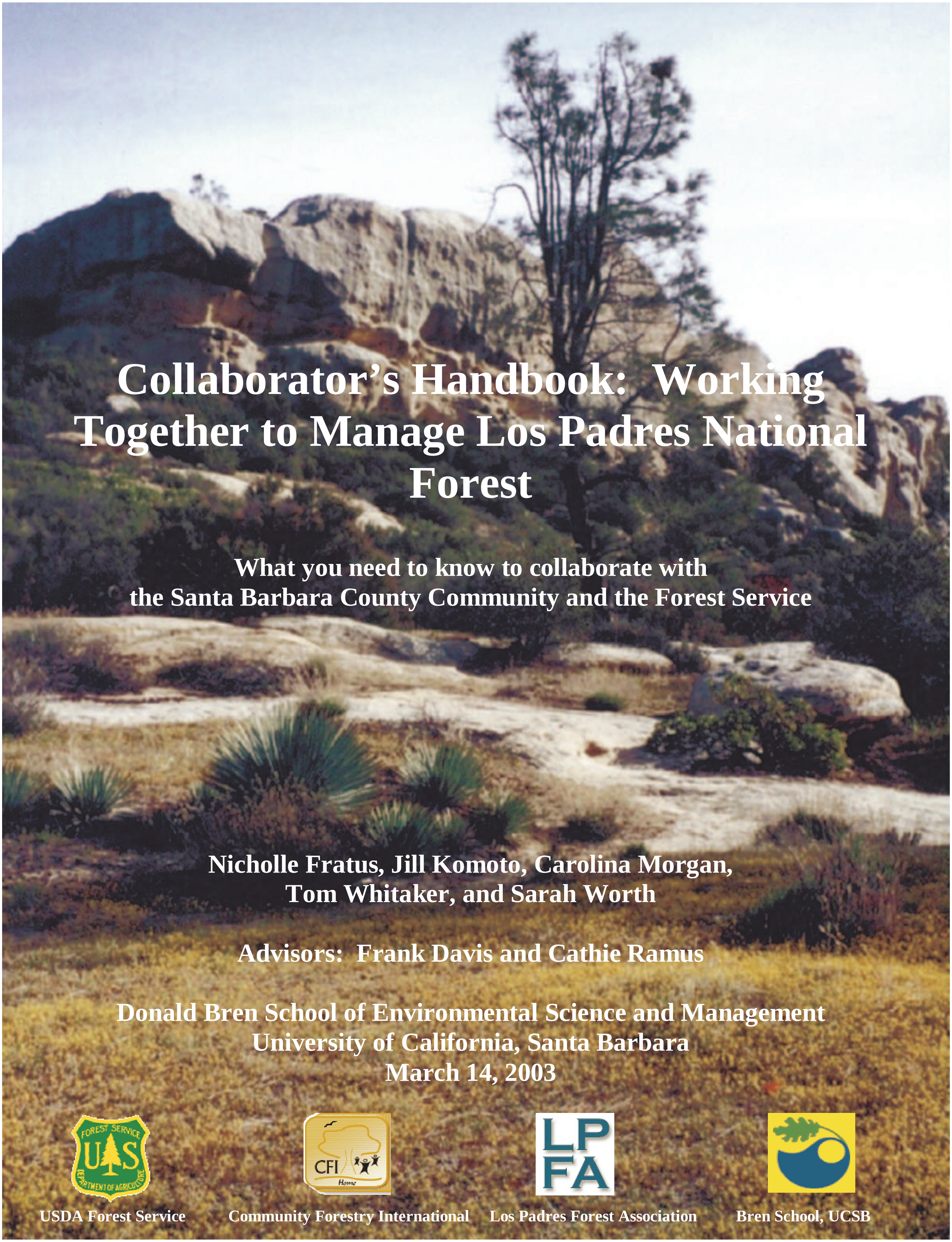

Collaborator's Handbook: Working Together to Manage Los Padres National Forest

What you need to know to collaborate with the Santa Barbara County Community and the Forest Service

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March 14, 2003

USDA Forest Service | Community Forestry International | Los Padres Forest Association | Bren School, UCSB

Santa Barbara County and Los Padres National Forest: Facilitating Community Collaboration in Recreation Management

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The Group Project is required of all students in the Master's of Environmental Science and Management (MESM) Program. It is a three-quarter activity in which small groups of students conduct focused, interdisciplinary research on the scientific, management, and policy dimensions of a specific environmental issue. This Final Group Project Handbook is authored by MESM students and has been reviewed and approved by:

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March 14, 2003

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And finally, each member of the Los Padres Forest Research Group thanks every other member for his or her time, research, writing, and words of encouragement along the way. Without all five of us sharing our unique strengths and perspectives, this handbook would not have been possible.

Foreword

One year ago, a group of five graduate students came together to discuss a master's thesis project concerning public involvement in the development of the forest management plan for Los Padres National Forest. The project began as the development of a set of recommendations to the Forest Service on how best to increase the level of public involvement in the planning process. Early on, after extensive research, we found that collaborative processes were increasingly used by all sectors of the public, as well as government agencies, as a method to develop plans or make decisions on tough issues. Working with the Forest Service and our clients in the community, the project has evolved from analyzing current forest management planning into developing this handbook to help both community and agency representatives work together to achieve common goals in forest recreation management. Hopefully, having picked up this handbook, collaboration is a process on which you are about to embark.

Clockwise from Smokey Bear: Tom Whitaker, Nicholle Fratus, Sarah Worth, Carolina Morgan, and Jill Komoto. Photo by: Rich Tobin

Executive Summary

In 2001, more than 1.5 million people visited Los Padres National Forest (Los Padres). The rapidly expanding population of Southern California will continue to bring more and more people to Los Padres National Forest seeking recreation, solitude, and the experiences that nature has to offer. The rise in forest use has not only led to an increase in recreational use conflicts, it has also put natural resources and ecosystem health under increased stress. The United States Department of Agriculture (USDA) Forest Service is in a difficult position to maintain a balance between recreation demands and forest ecosystem health.

Due to congressional budget cuts over the past two decades, forest managers have found it increasingly difficult to meet the rise in recreational use and heightened demands on forest resources. These cuts have led to a reduction in employees to perform traditional management tasks, such as trail and facility maintenance. The Forest Service sought to relieve budget constraints by implementing the Adventure Pass program - designed to provide additional funding by collecting user fees from forest visitors. Although this program has gone far to alleviate the problem in Los Padres, it has also served as a barrier between many community members and the Forest Service.

For the future management of Los Padres National Forest, the Forest Service must become dependent on the resources available in the community. Community members can provide the additional human, capital, and technical resources that are needed to help manage the increased recreational use and supplement declining congressional budgets. While volunteerism currently fills many of the deficiencies, the public's contribution does not fully meet the needs of Los Padres. To increase the community's interest and involvement in forest management issues, it is important that the Forest Service begin to include and empower the public in decision-making processes. A collaborative approach to forest management, with community members and forest managers working together to solve forest issues, will help build trust between the public and the Forest Service, generate a larger interest in forest stewardship by giving community members more say in forest decisions, and lead to better decisions by bringing increased knowledge, ideas, and viewpoints into the process.

Forest Service representatives for Los Padres National Forest understand the need for including the public into the management process. We have developed this handbook to provide both forest managers and community members with the necessary tools, process steps, and reference information necessary to allow issues to be successfully addressed in a collaborative manner. Not only have we compiled the basic steps suggested and used by a variety of researchers, we contacted actual collaborative groups to provide you with concrete examples to which you may relate. From this research and through interviews with key participants in collaborative processes, we found that many efforts share common features important to their success. We present our own findings from a stakeholder survey of community members of Santa Barbara County, along with guiding points and tools we think are critical for any potential collaborator to know before beginning a process.

The process of collaboration isn't easy, and you will face many pitfalls and frustrations along the way. However, you now have a vehicle to guide you through your process and take you down the road to a more community-managed forest.

How to use the Collaborator's Handbook

Have a problem, and not sure where to start? Or perhaps you just want to become involved in the decision making of your local government agency. This handbook is designed to help you learn about how the Santa Barbara County community can begin a process of working with the Forest Service to better manage your national forest lands. Although the scope of our handbook pertains to recreation situations within Los Padres National Forest and addresses Santa Barbara County stakeholders, many of the tools and information you will learn may be applicable, utilized, or tailored to unique situations by just about any potential collaborator interested in forest management issues anywhere. Collaboration is not just about getting people together around a table to talk. In order to be successful you have to take a step back and see exactly what is going on in your community and the agency and/or group with which you are working.

Each section in this handbook demonstrates a vital component of a successful collaborative effort. From gathering background information and context for your issue, to learning the basics about collaborative process theory, each section contains useful information that is specifically framed for building collaboration among the Santa Barbara County community and Forest Service personnel of Los Padres National Forest. The first three sections of the handbook represent information we feel is important for any collaborator, whether community member or Forest Service employee, to know before beginning a process. The remainder of the handbook contains appendices of further information that may not apply to every collaborative effort but provides very useful tools, process examples, and reference information to which you may refer.

Section 1: Why should I collaborate?

It is common for people to sit around a table to talk about problems – people have done it for years. But is this what collaborating is all about? In this section you will learn what collaboration really means and the general reasons for using it as a decision-making process. Some options for developing different types of groups or partnerships are briefly described as well. Think about what level of public participation you are interested in. Is it enough to simply inform the public of the issue in which you are involved? Or should citizens have full decision-making authority?

Section 2: Why is collaboration so important to Los Padres National Forest?

This section expands on some of the general concepts presented in Section 1 to express the important role that community collaboration can play specifically in the management of Los Padres National Forest. In our handbook, we describe the history of the Forest Service, as well as the situation that currently exists in Los Padres National Forest and the surrounding communities of Santa Barbara County. In order to properly understand how the Forest Service operates as an organization, we also look at constraints such as policies, budget, and organizational culture.

Section 3: How can a fair process be developed?

Here, we hope to educate and inform potential collaborators on how a process should evolve by explaining the different phases involved. As the Ala Wai Canal Project discovered, people need to know how to collaborate and have the ability to monitor or implement their recommendations (see Case 1 on pg. B-5). The Collaborative Process section guides you through the main steps involved in starting and continuing a successful collaborative process. Each phase includes key tips and/or barriers to avoid while working through your process. We look at how to define the stakeholders for the collaboration, the rules to ensure a fair an equitable process, and the importance of working towards common goals and building trust among participants.

Appendix A: Choose the tools that will help you build a collaborative success.
The Coalition for Unified Recreation in the Eastern Sierra (CURES) used a variety of tools and was very successful in their efforts (see Case 6 on pg. B-15). The Toolbox appendix gives you a chance to check out the aids available for you to use as you set up a group and undergo a process. See what methods are available for obtaining community input or discover ideas on how these tools can fit various situations. How can a problem be solved? The toolbox contains a variety of methods used by successful groups, and ideas on how they can be most effectively implemented. What tools are commonly used? We include references to case studies which utilize these tools.

Appendix B: Illuminating summaries of successful and failed efforts.
It is helpful to learn that others have faced the same issues you have. Why do some processes fail, yet others succeed? The case study section summarizes 22 natural resource management case studies, including a summary of Washington State organizations and their partnerships with the Forest Service, other government agencies, and local organizations. Another summary is of a case study itself on how to resolve conflicts and the methodology one could use to assist in finding a solution. In addition to a quick reference index of the case studies in this appendix, we also break them down by key variables. Are you working in an urban environment? Then look at Case numbers 1, 4, and 7. Looking for ideas, inspiration, or just want to learn more about what is going on in other areas? Then utilize the contact information and references that are provided at the end of each case to find out more.

Appendix C: Looking at the questionnaire results.
An important part of our own research involved exploring the public's willingness for involvement in forest management and identifying potential barriers that may prevent this involvement. To accomplish this, we distributed a forest recreation questionnaire to individuals in the Santa Barbara County community and forest users. Although some of the key findings of our multi-method questionnaire (MMQ) are presented to you throughout the handbook to show the importance of various aspects of a collaborative process, the complete results and analyses are available in Appendix C. You may browse through this appendix to find specific data that may be relevant to your own collaboration.

Appendix D: Laws and policy.
We have provided just some of the laws you need to know if you are planning to start a process concerning the management of national forest lands. These laws may present huge barriers to your process or could even dictate how your process must be conducted. The highlights of major laws under which the Forest Service operates are presented for a potential collaborator to refer to as he/she works through a process.

Appendix E: Who are the stakeholders in Santa Barbara County?
Who should be at the table to be included in discussions of the issue you are addressing? Are you interested in learning more about Santa Barbara County stakeholders? Appendix E provides

contact information of many organizations that may be concerned with the management of Los Padres.

References: Where can I learn more?

If you want to learn more about some of the ideas, tools, and methods we researched and developed for this handbook, the reference section, divided by topic, can help you get there.

Are you ready to collaborate? Turn the pages and find out how!

Checklist for Collaboration

Below is a quick checklist of steps for collaboration. It is divided into sections based on the phases of a collaborative process outlined in Section 3 of your Collaborator's Handbook. This checklist is designed to be as chronological as possible, but please keep in mind that some steps of a collaborative process may be done simultaneously. Remember that this checklist is only a reference of steps to help you through your collaboration. Please read the sections of the handbook (page numbers are given after each step) for a more complete description of each step. Once you answer YES to a question below, you can check it off and move on.

Catalyst Phase (pg. 14)

- ❑ Have you identified your reasons for collaborating?
- ❑ Do you have a core promoting group?
- ❑ Does the promoting group have a clearly unified vision for why they want to start a process?
- ❑ Have you decided on the type of collaborative process you want to have? How much will the general public be able to participate?

Table-Setting Phase (pg. 15)

Involve Stakeholders (pg. 15)

- ❑ Do you need to conduct a stakeholder assessment? If so, have you conducted one?
- ❑ Have you invited all the stakeholder groups that need to be in the collaboration?
- ❑ Are the right individuals or representatives of stakeholder groups at the table?

Choose a Coordinator (pg. 16)

- ❑ Do you need a coordinator? If so, do you have the type of coordinator that you need?

Define Your Issues (pg. 19)

- ❑ Has your group defined the issues they want to address?
- ❑ Do all members of the collaborative process agree on the issues?

Direction-Setting Phase (pg. 20)

- ❑ Have you set ground rules?
- ❑ Does everyone understand their roles, what is expected of them, what resources are available, and how decisions will be made?
- ❑ Does your group have a mission statement?
- ❑ Does your group have common goals and measurable objectives related to their mission or problem?
- ❑ Has your group conducted joint fact-finding/information sharing if it's needed?

❑ Is your group using a variety of tools to involve the public?

❑ Is your collaborative process fair and equitable?

❑ Are relationships and trust being built between collaborators?

<u>Explore Options</u> (pg. 25)

❑ Has your group explored and evaluated options based on your mission statement and goals?

<u>Reach an Agreement</u> (pg. 25)

❑ Has your group agreed on selection criteria for choosing among the possible options?

❑ Can your group come to a decision or final outcome?

Implementation Phase (pg. 26)

❑ Do the constituencies that the collaborators represent support the decision?

❑ Does your group have a plan of action for carrying out the decision?

❑ Are there measurable objectives and necessary tasks defined and explained in the plan?

❑ Are the roles that each member will play in the implementation process clearly defined and understood by everyone?

❑ Has your group identified funding for the plan or projects?

Monitoring and Evaluation Phase (pg. 27)

❑ Has your group established a monitoring and evaluation program?

❑ Can your group ensure compliance with the plan if they want to?

❑ Is your group using adaptive management to continually improve the plan?

Sustaining Collaboration (pg. 28)

❑ Has your group identified how it will sustain collaboration, if it so chooses?

Table of Contents

Section 1.   Collaborative Theory

D.1- What is Collaboration?

Collaboration is a process that involves people working together to maximize the potential for agreeable solutions for all parties. Collaborative groups promote citizen involvement in public processes, make public participation more efficient and personal, and try to reduce damaging conflict. These involvements may result in new and effective partnerships, revitalize citizen interest in governance, and increase community knowledge of the issues at stake. For many interest groups, such as agency participants and individual leaders, collaboration sometimes signifies a new method of input to assist with resource management and stakeholder coordination. Collaborative processes are effective in bringing together individuals or groups with different interests on an issue with the goal of accomplishing social, environmental, and economic improvements.

A collaborative group may be a few citizens working together in an informal setting to restore a creek with a limited budget, or a partnership of dozens of organizations with national or international representation and a six-digit budget. Types of collaboration vary throughout, and the terms to describe the type of collaboration could focus on the issue or the process. Some typical processes include those directed towards community-based issues or nationally scoped topics; processes set up as a perpetual advisory group, in which the members work through multiple issues and their process outcomes affect another party (e.g. an agency, community organization, or another informal group); or collaborations that are triggered to solve a specific problem in an intensive short time-period (like a collaborative task force – see pg. A-15).

D.2- Why Collaboration?

Through the process of involving a diverse group of stakeholders, collaboration can lead to better decisions that are more likely to be implemented due to the representation of a wide array of viewpoints. Individuals who choose to participate in a collaborative partnership agree that collaboration empowers stakeholders, helps develop new problem-solving strategies, and often initiates positive community development. But what are stakeholders? According to Dukes and Firehock (2001), stakeholders are individuals that have a vested interest in an issue, whether it is financial, legal, aesthetic, moral, or personal.

Collaboration is important because it is a non-adversarial process. Building an understanding of shared and/or individual concerns promotes communication (information sharing) as well as a potential win-win situation for all involved. Adversarial processes like litigation, on the other hand, usually creates a win-lose dynamic. Collaboration can improve the chances that a decision is implemented, since the people who are addressing an issue are also committed to a plan of action they determine as a group, and all share their resources to get things done.

D.3- Emergence of Collaboration

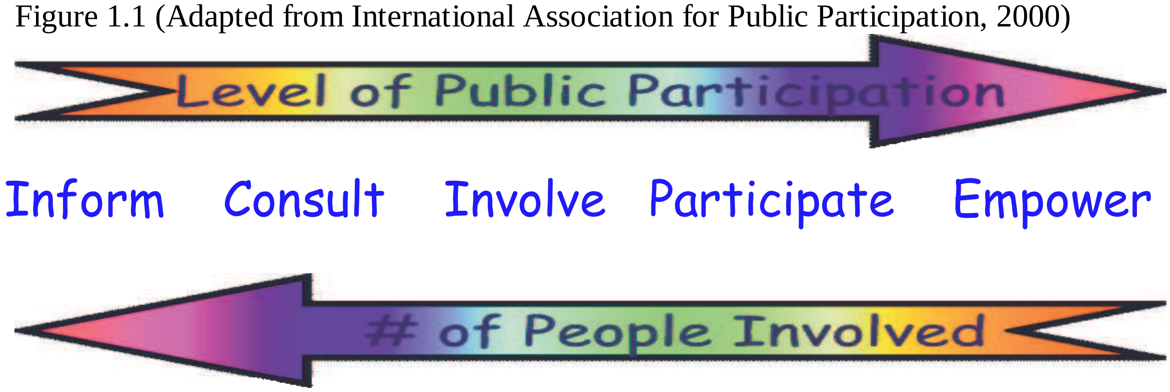
Various collaborative processes can be traced back to 1970, including community planning, environmental mediation, and dialogue development. It wasn't until the 1990's, however, that collaboration emerged as a significant force in natural resource management. A community's strong identification with a certain location or physical entity readily provides a foundation on which a process may be built. Many community-based collaborative groups developed in rural areas located adjacent to or near public lands, where one or two individuals sought increased influence over the management and preservation of public lands. Initial agreements sometimes led to further experimentation, which then led to new efforts and partnerships among key stakeholders to implement the decisions.

D.4- Public Participation in Collaborative Processes

Collaborative processes usually include some level of public participation. There are several different degrees of public participation, which vary from a one-way flow of information from the agency to the public to a process in which the public has complete decision-making authority (Buchy and Hoverman, 2000). The levels of public participation are outlined below.

- Informing: A one-way, top-down flow of information with no public avenue for feedback or negotiation.
- Consultation: A public review and comment role through participation in public hearings (see pg. A-12). The agency, however, retains all decision-making authority.
- Involvement: The agency works directly with the public to address and consider their concerns over public issues. The public is still not a part of the decision-making process, but they have a hand in the alternatives developed by the agency.
- Participatory Decision-Making: Citizens and agency members become partners on more equal footing. The public has more decision-making clout and can negotiate and engage in trade-offs with agency power holders.
- Citizen Empowerment: Citizens are given dominant control over decision-making by authorities.

Figure 1.1 (Adapted from International Association for Public Participation, 2000)



As you move from the "Inform" to "Consult" level of participation, simple information dissemination tools (through web sites, fact sheets, and open houses) and public consultation methods (public meetings and surveys) are available to a large number of individuals. As more decision-making authority is made available to the public, the number of individuals involved in the process tends to decrease. This is evident with citizen advisory committees and collaborative task forces, where small numbers of the public play a large role in the decision-making. (See Appendix A for a description of these tools).

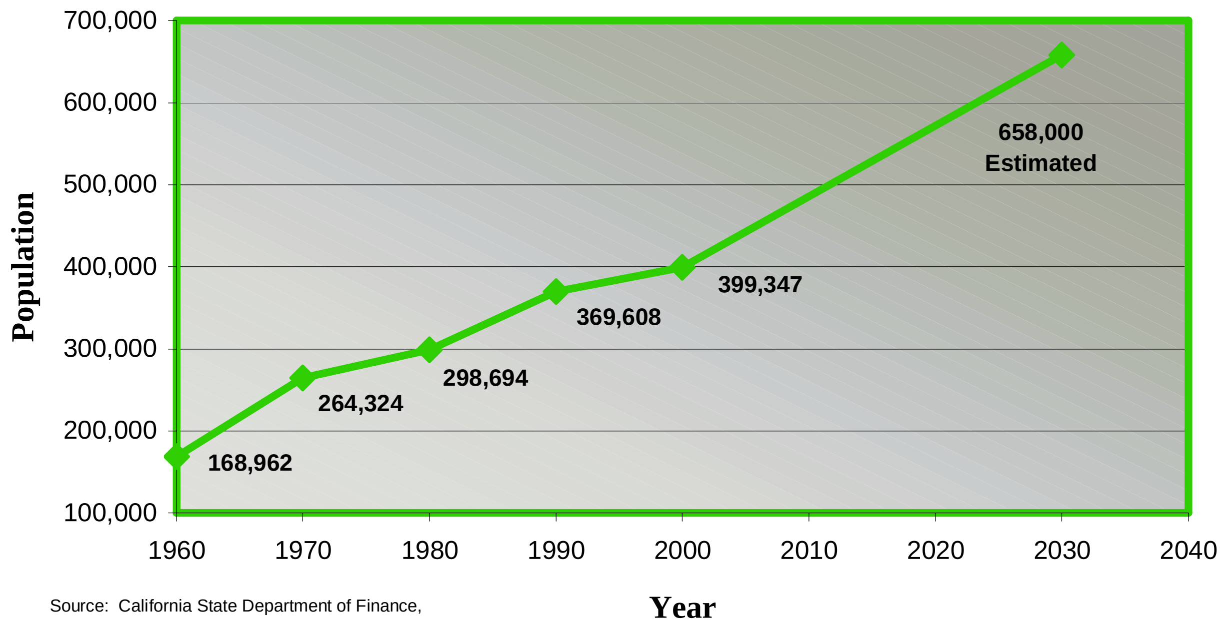
Due to work within the agency, federal mandates, and increased awareness by the community, the role of public participation in national forest management has transitioned from the first model of a top-down information flow with no opportunity for public feedback in the early days of the Forest Service to one of consultation or involvement observed today. Still, in the opinion of some stakeholders, the Forest Service's role in the process is one of public manipulation through illusory participation in the form of rubber-stamp advisory groups with the express purpose of engineering support for agency actions (Germain, Floyd, and Stehman, 2001). Furthermore, in Los Padres and other national forests throughout the country, there is increasing evidence and understanding that the Forest Service needs to further extend community collaboration and strengthen existing partnerships in order to continue the transition towards community-based decision-making in forest management. By working with us and other community organizations to develop this handbook, local Forest Service representatives have shown a willingness to incorporate an increased level of collaborative decision-making strategies into the management of Los Padres National Forest.

Section 2. Understanding the Context –A brief overview of community involvement in Los Padres

2.1 - Santa Barbara County Community

Santa Barbara County is famous for its breathtaking setting - mountains, valleys, beaches, islands, and ocean make it a very attractive place in which to live and visit. Due to the desire many people have to live there, Santa Barbara County has experienced a significant increase in population, which has put pressure on the County for development and growth throughout its 2,774 square miles. Between 1990 and 2000 alone, the population in Santa Barbara County increased approximately eight percent. The Santa Barbara County Planning and Development Department estimates that the county will grow by more than 250,000 residents by 2030 (Figure 2.1).

Figure 2.1 – Santa Barbara County Population Increase.



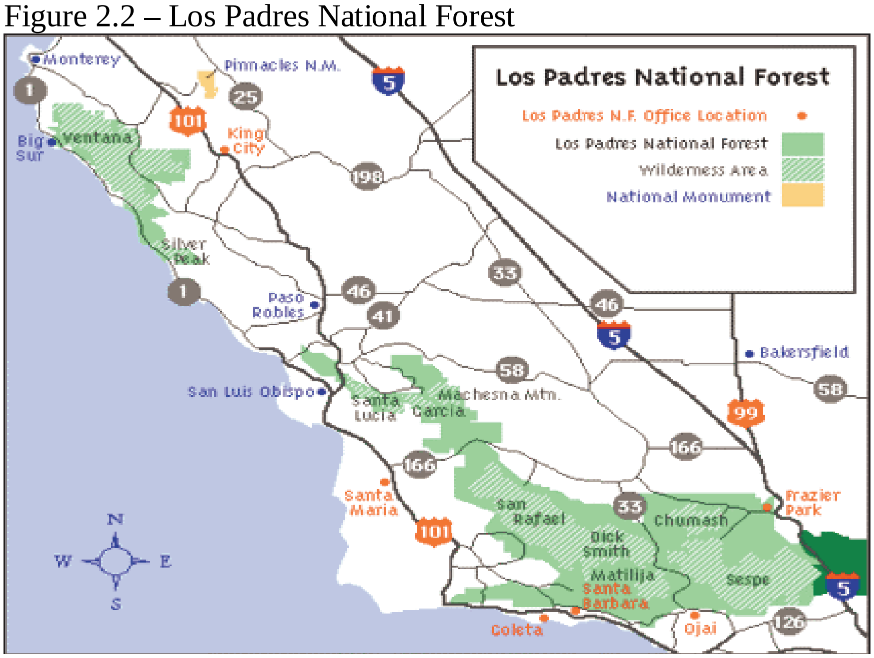
The population increase has placed tremendous pressure on various county resources, including open space and the natural environment, which have directly jeopardized the area's recreational assets. According to the California Department of Conservation, Santa Barbara County lost 5,234 acres of open land to urban development between 1992 and 2000. An additional 13,000 acres is expected to be lost by 2030 if current growth estimates become a reality (Santa Barbara County Planning and Development, 2000). This will make it increasingly difficult for Los Padres National Forest (Los Padres) to accommodate the recreational pressure put upon it by the rise in population and urban development around it. The Southern California population is approaching 25 million people, and, with private land under a large amount of development pressure, national forests - like Los Padres - provide some of the only open space remaining for this rapidly expanding population to go to escape the turmoil of the urban world. As more people seek the recreational opportunities that open space has to offer, Los Padres will continue to be a primary recreation outlet.

2.2 - Los Padres National Forest and the Forest Service

It is important for collaborators working with a government agency to understand its perspective, and the advantages and disadvantages the agency may bring to a process as a key stakeholder. In this handbook, we are focusing on processes involving Los Padres National Forest, as managed by the Forest Service under the United States Department of Agriculture (USDA). The Forest Service was established in 1905 to provide quality water and timber for the nation's benefit, and today they have the responsibility of managing 155 national forests that encompass 191 million acres of land throughout the United States. Los Padres National Forest is only one of eighteen national forests in California, but it encompasses nearly two million acres of coastal mountains in Southern California. Protection of parts of Los Padres began as early as 1898 with additional reserves added throughout the 20th century until it reached its current size.

Although Los Padres National Forest extends roughly 220 miles from Carmel Valley to the western edge of Los Angeles County (Figure 2.2), this handbook and much of the data collected for your reference focuses on the Santa Barbara County community and its relationship with the Forest.

Figure 2.2 – Los Padres National Forest



Due to the wide range of recreational activities available in Los Padres, and the encroaching urban population of the County, it has become an ideal place for users from this community to go for exercise, relaxation, and general enjoyment of nature. Visitors are

Emergence of Los Padres National Forest

1898 – First Forest Reserves in Los Padres created (Pine Mountain & Zaca Lake)

1899 – Santa Ynez Forest Reserve created

1906 – Monterey and San Luis Obispo Forest Reserves created

1908 – Pine Mountain, Zaca Lake, Santa Ynez, and San Luis Obispo Forest Reserves combined to create Santa Barbara National Forest

1919 – Monterey National Forest added to Santa Barbara National Forest

1938 – Santa Barbara National Forest renamed Los Padres National Forest

Source: Blakely and Barnette, 1985.

attracted to Los Padres by the diversity of terrain, vegetation, and recreational settings, which include ocean beaches, rivers and streams, riparian forest, sub-alpine forest, chaparral, oak woodlands and grasslands, and desert shrublands. A unique attribute of Los Padres is that it is largely unroaded with 823,000 acres – almost half the forest – federally designated as wilderness areas. Along with wilderness recreation associated with those areas, Los Padres also provides numerous other recreation opportunities ranging from off-highway vehicle use, hunting, fishing, and cross-country skiing to bicycling, hiking, picnicking, and wildlife scenic viewing.

Photo by: Ray Ford

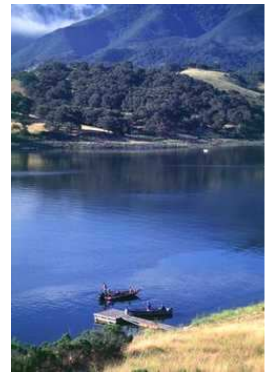
Obviously the geographical scope of Los Padres National Forest is much larger than simply the areas affected by residents of Santa Barbara County. This is important to remember when working on forest issues that may have an impact on Los Padres as a whole – decisions made through a local collaboration may set precedents not only for other Ranger Districts, but could also affect other forests or even have significance for the Forest Service nationally. Of course, narrowing the scope of an issue to focus on an aspect related to Los Padres National Forest also means some processes, issues, and outcomes may be unique and tailored specifically to this forest and the Santa Barbara County community.

Los Padres National Forest Ranger Districts	
Monterrey	326,683 acres
Mount Pinos	497,064 acres
Ojai	311,294 acres
Santa Barbara	290,071 acres
Santa Lucia	538,139 acres
Total	**1,963,251 acres**

Source: Los Padres Website (www.r5.fs.fed.us/lospadres)

The Forest Service's ability to meet the increased demands on Los Padres' recreational resources is increasingly strained. Budgetary and legal constraints may further hinder the agency's ability to keep up with the rise in recreational use expected in the future. Some issues and concerns are already surfacing, like general safety, trail maintenance and management, access, and user conflicts. In some areas, increased recreational use may be leading to a degradation of forest resources and ecosystem health. Many plant and animal species have become threatened due to the increased development in Southern California and the corresponding loss of suitable habitat. The national forests have become the only remaining habitats for some of these species, and forest managers face the difficulty of balancing the needs of each species with the recreational demands of the community.

The potential collaborator must understand that the Forest Service, like all federal agencies, must comply with many mandates, regulations, and policies that can be very complex. In the case of threatened and endangered species, the Forest Service must follow the guidelines outlined in the Endangered Species Act (ESA), which dictates how species gain protection under the act and outlines the regulations to ensure its preservation. In many cases, the Forest Service is left little room for compromise with this act, and collaborators should understand the strict requirements of this law (and other statutes) to ensure agency compliance with various regulations to continue the preservation of Los Padres. For this reason, detailed descriptions of a number of federal laws that could affect a collaborative process involving Los Padres National Forest have been included in Appendix D of this handbook.


Lake Cachuma. Photo by: Ray Ford

Los Padres National Forest also contains watersheds that supply water to adjacent communities like Santa Barbara, Santa Maria, and Goleta. In fact, because Los Padres does not have significant timber resources, the forest was originally established mainly for watershed and water supply protection. The increase in recreation places these crucial ecosystems and watersheds under mounting stress. With approximately one-third of the County land actually part of Los Padres National Forest, and millions of people within a few hour's drive of the forest, it can be expected that the demands on many forest resources will only continue to grow.

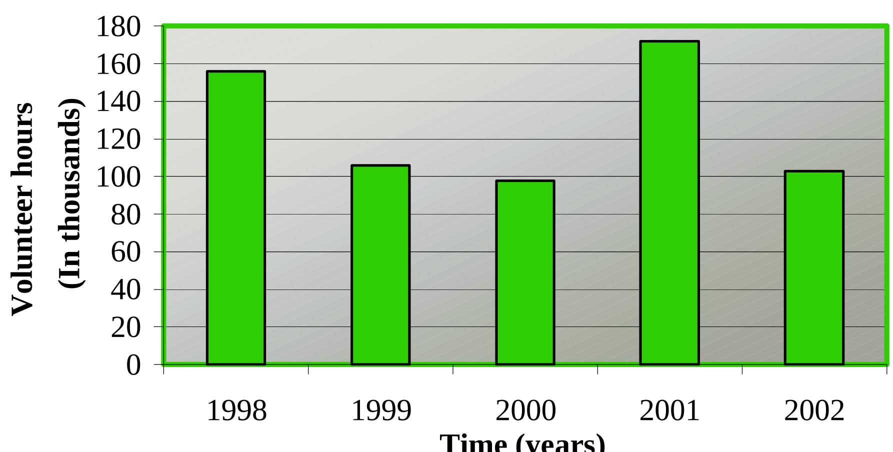
Unfortunately, the budget available to the Forest Service to tackle the increasing demands on forest resources has seen a steady decline over the past two decades. Determined by Congress, the federal budget allocation has great bearing on the funding available for forest projects, maintenance, and overall management, as well as the number of employees that may be hired within this set budget. Throughout 1979, Los Padres National Forest retained approximately 700 employees, almost two-thirds of which were seasonal employees. In 1999, the average number of personnel (combined permanent and temporary workers) was only 362. By 2001, the Los Padres workforce had dropped by another 69 individuals. This staggering loss of more than half its personnel in just over 20 years is a direct result of the continual decline in the Forest Service budget as allocated by Congress each year, even though the workloads in forest management remained the same or increased. Jeff Saley, Los Padres' Community Resources Coordinator and employee of more than 34 years, recalled the change he has seen just within the Recreation Program in Los Padres, stating "we used to hire large trail maintenance crews to work the forest trail systems – 15 person crews (early 1970s). Today, what can't be done with volunteers or through other partnerships usually is not done." The lack of permanent and seasonal employees places constraints on the Forest Service's ability to manage Los Padres efficiently and effectively, because instead of one person per job description, most current personnel wear many hats. Specialized positions, such as soil scientists, hydrologists, and landscape architects have been either reduced, or completely removed. The administrative staff is pared down, too – no paid clerical or office support positions exist within Los Padres today.

The agency's solution to the budgetary reductions is known in Los Padres as the Adventure Pass. Implemented in 1996 as part of the Recreation Fee Demonstration Program, the Adventure Pass program is designed to collect user fees to provide quality settings for recreation and public services, and to keep up with general maintenance. It has been a challenge for the Forest Service to demonstrate to the public how and where the Adventure Pass fees are invested, but improvements have been made in many trails and aging facilities. Still, the Adventure Pass has been a very controversial program and has presented a variety of challenges for the public as well as for forest managers. The barrier to public involvement that the Fee Demonstration Program still exhibits is evident from our multi-method questionnaire (MMQ) of community members presented in Appendix C. Although never specifically addressed in the MMQ, 12% of the general public wrote in comments indicating the Adventure Pass is a key inhibitor to their involvement in forest management issues. Clearly, collaborators must recognize the potential barrier that the Adventure Pass poses in successfully engaging the community in collaborative efforts. At the same time, collaborators must understand the constraints placed on the Forest Service by the Recreation Fee Demonstration program and the limited amount of flexibility they have over the management and implementation of the Adventure Pass.

