# Evaluation of Alternatives

#### **Evaluation of Alternatives**

- ◆ Objective: Compare Alternatives
- ◆ Types of Alternatives
  - -Site Location
  - -Design for Site
  - -Project Size
  - Phasing
  - -No-Action vs. Action (Build)
  - Timing

## Trade-Off Analysis Matrix

	Alternative							
<b>Decision Factor</b>	1	2	3	4				
Meeting Defined Need/Objectives								
Economic Efficiency								
Benefits								
Costs								
Social Impacts								
Socioeconomics								
Cultural Resources								
Visual Resources								
Hazardous Materials		17-47						

## Trade-Off Analysis (cont.)

	Alternativ						
<b>Decision Factor</b>	1	2	3	4			
Physical Impacts							
Water Quality/Quantity							
Soils/Geology							
Air Quality							
Noise Levels							
Ecological Impacts							
Terrestrial Systems							
Aquatic Systems							
Wetlands							
Species of Concern	11/1	71741					

#### Approaches to Alternative Evaluation

- ◆ Qualitative Descriptive Synthesis
- ◆ Quantitative Numerical Synthesis
- ◆ Importance-Weighting Techniques
  - Ranking Nominal Group Process
  - Rating Predefined Importance Scale
  - Paired Comparison
- ◆ Delphi Technique

### Qualitative - Descriptive Synthesis

Decision factor	Alternative										
	A1	A2	A3								
F1	Achieves 95% of identified needs and objectives.	Achieves 75% of identified needs and objectives.	Achieves 85% of identified needs and objectives.								
F2	Benefit-to-cost ratio is 1.3.	Benefit-to-cost ratio is 1.1.	Benefit-to-cost ratio is 1.5.								
F3 Undesirable social impacts expected.		No social impacts expected.	Beneficial social impacts expected.								
F4	Decreases overall environmental quality by 20%.4	Decreases overall environmental quality by 10%."	Decreases overall environmental quality by 10%. <sup>a</sup>								

<sup>&</sup>quot;Environmental quality is reflected by joint consideration of air and water quality and available habitat quantity and quality.

## **Numerical Synthesis**

- ◆ Predefine Impacts
- ◆ Predefine Scale
- ◆-5 to +5
- ◆ Evaluate Attributes

## Impact Rating Criteria

CUMMINS CREEK PROJECT—AIR-QUALITY-IMPACT RATING CRITERIA							
Rating	Criteria						
0	No potential negative impact.						
1	The potential negative impacts, based on the level of emissions, would be insignificant.						
2	The potential negative impacts, based on the level of emissions, would not be trivial, but would be handled by minimal controls.						
3	The potential negative impacts, based on the level of emissions, would be significant but manageable.						
4	The potential negative impacts, based on the level of emissions, would be serious and possibly unacceptable, but would be correctable.						
5	The potential negative impacts, based on the level of emissions, would constitute a "fatal flaw"—i.e., one that is not easily mitigable.						

## Impact Rating Criteria

CUMMINS CREEK PROJECT—ECOLOGICAL-IMPACT RATING CRITERIA										
Rating	Criteria									
0	No potential negative impact to important species or habitats; no existing habitats (vegetation and/or soils poor in quality and diversity or severely damaged.									
1	The potential negative impact to important species or habitats would be minimal.									
2	The potential negative impact to important species or habitats would be limited.									
3	The potential negative impact to important species or habitats would be substantial.									
4	The potential negative impact to important species or habitats would be only marginally acceptable.									
5	The potential negative impact to important species or habitats would be excessive and unacceptable. Site is within an area containing critical habitat for endangered or threatened species.									

## Impact Rating Criteria

Rating	Criteria
0	No impact, no conflict with known existing or proposed land use. No alteration from assigned visual- resource-management classification. Project not visible from public access road.
1	Minimal impact, minimal conflict with known existing or proposed land use. Minimal alteration from assigned visual-resource-management classification. Minimal disturbance of existing view from public access road.
2	Limited impact, limited conflict with known existing or proposed land use. Limited alteration from assigned visual-resource-management classification. Limited disturbance of existing view from public access road
3	Moderate impact, moderate conflict with existing or proposed land use. Moderate alteration from assigned visual-resource-management classification. Moderate disturbance of existing view from public access road.
4	Significant impact, significant conflict with known existing or proposed land use. The alteration from assigned visual-resource-management classification would be marginally acceptable. Project is highly visible from public access road. Considered marginally acceptable.
5	Major impact, major conflict with known existing or proposed land use. The alteration from assigned visual resource-management classification would be excessive and unacceptable. Project is highly visible from public access road. Considered unacceptable. Land-use and aesthetics concerns constitute "a fatal flaw to project development.

