

IEP COMMUNICATION AND ENGAGEMENT PLAN



Interagency Ecological Program

COOPERATIVE ECOLOGICAL
INVESTIGATIONS SINCE 1970

Interagency Ecological Program Member Agencies:

California Department of Fish and
Wildlife
California Department of Water
Resources
State Water Resources Control Board
National Marine Fisheries Service
U.S. Army Corps of Engineers
U.S. Bureau of Reclamation
U.S. Environmental Protection Agency
U.S. Fish and Wildlife Service
U.S. Geological Survey

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1. Interagency Ecological Program

For more than 40 years, the Interagency Ecological Program (IEP) has supported collaborative and scientifically sound ecological monitoring, research, modeling, and synthesis efforts of the Bay-Delta ecosystem to inform operation and enhanced management of the State Water Project (SWP) and Federal Central Valley Project (CVP). Over the years, this program has expanded both in the scope of projects undertaken and the involvement of state and federal agencies and stakeholders interested in the protection of the San Francisco Bay / Sacramento-San Joaquin Delta (Bay-Delta). Participating agencies, today, include several California state agencies (Department of Water Resources, Department of Fish and Wildlife, and State Water Resources Control Board) and several federal agencies (U.S. Fish and Wildlife Service, Bureau of Reclamation, U.S. Geological Survey, U.S. Army Corps of Engineers, National Marine Fisheries Service (NMFS), and U.S. Environmental Protection Agency). These agencies have defined a common vision and mission for IEP which guides decisions relative to IEP and the program's actions.

Vision

The highest quality science contributes to achieving a reliable and sustainable water supply and a healthy Bay-Delta ecosystem.

Mission

The mission of the IEP is to provide and integrate relevant and timely ecological information for management of the Bay-Delta ecosystem and the water that flows through it. This is accomplished through collaborative and scientifically sound monitoring, research, modeling, and synthesis efforts for various aspects of the aquatic ecosystem. The IEP addresses high priority management and policy science needs to meet the purposes and fulfill responsibilities under State and Federal regulatory requirements. The IEP relies upon multidisciplinary teams of agency, academic, non-governmental organization (NGO), and other scientists to accomplish its mission.

These agencies work together to develop a better understanding of the estuary's ecology and the effects of water project operations on the physical, chemical, and biological conditions of the Bay-Delta (see *Appendix A – IEP Organizational Chart*). Effective communications and engagement among all involved in IEP are critical to achieving this greater understanding and determining the best actions needed to protect and, where possible, enhance conditions in the Bay-Delta.

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1.1 Purpose and Scope of the Communications and Engagement Plan

The purpose of this Communications and Engagement (C&E) Plan is to guide IEP internal and external communications and efforts to involve stakeholders as valued partners. The C&E Plan will clearly define the intended approach, avenues and timing by which communication will be accomplished both among the IEP agencies as well as externally. The intent is to provide clear definition setting the stage for how the expectations of all involved might be satisfied. This plan will periodically be reviewed and updated as needed.

Specifically, IEP participants are individuals from IEP member agencies with identified IEP roles. IEP stakeholders are interested entities who may affect, be affected by, or perceive themselves to be affected by a decision, activity or outcome of the IEP. As such, IEP's stakeholders generally include:

- Projects and programs of member agencies not directly involved in IEP day-to-day activities
- Other local, state and federal agencies who are not members of IEP
- Non-governmental organizations (NGO)
- Water contractors
- Academia, researchers, and scientists
- Business owners, land owners, farmers, recreational and commercial fisheries, and ranchers
- Members of the public

Specific stakeholder organizations that participate in IEP are listed on the IEP website at: <http://www.dwr.water.ca.gov/iep/about/stakeholdergroup.cfm>. This list will be updated periodically by the IEP Program Manager to ensure it is current and inclusive of all stakeholders. It is the intent of the IEP participants to proactively reach out to and engage interested stakeholders in these groups to ensure full transparency and involvement to best inform decisions and consider all perspectives related to the Bay-Delta.

Understanding who to engage and why, when to engage and in what forum, and what tools are available and how to use them will improve IEP communications and the effective use of time and resources. IEP internal participants must actively and successfully engage its stakeholders to build credibility, trust, and respect as the sponsors of high quality science regarding the Bay-Delta. Engagement is an invaluable tool that IEP can use to create and maintain important relationships with its stakeholders. It provides transparency to decisions made in the program and offers mechanisms to hold participants accountable. As with any tool, this one requires investment, attention and continual maintenance to keep it in good working order. It is a

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consistent series of long-term interactions involving dialogue, listening, learning, understanding and involvement.

1.2 IEP Guiding Principles

In 2013, the IEP Agency Directors adopted the program’s guiding principles, many of which focus on communication and engagement to better inform adaptive management of the Bay-Delta. The overarching principles are listed below with the complete list provided in *Appendix B* and on the IEP website: <http://www.dwr.water.ca.gov/iep/>.

- Collaborative Science Leadership for the Bay-Delta
- Science Collaboration, Coordination, and Integration
- Relevant, Responsive, and Adaptive Science
- Objectivity, Inclusiveness, Consistency, Continuity and Transparency

1.3 Adaptability and Learning

Throughout the various processes implemented by the IEP, communication and engagement among all the participants is essential for success. Guidance from the Directors informs the development of the IEP Science Agenda, which in turn provides the framework for the IEP Work Plan activities. Project results inform decisions about needed policies, management needs and project priorities for IEP. This continual exchange of information and understanding at all levels is at the heart of IEP’s commitment to adaptive management and learning as reflected in the diagram below. More details about this interaction are discussed in Section 5 of this Plan.

IEP’s Commitment to Adaptability and Learning

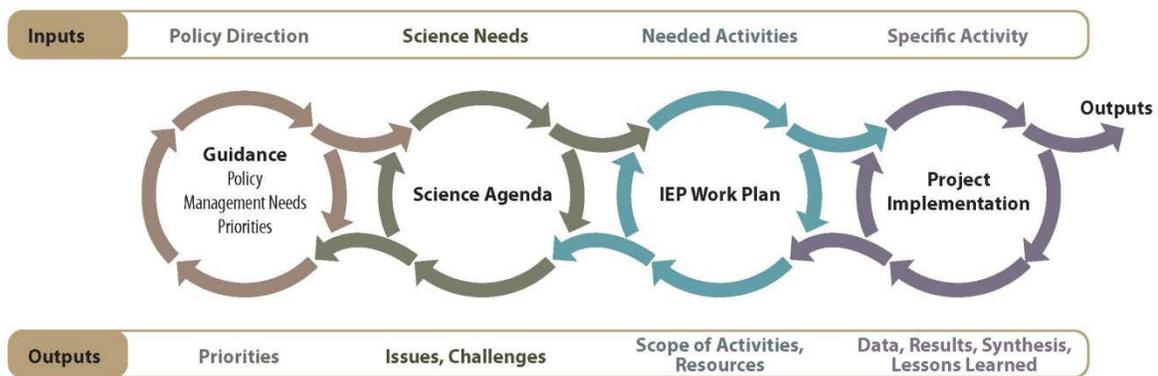


Figure 1: The Flow of IEP's Informational Input and Outputs

2. External Communication and Engagement

Communication with and engagement of external groups and individuals is essential to building and maintaining scientific credibility, relevance, and transparency. Focused IEP communications and engagement (C&E) is the best way to obtain input from other agency staff, scientists, and program managers; regulators and project operators; Bay-Delta communities; university scientists; and other groups who have interests in the Bay-Delta. C&E facilitates collaboration and builds connections between the IEP participants and others doing work in related fields.