Although partnerships and volunteers from the community help fill the budget and workforce holes that have been steadily increasing in Los Padres, Figure 2.3 shows that overall these numbers may not fully compensate the Forest Service's lack of available resources. Figure 2.3 only shows congressionally reported volunteer hours for the past five years, however the fluctuation in volunteer efforts year to year reflects the unreliability of depending on partnerships and volunteers to share work and help manage Los Padres. Variation in the amount of volunteerism could be due to many factors, however it also indicates that the relationship between the community and the Forest Service as it currently exists is not reliable. General apathy, public backlash to forest management, lack of awareness of volunteer activities, and other extenuating circumstances can trigger drops in volunteer hours and deter forest management progress.

These pictures exemplify the conflict over implementing the Adventure pass. Top: A Forest Service sign that visitors see as they come into Red Rock. Below: A sign opposing the Adventure Pass put up on private property just outside of Forest land. Photos by: Sarah Worth

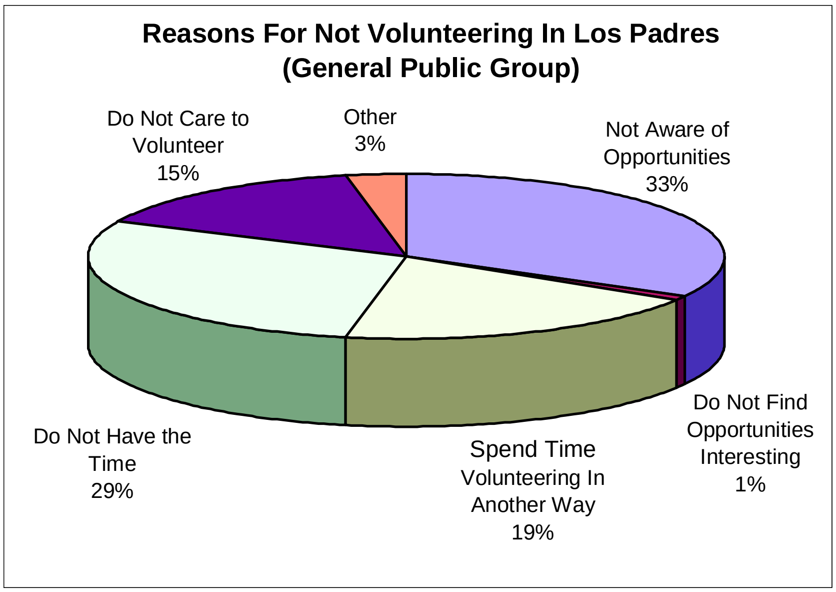
Figure 2.3 - Volunteerism in Los Padres National Forest.



Source: Forest Service Congressional Report

Our own MMQ study indicated that only six percent of the general public had ever done volunteer work in Los Padres National Forest. This is a small fraction of the 83% of those surveyed that indicated they use Los Padres for recreation of some sort. The top reasons survey participants indicated for their lack of volunteerism are given in Figure 2.4. Although 33% of those surveyed indicated they do not volunteer because they are unaware of opportunities, volunteer opportunities are readily accessible on the Los Padres website or via a simple phone call to the forest offices. It may simply be a matter of increasing the public's perception of their stake in forest management to reduce the general apathy concerning volunteerism in the forest. One way to increase the public's contribution to management activities is through an ongoing collaborative process in the form of an advisory committee or other method that can address recreational management deficiencies, include and empower the public, and seek innovative solutions to the Forest Service budgetary and human resource constraints.

Figure 2.4 – MMQ Volunteerism Results



2.3 - Community Involvement in Forest Management

The community of Santa Barbara County, for the most part, has responded positively to begin solving some of the management issues in Los Padres. This has resulted in an overall increase in awareness of the impacts recreation on forest resources. As a result, there is an ongoing effort to try to resolve some of the conflict stemming from forest use (see the Santa Barbara Front Country Trails Group, Case 19). Also, the idea of working together with the community is not a new one to the Forest Service. According to Jeff Saley, partnerships with the community have been a regular part of Los Padres since he began work there over 34 years ago. The Forest Service views partnerships as a relationship between two or more entities that can contribute something to one another in order to achieve a common goal, given joint interests or associations.

With approximately 150 existing partnerships with external organizations currently in place, Los Padres National Forest is in a position to utilize the resources of these organizations for the continued management of the forest. The range of partnerships and agreements already set up with Los Padres is from small, local, individual or group sponsored volunteer agreements (like community trail maintenance), to state level partnerships with other agencies (like the California


Photo by: Ray Ford

Department of Fish and Game), to national partnerships with groups like the Student Conservation Association. Some partnerships are simple written agreements in which the Forest Service actually authorizes their partner to do work or contribute resources – a more one-sided approach to accomplish a common goal that does not encompass the true spirit of collaboration. Other partnerships are more complex and unique, such as that between the Forest Service and the relatively recently developed non-profit Los Padres Forest Association (LPFA). Formed by community members interested in forest issues, LPFA hopes to serve as a liaison between the public and the Forest Service. The existence of this partnership is evidence that the Forest Service values the progression from one-sided "collaboration" to true teamwork in tackling recreational management issues (see the public participation spectrum in Section 1). A current example of a collaborative process that has stemmed from the partnership between the Forest Service and LPFA is the Santa Barbara Front Country Trail Working Group. Currently, a group of citizens from local organizations, the Forest Service, and city and county governments are attempting to resolve safety issues associated with user conflict on the front country trails adjoining edges of the city and the Santa Barbara Ranger District (see pg. B-41).

While these efforts are a big step in the right direction, there are still many improvements that can be made. Traditional methods of public input processes are still the dominant form of participation in the planning and management of Los Padres. These methods, including public meetings and open comment periods, are the result of legal mandates such as the National Environmental Policy Act of 1969 (NEPA) and the National Forest Management Act of 1976 (NFMA) (see Appendix D for more information on these laws). While these methods serve an important role of ensuring forest management transparency and accessibility of information to the public, studies have shown that utilizing just these methods leads to a public perception of unfairness in which individuals are only capable of reacting to the agency decision as opposed to playing a role in the decision-making process (Germain, Floyd, and Stehman, 2001). Relying on a consultative or informing approach to public participation (see Section 1.4) contributes to a loss of public trust and may lead to a situation of conflict in which the public is more likely to seek remedies through administrative appeal procedures if their objectives are not met. Our own research has shown some of this same mistrust of Forest Service management within the Santa Barbara County community. The MMQ analysis, outlined in more detail in Appendix C, indicates eleven percent of the public has no interaction with the Forest Service because they "feel the Forest Service will not consider (their) input important."


Chris King Trail Daze Project. Photo by: Ray Ford

Cote and Bouthillier (2001) have shown that public involvement in collaborative forest management can lead to the following management benefits:

- Better information sharing among involved parties.

- Incorporation of public values into forest management decisions.
- Improvements in the quality of decisions.
- Increased trust among institutions and the public.
- Reduction in user conflicts.

Possibly even more important for a forest as vast as Los Padres, and facing reductions in budgetary resources, is the potential of generating greater interest in stewardship for the future while providing additional human, capital, and technical resources to ongoing management activities in the decades ahead.

New growth after a fire. The most influx of funding, and temporary employment for Los Padres occurs during fire season. Photo by: Shelly Magier

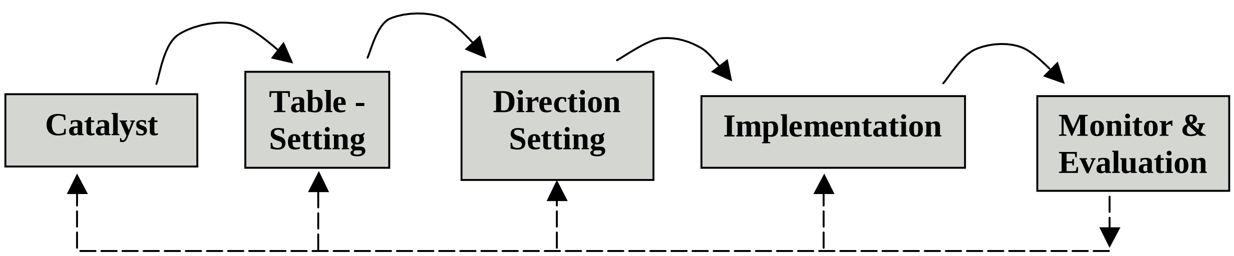
The role the Forest Service has played in the creation of this handbook shows their willingness to take the next step. They see the importance and benefits that collaboration will have for the future management of Los Padres. We hope we have provided you with enough background information to allow you to understand the current situation in Los Padres National Forest and the potential that a collaborative approach has for ensuring the community's goals and wishes become incorporated in your forest's management. The next step in the path to collaborative forest management is to outline guidelines and tools that forest managers and community representatives can follow to address recreational issues in Los Padres. Let's get started!

Section 3. The Collaborative Process

3.1 - Basic Ingredients for Success, Failure, and Obstacles Along the Way

By now, you may be thinking, how do collaborative processes succeed? What are some of the constraints I need to plan ahead for, and are there common pitfalls to avoid? While some of the keys to success may be specific to a unique situation, there are some basic guidelines one should follow. The information in this section was primarily compiled from a number of studies and sources. The main sources used were Bentrup (2001), Coughlin et al. (1999), Halbert (1999), and numerous works by Wondolleck and Yaffee. For further source information please see the References section at the end of the handbook. All collaborative processes have a general set of phases that they go through. The flow chart in Figure 3.1 helps visualize the progress through a collaborative effort.

Figure 3.1 – Phases of Collaborative Process (adapted from Bentrup, 2001).



Throughout each of these phases, there are some general suggestions that can make or break your process. No matter the type of characteristics or atmosphere of your collaborative process these keys to success are overarching:

General Keys:

- Build trust among the collaborators.
- Make sure everyone has a chance to speak.
- Get commitment from agency leaders. If the process does not have the support of the agency leaders, the representatives of the agency will not feel compelled to follow through with the outcomes. A pre-existing relationship with the agency also helps build trust.
- Provide snacks and meals at the meetings. A hungry collaborator is not a happy collaborator!
- Try to enlist regular funding from different sources.
- Having early, small successes is helpful. More importantly, don't give up when there are early failures.
- Try to maintain open dialogs among members and keep the outside public updated on progress made.
- Remember: a collaborative process takes time!

Here are some general barriers that many collaborative groups must overcome in order to be successful. Notice that most of these are the opposite of the keys to success!

General Barriers to Overcome:

- Public opposition to the decisions made by the collaborators.
- Lack of communication and trust. Sometimes mistrust is present before the process even starts, due to the history of government involvement in the area. The agency must build up trust.
- Outside initiatives or projects by members in the group that undermine the collaboration (and also tend to create mistrust).
- Overlapping jurisdictions of government agencies involved may cause confusion or add constraints.
- Lack of support by agency leaders will hinder progress.
- Lack of funding or other resources may limit what you can accomplish.
- Time and place of meeting. Many stakeholders cannot attend meetings if held outside of their area and/or at times when they are not available.
- Discussion balance - avoid technical jargon, or if it's used make sure everyone understands it.

Many times when several government agencies are involved, each agency has its own goal and mission that must be met. Some may even have different interpretations of the same laws that govern them. These differing goals and missions among agency participants may affect the direction of your collaboration, but don't get discouraged – get the agency participants involved upfront and find out the constraints that they may bring to the table in order to better frame the objective you want to meet as a collaborative group.

Now that some general guidelines for success have been explained, let's go through each phase in more detail. Keep in mind that although every process transitions through each phase, the timing and individual aspects of each phase may vary depending on your unique process, and some phases may blend more easily together. Also note each phase contains specific keys and barriers to consider.

Front Country Trails Working Group collaborating around the table. Photo by: Carolina Morgan

3.2 - Catalyst Phase

Collaborative processes may be triggered for many different reasons. The instigation of a process is known as the *catalyst phase.* Catalysts serve to get the ball rolling. Here are some examples of actions that may trigger the start of a collaborative process:

- An agency mandate.
- A common vision within the community.
- An offshoot from or continuation through an existing process.
- A crisis or "hot topic" conflict.

As you can see, catalysts may come from different sources – the agency, a stakeholder, a group of citizens, from within an ongoing process, or any combination of these. You may also notice a small core group (3-5 people) begin to take shape during the catalyst phase that will start brainstorming about the next phase. The promoting group should begin by forming a clearly unified vision for why they want to start a collaboration so that they can better determine what other stakeholders should be included, what they will be willing to give to a process (resources, time, etc.), and what boundaries toward collaboration they may face. Once a process is sparked, the next step is to make sure the right people or groups are included to begin collaborating and keep the momentum going.

3.3 - Table-Setting Phase

Three main components make up the *table-setting phase* – a stakeholder assessment, formulating a common definition of the issue, and identifying a process coordinator. This phase is crucial in that it sets up the structure for the entire process. Each component of the table-setting phase frames the atmosphere and character in which your discussions will take place and helps you determine the scope of your issue and main goals your collaboration will hope to accomplish.

Stakeholder Assessments

Stakeholder assessments ensure a representative group of stakeholders are present to work through the issues. Members who are involved in the catalyst phase may know who needs to be at the table, but if you are unsure it may be wise to complete a stakeholder assessment. Through a review of stakeholders, one not only identifies who should be present, but one also analyzes the benefits each stakeholder will receive by being included, how important the issue is to each stakeholder, and the interdependence among a key group of players may be recognized. Here are some keys to success and barriers to overcome when performing a stakeholder assessment:

Defining Stakeholders and Engaging Them in the Process:

- Having the right people at the table is important- one wants to identify those that are committed, ready to go beyond the process and take initiative. The right people are those who can make decisions on behalf of their constituents.
- Before starting the process, analyze your community and the parties that might have an interest in the outcome/issue on the table.
- You may need to work with the stakeholders to develop collaborative skills.
- Keep looking around the table to see who is not there. Communicate the results of meetings to those not at the table.

By gaining the full support of the Inyo National Forest Supervisor, who managed to free up some money for administration of the process, the Coalition for Unified Recreation in the Eastern Sierra (CURES) had active participation of Forest Service personnel in process activities. (pg. B-15)

Barriers to Overcome Related to Stakeholder Involvement:

- Power imbalances may exist among stakeholders. Everyone at the table does not have an equal say. Some members may have more weight in the final decision.

- Lack of participation by key stakeholders. Some stakeholder groups may not want to get involved because they see the collaborative process as compromising their efforts and a way for those lobbying for the process to get their way. Or, an agency may not have the resources available to participate in a process.
- Representatives of agencies who have no authority to make a decision, or "vote" on behalf of their constituents.

In the Chesapeake Bay Program, one state agency sent low-level personnel, who had no authority to make decisions, to the table. They even sent different people to each meeting! (pg. B-13)

Don't get discouraged if every key stakeholder is not able to come to the table. Although it is ideal to form a representative group, it may simply not be possible for certain stakeholders to join because of various constraints, and some may not believe in collaborative processes. However, it is still beneficial to your effort to update those not present on your progress throughout the process. Some groups continually inform those not at the table by giving them a call with meeting updates, or by sending them meeting summaries. The Owl Mountain Partnership (pg. B-33) took organizations that were not at the table on tours of their projects so that these groups could see what they were accomplishing.

Stakeholder assessments are important for understanding the social environment in which the collaboration will be operating. Awareness of who the leaders are within an agency, organization, or community group can be derived from several methods. For example, our research group collected *organization profiles* from key organizations within the Santa Barbara County community as well as questionnaires from the general public, forest users, and individuals already involved with the Forest Service. Interviewing, consulting, and using questionnaires and surveys are all possible tools you can use to assess potential stakeholders in order to really know who should be at the collaboration table. You can read more about some of these tools from the toolbox in Appendix A. Below is a list of some basic information you may want to collect through your assessment:

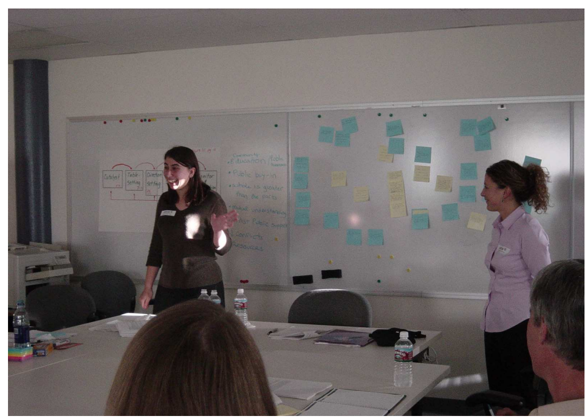
- Willingness and capability of a stakeholder to participate.
- Interests, expectations, motivations, and advantages or disadvantages of a stakeholder to participate in collaboration.
- Positions of stakeholders. Find out what each participant is bringing to the table.
- Are there conflicts/potential alliances between stakeholders sitting at the table?
- How does each stakeholder feel about the concept of collaborative processes? How do they feel towards each other?
- Identify what the group knows about the issue at hand, and what the knowledge and perspective each participant is bringing to the table. An important part of this analysis is to discover which representative(s) from each stakeholder group would ideally be involved in the process.

Choosing a Coordinator

Once the core group of stakeholders is determined, the next action in the table-setting phase can begin, even while the core group is still assessing other key stakeholders. The group should decide early in the process what type of *coordinator* should guide the meetings among collaborators. Coordinators can also assist the core group in identifying other key stakeholders who should be enlisted. There are three main character-types from which to fill the coordinator "seat" at the table – a facilitator, mediator, or negotiator. Certain collaborative circumstances may benefit from one type of coordinator as opposed to another type. *Facilitators* are the most general and widely applicable meeting coordinators. They aid in:

- Keeping the discussion focused on the subject at hand.
- Maintaining a productive, safe environment for everyone to ensure open communication and avoidance of personal attacks.
- Adherence to the agenda and note any deviations or time extensions.
- Clarifying all assignments, deadlines, and uniform expectations as well as group discussions to ensure all is understood by everyone.

Mediators and negotiators are more similar in nature and are both more specialized than a facilitator. These individuals perform the role of a facilitator but they also have a stronger presence throughout a process. *Negotiators* are involved in the collaborative process by arranging and bringing about discussion while focusing on compromise or the settlement of an issue. A *mediator* is a go-between agent between all stakeholders bringing up issues, effecting outcomes, and generally communicating. Mediators can help reconciliation occur among collaborators and are "middle-men" in the true sense of the word, remaining less involved in the actual process and interactions occurring. We have listed some key attributes and potential barriers related to selecting a good coordinator, regardless of which type is right for your process.



Nicholle Fratus and Carolina Morgan co-facilitating a workshop with the Forest Service, LPFA, and CFI. The group used a modified version of the Process Planning tool (see Appendix A). Photo by: Sarah Worth

Meeting Coordinator Attributes:

- Adaptable, flexible leadership.
- Establish ground rules at the beginning so that everyone knows what to expect, and what is expected of them.
- Use a neutral, qualified coordinator. Some cases had a neutral coordinator at the beginning that started pushing his/her own agenda, resulting in a failed process. (See the Chesapeake Bay on page B-13, or the Klamath Bioregion Project on page B-25, for more information.)
- The process should have a sense of fairness and equity.

Coordination Barriers to Overcome:

- Coordinators who are not neutral or do not show strong leadership.

- Unclear process rules, or a coordinator who does not adhere to the process rules.
- Lack of resources to ensure a third party coordinator.

Strong coordinators can uncover hidden or unpopular issues that may distort the main issue your process is addressing. Processes that fall toward the left of the Continuum of Caution, Consultation, and Process Protection, adapted from Dukes and Firehock (2001), are more likely to need strong facilitation than those on the right (see Figure 3.2). Because users of this handbook are likely thinking of starting a process about a forest issue and will include a Forest Service participant as a collaborator, it is crucial to enlist a strong coordinator:

- Most forest issues will affect a large constituency since they address public lands and resources.
- The collaboration outcome is also likely to have long-term implications, possibly even setting precedents through policy or regulatory measures.
- Any process including a national government agency may automatically produce a power imbalance at the "collaborative table," and could mean the group will work through more bargaining and compromising before a feasible outcome may be reached. (See the Public Participation Spectrum in Section 1.4 to understand levels of decision-making authority.)

All these characteristics combined are indicative of a group that should use greater caution, consultation, and process discipline based on Figure 3.2, which means a more experienced coordinator is important for an effective process.

Figure 3.2 - Continuum Chart below allows a collaborator to assess the characteristics of a process in order to determine the need for a strong coordinator. Processes that have more characteristics on the left side of the chart need experienced coordinators. (Adapted from Dukes and Firehock, 2001)

A Continuum of Caution, Consultation, and Process Protection

Characteristics of Collaborative Processes

Greater Caution, Consultation, and Process Discipline		**More Freedom and Flexibility**
Large Scope Larger Constituency Public Lands and Resources Long-term Impact Policy/Regulatory Precedent for Other Settings Greater Authority Mandated Power Disparities Fundamental Values at Stake Extensive Conflict Bargaining and Agreement Seeking	↔	Limited Scope Limited Constituency Represented Private Lands and Resources Briefer impact Direct Action/Implementation Unique to a particular Setting Less Authority Voluntary Formation Power Balanced Lesser Significance Minor Conflict Dialogue and Information Exchange

The collaborators may need to find funding sources to pay the coordinator in order to enlist an experienced and neutral person. Be careful that you select a neutral, third party who is credible to the participants in the process. A volunteer could be a great solution if there is no funding available, as long as this person does not have outside interests that could affect his/her ability to remain neutral during intense discussion. Remember that a skilled coordinator will enhance your collaboration, especially if many participants are new to the spirit of collaborative processes, and it may be wise to make the investment upfront. Even if only the core stakeholder group is formed, bringing in a neutral coordinator early in the table-setting phase immediately signals to everyone that your collaboration is a group effort, and those around the table are valued equally. Selecting a coordinator together also begins building trust and respect between participants who need the assurance of an open, level forum.

Define Your Issue

Once a group is formed and a coordinator is involved, the next part of the table-setting phase is to define the issue that will be addressed as a group. An *issue definition* can also be a mission or vision statement, or it can be incorporated into these. (See the CURES case study on page B-15 for a unique way to create a vision statement through a “futuring exercise”.) Although this may seem an easy task, many collaborators find that their *position* towards an issue may be quite different from other stakeholders present. However, many stakeholders may actually have the same *interest*. When defining the purpose of the collaboration at hand it is important to focus on interests. Adept coordinators can help guide your group to discern the difference between positions and interests raised. For example, a stakeholder may hold the position, “I want to keep mountain bikes off the trail,” however, the stakeholder’s root interest is, “I am concerned about safety on the trail and want to be able to walk there without fear of injury from mountain bikes.” Safety is the underlying issue, and there may be several different, even opposing, positions that address the reason why everyone sitting at the table is involved. This list of keys and barriers to success are rules of thumb for defining an issue:

Defining the Key Issues:

- Local participation and community support for the definition of the issue.
- All members of collaborative process should agree upon issue.
- Set common goal, vision, and mission statements at the beginning of the process. This helps everyone to focus on common elements, rather than on differences.
- Focus on interests rather than positions.
    - Work on communication that identifies and shatters misconceptions about each other.
    - Share expertise and obtain new information through mutual learning. For example, when more scientific information is needed, try using a technical advisory panel to inform the decision making of the collaborators.

Barriers to Overcome in Defining the Issue:

- Tackling too big an issue can be problematic.
- Taking on an issue that covers too big a geographical area. When the area is too big, travel time also becomes an obstacle to the process.
- Too narrow a focus may alienate stakeholders who are concerned with the general health of an area.

The process used to define an issue is one where the coordinator works with the group to discover the unifying reason all members are participating in the process. This involves sharing goals and common problems. Not only does an issue definition help scope your process and objective, it is a great way to expose the interdependence among participants and stimulate the true essence of collaboration!

3.4 - Direction-Setting Phase

Now that you have a group of stakeholders, have identified a coordinator, and have defined the issue to be resolved you are ready to begin the substance of the collaborative process. Lots of individuals excited about starting a collaborative process want to jump in at this phase, but it is really important to go through the table-setting phase to begin building common-ground relationships with your peers at the table. It is also important to remember that collaborative processes come in a variety of forms. Some groups are very organized and official while others are more informal. Read an example of a formal organization in the Greater Flagstaff Partnership (pg. B-21), who formed a 501(c) non-profit corporation. If you are curious what an informal collaboration is, check out the Quincy Library Group (pg. B-37) or the Coalition for Unified Recreation in the Eastern Sierra (CURES) (pg. B-15). Both these cases have open meeting formats with no board of directors or type of hierarchical structure. In either a formal or informal setting, the collaboration is usually a representative process where stakeholders at the table advocate the views of their group or organization. Successful collaboration is impossible if every individual in the community is present at the table. So, it is important to find ways to take the larger public's views into consideration. You may want to have your meetings open to public observation, or you may want to use some of the techniques for gathering public input given in the toolbox in Appendix A.3 as a way to gauge the public's position about an issue. As you go through the process remember to keep looking back to evaluate what is working and what is not. Then use this information to improve your process.

Our own research has shown just how important it may be to collect the public's input into your collaborative process. The multi-method questionnaire (MMQ) study, as outlined in Appendix C, shows that dissatisfaction with management decisions and recreational use may act as one of the key catalysts for public involvement in forest management. This is evident by the lower level of user satisfaction values observed for members of the highly involved Forest Service Mailing List group (25% of the members indicated they were "very unsatisfied" or "unsatisfied" with their recreational use) compared to levels found in the General Public (12% "very unsatisfied" or "unsatisfied") aspect of the study. Additionally, 36% of the General Public target group indicated that they are "satisfied with forest management" and have "no need to contact the Forest Service." Without a reason to get involved in forest management issues, these individuals, who represent a large proportion of the general community, will not be the ones that come to the table for a collaborative process. Instead, the collaborator will typically represent an unsatisfied minority who perceives that a problem or issue of concern does exist. Informing the general public of the magnitude of the problem and collecting their input on the issue is one of the key aspects involved in a collaborative process.

During the *direction-setting phase* participants build a common sense of purpose, explore their options, and reach agreement. At this point you may be thinking that it will be next to impossible for participants to even decide on the problem let alone work together to solve it. It is true that starting a new process of interaction between diverse and often conflicting groups can be quite challenging. However, it can be done, and there are actions that can help a successful process happen. These include creating a fair and equitable process, designing an effective process, and building relationships and trust between participants.

A Fair and Equitable Process

For a collaboration to be successful it is important that participants feel that the process is fair and equitable. Several barriers to equity can exist:

Barriers to equity:

- Diverse interests have differing abilities to influence the process.
- One individual or interest tends to dominate the meetings.
- For some members, participating means lost time or wages, while for others it is part of their job.
- People at the table have different knowledge, experience, skills, and abilities.

Many members of the Chesapeake Bay Program felt the facilitators dominated the meetings and made all the decisions. (pg. B-13)

There are a number of things that can be done to overcome these obstacles. They include:

- Assuring that there is a balance of diverse interests at the table (i.e. there are not ten animal right's activists and only one hunter).
- Assuring that commonly under-represented parties, such as minorities are present.
- Ensuring that everyone at the table has an equal say. Ask the views of those who are less vocal. Chances are they are thinking something that is important for all members to think about.

In the Ala Wai Watershed project in Hawaii, the implementation of a 275-member steering committee help to democratize the issue and prevented any single group from dominating the planning process. (pg. B-5)

Under-representation of key community groups may be an important barrier to overcome in collaborative efforts in Santa Barbara County. The Forest Service Mailing List group of the MMQ study (Appendix C), which represents the individuals most likely to be involved in collaborative efforts, consisted of less than four percent of individuals indicating either Hispanic or Latino ethnicity. However, these ethnic groups make up approximately 34% of the County (U.S. Census Bureau, 2000) and nearly seventeen percent of all forest users (Kocis et al., 2002). Certainly, barriers exist that have prevented the further involvement of these ethnic groups in forest management. Bringing diverse stakeholders to the table is one of the keys to initiating a successful collaborative process, and collaborators must sometimes go to great efforts to find ways of bringing the views of those not at the table into the process.

All participants should feel that they are listened to and taken as seriously as everybody else. In addition, it is important to make sure that the meeting times and locations are accessible for everyone. Your group should continually strive to have an equal process and look for additional ways to make this happen.

An Effective Process

Well-managed meetings set the stage for successful collaborations. If you have a professional coordinator, one of his/her roles will be to manage the meetings so that they are as productive as possible. If you do not have a professional coordinator you may want to pick up some information at a local bookstore about managing meetings that covers logistics, timing, and agenda formation in more detail. In general, meetings should start on time, have an agenda, and the setting of the meeting room should be inviting. Some collaborative processes have found that regular meeting times were important to the functioning of the group. For example, the Owl Mountain Partnership (pg. B-33) found that having meetings scheduled regularly every month created a momentum that facilitated the process. For many groups, providing food and refreshments was a way to encourage attendance and improve participation. Working on a full stomach makes long meetings more bearable!

At the beginning of the direction-setting phase it is important to make sure that everyone understands:

- Their roles.
- What is expected of them.
- The required time commitment for the process.
- How decisions will be made (consensus, quorum, or majority). *Consensus* is everyone agreeing, *quorum* is a set number of people agreeing, and reaching a *majority* occurs when more than half of the members agree.
- The constraints they have to work within (laws, resources).
- The group's decision-making authority. (Does the group have authority to make decisions that will be implemented, or is it recommending options to be considered by people not at the table?)

You may want to set up a timeline with deadlines for the process with intermediary milestones. Sometimes, without deadlines, collaborative processes can either fall apart or continue indefinitely without any substantive accomplishments.

Another important step at the start of collaboration is developing *ground rules*. Setting ground rules may seem basic and even unnecessary but it is a crucial step in working together and ensuring a level playing field. Ground rules provide guidelines for how group members should behave at meetings to promote collaborative interactions. All group members should work together to come up with the ground rules. This may be as simple as everyone agreeing on guidelines suggested by the facilitator, or group members may come up with their own ideas. One way of helping a group come up with its ground rules is to get a blank piece of flip chart paper and write down suggestions from members so that everyone can easily see each other's ideas. Discuss how you would like to work together, what is "OK" at the meetings, what the roles of participants are, and what factors contributed to success or problems at meetings you have attended before. We've listed some suggestions for ground rules that you may want to use.

Suggested Ground Rules:

- Focus on interests, not positions.
- Take turns talking.
- Listen carefully to others.
- Respect different viewpoints.
- Respect different cultures.
- Respect all ideas.
- Use 'I' messages when talking.
- Encourage all collaborators to participate fully each meeting.
- Each speaker has ___ minutes per turn.
- Expletive language will not be tolerated.
- All members share responsibility for helping each person follow the ground rules.

When ground rules are in place, members can be reminded about them if they diverge. For example in the Santa Barbara County Front Trails Working Group, the members agreed to work together to find a solution to the conflict on the trails. One member insisted on advocating the removal of bikes from the trails outside the process. The member voluntarily left the group since the outside actions were not in the spirit of the ground rules set. (pg. B-41)

Every member should agree on the ground rules to keep the process running smoothly and keep people on track. Yet even when all group members agree on ground rules, they will get broken. To use the position versus interest example from the table-setting phase explained previously in Section 3.3, suppose a group member says, "I want to keep mountain bikes off the trail." The facilitator would respond, "In keeping with the ground rules, let's reframe your position statement into an interest. Would you say that you are concerned about safety on the trail? Or is your interest more related to trail degradation?" The ground rules should be posted at every meeting for everyone to see. However, the ground rules are not set in stone, and the group can modify them or add new ones based on the needs of their process.

<u>Quick Tip</u>
If frustrated, take the time to write a letter to the person you disagree with and give it to them. They can respond at the next meeting.

You may find that the process of developing ground rules has a positive impact on the group. Agreeing on ground rules is a small success that demonstrates progress is possible and may instill hope in participants. Perhaps most importantly, you may find trust beginning to develop among those involved in the process.

Building Relationships and Trust

Steps that build relationships and trust are necessary ingredients in successful collaborations. In some cases, participants have worked together in the past and have already begun the process of establishing relationships. In other cases, participants are skeptical and distrustful because of past interactions and stereotypes. In either situation the collaboration can benefit from activities that promote positive relationship building, such as small successes and joint fact-finding/information sharing. For example, in the eastern Sierra Nevada, an interagency visitor center has existed for about 25 years that is basically a one-stop shopping center for information about the different agencies. This was partially in response to budget cuts. One can get information about the National Park Service, Bureau of Land Management, the Forest Service, the County, and more. They have also developed this center with the chambers of commerce so that it also includes information on lodging and restaurants (See the CURES case study on page B-15).

Small Successes. Small successes early in the collaboration build trust among participants and increase the confidence they have in each other and the process. These early successes provide motivation and encouragement for tackling more complex issues later on in the process. As mentioned previously, agreeing on ground rules is a good start. Once ground rules are established, your group may want to decide on a name. Getting everyone to agree on a name for the collaborative group is another small success and helps build a group identity. The name your group agrees on may or may not have anything to do with the purpose of the collaboration. The Coalition for Unified Recreation in the Eastern Sierra (CURES) chose a name that reflected their mission (pg. B-15). However, the Quincy Library Group, donned the name of the library at which their meetings were held. (See page B-37.) They felt that if their name made reference to their issues, such as the environment and economy, its interpretation could place a burden on the entire effort. Some groups, like the Paiute ATV Trail Committee (pg. B-18) and, as previously mentioned, the Greater Flagstaff Partnership (pg. B-21), even decide to form a non-profit organization.

> Quick Tip
> Do not avoid disagreements, as evasion can result in lingering doubt, reduced trust, or mounting anger that eventually explodes.

Another opportunity for a small success is one of the more important steps - establishing the goals of the process. It can be difficult for groups that have a history of disagreement to understand that they share common goals. As mentioned earlier, encourage participants to focus on and share their interests, not positions, to reveal areas they have in common. Additionally, having the whole group develop a mission statement can help them agree on the underlying objectives of the collaborative effort and lead them to imagine solutions to their shared problems. When developing a mission statement it is helpful to start with the question "How can we ______ while also ______?" For example, the Owl Mountain Partnership asked, "How can we serve the economic, cultural, and social needs of the community while developing adaptive long-term landscape management programs, policies, and practices that ensure ecosystem sustainability?" (Wondolleck and Yaffee, 2000). The question can easily be turned into a mission or vision statement. (See the Owl Mountain Partnership statement result on page B-33). Your group should develop measurable objectives and common goals related to their mission or problem. Jointly developing common goals is an accomplishment that builds trust between participants and faith that the group can work together.

> The mission statement for the Ala Wai Watershed project was important. It developed into a catch phrase, which the coordinator used to bring the collaborators back to the task at hand by asking how their suggestions addressed the mission statement. (pg. B-5)

Joint Fact-Finding/Information Sharing. An important part of the direction-setting phase is joint fact-finding or information sharing. It is unlikely that participants will feel they have all the information they need to begin tackling an issue. Agreeing that they individually do not have the answers and committing to a mutual learning process is a key step in successful collaborations. Collaborative processes that allow participants the opportunity to learn together, share information and conduct joint fact-finding often develop mutual understandings of the issues.

> Jet-ski Use Case and Joint Fact-Finding:
> - Obtained data on participation rates; demands on the resources.
> - Sorted information into three categories covering policy, resource capacity, and sport and recreation demand.
> - Created matrix tables for each topic area as timesaving summaries of large amounts of information that streamlined discussions in the steering group. (pg. B-31)

Groups can use a variety of activities to build a base of shared information accepted by the participants. They may ask experts to come and speak or hold a panel (see pg. A-16). Some groups work together to collect information or data. Many groups have found that field trips, hands-on projects, and get-togethers not only allow group learning but also encourage interactions that break down stereotypes (see pg. A-14). It helps to get to know other members outside of group meetings through coffee, dinners, BBQ's, and field trips. These activities should occur early in the process and with maximal participant involvement.

It may be useful to organize into sub-groups if the collective group is large. These smaller sub-groups would report their findings to the entire group. Sub-groups focus on specific topics and provide a setting where participants can best put their knowledge, skills, and abilities to use.

> Quick Tip
> People with strong positions may be asked to chair a subcommittee to develop solutions.

