

The Role of Communities in Stewardship Contracting

FY 2013 Programmatic Monitoring Report to the
USDA Forest Service

March 2014





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Cover Photo credit: Clockwise from left. Collaborators on an early Stewardship Contracting project on the Flathead National Forest, Montana, by Carol Daly; Forest Service Personnel on the Santa Cruz National Forest, New Mexico, by Brian Kittler; Restoration treatment in New Mexico, by Brian Kittler; Longleaf Pine stand in the Southeastern Atlantic Coastal Plain, by Brian Kittler.

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Executive Summary

During the decade since the Forest Service and BLM were first granted 10-year Stewardship Contracting authority, the Forest Service initiated 1,463 stewardship contracts or agreements over hundreds of thousands of acres. While the majority of these contracts are now complete, the agency currently has more than 10 landscape-scale 10-year stewardship contracting projects scheduled to treat hundreds of thousands of acres over their lifetime. Many other projects of shorter duration remain active as well.

The Forest Service began with just 35 contracts awarded when stewardship authorities were initially authorized in 2003, since 2010 the agency has awarded an average of 215 contracts or agreements each year. Moreover, 2013 marks the year with the single most acres treated with stewardship contracts or agreements since inception. The Forest Service considers Stewardship Contracting to be a main tool to “increase the pace and scale of restoration and improve both the ecological health of our forests and the economic health of forest-dependent communities” (Forest Service, 2012).

Still, the rate of implementation is a fraction of what many feel is needed and the need for restoration increases each year. According to the Forest Service 43% of the National Forest System—82 million acres—are in need of restoration, largely mechanical thinning and prescribed burning. Currently, the agency is accomplishing less than 5% (about four million acres) of this needed restoration work annually (Forest Service, 2012). As a land stewardship tool, Stewardship Contracting and its bundled authorities appear to help accelerate the rate of implementation in many places, especially when coupled with effective collaborative community engagement, but like any single tool, Stewardship Contracting is not a panacea and challenges to continued growth persist.

This report relays key findings related to the use of Stewardship Contract and Agreement authorities and the engagement of communities and non-agency stakeholders in stewardship projects on the National Forest System. These findings are drawn from analysis of survey data, discussions with regional stakeholders in Regional Team meetings, a national virtual meeting, and case study research; with many data points triangulating across this research.

Findings on Collaborative Community Engagement

- While not always a requisite condition for successfully implementing the desired stewardship activities, there is an association between successful projects and projects that exhibit collaborative community engagement. The scale of impact, diversity of outcomes, and diversity of interests involved (and directly benefiting), are to a large degree determined by the effectiveness of collaborative relationships within Stewardship Contracting projects.

- In 2013, collaborative processes involving multiple stakeholders and meetings were used in 72% of a

sample of recent Stewardship Contracting projects;¹ still, agency and non-agency respondents felt that stakeholder groups were missing in 40% of projects surveyed in 2013.

- When trust exists the agency tends to fare better when attempting new projects, especially if the scale is large or elements prove controversial. However, some National Forest districts practice a system of stakeholder engagement that may in fact results in successfully implemented projects, while doing little in the way of building trust beyond those directly involved—the agency, a contractor, and perhaps an adjacent landowner. In these projects, engagement often centers exclusively on the National Environmental Policy Act (NEPA) environmental review process related to specific proposed projects rather than on ongoing collaborative processes, such as those that have become more common in parts of the West.
- In projects where the agency successfully engages communities and other non-agency stakeholders in robust forms of collaboration, projects tend to be more diverse in terms of objectives, often occurring at larger scales. In these projects, non-agency participants invest significant amounts of time, and often, significant non-federal financial resources.
- In 2013, non-agency participants provided funding in 40% of projects, often coming from non-governmental wildlife conservation organizations (NGOs). In some instances, match requirements have been a challenge for non-agency collaborators and misconceptions of what qualifies for match exist. The agency reports that it is working internally to clarify match qualifications for stewardship agreements.
- Agency leadership (especially at the district level), continuity, and personality can be a determinant of whether effective collaborative relationships develop.
- There continues to be varying interpretations of Stewardship Contracting authorities in different places, affecting the effectiveness of these authorities. Some Regions and/or National Forests have very strict interpretations of stewardship authorities, such as imposing requirements to mark trees while using designation by prescription.
- Communities engaged often realize benefits from Stewardship Contracting projects, improved forest health, improved wildlife habitat, reduced wildfire risk, employment and indirect and induced economic activity, but these benefits are heavily dependent on how contracts or agreements are structured and who engages.
- Contractor capacity is quite important in shaping the type of projects that are eventually implemented and the diversity of interests served by these projects. Involvement of contractors in formal project planning or collaborative processes is seen as problematic, and many (both agency and contractors) are unwilling to engage in such activities because of actual or perceived conflicts of interest.

These and other findings from the FY 2013 programmatic monitoring and evaluation process are detailed in this report. Paired with these findings are nine recommendations for improvement. These recommendations

¹ The sample is of 25% of all Forest Service stewardship contracts or agreements active during 2010, 2011, and 2012.

stem from our analysis of survey results, discussions with stakeholders in Regional Team meetings and a national virtual meeting, and our case study research. Recommendations are highlighted in abbreviated form here and expanded in the body of the report:

- 1. Substantially increase training and technical assistance to agency personnel and collaborators in the use of Stewardship Contracting authorities.**
- 2. Remove or reduce administrative constraints (e.g. requirements for marking leave trees when using designation by prescription, hard-and-fast requirement for 20% non-federal match in stewardship agreements) which limit the full use of Stewardship Contracting and agreement authorities and appear to be applied unevenly across the National Forest System.**
- 3. Provide opportunities for networking between landscape restoration initiatives such as the 23 existing Collaborative Forest Landscape Restoration Program (CFLR) projects (and future CFLR projects) which to a great extent rely on Stewardship Contracting for implementation.**
- 4. Engage a diversity of organizations and partners (NGOs, local governments, state agencies, the private sector, etc.) to develop or participate in Stewardship Agreements, bringing additional funding for project planning, design, implementation, and monitoring.**
- 5. Consider ways to make best value criteria for bid selection more transparent.**
- 6. Avoid (if possible) requiring companies to bond each project and use one bond for the duration of a stewardship project.**
- 7. Continue to encourage and invest in landscape-scale restoration, but balance the movement toward larger contracts with efforts to maintain a diversity of opportunities for small businesses in order to build capacity for restoration activities and provide local economic benefits.**
- 8. Evaluate the effects of including saw log volume from stewardship projects in Small Business Administration set-aside calculations to determine the relevance of such an approach for retaining local mill infrastructure and broader economic implications.**
- 9. Invest in collaboration and community engagement as a normal course of business.**

1.0 Introduction

1.1 Background and Context

The Forest Service began experimentation with “end-result” contracting in the early 1990s. With revenue from timber sales shrinking, managers in the field were looking for new ways to accomplish land management activities which had typically been done using appropriations. Additionally, field managers sought a more flexible way to use receipts from timber harvests to accomplish a broader set of stewardship activities outside the traditional timber sale area. With these early end-result contracts field managers sought to describe the desired future condition (e.g., forest stand density, habitat conditions, riparian conditions, road conditions, etc.), while leaving contractors flexibility in achieving the desired end-result articulated in their contract.

Repeated experiments with end-result contracting led to Congress authorizing a pilot program in 1998 for the Forest Service to develop a small number of Stewardship End-Result Contracts and Agreements, charging the agency to:

- (1) More effectively involve communities in the stewardship of nearby public lands, and
- (2) Develop a tool in addition to the timber sale program that could more effectively address the complexity of forest ecosystem restoration.

This pilot era of stewardship contracting tested a number of contracting authorities that still exist under the present Stewardship Contracting authorization.

Table 1. Stewardship Contracting Authorities.

Stewardship Authority	Description of Authority
Best-value contracting	Requires consideration of other criteria in addition to cost (e.g. prior performance, experience, skills) when selecting bids.
Multiyear contracting	Allows for contracts and agreements to be up to 10 years in length.
Designation by prescription	Specifying within a contract the desired end results of a project, while giving the contractor operational flexibility to achieve results.
Designation by description	Specifying which trees should be removed or retained without having to physically mark them.
Less than full and open competition	Award of sole-source contracts in appropriate circumstances.
Trading goods for services	The ability to apply the value of timber or other forests products removed as an offset against the cost of services received.
Retention of receipts	The ability to keep revenues (timber receipts) generated by a project when product value exceeds the service work performed and then applies the funds to service work that does not necessarily need to occur within the original project area.
Widening the range of eligible contractors	Allows non-traditional bidders (non-profits, local governmental bodies, etc.) to compete for and be awarded stewardship contracts.

Most projects implemented during the pilot phase were accompanied in places with ongoing collaborative

processes actively engaging non-agency stakeholders in project planning, design, implementation, and monitoring. The Forest Service provided intensive training for agency personnel in the use of these new special authorities and resources were committed to provide technical assistance from regional offices. Project-level multi-party monitoring data were actively sought by the agency and regularly used to identify and resolve operational questions.

Figure 1. Legislatively Defined (P.L. 108-7) Land Management Goals of Stewardship Contracting.

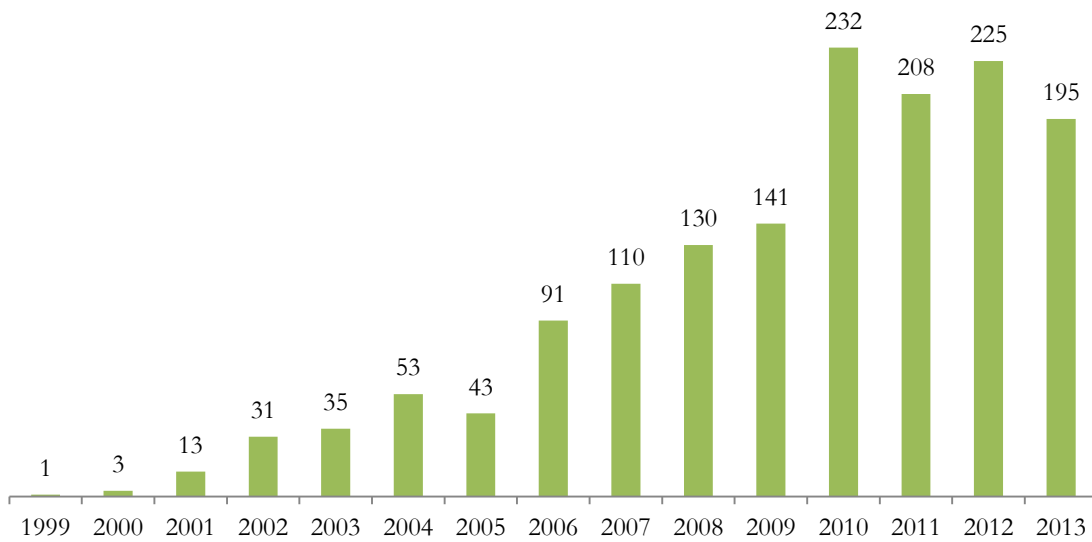
- Among other things, stewardship contracts and agreements are for:
- (1) road and trail maintenance or obliteration to restore or maintain water quality;
 - (2) maintenance of soil productivity, habitat for wildlife and fisheries, or other resource values;
 - (3) prescribed fires to improve the composition, structure, condition, and health of stands or to improve wildlife habitat;
 - (4) removing vegetation or other activities to promote healthy forest stands, reduce fire hazards, or achieve other land management objectives;
 - (5) watershed restoration and maintenance;
 - (6) restoration and maintenance of wildlife and fish habitat; and
 - (7) control of noxious and exotic weeds and reestablishing native plant species.

The pilot effort concluded early with Congress passing legislation² in 2003 that removed the cap on the number of stewardship contracts or agreements, extended Stewardship Contracting authorities to the BLM, and offered a 10-year authorization to use stewardship authorities through September 30, 2013 to “perform services to achieve land management goals for the national forests and the public lands that meet local and rural community needs.” As a result of recent Congressional action Stewardship Contracting authorities were extended through January 15, 2014.

In 2013, the Forest Service awarded 195 stewardship contracts or agreements, totaling over 171,000 acres, which is the largest number of acres awarded in a single year since the inception of Stewardship Contracting. As one indication of growth, roughly 15% of all timber sold from the National Forest System in 2007 was removed through stewardship contracts and agreements accomplishing needed forest restoration and hazardous fuels reductions, while in 2013 this figure increased to 27%.

² Interior Appropriation Act of 2003 Sec. 323 of P.L. 108-7 (16 U.S.C. 2104). Note, as revised February 28, 2003 to reflect Sec. 323 of H.J. Res. 2 as enrolled) the Consolidated Appropriations Resolution, 2003, amended P.L. 105-277, Sec. 347.

Figure 2. Number of Contracts or Agreements Awarded Annually.



1.2 Objectives of the Programmatic Monitoring Effort

The legislation authorizing Stewardship Contracting requires that the Forest Service and BLM report to Congress each year about their use of Stewardship Contracting in terms of both their physical accomplishments and engagement of communities. The agencies track their accomplishments in terms of on-the-ground land management outputs (e.g. acres treated), while the Pinchot Institute for Conservation provides an objective programmatic-level assessment of the successes and challenges in engaging communities and other stakeholders in stewardship contracts and agreements.³ This programmatic monitoring report seeks to identify:

- (1) The predominant problems in engaging communities and other stakeholders in Forest Service stewardship contracts or agreements and suggestions for improvement,
- (2) Successes associated with engaging communities in Forest Service stewardship contracts or agreements, and
- (3) Major perceived benefits of Forest Service stewardship contracts and agreements to communities.

1.3 Methods

The Pinchot Institute worked closely with four partner organizations to gather input from stakeholders involved with stewardship projects:

- ***Flathead Economic Policy Center***
Responsible for the Northern Rockies and Northeast/Lake States regions.
- ***Michigan State University***
Responsible for Data Analysis/Synthesis
- ***Watershed Research and Training Center***

³ Programmatic monitoring and evaluation reports from previous years, including regional summary reports and interview data are available at: www.pinchot.org/gp/Stewardship_Contracting

Responsible for the Pacific Coast region.

- **West 65, Inc.**

Responsible for the Southeast and Southwest regions.

Data for this assessment was gathered by the Pinchot Institute and partner organizations through:

- An Office of Management and Budget approved survey instrument (see Appendix B) administered to agency and non-agency participants in 25% of stewardship contracts or agreements active during 2010, 2011, and 2012. Data analysis and synthesis for the surveys was performed by Michigan State University.
- Case studies of 10 active or complete Forest Service Stewardship Contracts or Agreements. Preliminary data was collected by the regional partners and the Pinchot Institute. Data collection included reviewing project NEPA documentation, news articles, project websites, and semi-structured interviews with agency and non-agency staff involved with these projects. Data analysis and synthesis for the case studies was performed by Michigan State University and the Pinchot Institute.
- Regional teleconferences with Regional Team members and other regional stakeholders to identify regional trends and recommendations. Since 2005, the Pinchot Institute and its regional partners maintained five regional multiparty monitoring teams (Regional Teams) comprised of individuals from the Forest Service, BLM, the forest products sector, academia, state, county, and tribal governments, land trusts, environmental and wildlife conservation organizations, and others. In 2013, regional team meetings were shortened and held over the phone, making participation open to other participants. Brief regional summaries are available in section 6.
- A National web-based virtual meeting involving stakeholders around the country was held on December 11, 2013 to vet the findings of the 2013 monitoring program. Presentations from this meeting are available here: http://www.pinchot.org/gp/Stewardship_Contracting

2.0 Survey Results

A telephone survey was administered by regional partner organizations to help identify the role of communities in stewardship contracts or agreements. The sample set consisted of individuals involved with stewardship contracts such as USFS personnel, community members, and contractors. To facilitate this national-level monitoring effort, the Forest Service Washington Office provided a list of 266 stewardship contracts or agreements active in the years 2010, 2011, and 2012. From this list, 25% of Forest Service stewardship contracting projects in five separate regions were selected using a stratified random sampling protocol developed by Michigan State University (MSU). The five defined regions of the United States included:

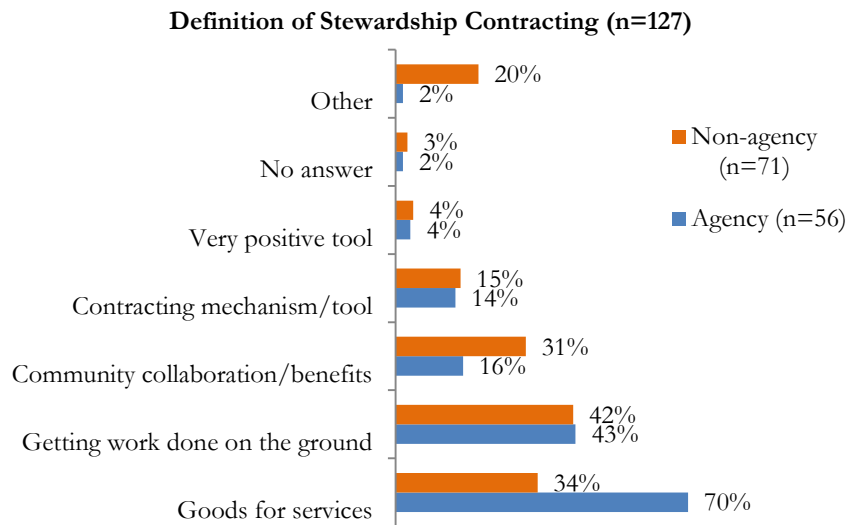
Northeast/Lake States	CT, DE, IA, IL, IN, MA, ME, MD, MI, MN, MO, NJ, NH, NY, OH, PA, RI, VT, WI, WV
Northern Rockies	ID, MT, ND, SD, WY
Pacific Coast	AK, CA, HI, OR, WA
Southeast	AL, FL, GA, KS, KY, LA, MS, NC, SC, TN, VA, TX
Southwest	AZ, CO, KS, NE, NM, NV, OK, UT

The Pinchot Institute, its partners, the Forest Service, and the BLM collaboratively developed a questionnaire in 2005. The questionnaire was subsequently reviewed and approved by the Office of Management and Budget, and has since been used annually to collect data relevant to the programmatic monitoring effort (See Appendix B). As interviews are completed, resulting data are compiled into uniform reports and sent to Michigan State University for coding and analysis. Michigan State University compiles the results from these analyses and shares them with the Pinchot Institute and its regional partners. These data become the basis for the graphs and tables in this report.

The stratified random sampling protocol identified a total of 67 Forest Service projects across the five regions monitored for FY2013. For each project, three interviews were attempted (the agency project manager and two external non-agency participants). Agency contacts for each project were asked to provide a list of community members and contractors involved in the project. Two external participants were randomly selected for interviews. A total of 156 individuals (66 agency personnel, 31 community members, 28 contractors, and 31 others) participated in the survey of 201 possible, resulting in a response rate of 78%.