Communication and engagement can be substantially improved by creating a new, full-time position for a Communications and Information Specialist to reach relevant stakeholders, improve access to IEP data, and provide the level of transparency that builds credibility and advances relevant science. Various IEP roles have been identified as points of contact for given C&E purposes. The overall contact for the IEP is the Chair of the IEP Coordinators; the point of contact for the specific IEP program matters is the IEP Program Manager; the point of contact for science related matters is the IEP Lead Scientist; and one IEP coordinator has volunteered to be the point of contact for stakeholder engagement. These individuals provide important communication, coordination and engagement with stakeholders, however it is distributed among many people and roles. Currently, funding does not exist to support a new position however, should it become available, a designated Communications and Information Specialist could advance IEP C&E goals to substantially improve community engagement and access to IEP resources which are necessary for building and maintaining credibility, relevance and transparency.

In addition to program information, the products, data and other information developed through the IEP processes should be made readily available to the public in a timely fashion to facilitate independent analysis and evaluation. IEP can provide access to IEP products through the IEP website, the Annual IEP Workshop, IEP Newsletter, the Quarterly IEP Science Highlights - Directors Update, and various IEP publications and reports at the IEP website: <http://www.water.ca.gov/iep/>.

2.1 Key Programs

IEP will coordinate with other related programs as resources allow, particularly where there are overlaps in sponsored projects or C&E activities. IEP will be mindful of the stakeholders being engaged by related programs, in terms of both interests and geography, and will coordinate with staff from these programs to avoid stakeholder confusion and fatigue. IEP will leverage other related programs' C&E activities, as appropriate, to solicit input and provide information

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to stakeholders. It will work with other agencies and programs to solicit scientific and technical reviews of IEP scientific efforts, as needed.

Examples of these key related programs or plans include:

- Delta Stewardship Council Delta Plan
- Delta Science Program
- California Water Action Plan
- Regional Monitoring Plans
- Resource Management Plans
- Fish Restoration Program and Implementation Plan
- Delta Native Species Recovery Plan
- California EcoRestore
- California WaterFix
- Ecosystem Restoration Program Conservation Strategy
- Regulatory and Water Project Operation Programs
- California Water Quality Monitoring Council
- NMFS California Central Valley Salmon & Steelhead Recovery Plan
- State and Federal Contractors Water Agency Science Program

2.2 Stakeholders

The purpose of stakeholder engagement is to build and maintain trust through enhanced awareness, expanded understanding of perspectives, and clearer messaging of science-related needs and priorities between IEP participants and stakeholders. This will ensure stakeholder needs and perspectives are recognized as part of the IEP's decision-making process. Building and maintaining trust in the integrity, validity, and application of IEP monitoring data, analyses, and research between IEP participants and stakeholders is a pivotal element of **effectively** providing a scientific foundation for planning and management decisions. This interaction and comfort level will allow decision-makers to rely on IEP monitoring data and science for planning and management decisions.

Frequent and consistent engagement is a tool that can be used to build successful working relationships between IEP stakeholders and participants. Engagement is shared, reciprocal actions that genuinely include perspectives of multiple parties in order to achieve a desired outcome or condition. It is more than disseminating information, posting a report on a website or making a presentation at a conference. It requires active listening, open minds, demonstrating integrity, willingness to trust and respect stakeholders, and working together with an expectation that this will be reciprocated.

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There are several reasons to invest the time and energy required in effective engagement, including:

- Establish a foundation of trust among diverse parties
- Educate potential partner agencies and stakeholders
- Provide transparency to and support accountability of decisions
- Establish lasting partnerships
- Develop external advocates
- Create enthusiasm and excitement for IEP products and activities

IEP with its partner agencies is committed to investing time and energy in developing successful relationships with each of the stakeholders or stakeholder groups who share an interest in the activities being performed. This has been demonstrated by direction from the IEP Directors in 2012 for the IEP Coordinators to develop and implement the *IEP Stakeholder Engagement Plan* (Version 1.3), which has been utilized for nearly two years and continues to gain traction within the community (attached as *Appendix C*). The *IEP Stakeholder Engagement Plan* is included as part of this overall C&E approach for IEP and will be reviewed and modified as needed in concert with this overall C&E Plan.

2.2.1 Stakeholder Group

IEP has established a Stakeholder Group which is intended to provide a venue for any stakeholder to engage the IEP Coordinators on a recurring basis. Currently this group includes water contractors and users and future participation by additional stakeholders is highly encouraged. The roles of and communications with the stakeholders is varied, as each stakeholder has its own interests and goals. Communication and engagement with the Stakeholder Group includes at least bi-annual meetings, public announcements, social media, open forums, and requests for comments on work plan and science priorities. It is important to provide as much relevant information as possible to the stakeholders so they may provide the most informed opinions as possible in return. This also allows for the realization of more opportunities or collaborations in the future. IEP is interested in increasing the diversity and availability of stakeholders. A member of the Coordinators Team is designated as the IEP Stakeholder Group point of contact.

3. Internal IEP Communication and Engagement

Communication within the IEP is necessary to keep member agency science actions, operations, and research consistent, informed, and focused. The vast and varied membership of the IEP is a valuable asset, which can be used to strengthen credibility, relevance, legitimacy, and transparency of the science that is being done. This communication and effective collaboration is important both between members working on a project, as well as between those project managers and the rest of the IEP. Communicating between members on a project is essential to working effectively and efficiently. Project coordination and organization are likely to require frequent formal and informal communication within an IEP group, as well as between groups. The groups working on the project also need to communicate and inform the rest of the IEP using formal and official communication channels to do so. Doing this keeps all members cognizant of the status of the project, as well as any new developments or difficulties that are arising. Other members of IEP can only provide input and advice if they are aware of the project's challenges and needs.

Consistent with the IEP organizational structure, the following narratives provide the communication and engagement structure recommended to ensure effective and consistent practice among all IEP participants.

3.1 IEP Directors

The IEP Directors communicate formally to provide unified direction to the Coordinators, IEP Lead Scientist, and IEP Program Manager through the quarterly meetings and workshops. In this structured forum, the Directors are carefully briefed on topics by Coordinators prior to meetings, participate in a thorough group discussion of issues, have an opportunity to ask questions, and provide guidance. The Coordinators Chair will track decisions and directions for implementation.

