Public Participation
Best Practices

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Presentation Overview

- Public Participation and Engagement Contract (PPEC)
- Public Participation Research Findings
- Success Factors
- Case Studies
- Questions and Answers
Overview of the Public Participation and Engagement Contract (PPEC)

Overview of the Public Participation and Engagement Contract (PPEC)

• 2006-2010: A four year on-call partnership between Caltrans and MIG, Inc.

• MIG provided outreach assistance to Headquarters and District staff through the PPEC

• Assistance and resources designed to improve stakeholder and community involvement
**Developing Capacity**

- Caltrans staff greatly increased outreach skills!
- Demonstrated successes include:
  - Improving relationships with stakeholders and agency partners
  - Responding to community concerns
  - Advancing responsive solutions

**Successful Outcomes!**

- Improved interagency partnerships
- Increased community collaborations
- Heightened environmental justice community involvement
- Public participation levels that exceeded SAFETEA-LU requirements
- Demonstrated receptivity to public input
- Improved overall project results
Review of Public Participation
Findings

PPEC Research

- Research conducted to develop a Public Participation Plan for the California Transportation Plan 2035 and FSTIP
- Data gathered through:
  - Interviews
  - Focus groups
  - Web-based survey
Findings

- Californians want to know more about the transportation system; how it is planned, programmed and funded.

- Caltrans agency partners and stakeholder groups recognize the importance of participation to ensuring that the system meets their needs.

- Members of the general public provide invaluable insight into how the state’s transportation system is working and what can be done to improve it, even if they are not technical experts.

Findings

- The general public and stakeholders support the participation of representative groups in statewide transportation planning.

- Everyone wants Caltrans to maintain transparency and keep the public informed about the status of projects and how the system works.
Understanding Best Practices

• The PPEC funded nearly 50 task orders -- all have achieved positive results

• Following is a selection of projects that exemplify best practices

• Best practices effectively employ success factors to create and sustain successful public participation

Success Factors
What is a Success Factor?

- Strategy that is likely to achieve **positive** outcomes
- Helps **prepare for and manage** unpredictable nature of public interactions
- Helps ensure that the project team is **flexible and prepared**

Success Factor #1

**Develop shared goals and objectives.**

- Identify clear outcomes
- Identify a shared understanding of success – for Caltrans and partners

*Key questions:*
- What is Caltrans hoping to achieve?
- What problem will this project or plan address?
- How will your partners benefit by participating?
**Success Factor #2**

Identify your partners and key stakeholders up front and throughout the process.

- Create a stakeholder list at the beginning of project planning
- Identify agencies, organizations, interest groups, elected officials and environmental justice advocates
- Continue to add to the stakeholder list throughout the project

**Success Factor #3**

Develop agreements within Caltrans.

- Involve other Caltrans departments and Headquarters early – before bringing in stakeholders
- Develop necessary internal agreements
- Speak with one voice
Success Factor #4

Develop agreements with your partners.

- Identify jurisdictions and agencies affected by the project
- Identify mutual goals that can be achieved through collaboration
- Invest time to build and grow relationships
- Allow partners to ask questions and discuss issues
- Ensure that Caltrans and partners are on the same page before going to the public

Success Factor #5

Create a solid foundation of facts.

- Establish a firm foundation of facts and shared definition of terms
- Ensure that Caltrans and partners agree on data and conclusions
- Remember that opinions will vary and change, but facts remain the same
**Success Factor #6**

Determine your readiness to go out to the public.

- Identify what is open to public influence
- Be united in approach and process
- Determine appropriate scope, scale and reach of the outreach

**Success Factor #7**

Start where you have agreement.

- Focus on areas of agreements to engage partners and the public
- Establish agreement on the problem and importance of finding a solution
- Determine consensus on outcomes and desired result
- Focus on details about how to get there
Success Factor #8

Understand where there are disagreements.

- Identify the source of the disagreement – root, outcome, method of achievement
- Address areas of disagreement early and openly
- Ensure that they do not derail the participation and planning processes

Success Factor #9

Focus on outcomes.

