

FY 2018 TEMPLATE
Environmental Collaboration and Conflict Resolution (ECCR)¹
Policy Report to OMB-CEQ

On September 7, 2012, the Director of the Office of Management and Budget (OMB), and the Chairman of the President's Council on Environmental Quality (CEQ) issued a revised policy memorandum on environmental collaboration and conflict resolution (ECCR). This joint memo builds on, reinforces, and replaces the memo on Environmental Conflict Resolution issued in 2005.

The memorandum requires annual reporting by departments and agencies to OMB and CEQ on progress made each year in implementing the ECCR policy direction to increase the effective use and institutional capacity for ECCR.

ECCR is defined in Section 2 of the 2012 memorandum as:

“. . . third-party assisted collaborative problem solving and conflict resolution in the context of environmental, public lands, or natural resources issues or conflicts, including matters related to energy, transportation, and water and land management.

The term Environmental Collaboration and Conflict Resolution encompasses a range of assisted collaboration, negotiation, and facilitated dialogue processes and applications. These processes directly engage affected interests and Federal department and agency decision makers in collaborative problem solving and conflict resolution.

Multi-issue, multi-party environmental disputes or controversies often take place in high conflict and low trust settings, where the assistance of impartial facilitators or mediators can be instrumental to reaching agreement and resolution. Such disputes range broadly from policy and regulatory disputes to administrative adjudicatory disputes, civil judicial disputes, intra- and interagency disputes, and disputes with non-Federal persons and entities.

Environmental Collaboration and Conflict Resolution can be applied during policy development or planning in the context of a rulemaking, administrative decision making, enforcement, or litigation with appropriate attention to the particular requirements of those processes. These contexts typically involve situations where a Federal department or agency has ultimate responsibility for decision making and there may be disagreement or conflict among Federal, Tribal, State and local governments and agencies, public interest organizations, citizens groups, and business and industry groups.

Although Environmental Collaboration and Conflict Resolution refers specifically to collaborative and conflict resolution processes aided by third-party neutrals, there is a broad array of partnerships, cooperative arrangements, and unassisted negotiations that Federal agencies may pursue with non-Federal entities to plan, manage, and implement department and agency programs and activities. The Basic Principles for Agency Engagement in Environmental Conflict Resolution and Collaborative Problem Solving are presented in Attachment B. The Basic Principles provide guidance that applies to both Environmental Collaboration and Conflict Resolution and unassisted collaborative problem solving and conflict resolution. This policy recognizes the importance and value of the appropriate use of all forms collaborative problem solving and conflict resolution.”

¹ The term ‘ECCR’ includes third-party neutral assistance in environmental collaboration and environmental conflict resolution

This annual report format below is provided in accordance with the memo for activities in FY 2018.

The report deadline is April 12, 2019.

We understand that collecting this information may be challenging; however, the departments and agencies are requested to collect this data to the best of their abilities. The 2018 report, along with previous reports, will establish a useful baseline for your department or agency. Departments should submit a single report that includes ECCR information from the agencies and other entities within the department. The information in your report will become part of an analysis of all FY 2018 ECCR reports. You may be contacted for the purpose of clarifying information in your report. For your reference, prior year synthesis reports are available at <http://www.ecr.gov/Resources/FederalECRPolicy/AnnualECRReport.aspx>

FY 18 ECCR Report Template

Name of Department/Agency responding:	U.S. Army Corps of Engineers (USACE)
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Date this report is being submitted:	March 2019
Name of ECR Forum Representative	Dr. Hal Cardwell

1. **ECCR Capacity Building Progress:** Describe steps taken by your department or agency to build programmatic and institutional capacity for environmental collaboration and conflict resolution in FY 2018, including progress made since FY 2016. Include any efforts to establish routine procedures for considering ECCR in specific situations or categories of cases. To the extent your organization wishes to report on any efforts to provide institutional support for non-assisted collaboration efforts include it here. If no steps were taken, please indicate why not.

[Please refer to the mechanisms and strategies presented in Section 5 and attachment C of the [OMB-CEQ ECCR Policy Memo](#), including but not restricted to any efforts to a) integrate ECCR objectives into agency mission statements, Government Performance and Results Act goals, and strategic planning; b) assure that your agency's infrastructure supports ECCR; c) invest in support, programs, or trainings; and d) focus on accountable performance and achievement. You are encouraged to attach policy statements, plans and other relevant documents.]

General Comments

In FY18, the U.S. Army Corps of Engineers (USACE) continued to build programmatic and institutional capacity for both ECCR and non-third-party assisted collaborative environmental problem-solving processes, both at the Headquarters level, and across the 38 Districts and 8 Divisions in the US where USACE executes its Civil Works program. While USACE has an ECCR center and other programs that specifically focus on collaborative processes (see discussions below), the bulk of USACE's collaborative activities relate to specific, ongoing Civil Works projects across all mission areas (e.g. flood risk management, navigation, ecosystem restoration, water supply, hydropower, environmental stewardship, emergency management, and recreation) and functional areas (e.g. planning, engineering & construction, operations & maintenance, and regulatory).

Across USACE Divisions and Districts strong support is shown for collaborative problem-solving processes through the encouragement and provision of resources and training to staff and implement these processes. From the highest levels of USACE, the leadership commitment to collaboration is unwavering and constantly reiterated.

Although Districts and Divisions employ third-party neutrals and thus formal ECCR when appropriate, they report a preference for a proactive engagement approach with local cost-share sponsors, partners, and the public. Districts and Divisions prefer to develop local, state, regional, and national teams promoting collaborative planning to anticipate problems and identify alternative solutions early so as to reduce the likelihood and severity of environmental conflict. We highlight these experiences in the answers to Question 7.

a. Integrate ECCR objectives into USACE mission statements and strategic planning, including a focus on accountable performance and achievement.

The USACE Campaign Plan (www.usace.army.mil/About/Campaign-Plan) has embraced collaborative approaches in several goals. Many of the collaborative activities in this report fall within Goal 2, Deliver Integrated Water Resource Solutions. This goal stresses "collaboration with partners and stakeholders." Goal 3, Reduce Disaster Risks, stresses interagency disaster response, mitigation and recovery capabilities. Goal 3 includes an action to "Improve state-level collaboration with the Silver Jackets program" (discussed below). Moreover, Goal 4 is Prepare for Tomorrow: "Build resilient people, teams, systems, and processes to sustain a diverse culture of collaboration, innovation and participation to shape and deliver strategic solutions."

The 2014-2018 USACE Civil Works Strategic Plan is based on the principles of Integrated Water Resources Management - a holistic focus on water resource challenges and opportunities that reflects coordinated development and management of water, land, and related resources. The strategic plan builds institutional abilities and capacity for collaborative problem solving which is the core of ECCR processes. One of the cross-cutting strategies of the strategic plan is **Collaboration and Partnering**. USACE must "*build and sustain collaboration and partnerships at all levels to leverage authorities, funding, talent, data, and research from multiple agencies and organizations.*" (www.usace.army.mil/Portals/2/docs/civilworks/news/2014-18_cw_stratplan.pdf). Performance and achievement criteria for the CW Strategic Plan do not specifically include ECCR-related measures beyond annual USACE customer satisfaction surveys (see answers to Question 2).

USACE Communication Principles are the fundamental principles around which USACE plans its communication strategies with our stakeholders and partners. The USACE Communication Principles include but are not limited to:

- 1) *Effective communication, transparency and understanding are the very foundation of trust.*

- 2) *Communicate not just that people understand, but so that there is no possible way to misunderstand.*
- 3) *Shared information is power.*
- 4) *To succeed, requires early engagement of public and stakeholders.*

Environmental Operating Principles

Two out of USACE's seven Environmental Operating Principles highlight collaboration: #6 – "*Leverage scientific, economic, and social knowledge to understand the environmental context and effects of Corps actions in a collaborative manner*"; and #7 – "*Employ an open, transparent process that respects views of individuals and groups interested in Corps activities.*"

Guidance and Policy that requires stakeholder engagement

In FY17 USACE updated Planning Guidance Notebook Appendix B: Coordination, Communication and Collaboration to nest public participation within communication plans. Implementing guidance for watershed planning requires collaboration among stakeholders to identify problems and opportunities from any source in the watershed to establish shared visions for managing water resources. District outreach programs report use of the Quality Management System Enterprise Standard 28000 and 28100 in daily missions: Communication Planning Process and Strategic Engagement Process, respectively.

USACE's Collaboration and Public Participation Center of Expertise (CPCX) has proposed a new USACE Public Involvement Policy and has catalogued current USACE policies that guide public involvement in different mission areas. Proposed content for an agency-wide policy includes definitions, principles, and methods for how public involvement should be conducted across USACE. Draft Public Participation Principles are:

- 1) *Coordinate Internally*
- 2) *Be Prepared*
- 3) *Build Relationships and Trust*
- 4) *Maintain Open and Two-Way Channels of Communication*

Such a policy would give greater justification, guidance and top cover to USACE staff engaging in public participation efforts, enabling more appropriate and meaningful engagements.

b. Assure that your agency's infrastructure supports ECCR

Collaboration and Public Participation Center of Expertise (CPCX) - In October 2008 USACE established a Collaboration and Public Participation Center of Expertise (CPCX) to help USACE staff anticipate, prevent, and manage water conflicts, ensuring that the interests of the public are addressed in USACE decision making (www.iwr.usace.army.mil/cpc/). CPCX is comprised of a small staff at the Institute for Water Resources and liaisons at each of the 8 Civil Works Divisions.

The Division-level (regional) CPCX Liaisons ensure that new ECCR tools/methodologies and training opportunities are shared across Districts. By maintaining staff in Public Affairs Offices as well as creating positions such as the Silver Jacket Coordinator, Outreach Specialist, Public Involvement Specialist & other related positions to assist the District with stakeholder engagement, Districts are able to dedicate time and resources to a wide range of collaborative, interagency projects. Examples include:

- Public sessions to work with those who use USACE projects, particularly navigation (business) interests and recreation users. These sessions provide information on operating policies, work to accommodate user needs and look forward to emerging needs and opportunities.
- Collaborate on data gathering with other agencies. This uses resources efficiently and builds confidence in the scientific validity of data.
- Develop seamless, joint NEPA and state environmental quality reviews
- Explore improved methods for approaching contemporary problems, e.g., via watershed planning, virtual platforms, Environmental Advisory Board (formed of academic experts).

- Syncing guidance among various offices, in particular Planning, Project Management and Public Affairs

c. Invest in support, programs, or trainings

In FY18, CPCX continued to expand its Public Involvement Specialists Program. Public Involvement Specialists serve as internal consultants operating at the District level to support specific USACE projects across all USACE mission areas to enhance two-way communication and collaborative problem solving with stakeholders. Their responsibilities include assessing the need, timing and approach to public engagement, developing public involvement plans, designing and facilitating public involvement forums, and implementing public involvement activities.

In FY18, CPCX continued to support the HQ-USACE Levee Safety Program through the *Public Awareness and Communications Team* (PACT). The PACT was formed to support the USACE Levee Safety Program in developing, tracking and implementing public awareness, risk communication and sponsor/stakeholder engagement activities. It plays a central role in coordinating approaches, activities and materials related to external communication and engagement across Levee Safety activities. To date, the PACT has provided training and support to increase internal capacity and effectiveness among District staff for developing communications strategies and plans, and for conducting outreach to sponsors.

Across the nation, USACE continued to build capacity in state-led "Silver Jackets" teams that advance collaborative problem solving for flood risk management. Forty-eight states and D.C. have active Silver Jackets teams that bring state and federal agencies together to help address state flood-risk management priorities. Although each state Silver Jackets team is unique, common agency participants include state agencies with mission areas of hazard mitigation, emergency management, floodplain management, natural resources management or conservation, etc. Federal participation typically includes USACE, Federal Emergency Management Agency and often others such as the National Weather Service and the U.S. Geological Survey.

Several USACE Districts cite robust outreach programs which allow them to communicate and collaborate with the public, stakeholders, project partners, and elected officials. The overall objective of these outreach programs is to clearly and concisely disseminate public information and embrace stakeholder engagement. District examples include:

- Chicago District: Efforts to incorporate ECCR in FY18 include reaching out to local advocacy groups to facilitate communications between USACE and stakeholders and to advocate for our work. Programmatically, we seek out these groups whenever possible and appropriate to inform decisions and aid in our messaging and delivery of programs.
- Buffalo District maintains a robust outreach program to communicate and collaborate with the public, stakeholders, project partners, and elected officials. Led by the Buffalo District Outreach Program Specialist, Outreach Specialist, and Silver Jackets Coordinators, the outreach program has progressively grown to include regular meetings with state and Federal water resources agencies, and facilitating coordination and collaboration within project teams and with external stakeholder organizations to address local and regional water resource issues.

Training and Other Investments in ECCR Support: In addition to investments captured in Question 2, Districts cited examples of investments in support, programs or trainings that include:

- Develop a series of lunch and learn presentations which can be used by PI specialists across the country to build awareness and increase staff competency.

- Support developmental assignments to bring those from technical specialties to work with the CPCX team.
- Hold quarterly Regional Alignment Meetings to ensure that senior leaders at the regional level are aligned on messages, knowledge of activities with other agencies
- Internal teaming structure to engage contracts and contractors; military, natural resources management, navigation in improving internal teamwork
- Periodic team building meetings with tribes to implement a continuous cycle of assessment, planning and implementation so physical problems can be solved before becoming serious; potential issues can be identified and possibly mitigated; and opportunities can be pursued.

d. Focus on accountable performance and achievement

A significant area of growth for USACE is to improve accountability for adhering to agency guidance on collaboration and stakeholder engagement. Several Engineering Regulations require communication plans that include clear stakeholder engagement processes. However, development and adherence to these plans is inconsistent across the agency, with the result too often being reactive instead of proactive stakeholder engagement.

To focus on accountable performance and achievement, Divisions, Districts, and CPCX have taken steps to measure and report back on the quality and quantity of the services provided. Many of these efforts for evaluating the levels of performance and achievement are captured in Question 2 of this report. Two additional ways in which USACE remains accountable for their performance are listed below.