Primary communication between the Directors and the IEP Science Management Team (SMT) will occur through the Coordinators and the IEP Lead Scientist. The IEP Lead Scientist can act as an independent technical advisor to the Directors as needed. Directors will also communicate with their agency scientists based on their agency's communication protocols.

Communication between the Stakeholder Group and IEP Directors will occur as needed in a public forum to ensure transparency. Communication with individual stakeholders may occur on an ad hoc basis at the discretion of the Directors, as a group or individually.

The IEP Directors will keep their Coordinators informed of communications outside of formal circumstances that result in decisions or directions that affect IEP activities.

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3.2 IEP Coordinators Team and Coordinators Chair

IEP Coordinators will communicate and oversee the implementation of policies and directions to all IEP Participants. These policies and directions will be documented and circulated to participants with the support of the IEP Lead Scientist and Program Manager. IEP Coordinators will ensure understanding of these policies and resolve conflicts.

Agency Coordinators serve as an interface between the Directors and the rest of IEP. The Coordinators Team (CT) will receive regular updates from the SMT, Project Management Team, Contract Managers and IEP Lead Scientist on the status of current projects and activities under the auspice of IEP to communicate upward to the directors as appropriate. Each Coordinator will keep the CT, IEP Program Manager, and IEP Lead Scientist informed of communications outside of formal circumstances that result in decisions or directions that affect IEP activities.

One Coordinator is designated to be the official point of contact for the Stakeholder Group, and facilitate and manage regular meetings reporting outcomes back to the CT as a whole, as well as to the Directors.

3.3 IEP Lead Scientist

The IEP Lead Scientist will fully engage SMT participants in the exploration of science needs, issues, and recommended actions. Outcomes of this engagement will be communicated to the CT through routine discussions at CT meetings, and through meeting notes, formal memorandums, and Email as needed. Decisions and recommended science activities will be communicated to the Directors in collaboration with the CT.

As needed, the IEP Lead Scientist will make formal presentations and communicate science topics of importance directly to the Directors through meetings, briefs, or memorandums, and externally through Stakeholder Group meetings, the annual IEP Workshop, and other science-related forums as appropriate. As the IEP Lead Scientist, this person is the face and representative of IEP science, and communicates with this in mind.

3.4 IEP Program Manager

The IEP Program Manager will routinely communicate with funding agency Contract Managers and, if needed, Principal Investigators to determine and document the status of projects and activities funded under the auspices of IEP and included within the IEP Work Plan. Contract Managers should be in frequent contact with Principal Investigators to ensure projects or research is progressing as scoped, on time, and on budget. The IEP Program Manager acts as a liaison to IEP participants to ensure they are aware of available information to better inform decisions and stakeholders, and to ensure they are aware of available data and work plan activities.

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The IEP Program Manager will actively facilitate the SMT meetings in support of the IEP Lead Scientist and tracking outcomes for IEP CT and SMT.

The IEP Program Manager is also responsible for communicating with agency staff and Principal Investigators regarding issues of “take” of species listed under the federal or state Endangered Species Acts (ESA). The IEP Program Manager will prepare and submit a written update report to the Coordinators that includes the status of projects, contracts, and issues prior to each Coordinators meeting.

3.5 Science Management Team

The SMT will engage Project Work Teams (PWT) to exchange information about PWT activities, outcomes, and recommendations to inform decisions about needed research, synthesis, or monitoring. As part of this engagement, members of the SMT will be assigned to one or more PWT to facilitate communication and understanding of current adaptive management issues and science needs. In addition, SMT members will receive and review regular PWT reports and updates. PWT chairs may contact the assigned SMT member, as needed, to inform them of any great or imminent need for a specific project, research topic, or an issue of concern which should be communicated to the other IEP participants. This should be done with a formal Email or phone call.

The SMT acts as the communication and engagement link between the PWTs and Principal Investigators on technical science issues and the CT and Directors to help inform their decision on actions needed to address resource management needs. The IEP Lead Scientist chairs the SMT meetings. The SMT communicates up to the CT and Directors through the IEP Lead Scientist and IEP Program Manager depending on the topics.

3.6 Science Advisory Group

The IEP Science Advisory Group (SAG) is a standing panel of independent external experts that was established in the 1990s. IEP regularly calls on the SAG to review IEP elements and provide advice on scientific issues. In addition to its permanent members, the SAG often includes additional members with complementary expertise for individual reviews.

In addition to its historical role as a program reviewer, the IEP SAG is engaged as needed to review IEP studies to ensure validity and credibility. Additionally, they can be consulted for matters such as project design, research methods, and other project related specifics through the IEP Lead Scientist. The IEP Directors can consult them regarding IEP’s goals to ensure they are both reasonable and effectively pursued. The types of communication will vary from formal advice or testimony to phone calls and Emails.

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The IEP Lead Scientist promotes the need for a review to the CT through the IEP Work Plan process and the contract manager will facilitate the execution of an agreement.

3.7 Program Support Team

The IEP Program Support Team actively engages IEP participants to provide administrative and logistical support to IEP activities. The Program Support Team reports status and issues related to implementation of IEP activities and issues associated with ESA “take” through the IEP Program Manager to the Coordinators. These reports can be verbal or in writing.

The Program Support Team works closely with the SMT, specifically on the topics of annual timeline and deadlines for work plan development, solicitations, review of new study proposals and core element project modifications, as well as ESA “take” modifications or allocations. The Program Support Team supports the IEP Program Manager with the active communication between the Coordinators and SMT. It also supports the IEP Program Manager’s external communication activities such as maintaining the IEP website, and supporting the publication of reports and release of data.

External communication is a critical activity of the IEP; however, it needs to be led by a highly skilled individual expert (Communication and Information Specialist) in communicating technical and program information to a broad audience. To date, communication has been ad hoc and doesn’t meet the demands of stakeholders and IEP participants. It is recommended that future efforts are coordinated by a designated specialist to make C&E more effective and efficient. Until such time as this individual can be brought into the IEP, coordinating a subset of engagement and outreach activities will be done broadly across the entire Program Support Team to extent possible.

3.8 Project Work Teams

Project Work Team (PWT) Chairs will provide quarterly updates to the IEP Program Manager, IEP Lead Scientist and SMT on scientific activities; the IEP Program Manager will distribute to other IEP participants as appropriate. This communication may occur through meeting notes, presentations, Email or other appropriate documentation. PWT Chairs, working with their SMT liaisons, may contact the SMT if they identify a high priority science need not already addressed in the IEP Science Agenda or IEP Work Plan. Any resulting project or activity must be submitted and approved in accordance with the IEP Work Plan process as described in the IEP Governance Framework document.

PWT membership is open to non-agency individuals and meetings will occur as needed. These teams provide an opportunity for non-IEP scientists and technical staff to engage with IEP on important science topics, monitoring, studies, and research.