- Identify solutions and test them against outcomes
- Test how well they respond to the areas of disagreement
**Success Factor #10**

**Evaluate your results.**

- Take time to acknowledge and document success
  - Evaluate results
  - Thank partners and celebrate results!
- Lay the groundwork for ongoing growth and positive outcomes in the future
- Strengthen the community trust built to date

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**Case Studies**
Case Study:
Kroy Pathway Conceptual Improvement

Outreach Objective:

- Overcome community opposition to improving versus closing down problematic pathway
- Identify solutions that address community concerns about crime and safety
- Ensure pathway’s success as a critical link to light rail
Kroy Pathway Conceptual Improvement - Description
Kroy Pathway Conceptual Improvement

**Outreach**
- Postcards
- Mailers to key stakeholders

**Engagement**
- Stakeholder interviews
- Advisory Group
- Open House/Workshop
- Information stations
- Illustrative drawings

Kroy Pathway Conceptual Improvement - Visualizations
Kroy Pathway Conceptual Improvement

Success Factors

• Caltrans and the City agreed on the problem and the importance of solving it
• Partners listened carefully to stakeholders
• Visualizations helped residents see potential solutions

Kroy Pathway Conceptual Improvement

Results

• Community agreed on the solution.
• City of Sacramento funded and implemented the plan.
• Project completed in less than one year!
Kroy Pathway Conceptual Improvement

Grand Opening - Ribbon-Cutting February 2010

Case Study: Crenshaw Neighborhood Workshop
Crenshaw Neighborhood Workshop

Outreach Objective:

- Convene a diverse group of stakeholders
- Identify transportation, land use, housing and other improvements
- Enable quality of life improvement in an economically distressed neighborhood in Los Angeles

Description:

- Hosted by:
  - Los Angeles Urban League (LAUL)
  - California Business Transportation and Housing Agency (BTH)
  - California Department of Housing and Community Development (HCD)
  - Caltrans
- One day workshop attended by over 50 stakeholders
- Reviewed community transportation and housing needs and identified opportunities
Crenshaw Neighborhood Workshop

Outreach
• Email and phone invitations to a broad spectrum of key stakeholders

Engagement
• Transportation and housing-related discussion groups

Success Factors
• Identified partners early in the outreach process
• Worked closely with federal, state and local partners to identify key stakeholders
• Engaged in constructive planning discussions
• Identified housing and transportation implementation projects, partnerships and funding opportunities
Crenshaw Community Workshop

Results

• Community Action Plan for the Crenshaw Community
• Identified funding and partnership opportunities to implement the Plan

Case Study:

BART to Livermore Community Workshops
BART to Livermore Community Workshops

Outreach Objectives:

• Inform community members about Livermore BART Station Area Planning
• Discuss and identify design, station location pairing and alignment priorities
• Identify community objectives and concerns
• Determine BART station pairing, alignment and design that meets community needs

Description:

• Three community workshops
• Approximately 125-150 community members attended
• Hosted by the City of Livermore
• Meeting agendas included informational presentation, and interactive exercises and discussions
BART to Livermore
Community Workshops

Outreach
• Local newspaper advertisements
• Meeting flyers and posters in English and Spanish
• Bus cards in regional transit
• Electronic meeting notices
BART to Livermore Community Workshops

Engagement
- Small group exercises
- Large group discussions
- Roundtable discussions
- Comment cards
- Visual Preference Workshop Exercise

Success Factors
- Strong collaboration between Caltrans District 4, City and consultants on outreach goals
- Project team agreed on the technical data and how it was presented
- Data provided a neutral fact-based way to discuss and evaluate the alternatives
- Community highly valued opportunity to weigh in on significant transit expansion project
- Community discussions will continue....
BART to Livermore Community Workshops

Results

• City Council unanimously supported the locally preferred BART extension alternative derived through this process
• Outreach process is a model for significant planning and engineering projects

Case Study:
SACOG Environmental Justice Focus Groups
SACOG Environmental Justice Focus Groups

Outreach Objectives:

• Increase the breadth and depth of participation
• Gain an understanding of specific ethnic and low-income communities transportation needs
• Determine if needs have changed in the past five years

Conducted 8 focus groups:
• 3 Low Income
• 2 Hispanic/Latino in Spanish
• 1 Asian in Vietnamese/Mandarin
• 1 Native American
• 1 African American

Description:
Conducted 8 focus groups:
SACOG Environmental Justice Focus Groups

**Outreach**
- Job postings on Craigslist.org in English and Spanish
- Community-based organization postings and working through networks

