	$0.032
D	$2 million Responsive Only	n/a	$2 million	$6.0 million	$2.03	$0.024

= Consultant estimate of current City of Raleigh levels of service

Source: City of Raleigh Stormwater Management Funding Study: Final Report, March 2003

Adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities*. EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 79-83.

CONTENT ANALYSIS OF STAKEHOLDER INTERVIEWS

WHAT IS CONTENT ANALYSIS AND WHY DO I NEED IT?

Now that you have done some interviews, you will need to accurately distill key interests, positions, and themes to inform potential funding solutions. If you simply listen to interview responses or read an interview transcript, you will tend to interpret what you hear and read through your own filters. You will see the themes you want to see. It is human nature that we impose our own opinions and ideas on what we see and hear.

Content analysis is a technique for interpreting interviews using a methodology that enforces discipline on your thinking and helps to remove your own opinions. It entails reading through interviews systematically and objectively to:

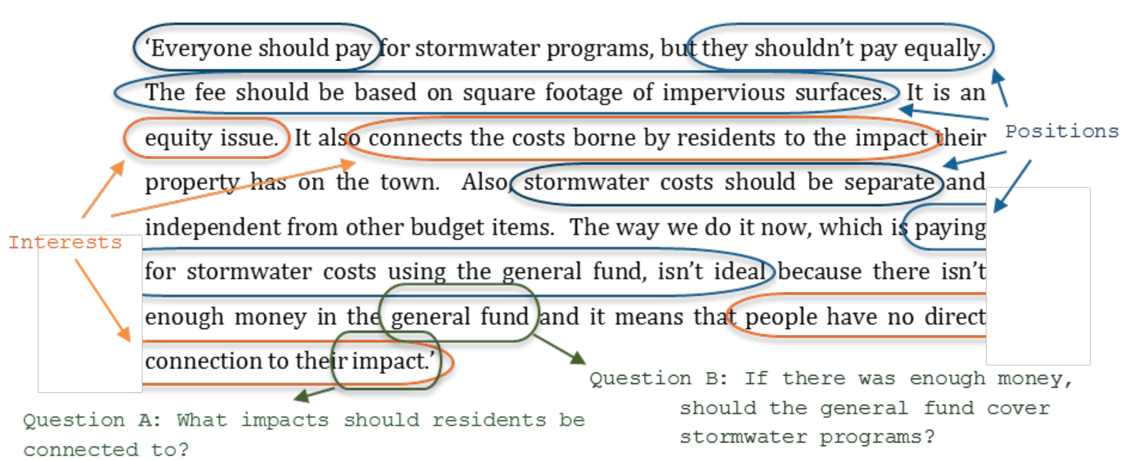
1. Extract key stormwater financing *positions* and *interests*
2. Identify *questions*, i.e., subject areas where you need to follow up with your interviewees
3. Synthesize recurring *themes* across multiple interviews that will become the backbone for your stormwater financing public engagement strategy

HOW DO I UNDERTAKE CONTENT ANALYSIS METHODS?

1. Extract key stormwater financing positions and interests using content analysis

As you read through the transcripts or notes of each key stakeholder interview, use the worksheet provided (pages 41-44) to inventory positions and interests. We recommend that you first read through each transcript to identify positions and then re-read it to identify interests. This will help you focus on extracting all information that meets each criterion, and steer you away from looking only for subject matter that appeals to you.

Sample Interview Excerpt: Content Analysis of Interview Transcripts



Ask your colleagues to review the transcripts as well. They may interpret information differently. The content they extract can help you to test your analysis of stakeholder responses against theirs.

2. Identify additional questions

In many cases, you will identify areas where more information is needed. You may need to probe further to uncover a stakeholder group's underlying interests in follow-up conversations. You will be more likely to satisfy multiple viewpoints if you learn why each stakeholder group holds its positions and if you avoid making false assumptions about what your stakeholders' positions are based on. Identifying these areas as you go along allows you to fill in your knowledge gaps through additional or follow-up interviews.

