

659 **Chapter 1. The Changing Context**

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671 **1.1 INTRODUCTION**

672 Increasingly frequent headlines such as “UN Calls Water Top Priority” (*The Washington*

673 *Post, January 25, 2008*), “Drought-Stricken South Facing Tough Choices (*The New York*

674 *Times, Oct 15, 2007*), “The Future is Drying Up” (*The New York Times, October 21,*

675 *2007*), coupled with the realities of less available water, have helped to alert decision

676 makers, from U.S. governors and mayors to individual farmers, that climate information

677 is crucial in future planning. The past quarter-century has also seen significant advances

678 in the ability to monitor and predict important aspects of seasonal to interannual

679 variations in climate, especially those associated with variations of the El Niño Southern

680 Oscillation (ENSO) cycle. Predictions of climate variability on seasonal to interannual

681 time scales are now routine and operational, and consideration of these forecasts in

682 making decisions has become more commonplace. Some water resources decision
683 makers have already begun to use seasonal, interseasonal, and even longer-time scale -
684 climate forecasts and observational data in assessing future options, while others are just
685 beginning to realize the potential of these resources. This report is meant to show how
686 climate and hydrologic forecast and observational data are being used, or neglected, by
687 water resources decision makers and suggests future pathways for increased use.

688

689 The Climate Change Science Program (CCSP) included a chapter in their 2003 Strategic
690 Plan that described the critical role of decision support in climate science; it was included
691 because previous assessment analyses and case studies had highlighted the importance of
692 assuring that climate information and data would be used by decision makers and not be
693 produced in a vacuum. Since that time, there has been an increase in interest and research
694 in decision support science including for organizations using seasonal to interannual
695 forecasts and observational data in future planning. Five years since the release of the
696 Strategic Plan, one of the main purposes of CCSP continues to be to “provide information
697 for decision-making through the development of decision-support resources¹.” (2008 Our
698 Changing Planet) As a result, CCSP has charged this author group to produce a Synthesis
699 and Assessment report that directly addresses decision support experiments and
700 evaluations in the water resources sector.

701

702 The authors of this product have concentrated their efforts on discussing seasonal to
703 interannual forecasts and data products, though in some cases, longer-range forecasts are

¹ According to this same document, “Decision-support resources, systems, and activities are climate-related products or processes that directly inform or advise stakeholders to help them make decisions.”

704 discussed because they have simply become a part of the decision making process and
705 separating them would cloud the examples given. We have provided a range of domestic
706 case study examples, referred to as “experiments and/or evaluations”, but have provided
707 some international examples, where appropriate.

708

709 **1.2 INCREASING STRESS AND COMPLEXITY IN WATER RESOURCES**

710 Under conditions of global warming and with an ever-accelerating demand for abundant
711 water supplies, the management of water may become increasingly politically charged
712 throughout the world in the coming century. Emerging challenges in water quantity,
713 quality, pricing, and seasonal climate fluctuations may all increase as the demand
714 continues to rise. Though it may well be the case that the total volume of water on the
715 planet is sufficient for societies’ needs, the largest portion of this water is geographically
716 remote, misallocated, wasted, or degraded by pollution (Whiteley *et al.*, 2008). At the
717 same time, there are shifts in the use to which it is put, the value given by society to
718 natural systems, and the changing laws that govern management of the resource.
719 Accordingly, the impact of climate on water resource management and the needs of
720 people has far-reaching implications for everyone from the farmer who may need to
721 change the timing of crop planting/harvesting or the crop type itself to citizens that may
722 have to move because their potable water supply has disappeared.

