

# STANDARD OPERATION MANUAL/Procedure SOP #: ENG-001 / Version:

01.01

Creation Date: 05/20/08

SOP Owner: Last Reviewed: 07/01/08

Madison Water Utility Section: Engineering Updated: 07/02/08

**Comment [bs1]:** This document and its representation to the public seems compromised by the inconsistent use of "Standard Operation Manual" and the subsequent use of the short form "SOP" which apparently stands for "Standard Operating Procedure." I suggest that the document be officially amended to reflect one or the other of these designations consistently.

## Public Participation Process For Water Utility Facilities

### 1. Purpose/Background

*Please describe any relevant background information- and a description of why the procedure or guidance is necessary such as ~~regulatory or~~ City of ~~Madison or~~ other regulatory agency.*

The Common Council directed the preparation of this Standard Operating Procedure (SOP) on January 8, 2008, by Resolution (File ID: 08023). The purpose is to provide for a process for site selection, planning, and design of new Water Utility facilities, including but not limited to test wells, municipal water wells, reservoirs, pump stations, and control valve facilities; and a process for informing and involving ~~stakeholders-community members~~ in the vicinity of proposed Water Utility facilities in the decision making process.

**Comment [bs2]:** The word 'Stakeholders' implies a select and pre-identified selection of community members. This term often leaves 'other' community members feeling left out of the invitation and the process, and often contributes to the often observed discomfiture of community members.

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### 2. Scope

*Identify the intended audience and/or areas where the SOP may be relevant and specific operations covered by the SOP.*

The scope of this procedure is intended to cover the public participation process for Water Utility projects requiring new facility sitings or significant alterations to the footprint or driveways of existing facilities. It is not intended to address the installation or replacement of the distribution system, the extension of water mains and services to new developments and the maintenance and replacement of the existing structures provided that the footprint of the building does not change in a significant ~~fashion.~~

**Comment [bs3]:** This paragraph seems to limit public engagement to the disposition of 'built facilities' only. It does not appear to include the level of public engagement that we undertook in the ESWS project

### 3. Guidelines

*Provide the information needed before proceeding with the listed procedure. This may include necessary tools, equipment, documents, and/or certifications and licenses.*

The construction of new municipal water wells, reservoirs, pump stations and control valve facilities are major investments for the WU and are generally described in the Master Plan and Infrastructure Management Plan Report. The Master Plan and the Infrastructure Management Plan Report guide long-term improvements to the infrastructure of Madison's drinking water system by identifying potential deficiencies and proposes programs and scheduled capital improvement projects to sustain current levels of service to Water Utility customers.

The Water Utility Board approved the current version of the Infrastructure Management Plan Report in 2005 and the current Master Plan in 2006. It is anticipated that both of these plans will be updated approximately every five years.

Capital improvement projects, as defined and scheduled in the Water Utility's planning documents, shall be evaluated for necessity, re-prioritized, and scheduled into the City of Madison 10-year budget and the Water Utility Operating Budget annually. This evaluation shall include current and projected consumption levels, fire-flow requirements, ~~current~~ and ~~current~~ hydraulic-modeling information for the current conditions and a 5-year and 20-year planning window, and Dane County Groundwater Model information.

#### 4. Procedure

*Describe a step-by-step outline ~~on~~ of the methods used in order to meet the purpose. (Includes flow chart and/or graphics)*

Upon approval of the annual Water Utility Operating Budget by the Common Council, the Water Utility General Manager shall schedule the following tasks:

1. Establish an umbrella/standing Citizens Advisory Panel (CAP) to advise the Utility as it proceeds with the roll out of all projects requiring public engagement.
  - (a) Advise on the writing of all Requests for Proposals (RFP's) that involve public engagement.
    - 1) Specifically monitor to include language that engages the public and exclude language that simply informs the public.
  - (b) For each project establish the targeted level(s) of public engagement based on the International Association for Public Participation (IAP2) Spectrum's "Increasing Levels of Public Impact:
    - Inform
    - Consult
    - Involve
    - Collaborate
    - Empower
  - (c) Advise and assist with the recruitment of community members to serve on all project-specific CAPs.
  - (d) Assist in the training of persons new to the CAP process.
  - (d) Monitor and stand ready to assist in the activities of individual CAPs

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42. Prepare a Scoping Document, Communication Plan, and Public Participation Plan for each project requiring the siting of a new Water Utility facility or significant alteration to the footprint of an existing Water Utility facility. These documents shall be developed at the beginning of the project and define the project's scope, purpose, justification, phasing, and public communication methods. (The documents shall be accommodating to adjusting plans, where feasible, to meet public needs and goals.) Together with the Public Participation Plan (4.6), these documents shall guide and facilitate early and active public participation through the development, implementation, and construction of significant Water Utility facility projects.