**Engagement**
- Focus Groups
- On-line screening survey
- Screening phone calls
Success Factors

- Outreach and screening processes yielded 89 residents who would not likely participate in any of the 12 community meetings hosted by SACOG
- Paid stipends helped ensure participation is high
- Facilitated discussion and deep listening yielded important information

Results

Participants
- Have a better understanding of state highway issues and challenges
- Helped identify solutions to address transportation gaps
- Prioritized transportation projects
Case Study:
SR 46 East Comprehensive Corridor Study

Outreach Objectives

- Develop short and long-term improvement strategies for 5 mile stretch of SR 46 East
- Improve agency relations
SR 46 East Comprehensive Corridor Study

Key Intersections: Buena Vista, Golden Hill, Union, Airport
SR 46 East Comprehensive Corridor Study

Outreach

- Project branding
- Newsletter
- Fact sheet
- Media outreach
- www.46eastforthefuture.org
- Workshop announcements:
  - Postcards and door hangers

Engagement

- Study Team Meetings
- Stakeholder Interviews
- Public Workshops
- Interactive scenarios
- Materials translation

Steering Committee

Workshop
SR 46 East Comprehensive Corridor Study

Improvement Options

[Images of various improvement options for SR 46 East]

- Interchange: Local Street at Ground Level
- Overpass: Local Street at Ground Level
- Roundabout
- Intersection
- Pedestrian Improvements

[Map of California highlighting SR 46 East]

[Images showing before and after improvements for SR 46 East]

[Images of construction and maintenance activities]
SR 46 East Comprehensive Corridor Study

Results

• Endorsement of Comprehensive Corridor Study by City of Paso Robles, SLO County and SLOCOG

• Increased inter-agency problem solving capacity

• Outreach process received statewide award in 2009!
Case Study:

SR 99 Soundwall Community Safety and Enhancement Project

Outreach Objectives

- Develop community support for an innovative approach to addressing crime, blight and other negative impacts in a problematic right of way
- Respond to as many community concerns as possible to ensure community participation
Caltrans District 3 will sell the right of way on the west side of the Soundwall between 12th avenue and 47th avenue in Sacramento to the adjacent property owners.

Caltrans will maintain an easement for maintenance; no permanent structures can be built.

Property owners can enjoy their newly extended and secure backyards.

To make the offer as attractive as possible to homeowners, Caltrans District 3 will:

- Sell the land for $1, no money changes hands
- Clean the area and remove excess vegetation and debris
- Remove any trees for which homeowners don’t want to assume liability or maintenance responsibility
- Confirm with County tax assessor that transfer will not impact property taxes
- Assume all recording fees
SR 99 Soundwall Community Safety and Enhancement Project

Outreach
- Mailings from Caltrans
- Postcards
- Website
  www.soundwall99.org
- Door to door outreach
- English and Spanish materials

Engagement
- Two community meetings
- One-on-one conversations
- Personal appointments with Caltrans
SR 99 Soundwall Community Safety and Enhancement Project

Results

• Internal resolution of key issues related to appraisal process and costs, scheduling of surveys, and maintenance responsibilities

• Project will provide a very cost-effective solution to an ongoing problem

Case Study:
Chalfant and Benton Community Visioning Processes
Chalfant and Benton Community Visioning Processes

Outreach Objectives

- Respond to community requests for significant safety and roadway improvements from Caltrans District 9
- Understand future growth needs to determine future improvements
- Use desired growth scenarios to inform the Transportation Corridor Report for Highway 6

Chalfant and Benton Community Visioning Processes

Project Description

- Two small, rural communities in Mono County were seeking improvements to Highway 6.
- Chalfant, population 300, wanted improvements, but no growth.
- Benton, population 500, was seeking improvements that would help the community grow and attract new investment.
- District 9 used the same outreach process to achieve very different results.
Chalfant Community Visioning

Benton Community Visioning
Chalfant Community Visioning

Benton Community Visioning

Interregional Traffic
Benton and Chalfant Community Visioning Processes

Outreach
• Local Radio PSAs
• Print newspaper advertisements
• Existing community electronic listservs
• Listed on existing electronic community calendars
• Printed mailers

Engagement
• Stakeholder Interviews
• Three community meetings
• Comment cards and document review