## Ranking - Nominal Group Process

- ◆ Interactive Group Technique
- ♦ Steps of Process
  - -Independent Writing of Ideas
  - -Round-Robin Listing
  - Group Discussion
  - Independent Voting on Priorities
  - Group Decision Based on Voting

### Rating – Predefined Importance Scale

Scale reference	Definition								
Very important	A most relevant point First-order priority Has direct bearing on major issues Must be resolved, dealt with, or treated								
2. Important	Is relevant to the issue Second-order priority Significant impact, but not until other items are treated Does not have to be fully resolved								
3. Moderately important	May be relevant to the issue Third-order priority May have impact May be a determining factor to major issue								
4. Unimportant	Insignificantly relevant Low priority Has little impact Not a determining factor to major issue								
5. Most unimportant	No priority No relevance No measurable effect Should be dropped as an item to consider								

\*Could use numbers or letter codes in the application; the pertinent rationale for the assigned importance weight should be specified in the study; finally, one to several decision factors, or possibly no decision factors, could be assigned to each scale reference.

Source: Linstone and Turoff, 1975, p. 137.

#### Paired Comparison

- ◆ Importance Weight Assignment
  - Factor Importance Coefficient (FIC)
- ◆ Alternative Pairing
  - Alternative Choice Coefficient (ACC)
- ◆ Product Matrix = FIC x ACC
- ◆ Total Score

## Data for Pair Comparison

Decision factor	Alternative										
	A1	A2	A3								
F1	Achieves 95% of identified needs and objectives.	Achieves 75% of identified needs and objectives.	Achieves 85% of identified needs and objectives.								
F2	Benefit-to-cost ratio is 1.3.	Benefit-to-cost ratio is 1.1.	Benefit-to-cost ratio is 1.5.								
F3 Undesirable social impacts expected.		No social impacts expected.	Beneficial social impacts expected.								
F4	Decreases overall environmental quality by 20%. <sup>a</sup>	Decreases overall environmental quality by 10%. <sup>a</sup>	Decreases overall environmental quality by 10%. <sup>a</sup>								

<sup>&</sup>quot;Environmental quality is reflected by joint consideration of air and water quality and available habitat quantity and quality.

## Importance Weight Assignment

Factor	Assignment of weight <sup>a</sup>									Sum	FIC	
F1	1	1	1	1							4	0.40
F2	0				1	0	1				2	0.20
F3		0			0			0	1		1	0.10
F4		76%	0			1		1		1	3	0.30
F5 (dummy)			370	0			0		0	0	0	0
Total				83%							10	1.00

<sup>&</sup>lt;sup>a</sup>It is vitally important that the rationale basic to each assignment be documented.

## Scaling of Alternative Related to Factors

Alternative				nme rab			Sum	ACC
A1	1	1	1				3	0.50
A2	0			0	1		1	0.17
A3		0		1		1	2	0.33
A4 (dummy)			0		0	0	0	0
Total							6	1.00

Alternative				nme rab			Sum	ACC
A1	1	0	1	П			2	0.33
A2	0			0	1		1	0.17
A3		1		1		1	3	0.50
A4 (dummy)			0		0	0	0	0
Total							6	1.00

## Scaling of Alternative Related to Factors

SCALING, RATING, OR RANKING OF ALTERNATIVES RELATIVE TO F3											
Alternative				nme			Sum	ACC			
A1	0	0	1				1	0.17			
A2	1			0	1		2	0.33			
A3		1		1		1	3	0.50			
A4 (dummy)			0		0	0	0	0			
Total							6	1.00			

Alternative	Assignment of desirability						Sum	ACC
A1	0	0	1				1	0.16
A2	1			0.5	1		2.5	0.42
A3		1		0.5		1	2.5	0.42
A4 (dummy)			0		0	0	0	0
Total							0 6	1.00

## Calculated Values

FIC AND ACC VALUES FOR EXAMPLE DECISION PROBLEM							
Decision factor		ACC values, by alternative					
	FIC values	A1	A2	А3			
F1	0.40	0.50	0.17	0.33			
F2	0.20	0.33	0.17	0.50			
F3	0.10	0.17	0.33	0.50			
F4	0.30	0.16	0.42	0.42			

