



*B-153449*

*094160*

# REPORT TO THE CONGRESS

## Public Involvement In Planning Public Works Projects Should Be Increased B-153449

Corps of Engineers  
Federal Aviation Administration  
Federal Highway Administration

**BY THE COMPTROLLER GENERAL  
OF THE UNITED STATES**

*710789*  
*094160*

DEC. 6. 1974



COMPTROLLER GENERAL OF THE UNITED STATES  
WASHINGTON, D.C. 20548

B-153449

4 To the Speaker of the House of Representatives  
and the President pro tempore of the Senate

This is our report on the need for increased public involvement in planning public works projects. We reviewed the procedures and practices of the three largest public work agencies--the Corps of Engineers (Civil Functions) in the Department of the Army and the Federal Aviation Administration and the Federal Highway Administration in the Department of Transportation.

Our review was made pursuant to the Budget and Accounting Act, 1921 (31 U.S.C. 53), and the Accounting and Auditing Act of 1950 (31 U.S.C. 67).

Copies of this report are being sent to the Director, Office of Management and Budget; the Secretary of Transportation; and the Secretary of the Army.

A handwritten signature in black ink, reading "James B. Stacks".

Comptroller General  
of the United States

COMPTROLLER GENERAL'S  
REPORT TO THE CONGRESS

PUBLIC INVOLVEMENT IN  
PLANNING PUBLIC WORKS  
PROJECTS SHOULD BE  
INCREASED

Corps of Engineers  
Federal Aviation Administration  
Federal Highway Administration  
B-153449

1-305  
2-30  
3-63  
x

4-20  
5-29  
6-21

D I G E S T

WHY THE REVIEW WAS MADE

Because of disruptive impacts that public works projects can have on individuals and communities and because of recent public opposition to many projects, GAO examined procedures and practices of three of the largest public works agencies to identify and assess the extent of public involvement in planning and developing projects. The Federal share of the cost of public works projects funded by these agencies--the Corps of Engineers (Civil Functions), Federal Aviation Administration (FAA), and Federal Highway Administration (FHWA)--is over \$5 billion annually.

There has been mounting evidence in the recent years, however, that a hearing alone may no longer be adequate, particularly where complex and controversial issues exist. (See p. 3.)

Throughout the United States individuals with extensive experience in public involvement activities generally agree that the public hearing process is insufficient and that an effective public involvement effort should insure that:

--The public has an opportunity to be heard early, before major project decisions are made.

--Adequate notice of opportunities for involvement is provided to interested or potentially affected parties.

--Frequent forums are held throughout all stages of project development. (See p. 3.)

FINDINGS AND CONCLUSIONS

Public participation in the Government's decisionmaking process has long been recognized as a necessity for planning and developing public works projects.

A public hearing has been the traditional means for involving the public in planning public works projects. But hearings, although allowing the public to express its opinions, do not provide a good forum for evaluating and discussing alternatives and issues.

In the past such an approach caused little public concern.

GAO's review of the planning and development of Corps, FAA, and FHWA financed projects showed that opportunities for public participation in the decisionmaking process could have been increased. Although there were some instances of active efforts to involve the public in project planning, greater efforts are needed.

In some cases the public was not given an opportunity to be involved in the project planning. The Corps has given its District offices broad latitude in deciding whether there would be public involvement in the granting of permits for certain activities in navigable waters.

In some cases, permits remain open for long periods of time with no requirement for public involvement in any later Corps re-evaluation of whether the permit should be continued. (See pp. 9 and 10.)

FAA public involvement guidelines allow airport sponsors to plan certain airport development projects requiring the relocation of families and businesses and to receive FAA land acquisition grants without public involvement.

For example, in July 1973 FAA approved a \$4.1 million grant for a municipal airport to, among other things, acquire 259 acres of land for a runway extension and relocate about 65 families and four business establishments. The families were not provided with an opportunity to be heard. (See p. 14.)

Public notice practices of all three agencies could be improved. To announce public hearings, both FAA and FHWA relied primarily on "legal notices" placed in newspapers. This practice does not always insure the awareness of those who may be interested or potentially affected by a planned project. (See pp. 13 and 18.)

Although the Corps' regulations require the use of direct mail and newspaper coverage to notify the public of meetings, many individual citizens potentially affected by a planned project are not notified. (See p. 8.)

Public involvement opportunities provided for FAA or FHWA financed projects were usually limited to one and sometimes two public hearings often after major decisions had already been made. (See pp. 13 and 16.)

The Corps provided three public meetings for water resource planning studies, one of which was at the start of the study. The three Corps districts included in GAO's review held additional meetings and workshops or established citizen advisory committees to maintain communication with the public throughout the study. (See p. 6.)

GAO noted an increasing awareness among the three agencies of the need to improve the public involvement process. For example, FHWA now requires each State highway department to reexamine its planning process and to submit an "action plan" describing procedures that encourage public participation throughout the developmental stages of a highway project. As of July 16, 1974, action plans of 41 States had been approved by FHWA. (See p. 20.)

Although GAO's review concentrated on public works activities of three agencies, there are other Federal agencies and programs for which the concepts of public involvement apply. Overall Federal policy guidance would assist agencies in improving their public involvement activities.

Such guidance should be directed toward more uniformity and, as a minimum, should specify:

- Type of projects for which public involvement should be sought.
- Type and frequency of forums to be used throughout all stages of project development.
- Methods of notifying the public of its opportunities to participate in the decisionmaking process. (See p. 24.)

#### RECOMMENDATIONS

The Secretary of the Army should direct the Corps to:

- Revise its regulations to require that citizens potentially affected by, or interested in, a water resources project planning effort be identified and directly notified of their involvement opportunities.
- Provide public involvement opportunities before issuance or reevaluation of permits for structures or work in navigable waters. (See p. 11.)

The Secretary of Transportation should:

- Direct FAA and FHWA to revise their regulations to require that citizens potentially affected by a project planning effort be identified and directly notified of their involvement opportunities.
- Direct FAA to require that airport sponsors provide timely and meaningful public involve-

ment in all phases of airport development, including land acquisition, before major decisions are made. (See p. 22.)

The Office of Management and Budget should develop uniform Federal standards for involving the public in the planning of federally sponsored activities. (See p. 24.)

#### AGENCY ACTIONS AND UNRESOLVED ISSUES

The Department of the Army said it would reemphasize to the Corps the need for insuring that field offices notify parties potentially affected by water resources planning activities of opportunities to participate in public meetings.

The Department also said the Corps' revised permit regulations of April 1974 provide opportunities for public involvement before the issuance or reevaluation of permits. Although these regulations call for issuance of public notices of Corps plans to issue permits for structures or work in navigable waters, the district engineer decides whether to hold meetings to hear views of the public. The revised regulations do not provide for public involvement in advance of the Corps' decision to modify, suspend, or revoke a permit.

The public should be notified of all permit actions of the Corps and should be given an opportunity to express its views on Corps' actions. (See p. 12.)

The Department of Transportation said direct notification of citizens potentially affected by a public works project is a laudable goal

but believes that such a requirement is unrealistic because of:

- Difficulties in precisely identifying large and complex project areas and the persons affected.
- Cost of large mailings.
- Possibility of legal action by persons inadvertently omitted from a mailing list.

In GAO's opinion, these are not valid reasons for not using direct mail as a means of notifying the public. (See p. 22.)

The Department also said existing FAA regulations provide for adequate public involvement in all phases of FAA-financed airport development, including land acquisition.

GAO found, however, that FAA has made grants to airport sponsors for land acquisition involving relocation of families, without requiring the sponsor to hold a public hearing. The Department should reconsider its position on this matter. (See p. 23.)

The Office of Management and Budget said it planned to determine whether GAO's findings at the Corps, FAA, and FHWA were also applicable to the programs of other agencies.

On development of uniform Federal standards for public involvement, the Office said it would involve a major analytical effort because of the immense variety of Federal activities.

The Department of Transportation said Federal standards were not desirable because each agency should have the flexibility to administer public involvement activities according to program needs.

The diverse policies and practices of the Corps, FAA, and FHWA indicate a need for overall Federal guidance. Federal standards would promote a more uniform and effective program of public involvement in federally financed public works undertakings.

The Department of the Army did not comment on the merits of Federal standards. (See p. 25.)

#### MATTERS FOR CONSIDERATION BY THE CONGRESS

This report discloses weaknesses in three of the major public works agencies in carrying out their public involvement activities.

It also points out the need for overall Federal guidance to assist all agencies in involving the public in their decisionmaking process and calls on the Office of Management and Budget to provide such guidance.

## C o n t e n t s

		<u>Page</u>
DIGEST		i
CHAPTER		
1	INTRODUCTION	1
	The basis for involving the public	1
2	ACHIEVING EFFECTIVE PUBLIC INVOLVEMENT	3
	Providing an opportunity to be involved early	3
	Adequate notice to the public	4
	Frequent forums to achieve effective public involvement	4
3	AGENCIES' PRACTICES TO ACHIEVE PUBLIC INVOLVEMENT	6
	Corps of Engineers	6
	Public involvement in water resource projects	7
	Public involvement in permit actions	9
	Recommendations to the Secretary of the Army	11
	Department of Army comments and our evaluation	12
	Department of Transportation	12
	Federal Aviation Administration	12
	Public involvement practices	13
	Actions to improve public involvement	15
	Federal Highway Administration	16
	Public involvement practices	16
	Actions to improve public involvement	20
	Recommendations to the Secretary of Transportation	22
	Department of Transportation comments and our evaluation	22
4	NEED FOR OVERALL FEDERAL GUIDANCE	24
	Recommendation to the Director, Office of Management and Budget	24
	Office of Management and Budget comments	25

	Department of Transportation and Department of the Army comments and our evaluation	25
5	SCOPE OF REVIEW	26
APPENDIX		
I	Letter dated June 25, 1974, from the Department of the Army to the General Accounting Office	27
II	Letter dated July 16, 1974, with enclosure, from the Department of Transportation to the General Accounting Office	29
III	Letter dated September 11, 1974, from the Office of Management and Budget to the General Accounting Office	30
IV	Agency projects selected for review	39
V	Principal officials of the Department of Transportation and the Department of Defense responsible for administering activities discussed in this report	41

#### ABBREVIATIONS

FAA	Federal Aviation Administration
FHWA	Federal Highway Administration
GAO	General Accounting Office



## CHAPTER 1

### INTRODUCTION

In recent years many public works agencies of the Federal Government and their federally assisted State counterparts have found themselves in conflict with citizen groups and individuals who demand that their views be considered in project planning. Opposition has become so intense, in some cases, that public works projects have been stopped or significantly delayed, causing increased project construction costs. Some experts in the field of community involvement believe that citizens no longer trust government officials to make decisions in the public interest about public works projects.