> In the *Sample Interview Excerpt (page 39)*, some discussion topics remain unclear and must be clarified further.
>
> **Question A: What impacts should residents be connected to?** The interviewee mentions twice that residents should be connected to their impacts. What impacts (for example, flooding, severe weather events, water pollution) is the speaker referring to? Are certain impacts more important to the interviewee than others? It is best to find out now so that you can develop your stormwater engagement strategy to more directly appeal to their interests.
>
> **Question B: If there was enough money, should the general fund cover stormwater programs?** The interviewee indicates the it is not ideal to pay for stormwater costs using the general fund because there is not enough money. However, they also mention concerns about equity and community responsibility. What would they do if the general fund had enough money? We need to probe a little deeper to better understand the interviewee's values.

3. Synthesize themes from content analysis

Once you have interviewed enough key stakeholders, you will begin to hear recurring themes. By systematically extracting interests as you proceed through several interviews, it becomes possible to synthesize overarching themes that are shared among your stakeholder groups. These themes represent what people care about. They will be critical for helping you to develop elements of a funding proposal that can potentially meet multiple stakeholder groups' interests. They will also become the backbone of your outreach and engagement strategy. We will return to this topic in Session Four.

INTERVIEW ANALYSIS WORKSHEET

IDENTIFYING KEY INTERESTS AND THEMES

Exercise Directions:

- Read through the notes or transcripts from municipal interviews and extract positions, interests, key themes, and open questions.
- First look through to systematically find positions. Next, re-read to identify interests and enter those into the worksheet below.
- Use the worksheet to list stakeholders who share interests and to organize a list of potential strategies and/or components to avoid.

Criteria Quick Reference:

Positions: Suggestions or demands that can only be solved one way, i.e., you have to say "yes" or "no."

Interests: Underlying needs that can be met with multiple objectives. There are multiple ways to solve an issue with interests. What do they really care about?

Questions: Lingering questions in your mind, or questions that would invite your stakeholders to share more or become more invested.

Themes: "BIG" commonalities that emerge throughout interviews. Step back and consider all interviews—what interests do multiple stakeholders share? Themes are not person-specific. What do a lot of people seem to care about?

Stakeholder (individual or group)	Position(s)	Key interests	Further questions?	List other stakeholders who share this view

Stakeholder (individual or group)	Position(s)	Key interests	Further questions?	List other stakeholders who share this view

Stakeholder (individual or group)	Position(s)	Key interests	Further questions?	List other stakeholders who share this view

Stakeholder (individual or group)	Position(s)	Key interests	Further questions?	List other stakeholders who share this view

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY

PURPOSE

This worksheet is designed to help translate information from interviews into a full stormwater funding and stakeholder assessment. This assessment is designed to help you frame a presentation or report on this information. Not all questions may be appropriate for every municipality—you are all at different stages. You should feel free to alter or add questions to better assist self-assessment.

SECTION I: WHAT I HAVE LEARNED SO FAR

Review your stakeholder map now that you have done some interviews (*page 13*):	
1. Are there any changes I would make now to my initial stakeholder map? Why?	*Does anyone need to be moved to another spot on the map because they have more or less influence or interest than you thought?*
2. Whom have I not yet talked with that I should (and why)?	*Consider a few different reasons: different point of view, different/additional point of influence, could become an ally, etc.*
3. Did my interviewees mention someone I had not yet thought of? If so, should they be included on my map?	
4. Who are the most critical stakeholders I need to satisfy to continue stormwater fund planning?	

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY	
Review and synthesize your Interview Analysis Worksheet (*pages 41-44*):	
5. What key themes emerged during interviews?	
6. What do your key stakeholders care about the most based on what you heard?	*Indicate who has which key interests.*
7. Based on stakeholder feedback, what critical elements of a funding program must be included in any future design proposal?	*Examples: credit systems, user fee limits, separate bills, etc.*

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY

8. Based on stakeholder feedback, what elements of a funding program must be resolved or avoided in any future design proposal?	
9. Looking over any program assessment I prepared before I started the workshop series, are there changes I would make now?	*Note the changes here or make the changes to the original documents. Reflect on why you would make those changes and what prompted them.*
10. What do I still need to investigate? Who can I get that information from?	
11. Who from this workshop could help you in the future with questions about stormwater funding or management?	*Note the name(s)/contact information of other participants and how they might be helpful to you.*