2.1 Perceptions of Stewardship Contracting

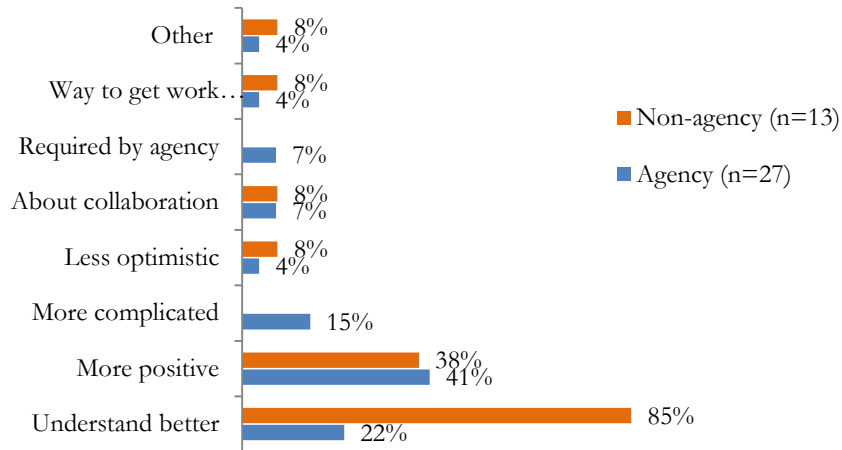
As was the case in years past, agency respondents' top definition of Stewardship Contracting (70%) is "goods-for-services." This response is up from 60% last year when the survey was applied to all active projects, not just projects that were active during 2010 - 2012. Non-agency respondents rated this high as well (34%), but their number one response (42%) was that Stewardship Contracting is "a way to get work done." Significantly more non-agency respondents offered a definition that emphasizes collaborative community benefits, while 16% of agency personnel emphasized this in their definition of Stewardship Contracting.



Agency personnel (n=56) were split with regards to their perceptions of Stewardship Contracting following their participation in a contract or agreement, some (48%) said that their view had changed with an equal number (48%) saying it had not. Non-agency persons (n=71) were much more likely to say that their view had not changed (72%), with only 18% suggesting that their view had changed, and 10% not being sure whether their views had changed.

Of those with changed views, 41% of agency personnel report viewing Stewardship Contracting more positively, while 4% report being less optimistic about using Stewardship Contracting to meet their objectives, and 7% cite that it is “a requirement” which is why they use it. Non-agency people (85%) report viewing Stewardship Contracting “more positively.”

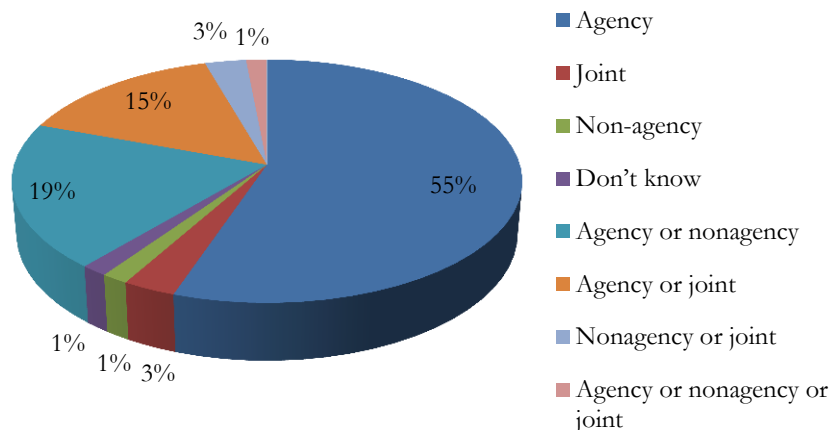
Changed Views of Stewardship Contracting



2.2 Community Involvement in Stewardship Contracting

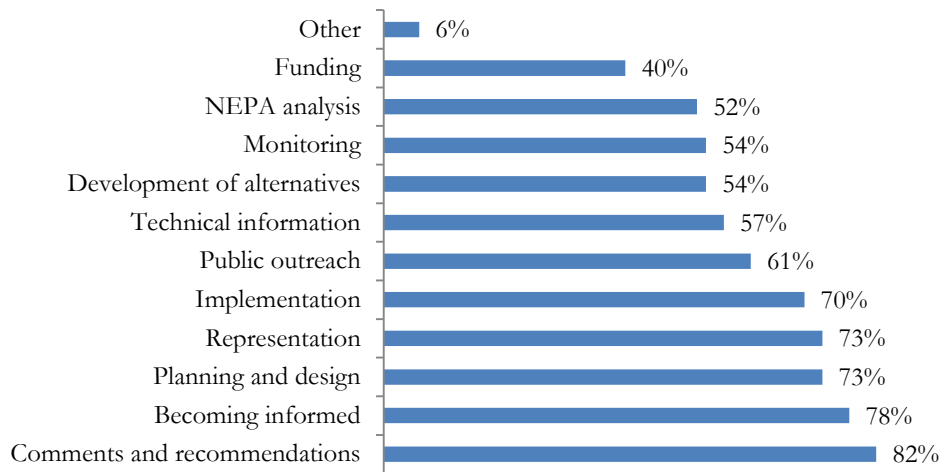
Respondents were asked who initiated the project and, as was the case in years past, they said that the Forest Service initiated most Stewardship Contracting projects (55% of projects), with a small percentage being initiated by non-agency (1% of projects) or jointly initiated (3% of projects). Responses suggest that participants either disagree or do not know who initiated the project 39% of the time. This may be a function of who was interviewed, for instance many contractors do not participate in projects until implementation and may not know who initiated the project.

Who Initiated the Project? (n=67 projects)



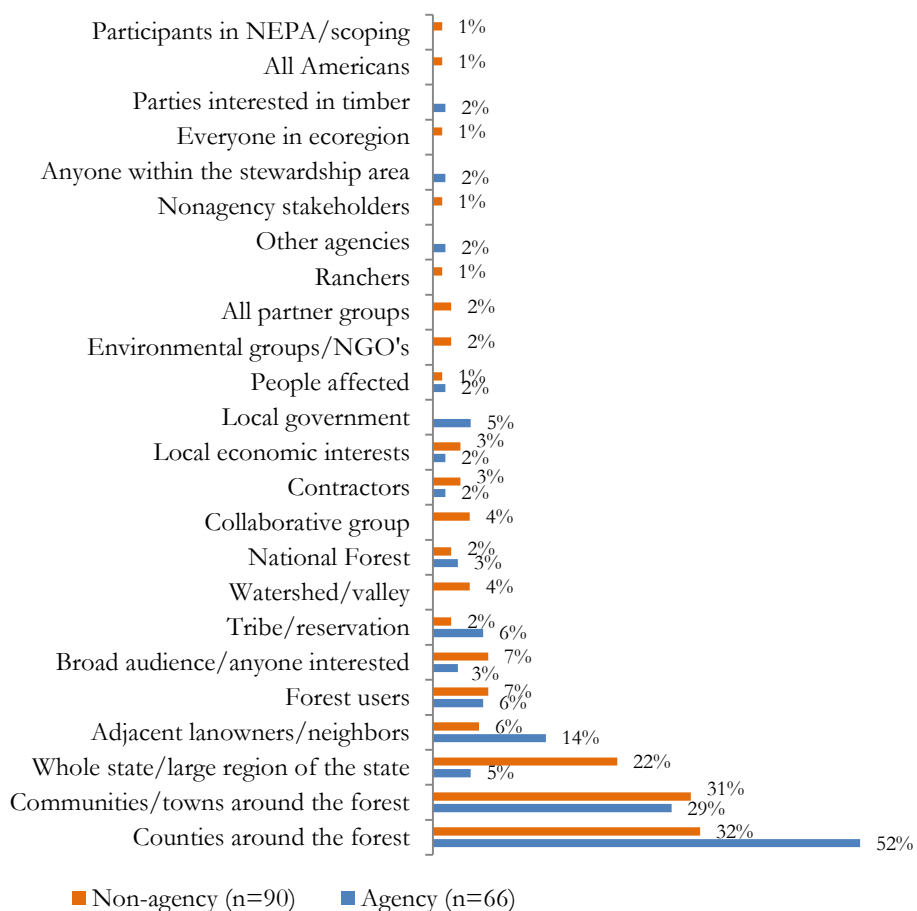
Communities were identified as playing many different roles in Stewardship Contracting projects. The most common responses include providing comments and recommendations—as is done through the NEPA process (82%), becoming informed (78%), participating in planning and design (73%), representing community interests (73%), and actually implementing the project (70%). It stands out that over the last four years of this monitoring program the role of non-agency participants in providing funding has decreased noticeably in the last two years.⁴

The Role of Communities (n=67 projects)



⁴ The role of communities in providing funding was 47% in 2009, 48% in 2010, 48% in 2011, 42% in 2012, and 40% in 2013.

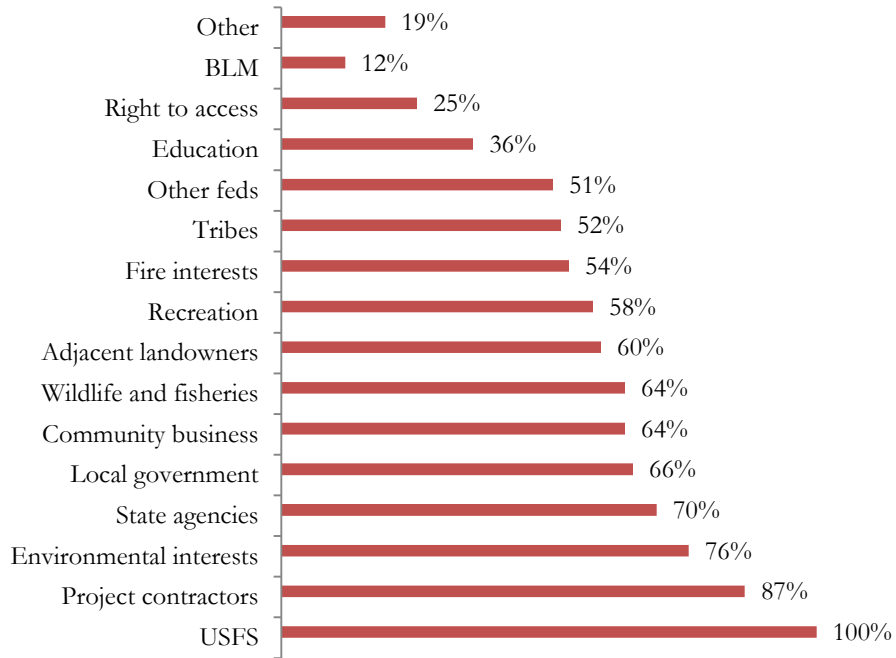
Respondents' Definition of Local Community



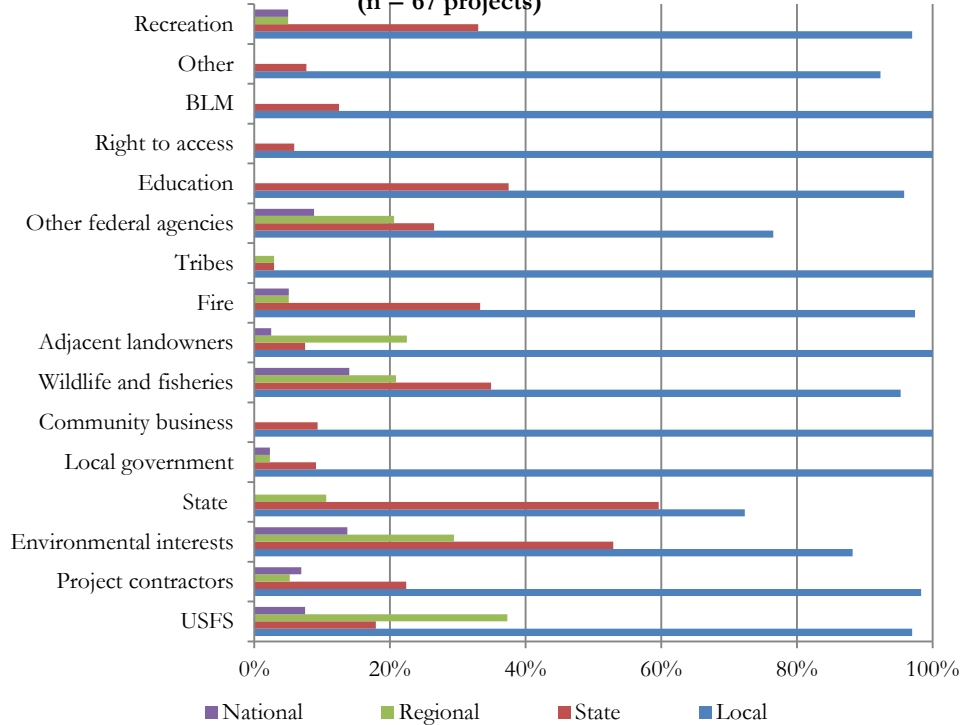
Respondents provided their own definition of “local communities” engaged in stewardship contracting projects. While several definitions were given, the most common responses were counties around the forest, towns around the forest, and entire states or portions of states.

Respondents suggest that the following entities are involved in over half of the projects surveyed in 2013: the Forest Service, project contractors, environmental interests, state agencies, local government, community businesses, wildlife and fisheries, adjacent landowners, recreation, fire interests, tribes, and other federal agencies (see Table 6 in appendix A). Entities reported to participate but doing so less often include education interests, right to access groups, and the BLM. While recreation was mentioned during regional team meetings and during case study data collection, recreation interests were not mentioned as being involved in Stewardship Contracting projects, although recreation on their local National Forest is something many community members care deeply about.

Overall Involvement by Entities in Stewardship Contracting Projects (n=67 projects)

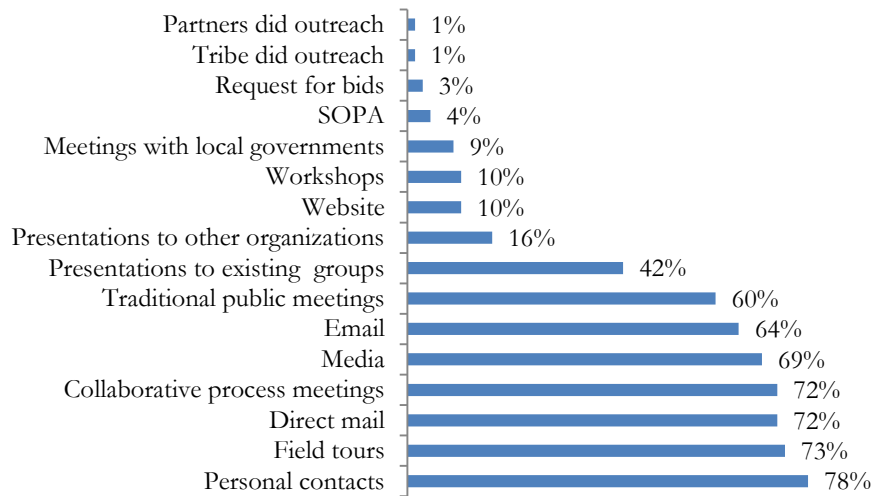


Percentage of Time Entities are Involved at Various Geographic Scales (n = 67 projects)



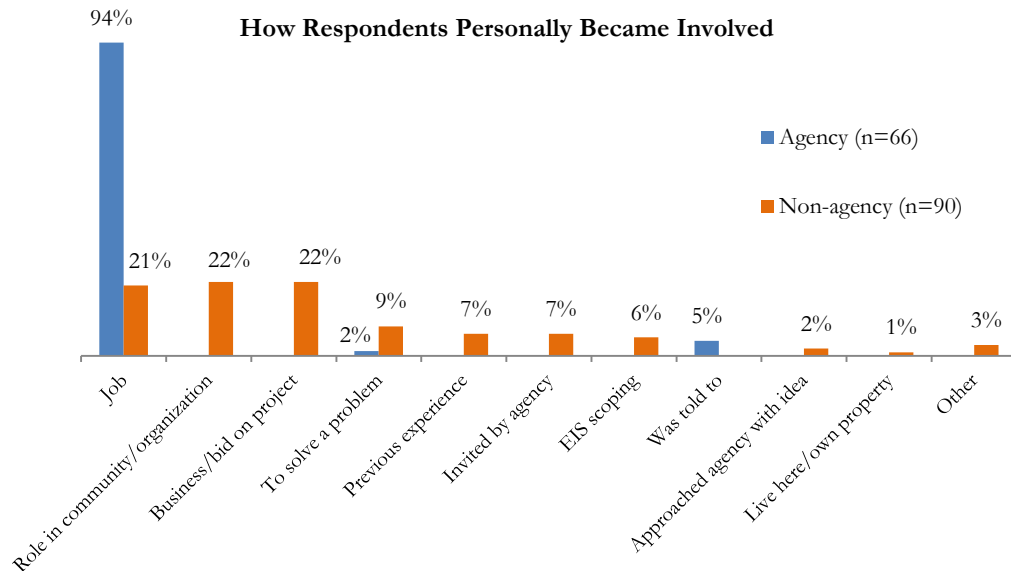
Increasingly field tours (73%), personal contacts (78%) and collaborative process meetings (72%) are being used to balance out more passive forms of outreach like mailings (72%) and email (64%). This is a positive trend as far as community engagement is concerned.

