

EXPLORATION OF METHODS AND TOOLS TO ENHANCE STAKEHOLDER ENGAGEMENT IN THE COLORADO RIVER BASIN

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1. EXECUTIVE SUMMARY

The Exploration of Methods and Tools to Enhance Stakeholder Engagement in the Colorado River Basin project was designed to explore and identify ways to enhance and improve stakeholder engagement when addressing Colorado River issues. The collaborative project team included staff of the Bureau of Reclamation (Reclamation), faculty and students from the University of Arizona (UA), and Martin & McCoy LLC (M2), a private consulting firm (Project Team).

The purpose of this Report is to document the work of this project and to report on the outcomes of the research, including the two pilot stakeholder engagement projects that were initiated. The two pilots were 1) a Comment Form to facilitate online responses to Reclamation's 7.D. Review Draft Report, and 2) the Intra-Basin Stakeholder Discussion on Zoom that was intended to garner further stakeholder input on the 7.D. Review Draft Report and allow all of the participants to hear each other's comments. The main body of this report explains the project outcomes and presents findings from each project phase; additional project details be found in the Appendices.

The initial phase of the project involved a comprehensive exploration of online tools for promoting engagement. In the context of over a year of remote work due to the COVID-19 pandemic, the online approach may in retrospect appear to be an obvious path. However, the initial motivation was to create a more even playing field for participants in Colorado River management discussions through twenty-first century technology. It is expensive in terms of time and money for Colorado River water users to meet physically to share perspectives and provide input on management issues. The hypothesis was that applying existing online applications and software could expand the conversations without creating new administrative burdens for Reclamation.

The Project Team met on a weekly or biweekly basis for three-quarters of a year. UA and M2 (UAM2) coordinated the meetings, prepared materials for review, and facilitated conversations about which methods and tools might be most appropriate. UAM2 used a variety of facilitation and project management techniques and software to demonstrate their utility.

In evaluating the pilot efforts, the Project Team found that the Comment Form was not an ideal engagement strategy in this context. However, there was strong support for the Intra-Basin Stakeholder Discussion pilot, with both participants and facilitators reporting a high level of satisfaction with the effort. Reclamation facilitators were pleased with the use of the Zoom platform, the seamless transitions to breakout groups, the facilitation trainings, and the preparation in advance of the event. Many participants mentioned that they met new people, heard new issues, and appreciated the opportunity for small group engagement.

The Lessons Learned section of this report provides six broad observations from this process on Reclamation's future engagements related to the Colorado River. These lessons are based on the evaluation survey, stakeholder and partner interviews, the observations of the Project Team, and conversations with other Reclamation staff throughout the project. Key lessons learned are highlighted below.

Lessons Learned:

- Reclamation has built a strong foundation of credibility and trust, a platform it can use to innovate and expand the collaborative culture in the Basin.
- All processes have constraints. Engagement processes should begin by defining boundaries and setting expectations with participants.
- Meaningful stakeholder engagement relies on appropriately resourcing these programs, planning ahead, and communicating with stakeholders and partners.
- Investments in access – via capacity building and proactive information sharing on issues and proposed solutions – will result in higher quality participation.
- As anticipated, there is potential for enhanced engagement with use of technology including for improved efficiency in internal processes.
- The collaborative Reclamation/UAM2 team was an effective staffing model for conducting this kind of work.

2. INTRODUCTION

2.1 BACKGROUND

Drought conditions have persisted in the Colorado River Basin since the year 2000. Climate trends and almost all model projections paint a picture of an even hotter and drier future for the Basin as a whole, even if significant climate mitigation efforts are implemented globally. There is increasing anxiety associated with managing the Colorado River in the context of overallocation, declining water levels in Lakes Mead and Powell, and stresses on ecosystems and individual species. Additional concerns relate to the ability of Tribes to fully develop their federal Indian reserved water rights.

The Exploration of Methods and Tools to Enhance Stakeholder Engagement in the Colorado River Basin project was designed as a collaborative project to identify ways to enhance and improve stakeholder¹ engagement when addressing Colorado River issues. Reclamation funded this study to explore and understand which methods and tools will help improve engagement, encourage participation, and increase inclusivity in future Basin-wide efforts, such as the upcoming renegotiation of the Interim Guidelines for Lower Basin Shortages and Coordinated Operations of Lake Powell and Lake Mead. The desire of Basin stakeholders to have a voice or “seat at the table” in critical Basin-wide conversations has been increasing over time. Considering the significant water resources challenges that lie ahead, such as determining new operating policies for Lake Powell and Lake Mead, it is not surprising that they collectively and individually want to be engaged.

As proven in previous Reclamation efforts, more collaboration enhances the flexibility, creativity, and number of potential solutions brought forth by Basin stakeholders and the public. Those who have not participated in Basin negotiations historically may play significant roles in solutions in the future. These entities may be affected in ways that can be evaluated if they have an opportunity to engage.

Furthermore, no one entity or solution can resolve the difficult challenges in the Basin, and the outcome of this research will help Reclamation apply more advanced and effective methods and tools for improving engagement, encouraging participation, and increasing inclusivity during critical upcoming Basin-wide efforts and conversations.

The collaborative Project Team included staff members from Reclamation, the University of Arizona and Martin & McCoy LLC. The Project Team worked with partners across the Basin to understand

¹ The term “stakeholder” is broadly defined to include anyone who has a real or perceived stake. Stakeholders can affect, or be affected by, the past, present, or future of an entity, project, process, or outcome. In this case, stakeholders are primarily those who are interested in the management and operation of the Colorado River System. Throughout the report, there is reference to stakeholders *and partners*. The term “partners” recognizes 1) the government-to-government relationship between Tribes and the federal government and 2) the unique relationship between Reclamation and the Basin states due to the complex body of legal agreements governing the Colorado River.

which methods and tools would help encourage participation, expand engagement, and increase inclusivity in future Basin-wide processes.

Project Team objectives, per collaborative agreement:

1. Explore and identify methods and tools to enhance and improve engagement of Basin stakeholders and partners in Colorado River issues,
2. Implement engagement pilots that create awareness, inform Basin stakeholders and partners, seek input, advice, and engagement in collaborative Basin-wide discussions related to the Colorado River, and
3. Synthesize and present findings in a final report to Reclamation.

2.2 OVERVIEW OF PROJECT PHASES

The project consisted of three main phases (milestones of the collaborative agreement) which are described below in more detail.

PHASE #1: SCOPING AND DESIGN PHASE

Compile currently used and new methods and tools to effectively engage stakeholders and partners in complex discussions at a Basin-wide level. The data can be collected and compiled based on previous research and work, communications with Reclamation staff and other federal agencies, or other outreach efforts within the established Colorado River Basin networks.

As the first step, University of Arizona and Martin & McCoy LLC (UAM2) engaged in scoping research to identify stakeholders and issues, understand stakeholders' and partners' interests in Colorado River management priorities, and learn about Reclamation's engagement norms and processes. UAM2 also compiled strategies and available technologies that could be used to enhance stakeholder engagement, based on Reclamation's process needs. The Project Team generated a list of topics of interest for Basin water users related to the 7.D. Review, including Intentionally Created Surplus (ICS), hydropower production, biological resources, and coordinated reservoir operations. To better understand the 7.D. Review process and opportunities for engagement interventions, UAM2 and the Reclamation team participated in a Miro Board exercise to outline the steps and timeline of the process.

PHASE #2: IMPLEMENTATION PHASE

Implement engagement pilots. Perform analyses of the gathered data to determine how well the selected approaches performed relative to stakeholder engagement objectives. This could include an applied demonstration of one or more of the identified methods and tools.

Based on the analysis of information and data gathered in the scoping phase, the Project Team developed two pilots, the Comment Form and the Intra-Basin Stakeholder Discussion. The Comment Form pilot was aimed at creating an easier interface for stakeholders and partners to provide comments on the 7.D. Review Draft Report, improve accessibility compared to a formal comment letter, and facilitate internal evaluation of comments. The Intra-Basin Stakeholder Discussion on Zoom was designed to generate feedback on the technical topics of the report and encourage stakeholders and partners to discuss feedback with each other directly in an open forum format.

PHASE #3: EVALUATION PHASE

Document and synthesize the study findings. Clearly identify the barriers Reclamation and Basin stakeholders/partners face in effectively engaging. Make recommendations on ways to improve effective engagement of all Basin stakeholders and partners in complex Colorado River conversations. Conduct a review of lessons learned. Reclamation will share the results of this study with Basin stakeholders and partners from federal, state, and local agencies, non-governmental organizations, academia, and the public via various outreach processes as determined by Reclamation.

The final phase of the project synthesized study findings including from the scoping phase and from the implementation of the pilot engagement strategies.

3. PHASE 1: SCOPING AND DESIGN

3.1 KEY COMPONENTS OF PHASE 1

Based on a foundation of social science and policy research, as well as project management and engagement experience, the Project Team collectively identified the key steps to include in scoping and design of this engagement process. They included:

- 1) *Identifying the problem* – Start with an understanding of which issues are within the scope of the process, and the associated objectives.
- 2) *Stakeholder identification* – Based on the boundaries of the issues to be addressed, identify stakeholders and partners who are likely to be affected.
- 3) *Stakeholder mapping* – Once the stakeholders are identified, outline the interests and capacities of each stakeholder group to the extent they are known or researchable.
- 4) *Criteria for success* – Identify key considerations in weighing alternative paths forward.
- 5) *Process design* – Consider the information about the problem, stakeholders, and interests to develop a process that is best suited for enhancing engagement given constraints, including objectives, time, resources, access, and capacity. An assessment of the institutional and regulatory context, particularly the Reclamation policies and norms that govern public processes, is also needed before determining possible approaches and innovations.

3.2 OVERVIEW OF PHASE 1

Prior to designing and implementing pilots, UAM2 facilitated discussions within the Project Team to identify potential opportunities to improve stakeholder engagement processes using technology. Available technologies intended to address Reclamation's engagement process needs, which are listed below.

Engagement process needs identified by the Project Team:

- Capture the attention of stakeholders and partners
- Understand interests
- Respond to questions
- Convey messages in meaningful ways
- Build technical capacity among stakeholders and partners
- Evaluate options considering interests
- Integrate scientific and Indigenous epistemologies
- Collaborate and build consensus on solutions
- Increase Reclamation's capacity to communicate via multiple communication streams and engage with additional stakeholders

UAM2 spoke with technology professionals in Silicon Valley, California to identify software that could meet these process needs. These contacts were from Google, WAYMO, Slack, Lyft, and Adobe as well as university computer scientists specializing in speech and language algorithms and machine learning.

UAM2 supplemented and followed up on these ideas with desktop research, yielding twenty-three potential technologies (Appendix A).

In addition to tools and technologies, the Project Team considered methods of engagement, particularly related to each step of the 7.D. Review process. The Project Team understood that there are a variety of tools that could be leveraged to implement these engagement methods. Using an online collaborative whiteboard tool, UAM2 and Reclamation brainstormed a list of methods, mapped them to the steps of the 7.D. Review process, and prioritized the methods to consider for pilot implementation.

One of the priority methods identified by Project Team was an interactive experience for stakeholders and partners to review and comment on a draft report. UAM2 researched software that could encourage stakeholders and partners to deepen engagement with the 7.D. Review Draft Report and Final Report. The hope was that this software could potentially help stakeholders and partners make connections between different sections of the 7.D Report and understand historical source material, context, and data. For example, the tool might indicate how comments were addressed and allow for toggling between the 7.D. Review Report and the Record of Decision on the Interim Guidelines. This could improve the experience of commenters and increase accessibility and ease of commenting on the Report. Reclamation also hoped that it could enable efficient management of comments, more meaningful and informed comments, and provide a public record documenting which entities made what comments. The Project Team developed the criteria below to evaluate collaborative annotation tools.

Collaborative Annotation Technology Criteria

- Off-the-shelf
- Allows interaction with the report (e.g., links or index)
- Ease of use: intuitive and minimal account creation, downloads, installation
- Accepts various response types: thumbs up/down, annotations, comments, and file uploads
- Provides rapid acknowledgement that comments were received and documented
- Allows moderation of comments prior to publishing
- Identifies commenters and can publish this list
- Aggregate feedback for review
- The same tool could be used for review of both the draft and final report
- FedRAMP certified

UAM2 explored additional technologies, scored them along criteria listed above, and collected collaborative annotation options by identifying tools being used in the education, publishing, business, and government sectors (Appendix B). UAM2 reviewed white papers by think tanks (e.g., GovLoop) coalitions (e.g., Smart Cities Council) and philanthropic organizations (e.g., Case Foundation). UAM2 also identified initiatives of the Federal government that have been pursued similar questions (e.g., Digital.gov, NEPA IT Working Groups).

3.3 FINDINGS FROM SCOPING

Initial categories of technologies the Project Team compiled are provided in Table 4-A. Table 4-B contains software options that correspond with each of these categories of software. Table 4-C includes the various methods of engagement considered for the 7D Review process, matched with each step of the 7D review.

Regarding collaborative annotation tools, Table 4-D scores the six technologies identified using the criteria described above. More details on the two finalists can be found in Appendix B. The technologies perform well for marking up PDFs. They can also facilitate interaction with the document owner and among other users. Comments can be aggregated. Many are relatively intuitive to learn; however, ease of use varies. Comments are not always private, and moderation is a rare feature. When it is available, it is most often used to moderate problematic comments that have already been posted, rather than approving them in advance. When FedRAMP² emerged as the primary criteria, UAM2 recommended the two final options (Adobe and NowComment) from the six under consideration.

Table 4-A. Initial Categories of Technologies Identified to Address Engagement Process Needs

		Types of Technologies					
		Moderated Discussion Forums, Social Media	Moderated Q&A, Live Feedback Platforms	Moderated Database	Feedback Management Software	Natural Language (NL) Algorithms	Video Conferencing and Webinars
Engagement Process Needs	Getting stakeholders' attention	X					
	Conveying messages, responding to Frequently Asked Questions	X	X	X	X	X	X
	Improving stakeholders' technical and legal capacity to engage	X	X	X	X		X
	Determining stakeholder objectives and interests	X	X	X	X	X	X
	Coalescing ideas for solutions (working collaboratively through online applications)	X	X	X			
	Evaluating whether proposed actions match stakeholders' objectives	X	X		X	X	
	Integrating scientific and Indigenous epistemologies	X		X			
	Increasing capacity to review a larger volume of comments from a wider array of conduits (social media, email, letters, voicemail, etc.)				X	X	

² The Federal Risk and Authorization Program (FedRAMP) is a partnership between cloud service providers, federal agencies, and assessors who perform security assessments to ensure cloud services meet cybersecurity standards for use by the federal government.