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4. Communication and Engagement Methods and Strategies

The table below illustrates various activities that can be employed among IEP participants and stakeholders. When choosing an activity, it is important to understand the objectives, receptiveness, values, and preferences of those being engaged to get the best results out of the engagement. Identifying the needed outcomes of any engagement method will help narrow the list of acceptable strategies and engagement activities. Engagement activities then can be tailored to be more effective. Appendix D provides additional information on the requirements of successful engagement.

Table 1: General Engagement Methods

METHODS	OBJECTIVES	STRATEGIES/ ACTIVITIES	LEVEL OF EFFORT
Inform	To provide with information	Fact Sheets Brochures Websites Public Announcements Letters/Emails Newsletters Data and Reports	Low
Consult	To solicit input, advice and feedback	Public Meetings Public Comments Surveys Focus Groups	Low to Moderate
Involve	To have included or participating in an activity to ensure concerns and issues are addressed	Workshops Topic Specific Seminars Face-to-Face Dialogue Stakeholder Group Meetings Briefings Reviews	Moderate
Collaborate	To work jointly with a partner on a project or activity	Advisory Groups Participatory Decision-making Assignments Team Meetings PWT Meetings	Moderate to High
Empower	To equip a stakeholder or participant with the ability to do a project or activity on their own	Guidelines Training Funding Exercises	High

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4.1 Methods to Improve Communications and Engagement

The following methods were developed by the CT for inclusion in the update of the plan and the implementation of strategies to increase the effectiveness of communication and engagement with IEP's various participants and stakeholders.

Internal:

- Invite PWT chairs and Principal Investigators to attend and present to Coordinators or SMT meetings, as needed to provide information of interest.
- Increase Coordinators or SMT staff participation in more non-IEP-related member agency meetings to convey and gather information about science activities.
- Expand opportunities to develop young scientists through fellowships, partnerships, or contracts/grants to work with the IEP.
- Have Coordinators for member agencies participate in their agency's management meetings if possible to seek out and stay current on their agencies activities outside IEP that relate to IEP activities. Coordinators should report back relevant information to IEP and acts as proponents for IEP.
- SMT and IEP Lead Scientist should prepare and publish briefing papers, reviewed by the CT on relevant science issues being addressed by IEP activities that can inform management decisions. These papers can be more detailed discussions of science to inform management needs or issues, outcomes of IEP activities, and science topics of interest contained in either the IEP Science Agenda or other program plans.
- Any proposed changes to activities approved in the IEP Work Plan will be documented and submitted to the CT for consideration.
- Make available to agency managers information and details regarding activities included in the IEP Work Plan via a fact sheet for each project.
- Convene quarterly scheduled coordination meetings between the Coordinators and SMT to support integration and coordination of activities.

Externally:

- Promote and facilitate collaborative projects among IEP member agencies and stakeholders.
- Increase the diversity of stakeholder representation in the Stakeholders Group.
- Solicit input early and often from the IEP Stakeholder Group on science and resource management issues and their priority questions. This can be done through special meetings, annual surveys and other methods.
- Modify the IEP Newsletter section titled "Of Interest to Managers" to include stakeholders.
- Post work plans and information about program activities on-line and keep up-to-date.

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- Continue to support PWTs as an opportunity for external scientists and stakeholders to engage on specific science topics.
- Solicit stakeholders help to organize the annual IEP Workshop.

Both External and Internal Improvements

- Create a position (referred to above as the Communication and Information Specialist) whose primary responsibilities will be to oversee and support the coordination of all communications and engagement efforts.
- Redesign website to make it easier to find things and be more interactive – include project/activity tracking and other information; IEP calendar and science events information; and process information, and ensure points of contacts can be reached through web page information.
- Use and maintain a List Service to notify stakeholders (internal and external) of new material/information available on the IEP website.
- Conduct regular Science Project/Activities workshops open to all and hosted by IEP that would highlight the results and findings of IEP studies and other related topics of interest.
- Leverage other publications or events to inform stakeholders of issues, results and findings of interest including:
 - Delta E-News
 - Maven’s Notebook
 - Delta Science Conference
 - San Francisco Estuary Conference
 - Aquaforia
 - EJournal
 - Delta Science Program’s Science News
 - San Francisco Estuary and Watershed Science News.
- Prepare Fact Sheets on all new activities included in the IEP Work Plan that can be made available on the IEP website.
- Continue to support the data sharing activities of the California Water Quality Monitoring Council.
- Improved access to and sharing of monitoring data and study information.
- Continue to support the Delta Science Program’s efforts to compile coordinated science activities of other Delta programs to provide a context for the IEP Work Plan.
- Continue to prepare the “Science Highlights” articles that focus on IEP activities and post to the IEP website.

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5. Milestones and General Schedules

Depending on a specific project or general program activities, the timing and frequency of engagement with participants and stakeholders will vary. IEP participants have already taken some actions to increase communication and engagement with stakeholders. In the future, IEP will continue to identify additional opportunities to improve C&E with a diverse set of stakeholders. For stakeholder contacts, practice the general rule of follow on, follow through, and follow up. Those IEP participants responsible for communication and engagement should take the lead in staying connected with stakeholders. IEP activities and the development of IEP products are intended to be accomplished through a dynamic, iterative, fully engaged process as depicted below.