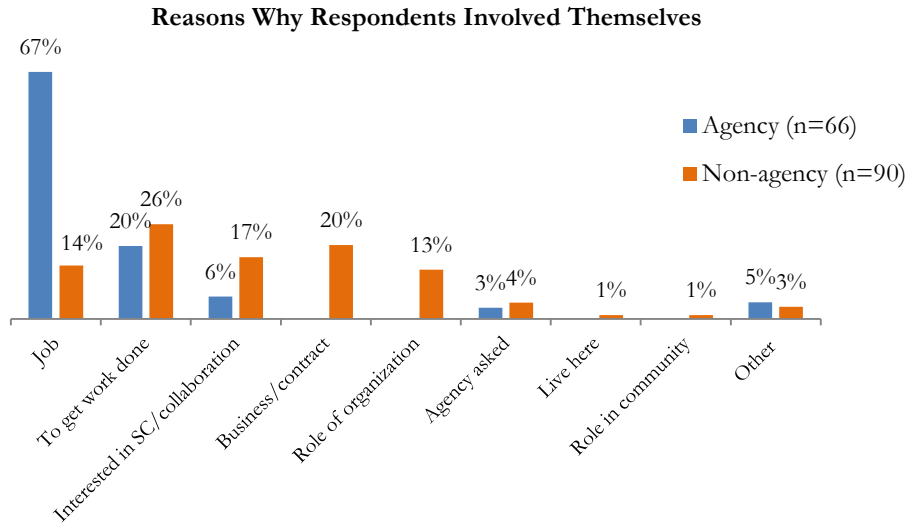
Methods of Outreach Used (n=67 projects)



2.3 Personal Involvement in Stewardship Contracting

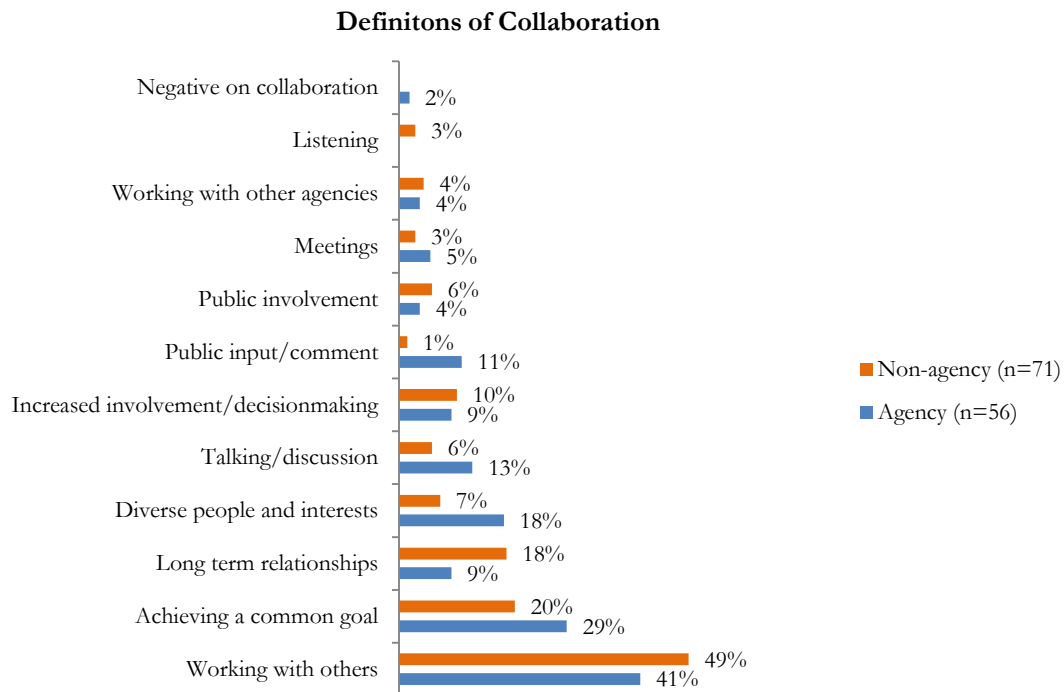
Most agency people first get involved in Stewardship Contracting through their job, while non-agency people tend to identify other reasons, including their role in their community. When asked why they got involved agency personnel also cite their job as being the reason why, while non-agency people cite a broader diversity of reasons with the top one being their interest “in getting work done.”





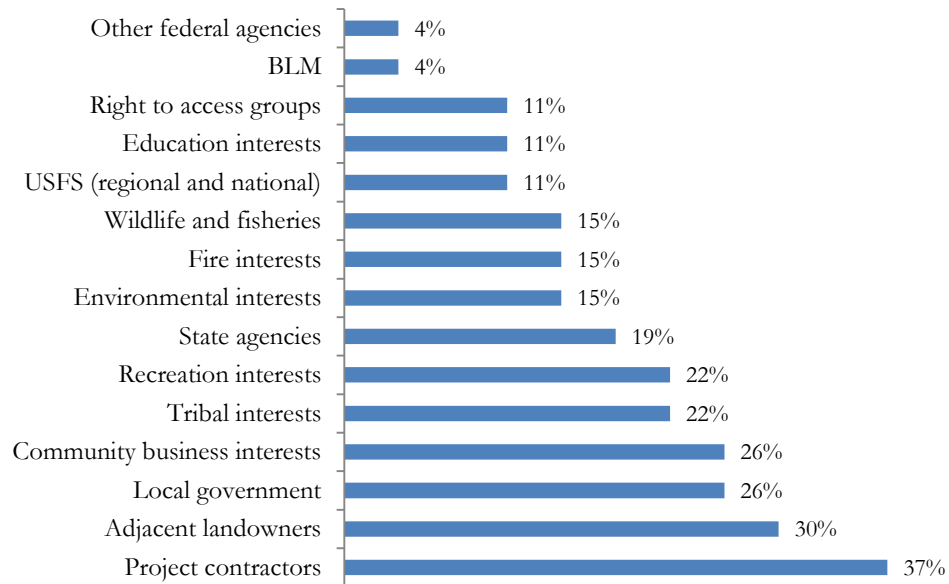
2.4 The Collaborative Process and Stewardship Contracting

Most agency and non-agency respondents tended to define collaboration as working with others, or achieving a common goal. However, definitions of collaboration vary from there. Agency respondents suggest collaboration is “gathering public input” more often (11%) than non-agency (1%) respondents, and similarly, “diverse people/interests” (18%) agency to (7%) non-agency. Non-agency respondents tend to emphasize collaboration as being “long-term relationships” (18%) more often than agency respondents (9%). These differences are indicative of varying perspectives, positions, and approaches to collaborative work.

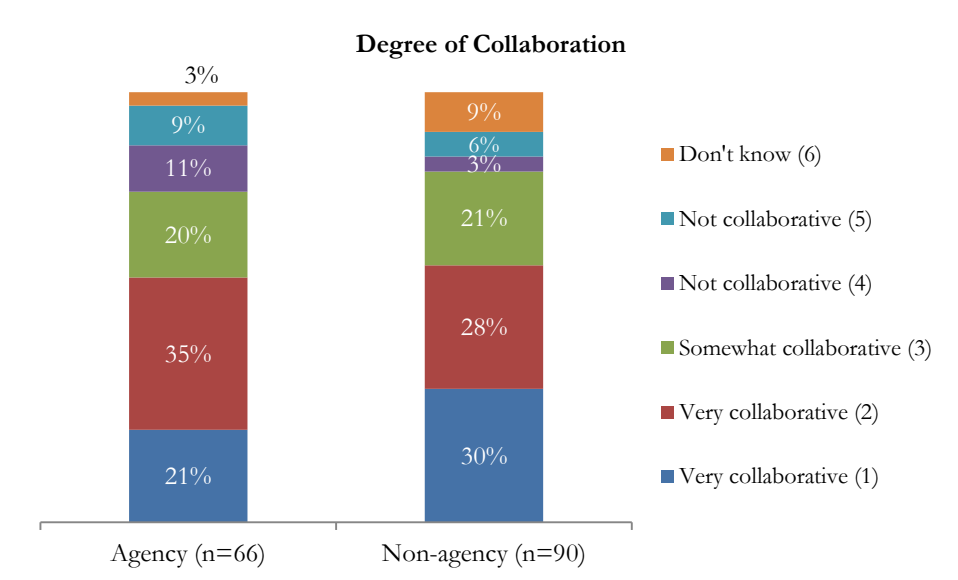


In 40% of projects someone felt that other people should have been involved in the stewardship project. Of those who were cited as “missing,” project contractors were the most often cited entity this year, whereas in the 2012 survey, “project contractors” was the sixth most often cited as missing. Note that this year, “community business interests” are also cited fairly regularly. In 2012, local governments were thought to be missing from 45% of projects (26% this year).

Entities Missing from Projects (n=67 projects)



Another reason for the less frequent mention of contractors may be that in parts of the west, at least, the actual number of available contractors is decreasing. It was revealed during interviews that with the ongoing decline in forest product markets, some operators have gone out of business, while in other cases, the high wages being paid in the booming oil and gas fields for truck drivers, heavy equipment operators, mechanics, and others have led contractors into the energy sector.

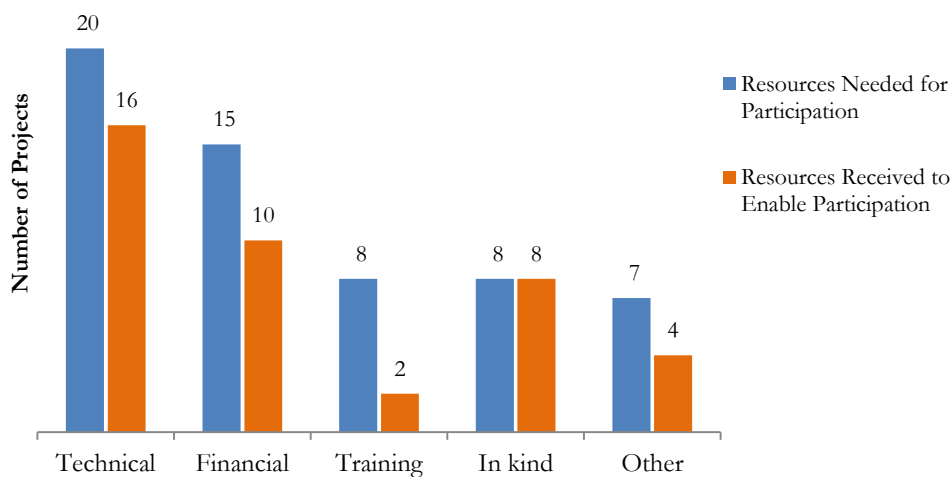


Survey participants were asked to rate the degree of collaborative community involvement in their projects on a five-point scale (1 = very collaborative to 5 = not at all collaborative). This year roughly three-quarters of both agency and non-agency respondents viewed projects as being either somewhat collaborative or very collaborative. Non-agency respondents are more likely to say that their projects are very collaborative.

Over 71% of respondents (37 agency and 74 non-agency responses) say that new lessons were learned as a result of their participation in stewardship contracting projects. For the agency, the top lesson (22% of respondents) is to “start collaboration early” and for non-agency respondents the top lesson learned is that there is a need to “be inclusive in collaborative processes.”

In half of the projects surveyed respondents indicated that resources were needed to facilitate collaboration. Of those projects needing resources to facilitate collaboration most did not receive adequate technical, financial, training or other resources. Other resources cited include “capacity for public engagement,” “travel money,” “time to attend meetings,” and “copies of documents.” While technical and financial resources are most often cited as being needed, training is the resource most often identified as being needed but least offered.

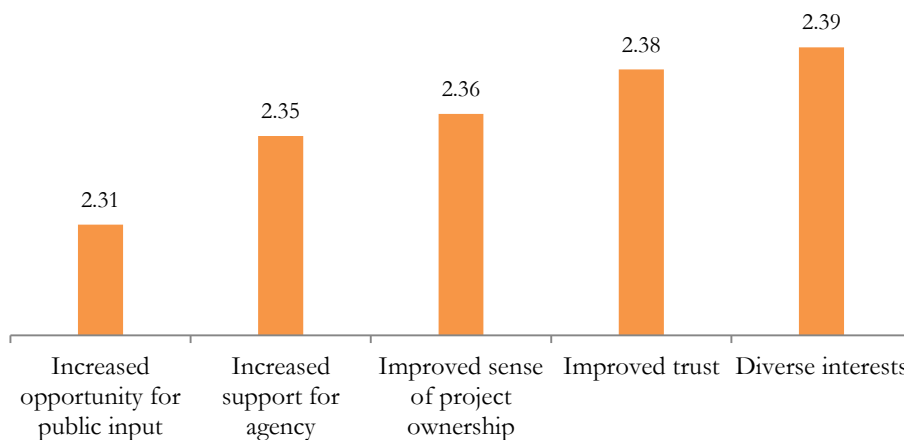
Resources Needed to Facilitate Collaboration (n=67 projects)



2.5 Local Benefits of Stewardship Contracting

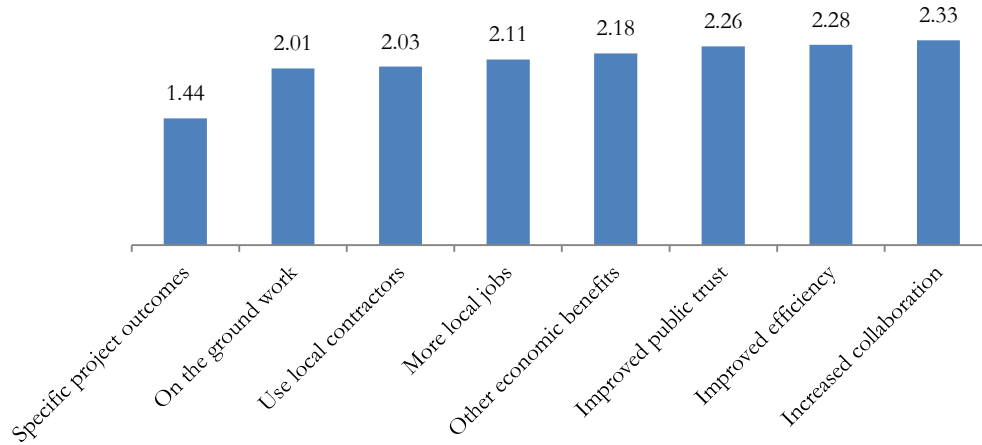
Ranked in importance from 1 – 5, with 1 being the most important, respondents rated various perceived benefits of involving local communities in stewardship contracts and agreements. All responses were seen as being of importance, with “increased opportunity to receive public input” being number one.

Average of Ranking (1-5, low scores are rated as being of greater importance) of Perceived Benefits of Involving Communities in Stewardship Projects (n=156)



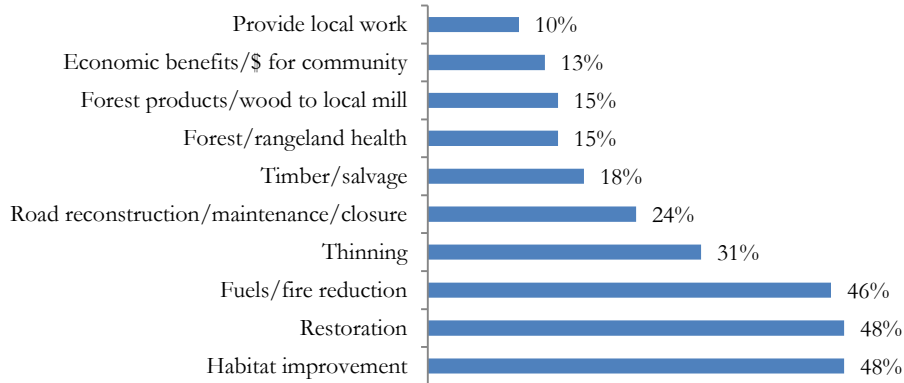
Ranked in importance from 1 – 5, with 1 being the most important, respondents rated various perceived benefits of stewardship projects. “Specific project outcomes” and “on the ground work” are again, as in years past, the number one and two ranked benefit for local communities. Likewise, “economic benefits,” i.e. use of local contractors and provision of “more local jobs” are strong again as well.

Average of Ranking (1 - 5) of Local Benefits--Lower Scores are Ranked as More Important Local Benefits (n=156 responses)



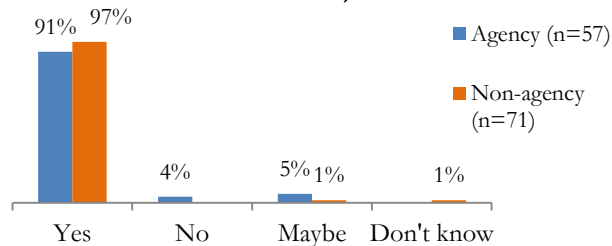
Of the 35 specific project outcomes mentioned by respondents, the top outcomes mentioned include habitat improvement (48%), restoration (48%), and fuels reduction (46%). These outcomes likely overlap in many projects.

Beneficial Outcomes of Stewardship Contracting Projects (n=67 projects)

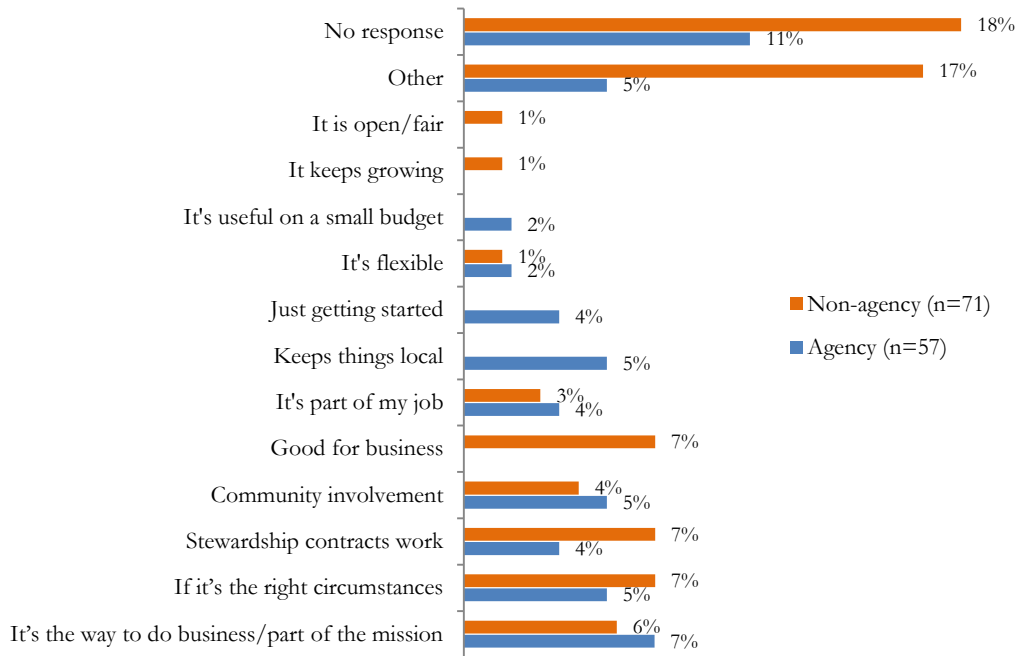


Agency and non-agency respondents alike cite wide support within their communities for using stewardship contracts and agreements. Respondents gave a wide variety of reasons that they would participate in another Stewardship Contracting project.

Respondent Interest in Participating in Another Project



Reasons Respondents Would Participate Again



3.0 Case Study Narrative

3.1 Introduction

Programmatic monitoring related to community engagement and collaboration in Stewardship Contracting has been ongoing in one form or another since the pilot phase of Stewardship Contracting. There has been a yearly survey (see section 2 above) of people associated with a sample of projects including agency participants, community members, contractors and others such as NGOs and state agencies. In addition, there have been annual regional meetings to identify local issues and lessons around Stewardship Contracting. As a result of these activities, major themes have emerged including:

- Community engagement and collaboration varies, as do definitions of collaboration
- Leadership continuity and effectiveness affects project achievements
- Sustaining collaborative work is challenging
- Stewardship authorities are used in different ways and at different scales, e.g. small stand-alone projects of limited duration and involving a few collaborators vs. large long-term and complex projects involving many collaborators.

The purpose of the Stewardship Contracting case studies conducted in 2013 and reported here are to investigate these themes and others in greater detail as well as to uncover successes, failures, lessons learned, and barriers to effective engagement by communities of place and communities of interest.

3.2 Case Study Methods

Ten Forest Service projects were selected for case studies; two in each of the same regions to which the survey was administered. The programmatic monitoring team developed project selection criteria based on our knowledge of Stewardship Contracting projects from prior years of completing this programmatic monitoring process. These criteria were then used to select case study projects. Projects of varying size and focus were intentionally selected to provide a cross section of project types for analysis, based on the following project selection criteria.