Table 4-B. Initial Technologies by Category Identified to Meet Process Needs

Moderated Discussion Forums & Social Media	Moderated Q&A, Live Feedback Platforms	Moderated Database	Feedback Management Software	Natural Language Algorithms	Video Conferencing and Webinars
Discourse Loomio Reddit Quora Twitter Facebook Groups	Slido Mentimeter PollsEverywhere AhaSlides	Wiki Google Docs	UserVoice Get Satisfaction	Comprehend by AWS AutoML by Google Cloud	Zoom MS Teams Skype GoToMeeting Join.me Google Meet WebEx

4-C. Methods of Engagement Considered for Each step of the 7.D. Review Process

Process Steps	Engagement Methods <i>Priorities for pilots noted in bold</i>
Develop Initial Content	
Get Feedback from Key Stakeholders	Develop strategy for out-of-scope comments
Write Draft Report	
Fatal Flaw Review of Final Report Stakeholders	Interactive small and large group discussions , Online report with integrated comment boxes, response checklist to identify strengths and weaknesses, test messaging
Distribute Draft Report	Expand listserv, online press releases, short newsletter articles, moderated chat room or user groups to answer questions, short videos, social media strategy
Education on Draft Report	Links to interactive graphics and other resources, targeting messaging and outreach to marginalize stakeholders, develop FAQ , YouTube interviews with subject experts, pre-recorded mini webinars for specific topics, virtual meetings to encourage feedback from individual groups
Gather Feedback and Comments on the Draft Report	Comment communities, online comment platform, interactive if-then surveys , interactive feedback form, multi-modal comment platform
Analyze Feedback and Comments on the Draft Report	Natural language algorithms, start interest groups for out-of-scope comments , interactive conversations at the end of the feedback period
Integrate Feedback and Comments into the Final Report	Visualize responses with R, feedback management software
Fatal Flaw Review of Final Draft with Stakeholders	Tool for structured conversations around fatal flaws, tool for simple group editing
Release Final Draft	Online report with interactive graphics, communications strategy
Use Report as an Educational Platform	One-pagers, videos, webinars, talking points linked to specific sub-topics

Table 4-D. Collaborative Annotation Options Scored by Criteria

	 XODO	 hypothes.is	 PubPub	 aannotate	 NOWCOMMENT	 Adobe Acrobat®
Off the shelf	✓	✓	✓	✓	✓	✓
Links to report	✓	✓	✓	✓	✓	✓
Easy to use	✓	✓ ⚠	✗ ⚠	✗	⚠	✓
Allows for a range of responses	✓	⚠	✓	⚠	⚠	⚠
Acknowledges comments received	✓	✓	✓	✓	✓	✓
Comments only shared with Reclamation	✗	✗	⚠	⚠	✓	⚠
Moderated, viewable comments	✗	⚠	✓	⚠	✓	✓
Public list of commenters	✓	✓	✓	✓	✓	✓
Aggregates feedback	⚠	✓	✓	✓	✓	✓
Could be used for the final report	✓	✓	✓	✓	✓	✓
FedRAMP Certified (Or Not Cloud Based)	✗	✗	✗	✗	⚠	✓
Key: ✓ meets requirement ⚠ somewhat meets requirement ✗ fails to meet requirement						

3.4 FINDINGS FROM DESIGN

Based on the criteria for success listed above and operating within project constraints identified, the Project Team decided to design and then implement two pilot methods and tools: a Comment Form using Microsoft (MS) Forms and an Intra-Basin Stakeholder Discussion using Zoom. Except for Zoom, none of the technologies for interactive engagement that the Project Team researched were able to be implemented. This was primarily due to federal policy that all software utilized must be FedRAMP certified. The time and effort required for certifying new software was not possible within the resources or timeframe that the collaborative project had been allocated. Cloud-based technologies create an additional layer of procedures to ensure the protection of federal information.

The Project Team further developed the pilots by researching the characteristics of the MS Forms technology that would be used and exploring many different Intra-Basin Stakeholder Discussion process ideas. The design phase culminated with a plan for implementation, which fleshed out many provisional details on how the pilots would be implemented. Products from the Pilot Design Phase are outlined below.

Products from the Pilot design Phase

- Initial Technology Options, Memorandum, April 17, 2020
- Brainstorm to Expand Engagement Process, Google Doc, June 13, 2020
- Brainstorm to Expand Engagement Process, Miro Board Exercise, June 17, 2020
- Technology Options for Interaction with the 7D Report, Presentation, June 17, 2020
- Final Technologies for Stakeholder Interaction with 7D Report, Memo, June 19, 2020
- Objectives for Pilots, Google Doc, July 1, 2020
- Discussion Process Mockups, Miro Board Exercise, July 9, 2020
- MS Forms vs MS Forms Pro, Google Doc, July 17, 2020
- Implementation Plan and Strawpeople, Google Doc, July 31, 2020

4. PHASE 2: PILOT IMPLEMENTATION

4.1 OVERVIEW OF PHASE 2

The Comment Form was piloted as a mechanism for receiving comments on the 7.D. Review Draft Report and was released on October 23, 2020 (Appendix C). The comment period lasted three weeks. Comments were due the week before the Intra-Basin Stakeholder Discussion, which the Project Team worked to design and implement in parallel. UAM2 facilitated preparation and project management of the Intra-Basin Stakeholder Discussion, including by leading two facilitation trainings (Appendix D) and assisting in the preparation of meeting materials such as a script, facilitation guide, and introductory slides (Appendix E). Additional final meeting materials included a one-page overview of the event (Appendix F), participant agenda (Appendix G), participant list and breakout group assignments, and descriptions of breakout session topics (Appendix H).

The implementation phase for the Intra-Basin Stakeholder Discussion involved a series of facilitated discussions among the Project Team, with substantial work between sessions to produce products for consideration and demonstrate facilitation technologies and techniques. Products that resulted from the Pilot Implementation Phase are outlined below.

Products from the Pilot Implementation Phase

- Decision Tree and Scenario Descriptions, Miro Board Exercise, August 19, 2020
- Intra-Basin Discussion One-Pager, Google Doc, September 3, 2020
- Intra-Basin Discussion Recruitment Strategy & Agenda Options, Google Doc, September 16, 2020
- 7D General Talking Points, Google Doc, September 20, 2020
- 7D Review Draft Report Comment Form, Questions and Form Design, October 21, 2020
- Facilitation Training: Intra-Basin Discussion on the 7D Review, Presentation, November 4, 2020
- Facilitators' Script for the Intra-Basin Discussion, Google Doc, November 15, 2020
- Facilitation Guide for the Intra-Basin Discussion, Google Doc, November 15, 2020
- Intra-Basin Discussion Meeting Introduction, Presentation, November 19, 2020
- 7D Review Intra-Basin Discussion Meeting Overview, Google Doc, November 19, 2020
- Intra-Basin Discussion Agenda, Google Doc, November 19, 2020
- Intra-Basin Discussion Spaghetti Diagram, Miro Board Exercise, November 19, 2020
- Participant List and Breakout Group Assignments, PDF, November 19, 2020
- Breakout Sessions and Subtopics, Google Doc, November 19, 2020
- Intra-Basin Discussion Draft Summary Notes, Google Doc, November 19, 2020

Seventy-one people (including participants, facilitators, Project Team and Reclamation staff) participated in the Intra-Basin Stakeholder Discussion. The Discussion was a five-hour Zoom event held on November 19, 2020. Reclamation and Department of Interior staff facilitated the Discussion including its various rounds of breakout sessions. The UAM2 team managed the technology,

synthesized breakout group outcomes, and problem solved as technology and/or organizational issues arose.

4.2 FINDINGS FROM COMMENT FORM PILOT IMPLEMENTATION

4.2.1 *MS FORMS HAD LIMITED FUNCTIONALITY*

MS Forms functioned as anticipated and successfully collected submitted comments. However, there are a variety of limitations in the current version of MS Forms. For example, there are individual question character limits and overall form character limits. MS Forms does not allow the user to save and come back or collaborate on responses. It was not possible to customize the design (e.g., color coding was not possible). MS Forms lacked the ability to embed hyperlinks, create tabs, or provide a table of contents to help users navigate the Form. This constrained the ability of the Comment Form to fulfill one of its hoped-for objectives, to help stakeholders and partners navigate and interact with the 7.D. Review Draft Report.

4.2.2 *R-SHINY PROVED USEFUL FOR ANALYZING COMMENTS*

MS Forms also had very limited capabilities for analyzing and visualizing collected data. UAM2 built a backend tool using R-Shiny to collate and sort responses, and to visualize quantitative responses. Unfortunately, Reclamation was not able to host the tool on its servers. Therefore, it was deployed by one staff member who had the technical background to run the program, limiting direct access to that one individual. However, the UAM2-built tool's data visualization and its ability to sort comments by report section was helpful to Reclamation for addressing comments section-by-section, especially compared to comment letters. Reclamation was able to quickly and easily analyze the Comment Form responses to facilitate the team's review of comments and modifications to each section of the draft report.

4.2.3 *MOST COMMENTS WERE SUBMITTED VIA COMMENT LETTER*

Seventy-five percent of comments were submitted via formal comment letter (Table 4-A). Only 7 entities submitted the Comment Form, while 19 submitted letters. Of these, 2 submitted both the Comment Form and a letter. Four basin states, 1 irrigation district, 1 NGO, and 1 federal agency submitted forms. No environmental NGOs or Tribes submitted forms.

Table 4-A. Stakeholder and partner participation through written comments

Entity	Number of Entities Who Commented	Letter On Scope & Approach	Letter On Draft Report	Comment Forms on Draft Report
Academic	1	1	0	0
Agricultural	2	1	1	1
Basin State	11	2	8	4
Federal	2	2	0	1
Municipal	2	0	2	0
NGO	5	4	4	1
Tribes	10	7	4	0
Total	33	17	19	7

4.3 FINDINGS FROM INTRA-BASIN STAKEHOLDER DISCUSSION IMPLEMENTATION

4.3.1 ZOOM WAS THE PREFERRED PLATFORM

In an early run through, it became clear that WebEx Trainings and MS Teams would not serve the needs of the Intra-Basin Stakeholder Discussion. As a result, the Project Team received permission to move forward with Zoom.

Zoom performed well as the platform for the Intra-basin Stakeholder Discussion. Stakeholders, partners, and Reclamation facilitators all were pleased with the way it allowed for discussion, particularly through facilitated breakout groups but also because of the seamless experience the Project Team was able to orchestrate and the relative lack of technological glitches.

4.3.2 ROBUST AND DIVERSE ATTENDANCE

The Intra-Basin Stakeholder Discussion was well attended by participants who were invited by Reclamation. Invitations were based primarily on participation in the scoping comment period and a desire to include a wide range of sectors and many Tribes in addition to the states. Of 52 participants who were invited, 41 attended the event. Table 4-B below provides a breakdown of participation by sector. The Basin States and Major Contractors sector had the most representatives who participated in the discussion (15). All Basin states attended as well as one major irrigation district. The next largest group was Tribal representatives (10) representing 8 Native Nations. In addition, 8 NGOs, 4 academics, and 4 federal employees (outside of DOI and Reclamation, representing 3 different agencies) participated.

Table 4-B. Participation in Intra-Basin Stakeholder Discussion

Sector, Organization	Invited to Register	Registered	Attended	Proportion of Attendees
Academic	6	4	4	10%
Basin State and Major Contractors	18	17	15	37%
Reclamation & DOI	-	-	16	-
Federal	4	4	4	10%
NGO	11	10	8	20%
UAM2 Support	-	-	8	-
Tribal	13	11	10	24%
Total	-	-	65	-
Participants Total (Reclamation & Support not counted)	52	46	41	

4.3.3 APPRECIATION FOR THE OPPORTUNITY FOR DISCUSSION

Overall, stakeholders, partners, and Reclamation staff found the Intra-Basin Stakeholder Discussion to be a valuable experience that could be repeated or adapted for future processes. The most common reason stakeholders and partners appreciated the virtual facilitated discussion was the opportunity to hear and voice perspectives directly to a diverse group of Basin actors.

For many, the event exceeded expectations because of the format, facilitation, and use of technology. They felt that normally, participants do not speak up in these types of meetings, especially in the online environment. For certain Tribal representatives, this was the first time they felt integrated into a Basin process because they were in direct conversation with other key stakeholders instead of consulting separately with Reclamation.

Especially in the context of the pandemic, the discussion offered social benefits. One participant noted, “It had been so long since I had seen my colleagues. To have everyone show up was relationship strengthening. There was a nice mix of serious and levity, casualness.” The overwhelming sentiment from attendees was positive, although a few offered critiques and expressed frustrations.

Reclamation and DOI staff agreed the event was a success and unexpectedly well-appreciated by stakeholders and partners, including those who were anxious about the event in advance. Reflecting on the challenges Reclamation faced in trying to implement something new that stakeholders and partners had expressed concerns about, one Reclamation representative said that the event was essentially a necessity and was “so glad that we didn’t *not* do this.” In essence, it was worth all the preparation, outreach, and difficult conversations that enabled the event to take place.

5. PHASE 3: PILOT EVALUATION

5.1 KEY COMPONENTS OF PHASE 3

The Project Team integrated social science research and policy experience in the design of the evaluation through all three phases. The design of the evaluation phase included qualitative consideration of the outcomes considering overall objectives and criteria for success for this project, a participant survey, and interviews with stakeholders and Reclamation staff who participated in the process. The evaluation of the pilots is intended to synthesize what was learned in this project as a whole and to help improve engagement processes moving forward

5.2 OVERVIEW OF PHASE 3

After selecting the two pilot engagement strategies, UAM2 crafted an evaluation plan (Appendix I). This plan provided metrics to evaluate success of the various pilot projects and ways to collect data (survey, stakeholder and partner interviews, observation, and Project Team debriefs). The survey and interview questions provided insights on metrics to measure success.