The National Environmental Policy Act of 1969 (42 U.S.C. 4321) requires Federal and local project sponsors to assess the impacts that projects will have on the environment. Since its enactment, over 400 lawsuits have been brought charging that the impacts have not been properly or fully evaluated. The bulk of these lawsuits involved highway, water resource, airport, nuclear power, and federally assisted housing projects.

Public participation in the Government's decisionmaking process has been recognized as a necessity for planning and developing public works projects. The Congress has long accepted the principle of public involvement as evidenced by enactment of various laws. The President, commenting on the National Environmental Policy Act of 1969, said that it established a new dimension for citizen participation and citizen rights. A January 1972 Department of Transportation citizen advisory committee report stressed the importance of involving the public in creative ways. The Secretary of Transportation, commenting on that report, said that, if involvement were well carried out, agreements could be reached and costly project delays avoided in most cases.

### THE BASIS FOR INVOLVING THE PUBLIC

Since 1950 specific provisions have been included in several Federal-aid Highway Acts requiring that the construction agency either hold a public hearing or offer the public an opportunity to request one prior to construction of Federal-aid highway projects. The objective of the hearing is to fully consider the economic, social, and environmental effects of a proposed project and to see that they are consistent with the goals of the affected community.

Congressional hearings on the 1970 Federal-aid Highway Act discussed the effectiveness of public hearings. Many community officials expressed concern that (1) only the views of individuals and groups skilled in public presentation are adequately presented, while views of the less skilled citizen may be overlooked, and (2) the public hearing forum often does not permit the exchange of views necessary to understand and address concerns which may be raised.

To strengthen the public hearing requirement, the Federal-aid Highway Act of 1970 (23 U. S. C. 101) requires in section 128 that State highway departments submit a report to the Secretary of Transportation for each project showing the consideration given to the project effects and various alternatives raised during the hearing. To insure that possible adverse economic, social, and environmental effects were fully considered and final decisions on the project were made in the best public interest, the Secretary of Transportation issued guidelines, required by the act, to provide highway agencies and Federal Highway Administration (FHWA) field offices with guidance on the development of action plans.

The Airport and Airway Development Act of 1970 (49 U. S. C. 1709) requires in section 1716d(1) that

"\* \* \* no airport development project involving the location of an airport, an airport runway, or runway extension may be approved by the Secretary unless the public agency sponsoring the project certifies to the Secretary that there has been afforded the opportunity for public hearings for the purpose of considering the economic, social, and environmental effects of the airport location and its consistency with goals and objectives of such urban planning as has been carried out by the community."

There is no legal requirement that the public be involved in the planning of water resource projects of the Corps of Engineers. According to Corps' policy, however, all interested individuals and agencies are to be informed and afforded an opportunity to be fully heard.

In March 1970 the President issued Executive Order 11514 which implemented the National Environmental Policy Act of 1969. The act required all Federal agencies to prepare a detailed environmental impact statement when their actions significantly affected the quality of the human environment. Such statements are to be made available to the public. The executive order required Federal agencies to develop procedures to insure that the public receive timely information so that their views could be obtained. The method and form which public involvement should take was left to the individual agencies.

We examined the procedures established by three of the largest public works agencies--the Corps of Engineers (Civil Functions) in the Department of the Army and the Federal Aviation Administration (FAA) and FHWA in the Department of Transportation--to identify and assess the extent of public involvement in planning and developing projects. The Federal share of the cost of public works projects funded by these agencies is over \$5 billion annually.

## CHAPTER 2

### ACHIEVING EFFECTIVE PUBLIC INVOLVEMENT

A public hearing is the traditional means provided for public involvement in project planning. In the past, such an approach aroused little public concern. In recent years, however, public concern has increased to the point that a hearing alone may no longer be adequate, particularly where complex and controversial issues exist.

People are beginning to realize that the Nation's resources are limited. They are more aware of the impact that public works projects can have on the environment and on the quality of life. Increasingly, the public is seeking to influence choices made about such projects. This public involvement has given rise to well-organized and often-effective opposition to public works projects.

There seems to be general agreement as to the objective of public involvement--full consideration of the social, economic, and environmental effects of government-supported projects, resulting in decisions that are in the public interest. The policies, procedures, and practices by which the objective can be best achieved are not so well defined.

We attempted to identify the method and activities that would accomplish an effective public involvement program. Our study included (1) a review of recent articles and literature on public involvement activities, (2) discussions with planners, educators, and individuals who have served as consultants on the subject, and (3) discussions with officials of the Corps, FAA, and FHWA engaged in public involvement activities. We reviewed the public involvement activities on selected projects sponsored by each of these agencies and interviewed persons potentially affected by these projects.

There is general agreement that the public hearing process alone is not sufficient. To be effective, public involvement should insure that:

- The public has an opportunity to be heard early, before major project decisions are made.
- Adequate notice of involvement opportunities be provided to the public interested or potentially affected by a planned project.
- Frequent forums are held throughout all stages of project development.

### PROVIDING AN OPPORTUNITY TO BE INVOLVED EARLY

A public hearing, at the end of a project planning effort, comes too late to foster meaningful public involvement. At this point the

public is put in the position of reacting to decisions already made, rather than having an opportunity to affect decisions. There is strong sentiment that the formal public hearing should be the result of a more informal and intensive public involvement process that started long before.

Public involvement can have its greatest effect in the formative stages of project planning. When the public involvement opportunities are provided late in the planning process there is greater reluctance to make changes. The tendency, instead, is to defend previously determined courses of action, rather than to explore any new information or views received.

If the public becomes involved before major decisions and commitments are made, planners can better recognize and deal with issues of community concern and improve the chances of reaching a solution on controversial matters. The earlier issues are recognized, the greater flexibility there is in planning.

#### ADEQUATE NOTICE TO THE PUBLIC

There seldom is one "public" for project planning purposes. There are many different groups and individuals, with diverse interests and viewpoints, who may be interested in or affected by a planned project. To be adequate, notice should be given to all such persons so that they are aware of involvement opportunities.

A "legal" notice placed in a newspaper may not be sufficient notice for interested or potentially affected persons. One way to insure sufficient notice is for local project sponsors to undertake special efforts, such as establishing a mailing list, to notify those groups and individuals.

#### FREQUENT FORUMS TO ACHIEVE EFFECTIVE PUBLIC INVOLVEMENT

There is consensus that the number and type of forums that should precede the formal public hearing--such as workshops, informal meetings, or meetings between individual members of the public and planners--should be tailored to the individual project. Such forums should maintain and encourage, throughout all stages of project developments, the open and free exchange of information and views between the public and project planners.

Such forums can give the public a better understanding of the implications of a proposed project and can aid planners in predicting project impact, particularly that of a social nature, which they may not otherwise have recognized. Adequate communication during the forums can help insure that such impact is identified and considered as early as possible so adverse effects can be minimized. This can also help planners identify controversial issues early in the planning process and can facilitate the resolution of differences.

A number of educators, consultants, and officials engaged in public involvement activities have said that a key element of an effective public involvement effort is public trust and confidence in the planning process. Some suggestions made for improving credibility follow.

- The planning process should be open to public scrutiny.
- Planners should demonstrate a willingness to listen and objectively consider the public's views.
- Planners should share with the public all known relevant data and information.
- Participants should feel that their interests are being objectively and fairly represented throughout all stages of project development.

## CHAPTER 3

### AGENCIES' PRACTICES TO ACHIEVE PUBLIC INVOLVEMENT

Our examination into the planning and development of 24 projects of the Corps, FAA, and FHWA showed that the opportunities for the public to participate in the decisionmaking process could have been increased. (See app. IV for list of projects.) Even though each of the agencies has requirements for public involvement, certain projects were excluded from the requirement. When public involvement activities were undertaken, the forum and timing of the activities varied substantially.

In some cases the public was not always guaranteed involvement in project planning. Under Corps policies, district offices have broad latitude to decide whether the public will be involved in granting permits for certain activities in navigable waters. FAA public involvement guidelines allow airport sponsors to purchase land for certain airport development projects without public involvement.

We believe that all three agencies could improve their public notice practices. To announce public hearings, both FHWA and FAA relied on "legal notices" placed in newspapers. Such notices are not likely to be read by all those interested in or potentially affected by a planned project. The Corps, on the other hand, notified people of public hearings by mail, but their mailing lists did not always include all affected persons.

FAA or FHWA funded projects usually limited public involvement opportunities to one, and sometimes two, public hearings after major project decisions had been made.

The Corps provided three public meetings for its water resource planning studies, one of which was at the start of the study. In addition, Corps guidelines suggest that the meeting process be supplemented with informal public meetings and workshops between each meeting. These supplemental meetings, however, were left to the discretion of local Corps officials. The three Corps districts included in our review supplemented the public meeting process with additional meetings, workshops, or citizen advisory committees which helped to maintain communications with the public throughout the various studies.

Federal agencies are becoming more aware of the need for improvements in the public involvement process. FHWA and FAA have recently taken steps which, if followed, could improve public involvement activities.

### CORPS OF ENGINEERS

We reviewed the Corps' procedures for involving the public in the planning and development of two types of public works projects: water

resource projects and the issuance of permits for work in navigable waters. Our review included three Corps District Offices--Chicago, Portland, and Seattle.

Public involvement in  
water resource projects

Water resource projects include the planning and eventual construction of such items as dams and reservoirs. Corps regulations require that, during the planning study stage of such projects, three and sometimes four public meetings should be held. These planning studies average 5 years to complete.