Customer Satisfaction Survey - To solicit feedback on customer/stakeholder satisfaction with USACE, Districts are encouraged to send annual surveys to customers and stakeholders. In the case of Omaha District, all survey results are shared with Branch Leadership and ratings below 2.0 (out of 5.0) or dissatisfied responses are shared with Executive Leadership. Project Managers are encouraged to follow up with customers/stakeholders who provide low ratings and customer survey scores are incorporated into their performance objectives.

Project Review Board Briefings - To keep leadership abreast of relevant achievements related to collaborative efforts, some Districts (e.g. Omaha and Kansas City) state that Project Managers include strategic engagement and communication with stakeholders, sponsors and customers at the monthly Project Review Board briefings with District leadership.

2. ECCR Investments and Benefits

- a) Please describe any methods your agency uses to identify the (a) investments made in ECCR, and (b) benefits realized when using ECCR.

Examples of investments may include ECCR programmatic FTEs, dedicated ECCR budgets, funds spent on contracts to support ECCR cases and programs, etc.

Examples of benefits may include cost savings, environmental and natural resource results, furtherance of agency mission, improved working relationship with stakeholders, litigation avoided, timely project progression, etc.

This ECCR report continues to be the primary tool that is used annually across the organization for identifying and documenting ECCR investments and benefits. Division Liaisons conduct quarterly data calls with the Collaboration & Public Participation Center of Expertise (CPCX) for this report as a way to increase accuracy and rigor.

The agency uses several tools for systematically tracking and evaluating ECCR-related activities – quantitatively where possible. For example, USACE Districts annually survey USACE partners and stakeholders using the “Customer Satisfaction Survey.”

CPCX employs several evaluation tools for tracking both the center’s own ECCR activities as well as those across the agency. In FY18, CPCX obtained OMB approval for updated ECCR-related evaluation surveys of facilitation services and training feedback. It also implemented surveys of its direct services to Districts. Furthermore, every five years, CPCX administers a substantial (75+ question) agency-wide survey and holds division-level workshops to assess USACE’s collaborative capacity; this Collaborative Capacity Assessment Initiative (CCA) will next occur during the latter half of FY19.

Both CPCX and the Public Involvement Specialists use spreadsheet-based metrics tables to track activities, costs, and accomplishments. Mississippi Valley Division uses an online wiki for all of its Districts to keep an accessible log of their ECCR-related activities. Some Districts use a database to quantitatively track stakeholder engagement activities. Others administer a survey or collect comment cards after meetings to gauge the success of activities and results.

The Project Management Plans have some information on public involvement costs that could assist with tracking; however, not every project keeps these plans up to date, nor do all projects incorporate public involvement plans.

Metrics which are or could be used to measure ECCR investments quantitatively include:

- Cost of third-party facilitators (especially contracts for this support)
- Labor and travel costs for staff supporting ECCR activities (feasible for employees dedicated to these activities full time, including CPCX staff)
- Labor support provided specifically for ECCR activities associated with special designations (Public Involvement Specialists, Outreach Specialists, and Silver Jackets Coordinators)
- Training related expenses
- Meeting attendance
- Meeting documentation, including accomplishments
- Number of training courses or webinars delivered, and attendance
- Number of employees trained and affiliated expenses
- Number of stakeholders contacted

In addition to quantitative metrics, CPCX logs the narrative experiences of ECCR activities as much as possible through formal evaluations and after-action reports as well as informal testimonials. As noted above, this report provides an important tool for consolidating much of this information.

- b) Please report any (a) quantitative or qualitative investments your agency captured during FY 2018; and (b) quantitative or qualitative results (benefits) you have captured during FY 2018.

Overall, in the experience of USACE, relatively small investments in institutional ECCR capacity or in specific ECCR initiatives yield disproportionately significant and long-lasting benefits. It is, therefore, one of USACE's most cost-effective measures for accomplishing the agency's missions.

- a) Table 1, below, lists a selection of investments in FY2018. This list is intended to be representative, not comprehensive, and centers largely on initiatives involving CPCX. In addition to the items listed in Table 1, each office of USACE (i.e., Divisions, Districts, technical centers, and HQ) invested some of its own resources in ECCR-related activities or capacity in FY2018. Their investments include routine budgeting and support of personnel time for interagency engagement on all studies, as well as frequent public outreach.
- b) As in previous years, USACE staff recognized a large range of benefits, both direct and indirect, from ECCR activities generally, although the majority can only be tracked qualitatively. These may be summarized as better outcomes, improved governance, and reduced costs:

Better Outcomes

- Furtherance of our agency's missions
- Better informed decisions
- More durable and comprehensive study solutions
- Improved stewardship of environmental and natural resources, socio-economic factors, and infrastructure
- Increased community resilience
- Development of appropriate and effective public messages and information plans

Improved Governance

- Decisions made more democratically and transparently (compared to forced/litigated decisions or top-down, managerial decision making)
- Improved working relationships with stakeholders, including a common understanding of USACE and stakeholder authorities, policies, roles and responsibilities
- Better planning for early dialogue and information exchange with the right parties for more informed decision making
- Collaborative interagency planning, improved working relationships, expedited reviews, and knowledge sharing
- Institutionalized interagency relationships, such as a Memorandum of Understanding between CPCX and the U.S. Institute for Environmental Conflict Resolution, which provides USACE Districts access to the USIECR's facilitators, mediators, and collaboration expertise. The MOU was replaced by an agency-wide MOA in FY19.

- Awareness and access to information and resources owned by various agencies
- Clearing policy hurdles
- Meeting planning requirements
- Development of technical tools that can help create a shared vision or understanding of technical information, such as CrowdSource Reporter, SimSuite, LifeSim, and “serious gaming” frameworks like tabletop MultiHazard Tournaments or the Flood Fighter simulation video game.

Reduced Costs

- Cost savings vs. alternative approaches such as litigation
- Efficiencies by reducing duplicative efforts and leveraging the resources and expertise of a stakeholder community
- Timely project progression by avoiding litigation, clearing policy hurdles and meeting planning process requirements
- Development and deployment of reusable, widely applicable techniques and technical tools

TABLE 1: Selected Investments and Benefits in ECCR capacities & activities by USACE in FY 2018.

PROJECT / INITIATIVE	LEAD	INVESTMENTS	BENEFITS
MOA between USACE and USIECR	CPCX, USIECR	Staff labor to produce and approve interagency memorandum of agreement.	The MOA enables USACE Districts and Divisions to access USIECR’s ECCR expertise to support USACE projects. MOA was signed in Oct 2019
Training to enhance ECCR skills among USACE and partner staff	CPCX	14 formal courses/ workshops, 10 webinars, and multiple informal “brown bag” mini-trainings reached over 1200 USACE staff and partners.	Increased skills and awareness related to ECCR among USACE workforce and partners. Clarified actions to improve USACE culture to support collaboration.
Newsletters and emails	CPCX	Staff labor. Through quarterly and intermittent newsletters, shared tips, case studies and best practices to 680 Collaboration & Public Participation Community of Practice members and other USACE and partner staff.	Through regular newsletters and intermittent emails, improved internal coordination; spread and increased know-how of best practices for key ECCR actors throughout agency. Included a special event organized around International Conflict Resolution Week.

PROJECT / INITIATIVE	LEAD	INVESTMENTS	BENEFITS
Public Involvement Specialists cadre	CPCX	\$120k to support labor, travel and training for cadre of 24 collaboration experts in 23 Districts. These Public Involvement (PI) Specialists provided direct support to approximately 40 projects in FY2018, including many ECCR cases described herein.	PI Specialists are a cadre of ECCR “special forces” and form a reservoir of ECCR expertise and know-how for the agency. They play a key role in gathering data for this report. They improved coordination and relationships with Tribes, sponsors, stakeholders and partners at all levels of government; improved access to information assists with timely progression (and thus costs savings) of Civil Works projects, Regulatory actions and furtherance of USACE mission; and more resilient ecosystem restoration projects. Other USACE staff receive on-the-job training for facilitation and collaboration by working with the PI Specialists.
Division Liaisons	CPCX	Staff labor to develop and manage group of liaisons to each of 8 USACE Divisions.	Liaisons nominate and coordinate PI Specialists at Districts within their Divisions. Annually, they play a critical role in overseeing the data collection and reporting process for this ECCR Report. They also advise CPCX on policy and program decisions pertaining to ECCR capacity and initiatives.
Collaboration & Public Participation Community of Practice	CPCX	Staff labor to manage, grow, and inform CoP of 680+ members from across agency.	CoP members extend PI Specialists’ reach into multiple business lines across all USACE Districts. They contribute passion and expertise to ECCR cases and help gather data for this report. They are critical for building the overall capacity of the agency and for normalizing the value of collaborative approaches in the agency’s culture.
<i>Ad hoc</i> guidance for Districts	CPCX	Staff labor. CPCX provides guidance to USACE Districts upon request. In FY18 this included advice on collaboration and public involvement techniques and approaches, as well as referrals to experts at USIECR or within the agency (e.g., PI Specialists).	Improved District effectiveness in ECCR or potential ECCR cases; enhanced District capacity.

PROJECT / INITIATIVE	LEAD	INVESTMENTS	BENEFITS
High-level policy work	CPCX	Staff labor for policy analysis, development, and socialization. CPCX staff analyzed, developed and revised guidance for agency-wide policies on collaboration, public participation, and related issues; advised leadership at HQ and the Pentagon.	Policies improve USACE's collaborative capacity and its responsiveness to partners and communities with environmental conflicts and related needs. They enhance the agency's ability to achieve durable solutions when accomplishing its missions.
Interagency support & coordination	CPCX	Staff labor and travel costs. CPCX staff represented USACE and participated in a number of interagency fora pertaining to ECCR, such as CEQ's quarterly ECCR Forum, the Urban Waters Federal Partnership, the Managing By Network program, and the Association for Conflict Resolution's Environmental & Public Policy Section.	Built knowledge and capacity; improved interagency relationships and knowledge; enhanced effectiveness of interagency initiatives and overall responsiveness of federal government to communities with environmental conflicts and related needs.
Serious Gaming Initiative	CPCX	Staff labor & travel to develop and pilot innovative tools to support collaborative environmental risk management and Shared Vision Planning initiatives, including tabletop MultiHazard Tournaments and Flood Fighter simulation video games.	These tools enhance the collaborative capacities of communities, while improving their understanding of natural hazards and facilitating their ability to manage both environmental risk and political conflict.
Collaborative Technologies Initiative	CPCX	Staff labor & travel to develop and pilot innovative tools to support collaborative environmental risk management and Shared Vision Planning initiatives, including Crowdsourcer Reporter and other online, GIS-based applications.	These tools enhance the collaborative capacities of communities, while improving their understanding of natural hazards and facilitating their ability to manage both environmental risk and political conflict.
Silver Jackets Program	IWR and all U.S. Districts	Approximately \$5 Million to support USACE coordination of national program and 49 interagency state teams. Teams are able to tap into a portion of these funds for flood risk management (FRM) pilot projects.	This program recognizes the value of interagency collaboration as well as local agency leadership. Teams are state-led. Focus is on non-structural FRM, which generally requires collaborative solutions. Ultimate benefits include reduced flood risks for American communities, improved interagency relationships, faster and better coordinated disaster response, etc.

PROJECT / INITIATIVE	LEAD	INVESTMENTS	BENEFITS
Flood Plain Management Services Program	HQ and Districts	Approximately \$6.5 Million to support interagency projects for non-structural FRM.	This program funds the majority of Silver Jackets projects and thus contributes critically to the benefits of the Silver Jackets program (above). Projects must be interagency and collaborative in nature to be eligible for funds.
Levee Safety Public Awareness and Communication Team	HQ USACE	Approx. \$1 Million invested to support the team's labor and travel for all activities, including preparation and facilitation for workshops	Increased capacity and additional resources to improve levee risk communication.
Intra-agency outreach	CPCX	Staff labor. Developed and disseminated fact sheets and brochures for HQ, Districts, and business lines; briefed leaders of agency, Divisions and Districts on collaboration and ECCR resources available through CPCX, PI Specialists, and CoP.	Built awareness of availability and value of collaborative resources and processes.
Grand (nee "Gnarliest") Collaboration Challenge	CPCX	\$120,000 to fund CPCX and PI Specialist support of the most difficult ECCR cases. Awarded competitively.	In FY18, the annual GCC competition supported collaboration and conflict resolution efforts on 4 ECCR cases, described elsewhere in this report, in the Baltimore, Chicago, Jacksonville and Savannah Districts.
CPCX Direct Technical Assistance program	CPCX	Funds for labor and travel for PI Specialists and CPCX staff to assist Districts with ECCR cases.	CPCX and/or PI Specialists assisted nearly all of the ECCR and other cases described in this report.

c) What difficulties have you encountered in generating cost and benefit information and how do you plan to address them?

The primary challenges in quantitatively tracking this information remain unresolved. These include:

Most benefits are qualitative or intangible. Staff, partners, stakeholders and publics perceive these benefits, but can neither quantify them nor counterfactually prove what would have happened without ECCR support.

1. Most USACE funding, and thus financial tracking, continues to be by project, not by activity type, so tracking the ECCR-related expenses would create an additional administrative burden. This is true despite the use of Project Management Plans and Communication Plans. Districts have limited capacity to revisit these plans, and they do not track ECCR-related activities separately from overall project metrics.
2. Public Affairs Offices are a major exception to project-based funding, but their contributions are difficult to track for a different reason. Their primary role is crafting

public relations messages for one-way communication; however, they also often play a supporting role in more expansive public engagement activities. They are funded from a general expense account and, from a Project Delivery Team perspective, provide their services “for free.” Thus, it is difficult to parse their specific contributions to ECCR activities and the specific costs associated with those contributions.