The evaluation plan evolved over time. For example, the Project Team decided after the Intra-Basin Stakeholder Discussion event that UAM2 should interview the DOI and Reclamation facilitators who participated as part of the evaluation process to collect their perspectives. When UAM2 was unable to hear from those who submitted the Comment Forms as to why (or why they submitted both letters and forms), UAM2 adapted the evaluation plan and interviewed Tribal and NGO representatives who submitted letters in order to learn why they preferred that method. Products resulting from the Evaluation Phase are outlined below.

Products from the Evaluation Phase

- Draft Evaluation Plan for the 7D Pilot, Google Doc, November 13, 2020
- Comment Form Survey, October 23, 2020
- Intra-Basin Discussion Survey, November 19, 2020
- Interview Guide: Stakeholders and Partners, Google Doc, Jan 15, 2021
- Interview Guide: Facilitators, Google Doc, January 4, 2021

5.3 LIMITATIONS

One limitation of the evaluation is that the Project Team agreed that interviews to evaluate the pilot project would be conducted with a subset of the participants. Interviews were conducted with 11 people who represented the NGO and Tribal sectors. Limited additional perspectives of other groups were captured in the survey about the discussion, from comments and reactions during the Dialogue, and through debriefs with Reclamation staff. Another important caveat is that data to evaluate the Comment Form was limited because only seven stakeholders or partners submitted it. Only one participant responded to the Comment Form survey, rendering the survey incomplete.

5.4 FINDINGS FROM COMMENT FORM EVALUATION

Observations from the Comment Form pilot include:

- Comment Form technologies offer a variety of innovations that were not piloted including the ability to annotate collaboratively and for the form to act as an educational tool to increase comprehension of the report. Unfortunately, timing, technology limitations and other constraints prevented the Project Team from maximizing the utility of a Comment Form.
- The Project Team recognized the potential for the Comment Form to improve the report revision process. The design of the Comment Form, in combination with a backend visualization tool, allowed comments to be sorted and reviewed section-by-section. This allowed these comments to be easily discussed and incorporated during the report revision process compared to formal comment letters.
- Comment forms might be most useful for engaging the general public. For a comment form to work for public audiences, it would work best if the form were shorter with opportunities to respond, perhaps providing a wide range of possible answers. Additional suggestions included a design that incorporated hyperlinks, translation into Spanish, and pairing the form with additional outreach to less engaged groups or individuals.
- Stakeholders and partners appeared to prefer letters to comments forms, viewing the Comment Form as a less effective way to convey their key messages or to answer questions. It was expressed that a form is less efficient, and more time consuming. For those whose process involves research and multiple drafts in a word processor, pasting text into the form is an additional step. This was emphasized especially by those who sought to draft a consensus letter on behalf of a coalition or where multiple representatives of one entity were involved in drafting.
- Many interviewees mentioned that a formal comment letter is a way to be on the record and preserve the option for litigation. The letter also serves a variety of other purposes: a resource for members of the general public who don't have time to read and comprehend the original policy documents; a source for reporters; a way to share an entity's approach and values with constituents, members, supporters, and other decision-makers; and a demonstration of unity and shared values of a coalition. The language written for the letter can also be used for communication in other contexts.
- The format, design, and nature of a letter serves stakeholder and partner needs well. An organization's letterhead conveys legitimacy and provides an opportunity for branding. A letter can include hyperlinks and citations. In a letter, the author can order their responses so that the most important points come first, but in the Comment Form, all comments or answers may be given equal weight. Many perceived that the Comment Form was not designed for overarching, holistic comments such as on the scope of the report itself. Some comments speak to multiple sections, so this would have required pasting the same comment in multiple places.

- Forms feel impersonal. Many interviewees mentioned that forms feel like a black box, meaning that submitting comments in this impersonal portal made them feel uneasy because there is no documentation of who receives the comments and where they are sent. There was the perception that the Comment Form would not be made publicly available.
- Internal policies require letters. Some representatives spoke to the internal processes that prevented the use of the Comment Form. For example, comments must be approved by legislative bodies and signed by executives.

5.5 FINDINGS FROM INTRA-BASIN STAKEHOLDER DISCUSSION EVALUATION

Observations from the Intra-Basin Stakeholder Discussion include:

- The Breakout Groups in Zoom had the right number of participants (7-10) and were well-mixed to include a range of perspectives. Breakout groups felt like a welcome change compared to sector-specific briefings and one-way communication.
- The participants themselves were crucial to the success of the Intra-Basin Stakeholder Discussion particularly because of the diversity of interests, perspectives, experience level, and geography. Participants were described as prepared, knowledgeable, gracious, and patient.
- The process design resulted in an atmosphere that was accessible and inclusive. Participants benefited from the topics raised within breakout groups, which allowed them to discuss a variety of issues. The process itself was an effective engagement tool. People had different views on whether the length of the breakouts (40 mins) was too long or too short.
- The online nature of the event offered important benefits, including the potential of increased accessibility due to lack of travel costs. Secondly, the Zoom format may have had an “equalizing effect” compared to in-person meetings because everyone is in an equal-sized box on the screen and the facilitators were able to balance participation and manage power dynamics. Finally, the online nature of the event allowed for stakeholders and partners to be easily mixed into breakout groups.
- The online nature of the event also had some trade-offs. For example, it was noted that informal, sidebar conversations were missing, which promote relationship building and idea generation.
- Communications are a key area for improvement so that participants are informed before the event. One point that could have been emphasized is that the event was planned in response to calls for expanded inclusion.
- Multiple participants requested that more information be provided in advance (i.e. roster of participants, discussion questions, more detail on what would be discussed in each session, and suggested reading material) because this would enable higher quality participation.
- Discussion topics were not of high interest to all participants, which may have impacted attendance.
- Engagement and discussion in the plenary, or the full group sessions, was limited.

5.6 OVERALL MESSAGES FROM PARTICIPANTS

Observations made by participants that cut across both pilots include the following:

- Representatives spoke of the importance of more meaningfully including the general public in the conversations about Basin management. In 2007, some felt that the public was poorly integrated into the process. Since then, Colorado River issues have been in the news more frequently and the public will want to have a say on these issues. The public will also need to be better informed, so it will be important to find ways to condense complicated information into graphics and language that the public can understand.
- Advanced outreach and follow ups around stakeholder meetings would help to ensure that stakeholders and partners stay engaged.
- Participants saw the Intra-Basin Stakeholder Discussion as a model to pursue moving forward, so that all voices can be part of the decision-making process. Some asked for additional opportunities to interact across state lines for the purposes of understanding issues and helping find solutions. This could take place through video conferencing with breakout rooms, semi-annual workshops, and annual meetings to allow for formal presentations as well as side conversations. Between meetings, portals could collect perspectives and ideas online. Engaging more players in decision-making might mean a less efficient process. Various tiers of engagement would be needed.
- Many participants saw the 7.D. Review Engagement Pilots as a continuation of the positive trend of inclusivity in Reclamation activities. However, while many stakeholders and partners acknowledged that Reclamation was making an effort to innovate around inclusion, this was lost on a few of the interviewees. A few assumed that the reason for these new methods, especially the Intra-Basin Stakeholder Discussion, was a result of the COVID-19 pandemic. This could be considered a missed opportunity because one of the benefits of this applied research project was to demonstrate responsiveness to stakeholders and partners who have called for increased engagement. Also, a couple of interviewees expressed that had they known why Reclamation was implementing these pilots, they would have been more likely to use the Comment Form, even if they otherwise would not have.

5.7 KEY CONSIDERATIONS FOR PLANNING ENGAGEMENT ACTIVITIES

After discussion of the evaluation findings, the Project Team concluded that the following key factors were useful in planning further engagement activities:

- Advanced outreach by Reclamation to stakeholders and partners ensured they understood the purpose and importance of the event.
- Online events require more deliberate preparation. This is because of the technology involved but also because natural opportunities for preparation are lost in a remote format.
- Facilitation by Reclamation and the behind-the-scenes support by UAM2 were often noted as important contributions to the event's success.

- Preparation for the event (including development of a “run of show” script and training of facilitators) helped support the seamless execution by the Project Team and the Reclamation facilitators of the breakout groups.
- Flexibility was key to success. Discussion topics within the breakouts were suggested but not strictly controlled. Reclamation staff agreed that forethought and preparation were essential, particularly spending time considering discussion topics and questions. Facilitators were encouraged to be flexible, nimble, and adaptive, which empowered facilitators and built confidence.
- Capacity building occurred for Reclamation and Department of the Interior staff in serving as facilitators and preparing for the event. They practiced new facilitation techniques, reflective listening, and answering questions. These skills will be useful in other contexts.
- Reclamation facilitators felt that they strengthened relationships with stakeholders and partners and gained a better understanding of the importance of particular issues. They also became familiar with new technologies, including Zoom.
- Facilitation comes more naturally to some than to others and facilitators had a range of experience and comfort playing this role. This should be considered in future events.
- Regardless of experience, the facilitation trainings were seen as valuable. All facilitators were positive overall about the experience, and most were willing to serve in this role again in the future.

6. CONCLUSIONS AND LESSONS LEARNED

The Project Team affirmed several well-known factors associated with successful stakeholder engagement in other contexts. For example, it is critical to have a clear problem statement and associated objectives that establish boundaries around the activities, so that all parties can understand what topics are “in scope” and which are not. Important steps in designing effective engagement processes are clear criteria for success, careful identification of participants, and evaluating their capacity to engage as well as their interests. A well-designed process effectively involves stakeholders in the discussion of the problem and development of solutions. There are a myriad of methods, tools, and technologies available to increase the depth and breadth of stakeholder engagement in the Colorado River Basin.

Through all phases of this project, it became clear that stakeholders in the Basin are interested and willing to try new methods for deepening their understanding of issues and of other stakeholders’ interests, and in building new robust relationships between various sectors. The technologies researched and identified for this project are relevant not only for Reclamation’s stakeholder engagement processes, but also more broadly for growing connections and facilitating conversations in what appears to be a permanent transition to more virtual social and working environments in the future.

One of the most significant findings of the collaborative research, which began prior to but largely coincided with the COVID-19 Pandemic, is the importance of technology to enable remote communication and collaboration. The idea for the Reclamation and UAM2 collaboration was born of a belief that twenty-first century technology had untapped potential to improve stakeholder engagement and public participation. However, the Project Team could not have anticipated the impact that the pandemic would have in accelerating adoption of remote communication platforms globally over the course of the project. The research conducted built on the “opportunity” presented by the pandemic, which contributed to the successful implementation of the pilots. However, these lessons will continue to be important in its aftermath. The Project Team believes the research significantly contributed to the firm foundation for engagement activities in the Colorado River Basin moving forward.

6.1 LESSONS LEARNED

- **Reclamation has built a strong foundation of credibility and trust, a platform it can use to innovate and expand the collaborative culture in the Basin.** There is a strong foundation for moving forward with larger-scale collaborations, particularly with Tribes, in the next phase of planning. Although there were limitations, the engagement pilots were viewed positively and expanded relationships with a broader set of stakeholders and partners. Stakeholders and partners are calling for Reclamation to play the role of facilitator in broader Basin-scale conversations. Stakeholders and partners generally appreciated the efforts to broaden participation.

- **All processes have constraints. Engagement processes need to begin by defining boundaries and setting expectations with participants.** Processes should be designed in a context-specific way to solve problems for an identified set of stakeholders who each have their own interests. A successful process clearly sets the scope and boundaries which in turn sets clear expectations of participants.
- **Meaningful stakeholder engagement relies on appropriately resourcing these programs, planning ahead, and communicating with stakeholders and partners.** This collaborative project experience reinforced the Project Team's recognition that there is a direct relationship between the quality of preparation and successful outcomes. Stakeholder engagement requires clear objectives, good communication about expectations, careful preparation, and adherence to a reasonable timeline. It is important to provide sufficient notice and explanation about events, timelines, and comment opportunities through multiple modes of communication to ensure robust participation, good input, and positive relationship-building.
- **Investments in access – via capacity building and proactive information sharing on issues and proposed solutions – will result in higher quality participation.** Greater understanding across states, Tribes, sectors (e.g., agriculture, municipal, environmental interests), and US/Mexico interests promotes innovation, viability and usability of potential policies, as well as the prevention of unintended consequences.
- **As anticipated, there is potential for enhanced engagement with use of technology including for improved efficiency in internal processes.** Some of the expected benefits from technology tools were not realized in the pilots due to regulatory/policy constraints on their use. There was an extremely positive response from participants and from Reclamation staff to the facilitated Intra-Basin Stakeholder Discussion hosted on Zoom.
- **The collaborative Reclamation/UAM2 team was an effective staffing model for conducting this kind of work.** There are concrete benefits to contracting external support that can bring an outside perspective. Stakeholder engagement, collaboration, and conflict resolution is a growing field with significant social science and professional expertise that can be brought to bear to improve engagement processes in the Colorado River Basin.

7. LIST OF APPENDICES

- A. Initial Technology Options Memorandum, April 18, 2020
- B. Final Technologies for Stakeholder and Partner Interaction with 7.D. Report, June 19, 2020
- C. 7D Review Draft Report Comment Form, October 21, 2020
- D. Facilitation Training: Intra-Basin Stakeholder Discussion, November 4, 2020
- E. Intra-Basin Stakeholder Discussion Meeting Introduction, November 19, 2020
- F. 7D Review Stakeholder Discussion Meeting Overview, November 19, 2020
- G. 7D Review Stakeholder Discussion Agenda, November 19, 2020
- H. 7D Review Stakeholder Discussion Breakout Sessions and Subtopics, November 19, 2020
- I. Draft Evaluation Plan for the 7D Review Engagement Pilot, November 13, 2020



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April 18, 2020

MEMORANDUM

TO: Carly Jerla, Pam Adams, Rebecca Smith, and KayLee Nelson, US Bureau of Reclamation
FROM: Kathy Jacobs, Amy McCoy, Season Martin, Anna Murveit, and Andrea Gerlak
SUBJECT: Providing Options for Stakeholder Engagement Support

I. Introduction

As we discussed in our phone call April 3, CCASS and Martin & McCoy believe that a combination of technology and social science may be able to assist with Reclamation's stakeholder engagement processes. We believe that a combination of 21st century innovations in software applications and a strategic focus on groups that may have felt disenfranchised historically can provide some important solutions. This memo provides a few options for moving forward and also provides a "taste" of our research related to technologies so far.