Decision factor	F	C × ACC, by alternation	ve
	A1	A2	А3
F1	0.200	0.068	0.132
F2	0.066	0.034	0.100
F3	0.017	0.033	0.050
F3 F4	0.051	0.124	0.124
Total score	0.334	0.259	0.406

### Delphi Approach

- ◆ Interactive Technique
- ◆ Expertise in Field
- **♦ Steps of Process** 
  - Factor Identification Based on Collective Professional Judgment
  - Relative-Importance Weighting
  - Group Decision Based on Voting

## **Public Involvement**

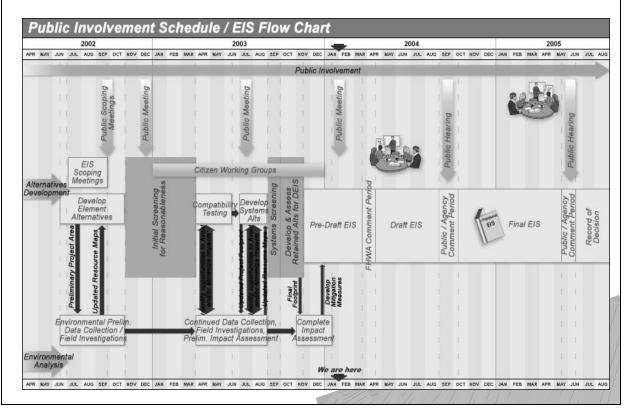
#### **Role of Public**

- ♦ NEPA's success depends of public disclosure and review
- ♦ NEPA requires invitation of public review and comment
  - Scoping
  - Draft EIS/EA
  - Public hearings
- ◆ Public Enforce NEPA
  - Involvement
  - Administrative Appeals
  - Litigation

#### **Public Participation**

- ◆ Regulatory Requirement (CEQ Regs)
  - Scoping
  - General Public-Involvement
  - Review of Draft EIS
- ◆ Public Participation? Public Relations
- ♦ Objectives of Public Participation:
  - Information Dissemination
  - Identification of Problems
  - Idea Generation/Problem Solving
  - Evaluation of Alternatives
  - Conflict Resolution by Consensus

### Points of Public Involvement

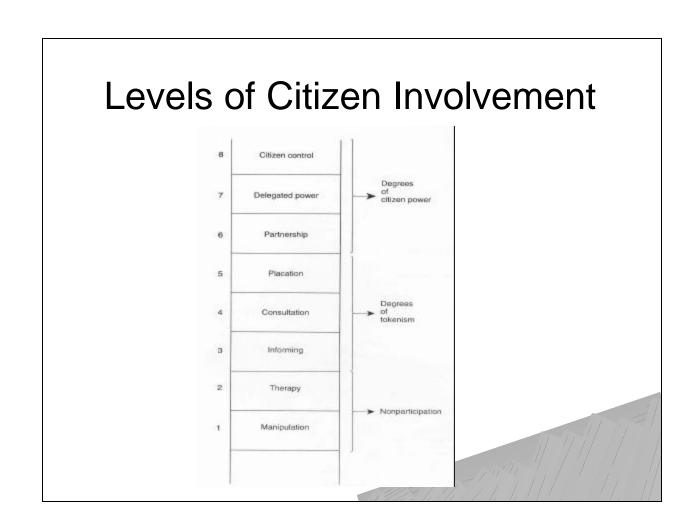


### Advantages/Disadvantages

- ◆ Advantages
  - Exchange Information
  - Source of Information on Local Views
  - Aid in Establishing Credibility of Process
- ◆ Disadvantages
  - Confusion (many new perspectives)
  - Erroneous Information
  - Uncertainty of Results of Process
  - Delay

## Levels of Public Participation

Awareness	Involvement	Participation		
Monologue	Dialogue	Empowerment		
Altering	Interaction	Planning		
One-way	Two-way	Partnership		
"Tokenism"	Engagement	Citizen Control		
"Manipulation"	Consultation			
Therapy				



### **Types of Publics**

- **♦ Persons Immediately Affected**
- **◆** Ecologist
- Business and Commercial Developers
- ◆ General Public

#### Techniques of Public Involvement

#### PUBLIC PARTICIPATION TECHNIQUES CLASSIFIED BY FUNCTION

Information dissemination
 Public information programs
 Drop-in centers
 Hot lines

Meetings—open information
2. Information collection

Surveys

Focused group discussions
Delphi-based techniques
Community-sponsored meetings
Public hearings
Ombudsman activities

