

# Appendix 5: Public Participation & Collaboration Resources

## Collaborative Problem-Solving Resources

### 1. “Public Participation in Environmental Assessment and Decision making,” Thomas Dietz and Paul C. Stern, Editors, August 2008

A report of the National Research Council, sponsored by the U.S. Environmental Protection Agency, U.S. Department of Energy, Food and Drug Administration, and the U.S. Department of Agriculture. The National Academy of Sciences, National Academy of Engineering, Institute of Medicine, and National Research Council make up the National Academies. They are private, nonprofit institutions that provide science, technology, and health policy advice under a congressional charter. The Research Council is the principal operating agency of the National Academy of Sciences and the National Academy of Engineering.

Online purchase: [http://www.nap.edu/catalog.php?record\\_id=12434](http://www.nap.edu/catalog.php?record_id=12434)

### 2. Collaboration: A Guide for Environmental Advocates, by Frank Dukes and Karen Firehock (UVA, 2001)

Free online access: <http://www.virginia.edu/ien/publications.htm>

The Guide includes best practices for any group working on environmental issues and can be used by agency staff, motorized users, quiet recreationists, and anyone else interested in building collaborative solutions. It includes guidance about when collaboration may be useful and when it may not, how to convene a collaborative group, ways of incorporating science, and how to gauge success.

### 3. Public & Stakeholder Participation - Tools and Resources How to Involve the Public in Transportation Decision Making

<http://www.dot.state.mn.us/planning/publicinvolvement/toolsandresources.html>

An excellent site for multiple tools for public participation, including:

- Core values for public participation
- Spectrum of participation levels
- “Hear Every Voice” guidance (designed for MNDOT projects, but an excellent process overview that can be adapted for travel management planning)

### 4. Core Values for Public Participation

Developed by the International Association for Public Participation. This organization offers substantial resources.

<http://www.iap2.org/displaycommon.cfm?an=4>

#### Core Values for the Practice of Public Participation

1. Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
2. Public participation includes the promise that the public’s contribution will influence the decision.
3. Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
4. Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
5. Public participation seeks input from participants in designing how they participate.
6. Public participation provides participants with the information they need to participate in a meaningful way.
7. Public participation communicates to participants how their input affected the decision.

**5. Best Practices for Government Agencies: Guidelines for Using Collaborative Agreement-Seeking Processes.** Published by the Society of Professionals in Dispute Resolution [now the Association for Conflict Resolution] in January 1997. This short guide is required reading for any collaborative group that has substantial agency involvement. It argues for a well-defined role for agencies and for the independence of mediators or facilitators, even when (or especially when) they are hired by the agencies.

**6. Managing Scientific and Technical Information in Environmental Cases: Principles and Practices for Mediators and Facilitators,** by Peter Adler et al. 2000.

This lengthy (76-page) manual contains both theoretical and practical advice, and is illustrated with many case examples. Available on the web-sites of its sponsors: RESOLVE, Inc. ([www.resolve.org](http://www.resolve.org)), the U.S. Institute for Environmental Conflict Resolution ([www.ecr.gov](http://www.ecr.gov)), and the Western Justice Center Foundation ([www.westernjustice.org](http://www.westernjustice.org)).

**7. Plan-to-Project Working Guide: Engaging in Collaborative Meetings (Reference and Working Planner for USDA Forest Service Professionals),** by Susan W. Halbert. Published by the National 4-H Council for the USDA Forest Service, Pacific Southwest Region, in 1999.

This concise 20-page document is concerned primarily with running fair and effective meetings in situations where conflict is likely. Can be downloaded free at [ocs.fortlewis.edu/Stewardship](http://ocs.fortlewis.edu/Stewardship) by clicking on “How to Plan and Conduct a Collaborative Meeting.”

**8. A Practical Guide to Consensus,** by Jim Arthur, Christine Carlson, and Lee Moore. Published by the Policy Consensus Initiative in 1999. This 72-page guide offers a thorough but concise toolkit to best practices for sponsors of consensus processes. Order at [www.policyconsensus.org](http://www.policyconsensus.org).

The following all provide a mix of case studies, lessons learned about effective collaboration, and typologies of collaborative processes.