3. USACE is a large agency distributed across multiple offices from Asia to North America to Europe. Individual offices have made attempts to institute tracking methods, but these approaches may not be appropriate for all offices, and coordination and standardization are difficult.
4. It is possible to track expenses for hiring external facilitators or mediators. However, in the many cases ECCR-related work is supported by internal USACE staff, and labor is typically managed by project rather than task, so ECCR contributions are not tracked separately.
5. The current Smart Planning (3x3x3) requirements in the planning phase exacerbate the lack of documentation, due to limited project funds and streamlined schedules, which are now mandated by law. Because of these project development pressures, tracking and reporting ECCR activities are relatively low priorities.
6. In order to track ECCR activities separately, USACE would need dedicated funding provided through the agency’s annual performance-based budgeting process, as promulgated in annual Budget Engineer Circulars.

Future Tracking – 2019 plans:

- Collaboration-related metrics are being developed as part of an HQ-sponsored effort to track progress toward agency-wide Integrated Water Resources Management (IWRM) goals; some of these metrics may be piloted by late FY2019
- CPCX has begun to request field representatives to track qualitative or quantitative investments and benefits along with tracking of projects.
- CPCX is encouraging all Divisions to adopt the ECCR tracking wiki that was piloted by the Mississippi Valley Division in FY18.
- CPCX is encouraging Public Involvement Specialists to use tracking tools such as wikis and shared metrics tables more consistently throughout the year.
- CPCX will conduct its third agency-wide Collaborative Capacity Assessment in 2019. These are rigorous surveys and assessment workshops conducted every five years. With the third assessment, we expect to be able to identify emerging long-term trends with respect to USACE’s collaborative capabilities and needs.

3. **ECCR Use:** Describe the level of ECCR use within your department/agency in FY 2018 by completing the table below. [Please refer to the definition of ECCR from the OMB-CEQ memo as presented on page one of this template. An ECCR “case or project” is an instance of neutral third-party involvement to assist parties in a collaborative or conflict resolution process. In order not to double count processes, please select one category per case for decision making forums and for ECCR applications.

	Total FY 2018 ECCR Cases ²	Decision making forum that was addressing the issues when ECCR was initiated:					ECCR Cases or projects completed ³	ECCR Cases or Projects sponsored ⁴	Interagency ECCR Cases and Projects		
		Federal agency decision	Administrative proceedings /appeals	Judicial proceedings	Other (specify)	Federal only			Including non federal participants		
<i>Context for ECCR Applications:</i>											
Policy development	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	
Planning	21	21	_____	_____	_____	17	21	_____	21	_____	
Siting and construction	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	
Rulemaking	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	
License and permit issuance	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	
Compliance and enforcement action	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	
Implementation/monitoring agreements	2	2	_____	_____	_____	_____	_____	1	1	_____	
Other (specify): partnering & process improvement	2	2	_____	_____	_____	1	1	1	1	_____	
TOTAL	25	25	_____	_____	_____	18	22	2	23	_____	
		(the sum of the Decision Making Forums should equal Total FY 2018 ECCR Cases)									

² An “ECCR case” is a case in which a third-party neutral was active in a particular matter during FY 2018.

³ A “completed case” means that neutral third party involvement in a particular ECCR case ended during FY 2018. The end of neutral third party involvement does not necessarily mean that the parties have concluded their collaboration/negotiation/dispute resolution process, that all issues are resolved, or that agreement has been reached.

⁴ Sponsored - to be a sponsor of an ECCR case means that an agency is contributing financial or in-kind resources (e.g., a staff mediator's time) to provide the neutral third party's services for that case. More than one sponsor is possible for a given ECCR case.

Note: If you subtract completed ECCR cases from Total FY 2018 cases it should equal total ongoing cases. If you subtract sponsored ECCR cases from Total FY 2018 ECCR cases it should equal total cases in which your agency or department participated but did not sponsor. If you subtract the combined interagency ECCR cases from Total FY 2018 cases it should equal total cases that involved only your agency or department with no other federal agency involvement.

4. ECCR Case Example

Using the template below, provide a description of an ECCR case (preferably completed in FY 2018). Please limit the length to no more than 2 pages.

Navigation Improvement Study Charrette (Alaska District)

Overview of problem/conflict and timeline, including reference to the nature and timing of the third-party assistance, and how the ECCR effort was funded

This case demonstrates that often the crucial factor enabling successful ECCR is less the facilitation of a neutral third party than it is a commitment by the project delivery team (PDT) to meet community stakeholders where they live, on their schedule and their terms, and to be open to their perspectives and their culturally specific modes of discourse.

The Native American village that is the site for this study⁵ has a history of environmental contamination from military use of their lands. In recent years villagers had complained that the Bureau of Land Management had failed to adequately consult the public before permitting the extraction of nearby mineral resources; they remain concerned about contamination. Thus, while no specifically relevant conflict had been active at the outset of this navigation improvement study, the potential for controversy did exist. And conflict did indeed arise during the charrette.

From the start, the PDT understood that they lacked local knowledge and needed to learn directly from local residents more details about the social and environmental conditions of the study area. The intent of pulling in a third party facilitator was to get the PDT, the cost-share sponsor, and the community on the same page vis-à-vis the study's process and objectives and to address initial questions and concerns. In short, the idea was to lay the foundation for success, with all the relevant players in the room from the beginning.

The effort was project-funded. The facilitator was an experienced planner from USACE's St. Paul District. The charrette was scheduled very soon after the Feasibility Cost-Sharing Agreement (FCSA) was signed at the beginning of the study; it was conducted in August of 2018.

Summary of how the problem or conflict was addressed using ECCR, including details of any innovative approaches to ECCR, and how the principles for engagement in ECCR outlined in the policy memo were used

In the service of establishing relationships with the community's residents and learning local knowledge from them, the PDT encountered three challenges:

1. How to ensure that as many people as possible were able to attend the formal charrette meetings.
2. How to include the voices of stakeholders who were unable to come to the formal meetings.
3. How to deal with specific conflicts that arose during discussions.

As with many villages in which Alaska District works, this is a remote settlement accessible only by boat, aircraft, or snowmobile, with limited hospitality facilities. As there are no hotels or motels, PDT members slept in sleeping bags in a school. They hired a local cook to provide their meals.

The PDT recognized that they needed to schedule charrette activities in harmony with the quotidian rhythms of daily life in the village. The community engages in subsistence hunting and fishing, and many people earn cash by working jobs that pay by the hour. Thus, the PDT implemented a flexible time

⁵ The village's name is being withheld upon request, to protect tribal and local identities.

schedule for the charrette, meeting people whenever they were available, whether during the day or during the evening.

The team was also flexible with the physical location of their meetings; they went out to the different project sites and talked to people who were fishing or working at the fish-buying station. Such residents likely would not have been able to attend a meeting, although they were happy to provide input when asked politely and on their own schedule, in their own locations.

As is common practice in Alaska, the PDT brought food with them to the meetings, including items that are more expensive in remote villages, such as fresh produce. The individual team members had used their own personal funds to purchase this food in Anchorage, and brought it with them on a bush plane.

During the charrette meetings, the facilitator arranged breakout sessions with one-on-one or small-group dialogues that were as interactive as possible. People sat around maps and marked up where they fished and hunted, areas that were challenging to navigate, and other sites of local interest and significance. This practice is standard operating procedure at charrettes in Alaska District.

Conflict arose during the charrette, such as when the team was identifying some of the sites proposed for navigation improvements. The points of contention included contamination of groundwater and river water from prior military activity, the belief that cleanup was not complete, and some sites for which locals had requested but not yet received additional environmental investigations. The facilitator worked to ensure that the meetings remained focused even while these points were addressed by a PDT member.

Some residents noted their continued concern over possible contamination from nearby sites and expressed worries that the USACE project might exacerbate or add to this environmental contamination. They were especially concerned about possible effects on the fish and the sea, upon which the villagers depend for their livelihood. Members of the PDT took individuals aside to ensure a thorough understanding of their concerns and to address those concerns comprehensively. To fully address them, the team obtained relevant data from the District's Formerly Used Defense Sites (FUDS) group and reported back to the residents. These interactions ultimately built trust and a positive relationship between the agency and potential opponents of the project. The archaeologist was especially suited to this role because of her expertise as an anthropologist who spends time in villages of the region and understands their perspectives.

PDT members state that the methods by which they conducted this charrette are standard operating procedure in Alaska District. However, in the broader context of USACE and the federal government, this case is unique and innovative because the PDT conducted the 3-day charrette by utilizing *deep engagement* research methods borrowed from an ethnographic methodology, optimized for learning local knowledge and understanding local perspectives.

Identify the key beneficial outcomes of this case, including references to likely alternative decision making forums and how the outcomes differed as a result of ECCR

The deep-engagement approach enabled the PDT to collect substantially more high-quality information than they would have if they had conducted the charrette in a more conventional fashion. This included crucial information about the concerns within the community that will need to be addressed in order for project to succeed, as well as knowledge of how the community is structured, how decisions get made, how environmental conditions affect the way people conduct their daily lives, etc.

A second key beneficial outcome was a common understanding of the study scope and process for the District, the sponsor, and the community. This should reduce the risk of conflict as the study gets under way. When the understanding of these three entities is not aligned, the risk of project failure rises dramatically.

Finally, by spending substantial time in the community, meeting locals on their own terms, demonstrating

that the team values the community's perspectives, and going out of their way to acknowledge and address the residents' concerns, the PDT built an invaluable foundation for a more trusting relationship between the District and the community. Provided that the agency continues to work toward maintaining this trust, such a relationship should pay substantial dividends for this and future projects in the area.

Had the PDT conducted a conventional charrette, these three key benefits likely would not have been realized. Instead, limited information of lower quality would have been collected, leading to misunderstanding, mistrust and conflict. Additionally, community concerns regarding environmental contamination would not have been identified or understood. The study would potentially be delayed by legal action or protests, ultimately driving up costs, and the lower quality information would likely have led to lower quality project outcomes.

Reflections on the lessons learned from the use of ECCR

The deep-engagement approach used by the PDT was necessary to gain quality information and to build trust with the community. A key objective was to learn from locals about problems in the area and to understand how the local community currently operates in terms of daily life and the subsistence and commercial fishing opportunities.

It was critical to incorporate flexibility in the day-to-day agenda. Conventional charrettes are quite regimented and the facilitator is tasked with keeping them on track. Here, there was a need to remain flexible so that the community could provide feedback at the times and tempos that worked for them. This was driven by respect for the community's culturally specific ways of knowing and modes of discourse, in which storytelling plays a central role. When locals answered the team's questions, many answers were quite long (by the standards of a typical public meeting in the Lower 48 states). By abandoning a rigid format and agenda, the team was able to show respect, build trust, and gain rich local knowledge from the residents.

5. Other ECCR Notable Cases: Briefly describe any other notable ECCR cases in the past fiscal year. (Optional)

As noted in Question 3, USACE logged 25 ECCR cases in FY 2018. An especially notable case from the Pacific Ocean Division's Alaska District is described in Question 4. The following summaries of the remaining 24 cases are listed by Division & District:

Great Lakes and Ohio River Division — 3 cases

Chicago District — Chicago Area Water System Calumet River Dredged Material Management Plan (DMMP) — Grand Collaboration Challenge Awardee

Members of the community strongly objected to a placement of a new disposal facility for dredged material within their ward, due to the presence of a number of existing dumps and a long history of environmental justice complaints. The community had been subject to wind-blown pollution from coal dust and other contaminants, and had expressed their concerns about the potential effects of contaminated sediment on their community and health. The study was on hold for several years due to a lack of non-federal funding, but a new cost-share sponsor was identified in 2017. By then the initially selected site had been sold, so the study was re-scoped, and a strategy of community engagement was developed. The District applied for and was awarded support from the Collaboration & Public Participation Center of Expertise (CPCX) through the Grand

Collaboration Challenge (GCC) in 2018.

With the assistance of the CPCX, the District developed an engagement strategy and communications plans, and set up a stakeholder group including the sponsor, local government agencies, community advocacy groups, navigation stakeholders and the local alderwoman. Community members were also able to provide comments. The ECCR process was framed to address the composition of the community in terms of demographics, ethnicity and income.

The process provided two clear beneficial outcomes. First, the community was afforded multiple opportunities for input and comment, both directly at meetings and online using a GIS-based public comment tool called Crowdsourc Reporter. These opportunities had been lacking during the initial development of the DMMP prior to the first public meeting. The second benefit was the development of a stronger working relationship between the District and the new sponsor.

Pittsburgh District — Youghiogheny Shoreline Management Plan Update – Scoping Phase

In FY2018 the Pittsburgh District sought public input for an update to the Shoreline Management Plan (SMP) for Youghiogheny River Lake. Conflict was expected due to long-standing tensions regarding limits to the number of dock permits. In addition, local residents felt angry by what they perceived as insufficient opportunities to provide input during either the initial planning process in 1975 or the last update in 2008. Moreover, recent changes to permit enforcement has further engendered local ire.

Therefore, Youghiogheny River Lake staff requested assistance from the District's Public Involvement Specialist to develop and implement a public involvement plan during the next SMP update to occur in 2018-19. The lake staff's goal was to find ways to avoid reigniting tensions between USACE and stakeholders, and to gather data and other information to help them understand and document stakeholder interests to inform the SMP update. The lake staff recognized that a potentially large number of stakeholders would attend the scoping meeting and needed advice on how best to achieve their goals.

The PI Specialist met with the SMP team in February 2018 to discuss public engagement objectives and the process of planning the update to the Youghiogheny River Lake SMP. The plan included a set of smaller meetings with stakeholder groups to prepare for the open public meeting. The PI Specialist facilitated the public meeting in a third-party neutral role.

Significant outreach and stakeholder engagement prior to the public meeting enabled the PI Specialist to design a meeting which would elicit productive discussions between meeting attendees while also reducing the likelihood of conflict-inducing behaviors during the meeting. The meeting itself was designed to give all attendees opportunities to speak on each topic in facilitated small-group discussions. It was held on a Friday night outside of regular work hours, to maximize community participation.