Explore Options

Exploring options and selecting plans based on the mission statement and goals is a critical part of the direction-setting phase. Multiple outcome options should be explored and evaluated. The Toolbox (Appendix A) contains some methods, like interactive displays and table scheme displays, that your group may want to use when evaluating alternatives. In general, it is helpful to start by imagining best and worst case scenarios and use maps or other visual techniques to represent the situation. Then participants brainstorm about ways to improve the situation or the pros and cons of different plans. Finally, members discuss and debate the options they have developed.

> The Backroads Bicycle Trails Club (BBTC) worked with the Forest Service and other stakeholders to find alternative solutions to closing a trail built originally for mountain bikes. The group explored 5 options and collectively chose an option that allowed mountain bikes on the trail at limited times in exchange for the BBTC supporting portions of the Wilderness area. (pg. B-47)

Reach an Agreement

The final step of the direction-setting phase is reaching an agreement. Agreeing on criteria for selecting among the available options can help the group make a decision in a way that participants view as fair. For example, if your group has several alternatives from which to choose, you may wish to rank them, or devise a weighting scheme that is agreed upon by the group to determine which option will be optimal. (i.e. use a point system to determine what variables are most important to the group, and then evaluate the alternatives to determine which one includes the most important variables). In the CURES case study (pg. B-15), decisions were made for the good of the whole, and they never made a decision at the expense of excluding part of the group. For example, they wanted to have a big marketing FAM-Tour (a grand opening of designating Highway 395 as a scenic byway), to allow people to get to know the area. However, the plan would have excluded some communities, and the communities threatened to leave the group. Rather than lose the communities, the collaborators abandoned the idea and held a community grand opening party.

3.5 - Implementation Phase

When and if the group reaches agreement, they move onto the implementation phase. The main characteristics of this phase include dealing with constituencies, assigning roles, funding, and elaborating tasks.

The participants at the table should make sure that the community members they represent also support the decision. This will be easier if representative participants are communicating regularly throughout the process with their constituents. Keeping the community informed was certainly a key to success for the Ala Wai Watershed project, since the attitudes of the public and their cultural traditions were important (pg. B-5). The Hawaiian group overcame potential implementation barriers by educating the community and incorporating their opinions and values into the management plan. Backing from other external parties, such as the legislature or other agencies, may also be needed. For example, the Quincy Library Group went straight to the top and met with members of Congress, key officials in the Department of Agriculture, the Forest Service, and even the White House (pg. B-37). Next, the group should create a plan of action to carry out the decision. This plan should function as a guide for how the project or decision will be implemented. The measurable objectives and necessary tasks should be defined and explained in the plan. The roles that each member will play in the implementation process should be clearly defined and understood by all relevant parties.

> Utilizing a physical watershed model, which could be compared to an air photo, the Ala Wai Watershed project was able to help the public visualize how the water flowed through the study area. (pg. B-5)

Keys to Successful Implementation:

- Keep looking back at what you have learned throughout the process - look at what works and what does not.
- Have a mechanism in place to keep the fire going in collaboration. These can range from simple newsletters to keep the public informed, to complex memorandums of agreement. Other mechanisms include regularly scheduled meetings and outside activities or projects.
- An informed community will more likely approve implementation of a process outcome.

Barriers to Overcome in Implementation:

- Agency(s) failing to heed recommendations or not fully implementing and monitoring management plans. Many times this is due to budget limitations, and creative solutions such as smaller partnerships with local organizations and school groups may help with the monitoring effort.

- Not having an implementation plan.
- Lack of resources for implementation and monitoring.
- Time restricted activity. Although setting deadlines can improve group efficiency, sometimes they can lead to an ineffective collaboration if the steps to meet a target are not fully processed. It could produce a watered-down product, or even no outcome at all. (See the collaborative task force tool on page A-15).

CURES collaborators cutting the ribbon to signify the implementation of their decision. Photo courtesy of Nancy Upham

The best way to achieve your goal and to ensure it is implemented is to understand your boundaries, what is and is not on the table, and the possible support you can expect to receive from the agency that will consider your recommendation. Define the roles each of the stakeholders and agency partners will have in implementing the plan. How will the plan or project be funded? This is an important step in the process, as many groups may develop award-winning plans that fail to be implemented due to budget cuts. (See the San Diego Integrated Natural Resource Management Plan on page B-39 as an example). A reliance on only one form of funding could also doom a project. One good idea for increasing funds is by partnering with nonprofit organizations, as this allows an agency access to grants not available to them otherwise. Just remember, when there are open lines of communication, each participant does his homework, and collaborators receive backing of their ideas early in a process, the more successful the process will be.

3.6 - Monitoring and Evaluation Phase

The final phase of a collaborative process involves three parts: evaluation and monitoring of implementation strategies, compliance, and adaptive management.

Participants should establish a monitoring and evaluation program so they can assess which implementation strategies and elements of the plan are working and which need to be modified or eliminated. Participants may also want to develop a way to ensure compliance with the plan.

Utilizing the principles of *adaptive management* may be helpful. Adaptive management involves performing experiments or demonstration projects and evaluating them in an appropriate way. The information learned from the experiments is used to continually improve the plan. For example, the newly formed Channel Islands Marine Protected Area will involve an increase in monitoring activity both within and outside the reserve area (pg. B-11). This information will be used to see how effective the no-take zones are in protecting fisheries habitat, increasing abundance, increasing the size of fish both within and outside the reserve, and other issues of concern. Another way to evaluate your success is to write up a summary of the process, as was done by the Minnesota Sustainable Development Initiative (pg. B-29). These summaries not only provide information on the background of the project, how the public was involved, barriers they encountered, and the keys to success and accomplishments as a way to educate and inform outside individuals, the summaries also help the collaborators take a step back and really assess their process to learn what they could do differently in order to be more effective in the future.

Sustaining Collaboration

Many groups choose to continue collaborating and tackle new issues. Even if they do not, the relationships that have been built through the collaborative process can be sustained. The following are keys to maintaining the relationship, trust, communication, and understanding that develop through the collaborative process even if your group has completed the task.

Keys to sustaining collaboration (Adapted from Wondolleck and Yaffee, 1997):

- Keep major collaborative-minded individuals involved, especially if they represent the Forest Service. If this is not possible due to transfer or retirement it is important that someone who holds the same philosophy about collaboration replaces them.
- Ensure commitment from the Forest Service for the collaborative approach.
- Maintain a compelling focus such as a shared problem, a shared future vision, or special place.
- Have a mechanism or structure in place like newsletters, meetings, activities, or memoranda of understanding to continue communication between the participants and the Forest Service.

3.7 - Final Thoughts

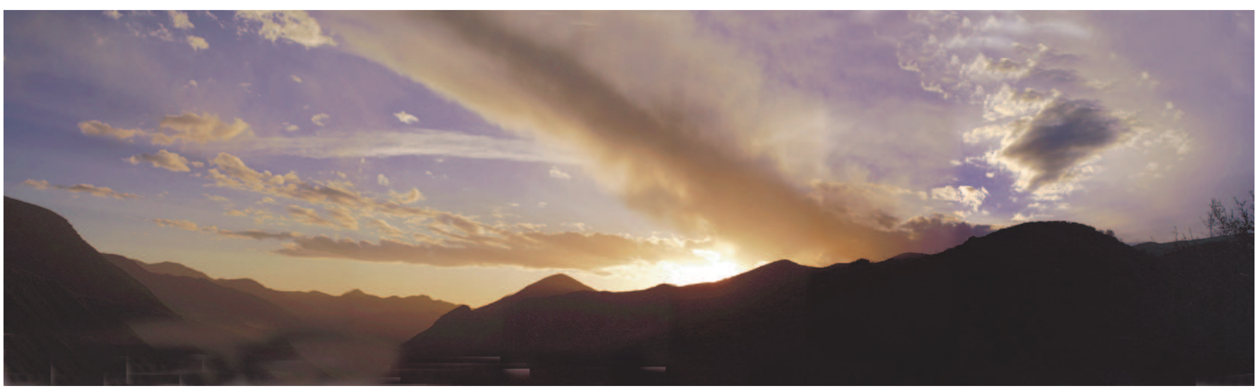
The practice of collaboration is growing all the time, and many important management issues are solved today through collaborative efforts. Although this handbook has focused on collaborative efforts involving recreational management issues within Los Padres National Forest, we've found that most successful processes, regardless of the issue, follow the guidelines presented to you in this section.

There are no guarantees that any collaborative effort will achieve its goals or intended purpose. However, following these basic steps and utilizing the appropriate tools from the Toolbox (Appendix A) for your unique circumstances, the success of your process will be enhanced from beginning to end. Just because a group may not reach a formal agreement does not necessarily mean it is a "failed" process – there are many ways to assess the success of an effort. For some adversarial groups, just coming to the table and opening discussion is a success. As long as everyone understands and agrees to the objectives and what is expected of them, on some level it will always be a success.

Collaborative management is the future for our national forests. Forest Service personnel of Los Padres see the important role that community collaborative efforts can play, and they are eager to move away from the more traditional avenues of public participation. There have been divides between the Forest Service and the community, as we observed with our own MMQ Study (Appendix C), concerning recreation management issues. Forest managers recognize the power of collaboration as a method to bridge this gap and open up more community resources to supplement Los Padres' limited budget and human resources, as well as improve the quality of forest management decisions.

The appendices of this handbook have much to offer you as a potential collaborator. Although not all the information contained within them will apply to your own collaborative effort, there is much value to be gained from each of them. The collaborative tools presented in Appendix A should provide many great ideas to help you through your process. There are many great examples found here and there should be at least a few tools that would work nicely in your own process. Collaboration has become a tool of choice for many managers overseeing controversial issues. We have presented examples of these in Appendix B with the compilation of case studies that have had a profound impact on the management of our natural resources. Appendix C helps to identify some of the barriers that must be overcome when working with the communities of Santa Barbara County and provides useful information concerning the recreational use of Los Padres National Forest. These are the results of our own questionnaire study which provide useful information concerning the recreational use of Los Padres National Forest and shows a glimpse into the lack of trust many of the members have concerning national forest management. Appendix D outlines some of the legal constraints that may exist when working with the Forest Service. Like all other government agencies, the Forest Service must comply with many laws and regulations. It is critical that a non-agency collaborator understand what restrictions this may place on Forest Service involvement in your process.

We hope you have found this handbook useful, perhaps in spotting potential pitfalls before they happen or discovering new tools available for you to use. We encourage you to take the initiative to begin a process that will improve the recreational opportunities in our forests while sustaining the natural resources found there. Always remember three things: a collaborative process takes time, keep the lines of communication open, and never give up!



Panoramic view of the mountains at sunset in Los Padres National Forest. Photo by: Ray Ford.

Appendix A. The Toolbox

A.1 - Introduction to Toolbox

The following toolbox contains tools or methods that may help you throughout a public participation process. In order to make them handier, the tools are divided into three types.

<u>Public Education/Information Techniques (Section A.2)</u>: These tools are characterized by a one-way flow of information to the public. They can be used as part of a larger public participation process to inform the public about such things as meetings, issues, proposals, plans, and documents.

<u>Public Input Techniques (Section A.3):</u> These tools are ways of getting input from the public for a variety of purposes. They can be used on their own or as part of a larger process. Most collaborative processes involve representatives of key interests, but are not inclusive of all points of view. Public input techniques provide a way to obtain the opinions of people not sitting at the collaborative table.

<u>Problem-Solving Techniques (Section A.4)</u>: These tools go a step further than the one way flows of information found in the previous tools. These techniques bring people together to discuss issues and come up with solutions. Many of them are collaborative in nature.

Some tools may fall in more than one of the above categories. As you read through the toolbox think about ways the tools may be applicable to your own process. Be creative!

The tools in this section were compiled from a number of sources. The main sources were Wates (2000), Federal Highway Administration, and the Federal Transit Administration of the United States Department of Transportation (1994), and the International Association of Public Participation. For further sources please see the Reference section at the end of the handbook.

Toolbox Quick-Reference

A.2 - Public Education/Information Techniques

Passive Public Interaction

There are numerous techniques available for raising awareness in a community, educating them about an issue, and informing them about an ongoing process. The tools on this page are passive techniques that do not involve personal interaction with the public. Techniques that require face-to-face contact between the educators/informers and the public are individually explained in the following pages.

Advertisements in Newspapers or Magazines
Usually you must pay for these, but you can try to get the price discounted or donated. Please refer to the *Media Stakeholder* section under Appendix E for contact information of some newspapers and magazines in Santa Barbara County.

See Case Studies: 7, 8, 15, and 21

Emails
Organizations and governmental agencies are increasingly turning to the use of email and mail lists (bulk email) to inform and gather input from the public. A general contact email is placed as a direct link on a website for the public to send comments or to receive information. Email can be a powerful tool, where organizations can send out mass emails directing supporters to their website to send a form letter via email or fax. The Ocean Conservancy used this tool to provide support for the designation of marine reserves in the Channel Islands off the coast of California (see pg. B-11).

Newspaper Inserts
These include a fact sheet, event announcement, or short comment form within the local newspaper. These must be purchased as well.

See Case Study: 7

Printed Public Information Materials
These include fact sheets, newsletters, brochures, and issue papers that can be distributed through various venues throughout the community. Keep them short and simple.

See Case Studies: 2, 3, 4, 7, 15, and 21

Television and Radio
Television and radio programming can be used to present information including announcements of meetings or events and volunteer opportunities. Meetings can be televised. Many areas have a local access station that lists community events and information as part of their programming.

See Case Studies: 7, 18, and 21

Web Sites

Web sites can quickly and easily provide information to anyone with access to a computer with Internet access to the World Wide Web. Project information, announcements, documents, and links to other relevant information online are some options for what to add to a website. Just remember to keep your website simple, easy to navigate, and frequently update it with new information as you continue your process.

See Case Studies: 2, 4, 17, and 21

Briefings

Description
A participant of a process will speak at the regular meetings of community groups such as social and civic clubs and organizations in order to inform and educate the members on the collaboration and what its participants are learning.

Basic Features of a Briefing
- The presentation or update should be kept short and simple (5 –15 minutes).
- Using visual aids makes a briefing more interesting and easier to understand for some people.
- Some briefings may use 'show and tell' techniques.

Keep in Mind
- Briefings provide an opportunity to reach people that may not participate in other formats.
- Briefings can also be given to community groups that you are interested in having at the table. For example the Sierra Club, Mountain Bike Trail Volunteers, or other organizations listed in the Contact List in Appendix E.
- People at a briefing may want to join your mailing list after being informed.
- This is a way to build community good will and support for your process**.**

See Case Study: 1

A.3 - Public Input Techniques

Interactive Display

Description
People add their own comments, thoughts, additions, or alterations to constructed or virtual exhibits.

Basic Features of Interactive Displays
- Displays can range from sheets of paper with one-line questions to more complex drawings, maps or models.
- Facilitators are useful to help people get started.
- Participant input is recorded in a way that can be used afterwards before dismantling constructed displays.

Ideas for Interactive Displays
- Post-it Boards: Put up large sheets of paper or poster board with heading questions such as: What do you like about this area? What do you dislike about this area? How could this area be improved? How can you help? Ask people to write their responses on post-it notes and stick them on the paper.
- Sticky Dot Display: Put a large map or photo of an area on a wall or table. Ask people to place sticky dots on areas they like and dislike (Red = Dislike, Green = Like, Yellow = Not sure). You may want to ask them to place post-it notes with ideas or comments on areas of the map or photo. Sticky dot displays may also be used to map how people use different areas. Have them use colored sticky dots or post-it notes to represent what activities they do in an area. This may reveal potential areas of user conflicts.
- General Comment Boards: Ask people to write general comments on flip charts, comment books, or poster boards.
- Virtual displays: Have online maps linked to a geographic information system (GIS) database to record individual preferences. Participants can add comments to the map, indicate recreation use patterns, or provide feedback on proposals through clicks of the mouse. Virtual displays can vary from an extremely complex 3-D map with interactive features to something as simple as displaying a diagram on a website in which visitors can e-mail in their comments.

Keep in Mind
- Allows participants to become involved with the issues and debate in a non-threatening, enjoyable way.
- Can be done with minimal costs.
- Can be used as part of an open house event or public hearing.
- As advances in computer technology continue to make virtual displays easier to make, this method will become even more effective for collecting public feedback. It will become much easier for a larger audience to view and comment on the displays.

See Case Studies: 1, 9 and 10

Open House

Description
The public is invited to drop by a set location on a set day and time to tour displays and stations at their own pace.

Basic Features of Open Houses

- The room is set up with several displays or stations about options or proposals under consideration by host(s). (See the interactive display and table scheme display tools for station ideas.)
- The organizers are on hand to answer questions and engage in informal debates about exhibits and stations.
- The atmosphere should be relaxed allowing people to move freely from display to display.
- The input from the public is recorded for analysis and later use.

Open House held by the Forest Service. Photo courtesy of the Forest Service.

Ideas for Open House Station Displays (Adapted from Wates, 2000)

- Entry desk: Table where the public picks up informational packets, and supplies (like post-it notes, pens, and/or sticky dots).
- Welcome Panel: Panel where people read about the history and aims of proposals, initiatives, or options on display.

- Participant data: Ask people to place dots on panels to show relevant statistics such as where they live/work, their age group, etc.
- Issues, goals, and action needed: Ask the public to use their post-it notes to add points or comments to the displays
- Likes and dislikes: People place their sticky dots on a map to show areas that they like and dislike, or their favorite and least favorite areas.
- Visions: People write comments on post-it notes and add them to before and after representations of an area.
- Table scheme displays: The public uses their sticky dots to show if they like, dislike, or are not sure about proposals. (See the table scheme display tool).
- Draw your own: People can use felt tip markers to sketch out their own ideas.
- What next?: Panel where people read about what the next steps of the process are and how their input will be used.
- Help: Sheet for people to sign if they would like to assist further in the process.
- Comments: Flipcharts where people can write any additional comments not already covered in any displays.
- Further information: Visitors provide their name and contact information (address, email) if they would like to receive information on further developments.

Keep in Mind

- Open houses are a good way to gauge initial public reaction to proposals, options, and confrontational issues.

Table Scheme Display

Description
Large tabletop display and input form allows large numbers of people to learn about and provide input into proposals.

Basic Features of Table Scheme Displays

- Drawings or descriptions of proposed schemes, changes, plans, or ideas are placed in the middle of a table. The main elements of the proposal make up the headings of voting sheets around the edges. These voting sheets consist of the specific element, such as the location of a new trail, and three columns, agree, disagree, and no opinion. Participants vote on what they like or don't like by placing colored sticky dots in the appropriate column. (Red = Dislike, Green = Like, Yellow = Not sure)
- Participants can be allowed to make more detailed comments on post-it notes
- The results are analyzed afterwards to provide input into the next project planning stages.

Photo courtesy of the Forest Service.

Keep in Mind

- It may be helpful to have an organizer at each table to take notes and answer questions.
- Provide an extra table and pens for those who want space to write or draw their own ideas.
- This method can be used effectively as part of an open house event or public hearing.

See Case Studies: 7

Hands-on Projects

Description
These are projects that educate the public about the resource in question by working on a project involving the resource. Cleaning up litter in a creek, removing invasive species, and planting new trees are all good examples.

Basic Feature of Hands-on Projects
- Projects can occur before a collaborative process is formed to find out about the community's level of interest in protecting a given resource.
- Projects can also occur while collaboration is on going, as a way to demonstrate the process is working to skeptical stakeholders.
- Hands-on projects help to build trust among stakeholders and develop a sense of community and place.
- Continuing with projects after the major issue has been discussed or resolved helps to keep the process moving forward into new arenas.

Keep in Mind
- Children love to get involved. Starting stewardship practices early in life helps the community to grow and environmental conditions improve. Children will usually encourage their parents to get involved, too.
- Most projects require funding; ensure adequate funding, perhaps by partnering with other organizations.

See Case Studies: 1, 7, 12, and 21

Response Sheets

Description
Mail-in forms to obtain public input about their concerns, preferences, and opinions of an issue.

Ideas for Distributing Response Sheets
- They can be included in fact sheet mailings, newsletter mailings, or other project related mailings. This saves money by using prepaid postage.
- They can be handed out at events or community gatherings - give people the option of filling them out and turning them in then or mailing them at a later date.
- They can be offered at community gathering spots like libraries, coffee shops, or post offices.

Keep in Mind
- Response sheets may not provide statistically valid results, but could be good for gathering general trends and identifying areas of public concern.
- Response sheets are a way to obtain input from individuals that are unlikely to attend public meetings.
- A section can be added to the response sheet for individuals to fill in if they want to be added to future mailings.

Surveys/Questionnaires/Polls

Description - Mailed Surveys & Questionnaires
Inquiries are mailed to random sample of the population to obtain specific information on an issue that can be statistically validated.

Keep in Mind
- The survey should be developed and given by a professional in order to avoid bias.
- Mailed surveys can be expensive. Make sure that statistically valid results are needed before deciding on this method.
- Polling through this method is a way to obtain input from those unlikely to attend meetings.
- Responses will provide input from a diverse cross-section of the public.
- Response rates for this method are usually low. Repeat mailings, and added incentives for returning surveys can increase the response rate but at an additional cost.

Description - Telephone Surveys/Polls
Call random samples of the population by telephone to obtain specific information that can be statistically validated.

Keep in Mind
- Telephone surveys are more expensive, time intensive, and require more labor than mailed surveys. However, respondents may prefer the personal connection through this method.
- Like mailed surveys, make sure that statistically valid results are needed before deciding on a phone survey.
- The survey should be developed and administered by professionals in order to avoid bias.
- This method is a way to obtain input from those unlikely to attend meetings.
- Response will provide input from a diverse cross-section of the public.

Description - Internet Surveys/Polls
Survey individuals by posting questions on a website through the World Wide Web, where individuals respond online.

Keep in Mind
- Results from Internet surveys are not usually statistically valid, because individuals can respond multiple times.
- More set-up time and expertise is necessary to prepare an “interactive” website that connects responses to a database for sent responses, but having an automated data entry feature will save time later.
- Online surveys provide input from a cross-section of the public, but facilitators cannot control or choose who responds.
- This is a way to obtain input from those unlikely to attend meetings.

See Case Studies: 7, 18, 19, and 21

Interviews

Description
Meetings are held one-on-one with key interested parties or stakeholders to obtain information on their concerns and perspectives.

Basic Features of Interviews
- Whenever feasible, interviews should be conducted in person.
- Interviewers should create a feeling of trust with the person they are interviewing.

Keep in Mind
- Interviews can be used when considering and evaluating candidates for citizen advisory committees.
- Individual interviews may be very time consuming when seeking the input of a large number of people.

See Case Studies: 14 and 19

Town Meetings

Description
Town meetings are informal meetings that are used to inform the public (usually in small towns) about a current or upcoming issue. They are also used to gather input and support from the citizens. These meetings are also good for gathering support and initiative to start a collaborative process.

Basic Features of Town Meetings
- They are very informal, usually utilized in smaller towns.
- Usually citizen groups initiate them to get others involved.
- Some meetings revolve around another event or potluck.
- Before the meeting, townspeople may make suggestions for ideas they would like to see discussed and voted on. A moderator leads the discussion as people vote on issues they want to pursue.

Keep in Mind
- When using a town meeting build support and initiative for a collaborative process, use respected leaders in the community.
- If voting on issues, written ballots may be used if people prefer to vote in private.
- Invite the media to view the process to give publicity to the issue. This also helps inform other people in the community about the issue and may put pressure on agencies to act.
- Politicians may use town meetings as a way to get input from the public in their districts or to inform them about his/her accomplishments.

See Case Studies: 1, 3, 6, 8-11, 13, 15, and 16

Public Hearings

Description

Public hearings are the formal meeting format for most local, state, and federal government agencies. Due to a variety of laws, like the National Environmental Policy Act (see Appendix D), public notice is a requirement and agencies utilize public hearings to inform and obtain public input.

Basic Features of Public Hearings

- Public notice is usually given in the newspaper. Sometimes public television and/or radio announcements are used.
- In most cases the committee or agency bringing the hearing sits at a table in the front of the room, with seats for the public facing them.
- First, the committee or agency presents its findings, and then a public comment period follows where individuals may ask questions, make statements, and/or rebuttals.
- In formal situations, people who would like to comment must submit their wish to participate orally or in writing in advance by providing their name, address, and telephone number to the designated person. In some cases a potential speaker must fill out a card at the beginning of the hearing. They are usually given a set time limit.
- Some settings for these meetings are more elaborate, especially if several agencies are involved. This setting can be circular, with limited seating for the public around the agency seating.

Keep in Mind

- This may be the only structure of public input the agency currently uses.
- Seating may be limited, so get to the meeting early.
- When choosing to speak at a public meeting, be prepared! Make sure you understand the hearing context, and script your points or arguments in advance to be more effective.

See Case Studies: 4, 7, 8, 13, and 17

A.4 - Problem-Solving Techniques

Advisory Committee

Description

A representative group of key interested parties or stakeholders meets regularly to impart public input and discuss issues of common concern to an agency.

Basic Features of an Advisory Committee

- The promoter may interview potential committee members in person before selection.
- Key interested groups or stakeholders are represented through the committee.
- Representatives are responsible for carrying out two-way communication with those they represent by reflecting their views at the table and relaying committee progress to them.
- Advisory committee meetings have a regular schedule, and may work on one issue after another.
- Consensus agreement on issues is usually favored but not always required.
- A record, like meeting minutes, should be kept of the comments and opinions expressed by the participants at each meeting.
- Advisory members need information to understand the context of their decisions including:
  - Information about the agency they are advising: its requirements and restrictions, timeline, and range of issues on the table.
  - Information about themselves as a committee: the limits of their decision-making, their responsibilities, and the role they play in relation to other committee members and their constituents.

Keep in Mind

- The purpose and responsibilities of the advisory committee can be adapted to meet local needs. Some of the responsibilities may include advising or providing recommendations, giving community feedback, and/or reviewing or monitoring a specific program.
- Advisory committees require a lot of time and labor
- Advisory committees may not represent all points of view. Citizens that are not part of the task force should be involved through outreach and participation techniques, including open houses, workshops, and other methods described in this toolbox.
- Steering committees are very similar to advisory committees, however, they are usually less formal, and may not have to comply with laws that specifically address advisory committees.

See Case Studies: 1, 4, 7-12, 15-17, 19, and 20

Informal Outside Get-Togethers/Coffee Klatches/Field Trips

Description
Stakeholders informally socialize to get to know each other outside of the meeting process.

Basic Feature of Informal Outside Get-Togethers
- Stakeholders share beer, coffee, dinner, outside activities like camping, or do some other social event together outside the normal collaborative meeting process.
- Field trips and clean-ups of the area your group is focusing on can be educational as well as relationship building. They can help the group build a shared sense of place.

Keep in Mind
- Informal outside get-togethers provide settings for people to find common ground as individuals outside of an issue, which helps build trust and respect among collaborators.
- It is important to keep the setting relaxed.

See Case Studies: 1, 3, 6, 8, 10, 15, and 22

Wildflower festival on Figueroa Mountain. A guide points out interesting flora surrounding the group. Photo courtesy of the Forest Service.

Backcountry Horsemen of Washington, Inc (BCHW)

BCHW has a yearly conference with the Forest Service, and it is hosted at a Forest Service facility. In the past year, they held a Dutch oven cook out as an icebreaker. The agenda is pre-published so that everyone knows what to expect. Each district talks about their goals and accomplishments for the year. BCHW presented their Master Leave No Trace Program that the Forest Service helped to set up and even have their summer people attend. (pg. B-47).

Collaborative Task Force

Description
A group of experts or representative stakeholders is formed to resolve a difficult issue or provide a policy recommendation within a specific amount of time. The conclusions of the task force are subject to approval by official decision-makers within the agency.

Basic Features of a Task Force
- Sponsoring agencies that are committed to the process usually initiate a task force.
- Conclusions drawn by the task force must meet a target date or deadline set by the sponsoring agency(s).
- A task force usually consists of members that represent diverse perspectives and interests. Participant or stakeholder groups, like environmental groups, forest user groups, local governments, business groups, civic or cultural groups, or consumer organizations, are invited to participate by the sponsor. The groups select the individual they want to represent them on the task force, and that individual must reflect and deliberate with the groups he/she represents. The task force may wish to add representatives to round out its membership.
- The sponsor(s) may define the mission of the task force, but the group usually determines its own approach to achieve its mission.
- Consensus agreement is usually the decision-making method for the task force.
- Detailed presentations of relevant material and technical assistance may be conducted by outside experts so that task force members completely understand the context and substance of the issue they are addressing.
- Ongoing meetings should be held so members have time to understand and deliberate the issues.

Keep in Mind
- Findings will have greater credibility and community support when the task force is made up of members representing independent or diverse interests.
- The task force might not come to consensus before the deadline, or their conclusions may be too general to be useful to the sponsor agency.
- They can be time and/or labor intensive.
- Citizens that are not part of the task force can be involved through outreach and participation programs, including open houses, workshops and other methods described in this toolbox.

See Case Studies: 2, 4-7, 9, 11-14, and 21

Electronic Democracy

Description
Individual email is used to discuss issues or send information outside of meetings, via a regular email, a listserve, or chatrooms.

Basic Features of Electronic Democracy
- Email can be used to clarify issues outside the normal process.
- Issues can be "taken outside," and onto the Internet for further discussion.
- Email and listserves are convenient methods for sending out or requesting meeting agendas, summaries of meetings, and even for voting purposes.

Keep in Mind
- It is easy to get caught up in the moment and send something you will regret later. Take time to re-read your comments before hitting the 'send' button.
- Remember that your email can be re-sent to others or blind copied without your knowledge. Others can manipulate what you write and thus take sections out of context before sending off to others to prove a point.
- It is easy to get away from the goals of the group by engaging in email.
- Email and Internet access may not be available for everyone.

See Case Studies: 4 and 19

Panel

Description
Similar to advisory committees, a group is assembled for the purpose of debating or providing input on specific issues.

Basic Features of a Panel
- Panels are most appropriate when used to show different views of issues to the public.
- Panelists must be perceived as credible by the public.
- All sides of the issue should be represented on the panel.
- Use a neutral moderator who can interview the panel and ensure that all have an opportunity to express their view.
- Members agree on the ground rules before beginning the process.
- Panel meetings usually provide an opportunity for the general public to participate at the end.

Keep in Mind
- If all sides are represented, credibility can be built.
- Panels offer an opportunity to correct misinformation.
- The issues can be polarized if the panel is not well conceived and moderated.

See Case Studies: 4, 16 and 18

Focus Groups

Description
A professionally led small group of selected individuals discuss and give opinions on a specific issue. Participants are selected in two ways – randomly to assure a representative group, or non-randomly when obtaining a particular position or perspective.

Basic Features of Focus Groups

- A facilitator follows a preplanned agenda of no more than five or six major questions about a specific topic. Smaller-scoped questions may also be asked, such as just asking for facts.
- The facilitator guides the discussion, ensuring all participants have a chance to talk with no one person dominating the session.
- Ideal group size is around eight to twelve people to provide opinions, thoughts, perspectives, and insights by conversing about the questions.
- Major points of agreement and disagreement between participants are identified.
- Minimal material is presented to participants and should be just enough to set up the context and subject.
- Groups usually meet up to two hours.

Focused Conversation Groups in Ottawa National Forest
This collaboration conducted focused conversation sessions with 10 existing community groups. The facilitator explained the guidelines for the meeting, and the forest representatives introduced themselves. As an icebreaker, participants were asked in turn how they felt about the area. The rest of the questions were open to everyone for response. They were asked to talk about what made their region special, what they hoped or feared about the future of their region, how they used the forest, and how they would like to see the Ottawa National Forest managed.

Special Use Ideas for Focus Groups

- Obtain input from under-represented citizens: For example, use a focus group to target under-represented cultures in order to learn how they use the forest or how they feel about certain issues.
- Obtain input from experts on a plan or issue: For example, hold a focus group with expert hydrologists, ecologists, etc. to discuss recreational impacts on the forest environment.

Keep in Mind

- Informal focus group settings will encourage participation.
- Small group size makes it more comfortable for people to voice their opinion.
- Focus groups have limited representation and should not be used to replace other more representative methods of public input.
- Focus groups are not used to obtain statistical data or reach an agreement among participants.
- Focus groups can be held with specific community organizations during their regular meeting times or at other times/places convenient for the groups.

See Case Study: 14

Future Search Conference

Description
This is a structured event where interested parties or stakeholders convene to create a shared vision for the future.

Basic Features of a Future Search Conference
- It is essential that an experienced facilitator guide the discussions.
- Representatives of the widest possible range of interested parties or stakeholder groups come together in one location, usually for a series of discussions over a 2-3 day time period.
- Sixty-four participants are ideal, because they can break off into eight groups of eight. However, hundreds of people can be involved in conferences that run in parallel.
- A typical conference title is: "The Future of (fill in appropriate location, like Los Padres National Forest or the Santa Barbara Ranger District) in 5 to 20 years."
- A structured procedure is designed and followed to help people focus on the future, find common ground, and commit to action.
- Participants are involved in individual tasks, in small self-managed workshops, and as a whole group.
- People are discouraged from just observing. Everyone present should actively participate.
- Results can be recorded on flip charts throughout the conference.

Keep in Mind
- It may be challenging to get complete commitment from all stakeholders.
- Future search conferences can be expensive, time consuming, and logistically challenging.
- A committed group is needed to plan the conference and follow-up with participants on overall conclusions.
- The conference should only be part of a longer process, not an end in itself.

Open Space Workshop

Description
A group of people creates its own program of issue discussion sessions and then breaks into smaller issue discussion groups to form lists of actions to take to further address each issue.

Basic Features of an Open Space Workshop

- The organizers of the workshop determine and publicize the theme, location, and time of the event.
- A facilitator is important to get the workshop started but once the process is up and running they can let the participants take over.
- The workshop starts with participants sitting in a circle and deciding among themselves on which issues to discuss. The facilitator can guide this discussion based on a simple format listed below. It is important for the organizers to provide a powerful theme or vision statement in order to generate issue topics.
- Each of the workshop sessions develops a list of required actions and identifies who will be responsible for carrying them out. A short report of action items is distributed to all of the participants.
- An open space workshop can last from 2.5 hours to 3 days, and participant numbers can range from 20 to 500 people.
- The participants self-manage the workshop sessions within a flexible framework of four simple principles and the 'Law of 2 Feet'. The principles, laws, and timetable can be adjusted to meet participant needs.
    - <u>The Four Principles</u>
        - Whoever comes are the right people (participation is voluntary).
        - Whenever it starts is the right time (be relaxed about timetabling).
        - Whatever happens is the only thing that could happen (let go of expectations).
        - When it's over, it's over (move on when there is no more to say).
    - <u>The 'Law of 2 Feet'</u>
        - If at any time you feel that you are neither learning nor contributing, move elsewhere (to another workshop or to have coffee).

Format for an Open Space Workshop (Adapted from Wates, 2000)

1. <u>Preparation</u>: Set up a space with a circle of chairs, posters of 'principles' and 'laws', and a bulletin board identifying workshop locations and the timetable.
2. <u>Introduction</u>: While participants sit in the chairs, the facilitator explains the purpose and procedure of the workshop. (10 min)
3. <u>Opening circle – declaring issues</u>: Participants are asked to identify issues about which they want to hold workshops. Each writes his/her issue on a sheet of paper, states his/her name and issue ("My name is… My issue is…"), and tapes the sheet on the bulletin board in a workshop location slot. Several issues can be dealt with in one workshop location slot if there are more issues than slots. (15 min)
4. <u>Signing up</u>: All of the participants gather around the bulletin board and sign up for the workshop in which they want to join. (15 min)
5. <u>Workshop sessions</u>: The large group splits up, and participants go to the location of the workshop they signed up for and follow the 'principles' and 'laws'. The results of the

workshops are recorded usually as a list of required actions and who should do them. The list is then posted on the bulletin board. (60 min)

6. Open session: After a refreshment-break the participants regroup in a circle for a general debate. (30 min)

7. Final plenary circle: Participants have the opportunity to make ending statements. (15 min)

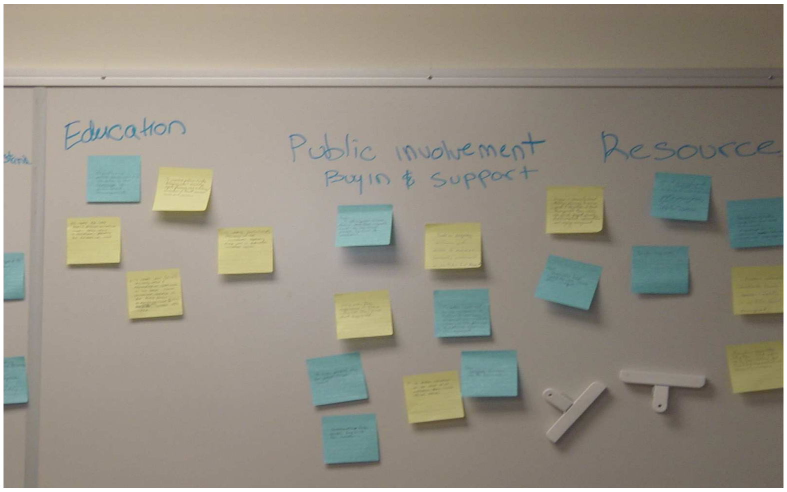
8. Report circulated: At the end of the event or the next day, a short report is distributed to all of the participants containing the action points and who is responsible for them.