On April 3, we discussed the current 7d Review Process (which will play out over the remainder of 2020), the upcoming process for renegotiating the guidelines (a longer and more complex process), and how we could work collaboratively on evaluating and possibly implementing approaches and technologies that could facilitate the stakeholder engagement process for both of these processes. We agreed at that time that 1) a pilot project during the 7d process would be advantageous, but that there is limited time to "pull that off," and 2) there is also potential for sharing ideas about the stakeholder engagement efforts for the longer guidelines development activities. We also talked about the need for new and more effective approaches for engaging tribes.

Although this memo focuses more on the work we have done on technologies that may be useful (just to start this conversation), we want to reiterate that we would be really excited to help talk through the full strategic engagement trajectory for these processes, and to help in whatever ways we can with the design for the longer term efforts. Obviously, the 7d process is

already well underway so our contributions there might be more limited, but we are certainly happy to look for intersections between your interests and our capacity.

At this time, we do have initial funding to get us through the summer (paying Anna Murveit, a graduate student, to analyze the technology options, with all of us providing support on the more strategic elements). If you are interested in this concept, we would entertain the possibility of a contract with Reclamation for the next phase. If you find you are unable to financially support this work, we will pursue support from foundations and stakeholders to advance this work. The benefits of this work for the basin will accrue beyond Reclamation. We are uniquely positioned to provide assistance and do this important work.

II. Stakeholder Engagement Process Needs

We have identified a number of aspects of stakeholder processes where technology and applications might help, many of them based on our conversation with you.

- Getting stakeholders' attention
- Conveying messages, responding to Frequently Asked Questions
- Improving stakeholders' technical and legal capacity to engage
- Determining stakeholder objectives and interests
- Coalescing ideas for solutions (working collaboratively through online applications)
- Evaluating whether proposed actions match stakeholders' objectives
- Integrating scientific and Indigenous epistemologies
- Increasing capacity to review a larger volume of comments from a wider array of conduits (social media, email, letters, voicemail, etc.)

III. Process and Next Steps

Reclamation asked CCASS and Martin & McCoy to draft options for a process to evaluate how technologies and social science-based engagement techniques could address these, and potentially additional, aspects of the stakeholder engagement process. For now, three potential options are: A) a short-term pilot "experiment" during the 7d review, B) an evaluation of ways to support and engage tribes, and C) a broader approach targeting engagement for the renegotiation of the guidelines. Of course, these are not mutually exclusive courses of actions and they may be pursued simultaneously. We are happy to discuss the options for any of these, but if we pursue option A, then time is of the essence and we should proceed immediately.

IV. Initial Findings on Technology



Appendix A

In Attachment 1, we provide initial findings from our research related to the technological support options. Here we compare how the various types of technologies may address engagement process needs. A larger version of this table is provided in Attachment 2.

		Types of Technologies					
		Moderated Discussion Forums, Social Media	Moderated Q&A, Live Feedback Platforms	Moderated Database	Feedback Management Software	Natural Language (NL) Algorithms	Video Conferencing and Webinars
Engagement Process Needs	Getting stakeholders' attention	X					
	Conveying messages, responding to Frequently Asked Questions	X	X	X	X	X	X
	Improving stakeholders' technical and legal capacity to engage	X	X	X	X		X
	Determining stakeholder objectives and interests	X	X	X	X	X	X
	Coalescing ideas for solutions (working collaboratively through online applications)	X	X	X			
	Evaluating whether proposed actions match stakeholders' objectives	X	X		X	X	
	Integrating scientific and Indigenous epistemologies	X		X			
	Increasing capacity to review a larger volume of comments from a wider array of conduits (social media, email, letters, voicemail, etc.)				X	X	

We look forward to exploring these and other solutions to increase process efficiency while also addressing stakeholders' desire for more inclusive and meaningful engagement.

Attachment 1

Initial Findings on Technologies for Stakeholder Engagement

1. Introduction

Here we provide initial findings from our research on technologies that could be applied to stakeholder engagement. We have not piloted these technologies and many of them we have not used extensively or at all. This is not a comprehensive list in any category. The reason we present them now is to give you a sense of what is out there. Once we determine an approach, we could tailor our search to your needs and more deeply evaluate the utility and trade-offs of each technology.

Below you will find descriptions of technologies, that could be applied to the various stakeholder process needs identified on our April 3rd call. Technologies are organized into types. The types are provided in order of how many process needs they meet in the matrix from the April 18th memo (and Appendix 2). Within these categories, they are arranged roughly in order of applicability and preference to meet identified process needs.

Technology Types:

- Moderated discussion forums; Social media
- Moderated Q&A; Live feedback platforms
- Moderated database
- Feedback management software
- Natural language (NL) algorithms
- Video conferencing and webinars

2. Initial List of Technologies

- *Moderated Discussion Forums; Social Media*
 - [Discourse](#) – Discourse is an online forum for “civilized discussion” that could be utilized for communication between lead agencies and stakeholders as well as among stakeholders. It was designed with an understanding of the pitfalls of the internet, including trolls, spam, and stolen content. It does this by encouraging a responsible community culture and allowing users to earn privileges through their positive engagement with the community. The software is 100% open source. Forum features are typical, but well-designed including the ability to mention users (@name), paste links and images, and quote and link replies and topics. It allows emails to reply via the website platform, app, or even email.
 - *Pros:* Built to be intuitive and civil. Allows users to build unique communities with open source software. Community administrator can moderate but so

Appendix A

- can engaged users that have earned this privilege through positive engagement.
- *Cons:* Not off-the-shelf; administrator needs to build their own community, which requires technical knowledge. Some third parties have filled this gap and provide various Discourse services.
- [Loomio](#) – Loomio is an online forum for decision-making. Members can make proposal. Then people can comment, and vote to agree, oppose, abstain, or block.
 - *Pros:* Loomio is strongly oriented toward getting a group to drive toward consensus on a decision to be made (not Q&A). By adding clear structure to a proposal, Loomio allows you to quickly and efficiently sort bad (or at least unpopular) ideas from good ones.
 - *Cons:* Possibly would not work in public setting, as a replacement for collecting user/customer feedback. No option to be anonymous.
- [Reddit](#) – Reddit calls itself the “homepage of the internet.” Subreddits are communities where members can submit content (text, images, links) and vote on the most popular topics. Users who post or comment earn karma points when their content gets voted up, or upvoted. Each subreddit has its own unique personality and rules, usually found in their sidebar.
 - *Pros:* Front page of each subreddit shows what is trending. Can be a passive or active user. Get feedback on your posts. Can be used for news. Can also be used to build ideas for solutions within communities. Subreddits can be moderated by selected individuals to ensure conversations are moving in useful directions.
 - *Cons:* Less intuitive. In larger communities, it can be hard for new ideas to break through as communities grow. Unless moderated, it can be subject to biased, stolen, or reused content; fake news.
- [Quora](#) – Discussion platform where users ask questions and get answers or post content. Once known for high quality comments and community engagement, it now gets polarized reviews. Site management administers discussions attentively to control spam and negativity.
- [Twitter](#) – Tweet threads can act as discussion forums, but they are not moderated.
 - *Pros:* Threads. Can also be used for Q&A. Widely adopted.
 - *Cons:* Character limit. Difficult to sort.
- [Facebook groups](#) – Facebook groups are perhaps the most user-friendly and widely adopted online community service.
 - *Pros:* User friendly and widely adopted. No character limits.
 - *Cons:* No real moderating functionality.

- *Moderated Q&A; Live Feedback Platforms*

- [Slido](#) – Slido collects questions in advance of or during a meeting. Participants can upvote questions, allowing the most popular ones to rise to the top. The platform also allows for live polls (multiple choice, rating, and word cloud) and provides the administrator with analytics after the meeting. During in-person meetings or webinars, this tool is a more effective way of facilitating Q&A's. It allows the facilitator of in-person meetings and webinars to collect many more questions than is possible to answer during traditional Q&A.
 - *Pros:* Answer the most important questions. Collect more questions because participants who don't like public speaking (most people) will be more likely to participate. Option for anonymity. No need to download anything – hosted online.
 - *Cons:* It's not free.
- [Mentimeter](#) – Real-time input with polls, quizzes, word clouds, and Q&A. Export and analyze your data afterwards.
- [PollsEverywhere](#) – Q&A/Brainstorm feature allows submission of responses (anonymously or not) in real time, up/down vote. Presenters can dismiss responses, pin responses to the top, highlight a response to focus on it.
- [AhaSlides](#) – integrated and interactive presentation software. Create live polls (multiple choice, open-ended, word cloud). Audience can answer questions, submit ideas and inquiries, send reactions.

- *Moderated Database*

- [Wiki](#) – Wikis are a type of open source software that allow for the creation of a crowd-sourced database of information. This could be useful to provide important background information on the history, legal framework, science, and players of the Colorado River Basin as well as document potential solutions. Wikis, when managed well, can be organized and highly moderated. It is possible to view revision history and create a protocol for review and discussion around edits.
 - *Pros:* Anyone can edit. Easy to use and learn. Most people are familiar with Wikipedia. Instantaneous updates. Easy to revert to previous versions of document. No predetermined structure – a flexible platform.
 - *Cons:* Anyone can edit (but possible to regulate user access). Open to spam, vandalism if not managed well. Possible to become disorganized.
- [Google Docs](#) – Cloud-based word processor that allows multiple users with permission to edit documents in real time.
 - *Pros:* Great for small groups to collaborate on a single document. History is preserved. Chat feature. Widely used.

- *Cons:* Overwhelming for large groups. Some lag time in collaborative documents. Unintuitive. Restrictions on use for certain agencies.
- *Feedback Management Software*
 - [UserVoice](#) - Get feedback, deal with issues, and respond to questions. Collect lists of suggestions for improvements (bug fixes, features requests). Visitors can vote to prioritize these suggestions.
 - [Get Satisfaction](#) - Creates customer communities and allows them to suggest, discuss topics related to a product. Integrates with CRM systems (e.g. Salesforce), helpdesk systems, and project management systems.
- *Natural Language (NL) Algorithms*
 - [Comprehend](#) by Amazon Web Services (AWS) – Comprehend is an off-the-shelf machine learning “natural language” software that could be used to quickly analyze and categorize written stakeholder input from a variety of sources. It funnels social media posts, emails, webpages, documents, phone transcripts, and more into machine learning software. The software extracts key phrases, entities, sentiment, language, syntax, topics, and document classifications. A lead agency could train the model to sort comments by stakeholder type, issue area, or language and quickly gauge stakeholder sentiment around particular policy proposals.
 - *Pros:* Quickly and cheaply analyze and categorize text. Pay for what you use (not a subscription). “Free tier” with full functionality for the first 12 months.
 - *Cons:* Computers don’t always get it right - a person will always have to review.
 - [AutoML Natural Language](#) by Google Cloud – another off-the-shelf natural language solution.
- *Video Conferencing and Webinars*
 - [Zoom](#) – Zoom is the current popular platform for video conferencing in terms of stability and ease of use. Features include polling, breakout groups, voting, share screen, share documents, waiting rooms, muting, and chat. This platform could be useful for webinars and could promote relationship building due to the breakout group feature.
 - *Pros:* Free to get started. Easy to use. Ability to reach a large audience (depending on plan type) and can be helpful in terms of getting immediate stakeholder reactions (through Q&A and chat functions). Ability to record and save meeting/webinar chats.
 - *Cons:* Professional plans are not free. Although some communications are encrypted, there are growing security concerns with meeting crashers and

Appendix A

data privacy. May not be accessible to all users. Number of participants is based on the type of plan obtained.

- Other technologies:
 - MS Teams
 - Skype
 - GoToMeeting/GoToWebinar
 - Join.me
 - Google Duo/Google Meet
 - WebEx

Attachment 2

How Technologies Can Address Engagement Needs

		Types of Technologies					
		Moderated Discussion Forums, Social Media	Moderated Q&A, Live Feedback Platforms	Moderated Database	Feedback Management Software	Natural Language (NL) Algorithms	Video Conferencing and Webinars
Engagement Process Needs	Getting stakeholders' attention	X					
	Conveying messages, responding to Frequently Asked Questions	X	X	X	X	X	X
	Improving stakeholders' technical and legal capacity to engage	X	X	X	X		X
	Determining stakeholder objectives and interests	X	X	X	X	X	X
	Coalescing ideas for solutions (working collaboratively through online applications)	X	X	X			
	Evaluating whether proposed actions match stakeholders' objectives	X	X		X	X	
	Integrating scientific and Indigenous epistemologies	X		X			
	Increasing capacity to review a larger volume of comments from a wider array of conduits (social media, email, letters, voicemail, etc.)				X	X	

Appendix B
Technologies for Stakeholder Interaction with 7D Report
June 19, 2020

Summary of Recommendation

While we prefer NowComment's functionality (e.g., comment hiding and highlighting features), we recommend Adobe Acrobat DC because it is FedRAMP certified. If it would be possible to get NowComment approved (whether as is, or by installing it locally), we would reverse our recommendation. It has been difficult to reach Adobe in order to discuss the limitations of the individual license. If Reclamation, DOI, or FedRAMP have a direct line to Adobe to discuss options, we can determine if these limitations can be overcome.

Introduction

The tools we evaluated would allow stakeholders to interact with the draft and final 7.D review reports. Referred to as "collaborative annotation" platforms, this technology is emerging in the education and publishing sectors. This tool would allow stakeholders to follow connections (e.g. toggle between 7.D review and Interim Guideline Record of Decision) and make feedback easier and less formal. For Reclamation, the platform would allow for efficient comment management, provide an improved, meaningful stakeholder experience, build credibility, maintain a record, and serve as a foundation for the next process.