Table 2. Case Study Project Selection Criteria

Stewardship contract	or	Stewardship agreement
New project (2010 forward)	or	Old project (initiated prior to 2010)
Successful project (met project objectives)	or	Not a successful project (did not meet project objectives)
Big project (several thousand acres)	or	Small project (a few hundred acres or less)
Landscape-scale project	or	Not considered landscape-scale
Multi-year project	or	Short-term project (1-2 years)
Agency-led project	or	Project is jointly-led or led by others
Collaborative (identified by informants as collaborative, includes a diversity of participants, and/or has other indications of collaborative processes)	or	Not collaborative (not identified by informants as collaborative and/or does not have indications of collaboration)
Agreement with an NGO	or	No agreement with an NGO
Multi-landownership situation	or	Only federal public land
High levels of community involvement	or	Low levels of community involvement

Table 3. Description of Selected Projects Based on Case Study Selection Criteria.

Case	Agreement or contract	New or old	Successful or not	Big or small	Considered "Landscape level"	Multi-year or short term	Agency led or not	Collaborative	Agreement with NGO?	Multi-landowner	Community involvement
A	Agreement	Old	Successful	Small	No	Multi year	Others	Yes	Yes	Yes	High
B	Agreement	Middle	Successful	Big	Yes	Multi year	Joint	Yes	Yes	Yes	High
C	Contract	New	Successful	Small	No	Multi year	Agency	Yes	No	No	High
D	Agreement	Old	Successful	Big	Yes	Multi year	Joint	Yes	Yes	No	Low
E	Agreement	Old	Successful	Small	No	Multi year	Joint	Yes	Yes	No	Low
F	Contract	New	Successful	Big	Yes	Multi year	Agency	Yes	No	Yes	High
G	Contract	Old	Successful	Big	Yes	Multi year	Agency	Yes	No	Yes	High
H	Contract	Old	Successful	Small	No	Short term	Agency	No	No	Yes	Low
I	Contract	Mix	Somewhat successful	Small	No	Short term	Agency	No	No	No	Moderate
J	Contract	Middle	Successful	Big	Yes	Multi year	Agency	No	No	Yes	Low

A case study question guide (see appendix C) was developed to guide data collection and to ensure consistency. This guide was developed by the programmatic monitoring project team. There were three categories of questions: project scope and history, collaborative interactions and community engagement, and overall project outcomes and lessons learned. Specific questions within each category as well as potential data sources are listed in Appendix C. Given the time, resources and data availability constraints on completing these case studies, not all case studies were able to address every section of the guide.

3.3 Case Study Results

With respect to collaboration and community engagement, there were three types of projects in the cases we studied: (1) small community driven projects, (2) projects with significant NGO engagement, and (3) agency driven projects.

Table 4. Case Study Project Type and Authorities Used

Case	Authorities used	Kind of contracts	Project Type
A	Best value, goods for services.	Agreement	Small community driven project
B	Best value, goods for services, retained receipts, multi-year	Agreement	Small community driven project
C	Best Value, goods for services, DxP, retained receipts	IRTC; Agreement	Small community driven project
D	Goods for services, DxP, retention of receipts, best value, multi-year	Agreement; IRSC	Project that engages NGOs
E	Goods for services, DxP, retention of receipts, best Value	IRTC	Project that engages NGOs
F	Multiyear (10-year), best value, goods for services	IRTC	project that engages NGOs
G	Best value, less than free and open competition, retained receipts	IRTC; agreement	Agency driven project
H	Best value, retained receipts, DxP, DxP	IRTC	Agency driven project
I	Best value, DxP, goods for services	Agreement; IRSC; IRTC	Agency driven project
J	Retained receipts, goods for services, best value	IRSC	Agency driven project

3.4 Case Study Type 1 - Small community driven projects

Case A

This case explores a single stewardship agreement that built off of an early stewardship contract, the foundation for which was the existence of a local nonprofit founded in the early 2000s to address declining natural resource conditions in and around a small rural community. The community is surrounded by federal forest and rangeland, and private inholdings are scattered through the wildland urban interface (WUI), making fuels reductions a priority. In 2006, an external regional NGO specializing in the nexus of conservation and rural economic development worked with the local NGO to organize and convene a new local collaborative focused on fuel reduction, forest restoration, and building the capacity of the local NGO. The new collaborative drafted a project proposal for a stewardship end-result contract. In 2009, the agency completed its environmental assessment on the stewardship project area.

However, as the project progressed towards implementation it became apparent that no local organization (including the collaborative group) had the capacity to implement and administer the stewardship project. At this point, a national NGO which had been represented at local collaborative meetings offered their expertise with the quid pro quo that the project be adapted to include their wildlife habitat interests. This was done, bringing the national NGO's technical assistance (and match funding) to local interests. The local NGO "wanted the participation of a middle of the road conservation group." The relationship of the local NGO and national NGO appears to have exhibited a high degree of trust and mutual commitment, "We could not get to all the meetings, but if [the Executive Director of the local NGO] needed me, I went. I made sure I was there. I think her purpose in having us there was a little broader," said the local liaison of the national NGO. Additionally, financial assistance for "capacity building" was procured by the local NGO from a national conservation funder. This support allowed the local community to engage in a much deeper and meaningful manner than it would have otherwise.

This project offers an interesting model because it was initiated locally, with a regional NGO helping to initiate a proposal for a stewardship project, and two national NGOs providing financial and technical assistance to augment local capacity in a very deliberate manner. This assistance allowed the local NGO to complete project-level multi-party monitoring of implementation activities and outcomes, and provide the much needed interface for all collaborative interests to interact and make decisions.

Case A was successfully completed but not without its challenges. Local subcontractors working with the national NGO (the agreement holder) reflected positively on the project, but all shared the same complaint about the lengthy time lapse from project introduction, to bid acceptance, to execution. Also, just as the collaborative group gained capacity the Regional Office was cautious to endorse and enable the work and vision of the collaborative:

On a higher level, it's a great tool, but in this region it's very frustrating to use stewardship contracting because of the interpretations of the Regional Office and the match requirements on agreements....They [the Regional

Office] have options, but they always take the strictest options, which limits our ability to use the tool and hamstrings our local Forest Service people.

- Community collaborator

Another community collaborator offered more detail on the matching issue, saying:

Another hurdle delaying the grants and agreement process was the Regional Office's interpretation that [the agreement holder] needed to provide 20% match although the Forest Service is authorized to adjust this to as low as 5%. After negotiations, the USFS required [the agreement holder] to demonstrate a 10% match....We've gone around and around on this, trying to get through the Regional Office what the national levels is deciding. We get direction nationally, but then the Region contradicts it. It's been hard.

Lack of training at the regional level in the use of Stewardship Contracting was identified as a barrier to community-engagement as well, with the liaison for the national NGO who works in multiple Forest Service regions saying, "For us this was really pushing an elephant up a hill, when [our local Forest's] counterparts in another Forest Service Region on the border of our state are so experienced with Stewardship Contracting." Additionally, the county government expressed an interest in taking on a stewardship agreement of their own because they perceived opportunities for local economic development, but when the local NGO discussed the details of what was required the counties' interest ceased. The local NGO themselves did not have sufficient capacity or experience with Stewardship Contracting early on to even respond to the agencies request for a proposal.

[Name of NGO] hired a professional to help prepare their technical proposal – a factor they attribute to being awarded the contract. The requirements of preparing a technical proposal that meets federal government specifications can be intimidating. Smaller companies with little or no government contracting experience are less likely to have these skills.

- Forest Service personnel

Case B

The foundation for collaboration in this case study (a stewardship agreement) goes back to a legally binding agreement between the Forest Service and a municipality regarding the management of the community's source-water. This project began in 2003 when the Forest Service released for public review a proposed action to reduce hazardous fuel conditions on a municipal watershed, protect human life and property, and protect late-successional habitat. Under the Healthy Forest Restoration Act (HFRA) the municipality created a Community Wildfire Protection Plan of which certain actions were analyzed (and ultimately selected in 2009) as an alternative under the NEPA process. According to Forest Service documentation from as far back as 2004 this project was identified as potentially benefiting from using Stewardship Contracting authorities to: "manage the balance of marginal economics associated with biomass removal of merchantable and non-merchantable vegetation to meet density and fuel management objectives. Use of a stewardship contract will afford the Forest the opportunity to work closely with the City." It took another six years before stewardship authorities were used.

In 2010 the main partners (a national NGO, a local NGO, the municipality, and the Forest Service) met to develop a Master Stewardship Agreement and Supplemental Project Agreements (SPA). The agreement vehicle was viewed as ideal for members of a local collaborative group because they all played a role in the project lifecycle—planning and design, implementation, and monitoring. Forest Service representatives themselves say that they did not “view the partners as contractors” and the same staff person from the agency has participated from the beginning. This consistent support is viewed as a key to success by non-agency collaborators.

Under each SPA, much of the work traditionally performed by the agency was completed by the partners. Treatment schedule, location, and type of treatments to be performed were developed by the three non-federal partners and then signed off by the Forest Service. Work generated by SPAs goes to local subcontractors, and all subcontracts have been offered using best value criteria. Like project A, training is thought to be very important, in this instance for contractors, and there have been successful efforts by a local NGO to develop a contractor training program focused on helping contractors increase their understanding of stewardship authorities and the desired end results identified by the collaborative group. Contractors have also marketed their services (with the help of agency and non-agency collaborators) to carry out similar activities on adjacent private lands.

The partners also actively participated in laying out the harvest blocks by delineating and flagging no-go areas. All of this was accompanied in a highly structured (board meetings, subcommittee meetings, field reviews) and third-party facilitated collaborative environment with documents that defined the roles and responsibilities of all partners involved and set the norms for collaborative decision making. These roles and responsibilities were periodically reviewed and redefined by the collaborative.

Involvement of the NGOs and the municipality is viewed as critical to achieving and maintaining the social license for forest management in the watershed. Also critical, the municipality and NGOs bring significant match funding (over \$600,000) to the table. The agreement-holding NGO also selects subcontractors on a best-value basis and runs a worker training program.

One clear early sign of growing public support is the commitment by the City...mayor and council to fund [amount]...in on-the-ground treatment to complete the project...An estimated [amount] in funding is needed for roughly 4,000 acres of treatments to complete the most important parts of the planned and approved project....Additional funding is also needed to secure the ongoing engagement of the project cooperators to sustain the key elements of the support services in the form of science support, multiparty monitoring, community engagement, technical review, and ongoing worker training which have helped establish high public support...It is expected that some of this funding need will be met with matching funds raised by the partners.

- Project collaborator

Case C

This case study offers an example of a project focused on maintaining and expanding habitat for multiple threatened and endangered species. In this instance, the conservation actions needed to benefit specific threatened and endangered species are a blend of service work (e.g. culvert replacements and controlled burns) and timber work (mechanical thinning) of pine plantations to help restore savannah habitat. Through multiple Integrated Resource Timber Contracts (IRTCs) the Forest increased their knowledge of, and capacity for, Stewardship Contracting. Based on this early success the Forest and stakeholders began formal collaborative discussions in 2008 about expanding the use of stewardship authorities via a Master Agreement covering a much larger area. Partners in this Stewardship Agreement include two national NGOs, one with a strategic focus on game species, the other on biodiversity conservation. The Forest Service and a local NGO are the additional partners.

Collaboration continued through formal NEPA scoping in which public meetings focused on informing state and federal agency partners, NGOs, and industry about the project. A field tour was organized for NGOs concerning stewardship authorities and authorities granted under HFRA. A pre-bid meeting was also held for potential contractors. The record of decisions was signed in 2010, and timber and service work began in 2012 through the stewardship agreement.

As the project became more collaborative in both planning/design and implementation the project evolved to be a diverse mix of tasks and objectives. During planning, the NGOs identified concerns related to their specific interests (creating or enhancing wildlife habitat) that agency personnel sometimes found challenging to address while maintaining a financially viable project, with one agency person saying “one thing I would never do in the future was have the stewardship work items and the specified roadwork in the same general area. It was a real exercise to keep everything straight.” This highlights a need for agency personnel to have adequate training before projects begin and technical assistance that they can turn to during project development and implementation, especially as they attempt to implement more diverse and complicated projects and engage in collaborative work with diverse interests and expectations.

3.5 Project Type 2 - Projects with significant NGO engagement

Case D

This case study is of a project that took 17 years to come to fruition from the time it was conceived of by partners in a local collaborative to its implementation by a large national NGO. The focus for this project did not change much over the life of the project, although its scale did, largely because the scale of resource impacts increased over two decades. The focus has remained reducing risk of wildfire and diseases through mechanical thinning and controlled burns of mixed coniferous forests, restoration of Aspen stands, restoration of meadow habitats, and repairs to riparian areas and watershed function. A companion objective is to provide employment and forest products to a local community.

In 1995 a broad local collaborative group first proposed the project. This original group of collaborators included representatives from local governments, higher education, range permittees, Resource Conservation and Development (RC&D) partners, timber industry interests and state agencies. In 1999, the project was chosen as a Stewardship Contracting pilot project because the agency identified it as a priority within the region that was well suited to using stewardship authorities and was collaborative in nature. As was the case

with case study A (see above), at the time the project moved to implementation (i.e. when case D was designated as a Stewardship Contracting pilot project) there was no local organization the agency could engage to implement the shared vision of collaborators. However, unlike project A, the local organization that was formed to spark implementation in case D was not nearly as strongly tied to a local community. Also dissimilar from case A was the financial backing case D attained from Congress via a special appropriation of \$500,000 to establish a local NGO to shepherd the project along. Similar as is the case with case C, the collaborators (including contractors the local NGO intended to work with on implementation) and the agency had to work through differences in project design in order to make the project pencil out financially.

Despite the granting of special pilot authorities and earmarked funding to seed a partner NGO, the ambitious restoration vision of case D proved too controversial for some stakeholders in the early 2000s. Years of appeals and litigation ensued and during this period the original collaborative group dissolved. Objections to the project focused on roadless areas and management indicator species. In 2010, a new energetic District Ranger revived the project and the scale of project activities increased significantly—from an original analysis area of 50,000 acres to 175,000 acres—in an attempt to address declining resource conditions. In 2012, since the original local NGO formed with earmarked funding had ceased operations, the agency turned to a national NGO via a stewardship agreement to implement and manage the project.

Originally, this project was a grassroots effort with the agency and Congress giving it special attention. The project evolved significantly in the last two decades and is now primarily an agency-led effort with work being accomplished through an agreement with a large national NGO focused on wildlife habitat—primarily restoring open forest habitats for game species, while reducing risk of wildfire and disease.

Our goal is to build capacity for the habitat work to get done on federal lands. We like to bring a host of partners and resources to the table whether it be deer hunters or quail hunters or a state agency. We pool resources to help the agency get the work done. It is all about habitat for us....we want to see viable markets and associated jobs. We are often contacted by a business that wants to partner on the technical proposal or simply is not ready to manage the service side. We can help all the work get done and appropriate businesses get a shot at whatever elements they want...there is a growing need for partner capacity in order to leverage the type of hands-on assistance in the way of fund raising and technical management that [National NGO] provides [collaborators and subcontractors].

- National NGO/agreement holder representative

The newest iteration of the collaborative process is professionally facilitated by a third party and the revived project includes a diversity of objectives, “We are trying to do something that protects Aspen regeneration and that includes range [Sagebrush habitat] proposals along with tree removal, burning, and other activities,” says the District Ranger. Because of the low timber value in the project area, an Integrated Resource Service Contract (IRSC) is utilized. The operator is an excavator by trade who is working with the national NGO to implement the service work, mainly the removal of very low value small diameter trees. The operator has purchased new equipment to do the work and is employing a small number of local workers year round.

The national NGO is attempting to engage interested parties although the majority of these are new to the project (the exception being environmental litigants) with the original collaborative members having either retired or moved to other jobs and/or other places. This includes the original group of contractors who were very involved in the original project at inception, but who have since gone out of business. The role of NGOs has been critical and the project would very likely not have moved into implementation if the national NGO had not stepped in:

They [the national NGO] are outstanding partners, getting things done, providing leadership and helping with inspections. We could not get this done without them....all agree that subsidizing [the removal of small diameter trees] is the way to go. There is no product left that will pay for the work. Lots of federal money is now being channeled through the [state name] Watershed Restoration Initiative. It is about habitat, not products....we have transitioned to a new economy. Product is secondary....[for us] forest restoration is not reliant on timber sales.

- Forest Service representative

Case E

This case study is of a single short-term project (1-2 years in duration from planning to completion) in response to significant wind throw of mixed-pine forests associated with a hurricane. The project was designed to salvage merchantable timber and use the proceeds (nearly \$400,000) to complete the service side of this stewardship project. Service work occurred on nearly 1,500 acres across the Forest and included fuels reduction and habitat management for an endangered species, non-native invasive species control, dump site clean-up, and timber stand improvement following the hurricane.

Key to this project's success is that the Forest had an existing agreement in place with a national wildlife habitat conservation and hunting NGO that the agency had years of experience working with. This allowed the agency to act quickly to achieve results on the ground following a major disturbance event and stay in compliance with US Fish and Wildlife Service habitat requirements for critical habitat for an endangered species. Salvage also reduced the threat of a major bark beetle infestation to both public and private timber resources.

The NGO was essential to reaching other stakeholders and to accomplishing the work in a timely manner. The NGO contributed \$60,000 in combined cash and salary (as match) and the service work. The NGO worked directly with three independent operators to complete the salvage work. The project shifted its original focus to accommodate salvage harvest and activity on a much larger scale than originally intended. Having a Master Agreement and SPAs with a trusted NGO allowed the Forest to be nimble when resource conditions required it to do so.

Case F

This case study is of a single project that essentially began in the mid-1990s when the Forest began actively exploring a more collaborative approach to resource management. Early investments in collaboration appear to be paying off as case F is large in both land area and length (10-year IRTC) having been in development for 15 years prior. The focus of the project is to reduce hazardous fuels threatening communities and infrastructure and to improve overall landscape resilience. The project is scheduled to treat 1,000 – 2,000

acres per year, thinning pine, mixed conifers, and aspen with just over 15,000 acres of 20,000 acres analyzed during the completed Environmental Assessment required under NEPA.

The project in case F hinges on the authority, and the “social license,” to exchange goods-for-services. A long-term contract and strong collaborative environment has reduced the financial risk sufficiently enough for the contractor to funnel private investment in appropriately sized infrastructure to implement the 10-year project: a small sawmill, a small biomass-fired combined heat and power facility, and the loggers and low-impact cut-to-length logging equipment needed for biomass and timber removal. Instead of openly burning slashpiles, which is common practice in the region, the biomass utilization infrastructure they have invested in allows the contractor to remove these piles to fuel the energy facility. Collaboration has led to the design of treatments that include a considerable merchantable component being removed. In this way, having a collaborative process focused on the economic effects, in addition to the ecological objectives of the project, enables the Forest to package merchantable and non-merchantable material together in a manner that lowers the cost of treatments.