See Case Study: 15

Process Planning Session

Description
People work together to decide an appropriate public participation process for their situation.

Basic Features of a Process Planning Session
- Try to include as many interested parties or stakeholders as possible. This helps to ensure that all parties will support the outcome.
- A facilitator introduces possible methods and available options and helps participants design their own public participation process.
- A formal format, like the sample format outlined below, is usually followed to ensure a transparent and equitable procedure.
- Sessions can be held again whenever a review of the overall process is needed.
- The ideal number of participants is 16-20, but more is not a problem.
- The process planning session can last from 2-4 hours. Three hours is comfortable.



Members of the Forest Service, LPFA, and CFI had a workshop in which they discussed their goals for starting a collaboration with the community of Santa Barbara County. This is a compilation of each individual's idea of the goal, which were written on sticky notes and grouped into general categories – education, public involvement, resources, etc. Photo by: Sarah Worth

Sample Process Planning Format (Adapted from Wates, 2000)
1. Introduction.s: The facilitator explains the objectives and structure of the event. Participants briefly state who they are and their hopes for the session. (15 min)
2. Presentation: Possible processes are presented to provide inspiration. The presentation could be a slide show, video, power point presentation, or talk. (45 min max)
3. Aims: Short discussion or debate on objectives and constraints. (15 min)
4. Refreshment break
5. Individual ideas: Participants develop their ideas about the aims, process, and organization of the public participation process they are designing. This can be done by filling out a process planner (see sample process planner) or by writing ideas on a blank sheet of paper. (10 min)

6. Group ideas: Participants are divided into groups of 4-8 individuals. Each individual presents his/her ideas to the group. Through a vote, the group chooses only one idea to pursue and develop further. (20 min)
7. Report back: The groups come back together. Each group presents their idea to all of the participants (5 min each group)
8. Selection: All of the participants vote on which idea to pursue and then discuss ways it can be improved, and what the next steps to be taken are. (10 min)

Sample Process Planner
(Adapted from Wates, 2000)

Aims
What do you want to achieve?
What are the main issues?
What geographical area are you concerned with?

Process
What methods do you favor?
When should activities take place?
Who are the key people to involve?
What expertise do you need?

Organization
Which organization(s) should lead?
Who else should help?
How much will it cost and who pays?
Who does what next?

Keep in Mind

- Some people may not want any kind of process to take place and may try to sabotage the session.

Contact Other Regions

Description
Chances are that the particular issue you are hoping to address, or the type of process you are undergoing, has been addressed by individuals in other areas. Find out about other collaborative efforts that have encountered or are working on similar issues to your own and contact the process coordinator via telephone or email.

Basic Features
- The first step is to perform basic research skills – search the Internet, consult journals and newspapers through a local or university library, etc. Search using keywords about your issue, location, or process type (example: "collaboration forest management"). For processes you find that are interesting to you, find the contact information for the organizations involved.
- Ask process participants questions such as "How long has your organization been partnering with others?" "What have been your most successful techniques?" "What barriers have you faced and how did you deal with them?" "Any advice?"

Keep in mind
- Some people are more helpful than others. Some process coordinators may not be forthright about the effectiveness of their methods.
- Organizations are the best source for information, especially those that have been established for a long time.
- Phone conversations are the best, as information provided can be further explained in a clearer fashion, but it may take time to reach an individual, or he/she may prefer another method of communication.
- People like to talk about their successes; it will be difficult to locate information on failed efforts.
- People involved in the same process may have different views on how successful it was (or if it was successful!) depending on their stake in the issue and how equitable the process was.

See Case Study: 22

Appendix B. Case Study Summaries

B.1 - Useful Information to Examine in the Summaries

Within this section you'll find a number of case studies, each representing different community types, ways of originating, issues involved, and collaborative tools used. Each case explains the background of what triggered the process and how it was established. We highlight some key points, such as the management issues, general collaborative process, date initiated and finished, stakeholder groups involved, community type, and funding sources. Many times, funding is a key aspect; for example, the Massachusetts Watershed Initiative has just recently lost its state funding due to budget cuts in 2003. Luckily, many of the individual watershed groups in the area have been obtaining outside funding on their own. A mission statement is also important in each case, as it helped groups find common ground, and many facilitators use it to bring a group back into focus. Unique features of a process tell you about the mechanics of the group process, the organization of the group, how the public got involved, how they solved problems, and what their method of agreement was. Finally, we list some of the barriers and keys to success they encountered, as well as the groups' accomplishments to-date. If you want to learn more, we also provide a contact person(s) and references for further reading specific for each case.

B.2 - Overview of Case Studies

There are a variety of reasons for beginning a collaborative process. In this sample of case studies from around the United States (and one from England), the catalyst is different depending on the community type. Urban communities rally around water quality, urban development, or an arisen crisis. Rural communities are more likely to be concerned about ecosystem health or tourism impacts. Recreation and ecosystem health are the triggers for communities encompassing a rural/urban area. The majority of processes are jumpstarted by local citizens who are brought together on issues of crisis, forest planning, and ecosystem health. It is not surprising to see catalysts involving both communities, as citizens are just as likely to start a collaborative process in a rural or urban environment. Interestingly, federal agencies start a collaborative process when the issue involves recreation or tourism. The groups started by federal agencies are led by extremely dedicated and passionate employees. Local and state agencies are more likely to get involved in partnerships with the citizens.

While there are perhaps thousands of people engaging in collaborative processes around the U.S, we've brought together a sample of some of the best processes with each of these cases utilizing some of the same tools and keys to success mentioned throughout this handbook. But along the way, each group finds that they must overcome some constraint, unique to their situation. Recreation projects are a great way to get the community initially involved in the management of an area. The Tahoe Rim Trail Project and Paiute ATV Trail Committee were both initiated by a dedicated employee of a federal agency, who also had a passion for the area in which he worked. Both projects showed however, that building a multi-use trail does not just involve recruiting volunteers. The coordinators of these groups surveyed the local community and users to gauge the support for the trail, and then pitched the idea to their boss and other government agencies as well to gain full support.

Another common feature of the sample case study groups is the formation of a mission statement. Successful groups, such as Hawaii Natural Areas Working Group, use the mission statement to bring members back into focus with regard to the overriding goal of the process when members are sidetracked. Groups such as the CURES committee find vision statements such a central part to their success that they spend a year in creating one. On the other hand, the Santa Ynez Watershed group failed to agree to a common problem statement, eventually resulting in its demise.

In forming a collaborative group, a decision is made at the outset on the best format for the group. Many grassroots efforts find that a loose structure is best to gather public input and involvement in the process and implementation. This was the case in the Quincy Library Group, which had no officers, no charter, and didn't even have a bank account! Some groups, such as the Greater Flagstaff Forests Partnership, recognize that their community is the core for government, local nonprofit organizations, universities, and other important stakeholders. The Grand Canyon Foundation formed a nonprofit organization with various stakeholders - local government, businesses, environmental organizations, federal agencies, universities, and citizen groups. This new organization then entered into a Cooperative Agreement with the Forest Service, which allowed them to tap into the resources of a variety of participants and avoid regulation under the Federal Advisory Committee Act (FACA) (see Appendix D for more about FACA).

Case Study Index

B.3 - How to Use the Case Study Selection Guide

We have also furnished you with a quick reference guide, in case you wish to locate a case study similar to a process you are facing. With this guide, you can look at cases by community type, the catalyst (how the process got started), and who started the process (this is many times important, as each group may be limited to certain tools). Remember, every case is different, and you need to look at the use of the tool in the context of the case**.**

Case Study Selection Guide:

Variables	See Case Study Number:
Community Type	
Rural	2, 3, 6, 8, 10, 11, 15
Urban	1, 4, 5, 7, 9, 16, 18, 19
Both	12, 13, 14, 21
Catalyst	
Common vision	3, 6, 12, 21
Community involvement	3, 4, 10-13, 15, 20
Crisis	2, 9, 19
Ecosystem health	3, 4, 10, 11, 12, 13, 15, 17, 20
Endangered species	3, 4, 11, 15, 17, 18, 20
Forest planning	3, 9, 11, 17
Integrated resource management	12, 18
New policy mandates	7, 11
Recreation management	11, 14, 17, 19, 20
Tourism	1, 6, 8, 21
Urban development	1, 4, 7, 13, 18
Water quality	1, 2, 7, 12, 16
Watershed planning	1, 12, 16, 20
Who started the process	
Business	12
Citizens	2, 3, 4, 7, 9, 10, 11, 17, 19
Federal Agency	4, 6, 8, 18, 21
Local government (City, County)	1, 2, 8, 9, 11, 20
Non-profit organization	12, 15
State department	1, 2, 4, 11-13, 16
State legislature	5, 9, 10
University	14

Case 1. Ala Wai Canal Watershed Water Quality Improvement Project
Honolulu, Hawaii

Summary/History
The Ala Wai Canal, located in Honolulu, Hawaii, was first constructed in 1922 to drain marshlands and divert storm water away from Waikiki and into the Pacific Ocean. A variety of water quality problems exist in the canal and the surrounding watershed, including high levels of lead and pesticides, sediment build-up, high bacteria levels, and litter. In addition, the canal is a valuable tourist feature of Waikiki, generating about 70% of the State's income.

The Department of Health (DOH) contracted a third party to develop a consent decree that would serve as the basis for a watershed management plan for the Ala Wai Canal. The public was encouraged to join the process via numerous neighborhood meetings attended by the neutral coordinator. During this time, two other groups were created to accomplish similar tasks. The DOH along with the EPA started a second group in mid 1997. Many of those who attended the meetings of the first committee began attending the second group. They saw this committee as being a continual process, rather than the first one set up explicitly for the creation of the plan. During this time a local legislator spearheaded another group led by community members, but this one eventually failed. The Ala Wai Watershed Association was borne out of members from the first two groups to implement the management plan.

Key Points
Management issue: Water quality improvements and watershed restoration.
Collaborative process used: Steering committee.
Date initiated and finished: The group began in 1996, and the second group, in the form of the Ala Wai Watershed Association is continuing implementation of the plan.
Who started the process: State of Hawaii Department of Health, and the City and County of Honolulu.
Who is involved: Local, state, and federal agencies (EPA), schools, local interest groups, landowners, businesses, and universities.
Community type and population size: A combination of rural communities in the upper watershed with a larger, urban population in its lower reaches. The combined population is approximately 150,000.
Funding sources: The first group was given $150,000 by the State to deliver a management plan. The second group is supported by the EPA via grants. The implementation of the management plan is supported by adoption of the plan by the legislature with $1.2 million to fund some of the watershed projects in the plan. Not all of the funds have been currently released.

Mission Statement: … "To improve water quality in the Ala Wai Canal and tributaries to meet federal and state water quality standards…"

Unique Features of Process
1. **Organization of group**: A steering committee was created, consisting of nearly 275 individuals, including community members, neighborhood boards, canoe clubs, organizations, elected officials, and agencies. The coordinator felt that having this large group helped democratize the process. The effectiveness of this approach may be due to the fact that no single group would ever, by itself, dominate the planning process. The membership was invited to meetings and asked to vote either at meetings or via mail (if they could not attend). The membership provided input, reviewed draft reports, and voted on decisions affecting policy or direction of the planning process. Ultimately, it was this group which approved the Management and Implementation Plan, and requested the City Council and State legislature to adopt the plan.
2. **How the public was involved**:
   - The steering committee coordinator attended neighborhood meetings, met with agency personnel and officials, developed displays and attended community events in order to inform as many people as possible about the planning process.

Photo courtesy of Eugene Dashiell.

- Members held remedial volunteer projects in the canal during the planning process.
- Aerial photographs and a physical watershed model were used to help people comprehend the problem and range of possible solutions.
- People were encouraged to take care of their litter and help with stream restoration, which gave the public a sense of place and pride in the environment.

3. **Problem solving technique**
   - In addition to the steering committee, the group strongly supported cultural values, such as the traditional land management practices of Native Hawaiians (ahupua'a concept of watershed management), which made the process even more significant. They also used undergraduate students to conduct additional research needed for group decisions, and held luncheon workshops that focused on developing best management practices.
   - They introduced legislation every year for three years to obtain state funding and agency support and persuaded the state legislature to adopt the final management and implementation plan. The governor was required to incorporate the plan's recommended projects in the state bi-annual capital improvement budget.
4. **Method of agreement**: Consensus at meetings, utilized mail-in votes.

Barriers

- Community attitudes and cultural barriers.
- Community mistrust of the government due to historical relationship.
- Lack of knowledge from stakeholders about all aspects of watershed management.
- Lack of experience from community groups in implementing project plan.
- Overlapping jurisdictions of county, state, and federal agencies preventing successful and efficient watershed management. It was recommended that a quasi-public agency be established to manage the watershed.

Keys to Success

- All participants had clear understanding of problem.
- Large steering committee democratized the process; no single group dominated the planning process.
- Maintained cultural values.
- Had a mission statement, which was repeated by the coordinator throughout the process to constantly ask how ideas fit it.
- Provided a proper environment for the meeting (parking, food) to accommodate agency participants**.**

Projects, Activities, & Accomplishments

- Projects: Reduce litter in the canal, reduce sediment load, remove metals from runoff, build public access trails, and plant vegetation to make streams more attractive.
- Conducted a risk assessment of fish in the canal (due to high levels of lead contamination in water).

Contact Information

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References

Ala Wai Canal Watershed Water Quality Improvement Project:
http://www.lava.net/environmental-planning/alawai.htm

Ala Wai Watershed Association: http://www.alawaiwatershed.org/

Case 2. Animas River Stakeholder Group
Silverton, Colorado

Summary/History

The Upper Animas Watershed, nestled in the San Juan Mountains of Colorado, has a long history of metal mining as an economic mainstay dating back to the 1880's. The area of concern encompasses a 200-mile radius above the town of Silverton, which is home to one the most severely impacted areas in the United States. Until 1934, most of the mining operations around Silverton dumped their mine waste directly into the Animas River, resulting in an almost complete destruction of aquatic life in the watershed.

In early 1993, the Water Quality Control Division (WQCD) of the Colorado Department of Public Health and Environment recognized the need for public involvement in addressing the water quality problems in the Animas Basin. The most appropriate means of addressing concerns over mining contamination was felt to be a collaborative approach that would focus on water quality issues, the effect on aquatic populations, and its relationship to mining activity. Various mining groups, federal land management agencies, local government agencies, environmental groups, and community groups expressed an interest in starting and participating in a collaborative approach to improve water quality in the Animas River watershed. The Animas River Stakeholder Group (ARSG) was formed in February of 1994.

Key Points

Management issue: Threat of superfund designation. Improve water quality and habitats in the Animas River Basin.
Collaborative process used: Formation of stakeholder group.
Date initiated and finished: February 1994, and is still ongoing.
Who started the process: Local stakeholder groups, Colorado Water Quality Control Commission, and Colorado Department of Public Health and Environment.
Who is involved: 35 active members; local, state and federal agencies, local landowners, local mining companies, environmental organizations, and local Native American tribe members.
Community type and population size: A rural community of less than 500 people.
Funding sources: Clean Water Act Section 319 non-point source funds, EPA, in-kind support from various federal agencies and other local groups, and monetary donations.

Mission Statement: "To improve water quality and habitats in the Animas River through a collaborative process designed to encourage participation from all interested parties."

Unique Features of Process

1. **Organization of group:** The ARSG is a volunteer group, with no official membership, including public and private interests. The group has minimal internal structure and no hierarchy, but there is a coordinator that keeps the efforts focused. Meetings are held once a month and are open to the public. They have used smaller working groups to handle specific issues and activities, but a feeling of teamwork prevails.
2. **How is the public involved:**
   - Smaller working groups do community outreach and activities to inform the public.
   - There is active recruitment through education and informational forums.
   - The group posts meeting minutes, a bulletin board, announcements, and links to data and reports as they become available on the group's website.
   - The public can provide input by mail, email, and personal communication with participants, or attend meetings.
3. **Problem solving technique:** A neutral facilitator was selected to begin the process, and later in the process, members chose a facilitator from their own group.
4. **Method of agreement:** Consensus.

Barriers

- Lack of landowner representation.
- Uncomfortable environment for participation, making it hard to get people to attend meetings.
- Lack of trust with agencies- many people don't trust federal and/or stage agencies.
- Convincing some people that an environmental problem actually exists.
- EPA felt uncomfortable with the stakeholder group having responsibility of setting actual water quality standards for the upper Animas Basin.
- Obtaining consistent funding.
- Balancing the discussion - keeping the scientific jargon out of the discussion.
- At the same time the group was meeting to set water quality guidelines, the U.S Department of the Interior chose the upper Animas Basin as one of two pilot sites for a demonstration project under its Abandoned Mined Lands Initiative. Many in the group viewed this designation as a top-down directive without local consultation and were concerned that the program would not be coordinated with their own efforts.

Keys to Success

- Tried active recruitment, loose group structures to foster greater involvement, and education forums for dealing with the challenge of lack of representation.
- Provided forums for information sharing, education, encouraged after hours interaction, and forced action in order to accommodate diverse interests.
- Used work groups to deal with scientific issues.
- Formed stakeholder groups to set water quality standards.
- Hired a neutral facilitator.
- If frustrated, group members were encouraged to write a letter to the person they disagreed with and give it to them. They could respond by the next meeting.

Projects, Activities, & Accomplishments

- Educational videos.
- Research on stream quality and habitats.
- Remediation projects.
- The group has worked with the Colorado Water Quality Control Division to determine Total Daily Maximum Loads (TMDLs) for individual substances. Twenty-nine TMDLs have since been implemented.

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References

Animas River Stakeholder Group:
http://www.waterinfo.org/arsg/main.html

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http://www.colorado.edu/law/NRLC/Publications/Watershed_Chapters/

Case 3. Applegate Partnership
Applegate Valley, Oregon

Summary/History

The Applegate River watershed encompasses an area of 500,000 acres of Jackson and Josephine Counties in southern Oregon, and Siskiyou County in California. Until 1992, environmental activists and the forest community had been involved in various continuing conflicts over the management of the region's public forestlands. Jack Shipley, a local resident and vice-president of Headwaters (a leading environmental organization), and Jim Neal, a central Oregon logger, established the Applegate Partnership in October 1992. They came together to discuss forest management issues, and after finding out they had plenty of common interests, they called together a group of people interested in watershed health to form a partnership. Fifty members, including various environmentalists, timber industry representatives, federal agency land managers, farmers, ranchers, and community representatives, attended the first meeting, and all participants were asked what their hopes were for the watershed. The process developed from there.

Key Points

Management issue: Community gathered to discuss common views about how the forest in their area should be managed**.**

Collaborative process used: A partnership was formed between local, state, and federal agencies and key community members to address local forest issues.

Date initiated and finished: The partnership began October 1992, and the process is ongoing.

Who started the process: Citizens and community advocates.

Who is involved: Environmental groups, timber industry, Bureau of Land Management, Forest Service, farmers, ranchers, and community representatives.

Community type and population size: The Applegate River watershed consists of a rural community of approximately 12,000 people.

Funding sources: Applegate Watershed Council, state lottery and other state agencies, various federal agencies, and foundations.

Mission Statement: "The Applegate Partnership is a community-based project involving industry, conservation groups, natural resource agencies, and residents cooperating to encourage and facilitate the use of natural resource principles that promote ecosystem health and diversity. Through community involvement and education, this partnership supports management of all land within the [Applegate] watershed in a manner that sustains natural resources and that will, in turn, contribute to the economic and community well-being within the Applegate valley."

Unique Features of Process

1. **Organization of group:** The Applegate Partnership is run by a board of directors with alternates, that include representatives from watershed groups, nonprofit organizations, the timber industry, Farm Bureau, local universities, loggers, and farmers. The organization is not hierarchical and does not have a permanent paid staff. There are no acting officers and no chairperson. The conveners of the meeting help facilitate them and rotate turns each meeting. Through collaboration they have learned to regard each other as decent people, not enemies.
2. **How is the public involved**: Although the meetings are not open to the public, representatives from different interest groups are well represented in the board of directors. In addition, newsletters are available to the public to view issues of discussion, and various education projects that build on local cooperation to provide for environmental, economic, and social needs, are available to the public**.**
3. **Problem solving techniques**:
   - People with strong positions are asked to chair a subcommittee to develop solutions.
   - Group uses consensus building techniques; using phrases like "being on the team," as a form of motivation and cohesion.

- The group took fieldtrips to the forest (in airplanes), held community potlucks, and drank beer together. Some people appeared together on panels, radio shows, and other area forums.

4. **Method of agreement**: The group reaches agreement by consensus.

Barriers

- Difficult to keep the interest in the partnership going.
- Difficulties were encountered when dealing with the Federal Advisory Committee Act (See Appendix D for more information on FACA). Federal agency representatives resigned from the board because of the partnership links to Adaptive Management Areas (AMAs).

Keys to Success

- Group initially met four times a month to ensure continuity in the process.
- No hierarchical structure, equal status encouraged for all participants.
- Participants are extremely committed to process, and have support from federal agencies.
- Points of agreement and common interests are identified, establishing a sense of place and importance of community.
- Avoided media and politicians, as they thought these would bring conflict to the process.
- Members are allowed to re-address an issue and return to decisions with additional knowledge.
- Does not avoid disagreements, as evasion can result in lingering doubt, reduced trust, or mounting anger that eventually explodes.
- Made time commitments flexible.

Projects, Activities, & Accomplishments

- Projects include: fire management projects, forest management strategies, watershed planning projects and monitoring, improving agricultural capabilities, and fisheries habitat.
- National recognition: The Department of Interior cited the Applegate Partnership's process as a model for other forest-based communities, and declared it one of the ten AMAs established in the west.

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Case 4. Channel Islands National Marine Sanctuary Marine Reserves
Southern California

Summary/History

On a clear day, when driving Highway 101 from Santa Barbara to Ventura, one can see four of California's Channel Islands. In March 1980, five of the eight Southern California Islands were designated as the Channel Islands National Park. In September 1980, the Channel Islands National Marine Sanctuary was created. The Sanctuary covers 1,252 square nautical miles of the ocean in which one-third of all of Southern California's kelp beds are found. These kelp beds provide food and protection to a wide diversity of marine species, including the spiny lobster, rockfish, and sea urchins. Because of this diversity and abundance, the Islands are a popular place for fishing. Local fishers began to feel the effect of this popularity, and in 1998 they approached the California Department of Fish and Game to recommend a 20% closure of fishing waters around the Channel Islands. The Sanctuary and California Fish and Game developed a joint federal and state partnership to consider reserves in the Channel Islands. Section 315 of the National Marine Sanctuaries Act authorizes the Secretary of Commerce to establish Sanctuary Advisory Councils.

Key Points

Management issue: Fisheries management, ecosystem management.
Collaborative process used: Sanctuary Advisory Council, with a Marine Reserves Working Group (MRWG) and two scientific panels.
Date initiated and finished: The process started in 1999, with several ongoing working groups.
Who started the process: Citizens.
Who is involved: Local, state, and federal agencies (California Fish & Game, NOAA, etc), commercial and recreational fishers, divers, environmental groups, general public, local universities.
Community type and population size: Urban community with a population of approximately 400,000.
Funding sources: State and federal.

Mission Statement: "Using the best ecological and socioeconomic and other available information, the Marine Reserve Working Group will collaborate to seek agreement on a recommendation to the Sanctuary Advisory Council regarding the potential establishment of marine reserves within the Channel Islands National Marine Sanctuary area."

Unique Features of Process

1. **Organization of the group:** There were 17 members in MRWG, which was designed to represent community perspectives. They reported to the Sanctuary Advisory Council (SAC). The science and socioeconomic panels provided technical expertise and guidance. The Council established the initial membership of MRWG, with 5 members from the Council. Replacements were handled directly by MRWG. The SAC consisted of no more than 20 voting members (Federal, state, regional, or local agencies, local user groups, conservation and other public interest organizations, scientific and education organizations, and members of the public interested in the Sanctuary) and were appointed by the Director of Ocean and Coastal Resource Management. Council members elected a Chair, Vice-chair, and Secretary. Members received travel expenses, including per diem. All issues and coordination of information was directed to the Sanctuary Manager. There are currently four active working groups (MRWG is inactive), and four ad hoc subcommittees (two inactive).
2. **How the public gets involved:**
    - MRWG sponsored three large public forums in Oxnard and Santa Barbara. Over 300 people attended each hearing, and the people were further divided into roundtable groups, with a member of the MRWG group acting as a facilitator. The Council held over a dozen public meetings in Ventura and Santa Barbara Counties. After receiving the work from MRWG, the Council hosted two public meetings and an evening public forum.

- Public comments during monthly public meetings and forums were submitted as e-mail, phone messages, letters, postcards, faxes, and comment forms.
- When a seat becomes vacant on the SAC, public notice is given in the form of newspaper ads.
- The CINMS has a website listing when meetings will occur as well as phone and email contacts.

3. **Problem solving technique:** The Sanctuary Manager appointed a SAC, which developed standing working groups and ad hoc subcommittees to work on specific issues. Two technical panels (scientific and socioeconomic) whose members were selected by MRWG provided information and recommendations to the group.
4. **Method of agreement:** Consensus.

Barriers

- Facilitator was not neutral and was almost fired by MRWG. The facilitator did not support the ground rules established at the beginning of the process (to be a science-based process).
- The two technical panels did not work together. The socioeconomic panel was constrained due to no baseline data on uses, non-consumptive values, or benefits of reserves.
- There was a lack of trust among members. There was no shared understanding, and they held differing worldviews. The conflict over science was never resolved. Many members did not think the process was legitimate (no buy-in) and thus did not participate in good faith.
- There were representatives in MRWG who did not deal in good faith; they began processes outside the group to undermine the group's decision-making and trust.
- Due to funding constraints, there were imposed deadlines that may have restricted the process.
- Everyone did not understand the purpose of the scientific panel. Some thought they were to provide data, while others thought they were there to provide recommendations (which they did). Thus there were some who thought the scientists overstepped their bounds.
- Incomplete representation - people were missing at the table. There was also an unbalanced representation of mainly consumptive uses.

Keys to Success

- Email or listserves can be a useful tool in working around issues outside the normal group process. One must be careful though, as email is easily forwarded which is used to inflame others. Listserves help to democratize the process.

Projects, Activities, & Accomplishments

- The California Fish and Game Commission approved a marine protected area in the Channel Islands.
- Collaboration brought conflicting parties to the table and got them talking.
- Agencies were made more accountable to the public as opposed to special interests.
- New relationships were built among the scientific community, the public, and the agencies. A new partnership was created between state and federal jurisdictions.
- Agencies within the federal division (National Marine Fisheries Service and the Sanctuary program in NOAA) are now talking together, despite differing mandates and missions.
- The public is better informed about the ocean, and new partnerships have formed among organizations.

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References

Channel Islands National Marine Sanctuary:
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Case 5. The Chesapeake Bay Program: Community Watershed Initiative Workgroup

Chesapeake Bay Watershed

Summary/History

The Chesapeake Bay is the largest and most productive estuarine system in the United States. It stretches for 180 miles, from the mouth of the Susquehanna River in Maryland to Cape Charles, Virginia, where it meets the Atlantic Ocean. The Bay's surface waters cover 2,500 square miles, and its watershed extends over 64,000 square miles, supporting a range of aquatic ecosystems and 2,700 species of plants and animals. Over 1.5 billion gallons of treated sewage is discharged into the watershed each day, not including the non-point pollution, which carry most of the pesticides, fertilizers, and other harmful materials. An initial watershed workgroup was started via word of mouth. People were notified that a group was forming in a self-nominating membership process, but the public was not openly invited. The only people invited were grassroots community watershed associations. The government became aware of this group, and in 1975 Congress directed the Environmental Protection Agency (EPA) to do an extensive investigation of the environmental health of the Bay. The study found that human activities occurring on the land within the Bay's watershed were a major source of the Bay's problems. As a result of this study, Virginia, Maryland, Pennsylvania, Washington, D.C., the EPA, and the Chesapeake Bay Commission agreed to become partners, and created the Chesapeake Bay Program in 1983.

Key Points

Management issue: Water quality improvement and watershed restoration of the Chesapeake Bay watershed.
Collaborative process: Development of a partnership, which resulted in the development of the program.
Date initiated and finished: The program was initiated in 1983. It is still an ongoing process.
Who started the process: Chesapeake Executive Council, which is comprised of officials (legislators) who signed the Chesapeake Bay Agreement.
Who is involved: Watershed organizations, different states' (Virginia, Maryland, Pennsylvania, Washington, D.C.) agencies, federal agencies (EPA), and local governments.
Community type: Urban community.
Funding sources: EPA and the National Fish & Wildlife Program. Each of the Bay states also provides its own funding.

Unique Features of Process

1. **Organization of group:** Two people, one of whom was the Executive Director of the Chesapeake Bay Commission, chaired meetings. The Bay Program is a hierarchy with federal government at the top, then states, and then local associations. A workgroup held six or eight meetings over a 6-month period. The process was based on drafting and redrafting a strategy. At subsequent meetings, participants made comments and gave their recommendations. The Chair would determine if they came to consensus on the issue.
2. **How the public was involved:** The public was initially involved in the process by word of mouth, and by open invitation to grassroots watershed organizations, which were represented in the partnership. Overall, the Bay program provides outreach materials that are distributed at the state level to the public regarding the watershed. The general public does not provide input in the process.
3. **Problem solving techniques:**

- Problems were solved by sharing information
- Established smaller workgroups that focused in more specific issues.

4. **Method of agreement:** Top-down approach, the Chair always makes decision (although it is supposed to be consensus).

Barriers

- Meetings were open to the public, but not advertised.
- Local government involvement was generally lacking.
- The place where meetings were held was not favorable to local watershed groups because of location and timing. Meetings were held weekdays outside their area. Input was thus limited to only two watershed organizations.
- The Bay program assumed that the right people were around the table.
- Not many people in the program were experienced in dealing with community citizens, like farmers and homeowners.
- Participation by all stakeholders was lacking overall.
- Power was not shared- some people had more influence than others. Decision-making was controlled. Watershed organizations were told what they could and could not do.
- Since this involved several states, some states were at different levels when it came to watershed coordination and did not want the EPA or Chesapeake Bay program taking over their programs.
- One state sent low-level people who had no authority to make decisions and even sent different people to each meeting.
- People presented ideas, but did not give up personal ownership of them.
- The program was time-restricted. A strategy had to be completed by a set date.
- A second draft came back that did not represent what was agreed to at the meetings. It represented hidden agendas.
- The final document ended up with little substantive material. Watershed representatives felt they had no ownership in the final document.
- Implementation areas were unresolved and the link between locals and the overall program has not been established.
- State agency personnel felt they were capable of doing what the watershed organizations were doing, therefore assuming that they were the ones getting the funding, and not the watershed groups. Watershed group representatives felt the Program was not relevant to them and wanted money, not mandates without any funding.

Keys to Success

- Progress from the program has been slow. By utilizing basic protocols and deciding that they were focusing on basic elements of the process rather than of the plan itself, they were able to make headway.

Projects, Activities, & Accomplishments

- The Community Watershed Strategy was developed. This strategy recommends the creation of a Community Watershed Task Force to evaluate the Chesapeake Bay Program in terms of its ability to build partnerships among these groups.
- The process opened doors and got people to share and/or learn from each other.

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Case 6. Coalition for Unified Recreation in the Eastern Sierras (CURES)
Eastern Sierra Nevada, California

Summary/History

The Eastern Sierra is a 300-mile long section of the eastern portion of the Sierra Nevada that has a wide range of recreational opportunities and great ecological diversity. In 1991, the District Ranger for the Inyo National Forest's Mono Lake Ranger District (Bill Bramlette) recognized the need for a focused recreation planning process, given the importance of recreation to the area's economy and to the losses sustained by local business due to protracted drought. In May 1991, Forest Service officials brought together state, local, and private interests to plan a workshop to discuss recreation in the region, as well as the potential to create a coalition dedicated to recreation management. This meeting resulted in the idea of having a workshop in October, which was organized and planned by the representatives over the summer. Approximately 200 people came to the workshop, including public agency representatives, chambers of commerce, private businesses, and environmental organizations.

Key Points

Management issue: Recreation and visitor impacts, as well as avoiding a duplication of efforts. Preservation of the area's natural, cultural, and economic resources.
Collaborative process used: Steering committee.
Date initiated and finished: The process was initiated in 1991 and is ongoing.
Who started the process: Forest Service officials from Inyo and Toiyabe National Forests.
Who is involved: Local, state, and federal agencies (National Park Service, Bureau of Land Management, two National Forests), recreation providers, chambers of commerce, tourists' bureaus, local businesses, and environmental groups.
Community type: Small, rural community.
Funding sources: Grants and donations, partly from the Forest Service, Farm bill, and California Department of Transportation (CALTRANS).

Mission Statement: "CURES is dedicated to preserving the Eastern Sierra's natural, cultural and economic resources and enriching the experiences of visitors and residents."

Unique Features of Process

1. **Organization of group**: The group is organized in a steering council of approximately 60 voting members, a coordinating committee, and several functional task groups. The task groups have focused on topics such as marketing, interpretation and education, and recreation resources inventory and planning. The coordinating committee consists of task group leaders and steering council chairpersons to develop meeting agendas, conduct CURES meetings, coordinate activities and projects between the task groups and the steering council, and collect and disseminate information. There is a chairman, and he/she rotates among the coalition's most active members. Overall, it is an informal group, with no specific funding or staffing, with voluntary membership and participation. Meetings are open to the public.
2. **How the public gets involved:**
   - The public participated at the initial workshop, where they had the opportunity to contribute to issues of recreation and establish a coalition with other members.
3. **Problem solving technique:** A "futuring" exercise was used to find common ground. Initially, about 50-60 people met at a campground to brainstorm about special places - their memories of the area. This group was whittled to 10 people who developed a vision statement to describe what the Eastern Sierra would look like in 2010.
4. **Method of agreement:** Consensus.

Barriers

- The group found out that participants don't know how to collaborate; they had to learn that democracy takes time.
- Participants had a mistrust of the agency (or agencies).
- There was a fear that the group would cater to the business and chambers of commerce in the area. The facilitator made sure that everyone's concerns were addressed.
- Polarization of participants would occur if issues were not addressed soon enough in the process.

Keys to Success

- A credible process was established by involving effective representatives of critical stakeholders.
- The process provided many opportunities for input. Participants developed good listening skills.
- The group was able to identify a common ground, which helped in developing a vision statement.
- The group established friendships among participants – stakeholders worked and played together.
- A sense of community was established with the process, and interest in the community emerged. People realized they have a passion for the place and therefore want to take care of it.
- Decisions were made for the good of the whole; they never chose the good at the expense of excluding part of the group.
- The group always avoided addressing issues that are highly controversial and/or political. They focused on problems and projects that have the potential to bring people together, raise awareness, and establish a sense of place.
- The coalition obtained multiple sources of funding.
- The group addressed the differences between environmentalists and developers/local business by creating a 'Balancing Task Force'. The task force focused on looking at the broader economic and environmental issues facing the Eastern Sierra.
- Someone is always in charge of keeping the process going when it begins to fail.
- The Inyo National Forest Supervisor gave full support, made the process a work priority for the Forest Service personnel who were active in the group, and even freed up some money for the CURES administration.

Projects, Activities, & Accomplishments

Photo courtesy of Nancy Upham.

