

MW0050.001616



DEPARTMENT OF THE NAVY
SOUTHWEST DIVISION
NAVAL FACILITIES ENGINEERING COMMAND
ENVIRONMENTAL DIVISION
1220 PACIFIC HIGHWAY, RM 18
SAN DIEGO, CALIFORNIA 92132-5181

5090
Ser 1821/326
March 19, 1996

Ms. Sheilia Lowe
Department of Toxic Substances Control
245 W. Broadway, Suite 350
Long Beach, CA 90802

Dear Ms. Lowe:

You are requested to attend a follow-up session to the Joint Leadership Workshop conducted this past March. As you recall, the workshop provided an opportunity for managers and supervisors to raise issues and concerns needing solution to ensure we are successful in implementing base cleanup and closure. Following the workshop partnering guidance that addresses major concerns common to all the participants was developed with the intent of aiding in decisions and conducting day-to-day business and is included as part of this package for your review.

The purpose of this follow-up session is to discuss the guidance and brainstorm an implementation plan to present to the project team. The follow-up session will be located at the Marine Corps Air Station (MCAS), El Toro ROICC conference room from 1000 to 1300 on March 28, 1996. Attached is the meeting agenda and a map showing the meeting location and partnering guidance.

If you have any questions, please contact the undersigned at (619) 532-1447.

Sincerely,

A handwritten signature in black ink, appearing to read "Cathy Rothwell".

CATHY ROTHWELL
Manager, Camp Pendleton/
29 Palms Branch
By direction of the Commander

Encl:
(1) Agenda
(2) Map El Toro Map
(3) Partnering Guidance

AGENDA

JOINT LEADERSHIP WORKSHOP

28 MARCH 1996

INTRODUCTION (10 MIN)

1. HISTORY
2. PURPOSE OF MEETING

PRESENTATIONS (90 MIN)

INTRODUCTION	JANE DIAMOND (EPA)
ROLES/RESPONSIBILITIES	DANA SAKAMOTO (SWD) JOHN SCANDURA (DTSC) JANE DIAMOND (EPA)
EFFECTIVE MEETINGS	AL HURT (SWD)
CONFLICT MANAGEMENT	CHRIS KOTAS (SWD)
EFFECTIVE COMMUNICATIONS	JOHN SCANDURA (DTSC)

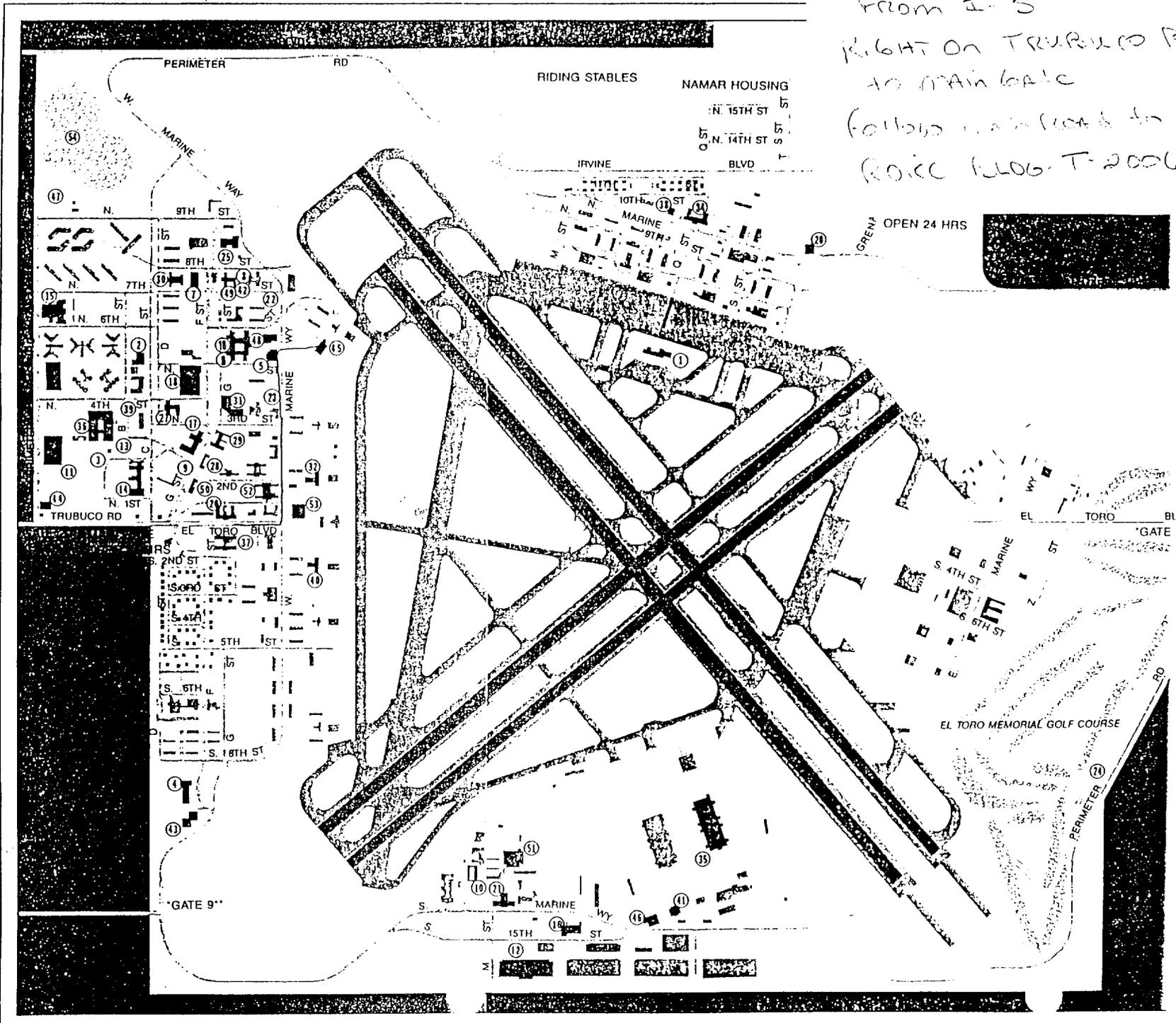
BRAINSTORM IMPLEMENTATION PLAN (60 MIN)

- o HOW
- o WHO
- o WHAT TEAMS
- o WHEN

WRAP UP AND SUMMARY (10 MIN)