The building blocks for the project in case F were laid over two decades through a series of workshops intended to advance discussions around the science of silviculture in western mixed conifer forests. Early on, the collaborative process around this project pointed toward Stewardship Contracting as the most agreeable contract mechanism for all participants, especially environmental groups. As a first step towards achieving a larger impact, the Forest tested mixed-conifer treatment concepts explored in the science workshop series through a small demonstration stewardship contract before considering such an approach to treatments across a landscape. Following this, the Forest financially supported a conservation NGO to facilitate a collaborative process examining how such treatments could be applied across a broader landscape. In this collaborative process non-agency persons recognize federal agency staff as bringing positive leadership into these discussions. Non-federal partners include two environmental NGOs, a local college, and a state forestry agency. Similar to cases C and D, collaboration in case F has allowed partners to design treatments and an overall project design (including associated investments in necessary logging and utilization infrastructure) that achieve ecological objectives and achieves economic efficiencies.

3.6 Project Type 3 - Agency driven projects

Case G

This case study encompasses more than 10 stewardship projects on the same Forest in just under a decade, collectively referred to as case study G. The 1990s saw this National Forest putting up timber sales that were repeatedly appealed and the Forest was not focusing as much on service activities as stakeholders would have liked. No single individual lays claim to initiating the use of Stewardship Contracting, but a variety of stakeholders saw an opportunity to use it to meet multiple objectives. One of the Forest Supervisors serving during the lifespan of a project in case study G had this to say about community engagement in Stewardship Contracting on the Forest:

For Stewardship Contracting you need to be on the ground, meet in the field, and look at things....It takes weekends and nights and a lot more handholding with individuals and groups to help them get their arms around what we're proposing. It takes more commitment and more

orchestrating and scheduling, and requires having a real clear vision of what you hope to get from these meetings with the public....The bottom line for me was that I wanted public support and understanding of what we were going to do [with case G]....We did not want to have any kind of animosities where we might end up in court or something like that. We needed to break the mold that we were in, getting projects appealed and ending up in court in some cases.

Early on, the agency saw an opportunity to more actively and positively involve the public in forest management issues especially given that over half of the project area (which itself is over 12,000 acres) is actually private inholdings. The Forest has worked with private landowners to “implement qualified resource management activities on private land to complement those proposed on NFS lands.”

In 2005 the first of many projects in case G went out for formal NEPA scoping at a time when relationships had improved. A variety of stakeholders had just engaged in revising the Forest Plan. The Forest chose to use Stewardship Contracting to implement the activities articulated in the revised plan.

A representative of the Forest stated, “Here on this Forest, we are using stewardship [contracting] as a way to connect communities to the land. We are using it for environmental education.” The agency embraced the concept of community engagement and developed contracts in a way that used high timber values to offset the expense of habitat improvements and maintaining recreational developments, both things that local communities wanted to see. In one instance, the agency used Stewardship Authorities in part to specifically engage a local community with a historically poor relationship with the agency, to award a contract with less than free and open competition to the town. All of this has built trust between the community and the agency.

We have moved. Just to be able to say that we did not get appealed and did not have to go to court means something. Someone trusts us more than they used to....Now they are working with us on a contract. Incredible trust has been built there.

- Forest Service representative

Project documents also reveal that the District Ranger recognized that using less than free and open competition allowed the agency to work directly with a local town to employ local workers. Using this very infrequently used authority helped improve the dialogue with the town and the agencies’ ability to directly engage the town in managing the forest around town boundaries.

A significant factor that appears to be a cause for successful community engagement in this agency-led project is the personality, experience, training, and leadership of agency personnel. In this instance, the Interdisciplinary Team leader performing the NEPA Environmental Assessment for the first of these stewardship contracts had a background and training in sustainable community development in the developing world, and they were putting this into practice with the local communities on their Forest through the NEPA process.

I was determined to get collaboration going because it works so well. I said, ‘Give me time to work with communities and get them working with us up front. Let us do true community development work here.’ That is when I started learning about Stewardship Contracting. I decided to get more involved—I put my heart and soul in this project—because of my passion for community development, because of my true interest and belief in this kind of action of community development and involvement....That is the beauty of Stewardship Contracting; it is a package. That is what keeps me motivated, putting the pieces together and getting them all to work....It was a challenge at the beginning getting agency folks interested—especially the timber folks. Change is hard. But we have converted [to using Stewardship Contracting as a primary tool].

- Interdisciplinary team leader

The Forest proactively engaged the community in project development through multiple community engagement techniques, including: developing maps and informational materials, field tours, public presentations and discussions, and regular face-to-face meetings with representatives from local governments, neighborhood groups, contractors, recreation-related businesses, wildlife organizations, and other concerned stakeholders. In addition to proactive community engagement the Forest structured project planning and design for case G with a small core-team of talented and committed staff each with their own defined roles and responsibilities. During the planning phase for case G, the agency’s core-team met once a month in an all-day session that operated via consensus decision making, with the team leader “deciding as backup.” Still, not all agency interests were able to participate, with recreation being cited extensively by agency personnel associated with case G as not being effectively represented on this core planning team:

One of my issues is more internal than external—the issue of what could be done with stewardship contracting in the area of recreation. It would be nice to be able to incorporate cultural resources, recreation, etc. into our project plans....We need to assimilate [Stewardship Contracting] into our [agency] culture a little better....There are tons of opportunities for recreation projects if we could do them....we have had some partners who have said, “Why do the ‘goods’ have to come only from forest products?” Why can’t they come from recreation fees?

- Forest Service representative

Case H

This case study encompasses seven independent stewardship contracts on the same Forest that are collectively referred to here as case H. This is a smaller National Forest that has transitioned upwards of 75% of its contracting and sales work from separate timber sales and service contracts to integrated stewardship contracts. The Forest has a streamlined “system” of community engagement that focuses on those entities that are most directly affected by the project.

Collaboration was often defined as personal (one-on-one) rather than group oriented and the most often utilized form was that of agency personnel speaking with an adjacent landowner or interested party. Contractors were not involved in project planning, design, implementation or monitoring nor were local,

regional or national NGO's. State agencies provided some funding. This forest has been successful on the ground using this model to implement a series of small stewardship contracting projects.

Primarily focused on reducing hazardous fuels in the WUI, contracts under project H were initiated by the Forest Service albeit with urging from neighboring landowners, forest users, state agencies, and local fire interests. In addition to reducing fuel loads, secondary objectives of these contracts included habitat improvements and rerouting, closing, and building all-terrain vehicle (ATV) routes in a popular motorized vehicle recreation area. A Forest Service representative said that leading up to the second contract bark beetle damage had visibly increased and he had received questions from “both agency and non-agency people, the local community, the local public. ‘When are you going to do something?’ [about this problem], so it was like, ‘okay, I better get doing something then.’”

Stewardship contracts in case H were more often considered by agency participants to be “somewhat collaborative” to “very collaborative,” while some non-agency representatives felt that projects were less collaborative than the agency did. Definitions of collaboration offered by parties in different contracts in case H are quite loose and include:

When this [Stewardship Contracting] first came out, we always talked about how you have to go to these groups [and collaborate]. It was very much a group-oriented [concept]. These [stewardship contracts] turned out to be very personal. There are not the groups here, and sometimes you have to go out and chat one-on-one [with potentially concerned individuals] or with small groups on the trail to find out what some of the issues are there....It is difficult to bring the ATVers into the process because they are only in the area a short time....There were more people who we probably should have involved, but this project was over five years in the planning process—it was always on the cusp of ‘yes, we can afford to do it’ or ‘no, we cannot.’

- Forest Service representative

Another agency representative identified another stewardship contract as being “very collaborative,” offering the following definition of collaboration:

People that were involved in the NEPA process, people who have stayed involved or interested in what is going on out there. We are not doing formal monitoring, but they are keeping an eye on it for us. When I think of collaboration, the citizens have to fit [their participation] in with the rest of their life. We [agency people] get paid to do this. They do not. I understand. They can only make a couple of meetings because of their jobs and other commitments, [but] that is [still] great.

Yet another agency person defined collaboration in a 2010 stewardship contract as, “people being and staying actively involved—not just showing up for a meeting, but giving substantive comments, being available for follow-up—rather than being a receptor of information, being an exchanger of information.” In this same stewardship contract an adjacent landowner considered the project to be “less than somewhat collaborative,” saying, “I think they put out some advertising saying they were having a meeting. They would do everything

by the book. I do not know how many meetings they had that I did not go to. As far as the people living up there, they certainly did not all know what was going on. The loggers are from out of state.” Still, a community member interested in reducing fire risk considered the process in this same contract to be “more than somewhat collaborative,” saying that:

Open discussion, the coordination of comments, and working together for most aspects of the project. The project design did not receive as much collaboration as the fact that they [Forest Service] were going to do something. We all recognized it was a high priority for the county....and as a group we collaborated and worked it out among the agencies and homeowners. A joint effort to make a decision based on input from all the affected people.

Case I

This Forest tentatively approached Stewardship Contracting through a series of small short-term non-controversial contracts. Case I is a study of a series of agency-led contracts with little community involvement beyond the NEPA stage. Some have encountered challenges along the way. One challenge in case I is that projects have gone “no bid,” some multiple times over.

One of these IRTCs entailed a relatively small amount of timber harvesting with road work/closures and habitat enhancements but the packaging of this work proved unappealing to contractors early on and went “no bid” multiple times when first offered. Work items A and B were not physically located close to each other and were eventually repackaged and sold as separate items. As the timeline below shows, the work on this contract was simplified and separated out to entice contractors to bid.

Agency representatives suggest this and other contracts on the Forest have gone no bid because “the industry is still pretty healthy,” so contractors really have to want the timber, because contractors do “not want to have to write up a proposal, provide references, etc. That is not as simple as coming in with one piece of paper and saying what their bid is, they are not willing to pay someone to prepare a proposal for them if they are not personally able or willing to do it themselves.” Contractor capacity also appears to be an issue, with many local contractors not being big enough to financially support larger projects.

Agency personnel reflecting on this experience expressed that:

We were told we had to have so many stewardship projects, and we tried to piece [it] together, and we tried four times and could not sell it. It would have been so much separate work aside from the regular timber sale. Initially, when it started we were trying to get two stewardship projects per year (either on the forest or in the zone, I cannot remember which). Now we are going way above and beyond that....the Forest Supervisor says we will have [more projects].

Another significant issue with Stewardship Contracting on this Forest seems to be a lack of community and non-agency stakeholder engagement in project development beyond NEPA scoping. For instance in one

contract, neighboring landowners were initially informed during the original project scoping. No significant effort was made to keep them informed or engaged after that.

Once the EIS was complete and not appealed, we could just go ahead [without additional community involvement.]. We took one of the planned timber sales and tacked on the service work to make it a stewardship project.

- Forest Service representative

There was also an apparent reluctance to engage with the public or local government through open meetings, deferring to back channel communications with stakeholders viewed as being gate keepers to implementation.

The biggest thing is that you get the most direct involvement with personal contacts versus a formal meeting. Obviously when people have different objectives or personal opinions, a meeting might be the format to work that out. We did not have a public meeting per se, but when we had conflicting opinions, we just decided that it would be too controversial and that the county should take the lead in contacting those affected landowners. We basically felt like the county needed to work with those residents, and they just backed away from it. It takes time and energy on their part, but if we would have done it we would have taken criticism for widening those roads out so much, and we wanted people to be aware it was a county requirement, not ours, but they [the county] felt they did not have the time to do all that.

- Forest Service representative

Neither the agency nor the contractors believed the project to be collaborative. There was no NGO involvement. There was some interaction with individual interests. Unlike case H, the model of Case I resulted in some contracts that were successful in achieving desired land management objectives and some that were not.

Case J

This case study focuses on a single large project that was initiated by the Forest Service for the primary purpose of reducing fuel hazard and wildfire risk by utilizing retained receipts built up in other stewardship projects. Because of a relatively high component of treatments in previous IRTCs that included merchantable timber, many projects have produced receipts that are retained locally for additional service work performed through an IRSC.

Collaboration in case J was solely through the NEPA scoping process and field trips with stakeholders. Non-agency participation (environmental groups and industry interests) is limited to providing comments and attending field trips, which in at least one instance resulted in alterations to treatments to address non-agency stakeholder concerns. There has been limited interaction since, although a local Resource Advisory Committee helped secure funds for project implementation. Local contractors are used. There is no standing collaborative group. Contractors were not involved in project planning, design, or monitoring. There was no NGO involvement. The forest has used this approach on approximately 20 stewardship contracting projects

(mostly IRTCs) and feels that their approach to engagement and outreach is successful. The frequency of use and style of engagement are both considered by agency and non-agency stakeholders alike to be “business as usual.”

3.7 Overarching Lessons from the Case Studies

Time is a factor. While some projects take a very long time to get going (17 years in one case), others come on line very quickly (as little as one year). This appears to be a function of several factors. First is whether there is a need to build trust among the agency and concerned stakeholders, or whether a relationship of trust already exists. Where functioning collaborative groups already existed, it often took less time to get a project implemented. The caveat here is that if it takes too long, existing collaborative groups can lose momentum or even dissolve, resulting in the need to start over, thus adding more time.

Existing trust relationships also matter when there is a need or opportunity to take advantage of unanticipated circumstances or events (hurricanes, for example). Litigation of a project can take months or years, and the unpredictability of both its length and outcome can be daunting, especially if on-the-ground conditions change significantly while it is in process. Finally, the time a project takes appears to be a function of whether the agency’s regional office endorses or disapproves of proposed activities. Some regional offices appear to expedite projects while others delay them. The need for perseverance was identified in multiple case studies.

The use of **collaboration** in the case studies fell along a spectrum from “not at all” to “very” collaborative. It was interesting to discover that some Forests have ways of doing Stewardship Contracting projects that work well for them and result in successful projects yet do not involve much collaboration, at least in the conventional sense. Those examples are outlined above (cases H, I, and J). Moreover, in some cases the agency viewed community engagement existing only within the bounds of the NEPA process and Forest Plan revisions, rather than actively engaging diverse interests throughout the conception, design, implementation, and monitoring of Stewardship Contracting projects—that is, throughout the entire project lifecycle. This finding is consistent with the survey data presented in section 2.4 of this report where we find that the top lesson by agency personnel about collaborative community engagement is the need to start collaboration early.

In those cases where the agency successfully engaged communities and other non-agency stakeholders, projects tended to be more diverse in terms of objectives, and in these diverse projects non-agency parties invested significant amounts of time and financial resources seeing the projects through to fruition. For example in cases B, C, D, and F partners actively assisted in designing treatments and contributed to the overall design and implementation of projects, including in some instances investing in necessary logging and utilization infrastructure (see case F) that achieve ecological objectives while working financially.

Engagement of NGOs, sometimes many different groups at a variety of levels (local, regional, and national) contribute to the successful engagement by communities in numerous case studies where both technical and financial assistance (usually match funding) is brought to the table. Stewardship agreements (cases A, B, C, D) appear to be an effective institutional mechanism for achieving this in several instances. In others, with low levels of community engagement NGOs tend not to be present. For instance, case A engaged a national NGO who was able to pay for someone to develop their technical response documents whereas the contractors in case I had no such ability.

Issues with **contractor capacity and participation** in project planning and design came up often in the case studies. As evidenced in virtually every case examined, contractor capacity is quite important in shaping the type of projects that are eventually implemented and the diversity of interests served by these projects. Involvement of contractors in formal project planning or collaborative processes is seen as problematic, and many are unwilling to engage in such activities fearing that could be perceived as creating a conflict of interest which would prevent them from bidding on projects that they helped plan and/or design. “Show me” field tours specifically for contractors provide some opportunity to get their input, but usually projects are well advanced toward implementation before those events are conducted.

As mentioned above, lessons were learned about **agency leadership and regional office support**. There appear to be different interpretations of Stewardship Contracting policies from region to region. Adherence to a very narrow interpretation often results in long delays which can be very frustrating to field level agency staff and non-agency collaborators (case A). Agency leadership at the forest and district level is also important. Finally, there has been a perception, often surfacing in survey interviews conducted through this programmatic monitoring effort (see section 2 of this report), that changes in agency leadership during the life of a project would have a negative effect on project momentum if a transition plan is not effectively implemented. However, in these case studies, changes in agency leadership had a positive effect for the most part.

4.0 Regional Trends

The survey process, case study data collection process, and regional virtual team meetings served as the basis for summarizing the major trends in each of the regions as well as the major barriers, successes and benefits associated with stewardship contracts or agreements.

4.1 Northeastern Regional Summary

Trends with Stewardship Contracting in the Northeast

This regional summary encapsulates data gathered during the regional team meeting, the case study data collection process, and the survey interviews. The summary highlights trends, successes, and challenges in engaging non-agency stakeholders in Stewardship Contracting in the northeast region.⁵

Through annual in-depth surveys of projects implemented with stewardship end-result contracting since 2006, the regional monitoring team has documented a slowly growing interest in and enthusiasm for using this tool to accomplish needed on-the-ground work. Community involvement in project planning and/or monitoring continues to be quite limited, although there are a few notable exceptions. Much of the outreach to stakeholders occurs during the broader NEPA scoping process. At the project-specific level, meetings and/or “show me” field tours for potential project contractors are fairly common but often occur too late in the process for contractors to offer practical advice based on their field experience. Some districts report greater efforts to involve other concerned stakeholders, often through one-on-one conversations with area residents or forest users (recreationists, hunters, anglers, etc.). Stewardship agreements with wildlife and

⁵ This region include National Forests in CT, DE, IA, IL, IN, MA, ME, MD, MI, MN, MO, NJ, NH, NY, OH, PA, RI, VT, WI, and WV.

conservation groups continue to be used effectively to address the concerns of those constituencies and to bring additional financial and technical resources to bear on related restoration needs.

Problems in Engaging Communities in the Northeast

The major factors reported as limiting active community engagement are: (1) the insufficient time that Forest Service personnel have available to devote to the effort; (2) the absence of an existing forest-related collaborative group or similar organization to help facilitate a public outreach effort; (3) a large number of potentially concerned participants (seasonal residents and non-resident forest users) who generally are not reached through traditional stakeholder involvement efforts (newspaper articles, public meetings, etc.); and (4) the challenge of meaningfully involving the public when an off-the-shelf, NEPA-ready project is later chosen for implementation through stewardship contracting.

Successes in Engaging Communities in the Northeast

Engaged communities usually have two or more of the following characteristics: highly motivated, enthusiastic district Forest Service staff with good “people skills;” supportive line officers; an existing community group that has worked with the Forest Service previously on accomplishing shared goals (usually related to recreation or habitat conservation); local citizen “sparkplugs” who have the desire and ability to motivate others to participate; access to technical assistance (often from regional or national organizations such as the National Wild Turkey Federation), and a communications or outreach strategy that keeps informed the broader community (business interests, residents who are unable to participate in the collaborative effort, seasonal residents, etc.).