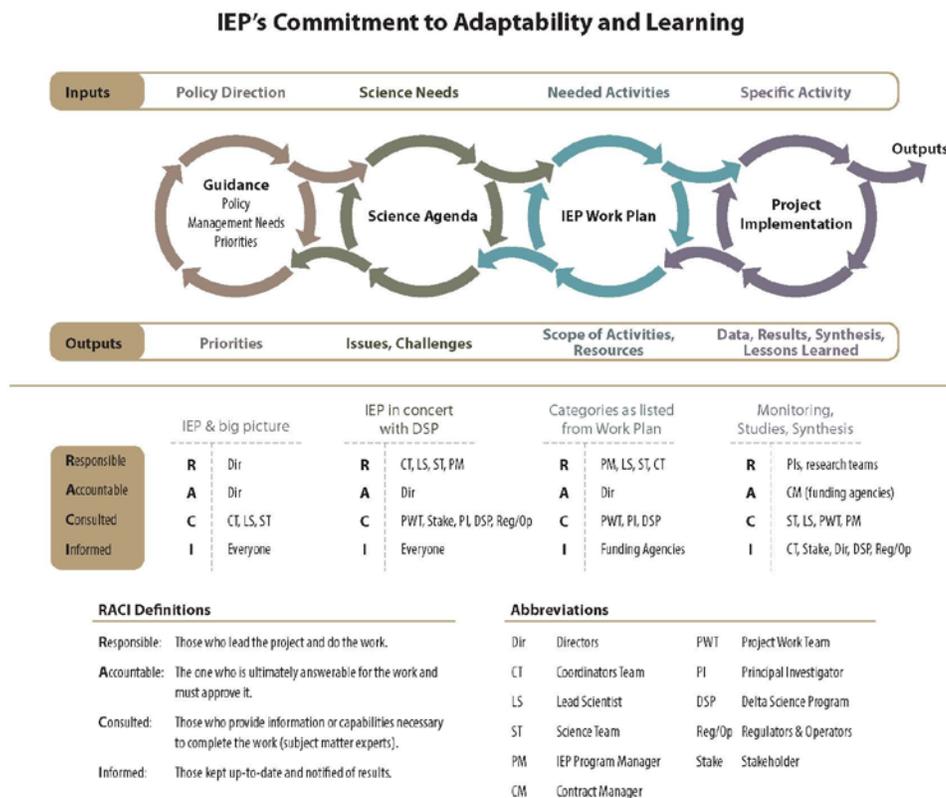


Figure 2: C&E Roles and Responsibilities of IEP Participants

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Regularly scheduled meetings are shown in Table 2 below.

Table 2: IEP Coordination Schedule

Team	Meeting Frequency
Directors	Quarterly
Coordinators	Monthly
Science Management Team	Monthly
Advisory Groups	As Needed
Stakeholders Group	At least Biannually
IEP Workshop	Annually
Project Work Teams	As Needed

IEP will implement the C&E recommendations where possible and with available resources to ensure efficient and effective engagement with participants and stakeholders. For information regarding the status of the implementation of these actions and other improvements to the IEP, please consult the IEP website: <http://www.dwr.water.ca.gov/iep/>.

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Appendix A: IEP Program Organization Chart

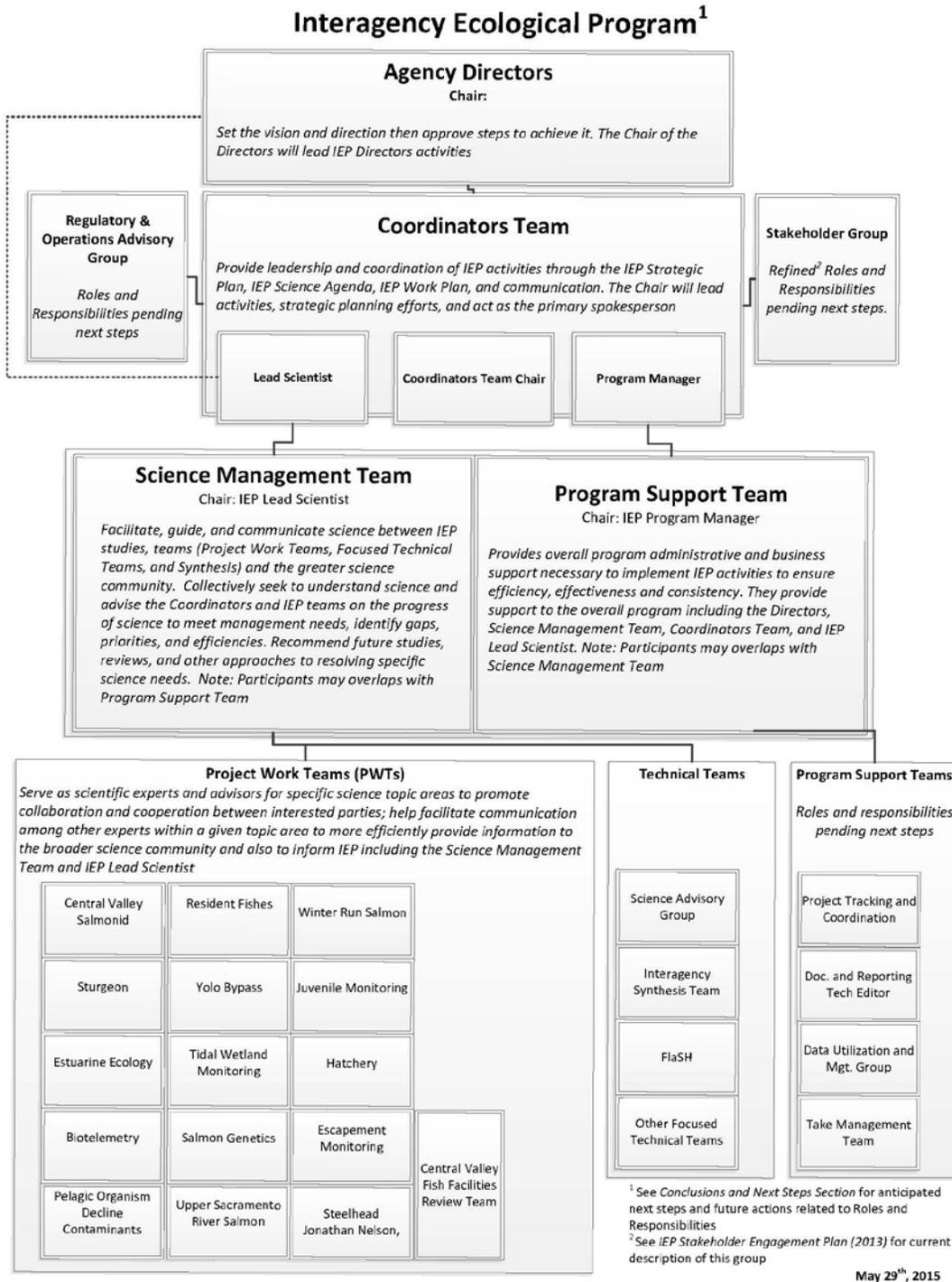


Figure 3: IEP Program Organization

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Appendix B: IEP Guiding Principles

Below is the complete list of IEP Guiding Principles adopted by the IEP Agency Directors in 2013 to better inform adaptive management of the Estuary.

1. *Collaborative Science Leadership for the Bay-Delta (Why and Where)*

- Serve as the interagency core of a collaborative Bay-Delta aquatic science network with a focus on Bay-Delta aquatic ecology but coordinated within the full watershed;
- Provide a scientific foundation for planning and management decisions through best available science and strong partnerships with other agency, university, and stakeholder science programs;
- Work with the Delta Science Program (DSP) to identify, track, and explain Bay-Delta science status and needs simply and cogently; and
- Inspire, engage and foster objective leadership and sponsor independent peer review of key management issues including identification and strategies to address scientific uncertainty.

2. *Science Collaboration, Coordination, and Integration (What)*

- Integrate IEP's roles and responsibilities with other programs and plans including the Bay Delta Habitat Conservation Plan (BDCP) and Delta Plan as appropriate;
- Collaborate with other agencies and programs to maximize the effective and efficient application of funds, equipment, personnel and expertise to meet scientific information needs for regulatory compliance, and management and planning; and
- Help sponsoring agencies to adaptively manage and integrate monitoring and studies to meet compliance, planning, and management needs, and to reduce uncertainties.