MCAS El Toro Map

Organization	Bldg. No.
1 Airfield Operations	372
2 Armory	744
3 Military Credit Union	743
4 BOQ	375
5 Bowling Alley	272
6 Cash Sales	75
7 Chapel	833
8 Chaplain's Ofc.	83
9 Child Development Center	656
10 Civilian Personnel	304
11 Commissary	694
12 Warehouse	317
13 Military Credit Union	783T
14 Dental/Medical Clinic	439
15 Mess Hall #2	364
16 Mess Hall #3	322
17 Disbursing	66
18 Modular Club	718
19 Special Services Admin/Ticket Ofc.	75
20 F/A-18 Simulator	746
21 Facilities Management Dept.	368
22 Family Services Center/Drug & Alcohol Counseling	279
23 Fire Dept./Emergency 911	75
24 Golf Course	464
25 Gymnasium	94
26 H & HS	1
27 Joint Education Center	263
28 Joint Public Affairs Ofc.	59
29 Joint Reception Center	58
30 Library	280
31 Lodge	823
32 MACG-38 Headquarters	13
34 MAG-11 Headquarters	457
35 MAG-46 Headquarters	296
36 Marine Corps Exchange	649
37 MCAS & COMCABWEST Headquarters	65
38 MCX Service Station	637
39 MCX Service Station	651
40 MWHS-3 Headquarters	12
41 MWHS-37 Headquarters	309
42 Navy Relief	83
43 Officers Club	791
44 Owik Stop	799
45 Passenger Terminal	624
46 Photo Lab	312
47 Picnic Area/MARS Facility	757
48 Post Office	273
49 Red Cross	83
50 RSU	60
51 Serv-Mart	369
53 3rd MAW Headquarters	829
54 Picnic Grounds and RV Area	



EXIT SAND CANYON EAST
FROM I-5
RIGHT ON TRUBUCO RD
TO MAIN GATE
FOLLOW MAIN ROAD TO
ROICC BLDG T-2006

INTRODUCTION TO INTERAGENCY PARTNERING GUIDANCE

Navy Southwest Division and Engineering Field Activity West, Environmental Protection Agency, Region 9 and the Cal/EPA, Department of Toxic Substances Control have established a partnership to clean up both operational and closing Navy and Marine Corps installations to protect human health and the environment and facilitate reuse of closing bases. Together we have developed this partnering guidance to describe our collective vision of the principles of this partnership and provide guidelines on how it will be implemented to achieve our mutual goals. The framework of our partnership is represented by the following outline, which is further discussed below:

- A. Common Goals and Objectives**
 - 1. Protection of Public Health and Environment
 - 2. Compliance with Applicable Laws and Regulations
 - 3. Facilitation of Property (Re)use

- B. Common Means of Achieving Goals and Objectives**
 - 1. Fast Track Cleanup
 - 2. Goal-Oriented Approach
 - 3. Empowerment of Staff to Make Decisions
 - 4. Delegation of Authority Commensurate with Responsibility
 - 5. Timely Resolution of Issues and Problems
 - 6. Consensus Decisions by the Team
 - 7. Written Documentation in Support of Decisions

- C. Common Values in Performing Work**
 - 1. Cost Efficiency
 - 2. Public/Stakeholder Participation and Support
 - 3. Risk Taking and Risk Sharing
 - 4. Mutual Respect Among Team Members
 - 5. Effective Communications Within and Between the Organizations

- D. Organizations Committed To:**
 - 1. Team Work
 - 2. Partnering
 - 3. Timely and Effective Problem Solving

While our partnership dates back several years, with the program changes brought about by public desire to speed the pace of cleanups, additional base closures and decreasing budgets, and the frequent changes in team personnel we experience on an ongoing basis, we felt it would be useful to formally outline for all of our personnel the basic context of this partnership.

We have formed this partnership because we believe that, by combining our individual resources and cooperating, we can maximize our effectiveness to achieve specific

goals. The advantages of a partnered effort are improved quality, fewer errors, less rework, decreased cost and increased speed, as compared with more traditional responsible party versus regulatory agency relationships.

This partnership in no way erodes the legal responsibilities and authorities of each organization; rather it expresses the spirit in which we expect to work together to achieve our mutual goals. We recognize that each organization has individual responsibilities and limitations which must be clearly communicated to the rest of the partnership so that we can reach consensus to achieve both team and individual goals. While the Navy is the lead agency for the cleanups, our partnership means that actions taken by the Navy will be the product of consensus of all organizations. EPA and the State maintain certain regulatory authorities to oversee, concur/approve work by the Navy which will influence the consensus decisions. Where consensus cannot be reached, issues will be elevated within each organization for expeditious resolution. This can be done informally or formally in accordance with Federal Facility Agreements (FFAs), Federal Facility Site Remediation Agreements (FFSRAs), etc., or consistent with these Agreements for sites with no agreements *in place*. Whatever form the conflict or dispute resolution takes, it should occur early to avoid delays in projects and damage to the partnership which may occur as organizational positions become established.

Partnerships are built on a foundation of trust, common goals and shared values, open communication, and clear roles and responsibilities. This guidance provides some basic information on these critical components, none of which happens automatically and each of which must be developed and nurtured. Each project team needs to evaluate whether these foundations exist and, where there is not agreement among the team that the foundations are stable, take steps to build them. It is particularly important when team members change to educate new member(s) on how the team works together, make any warranted adjustments, and invest time in bringing the new member(s) up-to-speed on all aspects of the project. The team should work with interagency management representatives to ensure support in establishing and maintaining these foundations. Management is committed to providing training, counseling, conflict resolution, meeting facilitation services, etc., as needed, to support the partnership.

Each team must first define what it desires to achieve; i.e., the common mission will generally be to protect human health and the environment and support property utilization (not limited to closing bases). The team must then define how it will work together to achieve this objective. Common values that help define how will generally include: fast track cleanup, cost efficiency, public/stakeholder participation and support mutual respect, partnering, empowerment, management support and influence, consensus decision-making and risk-taking.

Two important factors influencing how our teams work together are staff empowerment and risk-taking. Empowerment is the delegation of decision-making authority to our team members. We believe empowerment of staff is desirable as it will allow real-time

decisions to be made, facilitating better and quicker cleanups. Our goal is to fully empower every member of each of our teams. However, as each person comes to the team with different education, experience and work style, management must provide training and direction to ensure that staff know program priorities and policies. First line supervisors within each organization will determine the level of empowerment appropriate to their staff. Where staff are not fully empowered, first line supervisors will provide needed training, mentors, etc. and be directly involved in the project as necessary to keep the process moving and prevent delays which might be associated with incomplete empowerment. We also see empowerment as a privilege and a responsibility rather than a right, and empowered staff must maintain competency by staying informed and elevating unresolved issues.

In addition, we are asking our teams to take individual and collective risks to support achievement of our mutual goals. This requires staying clearly focused on primary objectives and being willing to let go of desirable but less critical objectives. Each team member also has to be willing to listen to and recognize the practical limits of risk any team member may be able to take. Teams must encourage creative suggestions to surface. We need to be willing to make decisions with minimum required information or data, agreeing on reasonable steps that can increase our comfort with these decisions. We acknowledge that with risk-taking comes some failure which the team and organizational management must accept collectively, i.e., there can be no "I told you so's." Every risk taken should be by consensus and responsibility for the outcome shared. New team members will have to accept the consequences of team decisions made in the past, and at the same time the team must be open to new perspectives which can be gained by introduction of new personnel onto a team.