723

724 In the U.S., water resource decisions are made at multiple levels of government and
725 increasingly by the private sector. There is no national water policy, but rather a
726 patchwork of policies, amended by degree over decades. “Water” is

727 controlled/guided/governed by a gamut of Federal agencies overseeing various aspects
728 from quality (U.S. Environmental Protection Agency [EPA]) to quantity (U.S. Geological
729 Survey [USGS], Bureau of Land Management [BLM]). This is complicated by state,
730 regional, and jurisdictional boundaries and responsibilities. Defining a “decision maker”
731 is equally difficult given the complexity of water’s use and the types of information that
732 can be used to make decisions. Our challenge in writing this report is to reflect the
733 diverse models under which water is managed and the diverse character of decisions that
734 comprise water management. To illustrate: the term “water management” encompasses
735 decisions by a municipal water entity about when to impose outdoor water restrictions;
736 decisions by a federal agency about how to operate a storage facility; decisions by the
737 Congress about funding of recovery efforts for an endangered species; and decisions by a
738 state government about water purchases necessary to ensure compact compliance.

739

740 These types of decisions may be based on multiple factors, such as cost, climate (past
741 trends and future forecasts), community preferences, political advantage, strategic
742 concerns for future water decisions, *etc.* Further, water reflects many different values
743 including economic, security, opportunity, environmental quality, lifestyle, and a sense of
744 place (Blatter and Ingram, 2005). Information about climate variability can be expected
745 to affect some of these decisions and moderate some of these values; for others it may be
746 of remote interest or viewed as entirely irrelevant.

747

748 The rapidly-closing gap between usable supplies and rising demand is being narrowed by
749 a myriad of factors, some of the most important include:

- 750 • Demand for water is increasing with population growth in terms of potable
751 drinking water, agricultural/food requirements, energy needs, *etc.*
- 752 • Recreational and environmental interests in rivers have received greater
753 representation in the political processes, with attendant success in protecting
754 stream waters.
- 755 • Groundwater development enabled the expansion of western agriculture and is the
756 basis for the development of several urban regions. As groundwater reserves are
757 mined, pressure increases on other water sources.
- 758 • Water quality is a problem that persists, despite decades of regulations and
759 planning.

760

761 Most well-documented of these pressures is population growth, which is occurring in the
762 U.S. as a whole, and especially in the sunbelt states where water resources are also
763 among the scarcest. Because water sources were developed and rights created in much
764 earlier time periods, new uses must search for additional supplies. Las Vegas, Nevada is a
765 case study of the measures required to provide water in the desert, but Phoenix,
766 Albuquerque, Denver, Los Angeles and a host of other western cities provide comparable
767 examples. In the Southeastern United States, rapid growth of cities, such as Atlanta,
768 combined with growing environmental concerns that require water to sustain habitat, and
769 poor management, have all lead to serious shortages.

770

771 Recreational and environmental interests also have a direct stake in how waters are
772 managed. For example, fishing and boating have increased with importance as the
773 economic basis of our economy has changed.

774

775 Groundwater mining is a wild card in national water policy. Water resource allocation is
776 generally a matter of state, not federal control, and each state has different policies with
777 respect to groundwater. Some have no regulation; others permit mining (also referred to
778 as groundwater overdrafting). Because groundwater is not visible, it was less likely to be
779 regulated than surface water use. The effects of groundwater mining become evident
780 when regions must search for alternative sources of water.

781

782 These increasing demands for water are not likely to be met with the development of
783 major additional sources of water supply, although some additional storage likely will be
784 developed. The nation engaged in an extended period of construction (cite USGS on
785 dams and reservoirs) in which most of the appropriate sites for construction were utilized.
786 Further, as rivers are fully appropriated, or over appropriated, there is no longer “surplus”
787 water available for development. Environmental and recreational issues are implicated in
788 further development of rivers, making these alternatives more susceptible to challenge.

789

790 In response to these challenges, jurisdictions are developing alternatives such as water
791 reuse utilizing groundwater storage and recovery, which avoids reservoir siting issues;
792 conservation and improved efficiency, which has contributed to steady declines in per
793 capita consumption; desalinization of water, and conjunctive management of ground and

794 surface water. Pipelines, which have been used for decades, are suggested as the solution
795 to one region's water shortages, only to be met by resistance from the area of origin.