All comments shared during the discussions were typed up on screens in front of the participants so they could see that their comments were accurately captured. Furthermore, all participants were encouraged to write any comment that they didn't have the opportunity or interest to express verbally with their group on a comment sheet. Attendees were also given open access to the PDT staff in the discussions. The representation of lake staff at each station also increased the familiarity of the public with those who work at the lake on a regular basis – they became real people to the public rather than just uniform-wearing government employees.

This meeting required a significant amount of preparation and coordination. It also required a significant amount of manpower to accommodate a large number of

attendees. However, ultimately the effort produced a successful engagement.

Approximately 120 persons attended and contributed meaningful input at the public meeting. Attendees left the meeting commenting how they had come ready to battle with USACE. Instead, they found a constructive atmosphere where they could have their questions answered, their opinions heard, and also hear from others in the community. Instead of feeling angry or disenchanting that the SMP update would be made without consideration of the public's interests, they felt that USACE understood their concerns and that the inclusive process would result in a more acceptable SMP.

Pittsburgh District — Tygart Lake Shoreline Management Plans (SMP)

The Pittsburgh District, is revisiting the Master Plans (MP) and Shoreline Management Plans (SMP) for Tygart Lake. In FY2018 it sought input on the public's preferences for the future management of this lake. The MP and SMP updates will guide the use of natural resources and recreational activities at the lake for the next 25 years. Anticipating significant amounts of interest in the Shoreline Management Plan, with less interest in the Master Plan, Pittsburgh District decided to combine the two efforts so as to elicit more comments on the Master Plan while using the District's resources more efficiently.

The Public Involvement Specialist was asked to join the MP and SMP planning team in order to determine how to best combine the public scoping for this effort most effectively. The PI Specialist helped the PDT plan for, execute, and facilitate the public meeting.

At the workshop-style public meeting, people rotated in groups to stations in which a discussion on a particular topic was facilitated by a USACE staff member. The stations were designed so that MP and SMP topics were interspersed so that comments were more easily captured for both updates rather than just one.

A particular challenge with engaging as many Tygart Lake stakeholders as possible is the fact that many of the lake's day users do not live in the local community year-round. In order to capture their input, LRP launched an online collaborative platform which allows the public to submit location-based ideas and concerns pertaining to the upcoming updates. The application utilizes the Crowdsourcing Reporter template from ArcGIS, and can be used on computers as well as mobile devices. USACE also created an instructional video for using the tool, uploaded to YouTube and linked from the app itself. This collaborative mapping tool served as a pilot for USACE in how to provide an opportunity for stakeholders to provide input during the scoping phase of the planning process without attending a public meeting.

Mississippi Valley Division — 4 cases

St. Paul District — Middle Mississippi River "One Watershed, One Plan" — IWRM Pilot

This was an Integrated Water Resources Management (IWRM) Pilot project funded by USACE's Institute for Water Resources. The purpose was to develop a framework for wetland restoration planning in the Middle Mississippi River Watershed (MMRW) that used stakeholder participation, considered priorities identified in other water and natural resources planning efforts, and met state and federal regulatory program requirements for wetland mitigation. A Planning Assistance to States study was already planned as a joint effort between the St. Paul District and the Minnesota Board of Water and Soil Resources (BWSR). However, advanced planning was necessary to overcome watershed-scale challenges specific to this area and to integrate existing watershed planning efforts into this effort.

Outcomes:

1. Stakeholder engagement meetings yielded a baseline condition assessment.
2. USACE staff coordinated with the BWSR and the state watershed planning program to produce a scope of work for developing a wetland restoration plan in the MRRW.

St. Paul District — Neutral Tribal Assessment & Tribal Consultation Planning Project (year 3 of 3)

The project began in July 2015 and concluded in July 2018, comprising three stages: Assessment, Planning, and Implementation. Stage III Implementation occurred from May until June of 2018.

The St. Paul District Regulatory Program authorizes work in the waters of the U.S covering Minnesota and Wisconsin. There are 22 federally recognized American Indian tribes within this area, and many tribes outside the district with ancestral ties. The USACE Tribal Nations Program implemented a USACE Tribal Consultation Policy in response to Executive Order 13175 Consultation and Coordination with Indian Tribal Governments. This policy ensures appropriate tribal consultation occurs in the processing of permits within the St. Paul District Regulatory Branch. With the St. Paul District having one of the highest permitting workloads per regulatory project manager in the Nation, the USACE St. Paul Neutral Tribal Assessment and Tribal Consultation Planning Project was initiated to improve consultation strategies with the American Indian tribes. USACE enlisted the Udall Foundation's U.S. Institute for Environmental Conflict Resolution, who in turn contracted with the 106 Group to assist in identifying preferred approaches for effective government-to-government consultation with tribal partners. The 106 Group is a cultural resources planning and management company based in St. Paul.

Stages I and II of the project entailed initial meetings with the tribes and addressed the assessment of needs and concerns brought up by the tribe on the notification of regulatory permitted projects. The St. Paul district addressed these issues by developing a set of communication tools to explain how the USACE Regulatory Program works, to maintain up-to-date contact information, to schedule meetings, and to foster clear communication.

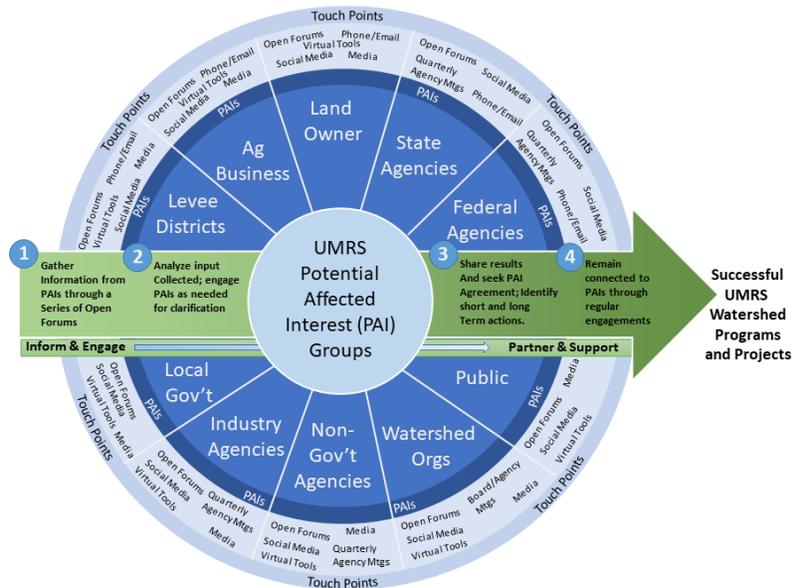
Stage III of the project followed up with tribes to discuss the tools developed in Stage II of the project. The 106 Group scheduled meetings with each tribe and sent draft meeting notes and a Shared Communication Protocol to USACE and the tribes at the conclusion of the follow-up meetings. The 106 Group assisted USACE by developing documents on how to facilitate discussion with tribes and how to identify information that should be considered when conducting succession planning.

The tools and documents developed for this project received positive feedback from tribal representatives at the implementation meetings. The project improved government-to-government consultation and relationships among the St. Paul District Regulatory Branch and tribal partners.

Rock Island District — Upper Mississippi River System Stakeholder Engagement — IWRM Pilot

A synchronized approach is needed to address the flood risk and sediment management problems in the Upper Mississippi watershed. A unified strategy is required to address the interconnected issues of land use changes, increasing flood frequencies, economic resilience of local river communities, and safety and reliability of commercial navigation. USACE, the Upper Mississippi River Basin Association, and other Federal and state partners within the UMRS have been working toward an integrated solution

and adequate funding for a watershed study to inform such a strategy. The goal of this IWRM Pilot, funded by IWR, was to develop a communication and collaboration approach to reach more of the watershed stakeholders to assist USACE and other UMRS partners in better understanding and identifying their concerns in order to effectively address the problems. USACE and its partners used pilot funding to receive training in the Systematic Development of Informed Consent approach to civic engagement and to workshop a stakeholder identification and engagement plan.



The outcome of this pilot is a draft engagement and communication framework (above) to guide engagement of stakeholders in developing an integrated management plan to address the flood risk and sedimentation problems in the watershed.

Rock Island District Interagency Partnering & Process Review

The Rock Island District is working to build stronger, healthier relationships with federal partners to increase the federal team’s ability to coordinate, collaborate and communicate various programs and projects to external audiences. Individual federal partnering meetings have been facilitated by the District outreach specialist, a neutral party. These meetings were attended by middle management and technical experts. The participants’ time and travel were primarily funded by general overhead accounts.

The District Public Involvement Specialist is coordinating and following up on improvement actions identified at the meetings. Additionally, to ensure communication occurs on a regular basis, the USACE has started a quarterly series of ‘Partner Education Webinars’ to discuss topics such as the USACE planning process, the Regulatory Program, or key regional projects and programs.

North Atlantic Division— 4 cases

Baltimore District — Foster Joseph Sayers Dam and Reservoir Project Modification for the Improvement of the Environment — Grand Collaboration Challenge (GCC) Awardee

This project entailed evaluation of operational changes to water releases from the Foster

Joseph Sayers dam (PA) to provide increased water for improving the stream habitat downstream of the reservoir. There is a long history between the public and USACE regarding the construction of the dam. The local community was skeptical of these plans and the potential benefits, and extremely concerned about potential negative effects to the recreation features and programs at the lake.

On request from the District, CPCX interviewed stakeholders by phone. While gathering critical information about their interests and positions, the CPCX conveyed the message that USACE cared about their opinions, wanted their input, and hoped to (re-)gain their trust. Even the most critical interviewees appreciated this message, acknowledging that they were being listened to and their opinion mattered.

The Sayers project was eventually terminated because initial analyses determined that the likely environmental benefits would not be worth the costs to justify the project. However, the lessons learned from this project will be beneficial for future projects that have a long history with the public from prior USACE projects/activities. These include lessons on refining problem definition, communication, process and content, preparation (including understanding historical and social context), and study scope.

Baltimore District — Federal Triangle Floodplain Management Services Non-Structural Flood Risk Management Project

The Federal Triangle workshop was an FY18 FPMS nonstructural interagency project instigated by the District of Columbia (DC) Silver Jackets team. The project consisted of two day-long stakeholder workshops in the Federal Triangle area of Washington, DC.

In 2006 the area experienced interior flooding which caused damage to multiple government buildings, museums, the metro, and other public infrastructure. Although individual entities have since implemented flood proofing to buildings, there is a need for a comprehensive set of solutions. However, there are over 20 different land owners in the area with different priorities, making it challenging to specify a feasible, fundable project.

USACE employed a member of the Public Involvement Specialist cadre from an external district to help develop and facilitate two large stakeholder meetings in June and September of 2018. Over 75 stakeholders from the various entities were in attendance for both meetings. In the first meeting the group discussed the challenges and opportunities related to flood risk management (FRM) in the Federal Triangle. The second workshop focused on the different types of FRM measures that may be applied to the area. Various speakers presented on different options tailored to reducing flood risk, and stakeholders provided valuable feedback.

Using third party facilitation was extremely important for this project, because of NAB's close involvement with many of the agencies in Washington, DC through the Silver Jackets program. Moreover, the PI Specialist was skilled at facilitating a large group during breakout sessions, and managed to maintain a non-contentious, collaborative environment throughout.

Baltimore District — Raystown Lake Master Plan

Two public meetings were held on April 25th and 26th of 2018 to present and discuss the update to the Raystown Lake Master Plan. In addition to the public meetings, two open-house sessions took place on August 11th and 12th. Through small group discussions, the sessions offered the public a convenient way of providing feedback and input to the draft master plan. Comments and feedback gathered from all meetings and sessions will be used as official feedback for the master plan revision. A Public Involvement Specialist facilitated the sessions as a neutral third party.

Philadelphia District — New Jersey Back Bays Coastal Storm Risk Management Study

The objective of the study is to investigate problems and solutions to reduce risks to area populations, critical infrastructure and public facilities, private property, and ecosystems. The massive study area encompasses approximately 950 square miles and includes Monmouth, Burlington, Ocean, Atlantic and Cape May Counties, N.J.

In FY18, the Philadelphia District conducted four “municipal coordination” meetings by partnering with the New Jersey Department of Environmental Protection’s Government Relations Office. These meetings were held in each county with county and local elected officials. The team provided an update on the full scope of the study to ensure these key local partners were kept informed of the study process and status

In late 2018, the District hosted two well-attended public meetings (for the north and south regions) to provide updates and solicit feedback from the public. The District recorded both meetings and posted the video to YouTube and the study webpage. The meetings included Q&A sessions and were facilitated by a member of the NJDEP Government Relations team.

Northwest Division — 3 cases

Kansas City and Omaha Districts — Missouri River Recovery Management Plan and Environmental Impact Statement

The Missouri River Recovery Management Plan and Environmental Impact Statement is a comprehensive planning effort coordinating Endangered Species Act requirements for the Missouri River under one decision document. It is a collaborative effort between USACE’s Omaha and Kansas City Districts, the U.S. Fish and Wildlife Service and the Missouri River Recovery Implementation Committee (MRRIC). MRRIC is a multi-party committee consisting of stakeholders, Tribes, and State and Federal agency representatives charged with providing consensus-based guidance and recommendations to USACE on issues related to the Missouri River Recovery Program. Two independent panels are associated with MRRIC: the Independent Science Advisory Panel is charged with reviewing scientific information and products generated by the lead agency teams and the Independent Socioeconomic Technical Review panel is charged with reviewing socioeconomic aspects of this effort.

The overall problem/conflict lies in the limited scientific understanding of Missouri River listed species’ (pallid sturgeon, piping plover, least tern) needs in relation to potential management actions, the perceived limited response of listed species to the current suite of management actions prescribed by a 2003 Biological Opinion, and concerns over potential impacts to stakeholder interests. The decision environment is further complicated by the high-conflict, low-trust, highly litigious history of USACE operation of the Missouri River Main Stem Reservoir System and Bank Stabilization and Navigation Project and the endangered species considerations that affect the management of these projects.