3. *Relevant, Responsive, and Adaptive Science (When)*

- Engage decision makers to help them identify high priority science needs and collaborate on science initiatives responding to high priority management needs;
- Respond to urgent needs with staged responses (time vs. quality) to maximize benefits;
- Periodically review the IEP program and program elements to ensure focus and direction remain relevant;
- Adaptively manage long-term programs and be alert to new events and trends;
- Consider decisions in context of current, transitional and the future paradigms;
- Build on what's "good" and keep it relevant into the future; and
- Ensure processes and business practice cycles are timely, documented and regularly reviewed.

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4. Objectivity, Inclusiveness, Consistency, Continuity and Transparency (How)

- Involve stakeholders and seek robust, constructive engagement and collaboration;
- Seek balanced and inclusive funding partnerships, including with private entities;
- Document and manage by agreed upon priorities;
- Follow described governance, work planning and decision making processes;
- Share and learn from peer and independent scientific review of IEP projects; and products; and
- Communicate clearly, timely, and relevantly.

Appendix C: IEP Stakeholder Engagement Plan (Version 1.3)

Goals, Objectives and Overview

Goal: Develop a process by which IEP agencies and stakeholders will engage in transparent and understandable ways that will provide effective opportunities to improve understanding, collaboration and cooperation. A well-defined strategy will have clear expectations of what is to be accomplished and the opportunities to participate will be well defined.

Stakeholders Defined: The persons and organizations that use IEP information to: (a) support natural resource planning, management, and regulatory activities in the estuary; and (b) understand and weigh in on those processes, decisions or actions. This includes water contractors, non-governmental organizations, non-IEP agencies and other interested parties.

Approach and Objectives: The IEP will recognize the needs, perspectives and capabilities of all stakeholders with an objective three-tiered approach. This is not a regulatory stakeholder process; rather it is focused on providing the highest quality science for wise decisions. This plan incorporates both important on-going efforts and provides the opportunity for supplementation with strategies consistent with the IEP Strategic Plan. The three parts are:

- *Engagement (Part I):* The IEP will provide effective opportunities for participation in the overall program. These will be accessible, timely, transparent and useful for scientists, policy makers and stakeholders.
- *Active Listening (Part II):* The IEP will ensure stakeholders are heard by documenting, summarizing and sharing input with scientists, policy makers and stakeholders.
- *Responsiveness (Part III):* The IEP will demonstrate understanding and consideration by: providing proper attribution of insights and published alternatives as part of publications and presentations; demonstrating where insights have been incorporated; recognizing where agreement and disagreement occurs; seeking partnerships on mutual objectives and adopting practices where the needs and perspectives of all stakeholders are considered in policy, planning and operations.

Schedule: This engagement plan will begin in 2013 with a goal of full implementation in 2014 with stakeholder input.

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Part I. Engagement

The IEP will provide effective opportunities for participation in the overall program. These will be accessible, timely, transparent and useful for scientists, policy makers and stakeholders.

Objective #1: To engage a broad range of stakeholders, the IEP will:

Convene an Interagency Ecological Program Stakeholder Group (IEPSG) of IEP Coordinators and stakeholders who use information and data developed by the IEP to manage and regulate the water quality and biological resources of the Bay-Delta or are interested in IEP Activities. The IEPSG will meet at least twice a year to provide updates on current IEP monitoring and research activities, to accept suggestions for future monitoring and research and to discuss issues of interest or concern. It will also be an opportunity to seek stakeholder input on methods and approaches to increase collaboration.

Metrics: (1) A minimum of two meetings per year will be conducted, open to the public and scheduled in sync with the work plan development schedule with all agendas and meeting materials distributed at least two weeks prior to each meeting. (2) IEPSG input will be documented and brought forward for consideration in IEP strategic planning, Management, Analysis, and Synthesis Team (MAST) synthesis, work plan development and in program review processes.

Objective #2: To engage collaborative science programs, the IEP will:

Invite representatives of other collaborative science programs to participate in a joint meeting with IEP Coordinators on a regular basis. This group will be responsible for ensuring coordinated communication, reviewing progress of each program's activities, providing input on strategic plans and business practice updates, pursuing joint efforts and coordinating between agencies.

Metrics: (1) Two meetings per year with the Coordinators will be conducted with other science programs. (2) This input will be documented and brought forward for consideration in IEP strategic planning, work plan development and in program reviews processes.

Objective #3: To engage scientists, the IEP will:

Encourage continued scientist participation and contribution to the IEP Project Work Teams (PWT). These teams, open to the public, are focused on specific research and monitoring topics of interest. Meeting schedules are left up to the PWTs. PWTs are formed to organize new studies, to review study plans and proposals, to write scientific papers and reports, and to promote collaboration among different groups working on the topics of interest.

Metrics: (1) PWT meeting times, locations and agendas will be posted on the IEP calendar and searchable by the world-wide-web. (2) PWTs will be invited to provide input/recommendations to MT for annual work plan development. (3) PWT recommendations will be documented for consideration in MAST synthesis and program review processes. (4) The IEP will facilitate at least one coordination meeting with

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PWT chairs and invite the chairs to Management Team (MT) meetings for focused discussions as appropriate.

Encourage continued scientist participation and contribution in IEP solicitations for proposals to address key management questions as approved by the Directors and Coordinators. This process allows independent scientists to uniquely propose approaches to address key questions.

Metrics: (1) IEP solicitation notices will be shared via email lists as well as publicly noticed. (2) Participation and selection of accepted proposals will be tracked and shared.

Provide the opportunity for organized input and feedback by scientists for consideration for products prepared by the Management, Analysis and Synthesis Team (MAST). The MAST will objectively review, analyze, synthesize and integrate the latest science on focused areas taking into account information needs and science insights shared at PWTs and other prior stakeholder input opportunities.

Metrics: (1) IEP will provide an opportunity through PWTs, public forums and/or written comments to provide input on the range of topics under consideration for review and an opportunity to submit information on topics selected by the MAST. (2) MAST reviews will consider published results and valuable insights gained when preparing for reviews with proper attribution as appropriate. (3) An opportunity will be provided for comment on the final draft product.

Convene a Science Advisory Group (SAG) of non-agency experts as a standing panel to regularly review IEP elements and provide advice on scientific issues. These scientists will provide independent reviews that can consider all relevant science conducted on the review topic.

Metrics: (1) The SAG will have a broad range of scientists and be encouraged to consider a wide range of perspectives and paradigms. (2) Input opportunities and findings of SAG reviews will be published via the internet.

Objective #4: To share information and encourage dialog, the IEP will:

Conduct an annual IEP Workshop and participate in biannual Delta Science Conferences with requested attendance for agency staff and encouraged attendance for stakeholders and independent scientists. This provides a cost effective and timely opportunity for scientists to learn and ask questions directly from IEP agency staff and scientists conducting the latest research.