- Multi-lingual publications, activities guide, art councils.
- Visitor survey inventory.
- Information kiosks at recreation sites.
- Highway 395 Scenic Byway designation proposal.
- Trust and willingness to listen, allowing groups with diverse interests to talk together.
- Due to wilderness designation issues, the area is becoming polarized again. The group will begin a new visioning process for 2020.
- The group is forming a non-profit 501(c)3 organization due to lack of available time to meet the needs of the group's various projects.

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References

Scenic Byway 395 Information on CURES:
http://www.395.com/index.shtml?/generalinfo/cures.shtml

Case Studies: Forest-Based Partnership Initiatives: Inyo National Forest:
http://www.nal.usda.gov/ric/cases/californ.htm

University of Michigan: Ecosystem Management Initiative Case Study:
http://www.snre.umich.edu/emi/cases/cures/index.htm

Case 7. Creeks Restoration/Water Quality Program
Santa Barbara, California

Summary/History

Santa Barbara has been faced with continuous growth over the last two decades, which has resulted in significant impacts to both the city and the environment that surrounds it. Gradually, Santa Barbara has lost natural creek channels, native habitats including sycamore, oak, and willow trees, and other important vegetation that contributes to the health of the creeks. Water from storms, run-off from lawns, sidewalks, streets, garbage, and other pollutants enter the creeks through storm drains and end up in the ocean, resulting in the closing of beaches due to water contamination. This significantly impacts not only the natural environment, but also the area's tourism industry. The Santa Barbara community, including local environmental groups, approached the City Council to address the problem of water quality and beach health. The City Council began a study and research of the area, and realized the problem was not just with the oceans; it included the invasion of non-native species, as well. They then polled the community to see the willingness of the Santa Barbara community to pay for projects involving clean creeks and beaches. From this, an initiative to add a 2% tax to hotel rooms emerged, was placed on the ballot, and was passed by voters in November 2000. An advisory committee was established to provide recommendations to the City Council and Creeks Coordinator, and to develop an overall water quality program.

Key Points

Management issue: Creek restoration and improvement of water quality in waterways and local beaches. Tourist impacts due to beach closures.
Collaborative process used: Citizen advisory committee.
Date initiated and finished: The effort began in 2001 and is ongoing**.**
Who started the process: Members of the community, including local environmental groups.
Who is involved: County of Santa Barbara, California Coastal Conservancy, State Water Resources Control Board, Regional Water Quality Control Board, California Resource Agency, Community Environmental Council, Growing Solutions, and University of California Cooperative Extension.
Community type and population size: Santa Barbara is an urban community of approximately 90,000 people.
Funding sources: Measure B funds (a 2% tax on hotel rooms passed in 2000), local and state grants.

Mission Statement: "To restore our creeks to a healthy state, provide the community with opportunities to enjoy the creeks and clean up the water so we can swim at our beaches. To succeed we must have the active participation of business, community organization, educators and every community member is Santa Barbara."

Unique Features of Process

1. **Organization of group:** The City established a new division in the Parks and Recreation Department with a fulltime manager and two staff members to coordinate both the creek restoration program and the clean water strategy. Public Works has assigned two full time and two part time staff members. Overall, there are five full time and two part-time employees involved in the program. The City Council appointed a Citizens Advisory Committee to assist in the development and implementation of the water quality program. Members of the advisory committee are City and County residents with expertise in environmental issues, land use, restoration, ocean issues, and education. There are four liaisons from the City Council, Park and Recreation Department, and Planning Commission, as well as a representative of the County of Santa Barbara Project Clean Water. Members are appointed by the City Council and a member of the committee chairs it. Subcommittees have been created to work on specific projects. All meetings are open to the public and are televised.
2. **How the public gets involved:** The public gets involved by attending public meetings, which are all televised (including the advisory committee meetings). All meetings are advertised through flyers

and newspaper ads. In addition, the program supported the development and operation of the South Coast Watershed Resources Center at a local beach, which provides educational displays about creek and beach ecology, information about water pollution, a research library, and a series of education programs. An informative brochure listing the program's achievements for the first year was prepared. It can be found on the program's website and was included as an insert in the local newspaper.

3. **Problem solving techniques:**
   - The program has an advisory committee that provides recommendations to the city.
   - There are subcommittees that work on specific projects.
   - The group does site visits to promulgate and implement the program.
   - The program holds work sessions, which are informal discussion meetings, without being televised.
4. **Method of agreement:** Majority rules.

Barriers

- The program is new. There have been many opinions about the way the program is going, with very high expectations and very little patience.
- It has been complicated to address issues and explain all the parameters involved in the project.
- Committee members carry too many different agendas, making the process sometimes inefficient. Initially, the committee had false expectations about their role, which they thought of as being the community watchdog, to oversee that funds were appropriately spent.

Keys to Success

- The program has an excellent chair on which the committee can rely.
- The program is strongly supported by the community.
- The program will go through an introspective process, in which they take a step back to look at the results of their efforts. For this, they have contracted a consultant who is focused on pointing out what they are doing right, what they are doing wrong, and areas the program needs to target.
- Having the meetings televised helped to formalize the process.
- Members get together outside the meetings to get to know each other better.

Project, Activities, & Accomplishments

- Implemented street sweeping to prevent pollutants from ending up in the creeks.
- Implemented creek restoration projects and creek clean-ups.
- Created a water quality program.
- Studies have developed involving a master plan for storm drains and implementing a watershed planning process.
- As part of the implementation phase, they will step back to see if they have been effective with their projects. They will look to see if the projects have been strategically placed at the hot spots for poor water quality.

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References

City of Santa Barbara, Parks and Recreation Creeks Restoration Program: http://ci.santa-barbara.ca.us/departments/parks_and_recreation/creeks/index.html

Case 8. Fishlake National Forest: Paiute ATV (All Terrain Vehicle) Trail Committee

North Richfield, Utah

Summary/History

Central Utah is an area that offers millions of acres of desert plateau, unique ecological formations, and lush forests. Although the State of Utah has magnificent landscapes, many destination points are far from Fishlake National Forest, leaving the south and central part of the state out of the tourist industry. Business leaders were looking for something that would hold people for a few days, and help stimulate the economy, possibly a destination recreational opportunity, which would bring people with money into the area. The process started at the back of the tailgate of a pickup truck in the community of Circleville, Utah. A Paiute County commissioner and an engineer from the Forest Service talked about road and trail closures, and loss of access to their favorite hunting spots on Circleville Mountain. In addition, local tourism groups were looking for an activity to keep people in the area to recreate and spend money. Various interested groups began to share their concern, and the Paiute ATV Trail Committee formed, resulting in a join venture involving more than 40 public and private entities.

Key Points

Management issue: Maintaining recreation opportunities while at the same time, enhance the local economy.
Collaborative process used: Formation of a committee.
Date initiated and finished: The process started in 1989, and is still ongoing.
Who started the process: A Paiute Commissioner and an engineer for the Forest Service.
Who is involved: Fishlake National Forest, Bureau of Land Management, Utah Division of Parks and Recreation, private individuals, representatives of local, state and federal governments, small businesses (50 partners).
Community type and population type: It is mainly a rural community with approximately 6,500 people.
Funding sources: Committee sells stickers, hatpins, belt buckles, key chains, and maps, among other items. The Forest Service holds two jamborees each year, and the donation goes back to the committee for each registered rider. The budget is about $10,000 per year.

Mission Statement: "The Paiute ATV trail system provides quality recreational opportunities, facilities, and education for ATV enthusiasts from around the country; promotes wise land use and stewardship; and maintains and enhances the integrity of responsible ATV use on the ecosystem."

Unique Features of Process

1. **Organization of group**: The Committee is incorporated, with a chairperson, vice chair, and secretary/treasurer. There are rules of incorporation and a management plan that guide the committee's efforts. Most topics are discussed openly in meetings, and are voted on by members present.
2. **How the public was involved:**
   - The public is involved in open committee meetings, which resemble town meetings.
   - The public is kept informed through the media, including the local newspaper.
   - There are public hearings, in which the public can express and share their ideas.
3. **Problem solving technique**: As mentioned above, the committee solves all problems. Meetings are open to the public.
4. **Method of Agreement:** Consensus.

Barriers

- There have been legal challenges posed by environmentalists, to challenge the motorized efforts. User response was aggressive to fight the lawsuit, which was successfully defended.

- Some people thought the ATV Trail was a silly idea.
- There are some people attending the meetings that have an agenda of sabotage.
- Levels of funding are low.

Keys to Success

The main key to success is the fact that all participants have a common vision, shared by all members who want the trail to succeed for different reasons.

Projects, Activities, & Accomplishments

Brochures and displays have been developed to advertise the trail. Partnership projects have been implemented with the Forest Service and Bureau of Land Management for trail safety and maintenance. Kiosks, cattle guards, and barrier bridges have been built to fix problems along the trail. A website is underway.

Marysvale Kiosk construction. Photo courtesy of Max Reid.

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References

Paiute ATV trail information:
http://www.piute.org/Attractions/atv_trail/atv1.htm

Case Studies: Forest-Based Partnership Initiatives: Fishlake National Forest: http://www.nal.usda.gov/ric/cases/utah.htm

Case 9. Greater Flagstaff Forests Partnership
Northern Arizona

Summary/History

The Ponderosa Pine forests of Northern Arizona have been radically altered during the last 120 years by logging, grazing, fire suppression, and other activities. The changes to the forest have both increased the potential for catastrophic fire and have had an adverse affect on biological processes and aesthetic values. The possibility of restoring the health of the forest in the urban-wildland interface (where homes and other human development intermingle with wildland vegetation) has been a concern for land managers, fire service personnel, landowners, and other concerned citizens. In 1996, there was a historic fire season in and around the city of Flagstaff. Key community participants came together to find a way to protect the community from catastrophic fires. A cooperative agreement between the Coconino National Forest and the Grand Canyon Trust was created, and the Trust formed a partnership with other local stakeholders to undertake a series of projects to reduce fire risk and begin a restoration process for the forest.

Key Points

Management issue: Forest management, improve water quality, and ensure safety to local business and residents of the urban-wildland interface.
Collaborative process: The development of a non-profit organization with local stakeholders.
Date initiated and finished: The partnership was established in 1996 and is ongoing.
Who started the process: Key community participants came together. Four organizations formed the basis for the Partnership: Coconino National Forest, City of Flagstaff-Fire Department, Northern Arizona University, and the Grand Canyon Trust. The Coconino National Forest is a cooperating organization.
Who is involved: The formal partnership agreement between the Greater Flagstaff Forests Partnerships, Inc. and the Forest Service include local, county, and state agencies, universities, U.S. Fish & Wildlife Service, and various environmental organizations.
Community type and population size: Urban communities raging between 25,000 to 100,000 inhabitants.
Funding sources: The Forest Foundation provides funds and in-kind services for program coordination, facilitation, and implementation. Funding and in-kind services also come from the Forest Service and Arizona Game and Fish Departments.

Mission Statement: "To demonstrate new forest management approaches that improve and restore ecosystem health of Ponderosa Pine forest ecosystems in the Flagstaff urban-wildland interface area."

Unique Feature of Process

1. **Organization of group:** The partnership consists of a board of directors, staff, management team, a Partnership Advisory Board (PAB), and other interested parties who contribute at meetings, but do not have voting rights. The working teams (Program, Utilization & Economic, Public Information/Involvement, and Multi-Party Monitoring teams) provide support and research to the PAB. The PAB advises the Partnership (Board of Directors) and consists of representatives from a variety of local, federal, and state agencies as well as local environmental organizations. A partnership management team keeps day-to-day activities going with weekly meetings that are open to the public. There is an ecological, economic, and social vision for the Partnership.
2. **How the public is involved:** The PAB meetings are open to the public, but since the meetings are held during regular business hours, the general public cannot usually attend. The public may become a voting partner, but if not, they can still contribute comments and receive project updates. The Partnership tries to involve as many organizations as it can to represent the various community members. In addition, the Public Information/Involvement team gets the word out to the public, through the media, and their website. The partnership held several town meetings and field trips for groups and organizations. Each year in the spring, a Forest Festival is held for the community.

3. **Problem solving technique:** The partnership successfully solves problems by having a formal partnership with a written agreement between all parties. In addition, there is an advisory board to the partnership that contributes to the decision-making process.
4. **Method of agreement:** Unanimity (by vote).

Barriers

It is difficult working with different organizational agendas and individual egos. Many people can't set these aside when they come to the table. They may use the Partnership to pursue their own agenda. There are those who do not believe in the Partnership's mission and do not join, but those who do join sign an agreement.

Keys to Success

- The size, composition, and organizational structure of the group have been a success.
- Due to the community structure and capacity (Flagstaff is a hub for government agencies, non profits, etc), utilizing a formal partnership approach was the best alternative for this area.
- The decision-making process is perceived as adequate.
- Funding is adequate to meet short-range goals.
- Officials have support from federal, state, and local agencies.
- They use a science based approach to problem solving.
- The partnership has adequate public awareness and support.

Projects, Activities, & Accomplishments

- Various forest management and restoration plans for Flagstaff's wildland-urban interface.
- Northern Arizona University students for the Fort Valley Ecosystem Restoration Project near Flagstaff have erected interpretive signs.
- The Kachina Village Project is a forest-thinning project to reduce fire threat.

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References

The Greater Flagstaff Forests Partnership: http://www.gffp.org

Case 10: Hawaii's Natural Area Reserves (Natural Areas Working Group)
The Big Island (Hawaii)

Summary/History
The Natural Area Reserves System (NARS) was created by the State of Hawaii "to preserve and protect representative samples of Hawaiian biological ecosystems and geological formations." This system is composed of 19 reserves on five islands, with areas ranging from coastal ecosystems to lava flows, tropical rainforests, and a desert. These areas host a diverse array of animals and plants, including native and rare plant species. It is also an area where locals have traditionally hunted pigs. In the early 1990's, a group of pig hunters came upon a new fence that barred entry into a local favorite hunting area. They hadn't been notified, even though they had been working with Division of Forestry & Wildlife (DOFAW) on access issues. After the legislature ordered the DOFAW to hold public information meetings, they began organizing a working group. The Hawaii NARs manager along with hunters & environmentalists identified interested parties as participants. DOFAW contacted the Center for Alternative Dispute Resolution (CADR) to get a list of qualified facilitators to lead the public information meetings.

Key Points
Management Issue: Conflict resolution- ecosystem damage vs. traditional cultural practices.
Collaborative process: Working Group.
Date initiated and finished: The effort began in 1994 and is currently ongoing.
Who is involved: Environmentalists, community activists, representatives of hunting interests, representatives of state and federal conservation and game agencies (20 members total), Hawaiian cultural practitioners.
Community type and population size: This is a rural community with an island population of 120,000.
Funding sources: Federal agencies and local chapters of environmental organizations gave financial support to members to attend meetings, and in-kind office support. The Department of Land and Natural Resources (DLNR) provided funds for facilitators, rental of meeting halls, printing and mailing of group memories and reports.

Mission Statement: How do we fairly balance and accommodate the various interests that have a stake in the NARS and maintain a healthy forest and social community?

Unique Features of Process
1. **Organization of the group:** The public is invited to the meetings, but is not allowed to speak. They must go through an organization represented at the table. Initially there were bi-weekly meetings, followed by two rounds of public information meetings.
2. **How the public gets involved:** The public can attend working group meetings (which are composed of citizens) and public information meetings.
3. **Problem solving technique:**
   - Comments written on flip-chart paper to ensure everyone is understanding.
   - After debating issues, group merges issues into overarching categories.
   - Members designed community meetings.
   - Inclusion of traditional Hawaiian prayers.
   - Meeting documented by "Group Memory" in which discussions, decisions, and future issues to be discussed later are reiterated. These were sent to each participant before each meeting and reviewed for clarification at the beginning of each meeting.
   - Members were asked to discuss personal values they hold regarding cultural traditions and the environment.
   - Hunters were asked to draw maps of their local hunting areas.
   - Two facilitators were hired from CADR to lead the groups.

- Consensus was achieved by proceeding step by step in a sequential process.

4. **Method of agreement:** Consensus.

Barriers

- It is hard to keep the process going.

Keys to Success

- Having trained facilitators.
- More information shared by each member regarding his/her interest and values in the land through discussion.
- Representation of general public by group members, who present results to the community and ask for more input from those they represent.
- Give equal time and weight to everyone's interest: this establishes basic level of trust.
- The Natural Areas Working Group (NAWG) was supported at many governmental levels.
- Maintenance and support for cultural traditions (i.e. traditional Hawaiian prayers at the meeting).
- Establishing relationships outside the meetings.
- Establishing the "rules of the road" at the beginning of the process. Appeal to the broader goal/mission.

Projects, Activities, & Accomplishments

- Resolution No. 248 was passed in support of these recommendations.
- Other advisory councils have formed and the NAWG assists as an expert group.
- Enactment of a law for new fines and penalties for poaching.
- They meet quarterly to focus on state legislation, audits of funding for game management and hunting programs, increasing funding for game management, and protection of native Hawaiian species.

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References

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Case 11: Klamath Bioregion Project
Northern California- Trinity County, Eureka

Summary/History
In 1991, 10 state and federal agencies signed the Memorandum of Understanding (MOU) called "the Agreement on Biological Diversity." Talks had already been underway in the Klamath region (unrelated to the MOU), called the Timberland Task Force. This group was formed to build local support for its efforts, while gathering ecological information about wildlife-habitat relationships and to reconcile agency practices. A smaller effort was started by agency ecologists, called the Interagency Natural Areas Coordinating Committee (INACC), that focused on the coast. Thus, the Klamath Bioregion Project was started to incorporate the entire area. To see how the idea of a bioregional council would be received, state level officials hired two contractors to convene two bioregional meetings.

Key Points
Management Issue: Integrated resource management, endangered species.
Collaborative process: Executive Council, and within each bioregion, a Bioregional Council, and Landscape or Watershed Association.
Date initiated and finished: It began in 1991, but it did not finish in the same context as how it started. It ended with a small sub regional group.
Who is involved: California Resource Agency, local watershed groups, landowners, local government, other state agencies.
Community type: Rural community.
Funding sources: California Resource Agency ($20,000), Bureau of Land Management (BLM) and Forest Service ($20,000 together). California Department of Forestry (CDF) and Fire Protection (in the latter stages).

Mission Statement: Not available

Unique Features of Process
1. **Organization of the group:** The overall MOU establishes an Executive Council chaired by the Secretary of the Resources Agency and composed of the top officials in each of the resource agencies in California. The major work is accomplished through the establishment of Bioregional Councils and Landscape or Watershed Associations. In the Klamath bioregion, independent contractors were hired, but the first one lost the contract on the allegation of misappropriation of funds. Two others were hired, one a resource economist with the Cooperative Extension of the University of California at Berkeley; the other was formerly a university anthropologist.
2. **How the public got involved:** The public got involved through the use of two scoping meetings, to determine what the issues were in the area. At the second scoping meeting, participants thought that the Klamath bioregion was too big to serve as the guiding principle, so they divided themselves into four groups representing each sub region, and decided to meet separately within these regions.
3. **Problem solving technique:** In each bioregion, a Bioregion Council or Watershed Association was formed.
4. **Method of agreement:** Consensus.

Barriers
- Contractors quickly distanced themselves early from agency officials, which helped to initially establish an air of neutrality, but it raised monitoring questions for the contract managers in the state.
- Contractors pursued their own agenda, envisioning the projects as a grassroots effort. They were not organizationally independent from the Executive Council, due to their university ties.

- The idea of a bioregional council came apart due to the issue of travel time. The new sub-regional groups met in the population centers, which happened to be county seats. Thus the groups conformed more to existing jurisdictions rather than biogeographic criteria.
- There were funding problems. One contractor had to volunteer his services.
- The new partnership with CDF killed the idea of the bioregion council, supporting the subgroups instead.
- There was a lack of oversight.
- Line managers in most agencies resisted cooperation. (Exception: BLM.) Line managers place great value on autonomy, and contractors aggravated this by stating that the agency officials should play a passive role.
- The agency with the most at stake (Forest Service) was not prepared to participate.

Keys to Success: Not applicable.

Projects, Activities, & Accomplishments

- With the lack of support from the local Cooperative Extension advisors, who only joined for personal or professional reasons (with 2 advisors taking over 3 subgroups), the initial contractor ignored the three other groups and focused on Trinity County. This group was composed of agency officials from BLM and the Forest Service and county supervisors from Trinity and Humboldt Counties. It began as an advisory council, developing strategies to involve a broad array of stakeholders, as outlined in the MOU. Interest in Humboldt County waned and was no longer a watershed organization.
- The second year brought on a Trinity Bio Region Group, comprised of several dozen local stakeholders (environmentalists, timber workers, miners, ranchers). Consensus was difficult to reach, so each faction submitted its own proposal, but the group never reached consensus on them. Then the group began to perceive the contractor favoring some proposals over others. When the state and federal money came in, the situation worsened as the funds were doled out on a competitive basis. Group members then pushed the contractors out.
- Some agencies were able to work better with watershed organizations and sub-regional groups than others. BLM works routinely with these groups; the Forest Service does not.

Contact Information

Not available.

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California Biodiversity Initiative: http://ceres.ca.gov/biodiv/Bioregions/klamath.html

Case 12: Massachusetts Watershed Initiative (MWI)
State of Massachusetts

Summary/History
The MWI was formed when the Massachusetts Secretary for Environmental Affairs, Trudy Cox, brought together watershed organizations and watershed interests to assist in making informed environmental decisions. At a Watershed Forum attended by government, business, and non-government organizations (NGO's), representatives agreed to develop an approach to watershed management. The Watershed Initiative Steering Committee (WISC) was charged with developing and testing a model approach for how to assess, plan, and make decisions about the state's watersheds.

Key Points
Management Issue: Development of a statewide initiative to address watershed planning.
Collaborative Process: Advisory committee, and watershed teams.
Date initiated and finished: The MWI began in 1991. Unfortunately, due to budget cuts, the program is no longer funded by the state.
Who is involved: State, local, and federal agencies, environmental organizations, business interests.
Community Type: Rural and urban communities.
Funding: State funds, private donations. Individual watershed groups also obtain outside grants.

Mission Statement: To use the watershed approach to restore and maintain the integrity of state waters so that they support current and future multiple uses while protecting the natural resources.

Unique Features of Process
1. **Organization of the group:** The WISC is an advisory committee to provide advice and guidance to the Secretary of Environmental Affairs on the development and implementation of the Watershed Initiative. Each of the 27 watersheds has a watershed team led by one of 20 full time team leaders who work for the Executive Office of Environmental Affairs (EOEA). Each of the watershed teams forms a community council and stream team to engage the public in key aspects of watershed planning.
2. **How the public gets involved:** The public is involved in sub-watershed stream teams that are used to monitor water quality and undertake shoreline surveys of river or stream segments.
3. **Problem solving technique:**
   - Watershed Initiative Steering Committee.
   - Watershed teams: Assist watersheds in overall planning and implementation through the development of annual work plans and five-year watershed plans. Teams are equally accountable to the Secretary of Environmental Affairs and to the community for the plans and deliverables identified in the plans.
   - Watershed Community Councils are formed in each watershed, established by the Watershed teams. These are designed to get a broader group of community leaders and citizens involved in the key aspects of watershed planning.
   - Citizen Stream Teams: On a sub-watershed level, local stakeholders are brought together to address non-point source pollution-gathering info, identify natural resource management issues, liaise with citizens and watershed groups, take action to resolve problems, and protect local waterways.
   - At the state level, an interagency roundtable was established to coordinate resource allocation to support watershed teams and help set priorities for the EOEA agencies.
4. **Method of agreement:** Consensus.

Barriers

- Passivity, resistance to change, and the failure to recognize potential benefits that may be garnered through participation.
- To bring all three agendas together, stronger outreach to local municipalities, businesses, and the broader public is needed. They asked, "How will we address conflicting missions and mandates among participants?"
- In the Neponset River example, the meetings were less represented by local than state interests, partly due to the compressed schedule. This process began with an assessment phase rather than an information phase, allowing less time for public outreach.

Keys to Success

- State Commitment: In 1997, the state realigned its Department of Environmental Protection regional staff into watershed teams, which was followed by reorganization throughout EOEA. The EOEA then dedicated full time basin team leaders to coordinate the work of cross-agency teams in each of the state's basins.
- Those inside and outside of government must develop a collaborative approach to exchange information that is not top-down. This is critical for buy-in purposes, so that everyone shares responsibility for stewardship of the watershed.
- The MWI focuses financial and other resources on building local grassroots watershed organizations.
- Watershed partners bring additional resources to the table and are able to move more quickly because they have less risk involved. They also play a key role in communicating the issues and benefits to the communities and elected officials.
- State employee participation on the watershed teams allows for general state oversight and allows technical staff to participate as consultants to a larger number of projects, which they could not handle if they were solely responsible for managing one project.

Projects, Activities, & Accomplishments

- Provided funding for a variety of watershed projects, such as fish habitat, community preservation, breaching a dam, and for environmental education.
- Pilot project in Neponset River Watershed. They had a technical advisory group that was to share info with the sub-watershed groups and others. The goal was to open lines of communication between agencies and local partners and to make available technical info to local groups. They were successful in bringing together the government agenda with the professional agenda, and less successful bringing about a convergence between these two and the popular agenda. As a result, there was improved communication and working relationships within government and between government and NGOs.
- Unfortunately, the state has ceased funding for this initiative. Individual watershed organizations however have been obtaining outside funding and are continuing their efforts.

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References

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Massachusetts Watershed Initiative: http://www.state.ma.us/envir/mwi/watersheds.htm

Case 13: Minnesota Sustainable Development Initiative
State of Minnesota

Summary/History

Two Minnesota leaders, Bob Dunn (first citizen chair of the Environmental Quality Board) and Rod Sando (new head of the Department of Natural Resources) got together to talk about developing a plan for sustainable development. Dunn felt that the various state agencies needed a strategic plan for the environment to guide them towards a common goal. Sando was very supportive of the idea, as he had been following similar efforts in Canada. Both came to support the initiative, and convinced other members of the Environmental Quality Board, the Commissioner of Trade and Economics, and the Governor to do so as well.

Key Points

Management issue: Sustainable development.
Collaborative process: Initiative teams.
Date initiated and finished: It began in the spring of 1993 and is currently ongoing.
Who is involved: General public, legislators, state agency representatives, Governor of the State of Minnesota.
Community type: The initiative covers the entire state, thus it is a mix of urban and rural communities.
Funding sources: Each of the seven state agencies supported the effort by reallocating resources.

Mission Statement: "The needs of the present must be met without sacrificing the ability of future generations to meet their own needs."

Unique Features of Process

1. **Organization of the group:** There were seven initiative teams, selected by the Environmental Quality Board based on issues the Board believed were in need of future study. These were: Agriculture, Energy Systems, Forestry, Manufacturing, Mineral Systems, Recreation, and Settlement. There were 15 citizens in each team, which was chaired by two people, one representing the environmental community and the other representing the economic development community. Agency staff was involved in the team most closely linked its own agency. Each team was assigned an expert facilitator to help the co-chairs and staffs plan and run team meetings. The staff from each team met monthly to compare notes and share solutions to problems they faced. All team meetings were held in June, October, and November to allow each team to share with the group their experiences, concerns, and progress. As a result of recommendations from the entire group, the Governor's Round Table was developed with 30 members from business, environmental, and community leaders. Half of the group was selected from the initial seven teams. Their task was to consider how Minnesotans could provide for their long-term environmental, economic, and social well being.
2. **How the public gets involved:**
   - Seven initiative teams, as described above. The members were selected by the Board because they were considered leaders in the interests of their team.
   - Governor's Round Table, as described above. The group identified six challenges that Minnesotans must face in order to move towards sustainable development. They also listed five principles and policy characteristics needed to meet these challenges.
3. **Problem solving technique:**
   - Each team was led by an expert facilitator, as well as two co-chairs, who were members of each team.
   - The teams were asked to use the vision defined in "Minnesota Milestones," which were the indicators and long-range reports at the time. Each team was given a scoping issue in which to

develop their recommendations. In addition, all teams came together to develop a vision reflecting the work of all the teams.

- At the all-team meetings, experts came to speak about their key fields, workshops were held, and there were panels and small group discussions on other issues such as land use, full-cost accounting, and tax policy.
- "Five-finger voting" was used in the Governor's Round Table as the basis for consensus to gauge the extent of committee support for an issue. A five indicates "total and enthusiastic support," while a two indicates "can live with it." A one is a blocking vote indicating a member cannot accept it.

4. **Method of agreement:** Consensus.

Barriers

- It was difficult to convince those not at the table that the solutions represented progress and not a watered-down compromise, because they were never able to sit down with the other side to understand the legitimacy of the other side's position.
- Many people lost interest in the process, as it took time, and because of frustrations they felt with administration leaders failing to implement their recommendations.
- Many agency personnel are concerned with their program's survival, rather than finding new ways to enhance its operation.
- Many people did not see that there was a problem, and felt content with status quo.

Keys to Success

- Have qualified neutral facilitators.
- Each group developed its own set of guiding principles. This helped each group find common ground and gain ownership of the final product.
- The Board selected the right people for the teams. They established criteria for the group including credibility, stature in the community, interest in sustainability, openness, geographic balance, gender balance, and cultural diversity.
- Early on in the process, find the "early adopters," those that are extremely committed to the issue.
- Find the right words. For example, members of the Agriculture team pointed out the implications of the word "ecosystem" about which the environmental members were not aware. They agreed to the phrase "natural systems" in its place.

Projects, Activities, & Accomplishments

- The seven teams created a report on the guiding principles for sustainable development in their areas.
- As a result of this report, a strategic plan was developed by the Board and Initiative, which was signed by the Governor in August 1995.
- A planning guide for local sustainable development was created.
- Several state goals were signed into law, and buildings with sustainable designs were created.

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References

Guide for Local Sustainable Development:
http://www.mnplan.state.mn.us/pdf/2002/Underconstruction.pdf

Minnesota Sustainable Development Initiative:
http://www.mnplan.state.mn.us/SDI/

Case 14. Northumberland Coast-Jet ski Conflict Resolution

Northeast England coast

Summary/History

On the Northeast England coast, there were issues of pursuing integrated coastal zone management (ICZM), with a focus on developing a strategy for water-based recreation, specifically for personal watercraft. This study was undertaken by Maggie Roe, of the School of Architecture, Planning, and Landscape, at the University of Newcastle upon Tyne, to find the best solution to resolve the conflict of jet-ski use in this area.

Key Points

Management issue: Conflict resolution, recreation management.
Collaborative process used: Steering group, with secondary consultees.
Date initiated and finished: The study began and ended in 1996.
Who is involved: Water sports organizations, commercial/pleasure/boat owners, coastal parish councils, coastal landowners and commercial organizations, Environmental Agency, English Tourist board, Coastguard, Marine Safety Agency.
Community type and population size: Rural communities to the north, with a larger urban population of approximately 65,000 to the south.

Mission Statement: "…develop a strategy for sustainable water-based recreation…"

Unique Features of Process

1. **Organization of the group:** The study consisted of a steering group for initial consultation, composed of thirteen representatives from sports and land councils, Council for Environmental Agency, English Nature, etc. Secondary consultees were composed of regulators and agencies, sports and recreation clubs and key individuals, sports and recreation organizations and associations, commercial/pleasure boat owners, coastal parish councils, coastal land owners, and commercial organizations.
2. **How the public got involved:**

- The researcher used face-to-face contact followed by telephone and mail correspondence for the steering group, face-to-face or telephone interviews for the regulators and agencies, and mailed letters and questionnaires for the secondary consultees.
- Workshops were held with study members to develop a matrix of policy, resource capacity, and sport and recreation demand. This matrix was tested with the steering group.
- A "Register of Coast Users" was established that included stakeholders from conservation and recreation groups and local communities. This group was consulted on codes of practice or any controls/restrictions placed on water-based recreation.

3. **Problem solving technique:** The steering group and secondary consultees were utilized to develop a possible solution to the jet-ski conflict on the coast.

Barriers

- It was difficult to get information from personal water craft (PWC) users, as there was no single group claiming to represent their interests. Publicity also generated little response.
- It is difficult to determine trends in recreational use from the complexity of data gathered for use in developing a strategic framework.
- Multiplicity of jurisdictions causes problems when trying to find the best solution that fits under all jurisdictions' zoning laws.
- A lack of funding has prevented zoning recommendations from being enacted.
- The Northumberland Coast Service has been disbanded, and focus has been placed on other pressing issues in the county.

Keys to Success

- A researcher obtained data on participation rates and demands on the resources.
- Information was sorted into three categories covering policy, resource capacity, and sport and recreation demand. Matrix tables were used for each area. Tables were useful in discussions with the steering group in summarizing large amounts of information in a short amount of time.
- By characterizing PWC owners and PWC use, this helped to identify user requirements on the coast. This determined which tool was appropriate to manage the use. Educational programs received a poor response. The "Plan and ban" approach sought public support for laws banning PWCs from all coastal Special Areas of Conservation (SACs) and beaches monitored under the European Union Bathing Water Directive. But representatives in the boating industry thought that this command and control approach would marginalize PWC owners.
- The conclusion was that a "carrot and stick" approach was the best approach, based on self-regulations of users and peer pressure. This required getting the influential individuals involved in the activity to agree to and help to implement codes of practice, the design and introduction of facilities, and the development of zoning and restriction of activities.
- The study determined that getting people involved early in the process, as well as finding out how people think the resources should be used in the future, was more successful.

Projects, Activities, & Accomplishments

- Identified general trends in water-based recreation, and determined the hot sports. Hot sports were identified from a combination of inadequate provision of access or water space and/or major conflict with resources or other users. Physical management of access has proven to be a success, although there is some problems with limiting speed.
- They found that there were no sites where PWCs were welcome, as they conflicted with all other users.
- One region has appointed a sports officer to help resolve conflicts.
- Voluntary agreements on PWC use was initiated by PWC users. This is working well, along with time restrictions and zoning.
- The Coast Recreation Management Group consisting of officers from applicable local and central government planning authorities were responsible for implementation of the Recreation strategy.

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References

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Case 15. Owl Mountain Partnership

North central Colorado. Jackson County, Colorado

Summary/History

Owl Mountain is located southeast of Walden, Colorado. The North Park Habitat Partnership program (HPP) was approached by a group who gave them a grant (Seeking Common Ground) to establish an ecosystem-based management program. The HPP is a collaborative process to resolve conflicts between livestock and big game animals and is part of the Colorado Division of Wildlife (CDOW). As eight government agencies came together to discuss ecosystem management as a tool for resolving resource conflicts such as water quality, livestock grazing on public land, and invasive weeds, local ranch owners were skeptical about the process. Soon a steering committee was developed with local landowners, business people, the local university, several federal agencies, and state and local government agencies.

Key Points

Management issue: Multiple resource conflicts triggered the effort. They also wanted to get away from a top-down approach, and avoid lawsuits and public hearings by using a collaborative process.
Collaborative process used: Steering committee.
Date initiated and finished: The effort began in 1993 and is ongoing.
Who is involved: Local agencies, landowners, business people, ranchers, timber industry, outdoor recreation, Colorado State University, federal and state agencies (Forest Service, Bureau of Land Management (BLM), National Park Service (NPS), Natural Resource Conservation Service, CDOW, and Colorado State Forest Service (CSFS).
Community type: Rural community.
Funding sources: BLM, Environmental Protection Agency (EPA) Clean Water Act Section 319 money, Forest Service, and state, federal, and private sources. Currently, it is funded by $20,000 in BLM funds.

Mission Statement: To serve the economic, cultural, and social needs of the community while developing adaptive long-term landscape management programs, policies, and practices that ensure ecosystem sustainability.

Unique Features of Process

1. **Organization of the group:** The Owl Mountain Partnership (OMP) has by-laws, and is the governing body to define, approve, and establish goals and objectives and budgetary matters. The steering committee is where all formal recommendations and actions originate. Decisions of the group are "advisory." No meetings are held in August, as it is when ranchers are the busiest and federal agency representatives are on vacation. Most meetings are held in the town of Walden, but they can be elsewhere or in the field. Ideas are brought to the steering committee; the presenter gives pros and cons, and then the committee ties it to their objectives. Subcommittees do in-depth work.
2. **How the public gets involved:**
   The OMP sends out newsletters, sponsors public events, announces meetings in the newspaper, and take stakeholders who are not at the table on tours of their ongoing projects.
3. **Problem solving technique**

- The steering committee is comprised of the above members. To apply, members submit an application. The current members discourage more than one representative from any one agency.
- Bring up the conflicts/tensions, and talk about it. (Open Space technology)

4. **Method of agreement**: Consensus.