First meeting--is held at the beginning of the study to (1) advise the public of the nature and scope of the study, (2) open lines of communication with the public, (3) give the public a chance to present their views, and (4) identify the interested individuals and agencies.

Second meeting--is held after the Corps has completed its preliminary studies, but before a final alternative is selected. This meeting presents preliminary study results, including the advantages and disadvantages of the various alternatives, and obtains the public's comments.

Third meeting--is held after the detailed study, but before the completion of the Corps' final report. This meeting presents results of the detailed study, including the rationale for proposed solutions, and the Corps' tentative recommendations.

Fourth meeting--is held where (1) there has been a long lapse of time since completion of the study, (2) there are indications of a change in public attitudes, or (3) there have been substantive changes in the tentative plan.

Corps guidelines suggest the three-meeting processes be supplemented with other informal meetings and workshops or with advisory committees. These supplemental involvement opportunities are left to the discretion of local Corps study officials.

The Seattle District of the Corps, for example, uses an approach to public involvement known as "fishbowl" planning. The fishbowl process is designed to accomplish the following objectives:

- build public confidence and trust,
- develop solutions that satisfy the public's needs and desires,  
and
- improve communications with the public.

To carry out this planning, the Seattle District uses a fourth public meeting, a number of workshops, miniworkshops, and informal meetings and publishes a series of brochures which are mailed to all interested and affected persons. The brochures are revised several times throughout the study period to show the status of the alternatives being studied, the environmental and economic data the Corps is developing, and public comments that have been received.

District officials believe fishbowl planning provides the planner with better information earlier in the decisionmaking process, identifies public opposition and issues earlier, and increases public understanding.

The Portland District started using workshops to supplement its studies in June 1973. Minutes of the workshop activities are sent to all participants.

The Chicago District set up citizen advisory committees representing local citizens, business interests, local government, and conservationists. Between public meetings, the district invites representatives of the committees to informal meetings to discuss the project and exchange views. The public may attend these advisory meetings, but the Corps does not usually advertise them as being open to the public.

Corps regulations require the use of direct mail and newspaper coverage for public notification of the meetings on water resource projects. Public meeting announcements are mailed to interested and affected persons, postmasters, radio and television stations, and local newspapers. The Corps relies on the newspapers to publish the announcements voluntarily, but they do not always do so.

The Portland and Seattle Districts develop mailing lists from project correspondence files, newspaper files, and attendance lists of prior public meetings. The Chicago District used a list of public officials of communities near the project, State officials, and representatives of organizations and businessmen interested in Corps projects. This process appears to identify and notify Government agencies, political representatives, the news media, and traditional special interest groups, but it does not insure that individual citizens potentially affected by a planned project are notified.

For example, we interviewed 30 people who lived in the immediate vicinity of three Corps projects of the Seattle and Chicago Districts but did not attend the public meetings. Twenty said they had not been made aware of the planned meetings. On one of these projects, four citizens living in the project area said that the Corps should have notified them directly.

After receiving complaints from the public about inadequate notification, the Portland and Seattle Districts expanded the mailing lists for two projects. The Portland District sent announcements of subsequent meetings to all those owning property in the affected area.



## Public involvement in permit actions

Corps guidelines provide district engineers with wide latitude in determining if sufficient public concern exists to warrant public involvement in certain permit actions.

The Corps has authority to issue permits for:

- Structures, fill, or work in or affecting navigable waters (sections 9, 10, 11, 13, 14 of the Rivers and Harbors Act, 33 U.S.C. 401-408).
- Discharge of dredged or fill material into navigable waters at specified disposal sites (the Federal Water Pollution Control Act, 33 U.S.C. 1344).
- Transportation of dredged material for the purpose of dumping it into the ocean (section 103 of the Marine Protection, Research, and Sanctuaries Act of 1972, 33 U.S.C. 1413).

Corps regulations require the district engineer to issue a public notice of the permit request. The notice should be posted in the vicinity of the proposed work and sent to the applicant; appropriate city and county officials; adjoining property owners; appropriate State agencies; concerned Federal agencies; local regional and national shipping and other concerned business and conservation organizations; and any other interested parties.

For the latter two permits described above, the Corps is required to offer the opportunity for a public hearing before permits are issued. Corps regulations require that the public notice for such permits state that "any person who has an interest which may be adversely affected by the issuance of a permit may request a public hearing."

District engineers are allowed substantial discretion as to whether the public will be allowed a public meeting to comment on the first type of permit described above. The district engineer is not required to offer a hearing but may hold a public meeting if response to a notice indicates that further opportunity for public expression may be warranted.

Although the Corps normally issues permits for a 3-year period, in some cases permits have been issued for much longer periods. Prior to April 1974, the Corps required a reevaluation every 5 years of long-term permits to determine if Federal interests are safeguarded and to decide if the permit should be revalidated for an additional 5-year period. Corps regulations required district engineers to issue a public notice to announce the intent to revalidate the permit. The regulations also advised the district engineers to hold a public hearing if substantial protests were received in response to the public notice.

In April 1974 the Corps revised the permit regulations eliminating the 5-year revalidation procedure. The new regulations allow the district engineer to reevaluate the circumstance and condition of a permit any time he feels such a review is warranted. As a result of this reevaluation, a permit can be revoked. These new regulations do not provide for any public involvement in the reevaluation of a permit.

The Corps has in at least one instance seemed less than enthusiastic about fostering public involvement, as illustrated by the following history of issuance and revalidation of a 25-year permit.

A steel company submitted an application for a section 10 permit to the Corps in June 1966 for several purposes, including construction and fill into the south end of Lake Michigan just east of Gary, Indiana. The permit was for construction, 1/3 mile west of the Indiana Dunes National Park, of about 13,394 lineal feet of bulkhead and the fill of about 334 acres extending 2,500 feet into the lake. The steel company planned to construct on the fill a fully integrated steel mill consisting of coke ovens, boilers, blast furnaces, and a casting mill. Although a public notice, issued in July 1966, generated requests for a public hearing, no hearing was held and the permit was approved in August 1966. The Corps' reasons for not holding a hearing included the following:

"\* \* \* It is assumed that no useful purpose would result from a public hearing on the proposed work as a previous hearing for similar work was held on 10 May 1960 on the permit application of \* \* \*.

"\* \* \* The present requests for public hearings are essentially the same delaying tactics used by the objectors to other previous applications for permits to perform work in the south end of Lake Michigan \* \* \*."

A citizen group continued to request a hearing and was joined in its demand by local Members of Congress. The Corps subsequently suspended part of the permit and held a public hearing in September 1966.

The public questioned the need for the landfill portion of the project during the hearing. Opponents thought the entire complex could be accommodated on the property owned by the steel company. Objections were raised about whether the sight of blast furnaces and stockpiles extending into the lake would be esthetically compatible with the public's recreational use of the adjoining National Lakeshore Park. Following the hearing, Corps officials concluded:

"It is considered that the determination as to the necessity for the landfill does not fall within the jurisdiction of the Corps of Engineers and in any case is one that can be best judged by the steel company. For this reason, it is not considered necessary nor appropriate to examine

alternative proposals as a basis for determining whether the suspended portion of the permit should be reinstated. It is significant to note that the company expects to spend at least \$15 million to create the fill area. This is indicative of the value and need of the area to the company."

The permit was reinstated in October 1966, but the size of the proposed fill was reduced and the steel company was required to prepare and submit a landscape plan to screen the facilities from the National Park. In April 1970 the company, working with the Corps and other Federal agencies, developed and obtained Corps approval of a landscape plan. It subsequently constructed artificial dunes and planted trees. The public was not involved in the development of this plan.

The permit was subject to revalidation in August 1971 but no public notice was given; the Corps' rationale, in part, was:

"In addition to the above described permit there are several long-term valid landfill Section 10 permits in force in NCD. Any one of these could become controversial if adverse public attitudes are aroused by the issuance of a public notice in following periodic revalidation procedures."

Corps memoranda show concern by a citizens' group as to the adequacy of the landscape screening performed by the company. In October 1971 the Chief of Engineers in a letter to the Under Secretary of the Army proposed to revalidate the permit for 5 years without a public notice if the steel company would agree in writing to leave the question of a suitable landscape plan open for discussion.

In February 1974 we were informed that the permit was still being considered in the Office of the Secretary of the Army. As of March 1974 the steel company had completed about one half of the fill and constructed 82 coke ovens, 2 boilers, and added a second blast furnace to its mill complex.

#### Recommendations to the Secretary of the Army

To improve the Corp's public notification practices on water resources projects and to provide for increased and more meaningful public involvement in the granting and reevaluation of permits, we recommend that the Secretary of the Army:

- Direct the Chief of Engineers to revise Corps regulations to require that citizens potentially affected by, or interested in, a water resources project planning effort be identified and directly notified of their involvement opportunities.
- Direct the Chief of Engineers to require Corps district engineers to provide public involvement opportunities before the issuance or reevaluation of permits for structures or work in navigable waters.

## Department of the Army Comments and our evaluation

In commenting on our first recommendation, the Army (see app. I) agreed that parties potentially affected by water resources planning activities should be notified of all opportunities to participate in public meetings.

It pointed out that the Corps has regulations that set forth this policy and stipulate that all interested parties are to be informed and afforded opportunities to be fully heard. The Army said the Corps' regulations provide sufficient guidance and Corps field offices make reasonable efforts to comply with them, but it would reemphasize to the Corps the need for insuring that its field offices notify the affected individuals of a proposed meeting.

The Army also agreed in the concept of providing public involvement opportunities before issuance and reevaluation of permits. It said the Corps' revised permit regulations of April 1974 provide for such opportunities. Although these regulations provide a framework for public involvement through the issuance of public notices of plans to issue permits for structures or work in navigable waters, the district engineer decides whether to hold meetings to hear the views of the public. The revised regulations do not provide for public involvement in advance of the Corps' decision to modify, suspend, or revoke an existing permit.

We believe that the public should be notified of all permit actions of the Corps and should be given an opportunity to request hearings to express its views on the Corps' actions.

