



Public Participation Best Practices

February 2, 2011

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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)

Partnership Overview



- 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



Case Studies



Case Study: **Kroy Pathway Conceptual Improvement**

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 - Description



Kroy Pathway Conceptual Improvement



Outreach

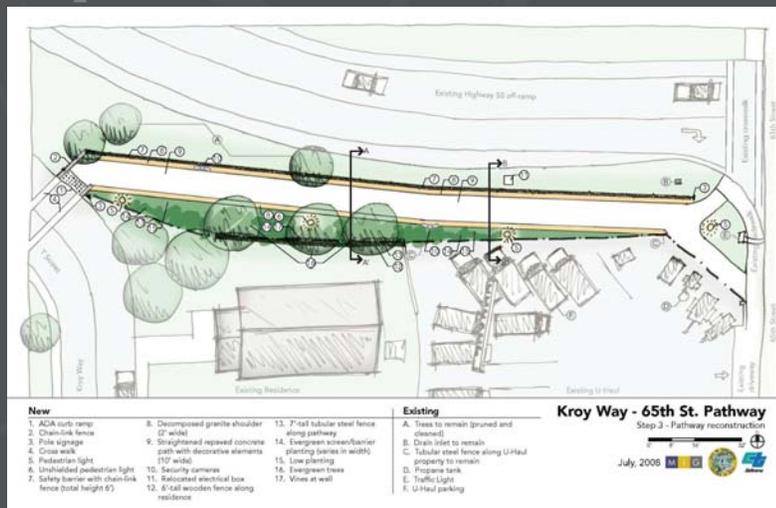
- Postcards
- Mailers to key stakeholders

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



Crenshaw Neighborhood Workshop



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



Crenshaw Neighborhood Workshop



Crenshaw Neighborhood Workshop



Outreach

- Email and phone invitations to a broad spectrum of key stakeholders



Engagement

- Transportation and housing-related discussion groups



Crenshaw Neighborhood Workshop



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



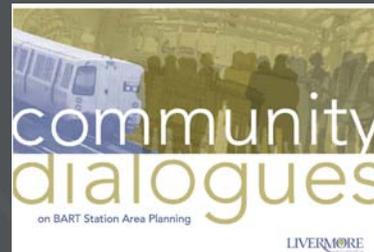
Case Study: BART to Livermore Community Workshops

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



BART to Livermore Community Workshops



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



BART to Livermore Community Workshops



LIVERMORE

Matching Station Types with Community Goals

Infill Station <i>Isabel/Stanley or Vasco Road</i>			Downtown Station			Freeway Intercept Station <i>Isabel / 580 or Greenville Road</i>			Community Goals <i>from General Plan</i>		
<ul style="list-style-type: none"> New (transformed) district development potential Moderate freeway access Mix of future pedestrian/bike/bus/ACE ridership and Park-and-Ride 			<ul style="list-style-type: none"> Infill site development/redevelopment potential, the most existing development Constrained freeway access Substantial pedestrian/bike/bus/ACE ridership potential, low Park-and-Ride potential 			<ul style="list-style-type: none"> Low development potential High freeway access Low pedestrian/bike/bus/ACE ridership, high Park-and-Ride potential 			<p>Circulation</p> <ol style="list-style-type: none"> Promote alternative transportation modes. Maintain relatively free-flowing traffic. Develop a Downtown circulation system that is pedestrian oriented and supports Downtown as a destination. Ensure a well-coordinated regional transportation system. <p>Land Use</p> <ol style="list-style-type: none"> Protect the unique qualities of Livermore. Provide areas for high-density mixed-use development near transit. Establish a coherent and logical pattern of urban uses that protects and enhances open space and agricultural uses. <p>Character</p> <ol style="list-style-type: none"> Maintain high standards of urban design in Livermore. <p>Economic Development</p> <ol style="list-style-type: none"> Maintain and expand a diverse economy to ensure economic vitality. <p>Noise</p> <ol style="list-style-type: none"> Minimize exposure to excessive noise. <p>Climate</p> <ol style="list-style-type: none"> Reduce greenhouse gas emissions. 		
Goal #	Match	Comments	Goal #	Match	Comments	Goal #	Match	Comments			
1	<input type="checkbox"/>		1	<input type="checkbox"/>		1	<input type="checkbox"/>				
2	<input type="checkbox"/>		2	<input type="checkbox"/>		2	<input type="checkbox"/>				
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BART to Livermore Community Workshops