(a) The Scoping Document shall consist of:

- 1) A description of the project, including a map showing existing facilities, approximate location of proposed facilities, documented contaminated sites, the extent of the Eau Claire shale (if applicable) and the location of floodplain areas.
- 2) The purpose and necessity of the project, with supporting data including recent and anticipated water consumption data and hydraulic model summarizations.
- 3) The projected affect of the project on quality and reliability of service, and hydrologic impacts.
- 4) A description of alternative projects or programs considered (This does not include specific site comparisons during early phases of the project).
- 5) Photographic examples of similar facilities with discussion of possible variations.
- 6) The cost of the project by major plant accounts.
- 7) The proposed method of financing the project.
- 8) The estimated annual operating costs of the project, by major expense accounts, to include possible fiscal effects of water treatment if anticipated.
- 9) A description of and the original cost of any property being replaced, by major plant accounts.
- 10) The designation of public utilities, alders, and other persons materially affected by the project and a list of those, which have been notified.
- 11) A draft request for proposals (RFP) for the acquisition of services to determine the impact on values of adjoining properties.
- 12) A description of the draft site selection criteria to be used in locating, evaluating, and ranking potential sites for the proposed facility. Site selection criteria categories will include regulatory requirements, groundwater quality and quantity, aesthetic impact, compatibility with existing neighborhood context, historic land use, existence of natural buffers, and environmental equity/justice considerations.

13) The estimated project timeline, with which identifies major project phases and decision points requiring an approved resolution from the Water Utility Board. Project phases requiring a resolution shall, at a minimum, include the establishment of the proposed project, the facility site selection, and the site plan selection.

(b) The Communication Plan shall consist of:

- 1) A preliminary list of identified all possible stakeholders interested parties including, neighborhood associations/groups, environmental groups, businesses, organizations, schools, and elected officials.
- 2) A project mailing list based on the identified stakeholders above.
- 3) Project Manager/Engineer contact information.
- 4) Request to convene the initial Citizen Advisory Panel.
- 5) A description of how the project will communicate project information, results of public input, and project decisions (i.e. mailings, newsletters, listserv, Legistar, and website updates).

**Comment [bs4]:** See above regarding stakeholders. In addition: Whenever we use the term 'stakeholders' we automatically exclude persons who do not, for whatever reasons, qualify or see themselves as 'stakeholders' ... this terminology tends to have an 'exclusionary' affect. And does not serve a true openness to 'public engagement.'

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**Comment [bs5]:** See other references to 'stakeholder'

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(c) The Public Participation Plan and project timeline shall be designed to allow for effective public involvement throughout each phase of the project. Public participation opportunities shall be offered in all phases of the project with ample time for input prior to major project decisions.

- 1) Example public participation opportunities beyond participation in the Citizen Advisory Panel may include: open houses, public workshops, websites, project kick-off meeting, feedback cards, surveys, and public comment meetings.
- 2) The Public Participation Plan shall include feedback documentation regarding how public participation input affected draft resolutions or significant project decisions. The feedback shall be distributed according to the Communication Plan.
- 3) The Madison Water Utility will perform the requested notification of all public meetings. Although no meeting will fit all schedules, Water Utility staff shall make every reasonable effort to accommodate the public. All Water Utility Staff and consultants shall be identified by introduction and nametags at meetings.
- 4) Public meetings shall be held in facilities convenient to the Citizen Advisory Panel and the expected public attendees.

**Comment [bs6]:** The communication plan requires active participation by the Utility's communication office. This did not happen in the ESWS project

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23. Meet with the Alder(s) and Mayor's representatives to review/revise the Scoping Document, Communication Plan, and Public Participation Plan.

**Comment [bs7]:** I'm not aware of this happening in the ESWS project.

34. Post all information on the WU web page and in accordance with the proposed Communication Plan.

**Comment [bs8]:** When this is done well the Utility communication office will take a proactive role ... This did not happen in the ESWS project

45. Notify identified stakeholders, residents, and property owners, businesses and other interested parties within the vicinity that the Water Board will consider the Scoping Document, Communication Plan, and Public Participation Plan. The notice shall be sent by first class mail at least 10 but not more than 30 days before the Water Utility Board meeting at which the Board will take up this matter.