As part of the process of developing a Management Plan, independent and inter-agency teams of scientists were charged with developing the Draft Environmental Impact Statement (DEIS), effects analyses, and Human Considerations objectives and performance metrics. The Management Plan process was intended to incorporate the best available science on species’ needs in conjunction with stakeholder input on effects to social, cultural, and economic resources from management actions aimed to address species’ needs while also meeting purposes for which the project was originally authorized. The DEIS and accompanying Science and Adaptive Management Plan was

released to the public for comment on December 16, 2016. The Management Plan process issued a Record of Decision in late 2018.

The ultimate benefit of using external scientific experts and external facilitation experts to mitigate for the high-conflict, low-trust environment surrounding endangered species issues in the Missouri River Basin will likely be judged by the extent we are able to minimize the number of stakeholders, states, Tribes and others that go outside the MRRIC or the broader NEPA public involvement process and resort to litigation or legislative avenues to affect the outcome of this planning process. More immediate beneficial outcomes are evident by the number of MRRIC members that continue to participate in the ongoing process even though unpopular options such as flow-based creation of sandbars for birds and recruitment flows for pallid sturgeon are being examined as part of the DEIS alternatives.

Northwest Division — Missouri River Basin Interagency Roundtable

The Missouri River Basin Interagency Roundtable (MRBIR) was established as a forum for federal agencies advocating a collaborative approach to solving issues within the Missouri River watershed. Members of MRBIR, including the USACE Northwestern Division, seek opportunities for collaboration, coordination, and communication among the federal agencies to facilitate more comprehensive interagency efforts that would normally be beyond the scope of just one of the agencies. MRBIR is facilitated by a third party neutral (the U.S. Institute for Environmental Conflict Resolution), rotates the Chairperson among the federal agency members, holds monthly conference calls, and meets in person twice yearly. In addition, it has formed working groups to address various topics including climate change, tribal relations, sediment transport, ecosystem function, and the Missouri River Recovery Implementation Committee. Note: this is the only ECCR case in this report in which the acting office is a Division, not a District.

Portland District — Lower Columbia Solutions Group

The Lower Columbia Solutions Group (LCSG) was formed by the Governors of Washington and Oregon in July 2002. The LCSG is a diverse, bi-state partnership of local, state and federal governmental and non-governmental stakeholders interested in and affected by dredge material disposal activities in the Lower Columbia River area. Stakeholders include crabbers, fishing interests, environmentalists, development interests, and local, state and federal government. The LCSG provides a neutral forum for science and policy discussions centered on dredged material disposal at the Mouth of the Columbia River. USACE has been a member of the LCSG since 2002 and has supported neutral facilitation financially at various points since then, along with other members. The group brings stakeholders together to discuss concerns and opportunities related to Regional Sediment Management and the implementation the 2011 Middle Columbia River Regional Sediment Management Plan. Using ECCR tools and techniques, LCSG has streamlined permitting processes for the development of new nearshore placement sites for USACE dredged material by talking through issues and linking science and policy stakeholders together to fill data gaps.

Pacific Ocean Division — 1 case

Alaska District — Navigation Improvement Study

See Question 4 for detailed summary.

South Atlantic Division — 3 cases

Jacksonville District — Western Everglades Restoration Tribal Engagement — Grand Collaboration Challenge Awardee

USACE IWR's Grand Collaboration Challenge (GCC) funded technical assistance of a Public Involvement Specialist as a third-party neutral to support improved engagement with a key tribal stakeholder for the successful outcome of Jacksonville District's Western Everglades Restoration Project (WERP). This particular tribe has had difficulties with USACE on another nearby study. Although WERP's tribal engagement process was robust, lingering mistrust and communication challenges, coupled with an aggressive USACE schedule, continued to hamper overall study progress.

USACE presentations on alternatives had been highly technical, lowering the likelihood of the community comprehending the study at the first meeting. The USACE tribal liaison suggested the team develop a presentation that was easier to understand. With that direction, the PI Specialist worked with the PDT to develop slides/graphics that would "unpack" complex maps into individual parts and would demystify technical terms, while clearly communicating what the stakes were for the local community (and thus why it would benefit them to stay engaged).

The PI Specialist helped define "Project Literacy" as a public involvement goal or metric. Achieving project literacy involved vetting the project with the public in advance of the public release of a draft report. This ensured that not only do they understand the project, but they comprehend how the project affects them so that they can give the most meaningful feedback possible. This implies that two-way exchanges must take place, with enough comprehensible detail (unpacking complex measures and alternatives, providing definitions, ensuring spatial understanding), so that the public is comfortable and confident with project maps when they make comments on the public review drafts.

Jacksonville District — Port Everglades Navigation Improvements Project

In 2014-2015, Jacksonville District dredged Port Miami which lies just to the south of Port Everglades. Environmental concerns surrounding the deepening of Port Miami included dredge-related sediment impacts to hardbottom communities and listed coral species. During the dredging of Port Miami, there were numerous conflicts, including litigation, regarding environmental issues and compliance concerns. As proposed construction of the Port Everglades Harbor Improvements Project would also potentially affect hardbottom communities and listed coral species, development of a collaborative monitoring plan with Federal and state agencies was imperative.

Jacksonville District created an Interagency Working Group (IWG) for the Port Everglades Harbor Improvements Project. The IWG is comprised of representatives from SAJ, National Marine Fisheries Service, U.S. Fish & Wildlife Service, Florida Department of Environmental Protection, Florida Fish & Wildlife Conservation Commission, US Environmental Protection Agency and Port Everglades. The IWG is facilitated by a Port Everglades contractor.

Implementation of the project is still in progress. Initial indicators are positive, but the ultimate outcome is still to be determined.

Savannah District — Savannah Harbor Expansion Project — Grand Collaboration

Challenge Awardee

This case involves a proposed mitigation action for expansion and deepening of the Savannah Harbor. The deepening of Savannah Harbor increases saltwater intrusion, potentially causing adverse effects to aquatic habitat for Atlantic sturgeon, a federally-listed endangered species. The Water Infrastructure Improvements for the Nation Act of 2016, Section 1319, directs USACE to provide mitigation in the form of in-channel fish passage so that sturgeon and other species will have access to historical spawning grounds above the New Savannah Bluff Lock and Dam (NSBLD) located 187 miles upstream of the mouth of the Savannah River.

Some residents of Augusta, Georgia, and North Augusta, South Carolina, perceive negative effects on their communities resulting from a potential reduction in the elevation of the pool behind the New Savannah Bluff Lock and Dam. The pool currently provides water supply to these municipalities, in addition to twelve large industries. These communities recreate on the pool as well. Water-related recreational uses include general boating and fishing, along with special events like the iron man contests, rowing events, and powerboat races, which serve as a source of economic revenue.

The Savannah District received CPCX support through the 2018 Grand Collaboration Challenge. The timing of the assistance came at a critical point in the study for public engagement. The CPCX funded Public Involvement Specialists from other Districts to facilitate and prepare the Savannah District for the first series of public engagement meetings held on 25-27 June 2018 with Congressional staff, local government representatives, the local chamber of commerce, the general public, and other stakeholders.

Overall, all meetings achieved the District's goal of being more transparent to the public and stakeholders by clarifying the USACE Planning process and explaining the alternatives under consideration. The professional facilitators helped prevent, manage, and resolve conflicts during the public engagements. The role of the facilitator for the open house was critical to management of the question and answer sessions and overall public engagement. The stakeholder engagements were held in roundtable forums facilitating more open dialogue and discussion. Although all stakeholder concerns may not be fully resolved, stakeholder misperceptions about the federal procedures, policies, and processes were corrected. USACE's public engagement improved relationships with the local communities thereby decreasing the risk of litigation and project delays. Project planning is still in progress, but initial indicators for successful project completion are positive.

South Pacific Division — 5 cases

Los Angeles District — Navajo Nation Bird Springs Tribal Partnership Watershed Study

A 3-day planning charrette was held in May 2018 with the Navajo Nation to acquaint participants with USACE's watershed study process, as well as to identify the study problems, opportunities, shared vision, goals, future without-project conditions, objectives, constraints, and decision criteria. The team met onsite in the upper watershed and in the lower watershed ensuring broad participation by stakeholders at the beginning of this new and important Tribal Partnership study. A third-party neutral facilitator from the Sacramento District was brought in to facilitate the charrette.

Sacramento District — Lower American River Task Force

Sacramento Area Flood Control Agency formed the Lower American River Task Force (LARTF) to focus on flood, environmental and recreational management issues affecting

the lower reach of the American River from Folsom Dam to the Sacramento River. USACE's Sacramento District is a long time participant. The task force meets quarterly and meetings are coordinated by contracted neutral third party facilitators. Sub-cases:

- Bank Protection Working Group. LARTF formed the Bank Protection Working Group to provide flood protection for surrounding communities and the conservation of irreplaceable natural resources along the American River Parkway. The focus is on USACE projects. Bi-monthly meetings are coordinated by neutral third party facilitators.
- Technical and Resource Advisory Committee. These ground level technical specialist meetings are coordinated by neutral third-party facilitators contracted by Sacramento Area Flood Control Agency. Sacramento District is a long time participant. The committee falls within the LARTF umbrella and meets bi-weekly.

San Francisco District — Hanson Windsor Ponds Project

A two-day planning charrette was held on April 4-5, 2018. The meeting was facilitated by a Public Involvement Specialist from Sacramento District. A site visit was held in the morning on the first day, followed by a plan formulation meeting in the afternoon. The second day was an all-day plan formulation meeting. The meetings were held at the Lake Sonoma Visitor Center. Approximately 30 people attended the charrette. Attendees included USACE team members, the non-Federal sponsor and their consultant, the landowner, NMFS, CDFW, Sonoma County Water Agency, City of Windsor, and RWQCB staff. The stakeholders walked away with a better understanding of the USACE planning process. The project delivery team walked away with a more refined list of problems, opportunities, objectives, and constraints. Additional project uncertainties were also discussed. Several new alternatives were developed during a group breakout session. A decision was made to include an alternative in the initial array that was previously developed by the Sponsor.

San Francisco District — Middle Harbor Enhancement Area Technical Advisory Committee

San Francisco District leveraged two Public Involvement Specialists to support a Technical Advisory Meeting (TAC) at the request of the non-Federal sponsor, the Port of Oakland, and other stakeholders. During previous TAC meetings, USACE, Port of Oakland, and other stakeholders grew increasingly frustrated with the lack of progress from the TAC to provide technical advice on key project components because of conflicts arising during the meetings. These conflicts pulled the meeting away from the attended agenda and the TAC participants requested neutral third party assisted ECCR to help support stakeholder outreach to better understand the existing conflicts within the TAC members, to draft the next agenda, facilitate the meeting, and support meeting follow-up. Project funding was leveraged to fund the two PI Specialists to work with meeting organizers to complete these tasks.

Bringing in a neutral facilitator – albeit a USACE employee, but one without experience with Middle Harbor – supported the TAC process, allowing stakeholders to work more effectively together. Meeting attendees verbally expressed gratitude for having the meeting facilitated and were able to move easily through the entire agenda. The group also decided that decisions should remain by consensus and that simply asking the question “does anyone disagree” was the best path to ensuring future consensus for most questions. All future TAC meetings to be facilitated by the USACE PI specialist. In this case a more seasoned PI specialist served as a mentor to the less experienced facilitator. The PI specialist national cadre provides for this mentoring role.

San Francisco District — SF Bay to Stockton Project

San Francisco District employed their Public Involvement Specialist to facilitate weekly 2-5-hour long planning “mini-charrette” workshops. The agency’s time and funding constraints for planning projects (to be completed in no more than 3 years for no more than \$3 million) has mandated that new projects reach their first Alternatives Milestone in 3 months. To meet this aggressive goal, the project leveraged these weekly workshop-style meetings to work through the first iteration of the planning process, including the formulation and screening of an initial array of alternatives for the Alternatives Milestone. This effort was an enormous push by the project delivery team (PDT) due to the large scope and scale of this project. Normally this process could take 6-12 months but with the committed facilitation and planning process, the PDT, project manager, and planner were able to focus on project substance while the facilitator was able to focus on the meeting strategy and workshop-needs. All meetings were attended by the PDT and sponsor. Two of the final meetings were expanded to target feedback from additional stakeholders including city and county staff as well as resource agencies. All feedback was absorbed into the planning process for the milestone meeting.

Southwest Division — 2 cases

Fort Worth District — Sulphur River Basin Feasibility Study

The Sulphur River Basin Feasibility Study is a complex study evaluating potential reallocation of flood storage to water supply for municipal and industrial use at Wright Patman Lake in northeast Texas. This study has many nuances that make it highly controversial: unprecedented scale (it’s the largest reallocation ever considered by USACE); cross-jurisdictional complications; potential impacts to a wildlife management area that was established as a mitigation site to compensate for construction of another reservoir; potential impacts to some of the last remaining high-quality bottomland hardwood forests in the State of Texas; potential impacts to culturally significant sites; and another reallocation action that is occurring simultaneously at the reservoir.

Some board members of the non-federal sponsor, the Sulphur River Basin Authority (SRBA), are opposed to government intervention in principle, including environmental laws. To address their skepticism, the project delivery team (PDT) attempted to be as transparent as possible and address potential concerns before they could become an issue. This entailed including all the SRBA board members as well as resource agencies in the process at critical points, which would help the stakeholders to understand the rationale of what was being presented, see what actions were being taken, and solicit their valuable feedback.

State and federal resource agencies were also concerned about USACE work around Wright Patman Lake and the surrounding area, for the reasons listed above. To proactively address their concerns, the PDT held a number of webinar meetings to present the most recent happenings on the study. They also held at least three, in-person, full day workshops in which they went to the reservoir or held the meeting at a conference center nearby. These were critical for identifying impacts, mitigation needs, and mitigation sites. Conflicts that arose in meetings were resolved on the spot or in follow-up communications.