Evaluation Criteria for selecting a platform included: 1) it is off-the-shelf; 2) it links to/allows interaction with the report; 3) it is easy to use (intuitive, minimal account creation, downloads, installation); 4) it allows for a range of responses: 👍, comments, redline, uploading documents; 5) it provides rapid acknowledgement of comments received; 6) comments are not immediately public (first shared with Reclamation) and allow for moderated, publicly viewable comments and a publicly viewable list of commenters; 7) it aggregates feedback in one place; and 8) the same platform could be used for the final report. Our research identified six platforms (see full matrix in Attachment 1). The two most promising are each described and then contrasted, below.

NowComment

NowComment's web-based platform allows document owners to upload text, images, and videos and invite annotations including redline, comments, and highlights – from the public or by invitation. Comments can be made on images and videos, can include hyperlinks and tags, can refer to a sentence, paragraph, or entire document, and can reply to other comments. Public documents can be shared by a public URL and by email invitation. The public can view the document and then create a free, verified account in order to leave comments. Comments can be hidden and moderated if desired. There are no limitations on the number of reviewers, number of comments, or comment length, but document file size must be less than 5 MB. Documents are hosted by NowComment, but documents can be embedded on another website. NowComment is not FedRAMP certified. However, NowComment has licensed their software for installation by third parties on a case-by-case basis. They expressed willingness to do so and are considering potential complications of installing their software on another server, if desired (TBD).

Adobe Acrobat DC

Adobe Document Cloud, Creative Cloud and Experience Cloud are all FedRAMP certified and include a robust suite of tools that assist with graphic development, document layout, streamlined process for creating PDF and HTML outputs from the same content, as well as sharing and commenting features. Adobe Acrobat DC includes share and comment functionality that allows the document owner to share via email (which allows for only the document owner to view comments), or sharing via shared public link (which allows all users to see all comments). Current limitations of the off-the-shelf Adobe Acrobat DC share and comment feature include: 250 reviewer limit, 50MB file size limit, 1000 comment limit, and comment character limit of 2500. Enterprise subscriptions may increase these limits (TBD).

Contrasting Features of NowComment and Adobe Acrobat DC

	NowComment Public Doc (Share via Email <u>AND</u> Public URL)	Adobe Acrobat DC (Share via Email <u>OR</u> Public URL)
Account required	Not to view; yes to comment	No
Collects commenter information, verified email	First Name, Last Name, Verified Email	<u>Shared via Email:</u> Document owner already has to have email address to share <u>Shared via Public URL:</u> No, user can access as a guest and create a name without verifying email
Commenting functionality	Color coded highlighting (i.e. important, unclear, agree, disagree, like); Comment functionality for images and videos; Tagging; Comment summary; Comment can reference sentence paragraph, or document	Highlighting, redline, underline, comments reference a location in the document, searchable comments
Moderated comments	Can hide/show comments. Can restrict commenting until/after date certain; Can delete comments	<u>Shared via Email:</u> Comments are only viewable to the document owner; Can delete comments <u>Shared via Public URL:</u> No, comments are viewable to all through the public link; Can delete comments
Document Development and Design	Basic uploader and word processor	Sophisticated: Integrates with Adobe products including Adobe Framemaker, and Adobe Experience Manager both content management platforms with targeted messaging capabilities
Limitations	5 MB 2000 paragraphs	<i>Individual Licence</i> 250 reviewer limit 50MB file size limit 1000 comment limit 2500 per comment character limit <i>Enterprise Licence</i> Unknown
FedRAMP certified	No	Yes

Appendix B

Attachment 1: Collaborative Annotation Tools

Key

meets requirement
 somewhat meets requirement
 fails to meet requirement
 possible fatal flaw

	XODO	Hypothesis	PubPub	Annotate	NowComment	Adobe Acrobat DC
Off the shelf	Free	Free, open source	Free, open source	Paid	Free, they license to non-profits.	Requires Adobe Acrobat subscription for manager, but no subscription necessary for stakeholders
Links to report	Mark up PDF directly	Annotate on top of any webpage, PDF, epub	Publish on PubPub, make comments	Upload document	Upload document	Upload document
Easy to use (intuitive, minimal account creation, downloads, installation, etc.)	Can see but not comment without account. Need to sign up and verify email	Can see but not comment without account. Need to sign up and verify email; install chrome extension.	Difficult for owner to set up, pretty easy for users 	Too many features; meant for a tech-savvy business team; need to be invited, paid account 	Can view without an account. Need to create a free account to comment. Simple to learn and instructions pop up for new users.	Same interface as Adobe so familiar to those who have used it. Doesn't require user to create an account or have Adobe Acrobat, they can engage in the online interface.
Allows for a range of responses	pen, highlight, underline, redline, insert text, comment & reply, call out box, image	Highlight, Comment & Reply, embed links	Comment and reply, embed links, upload images, audio, video, etc	Highlight, Comment & Reply, embed links	highlighting, redlining, revisions, comment on videos, images, and text (sentence, paragraph, document), reply, links, tags	highlighting, redlining, comment on videos, images, and text (sentence, paragraph, document), reply
Rapid acknowledgement of comments received	instant visual	instant visual	instant visual	instant visual	instant visual	instant visual
Comments only shared with Reclamation	anyone invited	anyone invited to group	might have ability to manage access	The user can choose who to send comments to	Can hide all comments. Can set data/time for open/close of comment period.	If you share via email, recipients won't see other comments, if you share via share link, all comments are visible
Moderated, publicly viewable comments ?	cannot delete comments	group members can flag, then moderator can hide comment	might have ability to manage visibility	Comments can be deleted	Owner could delete comments. For private documents, owner can remove a user from a group or document.	Owner could moderate and publish later
Publicly viewable list of commenters ?	collaborators listed	anyone in the group can view the dashboard	not a list but can see who comments publicly	Yes, and see who is online		
Aggregates feedback in one place	directly on the pdf; could get very messy	in dashboard (search self, group, user, or tag)	In comments at the bottom	Next to document in chat log	Next to or within uploaded document	Next to or within uploaded document
Same platform could be used for the final report			Used for collaboration with a group on drafts and then public for an open review			
FedRAMP Certified	Not at this time	Not at this time. They technically host but use AWS (which is FedRAMP Certified)	Not at this time	Not at this time	Not at this time. They can license their software for installation on private servers as desired.	Based on the listing Adobe Cloud products seem to be certified

7.D. Review Draft Report Comment Form

Please submit this Comment Form by November 13, 2020. The form will close on November 13, 2020 at 11:59 PM PST.

Please Note: The Comment Form must be completed in one “session”; i.e., it cannot be partially completed, saved, and returned to at a later time for completion and submission. To address this limitation, we have provided the form in PDF format. Download the form and complete using Adobe Acrobat before copying your responses into the online Comment Form.

For narrative responses, please recognize that there is a per question character limit of 4,000 (around 500 words or one page single spaced). Once the character limit within a question has been reached, no more text may be entered. Additionally, the entire Comment Form has a total character limit of 16,000. Once the total character limit for the form has been reached, no more text may be entered.

You do not need to answer every question and can focus your time and effort on providing feedback on sections of the Draft Report you feel are most important. To help navigate through this Comment Form, questions for each report section are provided on separate pages of the form.

We request this Comment Form be submitted through the online interface. However, if this is not possible, the PDF version can be submitted by email to 7DReview@usbr.gov, or U.S. mail to U.S. Bureau of Reclamation, Attention: Ms. KayLee Nelson, LC-6056, P.O. Box 61470, Boulder City, NV 89006-1470.

-

Commenter Information (Optional)

Before including your address, telephone number, electronic mail address, or other personally identifiable information in your comments, please be aware that because of federal disclosure requirements your entire comment (including your personally identifiable information) may be made publicly available at any time. While you can ask us to withhold your personally identifiable information from public review, we will comply with all applicable disclosure requirements, and cannot guarantee that we will be able to do so.

1. Name

2. Email

3. Please let us know if you would like to:

Be added to the 7.D. email list (enter email in Question 2)

Provide feedback regarding your experience using this Form (enter email in Question 2)

4. Organization/Entity

5. Please identify the sector that most closely describes your entity:

Local Government

State Government

Tribal Government

Federal Government

Agricultural Water Provider/Association

Municipal Water Provider/Association

Non-Governmental Organization

Academic Institution

Other

General Comments on the Draft Report

Please provide your overall feedback on the Draft Report ([Click Here](#)).

6. Please respond to the following statements:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The Draft Report is understandable.					
The Draft Report's conclusions are supported.					

7. Please provide general comments on the Draft Report:

(4,000 character limit)

Section 1: Introduction

Refer to Section 1, page 1 of the Draft Report ([Click Here](#)).

8. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 1 is clear and understandable.					

9. Are there any errors or is critical information missing in Section 1?

Yes

No

10. Please provide comments on Section 1 that support your responses above:

(4,000 character limit)

Section 2: Background on the Development of the Guidelines

Refer to Section 2, pages 2-3 of the Draft Report ([Click Here](#)).

11. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 2 is clear and understandable.					

12. Are there any errors or is critical information missing in Section 2?

Yes

No

13. Please provide comments on Section 2 that support your responses above:

(4,000 character limit)

Section 3: Purpose of the Guidelines and Common Themes

Refer to Section 3, pages 4-5 of the Draft Report ([Click Here](#)).

14. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 3 is clear and understandable.					

15. Are there any errors or is critical information missing in Section 3?

Yes

No

16. Please provide comments on Section 3 that support your responses above:

(4,000 character limit)

Section 4: Complementary Activities Since Adoption of the Guidelines

Refer to Section 4, pages 5-9 of the Draft Report ([Click Here](#)).

17. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 4 is clear and understandable.					

18. Are there any errors or is critical information missing in Section 4?

Yes

No

19. Please provide comments on Section 4 that support your responses above:

(4,000 character limit)

Section 5: Approach to the Review of the Guidelines

Refer to Section 5, page 10 of the Draft Report ([Click Here](#)).

20. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 5 is clear and understandable.					

21. Are there any errors or is critical information missing in Section 5?

Yes

No

22. Please provide comments on Section 5 that support your responses above:

(4,000 character limit)

Section 6: Significant Considerations Based on Scope and Approach Comments

Refer to Section 6, pages 10-13 of the Draft Report ([Click Here](#)).

23. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 6 is clear and understandable.					

24. Are there any errors or is critical information missing in Section 6?

Yes

No

25. Please provide comments on Section 6 that support your responses above:

(4,000 character limit)

Section 7: Implementation of the Guidelines

Refer to Section 7, pages 13-39 of the Draft Report ([Click Here](#)).

26. Please respond to the following statement regarding Section 7.1 - Overview of Lake Powell and Lake Mead Conditions:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.1 is clear and understandable.					

27. Are there any errors or is critical information missing in Section 7.1?

Yes

No

28. Please provide comments on Section 7.1 that support your responses above:

(4,000 character limit)

29. Please respond to the following statement regarding Section 7.2 -
Determination of Lake Powell and Lake Mead Operations:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.2 is clear and understandable.					

30. Are there any errors or is critical information missing in Section 7.2?

Yes

No

31. Please provide comments on Section 7.2 that support your responses above:
(4,000 character limit)

32. Please respond to the following statement regarding Section 7.3 - Coordinated Operation of Lake Powell and Lake Mead:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.3 is clear and understandable.					

33. Are there any errors or is critical information missing in Section 7.3?

Yes

No

34. Please provide comments on Section 7.3 that support your responses above:

(4,000 character limit)

35. Please respond to the following statement regarding Section 7.4 - Lake Mead Operations:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.4 is clear and understandable.					

36. Are there any errors or is critical information missing in Section 7.4?

Yes

No

37. Please provide comments on Section 7.4 that support your responses above:

(4,000 character limit)

38. Please respond to the following statement regarding Section 7.5 - Intentionally Created Surplus:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.5 is clear and understandable.					

39. Are there any errors or is critical information missing in Section 7.5?

Yes

No

40. Please provide comments on Section 7.5 that support your responses above:

(4,000 character limit)

41. Please respond to the following statement regarding 7.6 - Process and Consultation:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 7.6 is clear and understandable.					

42. Are there any errors or is critical information missing in Section 7.6?

Yes

No

43. Please provide comments on Section 7.6 that support your responses above:

(4,000 character limit)

Section 8: Effectiveness of the Guidelines

Refer to Section 8, pages 39-42 of the Draft Report ([Click Here](#)).

44. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 8 is clear and understandable.					

45. Are there any errors or is critical information missing in Section 8?

Yes

No

46. Please provide comments on Section 8 that support your responses above:

(4,000 character limit)

Section 9: Summary

Refer to Section 9, page 42 of the Draft Report ([Click Here](#)).

47. Please respond to the following statement:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section 9 is clear and understandable.					

48. Are there any errors or is critical information missing in Section 9?

Yes

No

49. Please provide comments on Section 9 that support your responses above:

(4,000 character limit)

Appendix A - Operational Documentation

Refer to Appendix A of the Draft Report ([Click Here](#)).

50. Please respond to the following statement regarding Section A.2 - 24-Month Study Background:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section A.2 is clear and understandable.					

51. Are there any errors or is critical information missing in Section A.2?

Yes

No

52. Please provide comments on Section A.2 that support your responses above:

(4,000 character limit)

53. Please respond to the following statement regarding Section A.3 - Review of Operations:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section A.3 is clear and understandable.					

54. Are there any errors or is critical information missing in Section A.3?

Yes

No

55. Please provide comments on Section A.3 that support your responses above:

(4,000 character limit)

56. Please respond to the following statement regarding Section A.4 - 24-Month Study Accuracy:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Section A.4 is clear and understandable.					

