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# Process Guide:

# California Water Plan Update 2013

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October 2015  
California Department of Water Resources  
Water Plan Facilitation Team



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## **Acronyms and Abbreviations Used in This Chapter**

CBC	California Biodiversity Council
CCST	California Council on Science and Technology
CCTAG	Climate Change Technical Advisory Group
CWEMF	California Water and Environmental Modeling Forum
DAC	disadvantaged community
DWR	California Department of Water Resources
eNews	California Water Plan eNews
FAN	Federal Advisory Network
IRWM	integrated regional water management
IWM	integrated water management
Public AC	Public Advisory Committee
RMS	resource management strategies
SASC	State Agency Steering Committee
SWAN	Statewide Water Analysis Network
Tribal AC	Tribal Advisory Committee
Update 2013	California Water Plan Update 2013
Water Plan	California Water Plan



# Process Guide: California Water Plan Update 2013

## Abstract

This article summarizes the elements of the *California Water Plan Update 2013* (Update 2013) process, highlighting the organizational structure and methods used to facilitate a robust, iterative collaboration among agencies, tribes, stakeholders and the technical team. The following sections describe:

- Context and background.
- Process design and collaboration framework.
- Venues for outreach, engagement, and collaboration.
- Lessons learned, tools, and best practices.
- Plan and process evaluation.

## Prologue — Water Needn't Be a Fighting Word

The phrase, “whiskey is for drinking and water is for fighting,” may well have originated in California. A common childhood game is word association. In the game one player utters a word and another player spontaneously responds. The game is often played for fun, used as a creative technique or as part of a psychiatric evaluation. In California, two words have become entwined: water and wars. Far from being a game, the association is so common it has its own Wikipedia page, [http://en.wikipedia.org/wiki/California\\_Water\\_Wars](http://en.wikipedia.org/wiki/California_Water_Wars). As impacts from actions taken decades ago become increasingly apparent and as water scarcity increases, conflicts have intensified and the courts are often the battlefield.

California doesn't have a shortage of water, water plans, or even funding, so much as a shortage of consensus on how to move forward. Waging (water) wars leads California down a path of reduced prosperity for current and future generations. The most effective way to solve California's growing water problems is through collaboration and cooperation, not the current model of competition and conflict.

Update 2013, prepared in the midst of many charged and contentious water debates, is being recognized as an exception to the chronic conflicts. It is a creative and safe forum for collaborative and cooperative water planning. Working within a robust consensus-seeking process, hundreds of stakeholder organizations representing thousands of people came together, rolled-up their sleeves, and developed a strategic roadmap for action that articulates findings and recommendations for more integrated and sustainable water management in California's diverse regions — for now and future generations.

This process guide describes the technically grounded, facilitated process used to prepare Update 2013. The California Water Plan (Water Plan) collaboration process continues to evolve from tools and techniques developed since Updates 2005 and 2009. An iterative collaboration among stakeholders and subject matter experts, Update 2013 was characterized by a willingness to listen to others, reconsider long-held positions, explore, innovate and learn together, identify common

interests, build durable relationships, and gain consensus. When consensus was not possible the parties agreed to respectfully disagree and move to common ground.

Another remarkable feature of Update 2013 was the extent to which stakeholders and experts co-created plan content. Working shoulder to shoulder, State, federal, tribal, and agency staffs, consultants and stakeholder volunteers contributed incalculable hours compiling and analyzing data and information, preparing interim drafts, offering original research, and reviewing the work of others. While the Water Plan is ultimately considered a product of the State's executive branch, it has become equally a product of the stakeholders.

Update 2013 delivers unique value by providing a comprehensive and collaborative approach to planning. Instead of being reactive once a crisis occurs, it proactively examines the underlying causes of (and solutions for) California's recurring acute water crises such as droughts, floods, and species/habitat declines. Although acute problems (i.e., water wars) must be a priority for water managers and decision-makers, perpetually reactive management is not a viable planning approach. Update 2013 is uniquely designed to put California on a path toward long term resiliency, water reliability, and natural resource sustainably

Given California's status as a global economic engine and the nation's number one agricultural state, water conflicts are more than local issues. Finding ways to work together to solve water problems and find multi-benefit solutions is a matter of national strategic importance. The stakes are high and the rewards great.

## Background

The Water Plan is prepared on behalf of State government and updated every five years by the California Department of Water Resources (DWR), with support from a State Agency Steering Committee (SASC) and input from multiple stakeholders including a legislatively mandated advisory committee. Its planning framework collaboratively develops findings and recommendations to guide informed decision making for California's water future. The goal is to produce a strategic water plan that meets California Water Code requirements (<http://www.waterplan.water.ca.gov/technical/waterplancode.cfm>), guides State investments in innovation and infrastructure, and advances integrated water management and sustainable outcomes. Beyond State government, elected officials, agencies, tribes, water and resource managers, businesses, academia, stakeholders, and the public are all key audiences.

Beginning in 1957, early Water Plan Updates were largely technical and focused on water supply development. Plans gradually became more comprehensive to address the state's growing conflicts over limited resources. Updates now present the status and trends of California's water-dependent natural resources; water supplies; and agricultural, urban, and environmental water demands for a range of plausible future scenarios. They also evaluate different combinations of regional and statewide resource management strategies (RMSs) to reduce water demand, increase water supply, improve flood management, improve water quality, enhance environmental and resource stewardship, and support cultural, recreational, and aesthetic uses of water. The evaluations and assessments performed for the updates help identify effective actions and policies

for meeting California's resource management objectives in the near term and for several decades to come.

Since 2000, an additional major goal for each update has been to receive broad input and support from Californians. Preparation of these new millennial Water Plan updates has been widely viewed as exceptionally transparent and collaborative, and routinely cited by other agencies and states as a model for policy planning efforts. The approach involves interest-based dialog and exchange among teams, committees, and the public to develop work products; multiple opportunities for review by different audiences; and integration and reconciliation of feedback from a variety of perspectives.

The process for developing each update includes a review of the previous version, and is framed by the project team with input/feedback from the SASC, advisory committees, and other stakeholder venues. An evaluation is made of topics that will need new technical work, unfinished business that remains from the last update, and the perceived strengths and weaknesses of the previous process.

This is coupled with the policy vision of the governor, an evaluation of what changes have occurred, a consideration what new knowledge or emerging trends should be included, and, beginning with Update 2013, an evaluation of the progress on implementing recommendations of the previous update. This information is then weighed against any planning constraints (budget, time, etc.). At that point an approach for planning and collaboration is crafted and presented for additional stakeholder input.

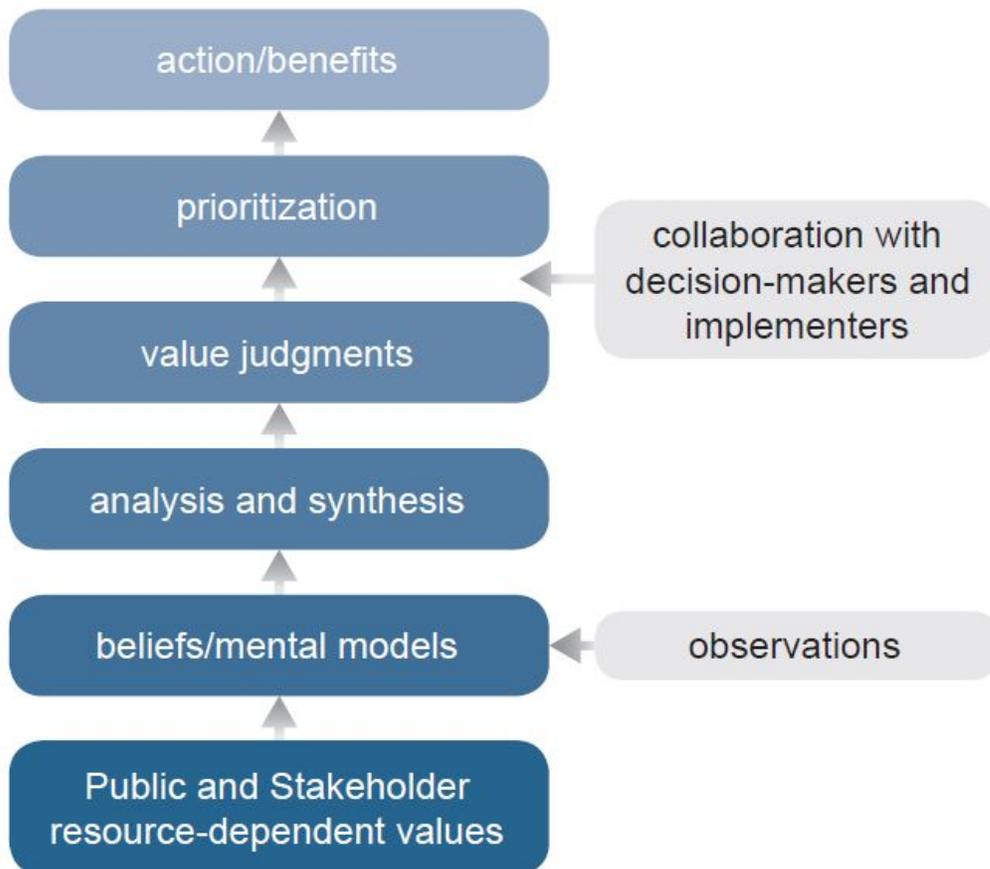
Update 2013 reflects this iterative approach and leverages the clear guidance Governor Edmund G. Brown Jr. forged with his *California Water Action Plan* ([http://resources.ca.gov/docs/california\\_water\\_action\\_plan/Final\\_California\\_Water\\_Action\\_Plan.pdf](http://resources.ca.gov/docs/california_water_action_plan/Final_California_Water_Action_Plan.pdf)). That five-year plan, released in January 2014, outlines a succinct set of actions that together bring reliability, restoration, and resilience to California water resources, even as the state's population is expected to grow from 38 million to 50 million by 2050.

Three related themes distinguish Update 2013 from Update 2009. The interim five years reinforced the value of integrated water management, and Update 2013 closely examined the practices and policies that allow water managers to combine flood management, environmental stewardship, and surface water and groundwater supply, and quality actions to deliver multiple benefits across a region. Fundamental to that integrated approach is better alignment in the management of data, planning, policy-making, and regulation across local, State, tribal, and federal governments.

## Process Design and Collaboration Approach

The fact that water managers, decision-makers, and stakeholders often operate from different beliefs, values, assumptions, and data sets complicates solutions and sometimes exacerbates California's water conflicts. Figure 1 illustrates the collaborative model for maximizing the productivity of collaboration used in Update 2013

**Figure 1 Water Plan Update 2013 Collaboration Approach**

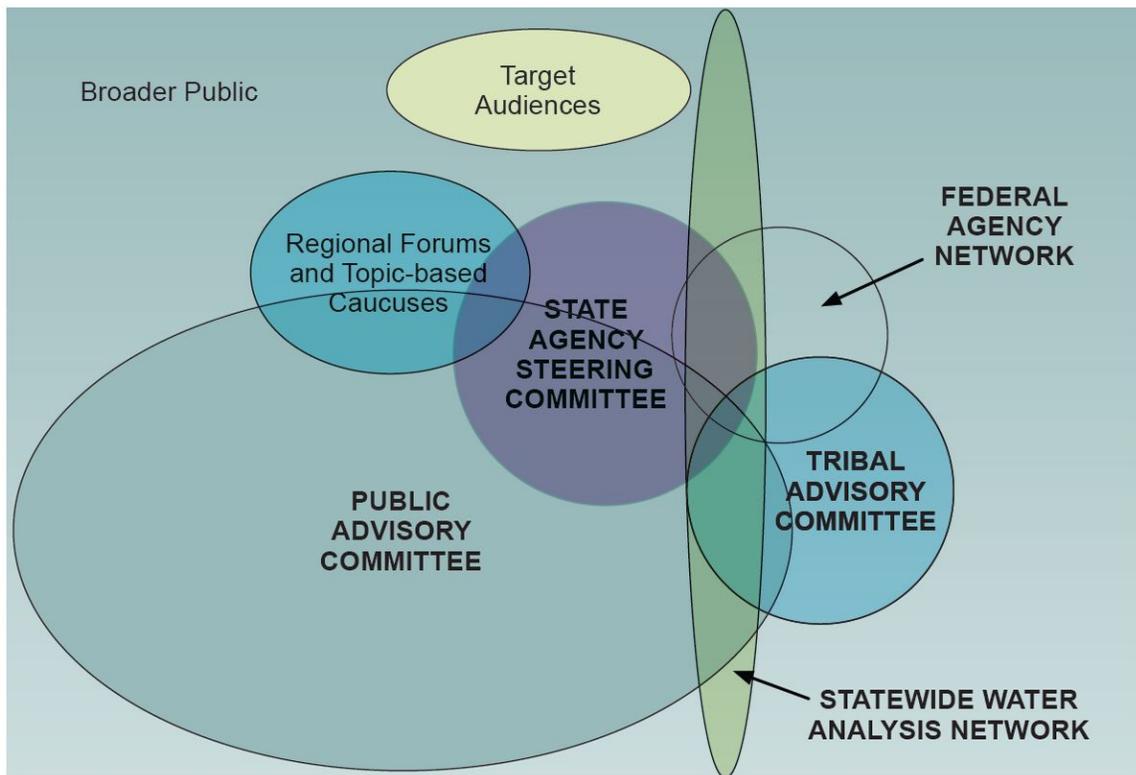


Production of the Water Plan and its diverse, complex elements requires extensive coordination and collaboration among multiple internal and external stakeholders and planning team members. Figure 2 and Table 1 provide an overview of all the collaboration venues. A description of each element of the organizational structure and collaborative approach used to meld the efforts of all the contributors to Update 2013 is provided in the following paragraphs.