Barriers

- There was a lack of broad stakeholder representation.
- Individuals early on were trying to wreck the process.

- It was difficult to build trust. For example, there was a grant proposal to seek water quality monitoring money. The local government thought the group was intruding on their turf. The ranchers didn't like the inclusion of livestock grazing as a possible cause of sedimentation.
- Working with diverse interests takes time.

Keys to Success

- Start at the local level, not by the government. Ensure that there is extremely strong support from the local level that is willing to take on responsibility.
- Obtain high levels of citizen involvement. Constantly review to see who is not at the table. Keep in touch with organizations that are not at the table if the issues deal with them.
- Don't let early failures distract the process. Don't let insults distract you from the goals of the group.
- Bring up the conflicts/tensions, and talk about it.
- Get to know members outside of the formal partnership meetings - for example, coffee, barbeques, and workshops. It helps to build trust and find common ground.
- Every member should understand the importance of listening and keeping focused. Remember why you are doing it and what the goal is. Ask a lot of questions if answers are not being addressed at the table.

Projects, Activities, & Accomplishments

- Wetlands were created for waterfowl on a BLM grazing allotment with the cooperation of local ranchers, the permittee, Ducks Unlimited, and Colorado Division of Wildlife.
- The group is working with other ranchers to develop land management plans for economic, biological, and cultural sustainability.
- Special fences were provided to keep elk away from haystacks and reduce conflicts between wildlife and livestock.
- New water tanks were installed on BLM, Forest Service, and private lands to provide water for cattle, and they are developing underground springs nearby to provide water for wildlife.
- Other projects include: restoring riparian areas, conducting vegetation monitoring surveys, information on wildlife species and habitat, and sampling streams.

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References

Owl Mountain Partnership: http://www.northpark.org/owlmtn

University of Michigan Ecosystem:
http://www.snre.umich.edu/emi/pubs/crmp/owlmountain.PDF

Case 16. Phalen Chain of Lakes Watershed Project
St. Paul, Minnesota

Summary/History
The initial push came from the Department of Natural Resources (DNR). The Phalen Chain of Lakes Watershed Project is one of seven pilot projects to utilize a watershed planning model for managing resources. The DNR recognized changes in the watershed and natural resources due to development in the last 150 years and realized that restoration could not take place overnight. The project staff met with city councils, planning commissions, business & environmental organizations, and other groups in the watershed to describe the project and to request representation on the project steering and technical committees.

Key Points
Management issue: To test the benefits of using the watershed-based planning management approach to address integrated resource management. Water quality and improving public awareness about watershed planning was also a catalyst for the project.
Collaborative process used: Steering Committee.
Date initiated and finished: It began in 1993 and is currently ongoing.
Who is involved: Seven city governments, the Watershed District, local citizens, two counties, area developers, local businesses, the University of Minnesota Department of Landscape Architecture and Minnesota Dept of Natural Resources.
Community type and population size: This is an urban community.
Funding sources: Funded by the McKnight Foundation, with contributions from project partners including Ramsey-Washington Metro Watershed District (RWMWD), Minnesota Department of Natural Resources, University of Minnesota-Department of Landscape Architecture, and local governments. Currently, the RWMWD is funded via property taxes as set up by state law.

Mission Statement: "…Addressing the issue of wise use of Natural Resources to improve the quality and level of watershed improvements…"

Unique Features of Process
1. **Organization of the group:** The partnership started with a project coordinator and the sponsors. They went out to the community to find representatives for the steering committee. Then they formed a technical advisory committee made up of city and county staff and all the involved resource agencies. This group helped to assemble existing information and commented on the goals, issues, and recommendations of the steering committee.
2. **How the public gets involved:**
- To get steering committee representatives, they held numerous evening meetings.
- To educate the steering committee members, various presentations were held by resource professionals.
3. **Problem solving technique:** In addition to forming a steering committee, local experts provided background information on the condition and issues in natural resources in the watershed. An interagency technical committee helped to develop information for the steering committee, provide comments, suggestions, and other technical assistance.
4. **Method of agreement:** Consensus.

Barriers
- There was a shortage of detailed resource information.
- The process did not address real resource trade-off decisions that confront decision makers.
- The process was so new that it was difficult to get buy-in and representation at the local level.

Keys to Success

- The scale of watershed is manageable and understandable to the general public.
- The resulting plan recommendations are not a burden to the taxpayer.
- Geographic Information Systems (GIS) were utilized to store and analyze data.
- If field data was not available, they gathered more data!
- The long-term success is dependant on ongoing dedicated staff to implement the recommendations. Funding must come from all government levels (state/federal), and these same agencies must acknowledge plan recommendations.

Projects, Activities, & Accomplishments

- Implementation of several projects, including storm water management, restoration of aquatic shoreline vegetation, and vegetation around wetlands and lakes; field work to identify remaining natural areas, and inventory open space areas.
- Work with neighborhood and citizen groups on planting projects that benefit natural resources in parks and residential areas.
- Helped local residents and agencies establish priorities among competing interests.
- By integrating resources into one planning approach, the funds can be stretched further.
- Implementation key: Established an ongoing local watershed Natural Resources Board to ensure implementation of the watershed plan.
- The watershed plan is an advisory document for local governments, state and federal agencies, and local citizens and businesses.

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References

The Phalen Chain of Lakes Watershed Newsletter: http://stars.csg.org/ecos/1994/nov-dec/1294ecos1ec.pdf

Ramsey-Washington Metro Watershed District: "Phalen Chain of Lakes Comprehensive Watershed Management Project Plan": http://rwmetrowatershed.govoffice.com/vertical/Sites/%7BAB493DE7-F6CB-4A58-AFE0-56D80D38CD24%7D/uploads/%7BBC01AAEE-AF40-4CDE-98E1-D2A0736B04B8%7D.PDF

Case 17. Quincy Library Group

Northern California: Lassen & Plumas National Forest, Sierraville Ranger District of the Tahoe National Forest

Summary/History

This area has a history of timber wars, and the spotted owl, an endangered species, added to the conflict. The timber people felt they were entitled to production levels described in the Land and Resource Management Plan, the public was dissatisfied with clear cutting and herbicide use, and environmentalists demanded action on endangered species issues like the spotted owl. The conflict eventually escalated into sabotage such as physical acts and direct threats of injury or death. The community was also concerned that road and school budgets would be affected as the Forest Service directs payments to counties for timber harvests. Tom Nelson (California registered forester, Director of Timberlands for Sierra Pacific Industries), Bill Coates (Plumas County Supervisor identified with promoting local economy), and Michael Jackson (local environmental attorney) first met in secret. The three found they had plenty of common ground. Others began to join the discussions. In July 1994 the Quincy Library Group (QLG) "Community Stability" proposal was agreed to, and the QLG held a public meeting to explain the group and the proposal.

Key Points

Management issue: Crisis of timber wars and spotted owl controversy.
Collaborative process used: Steering Committee.
Date initiated and finished: The group began in 1993 and is still ongoing.
Who is involved: Citizens, representatives from county, local public schools.
Community type and population size: Rural community with a population of 50,000.
Funding sources: Initially $100K was funded through contributions from local business and industry, county governments, school districts, members of the union representing mill workers, individual citizens. Other grants over three years totaled $250K. Funds were received, disbursed, and accounted for by Plumas Corporation, a non-profit economic development organization. The current budget is at $75,000, including the value of in-kind services. Major providers include the Department of Energy National Renewable Energy Laboratory, Forest Service, California Energy Commission, local county governments and foundations.

Mission Statement: …"Healthy Forests and Stable Communities"

Unique Features of Process

1. **Organization of the group:** There is no board of directors, no charter, no by-laws, no officers (except for two corresponding secretaries), and no bank account. The decisions are made by a steering committee. Membership in QLG comes with voting privileges, is limited to those who initially signed the Community Stability Proposal in 1993, and are approved by the steering committee. Forest Service officials attend almost all meetings and make contributions but are not members and do not participate in the QLG discussions.
2. **How the public gets involved:** Town meetings are used to gather input as well as help to solve problems. They are utilizing an open discussion forum on their website for anyone interested in their activities.
3. **Problem solving technique:** To present their Community Stability proposal to the public, the group used a town hall meeting. They utilized subcommittees to lead projects for implementation, monitoring, and biofuels.

3\. **Method of agreement:** Consensus.

Barriers

- The Community Stability proposal was not accepted by all Forest Service employees (some resented the outside interference), and said they could not respond to QLG unless they applied for and were accepted as a Federal Advisory Committee.
- There was a lack of full support of local, state, and federal agencies.
- The term "partner" imparts different meanings to different parties. Some believe it means bringing funding and formal organizational agreements to the table; to others it means acting together in a cooperative fashion.

Keys to Success

- There was a shared sense of desperation at the beginning. If the effort failed all would suffer.
- Be willing to tolerate heated statements about the issues but not about each other.
- Having a requirement for true consensus.
- There was an early decision not to accept offers of help from professional facilitators. They felt this was too structured, and they needed a lot of time early on for everyone to speak and sometimes even repeat him or herself.
- Their goal was to agree on specific methods, not just general principles.
- The choice of the name, QLG, was meaningless in terms of the issues discussed. If it made reference to environment, economy, forest ecosystem, etc, interpretation of the name's meaning could have placed an intolerable burden on the entire effort.
- They refused to seek official status under FACA.
- Sometimes it is just the luck of having the right size community or having the right people show up.
- The project was of great importance to members and the community.

Projects, Activities, & Accomplishments

- In February 1994, after meeting with members of Congress, and key officials in the Department of Agriculture, the Forest Service, and White House, QLG found that there was a lack of attention at the local Forest Service level. An allocation of an additional $1 million to national forests in the QLG area was announced in November 1994, in order to start implementation of projects in the proposal.
- In November 1995, the Secretary of Agriculture announced a $20 million effort to implement QLG recommendations in Fiscal Year 1996.
- They promoted a variety of studies, including spotted owl and ethanol feasibility.
- QLG will continue to monitor the Forest Service efforts and seek participation in monitoring by other interested parties. They have established an "implementation and consultation" committee to analyze and respond to Forest Service actions. They will publish all available data and evaluations from the Forest Service and other parties and QLG's activities. Also, they will provide an open "discussion" forum for interested parties on their website.

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References

The Quincy Library Group: http://www.qlg.org

Case 18. San Diego Bay Integrated Natural Resource Management Plan
San Diego, California

Summary/History

In 1992, biologists in the U.S. Navy's Southwest division office, U.S. Fish & Wildlife Service (USFWS) and National Marine Fisheries Service (NMFS) analyzed the "project by project management" of natural resources in the San Diego Bay. They noticed that the projects resulted in duplicate efforts by the Navy and other agencies. Projects were based on political boundaries, rather than natural ecosystem boundaries. The Navy had wanted to get together with the San Diego Unified Port District (Port) on a joint management plan, but due to differing missions, the Port refused. The Port started their own process, by requesting bids for an enhancement plan to help in mitigation efforts with endangered species. The bids were three times the Port's budget, forcing the Port to partner with the Navy.

Key Points

Management issue: Integrated resource management, endangered species, avoiding duplication of efforts, and to combine data.
Collaborative process used: Technical oversight committee and Navy Installation Oversight Committee.
Date initiated and finished: 1996/June 2002.
Who is involved: U.S. Navy, the Port, environmental organizations, NMFS, San Diego Association of Governments (SANDBAG), USFWS, San Diego Refuge, California Department of Fish & Game, California Coastal Commission, the San Diego Zoo, Environmental Trust.
Community type: An urban community with a population of 1.2 million.
Funding Source: U.S. Navy and the Port.

Mission Statement (Goal): To ensure the long-term health, recovery, and protection of San Diego Bay's ecosystem in concert with the Bay's economic, Naval, recreational, navigational, and fisheries needs.

Unique Features of Process

1. Organization of the group:

Technical oversight committee (TOC): This was a diverse group of 13 organizations, represented by 18 people, created to include those stakeholders that are most directly affected by the plan. They provided professional and personal experience, scientific data, and a reality check on data and ideas used. One representative for an environmental organization consortium was chosen. The consortium selected this person. Two non-profits were selected as well, due to their prior relationship with the Navy personnel.

Navy Installation Oversight Committee: (NIOC): Another advisory group was composed of representatives from each of the major Navy installations around the Bay, from the U.S. Coast Guard (USCG), and the Cabrillo National Monument. They provided data, professional experience, and a check on the Plan's consistency with the Navy mission.

Science Advisory and Review Team: Composed of University of San Diego and consultant scientists, they were to provide and help frame the plan from an ecosystem focus, merging scientific data with imagination and creativity.

An outside consultant and its subcontractors assembled the available scientific data into an ecosystem management framework for consideration by the TOC. They also assembled the technical people, provided a facilitator for each group, and then integrated all of these into a strategy.

2. How the public got involved:

- Public workshops (3).
- Television interviews.

   - Separate meetings held with community representatives. Example: Natural History Museum when discussing the educational portion of the plan.
   - Separate meetings were also held with the planning departments of the cities.
   - Attendance by the public at the two committees was limited to selected individuals.
3. **Problem solving technique:** As mentioned above, there were two steering committees and one science panel. A company that had a previous relationship with the Navy and its subcontractors assembled the available scientific data into an ecosystem management framework for consideration by the TOC. They also assembled the technical people, provided a facilitator for each group, and then integrated all of these into a strategy.
4. **Method of agreement:** Consensus.

<u>Barriers</u>

- The Navy likes to keep its discussions closed to the public, but the Port is subject to the Brown Act in California, which requires public notice and participation. The compromise involved the inclusion of one representative from the environmental coalition and other members with whom the Navy had previously worked. A public hearing was held after the management plan was assembled.
- Implementation is at a stalemate due to the threat of war and diversion of Navy funds to the war effort.
- There was difficulty in dealing with overlapping agency jurisdictions.
- Personnel changes in the Agency caused problems (for example the Admiral changed three times during this period).

<u>Keys to Success</u>

- By utilizing local knowledge, they discovered other issues that needed to be addressed or incorporated into the plan.
- Having a concrete project that needed to be solved provided a focus point for the group. The Navy had a big project that involved the deposition of sand, which many wanted to keep for the beaches and habitat uses.
- The facilitator met individually with people outside the meeting, letting them vent their frustrations, which they wouldn't normally do in the group meetings. It also allowed her to understand all sides of the issues to see what everyone was bringing to the table in terms of constraints.
- The science panel met separately and was able to develop new concepts since it was not constrained by the demands of the TOC committee. It is hard for regulatory people to understand all the scientific issues. They need black and white answers, while the scientists deal areas of gray.
- Because the Navy was concerned with lawsuits by environmentalists, they decided to limit participation to one representative, one who was familiar with scientific terms and knew the area. This helped to avoid the agenda being controlled by the environmentalists and turned into a social agenda (no nuclear power, etc).

<u>Projects, Activities, & Accomplishments</u>

- The problem of deposition of sand led to a new island with habitat area.
- Information is now in one place (in the management plan) with good references.
- The Navy is trying to restart the process to come up with a revised plan.

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<u>References</u>

The Port of San Diego Natural Resource Management Plan:
http://www.portofsandiego.org/sandiego_environment/nrmp/Titleinformation.pdf

Case 19. Santa Barbara Front Country Trails Working Group
Santa Barbara, California

Summary/History

There was the perception of increasing hiker-biker conflicts on the front country trails of the Santa Ynez Mountains just to the north of the greater Santa Barbara area. Many people were calling and writing in to the local newspaper and to the Forest Service about the situation. There were reports of increasing conflicts on the trail between downhill mountain bikers and hikers, as well trail damage. One day, the conflict escalated into a physical act of violence, when nails were left on the trail and a rope was strung across the paths. A group of community stakeholders asked the Forest Service for help in solving trail use issues.

Key Points

Management issue: Conflict and safety in trail use.
Collaborative process used: Working group.
Date initiated and finished: The group formed in 2002 and is currently ongoing.
Who is involved: Stakeholders representing various recreation and community organizations, Forest Service, city and county representatives.
Community type and population size: The area is an urban community with a population of approximately 200,000.
Funding sources: Los Padres Forest Association (LPFA).

Mission Statement: (purpose) "To serve as an advice-giving body for providing management policy recommendations to the Forest Service, the City of Santa Barbara, and the County of Santa Barbara as they pertain to the front country trails and its recreational resources… the goal of which is to encourage management policy decisions that improve safety and protect natural resources from an increasing population of recreational user groups."

Unique Features of Process

1. **Organization of the group:** The working group meets once a month, at a neutral location. LPFA sponsors the meetings with the assistance of a third party facilitator. The meetings are not open to the public.
2. **How the public gets involved:** A user survey will be submitted to find out what the user's perceptions are of the trails. Survey teams composed of members from different organizations will conduct the survey. After a list of suggestions is presented to the Forest Service, public hearings will be held.
3. **Problem solving technique:** The working group is a group of stakeholders convened by LPFA to create suggestions to the city, county, and Forest Service for addressing recreation resources and is led by a neutral facilitator. The facilitator met separately with individual government agencies - city, county, and Forest Service - to find out what their constraints were and what requirements were necessary in providing suggestions to each agency. The group will be utilizing a matrix of possible management options based on what they find out in the survey and the agencies' constraints. A mini-subcommittee was formed to build a trail use survey.
4. **Method of agreement:** Consensus.

Barriers

- Old issues, which were discussed 13 years ago, were rehashed due to new representative members, and poor records kept from the previous effort.
- One of the original members continued with an outside process to get mountain bikes off the trail. A ground rule, which had previously been agreed to, was that they were to work as a group to come up with solutions. This independent initiative by the member was viewed as not conforming to the ground rules set by the group at the beginning of the process. The member voluntarily left the group.

Keys to Success

- When the group gets off topic, the facilitator uses the mission statement as a way to bring people back into focus about what the goal is they are working towards.
- By setting the ground rules, this enables the group to have a better environment for dialogue.
- If suggestions are implemented, they have agreed to go back to the field to see how it is working.
- Verbal agreements have been made by the agencies that if the suggestions are implemented, they will dedicate resources to continue the effort.
- Meeting times are in the late afternoon/early evening to accommodate participants; snacks and drinks are provided.

Projects, Activities, & Accomplishments

The group is in the process of undergoing a user survey on one of the main trails in the area. They hope to incorporate the results into their decision matrix of management choices.

Trail Working Group. Photo by: Carolina Morgan.

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References

Los Padres Forest Association: http://www.lpforest.org/

Case 20. Santa Ynez Watershed Enhancement and Management Plan
Santa Ynez, Solvang and Lompoc, California; Vandeberg Air Force Base

Summary/History
The floodplains of the lower Santa Ynez River are comprised of rich soils for growing a wide variety of vegetables and flowers. The Southern California region is subject to infrequent, yet intense rainfall during the winter. Farmers were concerned that the dense coverage of willows lining the banks of the Santa Ynez River would cause the river to overflow into their cropland during periods of high rainfall. The Santa Barbara County flood control district was concerned about this flooding, but needed funds to mitigate the riparian habitat damage should it choose to remove or cut back the willows. In addition, there were endangered species in the channel. They need funding, so they approached the Coastal Conservancy. In order to get the money, the Coastal Conservancy wanted the County to look at the entire watershed and form a watershed plan. The Land Trust of Santa Barbara County was approached to facilitate.

Key Points
Management issue: Flooding crisis and watershed planning.
Collaborative process used: Executive steering committee, with collaborative task force.
Date initiated and finished: The effort began in 1995 but was never finished.
Who is involved: Local, state, and federal resource agencies, environmentalists, farmers, ranchers, private industry, general public.
Community type: A rural community.
Funding sources: State Coastal Conservancy ($100,000); the Land Trust for Santa Barbara County, the Environmental Protection Agency (EPA) ($100,000), Coastal Resource Enhancement Funds from Santa Barbara County ($100,000).

Mission Statement: Not applicable. They could not agree on a vision or problem statement.

Unique Features of Process
1. **Organization of the group:** The Land Trust of Santa Barbara County acted as the neutral participant, as an information clearinghouse and designated a facilitator for the planning process. An executive steering committee was developed with the regulatory agencies, County, Land Trust, and Coastal Conservancy. This group decided on who the participants should be. They started with thirteen members, and after the first meeting, the stakeholders decided that not everyone was at the table and the group grew to 30.
2. **How the public got involved:**
   - The Land Trust distributed 850 surveys to stakeholders to ask questions about what direction the planning process should take.
   - After the first meeting of the working group, they advertised the process in various newspapers in Santa Ynez and Santa Barbara.
   - The facilitator made many phone calls to organizations in order to find out who represented each group.
3. **Problem solving technique:** They started off with an executive steering committee, which selected members for a facilitator-led working group. With this group, consensus-building techniques were used. For example, every meeting would be summarized and sent out to all members of the group.
4. **Method of agreement:** It was supposed to be consensus; but never got to that stage.

Barriers
- Initially there was broad representation from government and non-government organizations (NGO). There was conflict from the outset on the boundary of the watershed, which started with the 500-year floodplain, and then focused on the 100-year floodplain. Six months later due to landowner support,

the floodplain was further narrowed. Landowners were not concerned with restoring the watershed ("there's not a problem"), but only with flood control. This did not conform to the hydrological meaning of a watershed, and turned into a flood making policy instead. The government agencies didn't like this and withdrew from the process (as well as their funds). These disputes over the direction of the planning effort eventually resulted in its demise.

- From the landowner's perspective, there were too many government and NGO representatives advocating watershed management. They felt the cards were stacked against them from the very beginning.
- A professional facilitator was hired at first, but he didn't fit in (wore a coat and tie among ranchers, farmers, etc.) and the members did not trust him.
- There was no motivation for the landowners and other stakeholders in the upper watershed to come to the table - they didn't think there was a problem, and thus came grudgingly due to fear and suspicion of the government.
- The watershed was too large for the group to consider.
- This was not a mandate or a grassroots effort, and thus the Land Trust did not have the law on their side telling people that they had to partner together to come up with a watershed plan.

Keys to Success

Not applicable.

Projects, Activities, & Accomplishments

The initial issue of flooding in the lower Santa Ynez has not been solved, due to funding issues.

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References

Watershed Task Force: Lessons Learned (pg 6): http://resources.ca.gov/watershedtaskforce/lessons.pdf

Wooley, John T.; McGinnis, Michael Vincent. The Politics of Watershed Policymaking. Policy Studies Journal v27, n3 (Autumn 1999);578.

Case 21. Tahoe Rim Trail Project
Lake Tahoe, California area

Summary/History

A volunteer organization (The Tahoe Rim Trail Association) was formed in 1980 by Glenn Hampton, a Forest Service recreation officer, and assisted by an outdoor writer and columnist for the local newspaper. Glenn had envisioned a Tahoe Rim Trail (TRT), but due to lack of funds, he knew the Forest Service could not fund this major project. Due to his previous strong volunteer-organizing efforts, he knew he could get the Forest Service to agree to his proposal. He hiked much of the country in the Basin to make sure that a safe trail could be built. He put together a rough draft, and then sent the form to 100 people nationwide. Support for the project came from everywhere, including the second-in-command of the Forest Service. Glenn met or talked on the phone with editors, reporters, and radio commentators. Many people pledged their assistance, including outdoor organizations, National Forest District rangers, California and Nevada State Park representatives, and the local community. Even though the project was to be completed with volunteers, the process still required an environmental assessment and required support of many Forest Service personnel, especially Regional Headquarters in San Francisco.

Key Points

Management issue: Recreation management.
Collaborative process used: It started first as an advisory board and resulted in a non-profit 501(c) organization, with committees and a Board of Directors.
Date initiated and finished: July, 1984/September, 2001-trail finished, but partnership continues
Who is involved: Tahoe Rim Trail Fund (TRTF), Forest Service, Nevada Division of State Parks.
Community type: An urban/rural community.
Funding sources: Initially, the Forest Service invested at least $100,000 in accumulated salary time for the project. The Alpine Winter Foundation gave the TRT $25,000 to start the project in 1986 and $10,000 in 1988. Several hundred thousand dollars are raised through member dues, individual and corporate donations, memorials, sales of TRT souvenirs, and "Adopt a construction mile" program. The agencies assume responsibility for compensating volunteers for injury and for protection against tort claims. They also provide specialized tools, equipment, and technical assistance in route planning, environmental assessment, and trail construction methods. The TRTF provides volunteer labor, registers and maintains records of volunteers and construction activity, and raises funds.

Mission Statement: To enhance, expand and promote the Tahoe Rim Trail system, practice and encourage stewardship, and provide access to the beauty of the Lake Tahoe region.

Unique Features of Process

1. **Organization of the group:** The group started with the Tahoe Rim Trail Fund, Inc, a nonprofit corporation. This included written agreements with both government agencies involved. The Tahoe Rim Trail Association has a volunteer Board of Directors, and eight action committees. The Executive Director and a secretary are the only paid members. The committees meet every two months, and report to the Board.
2. **How the public gets involved:**
   - The Forest Service recreation officer talked to the media, and sent out drafts for placement of the trail.
   - The trail was used as a class project to outline where the trail would traverse. This work was utilized by the recreation officer for a trails symposium to introduce the new trail.
   - Press releases are used for volunteer workdays to get non-members involved in trail work.
   - Board members are recommended for nomination due to personal contact of current board members.
   - They utilize mailing lists from other organizations, press releases, a web page, and referrals from current members or from volunteers.

3. **Problem solving technique:**
   - Volunteers form the base for trail work.
   - Tahoe Rim Trail Fund, Inc. is a non-profit corporation that administers the project. They utilize committees to assist in the maintenance of the trail and organization. A strategic plan is developed each year at a retreat, and committees take on their responsibilities from the plan.
4. **Method of agreement:** Majority; bigger issues at board meetings may involve consensus.

Barriers

- Ensure that the group continues to be active and productive and evolve into a continual assistance/partnership with the Forest Service.

Keys to Success

- Fundraising and ability to solicit grants of a nonprofit organization is a significant benefit to a federal agency, as there are fewer restrictions to a nonprofit.
- Put agency people on the Board of Directors of the organization.
- Support from the agency's top management is crucial. The trail would not have become a success without the determination and drive of the Forest Service recreation officer who envisioned the Tahoe Rim Trail.
- Find out who the hard working staff people are and recruit them to be a part of the organization.
- Have a formal agreement, like a Memorandum of Understanding (MOU). If the prime leader leaves, then you have the MOU to keep the commitment.

Projects, Activities, & Accomplishments

- The trail has been completed. Currently the TRTF has 600 active volunteers, with a computer database for volunteer records.
- They have set up a 24-hr Trail builder's hotline with recorded info on work party times and locations.
- A trail construction guide has been written.
- This process has given the agency direct contact with a group of individuals who also gain an understanding of how the land is managed. The agencies explain their goals, and utilize this user group to provide input on recreation management.
- A one-mile whole access trail for handicap visitors was constructed.
- They have designed and placed interpretive panels at most trailheads.

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References

The Tahoe Rim Trail Association:
http://www.tahoerimtrail.org/newtrt.htm

Case 22. Washington State: A Summary of 3 Organizations' Collaborative Efforts, with Input from Two Forest Service Employees Involved in Partnerships

Backcountry Horsemen of Washington, Inc. (BCHW) (Founded in 1977)

History of Partnerships with the Forest Service: The BCHW has partnered with the Forest Service for 25 years, which includes ground trail work, advisory work on trail construction for livestock, campground design for stock use and teaming up for grants. They also assist on identification teams for various studies, especially studies on the impacts of recreation. They contribute about 40,000 volunteer hours with 3,000 people.

Other Partnerships:
- The BCHW has also been working with the Bureau of Land Management and with the Washington State Department of Natural Resources for about 25 years.
- Local chapters work with their local parks and recreation agencies; for example: the Rails to Trails project.

Words of Advice/Accomplishments:
- BCHW has a yearly conference with the Forest Service, and it is hosted at a Forest Service facility. In the past year, they held a Dutch oven cook-out as an icebreaker. The agenda is pre-published so that everyone knows what to expect. Each district talks about their goals and accomplishments for the year. BCHW presented their Master Leave No Trace Program that the Forest Service helped to set up and even have their summer people attend.
- BCHW regional directors attend district meetings on a monthly basis and are the communication liaisons back to the chapters and state program to problem solve and to maintain support for projects.
- Community relationships with the Forest Service have changed to a positive role over the past twelve years.

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References
Backcountry Horsemen of Washington, Inc.:
http://www.bchw.org/

Backroads Bicycle Trails Club (BBTC) (Founded in 1990)

History of Partnerships with the Forest Service:
BBTC has worked with the Forest Service for about two years. Many members of BBTC work on advocacy type issues, and on a variety of advisory committees such as National Recreation Trails Program and Conservation.

Other Partnerships:
- Most of BBTC's partnership efforts have been with state departments, such as Parks & Recreation, Natural Resources, etc.
- Mountain bikes are not officially allowed in City of Seattle parks, but BBTC is working with Parks representatives to build trails in certain areas.

- They work with the Washington Trails Association (WTA) on trail maintenance issues. For example, they send members to WTA's crew leader training program (Forest Service taught) and also give support to multi-use trail work parties.

Words of Advice/Accomplishments:

- Building relationships with other people outside the traditional meeting structure is key. When there is an established relationship, these people will call you up to find out your opinion on an issue before coming to the table.
- In dealing with contentious people, don't react, but work to find common ground.
- When working with government agencies, get consensus with the greatest number of people and with the largest diversity of stakeholders.
- Back up your promises with action.
- Build up trust by starting programs ,like a trail stewardship program, before conflicts arise.
- Educate other mountain bikers, as well as other stakeholders. For BBTC, this has included a mountain bike patrol, mountain bike boot camp, and tent days to educate "rookies" on popular beginner trails.
- Recently, a trail built originally for mountain bikes was set to be closed to mountain bikes because a group filed a complaint that proper procedures were not followed. The Forest Service had to act, so they began to close the trail. BBTC members met with the district to find alternative solutions. This resulted in Alternative E (which allowed mountain bikes on the trail at limited times), and in exchange for other stakeholders' support for Alternative E, the BBTC would support portions of the designated Wilderness area.
- Some barriers BBTC has encountered have been the "myth of mountain bikers" (safety, philosophy, lack of involvement, etc.) and the lack of historical precedence. This means that since they are new to the stakeholder scene, they are considered usurpers. To combat this, the BBTC has focused on becoming organized and focused, with an educational section of their club a large element.

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References

Backroads Bicycle Trails Club: http://www.bbtc.org/home/index.php

Washington Trails Association (WTA) (Founded in 1966)

History of Partnerships with the Forest Service:

WTA has worked with the Forest Service for ten years, contributing 42,000 volunteer hours for trail maintenance.

Other Partnerships:

- WTA has worked with the BCHW and local llama packers on weeklong work parties to assist in packing tools and equipment into the backcountry.
- They are working with BBTC on multi-use trails. WTA also works with other non-profits on joint work parties and other trail building activities.

Words of Advice/Accomplishments:

- The biggest barrier with the Forest Service was at the start in convincing them that they didn't need to supervise the work parties. WTA worked with the Forest Service to develop a set of minimum criteria and were allowed to take their own crews out.

- The Forest Service staff is overworked, with a large maintenance backlog. WTA contracted with the Snoqualmie District of the Mount Baker-Snoqualmie National Forest to hire their own district coordinator who was an experienced crew leader. This is being expanded to two other districts next year.
- Unfamiliarity with volunteers - find someone within the Forest Service who is willing to serve as a champion for the volunteers. This person can communicate to his/her colleagues that the work is dependable and high quality.
- A sizable dent has been made in the maintenance backlogs.

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References

Washington Trails Association:
http://www.wta.org/

Okanogan and Wenatchee National Forests

History of Partnerships with the Community:

Partnerships began in this national forest in the early 1970's with the appearance of new recreation uses such as cross-country skiing, snowmobiling and trail biking. The users approached the Forest Service for help in developing recreational opportunities. The users also developed funding which helped to supplement federal funds.

Keys to Success

The most successful collaborative efforts have resulted between equals - in expertise and professional background. Volunteer trail groups send members to the Forest Service trail building workshops, and now have expertise approaching that of the Forest Service. This program began on the Mount Baker-Snoqualmie, and the four forests in Washington State contribute $50,000 to the program.

Barriers/Difficulties Encountered:

Individual focus groups have had the greatest success. The problem is that the groups need to also work with each other, which has been difficult. Some ranger districts bring various groups together to discuss recreation programs, which has been successful. The difficulty has been in getting those outside the area (i.e. Seattle) to participate.

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References

Wenatchee National Forest:
http://www.fs.fed.us/r6/wenatchee/

Okanogan National Forest: http://www.fs.fed.us/r6/oka/

Mount Baker-Snoqualmie National Forest

History of Partnerships with the Community:

Like the Okanogan and Wenatchee National Forests, partnerships with the community have been going on a long time - about 25 years. Some examples include: giving grants to partners to help them leverage grants for crew leader training programs, having organizations perform the cleanup work after heavy excavation, three-way partnerships (where student labor is utilized to build structures), and working with trail organizations who have access to grants to which the Forest Service does not. They also work with an organization called the North Cascade Institute, which gets people out on the trails to talk to visitors about how they can minimize their impact.

Keys to success

- Both sides must be passionate and committed.
- Red tape cutting must be kept to a minimum.
- Utilize specialists and agreements, such as memorandum of understanding, etc.
- Don't take no for an answer, and if you know the answer you will receive is one you won't like, don't ask the question.

Barriers/Difficulties Encountered:

Work with organizations that have part of their mission in alignment with the Forest Service, rather than those whose mission is the complete opposite. The trick is finding where everyone lines up and then focus on that area.

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References

Mt. Baker-Snoqualmie National Forest:
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Appendix C. Multi-Method Questionnaire (MMQ) Study Results

C.1 Introduction

Early recreation use in Los Padres National Forest consisted primarily of pack trips into the backcountry to hunt, fish, or simply to enjoy the scenery from the back of a horse. However, new forms of recreation opportunities have emerged and Los Padres has experienced an increase in the number of users and the diversity of those uses. In order to better understand the community of Santa Barbara County our research at UCSB has focused on three target groups and their level of forest recreation use, opinion of Forest Service management of Los Padres, and barriers preventing involvement in forest management. The three distinct groups identified for this study were the general public of Santa Barbara County (General Public), forest users (Forest Users), and individuals from Santa Barbara County who expressed an interest in forest management and had asked to be placed on the Los Padres Forest Service Mailing List (FS Mailing List).

A questionnaire was distributed to each group utilizing different methods to reach the target populations. The two-sided bilingual (English & Spanish) multi-method questionnaire (MMQ) found at the end of this appendix contains eight short questions that were used to identify each individual's:

- Demographic data (age, gender, ethnicity, and zip code).
- Preferred recreation activities and frequency of forest use.
- Level of satisfaction with recreation in Los Padres.
- Methods of interaction with Forest Service or reasons for not interacting with them.
- Level of satisfaction with interaction with forest managers.
- Preferred method to provide input to forest managers.

The three groups were targeted to explore the differences between those that have already expressed an interest in forest issues (FS Mailing List), those with a direct stake in recreation issues (Forest Users), and a random sampling of the citizens of Santa Barbara County (General Public).

C.2 Methods

To reach the FS Mailing List group, each individual on the mailing list for Los Padres with an address in Santa Barbara County was sent a copy of the MMQ with a stamped return envelope. Similarly, a sample of one percent of the County population, comprising the General Public group (approximately 4,000 individuals), was sent an MMQ through the mail. The addresses for this sample group were obtained through a private firm who selected a representative distribution from each zip code in the County. In order to increase the response rate of both the General Public and FS Mailing List groups, an incentive raffle for a $50 gift certificate to a sporting goods store was offered to those who returned the questionnaire (one winner from each target group). The return rate for the FS Mailing List target group exceeded 50%, while the return rate for the General Public target group was 17%.

Forest users obtained the MMQ from ten drop-boxes located at trailheads, campgrounds, and information centers within the Santa Barbara County portion of Los Padres. Additionally, MMQ's were distributed to individuals purchasing the Adventure Pass at the Los Padres Headquarters in Goleta and the Santa Lucia Ranger District office in Santa Maria. The study period spanned from November 2002 to January 2003. Unfortunately, the Forest User target group did not receive high enough response numbers (N=73) to generate meaningful results. So, although the data are presented in this handbook, discussions of results for the Forest User group are not included in the analysis.