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY

SECTION II: NEXT STEPS FOR MOVING FORWARD WITH A STORMWATER FUNDING PROPOSAL

1. What is my ultimate stormwater funding goal and when would I like to achieve it?		
2. Breaking down my goal into four equal timeframes, what are the key objectives I need to achieve in each timeframe in terms of stakeholder engagement and technical analysis?	*Example: You want a dedicated source of funding for stormwater in 4 years. What must be achieved each year regarding both stakeholders and technical needs?* ***Stormwater Stakeholders***	***Stormwater Program Nuts and Bolts***

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY

3. Potential barriers: Which of the objectives noted above in #2 concern me the most, and why?	*Example: "I need to have a full-fledged economic analysis done by Year 2, but I don't have anyone on staff with that skillset." or "There is one Selectwoman who is going to be very hard to convince and I will need her support in order to get other elected officials on board."*
4. Am I missing information that I need in order to achieve the objectives noted above in #2? What are my next steps to fill those gaps?	*Note the missing information and how you think you can get it.*

STORMWATER FUNDING & STAKEHOLDER ASSESSMENT SUMMARY

5. What next steps have I identified to develop consensus among my key stakeholders?	*Examples: Form a Stormwater Funding Advisory Committee, launch an education campaign, conduct more key stakeholder interviews, etc. Session Four provides resources that will help you dig approach this topic more systematically.*
6. What three best next steps overall (stakeholder-related or technical) would I recommended to my department or municipality to achieve the objectives stated in #2?	*Consider what could keep you from taking these three next steps and what you plan to do to overcome the potential challenges.*

INSTRUCTIONS – MUNICIPAL STORMWATER PRESENTATIONS

GUIDELINES

For Session Four, develop a pitch that you can use in the future. Practicing this presentation in front of colleagues provides an opportunity to receive professional critiques about your messaging and your proposed approach towards achieving your long-term goals.

Each municipality will present for 5 minutes, followed by 10 minutes of discussion
Pick a hypothetical audience from below and give the presentation as if to them:

Council / Board Members	Appropriation Committee	Interest Group

Use the Stormwater Funding and Stakeholder Assessment Summary (*pages 45-50*) as a guide. Aim to communicate the following:

1. **What have you accomplished?** What do you know now that you did not know before this workshop?
2. **Where are you now?** What information do you have and what do you still need?
3. **What's next?** What are your recommendations for elements of a stormwater funding proposal that might be acceptable to your community? What feasible next steps do you propose?

PRESENTATION TIPS FROM PILOT SERIES PARTICIPANTS

PROVIDE A QUICK INTRODUCTION USING VISUAL STORMWATER OUTREACH RESOURCES

- U.S. EPA Soak Up the Rain (https://www.epa.gov/soakuptherain)
- Stormwater Duck Ads from Think Blue Maine (http://www.thinkbluemaine.org/)
- Online stormwater pictures/diagrams/cartoons

USE PICTURES TO COMMUNICATE YOUR MAIN POINTS & LIMIT TEXT

- Pictures can illustrate local issues and/or impacts to familiar places in town: e.g., flooding, pollution impacts on local waterbodies
- Pictures can demonstrate program costs: e.g., street sweepers, catch basin cleaning
- Pictures to show accomplishments and activities: completed projects, stormwater best management practices (BMPs) in town
- Before and after pictures are highly effective – hire a local artist to render an "after"
- Jargon and wordy slides will not grab your audiences' imagination and attention

ILLUSTRATE YOUR POINTS BY TELLING A LOCAL STORY

- Local stories will anchor your message
  - 'It cost X dollars to fix the broken pipe on Main Street and we could have saved X dollars if we had done X, Y, or Z'
  - "I talked to Joe Resident, and he told me…'

USE A CARROT OR A STICK – OR BOTH

- Stick: Anticipated penalties or costs from federal or state mandates may motivate action
- Carrot: Focus your message on what people care about: children swimming in clean waters, reducing flooding, safe roads and sidewalks, healthy trees, increased property values, etc.
- Carrot: Include costs of BMPs to increase public knowledge about how little BMPs can cost compared to other options
- Carrot: Highlight co-benefits, that is, quality of life improvements that come with your projects, such as a stream reconstruction with an added pedestrian bridge