796

797 The most appealing water management solutions, then, are the most modest. Water
798 conservation, which may rely on incentives or regulation, often is the least expensive way
799 of meeting demand. Water pricing has been heralded by generations of economists as the
800 means of ensuring that water choices are wisely made. Transfers of water from one use to
801 another, commonly from agricultural to urban uses in the western U.S., are becoming
802 more common as a means of adjusting to changing economic realities. However, these
803 modest solutions that have lead to more efficient water allocation have also reduced
804 flexibility to adapt to climate variation and change.

805

806 The mosaic of water use may be viewed through another lens, which is the relative
807 flexibility of each demand. Municipal and industrial demands can be moderated through
808 conservation or temporary restrictions on use, but these demands are relatively fixed. In
809 contrast, agricultural uses, which still comprise the largest users by volume, can be
810 restricted in times of drought. The increasing connection between water and energy may
811 limit this flexibility. For example, greater reliance on biofuels both increase competition
812 for scarce water supplies and divert irrigated agriculture from the production of food to
813 the production of oilseeds such as soybeans, corn, rapeseed, sunflower seed, and
814 sugarcane among other crops. While parts of China and India have already breached the
815 limit of sustainable water use, without the added strain of trying to grow significant
816 quantities of biofuels, to a lesser but still serious extent, the reliance upon growing corn

817 for ethanol has changed the pattern of agricultural water use also in the U.S (Whiteley *et*
818 *al.*, 2008).

819

820 Rationalization of U.S. policies concerning water has been a goal for many decades.

821 Emergent issues of increased climate variability and change may be the agents of

822 transformation for U.S. water policies as many regions of the country are forced to

823 examine the long term sustainability of water related management decisions.

824

825 **1.2.1 The Evolving Context: The Importance of Issue Frames**

826 In order to fully understand the context in which a decision is made, those in the decision

827 support sciences often look at the “issue frame” or the factors influencing the decision

828 makers including the general frame of mind of society at the time. A common

829 denominator for conceptualizing a frame is the notion that a problem can be understood

830 or conceptualized in different ways (Dewulf *et al.*, 2005). For the purpose of this report,

831 an issue frame can be considered a tool that allows us to understand the importance of a

832 problem (Weick, 1995). Thus, salience is important part of framing. It is fair to categorize

833 most water resources decisions in previous decades as low salience issues, the kind that

834 do not attract much public notice. This low visibility is associated with the widespread

835 perception that the adequate delivery of acceptable water is within the realm of experts