Example of MMQ drop-box in the forest. The questionnaire is in the green envelope. Participants may fill it out using the pencil provided, and then insert in the box on the left. Photo by: Sarah Worth.

For collaborators particularly interested in forest recreational use statistics, Los Padres National Forest participated in the National Visitor Use Monitoring (NVUM) study from October 2000 through September 2001. This federally administered study was designed to determine the visitation frequency, use patterns, and satisfaction of Los Padres visitors. The study estimated approximately 1.52 million people visited Los Padres National Forest in the fiscal year of 2001 (Kocis et al., 2002). Although the results of the NVUM study are not included in this handbook, potential collaborators may find it worthwhile to review its forest use information as background for any collaborative process. Results available in the study include:

- Forest user demographic distribution (gender, age, ethnicity).
- Breakdown of recreation participation and primary recreation activities.
- Satisfaction of recreation visitors in general forest areas.
- Perception of crowding by recreation visitors.
- Use of Los Padres National Forest facilities.
- Wilderness area visitation and satisfaction.
- User economic information.

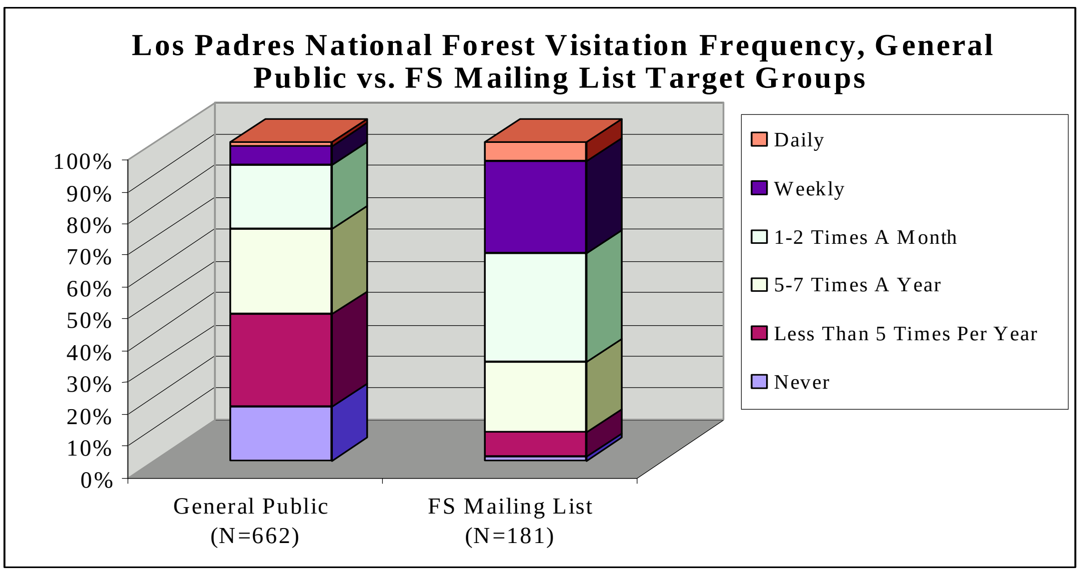
Please refer to http://www.fs.fed.us/recreation/programs/nvum/ for the results of the NVUM program. The Forest Service plans to update the study every four years to continue to track recreational use of the forest into the future.

C.3 Key Findings

For the most part, a comparison of the FS Mailing List group with the General Public group reveals that the FS Mailing List group, consisting of individuals already involved in some aspect of the forest's management (whether through volunteer work or participation at public meetings and workshops), are more likely to be the individuals involved in collaborative processes. However, as collaborators, it is important that they recognize the differences that may exist between their own personal views on forest recreation management and the views of those in the general community that they may represent. The results of the MMQ indicate the following main differences between the two groups:

- <u>Visitation Frequency</u>: Only 27% of the individuals in the General Public target group indicated they visit Los Padres at least once per month. For the FS Mailing List group, 69% visit at least as often (Figure C.1).
- <u>Recreation Satisfaction</u>: The average level of satisfaction was higher among survey participants from the General Public group than the FS Mailing List group.
- <u>Interaction with Forest Service</u>: A much greater proportion of individuals from the FS Mailing List group (97%) indicated interaction with Forest Service personnel than those of the General Public group (42%).
- <u>Types of Forest Service Interaction</u>: Individuals on the FS Mailing List were more likely to attend public meetings (79% to 8%), workshops (32% to 5%), and volunteer activities (49% to 14%) than those in the General Public group. Additionally, of those from each group who have interacted with the Forest Service, members of the FS Mailing List, on average, use more methods of interacting (3.2 types), than individuals of the General Public group (1.7 types).
- <u>Preferred Input Method</u>: Individuals in the FS Mailing List group indicated a higher preference for utilizing more active methods of providing input on forest management concerns such as public meetings, visiting with Forest Service staff in person, and through an organization representative (50% FS Mailing List to 25% General Public). The General Public group indicated more passive input methods such as through mailed or e-mailed comments and posted messages on a website (60% General Public to 43% FS Mailing List).

Figure C.1 – Visitation Frequency in Los Padres National Forest.



C.4 Discussion of Key Results

Differences between the FS Mailing List and General Public target groups demonstrate the necessity of including the public in the decision-making process to collect their input on the issues being discussed. The average recreation satisfaction results indicate that dissatisfaction with forest recreation opportunities may serve as the catalyst to increased interaction with forest managers. Thirty-six percent of the General Public do not get involved because they are "satisfied with forest management" and have "no need to contact the Forest Service" on forest management issues. Therefore, in many cases, a collaborator may be among a minority of individuals who perceive that a problem exists. Informing the public of the magnitude of a problem, and collecting their input on the issue, is one of the key aspects of becoming involved in a collaborative process to ensure there is community buy-in further along the process.

Additionally, the MMQ identifies that barriers are preventing the involvement of important community members in forest management issues. The Spanish, Hispanic, and Latino ethnic groups represent seventeen percent of the individuals in the NVUM study (Kocis et al., 2002) and twelve percent of the General Public study group from the MMQ. Yet, the FS Mailing List group consists of less than four percent of individuals from these ethnic groups. Certainly, barriers must exist that have prevented the further involvement of these ethnic groups in forest management. It is critical that potential collaborations consider the viewpoints of a wide array of stakeholders and seek the involvement of all individuals with a stake in an issue. Bringing diverse stakeholders to the table is one of the keys to initiating a successful collaborative process, and collaborators must sometimes go to great efforts to find ways of bringing the views of those not at the table into the process.

The complete results of the MMQ analysis are listed below and may be useful to collaborators to increase their knowledge of the stakeholders of Los Padres.

Return Rates, Mailed Questionnaires

Both the General Public and FS Mailing List target groups were contacted through the mail. In each case, individuals were requested to return the completed MMQ in the provided stamped return envelope within ten days. Those who did not return the questionnaire were sent a reminder notice and another copy of the MMQ in order to increase the response rate. The response rates for each target group are given in Table C.1. These numbers by themselves reflect a larger interest in forest management issues from the FS Mailing List group and their increased willingness for community involvement.

Table C.1 - Return Rates, Mail Questionnaires

Study Group	Total N	N Returned	% Returned
MMQ General Public	3996	689	17%
MMQ FS Mailing List	336	181	54%

Demographic Results

The gender distribution of all three target groups indicates a higher proportion of males in the study (Table C.2). Although the results appear to indicate a dominance of males in the FS Mailing List group, it more likely reflects the higher proportion of male forest users than a greater willingness for involvement by male individuals. This is evident when comparing the FS Mailing List results with those obtained from the NVUM study in which 71% of all forest users were male (Kocis et al., 2002). The more even distribution of the gender responses in the General Public group is likely a result of the near even proportion of males to females in that target group sampling pool.

Table C.2 - Gender Distribution

Study Group	Male	Female
MMQ General Public (N=678)	57.4%	42.6%
MMQ Forest User (N=73)	57.5%	42.5%
MMQ FS Mailing List (N=178)	75.3%	24.7%

The age distribution breakdown is shown in Table C.3. The same age groupings as those of the NVUM study were used for further comparison. The results indicate that individuals over the age of 50 are better represented in the FS Mailing List group (49%) than in the General Public group (37%).

Table C.3 - Age Distribution

Study Group	Under 21	21-30	31-40	41-50	51-60	61-70	Over 70
MMQ General Public (N=665)	0.5%	6.5%	22.7%	33.7%	23.2%	10.1%	3.5%
MMQ Forest User (N=73)	2.7%	26.0%	28.8%	28.8%	9.6%	4.1%	0.0%
MMQ FS Mailing List (N=175)	0.6%	9.7%	12.6%	28.0%	24.6%	14.3%	10.3%

FS Mailing List under-representation of the Spanish, Hispanic, and Latino ethnic groups is evident by the ethnic distribution results shown in Table C.4. This problem is discussed in more detail in the Recreation Results section provided below.

Study Group	Black / African American	Asian	White	American Indian / Alaska Native	Native Hawaiian	Spanish, Hispanic, and Latino	Other
MMQ General Public (N=655)	1%	2%	80%	1%	1%	12%	4%
MMQ Forest User (N=70)	0%	3%	90%	3%	0%	3%	1%
MMQ FS Mailing List (N=166)	0%	2%	90%	1%	1%	4%	2%

Table C.4 - Ethnic Distribution

Recreation Results

It is important for collaborators to have an understanding of who uses Los Padres, how the forest is used, and how satisfied individuals are with their use of the forest. This knowledge allows forest managers and collaborators to consider all forest users in a decision-making process. Like the NVUM study, the MMQ asked respondents to indicate all recreation activities in which they participate as well as to select one activity they considered to be their primary form of forest recreation. To gauge user satisfaction, respondents were asked their level of satisfaction with respect to their primary recreation activity. Additionally, users were asked to select a forest visitation frequency from a list of six options ranging from "daily" to "never."

Photo courtesy of Max Reid.

Seventeen percent of those who responded to the MMQ from the General Public target group had never visited Los Padres National Forest. Of the respondents who had visited, the majority characterized their visitation as less than seven times a year. Visitation frequency increased in the FS Mailing List groups with

69% of the respondents indicating that they visit Los Padres at least once a month (Table C.5).

Table C.5 – Recreation Visitation Frequency

Study Group	Never	Less than 5 times per year	5-7 times a year	1-2 times a month	Weekly	Daily
General Public (N=662)	17%	29%	27%	20%	6%	1%
Forest User (N=73)	1%	12%	19%	16%	42%	8%
FS Mailing List (N=181)	1%	8%	22%	34%	29%	6%

Table C.6 shows how many respondents participate in each recreation activity, as well as the proportion of respondents within each target group that indicated an activity as their primary form of recreation.

Table C.6 - Recreation Activity Participation and Primary Activity Results

	General Public Target Group		Forest User Target Group		FS Mailing List Taget Group	
Recreation Activity	% Participation (N=568)	% who said it was their primary activity	% Participation (N=73)	% who said it was their primary activity	% Participation (N=180)	% who said it was their primary activity
Backpacking	15%	1%	30%	4%	35%	3%
Biking (Mountain)	17%	5%	36%	21%	25%	17%
Biking (Road)	6%	1%	11%	0%	13%	0%
Camping	43%	17%	34%	4%	40%	5%
Fishing	18%	6%	3%	2%	14%	2%
Hiking	63%	35%	79%	60%	69%	31%
Horseback Riding	3%	1%	5%	2%	10%	3%
Hunting	9%	3%	4%	2%	11%	3%
Off-Highway Vehicle Use	7%	3%	3%	2%	20%	14%
Picnicking	38%	4%	19%	0%	24%	1%
Rock Climbing	4%	0%	3%	0%	5%	1%
Swimming	23%	3%	12%	2%	11%	0%
Target Shooting	12%	2%	1%	0%	13%	2%
Wildlife/Scenic Viewing	44%	8%	29%	2%	49%	8%
Other	7%	8%	8%	2%	12%	8%

Note that the "% Participation" column for each target group does not sum to 100%. This is due to the reality that many people participate in more than one recreational activity. This concept is important for stakeholders to understand when collaborating, since it means that individuals at the table may be wearing more than one "constituency hat." For example, our MMQ study found that of the 24 FS Mailing List respondents who chose mountain biking as their primary recreational activity, 92% of them also hike and 33% also camp in Los Padres National Forest. Of the 45 FS Mailing List respondents who chose hiking as their primary recreational activity, 9% also mountain bike and 2% also camp. It is important to consider how these different hats may affect the representation at the table. A hiking representative who also bikes may bring a different perspective to an issue than one who doesn't participate in the additional activity.


Photo by: Ray Ford.

To assess respondents' satisfaction with forest recreation, the MMQ asked individuals to choose their level of satisfaction, from four options. The mean satisfaction for a target group was determined using a –2 to 2 scale by recording the numeric value for each option as follows: "Very Unsatisfied" = -2, "Unsatisfied" = -1, "Satisfied" = 1, and "Very

Satisfied" = 2. Responses in which both "Satisfied" and "Unsatisfied" were indicated were classified as "Don't Know" with a satisfaction value of zero. Results of primary recreation satisfaction are given in Table C.7.

Table C.7 – Satisfaction With Primary Recreation Activity

Study Group	Very Unsatisfied	Unsatisfied	Satisfied	Very Satisfied	Don't Know	Mean Satisfaction
General Public (N=546)	4%	8%	64%	23%	1%	0.93
Forest User (N=66)	5%	5%	33%	58%	0%	1.35
FS Mailing List (N=176)	10%	15%	49%	25%	1%	0.64

Collaborators may determine where conflict use is occurring by looking at user satisfaction for each recreation activity, which may help decision makers decide where best to place limited resources. Table C.8 lists the mean satisfaction for each primary use group.

Table C.8 – Mean Satisfaction By Primary Recreational Activity

General Public Taget Group		Forest User Target Group		FS Mailing List Target Group	
Primary Activity	Mean Satisfaction	Primary Activity	Mean Satisfaction	Primary Activity	Mean Satisfaction
Backpacking (N=7)	0.14	Backpacking (N=2)	1.50	Backpacking (N=4)	1.50
Biking (Mountain) (N=25)	1.22	Biking (Mountain) (N=12)	1.58	Biking (Mountain) (N=24)	1.29
Biking (Road) (N=7)	1.29	Biking (Road) (N=0)	na	Biking (Road) (N=0)	na
Camping (N=78)	0.92	Camping (N=2)	1.50	Camping (N=7)	0.57
Fishing (N=26)	0.28	Fishing (N=1)	2.00	Fishing (N=3)	-0.50
Hiking (N=166)	1.16	Hiking (N=34)	1.36	Hiking (N=45)	0.89
Horseback Riding (N=7)	1.20	Horseback Riding (N=0)	na	Horseback Riding (N=5)	-0.25
Hunting (N=16)	0.14	Hunting (N=1)	1.00	Hunting (N=5)	0.80
Off-Highway Vehicle Use (N=13)	0.23	Off-Highway Vehicle Use (N=2)	-1.50	Off-Highway Vehicle Use (N=20)	-0.65
Picnicking (N=20)	0.95	Picnicking (N=0)	na	Picnicking (N=1)	2.00
Rock Climbing (N=2)	2.00	Rock Climbing (N=0)	na	Rock Climbing (N=2)	1.00
Swimming (N=16)	0.56	Swimming (N=1)	-1.00	Swimming (N=0)	na
Target Shooting (N=10)	0.40	Target Shooting (N=0)	na	Target Shooting (N=3)	1.67
Wildlife/Scenic Viewing (N=38)	1.08	Wildlife/Scenic Viewing (N=1)	2.00	Wildlife/Scenic Viewing (N=12)	0.42

Discussion. By comparing the General Public and the FS Mailing List group results for recreation activity participation (Table C.6) it is evident that there are significant differences in the level of participation between the two groups for specific activities. These include swimming (23% General Public, 11% FS Mailing List), picnicking (38% General Public, 24% FS Mailing List), backpacking (15% General Public, 35% FS Mailing List), and off-highway vehicle (OHV) use (7% General Public, 20% FS Mailing List). Since the FS Mailing List group represents individuals with a higher level of involvement and interest in forest issues, these differences should be evaluated further in order to better understand potential barriers to, and reasons for, public involvement.

Photo by: Ray Ford.

The mean satisfaction level (Table C.8) of backpackers (0.14 General Public group) and OHV users (0.23 General Public group) are well below the mean satisfaction of all users (0.93 General Public group). Yet, as indicated in Table C.6, there are a greater percentage of individuals from the FS Mailing List that participate in these activities than in the General Public. This suggests that recreational dissatisfaction may be a driving force behind an individual becoming involved in forest management issues, thereby being on the FS Mailing List. This has important consequences to the potential collaborator and is discussed further in the following section, "Forest Service/Public Interaction."

The demographic differences between the General Public and FS Mailing List target groups may explain the different proportions of users observed in picnicking and swimming. By comparing the ethnic distributions of the MMQ studies to those observed in the NVUM study it is evident that the Spanish, Hispanic, and Latino population is more realistically represented through the General Public target group (12.2% compared to NVUM's 16.9%) but is largely under-represented in the FS Mailing List group (3.6%). To understand ethnic recreation preferences, the breakdown of activities for the Spanish, Hispanic, and Latino individuals compared to all other ethnicities within the General Public group is given in Table C.9. The participation of both picnicking (62% vs. 38%) and swimming (41% vs. 23%) are considerably higher among the Spanish, Hispanic, and Latino population than the rest of the individuals in the study. The smaller fraction of Spanish, Hispanic, and Latino individuals polled within the FS Mailing List group (see Table C.4) may explain the lower participation percentages in these activities for that target group. Since the FS Mailing List group represents those likely to be involved in collaboration on forest issues, it is important to consider this lack of representation by certain ethnic groups. As a collaborator, it is critical that the views of all affected forest users are represented in any given process. Spanish, Hispanic, and Latino individuals are currently under-represented in forest management issues, and their lack of involvement may indicate that extra efforts must be made to include them in the collaborative effort.

Table C.9 – Recreation participation of Spanish, Hispanic, or Latino ethnic group

Recreation Activity	Spanish, Hispanic, or Latino (General Public) % Participation (N=58)	All Other Ethnicities (General Public) % Participation (N=488)
Backpacking	9%	16%
Biking (Mountain)	9%	17%
Biking (Road)	2%	7%
Camping	52%	43%
Fishing	21%	18%
Hiking	24%	68%
Horseback Riding	0%	3%
Hunting	10%	9%
Off-Highway Vehicle Use	3%	8%
Picnicking	62%	35%
Rock Climbing	3%	4%
Swimming	41%	21%
Target Shooting	12%	12%
Wildlife/Scenic Viewing	43%	43%

Forest Service/Public Interaction Results

To gauge the public's willingness for involvement in forest management it is important to look at the public's interaction with Forest Service managers. Interaction indicates a proactive step towards involvement, which suggests a larger interest in forest stewardship. The MMQ addressed public interaction in many ways. First, the respondents were asked to select all the methods in which they have interacted with the Forest Service. Then, two separate questions specifically addressed attendance at Forest Service public meetings and volunteerism. Finally, respondents were asked to indicate their level of satisfaction with the interactions they have had (or not had) with the Forest Service.

Results indicate that 42% of the General Public, and 97% of the FS Mailing List groups had interacted by some method with the Forest Service concerning Los Padres National Forest (Table C.10). For the General Public group, the majority of those who have interacted with the Forest Service indicated it was by "calling on the phone" (48%) or "visiting with staff in person" (60%). However, the FS Mailing List group was more likely to attend public meetings (79%) or workshops (32%) or volunteer (49%).

Table C.10 – Interaction With Forest Service

Study Group	Yes	Methods of Interaction							
		Attended Public Meeting	Attended Workshop	Called On Phone	Visited With Staff	Volunteered	Wrote Letter	Wrote E-mail	Other
MMQ General Public (N=686)	42% (N=291)	8%	5%	48%	60%	14%	11%	6%	13%
MMQ Forest User (N=72)	63% (N=45)	18%	18%	29%	40%	40%	38%	27%	7%
MMQ FS Mailing List (N=178)	97% (N=172)	79%	32%	44%	58%	49%	38%	22%	9%

Study Group	No	Reasons For Not Interacting				
		Satisfied With FS Management	Feel Input Will Not Be Considered By FS	Do Not Have Time	Do Not Care To Interact	Other
MMQ General Public (N=686)	58% (N=395)	36%	11%	16%	17%	11%
MMQ Forest User (N=72)	38% (N=27)	33%	26%	19%	7%	15%
MMQ FS Mailing List (N=178)	3% (N=6)	0%	33%	33%	33%	0%

Understanding why individuals do not interact is just as important as learning the preferred types of interaction in which the public will engage. Of those in the General Public group who responded that have had no interaction with the Forest Service, the majority indicated it was because they felt "satisfied with forest management". It is interesting to note that 11% of the General Public group had no Forest Service interaction because they felt forest managers would "not consider (their) input important." This lack of trust may signify a potential barrier for initiating collaboration, which the Forest Service will need work to overcome in order to reinstate a sense of good faith with the community.

Since respondents were asked to indicate every type of interaction they have had with the Forest Service, it was possible for an individual to select multiple interaction methods. Table C.11 compares the number of interaction methods chosen by individuals for the three target groups as well as displays the average number of interaction types observed for an entire group (excluding the individuals who never interacted).

Table C.11 – Number of Interaction Types Utilized

Study Group	Number of Interaction Types			Average # For Individuals Who Indicated At Least 1 Type
	Never	One	Multiple (>1)	
MMQ General Public (N=667)	58%	22%	18%	1.66
MMQ Forest User (N=71)	38%	31%	31%	2.20
MMQ FS Mailing List (N=176)	3%	14%	83%	3.24

Table C.12 breaks the target groups down into "satisfied" and "unsatisfied" users, based on their response to the third question on the MMQ in order to determine how a respondent's level of satisfaction relates to his/her level of interaction with the Forest Service. "Satisfied" users include any individuals who selected "satisfied" or "very satisfied", while "unsatisfied" users include those who selected "unsatisfied" or "very unsatisfied". Note that although results indicate there is a greater percentage of "unsatisfied" users interacting with the Forest Service (59% vs. 47% General Public) the average number of interactions utilized by the individuals of each satisfaction group is not significantly different (1.69 vs. 1.70 General Public).

Table C.12 – Effect of User Satisfaction on Interaction

Study Group	Yes	Satisfied Users: Attended Public Meeting	Attended Workshop	Called On Phone	Visited With Staff	Volunteered	Wrote Letter	Wrote E-mail	Other	Avg. # of Interactions
MMQ General Public (N=474)	47% (N=474)	10%	5%	49%	65%	16%	9%	6%	9%	1.70
MMQ Forest User (N=60)	60% (N=36)	19%	17%	28%	44%	36%	33%	31%	0%	2.08
MMQ FS Mailing List (N=131)	94% (N=123)	73%	30%	46%	55%	51%	34%	22%	8%	3.17
Study Group	**Yes**	**Unsatisfied Users: Attended Public Meeting**	**Attended Workshop**	**Called On Phone**	**Visited With Staff**	**Volunteered**	**Wrote Letter**	**Wrote E-mail**	**Other**	**Avg. # of Interactions**
MMQ General Public (N=68)	59% (N=40)	20%	3%	50%	45%	8%	20%	8%	13%	1.69
MMQ Forest User (N=6)	100% (N=6)	67%	33%	50%	33%	50%	83%	17%	0%	3.33
MMQ FS Mailing List (N=44)	100% (N=44)	86%	39%	36%	61%	45%	52%	20%	0%	3.51

Besides general trends of interaction levels within each target group, two distinct forms of public interaction were addressed in the MMQ because their results signify the community's willingness to provide input through traditional means (public meetings) as well as the public's potential for alleviating budget constraints (through volunteerism). Public meetings are required by the National Environmental Policy Act (NEPA) or the National Forest Management Act (NFMA) and serve to inform the public of national forest management activities as well as address the concerns of the public about forest issues (see Appendix D). It is important to determine who is going to these meetings, how they find out about them, and why individuals choose not to attend the meetings. Table C.13 lists the different methods in which individuals who attended meetings became aware of the meeting as well as the reasons individuals have not attended meetings.

Table C.13 – Attendance At Forest Service Public Meetings

Study Group	Attended Public Meeting	Method of Finding Out About Meeting: Newspaper	Mail	E-mail	Flyer	Friend or Acquaintance	Through Organization or Business	LPNF Website	Other
MMQ General Public (N=648)	8% (N=49)	22%	2%	2%	10%	33%	18%	4%	8%
MMQ Forest User (N=61)	18% (N=11)	9%	0%	0%	0%	45%	27%	0%	18%
MMQ FS Mailing List (N=175)	79% (N=139)	19%	15%	8%	7%	24%	21%	1%	4%
Study Group	**Have Not Attended Meeting**	**Reasons For Not Attending Meeting: Satisfied With FS Management**	**Unable To Attend**	**Do Not Have Time**	**Meetings Would Be Boring**	**Feel Input Will Not Be Considered By FS**	**Not Aware of Meetings**	**Not Aware, But Would Not Attend Anyway**	**Other**
MMQ General Public (N=648)	92% (N=599)	11%	5%	15%	1%	7%	42%	18%	2%
MMQ Forest User (N=61)	82% (N=50)	10%	12%	4%	0%	4%	42%	22%	6%
MMQ FS Mailing List (N=175)	21% (N=36)	17%	25%	17%	6%	3%	14%	8%	11%

In order to understand who attends the public meetings, the forest visitation frequency and the average recreation use satisfaction (based on the –2 to 2 scale) was determined for meeting attendants (Table C.14).

Table C.14 – Visitation & Recreation Satisfaction of Public Meeting Attendants

Study Group	Visitation Frequency				Mean Recreation Satisfaction
	Never	Seldom (Less than 5 times per year)	Occasionally (5 times a year to 2 times a month)	Often (Weekly or daily)	
General Public (N=49)	7%	24%	53%	16%	0.68
Forest User (N=11)	0%	0%	55%	45%	0.70
FS Mailing List (N=139)	1%	6%	53%	40%	0.56

Table C.15 relays the top four volunteer activities given for those who have volunteered in Los Padres National Forest. The table also shows the number of respondents in each target group who have never volunteered and their reasons for not doing so.

Table C.15 – Los Padres Volunteerism

Study Group	Volunteered	Description Of Volunteer Activity					
		Wilderness Ranger		Site Steward	Trash Pick-Up	Trail Maintenance	Other
General Public (N=638)	10% (N=66)	0%		5%	45%	33%	17%
Forest User (N=65)	34% (N=22)	5%		5%	18%	59%	13%
FS Mailing List (N=173)	60% (N=104)	13%		8%	11%	63%	5%
Study Group	Never Volunteered	Reasons For Not Volunteering					
		Not Aware Of Opportunities	Not Interested	Spend Time Volunteering In Another Way	Do Not Have The Time	Do Not Care To Volunteer	Other
General Public (N=638)	90% (N=572)	33%	1%	19%	29%	15%	3%
Forest User (N=65)	66% (N=43)	47%	0%	21%	19%	7%	7%
FS Mailing List (N=173)	40% (N=69)	30%	0%	20%	25%	12%	13%

As with individuals who attend Forest Service public meetings, the forest visitation frequency and average recreation use satisfaction of volunteers was determined (Table C.16).

Table C.16 – Visitation & Recreation Satisfaction of Volunteers

Study Group	Visitation Frequency				Mean Recreation Satisfaction
	Never	Seldom (Less than 5 times per year)	Occasionally (5 times a year to 2 times a month)	Often (Weekly or daily)	
General Public (N=66)	2%	18%	60%	20%	0.84
Forest User (N=22)	0%	0%	41%	59%	1.11
FS Mailing List (N=104)	0%	7%	53%	40%	0.63

Discussion. Since the FS Mailing List target group consists of individuals with a high level of involvement and interest in forest issues, it is expected that they would have the most interaction with the Forest Service. This is clear from the results of Tables C.10 and C.11 in which 97% of the respondents have had some form of interaction with forest managers. Each individual in this target group participated in an average of approximately 3.2 different methods of interaction, based on the options given on the questionnaire. This is nearly double the number of methods indicated by individuals in the General Public target group (1.7 methods). Also, the type of interaction between the General Public and FS Mailing List groups differs. FS Mailing List individuals are more likely to actively interact through public meetings (79% versus 8% for the General Public) and volunteerism (49% versus 14% for the General Public), which makes them effective stakeholders in collaborative efforts due to their better level of understanding of forest management issues and their willingness to interact and be involved with Forest Service representatives.

By breaking the target groups down into "satisfied" and "unsatisfied" users it is possible to see the effect user satisfaction has on Forest Service interaction (Table C.12). The results show that "unsatisfied" users tend to utilize different forms of interaction than "satisfied" individuals. For both the General Public and FS Mailing List target groups, the percentage of individuals who volunteer in Los Padres is notably lower with the "unsatisfied" users (8% General Public, 45% FS Mailing List) than the "satisfied" users (16% General Public, 51% FS Mailing List). Additionally, it appears as though "unsatisfied" users of both the General Public and FS Mailing List target groups are more likely voice their dissatisfaction by attending public meetings (20% and 86%, respectively) and writing letters to the Forest Service (20% and 52%, respectively) compared to the lower proportions of "satisfied" users attending meetings (10%, 73%) or writing letters (9%, 34%). These results support the idea that people with complaints will speak out, while people who are satisfied usually do not voice their satisfaction. However, there is a link between unsatisfied and satisfied users in which collaboration can play an important role. For example, user conflict may be a catalyst to begin a process in which unsatisfied users work together to reduce the conflict. If the collaboration is successful, an increase in user satisfaction may be noted. These new "satisfied" users are then more likely to volunteer and generally be good forest stewards. Therefore, collaborative processes are important two-fold: they provide a forum for dissatisfied users to be heard, and at the same time they increase the volunteer potential by promoting satisfaction.

Public meetings and volunteerism were looked at separately because these two types of interaction are seen as two different, yet very important, current forms of public involvement in forest management. Public meetings provide an opportunity for individuals to give valuable feedback to Forest Service managers, yet at the same time serve as an education tool in which the public can learn more about forest issues of management concern. Clearly, volunteerism provides physical human resources that are critical to the management of the forest in light of the dwindling budget set by Congress.

The fact that more people found out about public meetings through a friend or acquaintance than any other method may indicate that the Forest Service is not effective in informing the public about such events. This is supported from the questionnaire responses of the General Public group in which 42% of those who never attended a Los Padres public meeting indicated they did not attend because they were "not aware" of the meetings. However, the relatively high percentage of individuals who were informed of meetings through an organization or business indicates that this is an effective path to notify individuals about the meetings. Members have already shown a willingness for involvement within the community by belonging to an organization, and, thus, they are much more likely to become involved in forest issues as well. One method available to inform the public of upcoming events or management concerns is by using the briefing tool (see Appendix A) whereby a Forest Service representative goes to various organizations' scheduled meetings to present pertinent information.

A form of volunteerism - pack trip for maintenance on the Sisquoc Creek. Photo by: Ray Ford.

Based on the MMQ study, the biggest barrier preventing volunteerism in Los Padres National Forest appears to be public awareness of opportunities. In each of the three target study groups, respondents selected "Not aware of volunteer opportunities" more frequently than any other reason. With limited resources available to the Forest Service it is likely that most collaborative management agreements will require resources provided by the community in order to implement the decisions. Thus, it is critical that the collaborator consider how best to keep the public informed throughout a process so that when decisions are made, the public is aware of the role they will play in implementing the outcome.

It is unrealistic for a collaborative effort to include every individual who wants to be involved in the process. However, it is critical that collaborators collect, consider, and utilize the input of non-participants to the process. The MMQ addressed how to collect community views and ideas by asking respondents to indicate the best method for them to provide input to managers of Los Padres National Forest. Various choices were provided, and the response rates for each target group are given in Table C.17. While there is some variation in the response rates between target groups, the results provide the collaborator with many potential options to illicit the public's input and concerns.

Table C.17 – Best Methods For Public Input

Study Group	Traditional Input Methods				Electronic Input Methods			Representative Input Methods		Other
	Public Meeting	Mail	Phone Call	Visit With Staff In Person	E-mail	Comment Page on Website	Public Online Bulletin Board	Advisory Committee	Through an Organization	
General Public (N=629)	10%	22%	8%	9%	24%	12%	2%	3%	6%	4%
Forest User (N=66)	6%	6%	7%	13%	23%	23%	2%	3%	10%	3%
FS Mailing List (N=173)	19%	12%	6%	16%	17%	5%	1%	3%	15%	5%

Adventure Pass Results

There was space provided on the MMQ for respondents to "comment further on what the Forest Service could do to increase (respondents') level of involvement." Though the Adventure Pass was never specifically mentioned on the questionnaire, the most common response noted by individuals of all target groups concerned the Adventure Pass program and reflected the general negative impression many have about the it. Responses varied from simple, "abolish forest fees" or "end the Adventure Pass," to the extreme in which individuals expressed their discontinued use of the forest since the initiation of the program. There were some instances of favorable remarks about the Adventure Pass program, however these remarks represented less than one percent of each target group. Results in Table C.18 reflect the opinions written directly on the surveys by the respondents.

Study Group	Users of Forest With Negative Impression of	Visitation Frequency Anti-Adventure Pass Users					Mean Recreation Satisfaction
		Less than 5 times per year	5-7 times a year	1-2 times a month	Weekly	Daily	
MMQ General Public (N=553)	(N=70) 13%	20%	31%	37%	10%	0%	0.49
MMQ Forest User (N=72)	(N=3) 4%	33%	0%	33%	33%	0%	2.00
MMQ FS Mailing List (N=180)	(N=33) 18%	6%	18%	45%	24%	6%	-0.03

Table C.18 – Negative Impression of Adventure Pass Program

Results indicate that a considerable amount of forest users have a negative view of the Adventure Pass program (13% of General Public, 18% of FS Mailing List). Additionally, the mean recreation satisfaction for these users is well below the averages for each entire target group (see Table C.7). This is likely a reflection of the dissatisfaction with the Adventure Pass program as a whole.

Comments were wide-ranging in their severity, but the general impression one perceives from reading them is that there is a lack of trust in Forest Service management, and disagreements or lack of understanding in how the Adventure Pass fees are being used. While there is little local Forest Service officials can do about the Recreation Fee Demonstration Program, it may be possible to provide more transparent information concerning the program and initiate attempts to include the public in the decision-making process on how best to use the additional funding.

Figure C.1. Sample of MMQ English

Los Padres National Forest Informational Questionnaire (Para español de vuelta la página)

Please take a few minutes to answer the following questions.