We will measure the success of our partnership by evaluating our achievement of the following goals:

- reduction/elimination of threats to human health and the environment
- restoration of lands to productive use
- timely and cost effective remediation
- full compliance with regulations
- increased in public awareness, participation and confidence
- no adverse impacts on base operations
- use of innovative technologies and/or approaches

Components of Partnering Guidance

This guidance includes the following sections, designed to address elements of our partnership which have caused confusion or which have been problematic in the past, and to answer questions which have arisen:

- A. **Roles and Responsibilities** P6
 - 1. Community Outreach
 - 2. Technical Scoping
 - 3. Applicable or Relevant and Appropriate Requirements (ARARs) Determinations Field Work
 - 4. Field Work
 - 5. Document Preparation, Review, Comment and Approval
 - 6. Federal Facility Agreements, Federal Facility Site Remediation Agreements
 - 7. Conflict Management/Dispute Resolution
 - 8. Remedy Selection

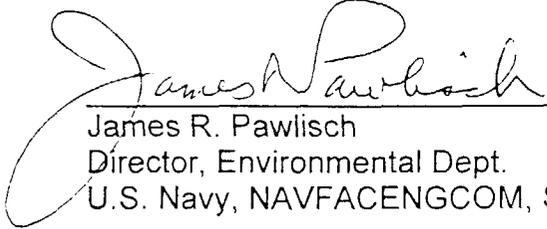
- B. **Communication Mechanisms** P10
 - 1. Routine Interactions
 - 2. Problem Resolution
 - 3. Conveyance of Action or Decisions
 - 4. Management Discussions
 - 5. Networking

- C. **Meeting Guidelines** P14
 - 1. Necessity of Meeting
 - 2. Planning and Preparation
 - 3. Ground Rules
 - 4. Evaluation
 - 5. Follow-up Actions

- D. **Conflict Resolution** P17
 - 1. Building Trust
 - 2. Productive Conflict
 - 3. Problem Definition
 - 4. Solutions
 - 5. Implement and Evaluate Resolutions
 - 6. Recognize and Elevate Impasses

Management Commitment

We, the undersigned, support the principles and processes described in this guidance and direct our organizations to implement the guidance immediately.



James R. Pawlisch
Director, Environmental Dept.
U.S. Navy, NAVFACENGCOM, SWDIV

Date 3/22/96

Vincent F. Clementi
Director, Environmental Programs Center
U.S. Navy, NAVFACENGCOM, EFA West

Date _____

Stan Phillippe
Division Chief, Office of Military Facilities
Cal/EPA, Dept. of Toxic Substances Control

Date _____

Julie Anderson
Director, Federal Facilities Cleanup Office
U.S. Environmental Protection Agency, Region 9

Date _____

BRAC/ERNA Cleanup Process Roles & Responsibilities

#	** Issue	Dept. of the Navy	EPA	State
1	Community Outreach (Approach to Involve Community)	<ul style="list-style-type: none"> Lead agency for all facets of community relations for bases. RAB members selected with input from the **, base, regulatory project teams & the community to ensure complete community representation * will work closely with the installation environmental staff & assists the installation's public affairs staff or community relations staff/contractor in coordinating the dissemination of cleanup information. * will coordinate communication of cleanup information to RAB Lead agency for implementing CERCLA & State Health & Safety Code public participation requirements 	<ul style="list-style-type: none"> Provides assistance & suggestions to Navy's community outreach efforts May aid in establishing RABs & training ** & RAB members in community relations & CERCLA issues EPA coordinates with DTSC to provide regulatory agency involvement in community relations programs for individual bases Ensures applicable feERNA requirements are met 	<ul style="list-style-type: none"> DTSC as State lead provides assistance & expertise to Navy's community outreach efforts, i.e., facilitation of RAB meetings, conducting community interviews, etc. DTSC provides suggested guidance & consensus building training for public participation to **, State project team, & RAB members related to CERCLA & State Health & Safety Code public participation requirements DTSC will coordinate with EPA to provide regulatory agency involvement in community relations programs for individual bases Ensures applicable state requirements are met
2	Technical Scoping (RI, FS, Risk Assessment, etc.)	<ul style="list-style-type: none"> Lead agency for preparation of documents & performance & evaluation of work Develop scopes of work with input from ** members reflecting consensus of the ** & will solicit input from the RAB on technical scoping Works with RPMs on specific projects & schedules 	<ul style="list-style-type: none"> Participates in scoping all facets of work at NPL bases As resources permit, participates in scoping work at non-NPL closing bases 	<ul style="list-style-type: none"> DTSC as State lead will provide comprehensive input into the scoping process DTSC as State lead will proactively coordinate with all state & local regulatory agencies who will delineate & interpret their requirements on a project-specific basis for Navy DTSC's RPM, as the state's ** member, will be responsible for coordinating & developing consensus on all involved state & local regulatory agencies' input
3	ARARs Identification (Discussion & Role)	<ul style="list-style-type: none"> The * will work with other ** members to early identify & establish a preliminary set of ARARs The ** will reach consensus on the final ARARs & will apply to the cleanup standards Will solicit state ARARs from State lead regulatory agency 	<ul style="list-style-type: none"> EPA's RPM will coordinate with other ** members to establish a preliminary site-specific list of ARARs & participate in the **'s consensus-oriented ARARs determination process For NPL bases, EPA will concur on final ARARs as part of the ROD approval as outlined in the FFA & CERCLA For non-NPL closing bases, EPA will advise, comment & concur (as appropriate) on actions related to ARARs & cleanup standards 	<ul style="list-style-type: none"> DTSC as State lead will coordinate with other state & local agencies to identify a preliminary set of site-specific ARARs & participate in the **'s consensus-oriented ARARs determination process DTSC's RPM, as the state's ** member, will be responsible for coordinating & developing consensus on all state & local regulatory agencies' input & for ensuring inclusion of all state & local agencies' requirements into final documents
4	Field Work (Coordination/	<ul style="list-style-type: none"> * will be lead & be responsible for the conduct of all field work 	<ul style="list-style-type: none"> As resources permit, EPA will perform field oversight 	<ul style="list-style-type: none"> DTSC as State lead, will coordinate the state's field work oversight & field activities

LEGEND:

- * - BEC on BRAC bases / Lead RPM on ERNA Bases
- ** - BCT on BRAC / Navy-Regulator Team on ERNA