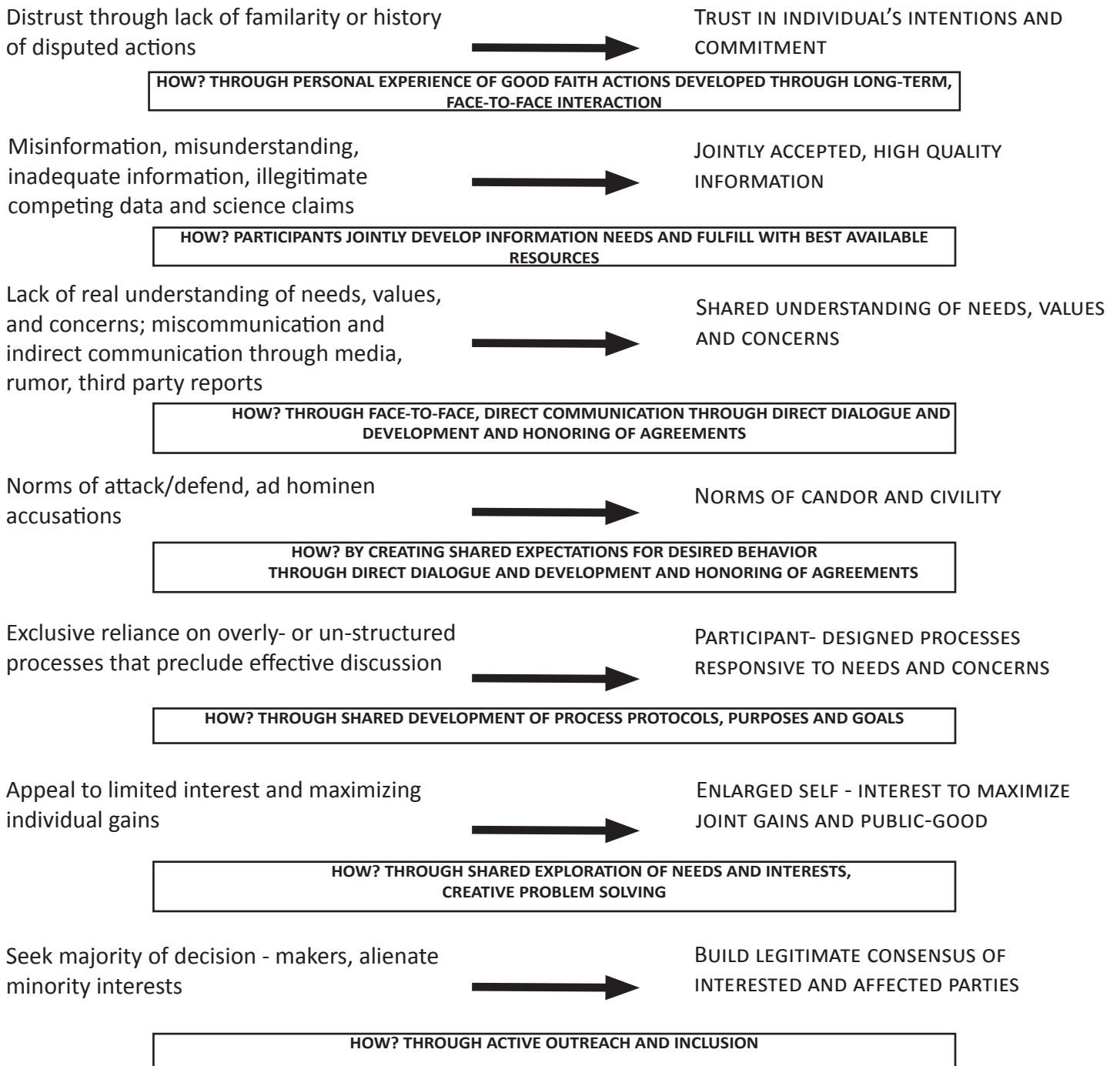
**Beyond the Hundredth Meridian: A Field Guide to Collaborative Conservation on the West’s Public Lands,** by Barb Cestero. Published by the Sonoran Institute in 1999. Order through [www.sonoran.org](http://www.sonoran.org).

**Across the Great Divide: Explorations in Collaborative Conservation and the American West,** by Philip Brick, Donald Snow and Sarah van de Wetering. Published by Island Press in 2001.

**The Ecology of Hope: Communities Collaborate for Sustainability,** by Ted Bernard and Jora Young. Published by New Society Publishers in 1997.

**Making Collaboration Work: Lessons from Innovation in Natural Resource Management,** by Julia M. Wondolleck and Steven L. Yaffee. Published by Island Press in 2000.