3. Initiative planning

Advocacy planning Charettes Community planning centers Computer-based techniques Design-in and color mapping Plural planning

Task forces Workshops

4. Reactive planning

Citizens' advisory committees

Citizen representatives on policymaking boards "Fishbowl" planning Interactive cable TV-based participation Meetings—neighborhood Neighborhood planning councils Policy capturing Value analysis

5. Decision making

Arbitrative and mediative planning Citizen referendum Citizen review board Media-based issue balloting

6. Participation process support

Citizen employment
Citizen honoraria
Citizen training
Community technical assistance
Coordinator or coordinator-catalyst
Game simulation
Group dynamics

## Effectiveness of Techniques

Public	Public hearings and meetings	Printed brochures	Radio programs and news	TV programs and news	Newspaper articles	Magazine articles	Direct mail and newsletters	Motion picture, film	Slide-tape presentation	Telelecture
Individual Citizens	M	L	н	Н	н	L	L	M	M	L
Sportsmen Groups	M	M	M	M	M	н	н	н	н	м
Conservation- Environment Groups	М	M	М	М	М	н	н	н	н	М
Farm Organizations	M	M	м	M	M	н	н	M	M	M
Property Owners and Users	м	L	н	н	н	L	L	М	М	L
Business-Industrial	L	L	M	м	M	M	н	M	M	L
Professional Groups and Organizations	L	L	М	М	М	М	н	М	М	L
Educational Institutions	M	L	L	L	м	м	н	M	M	M
Service Clubs and Civic Organizations	L	L	М	М	М	М	L	н	н	М
abor Unions	L	L	M	M	M	L	L	M	M	L
State-Local Agencies	н	M	L	L	L	м	н	н	н	н
State-Local Elected Officials	н	М	L	L	L	L	н	н	н	н
Federal Agencies	н	M	L	L	L	L	н	M	м	M
Other Groups and Organizations	н	М	М	М	М	М	Н	н	н	М

# Problems in Implementing Programs

- ◆ Coordination Between Agencies
- ◆ Control
- ◆ Representativeness
- ◆ Dissonance

#### Practical Considerations for Implementation

- ♦ Coordination between federal/state/local agencies
- ◆ Delineate objectives of Public Participation Program
- ◆ Identify publics (develop a mailing list)
- **♦ Select Public Participation techniques**
- ♦ Develop Public Participation Program Plan
  - Elements of Program
  - Schedule of Program
  - Responsibilities

## Elements of a Public Participation Program

- Disseminate Information
  - News Media newspapers, radio, television
  - Newsletters regularly scheduled publication
  - Informational Meetings meet the expert
- ♦ Formal Public Meetings
  - Notice of Availability
  - Publicize Meeting (newspapers, radio, television)
  - Sufficient Room in Meeting Hall
  - Hand-Out Materials
  - Registration sign in to speak
  - Agenda

Open Remarks – Purpose, Ground Rules, Review Project Public Officials

**General Public** 

Transcript or Notes

#### Causes of Environmental Conflicts

- ◆ Different Understanding of Facts
- ◆ Different Values
- **♦ Different Interests**

#### Conflict Resolution

- **♦ Conditions Required:** 
  - Motivation Towards Resolution
  - Roughly Equals Power
  - Acceptable, Minimal Risk of Failure
  - Organizational Authority
  - Negotiability of Issues
  - -Control of Process
  - Focus Must Be Problem-Solving
  - -Focus of Interests of Parties

#### Impartial Third-Party Intervention

#### ◆ Roles:

- Create Climate of Trust
- Ensure Fair and Adequate Representation
- Brings Experts When Needed
- Break Deadlock (setting goals/deadlines)
- Suggest Solutions
- Outlines Implementation Plans

#### ◆ Strategy:

- Areas of Agreement
- Areas of Disagreement
- Conflict-Resolution Procedure
- Issue-by-Issue Negotiation

## Lessons Learned From Conflict Resolution

- ◆ People bargain as long as positive outcome is possible
- ◆ Issues must be apparent
- ◆ Parties must be willing to address issues
- ◆ Success depends on having enough issues to trade off
- ◆ Agreement is unlikely if parties must compromise fundamental values
- **♦ Limit number of participants**
- ◆ Pressure of deadline must be present

# Practical Management of NEPA Projects

# Constraints of NEPA Projects

- ◆ Results
- ◆ Budget
- ◆ Time

# NEPA Project Life Cycle

- ◆ Initiation
- ◆ Develop Detailed Plan
- ◆ Execution of Plan
- ◆ Produce Deliverables
- ◆ Final Approval