Most communities start their engagement activities with small, relatively non-controversial projects and, as success is demonstrated, increase the size and scope of their efforts. Tribes in the region have been fairly quick to recognize stewardship contracting’s advantages to their forest management and employment programs, and it is being used fairly often and apparently quite effectively by tribal contractors, who are often awarded the work on a sole-source basis.

Major Perceived Benefits of Stewardship Contracting for Communities in the Northeast

Getting needed work done on the Forest is clearly seen as the most important benefit of using stewardship end-result contracting, and that recognition has led some community groups to take the lead in pushing their forests to use the stewardship tool. Communities care about “their” Forests and forest health. Job creation, maintenance, and/or replacement – whether in logging, forest products manufacturing, tourism-related businesses, retail and wholesale sales, construction, or services – are widely recognized and desired benefits. Maintenance of water quality, healthy wildlife populations, and other ecosystem services and amenity values are expected outcomes.

6.2 Southeastern Regional Summary

Trends with Stewardship Contracting in the Southeast

This regional summary encapsulates data gathered during the regional team meeting, the case study data collection process, and the survey interviews. The summary highlights trends, successes, and challenges in engaging non-agency stakeholders in Stewardship Contracting in the southeast region.⁶

⁶ This region include National Forests in AL, FL, GA, KS, KY, LA, MS, NC, SC, TN, VA, and TX.

According to the regional team, there appears to be increased understanding of the pros and cons of Stewardship Contracting by agency personnel in the southeast, with some being quite savvy in evaluating when to use a Master Agreement, IRSC, IRTC, or the timber sale. If the timber value is high (as it often is in the southeast), retained receipts can help with high-cost items such as road work. For the agency and many of their partners in the region, wildlife habitat restoration (e.g. longleaf pine) and conservation of threatened and endangered species are major objectives.

If there is a heightened need for engaging communities, leveraging project dollars, and/or achieving multiple objectives, agreements are often favored by the agency. This typically comes with diverse projects often with a strong habitat component and not exclusively with timber related work. During the regional team call, restoration of barrens and savannah habitats were identified, as was water resource restoration. For instance, in Mississippi, stewardship receipts allowed for restoration of a +200 acre lake with a service contract.

Recent years have seen significant increases in the use of stewardship contracting across Region 8 of the National Forest System. For instance, as discussed during the regional team meeting the National Forests of Florida went from one IRSC in 2008 to one or more on all districts, including a stewardship agreement with the National Wild Turkey Federation. This has led the Forests to exploring additional Master Agreements with other NGOs such as The Nature Conservancy, and some state wildlife agencies. The team noted that most non-agency engagement in the region is happening through the use of stewardship agreements. The partnership with non-profits and use of the agreement works best when there are knowledgeable liaisons on both sides of the partnership. Successful examples include non-profit staff with former employment experience with the Forest Service and ability to work with agency and communities alike. The major deterrent of what is generally perceived as a positive trend is the ability for non-profits to generate the match required.

Problems in Engaging Communities in Stewardship Contracting in the Southeast

Wildlife membership organizations often bring with them into a project a great deal of community participation. The Southeast does not generally have trouble engaging communities because the projects are either designed to address a specific community-led idea, e.g. Carr Family Cabin Restoration in Florida, or they initiate much-needed habitat work supported by local communities and governments alike.

The regional team identified that in the past retained receipts were used by the agency for road work, but that now this use is being administratively restricted at the regional level. Agency personnel participating in the call also identified that it takes “three to four months” for projects to be approved through the Regional Office and that they would like to see this delegated down to the Forest Supervisors with the requirement that additional training occurs pertaining to certain issues (e.g. appropriate use of stewardship funds for activities such as roads). The regional team also identified a need for clarification and direction on agreements given that they are so essential for efforts to engage stakeholders and accomplish work.

Successes in Engaging Communities in Stewardship Contracting in the Southeast

The NWTF has played a significant role in engaging communities via their volunteer programs, as well as their ability to work successfully with subcontractors. Once reluctant contractors either learned alongside of NWTF and now bid on their own contracts or prefer to work as a subcontractor to NWTF.

In Kentucky, NWTF has had project work grow exponentially as locals see progress in recovery of forested areas they love. Volunteers are coming out to work and reconnect with the land, according to the local NWTF biologist. This translates to free work and more funding to achieve stewardship objectives. In some instances, highly organized volunteer groups purchase their own equipment to come out and work.

Major Perceived Benefits of Stewardship Contracting in the Southeast

Creating or improving wildlife habitat, such as Wild Turkey and Red Cockaded Woodpecker (RCW) habitat, which is a major priority.

- Flexibility to accomplish a higher volume of more diverse work.
- Biomass from stewardship projects helping to fuel hospitals and schools.
- Stewardship agreements offer effective community outreach.
- More partnerships means more volunteers and lower costs.
- Partners bring in non-federal matching funds on stewardship agreements.

6.3 Southwestern Regional Summary

Trends with Stewardship Contracting in the Southwest

This regional summary encapsulates data gathered during the regional team meeting, the case study data collection process, and the survey interviews. The summary highlights trends, successes, and challenges in engaging non-agency stakeholders in Stewardship Contracting in the southwest region.⁷

By the mid-1990s many forests in the southwest were at, or near, their maximum possible accumulations of biomass. Since the late 1990s these overstocked forests have experienced near continuous drought conditions. Between 1984 and 2012 about 20% of the region's forest cover experienced widespread tree mortality associated with heat and drought stress, bark beetle outbreaks, and severe fires (Allen, 2013). Much of this cover changes happened in recent years, with wildfires of increasing severity and size. This trend is expected to continue.

Restoring resilience in these forest ecosystems is a top priority for federal land managers and the communities living there. Removal of very low value small diameter trees is a central focus. For years, the federal government has subsidized treatments and the need for appropriated funding will continue. However, restoration forestry in the southwest is becoming more cost-effective with the use of Stewardship Contracting.

Regional team members report that treatment costs are coming down in large part due to a mix of factors:

- in some places markets have added value to offset the expense of restoration treatment (via goods-for-services)
- the agency has “found good partners, so we are putting treatments in places we could have never imagined that we would have the funding of wherewithal to deal with.”
- the agency has scaled up to larger projects.

⁷ This region includes National Forests in AZ, CO, KS, NE, NM, NV, OK, and UT.

Six 10-year stewardship contracts, the White Mountain Stewardship Contract and Four Forest Restoration Initiative (4FRI) in Arizona, and four 10-year contracts in Colorado, are prime examples of where this mix of factors has played out. Some of the contracts, years in development, are able to take on more ambitious treatment schedules due to added appropriations they have garnered through the Collaborative Forest Landscape Restoration Program (CFLRP). The proliferation of large long-term projects in the region is identified by regional team members as indicative of increased investments in collaboration. Still, the regional team identified lack of markets for the byproducts of restoration treatment as the most significant barrier to progress.

Originally issued in late 2012, the single largest stewardship contract, the 4FRI project, now rests with an international company based in Oman called Good Earth Energy, with a promise to build an advanced biofuels facility and invest in local saw mills. The Campbell Group, a forestry firm based in Portland, Oregon will conduct operations. The Colorado Front Range project went with a single contractor, albeit local—West Range Reclamation. This essentially puts control of wood flow in the hands of one company.

This growing emphasis on landscape scale efforts comes with tradeoffs for local contractors. The regional team identified that a diversity of opportunities both large and small are likely needed to provide local employment opportunities for small businesses and meet the needs of rural communities. Where feasible many Forest Service personnel report preferring the Integrated Resource Timber Contract (IRTC) as an opportunity to keep revenue on forest units via good-for-services and retained receipts authorities. However, with so much of the product coming from these projects being extremely low value biomass, the onus is on the contractor to find or create market outlets. Where markets are thin or non-existent firewood is a useful stand-by, but inherently limited in scale. Power purchase agreements are still too complex and can be a limiting factor for development of multi-product facilities if energy sales are to be a main product. Others see more success in electricity being a side product, if it is to be sold at all, with the focus on densified biomass products, cross laminated timber products, advanced liquid fuels, and other cutting edge technologies. What is clear is that the sheer scale of biomass removal, with 4FRI for instance set to remove over 12 million tons, and costs involved would benefit from new markets.

In addition to innovations in the scale of contracts, tweaks to how the Forest Service budgets may offer opportunities to channel resources to stewardship projects. The Integrated Resource Restoration (IRR) pilot budgeting effort in Forest Service regions 1, 3, and 4 integrates restoration-related line items—wildlife, timber and watersheds into one budget line, seeking efficiencies for effective stewardship and reinforcing an all lands approach. Stewardship Contracting appears to be the main tool being used to accomplish work through IRR budgeting.

Use of the Master Agreement with high-capacity non-profits is expanding. Following a trend of successes begun by the NWTF, more non-profits (e.g. The Mule Deer Foundation) are working with the agencies to implement stewardship agreements. While it can be challenging for non-profits to continually put up the required match, the use of the Master Agreement with high-capacity non-profits is expanding.

Problems in Engaging Communities in Stewardship Contracting in the Southwest

Smaller community contractors are feeling left behind as projects scale up to meet agency need to reduce costs. Similarly, as utilization opportunities seek to achieve economies of scale, opportunities to support a diversity of distributed integrated biomass utilization businesses that could benefit small local communities

may be overlooked. Professionalized collaboration by those who are paid to participate can disadvantage community members who do so in their off hours.

Forest Service participants in the regional team meeting suggested that training and technical assistance opportunities need to be expanded. Participants also drew a need to build ties between the lessons learned through collaborative stewardship via the CFLR program and Stewardship Contracting. Regional participants suggest that a natural tie between current CFLR projects and the region's Stewardship Contracting efforts is the critical leadership role line officers play, with continuity between staff transitions being very important. Training is viewed as critical, as is the need to consolidate policies across the region's Forests related to the use of designation by description and designation by prescription.

Successes in Engaging Communities in Stewardship Contracting in the Southwest

The southwest is benefiting from years (some beginning in the mid-1990s) of deep collaboration. Examples include 4FRI, the Pagosa Springs Project, BLM's Mt. Henry project in Utah building from a NWTF project with the Fishlake and Dixie National Forests, New Mexico's Collaborative Restoration work led by The Nature Conservancy, and others. These collaborative endeavors are leading to "community" designed prescriptions that range from basal area to efforts to develop common understanding of the appropriate scale of new utilization infrastructure.

The NWTF and Mule Deer Foundation are playing an enormous role in engaging communities through volunteering opportunities as well as bringing contractors along. Many once-reluctant contractors either have learned alongside of NWTF and now bid on their own or prefer to work with NWTF as subcontractors. The Monroe Mountain Project on Utah's Fishlake NF, which is now melding into BLM Utah's Mt. Henry project, has brought a contractor up to speed that had formerly not worked in forestry. This happened as a result of the middleman role that NWTF and Mule Deer Foundation can play.

Major Perceived Benefits in Engaging Communities in Stewardship Contracting in the Southwest

- Big projects attract more professional collaborative engagement.
- More partnerships means more volunteers and the costs go down.
- Partners under agreements bring in non-federal matching funds.
- Markets to add value to pay for extraction and transportation costs.
- Partnerships are putting treatments in places where such activity previously was a "non-starter."
- Achieve economies of scale while balancing the need for new industry and engaging existing industry.

6.4 Northern Rockies Regional Summary

Trends with Stewardship Contracting in the Northern Rockies

This regional summary encapsulates data gathered during the regional team meeting, the case study data collection process, and the survey interviews. The summary highlights trends, successes, and challenges in engaging non-agency stakeholders in Stewardship Contracting in the Northern Rockies region.⁸

⁸ This region includes National Forests in ID, MT, ND, SD, and WY.

Through annual in-depth surveys of projects implemented with stewardship end-result contracting since 2006, the regional monitoring team has documented a growing trend toward the implementation of smaller scale projects with a more limited range of activities than were pursued in the earlier years. Hazardous fuels reduction in the WUI predominates, along with forest stand improvement/restoration and associated work such as road maintenance and weed control. Community involvement tends to be similarly narrowing, with the most reported activities being one-on-one discussions with neighboring landowners and fire interests, meetings with homeowners' associations, presentations to local government, and public and/or contractor "show me" field tours. The regional team spent considerable time discussing that much of the public interactions in this region occurs during project NEPA scoping, and environmental organizations' participation is mainly through the formal NEPA process. There are some broader scale projects, of course, particularly in areas involved in or seeking to qualify for CFLRP participation.

The use of stewardship agreements has declined, at least temporarily, in the Northern Rockies, and stewardship contracting is still most frequently defined by agency participants as "goods-for-services."

Problems in Engaging Communities in Stewardship Contracting in the Northern Rockies

Narrowly focused projects, such as hazardous fuels reduction in the WUI, are individually of concern to a limited number of stakeholders, and many of the associated issues – access across private lands, mitigation of dust and noise, post-treatment visual appearances, etc. – can be resolved through minor operational adjustments. When project scope widens, however, particularly when it includes activities in the "middle ground" beyond the WUI, more issues are likely to emerge (recreation, water quality, wildlife habitat, etc.) along with an increased level of public interest. Then the major factors limiting active community engagement are usually: (1) the limited time that Forest Service personnel are able to devote to the effort, (2) the absence of an existing, facilitated collaborative group/process in the community, and/or (3) the reluctance of concerned stakeholders to participate if they feel that appeals or litigation from non-participants will occur in any event.

Successes in Engaging Communities in Stewardship Contracting in the Northern Rockies

It helps to have a "launching pad" for collaborative efforts. Working with an existing, well regarded community group within which a broad range of local interests is represented can significantly reduce the time and effort needed to get started. "Finding where the light is on" – where agency personnel and community leaders are creatively, effectively, and enthusiastically working together on Stewardship Contracting projects is also important. Those emerging centers of excellence need to be supported and encouraged, and their leaders' skills and knowledge tapped to motivate and enlighten other communities. For communities with limited local resources, having the training and technical assistance offered by regional or national NGOs can be important. Sustainable Northwest has been particularly effective in its work in this region. Most communities start with small, relatively non-controversial on-the-ground projects and, as success is demonstrated, increase the size and scope of their efforts. This involves continuing outreach and information sharing with concerned stakeholders. Projects often have a monitoring program involving citizen volunteers. Some communities effectively involve local schools in monitoring.

Major Perceived Benefits of Stewardship Contracting in the Northern Rockies

Getting needed work done on the Forest consistently is seen as the most important benefit of using stewardship end-result contracting. Communities care about "their" forests and forest health. Forest-related employment – be it in logging, forest products manufacturing, tourism-related businesses, retail and wholesale

sales, or construction – is a widely recognized benefit. Maintenance of water quality, healthy wildlife populations, and other ecosystem services and amenity values are expected. Over the long term, more positive relationships between the community and the Forest Service are built and trust increases. New or better relationships among various community members and groups may also be fostered.

6.5 Pacific Coast Regional Summary

This regional summary encapsulates data gathered during the regional team meeting, the case study data collection process, and the survey interviews. The summary highlights trends, successes, and challenges in engaging non-agency stakeholders in Stewardship Contracting in the Pacific Coast region.⁹

Trends with Stewardship Contracting along the Pacific Coast

In general, the 2013 stewardship monitoring program data paints a positive picture of stewardship projects in the region. Among the regional trends identified through the interview process, case studies, and by Regional Team members were the successful use of a suite of federal programs and initiatives used to achieve landscape restoration; the importance of retained receipts, and agency and community capacity; the success of stewardship agreements in garnering additional funding for project implementation; and the complex issues surrounding contract packaging.

Problems in Engaging Communities along the Pacific Coast

Over the years, agency and community capacity for collaboration have been documented as critical pinch points. With furloughs and the government shut down, this year has been no exception. The Regional Team emphasized concern about agency capacity (primarily related to reduced staffing levels) as one of the biggest issues in moving stewardship projects, and collaborative priorities in general, forward. Capacity and time for partners and agency personnel to work together has been critical to most of the successful projects in the region. Further exacerbating the staffing issue, USFS Region 5 expects post-fire planning and assessment needs to impact staff throughout the Region over the coming year.

Measuring and communicating local economic benefits, while challenging to quantify, is something that both the interviewees and Regional Team identified as a need to better engage communities. The collaborative groups in the Siuslaw Basin are working to monitor local economic impacts, but they need help marketing the message more broadly. The Malheur National Forest was identified as a potential opportunity for future economic impact monitoring as it is just beginning a 10-year stewardship contract. Local jobs and economic benefits are very important outcomes to communities, and are identified as a potentially effective way to engage people in stewardship projects.

The complexities of contract packaging and offering practices are an area where additional training and networking spread innovative ideas would prove useful. Both the perceived complexity of stewardship proposals and bidding, and the fact that often stewardship projects integrate different kinds of work are barriers to *some* contractors in the region. For contractors whose business model relies on specialization, stewardship projects often require them to build a network of subcontractors adding to the administration of the project. For others, stewardship projects have been a way to create a niche business model catering to the diversity of local stewardship project needs.

⁹ This region includes National Forests in AK, WA, OR, and CA.

Issues such as the timing of the project offer (often coinciding with the 4th quarter) present a challenge as the proposal process can be perceived as burdensome during an already busy time of year. Additionally, the Regional Team observed that *some* contractors who were happy to have stewardship projects during the recession, are now pushing back against the integrated nature of stewardship contracts preferring to specialize their operations now that the market is seeing some recovery. These findings are variable around the region, and are highly dependent on the local context.

Successes in Engaging Communities along the Pacific Coast

Opportunities for peer-to-peer networking among people working on landscape restoration have been cited as a successful regional strategy. Many of the National Forests and BLM offices throughout the Pacific West have had highly successful stewardship projects. In order to take their work to the next level, practitioners need forums to share their strategies and learning with other people.

In some locales, communities and their agency partners are bringing together a variety of funding programs and federally supported initiatives and using stewardship authorities to deploy landscape scale strategies. Synergy with programs like the Collaborative Forest Landscape Restoration Program, The Nature Conservancy's Fire Learning Network (Promoting Ecosystem Resiliency through Collaboration) and the American Recovery and Reinvestment Act have all been used in concert with stewardship authorities to achieve landscape restoration and community resilience goals in the region.

Collaborative group representatives in the Pacific West consistently report relying on stewardship authorities to achieve the restoration outcomes they are drawn together to work on. Stewardship authorities have often been springboards for these groups, helping demonstrate democratic public lands management. Retained receipts often play an important role in bringing diverse interests together and keeping collaborators engaged, and many groups have developed methods for collaboratively determining how to reinvest retained receipts in projects that are locally prioritized.

Given the challenging budget climate, stewardship agreements are one strategy that high capacity collaborative partnerships are using to attract funding partners and get work accomplished. For example, the Ashland Forest Resiliency project, to which the City of Ashland has committed \$175,000 each year for the next two years, is engaging a wide variety of partners and creating a culture of shared responsibility around stewarding Ashland's municipal watershed.