# Conflict to Consensus Chart



## Example of Volunteer Recruitment (Building Partnerships)

*From the*

**Tahoe National Forest**

*Volunteering on the Tahoe.*

<http://www.fs.fed.us/r5/tahoe/volunteering/index.shtml>

Located on the Tahoe National Forest Website is a link to volunteer opportunities in the Tahoe National Forest. The site posts where volunteers are needed, information about who to contact to get involved, and Adopt a Trail programs.

“Working with the Forest Service and fellow volunteers is an opportunity to see what our National Forests have to offer in a way beneficial to both yourself and the forest. The diversity of projects and positions available offers each person a chance to participate in an activity that meets their individual or group interests.”

### **“Why Volunteer?”**

Earn credit towards college with volunteer internships Develop or diversify your job experience and career choices Meet people and form new friendships Self-satisfaction in providing community service.”

### **“What Projects?”**

Projects can range from a single day project to a long term undertaking lasting for several months. What captures your interest? Trail work, campground host, bird surveys, conservation education, fire lookout, Adopt-A-Trail, information receptionist, and wilderness restoration projects are a few examples of what may be available. Other possibilities might include working in the field with biologists, botanists, archaeologists, recreation rangers, and other Forest Service personnel.”

### **“How does this work?”**

Projects and positions will be posted on this web site as coordinators develop them. Review through the choices and either call or email the listed contact to express your interest. Since this page is in the beginning stages of development there are many more opportunities available than is on the site. You can call individual Ranger Districts or the Forest Supervisor’s Office directly or email the forest through the electronic form on the [Contact Us](#) pages. Your information will be passed on to the appropriate project coordinator.”

### **“Background**

Volunteer service in the Forest Service was formalized in the *Volunteers in the National Forest Act of 1972*. This act allowed the Forest Service to legally accept the services of volunteers as individuals or groups. Volunteers are not considered federal employees except for purposes of tort claims and work related injuries. While they receive no pay, expenses for such things as transportation, subsistence and uniforms may be negotiated on a case by case basis.”

“Volunteering in the National Forest can offer valuable experience and life long memories. Give it a try!”

## Example that Facilitates Easy Public Access to Documents

*From the*

**U.S. National Parks Service**

### **Planning, Environment and Public Comment (PEPC)**

“Fostering conservation-based decision-making through consultation, cooperation and communication”

<http://parkplanning.nps.gov/>

#### **Overview** (from website):

This site provides access to current plans, environmental impact analyses, and related documents on public review. Users of the site can submit comments for documents available for public review.

The National Park Service prepares a variety of planning and environmental documents to help guide it in managing park resources. These documents can range from site-specific impact analyses on facility locations to broader park-wide plans for future use and management of a park.

This site contains all of the currently active plans and environmental documents for the National Park Service. You can select from the list of specific national parks below, by region or state, or use advanced search feature.

**Example of Transparency: Report of a Collaborative Stakeholder Group Findings  
From the  
Inyo National Forest**

**Collaborative Alternatives Team (CAT) Statement and Findings April 7, 2008:**  
[http://www.access-advocates.org/PDF/CAT\\_Proposal.pdf](http://www.access-advocates.org/PDF/CAT_Proposal.pdf)

Includes:

- Description of the process
- Role of the CAT
- Statement of Findings
- Travel Analysis Criteria
- Analysis of Routes

“With over 5,000 individually numbered routes making up a network of well over 3,700 miles of route, arriving at a sustainable and manageable system of roads, trails and areas for motorized use across Forest land which provides motorized access for everyone presents a significant challenge. To facilitate constructive and substantive dialogue surrounding this issue, the Desert Mountain Resource Conservation and Development District convened a broad group of local stakeholders in early March of 2008. The Travel Management Collaborative Alternative Team (CAT) convened to determine if there are mutually acceptable options for trail routes on the Inyo National Forest that provide for safe and environmentally responsible use.”

**Example of a Charter (Protocols and Ground Rules) for Collaborative Stakeholder Involvement**  
*From the*  
**Inyo National Forest**

**Inyo Forest Travel Management Collaborative Alternatives Team (CAT)**

**Charter and Participant Commitments**

**PURPOSE**

The Inyo Travel Management Collaborative Alternative Team (CAT) is an independent community based body of stakeholders. The primary goal of the CAT is to determine if there are mutually acceptable options for trail routes on the Inyo National Forest that provide for safe and environmentally responsible use. The CAT seeks to minimize conflict between different forms of recreation and between recreation of all types and the environment. CAT recommendations will be based on the best available information available to the group. Recommendations will be submitted to the Forest Supervisor or other entity as appropriate to the implementation of those recommendations. The Forest Supervisor is committed to considering recommendations of all stakeholders and recognizes the unique contributions the CAT could make to the overall consideration of alternatives.