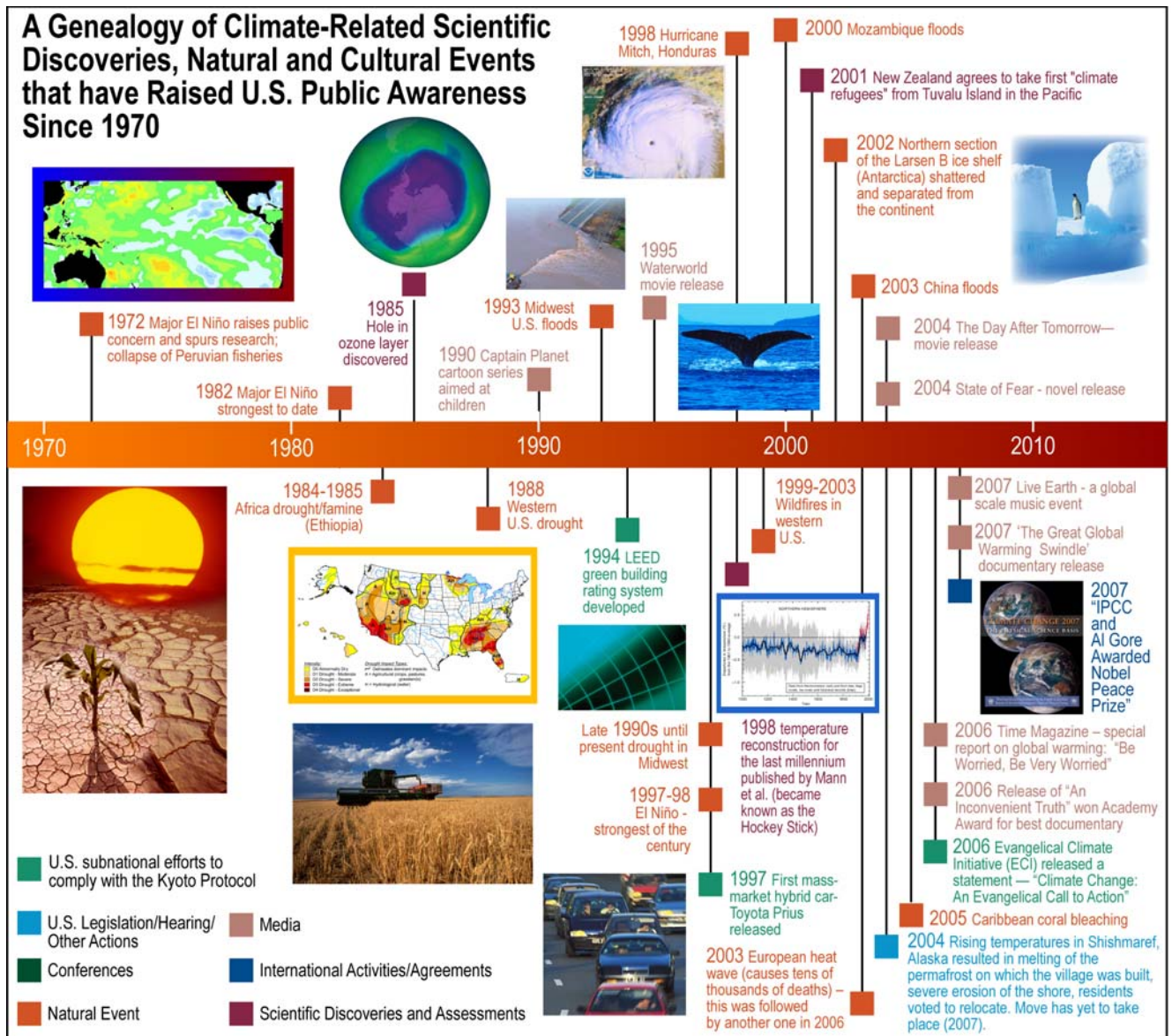
836 and that an adequate understanding and contribution to decisions takes time,

837 commitment, and knowledge that few possess or seek to acquire as water appears to be

838 plentiful and is available when needed. It is understood that considerable variations in

839 water supply and quality can occur, but it is accepted that the water resources

840 establishment knows how to handle variation.
841
842 A series of events and disclosures of scientific findings have profoundly changed the
843 framing of water issues and the interaction between such framing and climate variability
844 and change. As illustrated in Figure 1.1, natural disasters, including Hurricane Katrina
845 and recent sustained droughts in diverse sections of the United States, have disturbed the
846 public perception of well-being. Such events raise awareness of the vulnerability of
847 society to flood, drought, and degradation of water quality. Such extreme events come in
848 addition to mounting evidence in professional journals and the popular press that water
849 quantity and quality, fundamental components of ecological sustainability in many
850 geographical areas, are threatened. The February 2007 Intergovernmental Panel on
851 Climate Change, Working Group 1, report reinforced the high probability of significant
852 future climate change and more extreme climate variation affecting many sectors,
853 including water resources. The report received high press coverage and generated
854 increased concern among the public and policy makers. Instead of being low visibility
855 issue, the issue frame for water resources has become that of attention-grabbing risk and
856 uncertainty about such matters as rising sea levels, altered water storage in snow packs,
857 and less favorable habitats for endangered fish species sensitive to warmer water
858 temperatures. Thus, global warming has been an emerging issue-frame for water
859 resources management.
860