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



BART to Livermore Community Workshops



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



SACOG Environmental Justice Focus Groups



Description:

Conducted 8 focus groups:

- 3 Low Income
- 2 Hispanic/ Latino in Spanish
- 1 Asian in Vietnamese/ Mandarin
- 1 Native American
- 1 African American



SACOG Environmental Justice 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



SACOG Environmental Justice Focus Groups



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



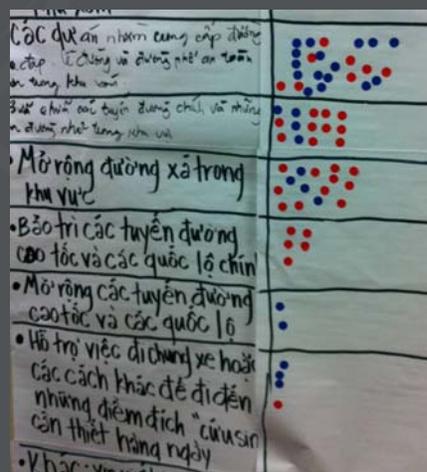
SACOG Environmental Justice Focus Groups



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

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



Paso Robles Gateway



SR 46 East Comprehensive Corridor Study



 Comprehensive Corridor Study Area



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



SR 46 East Comprehensive Corridor Study



Engagement

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



Steering Committee



Workshop



SR 46 East Comprehensive Corridor Study



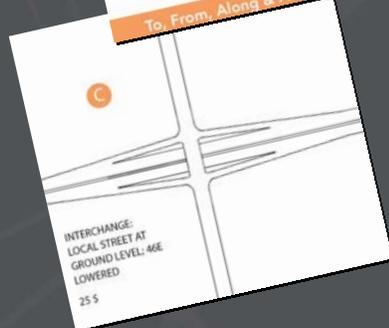
Improvement Options

TO, FROM, ALONG & ACROSS 46 EAST				
11	18	25\$	30\$	25\$
ALONG & ACROSS 46 EAST				
20\$	20\$	10\$	5\$	5\$
ALONG 46 EAST				
2.3\$	1\$			
AROUND 46 EAST				
1\$	1\$	1\$	1\$	



C
**INTERCHANGE:
 LOCAL STREET AT GROUND LEVEL;
 46E LOWERED**
 25 \$

To, From, Along & Across 46 East



F
**OVERCROSSING:
 LOCAL STREET AT GROUND LEVEL;
 46E LOWERED**
 20 \$

Across & Along 46 East



SR 46 East Comprehensive Corridor Study



Summary of Potential Local Road Connections Suggested at May 29, 2008 Workshop



- | | |
|--|--|
| A. Golden Hill Rd. to Dry Creek Rd., via bridge connection | F. Buena Vista Dr. to N. River Rd. |
| B. Buena Vista Dr. to Golden Hill Rd., extension | G. Mill Rd. to Union Rd. |
| C. Paso Robles Blvd. to Airport Rd., via bridge connection | H. Dallons Dr. to Wisteria Lane |
| D. Wisteria Lane to Airport Rd., via bridge connection | I. Dry Creek Rd. to Mill Rd. |
| E. Union Rd. extension to Dry Creek Rd., via bridge connection | J. Union Rd., extension to realigned Airport Rd. |

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**

**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



SR 99 Soundwall Community Safety and Enhancement Project



Description

- 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.



SR 99 Soundwall Community Safety and Enhancement Project



Community Concerns

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



california corridor mobility
Increasing Efficiency. Improving Mobility.

CALTRANS DISTRICTS: 1 2 3 4 5 6 7 8 9 10 11 12

HOME | OCCASIONS | CALTRANS | CONTACT US | LOGIN

CONTACT | CORRIDORS | LA 99 | SR 99 - HIGHWAY 99 SOUNDWALL COMMUNITY SAFETY AND ENHANCEMENT PROJECT

Highway 99 Soundwall Community Safety and Enhancement Project

Project Description and Benefits

The Highway 99 Soundwall Community Safety and Enhancement Project is an important step forward in Caltrans' efforts to improve community safety and aesthetics along the Highway 99 corridor in the Sacramento area between 12th Avenue and 47th Avenue.