Comment [bs9]: Did this happen?

The notification shall include:

- (a) The date, time, and location of the Water Board Meeting.
- (b) The URL links to the Scoping Document, Communication Plan, and Public Participation Plan.
- (c) A map indicating those notified.
- (d) An invitation to participate in the Citizen Advisory Panel.
- (e) A press release to include a request for public comments, the URL links to the Scoping Document and
- (f) Communication Plan, and Project Listserv information.

Comment [bs10]: This item duplicates part of item (b)

56. Submit the Public Scoping Document and Communication Plan to the Water Board. Refer for one-month.

Comment [bs11]: This item, specifically, as well as others in this document will have more clarity if a time-line chart accompanies this document.

67. Following the submittal of the draft Scoping Document, Communication Plan and Public Participation Plan to the Water Board for referral, convene the Citizen Advisory Panel to work with the Project Engineer/Manager to review the project, and prepare for the first public meeting. The project review shall at a minimum include the following criteria.

Comment [bs12]: At what point in this process does the make-up of the Citizen Advisory Panel get defined

Comment [bs13]: What is the purpose of this 'first' public meeting?

- (a) Review the accuracy of the Scoping Document (4.1.(a)).
- (b) Review the Communication Plan stakeholder list (4.1.(b)1), mailing list, (4.1.(b)2) and project communication criteria (4.1.(b)5) to ensure that the public has adequate access to project information.
- (c) Review the Public Participation Plan for public involvement opportunities adequately prior to each major project phase and decision point. Participation methods may require modification to accommodate specific needs or requests from the community.

78. Conduct the first public meeting presenting the basic need purpose for the project, the issues involved, the regulatory approval process, the Public Participation Plan, and document the public response to these presentations.

Comment [bs14]: The word 'need' suggests a Water Utility centric approach.

89. Compile comments and develop-start a FAQ (frequently asked questions) document that will be distributed in accordance to the Communication Plan.

910. If required, conduct a second public meeting no sooner than 30-days following the first meeting. Hold comment period open for an additional 30-days.

Additional public meetings may be required.

1011. Schedule a public hearing before the Water Utility Board, presenting the public comments. Notify the residents in the vicinity and the identified stakeholders/other interested parties. Include a draft resolution with the notification to request completion of Phase I – Establishing the Project.

As defined in the project timeline, the completion of the initial project phase establishes the proposed project with a decision point (the approved resolution). If additional requirements are necessary based on the project timeline they must also be completed. At this point, the Scoping Document and a Communication Plan shall be revised to accommodate additional project information, revised stakeholders, and Citizen Advisory Panel changes in preparation for the next project phase. The project phases continue as outlined in the project timeline (see procedure step 4.1.(a)13).

## 5. Citizen Advisory Panel

*Clearly identify the primary role of the Citizen Advisory Panel in this SOP and list their responsibilities as it relates strictly to this SOP (Can include contact information).*

The Citizen Advisory Panel (CAP) is composed of voluntary stakeholders community members working with the Project Manager/Engineer to improve project decisions/conclusions by providing recommendations/advories based on the knowledge and preferences of the public. The CAP shall elect/establish a point-of-contact/contact person to represent the group regarding correspondence communications and interactions with the Project Manager/Engineer.

The CAP shall initially consist of stakeholders and interested citizens/community members based on response to procedure step (4.4(d)). The CAP in collaboration with the Project Manager/Engineer shall review inclusively/inclusivity and panel composition to ensure that all affected stakeholders community members are offered representation on the CAP throughout each phase of the project.

The CAP, in collaboration with the Project Manager/Engineer has the following primary functions:

### 1. General Functions:

(a) Provide input and recommendations/advories to the Project Manager/Engineer

**Comment [bs15]:** The word 'decision' leads the public to believe that they will actually make decisions when in fact decisions will only be made by the Water Utility Board.

**Comment [bs16]:** The word 'recommendations' suggests that a public engagement process will produce a set of recommendations supported by the public engagement participants and does not tend to allow for differing points of view on a given subject. The word 'advisory' more readily allows for a range of thought being brought to the board for their consideration.