The PDT included the public in scoping meetings in which they presented critical information on storyboards to address the public’s main concerns about the study and to correct some rumors. The public was also invited to attend the SRBA board meetings.

Galveston District — Jefferson County Ecosystem Restoration Feasibility Study

The Jefferson County (TX) Ecosystem Restoration Feasibility Study is an ecosystem restoration-focused study that investigated the feasibility of restoring aquatic habitat along the Jefferson County coastline. The study was intended to contribute to larger ongoing efforts to improve, preserve, and sustain ecological resources along the Texas' coast by stakeholder groups, non-governmental organizations and government agencies at the local, state, and federal level.

Although this study was fairly straightforward with minimal complexity, the Project Delivery Team (PDT) took an active role in engaging the resource agencies, particularly US Fish and Wildlife (FWS), who owns and manages approximately 37 percent of the study area, and the Texas Parks and Wildlife Department, who owns and manages 15 of the study area.

The PDT engaged stakeholders early in the study, including: the managers from each of these lands; natural resource specialists from the Ecological Services Office of FWS, EPA, National Marine Fisheries, the Texas General Land Office, etc.; and the proponents of various watershed, resiliency, and restoration plans that had been developed by others that overlapped the study area in some way. This allowed the team to work with those who were most knowledgeable of the existing conditions and future management plans and who also had a vested interest in the area or resource. The intent was to have them involved from the beginning to increase the perception of quality, increase confidence in decision-making, and garner early support. These engagements also helped the PDT to formulate plans quickly and reduce the length of the agencies' later review period.

Within the first 90 days, the team met with the agencies and held a number of webinar style, half-day meetings to brainstorm measures, identify methodologies for analysis, and leverage expertise in existing and anticipated future conditions. This knowledge was instrumental in identifying synergies in plan formulation with other developed plans. The individuals could provide the institutional knowledge that would have taken months to glean from the thousands of pages of documents available.

The PDT also held several in-person workshops where everyone could gather around maps and work together to identify priority locations needing work. The team held a workshop to work through the habitat benefit models and identify the existing, future without- and future with-project condition variables. This greatly improved confidence in the metrics used to identify value in the work being done and secure support by most, and introduced the stakeholders to a different way of modeling marsh and barrier headland habitat benefits or impacts that they could use on their own projects.

6. Priority Uses of ECCR:

Please describe your agency's efforts to address priority or emerging areas of conflict and cross-cutting challenges either individually or in coordination with other agencies. For example, consider the following areas: NEPA, ESA, CERCLA, energy development, energy transmission, CWA 404 permitting, tribal consultation, environmental justice, management of ocean resources, infrastructure development, National Historic Preservation Act, other priority areas.

In FY2018, USACE Divisions and Districts employed ECCR in several thematic priority areas—primarily responding to statutory environmental requirements; external partnering with other agencies; internal key leader engagements and operations of existing projects. The following topics are areas that USACE divisions identified as priority or emerging areas of conflict where third-party ECCR was employed in 2018.

Interagency Communication

In FY 2018 interagency communication emerged as a prominent use of ECCR by USACE Districts. USACE and other agencies on both coasts continued and expanded partnering with other Federal agencies and/or State agencies. Activities addressed currently contentious proposals as well as continuing conversations from prior conflicts. Federal agencies in particular are focused on working proactively in a neutral setting to fulfill their respective missions. Results have included joint data gathering and establishment of common scientific parameters.

Statutory Requirements & Federal Law

Many of the priority uses of ECCR occur because of statutory requirements such as NEPA, ESA and the NHPA. USACE Divisions and Districts are often required to consult with the state and federal entities with relevant expertise regarding threatened and endangered species, sediment and water quality issues and timing of projects. Appropriateness and validity of results from a host of scientific tools and models may lead to disagreements on the base for analysis. Such concerns range from coast to coast. USACE also conducts formal Government to Government consultation with Native American tribes on issues relating to the NHPA.

Planning

USACE Districts in FY 2018 recognized the benefits of using structured ECCR processes and techniques in early phases of planning projects. They were particularly appreciative of the advantages of utilizing facilitated charrettes in studies funded by post-hurricane funds. With multiple studies on rigid and aggressive timelines, developing solid relationships, providing full information and engaging with interested publics early and in the context of a strategic communications plan is paying off. Such an approach, if followed through with continued opportunities for engagement, promises to “downgrade” potential future conflicts around the impacts of USACE projects to productive, collaborative discussions.

Operations

- *Navigation*

USACE reports multiple uses of collaborative processes to address the environmental concerns that may accompany maintenance dredging for navigation. For example, Jacksonville District convened an interagency working group, facilitated by a neutral third party, for collaborative work on the Port Everglades Harbor Improvement project. In Chicago, collaborative technologies were used as part of ECCR for siting dredged material disposal sites.

- *Recreation and Shoreline Management*

A number of ECCR cases in FY 2018 involved reservoirs used for recreation purposes by a range of stakeholders. Managing water levels and seasonal draw down rates for ecosystem health without the involvement of such stakeholders risks backlash and litigation, whereas leveraging their knowledge and securing their agreement ensures a more effective and sustainable management regime. This approach is even more critical in addressing updates of shoreline management plans which involve people's homes or cherished family vacation cottages. Current residents often are unaware of the legal requirements for shoreline property leading to high emotion. A neutral party is key to conveying information and establishing trust.

- *Multipurpose projects*

As integrated water resources management (IWRM) is recognized and implemented, the potential for conflicts among users with varied interests accelerates. Interests may include water supply, industrial use, recreation and environmental. Districts have recognized the potential power in establishing multi-interest groups. Facing a real person, and potentially neighbor, with differing needs and views, brings reality and tempering to difficult situations. ECCR provides a way to engage and proceed forward productively with respect for all views while incorporating science and legal requirements.

Key Leader Engagement

USACE has recognized the value of and implemented ECCR internally. Technology provides the potential for more, but not necessarily better, communication. Two Divisions (regional offices) have instituted Key Leader face to face meetings on a regular basis. ECCR has supplied a forum for education, identifying differences and resolving conflicts. Consistent leadership is critical to project accomplishment and operations; it is essential in communications with external partners and it is the base for regional activities. The CPCX has provided services to Divisions and HQ for one-time facilitation as well as establishing routine gatherings.

Tribal Coordination

Many Districts report employing ECCR to inform and coordinate with Tribal governments in FY18. Efforts included scoping meetings, coordination on regulatory issues and ongoing collaborations. Activities were tailored to the specific needs and opportunities of the tribe. Districts identified this as an area which is expected to continue to grow and make use of ECCR. USACE's Tribal Nations Technical Center of Expertise supports the efforts of District-level tribal liaisons and the USACE Tribal Community of Practice to comply with applicable laws, improve relationships and maintain open lines of communication.

7. Non-Third-Party-assisted Collaboration Processes: Briefly describe other significant uses of environmental collaboration that your agency has undertaken in FY 2018 to anticipate, prevent, better manage, or resolve environmental issues and conflicts that do not include a third-party neutral. *Examples may include interagency MOUs, enhanced public engagement, and structural committees with the capacity to resolve disputes, etc.*

USACE proactively addresses potentially controversial environmental issues associated with its projects and programs as early as possible to resolve these issues before they become significant conflicts. Across all Civil Works programs and missions, including navigation, flood risk management, hydropower, water supply, emergency management and ecosystem restoration, USACE promotes and benefits from collaborative working relationships with agency and stakeholder partners.

When engaged in planning and project coordination activities, USACE Districts request early involvement of appropriate federal, state, and local natural resource agencies to actively participate in the planning and implementation process, thus establishing a positive and collaborative working partnership. As part of this process, frequent interagency working meetings are conducted to discuss and resolve stakeholders' concerns. This approach also improves communication and relationships within the USACE organization. Improved communication, both internal and external, cultivates a working environment that improves planning, engineering, and management practices, increases participation from project sponsors, improves data collection and sharing, and improves mutual understanding of USACE and external agency processes.

Below, we report on some of the significant uses of environmental collaboration beyond neutral third-party facilitation by organizing the responses into categories:

- Formal/Institutionalized Working Groups or Agreements
- Tribal Engagement
- Business Processes and Culture
- Stakeholder Engagement Tools, Workshops and Trainings
- Scientific/Technical Consensus Building
- Communication Tools

Formal/Institutionalized Working Groups or Agreements

USACE districts participate in a variety of formal or institutionalized working groups and agreements. Some specific examples in FY18 included:

- Collaboration to ensure Compliance with the National Historic Preservation Act: In response to several discoveries during construction at Hamilton City and Lake Isabella, CA, Sacramento District staff took proactive steps to address NHPA compliance needs by establishing clear channels of communication and attending regular information-sharing sessions with collaborating agencies and local tribal representatives. As a result of these steps, construction delays were avoided or significantly reduced. In addition, Sacramento District staff have engaged in ongoing collaboration for NHPA mitigation on the Jackson Flat Reservoir located in southern Utah. Sacramento District has been working closely with the non-federal sponsor, Kane County Water

Conservancy District, to jointly identify several mitigation measures that will be brought to formal consultation in FY19. This reflects significant progress in a multi-year effort to develop a final mitigation proposal and complete federal NHPA obligations.

- California Bay Delta Memorandum of Understanding: The South Pacific Division is one of six federal agencies participating in the Federal Leadership Committee under this Memorandum. The interagency effort is focused on managing environmental conflict and collaborating to develop sustainable solutions in California's Sacramento-San Joaquin Bay-Delta.
- Memoranda of Understanding in South Pacific Division: Work is ongoing under various MOU's, including MSC and District MOU's with The Nature Conservancy; a Sacramento District MOU with California Department of Water Resources; an interagency MOU for work on the Yolo Bypass in California; and an MOU between Sacramento District and the Central Valley Flood Protection Board.
- Southern California Wetlands Recovery Project: The Los Angeles District's Regulatory Office co-leads the interagency review team in developing an area-wide in-lieu fee program to restore wetlands, quantify the ecological lift, and ultimately sell credits to permittees within the area.
- Southern California Dredged Material Management Team: The Los Angeles District contributes USACE representatives to this interagency group which meets monthly and is responsible for the coordinated review of dredging projects and dredging policy issues. The team focuses on reducing redundancy and unnecessary delays in permit processing, promotes consistency in dredging project reviews, and facilitates development of consensus recommendations among regulatory staff.
- California Coastal Sediment Management Workgroup: USACE is an active member of the workgroup, whose mission is to facilitate regional approaches to protecting, enhancing, and restoring California's coastal beaches and watersheds through federal, state, and local cooperative efforts. The California Coastal Sediment Management Master Plan is a central part of the workgroup's mission and is an ongoing, collaborative effort to evaluate California's coastal sediment management needs and to promote regional, system-wide solutions.
- San Francisco Bay Long-Term Management Strategy: San Francisco District invests staff hours to participate in this interagency effort for dredged materials in collaboration with the U.S. Environmental Protection Agency and two state agencies. This interagency group meets monthly to resolve issues related to the placement of dredged material in the bay, ocean, or upland and/or beneficial use contexts.
- Shoreline Project Interagency Working Group: San Francisco District invests staff hours, including meeting facilitation, to participate in the Shoreline Interagency working group to discuss project issues, next steps, and permitting concerns.
- Implementation Agreement and Permit Issuance for Saddleback Estates: For the Saddleback Estates Development Project in California's Riverside County, Los Angeles District staff repeatedly met over the past year with two federally listed tribes and the applicant to resolve potential adverse impacts to a traditional cultural landscape and to negotiate a Memorandum of Agreement. Regulatory Staff and Chiefs facilitated these meetings.
- Middle Rio Grande Endangered Species Collaborative Program: Albuquerque District co-leads this program. The program coordinates efforts and regional cooperation

among 16 Federal, State, local and Tribal signatories to restore habitat for endangered species along the Rio Grande in New Mexico. Through an interagency Memorandum of Understanding and language in Albuquerque District's Congressional authority, Albuquerque District has also led development of a Program-wide adaptive management plan, and has worked with the Program Executive Committee and an Adaptive Management Ad-Hoc Workgroup to develop Program Guidance that defines the potential suite of management actions across the region to which adaptive management can be applied.

- Programmatic Agreement for Standard Local Operating Procedures (SLOPES) for Endangered Species: Mobile District's Regulatory Division is leading a multi-district team to develop a Programmatic Agreement to establish Standard Local Operating Procedures for Endangered Species (SLOPES) with the U.S. Fish and Wildlife Service (USFWS). The team consists of representatives from the USFWS, Mobile District, Jacksonville District and Nashville District. Establishment of this programmatic agreement will improve the efficiency of the consultation process under Section 7 of the Endangered Species Act for 95 federally-listed threatened and endangered species in Alabama and the Florida Panhandle. The SLOPES establishes a process to determine effects of proposed actions on the species; identifies practicable and implementable measures that may avoid or minimize potential adverse effects; and streamlines the ESA Section 7 consultation process.
- Gulf Restoration Working Group: Mobile District's Regulatory Division is an active member of this interagency group focused on improving coordination and timely permitting for Gulf Coast restoration projects.
- Beneficial Use of Dredged Material Group: Mobile District's Planning and Environmental Division is also an active member in this group, led by the State of Mississippi.
- Programmatic Agreements between USACE and NMFS: The Honolulu District Regulatory Branch has an existing programmatic agreement with the National Marine Fisheries Service (NMFS) for Endangered Species Act consultation and is the process of developing a programmatic agreement with NMFS for Essential Fish Habitat consultation. Staff from Honolulu District and NMFS meet on a quarterly basis to discuss programmatic issues related to these agreements and to continue strengthening this collaborative relationship.
- Proactive Engagement between North Atlantic Division and Environmental Resource Agencies: The North Atlantic Division's Regulatory and Planning Teams proactively engage with federal and state environmental resource agencies. Significant activities and outcomes include: coordination with multiple agencies for the South Shore of Staten Island NY, Coastal Storm Risk Management to address issues relating to the Project Partnership Agreement, which is necessary for this critical Sandy Program project to advance to construction.
- Coastal Wetlands Planning, Protection and Restoration Act: Non-assisted collaboration and conflict resolution is built into the CWPPRA process through almost daily collaboration and communication with state and federal agencies on the planning and implementation of coastal restoration projects across Louisiana's coast. Annual meetings with local governments and the public allow discussion of potential coastal restoration projects; open meetings of the technical committee and task force as public comment allows parishes and members of the public to stay engaged throughout the CWPPRA planning process. In February 2018, the participating agencies and coastal parishes narrowed proposed projects for CWPPRA's Priority Project List down to 26

nominees based on land loss rates within the coastal basins. In December 2018, nominees were narrowed down to 4 by the CWPPRA Technical Committee which is chaired by USACE. These four projects then move into Phase 1 Engineering and Design upon approval from the CWPPRA Task Force.