Caltrans is proposing to sell the excess land situated between the soundwall and the adjacent property owners along the east side of the highway right-of-way. This will help alleviate criminal activity, improve public safety, and eliminate illegal trash dumping.

To accomplish this, Caltrans is working in partnership with the City of Sacramento and Sacramento County to effectively engage property owners. This will also benefit Caltrans by reducing demand on Caltrans maintenance crews.

Project Outreach

Community outreach for this project began in Fall 2009. Outreach has taken the form of door-to-door communications with property owners, regular communications via mail, and two community meetings. All outreach has taken place in English and Spanish, as needed.

Caltrans held **two community meetings** for this project. The first took place on **Monday, October 25, 2010** at the Fruitridge Community Center. The second meeting occurred on **Wednesday, January 26, 2011** at Pacific Elementary School. Meetings targeted the participation of property owners and residents in the project area.

- [Download the first meeting summary \(October 25, 2010\)](#)
- [Download the most recent meeting presentation \(January 26, 2011\)](#)

Related Library Folder

- Accession Letter to Landowners
- Calendar Aprobado
- Community Meeting Summary (October 25, 2010)
- El Proyecto para Comprar Propiedad Sujeta de las Fines
- Estimated Project Timeline
- Frequently Asked Questions
- Hoja para autorizar un representante
- Programa de Recuentos
- Project Area Map
- Representative Letter

Library Folder



SR 99 Soundwall Community Safety and Enhancement Project



SR 99 Soundwall Community Safety and Enhancement Project



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



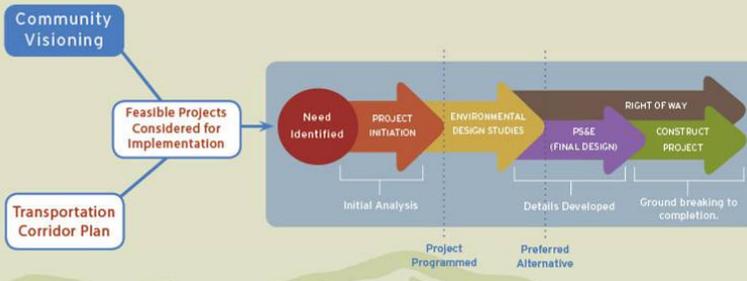
Chalfant Community Visioning



Chalfant Community Visioning Meeting



CALTRANS



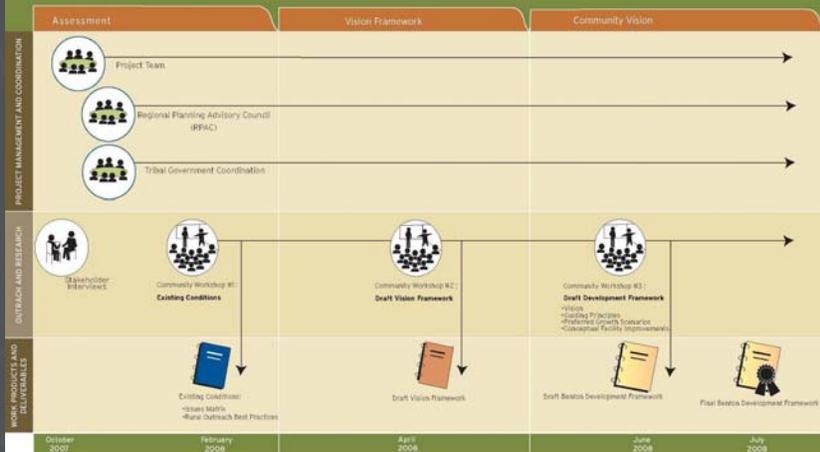
Interregional Traffic

Benton Community Visioning



Benton Community Visioning

December 2007



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

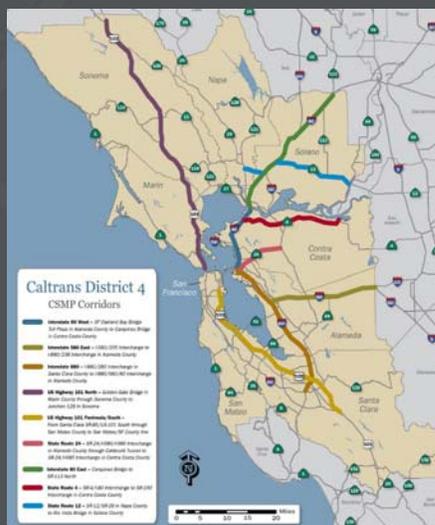
- Increase agency collaboration and information sharing in transportation planning documents
- Creating a planning document that supports a corridor-level focus and considers all transportation modes
- Optimizing and preserving infrastructure investment: a requirement for corridors associated with the 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!