57. Are there any errors or is critical information missing in Section A.4?

Yes

No

58. Please provide comments on Section A.4 that support your responses above:

(4,000 character limit)

BEST PRACTICES FOR FACILITATION: INTRA-BASIN DIALOGUE ON THE 7.D. REVIEW

November 4, 2020

GOALS

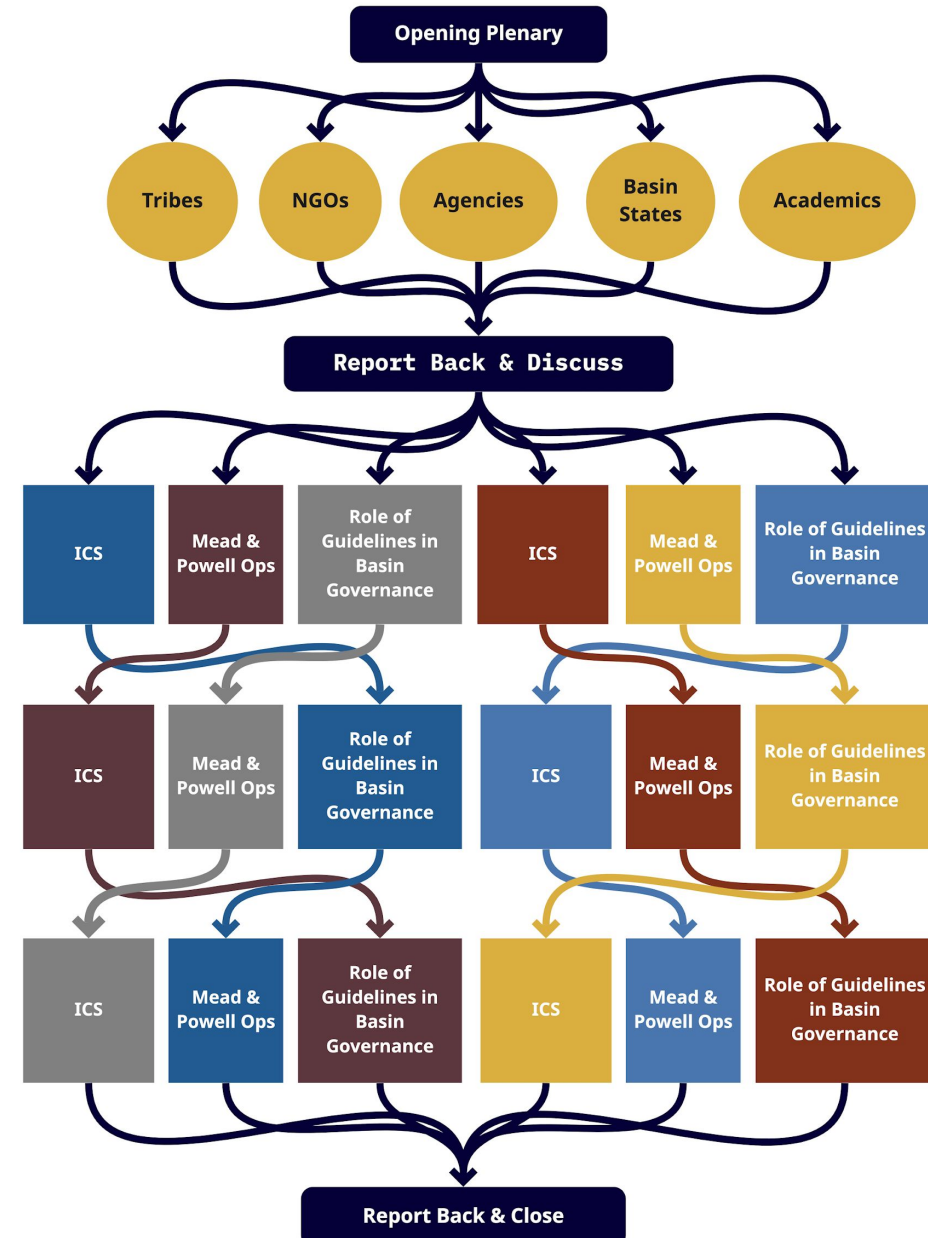
INTRA-BASIN DIALOGUE ON THE 7.D. REVIEW



Pilot a new method of engagement
Convene a dialogue about feedback on the 7.D. Review
Offer representatives from around the Basin an opportunity to connect, exchange different perspectives, and learn about issues of importance to others

INTRA-BASIN DIALOGUE ON THE 7.D. REVIEW

- **Platform:** WebEx Trainings
- **Two Sessions:**
 - 9am-11:55 am MST
 - 12:55-3:40 pm MST
- **Timing:**
 - 60-min plenaries
 - 30-min breakouts by affiliation
 - 3 x 40-min breakouts by topic
 - 10-15 min breaks
- **Participants:** Up to 50 partners & stakeholders
- **Roles:**
 - 6 Reclamation facilitators
 - 6 Reclamation co-facilitators
 - 1 coordinator
 - 1 tech assistant
 - 6 notetakers



TRAINING AGENDA

- I. Role of the Facilitator
- II. Best Practices, including Techniques

I. ROLE OF THE FACILITATOR:



Encourage full participation;
information sharing

Facilitators speak ~10% of the time



Promote mutual understanding



Neutrality and impartiality

Neutrality and Impartiality

- Advocate for the process, not content
- Avoid contributing and evaluating ideas
- Fairness
- Attention to power dynamics

Juggling Expertise and Facilitation

- Participants may ask you questions about the report.
- It is likely appropriate to provide quick facts and corrections.
- However, the goal is robust dialogue among participants.

How do you envision juggling your facilitation role with your expertise?

What are strategies to redirect the conversation if the balance shifts toward Q&A?

II. BEST PRACTICES

1. Provide clarity of purpose and process
2. Build a safe, constructive, and creative space for dialogue
3. Promote fairness and balanced participation
4. Clarify statements and get to the core issues

I. Provide clarity of purpose and process

- Explain your role as facilitator
- Introduce the topic
- Explain how to participate
 - Meeting norms to hear from everyone
- Ask clear questions, provide visuals cues
 - Copy questions into the chat

2. Build and enforce a safe, constructive space for full participation

- Ground rules
 - Encourage participants to take responsibility and be respectful
 - Equitable enforcement (of time limits, etc.)
- Strategies for getting the conversation started online
 - Call on those you know will talk
 - Take a minute to write/think, use the chat

3. Promote fairness and balanced participation

- Monitor frequency and manner/quality of participation
 - Facilitation techniques
 - Awareness of our own unconscious behavior

Stacking

- Look for hands to speak and create a speaking order

Balancing

- “Does anyone have a different perspective?”

Make Space for a Quiet Person

- “Alex, how is [your entity] thinking about this?”
- Revert to go-round as needed
- Encourage use of the chat

Using the Clock

- “We have 5 minutes, let’s hear from those who haven’t spoken.”

TECHNIQUES TO BALANCE PARTICIPATION

SELF AWARENESS & BIAS

Be Consistent:

- Verbal validation
- Body language (e.g., nodding)

Questions to ask ourselves:

- Who are we consistently calling upon?
- What voices are most dominant?
- Who appears to be least comfortable speaking up?
- What perspectives are not being shared?

4. Clarify Statements and Get to the Core Issues

- A point is hard to understand: Draw them out
 - “Can you say more about that?” “Can you give an example?”
 - “What do you mean by...?”
- An opportunity to understand how this connects to a priority issue:
 - “What matters to [your entity] about that?”
 - “Why is that important to [your entity?]”

Sources:

Doyle, M. & Straus, D. (1976). How to Make Meetings Work.
Kaner, D. (2007). Facilitator's Guide to Participatory Decision-Making.

Acknowledgements:

SW Decision Resources
Julia Wondolleck & Steve Yaffee
Bernard Mayer, Cheryl Jamison & Susan Terry

EXTRA SLIDES

5. Focus the Discussion

- **Sequencing** (two ideas at once)
 - “There are two ideas being discussed – let’s take a couple more comments on X and then we can let Alex reintroduce Y and discuss.”
- **Calling for Responses** (preserve focus on the current topic)
 - “Does anyone have questions for Alex?”
 - “Does anyone have a reaction to Alex’s comment?”
- **Deliberate Refocusing** (more directive)
 - Point back to discussion question

III. Notetaking (Co-facilitator)

- “Group Memory”
 - Ideas are captured and remembered
 - People feel validated and more at ease
- Use their words
- Write down every comment (don't evaluate)
- Don't attribute
- Point to ideas when people repeat themselves
- Numbers not bullets
- Use google doc template

III. Notetaking

Suggestions

Example: "Let's check in with each other once a day until we actually hold the conference."

CHECK IN DAILY
TILL CONFERENCE

Summary Statements

Example: "So what we're saying is that we want this program to target both teachers and parents."

TARGET GROUPS:
TEACHERS AND PARENTS

Open Questions

Example: "I know this is off the subject, but I'm still confused about whether we're ever going to hire a new financial assistant."

★ HIRE FINANCIAL ASS'T?

Source: Sam Kaner (2007)

★ OPEN QUESTION



— BUREAU OF —
RECLAMATION

Appendix E

Intra-Basin Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines November 19, 2020

Technology Contact

Keaton Wilson

Muting

You will be automatically muted when you enter a breakout room, please unmute to speak.

Video

Turn on your video camera, if possible, during full group and break-out group discussions

Break-Out Groups

When you are sorted into break-out groups, an invite will appear. If you can't find the invite, open the Breakout Rooms button at the bottom of your screen.

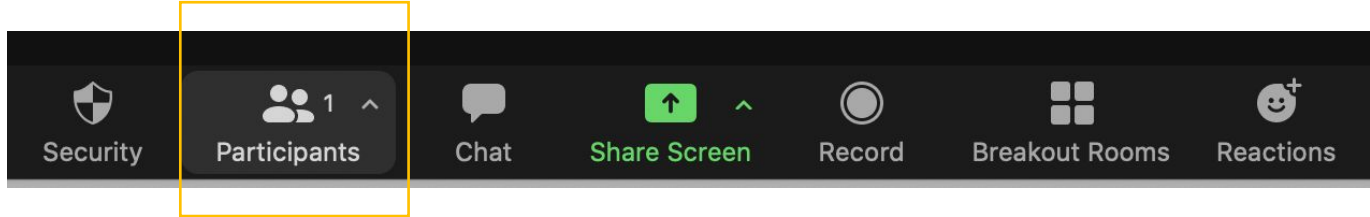
Re-Joining

Please minimize the number of times that you leave and re-join the meeting.

If you do get disconnected and reconnect, you will be in the main zoom-room. When you arrive, please send Keaton Wilson a note in the chat and he will place you in a break-out room as needed.

Please rename yourself with your Name and Affiliation

Step 1 – Click to open the participants panel at the bottom of your screen



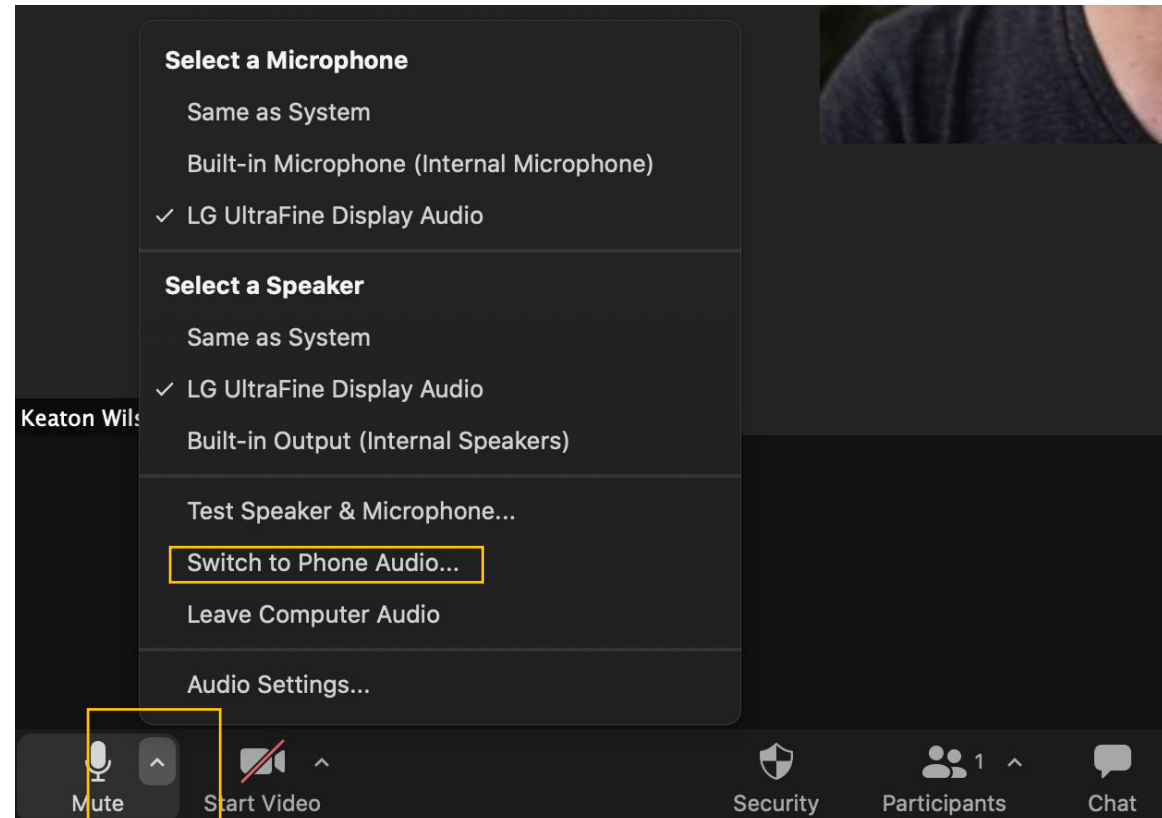
Step 2 – On the right side of your screen, click the "More" dropdown next to your name, click "Rename" and enter your name and affiliation



If you have audio issues, call in with your phone and merge

Step 1 – Click the small up arrow next to the Mute/Unmute button in the bottom left-hand corner of your screen and select "Switch to Phone Audio"

Step 2 – Call in using one of the provided phone numbers and enter Meeting ID and participant ID



Background & Purpose

- On December 13, 2019, Secretary David Bernhardt announced that he had directed Reclamation to initiate a retrospective technical review pursuant to Section 7.D. of the 2007 Interim Guidelines, and to do so by relying “on important input from the Basin States, Tribes, NGOs, and the public as the report is developed.”
- The purpose of today’s meeting is to offer those interested in the 7.D. Review an opportunity to elaborate on your views and comments related to the 7.D. Review and the Draft Report.
- Consistent with the scope of the 7.D. Draft Report, Reclamation does not intend for this stakeholder discussion to discuss or address post-2026 operations in any manner.