**State Government’s Plan**

Consistent with legislative direction, DWR is responsible for producing updates to the Water Plan; but, multiple State agencies, departments, boards, and commissions maintain water management responsibilities. These entities may manage water-dependent activities, regulate water quality, provide emergency response, oversee health and safety concerns, and more. One challenge in creating a comprehensive State water plan is to incorporate the considerations of multiple agency missions, and the knowledge and skills of a wide range of technical disciplines. For Update 2013 this was accomplished by use of both specialized and interdisciplinary teams to prepare plan content, and by direct outreach and coordination with the other State agencies. A critical goal of the collaborative process was to facilitate alignment among all levels of State government.

**Figure 2 Update 2013 Venues for Outreach, Engagement and Collaboration**



### Stakeholder Structure

California’s water future is of national significance. With an economy larger than most nations and status as the number one agricultural state, a long list of people and entities claim a stake in its Water Plan. California Water Code Sections 10004-10013 require that the Water Plan involve an advisory committee comprised of multiple interests. In crafting this section of Water Code, the Legislature found that inclusion of multiple interests was essential to developing a successful plan.

The process for stakeholder engagement has evolved and reconfigured over time to meet planning needs. In addition to conforming to legislative requirements, Update 2013 stakeholder engagement goals were to increase the efficiency and effectiveness of regional input, to allow stakeholders to more directly engage with topics they were interested in, to continue with a robust public input process, and to better engage the federal government and tribes. An approach was also developed to continue interaction with technical advisory committees and other external experts.

Overarching objectives for the stakeholder engagement included:

- Ensuring process integrity and transparency.
- Providing efficient and effective delivery (using the best methods for the work required).
- Allowing stakeholders to engage at levels that best served their interests and need.

- Utilization of facilitation and outreach methods that minimized the cost and environmental impacts of travel.
- Leveraging new technology to increase collaboration.
- Respectful alignment between engagement, content development, and project management.

The Update 2013 collaborative structure was also designed to obtain the wide-ranging input and review necessary for completing several critical tasks.

1. Review and revise as needed the vision, mission, and goals of the Water Plan, and update its initiatives, recommendations, and implementation plan.
2. Complete the development of statewide water portfolios (including applied water use and dedicated and developed water supply) for water years 2006 through 2010.
3. Update the regional reports for the 10 hydrologic regions and the two special areas of interest — the Sacramento-San Joaquin River Delta and Mountain Counties. Add information on groundwater conditions, climate change adaptation and mitigation, and summaries of integrated regional water management (IRWM) planning efforts.
4. Update the RMSs with current research and information. Expand strategy narratives to include climate change mitigation and adaptation consideration. (Three new RMSs were added: “Outreach and Engagement,” “Sediment Management,” and “Water and Culture.”)
5. Develop multiple scenarios of future California water conditions (through the year 2050), conduct a vulnerability assessment, and use scenarios to evaluate the performance of different “response packages” (combinations of RMSs) for a range of demographic, land use, and climate change assumptions.
6. Refine climate change scenarios to evaluate impacts on California’s water resources and water systems.
7. Conduct pilot studies on modeling and evaluating regional adaptation strategies.
8. Develop a framework for long term financing and investment strategies.
9. Incorporate findings and recommendations from companion State government plans and the Tribal Water Summit.

## **Public Scoping Process**

The scoping process for Update 2013 built upon the closing evaluation conducted for the previous update (2009). The official public launch of Update 2013 was announced in the California Water Plan eNews (eNews), the weekly, single-page, electronic newsletter featuring Water Plan information, which at that time had more than 3,000 subscribers. (For more information on the eNews, see the subsequent section on Web-based communications.)

Interested parties were invited to a half-day public workshop on July 7, 2010. It began with a review of the work and approach for Update 2009 then continued with attendees discussing the proposed content and collaborative process for Update 2013, including a review of the collaboration venues in Figure 1. It concluded with an overview on the proposed method for convening the legislatively mandated Public Advisory Committee (Public AC). A separate scoping workshop was held on September 9, 2010, which addressed options for continuing to engage California Native American Tribes.

## Facilitation

As with the two previous updates, DWR employed impartial, third-party professional mediator-facilitators to assist in developing the Update 2013 process and to manage meetings. This ongoing practice reflects DWR's commitment to an inclusive and transparent process seeking input from broad and diverse stakeholder perspectives to produce a plan that meets California Water Code requirements, guides State investments in innovation and infrastructure, and advances integrated water management (IWM) and sustainable outcomes. The Water Plan's collaboration venues for outreach and engagement contributed to strong participant ownership of deliverables, efficient resource use, strengthened partnerships, and support for implementation. (Table 5 has meeting numbers and collaboration statistics by venue.)

The facilitators helped design the process to provide timely and meaningful participation by stakeholders, structuring individual meetings to fit within and advance the overarching Update 2013 framework for developing content, reports, and recommendations. During meetings, facilitators ensured that participants could express their interests, views, and opinions, regardless of whether they agreed with Water Plan staff or other participants. All ideas were valued. When a group needed to make a decision, the facilitators helped the group reach consensus, to the extent possible, on the issue at hand; and, when disagreements persisted, the facilitators captured the range of support and opposition for particular proposals. Facilitation team members also provided a record of the deliberations by creating meeting summaries.

## Venues for Outreach, Engagement and Collaboration

To achieve the goals and objectives, and properly support plan development, the facilitation team designed a layered collaboration approach that utilized multiple outreach venues and chartered groups as well as broader general communications. This approach allowed stakeholder engagement at different levels and times, and permitted stakeholder interaction based on his or her level of interest. The final outreach design was then reviewed by internal and external stakeholders prior to adoption.

Formally convened stakeholder groups were chartered and provided with an outline of work products they were responsible for producing and/or providing input to. All of the formally convened groups shared the same meeting ground rules and protocols, which facilitated interactions and meetings among them.

Figure 2 depicts the relationships and information exchange among the various stakeholder venues. Each of the collaboration venues had specific roles and assignments within the larger collaborative process. The size and placement of the various circles represent the relative relationships of the groups rather than group size. For example, the Public AC is designed as a representative group of the key stakeholders and broader public. The regional forums and topic caucuses also represented a broader pool of stakeholders but were confined by geography or topics to a subset of the Public AC. As another example, the SASC, while representing State government, often participated in deliberations with the Public AC and Tribal Advisory Committee (Tribal AC), as well as providing input to specific topics and technical issues as sister agencies. In some cases the agencies also participated at a regional scale as was the case with the

**Table 1 Update 2013 Collaboration Venues**

<b>Collaboration Venues</b>		
<b>Government</b>	<b>Advisory Committees</b>	<b>Regional Engagement</b>
<ul style="list-style-type: none"> <li>• Multi-agency Internal Work Teams</li> <li>• State Agency Steering Committee (SASC)<sup>1</sup></li> <li>• Tribal Advisory Committee<sup>1, 2</sup></li> <li>• Federal Agency Network (FAN)</li> </ul>	<ul style="list-style-type: none"> <li>• Public Advisory Committee<sup>1</sup></li> <li>• Tribal Advisory Committee<sup>2</sup></li> </ul>	Two rounds of regional forums (rotated among the 10 hydrologic regions), plus multiple design team meetings (stakeholders assisting with regional outreach)
<b>Annual Plenary</b>	<b>Briefings</b>	<b>Webathon</b>
Three, two-day meetings of composed of the public and participants in all of the other Venues	As needed, Web-based, focused briefings (typically 60-90 minutes) on select topics <sup>3</sup>	One, two-day Web-based meeting reviewing the 17 Update 2013 objectives and related actions in one hour increments.
<b>Technical Advisory Groups</b>	<b>Topic Based Caucuses<sup>1</sup></b>	<b>Workshops</b>
<ul style="list-style-type: none"> <li>• State Water Analysis Network (SWAN)<sup>1</sup></li> <li>• California Water and Environmental Modeling Forum (CWEMF)</li> <li>• Climate Change Advisory Group (CCTAG)<sup>1</sup></li> <li>• Sustainability Indicators Work Group</li> </ul>	<ul style="list-style-type: none"> <li>• Disadvantaged Community/Environmental Justice</li> <li>• Finance</li> <li>• Flood</li> <li>• Groundwater</li> <li>• Land Use</li> <li>• Water Quality</li> <li>• Water Technology</li> </ul>	<ul style="list-style-type: none"> <li>• Multiple Workshops on <i>new</i> Resource Management Strategies: <ul style="list-style-type: none"> <li>○ Outreach and Engagement</li> <li>○ Sediment Management</li> <li>○ Water and Culture</li> </ul> </li> <li>• Workshops on resource management strategies with substantial updates: <ul style="list-style-type: none"> <li>○ Agricultural water use efficiency</li> <li>○ Urban water use efficiency</li> <li>○ Desalination</li> <li>○ Salt and salinity management</li> </ul> </li> <li>• Other resource strategies were updated in public meetings and as needed by the topic caucuses</li> <li>• Highlights and graphics workshops (4)</li> <li>• Scenario workshops (4)</li> </ul>

Notes:

<sup>1</sup>Formally Chartered Group(s)

<sup>2</sup>Some Tribal Advisory Committee members represented sovereign nations.

<sup>3</sup>Briefings were generally not interactive but instead provided for time sensitive information sharing.

agencies charged with coastal protection or the Sierra Nevada Conservancy. At the same time each agency adhered to its individual mission.

DWR incorporated the input from the public scoping sessions and three weeks later posted background information and applications for anyone interested in participating in Update 2013 in the eNews. Readers were encouraged to submit their contact information and indicate their interest for involvement in the Public Advisory Committee, topic-based caucuses, and/or regional engagement. Information on these outreach venues was also distributed through several Water Plan email lists.

Multiple stakeholders applied for membership in the committees, caucus, and design teams. Final selections were made by DWR; but, whenever feasible, every attempt was made to provide an opportunity for participation in a group.

Table 1 provides an overview of all the collaboration venues. The collaboration venues are described in the following section.

## **Government**

### **Internal Project Team and Work Teams**

Staffing expertise from DWR was led, using a matrix management approach, by the Division of Statewide Integrated Water Management, and supported by multiple divisions and all four DWR Region Offices (Northern, North Central, South Central, and Southern). Selected staff from sister agencies and technical and facilitation consultants also served on the project team. This broad pool of nearly 400 team participants allowed the Water Plan to draw upon a wide range of scientific, technical, and administrative skills. The project team also included neutral, third-party facilitators who assisted in designing the public process, managing meetings, and helping different groups interact effectively. Facilitation services were provided by MWH Americas and the Center for Collaborative Policy, California State University, Sacramento.

A team structure, topic-specific work assignments, charters, and project management plans were crafted to support development of the Update 2013 content. The project management plans and charters were also made available to other agencies and the public. More about this process may be found on the work team web page,

<http://www.waterplan.water.ca.gov/cwpu2013/workteams/index.cfm>.

Each of the team leaders served on the project management team and attended regular project meetings to share information and coordinate activity.

### **State Agency Steering Committee**

The SASC was continued from Update 2009 to help coordinate the 28 State agencies, departments, boards, and commissions with responsibility or oversight for water programs or policies throughout California. Table 2 provides the roster for Update 2013 State Agency participants. The roster includes seven additional State entities (listed in italics) involved in the Water Plan Update for the first time.