BRAC/ERNA Cleanup Process Roles & Responsibilities

#	** Issue	Dept. of the Navy	EPA	State
	Resource Sharing) for Investigation or Remediation	<ul style="list-style-type: none"> Field work will be coordinated by & oversight performed by Navy RPMs Project Team members will provide progress & status reports to the */** who in turn will communicate with the public through the RAB & community outreach effort 	<ul style="list-style-type: none"> As resources permit, EPA will assist Navy in performing requested field activities Upon request, EPA may also conduct field work at installations through interagency agreements 	<ul style="list-style-type: none"> Local agencies staff will provide appropriate field work oversight
5	Document Preparation (Coordination/ Resource Sharing)	<ul style="list-style-type: none"> * will be lead for document preparation & coordinating document requirements with other ** members Document preparation will be performed & executed by Project Team RPMs * will ensure that document preparation schedules are provided to the EPA, State, & RAB 	<ul style="list-style-type: none"> Provides early comprehensive input to documents prepared by Navy Willing to actively participate with Navy in completing elements of document preparation, as may be agreed to by the ** With advance notice, EPA can assist in conducting & writing key studies such as ecological assessments or risk assessments, & in preparing work plans, project plans or RODs, as may be agreed to by the ** 	<ul style="list-style-type: none"> DTSC, as State lead, will provide early, comprehensive input into document development DTSC's RPM, as State lead will be responsible for coordinating & developing consensus on all state & local regulatory agencies' input & ensuring inclusion of all state & local agencies' requirements into the final documents
6	Document Review & Comment (Investigations and Cleanup, CEQA, FOSL/FOST, etc.)	<ul style="list-style-type: none"> * will coordinate reviews, consolidate comments, & facilitate reconciliation of comments among the ** & RAB members The *'s role is to ensure that documents are available for review to ** & RAB members The * will coordinate the internal Navy document review process for project team review Navy will assist the State in its compliance with CEQA. 	<ul style="list-style-type: none"> For NPL bases, EPA will review & comment on cleanup & reuse documents in accordance with the FFA &/or most current guidance For non-NPL closing bases, EPA participates in review/comment on cleanup & reuse documents 	<ul style="list-style-type: none"> DTSC, as State lead, will be responsible for coordinating & developing consensus on all involved state & local regulatory agencies' input The State will review & comment on documents in accordance with the FFA or FFSRA &/or other appropriate agreements The State will coordinate with the Navy and EPA on CEQA obligations resulting from State participation in the cleanup process.
7	Document Approval (Decision Documents, RODs, & for BRAC bases: CERFA, etc.)	<ul style="list-style-type: none"> * will coordinate actions in a consensus-oriented manner among the ** members, leading to document approval * will be the point of contact for ensuring document approval within Navy 	<ul style="list-style-type: none"> For NPL bases, EPA participates in the **'s consensus-oriented decision-making process per the FFA & CERCLA For NPL bases, EPA will approve RODs & other documents in accordance with the FFA 	<ul style="list-style-type: none"> DTSC as State lead, will participate in the **'s consensus oriented decision-making process DTSC's RPM, as the state lead, will be responsible for developing appropriate state & local regulatory agency consensus on the

LEGEND:

* - BEC on BRAC bases / Lead RPM on ERNA Bases

** - BCT on BRAC / Navy-Regulator Team on ERNA

BRAC/ERNA Cleanup Process Roles & Responsibilities

#	** Issue	Dept. of the Navy	EPA	State
		<ul style="list-style-type: none"> For BRAC bases, upon delegation, the * will sign EBSs, RODs, Navy CERFA reports Unless delegated otherwise, the * will concur on FOST & FOSL, but these are signed at the command level 	<ul style="list-style-type: none"> For NPL bases, EPA will concur on CERFA uncontaminated parcel determinations For non-NPL closing bases, EPA will advise in the **'s consensus-oriented decision-making process. 	<ul style="list-style-type: none"> acceptability of each document before approval or concurrence The state will approve documents in accordance with the FFA or FFSRA &/or other appropriate agreements after all state & local requirements are met For non-NPL bases, DTSC as State lead will concur on uncontaminated parcel determinations
8	FFA/FFSRA Participation (Involvement: Signatory versus Non)	<ul style="list-style-type: none"> The * will participate in negotiations to prepare/modify FFAs/FFSRAs Where agreements exist, the * will coordinate actions to ensure compliance & will work with other ** members to resolve issues ASN (I&E) will be the signatory on FFAs/FFSRAs 	<ul style="list-style-type: none"> EPA's RPM will participate in negotiation of additional or revised FFAs Where an agreement is already in place, EPA will monitor compliance with the terms of the FFA, & will work with the ** (& other organization representatives as necessary) to resolve FFA issues For non-NPL installations, EPA will not serve as a signatory on FFSRAs unless otherwise agreed upon by all parties 	<ul style="list-style-type: none"> DTSC will be the State lead in the negotiation of additional or revised FFAs or FFSRAs Other appropriate state & local agencies will also be involved in the negotiation process & will sign the agreement, as appropriate DTSC will be responsible, through proactive coordination, for ensuring that appropriate state & local regulatory agency requirements are incorporated in the process delineated in the FFA or FFSRA DTSC will provide a single POC for CAL EPA agency requirements & coordination of other state & local agency requirements DTSC will monitor compliance with the terms of the FFSRA & will work with ** to resolve FFSRA issues
9	Conflicts/Dispute Resolution (Role In Process or Proposed Alternative Process)	<ul style="list-style-type: none"> Participates as a negotiator in the process selected & will recommend solutions to the appropriate decision-making authority Will encourage involvement of the next level of management outside of the ** to help to avoid the formal dispute resolution process. 	<ul style="list-style-type: none"> For non-NPL sites, EPA does not expect to play a formal role in raising disputes or in the FFSRA dispute resolution process. However, EPA will do whatever it can to facilitate resolution, advising, commenting & referencing similar disputes at other NPL bases. For NPL sites, EPA will participate in dispute resolution in accordance with the FFA 	<ul style="list-style-type: none"> DTSC as State lead will mediate state & local agency disputes internally to present a single set of cohesive requirements to Navy & expedite cleanup & reuse DTSC as State lead will participate in the FFA or FFSRA dispute resolution process with input from any affected state & local regulatory agencies Disputes involving requirements of other state &

LEGEND:

* - BEC on BRAC bases / Lead RPM on ERNA Bases

** - BCT on BRAC / Navy-Regulator Team on ERNA

BRAC/ERNA Cleanup Process Roles & Responsibilities

#	** Issue	Dept. of the Navy	EPA	State
			<ul style="list-style-type: none"> • EPA will encourage early involvement of management from the disputing federal, state or local agency in the resolution of the issue & development of guidance to avoid future related disputes 	<ul style="list-style-type: none"> • local agencies will require concurrence from the affected agency before the dispute is resolved (this process will be used in an attempt to avoid regulatory agency enforcement actions) • DTSC, as State lead, will encourage early involvement of management from the disputing federal, state or local agency in the resolution of the issue & development of guidance to avoid future related disputes
10.	Remedy Selection (Including Integration of Reuse & Land Use for BRAC bases)	<ul style="list-style-type: none"> • For BRAC, the BEC will in a consensus-oriented process: <ul style="list-style-type: none"> - work with the transition coordinator & the Navy real estate/environmental planning offices to coordinate consistent reuse/cleanup - coordinate the ** feasibility analysis of cleanup options with respect to reuse scenarios • For ERNA, the Lead RPM will in a consensus-oriented process: <ul style="list-style-type: none"> - coordinate consistent cleanup requirements - coordinate the Navy/Regulator Team feasibility analysis of cleanup options 	<ul style="list-style-type: none"> • For NPL & non-NPL bases, EPA will participate in the **'s consensus-oriented process for remedy selection as specified in CERCLA & the FFA/FFSRA • EPA's RPM will act as EPA's spokesperson for all aspects of remedy selection (including safety & achievability of proposed land uses), with support from EPA (base closure) specialists & other agency staff • For NPL sites, EPA will approve all remedies in accordance with the FFA. For non-NPL sites, EPA will concur in remedy selections, as requested. 	<ul style="list-style-type: none"> • DTSC as State lead, will participate in the **'s consensus-oriented remedy selection process • DTSC's RPM, as the state's ** member, will be responsible for developing appropriate state & local regulatory agency consensus on the acceptability of all proposed remedies before remedy selection • The state will approve all remedies (including no action remedies) in accordance with the FFA & FFSRA &/or other appropriate agreements or guidance after all state & local ARARs are met

LEGEND:

- * - BEC on BRAC bases / Lead RPM on ERNA Bases
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Guidelines for Effective Vertical and Horizontal Communications Global Communication to Communication

The key to a successful partnership between the Navy, the United States Environmental Protection Agency (USEPA) and the California Environmental Protection Agency (Cal/EPA) is timely and effective communications. This dialogue enables the partner organizations to understand each other's interests and concerns, maintain a focus toward common goals and resolve disagreements. A breakdown in communications erodes trust and respect that are the partnership's cornerstones. The resulting conflict reduces job satisfaction, impedes restoration activities and increases costs, slows reutilization of closed bases, and causes public dissatisfaction with government.

The partnership between the Navy, USEPA and Cal/EPA utilizes five types of communication: routine interactions, problem resolution, conveyance of actions or decisions, management level discussions and networking. Routine interactions include day-to-day meetings and conversations about ongoing activities and decisions. Problem solving communications occur when an issue or disagreement arises over a course of action or decision to be made; it may involve one-on-one discussions, formal or informal dispute resolution, or elevation to management. The conveyance of action taken or decisions made by any or all of the partners is essential for everyone to be cognizant of each other's efforts. Management level discussions concern legal, policy, and budgetary matters and significant issues at specific bases. Networking is a means to promote internal or inter-organizational communications among staff to disseminate information about issues, successes and lessons learned in base cleanup and reuse.

The guidelines for conducting these five types of communication are discussed below.

Routine Interactions

This type of communication involves the daily discussions between the staff of the partner organizations. The conversations may concern pending investigation and remediation activities at a base, comments on technical documents, work planning, discussions leading to critical decisions, and interactions with external stakeholders. The discussions may occur over the phone, electronic mail, in face-to-face meetings or any other appropriate forum. While most conversations are non-controversial, they may include debates over appropriate courses of action or technical approaches. Such exchanges should always be conducted in a professional atmosphere of mutual respect among the participants.

Where the discussions involve base specific issues, the remedial project managers (RPMs) at active bases or the Base Realignment and Closure (BRAC) Cleanup Team (BCT) members at closing bases representing the partner organizations will be involved. To ensure a focused, problem-solving orientation in the discussions, the number of individuals participating should be kept to a minimum and preferably between the RPMs or BCT members. Upon agreement of the RPMs or BCT members,

other individuals may be included who have technical expertise or a clear interest in the subject matter. Where a decision is to be made that may establish a major precedent or have policy ramifications for a base or the regulators, management from those organizations from at least the first-line supervisor level should be included. Finally, any actions taken, decisions made or agreements reached should be conveyed to all RPMs or BCT members.

Problem Resolution

When a disagreement arises between the respective parties over the appropriate courses of action or decisions to be made, problem solving discussions need to occur. Such disagreements should be resolved promptly to ensure that remediation work proceeds without a significant disruption. While Federal Facilities Agreements and Federal Facilities Site Remediation Agreements contain provisions for formal dispute resolution, it is generally preferable to resolve disagreements informally. In this instance, the RPMs or BCT members should attempt to meet immediately in person or by conference call to discuss the matter and identify solutions. Technical or support staff may be present to aid in the resolution.

If the RPMs or BCT members cannot resolve the matter, the issue should quickly be elevated to their immediate supervisors. Upon receiving the notice of the problem, the supervisors should meet by conference call or face-to-face to resolve the matter. The RPMs or BCT members may be present if all supervisors concur that their presence would facilitate resolution. Where the supervisors are unable to resolve the issue the second level supervisors of all three organizations will be notified of the impending problem and relevant facts. The second level supervisors will confer among themselves as to the appropriate solution or decide to defer the matter to formal dispute resolution.

It may be necessary to document disagreements in letters. Such letters should be written in a cordial and professional tone, discuss only the specifics of the dispute, avoid speculation or unfounded facts, refrain from personal remarks or accusations, and propose viable solutions to the problem. These letters will generally follow oral discussions between partner organizations in an attempt to resolve issues. In certain instances, where there has been insufficient opportunity to resolve matters orally, each of the partner organizations should be furnished a copy of the draft letters so that there are no surprises.

Conveyance of Actions or Decisions

When key decisions are made, agreements reached, and follow-up actions identified in the meeting between the RPMs or BCT members, they should be summarized in writing and distributed to the other team members. Following all RPM or BCT meetings, one of the team members will take responsibility for preparing and submitting this documentation to the other team members. It will be the responsibility of each team member to distribute this information as appropriate within their organizations. Any items that require follow-up action will be carried out accordingly and reported at the next meeting by the responsible individuals. Finally, any disagreements or disputes

that are resolved in these meetings or other conversations will be documented and distributed among the RPM or BCT members. If the public is aware of the matter, through the Restoration Advisory Board (RAB) or news media, they should be informed of the resolution in a manner deemed appropriate.

Decisions made or actions taken by management in any of the partner organizations that have policy ramifications or other external impacts will be documented in correspondence to their management counterparts. It is the responsibility of all managers within their organization to communicate such actions or decisions so that staff will carry out such decision and understand the intent. This communication may be written or verbal. When the decision involves a major change in how the work of the partners is conducted, training may be necessary for those affected by the decision.

Management Discussions

In addition to the problem solving discussions described above, management communications occur regarding broad legal, policy, and budget matters. If issues or disagreements arise that are of an urgent nature, or cannot be resolved at the lower levels of the partner organizations, the managers should meet in a timely manner to resolve the problem or make recommendations for consideration by higher management. Where possible, the managers are encouraged to discuss the problem and viable solutions informally among themselves. Any decisions made or agreements reached should be conveyed among and within the partner organizations as previously described.