**COLLABORATIVE SCOPE**

Collaboration could include, but is not limited to, discussion of the following:

- Identification of where there is already agreement on routes.
- Discussion of criteria and confirmation to move forward.
- Identification of which routes or geographical areas have potential for collaborative resolution. Prioritize them.
- Discussion of designation of routes within Inventoried Roadless Areas.
- Discussion of specific routes or geographical areas with the intent of finding common ground – developing consensus – and documenting where agreement is reached. Areas/routes of non-agreement are also documented.
- Discussion on any other issues that the group chooses to tackle, where they think there is potential to reach consensus resolution.

**MEMBERSHIP**

Members of the group are by their personal knowledge, association, constituency or organization involved in or related to activities in the Forest described in the Background section. Members have a local perspective, topical, on-the-ground knowledge, and the ability to work collaboratively with people with views different from their own.

**MEMBER ROLES AND RESPONSIBILITIES**

- As appropriate act as a liaison and communicate information to and from their organizations.
- Offer the perspective of a good citizen, an independent thinker and trust worthy individual.
- Build trust among all stakeholders.
- Contribute data/information to clarify issues and eliminate false assumptions.
- Will not represent individual views as views of the CAT or make public confidential conversations.
- Work to ensure acceptance and implementation of agreements made by the CAT.

**ATTENDANCE**

Attendance at meetings is important for the continuity of the group. Those unable to fully participate will be asked to re-evaluate their membership.

**DECISION MAKING PROCESS**

Consensus seeking: This is a consensus seeking process. The full group will consider all decisions or recommendations. To determine a degree of consensus, members will note their level of support for items as ranging from Unqualified Support, Strong Support, General Support, Qualified Support, to Fundamental Disagreement. Issues without out a broad degree of support will not move forward as representing the views of CAT. The level of support for various items will be recorded. If an item receives a level of Fundamental Disagreement, the group will be asked to continue working

until it appears a resolution is not attainable, or move on to an area where more agreement is possible. At that time the members will note the nature of the disagreement and make a determination as to the best way to proceed in the particular issue area. Minor and major decisions: Not all decisions will have the same level of impact. Simple voting may be adopted for procedural or non-policy matters. Select decision process in advance: Proposals for action should include the decision process to be used in considering the item. Members are expected to always contribute their best personal thinking, regardless of the initial positions of their sponsoring organizations. Collaboration cannot be effective unless all parties, including sponsoring organizations, are open to modifying their initial positions. Members are responsible for promoting understanding of CAT recommendations by the organizations they represent.

### GROUND RULES

1. Use standing meeting ground rules (see attachment)
2. When discussing the work of CAT, meeting attendees will avoid attributing statements to individuals.
3. Items presented as confidential will not be disclosed in other forums or used in a way to disadvantage any member of the group.
4. Members shall act in good faith in all aspects of this consensus-building process.
5. Members shall communicate their interests and positions.
6. Members shall not engage in personal attacks or stereotyping.
7. Members shall refrain from impugning the motivations or intentions of others.
8. Members shall not make commitments they do not intend to follow through.
9. Members shall act consistently in the CAT and other forums where similar issues are being discussed, including with the press.
10. Members agree to provide requested information to other members or explain the reason why not.
11. Meeting participants attending without an official CAT role will be provided with audience seating and given a specific time in the agenda to address the group.

### STANDING GROUND RULES

There will be continuous opportunities for group discussion. You are asked to subscribe to several key agreements to allow for productive outcomes

**USE COMMON CONVERSATIONAL COURTESY** - Don't interrupt; use appropriate language, no third party discussions, etc.

**HUMOR IS WELCOME AND IMPORTANT, BUT** humor should never be at someone else's expense.

**ALL IDEAS AND POINTS OF VIEW HAVE VALUE** - You may hear something you do not agree with or you think is "silly" or "wrong." Please remember that the purpose of the forum is to share ideas. All ideas have value in this setting. The goal is to achieve understanding. Simply listen, you do not have to agree.