**Table 2 Roster of State Agencies**

<b>Roster of State Agencies</b>	
Boating and Waterways	Department of Food and Agriculture
Business, Transportation and Housing	Governor’s Office of Planning and Research
Cal Fire — Dept. of Forestry and Fire Protection	Housing and Community Development
California Air Resources Board	Native American Heritage Commission
California Coastal Commission	Natural Resources Agency
California Emergency Management Agency	Ocean Protection Council
California Energy Commission	Department of Parks and Recreation
California Environmental Protection Agency	Department of Public Health
California Public Utilities Commission	Sierra Nevada Conservancy
California Water Commission	State Lands Commission
Caltrans — Dept. of Transportation	State Water Resources Control Board
Department of Conservation	Strategic Growth Council
Delta Stewardship Council	Toxic Substances Control Board
Department of Fish and Wildlife	Department of Water Resources

SASC members had authority to represent their agencies and provide policy input, oversight, and program management to Water Plan activities, as appropriate. Agencies also allocated staff and resources to various Water Plan efforts. As the committee chair, DWR provided executive sponsorship and arranged for facilitation services.

The SASC’s bi-monthly meetings fostered greater inter-agency awareness of programs, policy initiatives, and priorities; corresponding information exchange; discussion of common interests; and unprecedented coordination of agency efforts. In this way, the Water Plan is becoming a strategic water plan of the entire executive branch of California, and not just DWR.

A key activity of the SASC involved compiling relevant agency planning documents then analyzing areas of overlapping objectives and determining the potential for improved alignment. Update 2013 features 36 companion state plans in Volume 1, Chapter 4, “Strengthening Government Alignment.” A list of 190 State plans related to water is presented in the *The Reference Guide* (Volume 4, Background Section), including about 70 plans having a strong nexus with the Water Plan, and the 36 featured plans. Numerous SASC members and their staff participated in drafting and reviewing the Water Plan’s 30+ RMSs and twelve regional reports.

**Federal Agency Network**

The Water Plan also sought input and information from federal and other agencies regarding their policies and priority efforts. This dialogue helped guide the Water Plan development, leverage federal resources, develop new content areas (as was the case in Update 2009 with the “Forest Management” RMS), and advance common programmatic initiatives. Consulted federal agencies included:

- Army Corps of Engineers.
- Bureau of Indian Affairs.
- Bureau of Land Management.
- Bureau of Reclamation.

- Department of Defense.
- Environmental Protection Agency.
- Fish and Wildlife Service.
- Forest Service.
- Geological Survey.
- National Marine Fisheries Service.
- National Park Service.
- Natural Resource Conservation Service.

The initial concept for the Federal Advisory Network (FAN) had been to establish an online forum that would alert the agencies to new information and provide an opportunity for dialogue on topics of specific interest. While the concept was well received, some of the federal agencies had restrictions on internet usage that precluded participation. As a result, there was never sufficient participation for the forum to take root.

When it became clear this particular approach would not achieve the desired outcomes, the Water Plan Team changed course and engaged the agencies by direct invitation. The team also utilized meetings of the California Biodiversity Council (CBC), which includes 12 federal agencies, to receive federal input.

The CBC collaboration also became an essential element in advancing the development of Update 2013 efforts to improved interagency alignment and integration. A jointly sponsored two-day workshop was held October 25 and 26, 2012, with State, federal and regional representatives to create a vision for better alignment. The results are incorporated in Volume 1, Chapter 4, “Strengthening Government Alignment,” and Objective 16 and its related actions in Volume 1, Chapter 8, “Roadmap for Action.”

## **Advisory Committees**

### **Public Advisory Committee**

Created under California Water Code Sections 10004-10013 the Water Plan formally convenes an advisory committee comprised of multiple interests. Because the body is statutorily defined there are additional requirements for its convening under California’s Bagley-Keene Open Meeting Act set forth in Government Code sections 11120-111321. Generally, the act requires specified bodies to publicly notice their meetings, prepare agendas, accept public testimony, and conduct their meetings in public unless specifically authorized by the act to meet in closed session. All Water Plan meetings were open to the public and operated under the act, except for internal State government meetings and working groups, and some meetings of tribal representatives conducted as government-to-government discussions.

As described in the Scoping Process section, the kickoff for Update 2013 included an open invitation for interested parties to serve on the Public AC. Members were selected from the applications and included representatives from statewide organizations and communities of interest, including business\*, local government\*, environment\*, production agriculture\*, agricultural and urban water suppliers\*, tribes, water and energy consumers, public health,

recreation, flood and watershed management, land use planning, and environmental justice (\*categories required by the California Water Code).

The Public AC process sought to achieve consensus among committee members in its review and the guidance for Water Plan content. This included comment on draft concepts and documents, and the planning process, as well as their role in the process. In general, the Public AC focused on statewide policy issues and initiatives, while other groups dealt with regional concerns and in-depth technical deliberations. Public AC members participated in three Public AC meetings each year (11 total), supported by a neutral facilitator from MWH and the facilitation team. Public AC members also participated in annual two-day plenary sessions, and a two-day webinar (see “Update 2013 Objective/Action Web-a-thon” section) to finalize the objectives for Update 2013 (see subsequent sections that further describe these venues).

Key Public AC responsibilities for Update 2013 involved:

- Adoption of the Public AC Charter.
- Scoping enhancements for Water Plan content.
- Refinements to the *The Strategic Plan* objectives and related actions (Volume 1, Chapter 8).
- Participation in topic-based caucuses, regional engagement activities, and RMS workshops.
- Informing the progress report for Update 2009.
- Contributing to initial drafting and/or refinement of key Water Plan content relating to:
  - “California Water Today” (Volume 1, Chapter 3).
  - Companion State plans.
  - Scenarios and Water Plan response packages.
  - “Finance Planning Framework” (Volume 1, Chapter 7).
- Review and refinement of *Highlights* booklet.

Public AC members had a responsibility to brief their organizations and constituencies on Water Plan activities and, reciprocally, to relay any feedback, suggestions, or comments to DWR. As the Update 2013 drew to a close, the facilitators provided a survey opportunity to solicit feedback on the Public AC process, and suggestions for Update 2018. The last section of this process guide summarizes the findings and recommendations from the assessment.

### **Tribal Advisory Committee and Statewide Tribal Water Summit**

With Update 2013, DWR continued to strengthen its engagement with California Native American Tribes. Building on the recommendations of an Update 2009 Tribal Communication Committee, DWR convened for the first time a Tribal AC for Update 2013. Consistent with its approach for the public kickoff in scoping the overall content of Update 2013, the Water Plan sponsored a Tribal Engagement Scoping Workshop in September 2010. A few weeks later, a subsequent conference call further refined the proposal for engaging tribes and establishing the Tribal AC.

Formal letters of invitation were sent to all California Native American Tribes to select delegates to participate in the Tribal AC. The invitation was extended to all tribes on the contact list maintained by the California Native American Heritage Commission including federally

recognized and non-federally recognized tribes, tribes with allotment lands, and indigenous communities in Oregon, Nevada, and Arizona (some water bodies and tribal boundaries cross state boundaries). Informational and background materials were included in each invitation packet sent to tribal chairs.

For Update 2013, 34 tribes and three tribal non-profit organizations served on the Tribal AC. Members of the Tribal AC sat as formal representatives of their tribe or organization and were required to provide letters, or other credentials, validating that this role had been formally given by the body they represented. Non-profit organizational members were asked to produce evidence of incorporation and authorization from organizational officers. Because of the complexity of tribal governance structures and the importance of honoring appropriate intergovernmental protocol, these steps were implemented and enforced in respect of tribal sovereignty.

The Tribal AC also selected two of its members to serve on the Public AC. Tribal AC meetings were supported by a Native American facilitator from the Center of Collaborative Policy and DWR tribal liaisons. Tribal AC members participated in approximately three Tribal AC meetings each year (11 in total), which were held in Sacramento. Tribal AC members also participated in webinar briefings, the annual two-day plenary sessions, and a two-day webinar to finalize the objectives for Update 2013. Many Tribal AC members also participated in the Tribal Water Summit (subsequent sections further describe these collaboration venues). Further details about the Tribal AC are available online at <http://www.waterplan.water.ca.gov/tribal2/engagement/index.cfm>.

Key Tribal AC responsibilities for Update 2013 included:

- Adoption of the Tribal AC Charter.
- Refinements to *The Strategic Plan* objectives and related actions, with special attention to “Objective 12 — Strengthen Tribal/State Relations and Natural Resources Management,” (Volume 1, Chapter 8, “Roadmap for Action”).
- Participation in topic-based caucuses, regional engagement activities RMS workshops, and planning for the Statewide Tribal Water Summit.
- Informing the progress report for Update 2009.
- Contributing to initial drafting and/or refinement of tribal content areas relating to:
  - “California Water Today” (Volume 1, Chapter 3).
  - Regional reports (Volume 2).
  - *Californians without Safe Water and Sanitation* report (Volume 4).
  - “Water and Culture” RMS (Volume 3, Chapter 30 [new for Update 2013]).
  - Tribal-specific climate change vulnerability matrix.
- Review and refinement of *Highlights* booklet.

A capstone event for Update 2013 tribal engagement was the second two-day Statewide Tribal Water Summit, held in April 2013. The theme of the summit was “California Indigenous Rights, Uses and Management of Water and Land: Leveraging the Strengths and Resources of Tribal, State and Federal Agencies through Collaboration.”

Approximately 300 people attended the summit in Sacramento, including leaders and representatives from 53 California Native American Tribes, 11 tribal organizations, 20 State agencies, six federal agencies, and four academic/research programs. Participants shared information and developed recommendations relating to three themes:

- Tribal ecological knowledge.
- Indigenous rights to water.
- Water management and land use.

Separately, DWR also enhanced tribal engagement beyond the Water Plan efforts by, in March 2012, creating a tribal liaison and policy advisor. This work had previously been conducted by a government and community liaison. As with Update 2009, DWR's tribal liaison (and previous government and community liaison) presented at the annual U.S. Environmental Protection Agency's Region 10 Tribal Operating Committee Conference. Additional information can be found on the Tribal Policy Advisor web page at [www.water.ca.gov/tribal/contact.cfm](http://www.water.ca.gov/tribal/contact.cfm).

### **Regional Engagement: Design Teams and Forums**

In evaluating the results for regional outreach during Updates 2005 and 2009, the regional outreach team revised the approach for Update 2013. Team members consisted of the Water Plan project manager, regional leads from DWR's four region offices, regional report authors, and the regional facilitator. The goal of the Update 2013 approach was to create a regional forum for discussing water management programs and planning needs relevant for each hydrologic region, whether associated with local, State, tribal, or federal programs and efforts. These discussions were to contribute to:

- Enhanced descriptions of regionally specific water management and planning priorities, responses, and programs for the Update 2013 regional reports.
- Incorporated local data and information in regional documents and planning efforts.
- Greater emphasis on regional variability and the implications for State water resource policies and planning.
- Better understanding of local and regional information needs associated with shorter planning horizons, and specific planning and implementation efforts.

To support these outcomes, the initial concept for regional engagement proposed these elements:

1. For each hydrologic region, establish design teams comprised of local stakeholders to assist with developing agenda items for regional meetings (forums), and assist with regional outreach.
2. Conduct regional forums to engage diverse interests, groups, and individuals on local and regional conditions, perspectives, and solutions related to water management and planning.
3. Review and evaluate approach after each round of regional forums to retool, as appropriate.

The initial concept was presented at the regional approach kickoff meeting in February 2011. The kickoff meeting was held in Sacramento, and meeting attendees could also participate via the webinar option. The meeting provided an opportunity to scope and comment on the proposed changes to the content of the regional reports, as well as the regional approach. Participants

supported the regional concept and offered suggestions for improving and refining the approach. Subsequently, regional design teams were created for each of the Water Plan’s 10 hydrologic regions and two special study (overlay) areas (Sacramento-San Joaquin River Delta and Mountain Counties).

Each design team met, via a webinar, to develop a regional forum agenda customized to local needs. While each round of forums contained a few agenda items that remained constant, the meetings varied in length and content. Regional forum presentations included those on local efforts, as well as on statewide programs. Each meeting was held at a central location, along with other satellite locations throughout the region, and there was an option for webinar participation, making it easier to engage geographically dispersed stakeholders. Design team members assisted in providing or locating meeting space for the forums. The Water Plan held two rounds of regional forums, the first in late 2011/early 2012, and the second in the fall of 2013 (24 workshops in total). The presentations and discussions informed content for the respective regional reports and provided detailed input on place-based community issues, management strategies, accomplishments, and challenges, and suggested ways to improve the organization and presentation of information.

Regional content and engagement sessions were also part of the annual plenary meetings. Feedback on the regional approach was sought during the regional forums and the plenary sessions. A recap of the regional evaluation results is provided in the concluding section on “Process Design, Facilitation, and Evaluation.”

### **Technical Advisory Groups**

The Water Plan employs a rigorous technical public process to receive feedback on the appropriate application of available information and analytical tools used to guide water policy.