PAY ATTENTION TO LANGUAGE AND FRAMING

- Make sure you do not blame your audience for being polluters – focus on positive language, for example, we all want to live in a clean place
- In interviews, ask what different terminology means to key stakeholders so you can decide what language people respond positively or negatively to (for example, "stormwater utility," "drainage fee," "enterprise fund," or "redistribution of funds")

BE STRATEGIC IN WHAT NEXT STEPS YOU ADVOCATE FOR

- Consider timing: It may not be good timing to promote any particular funding solution, but advocating for stormwater issues is still important. At first, you might focus more on the need for outreach and education about stormwater impacts, how stormwater management benefits people, and raising awareness about co-benefits from stormwater improvements.
- Focus on feasible waypoints: There is a difference between pursuing a funding mechanism versus pursuing a monetary goal. You might find that a lower cost mechanism that will only allow you to pursue some of your management needs is more appropriate for your community now. Later, you might engage stakeholders about increasing the dollar amount to better achieve your longer-term goals.

BE BRIEF

- You may not get more than five minutes in front of city council / your board of selectman / an elected official. Focus on:
  - Sparking interest with compelling stories, visuals, and recommendations
  - Eliciting good questions by introducing the kind of information you can follow-up with at a later time

SESSION FOUR

SYNTHESIS AND PUBLIC OUTREACH PROGRAM DESIGN

In Session Four, you will present what you have learned about funding stormwater in your community and what you plan to do next. In this low-stakes learning setting, you will give a draft presentation to your counterparts in other communities and then receive feedback from them. This will help you develop your approach and your messaging. We hope it also gives you motivation to continue your stakeholder engagement efforts for stormwater funding.

Furthermore, this session helps you think more broadly about public engagement and helps you get started on the development of a public engagement plan. While we have focused primarily on key stakeholders in the first several sessions, in this session we look beyond that critical circle to the broader public. We will show you how to think about different types of stakeholders and then help you match the appropriate engagement effort based on the interests of each individual, group or public sector. We will also provide guidance on writing and refining key messages.

CASE STUDY: SOUTH PORTLAND/LONG CREEK, MAINE

Increasing Knowledge and Positive Perceptions Through Stakeholder Engagement

A neutral facilitator designed the stakeholder engagement and public outreach strategy in South Portland/Long Creek, Maine. She identified key stakeholder groups and encouraged them to appoint representatives to a steering committee.

The process included:

- *A Steering Committee that led the planning process.*
- *Sub-committees that provided technical analysis and other services to the committee.*
- *A large Watershed Committee of local commercial businesses, governments, and community organizations that participated in meetings led by the Steering Committee and provided guidance on the development and implementation of the Watershed Plan.*

The Steering Committee also decided to invite Conservation Law Foundation (CLF) to join the committee. Many stakeholders viewed CLF as the originator of their stormwater compliance problems. However, according to project contacts, CLF's participation significantly contributed to the quality of the final plan.

The committee's challenge was developing a stormwater management plan acceptable to the interests of each group represented by a committee member and a funding approach that garnered enough voluntary participation to be financially viable. Committee members knew their utility proposal required a compelling financial case. Project contacts noted that, in the end, commercial property stakeholders calculated whether it would be cheaper for them to fight their individual permit requirements in court or to join the utility. The committee's data convinced them that a utility could lower commercial property compliance costs by as much as 75% compared to the cost of complying individually. The Maine Policy Review reported that ultimately, over "100 of the 125 landowners designated by [U.S.] EPA as requiring a stormwater discharge permit made a preliminary election to participate in the collaborative program."

Adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities*. EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 63-68.

PRESENTATION CRITIQUES

Please use this space to write in any comments/reactions/ideas for discussion as you listen to the presentations. You are invited to use the following questions as prompts:

1. *What do you think the presenter did well and why was it effective?*
2. *How can the presenter(s) improve their message?*

Presentation notes continued…

USING TOOLS TO PLAN FOR PUBLIC ENGAGEMENT

You spent a majority of this course identifying and reaching out to key stakeholders. Interviewing key stakeholders allows you to set the agenda for a broader public engagement process. By doing these interviews, you ensured that key individuals were engaged early in the process. This helps to build political capital moving forward. This also helps you to identify the range of interests among the different sectors in your community so that you can get a sense of the funding possibilities that might be acceptable to them and deal with possible roadblocks through broader public outreach.