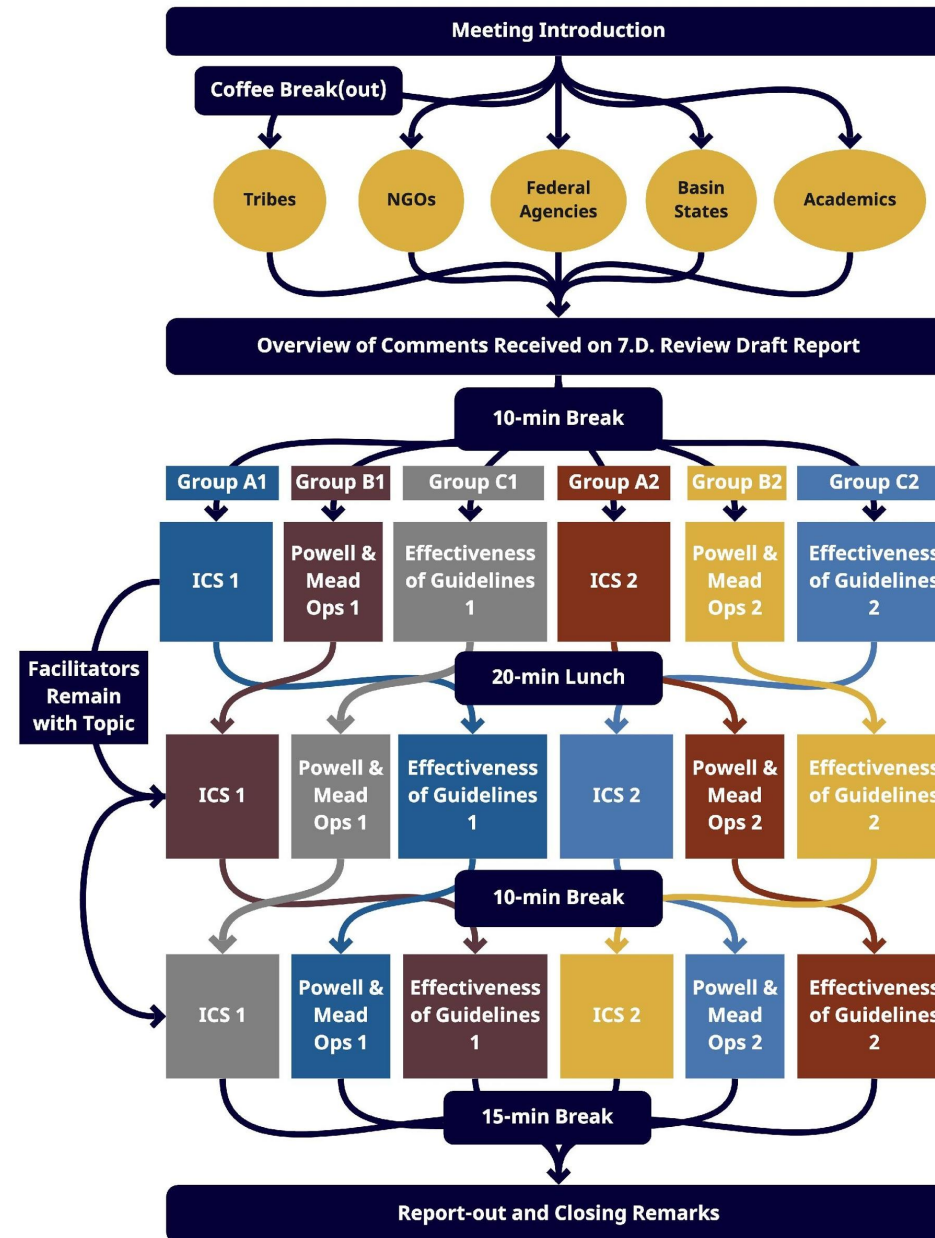
Agenda

Intra-Basin Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines Thursday, November 19, 2020

9:45 MT		Meeting Opens
10:00	(45 min)	Welcome and Introductions
10:45	(15 min)	Coffee Break(out)
11:00	(45 min)	Overview of Comments Received on 7.D. Review Draft Report
11:45	(10 min)	Break
11:55	(35 min)	Session 1
12:30	(20 min)	Lunch Break
12:50	(30 min)	Session 2
1:20	(10 min)	Break
1:30	(30 min)	Session 3
2:00	(15 min)	Break
2:15	(45 min)	Report-Out and Closing Remarks



Meeting Flow of Break-out Sessions



Agenda

Intra-Basin Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines Thursday, November 19, 2020

9:45 MT		Meeting Opens
10:00	(45 min)	Welcome and Introductions
10:45	(15 min)	Coffee Break(out)
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1:20	(10 min)	Break
1:30	(30 min)	Session 3
2:00	(15 min)	Break
2:15	(45 min)	Report-Out and Closing Remarks



Meeting Guidance

Ground Rules and Meeting Norms

- This meeting will not be recorded
- Notes will be not be attributed
- Notes will be used to inform the final report
- Engage in respectful dialogue
- Participate fully
- Listen respectfully
- Step up, step back: share airtime by limiting comments and allowing others to speak up
- Ask questions to deepen understanding

Plenary

- Use the hand raising function to speak
- Limit comments to 1 minute
- Place additional questions/comments in the chat

Breakout groups

- Limit comments to 1 minute
- Give everyone a chance to speak once before you participate a second time
- Feel free to use the chat to add detail, links or additional comments



Overview of Comments Received on Draft Report for the 7.D. Review



Comments Received on Draft Report

Individual Letters:

- Arizona Department of Water Resources
- Central Arizona Water Conservation District
- Central Utah Water Conservancy District
- Colorado River Board of California
- Colorado Water Conservation Board
- Gila River Indian Community
- Imperial Irrigation District
- Irrigation & Electrical Districts' Association of Arizona
- Living Rivers

On-Line Comment Form:

- Metropolitan Water District of Southern California
- Central Utah Water Conservancy District
- New Mexico Interstate Stream Commission
- Colorado River Board of California
- NGO Collective
- Colorado River Commission of Nevada
- Pacific Institute
- Colorado River Energy Distributors Association
- San Diego Water County Authority
- Dolores Water Conservancy District
- Tohono O'odham Nation
- Utah Division of Water Resources



High-Level Comments on Draft Report

Report Section	Comment
Editorial Comments	Thank you! Will be incorporated as appropriate
Specific text revisions/formatting	Comments being reviewed and considered
General	Address and document the role the Guidelines may have had on hydropower planning and production. Include specific data on hydropower projections and actual production
	Acknowledge how the United States consultation obligations were not met at times and that tribes were not always meaningful engaged in processes that could impact tribal water rights
	Expand the discussion of effects of the Guidelines on Upper Basin users
	Include conservation benefits of Brock Reservoir
Section 2, Background on the Development of the Guidelines	Acknowledge the role of the Long-Range Operating Criteria in forming the legal and operational basis for the Guidelines and add context for operational guidance for reservoirs constructed and operated under the Colorado River Storage Project Act, the Boulder Canyon Project Act, and the Boulder Canyon Project Adjustment Act
	Acknowledge the role the precursors to the Guidelines, such as the 2003 Colorado River Water Delivery Agreement of the Quantification Settlement Agreement, played in setting the stage for the Guidelines
Section 4, Complementary Activities Since Adoption of the Guidelines	Identify the purposes and themes that are being responded to in each Complementary Activity
	Review more fully how tribal contributions to system conservation and the ICS program influenced the effectiveness of the Guidelines



High-Level Comments on Draft Report

Report Section	Comment
Sections 7.1–7.4, Lake Powell and Lake Mead Conditions and Operations	Consider adding information on the Upper Elevation Balancing and Equalization tiers. This could include: <ul style="list-style-type: none"> Balancing releases could only be adjusted upward (not downward) in April The Balancing Tier increased in size, while the Equalization Tier decreased in size throughout the term of the Guidelines The April switch to Balancing or Equalization is not solely dependent on Lake Mead elevation. It is also dependent on inflow to Powell which is dependent on multiple other factors.
	Discuss the Lake Powell Equalization Elevation Table, the impacts of the elevation line, and the impacts of the Upper Basin Reservoir Operations on Lake Powell operational tiers
	Enhance the discussion of impacts to the Upper Basin from flexibilities implemented through the Guidelines (also relevant to Section 7.5) and recognize the protection the Guidelines intended to afford the Upper Basin
	Reflect that Lower Basin users have taken numerous proactive voluntary measures to conserve water to lower risks, and that between 2008 and 2019, there have been no drought-based reductions in Lower Basin uses
	Consider including summary of analysis of forecasting bias found in Appendix A4
Section 7.5, Intentionally Created Surplus	Acknowledge fundamental principles of ICS (i.e. planned reductions in consumptive use; conservation through intentional actions or investments)
	Highlight the importance of intra-state agreements
	Discuss that ICS mechanism played a very important role in helping keep Lake Mead (and Lake Powell) elevations higher than they may otherwise have been; it is an important tool for water agencies to manage supplies/mitigate impacts of DCP reductions
	Discuss interplay between ICS and coordinated operations
	Discuss that the process made it difficult for new participants to use the ICS mechanism
	Expansion of the ICS mechanism through the DCP to include additional participants (particularly the tribes) was important.



High-Level Comments on Draft Report

Report Section	Comment
Section 7.5, Intentionally Created Surplus, cont.	Discuss how annual creation and total accumulation limits have the potential to disincentivize additional conservation actions to store water in Lake Mead
	Address the implications of withdrawing significant amounts of ICS from Lake Mead
Section 8, Effectiveness of Guidelines	<p>Improve the treatment of the effectiveness of the Guidelines with respect to the Upper Basin.</p> <ul style="list-style-type: none"> • Evaluate the effectiveness of the Guidelines in meeting the objectives of Section XI.G.6 of the ROD, Coordinated Operation of Lake Powell and Lake Mead During the Interim Period: "to avoid curtailment of uses in the Upper Basin, minimize shortages in the Lower Basin and not adversely affect the yield for development available in the Upper Basin." • Evaluate how the reduction in the amount of water stored in Lake Powell affects the water available for development in the Upper Basin and the risks of curtailment.
	Provide specific examples of the effectiveness of the Guidelines, including examples of the wide and long-lasting impacts on the management of the Colorado River.
	Review effectiveness of individual elements of the Guidelines, including consultation.
	Consider clarifying whether Guidelines would have been effective without additional measures such as DCP.
	Consider whether the Guidelines have improved Reclamation's management of the Colorado River considering the effects on water supply and power production at Lake Powell, including the role the Guidelines have in managing hydropower production and planning.
	Discuss how important it is that litigation has been avoided between the Basin States during the Guidelines
Appendix A, Operational Documentation	Include hydropower production data



Intra-Basin Stakeholder Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines

On December 13, 2019, Secretary David Bernhardt announced that he had directed Reclamation to initiate a retrospective technical review pursuant to Section 7.D. of the 2007 Interim Guidelines, and to do so by relying “on important input from the Basin States, Tribes, NGOs, and the public as the report is developed.” At the time of the announcement, Reclamation had planned to conduct public meetings to facilitate input from the Basin States, Tribes, NGOs and the public at key milestones of the 7.D. Review process during 2020.

As the 7.D. Review has largely played out during the ongoing COVID crisis, Reclamation’s ability to conduct in-person meetings that have been so important in past efforts for reaching agreements and sharing perspectives has been limited. Tribal communities have been particularly adversely impacted by the impacts of COVID. Despite these limitations, Reclamation has worked to accommodate tribal input through individual tribal outreach and extended timelines for submission of input. Moreover, Reclamation has strived to make the 7.D. Review an inclusive process through webinars and multiple separate stakeholder discussions. However, it remains uncertain when in-person meetings and outreach will resume again.

With this in mind, and given the ongoing inappropriateness of conducting large in-person gatherings, Reclamation has been evaluating new methods to improve stakeholder engagement and outreach related to the 7.D. Review.¹ To test technology designed to facilitate stakeholder engagement and collaboration, Reclamation is planning to host an on-line (rather than in-person) meeting to offer those interested in the 7.D. Review an opportunity to collectively discuss comments on the 7.D. Review and the Draft Report. The online meeting will follow the close of the comment period on the 7.D. Draft Report and provide an additional opportunity for participants to elaborate on their views and comments on the Draft Report.

The meeting will take place on November 19, 2020 from approximately 10:00 AM - 3:00 PM MST. Representatives that have been previously engaged in the 7.D. Review, including representatives from the Basin States and key water districts, tribes, NGOs, universities and other federal agencies, have been invited to participate. The selected groups represent those groups that have previously submitted comments on the 7.D. Review proposed scope and approach and Draft Report and who have been most significantly involved in the 7.D. Review. Due to the technical and logistical considerations for this on-line meeting, we have designed the agenda (and are asking groups to limit their participation) such that there are approximately 50 participants.

The event is planning to utilize the “breakout room” technology in virtual meeting platforms. The event will start with opening remarks, including an overview of the meeting agenda. Immediately following, each stakeholder group will have an opportunity to meet amongst themselves. This will be followed by a session where all stakeholder groups come together for a Reclamation overview of the written

¹ In evaluating such methods Reclamation has partnered with the University of Arizona’s Center for Climate Adaptation Science and Solutions through a research grant.

Appendix F

comments received on the 7.D. Review. Afterwards, to facilitate discussion on the content of the Draft Report and the comments received thus far, participants will be divided into mixed stakeholder small groups. Each small group will participate in a facilitated discussion on three key topic areas in the Draft Report: ICS, Lake Powell and Lake Mead Operations, and Effectiveness (as it relates to the purpose and common themes). Following these breakout sessions, all participants will come back together for a summary of the small group discussions.

Consistent with the scope of the 7.D. Draft Report, Reclamation does not intend for this stakeholder discussion to discuss or address post-2026 operations in any manner.