To facilitate communication and understanding at all management levels, periodic meetings have been established between the first-line supervisors, second-line supervisors and upper management of the partner organizations. The first-line supervisors' meetings focus on common issues arising at all of the bases that impact the work and relationship of the RPMs or BCT members. The topics for discussion may be technical, procedural, public participation, political, site characterization, remediation issues, and reuse. These meetings may also be used as a forum to alert the first-line supervisors of problems and issues that may arise in the near future, and to identify means to resolve recurring problems at the bases.

The periodic meetings between the second-line supervisors will focus on resolution of base-specific issues that have not been settled at the lower levels. The meetings may also be a forum to alert each other's organization of issues that arise in the near future, and to discuss policy, programmatic, legal and budgetary matters that would impact the work of the RPMs or BCT members. This group may also produce recommendations for action or a decision by upper management. After each of the meetings between the first or second line supervisors, a summary of the action items, agreements and the original meeting agenda will be made available to staff within the organizations by the supervisors.

The upper management of the Navy, USEPA and the Cal/EPA have established quarterly meetings to examine and provide solutions to policy, program, interagency, legal and budget issues. Although base specific matters may arise, they typically have

policy or precedent setting ramifications, are politically sensitive, or have generated significant interest in the communities.

In addition to the quarterly meetings identified above, upper management has established a series of meetings dedicated to developing and finalizing the Navy's DERA and BRAC budgets for the West Coast for upcoming federal fiscal years. The purpose of these meetings is for the partner organizations to review and comment on the proposed line-items for each base early in the budget process, identify areas overlooked during this process, and review concerns that the agencies would have if certain activities are not funded. In many of these meetings, participants from USEPA, Region 10 and states of Washington, Alaska and Arizona are included since they are impacted by the Navy's West Coast budget. The desired outcome of these meetings is a consensus on the proposed BRAC and DERA budgets and an awareness by all of the organizations of the level of funding for each base specific activity.

Cal/EPA, USEPA, the Navy, and the other DOD branches are members of the California Military Environmental Coordination Committee (CMECC). Originally established in 1991 as the California Base Closure Environmental Committee to serve as a forum for issues impacting cleanup and reuse at closing military bases, CMECC's role was expanded by Governor Wilson's Executive Order in 1995 to also include compliance and broad environmental matters at all California military bases. CMECC meets quarterly to examine issues related to property transfer, water quality, air quality, hazardous waste regulatory compliance, and remediation and to hear lessons learned and share success stories. The Committee makes recommendations on certain issues and tasks members to investigate other issues for consideration at future meetings.

The minutes of the CMECC meetings are distributed to each of the partner organizations through their CMECC representative and made available to staff in the organizations. CMECC will also publish a quarterly newsletter that summarizes their key activities. Each member is also assigned to one or more Process Action Teams (PATs) that examine a problem and make recommendations for application at all bases. The products of CMECC and the PATs have been compiled and made available to the BCT members and RPMs in California.

Networking

The RPMs, BCT members and management are expected to work informally within their organizations, with other regulatory agencies and the public to disseminate lessons learned in resolving problems and issues, solicit feedback on their work and communicate the successes that frequently occur. Effective networking allows the application of lessons learned and innovative solutions across all bases without delaying remediation or reuse. The BCT members, RPMs and managers should actively work with their counterparts to identify emerging issues and successes that can be communicated to CMECC and national forums such as the Defense Environmental Response Task Force. The BCT and RPM teams will communicate issues and accomplishments to members of the RABs, reuse entities and the community.

EFFECTIVE MEETING GUIDANCE

Meetings between the Navy and regulators, which occur frequently, particularly at a project team level, are sometimes not as successful and productive as they could be, with adverse consequences for the project and team members. As meetings are a significant tool to achieve environmental cleanup, and they demand a substantial investment of resources, it is important that meetings be effective.

The outlined guidance is being provided to aid all meeting participants in achieving successful meetings. Key aspects of success include appropriate planning and preparation, conducted to reach desired objective, and assignment of follow-up actions. The guidance provides an overall approach and some specific tools for having effective meetings.

A. Planning Considerations

Planning Activities

- Discuss with key members whether a meeting is necessary (Attachment 1/1A).
- Prior to meeting, develop and distribute agenda that clearly states desired outcome and time allocated for each agenda item (Attachment 2).
- Distribute any written information requiring discussion and/or decision prior to the meeting to give participants ample time to consider the issues.

Meeting Content

- What information will be presented?
- Who will present the information?
- How will information be presented?
- How much time will be required?
- What decision will be made?
- What activities will be carried out?
- Who will be responsible for activities to be carried out?

People Attending

- Who needs to be included in the planning?
- Who should know the meeting will take place?
- Who are the key people that should be present? Who else will be present?
- Who will be the meeting leader / facilitator?

B. During the Meeting

- Present the agenda, objectives, and participation ground rules (Attachment 3)
- Start on time and stick to the agenda.
- Summarize progress and identify action ownership:
 - * Reach conclusions
 - * Specify actions and due dates
 - * Agree on how to communicate progress and results
- Evaluate the meeting (Attachment 4).
- End on time.