Major Perceived Benefits of Stewardship Contracting along the Pacific Coast

In the Pacific West, best value contracting and the ability to locally invest retained receipts were identified as major benefits by Regional Team members. Local jobs and funding to invest in projects that the community cares about were seen as powerful motivators. Some specific successes team members shared that they felt contributed to community benefits also included collaborative group involvement in defining "local" for best value purposes, partnership funding through stewardship agreements, and framing projects around "ecosystem services" benefits.

5.0 Recommended Actions for Improvement

The goal of this Programmatic Monitoring effort is to better understand: (1) the predominant problems in

engaging communities in Stewardship Contracting and suggestions for improvement, (2) successful models for engaging communities in Forest Service Stewardship Contracting and suggestions for replication, and (3) the major perceived benefits of stewardship contracts to communities.

The case studies and regional summaries illuminate major trends, challenges, successes, and opportunities to engage communities and other stakeholders in stewardship contracting. These elements of the monitoring program informed a national virtual meeting organized by the programmatic monitoring team in which recommendations surfacing during the regional team calls were reviewed. During the national virtual meeting a prioritization exercise was used to foster discussion and inform the list of recommendations. This exercise involved 11 Forest Service representatives, one BLM representative, six representatives from NGOs focused on a local area (e.g. a single National Forest or county), four representatives from NGOs focused on regional issues, three representatives from NGOs focused on work nationally, three state agency representatives, two people from academia, and two consultants working with stewardship groups or CFLR projects. The recommendations which appear here are in a generally prioritized order according to how often the issue surfaced during the various phases of the monitoring program, and also according to generally how important participants in the monitoring program felt the recommendation to be.

Listed below are nine constructive areas for improvement for the Forest Service. These steps can be taken incrementally by working with partners to help implement these recommendations. Doing so will help increase the use of Stewardship Contracting across the National Forest System, and thus the pace and scale of restoration of federal lands.

These recommendations were identified and refined during the regional meetings, the national virtual meeting, case study research, and in survey interviews, with many data points triangulating. For the most part these recommendations apply nationally, but we also indicate where certain issues surface more regularly in specific regions.

Recommendation 1

Substantially increase training and technical assistance. This is particularly necessary to take advantage of the positive growth in the use of stewardship agreements. Training might include: on-line, telephone conversations, site visits, job “shadowing,” on-the-job, or classroom training.

- Assistance is needed in all areas. As a monitoring team member put it, “Training has focused on how to fill in the blanks vs. how to deal with a key issue, and when staff members face a problem, there isn’t a pipeline of information for them to access.”
- Identify, encourage, and reward stewardship “champions” – individuals from throughout the Forest Service (or recently retired personnel) who understand and are enthusiastic about stewardship contracting, are

Recommendation 2

experienced and effective planners and/or implementers of stewardship contracts and agreements, and are willing and capable of sharing their expertise. Some areas in which their help is particularly needed include: initiating or improving community involvement efforts, planning a phased transition from small projects of limited scope to larger and more complex (landscape) projects, and designing comprehensive projects that take the best advantage of local community capacity.

- In addition, funds should be made available competitively, by region, to experienced NGOs, educational institutions, and other capable entities to enable them to provide needed assistance to Forest Service field personnel, communities, contractors, and others to help them effectively develop and use stewardship projects.
- Provide more in-depth and frequent training for agreements staff and offer more direction in the handbook to agreements staff for appropriate use of Master Agreements. Attention needs to be given to clarifying matching requirements for NGOs (and other possible agreement partners) and what is considered appropriate match (salary, in-kind, etc.) as interpretations vary considerably from region to region and Forest to Forest.

Provide opportunities for networking and cross-pollination between people working on a variety of landscape restoration initiatives.

- While budget constraints may limit in-person interactions across a wide geography, peer-to-peer learning is one of the most effective ways to disseminate innovative practices.
- Opportunities to engage agency contracting specialists, CFLR program participants, collaborative groups, and any number of other players would help move best practices beyond single Forests, Offices, or Regions.
- Build ties between the lessons learned through collaborative stewardship via the CFLR program and Stewardship Contracting projects (possibly the next iteration of future CFLR projects), highlighting and rewarding high-

Recommendation 3

performing and capable line officers adept at collaborative stewardship—their leadership is critical.

- Supporting networking opportunities and joint training sessions for stewardship project participants, and other landscape-scale initiatives, could help grow and spread success.
- “Lessons learned” need to be more widely shared, for instance it would likely be beneficial for collaborative groups to learn from each other related to project level monitoring frameworks they have found to be successful.
- Seek partnership opportunities with NGOs to facilitate stewardship contracting networking and shared learning opportunities, in person and at a regional level if possible. Encourage cross-regional pollination of ideas and successes.

Remove or reduce administrative constraints which have limited the full use of stewardship authorities.

- Delegate authority to approve stewardship contracting projects to the responsible Forest Supervisors.
- Explore ways to accomplish more recreation-related projects embedded within natural resource stewardship, particularly near Forest-dependent communities where tourism and outdoor recreation are major elements of the local economy.
- Give line officers maximum flexibility in using all the stewardship contracting authorities. For example, the authorizing legislation provides the authority to use designation by prescription (DxP), but the agency has put additional sideboards on that authority which require the use of one national level contract provision – that the contractor pre-mark all of the selected leave trees. Agency “policy” appears to vary from region to region. One alternative suggested by the Northern Rockies regional team could be to require a sample mark in a defined area to demonstrate the contractors’ understanding of the prescription and their capacity to effectively implement a DxP operation. This would save time and money, which

	<p>is essential to expand the pace and scope of restoration.</p>
<p>Recommendation 4</p>	<p>Continue to encourage and invest in landscape scale restoration, but balance the movement toward larger contracts with efforts to maintain a diversity of projects and opportunities for small businesses.</p> <p><i>This recommendation surfaced specifically from the Southwest region.</i></p>
<p>Recommendation 5</p>	<p>Engage with a diversity of organizations and partners to develop Stewardship Agreements bringing additional funds to restoration. Stewardships Agreements have been successful tools for bringing private funds to public lands restoration. Consider agreements with local governments and state agencies in addition to what is currently a fairly narrow set of agreement holders.</p>
<p>Recommendation 6</p>	<p>Avoid (if possible) requiring companies to bond each project and use one bond for the duration of a contract.</p> <p><i>This recommendation surfaced in the southwest region in 2013 but has also surfaced in the Northern Rockies and Pacific Coast regions in previous years.</i></p>
<p>Recommendation 7</p>	<p>Consider ways to make best value criteria for bid selection more transparent.</p> <p><i>This recommendation surface in the Southwest region.</i></p>
<p>Recommendation 8</p>	<p>Evaluate the effects of including saw log volume from stewardship projects in Small Business Administration set-aside calculations to determine the relevance of such an approach for retaining local mill infrastructure and broader economic implications.</p> <p><i>This recommendation surfaced in the Northern Rockies region.</i></p>
<p>Recommendation 9</p>	<p>Invest in collaboration and community engagement as a normal course of business.</p>

APPENDIX

Appendix A: Data Tables

Table 1	Respondents' definitions of stewardship contracting.
Table 2	Changed views of stewardship contracting since involvement in project.
Table 3	How respondent's views changed.
Table 4	Entity which initiated the stewardship contracting project.
Table 5	Outreach methods used to involve local communities.
Table 6	Amount of time entities participate in projects at various scales.
Table 7	Definition of "local" community.
Table 8	Role of communities in stewardship projects.
Table 9	How respondents personally first became involved in stewardship contracts.
Table 10	Why respondents became involved in stewardship projects.
Table 11	Respondent's definition of collaboration.
Table 12	Degree to which projects are collaborative.
Table 13	Resources needed for community participation
Table 14	Lessons learned about community involvement.
Table 15	Importance of benefits to local communities from stewardship contracts
Table 16	Specific project outcomes cited by respondents.
Table 17	Support for stewardship contracting projects in local communities.
Table 18	Support for stewardship contracting projects within the agency.
Table 19	Entities identified as missing from the project
Table 20	Respondents view on participating in another stewardship contracting project.

Table 1. Respondents' definitions of stewardship contracting.						
	Total (n=127)		Agency (n=56)		Non-agency (n=71)	
Goods for services	63	50%	39	70%	24	34%
Getting work done on the ground	54	43%	24	43%	30	42%
Community collaboration/ benefits	31	24%	9	16%	22	31%
Contracting mechanism/tool	19	15%	8	14%	11	15%
Very positive tool	5	4%	2	4%	3	4%
No answer	3	2%	1	2%	2	3%
Other	15	12%	1	2%	14	20%

Table 2. Changed views of stewardship contracting since involvement in project.

	Total (n=127)		Agency (n=56)		Non-agency (n=71)	
Yes	40	31%	27	48%	13	18%
No	78	61%	27	48%	51	72%
Maybe	1	1%	1	2%	0	0%
Don't know	8	6%	1	2%	7	10%

Table 3. How respondents views changed.

	Total (n=40)		Agency (n=27)		Non-agency (n=13)	
Understand better	17	43%	6	22%	11	85%
More positive	16	40%	11	41%	5	38%
More complicated	4	10%	4	15%	0	0%
Less optimistic	3	8%	1	4%	1	8%
About collaboration	3	8%	2	7%	1	8%
Required by agency	2	5%	2	7%	0	0%
Way to get work done	2	5%	1	4%	1	8%
Other	2	5%	1	4%	1	8%

Table 4. Entity which initiated the project. (n=67 projects)

Agency	37	55%
Joint	2	3%
Non-agency	1	1.5%
Don't know	1	1.5%
Agency or non-agency	13	19%
Agency or joint	10	15%
Non-agency or joint	2	3%
Agency or non-agency or joint	1	1.5%

Table 5. Outreach methods used.		
Personal contacts	52	78%
Field tours	49	73%
Direct mail	48	72%
Collaborative process meetings	48	72%
Media	46	69%
Email	43	64%
Traditional public meetings	40	60%
Presentations to existing groups	28	42%
Presentations to other organizations	11	16%
Website	7	10%
Workshops	7	10%
Meetings with local governments	6	9%
SOPA	3	4%
Request for bids	2	3%
Tribe did outreach	1	1%
Partners did outreach	1	1%

Table 6. Amount of time entities are involved at various scales.										
	Involved		Local		State		Regional		National	
USFS	67	100%	65	97%	12	18%	25	37%	5	8%
Project contractors	58	87%	57	98%	13	22%	3	5%	4	7%
Environmental interests	51	76%	45	88%	27	53%	15	29%	7	14%
State	47	70%	34	72%	28	60%	5	11%		
Local government	44	66%	44	100%	4	9%	1	2%	1	2%
Community business	43	64%	43	100%	4	9%				
Wildlife and fisheries	43	64%	41	95%	15	35%	9	21%	6	14%
Adjacent landowners	40	60%	40	100%	3	8%	9	23%	1	3%
Recreation	39	58%	38	57%	13	17%	2	3%	2	3%
Fire	36	54%	35	97%	9	33%	5	5%	1	5%
Tribes	35	52%	35	100%	1	3%	1	3%		
Other feds	34	51%	26	77%	9	27%	7	21%	3	9%
Education	24	36%	23	96%	9	38%				
Right to access	17	25%	17	100%	1	6%				
BLM	8	12%	8	100%	1	13%				
Other	13	19%	12	92%	1	8%				

Table 7. Definition of local community.

	Total (n=156)		Agency		Non-agency	
Counties around the forest	63	40%	34	52%	29	32%
Communities/towns around the forest	47	30%	19	29%	28	31%
Whole state/large region of the state	23	15%	3	5%	20	22%
Adjacent lanowners/neighbors	14	9%	9	14%	5	6%
Forest users	10	6%	4	6%	6	7%
Broad audience/anyone interested	8	5%	2	3%	6	7%
Tribe/reservation	6	4%	4	6%	2	2%
Watershed/valley	4	3%	0	0%	4	4%
National forest	4	3%	2	3%	2	2%
Collaborative group	4	3%	0	0%	4	4%
Contractors	4	3%	1	2%	3	3%
Local economic interests	4	3%	1	2%	3	3%
Local government	3	2%	3	5%	0	0%
People affected	2	1%	1	2%	1	1%
Environmental groups/NGO's	2	1%	0	0%	2	2%
All partner groups	2	1%	0	0%	2	2%
Ranchers	1	1%	0	0%	1	1%
Other agencies	1	1%	1	2%	0	0%
Non-agency stakeholders	1	1%	0	0%	1	1%
Anyone within the stewardship area	1	1%	1	2%	0	0%
Everyone in ecoregion	1	1%	0	0%	1	1%
Parties interested in timber	1	1%	1	2%	0	0%
All Americans	1	1%	0	0%	1	1%
Participants in NEPA/scoping	1	1%	0	0%	1	1%

Table 8. Role of communities in stewardship projects.

Comments and recommendations	55	82%
Becoming informed	52	78%
Planning and design	49	73%
Representation	49	73%
implementation	47	70%
Public outreach	41	61%
Technical information	38	57%
Development of alternatives	36	54%
Monitoring	36	54%
NEPA analysis	35	52%
Funding	27	40%
Other	4	6%

Table 9. How respondents first became involved in a stewardship project.

	Total (n=156)		Agency		Non-agency	
Job	81	52%	62	94%	19	21%
Role in community/organization	20	13%	0	0%	20	22%
Business/bid on project	20	13%	0	0%	20	22%
To solve a problem	9	6%	1	2%	8	9%
Previous experience	6	4%	0	0%	6	7%
Invited by agency	6	4%	0	0%	6	7%
EIS scoping	5	3%	0	0%	5	6%
Was told to	3	2%	3	5%	0	0%
Approached agency with idea	2	1%	0	0%	2	2%
Live here/own property	1	1%	0	0%	1	1%
Other	3	2%	0	0%	3	3%

Table 10. Reason respondents personally became involved.

	Total		Agency (n=66)		Non-agency (n=90)	
Job	57	86%	44	67%	13	14%
To get work done	36	55%	13	20%	23	26%
Interested in SC/collaboration	19	29%	4	6%	15	17%
Business/contract	18	27%	0	0%	18	20%
Role of organization	12	18%	0	0%	12	13%
Agency asked	6	9%	2	3%	4	4%
Live here	1	2%	0	0%	1	1%
Role in community	1	2%	0	0%	1	1%
Other	6	9%	3	5%	3	3%

Table 11. Respondents definition of collaboration.

	Total	Agency (n=56)		Non-agency (n=71)	
Working with others	58	46%	23	41%	49%
Achieving a common goal	30	24%	16	29%	20%
Long term relationships	18	14%	5	9%	18%
Diverse people and interests	15	12%	10	18%	7%
Talking/discussion	11	9%	7	13%	6%
Increased involvement/decision making	12	9%	5	9%	10%
Public input/comment	7	6%	6	11%	1%
Public involvement	6	5%	2	4%	6%
Meetings	5	4%	3	5%	3%
Working with other agencies	5	4%	2	4%	4%
Listening	2	2%	0	0%	3%
Negative on collaboration	1	1%	1	2%	0%
No answer	7	6%	2	4%	7%
Other:	8	6%	2	4%	8%
Consensus	2	2%	1	2%	1%
Degree to which project design is shaped by non-agency	1	1%	1	2%	0%
Science based	1	1%	0	0%	1%
Not led by agency	1	1%	0	0%	1%
Communication	1	1%	0	0%	1%
Existing collaborative group	1	1%	0	0%	1%
Antidemocratic	1	1%	0	0%	1%

Table 12. Degree to which projects are collaborative.

	Total (n=156)		Agency		Non-agency	
Very collaborative (1)	41	26%	14	0.212	27	30%
Very collaborative (2)	48	31%	23	0.348	25	28%
Somewhat collaborative (3)	32	21%	13	0.197	19	21%
Not collaborative (4)	10	6%	7	0.106	3	3%
Not collaborative (5)	11	7%	6	0.091	5	6%
Don't know (6)	14	9%	2	0.030	8	9%

Table 13. Resources needed for respondents to participate. (n=67 projects)

	Needed		Received	
Technical	20	61%	16	80%
Financial	15	45%	10	67%
Training	8	24%	2	25%
In kind	8	24%	8	100%
Other:	7	21%	4	12%
Public engagement capacity	2	6%	1	50%
Paid facilitator	2	6%	2	100%
Travel money	1	3%	0	0%
Time	1	3%	0	0%
Documents/copies	1	3%	1	100%

Table 14. Lessons learned about community involvement.

	Total (n=111)		Agency (n=37)		Non-agency (n=74)	
Start collaboration early in project	13	12%	8	22%	5	7%
Do it more/critical to success	8	7%	1	3%	7	9%
Be inclusive	8	7%	0	0%	8	11%
Communicate	8	7%	4	11%	4	5%
Takes a lot of time	8	7%	3	8%	5	7%
Allows collaborative learning	8	7%	3	8%	5	7%
Builds trust/support	8	7%	1	3%	7	9%
Be open minded	7	6%	2	5%	5	7%
People are interested	7	6%	2	5%	5	7%
Needs to be ongoing	6	5%	1	3%	5	7%
Keep on pushing	5	5%	2	5%	3	4%
Patience	4	4%	1	3%	3	4%
Hard to keep people engaged	4	4%	3	8%	1	1%
Lets us show what we are doing	3	3%	1	3%	2	3%
Need local people	3	3%	2	5%	1	1%
First hand experience is important	3	3%	3	8%	0	0%
Interagency partnerships important	2	2%	1	3%	1	1%
Don't make rush decisions	2	2%	1	3%	1	1%
Educate people	2	2%	2	5%	0	0%
Be honest/respectful	1	1%	1	3%	0	0%
Having multiple project objectives helps	1	1%	1	3%	0	0%
Long term relationships help	1	1%	0	0%	1	1%
Use common sense	1	1%	0	0%	1	1%
Variable depending on project/community	1	1%	1	3%	0	0%
Be thorough/complete	1	1%	0	0%	1	1%
Give back/relate to local community	1	1%	1	3%	0	0%
Use media	1	1%	0	0%	1	1%
Other:	13	12%	3	8%	10	14%
Opened doors for more fuel treatments	1	1%	1	3%	0	0%
Need examples for people to see	1	1%	1	3%	0	0%
Need better up front planning	1	1%	1	3%	0	0%
Agency easy to work with	1	1%	0	0%	1	1%
Forest doing the right thing	1	1%	0	0%	1	1%
Pick right people to do the job	1	1%	0	0%	1	1%
Keep pursuing balance	1	1%	0	0%	1	1%

With a common goal conflicting views become secondary	1	1%	0	0%	1	1%
Picking local contractors not adhered to	1	1%	0	0%	1	1%
Degree of influence not a level playing field	1	1%	0	0%	1	1%
We have lots of common goals	1	1%	0	0%	1	1%
Learn something on every project	1	1%	0	0%	1	1%
Litigation has rescued participation and support from local communities	1	1%	0	0%	1	1%

Table 15. Importance of benefits to local communities from stewardship contracts. (1 =very important; 5 = Not important at all; 6 = Don't know)													
	1		2		3		4		5		6		Mean
Specific project outcomes	93	60%	27	17%	5	3%	3	2%	3	2%	25	16%	1.44
On the ground wok	67	43%	39	25%	22	14%	8	5%	10	6%	10	6%	2.01
Use local contractors	70	45%	34	22%	21	13%	10	6%	11	7%	10	6%	2.03
More local jobs	59	38%	39	25%	26	17%	11	7%	9	6%	12	8%	2.11
Other economic benefits	37	24%	38	24%	25	16%	10	6%	4	3%	42	27%	2.18
Improved public trust	45	29%	38	24%	31	20%	11	7%	9	6%	22	14%	2.26
Improved efficiency	47	30%	42	27%	25	16%	14	9%	11	7%	17	11%	2.28
Increased collaboration	50	32%	34	22%	29	19%	17	11%	11	7%	18	12%	2.33

Table 16. Specific project outcomes.
(n=67 projects)

Habitat improvement	32	48%
Restoration	32	48%
Fuels/fire reduction	31	46%
Thinning	21	31%
Road reconstruction/maintenance/closure	16	24%
Timber/salvage	12	18%
Forest/rangeland health	10	15%
Forest products/wood to local mill	10	15%
Economic benefits/\$ for community	9	13%
Provide local work	7	10%
Brush/slash removal	5	7%
Retain receipts	5	7%
Wetlands/ rivers/streams	5	7%
Forest improvement(TSI)	4	6%
Management	4	6%
Safety	4	6%
Trust/collaboration	3	4%
Complete project/foundation for future	3	4%
Silviculture	3	4%
Tree planting	3	4%
Invasives/weeds/insects	2	3%
Trails	2	3%
Building removal	2	3%
Snag creation	2	3%
Historical preservation	1	1%
Public education	1	1%
Biomass	1	1%
Recreation	1	1%
Endangered species	1	1%
Scenic vistas	1	1%
Site preparation	1	1%
Cost effectiveness	1	1%
Collaborative group maintenance	1	1%
Understanding among diverse groups	1	1%
Addition SC projects	1	1%
Feedback on further programs	1	1%

Table 17. Support for stewardship contracting projects within local communities.