### **Statewide Water Analysis Network**

DWR convened a Statewide Water Analysis Network (SWAN) to assist with formulating recommendations on technical improvements needed to support Update 2013. SWAN is a volunteer collection of scientists and engineers that serves as a technical advisory group. It met on an as-needed basis (three times in total) during development of Update 2013 to:

- Inform the scope and priorities for technical work.
- Assist in the developing recommendations for presentation to Water Plan policy advisory committees.
- Review and refine modeling approaches related to:
  - Future scenarios.
  - Evaluation of RMS response packages.
  - Systems reoperations.
  - Vulnerability analysis for future water management systems performance.

This work is related to the content found in Update 2013, Volume 1, Chapter 5, “Managing an Uncertain Future,” and Chapter 6, “Integrated Data and Analysis: Informed and Transparent Decision-Making.” In addition to the summary provided here, other information can be found online at [www.waterplan.water.ca.gov/swan/](http://www.waterplan.water.ca.gov/swan/).

## **California Water and Environmental Modeling Forum**

In addition to SWAN, DWR continued its collaboration with the California Water and Environmental Modeling Forum (CWEMF), a non-profit, non-partisan organization whose mission is to increase the usefulness of models for analyzing California's water-related problems. Formed in 1994, it carries out its mission by:

- Facilitating an open exchange of information on California water issues.
- Resolving technical disagreements in a non-adversarial setting.
- Ensuring that technical work continues to take into account the needs of stakeholders and decision makers.

DWR utilized this symbiotic relationship to make presentations and receive input on Water Plan content at CWEMF's professional meetings and annual workshops. CWEMF and DWR also hosted a joint webinar to present the technical work of Update 2013, attended by more than 100 participants.

## **Climate Change Technical Advisory Group**

In March 2012, DWR convened a Climate Change Technical Advisory Group (CCTAG) to work with DWR staff on incorporating climate change into water resources planning and management, with a particular focus on climate adaptation and extreme events. The CCTAG advises DWR on the scientific aspects of climate change, its impacts on water resources, the use and creation of planning approaches and analytical tools, and the development of adaptation responses for California's water sector. The group met three times a year, with subgroups meeting monthly between the full CCTAG meetings. One of the subgroups focused on providing recommendations for climate scenarios appropriate for representing a reasonable variation of future climate conditions for use in Update 2013 (Volume 1, Chapter 5, "Managing an Uncertain Future"). Input from the CCTAG also informed climate change content contained in the regional reports (Volume 2) and in Volume 1, Chapter 3, "California Water Today." Additional details about CCTAG members and meeting dates and materials are online at [www.water.ca.gov/climatechange/cctag.cfm](http://www.water.ca.gov/climatechange/cctag.cfm).

## **Sustainability Indicators Work Group**

An additional collaboration was forged with the U.S. Environmental Protection Agency, the Pacific Institute, and the University of California, Davis, to develop a water sustainability framework and define sustainability metrics that could be applied at the scale of the Water Plan. The group defined 120 indicators which measure the sustainability of water use and aquatic systems, at both the state and regional scale. The analysis is organized according to five domains of metrics: water supply reliability, water quality, ecosystem health, adaptive and sustainable management, and social benefits and equity. Work group products were shared with the advisory committees and SASC for input and refinement. Details on the work team that led the effort are here: [http://www.waterplan.water.ca.gov/docs/cwpu2013/workteams/charters/sustainability\\_indicators-charter.pdf](http://www.waterplan.water.ca.gov/docs/cwpu2013/workteams/charters/sustainability_indicators-charter.pdf).

Technical documentation for the indicator evaluations is available in Volume 5, *Technical Guide*, and is also online at: <http://indicators.ucdavis.edu>.

## Topic-Based Caucuses

In addition to the advisory and technical committees, seven caucuses were formed to facilitate more intensive consideration of focused topics. The chairs of each caucus included at least one advisory committee or SASC member, but caucus membership was open to any individual with expertise in the designated topic. A brief description of each caucus is provided in the following paragraphs. Additional details about committee charters, members, meeting dates, and materials are available online at [www.waterplan.water.ca.gov/caucus/index.cfm](http://www.waterplan.water.ca.gov/caucus/index.cfm).

Caucus findings and recommendations were advanced to the advisory committees, the SASC and plenary sessions, which provided additional opportunities for public review and comment.

## Disadvantaged Communities/Environmental Justice

This caucus met as-needed (four times in total) to address challenges unique to the disadvantaged communities (DACs), as well as environmental justice, underserved, and severely underserved communities. The caucus was particularly interested in topics such as access to clean, safe water, water infrastructure, flooding, water costs, and access to financing, water treatment, and more.

Approximately 25 caucus members contributed to the following deliverables:

- Update of the objective “Ensure Equitable Distribution of Benefits,” and its related actions (Volume 1, Chapter 8, “Roadmap for Action”).
- Discussions of DAC/ environmental justice communities in each of the regional reports (Volume 2).
- Input to the progress report for Update 2009.
- Update of the report *Californians Without Safe Water and Sanitation* (Volume 4, *The Reference Guide*).

Working with the water quality work team, the caucus assisted with a major update of the *Californians Without Safe Water and Sanitation* report, working with members of State agencies, the Tribal AC, and the Disadvantaged Community/Environmental Justice Caucus. The report includes data from existing databases and recent reports to estimate the number of Californians without safe drinking water or adequate sanitation. The report notes the lack of information on drinking water quality for water systems with fewer than 15 connections, and the lack of information regarding performance of wastewater systems. The report discusses challenges faced by small communities, conditions for California’s Native American population, and progress and accomplishments made during the past 10 years. The document concludes with a recap of key findings and 10 recommendations to improve access to safe drinking water and adequate sanitation. The report is located in Volume 4.

## Finance Caucus

Throughout the Update 2005 and Update 2009 processes, stakeholders underscored the need for predictable and prioritized water investments and funding. Keeping these challenges in mind, Update 2013 convened a finance caucus to better understand fiscal conditions, investment needs, and potential improvements to funding streams and allocations. Comprised of 45 individuals representing a broad array of interests, the caucus met nine times to discuss issues, develop a coordinated IWM finance planning framework, and make recommendations.

The caucus soon found that many stakeholders were focused on problem-solving for individual goals and options for future financing. Immediately apparent was the need for a comprehensive approach to better understand the many complexities and nuances of past and current funding patterns, and the need to clarify expectations regarding the role of State government in supporting and administering water management investments.

Through extensive dialog and research, caucus members clarified terminology and, to the extent possible, described past and current expenditures, funding sources, and investment patterns. A major finding of this effort was that the silo'ed process used for water investments made it extremely difficult to describe past integrated water management investments for comprehensive planning purposes.

Ultimately, the caucus efforts yielded a comprehensive Finance Planning Framework (Framework) to inform investment conversations. The Framework identifies eight topics essential to statewide finance planning efforts for IWM.

1. IWM Scope and Outcomes: Clarifying the State's interests in supporting efforts that generate broad benefits in the areas of public safety, environmental stewardship, and economic stability.
2. IWM Activities: Defining the range of IWM activities associated with statewide benefits.
3. Existing Funding and Expenditures: Providing historical overview of local, State, and federal IWM expenditures.
4. Funding Reliability: Describing past and current IWM funding mechanisms and revenue sources.
5. State Government Role and Processes: Recapping State government obligations and commitments, which in turn inform the State's role in IWM.
6. Future IWM Costs: Anticipating total future IWM costs across California, at all levels.
7. Funding Who and How: Defining shared values and criteria for State investment and priorities.
8. Trade-offs: Outlining the need for a decision-support system to evaluate funding scenarios, including costs, benefits, and other impacts associated with potential projects.

The Finance Caucus completed the following tasks:

- Develop a Finance Planning Framework.
- Review and refine a new finance chapter, Finance Planning Framework (Volume 1, Chapter 7, "Finance Planning Framework").
- Review and refine the objective "Improve Integrated Water Management Finance Strategy and Investments" and its related actions (Volume 1, Chapter 8, "Roadmap for Action")

## **Flood Caucus**

The Flood Caucus, with approximately 50 members, was convened to assist the DWR Statewide Flood Management Planning Program. Discussions focused on integrated flood management

related to statewide and regional needs, opportunities, and challenges. Meeting as needed (eight times in total), caucus members were involved in these tasks:

- Review and refine the objective “Improve Flood Management Using an Integrated Water Management Approach” and its related actions (Volume 1, Chapter 8, “Roadmap for Action”).
- Update the integrated “Flood Management” RMS (Volume 3). Review and comment on initial drafts of the Flood Future Report a (Water Plan work product).
- Contribute to the progress report for Update 2009.
- Assist with development of flood-related content for the regional reports (Volume 2).

### **Groundwater Caucus**

During the Update 2005 and Update 2009 processes, stakeholders encouraged DWR to update Bulletin 118, *California’s Groundwater*, which was last revised in 2003. A better understanding of groundwater conditions was needed to inform water management options, strategies and decisions. Subsequently, the Update 2013 groundwater work team established the Groundwater Caucus, comprised of 63 members, to assist in enhancing the content for this topic. The most heavily attended caucus, members and up to 30 observers met six times to better describe groundwater conditions and management considerations at statewide and hydrologic region levels. Their charge was to:

- Review and refine the objective “Expand Conjunctive Management of Multiple Supplies” and its related actions (Volume 1, Chapter 8, “Roadmap for Action”).
- Update groundwater related RMSs, “Conjunctive Management and Groundwater”, “Groundwater/Aquifer Remediation” and “Recharge Are Protection” (Volume 3, *Resource Management Strategies*).
- Compile information from various sources to describe regional groundwater conditions and management activities, quantify annual change in groundwater storage, and identify data gaps.
- Develop case studies with detailed groundwater budgets for selected groundwater basins.
- Inventory and identify potential for conjunctive management.
- Select preliminary sustainability indicators for groundwater quantity and quality.

*California’s Groundwater Update 2013* is the result of this endeavor; it provides groundwater information for each of state’s 10 hydrologic regions. You can find the report online as part of Volume 4, <http://www.waterplan.water.ca.gov/topics/groundwater/index.cfm>.

### **Land Use Caucus**

The Land Use Caucus, comprised of about 35 members, met five times in person, in addition to working off-line to write or review draft text and make comments on progress. A major activity of the caucus was to review and provide input on a pilot project for a land use planning tool. In collaboration with Sonoma State University’s Center for Sustainable Communities the land use team sought to develop an integrated water and land smart planning tool. The resulting tool assesses land use patterns and quantifies long-term costs and consequences associated with water supply and quality, stormwater management, and energy use. The pilot project report, *Integrating Land and Water Management: A Suburban Case Study and User-Friendly, Locally Adaptable*

*Tool*, can be found in Volume 4,  
<http://www.waterplan.water.ca.gov/cwpu2013/final/vol4/index.cfm#LandUsePlanning>.

In addition to the pilot project, the caucus focused on the following activities:

- Update of the “Land Use Planning and Management” RMS.
- Review and refine the new objective “Strengthen Alignment of Land Use Planning and Integrated Water Management,” and its related actions.
- Contribute to the progress report for Update 2009.
- Assist with development of land use content for the regional reports (Volume 2).

## **Water Technology**

The Water Technology Caucus was co-chaired by a Public AC member from the California Water Institute at California State University, Fresno, and the Water Policy Program at University of California, Santa Barbara. About 25 members, including the executive director of the California Council on Science and Technology (CCST), comprised the caucus and committed to these tasks:

- Review and refine the objectives and related actions to “Improve Data, Analysis, and Decision-Support Tools,” and “Invest in Water Technology and Science.”
- Inventory existing and new/emerging technologies that inform water management; suggest technology priorities.
- Provide feedback on *Achieving a Sustainable California Water Future through Innovations in Science and Technology*, a report prepared by the CCST (April 2014).
- Conduct a series of three workshops to discuss and refine Water Plan technology priorities and create an inventory of practices in use now.
- Contribute to the progress report for Update 2009.

Understandably, much of this caucus’s work was conducted virtually, except for three public workshops (held in San Bernardino, Santa Clara, and Sacramento) that were co-chaired by the CCST.

## **Water Quality**

With 44 members, the Water Quality Caucus was co-chaired by three members of the Public AC and one member of the Tribal AC. The committee included regulators and the regulated community, the Surfrider Foundation, environmental justice interests, environmental health officers, and the academic community, among others. The group was charged with providing support in completing the following planning tasks:

- Summarize regional water quality conditions and issues, and provide recommendations.
- Update water quality related RMSs and include water quality benefits associated with implementation of each RMS.
- Update water quality related portions of Volume 1, *The Strategic Plan* — goals, objectives and related actions.
- Update and expand the 2005 report titled, *Californians Without Safe Water*, resulting in the report *Californians Without Safe Water and Sanitation* — prepared jointly with the DAC/Environmental Justice Caucus (Volume 4, *The Reference Guide*).
- Identify and inventory water quality facilities and monitoring/assessment databases.