## DEPARTMENT OF TRANSPORTATION

### Federal Aviation Administration

Airport sponsors are required by law to provide a public hearing on projects involving the location or acquisition of land for new airports, construction of new runways, and extension of existing runways. No public involvement requirements exist, however, for the following types of projects:

- Paving, strengthening, resurfacing, or rebuilding an existing runway.
- Land acquisition, or reimbursement for land already acquired with local funds, unless construction of a new runway or the extension of an existing runway is involved.
- Land acquisition to prevent obstructions at the end of runways (clear zones).
- Land acquisition for installation of an approach light system.

FAA does not specify to airport sponsors when a hearing should be provided. Although FAA regulations suggest that the public should be involved when there is still flexibility to respond to the comments, the regulations merely require that the sponsors hold a hearing prior to submitting the grant request to FAA.

Sponsors are required to publish a legal notice in a newspaper having general circulation in the area to notify the public of the proposed project and the opportunity to request a public hearing. If a hearing is requested, FAA requires the sponsor to publish a notice designating the time, date, and purpose of the hearing and to mail copies to all persons or agencies who requested the hearing and to such Federal agencies, local public officials, advisory groups, or agencies who might be interested in or affected by the proposed project.

FAA guidelines suggest the public hearing should be informal and held at a convenient place and time and that free, open discussion and presentation of views should be allowed. The sponsor is required to prepare verbatim transcripts of the comments made and to summarize the issues raised at the hearing. The summary, along with the sponsor's conclusions, are submitted to FAA. The verbatim transcript is submitted only upon request by FAA.

#### Public involvement practices

The eight airport construction projects that we reviewed (see app. IV) generally used formal hearings as the only forum for public involvement. In all cases, the hearings were held after development plans were completed. The two projects discussed below illustrate how airports were planned and improvements made anticipating future runway extensions before the public had an opportunity to participate. The public expressed concern about both projects prior to FAA approval.

Pittsfield, Illinois, project--In 1963 FAA notified Pittsfield that a new airport was needed in the area. In 1968 FAA conducted a feasibility study of two site proposals and identified a preferred site. In October 1970 the sponsors (city of Pittsfield and the Illinois Department of Aeronautics) requested a grant of \$82,500 to assist in acquiring 300 acres of land for the development of an airport.

On October 21, 1970, a local newspaper published a legal notice announcing the opportunity to request a public hearing on the proposed development. Even though no one requested a hearing, on December 9, 1970, the sponsor published a legal notice that one would be held on December 29, 1970. At the hearing only two persons objected to the development. Within weeks, however, opposition developed and a petition was signed by 629 voters--more than 25 percent of the city's voters--requesting a referendum vote to decide if the airport should be built. City officials refused to hold the referendum requested by the petition. People opposed the airport, according to one of the opposition leaders, because they were not involved in planning before the hearing and felt the airport was "forced down their throats."

In October 1971 the FAA requested that Pittsfield's request for aid be revised to include runway construction. FAA determined that the sponsor did not have to hold a hearing on the construction.

On November 11, 1971, a court order was issued to restrain the sponsor from constructing or operating an airport until a public election was held. On January 21, 1972, prior to the election required by the court order, FAA regional officials recommended FAA headquarters' approval of \$390,240 for Pittsfield to acquire land, construct a runway, and accomplish other work for the airport. The recommendation stated the project was not controversial and no objections had been raised by local, State, or Federal agencies or by any others.

On February 1, 1972, the sponsor informed FAA that the voters on January 29th had rejected the airport construction plans by a vote of 852 to 663. An FAA official said that they were aware of the referendum results but that it was a local problem and would not affect the Federal grant. The city council voted five to three to proceed with the project.

On February 11, 1972, FAA headquarters approved the grant request. In March 1974 the airport was nearing completion.

Waukegan, Illinois, project--This project was exempt from the public hearing requirement because it involved land acquisition and widening and strengthening of an existing runway. The airport is about 35 miles north of Chicago.

Waukegan has a population of about 65,000 and is surrounded by a number of smaller cities. The Waukegan Memorial Airport is owned and operated by the Waukegan Port District (sponsor). In 1970 the sponsor prepared overall plans to expand the airport. These plans were approved by FAA in June 1971.

In December 1972, the sponsor requested an FAA grant to, among other things, (1) acquire land for clear zones and for a future runway extension and (2) widen and strengthen an existing runway to prepare for a future runway extension. The project involved the purchase of 259 acres of land and the displacement of about 65 families and 4 business establishments. Planned future airport development would require the acquisition of 156 additional acres and the relocation of additional families.

The sponsor's draft environmental impact statement contained a statement that objections had been raised by residents of two nearby communities concerning aircraft noise and that 30 homes and 2 schools outside the proposed future boundaries of the airport would have serious noise problems. FAA subsequently approved the sponsor's environmental impact statement with the comment that the relocation of approximately 65 families could be considered insignificant when compared to Waukegan's population of 65,000. FAA documents supporting the approval also stated that no opposition had been expressed to the planned project.

Under FAA regulations, a public hearing is not offered until a request for aid is submitted for extension of the existing runway. The airport manager told us that the sponsor had not attempted to contact potentially affected families because that would arouse the residents. In addition, the sponsor did not know exactly which properties would be acquired because of the long delays in financing and land acquisition. In July 1973 FAA allocated \$4.1 million for the Waukegan project without requiring a public hearing, despite opposition to the proposed development.

In April 1974 the sponsor reduced the amount of land to be acquired to 179 acres because appraisals of the land value indicated that sufficient funds were not available to acquire the entire desired acreage. As of May 27, 1974, the sponsor was in the process of acquiring the land required for construction and had held three recent meetings with affected property owners to advise them of the airport's acquisition plans.

#### Actions to improve public involvement

A consultant's report to FAA in January 1972 recognized the need for improved public involvement. The consultant's study examined ways for incorporating community values into the planning of airport development projects and analyzed delays that had impeded airport development, even when the need for the projects was well documented. The consultant pointed out that projects were being delayed because of dissatisfaction among community groups whose interests had been excluded in the planning process.

The consultant recommended that informal means of community involvement should be developed to compliment the existing planning process. The report specifically stated that the decision to award grants at all stages of project development should be conditional upon adequate community involvement and recommended that FAA perform an independent evaluation to determine if such involvement had been achieved.

The Department of Transportation, in its comments on this report (see app. II), mentioned several actions taken by FAA in recent years to achieve greater public involvement in its projects. Although these actions were not in direct response to the consultant's recommendations, the Department said that they have complemented them. The Department also said these actions and the full range of public involvement concerns are being incorporated in an upcoming FAA advisory circular on citizen participation in airport planning.

The FAA Office of Audits completed an evaluation in June 1973 of FAA headquarters actions to insure compliance with the National Environmental Policy Act of 1969. The evaluation included an assessment of the adequacy of procedures established to achieve public involvement in FAA programs. The report concluded, among other things, that the procedures were not adequate to provide the scope of public involvement

contemplated by Executive Order 11514. It noted that public hearings were held only when required by law and, even though FAA has recognized the desirability of holding hearings in other instances, it has not issued guidelines to accomplish such involvement.

On June 19, 1973, FAA revised its regulations to require that public hearings on draft impact statements be held whenever responsible officials determine that the hearings would help resolve the public controversy. The regulations also require that mailing lists of interested groups and individuals be developed and used to notify the public of its opportunity to participate in these hearings. Although these regulations do not specifically require that all persons who may be affected by a planned project be included in these mailing lists, FAA advises that, when it is recognized that a desired level of the public is not being reached, the project sponsor is encouraged to notify the public directly.

### Federal Highway Administration

For most Federal-aid highway projects, FHWA requires that the State highway departments hold two public hearings--one for corridor selection and the other for design determination. This requirement excludes projects such as resurfacing and traffic flow improvements.

Corridor hearings, which are to be held prior to route location approval, are intended to allow interested parties an opportunity to participate in determining need and location and to present views on social, economic, and environmental effects. Design hearings are to be held after route location approval but prior to a specific design selection. This hearing is to give the public an opportunity to comment on the proposed major design features and to present views on alternative designs. A combined hearing is permitted for most secondary road projects with minor traffic flows.

FHWA suggests that additional informal public meetings may be desirable to inform the public about highway proposals and to obtain from the public information that might affect the scope of study or the choice of alternatives.

The public is to be notified of the hearings by a notice placed in newspapers circulated in the vicinity of the project. FHWA also suggests that copies of the notices be sent to the news media, Federal and State Government bodies, local officials, and citizen groups. FHWA requires that two newspaper notices appear--the first must be at least 30 days and the second at least 5 days before the hearings.

### Public involvement practices

Our review of public involvement practices used by the Oregon and Illinois highway departments showed that holding one or two public hearings does not effectively involve the public in the highway planning process. Such an approach does not provide an open exchange of views



between highway departments and the public. It does not allow the public to become involved before decisions are made concerning (1) the need for the project, (2) identification and selection of alternative locations and design features, and (3) an evaluation of social, economic, and environmental effects of the alternatives.

The State Highway Departments in Oregon and Illinois use two kinds of hearings--a corridor and/or a design hearing as the means of public involvement. The first hearing, on an average, took place about 23 months after the start of project planning. By this time the need for the project is decided and the environmental effects of the alternative corridor locations are identified. Contrary to the intent of FHWA regulations, the public hearings were held too late to insure "full opportunity for effective citizen participation" in determining locations and design features of highways.

A public attitude survey conducted by the Oregon State Highway Division in April 1973 showed dissatisfaction with the practice of holding a public hearing. The majority of 110 persons responding said that the existing practice was inadequate and that more participation would be desirable. A large majority said:

- Public involvement should occur when the need for a facility is being discussed.
- More extensive citizen involvement should continue throughout the planning and decisionmaking process.

Many respondents emphasized the need for more public meetings beginning at earlier stages of planning and for better notice of both formal and informal meetings. Comments on the public hearing mechanism brought out the following criticisms:

- There was a lack of information on the planning of transportation systems.
- Comments and recommendations made at the public hearings were not adequately considered.
- There was a need for pre-decision hearings to get public input rather than to defend a plan already underway.
- The Division should improve communications with local groups and organizations as well as individuals.
- The Division should explain the actions taken and allow for implementation of citizens' recommendations.
- Citizens should be informed of all aspects of a project and the resources available, so they would understand the built-in limitations.