Regardless of where you stand in moving forward with a funding proposal, your stakeholder research will enable you to develop an effective public outreach campaign so that you and your community have the right information to take the next steps.

KEY ELEMENTS OF A PUBLIC ENGAGEMENT PLAN

A public engagement plan can be very simple or quite detailed. You should design your plan according to what is right for your municipality in terms of capacity, time, and money. Use the *Public Engagement Plan Template* (pages 61-65) to get started.

The most critical items that any Public Engagement Plan should tackle are:

1) Who? (which stakeholders and/or public sectors are your engaging?)
2) How? (what type of engagement techniques will you use?)
3) When? (what is your timeline for undertaking different stages of your public process?)
4) What? (what principles, goals, or objectives will you be meeting by undertaking these processes?)

PUBLIC ENGAGEMENT IS NOT ONE-SIZE-FITS-ALL

Look at your stakeholder map (*Stakeholder Map Worksheet,* page 13). Your stakeholders and the broader public sectors in different quadrants of the map will have different levels of interest and influence in decision making. In addition, your engagement of different groups will depend on your objectives, time, capacity, and resources.

Consider the implications of providing the same engagement strategy to, for example, your mayor and an opinionated resident. These two people have different levels of influence. Not only is it impossible to engage everybody individually, such as through an interview, it is also unlikely that you could appropriately engage everyone using just one technique. You need very different things from these people in your consensus-building process, and you can identify those needs through a variety of outreach mechanisms.

Different types of public engagement strategies are designed to extend your ability to engage different sectors effectively and efficiently. The reason you need to use a variety of public engagement strategies is so you can feasibly include all stakeholder groups and/or public sectors in your consensus-building process and appropriately account for their unique viewpoints and concerns. You will likely undertake a variety of engagement techniques in parallel among many different stakeholder groups.

TOOLS FOR PLANNING PUBLIC ENGAGEMENT

There are a variety of tools available to assist public engagement planning. Below are links to publicly available tools that will help you (1) tailor your approach for different groups and (2) sequence different strategies over the course of your process.

IAP2 PUBLIC PARTICIPATION SPECTRUM

WHAT IS IT? The International Association for Public Participation (IAP2) Public Participation Spectrum describes levels of impact on decision making, with increasing give-and-take of information as decision power increases.

HOW TO USE IT: Use the tool after analyzing your stakeholders to identify how much interest and influence different sectors of the public have. The spectrum will help you define each sector's role in your public process and what they need from you.

WHERE TO FIND IT: https://www.epa.gov/international-cooperation/public-participation-guide-internet-resources-public-participation

International Association for Public Participation (IAP2). (2014). *IAP2 Public Participation Spectrum*. IAP2 International Federation.

SPECTRUM OF PROCESSES FOR COLLABORATION AND CONSENSUS-BUILDING IN PUBLIC DECISIONS

WHAT IS IT? The Spectrum of Processes for Collaboration and Consensus-Building in Public Decisions is a framework for designing a public process over time. It focuses on how much collaboration is feasible and effective among different sectors and what the resulting outcomes might be throughout a process.

HOW TO USE IT: Use the tool to determine which engagement strategies are most appropriate at different points in in your public process. By selecting your desired outcomes first, you can use the schematic to find 1) sample processes, 2) when to use those processes, and 3) what the conditions for success in those processes are.

WHERE TO FIND IT: http://ncdd.org/rc/item/4441

Orenstein, S., Moore, L., & Sherry, S. (2010). *Spectrum of processes for collaboration and consensus-building inpublic decisions. National Coalition for Dialogue and Deliberation.*

USING TOOLS TO DEVELOP AN EFFECTIVE PUBLIC ENGAGEMENT PLAN

You can use both public engagement planning tools and the stakeholder map to develop your public engagement plan. The stakeholder map can be used to identify specific individuals or groups to engage using different strategies. For example:

KEEP SATISFIED	**MANAGE CLOSELY**
Intergroup Dialogue Advisory committee Focus Groups Website Social Media Outreach	Periodic 1-on-1 meetings/calls Focus Groups Advisory committee Multi-stakeholder dialogue Website Social media outreach
MONITOR	**KEEP INFORMED**
Public Meetings Email updates via self-selected listserv Website Newsletters Public media coverage	Website Social media outreach Newsletters Email updates Public Meetings