- Create a water quality index for Update 2013.

### Resource Management Strategies Workshops

Continuing the practices of Updates 2005 and 2009, the Water Plan again sponsored a public process for developing and updating the RMSs. The following segment provides a recap of the outreach and engagement methods used for the 30 RMSs associated with Update 2013, three of which were added for Update 2013. Each RMS also was posted as part of the public review draft (PRD) of Update 2013, providing another opportunity for public review and comment.

### Resource Management Strategies (New Strategies)

For new RMS chapters, initial outlines were created with input from stakeholders and staff. The draft outlines were introduced, refined and finalized through a series of public workshops and at plenary sessions. The following briefly describes the development of each new strategy, as well as where each strategy can be found in the Water Plan.

- **“Outreach and Engagement”** (Volume 3, Chapter 29): Introduced as a new topic during the first Update 2013 plenary meeting, a small group provided initial input on the features of effective outreach and engagement efforts and the contributions provided by non-profit organizations, educators, and public relations activities. A mailing list of participants was developed and several online meetings were conducted as the group made particular suggestions on topics including public involvement, collaborative policymaking, and youth education.
- **“Sediment Management”** (Volume 3, Chapter 26): Defines sediment management and related activities, looking at challenges associated with either excessive or inadequate quantities of sediment within the watershed ecosystem. The strategy was challenging as it incorporated the full life cycle and system of sediment and transport.
  - The topic was first introduced at a Public AC meeting with a presentation from the federal assistant state soil scientist (Natural Resources Conservation Service), U.S. Forest Service, State Lands Commission, and State Water Boards. Based on input from the advisory committees that the topic should be included in Update 2013, a small group, including the original presenters, developed a scope of work. This scope was then expanded and modified by more than 56 volunteer contributors from multiple State, tribal, federal, local and regional agencies, as well as consulting firms and non-profit organizations.
    - The final strategy describes sediment processes, the historic context for sediment management, and the current regulatory and management framework for addressing sediment issues.
- **“Water and Culture”** (Volume 3, Chapter 30): Discusses the connections between water and communities, and the implications for water management and cultural resource management. Cultural relationships with water include settlement locations, economic activities, and social experiences (perceptions of individual or collective identity, connection to the natural world), which influence perceptions of water resources, conditions, and management options.
  - The concept for this RMS came from several sources. In particular, several members of the Tribal AC and the tribal advisor believed this chapter should assist

- in framing the importance of traditional ecological knowledge. A subgroup organized by the Tribal AC developed scope and text consistent with the direction.
- There was additional interest (and a sense of ownership) in this topic from Water Plan stakeholders interested in behavior, particularly as it relates to water use. Another group of stakeholders was interested in water as art and the use of water infrastructure in community building. An associated but different stakeholder perspective related to the history of water in shaping the settlement of the state and water infrastructure as historic artifacts. This encompassed gold rush activities, missions, farming, and more.
  - With such divergent perspectives, several small groups worked in parallel to develop concepts and text. The final RMS chapter is introductory and presented with the understanding this topic may be too broad for a single RMS.

### **Resource Management Strategies (Updates)**

- Six RMSs received substantial updates, with initial drafts developed by DWR and other State agency staff authors. The proposed revisions were refined and finalized in separate public workshops. The “Agricultural Water Use Efficiency” and “Urban Water Use Efficiency” RMSs were also informed by a separate process convened to address water conservation. The “Flood Management” and “Agricultural Land Stewardship” RMSs received input, respectively, from the Flood and Land Use caucuses. The two remaining RMSs — “Desalination (Brackish and Seawater),” and “Salt and Salinity Management,” relied on public workshops to update content.
- Five RMSs relating to water quality were reviewed and updated by members of the Water Quality Caucus and the Water Quality Work Team, prior to release in the PRD. The RMSs included “Drinking Water Treatment and Distribution,” “Groundwater/Aquifer Remediation,” “Matching Water Quality to Use,” “Pollution Prevention,” and “Urban Stormwater Runoff Management.”
- Three RMS revisions were informed by the work of the Groundwater Caucus and Groundwater Work Team, including “Groundwater/Aquifer Remediation” (mentioned in the immediately preceding item), “Conjunctive Management,” and “Recharge Area Protection.”
- The “Land Use Planning and Management” RMS was revised through discussions of the Land Use Caucus.
- The remaining 14 RMSs received minor updates prepared by State agency staff.

Each RMS workshop lasted for about three hours. During this time, the author(s) of a particular strategy met with interested experts and members of the public to review the draft text, listen to concerns and suggestions for improvement, and respond to questions. These public workshops provided an opportunity for focused, in-depth discussions about the technical foundations of different management actions, including the current status of implementation in the regions, potential benefits and costs, major issues of concern, and recommendations designed to overcome barriers and leverage opportunities for further development.

## Document Preparation Workshops

Because of the size and complexity of Update 2013, a series of workshops was conducted to get input on effective methods to present information. These workshops focused on graphics and the *Highlights* booklet content and layout.

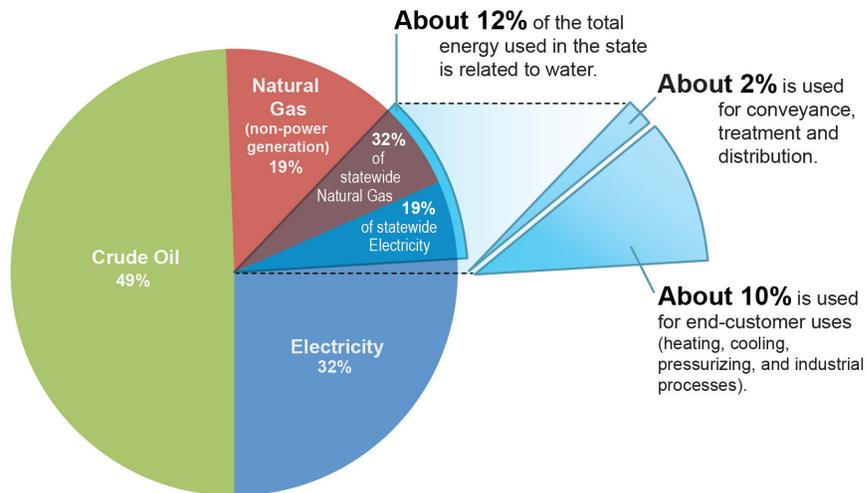
## Graphics Workshops

Graphics are a critical element of Update 2013. References to the Water Plan may include the graphics and little else. This creates a need for the information in the graphic to be both visually engaging and able to project cohesive, accurate messages.

Each workshop focused on identified themes. Figures 3 and 4 illustrate some of the graphics prepared for discussion in the Water and Energy Graphics Workshop.

These graphics help address some common misconceptions about water and energy. The first illustrates the source of consumption and the second shows the relative “energy intensity” associated with different types of water supplies. Both of these graphics are typical of the information that might be repurposed from the Water Plan without reference to the full text.

**Figure 3 Energy Use Related to Water**



**Figure 4 Energy Use by Water Supply**

Type of Water	Energy Intensity (  = 1-250 kWh/AF  = 251-500 kWh/AF)	Percent of Regional Water Supply*
Colorado (Project)		21%
Federal (Project)	 <250 kWh/AF	<1%
State (Project)		27%
Local (Project)	 <250 kWh/AF	4%
Local Imports	0*	5%
Groundwater		33%

\* Los Angeles Aqueduct is a net energy provider

Energy intensity (EI) in this figure is the estimated energy required for the extraction and conveyance of one acre-foot of water. These figures reflect only the amount of energy needed to move from a supply source to a centralized delivery location (not all the way to the point of use). Small light bulbs are for EI greater than zero, and less than 250 kilowatt hours per acre foot (kWh/AF). Large light bulbs represent 251-500 kWh/AF of water (e.g., four light bulbs indicate that the water source has EI between 1,501-2,000 kWh/AF). \*The percent of regional water supply may not add up to 100% because not all water types are shown in this figure. EI values of Desalinated and Recycled Water are covered in Resource Management Strategies, Volume 3. (For detailed descriptions of the methodology used to calculate EI in this figure, see Technical Guide, Volume 5).

### Highlights Workshops and Briefings

The *Highlights* booklet provides a high level overview of the Update 2013 content. While it focuses on the Volume 1, *The Strategic Plan*, it incorporates information for the remaining volumes and encourages the reader to continue to the full plan text on topics of interest. As the primary document used in communicating Update 2013, stakeholders were keen to ensure the core messages and information they value are properly emphasized. In addition to the many discussions of the *Highlights* with all the advisory bodies, a stand-alone briefing session was conducted to allow any interested stakeholder an opportunity for comment.

Additional briefings were conducted via webinar as intermittently and only as needed, when the team identified a need to share information in an accelerated timeframe. These were publically noticed sessions but not designed for public input. Instead they were one way communications prepared by staff.

### Update 2013 Objectives/Actions Web-a-thon

In a Water Plan “first,” Update 2013 conducted a two-day “Web-a-thon” to help finalize the 17 objectives and their related actions (recommendations) contained in The “Roadmap for Action” (Volume 1, Chapter 8). Held on June 13 and 14, 2013, the Web-a-thon promoted statewide, Web-

based participation while providing an option for in-person participation in Sacramento. The agenda allocated an hour for each objective, with sessions running from 9 a.m. to 4 p.m. Evening sessions on June 13 were scheduled from 4 p.m. to 8 p.m., encouraging participation on discussions of objectives related to community and public interests.

Aside from a few technical difficulties, the Web-a-thon sessions were well-received. Participants appreciated that they could join the Web-a-thon on topics of interest. They were able to contribute without dedicating a one- or two-day block of time, and without having to travel. The hour-long time slots also contributed to highly focused discussions, with a strong incentive to find agreement before the session concluded. For some objectives, one or more stakeholders would take a few minutes to help craft language that would be acceptable to all participants. The contributions received during the Web-a-thon allowed the Water Plan work teams to turn their attention to drafting the related actions that supported each objective.

### **Annual Plenary Meeting**

Update 2013 continued the Water Plan Plenary Meeting established for the previous update (2009). The annual two-day event provided an opportunity for participants from the many Water Plan venues and the public to learn about the work happening in parallel collaboration venues, see how their own efforts contributed to the larger Update 2013 framework, and coordinate upcoming activities. The plenary meeting, which included general and concurrent breakout sessions, also allowed participants with different backgrounds and roles in the process to meet one another, increase their understanding of Water Plan issues and one others' interests, and develop a shared sense of responsibility for the outcomes of Update 2013.

- The 2011 plenary meeting introduced information about new or enhanced areas of content for the Water Plan, including the three new RMSs, Near-Coastal Resources, Finance Planning Framework, Groundwater Conditions, Modeling Tools and Approaches for the Central Valley, and Climate Change. Participants also learned about the multiple venues for engaging with Water Plan content, including topic-based caucuses, regional activities, and the new Tribal AC.
- The 2012 plenary meeting was dedicated to updates on the previous year's efforts regarding new or enhanced content. During the sessions, staff sought comments and suggestions for improvements and refinements, along with possible direction for future work.
- The concluding 2013 plenary meeting previewed draft work products and text. Dedicated sessions provided opportunities for public comment on different chapters of the PRD of Update 2013. Participants also discussed concepts for the *Highlights* booklet. The plenary meeting concluded with an initial discussion about Update 2018 activities in the context of Water Plan budget reductions.

### **Web-Based Communications**

A demanding schedule for multiple content deliverables, combined with extensive venues for outreach and engagement, requires timely and efficient communication strategies. Update 2013 employed the Water Plan's web portal to publicize a meeting calendar, announce opportunities for review and other key activities, post meeting materials, and archive data, information and documents. Staff maintained dedicated list serves (electronic mailing lists managed through

computer software) for the Public AC, Tribal AC, steering committee, and topic-based caucuses, with voluntary list serves for regional audiences and participants. List serves helped to disseminate meeting announcements and materials, and remind people of opportunities to comment on draft text.

Update 2009 also introduced the weekly *California Water Plan eNews* electronic newsletter, which now includes more than 5,100 subscribers. This innovative, one-page electronic newsletter provided brief descriptions of Water Plan events and related items, and links for further information. An archive of all issues is maintained on the Water Plan website, <http://www.waterplan.water.ca.gov/enews/index.cfm>.

Options for Web-based meeting participation were used to support virtual engagement. The results were mixed because of technology challenges associated with internet access and quality of phone lines and audio reception. These factors were more pronounced for regional activities, which often took place in remote locations. With many participants facing budget and time constraints, efforts will continue to improve options for Web-supported meetings.