Metrics: (1) The IEP Workshop will be conducted once per year and be open to the public. (2) IEP workshop notices will be shared via email lists as well as publicly noticed. (3) All IEP agency scientists will be available at the conference to present talks and posters and/or participate in small group discussions as requested by the organizing committee. (3) The Workshop will provide a forum to improve stakeholder involvement.

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Support independent science by providing timely information and tools through a partnership with the California Estuaries Monitoring Workgroup, working under the guidance of the California Water Quality Monitoring Council. This will enhance existing estuarine monitoring, assessment and reporting efforts to improve the delivery of water quality and ecosystem health information via the internet.

Metrics: (1) IEP agencies will actively participate on the Monitoring Council working groups. (2) IEP agencies will make information available for the portal. (3) IEP will provide technical support for the development of query tools and portal maintenance related to IEP and the San Francisco Estuary.

Part II. Active Listening

The IEP will ensure stakeholders are heard by documenting, summarizing and sharing input with scientists, policy makers and stakeholders.

Objective # 1: The IEP will prepare and maintain a list of higher level questions that stakeholders have indicated would inform management decisions. These questions from scientists, policy makers and stakeholders in various forums will be summarized. This will be accompanied by a response document that will describe current efforts to address the questions, additional work needed to pursue the questions, applicable changes that are already under way and additional information that would be necessary to address the questions.

Metrics: (1) A list of questions that could inform management questions will be updated on an annual basis with input from stakeholders. (2) The list will be shared with the Management Team, Coordinators and Directors when considering new discretionary funding actions, during strategic plan updates and during development of questions for new solicitations and during information synthesis.

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Part III. Responsiveness

The IEP will demonstrate understanding and consideration of stakeholder input by: providing proper attribution of insights and published alternatives as part of publications and presentations; demonstrating where insights have been incorporated; recognizing where agreement and disagreement occurs; seeking partnerships on mutual objectives and adopting practices where the needs and perspectives of all stakeholders are considered in policy, planning and operations.

Objective # 1: IEP processes and practices will demonstrate consideration of stakeholder input.

Metrics: (1) The MT will highlight how stakeholder input complements or contrasts proposals and recommendations during briefings to Coordinators for more thorough considerations. (2) The MAST will highlight how stakeholder input complements or contrasts synthesis findings and note important contributions during briefings. (3) Potential partnerships to address findings will be identified in proposals for discretionary studies. (4) The Coordinators will be periodically updated on stakeholder input and provided an opportunity to review how that input complements or contrasts results during the previous year. (5) The Coordinators and Directors will consider stakeholder input during Strategic Plan updates and updates to science strategies.

Appendix D: Overall Engagement Processes

Effective engagement is an iterative process that continually builds on experience and lessons learned as shown in the figure below. It requires preparation, planning, implementation, and reflection to understand how to improve efforts for the future.

Figure D 1. Cycle of Effective Engagement – an Iterative Process

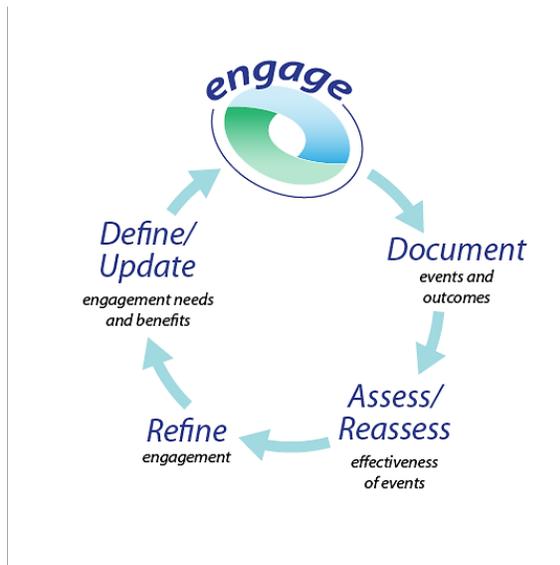


Figure 4. Cycle of Effective Engagement

D.1 Engagement Goals and Objectives

Understanding the goals and objectives associated with engaging IEP's stakeholders will facilitate IEP's success in achieving its vision and mission. Proper planning and consideration of engagement options creates a sound basis for building meaningful partnerships and minimizing the chances of something going wrong. Therefore, it is important to:

- Identify what is to be given and what is to be gained as a result of the C&E effort
- Identify what levels (policy decisions, program level, or conceptual support) and types of engagement (inform, survey, consult, involve, collaborate) are needed
- Identify any training needed to ensure proficiency and understanding necessary for effective engagement efforts
- Understand the needs of the stakeholders/agency partners, the value of engagement to them, and determine how to achieve desired outcomes
- Be clear about what contribution is sought from stakeholders
- Identify and explain the value of engagement to the stakeholders
- Evaluate the benefits and risks of engagement

D.2 Engagement Approaches and Activities

IEP participants can select the various engagement processes and activities to be used with their stakeholders. Once selected, IEP participants should ensure that they plan all the elements of the engagement activities to increase the efficiency of and effectiveness of the engagement itself and the satisfaction of those involved.

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D.2.1 Preparing for Engagement

Understanding the basic answers to simple questions will help IEP participants effectively engage and communicate with their stakeholders. Preparation and research prior to initiating any activities will help choose effective methods and avoid misunderstanding. These questions include:

- Who does IEP need to engage?
- What are the needed outcomes of the engagement?
- Why is engagement of value to IEP? To the Stakeholder?
- When is engagement needed and how frequently should it be done to ensure success?
- Where should engagement take place?
- How can the stakeholders most effectively be engaged?

D.2.2 Approaches and General Categories of Engagement may include:

- Inform – to provide with information (push and pull communication)
- Consult – to solicit input, advice and feedback
- Involve –including or participating in an activity (participation) to ensure concerns and issues are addressed
- Collaborate – to work jointly with a partner on a project or activity (partnership)
- Empower – to equip with the ability to do a project or activity on a partner’s own (partnership)

D.2.3 Define the Subject of Engagement

Frame this as simply as possible to ensure that the stakeholders are clear on what the engagement is about and why it is needed and important. Be aware of politically sensitive issues, terminology and areas of intense controversy and resistance. Messaging should be clear, well thought out and vetted with the engagement team so everyone has the same understandings.

D.2.4 Control Scope

While it is important to specify what is included, it is just as important to be clear about what is excluded. This is particularly important for complicated and sensitive projects as a means to avoid “scope creep” and help to keep the engagement aligned with desired outcomes. A clear definition of what’s in and out focuses IEP participants and stakeholders alike on the scope and purpose of engagement.

Figure D 2, the Stakeholder Map, depicts the scope and level of effort these categories of engagement approaches entail.