- Memphis Resiliency and Adaptation Working Group: Memphis District collaborates with this group of municipal, county, state, and federal agencies and local organizations to explore issues/needs such as development of green infrastructure, climate change adaptation, mitigation of natural hazards, post-disaster economic recovery, environmental remediation, watershed protection, and protection and preservation of water resources in the Memphis metropolitan area.
- Lower Mississippi River Conservation Committee: The Memphis District maintains close coordination with this Committee of federal agencies, NGO's and state wildlife and water resources agencies representing seven states along the lower Mississippi River.
- Participation in the Urban Waters Federal Partnership: Multiple districts participate in this partnership including St. Louis, Los Angeles, Jacksonville, Savannah, and others. For example, Los Angeles District hosted more than 60 federal, state, local and non-governmental stakeholders for the LA River Urban Waters quarterly meeting. LA River was one of the original seven Urban Waters pilots.
- Great Lakes: USACE districts bordering Canada in the Great Lakes region carried out a range of international collaboration and coordination activities in FY18. This includes USACE staff engagement with the Great Lakes Fish Commission and Great Lakes Commission, participation in face-to-face meetings with Native American tribes, and participation on International Joint Commission (IJC) Boards and Studies. Each IJC Board conducts public engagement and outreach activities that are supported bi-nationally by representatives from the U.S. and Canada. The Boards also support activities to develop and strengthen relationships with First Nation, Native American, and Métis communities for information exchange about watersheds that cross the international boundary. Formats for collaboration applied by Great Lakes Districts included stakeholder meetings, Lake-wide Area Management Plans, Regional Sediment Management Teams, annual coordination meetings and participation in multi-agency management committees.
- Public Advisory and Resource Agency Advisory Groups in the Souris River Basin – In FY18 new Public Advisory (PA) and Resource Agency Advisory Groups (RAAG) were established in support of a 3-year study effort to collaborate with the public and resource agencies on evaluating existing reservoir management rules and exploring alternatives and solutions related to flood risk management and water supply within the Souris River Basin. Multiple formats of engagement took place throughout the year. The Public Involvement Specialist for St. Paul District serves as the alternate U.S. Co-chair to the study board and support all public engagement activities both as a Subject Matter Expert and facilitator.
- Chicago District Memorandum of Understanding with the U.S. Environmental Protection Agency (USEPA): The USACE Chicago District has been working with the USEPA Region 5 under this MOU to resolve a number of environmental issues relating to contaminant cleanup and ecosystem restoration.
- Agreements with Historic Preservation Offices: A Programmatic Agreement was developed by Detroit District and the State of Michigan Historic Preservation Office for routine in-kind, in-place, operations and maintenance of existing federal harbor

navigation structures (breakwaters). The PA was developed to reduce formal coordination needed and thus increase efficiency. In addition, the Huntington District is working with the Kentucky State Historic Preservation Office on a Memorandum of Agreement for the Town of Martin Project under Section 106. . In accordance with NEPA and other associated laws, multiple interagency meetings and informal discussions have been conducted with state and Federal agencies early and throughout the NEPA review process for this project.

- Public Meetings for Bluestone Dam: The Huntington District has conducted multiple public meetings for Bluestone Dam (WV) with the purpose of informing the public as well as seeking input from the public, local, state and federal agencies.
- Louisville District Partnerships for Harmful Algal Bloom Response: Louisville District staff participate in partnerships with state agencies in Kentucky, Indiana, and Ohio for multiple projects including harmful algal bloom response.
- Pittsburgh District's River and Reservoir-related Partnerships: As a landowner of property adjacent to a river or reservoir of interest to other organizations, Pittsburgh District has partnered with those organizations to help meet their goals. This includes participation on the Pymatuning Creek Scenic River Designation Study Committee. Members of this committee raised support, collected data, contributed to a report, and most importantly, built a conservation initiative for Pymatuning Creek. This also includes participation in the Ohio Scenic Rivers Program. This program's mission is to work cooperatively with local governments, businesses, landowners, non-profit organizations and other state and federal agencies to protect the aquatic resources and terrestrial communities dependent on healthy riparian habitats.
- Walla Walla District and the Federal Columbia River Power System Cultural Working Group executed a budget of approximately \$2.8 million in FY 18. The highlight of the FY18 year was the award of an approximately \$2 million contract to stabilize the shoreline along a culturally significant site spanning nearly 4,000 feet along the Columbia River.
- The FCRPS Cultural Resource Program was created in 1997 in order to effectively manage historic properties, as a jointly-administered effort overseen by the U.S. Army Corps of Engineers, the Bureau of Reclamation, and Bonneville Power Administration to address NHPA section 106 compliance. Work is guided by a programmatic agreement for management of historic properties affected by the operation and maintenance of the FCRPS. The program is a partnership with state, tribal, and federal technical staffs that participate in Cultural Resource Cooperating Groups. Together, specialists in Columbia River Plateau archaeology and cultural resources share information and develop creative solutions in the management of cultural resources within the FCRPS

Tribal Engagements

As part of the federal trust responsibility, USACE offers consultation on all projects that may affect tribal land or cultural sites. To support these responsibilities, USACE designates Tribal Liaisons to facilitate USACE interactions with tribal governments. Some specific tribal engagements in FY18 included:

- Multi-District Coordination with the Navajo Nation and Tribal Council: Tribal Liaison and Outreach Coordinators from three USACE Districts and South Pacific Division continued coordination with the Navajo Nation and Tribal Council regarding essential services needed for cultural resources restoration/preservation, flood risk

management, infrastructure improvement and ecosystem restoration.

- Tribal Outreach, Collaborative Engagements and Partner Meetings in South Pacific Division: Tribal Liaisons and tribal outreach coordinators in all four Districts of SPD consulted regularly with federally recognized Tribes. Collaborative engagements including Partner Meetings with Tribal executive leadership focused on topics ranging from strategies and status of cooperative projects to conflicts over various USACE policies.
- Sacramento District's Collaborative Approach to Tribal Burial Site at Lake Kaweah: Through open communication, relationship building, and formal agreement documents, Sacramento District's Cultural Resources staff established a procedure that allows multiple parties including Tribal and USACE representatives to collaboratively participate in the management of Tribal burial sites. This procedure was applied at Lake Kaweah, in response to finds of human remains and funerary items along the lake's shoreline. In addition, the District's Cultural Resources and Operations staff collaborated to delineate a new reburial site and ethno-botanical gathering area in a location that would not be impacted by shoreline erosion. These efforts have strengthened relationships between local tribes and District staff, while meeting current and future management needs.
- Conditions for Cultural Resource Avoidance during Site Construction at Maryville Ring Levee (CA): Consultation on the Maryville Ring Levee Project has been ongoing since 2010. Based on stated concerns from Native American Tribes, the South Pacific Division conducted efforts to identify historic properties in several project areas, and in 2017 imposed conditions on construction activities to avoid impact to these cultural resources. The avoidance solution was welcomed by the consulting tribes and allowed compliance activities to be conducted in a timely manner, while reducing the risk of future delays. These efforts also strengthened the existing close partnership between the Division's Cultural Resources staff and Tribal staff.
- Southport Mitigation in Sacramento District: District staff coordinated closely with the West Sacramento Area Flood Control Agency, the United Auburn Indian Community, and Yocha Dehe Wintun Nation to resolve adverse effects to three Native American archaeological sites. The parties collaborated to redesign the project and identified innovative solutions that would preserve features as desired by Tribal participants, without diminishing the other functions of the project.
- St. Paul District's Web Map Viewer to support Communication with Tribes: The St. Paul District GIS team developed a Web Map Viewer which provides transparency and enables timely communication between USACE Regulatory staff and Tribes related to projects of potential concern. The tool is secure, requires no additional software, and is updated weekly. The Web Map Viewer does not replace formal notification and consultation, but is intended to serve as an information-sharing tool that can complement and support these activities.
- Strengthening Relationships with the Seneca Nation of Indians: Pittsburgh District Senior Leaders have participated in multiple meetings with the Seneca Nation of Indians (SNI) focused on environmental intergovernmental policy and strategy. The District was recently presented with a Seneca Nation flag representing SNI's appreciation for the District's efforts with Water Quality and Environmental Stewardship. The District is also working with SNI on an Environmental Restoration project. Developing a shared understanding of USACE regulations as they relate to tribal laws has required both collaboration and conflict resolution throughout these efforts.

Business Processes & Culture:

Standard business processes include public scoping meetings to elicit input from stakeholders as well as regular or situational meetings with other federal agencies to consult on upcoming decisions or to streamline working relationships. As USACE conducts activities to implement its Civil Works missions, leadership and staff aim to consult and engage with governmental and non-governmental stakeholders early and often to better outcomes, reduce costs, and improve governance.

Some specific examples of business processes cited by USACE Districts are described below.

- Building Capacity for Collaboration in the Southwest: In 2018, numerous partnering forums and hundreds of routine stakeholder engagements have become standard business process for USACE's Southwest Division and its Districts to build capacity for collaboration and conflict resolution. These processes allow USACE and partners to network, exchange ideas, and identify opportunities for collaboration from the leadership to the field level. Examples include: Division-level "Command Weeks" twice each year where stakeholders provide feedback on working with USACE and learn about the challenges that USACE is facing. Feedback from these sessions shape Regional Priorities that are tracked through the year; Partnering Forums for key partners for Fort Worth District and for Galveston District; a two day Industry Day for over 500 stakeholders and partners in Little Rock District; a two day Partner Listening Sessions in Tulsa District.
- Yuba River Ecosystem Restoration Feasibility Study NEPA Public Review: Sacramento District used planning charrettes, agency meetings, and distribution of a draft interim Feasibility Report/ Environmental Assessment in its coordination with a dozen Federal, State, and local agencies, and local Native American tribes.
- South Pacific Division Watershed and Floodplain Program Manager: The continued support of a dedicated senior Watershed and Floodplain Program Manager position within South Pacific Division reflects USACE commitment to comprehensive watershed planning, floodplain management, and employing a systems approach to solving complex water resources issues. In addition to prioritizing floodplain management coordination through outreach and collaboration using the full suite of USACE programs, the position includes a focus on tribal issues in general and the Tribal Partnership Program in particular. Other duties include policy advisor to the MSC Commander and Senior Executive Service members, California Bay-Delta interagency collaboration and primary instructor on related training. In light of the growing interest and appreciation for multi-agency and multi-stakeholder collaboration to reach water resources solutions that meet broad goals and objectives, the focus of this position will enhance SPD's leadership role in the watershed planning arena.
- Climate Change staffing: Albuquerque District's Climate Science Specialist engages federal, tribal and state partners on issues related to future flood risk management, wildfire, and regional drought. Ongoing engagement, information sharing, and resource sharing are designed to assist in developing climate change resilience in the region's watersheds. Collaboration on current projects is anticipated to reduce future water resources conflicts. San Francisco District invests via staff hours to build a consensus on San Francisco Bay regional approaches to climate change such as the San Francisco Bay Regional Coastal Hazards Adaptation Resiliency Group (CHARG). CHARG was initiated in 2014 by public agencies responsible for implementing strategies that reduce the impacts of sea level rise (SLR) and extreme weather on San Francisco Bay shoreline communities.

- Regular meetings with Resource Agency, Partners and Tribes: Los Angeles, Sacramento, Buffalo, Memphis, Detroit and Vicksburg Districts, as well as South Atlantic Division report successful collaboration through regular partnering meetings with the U.S. Fish and Wildlife Service, other key federal and state agencies and tribal governments to resolve complex issues on multiple projects. During these meetings, key staff from multiple parts of USACE and counterparts from other agencies discuss specific projects, critical pending decisions and overarching issues, disagreements or misunderstandings. Such regular, face-to-face meetings are extremely useful to identify and resolve issues, often allowing leadership to reach agreement during the course of the meeting, potentially avoiding months of staff-level coordination or back-and-forth correspondence to document agency positions. In addition, the meetings develop relationships that have been instrumental in overcoming many challenges, and have built trust and improved collaboration between the agencies.
- Watershed Working Groups: USACE Districts report benefits from collaboration through interagency and stakeholder groups, such as the Guadalupe Watershed (CA) Integration Working Group that coordinates and works to resolve permitting and environmental issues.
- Training for Federal Partners: Los Angeles District has also provided several training sessions for USFWS and Local government staff on regulatory issues.
- Permitting in Alabama and Mississippi: Mobile, Vicksburg (MS) and Nashville Districts meet regularly with federal and state partners to discuss coal mining issues in Alabama and to address permitting issues, streamlining efforts and consistency issues in Alabama and Mississippi. Mobile District also completed renewal of the Regional General Permit program in Mississippi through substantial coordination with federal and state agencies. Both that renewal and frequent interaction between Mobile District and Alabama Power Company resulted in a streamlined permitting mechanism for minimal impact projects, reducing redundant permitting processes and providing one primary point-of-contact for the public.
- Outreach for Shellfish Aquaculture Permits: As part of a transparent and predictable permit process to handle a significant permitting workload for Washington state's shellfish aquaculture industry, USACE's Seattle District conducted outreach that included a distribution list, congressional calls, and quarterly stakeholder workshops to explain permitting procedures, programmatic permitting tools, and provide opportunities to meet and interact with representatives of the permitting team.
- Proactive engagement across USACE's North Atlantic Division with environmental resource agencies produced significant outcomes in FY18. Highlights include timely completion of a complex EIS for the \$1.4 Billion recommendation for storm surge barriers and floodwalls for City of Norfolk, finalization of the Biological opinion for Norfolk Harbor deepening, input for studies on the beneficial use of dredged material in Delaware and New Jersey, and, identify needed levee rehabilitation work in Codorus Creek (PA).
- Coordinated Project Plan for Mid-Barataria (LA) Sediment Diversion permit: As part of its lead role in what would be one of the largest-ever ecosystem projects constructed in the US, USACE's New Orleans District created a Coordinated Project Plan (CPP) as part of its compliance with the Federal Permitting Improvement Steering Council requirements. The CPP was praised as the standard to which other CPPs would be held and resulted in both monthly meetings with all cooperating agencies on the project, as well as a smaller team of key personnel who maintain and update the

schedule. This team was successfully able to negotiate contentious issues related to scope and environmental documentation and was able to achieve a savings of 2 years on the overall project permitting timeline.