# **NEPA Project Initiation**

- ◆ Conceptualize Project
  - -Establish Project Objectives
  - Establish Deliverables
  - Estimate Costs
  - Estimate Schedule
- ◆ Obtain Project Authorization

### Develop Detailed Plan of Project

- ◆ Describe Objectives
- ◆ Describe Scope
- ◆ Define and Sequence Activities
- ◆ Estimate Duration and Resources
- ◆ Develop Schedule
- ◆ Develop Budget
- ◆ Develop Formal Quality Plan
- ◆ Develop Formal Communication Plan

# **Executing the Project**

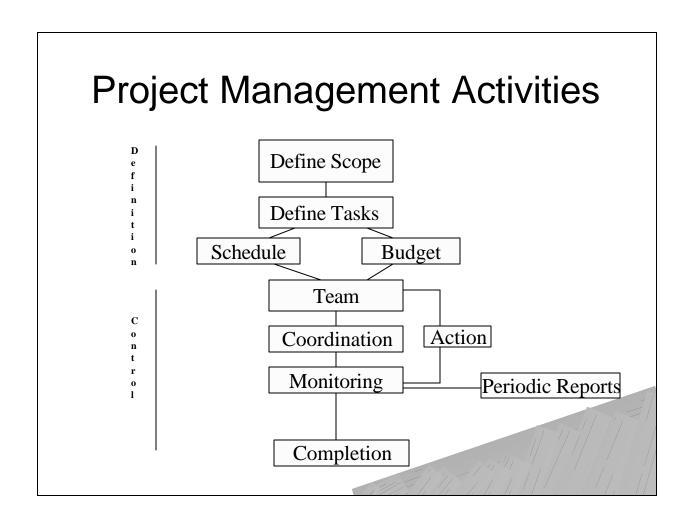
- ◆ Organize and Acquire Staff
- ◆ Periodically Summarize Results
- ◆ Identify Changes in Scope
- ◆ Identify Changes in Schedule
- ◆ Identify Changes in Budget

#### **Produce Deliverables**

- ◆ Create Prototypes
- ◆ Create Partial Deliverables
- ◆ Complete Integrated Deliverables
- ♦ Obtain Approval of Deliverables

# Finishing the Project

- ◆ Scope Verification
- ◆ Formal Acceptance of Deliverable
- ◆ Formal Acceptance of Project
- ◆ Administrative Closure
- ◆ Plan for Follow-up



# Define Scope of NEPA Project

- ◆ Specific Project Objectives
- ◆ Secondary Project Objectives
- ◆ Project Outcome
- ◆ Clarify Assumptions
- ◆ Document Decisions

#### **Define Tasks**

- ◆ Breakdown Project into Phases
- ♦ Visualize <u>All</u> Tasks by Phase
- ◆ Breakdown Tasks into Subtasks
- ◆ Sequence Activities
  - Network
  - Critical Path Method (CPM)
  - Program Evaluation and Review Technique (PERT)

# Tasks in a NEPA Project

#### A. Preliminary Activities 1. Identify basic issues - need for action technical alternatives geographic alternatives administrative/procedural alternatives 2. Identify authorizations needed for action: sponsor's authority & budget to proceed: legislative, presidential & judicial nonsponsor authority: budget; approval of specific parts of the action; permitting, licensing & special enabling action (as may be obtained by interagency land transfers, agreements, etc.) B. Scoping Develop mailing/notification list — federal agencies state agencies local authorities & Indian tribes - citizen & environmental groups - private parties with major stake in outcome 4. Prepare information package describe proposed action & alternatives describe potential environmental concerns - describe proposed scope of DEIS 5. Notify interested parties & invite comments. publish notice of intent in Federal Register mail notice and information package to selected government and private parties make information package available to public at designated locations B. Obtain and consider comments: — coffect comments (public meetings optional, if so announced in item 5) — consider all comments 7. Develop EIS preparation strategy incorporation by reference tiering of NEPA documents - integration of other federal & state laws (i.e., concurrent compliance plan) participation of other federal & state agencies role of Indian tribes 8 local governments preliminary assessment of motivations for judicial review. preliminary strategy to avoid judicial review (e.g., agreements, mitigation measures, etc.) plan to manage public communications & to respond to public concerns