The responses showed that supplemental involvement techniques were needed, in addition to hearings, to obtain better public participation.

Public hearings, while allowing the public to express its opinions, do not provide a good forum for evaluating and discussing alternatives and issues. For example, hearings conducted by the Oregon State Highway Division allow the public to make only statements. Persons with questions are usually referred to a highway representative outside the hearing room.

Both Oregon and Illinois supplement the two-hearing process with informational meetings just prior to the public hearing. These information meetings are not designed to involve the public in project planning but are used merely to explain and answer questions about the proposals that have been developed. The Oregon State Highway Division holds two information meetings--one the evening before and another the day of the hearing. Since 1971 Oregon has used mobile trailers as information centers on all major projects in the Portland metropolitan area. Illinois uses mobile trailers as information centers in affected communities shortly before the formal hearings. Illinois started to use the trailers on an experimental basis in late 1972 and plans to increase such use.

In many cases, project information was not readily available to the public until shortly before the hearing. In Illinois, maps showing the limits of the study region and alternate project alignments are made available at local post offices and city halls. The draft environmental statement, location maps, and other pertinent information, however, are made available only at the district offices. The people affected by projects we reviewed would have had to travel up to 80 miles to review the information and ask questions of State engineers.

In Oregon the draft environmental impact statement is made available at the State Highway Headquarters Office in Salem at least 30 days before the hearing and at the informational meetings just before the hearings. Of the 40 people we interviewed in Oregon who would be affected by planned highway projects, 29 did not know an environmental statement was available.

The highway departments in Oregon and Illinois rely primarily on a paid "legal notice" placed in a newspaper, along with voluntary press coverage to announce the hearings. FHWA guidelines do not require that affected individuals be directly notified of their public involvement opportunities. A May 1971 FHWA study noted that:

"\* \* \* a one inch legal sized notice, with a headline consisting only of PUBLIC NOTICE, tucked away in the legal section, cannot be expected to reach even a small minority of people affected."

The following examples illustrate problems that can result from not involving the public early in the decisionmaking process.

Newberg, Oregon, highway proposal--In 1967 the city of Newberg requested the Oregon Highway Division's assistance in relieving traffic congestion on its main street, which is also a State primary highway. Among the alternate solutions suggested were a one-way street system and a bypass of the city, because recreational and truck traffic made up a significant portion of the daily traffic flow which exceeded design capacity. The estimated total cost of the project was about \$730,000; FHWA's share was \$491,000.

In January 1972 a combination corridor and design public hearing and two information meetings were held. A highway official said that this was the first opportunity for interested parties to be involved in the project planning. Prior to the public hearing, the highway division studied several alternative solutions to the problem and selected a one-way street system using the existing highway and an adjacent residential street. The presiding officer at the hearing stated " \* \* \* the highway division does not believe there is any other corridor other than the one we have described this evening." No explanation was given as to why the other alternatives were not discussed at the hearing or why they were eliminated. We were told that the public was not involved prior to the hearing in the decision to eliminate alternatives.

An analysis of the spoken and written comments made by individual representatives and groups at the hearing showed that sentiment was divided about equally for and against the project. Some people expressed preference for the bypass alternative or for elimination of parking on the existing highway.

We interviewed 20 persons living in the vicinity of the proposed project, 10 of whom had attended the hearing. Seventeen persons felt the agency had made up its mind about the project before the hearing. Only one person thought the public's views would be fairly considered. Several individuals expressed opinions that additional methods were needed so the public could express its views and obtain information.

For example, a gasoline station owner said he attended both the information meeting and the hearing but could not find out where the entrance or exit would be to his property after construction. During the hearing another citizen asked about the locations from which the noise level readings were taken. The hearing officer told her it did not matter because all readings were taken with mechanical devices. She felt this answer was irrelevant to her point and might discourage other people from speaking. Some of the other individuals we interviewed also stated they had raised questions that remained unanswered after they attended the hearing.

On March 13, 1974, a contract was awarded for construction of a one-way street system using the existing highway and an adjacent residential street.

The Oregon State Highway Division told us that every opportunity was afforded the public to participate in the planning and implementation of this project, but many of its contacts with the public were not documented. It also said the project had the full support of the city council and the mayor, who reflected the feelings and wishes of his constituents. The Highway Division pointed out that a public relations officer had been employed about 4 years earlier to develop and implement methods of involving the public in State highway projects and that in the last 2 years it had had excellent success in involving citizens in the planning and design stages of highway projects.

Decatur, Illinois, highway project--Illinois plans to construct a bypass west of Decatur, Illinois. The project is estimated to cost about \$50 million, with a Federal share of \$42 million. The bypass forms a semicircle starting north of Decatur, continues westward, and ends near Elwin, a small community south of Decatur. During 1969 and 1970, State officials selected the alignments and discussed them with local city, township, and county officials; farm organizations; planning groups; and citizens' committees favoring the bypass. The State held a public information meeting in Decatur on March 10, 1971--about 3 weeks before the formal public meeting--where State officials learned, for the first time, that residents in and around Elwin were dissatisfied with a State freeway passing north of Elwin.

At the public hearing on March 30, 1971, the State presented only the one alignment which passed north of Elwin. The area's three State representatives, a number of businessmen, and others representing Elwin area residents expressed dissatisfaction with the northern alignment and requested that the State study an alignment passing south of Elwin. Shortly after the hearing, the State began to study the southern alignment and held an informational meeting to obtain the views of the Elwin area residents. As a result of the meeting and other responses from the public, the north alignment was modified to avoid the closing of a local road that had been the source of many objections from Elwin residents.

After studying the north and south alignments, the State concluded that the modified northern alignment best served the area's transportation needs. Both the north and south alignments were presented at a public hearing on December 13, 1971. Despite some continued opposition, the State felt the majority of those present at the hearing favored the northern alignment.

The State recommended the modified northern alignment to FHWA which approved it on September 27, 1972. As of February 1974 the freeway was being designed, but no construction had started. State officials estimate that the restudy delayed the project 6 to 8 months.

#### Actions to improve public involvement

The 1970 Federal-aid Highway Act required the Secretary of Transportation to develop guidelines to insure full consideration of

possible social, economic, and environmental effects of proposed highway projects and to insure that final decisions on such projects are made in the best overall public interest. FHWA subsequently issued guidelines which required each State highway agency to reexamine its planning process and submit an "action plan" spelling out the organizational arrangements, the assignment of responsibilities, and the procedures it would follow in developing highway projects.

One of the principles that the action plans were to address was public involvement. The guidelines recognize that FHWA's two-hearing process has not provided a completely adequate opportunity for effective public involvement and required additional procedures to inform and involve the public. The action plans also must insure that the public has an opportunity to participate in an open exchange of views throughout the stages of project development.

The Oregon and Illinois action plans had not been finalized at the time of our review, so it has been impossible to judge the effectiveness of their public involvement procedures. Oregon State Highway Department officials advised us that their action plan will correct the deficiencies of the public hearing process. On two recent interstate projects in the Portland area public involvement was increased with great success. On July 16, 1974, the Department of Transportation indicated that 41 action plans had been approved by FHWA.

On May 10, 1974, FHWA issued to the Congress a "Progress Report on Implementation of Process Guidelines." This report indicates that the first 25 action plans approved include new or improved procedures for disseminating information and increasing public participation. According to the report, all the reviewed plans address the need for public involvement in the systems planning stage (the first major step in the highway development process).

FHWA's guidelines establish the objectives for a State's action plans. The plans are evaluated on the basis of their achievement of these objectives. The guidelines allow a highway agency considerable flexibility in developing procedures suitable for the circumstances encountered in that State, thus allowing States to experiment with innovative techniques to meet FHWA's public involvement objectives.

To supplement the guidelines, FHWA is attempting to improve opportunities for public involvement by demonstrating the value of public input to highway personnel at all levels and by developing the skills needed if public involvement is to be successful. For example, in 1973 reports entitled "Community Involvement in Highway Planning and Design" and "Citizen Participation in Transportation Planning" were given wide distribution to State highway personnel. These reports stressed the need for citizen involvement in planning highway projects. During fiscal year 1974, FHWA contracted with a private consulting firm to conduct 23 training courses in public involvement for FHWA and highway agency officials. The training included a 2-day course for executive-level management stressing the importance of

public involvement in highway planning and decisionmaking and a 1-week course, for persons directly involved with the public, focusing on communication skills and public involvement theory and fundamentals. FHWA plans to offer 12 courses in public involvement techniques during fiscal year 1975.

Recommendations to the  
Secretary of Transportation

To insure that the public affected by an FAA or FHWA financed project is effectively notified and provided with opportunities to be involved in all aspects of project planning, including land acquisition for future airport projects, we recommend that the Secretary of Transportation:

- Direct FAA and FHWA to revise their regulations so that citizens potentially affected by a project planning effort can be identified and directly notified of their involvement opportunities.
- Direct FAA to require that airport sponsors provide timely and meaningful public involvement in all phases of airport development, including land acquisition, before major decisions are made.

Department of Transportation comments  
and our evaluation

The Department of Transportation disagreed with our recommendations. The Department said that direct notification of citizens potentially affected by a public works project is a laudable goal but achieving it through regulations does not appear to be realistic because:

- The difficulties encountered would increase disproportionately with the increase in size and complexity of a project.
- Identification of impact areas and the individuals impacted would be imprecise, at best, for large and complex projects.
- Mass mailings or telephoning would be expensive and unlikely to reach all affected citizens.
- The project sponsor and the Federal Government would be open to legal action if direct contact were mandated and an individual or group of affected individuals were inadvertently overlooked.

The size and complexity of a project, in our opinion, should not be a factor in determining whether individual citizens should be notified of an agency's plans. A reasonable effort should be made to identify the public that might be affected by a public works project and to advise them of an agency's plans through legal notices, media announcements,

and direct mail. The Department's arguments against direct notification of citizens are unfounded; the Corps of Engineers has had such a requirement since 1972 and has found it to be realistic and practical.