- Flood Area Engineers Improve Levee Safety and Emergency Response: Rock Island (IL) District's designation of a "Flood Area Engineer" to major river basins has built strong relationships with levee sponsors that have helped USACE proactively respond to emergency events and helped the local levee sponsors effectively plan for and reduce the severity of emergencies.
- Ohio River Basin Inspection Tour: To highlight shared water resources of the Ohio River basin and improve stakeholder communication and collaboration, USACE's Great Lakes & Ohio River Division conducted an Ohio River Basin Inspection Tour with 3 days of presentations, site visits, and discussions with government agencies, academia and industry. As a wrap up, USACE used the "World Café" technique to discuss topic in small groups and then develop a path forward with the entire group.
- Collaborating to improve Permitting in Tennessee: To prevent delays in permit review, and potential conflicts between agencies, USACE's Nashville District partnered with the Tennessee Department of Environment and Conservation (TDEC) to establish a monthly face-to-face and virtual venue for permit applicants to discuss complex upcoming projects, permitting issues, and permittee responsible mitigation plans with Federal and state agencies. In addition, USACE worked collaboratively with the TDEC to create compensatory mitigation guidance for the State of Tennessee that provides clear expectations to the public and a consistent and more efficient review.
- Coordination for Inland Navigation: To coordinate navigation activities and engage with stakeholders, USACE Huntington District actively engages the Coast Guard and industry through the local Waterways Association. For maintenance dredging activities, USACE meets annually with resource agencies to continue coordination and better manage feedback.

Stakeholder Engagement Tools, Workshops and Trainings

USACE districts use a variety of stakeholder engagement strategies including public meetings and interactive workshops and regularly occurring meeting and workshops with key stakeholders. Techniques are tailored to the needs and interests of the project and community. Some specifically notable stakeholder engagements in FY18 included:

- Enhancing Interagency (State and Federal) Coordinating for Permitting Flood Risk Projects (CA): Los Angeles District staff and Division Silver Jackets leads engaged external stakeholders to develop a proposal to host two stakeholder workshops and prepare a white paper on enhancing interagency coordination in the permitting process to reduce flood risk in Southern California.
- Mobile Harbor General Reevaluation Report and Supplemental Environmental Impact Statement (AL): During the NEPA process for this navigation study, Mobile District hosted scoping workshops where, subject matter experts were available to answer questions from the general public. In addition, USACE hosted in-house focus group meetings on the navigation study with seafood interests and commercial fisherman, environmental non-governmental organizations, Dauphin Island property owners and interests, and minority communities.
- Detroit Dam Downstream Passage Project (OR): To better understand stakeholder concerns of potential impacts on water supply, socioeconomics, agriculture, and

habitat for ESA Listed species, and to collect need data for the NEPA affects analysis, USACE's Portland District engaged in a robust public engagement plan that included an extended scoping process, several additional public meetings and numerous meetings with local, state and federal elected officials as well as tribal, local, state, and federal agency staff.

- Flood Risk Roundtable (PA): USACE's Pittsburgh District led a roundtable discussion on leveraging existing flood risk management resources and programs to boost regional socioeconomic conditions. The roundtable was part of the Southern Allegheny Regional Economic Development Summit of approximately 50 regional stakeholders representing Federal and state agencies, state, county, and local elected officials, economic development professionals, philanthropists, and local and regional industries.
- Dashiels Dewatering Event (PA): To witness first-hand the operational and maintenance challenges USACE faces at an 89-year-old Lock and Dam facility, USACE's Pittsburgh District invited stakeholders to the Dashiels Dewatering Event. Attendees learned about the Upper Ohio Navigation Project, the marine navigation system and maintaining aged infrastructure, and the actual work being conducted at Dashiels. Staffers from three congressional offices attended as well as multiple industry stakeholders, local officials and representatives from the nearby Cracker Plant project. USACE capitalized on this event by conducting a second tour for staff whom rarely if ever visit field sites.

Scientific/Technical Consensus Building

As part of multiple federal responsibilities, USACE often proposes actions that are reviewed, discussed, or vetted with other agency, industry or academic experts. This includes USACE consultation with state and Federal entities regarding specific endangered species or permitting issues, as well as general collaboration across environmental, engineering and scientific aspects of specific USACE projects, studies and efforts. Science/technical consensus-building tools and engagements in FY18 included:

- Albuquerque District Participation in Middle Rio Grande Workshops: With the goal of contributing to the development of sound, scientific recommendations for potential adaptive management and water resource management decisions, Albuquerque District continued its membership and attendance at externally-organized meetings and workshops on the topic of endangered species in the Middle Rio Grande.
- Wilmington District's Thin Layer Placement of Dredged Material to Reduce Marsh Loss: Wilmington District collaborated with the National Oceanic and Atmospheric Administration (NOAA) to implement a thin layer dredged material placement project in North Carolina. The purpose of the project was to slow marsh wetland loss. The technical methods applied by USACE during the project were developed in consultation with NOAA.
- Memphis District's Collaborative Conservation Planning: In 2018 Memphis District developed the *Conservation Plan for the Endangered Fat Pocketbook Mussel in the St. Francis River*, in collaboration with the U.S. Fish and Wildlife Service (FWS). This Conservation Plan formalized the best management practices and methodologies developed over the past 15 years; serves as a programmatic biological assessment for actions potentially affecting the mussel; was the basis of the subsequent FWS biological opinion; and serves as a tool for accelerating the consultation process and reducing costs while ensuring that this federally listed endangered species is protected within the basin. The collaborative development of this product also strengthened trust

among USACE, FWS, and state agency scientists involved in these efforts.

- Memphis District's facilitation of annual Channel Improvement Program: Memphis District facilitates an annual Channel Improvement Program interagency meeting with state and federal natural resource agencies from six different states with jurisdiction along the Mississippi River to review all channel improvement activities within Memphis District boundaries. Through direct collaboration between USACE biologists and river engineers and their counterparts in participating state and federal agencies, cost-effective engineering and best management practices have been identified for channel improvement activities that can benefit river-dependent organisms including threatened or endangered species. These annual meetings have led to conservation planning for three federally endangered species, resulting in a programmatic non-jeopardy Biological Opinion for USACE channel improvement activities for the entire 953 miles of the lower Mississippi River across three USACE districts. The activities, products and framework resulting from these annual meetings have resulted in significant cost savings, and have been integral to FWS's latest recommendations for de-listing two endangered species in the lower Mississippi.
- Compensatory Mitigation Guidance for the State of Tennessee: The Regulatory Division of the Great Lakes and Ohio River Division worked collaboratively with the Tennessee Department of Environment and Conservation to create compensatory mitigation guidance for the state of Tennessee. The documents provide clear expectations to the public and a consistent and more efficient review that is rooted in sound science and is compliant with all applicable laws.
- Louisville District's Participation and Data Contribution to East Fork Watershed Cooperative: Louisville District staff participates in and contributes chemical and phytoplankton data to this group of federal, state and local partners that study the William H. Harsha Reservoir and its watershed.

Communication Tools

USACE uses a variety of communication tools and channels to inform and garner feedback from publics and stakeholders, such as websites to share information on district missions, programs, and projects and for posting NEPA documents. Rollout plans for the release of major documents include approved key messages and talking points, pre-approved press releases and social media posts. Districts use the Federal Register for publishing notices of intent to prepare Environmental Impact Statements notices of agency and public comment periods, notices of inventory completion for Native American human remains and funeral objects and opportunities for final NEPA public review. Districts use QMS processes to guide programmatic and project communication efforts. USACE places legal advertisements in local newspapers to communicate project activities and request project input from the public. Social media (e.g. Facebook, Flickr, YouTube and Twitter), web maps and digital crowdsourcing tools supplement traditional outreach to create a learning environment, encourage shared dialogue amongst interested stakeholders and agency representatives, while providing a forum to submit comments and concerns.

8. **Comments and Suggestions re: Reporting:** Please comment on any difficulties you encountered in collecting these data and if and how you overcame them. Please provide suggestions for improving these questions in the future.

Alaska District: It seems like it's an all-encompassing report, so there may be an opportunity to focus on difference categories of collaboration. Low conflict would be a charrette. There are many other examples of higher types of conflict that a 3rd party could be brought in on.

Buffalo District: Do not attempt to capture cost and benefit analysis, or qualitative and quantitative data until a metric can be put in place at the national level and enforced agency wide.

Honolulu District: The chief difficulty in gathering this information is that the Honolulu District does not frequently engage in ECCR or engages in ECCR on a routine, cumulative relationship building basis, rather than several notable significant events.

Pittsburgh District: The nuances of the reporting proved to be the most difficult when collecting this data, particularly in regard to non-3rd party cases (It was much easier to identify third-party neutral cases.) I found that through talking with my colleagues in other branches – they had a lot of great questions as to what should be included and what should not. In particular, I found I was not entirely clear on whether partnerships (for instance – establishing a MOU partnership with a sustainable forestry foundation to remove ash trees harmed by emerald ash borer) would or would not count as non-3rd party ECCR. I decided not to count examples such as those when only one entity was partnering with USACE to primarily benefit USACE. However, if USACE was asked to engage on a working group or committee to pursue another organization's goals – I did include those examples. Questions did arise as far as 'significance' of these type of efforts, for example – If we only helped out by supporting data, should that count? What if we just helped with funding? I also found myself deciding whether a meeting with a variety of representatives counted as 'collaboration' or whether that wasn't significant enough to report. I decided for this report I would only share those meetings that resulted in decisions/actions taking place rather than simply information sharing. I also decided not to include items if they were strictly recreational (such as water safety). I also decided that if the third party neutral facilitation was invoked to be proactively collaborative rather than reactively conflict resolution-oriented – I would count it as ECCR. In future iterations, if I should act differently – guidance on these nuances would be helpful. Finally – as my own best practice, I sent out an "FAQ" email to my colleagues to help make this data request more manageable. I intend on using something similar next year – it helped my colleagues to determine for themselves what of their work might be captured under the request.

South Pacific Division: Reporting process is labor intensive and difficult to quantify/standardize. Suggest considering Likert Scale and/or forced values such as (0-1) (2-4) (>=5), etc. to characterize responses. There are a number of challenges I have faced each year. First, lack of funding makes it difficult to squeeze in data collection. It's an annual unfunded mandate for the most part. It's a difficult time of year around the holidays with many people gone. Also, being so late after the end of the FY, the data people tend to send me includes meetings that took place in the current FY, not the prior FY. It's hard for people to recall events that took place 14-15 months earlier! The format of the questions are such that it's very difficult without spending a lot of time interviewing people. I tend to only provide details of my own personal experiences. On occasion, I've had the good fortune of a team who invested in getting good AAR report write-up's from third party facilitators. That is rare. With all the problems I've had, one suggestion to addressing them is to develop an online database to input data throughout the year. This would help a lot I believe. Please refer to USACE Planning, online tools, IWR-APT for a good example of how it could function. Anyone can input data if given permission. If that existed I could capture agenda's, and specific data throughout the year.

Southwest Division: Gathering data for this report has become easier. We still struggle with separating out the actual facilitation activities because our Program and Project Managers see that as part of their duties. SWD has established a Regional Planning and Environmental Center (RPEC). The RPEC serves as a single source of support to large projects utilizing planning support. They have streamlined their reporting efforts and are capturing many of their facilitation and collaboration efforts. They are a very supportive team and provided a great deal of information for the report. Many of our studies and projects are currently on-going and difficult to capture the benefit of the collaborative efforts.

Please attach any additional information as warranted.

Report due April 12, 2019.

Submit report electronically to: owen@udall.gov

**Basic Principles for Agency Engagement in
Environmental Conflict Resolution and Collaborative Problem Solving**

Informed Commitment	Confirm willingness and availability of appropriate agency leadership and staff at all levels to commit to principles of engagement; ensure commitment to participate in good faith with open mindset to new perspectives
Balanced, Voluntary Representation	Ensure balanced inclusion of affected/concerned interests; all parties should be willing and able to participate and select their own representatives
Group Autonomy	Engage with all participants in developing and governing process; including choice of consensus-based decision rules; seek assistance as needed from impartial facilitator/mediator selected by and accountable to all parties
Informed Process	Seek agreement on how to share, test and apply relevant information (scientific, cultural, technical, etc.) among participants; ensure relevant information is accessible and understandable by all participants
Accountability	Participate in the process directly, fully, and in good faith; be accountable to all participants, as well as agency representatives and the public
Openness	Ensure all participants and public are fully informed in a timely manner of the purpose and objectives of process; communicate agency authorities, requirements and constraints; uphold confidentiality rules and agreements as required for particular proceedings
Timeliness	Ensure timely decisions and outcomes
Implementation	Ensure decisions are implementable consistent with federal law and policy; parties should commit to identify roles and responsibilities necessary to implement agreement; parties should agree in advance on the consequences of a party being unable to provide necessary resources or implement agreement; ensure parties will take steps to implement and obtain resources necessary to agreement