### Other Outreach

Table 3 provides a summary of outreach conducted in addition to formal collaborative processes.

**Table 3 Summary of Other Outreach**

Other Outreach	
<b>Written Comments</b>	In addition to the multiple opportunities for public participation, stakeholders were invited to submit written comments. During the course of the multi-year process and in response to thousands of pages of text, 112 written comments were provided. An additional seven comments from the plenary sessions were recorded in lieu of stakeholders providing written comment. Each comment was logged and made available for review at <a href="http://www.waterplan.water.ca.gov/comments/update2013/index.cfm">http://www.waterplan.water.ca.gov/comments/update2013/index.cfm</a> .
<b>California Water Plan eNews</b>	A one-page weekly newsletter with more than 5,000 email subscribers, eNews provides stakeholders with up-to-date information on meetings and related reports and information.
<b>Weekly Splash</b>	Weekly Splash is an eNews feature that provides brief (1-2 page) overviews of key Water Plan information. Each Splash is designed as a “pull-out” that can be used as a stand-alone informational flyer.
<b>Conferences</b>	The Water Plan Team actively engaged in a strategy to present Water Plan information at professional and other conferences where audiences included known or potential Water Plan stakeholders.
<b>Speakers Bureau</b>	The Water Plan Team developed standardized presentations for use by staff in fulfilling speaking requests from agencies, organizations, and associations.
<b>Stakeholder Hosted Venues</b>	The Water Plan Team, worked with stakeholders to encourage them to host their own internal and external outreach using Water Plan content. Presentation templates were available for use by stakeholders.

## Collaboration Tool Kit: Communication, Transparency, Access, Collaboration, and Alignment

After holding numerous listening sessions in 1999 to hear concerns about *California Water Plan Update 1998*, and several scoping session during 2000 to help frame the next update, DWR executives committed to significant changes to the content of the Water Plan and the public engagement process to develop the plan. Here is how this new commitment was described in the introductory chapter of Update 2005.

“In preparing this update [2005], DWR sought the participation of California’s water communities, responded to new State laws, and developed a new framework to planning California’s water future. The result of this new and expanded public process is a water plan that includes the very best ideas for meeting our water challenges...”

“This new process is one of the significant accomplishments of this water plan. The principles of a fair, open, and transparent process should serve as the cornerstone for future updates because they (1) considerably expand public involvement and access to the State’s water planning process; (2) seek collaborative recommendations that are stronger, have greater longevity, and are more likely to be adopted by the Governor’s Office, Legislature, State, federal, and local agencies and governments, and resource managers; and (3) produce a strategic plan with a vision, mission, goals, recommendations, and implementation plan.”

Since 2000, DWR has developed a number of collaboration tools summarized in Table 4 to accomplish several engagement outcomes — improve communication; transparency; access to communities of interest, communities of place, Tribal governments and communities, and the technical community and subject matter experts; broaden public participation; improve collaboration; improve agency alignment; and track progress. These tools are described in greater detail in earlier sections of this process guide, and the process guides for Updates 2005 and 2009 (Volume 4, *The Reference Guide* for each update).

**Table 4 Collaboration Tool Kit**

Desired Outcome	Collaboration Tools and Venues Used in Updates 2005, 2009, and 2013
<b>Improve Communication</b>	e-Government technology Surveys and assessments Organizational briefings Open stakeholder/public meetings Water Plan eNews (5,180 subscribers) — Updates 2009 and 2013 Rollout communication plan — Update 2013
<b>Improve Transparency</b>	Process diagrams and documentation Assumptions and estimates report Volume 5, <i>Technical Guide</i> Post interim and final data and documents on website Post public comments on website
<b>Improve Access to Communities of Interest</b>	Public Advisory Committee Topic-based caucuses— Update 2013

<b>Desired Outcome</b>	<b>Collaboration Tools and Venues Used in Updates 2005, 2009, and 2013</b>
<b>Improve Access to Communities of Place</b>	Public Advisory Committee Annual regional workshops and all-regions forum — Update 2009 Multiple regional forums (multi-purpose) — Update 2013
<b>Improve Access to Tribal Governments and Communities</b>	Public Advisory Committee Tribal Communication Committee — Update 2009 Tribal Water Summit — Updates 2009 and 2013 Tribal Advisory Committee — Update 2013
<b>Improve Access to Technical Community and Subject Matter Experts</b>	Public Advisory Committee Resource management strategy (RMS) authors Statewide Water Analysis Network (SWAN) — Updates 2009 and 2013 Climate Change Technical Advisory Group (CCTAG) — Updates 2009 and 2013 California Water and Environmental Modeling Forum (CWEMF) — Updates 2009 and 2013 Shared Vision Planning — Updates 2013
<b>Broaden Public Participation</b>	Extended Review Forum Topic specific workshops and webinars Annual plenary meetings — Updates 2009 and 2013 Web-a-thon — Update 2013
<b>Improve Collaboration</b>	Neutral facilitation and facilitation team Joint problem solving Consensus-seeking Collaborative solutions and recommendations Synchronize content with public outreach process
<b>Improve Agency Alignment</b>	Resource management strategy authors from multiple agencies State Agency Steering Committee — Updates 2009 and 2013 Companion state plans — Update 2009 and 2013 Federal agency network — Update 2013 Companion federal plans — Update 2013 Workshop on regulatory alignment — Update 2013
<b>Track Progress</b>	Stakeholder assessments Press coverage and positive feedback Water Plan cited and strategies in legislation Collaboration statistics Progress report — (evaluating Update 2009) Sustainability indicators — Update 2013 Finance metrics — Update 2013

## Lessons Learned and Best Practices

Over the years the Water Plan Team has gathered a number of lessons learned and best practices. Lessons learned are exactly that. Many things were been learned from trying different methods and approaches. In the process the team identified what worked and didn't work then deconstructed the reasons why. Understanding the why allows the lessons to be applied in the future as well as in other planning processes.

Best practices are technique based. For example, there are many ways joining together a piece of wood (glue, screw, nail, etc.). In many cases, best practices are extrapolated from lessons learned. A review of the 2005, 2009 and now 2013 process guides show an evolution of collaboration approaches married to the unique needs of each Water Plan Update and the ripe issues of the time.

Following is a practitioner's summation of core learnings from Update 2013 and earlier processes. It also lists some best practices and practical tips for use by others embarking on similar collaborative planning endeavors. The list may be useful to other agencies (looking for advice), practitioners (looking for tools), and the public (looking to validate or recommend methods). The list is far from all-inclusive. Instead it represents 20 issues called out by the team members that tended to occur regularly, or for which a misstep caused disruptions.

1. Stay Clear on the Goal and the Role.
2. It's All About Time.
  - a. Doing Outreach and Engagement Work up Front Saves Time in the Long Run.
  - b. Don't Underestimate How Much Time it Takes to Work with Others or Prepare for Meetings.
3. Rethink Effective and Efficient.
4. Less is More, Don't Overestimate how much can be Covered in any Particular Session.
5. It Doesn't have to be Done in a Meeting.
6. Stakeholder Diversity is Wonderful, Necessary and Adds Time to a Process.
7. Vocabulary Matters, Technical Terms are not Jargon. Resolve Definitional Conflicts.
8. Agreement Cannot be Assumed.
9. Continually Confirm and Affirm Progress.
10. Internal Audiences are Stakeholders Too.
11. There is a Difference Between Hearing, Understanding, and Agreeing.
12. Chunk it Out.
13. Take Credit for the Work.
14. Marketing, Marketing, Marketing.
15. Use the Right Tool.
16. Leverage Technology.
17. Experiment but Use a Safety Net.
18. When in Doubt — Ask.
19. Ask About and Plan for Reasonable Accommodations.
20. Create a PowerPoint Standard.

## **Discussion of 20 Best Practices and Lessons Learned**

### **1. Stay Clear on the Goal and the Role**

In the collaborative work of the Water Plan, the facilitator's job was to facilitate the work of the group. The leader's job was to guide the development of the content and the group's role was to offer constructive input and co-create concepts that advanced the California's water planning. With a process as lengthy and involving so many stakeholders, it was critical to constantly define and return to the roles and goals for every interaction. For every meeting, construction of the meeting goals and linking goals to meeting content and decisions was an essential planning function. Another constant question related to how each party would fulfill its role and whether the work was structured to facilitate that the needed outcome. Role and goal clarity are also proven conflict reduction tools.

Maintaining role and goal clarity was critical to the integrity of the process and saved time by not diverting the groups in unproductive explorations.

## **2. It's All About Time**

Even while Water Plan Updates are prepared in five-year cycles, time is always an issue for both the staff and stakeholders. There is never enough time, and whatever is used must be managed as effectively and efficiently as possible. The two following elements are some of the team's insights about time.

### *a. Doing Outreach and Engagement Work up Front Saves Time in the Long Run*

While many groups prefer to jump directly to problem solving, up front work saves time in the long run. In the Water Plan, this meant conducting situation assessments and taking time for an education process to ensure that everyone had adequate information and was able to use common terminology. It also meant properly preparing for every stakeholder interaction.

### *b. Don't Underestimate How Much Time it Takes to Work with Others or Prepare for Meetings*

Doing the work up front, and preparation in advance, will save time in the long run, but the amount of work involved to do so will be longer than working in traditional ways. For that reason this time should be planned for and budgeted.

In Update 2013, prior to every meeting, a great deal of thought was given to the way agendas were structured and to what extent sufficient content was available to ensure a productive discussion. For high priority or very large group meetings, Water Plan presenters were required to work with the facilitators to dry run presentations.

Meeting pre-work focused on making sure that the valuable time of stakeholders was used to the best advantage by ensuring the clarity of information, by establishing clear goals and objectives for each meeting and each agenda item, and by structuring interactions in ways that advanced group learning.

## **3. Rethink Effective and Efficient**

While always seeking effectiveness and efficiency is a goal, the Water Plan Team learned that the definitions of effective and efficient were not always the same among stakeholders.

In some cases, taking time to allow for relationship building and social interaction was the key to eventual breakthrough thinking and conflict resolution. This meant working hard to have people eat together, giving sufficient time on breaks, and creating other opportunities for interaction when it may have been possible to conduct the same work using a different method that took less time.

## **4. Less is More, Don't Overestimate how much can be Covered in any Particular Session**

A corollary to Lesson 2 — It's All About Time. A constant lesson was that meeting agendas were too full. This sometimes meant it was not possible to spend sufficient time on a topic. Given the precious time of staff and stakeholders, the leaders and facilitators would often be over optimistic about how quickly material could be covered or decisions made.

A high degree of discipline was needed to limit what could go onto any particular meeting agenda. This sometimes meant down scoping a workplan.

Another factor was simple fatigue. Most people do not spend every day in meetings, making a constant stream of suggestions or decisions. At a certain point, unless agendas were carefully structured, a group, even a highly functioning one, lost effectiveness. Participants needed time to reflect on what they had heard or consult with others before making a decision or providing advice. A test for each agenda became:

- What does the Water Plan Team need from this agenda item?
- Will the meeting participants have all the tools, information, and inclination to do what is being asked of them?

### **5. It Doesn't have to be Done in the Meeting**

Given the time constraints, the team learned early in the process that not everything has to be done in a meeting. Information can be shared in a variety of ways and work can occur outside of a meeting process. For the Water Plan, this included orientation sessions, pre-work and homework, surveys, and webinar briefings, among other things. Single topic, 60 minute briefing webinars were highly effective for information sharing. For extremely important issues the same webinar was given twice (different days and times) to facilitate participation, and recorded for later review.

### **6. Stakeholder Diversity is Wonderful, Necessary, and Adds Time to a Process**

Diversity includes professional disciplines, social, cultural and organizational perspectives, and personal characteristics (ethnicity, gender, etc.).

The key to success of the Water Plan has been broad-based relationship building and consensus seeking. Diversity creates a wide base of support and, equally important, improved work products by drawing on multiple perspectives, tools, and skills. At the same, when there is group diversity, there are accompanying multiple disciplines, experiences, and interests. These differences result in an array of vocabularies and problem solving paradigms. Creating shared meaning and knowledge base requires a lot of work and time.

One key was to consistently acknowledge that definitions (the words people use), views about the future, and problem solving frameworks, were derived from a community of work and a range of world views. Deliberations were occurring within a system of systems, rather than a single decision framework. Definitions and perspectives and the context in which they were formed, needed to be reconciled.

### **7. Vocabulary Matters, Technical Terms are not Jargon. Resolve Definitional Conflicts**

Discussions about water management include the use of technical terms. It is important to differentiate between technical terms and jargon. Jargon is often shorthand used by members of a specific community and can exclude meaningful participation by others. Conversely a technical

term conveys specific meaning and context that conversational vocabulary cannot precisely project.