**Comment [bs17]:** The word 'citizen' excludes persons living in the community who do not hold 'USA citizenship' and who reside in the community legally.

**Comment [bs18]:** I think the word 'inclusivity' is intended here (?)

regarding the public goals, preferences, and community values as they relate to the proposed project.

- (b) Report CAP **recommendations-advisories** to the Water Utility Board.
- (c) Participate in public participation events as outlined in the Public Participation Plan.

## 2. Establishment of the Proposed Project Phase:

- (a) Together with the Project Manager/Engineer, the CAP will review the project and **recommend** any revisions **(particularly relevant to public engagement)** ~~to~~ prior to the draft resolution of the initial project phase.

- 1) At a minimum this review shall include the Scoping Document, the Communication Plan, and the Public Participation Process (see procedure step 4.6).

## 3. Facility Site Selection Phase:

- (a) Review the facility siting criteria and **recommend** revisions to the Project Manager/Engineer.
- (b) Review the initial site identifications and rankings and **recommend** revisions to the Project Manager/Engineer.

- 1) Additional documentation for site selection to be provided to the CAP should include hydraulic modeling data, Wisconsin DNR exclusionary set-backs, detailed cost analysis, real estate assessments, aerial site photos, schematic site plans indicating adjacent land uses, and aerial and contextual photos of existing similar facilities for comparison.
- 2) All sites developed for consideration will be equally weighted and no bias will be given to property currently owned by the Water Utility. For sites purchased by the Water Utility in long-term foresight and planning for future facilities, steps will be taken to integrate the facility site into the neighborhood to make it acceptable to area residents as the neighborhood develops.

- (c) Review and provide **recommendations** to the Project Manager/Engineer regarding the detailed cost analysis of potential facility sites to ensure:

- 1) That neighborhood quality "costs" are estimated to account for potential damage to neighborhood character and quality of life. Any estimated costs will include reasonable mitigation efforts and costs to lessen a project's impact on the neighborhood.
- 2) The hydraulic impact costs of a particular site on total project costs will be part of the economic analysis of a proposed site, however, alternative locations involving pipeline improvements may be able to offer cost estimate savings through potential coordination with scheduled infrastructure improvement or

**Comment [bs19]:** Interestingly when we use the format of 'advisories' rather than recommendations we will find that the tendency of the participants will be to evolve toward consensus with the result of an often singular advisory. This happens because those involved feel heard and their various points of view are honored. In this mode these differing points of view have a strong tendency to evolve through conversation to an amalgamated advisory that takes into account several different perspectives. Whereas, if the 'recommendation' approach is used the participants will begin struggling against each other for their own particular recommendation.

If in the end the participants do, indeed, maintain differing points of view, the board has the advantage of seeing them put down side by side for comparison and final decision by the board.

It's important that the community has clarity that decision-making responsibility rests with the Board. If the community, or any subset of the community does not concur with the Board's decision they have a political process through which to seek redress.

**Comment [bs20]:** In this case the word 'recommend' has more utility and authenticity than in other contexts in this document.

**Comment [bs21]:** If the CAP cannot achieve a defining recommendation, they will be well advised to fall back to an 'advisory' which allows for a variety of points of view for the project Manager/Engineer to consider.

**Comment [bs22]:** See [bs20]

**Comment [bs23]:** See [bs20]

replacement projects. See 2005 Madison Water Utility Infrastructure Management Plan Report.

- (d) The panel may request additional information and recommend methods of obtaining data (e.g., hydraulic modeling scenarios, technical consultation, public survey, additional public meetings).

#### 4. Site Plan Selection Phase:

- (a) Review the site design criteria and **recommended** revisions to the Project Manager/Engineer after the Madison Water Utility Board and/or City of Madison Common Council approve a facility site.
  - 1) The site design criteria shall include, but not be limited to, the placement and orientation of the proposed facility and the proposed architectural treatment in such a fashion that respects the character, scale, and value of existing structures; promotes pedestrian activity; and maximized opportunity to protect and enhance green open space.
  - 2) Site design documentation to be provided to the CAP should include a detailed site plan including adjacent properties, paved areas, and landscaping; schematic renderings to represent the mass of the proposed structure on the site; and cost analysis.
- (b) Review the building design, materials, and detailing to ensure that the proposed facility architectural treatment and scale respects the character of the neighboring properties. Recommend revisions to the Project Manager/Engineer.
  - 1) Building design documentation to be provided to the advisory group should include site plans, landscaping plans, building plans, elevations, details, and a representational perspective of the final building on the site.