	Total (n=156)	Agency		Non-agency	
Widely supported	88	56%	34	52%	60%
Somewhat supported	50	32%	27	41%	26%
Indifferent	10	6%	4	6%	7%
Opposed	1	1%	1	2%	0%
Don't know	7	4%	0	0%	8%

Table 18. Support for stewardship contracting projects within the agency.

	Total (n=156)	Agency		Non-agency	
Widely supported	107	69%	46	70%	68%
Somewhat supported	33	21%	11	17%	24%
Indifferent	7	4%	4	6%	3%
Generally unaware	1	1%	1	2%	0%
Opposed	4	3%	4	6%	0%
Don't know	4	3%	0	0%	4%

Table 19. Entities identified as missing from the project.

Project contractors	10	37%
Adjacent landowners	8	30%
Local government	7	26%
Community business interests	7	26%
Tribal interests	6	22%
Recreation interests	6	22%
State agencies	5	19%
Environmental interests	4	15%
Fire interests	4	15%
Wildlife and fisheries	4	15%
USFS (regional and national)	3	11%
Education interests	3	11%
Right to access groups	3	11%
BLM	1	4%
Other federal agencies	1	4%

Table 20. Respondents view of participating in another stewardship project.

	Total (n=128)		Agency		Non-agency	
Yes	121	95%	52	91%	69	97%
No	2	2%	2	4%	0	0%
Maybe	4	3%	3	5%	1	1%
Don't know	1	1%	0	0%	1	1%
If yes, why:						
It's the way to do business/part of the mission						
	8	7%	4	7%	4	6%
If it's the right circumstances						
	8	7%	3	5%	5	7%
Stewardship contracts work						
	7	6%	2	4%	5	7%
Community involvement						
	6	5%	3	5%	3	4%
Good for business						
	5	4%	0	0%	5	7%
Job						
	4	3%	2	4%	2	3%
Keeps things local						
	3	2%	3	5%	0	0%
Just getting started						
	2	2%	2	4%	0	0%
It is flexible						
	2	2%	1	2%	1	1%
useful on a small budget						
	1	1%	1	2%	0	0%
It keeps growing						
	1	1%	0	0%	1	1%
It is open/fair						
	1	1%	0	0%	1	1%
Other						
	15	12%	3	5%	12	17%
No response						
	19	16%	6	11%	13	18%
If no, why not:						
Too much time/too complicated/too involved						
	1	50%	1		0	
If it's the right circumstances						
	1	50%	1		0	
If maybe or don't know:						
Already doing more						
	2	40%	2		0	
Too early to say						
	1	20%	1		0	
Waste of time						
	1	20%	0		1	

Appendix B: Survey Instrument

OMB # 0596-0201
Expiration Date: July 31, 2016

Survey Instrument

[Note: This document will be mailed to potential interviewees and will also be used as a transcript for interviewers conducting the telephone survey.]

Date:

BLM/USFS:

Region/State:

Project:

Who:

Agency person

Community member

Contractor

Other:

State agency

NGO _____

FY2013 PROGRAMMATIC MONITORING:

The Role of Local Communities in Development of Stewardship Contracting Agreements or Contract Plans

Participants: When Congress authorized the Forest Service (FS) and the Bureau of Land Management (BLM) to use stewardship contracting, it also required that the agencies provide an annual report on the role of local communities in the development of agreements or contract plans under that authority. In the preparation of this report, a stratified random sample among existing stewardship contracting projects is surveyed each year, and the _____ stewardship contracting project you are involved in was one of those selected for review. We anticipate that your involvement in this telephone survey/interview will take no longer than 30-minutes.

A sample survey form has been included with this e-mail, so that you may have the opportunity to review the questions prior to the telephone survey/interview. Plans are to conduct the telephone surveys/interviews from [*insert Month xx, year xxxxx through Month xx, year xxxxx*].

The Pinchot Institute for Conservation is coordinating this study under contract with the Forest Service and the Bureau of Land Management. Your name will not be associated with the interviewer's notes from the phone survey and the names of those interviewed will not be retained. The information collected in this interview will be analyzed and used by both the Forest Service and Bureau of Land Management to inform the agencies' yearly report to Congress on stewardship contracting implementation. The survey responses will not be shared with other organizations inside and outside the government but the results of the analysis of the survey responses, through its inclusion in the Forest Service's and Bureau of Land Management's reports to Congress, will be available for use by organizations both inside and outside the government.

Participating in the interview is completely voluntary. Your participation assumes your understanding and acceptance of this voluntary agreement. Your decision to participate or not will not affect your current or future relations with the Forest Service, Bureau of Land Management, the Pinchot Institute for Conservation or _____(*insert local/regional subcontractor name here*).

On behalf of the Forest Service and Bureau of Land Management, the Pinchot Institute would like to thank you in advance for your thoughtful and candid responses to the following questions related to stewardship contracting in your community.

You are/have been involved in the _____ stewardship contracting project.

1a. If someone asked you to explain stewardship contracting, what would you say? Please check all that apply.

- A new contracting mechanism
- Goods for services
- A way to get work done on the ground
- Collaboration with local communities
- Benefits to local communities
- Other. *Please specify.* _____

1b. Has your view of stewardship contracting changed since you became involved in this project?

- Yes No Maybe Don't know

If yes, how has it changed? Please check all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Perceive stewardship contracting to be more complicated | <input type="checkbox"/> Stewardship contracting is too bureaucratic |
| <input type="checkbox"/> More positive and encouraged about stewardship contracting | <input type="checkbox"/> Believe stewardship contracting is way to get work done |
| <input type="checkbox"/> Less optimistic about stewardship contracting | <input type="checkbox"/> Perceive local benefits |
| <input type="checkbox"/> Positive about community collaboration | <input type="checkbox"/> Didn't know anything before |
| <input type="checkbox"/> Understand it better | <input type="checkbox"/> Other. <i>Please specify.</i> _____ |
| <input type="checkbox"/> View stewardship contracting as required by the agency | |

I want to ask about community involvement in your project.

2. Who initiated the project? Agency Non-agency Joint Don't know

3. Who has been involved? _____

	<i>Check all that apply.</i>	<i>What is the scale of involvement</i>			
		Local	State	Regional	National
USDA Forest Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bureau of Land Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Federal agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tribal interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local governmental interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community business interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental conservation groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fire interests/organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adjacent landowners/residents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recreation interests/users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Educators/educational interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wildlife and fisheries groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right to access groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project contractors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Please specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4a. What is/was the role of the local community in the _____ stewardship contracting project?

	<i>Check all that apply.</i>
Planning and design.	<input type="checkbox"/>
Development of alternatives.	<input type="checkbox"/>
Comments and recommendations.	<input type="checkbox"/>
Public outreach and education.	<input type="checkbox"/>
Participation in NEPA process.	<input type="checkbox"/>
Implementation.	<input type="checkbox"/>
Provision of technical information.	<input type="checkbox"/>
Becoming informed.	<input type="checkbox"/>
Providing and/or acquiring funding.	<input type="checkbox"/>
Monitoring.	<input type="checkbox"/>
Representation of concerned/affected local interests	<input type="checkbox"/>
Other: (Please specify) _____	<input type="checkbox"/>

4b. What did you use as a definition of “local community” when you answered this question?

- | | |
|--|--|
| <input type="checkbox"/> Counties/Parishes around the forest | <input type="checkbox"/> Tribal nations |
| <input type="checkbox"/> Communities/towns around the forest | <input type="checkbox"/> Other agencies |
| <input type="checkbox"/> Whole state/large region of state | <input type="checkbox"/> All affected people/areas |
| <input type="checkbox"/> Adjacent landowners/neighbors | <input type="checkbox"/> Other: <i>Please specify.</i> _____ |
| <input type="checkbox"/> Forest users | |

5. What outreach efforts are being/have been used specifically by the Forest Service, BLM, or others to get people involved in the project? *Please check all that apply.*

- | | |
|--|--|
| <input type="checkbox"/> Traditional public meetings | <input type="checkbox"/> Field tours |
| <input type="checkbox"/> Collaborative process meetings | <input type="checkbox"/> Presentations to existing community groups |
| <input type="checkbox"/> Direct mail | <input type="checkbox"/> Presentations to other organizations other than existing community groups |
| <input type="checkbox"/> Email | <input type="checkbox"/> New Collaborative Group |
| <input type="checkbox"/> Personal contacts | <input type="checkbox"/> Other: Please specify. _____ |
| <input type="checkbox"/> Media (newspaper, radio, television) | |
| <input type="checkbox"/> Discussions with local government | |
| <input type="checkbox"/> Workshops | |
|
<input type="checkbox"/> Meetings with existing collaborative groups | |

6a. To what degree would you consider community involvement in the _____ stewardship contracting project to be collaborative?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Very		Somewhat		Not	Don't
Collaborative		Collaborative		Collaborative	Know

6b. How did you define collaborative when you were answering this question?

- | | |
|--|---|
| <input type="checkbox"/> Working with others | <input type="checkbox"/> Commenting on a proposed project |
| <input type="checkbox"/> Achieving a common goal | <input type="checkbox"/> Working with other agencies |

- Increased level of public participation
- Developing, establishing, or building Long-term relationships

- Including diverse people and interests
- Having meetings
- Other: *Please specify.* _____

7. What were the reasons you personally decided to become involved with this project (what were the circumstances)? *Please check all that apply.*

- Part of your job responsibilities
- Interested in accomplishing work on the ground
- Initiated the project
- Contacted to bid on the project
- Due to experiences with previous stewardship contracting projects
- Due to your role in the community

- Live near the project
- Own property near the project
- A business opportunity
- Interested in collaboration
- Interested in using /trying stewardship contracting tool
- There was a problem to solve
- Other: *Please specify.* _____

8a. Are there individuals or interests you believe should be/should have been involved in the _____ stewardship contracting project that aren't/weren't?

- Yes
- No
- Don't know

8b. If yes, who?

	<i>Check all that apply.</i>	<i>At what scale should these individuals or interest be involved?</i>				<i>Why should they be involved? See list below for options - Include all that apply.</i>
		Local	State	Regional	National	
USDA Forest Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Bureau of Land Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other Federal agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Tribal interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Local government interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Community business interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental/conservation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

groups						
Fire interests/organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Adjacent landowners and residents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Recreation interests/users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Educators/educational interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Wildlife and fisheries groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Right to access groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Project contractors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other: (Please specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

- (a) To avoid misunderstanding.
- (b) Because they are users of the area
- (c) To avoid appeals and/or litigation
- (d) Because they are a constraint to implementation
- (e) A need to be inclusive
- (f) Because they have valuable expertise to share
- (g) A need for local knowledge
- (h) Because they are potentially affected by the project
- (i) Other (*please explain*)

9. Are there resources that community members needed to facilitate their participation in the project?

- Yes
- No
- Don't know

If yes, please check the appropriate boxes in the table below:

	Check if needed	Check if received	From whom	<i>For what specific purpose</i>
Financial	<input type="checkbox"/>	<input type="checkbox"/>		
Training	<input type="checkbox"/>	<input type="checkbox"/>		
In-kind time, services, facilities	<input type="checkbox"/>	<input type="checkbox"/>		
Technical	<input type="checkbox"/>	<input type="checkbox"/>		
Other (Please describe)	<input type="checkbox"/>	<input type="checkbox"/>		

10. Please rate the local benefits of the _____ stewardship contracting project on a scale of 1-5 with 1 being very high and 5 being very low.

	Very High				Very Low	Don't Know
	1	2	3	4	5	
Economic benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More local jobs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More on-the-ground work accomplished	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Greater opportunity to use local contractors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: please specify _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increased collaboration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved efficiency and effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved public trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Specific project outcomes (Please identify & rate each)						
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Please describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Please rate the benefits of community involvement in the _____ stewardship contracting project on a scale of 1-5 with 1 being very high and 5 being very low.

	Very High				Very Low	Don't Know
	1	2	3	4	5	
Broader understanding and consideration of diverse interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increased opportunity for public input	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved sense of project ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increased support for the agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: <i>Please describe</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. What level of support do you believe this stewardship contracting project is/was in the community?

- Widely supported
- Somewhat supported
- Indifferent
- Somewhat opposed
- Widely opposed
- Generally unaware
- I don't know

13. What level of support do you believe this stewardship contracting project is/was in the agency [*Forest Service and/or BLM*]?

- Widely supported
- Somewhat supported
- Indifferent
- Somewhat opposed
- Widely opposed
- Generally unaware
- I don't know

14. Are there any lessons that you learned about community involvement through this project that you would like to share? _____

15. Based on your experience in this project, would you participate in another stewardship contracting project? Yes No Maybe

Please explain. _____

16. Are there any additional comments you want to make about either stewardship contracting generally or your personal experience with it? _____

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Appendix C: Case Study Guide

1) Project Scope and History

- a) Provide a brief overview of the project describing the type of project.
 - i) Description of the project can include some of the selection criteria apply to the project (e.g. large vs. small, etc.) in order to provide some context.
 - ii) Include important details about the project (the region the project takes place in, approximate date of the project, types of partners, project duration, stewardship authorities used, project objectives. etc.

Data sources: Original project proposal; interviews with original project participants (to the extent we can find them); other project reports.

- b) Include a timeline highlighting project stages and who was involved at different stages
 - i) Develop a project timeline highlighting project stages and who was involved at different stages. What was the capacity of participants at different stages?
 - ii) Assess sense of empowerment relative to the project; perception of ability to participate and reasons for these perceptions; were participants part of existing organizations engaged in conservation and/or stewardship; were participants experienced at participation)

Potential Questions for gathering data on the project scope and history:

- What was the original concept/driver of the project?
- Whose idea was it?
- What happened over time? Did the original project concept change or evolve over time? If so, How?
- What were the actual project outcomes? Did these differ from what the project originally set out to do?
- How was the contract/agreement structured? Why structured this way?

2) Collaborative Interactions and Community Engagement

In this section we are trying to give some examples of what collaboration and community engagement look like in different places. We are trying to answer the following in this section: (A) Do participants define the project as “collaborative”? (B) If yes, what did that mean for this project? (C) If no, why not for this project?

Structure of collaboration and community engagement

- What is the structure of collaborative work? How does it operate?
- How are project stakeholders engaged in moving the project forward?
- Was the project an agency led collaborative effort or did this come from somewhere other than the agency?
- Are methods of community outreach viewed as successful?

Role of contractors:

- Were contractors involved in project planning; design; implementation; monitoring?
- How have contractors participated in the collaborative process? Why, why not?
- Do contractors employ local workers?
- Are contractors comfortable with doing various stewardship activities embedded in a contract themselves or do they use numerous subcontractors?
- How did the contractor benefit the community?

Mentoring role of NGO's and state agencies:

- Were any NGO's or state agencies involved in the project?
- If yes, what assistance, direction and/or support did participating NGO's or state agencies provide to the project?
- How are NGOs involved?
- Do NGO partners have funding to support staff participation in collaborative processes?
- How are state agencies involved? Which ones?
- Has the participation of NGOs and state agencies changed the dynamic of project outcomes?

Data sources: interviews with USFS or BLM agency personnel; interviews with NGO and state agency participants; contractor interviews; project documents, interviews with past and current participants; STEWARDSHIP CONTRACTING interview data if we have it for the project.

3) Overall Project Outcomes and Lessons Learned

Project benefits and costs:

- How were the authorities used? Which ones?
- How has the use of various authorities affect the revenue of the project?
- How is best value criteria assessed and weighted?
- How are costs determined? Are there any innovations in appraisal techniques and/or bidding tactics?

Agency training and leadership:

- How has regional leadership influenced/shaped the project?
 - did regional leadership have input in project planning, design, approval?
 - Is the project part of a larger regionally endorsed (agency endorsement of otherwise) initiative?
- Have leadership changes at district level affected the project? If so, how?

Main innovations/lessons learned

- What are the innovations/lessons from the project that should be shared with other projects including barriers and concerns?

Data Sources: Interviews with regional coordinators; interviews with project coordinators. interviews with participants; existing STEWARDSHIP CONTRACTING interviews if available; regional STEWARDSHIP CONTRACTING reports if project was included

Appendix D: References

- Allen, C. (2013). Forest Ecosystem Reorganization Underway in the Southwestern US: A Preview of Widespread Forest Changes in the Anthropocene. *Forest Conservation in the Anthropocene*. Washington, DC: Pinchot Institute for Conservation.
- Gorte, R. (2001). *Stewardship Contracting for National Forests*, . Washington, DC: Congressional Research Service.
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- NOAA. (2012). *State of the Climate, Wildfires, Annual 2012*. Washington, DC: National Oceanic and Atmospheric Administration, National Climate Data Center.
- Forest Service (2012). *Increasing the Pace of Restoration and Job Creation on Our National Forests*. Washington, DC: USDA Forest Service.