Power →→

Interest →→

These tools can also be used to plan the variety of strategies you might employ over the lifetime of your public process. You can develop multiple maps that correspond to:

1. Different stages of your process, for example:
   Year 1, Year 2, Year 3…
   Phase I, Phase II, Phase III…
2. Different goals, objectives, or issues, for example:
   Goal 1: Increase partnerships and participation in funding mechanism design
   Goal 2: Energize the public to reduce stormwater impacts on private property

You can also use the spectrum to help communicate your comprehensive strategy. For example, the above map illustrates a tailored approach that relies on key stakeholder group representatives working to develop agreed-upon outcomes while keeping the broader public informed and up-to-date.

DESIGNING PUBLIC ENGAGEMENT

Brainstorm public engagement techniques that you believe would be effective for stakeholders and/or public sectors in each quadrant of the stakeholder map. You may want to further tailor your public engagement plan by creating different versions of this worksheet for different stages of your process or using different goals (see page 59). Compare side-by-side with your original stakeholder map.

1. What might you want from people in the different zones?
2. What might people in the different zones want from you?
3. What can you reasonably commit to the people in this zone (i.e., what would be both effective and feasible)?

Power →→

KEEP SATISFIED	**MANAGE CLOSELY**
MONITOR	**KEEP INFORMED**

Interest →→

PUBLIC ENGAGEMENT PLAN TEMPLATE

You will need to demonstrate internally the kind of support, resources, and capacity that you need for public engagement. Whether simple or complex, a public engagement plan is useful because clearly lays out what needs to be done and demonstrates that you know how to do it. It also highlights what you do not know or have. For example, it may be used to demonstrate that you need to hire a new staff person or form a new committee. This is a "living" document, and you should expect to revisit it multiple times over the course of your process.

Problem statement (What problem you are trying to solve and why you are doing this now.)
Goals/Purpose (What you want to achieve through public engagement and how this plan will help you get there)
▪ ▪ ▪ ▪ ▪ ▪

PUBLIC ENGAGEMENT PLAN TEMPLATE

Guiding Principles (broad ideas like "transparency" or "public accountability" might be drawn from a town mission statement or other existing document)
▪ ▪ ▪ ▪ ▪
Audiences:
Key stakeholders by name (and what makes them "key")
Other stakeholders by name (individuals or specific organizations)
Broad categories of "publics" (businesses, non-profits, institutions, residents, etc.)

PUBLIC ENGAGEMENT PLAN TEMPLATE

Information "In" (What you need to know from any of the stakeholders or publics above)

Information "Out" (What you need to share with any of the stakeholders or publics above)

Key Milestones

Objective	***Deadline***

PUBLIC ENGAGEMENT PLAN TEMPLATE

Key Milestones (continued)	
Objective	***Deadline***

Outreach Activities		
Stakeholder/Public (group, individual, category)	**Activity(ies)**	**Timing**

PUBLIC ENGAGEMENT PLAN TEMPLATE

Outreach Activities (continued)

Stakeholder/Public (group, individual, category)	Activity(ies)	Timing

Other sections of your public engagement plan might include funding/ resources, challenges, leadership, roles, etc.

CASE STUDY: NEWTON, MASSACHUSETTS

Stormwater funding proposals can continue to evolve, accompanied by public outreach and engagement

The initial implemented stormwater utility fee in Newton, Massachusetts, was so small that many people barely noticed it on their water bills. The main complaints during early billing were from small commercial businesses that felt that it was not equitable to be charged the same amount as larger businesses.

The city intentionally chose to institute rates lower than needed to meet estimated stormwater costs. This was done to facilitate adoption of the utility. However, the revenue generated by the stormwater fee has been inadequate to meet Newton's ongoing stormwater management needs. Further, since the adoption of the stormwater utility, Department of Public Works (DPW) salaries and maintenance costs have increased, leaving little funding for capital projects. The current fee structure also contains inequities. For example, residential properties comprise 65% of the city's impervious square footage but they pay 74% of all stormwater fees.