With respect to our recommendations for obtaining public involvement in all phases of FAA-financed airport development, the Department said the public is afforded adequate opportunities in legislation, regulations, and administrative guidelines to become involved. It specifically mentioned the requirements of the Airport and Airway Development Act of 1970, the laws and regulations in cases where a significant environmental impact is anticipated, and the requirements of the Planning Grant Program for airport master and system planning studies. Although the provisions of the legislation, regulations, and administrative guidelines cited by the Department form a reasonable basis for public involvement or are applicable in particular circumstances, they do not, in our opinion, insure that the public is given an opportunity to present its views in all major phases of airport development. For example, the act of 1970 requires the sponsor only to certify that the public has been afforded the opportunity for public hearings on airport development projects involving the location of an airport, an airport runway, or a runway extension.

The Department said it saw no reason to hold public hearings for airport land acquisitions, because an acquisition, in itself, does not alter the use of land. It also said sufficient public involvement is available in such cases under the provisions of the Uniform Relocation Assistance Act, when persons are displaced from their homes or businesses as a result of airport land acquisitions, and under the provisions of the National Environmental Policy Act, when significant environmental impacts occur.

The acquisition of land is often the first step in a project to construct runways or extensions to runways. If public involvement is to have any real meaning to citizens, we believe they should be given the opportunity for involvement at this stage of project development. Although persons most directly affected by land acquisition are provided relocation assistance under the Uniform Relocation Assistance Act, the provisions of this act are not implemented until after the decision to acquire the land has been made and the project has been approved by FAA. Also, as indicated by the Department, the public involvement requirements of the National Environmental Policy Act are not applicable in all airport land acquisitions. For example, FAA officials determined that these requirements were not applicable in the case of the Waukegan Memorial Airport project.

For these reasons, we believe FAA should provide for public involvement at the time of land acquisition and in all other phases of FAA-financed airport development.

## CHAPTER 4

### NEED FOR OVERALL FEDERAL GUIDANCE

Each of the three agencies included in our review provides opportunities for public participation in the planning of federally financed projects. There are, however, significant differences among the agencies with respect to the manner in which they attempt to obtain public involvement and the activities for which public involvement is sought. Each of the agencies recently initiated actions that indicate a growing awareness of the benefits of an effective public involvement program.

Although our review concentrated on public works activities of three agencies, there are other Federal programs--such as those conducted by the Departments of Agriculture, Housing and Urban Development, and Interior and the Atomic Energy Commission--for which the concepts of public involvement apply. Some of the program activities of those agencies have been stopped or significantly delayed by public opposition.

In our opinion, timely and meaningful involvement of the public in Federal programs would result in a better understanding and mutual trust between the public and the Federal Government. Not only does the public benefit by becoming aware of the implications of project alternatives but also the Federal agencies can benefit by the prompt recognition of matters of public concern. Such a constructive approach can not only minimize misunderstandings and improve public confidence in project decisions but also facilitate the identification and possible resolution of differences.

We believe there is a need for overall Federal policy guidance to assist agencies in their public involvement activities. Such guidance, as a minimum, should specify (1) the type of project for which public involvement should be sought, (2) the type and frequency of the forums to be used throughout all stages of project development, and (3) the methods of notifying the public of its opportunities to participate in the decisionmaking process. We believe such guidance would:

- Assist planners to recognize and deal with issues of community concern.
- Improve the chances of reaching a solution on controversial projects which is compatible both to the community and to the overall public interest.
- Improve public trust and confidence in the planning process.

### RECOMMENDATION TO THE DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET

To assist Federal agencies in effectively carrying out their public involvement activities, we recommend that the Director of the Office of



Management and Budget establish an interagency task force to develop uniform Federal standards for involving the public in the planning of federally sponsored activities.

#### OFFICE OF MANAGEMENT AND BUDGET COMMENTS

The Office of Management and Budget said that, even though considerable attention has been given in the last 10 years to the appropriate role of citizens in many public processes, our observations about early and continuous interaction were well taken and that it planned to determine whether our findings at the Corps, FAA, and FHWA may also be applicable to the programs of other agencies. The Office of Management and Budget said that developing uniform standards for public involvement would involve a major analytical effort because of the variety of Federal activities involved. The Office believes that the solutions must be custom-fitted and, thus, cannot be predicted because of the variety of vehicles for participation.

The Office agreed that citizen participation in airport and highway planning has been somewhat less than satisfactory but pointed out that noticeable progress had been made in recent years. It also said that the Corps of Engineers had made tremendous advances in involving the public in decisionmaking.

#### DEPARTMENT OF TRANSPORTATION AND DEPARTMENT OF THE ARMY COMMENTS AND OUR EVALUATION

The Department of Transportation said that there should not be overall Federal standards for public involvement--each agency should have the flexibility to administer public involvement activities so as to be most effective for its individual programs. The Department also pointed out that uniform Federal standards would have to be so general that they would have very little real use to agencies.

We recognize that a Federal standard for public involvement, as well as any other overall Federal policy guidance, must be sufficiently flexible to apply to the various public works undertakings by Federal agencies, but we believe the diverse policies and practices of the Corps of Engineers, FAA, and FHWA need overall Federal guidance so that the public, regardless of the agency involved or type of project, have the same opportunities to express its views at all important stages of project development. A Federal standard would promote a more uniform and effective program of public involvement in federally financed public works undertakings.

The Department of the Army did not comment on the merits of Federal standards.

CHAPTER 5  
SCOPE OF REVIEW

We reviewed legislation; records of congressional hearings; and various reports, articles, and other materials pertaining to public involvement. Headquarters and field officials of FAA, FHWA, and the Corps were interviewed. In addition, our review included:

- An examination of policies and procedures used on 24 projects by three Corps Districts (Chicago, Portland, and Seattle); two FHWA Divisions (Illinois and Oregon); and two FAA Regions (Chicago and Seattle). (See app. IV.)
- Discussions with officials at two highway departments (Oregon and Illinois) and local airport sponsors in Idaho, Illinois, Indiana, Michigan, and Oregon.
- Attendance at hearings, public meetings, and workshops to observe public involvement opportunities firsthand.
- Interviews with persons potentially affected by planned projects to obtain their views on involvement opportunities.
- Discussions and correspondence with university professors, consultants, and county planners, all well known for their knowledge of public involvement activities.



DEPARTMENT OF THE ARMY  
OFFICE OF THE SECRETARY OF THE ARMY  
WASHINGTON, D.C. 20310

25 JUN 1974

Mr. Henry Eschwege  
Director, Resources and Economic  
Development Division  
United States General Accounting Office  
Washington, D. C. 20548

Dear Mr. Eschwege:

This is in response to your request to the Secretary of Defense for comments on a draft report entitled, "Opportunities for Increasing Public Involvement in Planning Public Works Projects," (OSD Case #3824).

The draft report recommends that the Secretary of the Army direct the Chief of Engineers to revise Corps of Engineers regulations to require that citizens potentially affected by, or interested in, water resources project planning effort be identified and directly notified of their involvement opportunities. We concur in the concept that parties potentially affected by water resources planning activities be notified of all opportunities to participate in public meetings.

The Corps has had a regulation on public meetings since 4 December 1972 which sets forth this policy and stipulates that all interested individuals and agencies are to be informed and afforded the opportunity to be fully heard. In accordance with this regulation, notices of public meetings are supplied to Postmasters, newspapers, and radio and television stations to take advantage of maximum widespread publicity. In addition, names of interested individuals, including affected property owners, are compiled into a mailing list for notification of future meetings. These notification lists are expanded as new individuals are identified during progressively more detailed studies.

Accordingly, we consider that the Corps' existing regulation provides sufficient guidance, and we further believe that the Corps field offices are making reasonable efforts to notify all parties that may be interested in project activities. However, we will reiterate to the Corps the need for assuring that its field offices notify the specific individuals who are affected by a project of proposed meetings. The Corps is also continuously looking for new procedures which afford interested parties opportunity to participate in the water resources planning process.

## APPENDIX I

The draft report further recommends that the Secretary of the Army direct the Chief of Engineers to require District Engineers to provide public involvement opportunities before the issuance or reevaluation of permits for structures or work in navigable waters. We concur in the concept of providing public involvement opportunities before issuance and reevaluation of permits and believe that the final permit regulation published by the Corps in the Federal Register on 3 April 1974 is in complete accordance with the GAO recommendation.

The new regulation on permits was coordinated with all interested Federal agencies and published in draft form for public comment before being finalized. The regulation prescribes procedures for issuance of public notices to advise the public and Federal and State agencies of a proposal under consideration and also makes provisions for public meetings, when warranted. It provides definite steps that must be followed before a permit can be issued and if it is determined that further action is necessary once a permit has been issued. The procedures were developed to insure that the District Engineer has the necessary tools to take speedy action whenever required to protect the public interest. It should be emphasized that significant increases in scope of a permitted activity will require application for a new permit.

[See GAO note, p. 34.]

Thank you for the opportunity to comment on this draft report.

Sincerely,



Charles R. Ford  
Chief  
Office of Civil Functions



OFFICE OF THE SECRETARY OF TRANSPORTATION  
WASHINGTON, D. C. 20590

ASSISTANT SECRETARY  
FOR ADMINISTRATION

July 16, 1974

Mr. Henry Eschwege  
Director  
Resources and Economic Development  
Division  
U. S. General Accounting Office  
Washington, D. C. 20548

Dear Mr. Eschwege:

This is in response to your letter of April 29, 1974, requesting our comments on the GAO draft report on opportunities for increasing public involvement in planning public works projects.

The General Accounting Office (GAO) review of the planning and development of projects funded by the Corps of Engineers, the Federal Aviation Administration (FAA), and the Federal Highway Administration (FHWA) disclosed a wide variance as to timing and forum for involving the public in project decisions. While there are some instances of active efforts to involve the public in project planning, GAO believes greater efforts are needed, not only to assure that the public is involved, but that such involvement is meaningful.

The GAO recommends that FAA and FHWA revise and develop regulations and guidelines which would require early and continuing involvement in planning public works projects. It is our opinion that our program and procedural guidance meet the requirements of the GAO recommendations. GAO also recommends that the Office of Management and Budget establish an interagency task force to develop uniform Federal standards for involving the public in the planning of Federally sponsored activities. We disagree with this recommendation, because we believe it is desirable to allow the various Federal agencies flexibility to administer public involvement activities so as to be most effective for their individual programs.