Gender: M or F

What is your age? ____

Residential zip code? __ __ __ __ __

Ethnicity (Please mark ONE option):
- □ Mexican-American/Mexican
- □ Latin-American/Latino
- □ African-American/Black
- □ Asian-American/Asian
- □ Native Hawaiian/Pacific Islander
- □ White/Caucasian
- □ American Indian/Alaska Native
- □ Other_____________________

1. How often do you visit Los Padres National Forest? (Please mark ONE option)

□ Daily □ Weekly □ 1-2 times a month □ 5-7 times a year □ less than 5 times a year □ Never (skip to 4)

2. a) Please select the recreational activities in which you participate when you visit Los Padres National Forest. (Please mark NO MORE THAN THREE options)

___ Backpacking	___ Camping	___ Horseback Riding	___ Picnicking	___ Swimming
___ Biking (mountain)	___ Fishing	___ Hunting	___ Rock Climbing	___ Wildlife/Scenic Viewing
___ Biking (road)	___ Hiking	___ OHV Use	___ Target Shooting	___ Other________________

b) What is your primary recreational activity? ______________________________________

3. Overall, how satisfied are you with your primary recreational activity in Los Padres National Forest? (Please circle ONE option)

Very Satisfied Satisfied Unsatisfied Very Unsatisfied

4. a) In which of the following ways have you ever interacted with the Forest Service? (Select all that apply)
- □ Attended Public Meeting(s)
- □ Attended Workshop(s)
- □ Called on Phone
- □ Visited with Staff in Person, excluding making purchases
- □ Volunteered
- □ Wrote Letter(s)
- □ Wrote E-mail(s)
- □ None, I have never interacted with the Forest Service
- □ Other ____

b) If you have never interacted with the Forest Service, please choose the most appropriate reason why.
- □ Feel satisfied with forest management, no need to contact the Forest Service
- □ Feel the Forest Service will not consider my input important
- □ Do not have time
- □ Do not care to interact with the Forest Service
- □ Other ____

5. Have you ever attended a Forest Service public meeting concerning Los Padres National Forest?

□ Yes **If YES, how did you find out about the meeting? (Please select ONE option)**
- □ Newspaper
- □ Mail
- □ E-mail
- □ Flyer
- □ Informed by Friend/Acquaintance
- □ Through an Organization/Business
- □ Los Padres National Forest Website
- □ Other _______________________________

□ No **If NO, what was your reason for not attending? (Please select ONE option)**
- □ Satisfied with forest management
- □ Unable to attend meeting times
- □ Do not have time
- □ Feel the meetings would be boring
- □ Feel my input will not be considered by Forest Service
- □ Not aware of public meetings
- □ Not aware of public meetings, but would not attend anyway
- □ Other ____

6. Have you ever done volunteer work related to Los Padres National Forest?

□ Yes **Please describe:** ____

□ No **If NO, what was your reason for not volunteering? (Please select ONE option)**
- □ Not aware of any volunteer opportunities
- □ Volunteer opportunities are not interesting
- □ Spend time volunteering in another way
- □ Do not have time
- □ Do not care to volunteer
- □ Other ____

7. Overall, how satisfied are you with your level of interaction with the Forest Service? (Please circle ONE option)

Very Satisfied Satisfied Unsatisfied Very Unsatisfied

8. In your opinion, what is the best way for you to provide input to the Forest Service about Los Padres National Forest? (Please select ONE option)
- □ Public Meeting
- □ Mail
- □ Phone Call
- □ Visit with Staff in Person
- □ E-mail
- □ Comment Page on Website
- □ Public Online Bulletin Board
- □ Online Chat Room
- □ Through an Advisory Committee
- □ Through an Organization of which You are a Member
- □ Other____

Please take the time to comment further on what the Forest Service could do to increase your level of involvement:

Thank you for your time!!
Mail questionnaire to: Los Padres Forest Group Project, Mail Stop 8628, UCSB, Santa Barbara, CA 93106-8628

Appendix D. Legal Constraints of the Forest Service

As a federal agency that manages some of the nation's natural resources, the Forest Service must comply with many mandates, regulations, and policies that can be very complex. Some laws are designed to benefit the public by giving transparency to agency actions, decisions, regulations, and records for all levels of government. Other laws fall in a "command and control" category, which means the regulating agency "deputized" by the law specifically defines what is and is not acceptable according to the statute, monitors those affected by the law, and enforces compliance to the regulations. The laws are presented here to inform the collaborator of some of the regulatory roadblocks that must occasionally be faced in any collaborative process.

Although national forests must also observe state and local laws, and they may answer to other agencies that carry out certain statutes affecting forest resources, this is only an outline of some of the more common federal mandates that have an effect on forest management. These regulations may control the way the Forest Service interacts in your process and the extent of their involvement. Keep in mind that collaborators with the Forest Service may include local, county, and state agencies who also have their own local laws to which they must comply as well as these federal statutes.

D.1 National Environmental Policy Act (NEPA)

This act was passed in 1969 as a formal environmental policy mandate. Any federal action that may have a significant effect on the environment must undergo what's commonly referred to as the "NEPA process," as a means of ensuring consideration for environmental protection. Agencies must prepare an Environmental Analysis, which covers potential environmental effects of the proposed federal action. If it reveals that significant changes will occur in environmental quality due to the proposed action, the agency must then provide an environmental impact statement. This "EIS," as it is known, includes a description of what the significant environmental impacts will be for a given action, and some reasonable alternatives to the proposed action. While NEPA may not need to be considered for all forest issues you might collaborate about, those that may affect the forest management plan will likely need to consider the NEPA process, especially if you hope to have your collaboration outcomes implemented. NEPA is also an important law to consider because it actually promotes collaboration between agencies and the public throughout the process. The public can help scope the significant issues to include in the EIS, and then the public can comment on the draft EIS – to which the agency must respond – before a final one is produced. Collaboration among stakeholders is a great way to influence a particular NEPA process. However, some stakeholders feel that any "collaboration" through NEPA is merely advisory, since the agency is still the ultimate decision-making authority and must only "consider" the public's opinion. The best way to get the most out of a NEPA collaboration is by creating a group of local stakeholders that addresses the scope of the EIS early on and can pull together what could be widely different opinions of the general public.

D.2 Federal Advisory Committee Act (FACA)

Congress approved FACA in 1972 as a way to regulate all advisory committees created or used by a federal agency or reform plan. Your collaborative group could fall under the definition of an advisory committee, even if the community established it, if the Forest Service "utilizes" it. For example, if the agency seeks and adopts advice from your group, or sees your group as a "preferred source from which to obtain advice or recommendations on a specific issue or policy", then there are certain regulations of FACA that must govern your collaboration. The first of the two main mandates is that your committee must be chartered by either the Administrator of General Services or the Director of the Office of Management and Budget, which could take a few months. The second key mandate is that all collaborative decisions must be made through consensus agreement. Collaborations within FACA must be open to the public, publish notices of meetings in the Federal Register, keep minutes of each meeting, and have an agency employee present for all meetings, who has approved calling the meetings and their agendas. A key way to distinguish your collaboration from FACA groups is to provide a "public service with respect to a federal program", only make recommendations to state or local officials, or meet to seek individual views. In some ways collaborative efforts may benefit under FACA regulations – they ensure a representative group. However, FACA may upset the equality at the table by requiring many actions to be approved and/or observed by a federal employee, as well as extend costs and time commitments (which may be crucial when collaborating). Another problem issue with FACA can arise even if your collaboration does not fall under its regulations. It may be hard to convince an agency representative to participate in your process for fear of violating FACA, which may mean a key stakeholder missing from your table is creating an unbalance within your group.

D.3 National Forest Management Act (NFMA)

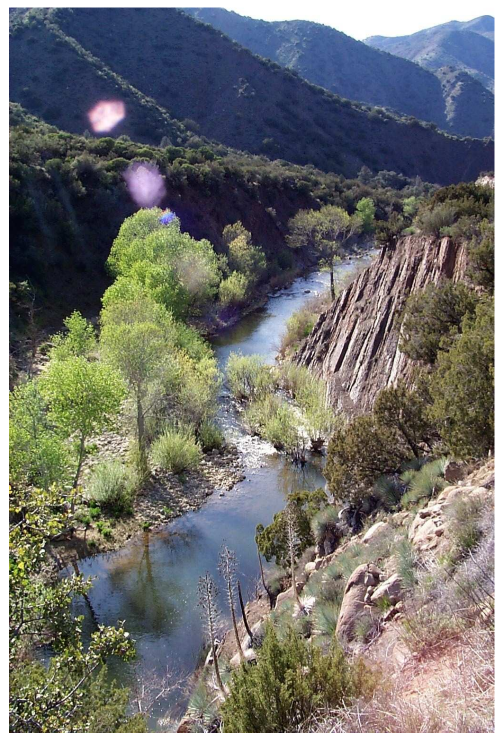
This act is the major law specific to public land planning and management with respect to the Forest Service. It was enacted in 1976 to instigate the production of "national, regional, and forest" management plans. The Forest Plan is a primary avenue for local communities to affect recreational management for the future. NFMA is similar to NEPA in that the planning process is open to the public for comment when scoping, reviewing, or amending the Plan. The Forest Service actually streamlines this process by creating public participation plans specific for each forest. This act alone has prompted the desire for more public participation like collaboration because many stakeholders feel the agency "goes through the motions", but does not really look at or address public comments. The Quincy Library case study in Appendix B on page B-37 is an interesting example of a community circumventing the traditional planning procedures regulated through NFMA, and signals hope for modifying this statute to provide more assurances of effective public participation.

D.4 Endangered Species Act (ESA)

The ESA is key legislation for collaborators who may be dealing with an issue involving an endangered or threatened species. It is helpful to understand the basics of this statute even if your issue is not directly affected by ESA, because recommendations given by your collaboration may not be feasible for implementation due to extenuating circumstances. In 1973 the ESA achieved approval by Congress as a means to conserve, restore, and protect endangered and threatened species and their habitats. The ESA consists of five key regulations addressing: how a species gets listed, the process for consulting federal actions, a prohibition of "taking" a listed species, the process for getting a permit to "take", and enforcement mandates of the act. A species is listed based on scientific and commercial data proving its immediate danger of extinction or likelihood to become endangered. The second step simply determines whether a listed species may be present on federal land, like a national forest, and - if it is in jeopardy - what actions should be taken to avoid species harm. The third and fourth components define what it means to "take" (kill, injure, or harm) a species and the process rules for determining whether a permit to incidentally "take" it is reasonable under certain circumstances. Finally, enforcement of ESA is the responsibility of the U.S. Fish and Wildlife Service, but citizens also have standing to stop an agency violation of the mandate. An interesting fact pertaining to ESA influences locally: in 1989 there were only 17 listed Threatened Endangered Species (TES) found in the four southern California national forests. Today, that number has climbed to 62. Although ESA allows for citizen standing, overall the act is not really open to public participation, with the exception of aiding in developing and implementing a recovery plan for a species. Teams formed for this purpose are exempt from FACA, which opens up a collaboration's ability to affect implementation of a recovery plan.

D.5 Wild & Scenic Rivers Act (WSRA)

Another law that may be important to know protects rivers that are valued for "outstandingly remarkable" scenic, recreational, cultural, historical, or geological reasons. The WSRA of 1968 protects the three river system sections within Los Padres –Sisquoc Creek, which flows through Santa Barbara County, Sespe Creek, and the Big Sur River. Rivers, or sections of them, can be designated as a *wild river area* (high water quality, usually only accessible by trail, most natural), a *scenic river area* (may accessible by roads, but minimal human impact), or a *recreational river area* (least natural, easily accessible, may even have development along it). The three protected rivers in Los Padres were designated in 1992 as wild or scenic for a total 84 miles of river system. The Forest Service is currently studying or will study another 109 miles of river in Los Padres to seek future designation under WSRA. Stakeholders who may want to impact management decisions around potentially designated rivers should work to influence the study processes currently underway, since once a river section is designated usually the principle management regime involves maintaining protection of the value(s) that deemed it "remarkable" for designation. All wild and scenic rivers have specific management plans for the designated sections, which are almost always developed through a NEPA-type process. No more than 320 acres of land per river mile can be protected under WSRA, which usually works out to about ¼ mile on either side of the river. Therefore, WSRA, emphasizes protection of in-stream and floodplain environments as opposed to watersheds.



The Sisquoc Creek. Photo courtesy of the Forest Service.

D.6 Clean Water Act (CWA)

In 1972 the Clean Water Act, then the Federal Water Pollution Control Act, was created. Over the years it has had several amendments and modifications, as well as other acts passed to work in coordination with CWA. The statute was implemented to "restore and maintain the chemical, physical, and biological integrity of the Nation's waters" (33 USCA § 1251(a)) as its main goal.

The Environmental Protection Agency (EPA) works with the state to set standards of acceptable levels of pollutants in water bodies in order to ensure a designated water quality standard. Point source polluters must either have a permit to continue dumping, must meet the standards allowed for release, or must not discharge anything that will disrupt the integrity of the water body. Communities can intervene the permitting process, can file administrative appeals if they feel a point source is not complying with the standards, or they can sue to enforce regulation and monitoring to be performed. Also, the EPA regularly holds public meetings to gather input on the adequacy of water quality standards set. Any opportunity arising through agency processes instilled through the CWA is a place for collaborative processes to enhance the effectiveness of the CWA on specific bodies of water. This may work effectively through a collaborative structure that continually monitors water quality and overall status of a specific body of water to stay informed so that when critical processes or stages of processes open for public involvement they can be maximized to meet your group's goal.

D.7 Wilderness Act

Congress enacted the Wilderness Act in 1964 to establish a National Wilderness Preservation System of federal lands "where the earth and its community of life are untrammeled by man, where man himself is a visitor who does not remain." The act provides criteria for determining the suitability of and establishes restrictions on activities that can take place within boundaries of federally designated wilderness areas. The act instructed the Department of the Interior and Department of Agriculture to review every roadless area on public land of greater than 5,000 acres for inclusion in the National Wilderness Preservation System, with final decisions to be made by Congress. Wilderness areas to be included in the system were meant to be undeveloped, providing man with solitude and primitive forms of recreation while preserving the natural character of the land for future generations. The Act, either directly or through subsequent legislation, prohibits commercial activities, motorized access, mechanical transport (including bicycle), and construction of roads, structures, and facilities in lands that become designated as part of the Wilderness system. The Wilderness Act has a great deal of importance for the management of Los Padres as more than 870,000 acres (approximately 48% of the forest) in 10 federally designated areas have been preserved under the act.

Wilderness Areas in Los Padres National Forest

Wilderness Area	Total Area	Ranger District(s)
Chumash	38,150 acres	Mt. Pinos
Dick Smith	64,700 acres	Mt. Pinos, Santa Barbara
Garcia	14,100 acres	Santa Lucia
Machesna Mountain	19,880 acres	Santa Lucia
Matilija	29,600 acres	Ojai
San Rafael	197,380 acres	Santa Barbara, Santa Lucia
Santa Lucia	20,412 acres	Santa Lucia
Sespe	219,700 acres	Ojai, Mt. Pinos
Silver Peak	31,555 acres	Monterey
Ventana	236,145 acres	Monterey
Total	**871,622 acres**	

Appendix E. Local Stakeholder Contact List

Environmental and Community Organizations

Braille Institute, Santa Barbara Center
(805) 682-6222
www.brailleinstitute.org/
Info@BrailleInstitute.org

California Native Plant Society, Channel Islands Chapter
P.O. Box 5628
Ventura, CA 93005
www.cnpsci.org

California Wild Heritage Campaign
www.californiawild.org/About.html

Coastal Resources Information Center
(805) 964-6477
5679 Hollister Ave.
Goleta, CA 93117

Community Environmental Council
(805) 963-0583
930 Miramonte Dr.
Santa Barbara, CA 93109
www.communityenvironmentalcouncil.org
cecadmin@cecmail.org

Community Forestry International, Inc.
5266 Hollister Ave., Ste. #237
Santa Barbara, CA 93111
(805) 696-9087
www.communityforestryinternational.org
mpoffen@aol.com

Environmental Defense Center
(805) 963-1622
906 Garden St.
Santa Barbara, CA 93101
www.edcnet.org
edc@edcnet.org

Independent Living Resource Center
Santa Barbara Office
Voice or Text (TTY/TDD): (805) 963-0595
423 W. Victoria St.
Santa Barbara, CA 93101

Santa Maria Office
Voice or Text (TTY/TDD): (805) 925-0015
327 E. Plaza Dr., Ste. 3A
Santa Maria, CA 93454
www.ilrc-trico.org

La Casa de la Raza
601 E. Montecito St.
Santa Barbara, CA 93103

La Purisima Audubon Society
P.O. Box 2045
Lompoc, CA 93438
www.lpas.westhost.com

Land Trust for Santa Barbara County
(805) 966-4520
P.O. Box 91830
Santa Barbara, CA 93190
www.sblandtrust.org
info@sblandtrust.org

Los Padres Forest Association
www.lpforest.org

National Network of Forest Practitioners
(401) 273-6507
305 Main St.
Providence, RI 02903
www.nnfp.org

Nature Conservancy, The
Santa Barbara Office
(805) 898-1642
2559 Puesta del Sol Rd.
Santa Barbara, CA 93105
www.tnccalifornia.org
calweb@tnc.org

Santa Barbara Audubon Society
(805) 964- 1468
5679 Hollister Ave., Ste. 5b
Goleta, CA 93017
www.rain.org/~audubon
audubon@rain.org

Santa Barbara County Action Network
(805) 687-1674
P.O. Box 43352
Santa Barbara, CA 93140-3352
www.sbcan.org
sbcan99@hotmail.com

Santa Barbara Wildlife Care Network
(805) 966-9005
P.O. Box 6594
Santa Barbara, CA 93160
www.silcom.com/~sbwcn/index.shtml
sbwcn@juno.com

Santa Ynez Band of Chumash Indians
Vincent Armenta, Chair
(805) 688-7997
P.O. Box 517
Santa Ynez, CA 93460
www.sctca.net/tribalsite/santaynez.html

Sierra Club, Los Padres Chapter
(805) 966-6622
P.O. Box 90924
Santa Barbara, CA 93109
www.lospadres.sierraclub.org
los.padres.chapter@sierraclub.org

Urban Creeks Council
(805) 968-3000
P.O. Box 1083
Carpinteria, CA 93014
www.silcom.com/~sbucc
sbucc@silcom.com

Volunteer Wilderness Rangers
http://www.r5.fs.fed.us/lospadres/business/senior_youth_volunteer/vwr.html

Education/Student Organizations

4-H Youth Development Program
UC Cooperative Extension
http://fourh.ucdavis.edu

Allan Hancock College
(805) 922-6966
800 South College Dr.
Santa Maria, CA 93454
www.hancockcollege.edu

AOK After School Program
www.sbceo.k12.ca.us/~franklin-inter/school/resources.htm

Boy Scouts of America
(805) 967-0105
Los Padres Council
4000 Modoc Rd.
Santa Barbara, CA 93110-1807
www.lpcbsa.org

Boys and Girls Club of Santa Barbara
(805) 962-2382
632 E. Canon Perdido St.,
Santa Barbara, CA 93103
www.boysgirls.org

Boys and Girls Club of Santa Maria Valley
(805) 933-7163
P.O. Box 760
Santa Maria, CA 93456
www.bgcsmv.org/clubinfo.htm
clubinfo@bgcsmv.org

Girls Inc. of Carpinteria
(805) 684-6364
5315 Foothill Rd.
Carpinteria, CA 93013
www.fsacares.org/tr0v9umt.htm
girlsinc_diane@hotmail.com

Girls Inc. of Greater Santa Barbara
Santa Barbara Center: (805) 963-4017
Goleta Center: (805) 967-0319
Administration: (805) 963-4757
531 East Ortega St.
P.O. Box 236
Santa Barbara, CA 93102

Growing Solutions Restoration Education Institute
(805) 452-7561
P.O. Box 30081
Santa Barbara CA 93130
www.growingsolutions.org
info@growingsolutions.org

Goleta Valley Beautiful
(805) 252-1952
www.goletavalleybeautiful.org

San Marcos Foothill Coalition
(805) 964-9444
P.O. Box 30412
Santa Barbara, CA 93130
www.sanmarcosfoothills.org
sanmarcosfoothills@hotmail.com

Santa Barbara Botanic Gardens
(805) 682-4726
1212 Mission Canyon Rd.
Santa Barbara, CA 93105
www.santabarbarabotanicgarden.org
Info@sbbg.org

Santa Barbara ChannelKeeper
(805) 563-3377
120 W. Mission St.
Santa Barbara CA 93101
www.sbck.org
info@sbck.org

Santa Barbara City College
(805) 965-0581
721 Cliff Dr.
Santa Barbara, CA 93109-2394
www.sbcc.cc.ca.us

Santa Barbara Museum of Natural History
(805) 682-4711
(805) 569-3170
2559 Puesta del Sol Rd.
Santa Barbara, California 93105
www.sbnature.org
info@sbnature2.org

Sedgwick Ranch Reserve
(805) 686-1941
P.O. Box 848,
Santa Ynez, CA 93460
www.nrs.ucop.edu/reserves/sedgwick.html

Student Conservation Association
www.thesca.org

Tres Condados Girl Scout Council
(805) 564-4848
1616 Anacapa St.
Santa Barbara, CA 93101
Mailing Address:
P.O. Box 30187
Santa Barbara, CA 93130-0187
www.gstc.org
general@GSTC.org

University of California, Santa Barbara
(805) 893-8000
Santa Barbara, CA 93106
www.ucsb.edu

Westmont College
(800) 777-9011
955 La Paz Rd.
Santa Barbara, CA, 93108
www.westmont.edu

Wilderness Education Program
(805) 667-2057
267 South Laurel St.
Ventura, CA 93001
www.wildernessedprogram.com
wepwaw@aol.com

Wilderness Youth Project
(805) 964-8096
www.wyp.org

Forest User Organizations

Backcountry Horsemen
Los Padres
P.O. Box 6773
Santa Maria, CA 93456
www.bchc.com

Gold Coast Motorcycle Association
www.goldcoast4wdclub.org.au/contact.htm

Goleta Valley Cycling Club
P.O. Box 1547
Goleta, CA 93117
www.goletabike.org
gbike@impulse.net

International Mountain Biker Association
(888) 442-4622
1121 Broadway, Ste. 203
P.O. Box 7578
Boulder, CO 80306
info@imba.com
www.imba.com

Lompoc Valley Bicycle Club
P.O. Box 2627
Lompoc, CA 93436
www.216.101.193.118/LVBC/default.htm
bikelompoc@yahoo.com

Santa Barbara Area Trails Council
Phone: (805) 682-3175

Tree People of Los Angeles
General Information
(818) 753-4600
info@treepeople.org
www.treepeople.org

Business Organizations

American Red Cross
Santa Barbara Chapter
chapter@sbaco-redcross.org
www.sbaco-redcross.org

California Cattlemen Association
www.calcattlemen.org

Concerned Resources & Environmental Workers (CREW)
(805) 646-5085
P.O. Box 1532
Ojai, CA 93024
www.environmentalyouthwork.org
crew@jetlink.net

Dirt First
www.dirtfirst.com

Geological Society of America
Institute for Earth Science and the Environment
1-888-ASK-USGS
http://rock.geosociety.org/science/iee.htm

Firestorm, Wildland Fire Suppression Inc.
(805) 898 – 1414
firestorm@firestormfire.com
www.firestormfire.com

Marborg Disposal Co.
(805) 963-1852
136 N. Quarantina St.
Santa Barbara, CA 93101

Montecito Emergency Response and Recovery Action Group (M.E.R.R.A.G.)
(805) 969-7762
www.montecitofire.com/merrag

Outdoor Santa Barbara Visitor Center
(805) 884-1475
113 Harbor Way
Waterfront Center 4th Floor
Santa Barbara, CA 93109

Rocky Mountain Recreation Company
info@rmrc-recreation.com
www.rmrc-recreation.com

Santa Barbara Zoo
(805) 962-5695
500 Ninos Dr.
Santa Barbara, CA 93103
zooinfo@sbzoo.org
www.santabarbarazoo.org

State Farm Insurance
www.statefarm.com

Southern California Edison
(800) 655-4555
www.edison.com

Trust for Public Lands
Western Regional Office
(415) 495-5660
116 New Montgomery St., 3rd Floor
San Francisco, CA 94105
deb.karasik@tpl.org
www.tpl.org/tier2_rl.cfm?folder_id=266

Wheeler Gorge Visitor Center
www.lpforest.org/frameset1.php?page=search&U=1

Media

Television

Government Access Television (GATV)
(805) 568-3424
105 E Anapamu, Room 401
Santa Barbara, CA 93101
www.gs-cares.com/GATV/index.asp
motta@co.santa-barbara.ca.us

KCOY 12
(805) 925-1200
1211 W. McCoy Ln.
Santa Maria, CA 93455

KEYT ABC Affiliate TV Station in Santa Barbara
(805) 882-3933
Santa Barbara, CA 93109
www.keyt.com

KSBY TV Central Coast NBC Affiliate
(805) 541-6666 Switchboard
(805) 597-8000 News
1772 Calle Joaquin
San Luis Obispo, CA 93405
www.ksby.com

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vvoice@goletavalleyvoice.com
www.goletavalleyvoice.com

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122 W. Figueroa St.
Santa Barbara, CA 93101
www.independent.com

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715 Anacapa St.
Santa Barbara, CA 93101
Mailing Address:
P.O. Box 1359
Santa Barbara, CA 93102
www.newspress.com

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(805) 347-1968
Toll-Free: 1-877-388-1954
1954-L South Broadway
Santa Maria, CA 93454
www.santamariasun.com
mail@santamariasun.com

Santa Maria Times
www.santamariatimes.org

The South Coast Beacon
(805) 685-0211
7127 Hollister Ave., Ste. 109
Goleta, CA. 93117
Mailing Address:
P.O. Box 8118
Goleta, CA. 93118
www.scbeacon.com

Radio

KCBX Public Radio, FM 90
(805) 549-8855
In California: 1-800-549-8855
4100 Vachell Ln.
San Luis Obispo, CA 93401

KCLU 102.3 FM National Public Radio and Jazz
(805) 493-3900
www.kclu.org

KDB 93.7 FM Classical Music Radio Station
(805) 966-4131
23 West Micheltorena St.
Santa Barbara, CA 93101
www.kdb.com
info@kdb.com

KJEE 92.9 FM Alternative Rock Radio Station
(805) 962-4588
302-B W. Carrillo St.
Santa Barbara, CA 93101
www.kjee.com/main.htm

KRUZ 103.3 FM Rock Radio Station
(805) 682-2895
3757 State St. Ste. 206
Santa Barbara, CA 95103
www.kruz.com

KTYD 99.9 FM Rock Radio Station
www.ktyd.com/main.html

Government

Federal

Assembly member- 35th Assembly District
(805) 564-1649
http://www.democrats.assembly.ca.gov/members/a35/

Channel Islands National Marine Sanctuary
shauna.bingham@noaa.gov
www.cinms.nos.noaa.gov

House of Representatives
(805) 730-1710
www.house.gov/capps

NOAA
www.noaa.gov

U.S Fish and Wildlife Services
Contact@fws.gov
http://www.fws.gov

U.S. Senators of California
www.senate.gov/~feinstein
www.senate.gov/~boxer/

State

California Conservation Corps
www.ccc.ca.gov/cccweb/index.htm

California Department of Forestry
www.fire.ca.gov

California Department of Parks and Recreation
P.O. Box 942896
Sacramento, CA 94296

California Department of Rehabilitation
Santa Barbara District
(805) 560-8130
509 East Montecito Street, Suite 101
Santa Barbara, CA 93103-3216

Santa Maria Branch
(805) 928-1891
1775 S. McClelland St.
Santa Maria, CA 93454-7634
www.rehab.cahwnet.gov

Santa Barbara County

Santa Barbara County
General Information
(805) 681-4200
www.countyofsb.org/index.asp

Fire Department
Public Information Officer
4410 Cathedral Oaks Rd.
Santa Barbara, CA 93110
(805) 681-5531
www.sbcfire.com

Fire Safe Council
595 San Ysidro Rd.
Santa Barbara, CA 93108
(805) 969-2983
www.firesafecouncil.org

Flood Control
Santa Barbara
123 East Anapamu St.
Santa Barbara, CA 93101

Santa Maria
2400 Professional Pkwy., Ste. 150
Santa Maria, CA 93455
http://www.silcom.com/~sbcpwd/water/flood.html

Office of Emergency Services
4410 Cathedral Oaks Rd.
Santa Barbara, CA 93110
(805) 681-5526

Santa Barbara County Parks
www.sbparks.org

Sheriff's Department
Carpinteria
(805) 684-456
5775 Carpinteria Ave.
Carpinteria, CA 93103

Sheriff's Department (continued)
Lompoc
(805) 737-7737
751 Burton Mesa Rd.
Lompoc, CA 93436

New Cuyama
(805) 766-2310
215 Newsome
New Cuyama, CA 93254

Santa Barbara
(805) 681-4100
4434 Calle Real
Santa Barbara, CA 93110

Santa Maria
(805) 934-6150
812-A W. Foster Rd.
Santa Maria, CA 93455

Solvang
(805) 686-5000
1745 Mission Dr.
Solvang, CA 93463
http://www.sbsheriff.org

City

City of Buellton
(805) 686-0137
www.cityofbuellton.com/home.shtml

City of Carpinteria
(805) 684-5405
www.carpinteria.ca.us

City of Lompoc
(805) 736-1261
www.ci.lompoc.ca.us

City of Santa Barbara
(805) 963-0611
www.ci.santa-barbara.ca.us

City of Santa Maria
(805) 925-0951
www.ci.santa-maria.ca.us

City of Solvang
(805) 688-5575
www.cityofsolvang.com

Montecito Trails Foundation
(805) 969- 3514
P.O. Box 5481
Santa Barbara, CA 93150

Parks and Recreation Department
(805) 564-5418
620 Laguna Street
Santa Barbara, CA 93101
Mailing Address
Parks and Recreation Department
City of Santa Barbara
Staff or Division Name
P.O. Box 1990
Santa Barbara, CA 93102-1990
www.ci.santa-barbara.ca.us/departments/parks_and_recreation

Santa Barbara City Fire Department
www.ci.santa-barbara.ca.us/departments/fire

Lompoc City Fire Department
(805) 735- 4513
100 Civic Center Plaza
Lompoc, CA 92243

Montecito Fire Protection District
(805) 969-7762
595 San Ysidro Rd.
Santa Barbara, CA 93108

Santa Maria City Fire Department
(805) 925- 0951
314 West Cook Street #8
Santa Maria, CA 92454

Solvang Volunteer Fire Department
Solvang City Fire
(805) 688-6046

Glossary of Terms

Adaptive Management: A systematic process to continually improve a plan by using information learned through performing experiments or demonstration projects to compare and evaluate its effectiveness.

Adventure Pass: The name for the user fee implemented by the USDA Forest Service in the four Southern California national forests through the national Recreation Fee Demonstration Program.

Advocacy: The act or process of supporting or defending a particular cause, idea, or position.

Case Study: An analytical record of history, environment, development, and relevant details for an illustrative example, experience, or event for a defined collaborative process.

Catalyst Phase: The first phase in a collaborative process in which the collaboration is prompted or triggered.

Clean Water Act (CWA): A federal statute adopted in 1972, regulated by the EPA, to provide guidelines for restoring and maintaining set standards for water quality of designated water bodies.

Collaboration: A representative process in which people advocating different views work together to maximize the ability of achieving a solution that meets everyone's needs.

Collaborative Process: *see* **collaboration**

Collaborator: Anyone who is working with individuals representing similar or different positions to help come to a common solution that supports both of their interests.

Common Ground: The values, interests, needs, or experiences that two people or groups share. Although individuals with differing opinions on an issue often assume they have nothing in common, they almost always have some common ground – even if it is only that they live in the same place.

Consensus: A method of agreement in which everyone at the table agrees upon a decision. In consensus based processes, people must work together to develop an agreement that is good enough that all of the participants are willing to agree to it.

Constituents: A group of people whose opinions are represented by representative decision makers in a collaborative process.

Coordinator: A facilitator, mediator, or negotiator who helps guide participants through a common movement within their collaborative process in order to keep on track.

Crisis: The pivotal or decisive moment in which a decisive change is imminent in order to avoid an undesirable outcome.

Direction-Setting Phase: The second phase in a collaborative process in which participants build a common sense of purpose, explore options for outcomes, and reach an agreement.

Endangered Species Act (ESA): A federal statute passed in 1973 in order to conserve, restore, and protect endangered and threatened species and their habitats.

Environmental Impact Statement (EIS): A document that must be completed in a NEPA process that is prepared for major federal actions that may significantly change an environmental quality in order to be used as a decision-making tool.

Environmental Protection Agency (EPA): A federal agency whose mission "is to protect human health and to safeguard the natural environment — air, water, and land — upon which life depends."

Equitable: Dealing fairly and equally with all participants in a process.

Facilitator: A coordinator who is a third party member that assists in running collaborative process meetings by keeping discussions on track, ensuring open communication, and clarifying all assignments, deadlines, and expectations of the group.

Federal Advisory Committee Act (FACA): A federal statute passed in 1972 to ensure uniform regulations for all advisory committees created or used by a federal agency or plan. It outlines specific rules that must be followed to ensure a committee process is open to the public and information discussed is available for public record.

Ground Rules: A set of guidelines that outline how group members should behave to ensure collaborative interactions throughout a process.

Implementation Phase: The fourth phase of a collaborative process in which participants assign roles for carrying out the agreed upon outcome from the process and elaborates tasks for executing the plan and relaying it to their constituencies.

Interest Groups: Advocacy groups who join together to work for a common cause. (e.g. environmental groups are a type of interest group.)

Interest: The underlying desire and concern that motivates people to take a position. Often parties' interests are compatible, and hence negotiable, but they differ in their positions on an issue. (*see also* **position**)

Issue Definition: A statement that identifies the topic, conflict, or convergence that will be addressed through a collaborative process. Issues are not always negatively associated, and should be founded on a unified interest of the group.

I-Statements and You-Statements: "I statements" tell the way someone feels about a situation, while "you statements" are accusations that another person did something wrong. Many collaborative groups eliminate "you statements" upon the establishment of ground rules.

Joint Fact-Finding: A process in which two or more disputing parties work together to clarify conflicting facts of an issue.

Majority: A method of agreement, and a decision-making tool in which more than half of the members of a collaborative process must agree.

Mandate: A law, regulation, or policy that is either directly authorized through Congress or a representative agency that oversees enforcement and compliance to the law or regulation.

Mediator: An intermediary who works with the disputing parties to help them improve their communication and their analysis of the situation in a process. Mediators do not make a decision for the parties, but will rather help the disputants design a solution themselves.

Monitoring and Evaluation Phase: The final phase of a collaborative process in which members may assess an implementation strategy and monitor its success and compliance through adaptive management means in order to determine the necessity for sustaining collaboration.

National Environmental Protection Act (NEPA): A federal statute passed in 1969 that establishes policy, sets goals, and provides means for carrying out the policy in order to protect the environment. It includes a stepwise process in order to determine whether a federal action should be performed or not.

National Forest Management Act (NFMA): A federal statute passed in 1976 to instigate the production of national, regional, and forest management plans for all public lands.

Negotiator: A coordinator who helps collaborators discuss an issue with a focus on compromise or settlement of conflict.

Neutrality: Not connected to or having any prior relationship with any of the individuals involved in an issue, and no bias towards a position, option, or outcome of a process.

Organization Profile: A compilation of information including a mission, structure, foundation, membership, and other relevant details of an organization that is used to understand what stakeholders it represents.

Participation Spectrum: A range of levels on which the public interacts and has decision-making authority when collaborating with an agency. It ranges from an Empower level, where the public is fully involved, to Inform level, where the agency uses a top-down approach for including the public.

Partnership: A relationship resembling a legal agreement usually involving cooperation and mutual contribution between the one or more parties that have specified rights and responsibilities in order to achieve a common goal.

Position: A point of view or stance adopted by a collaborator, which may oppose other positions at the table. One’s position usually is framed in the form of an ideal outcome that he/she conceives to address an underlying interest.

Promoter: One that promotes the advancement in station, rank, or honor, or one who contributes to the growth or prosperity of something.

Quorum: The number (as a majority) of officers or members of a body that when duly assembled is legally competent to transact business.

Stakeholder Assessment: A process that ensures a representative group of stakeholders are present to work through a particular issue. During this process, one also analyzes the benefits each stakeholder will receive by being included and how important the issue is to each stakeholder.

Stakeholder: Individuals who will be affected by an issue or the resolution of that issue.

Stereotyping: The process of assuming a person or group has one or more characteristics because most members of that group have (or are thought to have) the same characteristics. When stereotypes are inaccurate and negative (as they often are) they lead to misunderstandings, which make conflict resolution more difficult.

Table-Setting Phase: Phase that sets the structure for the entire process. This phase includes a stakeholder assessment, formulating a common definition of the issue, and identifying a process coordinator.

Third Party: Someone who is not involved in the conflict or issue but becomes involved in an effort to help the disputing parties work out a solution. Examples of third parties are *facilitators*, *mediators*, and *negotiators*.

United States Department of Agriculture (USDA): A federal agency that promotes the conservation of soil, water and wildlife, and the 192 million acres of national forests and rangelands. The United States Department of Agriculture is the Forest Service's parent agency.

Wild and Scenic Rivers Act (WSRA): Rivers and streams with "outstandingly remarkable" scenic, recreational, cultural, historical, or geologic features are protected under this 1968 law.

Wilderness Act: Passed in 1964, this law establishes the preservation of and use restrictions on areas included in the National Wilderness Preservation System.

References

Background and History

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Endangered Species Act of 1973. 16 US Const. Art. §§1521-1543.

Federal Advisory Committee Act of 1972. 5 US Const. Art. App. 2. §§ 1-15.

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National Forest Management Act of 1976. 16 US Const. Art. §§ 1600-14.

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