Benton Community Visioning

Engagement
Chalfant Community Visioning

Engagement

Chalfant Community Visioning

Results

• Documented Chalfant’s interest in limiting growth and maintaining current conditions
• Provided justification for limited improvements in the Chalfant area being identified in the TCR
• Process results informed an amendment to the Mono County General Plan
• Enhanced community relationship with Caltrans and Mono County
Benton Community Visioning

Results

• Documented Benton’s interest in accepting and directing growth to improve current and future conditions
• Provided justification for wider range of improvements in the Benton area being identified in the TCR
• Process results informed an amendment to the Mono County General Plan
• Enhanced community relationship with Caltrans and Mono County

Case Study:
Corridor System Management Plans (CSMPs)
CSMPs

Outreach Objectives

• Increase agency collaboration and information sharing in transportation planning documents

• Creating a planning document that supports a corridor-level focus and considers all transportation modes

• Optimizing and preserving infrastructure investment: a requirement for corridors associated with the Corridor Mobility Improvement Account (CMIA) and Highway 99 Bond Program – Proposition 1B.

CSMPs

Transportation Issues

• 9 corridors in District 4
• Over 40 statewide
• Final CSMPs submitted to CTC end of December 2010
• Partnership required!
CSMPs

Transportation Issues

- Highways
- Parallel and connecting roadways
- Public transit (bus, bus rapid transit, light rail, intercity rail)
- Bike Routes
- Intelligent Transportation System technologies

Outreach*

- Fact Sheets
- Brochures
- www.corridormobility.org

* CSMP outreach materials are on the Caltrans website and will be available after the contract ends.
**CSMPs**

**Engagement**

- Technical Advisory Committee meetings for corridors with active CSMP process
- Coordinated outreach and information with other local transportation planning efforts

**CSMPs**

**Results**

- Local agency and stakeholder support of the CSMP process
- Improved information sharing statewide
- Identified data needs and opportunities for improving future generation CSMPs
- Caltrans is completing an evaluation process to help improve future CSMP’s
Case Study:
City of Winters
Grant Ave./SR128/Russell Blvd.
Complete Streets Project

City of Winters SR128
Complete Streets Project

Transportation Issues

- Determine public support for application of Complete Streets concepts along a multi-use corridor in an agricultural community
- Improve pedestrian and bike safety and enhance connectivity between segments of the community
- Coordinate design concepts within Caltrans units
City of Winters SR128 Complete Streets Project

A successful Complete Street combines...

- Improved Safety
- Special Needs Of Children
- ADA Access
- Increased Transit Usage
- Desirable Walkable & Bikeable Environment
- Better Health & Air Quality
- Economic Revitalization
- Lower Transportation Costs
- Cost Effectiveness
- Community Life & Ownership

City of Winters SR128 Complete Streets Project

A successful approach to Complete Streets combines...

- Social & Cultural Needs & Values
- Economic & Political Realities
- Community Vision & Engagement
- Contextual Planning & Design Principles
- Community Life & Ownership
City of Winters SR128 Complete Streets Project

**Outreach**
- Postcards
- Mailers to key stakeholders

**Engagement**
- Stakeholder interviews
- Community Workshops, including one bilingual
- Illustrative drawings and visual simulations

City of Winters SR128 Complete Streets Project

Have ideas about how to improve traffic flow and safety on Grant Avenue? Join the community...
City of Winters SR128 Complete Streets Project
City of Winters SR128 Complete Streets Project

Success Factors

- Use of visualizations and graphics
- Early coordination with local partners and decision-makers
- Project team gave special consideration and accommodation for the needs of agricultural and recreational vehicles
- Caltrans technical experts were heard!
City of Winters SR128 Complete Streets Project

Results

- Broad support from stakeholder groups, including property and business owners, and tribal representatives.
- Planning Commission voted unanimously to recommend adoption by City Council.
- Concept Plan will help attract development and make SR-128 a safer and more attractive gateway to the City.

In Summary . . .
Public Involvement should be:

- Strategic
- Inclusive
- Educational
- Measurable
- Multi-faceted
- Context Sensitive

Successful!

A Successful Public/Stakeholder Engagement Process Means...

- Community members understand and support plans, designs, policies, programs
- Decision makers move forward confidently
- Department enjoys constructive relationships with the community, agency partners and local staff and officials
- Mobility improvements enhance quality of life for Californians!
Questions and Discussion

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