I have enclosed two copies of the Department's reply to the report.

Sincerely,

*William S. Heffelfinger*  
William S. Heffelfinger

Enclosure

## APPENDIX II

DEPARTMENT OF TRANSPORTATION REPLY  
TO  
GAO DRAFT OF REPORT TO THE CONGRESS  
OF THE UNITED STATES  
ON  
OPPORTUNITIES FOR INCREASING PUBLIC INVOLVEMENT  
IN PLANNING PUBLIC WORKS PROJECTS

### I. SUMMARY OF GAO FINDINGS AND RECOMMENDATIONS

GAO reviewed the planning and development of FHWA, FAA, and Corps of Engineers funded projects and found a wide variance as to the timing and forum for involving the public in project decisions. GAO believes that greater efforts are needed to assure that the public is provided opportunities to be involved and that such opportunities are made meaningful.

Specific GAO recommendations for DOT were: (1) revisions of FAA regulations to require direct notification of citizens potentially affected by airport projects; (2) policy that FAA should require meaningful public involvement in all phases of airport development, including land acquisition (emphasis added);

[See GAO note, p. 34.]

In addition, GAO sees a need for overall Federal guidance in the area of public involvement and recommends that the Office of Management and Budget establish an interagency task force to develop uniform Federal standards for involving the public.

### II. SUMMARY OF DEPARTMENT OF TRANSPORTATION POSITION

Concerning the first four recommendations, we believe that the following program guidance relating to public involvement throughout system planning, project development, and Action Plan (FHWA) development meets the requirements of the GAO recommendations for FAA and FHWA:

#### FAA

1. Advisory Circular 150/5100-7A, "Requirement for Public Hearings in the Airport Development Aid Program," dated February 25, 1972, provides guidance to sponsors of airport development projects on the necessity for, and conduct of, public hearings.
2. Order 5100.17, "Airport Development Aid Program (ADAP) Authority, Program Policy, Eligibility, and Allowability Criteria," incorporating changes through May 20, 1973, requires FAA to determine that fair consideration has been accorded to interests of communities in or near airport projects.
3. Order 5050.1, "Potential Impact of Section 4(f) of DOT Act," and Order 5050.2, "Interim Instructions for Processing Airport Development Actions Affecting the Environment," which is in the process of being rewritten, also require the FAA to consider the effect of proposed airport developments on the environment as required by the DOT Act and the National Environmental Policy Act of 1969.

4. Advisory Circular AC 150/5900-1, "The Planning Grant Program for Airports," and Order 5900.1A, "Planning Grant Program (PGP)," note the need to inform the public of airport plans and to obtain community support. These suggest the holding of public hearings upon the proposed final master plan to enable community-wide consideration of its potential economic, social, and environmental effects.
5. In addition to the foregoing, FAA is currently preparing an advisory circular entitled, "Citizen Participation in Airport Planning" which is intended to demonstrate to airport planners the need for early citizen participation and the methods by which this participation may be achieved. This circular is expected to satisfy the intent of recommendation 2 [See GAO note, p. 34.]

### FHWA

Policy and Procedural Memorandum 90-4 "Process Guidelines" establishes the objectives that a State is to achieve with regard to community involvement and provides flexibility to achieve these objectives in ways suitable for the particular State.

In regard to the final GAO recommendation, we believe the time is inappropriate for OMB to establish uniform Federal standards in that it would reduce the flexibility needed to meet the varying and diversified needs of all levels of government in this developing art.

### III. POSITION STATEMENT

#### A. Direct Notification of Affected Citizens

While the direct notification of all citizens potentially affected by a public works project is a laudable goal, requiring this approach to public involvement through regulations does not appear to be realistic. The difficulties encountered would increase disproportionately with the increasing size and complexity of the projects under consideration. Identification of impact areas and the individuals impacted would be imprecise, at best, for large and complex projects; mass mailing or telephoning would be expensive and unlikely to reach all of those identified; and, with these problems, if direct contact were mandated by regulation, the project sponsor and the funding Federal agency would be open to legal action on the grounds of non-compliance, if an individual or group, of impacted individuals were inadvertently overlooked. Therefore, in our judgment, the provisions of existing directives, particularly those which implement the citizen involvement provisions of the Environmental Policy Act, are sufficient with respect to notification. However, in individual cases we recognize that compliance with those directives may not reach a desired level and our efforts are directed to minimizing such instances. On the other hand, direct notification is an optional approach which remains open to the project sponsor, and will be encouraged, where appropriate.

B. Require Public Involvement in All Phases of Airport Development

The recommendation makes no provision for differentiating between projects of a greater or lesser impact on the community nor for projects which are totally sponsor funded. The Airport and Airway Development Act of 1970 permits discretion in involving the public with items of development other than airport location, runways and runway extensions. Because there is a distinct national interest in the air system, this balance of public involvement seems to be in the best interests of the national system of airport development. In cases where a significant environmental impact is anticipated, existing laws and regulations provide numerous opportunities for public involvement. In addition, the FAA Planning Grant Program stresses early public involvement in airport master and system planning studies. Therefore, in our judgment the public is presently provided with adequate opportunities in legislation, regulations, and administrative guidelines to become involved. Although FAA may not have developed as extensive a system of citizen involvement as FHWA has, FAA is currently working to improve the implementation of these provisions in the field.

Regarding the GAO's specific reference to land acquisition, we see no reason to hold public hearings for that purpose, since the acquisition in itself does not alter the character or use of the land. Where relocation is involved, those most affected are covered by the provisions of the Uniform Relocation Assistance Act. If other significant impacts are contemplated public involvement will occur as a result of the National Environmental Policy Act.

C. Status of Consultant's January 1972 Recommendations

The consultant had recommended (1) early public involvement, particularly during the planning stage; (2) less automatic grants; that is, if a particular project gives inadequate consideration to community development, a grant should not be awarded; and (3) a compensation scheme in determining various airport development cost alternatives, including off-airport costs and social impact.

[See GAO note, p. 34.]

We are very much aware of the importance of public involvement activities, and although the actions taken in recent years by FAA were not in direct response to the consultant's recommendations, they have complemented those recommendations. In the early planning stages under the Planning Grant Program, sponsors are required to consider social, economic and environmental impact in preparing airport master plans. Construction of new airports or expansion of capacity at existing airports cannot proceed, with Federal participation, unless the public has been afforded an opportunity to be involved. Additionally, the agency and sponsors have implemented the requirements of the Relocation Assistance Act which provide for compensating individuals adversely affected by airport development, one of the methods included in the consultant's report as a means of overcoming community opposition. These and the full range of public involvement concerns are being addressed in the FAA advisory Circular "Citizen Participation in Airport Planning" which is expected to be issued during October 1974.



#### D. Guidelines for State Action Plans

The Process Guidelines (PPM-90-4) developed in 1972 pursuant to Section 136(b) of the Federal-Aid Highway Act of 1970, require each highway agency to prepare an Action Plan spelling out the assignment of responsibility and procedures to be followed in developing Federal-aid highway projects to assure that social, economic, and environmental effects are fully considered and that final decisions are made in the best overall public interest. One of the fundamentals a highway agency must include in its Action Plan is provisions for public involvement. Recognizing the inadequacies of the public hearing process, the Process Guidelines require the highway agencies "to select and coordinate procedures, in addition to formal public hearings, to be used to inform and involve the public" and "to ensure that interested parties, including local governments and metropolitan, regional, State and Federal agencies, and the public have an opportunity to participate in an open exchange of views throughout the stages of project development."

As indicated in the May 10, 1974, "Progress Report on Implementation of Process Guidelines" submitted to the Congress, nearly every State highway agency has become convinced of the need to make a major effort in the development of its Action Plan. At present, 41 Action Plans have been approved, and a review of many of these, documented in the progress report, indicates that the States are making considerable changes in their organizational structures and the procedures they follow. Some of the most striking and significant measures in the Action Plans reviewed thus far relate to public involvement. All of the Action Plans reviewed included new or improved procedures for disseminating information and for securing greater public participation. All of the Action Plans reviewed addressed themselves to the need for public involvement in the systems planning stage, the first major stage in the highway development process, during which many basic decisions may be made which ultimately will have substantial impacts.

There is a clear need for flexibility in any procedure for obtaining public involvement. The state of the art is still undeveloped; there is no guaranteed best workable approach that can be applied to every situation. The Process Guidelines are based on the belief that procedures must be adaptable to suit existing conditions, and that flexibility is needed if both Federal and State objectives are to be achieved. The Action Plans are evaluated based upon the degree to which the objectives are being met. The Process Guidelines are used to evaluate the adequacy of the Action Plans.

The GAO apparently recognizes the value of flexibility, for the draft report states that "there is general consensus that the number and type of (public involvement) forums...should be tailored to the individual project." Also, the report refers to the DOT citizen advisory committee report which "stressed the

## APPENDIX II

importance of involving the public in creative ways." Many of the States are being very creative in their public involvement procedures -- for example, New York is experimenting with a great number of different techniques for obtaining involvement during system planning, location and design. The flexibility of the Process Guidelines encourages such innovation and change.

[See GAO note.]

### E. Federal Standards for Public Involvement

Our experience leads us to disagree with the GAO recommendation that there be overall Federal standards for all agencies involved with public involvement activities. Just as it is desirable to provide flexibility to the individual highway agencies to develop procedures suitable to their particular situations, it is desirable to allow the various Federal agencies, whose missions and procedures differ significantly, flexibility to administer public involvement activities so as to be most effective for their individual programs. To apply to all Federal public works activities, such standards would need to be of a very general policy nature similar to the three recommendations on page 15 of the draft report, and thus of little real use to the agencies. We agree that meaningful public involvement would be beneficial in many Federal endeavors, but we do not see a relationship between meaningful public involvement and uniform Federal procedures.