**PARTICIPANTS MAY CHANGE THEIR MIND** - During the course of the session, some participants may change their perspective regarding one or more items. Group members reserve the right to change their mind and not be held to a previous position.

**50-MILE RULE** - Most of the participants have demanding responsibilities outside of the meeting room. Your attention is needed for the full meeting. Please turn cell phones, or any other communication item with an on/off switch to "silent." If you do not believe you will be able to participate fully, please discuss your situation with the facilitator.

**BE COMFORTABLE** - Please feel help yourself to refreshments or take personal breaks. If you have other needs please let the facilitator know.

**SPELLING DOESN'T COUNT** - writing on a vertical surface (like blackboards or flipcharts) actually increases the number of spelling errors – ideas are more important than spelling.

**HONOR TIME** - We have an ambitious agenda, in order to meet our goals it will be important to follow the time guidelines given by the facilitator.

**AVOID EDITORIALS** - It will be tempting to analyze the motives of others or offer editorial comments. Please talk about YOUR ideas and thoughts.

### VOTING

We are not voting unless we say we are voting. Silence is not consent. Decision-making will be clear.

### COMMITMENT TO PROCESS & GROUND RULES

By signing this document, you agree to participate on the CAT in good faith and to work constructively and in conformity with the ground rules and the spirit of the effort.

**Example of a Good Agenda for a First Meeting of a Collaborative Group**  
***From the Inyo National Forest***

**Travel Management Collaborative Alternative Team**  
**Meeting Agenda (March 4, 2008)**

**6:00 - 6:05 Welcome (RC&D)**

**6:05 - 6:30 Agenda Overview and Introductions (Austin McInerny, Center for Collaborative Policy)**

- Why did you come to meeting?
- What do you hope for from this process?

**6:30 - 6:45 Forest Service Perspective & Desire (Jim Upchurch, Forest Supervisor)**

- What is needed / desired from process
- Description of challenge confronting forest management
- Overview of recent California legal challenge against Forest Service on Roadless Areas

**6:45 - 7:15 Process Detail - "How do we do this?" (Austin McInerny, Center for Collaborative Policy)**

- Review of Draft Charter (Handout)
- Membership Roles and Responsibilities
- Decision-Making Process
- Ground Rules

**7:15 - 7:45 Informal Participant Dialogue / Stretch Break**

- Review of Charter - "Is this going to work for you?"
- Discussion to Decide Who is Able / Willing to Participate
- Those Willing to Participate Return to Inner Table

**7:45 - 7:50 Review of Dialogue Outcomes (Austin McInerny, Center for Collaborative Policy)**

- Will Current Composition Provide Range of Interests?
- If "yes", determine meeting schedule / location / needs
- If "no", discuss who is missing and how to move forward or not

**7:50 - 8:10 Overview and Relationship to NEPA Process (Susan Joyce, Forest Service)**

- Status of NEPA document
- Relationship of this discussion to NEPA process
- "Sideboards" that must be considered during this discussion

**8:10 - 8:30 Propose Action and Related Information (Marty Hornick, Forest Service)**

- Overview of Proposed Action
- Inventoried Roadless Areas
- Description of Trails and Roads
- How proposed action can serve as starting point for review

**8:30 - 8:45 Meeting Wrap-Up**

- Review of What Has Been Decided
- Next Steps

**Example of Compilation of Comments from a Collaborative Stakeholder meeting  
From the Inyo National Forest**

**Desires from Collaborative Process  
(as stated by participants at March 4, 2008 meeting)**

- Proper habitat management and access
- Legally sound and sustainable route system that can be further refined on into the future
- Honest discussion
- Local compromise needed
- Retain recreational trail/route network unless environmental damage
- Identify mitigation where necessary
- Discussion resulting in local decisions
- Common ground – “give and take”
- Collaboration – leading to future efforts
- Sustainable economy
- Local decision-making
- Maintain access to historical routes
- Quality and responsible product
- Social and economic impacts must be analyzed
- Solutions that address real impacts/damages
- Solutions that last into the future
- Seeking common ground
- Economic impact disclosure
- Mineral exploration opportunities/routes
- Quick resolution
- Give and take needed
- Wants historical access routes maintained
- Agreement on sustainable route structure
- Route system that reflects law and stewardship needs
- Explanation of reasons for closing routes
- Answer to why any routes need to be closed
- Desire to sit down and talk
- Keep decision local
- Route system that maintains attractive for tourism and generates positive local economic return