It is important to recognize that the on-line meeting is designed as a unique opportunity for Reclamation to garner further stakeholder input in a manner that allows all of the participants to hear each other's comments (and if desired, provide feedback). The alternative approach of holding individual on-line sessions separately with Basin States, Tribes, NGOs and others, would still provide Reclamation with an opportunity for individual input, but would not provide participants with the same exposure to the input. This opportunity for stakeholder input is not a decision-making meeting, nor is any participant required to present information. It is simply an opportunity for input and dialogue limited to the comments regarding the 7.D. Review.

Following this meeting, Reclamation will take the discussion and input regarding the comments received on the Draft Report into consideration when preparing the Final Report. The Final Report is scheduled to be released in mid-December.

Agenda
Intra-Basin Stakeholder Discussion on Comments Regarding the
Section 7.D. Review of 2007 Colorado River Interim Guidelines

November 19, 2020; 10:00 AM – 3:00 PM MST

Zoom Registration Link:

<https://us02web.zoom.us/meeting/register/tZlqdu2oqTwvGtXD0bW35NJHNkv1P4Yk-3Ne>

10:00 – 10:45	Welcome and Introductions
10:45 – 11:00	Coffee Break(out)
11:00 – 11:45	Overview of Comments Received on 7.D. Review Draft Report
11:45 – 11:55	Break
11:55 – 12:30	Session 1: Breakouts by Topic (ICS, Lake Powell and Lake Mead Operations, Effectiveness of the Guidelines)
12:30 – 12:50	Lunch Break
12:50 – 1:20	Session 2: Breakouts by Topic (ICS, Lake Powell and Lake Mead Operations, Effectiveness of the Guidelines)
1:20 – 1:30	Break
1:30 – 2:00	Session 3: Breakouts by Topic (ICS, Lake Powell and Lake Mead Operations, Effectiveness of the Guidelines)
2:00 – 2:15	Break
2:15 – 3:00	Report-Out and Closing Remarks

**Intra-Basin Stakeholder Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines
November 19, 2020**

Breakout Topic Sessions

1. Intentionally Created Surplus (ICS)

Description: This breakout session will discuss past experience and observations related to the Intentionally Created Surplus (ICS) mechanism. Information related to ICS is primarily discussed in Section 7.5 of the Draft Report including forbearance, creation and delivery of ICS, annual creation and total accumulation limits, system and evaporation assessments, and observations related to the role of ICS in managing drought and in developing complementary activities such as the Drought Contingency Plan and agreements (Minutes) with Mexico. Section 7.6 also briefly discusses administration of and consultation related to ICS. Additional information on year-to-year ICS activity can be found in the Operational Documentation (Appendix A).

Subtopics:

- Purpose of ICS
- The role of forbearance
- Creation and delivery of ICS; system and evaporative assessments
- Flexibility in managing water supplies
- Administration of ICS in operational planning
- ICS as a drought response tool and encouraging conservation
- Role in complementary activities
- Effectiveness of ICS

2. Lake Powell and Lake Mead Operations

Description: This breakout session will discuss past experience and observations related to the operations of Lakes Powell and Lake Mead under the Guidelines, with the exception of ICS (as that is a topic of another breakout session). Relevant material can be found in Section 7 and Appendix A of the Draft Report. Topics may include: determination of Lake Powell and Lake Mead operating tier/condition, coordinated operations, Lake Mead operating conditions, operational outcomes projected vs. actual, and the accuracy of the 24-Month Study.

Subtopics:

- Factors affecting Lake Powell and Lake Mead conditions
- Interactions between projections and elevation thresholds and operational implications when elevations are near operational thresholds
- Coordination operations of Lake Powell and Lake Mead
- Operational projections from Guidelines Final EIS vs. actual conditions
- Operational information in Appendix A and the accuracy of the 24-Month Study

3. Effectiveness of the Guidelines (as it relates to the purpose and common themes)

Description: This breakout will discuss the effectiveness of the Guidelines as it relates to the purpose and common themes as articulated in the Record of Decision. It will also discuss the role of the Guidelines in complementary activities that occurred since the adoption of the Guidelines. Relevant material can be found in Section 3, 4, 8 and 9 of the Draft Report. Topics may include: Draft Report conclusions regarding effectiveness and how the complementary activities in the Draft Report relate to the Guidelines.

Subtopics:

- The Guidelines as a foundation for making additional operational decisions and conducting exploratory studies
- The ability of the Guidelines to provide flexibility to address further challenges
- Effectiveness of the Guidelines
- Complementary activities and the role of the Guidelines in those activities

Evaluation Plan for 7D Review Engagement Pilots

November 13, 2020, Draft

As described in the sections below, the evaluation of the 7D Review Engagement Pilots will draw from:

1. Online survey for Comment Form participants,
2. Online survey for Intra-Basin Stakeholder Discussion participants,
3. Three to five key informant interviews, and
4. Reflections and debrief between Reclamation staff and UArizona/Martin-McCoy team.

1. Comment Form Evaluation: Outreach Strategy and the Form Experience

A. Proposed Form Survey Process

The survey will be distributed via email link to a Qualtrics survey. Reclamation will email Comment Form respondents who elect to be contacted after the close of the comment period, on Monday, November 16th.

B. Draft Comment Form Survey Email Text

Email to come from the 7Dreview email account.

Dear Colleague,

Thank you for indicating your willingness to provide your thoughts on the use of the Comment Form to provide feedback and comments on the Draft Report of the 7D Review. The U.S. Bureau of Reclamation is piloting this new method of engagement, which we developed to provide an easier commenting experience.

To help us better understand the effectiveness of this tool and help guide improvements for future engagement efforts, please answer this brief survey in the next 3 days (link provided here).

Thank you,
KayLee D. Nelson

C. Draft Comment Form Survey Questions

1. How did you hear about the Comment Form?
 - a. Email from US Bureau of Reclamation Lower Colorado Division
 - b. Website of US Bureau of Reclamation Lower Colorado Division
 - c. News media
 - d. Social media
 - e. Word of mouth
 - f. Other (please specify)
2. To what extent do you see the form as a valuable mechanism to provide feedback on the 7D Report?
 - a. Extremely valuable
 - b. Valuable

- c. Somewhat valuable
 - d. Not at all valuable
- 3. Did you (or the entity you represent) also send a formal comment letter to the US Bureau of Reclamation on the 7D Report?
 - a. Yes
 - b. No
- If yes to question 3:*
- 4. Did the Comment Form prompt additional or different feedback than what you communicated in your letter? Explain.
 - a. (Open text response)
- 5. Please identify the sector that most closely describes the entity you represent:
 - a. Local Government
 - b. State Government
 - c. Tribal Government
 - d. Federal Government
 - e. Agricultural Water Provider/Association
 - f. Municipal Water Provider/Association
 - g. Non-Governmental Organization
 - h. Academic Institution
 - i. Other (explain)
- 6. Please identify the geographic location your entity resides in:
 - a. Arizona
 - b. California
 - c. Colorado
 - d. Nevada
 - e. New Mexico
 - f. Utah
 - g. Wyoming
 - h. Tribal Nation (please specify)
 - i. Mexico
 - j. Other (please specify)
- 7. Please provide any additional comments on the Comment Form as a method to provide input on the 7D Review.
 - a. (Open text response)

2. Intra-Basin Stakeholder Discussion Evaluation: Outreach Strategy and Facilitated Conversation Experience

A. Proposed Intra-Basin Dialogue Survey Process

The survey will be distributed via email link to a Qualtrics survey. Reclamation will email all participants of the Intra-Basin Dialogue immediately following the event on Thursday, November 19th.

B. Draft Intra-Basin Stakeholder Discussion Survey Email Text

Email to come from the 7Dreview email account.

Dear Colleague,

Thank you for participating in the Intra-Basin Stakeholder Discussion on the 7D Review. The U.S. Bureau of Reclamation is piloting this new engagement method, which we developed to allow entities to explain their comments to one another, strengthen relationships across the Basin, and provide additional feedback on the Draft Report of the 7D Review.

To help us better understand the effectiveness of this engagement method and help guide improvements for future engagement efforts, please answer this brief survey in the next three days (link provided here).

Thank you,
KayLee D. Nelson

C. Intra-Basin Stakeholder Discussion Evaluation Survey Questions

Title:

Evaluation Survey:

Intra-Basin Stakeholder Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines

Intro Text:

Thank you for participating in the Intra-Basin Stakeholder Discussion on Comments Regarding the Section 7.D. Review of 2007 Colorado River Interim Guidelines. This survey is brief and will only take 10 minutes to complete.

The U.S. Bureau of Reclamation is piloting this new engagement method, which they developed to allow entities to explain their comments to one another, strengthen relationships across the Basin, and provide additional feedback on the Draft Report of the 7.D. Review. Your responses will help Reclamation better understand the effectiveness of this engagement method and help guide improvements for future engagement efforts.

Questions:

1. To what extent do you see the Intra-Basin Stakeholder Discussion on the 7.D. Review as a valuable mechanism to provide feedback on the 7.D. Report?
 - a. Extremely valuable
 - b. Valuable
 - c. Somewhat valuable
 - d. Not at all valuable
2. Did you send a formal comment letter to the US Bureau of Reclamation on the 7.D. Report?
 - a. Yes
 - b. No

If yes to question 2:

3. Did the Intra-Basin Stakeholder Discussion allow you the opportunity to provide additional or different feedback than what you communicated in your formal comment letter? Please explain.
 - a. (Open text response)
4. Did you participate in the new Comment Form pilot activity?
 - a. Yes
 - b. No

If yes to question 4:

5. Did the Intra-Basin Stakeholder Discussion allow you the opportunity to provide additional or different feedback than what you communicated in the new Comment Form? Please explain.
 - a. (Open text response)
6. During the Intra-Basin Stakeholder Discussion, to what extent did you: (Strongly agree to strongly disagree scale provided)
 - a. Have sufficient time and opportunity to communicate your feedback and ideas on the 7.D. Report
 - b. Learn about different issues related to the 7.D. Review
 - c. Hear new perspectives from other representatives in the Intra-Basin Stakeholder Discussion
7. To what extent are you likely to reach out to people you met or reconnected with during the Intra-Basin Stakeholder Discussion than you would have otherwise?
 - a. Highly likely
 - b. Somewhat likely
 - c. Not likely at all
8. Please identify the sector that most closely describes the entity you represent:
 - a. Local Government
 - b. State Government
 - c. Tribal Government
 - d. Federal Government
 - e. Agricultural Water Provider/Association
 - f. Municipal Water Provider/Association
 - g. Non-Governmental Organization
 - h. Academic Institution
 - i. Other (explain)
9. Please identify the geographic location your entity resides in:
 - a. Arizona
 - b. California
 - c. Colorado
 - d. Nevada
 - e. New Mexico
 - f. Utah
 - g. Wyoming
 - h. Tribal Nation (please specify)
 - i. Mexico
 - j. Other (please specify)
 - k. Explain
10. Please provide any additional comments on the Intra-Basin Stakeholder Discussion as a method to provide input on the 7.D. Review.
 - a. (Open text response)

3. Proposed Interviews

UArizona/M2 may interview 3-5 key informants, as deemed necessary and recommended by Reclamation following implementation of the two pilot activities. The identification of key informants and interview questions will be determined collaboratively by Reclamation and UArizona/M2 team.

4. Reflections and De-brief

The UArizona/M2 team will facilitate a de-brief shortly after the Intra-Basin Dialogue to discuss reflections on the event. In addition, the UArizona/M2 team will facilitate discussion of broader reflections, lessons learned and metrics for success (see Appendix) following a review of the two participant surveys.

Appendix: Metrics for Success

A. Comment Form

We may consider the Form successful if:

- (1) The form is accessed and utilized by the group of reviewers who reliably and consistently provide feedback and/or who have already submitted formal comment letters as well as additional people who do not typically do so.¹
 - o Metrics
 - Reliably commenting entities use the Comment Form.
 - o Baseline
 - Compare to entities who submitted formal comments on the proposed scope and approach of the 7D review and who submitted formal comments on the draft report
 - o Data
 - Participation metrics in form responses
 - De-brief discussion with Reclamation
- (2) Participants offer novel and/or different perspectives and useful technical feedback that are not captured through more formal submitted comment letters.
 - o Metrics
 - Participants indicate this in the survey
 - De-brief discussion with Reclamation
 - o Baseline
 - 7D formal comment letters
 - o Data
 - Survey responses
 - De-brief discussion with Reclamation

B. Intra-Basin Stakeholder Discussion

We may consider the Intra-Basin Stakeholder Discussion successful if:

- (1) Approximately 50 participants with representation from each sector participate.
 - o Metrics
 - Number of participants
 - Representation in attendance across sectors defined in the Intra-Basin Stakeholder Discussion breakout
 - o Data
 - Attendance sheet
- (2) Every representative has an opportunity to speak and participate
 - o Data
 - Facilitator de-brief
 - Intra-Basin Stakeholder Discussion participant survey response
- (3) Participants indicate that they learned more about others' perspectives on the issues at hand

¹ Because the Comment Form provides the option for anonymity, the ability to measure continued or increased engagement from entities may be limited.

- o Metric
 - Majority of participants report they heard new perspectives
- o Data
 - Intra-Basin Stakeholder Discussion participant survey response
- (4) Participants indicate that they strengthened relationships with other participants
 - o Metric
 - Majority of participants report they are more likely to reach out to people they met or reconnected with than they would have otherwise
 - o Data
 - Intra-Basin Stakeholder Discussion participant survey response
- (5) In breakout by affiliation, participants offer ideas and feedback that are not captured through more formal comment letters or the forms.
 - o Metrics
 - Participants offer new comments that differ from the formal comment letters submitted
 - o Data
 - Meeting notes
 - De-brief discussion with Reclamation
 - o Baseline
 - Form responses and formal comment letters
- (6) Topic-specific discussions yield ideas that help inform revisions to the 7D Report by Reclamation staff.
 - o Metrics
 - Technical feedback from Intra-Basin Stakeholder Discussion is incorporated into the report
 - o Data
 - De-brief discussion with Reclamation