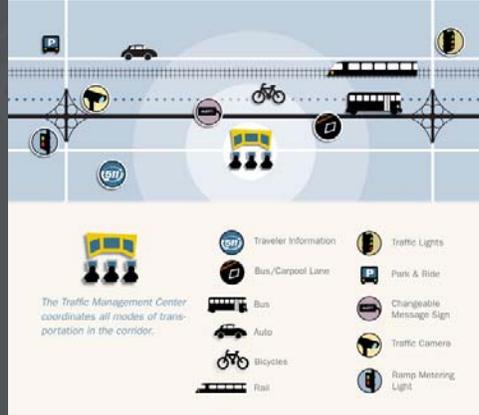


CSMPs



Transportation Issues

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



CSMPs



Outreach*

- Fact Sheets
- Brochures
- www.corridormobility.org

The image shows a screenshot of the California Corridor Mobility website. The website header includes the Caltrans logo and the text "california corridor mobility" with the tagline "Easing Congestion, Improving Mobility". Below the header is a map of California with numbered corridors. The main content area is titled "Corridor System Management Plans (CSMPs) Breaking Through the Gridlock" and includes a "Features" section with sub-sections like "July 2014 Meeting" and "Case for the August 14th Workshop". In the foreground, several fact sheet brochures are displayed, including one titled "Increasing Efficiency Improving Mobility" and another titled "Integrate the East CSMP: What Corridor with Intercorridor Agreements".

* 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



City of Winters SR128



City of Winters SR128 Complete Streets Project



A successful
Complete Street
combines...



City of Winters SR128 Complete Streets Project



A successful approach to
Complete Streets
combines...



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



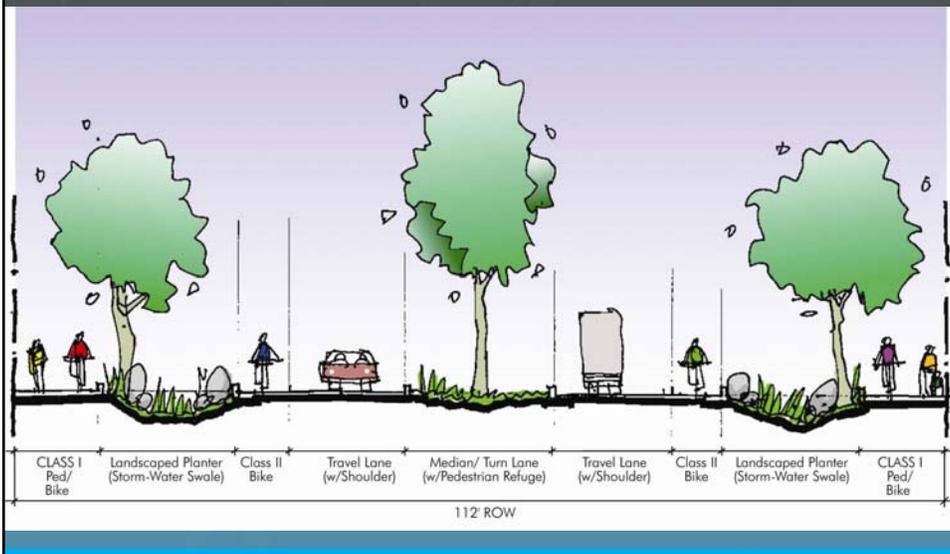
City of Winters SR128 Complete Streets Project



City of Winters SR128 Complete Streets Project



City of Winters SR128 Complete Streets Project



City of Winters SR128 Complete Streets Project



Current Conditions



City of Winters SR128 Complete Streets Project



With Existing General Plan



City of Winters SR128 Complete Streets Project



With Complete Streets Concepts



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:



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



Public Participation Best Practices

February 2, 2011

Carolyn Verheyen and Lou Hexter
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