C. Common Pitfalls

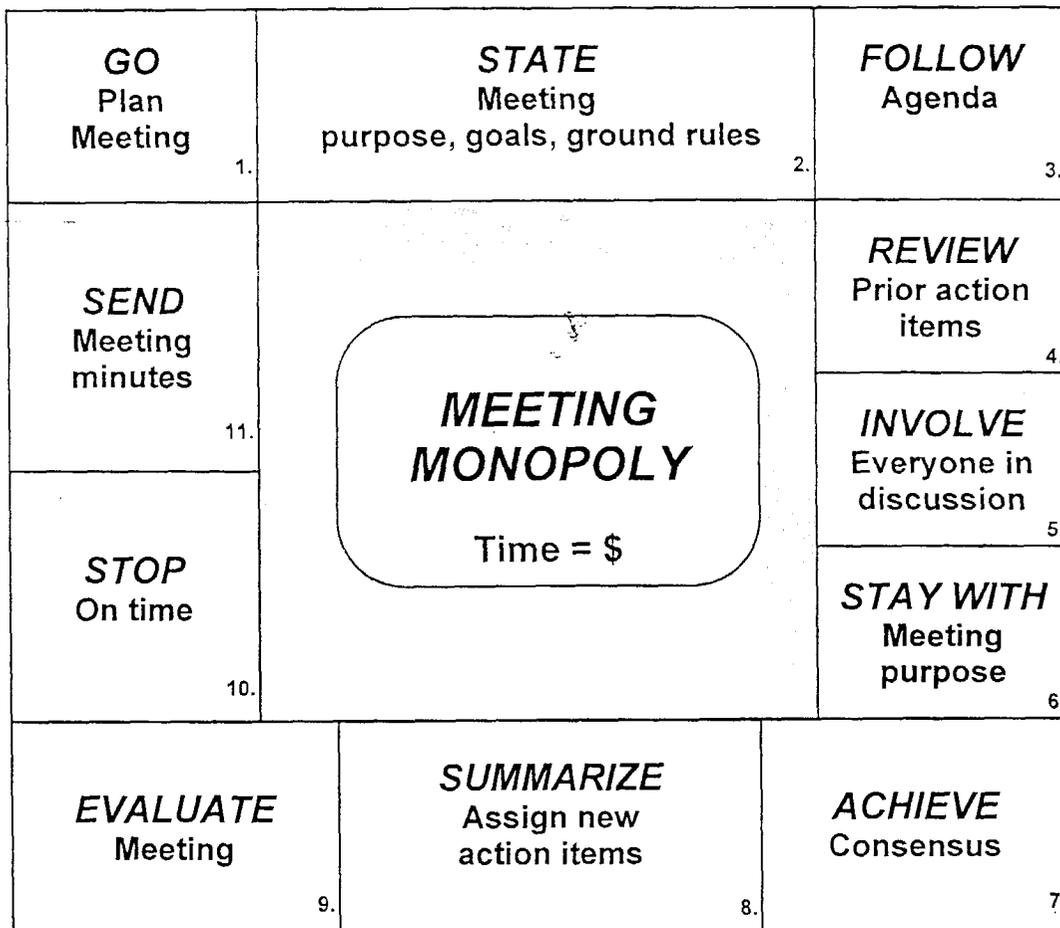
- Poorly organized / planned.
- Poor attendance / poor participation.
- Not focused on topics.
- Lack of decision.
- Lack of conflict resolution process.
- Ground rules not followed.
- Poor time management for discussion of items.

Is This Meeting Really Necessary?

Do Not Hold Meeting If:

- Key people can't attend
- Participants not prepared to discuss agenda items
- Required materials not available
- Action items not complete
- Nothing new to report/discuss
- Information can be conveyed by memo or phone

If "Yes", Advance to "Go"



SAMPLE

**MCAS Tustin
Project Review Meeting
13 July 1995 Agenda**

Date:	13 July 1995	Time:	0800 - 1730	Place:	MCAS Tustin Officers Club
Leader:	Ann Thompson	Recorder:	Husam N. Masri	Timekeeper:	TBD

Time	Topic	**	Leader	Pre-reading	Desired Outcome
0800/0810	Agenda Review	D	Sakamoto	None	<ul style="list-style-type: none"> • Agree on Agenda • Ground Rules • Collect Conference fees
0810/0830	1 June 95 Mtg Action Items	I	Thompson	1 June Mtg Minutes	<ul style="list-style-type: none"> • Review status of the action items identified during 1 June meeting
0830/0845	MCAS Tustin	I	Col Hammerele	None	<ul style="list-style-type: none"> • Opening remarks outlining expectations and goals.
0845/0915	Bechtel Team Bldg	I	Masri	None	<ul style="list-style-type: none"> • Present a summary of the internal team building mtg held 12 June 5
0915/0945	Communication Matrix	C	Thompson	None	<ul style="list-style-type: none"> • Discussion of the project communication protocol; team to modify as appropriate
0945/1030	Roles & Responsibilities Matrix	D	Sakamoto	Initial draft of R&R matrix	<ul style="list-style-type: none"> • Present updated R&R matrix. Members to provide comments and how to use the final matrix
1030/1045	BREAK				
1045/1115	Meetings Matrix	D	Chandler	Initial draft of meetings matrix	<ul style="list-style-type: none"> • Present updated mtgs Matrix. Members to provide comments
1115/1140	Periodic Presentations of CTO Status	D	Thompson	None	<ul style="list-style-type: none"> • Outline plan for periodic (every 2 mos) progress presentations of each CTO/DO to SWDIV management
1140/1200	BCT Meeting 19 July 95	C	Chandler	None	<ul style="list-style-type: none"> • Outline expectations for CTO presentations during BCT meeting for 19 July 95
1200/1300	LUNCH				

** D = Discussion/Decision I = Informational C = Discussion / Input

SAMPLE GROUND RULES

- ARRIVE ON TIME
- START ON TIME
- ONLY ONE PERSON SPEAKS AT A TIME
- ATTEND THE WHOLE MEETING
- CLARIFY ROLES AT EACH MEETING
- MOVE ALONG
- END ON TIME
- EVERYONE CONTRIBUTES
- NO INTERRUPTIONS OR "SIDE TALK"
- TAKE TIME FOR CAUCUS
- START WITH A REVIEW/AGREEMENT OF THE AGENDA
- KEEP TEAM BUSINESS INSIDE THE TEAM
- NO "ZINGERS", PUT-DOWNS OR CHEAP SHOTS
- OPEN, PROFESSIONAL DISAGREEMENT IS OK
- LISTENING IS IMPORTANT
- KEEP STATEMENTS FOCUSED
- RESPECT ONE ANOTHER; RESPECT THE TEAM
- CELEBRATE ACHIEVEMENTS
- SHARE ALL RELEVANT INFORMATION
- KEEP AGREEMENTS
- CONSIDER EVERY IDEA
- MAINTAIN CONFIDENTIALITY
- MAKE DECISIONS BY CONSENSUS
- REPORT ACTION ITEMS IN MEETING SUMMARY MINUTES
- SET AN AGENDA FOR THE NEXT MEETING

ENJOY AND HAVE FUN!!

SAMPLE MEETING/EVALUATION CHECKLIST

"Was there.....?"

	YES/NO	COMMENTS
Clear and realistic agenda	_____	_____
Adequate time to prepare	_____	_____
Wide-spread participation	_____	_____
Effective leadership and facilitation	_____	_____
Discussion of alternative views	_____	_____
Open communication	_____	_____
Separation of opinions from facts	_____	_____
Assignment of action	_____	_____
Summary at end	_____	_____
Meeting minutes taken	_____	_____
Progress made/Goals achieved	_____	_____

CONFLICT MANAGEMENT GUIDANCE

- Conflict is not a sign of failure but an opportunity to increase team creativity and performance.
- Teams should ideally utilize consensus decision-making, collaboration, and compromise to resolve conflict.
- Conflict should be managed at the lowest level possible.

Building Trust as the Foundation for Conflict Management

Trust exists when we make ourselves vulnerable to others whose subsequent behavior we can't control. On another level, trusting involves a willingness to take risks without being certain of the commitment.

In order to build trust in this partnership, we each must be willing to be the first to break the cycle of mistrust when we see it. We must cultivate the assumption of no malicious intent, i.e., Am I willing to consider forgiving the other in the moment when I feel hurt by what was said or done?.

We must be committed to being trustworthy, to doing what we said we would do and saying so when we feel we will be unable to meet a stated expectation.