In the Water Plan Updates, the default was to use conversational vocabulary when possible. Even when a technical term or definition was needed, its use was not always consistent among the disciplines. Creating agreement on terms and how to manage technical terms with multiple meanings was essential.

A critical tool for the Water Plan was the glossary.

## **8. Agreement Cannot be Assumed**

A continuous lesson was that even when people agree, they may not. Several factors contribute to this including some of the definitional items described in Lesson 7.

Another cause of this can be weariness. During very difficult discussions, some groups would occasionally extrapolate a perceived sliver of agreement to broad agreement. The idea of ending a difficult discussion was so attractive that the group was willing to settle with details to be resolved later. This shortcut never worked and eventually prolonged proceedings as people circled back over covered ground.

Similarly, silence is not consent unless there is an overt evaluation of why there is no dissent. Silence may mean the participant is too embarrassed to ask, that the power dynamics of the group are overwhelming, or that the participant simply does not have authority or expertise for a decision of that type.

The key to addressing this was forcing the group to individually revisit and affirm their areas of agreement. This was not always well received in the moment but elevated the issue and led to better results.

## **9. Continually Confirm and Affirm Progress**

The process of creating fundamental change and breakthrough thinking is hard work and often messy. It is common for groups (and individuals) to become frustrated and want to retreat.

Throughout the Water Plan process, the leaders and facilitators learned the importance of pointing out that progress was made even when it appeared there has been a setback. Using the Thomas A. Edison philosophy, "I have not failed. I've just found 10,000 ways that won't work," the team consistently validated what had occurred and seized on victories wherever they could be found.

As an example, for Update 2013 the Water Plan Finance Caucus was asked to develop a new construct for the way State investment in water planning and infrastructure should occur. Very early in the process it was clear that nearly every stakeholder had a significantly different understanding of the problem and context. As a result, they often would use the same words but be discussing different topics. This, in turn, created conflict. Significant work was needed to create a common vocabulary and definitions to advance discussion.

During the second meeting, and after some struggles, two of the participants respectfully argued about some decision criteria. After hearing the arguments, the facilitator paused the discussion to point out that it was the first time in two meetings that the participants were actually disagreeing about the same topic. This meant the group was making progress, and with this observation, the participants broke into applause.

## **10. Remember the Internal Stakeholders**

The Water Plan Updates are produced by an organization proudly known for ensuring dam safety, overseeing flood protection, and managing one of the largest water conveyance systems in the world. With these many responsibilities, the strategic planning work of the Water Plan has sometimes seemed ambiguous, and outside of organizational norms, when coupled with the added focus of stakeholder engagement. Where the idea of experimentation and soliciting the advice of non-experts is perfectly reasonable in a planning process, it is unthinkable in situations where a wrong step can create literal disaster.

During the Water Plan Update processes for 2005, 2009, and 2013, the Water Plan Team placed a great deal of focus on external stakeholders. This sometimes resulted in internal stakeholders perceiving that their views were not always given appropriate standing and caused some to question the planning process. In other cases, there was frustration about being asked to redo work that was technically sound but required reframing for a diverse audience. When these situations occurred, it was important to acknowledge the reasons and honor the quality of work that preceded it.

Additionally, DWR is a large organization and many internal stakeholders (staff) knew little about the Water Plan Update process or content, especially if they did not directly work on the plan. This sometimes resulted in misunderstandings and occasionally duplication of effort.

During the roll-out of Update 2013 efforts were made to more actively engage in internal DWR communications, including providing an all-staff briefing prior to release of the final public document. Update 2018 will incorporate even more internal communications. One effective tool has been rotation of staff assignments to create a larger pool of internal personal familiar with the planning process.

## **11. There is a Difference Between Hearing, Understanding, and Agreeing**

In large stakeholder processes, a divergence of opinion should be expected. In some cases, Water Plan stakeholders believed that if others truly understood their perspective they would be compelled to adopt the same opinion. Some stakeholders had also been taught or believed through experience that increasing the volume of comments increased the likelihood of persuading others. While there was some truth in this, over time the same tactics often alienated other group members. In those cases it was critical to fully acknowledge what had been shared and heard, and demonstrate understanding. Then, with generosity, other group members were allowed to reflect on their own perspectives and equally share them, without diminishing the perspective of the other speakers. This larger exploration often offered an opportunity to find common ground. When the group could not agree, it was acknowledged and the group moved on.

At the same time, in technically based processes, there are often legitimate disagreements among experts. There are also situations when opinions are projected as facts. In cases where opinions were presented as facts, the use of rigorous assessment reframed the pronouncements as positions which were then deliberated in that context.

During the Water Plan process, in all cases it was important to listen and fully understand the nature of a disagreement and the relative merits of the approaches and findings. A reasonable outcome (particularly on factual and technical issues) was an agreement to respectfully disagree. The key was the transparency of the decision process and fully explaining the criteria and rigor used in making a determination. This allowed reviewers to draw their own conclusions.

## **12. Chunk it Out**

The Water Plan Updates are released on a five-year cycle and are large documents. Comprised of five volumes plus a glossary, an interactive map set, and an errata sheet, most readers only extract the plan sections that apply to their particular interest. When stakeholders (internal and external) were surveyed on what they thought should be added to the Water Plan Update, there were many suggestions for things that were already in the plan.

At the time the Legislature established the five-year time frame for Water Plan Updates, the plans were produced as bounded documents and the contents were static until the next update. Today, with electronic communication, it is possible to provide information on a real-time basis. As a result, stakeholders began referencing developed materials as they became available in working draft form. The desired information ranged from water portfolio numbers to resource management strategies.

While there is certainly benefit in the five-year update, in future updates, sections of the plan will be released periodically as they become available. This will allow for better utilization of the plan sections, and make more current information available.

## **13. Take Credit for the Work**

As Harry S. Truman once said, “It is amazing what you can accomplish if you do not care who gets the credit.”

Truman’s thoughts largely echo those of the Water Plan Team. The production of the Water Plan has always been a proud but modest endeavor. Stakeholders, professional staff, and technical experts collaboratively produce work products, making the work of one, the work of all.

Water Plan products are freely shared and use is encouraged. Many other organizations and professionals extract what they need from the plan then repurpose the information and independently publish it without direct acknowledgement. This is not done with malice. It is simply reasonable use of publically available information.

As a result, some widely shared Water Plan work is believed, by proximity, to be the work of others. This has even caused some decision makers to question why the Water Plan is needed when the same information can be found in other, far more, succinct packages. There is little

understanding of the degree of technical work and stakeholder reconciliation needed to produce the information that is simply packaged. The Water Plan findings are a compilation of far ranging deliberations and produced after years of work. The summaries produced by others understate the underlying work needed to create the core content.

As a result, the Water Plan Team has learned it is necessary to take credit for work and publicize what is in the plan. During the Update 2013 process, the team also started developing its own succinct summaries of work. A good example was the process used to roll out the update's timely groundwater and drought information. The team is also actively asking for the source materials used by others to be acknowledged. Ultimately it is in the interest of the information users to do so, since none would be able to independently produce the underlying material.

#### **14. Marketing, Marketing, Marketing**

Similar to the discussion in Lesson 13, the perspective of the Water Plan Team has always been the Updates are simply work that needs to be done. Yet, as acknowledged in the opening remarks, California doesn't have a shortage of water, water plans, or even funding, so much as a shortage of consensus on how to move forward.

Where Water Plan information was once produced as a static product in an era when the products of government agencies were not questioned, that is far from the case today. Water information is now produced in a market where competition and conflict are the norm. The Water Plan Updates' unique niche is how they are collaboratively produced, ironically, something it is sometimes criticized for.

For Update 2018 the Water Plan Team intends to actively market the plan and its findings on behalf of those who created it. The collaborative method of production makes the results highly durable and implementable. The value of this asset is often underestimated and marketing is needed to overcome that.

#### **15. Use the Right Tool**

In the course of deliberations, a stakeholder or one of the staff would sometimes share information about a new process tool they used in a different collaborative process. Often interesting and novel, use of new process tools (especially technology based) can be tempting. New tools can also create the appearance of progress. At the same time, and especially after many years, the Water Plan Team had well-tested tools and routines that were efficient to execute. In both cases, it was critical to constantly be vigilant about the work a stakeholder group needed to complete and to use the right tool to accomplish it. Tools should support completing work, and work should not be backed into the tools.

#### **16. Leverage Technology**

Since the latter-day Water Plan Updates (2005-2013), there has been an explosion in technology based collaboration tools. As a reference point, an essential tool during the Update 2005 deliberations was the overhead projector and transparencies (every facilitation kit included a back-up lightbulb). The facilitation team has made a continuous effort to stay abreast of available

tools (especially online tools) and used them when economical and appropriate for necessary work.

There are some cautions about leveraging technology. Even in 2015, sections of California, particularly rural and disadvantaged communities, still lack access to high speed internet. Other stakeholders, even if they have access to technology, are not comfortable using it.

This means that when selecting interaction options, alternatives to technology may be required. One successful strategy involved and/both options. For example, for regional meetings, multiple local meeting sites were provided to reduce driving time, and then sites were linked with technology and facilitated by technology savvy personnel. In areas where internet service was not always reliable, additional arrangements were made to ensure telephone access and hard copies of materials were available.

Another advantage, and occasional pitfall, of technology is the wide variety of tools available. Some factors considered prior to selection of tools included:

- **Ease of access:** A key criteria is to ensure technology will be easy for stakeholders to use with little or no training.
- **Confidentiality:** Attendees at public meetings are not required to disclose their identity. In a public meeting room this may involve someone just standing in the back of the room. For the most part this is not an issue in an online setting; but, an option to maintain confidentiality during virtual meetings should be provided.
- **Fit for purpose:** With such a dizzying array of options it is tempting to use tools because they are available. Practitioners must constantly question whether or not a tool is the right one and ensure that the results of input will be easily translated to something that will be used in the process.

## **17. Experiment, but Use a Safety Net**

On more than one occasion the team was faced with the need to pioneer new methods, technology and science, or manage unexpected situations. This sometimes required introducing new approaches for educating, transmitting information, receiving feedback, and/or working through conflicts. With no roadmap or years of similar experience to draw from, some of the processes used to respond were experimental. These choices were deliberate and constructed to reduce risks which could have included a loss of stakeholder trust and/or significant disruptions to work.

Some risk mitigations strategies included:

- **Stakeholder transparency:** What was occurring was always explained with assurances that if something was not working, we would stop at a specific point in time. A good example was the experiment with FAN described earlier in this report. The stakeholders and team agreed that if it wasn't working, the experiment would stop at a date certain. When it did stop, lessons learned were extracted and all agreed it was a useful experiment.
- **Use of foundational principals:** While a particular activity may not have been done before, experiments were consistent with group norms and grounded within a credible body of knowledge. Using the FAN example again, self-directed activity was a group norm. The facilitators had also worked with other groups that had been successful in using the same online tools but for different purposes. Repurposing those tools and

using them in a way that was consistent with group norms should have worked, but didn't. While technology was one reason, there were others. Yet, even with the failure, there was no loss of trust. What was learned was used in implementing other innovations.

- Pilot projects: Use of pilot projects and incremental implementation allowed the team to reduce disruptive effects by limiting them to a smaller scale while glitches could be worked out.
- Plan B: Plan B was always used when introducing technology. The team quickly learned that what could go wrong, would go wrong. This meant ALWAYS planning extra time to set up and test equipment. The regional facilitator, often working in remote locations, carried spares of everything that might be needed, even a conference phone and speakers. Plans were always in place to switch to manual or analog processes when digital ones failed. And, just when it seemed the bugs were worked out, something would happen that would validate Plan B. Plan B will likely stay with the team throughout Update 2018.

### **18. When in Doubt — Ask. Ask, Period**

As the Water Plan began to engage more and more people outside of the traditional water manager community, it became clear that one size does not fit all. What worked with some groups was not as effective with others. One more than one occasion the Team pondered the best way to connect with one group or another, or wondered how a stakeholder segment might view a particular situation. Then, at some point, it became apparent the simple answer was to just **ask them**.

**Just asking** is an important tool for all groups. The team learned to never make assumptions about a group's view or preferences. It also learned that silence was not necessarily a proxy for agreement or a display of disinterest. In some cases a lack of engagement was caused by a lack of understanding how to get access, a perception of an uneven playing field, or a need for more information and no clear process to get it. **Just asking** opened the door to building strong relationships.

While the idea to just ask was born of pragmatism, this practice became critically important in working with California Native American Tribes. There are differences in tribal customs and protocols. As the team came to learn, routine actions in one context could be disrespectful in another. Missteps can be damaging to trust and difficult to repair, particularly in a community subjected to decades of injustice.