Comment [bs24]: See bs[20]

## 6. Roles & Responsibilities

Clearly identify key personal personnel (job title) that will have a primary role in this SOP and list their responsibilities as it relates strictly to this SOP (Can include contact information)

### 1. General Manager:

- (a) Assign a Project Engineer/Manager to each project requiring a new water facility or significant alterations to the footprint of existing facilities.
- (b) Review all correspondence regarding the project.
- (c) Coordinate, schedule and budget for proposed projects as itemized in the Water Utility Master Plan and the Infrastructure Management Plan Report.
- (d) Review project progress and approve requests for staff resources accordingly.



## 2. Principal Engineer

- (a) Coordinate, schedule and budget for proposed projects as itemized in the Water Utility Master Plan and the Infrastructure Management Plan Report.
- (b) Review project progress and approve requests for staff resources accordingly.
- (c) Review all correspondence regarding the project.

## 3. Project Engineer/Project Manager:

- (a) Serve as the point of contact regarding project concerns and prepare correspondence for General Manager.
- (b) Plan, organize and manage resources required for the successful completion of the project.

## 4. Public Information Officer (PIO):

- (a) Consult Project Engineer/Project Manager regarding effective communication practices.
- (b) Assist in all aspects of project communications.
- ~~(b)~~ (c) Maintain and monitor the execution of the External Communications Plan.

## 5. Citizen Advisory Panel (CAP)

- (a) See procedure step 5 for details.

## 7. Monitoring Requirements

*Define the need, frequency, and methods of conducting assessments and/or monitoring such as physical analysis of a covered process or internal and/or external controls. (ET Confined space entry, lock-out/tag-out permits)*

As required by the Water Utility Board, a third party evaluation team may be used to analyze the procedure and give periodic performance reports and recommendations under the direction of the Water Utility Board.

Comment [bs25]: What constitutes a 'third party' ?

## 8. Record Management

*Identify specific records produced as part of SOP. Identify specific means (I.E. hard copy, pdf, etc) and location (Olin Ave-Engineering Section-project file; F:\Wucommon\SOP\WQ) of storage; retention period; and disposition method.*

As required by the Communication Plan, the project will provide public access to project information.

1. The document library shall be located through either the Madison Water Utility website or Legistar depending on the scope of the project.
2. All public meetings shall be digitally recorded.

The CAP will have access to all data and documents pertinent to the project either through the document library or by requests submitted by the CAP Point-Of-Contact to the Project Manager/Engineer.

## **9. References**

*This section should list any additional resources that may be useful in performing the procedures. These may include:*

Common Council Resolution (File ID:08023), Adopted January 8, 2008

Wisconsin Administrative Code Chapter PSC 184, Construction by Water Public Utilities and by Municipal Water and Sewer Public Utilities Combined Under S. 66.0819, Stats.

### **9.1 Standards**

*Regulatory References should be listed here:*

Wisconsin Administrative Code Chapter NR 811, Requirements for the Operation and Design of Community Water Systems

Wisconsin Administrative Code Chapter NR 108, Requirements for Plans and Specifications

Water Utility facilities shall be designed in accordance with the respective codes of the State of Wisconsin including the Natural Resources Project. Building structures will require the approval the Plan Commission and the review of the Urban Design Commission (approval if located in an Urban Design District), the Water Utility Board, the Board of Public Works, and the Common Council.

### **9.2 Other SOP's**

*SOPS referred to in any other section of this document should be listed here:*

Madison Water Utility 2007 External Communications Plan (Version 6)

### **9.3 Supplementary Documents**

*The title of any forms available or used in this procedure should be listed here. Any documents included in the appendices should also be included here.*

Madison Water Utility – Water Master Plan (December 2006)

Madison Water Utility – Infrastructure Management Plan Report (2005)

## **9. Definitions**

*This section should highlight and define frequently used terms and provide additional and/ or relevant information needed in order to use and understand this SOP.*

| For Example:

Vicinity - Residents and property owners within one-quarter mile of the new Water Utility facility shall be determined to be within the vicinity when a specific site has been selected. During the site selection process, the “vicinity” may be much larger in scope.

**10. Updates**

*Each Section shall review and update this SOP annually. This review shall occur no later than the last day of the month to be inserted by the SOP owner each year.*

| [Edits to this document](#)