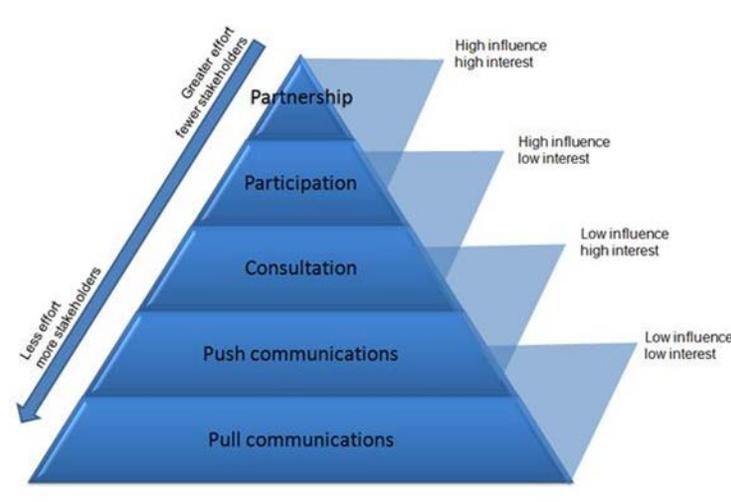


Figure 5. Stakeholder Map

Source: <http://www.stakeholdermap.com/stakeholder-engagement.html>

D.2.5 Define the Goals and Objectives of Engagement Activities

Understanding and defining the strategic objectives – how the outcomes of the objective serve to fulfill the overall goals of a project or activity – is critical to ensuring the engagement successfully supports the overall program. This shows how the specifics of this engagement match up with the vision and goals of an organization and its programs. If there is a discrepancy, it must be resolved in favor of the larger policy objectives of the program.

D.2.6 Specify Intended Outcomes

Know what you want to achieve through the engagement and be able to articulate what each stakeholder will gain through the outcomes. If there are tangible deliverables, list them and their specifications. If there are intangibles (i.e., “improved trust”), see if there is some way of measuring the change, such as pre- and post-engagement surveys.

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Appendix E: Glossary

Bay-Delta ecosystem: The portion of the broader ecosystem focused on the aquatic aspects of San Francisco Bay, San Pablo Bay, Suisun Bay and the Delta at the confluence of the Sacramento and San Joaquin Rivers. It recognizes the unique and complex interactions of this system with the larger watershed and marine environment.

Collaboration: (1) Multiple persons and/or organizations working together to realize shared goals with a collective determination, commitment and leadership to achieve common objectives with better results despite competing priorities and finite resources. (2)¹ A process in which two or more participants work collectively to deal with issues that they cannot solve individually; partnerships, alliances, teams.

Communication: The act of sharing, imparting or giving information.

Contract Managers: As a part of the Program Support Team, direct, manage, and are responsible for ensuring compliance with applicable requirements in contracts for IEP projects executed or funded by their agency.

Cooperation: (1) Multiple persons and/or organizations working together on agreed upon objectives and/or avoiding conflicting actions, but where priorities, application and/or vision are not necessarily shared. (2)² A process in which two or more participants link, harmonize or synchronize interaction and activities.

Coordinator: Serves as the primary liaisons to their Director, agency and staff. Communicate agency and program needs for IEP while seeking to be a good steward of all agencies' resources.

Coordinators Team: Provides leadership and coordination of IEP activities through the IEP Strategic Plan, IEP Science Agenda, IEP Work Plan, and communication

Directors: Set the vision and direction then approve steps to achieve it. The Chair of the Directors will lead IEP Directors activities.

Engagement: The act of involving, taking part with or interacting with another party

Goal: A long-term target that states what the organization wants to accomplish.

¹ The National Water Quality Monitoring Council adopted definitions for the "3C's": communication, coordination and collaboration

² Bay Delta Conservation Plan Administrative Draft, Conservation Strategy (Section 3.6.1.4), February 2012

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Guiding Principles: (Synonym: Design Principles) Overarching characteristics, qualities and approaches that guide IEP strategic planning and implementation.

IEP Lead Scientist: Provides strategic direction for, and oversees of IEP science efforts, acts as the chief science advisor to the Coordinators and Directors, chairs the Science Management Team, and serves as the primary scientific voice of IEP.

IEP Program Manager: Leads the Program Support Team; directs, manages, and is responsible for the IEP Work Plan, and administrative and logistical activities for IEP; acts as IEP's main point of contact.

Interagency Ecological Program: A state and federal interagency collaborative and scientifically sound ecological monitoring, research, modeling, and synthesis efforts of the Bay-Delta ecosystem to inform operation and enhanced management of the State Water Project and Federal Central Valley Project.

Mission Statement: A statement of organizational purpose. It reflects the reason for the agency's existence.

Performance Measure: A means of objectively assessing the results of programs, products, projects, or services. It is the quantified result to be achieved. It provides a basis for assessing successful achievement of the agency mission, goals and objectives.

Principal Investigators: Develop and perform specific scientific investigations or data collection projects (research, monitoring, etc...) in conformance with specified contract requirements (may lead a team performing the effort).

Program Support Team: Provide overall program administrative and business support to the IEP Program Manager as necessary to implement IEP activities to ensure efficiency, effectiveness and consistency.

Project Work Teams: Serve as scientific experts and advisors for specific science topic areas to promote collaboration and cooperation between interested parties; help facilitate communication among other experts within a given topic area to more efficiently provide information to the broader science community and also to inform IEP including the Science Management Team and IEP Lead Scientist.

Science Management Team: Facilitates, guides, and communicates science between IEP studies, teams (Project Work Teams, Focused Technical Teams, and Synthesis) and the greater science community. As a team, collectively seeks to understand science and advises the Coordinators and IEP teams on the progress of science to meet management needs, identifies

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gaps, priorities, efficiencies, collaborations; analyzes and synthesizes results and recommends future studies as well as reviews, focused work teams and other approaches to resolving specific science needs.

Stakeholders: The persons and organizations that use IEP information to: (a) support natural resource planning, management, and regulatory activities in the estuary; and (b) understand and weigh in on those processes, decisions or actions. This includes water contractors, non-governmental organizations, non-IEP agencies and other interested parties.

Stakeholder Engagement Plan: An objective plan that integrates the needs, perspectives and capabilities of stakeholders and stakeholder groups. This plan identifies on-going engagement and opportunities for improvement consistent with the IEP Strategic Plan and stakeholder input.

Strategic Plan: Is an adaptive document that considers the program's lessons learned, clarifies the current status, and then defines near term key strategies to achieve goals consistent with the long-term mission and vision.

Strategic Planning: A disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does and why it does it.

Strategy: The approach or means by which an organization intends to accomplish a goal.

Reviews: Technical and programmatic reviews are conducted of the overall IEP and individual program elements to ensure continued relevance, scientific integrity and suitability, and compliance with legal requirements.

Values: This describes the code of behavior in relation to employees, other key stakeholders, and society at large to which an organization adheres or aspires.

Vision: A description of what an organization will look like if it succeeds in implementing its strategies and achieves its full potential. It is an ideal and unique image of the future.