### **19. Ask About and Plan For Reasonable Accommodations**

Expect that every group will include someone that has a hearing, visual, and/or other disability and plan accordingly. Realize that restrictions occur on a continuum and that someone who is legally blind might be able to read if given documents with large type; or that some people can hear on one side, but not the other; or that a limitation may involve food restrictions or special precautions for fall prevention. In nearly all cases, the accommodations improve interactions for everyone. For example, leaving enough aisle space to navigate a wheelchair makes for a more comfortable meeting room. Many participants appreciate having improved food choices, and still others like being able to read handouts without glasses.

The best source of information about accommodation will come from the person requesting it. Create processes to allow people to easily share that information (just ask).

## **20. Create a Power Point Standard**

PowerPoint has become the presentation modality of choice. Special thought is required for preparing in-room and online PowerPoint presentations. Some questions for the practitioner to consider are:

1. Can materials be easily viewed on the screen?
2. What will be provided in advance, during, or after the session?
3. Is it feasible to record the session and post online for later viewing? (You don't need a project website. YouTube is a viable option.)
4. Do you have a commitment from presenters to practice and do a trial run?
5. Could observers just read the slides? If yes, is the PowerPoint presentation necessary? Would a memo or some other modality work better?

## **Tracking Performance**

In looking at how to evaluate the work being conducted, metrics included tracking use of Water Plan products for other purposes, including education, construction of legislation, reference and repackaging in other efforts (such as the Governor's *California Water Action Plan*), guidance for other planning and implementation efforts (including integrated regional management plans and projects), and more. In Update 2018, an effort will be made to improve these performance measures.

With regards to group process, the Water Plan Team focused on the degree of progress and the quality of relationships, not whether an activity was entertaining. While there is nothing wrong with aspiring to be entertaining, it was critical to not lose focus on the real goal. This sometimes meant struggling through difficult concepts, and frustration before breakthroughs could occur. In those moments of seeming despair, the team always returned to the goals and a faith in good process design. By doing this, it was possible to continue working through struggles.

Attendance and participation have also been measured beginning with Update 2005. Attendance per se is not a reliable metric. Large numbers of people may be engaged because of dissension or mistrust. More instructive is patterns of attendance. Over time, attendance increased in all categories, except tribal. For Update 2009, special emphasis and extra meetings were offered to increase tribal participation. This early, intensive engagement provided the foundation for the formation of the Tribal AC. With the launch of the Tribal AC in 2013, the need for those extra sessions was eliminated. Increased participation occurred even while the budget for collaboration was reduced. As noted earlier, direct participation also increased while passive participation (newsletter subscriptions and website use) increased.

**Table 5 Collaboration Statistics**

Type of Meeting	Update 2005		Update 2009		Update 2013	
	Number of Meetings	Person Hours	Number of Meetings	Person Hours	Number of Meetings	Person Hours
<b>Advisory and Agency Committees</b>	43	12,681	26	6,857	38	8,024
Advisory Committee	43	12,681	10	5,507	11	6,214
State Agency Steering Committee, including SASC briefings and subcommittee meetings	N/A	N/A	16	1,350	27	1,140
<b>Tribal Involvement</b>	7	69	31	8,491	29	7,270
Communication Committee (2009)	N/A	N/A	12	770		N/A
Tribal AC (2013), including webinar sessions						
Summit Planning Team	N/A	N/A	10	870	9	640
Regional Plenary Meetings	N/A	N/A	8	1,739	N/A <sup>a</sup>	N/A <sup>a</sup>
Statewide Summit	N/A	N/A	1	5,112	1	3,200
<b>Technical Involvement</b>	105	7,432	53	4,330	48	4,172
RMS Workshops and Work Group/Topic Caucuses	103	7200	37	1,694	41	3,735
Scenarios Workshop	2	232	3	182	4	235
Statewide Water Analysis Network Workshop	N/A	N/A	9	1,990	3	202
Climate Change Technical Advisory Group	N/A	N/A	4	464	N/A	N/A
<b>Public Involvement</b>	58	3,070	38	12,507	43	12,640
Extended Review Forum & Organizational Briefings	43	1,558	N/A <sup>c</sup>	N/A <sup>c</sup>	N/A <sup>c</sup>	N/A <sup>c</sup>
Public Comment Workshop (2005)	15	1,512	N/A <sup>b</sup>	N/A <sup>b</sup>	10	1,800
Other Workshops (2013)						
Regional Workshop/ Regional Forums (2013)	N/A	N/A	33	6,740	30	2,700
All-Regions Forum	N/A	N/A	2	1,928	N/A	N/A
Plenary	N/A	N/A	3	3,839	3	8,140
<b>Grand Total</b>	<b>197</b>	<b>23,252</b>	<b>149</b>	<b>32,185</b>	<b>158</b>	<b>32,106</b>

Notes: N/A = not applicable, RMS = Resource Management Strategies, Tribal AC = Tribal Advisory Committee, SASC = State Steering Committee

<sup>a</sup>Integrated with regional forums

<sup>b</sup>Replaced by three rounds of regional workshops

<sup>c</sup>Data no longer tracked

## Plan and Process Evaluation

### Progress Report on Update 2009

Since the launch of a new planning approach in 2000, stakeholders wanted to know what Water Plan recommendations were being implemented — how well, and to what extent, are Water Plan recommendations, priorities, and objectives being realized? *Progress Report: Implementation of California Water Plan Update 2009*, the first of its kind, was released in July 2013 with the goal of reporting publicly on the progress made in furthering Update 2009 objectives and related actions.

To assess the level of implementation associated with the various objectives, a worksheet was prepared to assist respondents in thinking through and identifying current efforts, programs, and policies that supported a specific objective. Additional information was sought on barriers to implementation, recommendations for providing greater specificity in the objective, and suggestions for performance metrics. The worksheets for evaluating objective implementation status were reviewed by relevant caucuses, other stakeholders, and staff with knowledge of a specific objective. For example, the groundwater caucus evaluated objectives related to conjunctive management, as well as surface and groundwater quality. The effort resulted in a one-page summary for each Update 2009 objective, which provided:

- A qualitative “report card” ranking for the objective status and trend (e.g., good, neutral, or requires attention).
- A summary of successful actions and delayed actions.
- Discussion of prominent barriers to implementation.

As the process unfolded, a key realization emerged that many of the Update 2009 objectives and related actions lacked the details necessary to determine implementation status, or were overly complex in combining multiple concepts into one objective. This awareness also informed the development of objectives and related actions for Update 2013, creating a heightened awareness of the need to provide greater specificity and definition regarding responsible or lead entities, actions needed, and measurable outcomes.

### Process Evaluation: Survey Results

The facilitation team sought feedback and guidance from Update 2013 participants by using several approaches including a formal online survey of those involved with the SASC, Public AC, and Tribal AC; a formal online survey of Water Plan Team members; and surveys at regional meetings and the annual plenary meeting. A total of 72 responses were received from the surveys and 51 responses were collected from the Water Plan Team. This section provides a recap of the general views of the Water Plan’s strategic elements, priorities for Update 2018, and framework and approach for outreach and engagement. Results of the surveys were then reviewed at a joint meeting of the SASC and the two advisory committees, and at a separate meeting of the project team. Additional discussion followed the presentations allowing participants an opportunity to amplify and provide additional feedback.

Most participants identified aspects of the Water Plan that they supported strongly, and aspects they would have liked improved. Respondents viewed the Water Plan as an important strategic document, which provides direction on pressing issues, supports decision making in the face of uncertainty, and continues to improve the data that are its foundation. Members also valued the continued emphasis on

IRWM, and the new efforts to expand information relating to finance planning, groundwater conditions, and water supply and balances. Looking at the full range of responses and suggestions, the following four overarching themes emerged concerning the Water Plan's approach and content for Update 2018:

- Continuing the elements involved in strategic planning.
- Identifying top priorities for key content.
- Determining the most effective meeting frequency, structure, and facilitation.
- Identifying areas for future improvement.

### **Importance of Strategic Planning Elements for the Water Plan**

External stakeholders and DWR project team members agreed on the importance of continuing the existing strategic planning for effective development of Update 2018. Elements of that strategic planning include:

- Status and trends of California's water-dependent natural resources.
- Information on water supplies and demands for plausible future scenarios.
- Evaluation of different combinations of RMSs to support IWM throughout the state.
- Effective actions and policies for meeting California's resource management objectives in the near-term and out to 2050.

A large majority (slightly more than 85 percent) of all survey respondents indicated that all of the strategic planning elements are high/very high priorities for Update 2018. Other top priorities for Update 2018 included, in order:

1. Water supply and balances.
2. Groundwater.
3. Regional planning.
4. Future scenarios.
5. Resource management strategies.

This information will factor into the work plan for Update 2018.

### **Meeting Frequency, Structure, and Facilitation**

The SASC and project team respondents generally thought that the frequency of meetings was about right. For advisory committees responses, 80 percent indicated that meeting frequency was right, though 20 percent of the responses indicated that members did not meet often enough. For the project team, about 45 percent indicated that the meeting frequency seemed appropriate, 25 percent reported that meetings weren't held often enough, and 25 percent indicated that too many meetings were held. Similarly, regional respondents thought that a meeting frequency of one per year worked for the regional forums.

SASC respondents and participants in regional meetings indicated a preference for in-person meetings, with an option for webinar and conference call participation. Suggestions included greater use of webinar for briefings between meetings or for informational sessions, with in-person meetings focused on discussions and development of recommendations. Face-to-face meetings were valued for their opportunities to interact directly with DWR staff and other stakeholders, enhance problem-solving, and network with other water managers and decision-makers.

The survey asked members for advice regarding the type of facilitation needed to support updates of the Water Plan. It was noted that staff members of both DWR and the water boards received facilitation

training and facilitated some Update 2013 meetings, such as SWAN and plenary meeting break-out sessions, as well as being involved with regional meetings. Most respondents were supportive of the current approach that uses professional, neutral facilitation for more complex, difficult, or contentious topics, and using staff facilitators, when appropriate. While many were supportive of DWR and other agency staff providing more facilitation support, there were some concerns about maintaining neutrality, deference to upper managers, and the level of skill needed in some situations.

### **Areas for Future Improvement**

Committee and project team respondents provided suggestions on new or different activities that Update 2018 should address:

- Realistically and honestly look at the need for additional storage, both ground and surface (including on stream and off stream), looking at options for capturing floodwater.
- Put more emphasis on sustainability as an organizing principle; start the discussion on the definition of agricultural sustainability.
- Interact with public instruction, with learning resources and interactive sites; engage youth.
- Incorporate data from legislation and Governor Brown's groundwater initiative, place more emphasis on priority basin characterization, track subsidence. Revisit overall priorities and groundwater emphasis at the end of 2014 and how to address them in Update 2018.
- Look at how IWM can help us adapt to more frequent severe events, such as flood and drought. What climate adaptation strategies can be combined with existing or new infrastructure to prepare?
- Employ better and more consistent accounting of environmental water needs.
- Demonstrate leadership on integrating land use and water use decision-making.
- Make the Governor's *California Water Action Plan* a component of the Water Plan.
- Develop tools for optimizing RMSs.
- Continue to enhance interagency coordination, detailing how federal and State agencies influence water management in California.

Committee members and project team respondents encouraged increased development of communication materials. This included information to assist with briefings, such as continuously updated talking points, fact sheets, case studies, PowerPoint slides, tailored messages for different audiences, and so forth. They also believed annual accomplishment reports should be generated and supported with a wide news release and circulation of progress and important findings to date. Both groups also sought regular (weekly or monthly) updates on schedules, timelines, and deadlines. This could be accomplished through an email, a newsletter, or an updated matrix of tasks and deliverables associated with various efforts (e.g., groundwater, water quality, regional reports, water balances). Project team members recommended more formal use of project management dashboard tools to show status of work team deliverables, replacing team reports, and allowing work team meetings to focus on identifying and eliminating barriers to accomplishing work.

### **Summary**

The work of the Water Plan Team and the Water Plan stakeholders has served as a model for other states, been the foundation of integrated regional water management in California, and has informed the most important water policy decisions of the century. The collaborative approach is among the most extensive ever used, and the complexity, unrivaled.

While the process guide represents a significant body of work, individual elements can be extracted for use in other settings. With that in mind the guide was prepared for use by participants (to document what has occurred), other agencies (looking for advice), practitioners (looking for tools), and the public (looking to validate or recommend methods). Four specific goals of the *Process Guide: California Water Plan Update 2013* were to:

- Create a record of how the plan was constructed and the rationale for individual choices.
- Advance the field of collaboration by providing information about process design for use by others.
- Describe what has been learned about collaborative process during many years of effort.
- Identify the implications for future updates.