### IV. ADDITIONAL COMMENTS

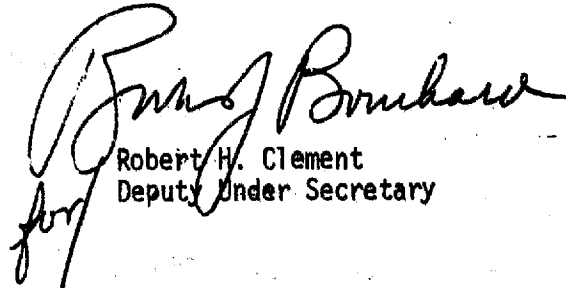
The comments of the GAO on the two airport projects in Illinois are essentially factual. However, we do not agree with any implication that they are typical. With regard to the Waukegan project, subsequent to GAO's review the proposed land acquisition was reduced to provide only that land needed to service the existing landing facilities. Also, the sponsor is fully complying with the requirements of the Relocation Assistance Act whereby public announcements and informal sessions are being held with those persons to be relocated. However, the Office of the Secretary is examining the situation in more detail.

We noted on pages 4 and 43 of the draft report a statement that FHWA relies on paid legal notices in newspapers to announce public hearings. This statement is misleading. Title 23, C.F.R., Section 790.7(a)(2) also requires that actual notice must be provided by mail to the news media, Federal and State governmental bodies, local officials and private groups and associations.

On pages 6 and 48 of the draft report it is stated that FHWA has not provided its regional offices with guidelines for evaluating the public involvement portion of the States' Action Plans. However, some general guidance is given in current regulations, 23, C.F.R., Section 795.10, 795.5(c) and 795.12(b)(1).

GAO note: The deleted comments relate to matters discussed in draft report which either were revised or omitted in final report.

Pages 7 and 49 of the draft report contain recommendations relating to FHWA procedures. One of these is that States provide for "Direct notification to the citizens potentially affected by or interested in a planned project." This language is too broad and overly vague. It describes a class of citizens that cannot be identified with any specificity.

  
Robert H. Clement  
Deputy Under Secretary

EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

SEP 11 1974

Mr. Victor L. Lowe  
Director  
U. S. General Accounting Office  
Washington, D. C. 20548

Dear Mr. Lowe:

We have reviewed your draft report entitled, "Opportunities for Increasing Public Involvement in Planning Public Works Projects."

First, we agree that the broad subject of public involvement is one which must be a continuous matter of concern to every level of government, touching as it does on the fundamental issue of governmental responsiveness and reminding us so clearly of the value of early and continuous involvement of affected citizens. It is also our feeling that, even though the last ten years have seen a considerable broadening of the concept of the appropriate role of citizens in many public processes, your points about early and continuous interaction are well taken. For that reason, you may be assured that the Office of Management and Budget will follow up on your suggestion that your findings about the three programs surveyed may also be applicable to other Federal programs.

However, a comprehensive response would require a major analytical and decisionmaking effort. Because of the immense variety of Federal activities, such an effort would require involvement in literally hundreds of program by program judgments, each of which must include an evaluation of at least the following factors as they apply to Federal activities which often themselves vary from region to region across the country:

- Are citizens inadequately involved at the present time?
- How effective is the involvement of the functional/professional community and does it provide a satisfactory representation of citizen views?

- How effective is the involvement of the citizens Federal and non-Federal representatives, their elected choices at all levels?
- What extra-agency participatory processes now exist (the project notification and review system of A-95, A-87, environmental impact statements, etc.) and how effectively do they work?
- To what extent should the time frame of each Federal implementing action be modified to include a longer opportunity for citizen involvement and give and take?

I am sure you will see why the many separate analyses and solutions for your overall recommendation must be custom fitted and will rarely be quick or easy, nor can their outcome be predicted, since there are so many more vehicles for participation than there used to be.

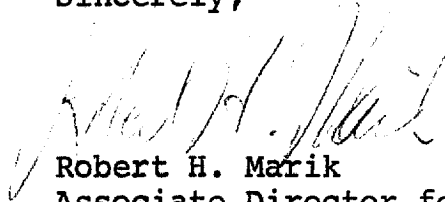
Concerning your recommendations about the specific programs of the Corps of Engineers and the Department of Transportation, we would agree that citizen participation in highway and airport planning has been somewhat less than satisfactory. However, we would point out that noticeable progress has been made in recent years. For example, the Unified Work Program which metropolitan areas must submit in order to gain eligibility for DOT funding requires a description of the methods by which information on all transportation planning activities for an annual period will be made available to the public in order to obtain their early involvement. Work Programs received for FY 1975 demonstrate an improved sensitivity for and awareness of the need for public involvement. In addition, we understand that the FAA will soon publish new guidelines on this matter. Therefore, we feel it is too early to fairly evaluate the effectiveness of these procedures.

On the other hand, we believe, as indicated in the draft report, that the Corps of Engineers has made tremendous advances over the practices of several years ago in involving the effected public and the concerned public in the decisionmaking process. The Corps, which already has regulations that cover the recommendations of GAO, will extend itself even further in trying to identify and inform potentially effected and/or

APPENDIX III

interested citizenry both in water resources project planning and permits for work or structures in navigable waters.

Sincerely,

A handwritten signature in cursive script, appearing to read "Robert H. Marik".

Robert H. Marik  
Associate Director for  
Management and Operations

## AGENCY PROJECTS SELECTED FOR REVIEW

<u>Agency</u>	<u>Project location</u>	<u>Purpose</u>
Corps of Engineers	Middle Fork Snoqualmie River, Washington	Flood control
	Rivergate, Portland, Oregon	Flood control
	William L. Springer Lake, Decatur, Illinois	Flood control--multipurpose uses
	Lake Bluff Beach, Lake Bluff, Illinois	Shoreline erosion control
	LaMoin River Basin, Illinois	Flood control--multipurpose uses
	Illinois Waterway, Duplicate Locks, Illinois	Construction of locks
	Indiana Harbor, East Chicago, Indiana	Permit for construction of bulkhead and land fill in Lake Michigan
	Burns Waterway Harbor, Indiana	Permit for construction of bulkhead and land fill in Lake Michigan
	Little Calumet River, Indiana & Illinois	Flood control--multipurpose uses
	Federal Aviation Administration	Nampa Municipal Airport, Nampa, Idaho
Portland International Airport, Portland, Oregon		Land acquisition and runway extension
Fremont Municipal Airport, Fremont, Michigan		Land acquisition and runway construction
Starke County Airport, Know, Indiana		Airport construction
Dupage County Airport, West Chicago, Illinois		Land acquisition, runway construction, and runway extension

APPENDIX IV

<u>Agency</u>	<u>Project location</u>	<u>Purpose</u>
Federal Aviation Administration	Pittsfield Municipal Airport, Pittsfield, Illinois	Airport construction
	Waukegan Memorial Airport, Waukegan, Illinois	Land acquisition and strengthening and widening existing runway
Federal Highway Administration	O'Hare International Airport, Chicago, Illinois	Runway construction
	US 99 West Newberg, Oregon	Construction of one-way street system
	I-505, Portland, Oregon	Construction of a freeway
	I-5, Battle Creek-Talbot, Salem, Oregon	Safety improvement project, including interchange modifications and truck climbing lane
	Route 412, Rockford to Bloomington, Illinois	Construction of four-lane, controlled-access freeway
	Route 406, Lincoln to Delavan, Illinois	Construction of four-lane, controlled-access freeway
	Route 403, Rockfalls to Rock Island, Illinois	Construction of four-lane, controlled-access freeway
	Route 412, west of Decatur, Illinois	Construction of four-lane, controlled-access freeway bypass



PRINCIPAL OFFICIALS OF THE  
DEPARTMENT OF TRANSPORTATION  
AND THE DEPARTMENT OF DEFENSE  
RESPONSIBLE FOR ADMINISTERING  
ACTIVITIES DISCUSSED IN THIS REPORT

	Tenure of office	
	From	To
<u>DEPARTMENT OF TRANSPORTATION</u>		
SECRETARY OF TRANSPORTATION:		
Claude S. Brinegar	Feb. 1973	Present
John A. Volpe	Jan. 1969	Feb. 1973
Alan S. Boyd	Jan. 1967	Jan. 1969
ADMINISTRATOR, FEDERAL AVIATION ADMINISTRATION:		
Alexander P. Butterfield	Mar. 1973	Present
John H. Shaffer	Mar. 1969	Mar. 1973
David D. Thomas (acting)	Aug. 1968	Mar. 1969
General William F. McKee	July 1965	July 1968
ADMINISTRATOR, FEDERAL HIGHWAY ADMINISTRATION:		
Norbert T. Tieman	May 1973	Present
Ralph R. Bartelsmeyer (acting)	July 1972	May 1973
Francis C. Turner	Feb. 1969	June 1972
Lowell K. Bridwell	Apr. 1967	Jan. 1969

DEPARTMENT OF DEFENSE

SECRETARY OF DEFENSE:		
James Schlesinger	June 1973	Present
William P. Clements, Jr. (acting)	May 1973	June 1973
Elliot L. Richardson	Jan. 1973	Apr. 1973
Melvin Laird	Jan. 1969	Jan. 1973
Clark M. Clifford	Mar. 1968	Jan. 1969
Robert S. McNamara	Jan. 1961	Feb. 1968

DEPARTMENT OF THE ARMY

SECRETARY OF THE ARMY:		
Howard H. Calloway	May 1973	Present
Robert F. Froehlke	July 1971	May 1973
Stanley R. Resor	July 1965	June 1971

Copies of this report are available at a cost of \$1 from the U.S. General Accounting Office, Room 4522, 441 G Street, N.W., Washington, D.C. 20548. Orders should be accompanied by a check or money order. Please do not send cash.

When ordering a GAO report please use the B-Number, Date and Title, if available, to expedite filling your order.

Copies of GAO reports are provided without charge to Members of Congress, congressional committee staff members, Government officials, news media, college libraries, faculty members and students.

**AN EQUAL OPPORTUNITY EMPLOYER**

**UNITED STATES  
GENERAL ACCOUNTING OFFICE  
WASHINGTON, D.C. 20548**

**OFFICIAL BUSINESS  
PENALTY FOR PRIVATE USE, \$300**

**POSTAGE AND FEES PAID  
U. S. GENERAL ACCOUNTING OFFICE**



**THIRD CLASS**

**Mr. T. E. Sullivan  
Transportation  
Room 5049**

---