Newton DPW has been working with a consultant to revise the fee structure and move toward fees based on each property's square footage of impervious surface; the city now has data that allows it to make this calculation. Under the new system, some property owners would see increased fees, others would be charged less. For example, one apartment complex currently paying $25 per year would have its fee increase to $1,653 per year. DPW has presented the new proposed fee schedule to the Public Facilities Committee of the Board of Alderman and is now developing an outreach and education plan to target property owners who will see the largest fee increases. The outreach plan will include a brochure, information on the city's website, a press release, and work with community groups. There will also likely be public meetings with invitations sent to commercial, industrial, and institutional landowners.

Adapted from: U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the role of public outreach and stakeholder engagement in stormwater funding decisions in New England: Lessons from communities.* EPA 100-K-13-0004. U.S. EPA Office of Policy, Washington, DC. pp. 106-109.

APPENDIX A: LIST OF RESOURCES

RESOURCES AND OUTREACH MATERIALS FOR DEVELOPING AND FUNDING A STORMWATER MANAGEMENT PROGRAM

The below resource list contains curated resource lists from U.S. EPA and other organizations, how-to or informational resources for municipal staff, and outreach materials that can be used as is or adapted. Stars (*) indicate resources that are referenced for use in the workbook.

Central Massachusetts Regional Stormwater Coalition**.** http://centralmastormwater.org/

Charles River Watershed Association (CWRA). 2016. *Stormwater Management Workshop Resources.* http://www.crwa.org/education/stormwater-management-workshop

Executive Office or Energy and Environmental Affairs, Commonwealth of Massachusetts. 2007. *Smart Growth / Smart Energy Toolkit.* Horsley Witten Group, Inc. https://www.mass.gov/smart-growth-smart-energy-toolkit-information-and-resources

Horsley Witten Group, Inc. 2015. *A Quick Guide to Defining and Funding Your Municipal Stormwater Program (PowerPoint).* Prepared for Merrimack Valley Stormwater Collaborative. http://www.merrimackvalleystormwater.org/wp-content/uploads/2015/01/Quick-Guide-Defining-Funding-Stormwater-Programs.pdf

Horsley Witten Group, Inc. 2015. *A Quick Reference for Defining and Funding Your Municipal Stormwater Program.* Prepared for Merrimack Valley Stormwater Collaborative c/o Merrimack Valley Planning Commission. http://www.merrimackvalleystormwater.org/wp-content/uploads/2015/01/MVPC-Guide-to-Defining-Funding-SW-Program-2.pdf

Massachusetts Department of Environmental Protection. *MS4 Public Education Documents.* https://www.mass.gov/guides/stormwater-outreach-materials-to-help-towns-comply-with-the-ms4-permit

Massachusetts Rivers Alliance. 2016. *Stormwater Funding Resources v.2.* http://massriversalliance.org/wp-content/uploads/2016/04/StormwaterFundingResourcesHhandout04-16.pdf

Metropolitan Area Planning Council (MAPC). 2014. *Low Impact Development Toolkit.* https://www.mapc.org/resource-library/low-impact-development-toolkit/

*Metropolitan Area Planning Council (MAPC). 2014. *Stormwater Financing/Utility Starter Kit.* https://www.mapc.org/resource-library/stormwater-financing-utility-starter-kit/ [all links (blue underlined) below are also embedded in the site's landing page]

- Module 1: Needs Assessment, *Table 1.1 – Potential Expenditures*, pages 1-3 to 1-5 http://www.mapc.org/wp-content/uploads/2018/05/SW_financing-utility_kit_mod1_needs.pdf
- Existing Stormwater Activities and Expenditures http://www.mapc.org/wp-content/uploads/2018/05/Existing_Expenses.pdf
- Introduction/Overview, *Table O.2 – What Fees Can Be Used For*, pages 0-9 to 0-10 http://www.mapc.org/wp-content/uploads/2018/05/SW_financing-utility_kit_intro.pdf

National Association of Flood and Stormwater Management Agencies (Under grant provided by U.S. Environmental Protection Agency). 2006. *Guidance for Municipal Stormwater Funding.* https://www.epa.gov/sites/production/files/2015-10/documents/guidance-manual-version-2x-2.pdf

New England Environmental Finance Center. www.neefc.org

Pioneer Valley Planning Commission (PVPC). 1999. *How to Create a Stormwater Utility (or Stormwater Management Program)*. http://www.pvpc.org/content/how-create-stormwater-utility