We must watch for lack of trust and invite others to help us see the symptoms; such as when we each ignore, disguise, and distort facts, ideas, conclusions and feelings that we believe will increase our vulnerability to others.

Remember that listening does not occur without a bias. We must strive to be aware of what we are listening for. When we feel compelled to defend our position, we may lose our ability to hear other interests being expressed.

In order to maintain trust in this partnership, we must accept that each person in this group will be continually reconciling personal, departmental, interagency, and global agendas.

Finally, demonstrations of trust are essential to achieve the mutual goals.

Conflict Management Introduction

Conflict is the difference of opinion, perception, direction, ideas, needs, etc. Conflict is inevitable and necessary in reaching effective and creative solutions to problems. A relationship without conflict is a non-relationship.

Conflict can lead to more open communication, creative problem solving, risk taking, and enhanced team relationship; however, conflict can also lead to the destruction of relationships and impair team decision-making ability and morale. Teams must therefore accept conflict, see it as an opportunity and manage it in such a way that enhances the competence and commitment of all parties involved.

Unfortunately, few organizations accept conflicts among ideas, information, and conclusions as being desirable, and almost none attempt to stimulate it. There are generally three reasons why:

- Conflict is not a standard procedure in most decision making and problem-solving situations and, therefore, too few people understand it. There is insufficient knowledge and understanding of the procedures involved in conflict and the advantages and potential constructive outcomes that can result from disagreement.
- Many organizational personnel seem to lack the interpersonal skills and competencies needed to stimulate conflict and ensure that it is managed constructively. Training in communication and conflict management will help to overcome this shortcoming.
- There appears to be considerable fear and anxiety on the part of many people in conflict situations. Disagreement is often seen as stressful and threatening.

Conflict —→ Creativity

Guidance for Conflict Management

The EPA Region IX, California EPA, and DON recognize the value of differing points of view and are committed to managing conflict for the desired benefit of greater team performance.

1. Project teams should understand and apply the following steps in managing conflict:

- Decide if the conflict is worth confronting. Refer to the primary mission and goals of the team to help determine if the conflict should be pursued.
- Conflicts and disagreements are encouraged and openly expressed. Initiate the conflict in a non-defensive way. Conflict is focused on ideas or content and not on personality or emotion. Show respect for others (even if it is not initially returned). Manage one's own actions (in spite of one's feelings).

- Define the problem. Identify specifics, listen to all team members, agree to causes of the conflict. Be patient with this process.
- Generate feasible solutions. Work for creative options that aren't yet on the table.
- Select a mutually acceptable solution. Be persistent toward resolution.
- Plan the implementation.
- Plan an evaluation.

2. Teams should strive to reach decisions that best reflect the thinking of all team members. This is referred to as "consensus".

Consensus is having...

- Found a proposal acceptable enough that all members can support it; no member opposes it.

Consensus is not having...

- A unanimous or majority vote.
- Everyone totally satisfied.

Consensus requires...

- Time
- Active participation of all team members
- Skills in listening, conflict management, and meeting facilitation.

3. Project teams should strive to develop negotiation skills, understand and apply the below listed techniques, as situationally appropriate, and to manage conflict. Typically, collaboration followed by compromise are the most common techniques to satisfactorily resolve conflict. Avoidance is usually the least desirable option. These techniques are listed, from top to bottom, in the order of most desirable to least desirable:

- Collaboration (searching for common ground and creative alternatives)
- Compromise (each giving up part)
- Accommodating (going along)

- Competition (win - lose)
- Avoidance (smoothing over, ignoring, denial)

4. Project team members also need to recognize the most common ways of dealing with conflict that aren't functional, although they may "work" for the moment:

- Blaming or making others "wrong"

Fixes: Encourage all members to provide their opinions. Focus on facts and make decisions based on data, so as to eliminate a "right/wrong" portrayal of a decision or issue. Seek to understand all opinions and the basis of those opinions. Emphasize team decisions and team 'buy-in'.

- Fearfulness, avoiding issues, ducking

Fixes: Use a written agenda with time estimates for each item. Write topics or items on a flip chart and post the pages on a wall where all members can refer back to them throughout a conversation. Draw out all concerns. Identify individual fears and concerns. Focus on facts and create a neutral environment. No personal attacks.

- Sarcasm, ridiculing others

Fixes: As a team norm, sarcasm and ridicule cannot be tolerated. Immediately question the offending team member as to why they engaged in this behavior. Restate the team ground rule of elimination of this behavior. Use active facilitation. Need to establish trust, respect, and honesty.

- Indirectness, using games and hidden agendas

Fixes: Keep the discussions from digressing. Decide on meeting ground rules and norms. Establish clear team goals and meeting agendas. Stick to goals and written word.

- Coercion, using power plays and intimidation

Fixes: Seek opinions from all members. Use data as the basis of decisions. Explore important issues by polling (each member is asked to vote or state an opinion verbally or in writing).

- Filibustering, talking people to death

Fixes: List "Balance of Participation" as a meeting ground rule.
Practice gate-keeping: "We've heard from you on this, Al. I'd like to hear what others have to say". Use flip-charts to document all concerns.

- Displaying anger and angry behaviors

Fixes: Set ground rules for how to address disruptions during meetings. Get angry members to discuss their issues off-line. Focus the conflict on issues, not emotions. The team should agree to call a 'time-out' to cool down. Restate team ground rules. Use active facilitation.

- Sabotage, going underground

Fixes: Encourage all members to express their opinions. Focus on consensus decision-making. Restate team ground rules. Use active facilitation.

5. Manage conflict to the greatest extent possible between members of the team at the team level. When the team reaches impasse, the conflict should then be raised to the level of the first line managers of the project team members.

6. As a professional courtesy and as a means of avoiding potential conflict, team members will provide each other (and their managers as needed) early notification of significant issues and potential problems.

- No surprises.
- Exchange draft letters and other draft written communication, as appropriate.
- Raise issues and problems as soon as possible.
- Team members to approach each other candidly.

AGENDA

JOINT LEADERSHIP WORKSHOP

28 MARCH 1996

INTRODUCTION (10 MIN)

1. HISTORY
2. PURPOSE OF MEETING

PRESENTATIONS (90 MIN)

INTRODUCTION JANE DIAMOND (EPA)

ROLES/RESPONSIBILITIES DANA SAKAMOTO (SWD)
JOHN SCANDURA (DTSC)
JANE DIAMOND (EPA)

EFFECTIVE MEETINGS AL HURT (SWD)

CONFLICT MANAGEMENT CHRIS KOTAS (SWD)

EFFECTIVE COMMUNICATIONS JOHN SCANDURA (DTSC)

BRAINSTORM IMPLEMENTATION PLAN (60 MIN)

- o HOW
- o WHO
- o WHAT TEAMS
- o WHEN

WRAP UP AND SUMMARY (10 MIN)