#### Tasks in a NEPA Project

C. Draft EIS (DEIS) Preparation 8. Prepare EIS implementation plan: - work breakdown structure (WBS) budget & schedule
 responsibilities for preparation 9. Prepare prelim. DEIS (Prepare checklist per WBS) 10. Comply with internal agency review procedures 12. Publish notice and invite comments mailing list availability in public places optional scheduling of public meetings 13. Obtain comments correspondence
 public meetings (optional)
 coordination meetings with government agencies 14. Respond to comments make changes - enlarge EIS scope (new WBS elements) - negotiate & adopt mitigation measures - prepare written record of response to comments D. Final EIS 15. Produce final EIS (Expand checklist per new WBS) 16. Comply with internal agency review procedures 17. Distribute final EIS & invite comments 18. Receive & consider comments on final EIS E. Record of Decision (ROD) 19. Prepare draft ROD 20. Follow internal agency review procedures 21. Publish ROD in Federal Register Source: Freeman, March, and Spensley, 1992, pp. 106-107

#### **Develop Schedule**

- ◆ Use Project Task Sequence
  - Dependent Tasks
  - Independent Tasks
- ◆ Plan Start Dates
- ◆ Estimate Duration of Each Task
- ◆ Meet with Team
- ◆ Modify Schedule to Achieve Completion Date
- ◆ Prepare Gantt Chart

# **Prepare Budget**

- ◆ Prepare Budget by Phase and Task
- ◆ Preliminary Labor Estimate
- ♦ Materials/Travel
- ◆ Overhead
- ◆ Consult with Team
- ◆ Modify Budget
- ◆ Prepare Budget

#### **Budget Estimate for NEPA Project**

Phase	Task	Personnel	Rate	Hours	Labor Cost	Materials/Travel	Cost
Total							
Fringe Benefits (35% of labor cost)							
(0070 01 10001 0031)					<u> </u>		
Indirect Costs							
(75% of Costs)							1791
Project Total					11/1/11		

# Organizing Your Team

- Identify Project Needs by Phase and Task
- ◆ Identify Potential Problem Areas
- Request Team Members
- Involve Team in Planning
- Get Team's Commitment
- Set Out <u>Clear</u> Responsibilities/ Time/Budget

# **Expertise Needed for NEPA Projects**

Natural resource	Subcomponent	Specialist		
Air	Air quality Wind direction/speed Precipitation/humidity Temperature Noise	Air quality/pollution analyst Air pollution control engineer Meteorologist Noise expert		
Land	Land capability Soil resources/structure Mineral resources Tectonic activity Unique features	Agronomist Solls engineer Soils scientist Civil engineer Geologist Geotechnical engineer Mineralogist Mining engineer Engineering geologist Seismologist		
Water	Surface waters Groundwater regime Hydrologic balance Drainage/channel pattern Flooding Sedimentation	Hydrologist Water pollution control engineer Water quality/pollution analyst Marine biologist/engineer Chemist Civil/sanitary engineer Hydrogeologist		
Flora and fauna	Environmentally sensitive areas: wetlands, marshes, wildlands, grasslands, etc. Species inventory Productivity Biogeochemical/nutrient cycling	Ecologist Forester Wildlife biologist Botanist Zoologist Conservationist		
Human	Social infrastructure/institutions Cultural characteristics Physiological and psychological well-being Economic resources	Social anthropologist Sociologist Architect Social planner Geographer Demographer Urban planner Transportation planner Economist		

#### Coordination

- ◆ Provides Critical Links team, information
- ◆ List of Team Members e-mail/fax/phone
- Inform Other Managers before/during project
- ◆ Meet with Team Member
  - Review Schedule
  - Review Budget
- ◆ Resolve Conflicts other priorities
- ◆ Relay Exactly What is Expected

### Monitoring

- ◆ Develop Quality Plan
  - Define Standards of Performance
  - -Schedule
- ◆ Review On-Going Work
- ◆ Review Budget
- ◆ Review Schedule
- ◆ Identify Conflict Between Team Members
- ◆ Solve Problems as They Arise

# Periodic Reporting

- ◆ To Team
  - Key Phases of Project
- ◆ To Management
  - Regularly with Accurate Information
  - Include Bad News with Solutions
- ◆ To Client
  - Regularly
  - -Warn of Bad News Before It Happens

# **Supporting Documentation**

- ◆ All Team Members Need It
  - Sequence of Phases and Tasks
  - -Schedule
- ◆ Narrative Instructions
- ◆ Change in Schedule/Budget
- ◆ Change in Scope