Pioneer Valley Planning Commission (PVPC). 1999. *Understanding Stormwater Utilities*. http://www.pvpc.org/sites/default/files/files/PVPC-Stormwater%20Utilities.pdf

Southeast Watershed Alliance (prepared by the University of New Hampshire Stormwater Center and The Rockingham Planning Commission). 2012. *Model Stormwater Standards for Coastal Watershed Communities.* https://www.unh.edu/unhsc/sites/unh.edu.unhsc/files/Final_SWA_SWStandards_Dec_20121_0.pdf

Think Blue Maine. www.thinkbluemaine.org

Think Blue Massachusetts. www.thinkbluemassachusetts.org

U.S. EPA (U.S. Environmental Protection Agency). 2013. *Evaluation of the Role of Public Outreach and Stakeholder Engagement in Stormwater Funding Decisions in New England: Lessons from Communities.* EPA-100-K-13-0004. https://www.epa.gov/sites/production/files/2015-09/documents/eval-sw-funding-new-england.pdf

U.S. EPA (U.S. Environmental Protection Agency) New England. 2009. *Funding Stormwater Programs (Fact Sheet).* EPA 901-F-09-004. https://www3.epa.gov/region1/npdes/stormwater/assets/pdfs/FundingStormwater.pdf

U.S. EPA (U.S. Environmental Protection Agency) New England. *Soak up the Rain.* https://www.epa.gov/soakuptherain

U.S. EPA (U.S. Environmental Protection Agency). *Water Infrastructure and Resiliency Finance Center.* https://www.epa.gov/waterfinancecenter

RESOURCES FOR MUTUAL GAINS NEGOTIATION AND CONSENSUS BUILDING

The below resource list was curated by the Consensus Building Institute in Cambridge, Massachusetts. Stars (*) indicate resources that are referenced for use in the workbook.

Carpenter, S. & W. Kennedy. 2001. *Managing Public Disputes: A Practical Guide for Government, Business, and Citizen's Groups.* San Francisco, CA: Jossey-Bass.

Dialogue Designer. https://dialoguedesigner.dialoguebydesign.net/

Fisher, R. and D. Shapiro. 2005. *Beyond Reason: Using Emotions as You Negotiate*. New York: Viking.

Fisher, R. and W. Ury. 1991. *Getting to Yes.* New York, NY: Penguin Books.

Hollander-Blumoff, R. and T.R. Tyler. 2008. *Procedural justice in negotiation: Procedural fairness, outcome acceptance, and integrative potential. Law & Social Inquiry,* 33: 473-500.

*International Association for Public Participation (IAP2). 2014. *IAP2 Public Participation Spectrum*. IAP2 International Federation.

Metroquest. 2017. *The Beginner's Guide to Online Engagement*. http://metroquest.com/beginners-guide-to-effective-online-engagement/

Movius, H. 2016. *Resolve: Negotiating Life's Conflicts with Greater Confidence.* Vancouver, BC: LifeTree Media.

National Center for Dialogue and Deliberation. *Engagement Streams Framework*. http://www.ncdd.org/files/rc/2014_Engagement_Streams_Guide_Print.pdf

National Center for Dialogue and Deliberation. *Resource Center.* http://ncdd.org/rc/best-of-the-best-resources

*Orenstein, S., Moore, L., & Sherry, S. 2010. Spectrum of processes for collaboration and consensus-building in public decisions. National Coalition for Dialogue and Deliberation.

Orton Family Foundation. *Resource Library*. https://www.orton.org/resource-library/

Shell, G.R. 2006. *Bargaining for Advantage: Negotiation Strategies for Reasonable People.* 2nd Edition. New York: Penguin.

Stone, D., B. Patton and S. Heen. 2000. *Difficult Conversations: How to Discuss What Matters Most.* New York: Penguin Books.

Susskind, L., S. McKearnan & J. Thomas-Larmer, eds. 1999. *The Consensus Building Handbook.* Thousand Oaks, CA: Sage Publications.

Ury, W. 2007. *The Power of a Positive No: Save The Deal, Save the Relationship and Still Say No.* New York: Bantam.

Ury, W. 1993. *Getting Past No*, New York: Bantam.

Wondolleck, J. M., & S.L. Yaffee. 2000. *Making collaboration work: Lessons from innovation in natural resource management.* Washington, DC: Island Press.

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