861

862

863 **Figure 1.1** Timeline from 1970 to present of key natural and cultural events contributing to a widespread
 864 change in context for increasing awareness of climate issues
 865



866

867 **Figure 1.2** Timeline from 1970 to present of key policy events contributing to a widespread change in
 868 context for increasing awareness of climate issues
 869

870 Along with higher visibility of water and climate issues has come greater political and
 871 public involvement. At the same time, with an increase in discovery and awareness of
 872 climate impacts there has been a deluge of new reports and passage of climate-related
 873 agreements and legislation. See Figure 1.2. As is the case with most high salience issues,
 874 politicians must compete with one another for status as policy leaders facilitating

875 governmental and private actions to reduce societal vulnerability to climate related
876 variability, although water has up until now taken a back seat to energy in terms of
877 salience. Higher visibility of climate and water variability has put pressure on water
878 managers to behave proactively to respond to expected negative effects of climate
879 variability and change (Hartmann, *et al.*, 2002; Carbone and Dow, 2005). Specifically, in
880 the case of water managers in the U.S., perception of risk has been found as a critical
881 variable for the adoption of innovative management in the sector (O'Connor *et al.*, 2005).

882

883 Frames encompass expectations about what can happen and what should be done if
884 certain predictions do occur (Minsky, 1980). The emergent issue frame water resource
885 management is that new knowledge (about climate change and variability) is being
886 created that warrants management changes. Information and knowledge about climate
887 variability experienced over the recent historical past is no longer as valuable as once it
888 was, and new knowledge must be sought and put to use (Milly *et al.*, 2008).

889 Organizational and individuals face a context today where perceived failure to respond to
890 climate variation and change is more risky than maintaining the status quo.

891

892 **1.2.2 Climate Forecasting Innovations and Opportunities in Water Resources**

893 Only in the last decade or so have climate scientists achieved the important innovation of
894 being able to predict aspects of future climate variations one to a few seasons in advance
895 with better skill than can be achieved by simply using historical averages for those
896 seasons. This is a scientific advance fundamentally new in human history (NRC SARP
897 Report, 2007).

898

899 **BOX 1.1: Seasonal to Interannual Climate Forecasts**

900 *Weather forecasts* seek to predict the exact state of the atmosphere for a specific time and place at lead-
901 times ranging from nowcasts (*e.g.* severe weather warnings) out to a maximum of two weeks. The accuracy
902 of weather forecasts depends crucially on observations that can be used to accurately characterize the initial
903 state of the atmosphere. In contrast, seasonal to interannual *climate forecasts* seek to predict the statistics of
904 the atmosphere for a region over a specified window of time, typically from one month to a few seasons in
905 advance.

906

907 The accuracy of climate forecasts depend crucially on observations of the slowly varying boundary
908 conditions on the atmosphere, including upper ocean temperatures, snow cover, and soil moisture. Climate
909 forecasts can also address the expected probabilities for extreme events (floods, freezes, blizzards,
910 hurricanes, *etc.*), and for the expected range of climate variability. Much of the skill in seasonal to
911 interannual climate forecasts for the U.S. derives from an ability to monitor and accurately predict the
912 future evolution of ENSO, however the actual skill demonstrated is not yet high As a general principal, all
913 climate forecasts are probabilistic. They are probabilistic both in the future state of ENSO and in the
914 consequences of ENSO for remotely influenced regions like the US. For example, a typical ENSO-related
915 climate forecast for the Pacific Northwest region of the U.S. might be presented as follows:

916

917 *Based on expectations for continued El Niño conditions in the tropical*
918 *Pacific, we expect increased likelihoods for above average winter and*
919 *spring temperatures with below average precipitation, with small but*
920 *non-zero odds for the opposite conditions (i.e., below average*
921 *likelihoods for below average winter and spring temperatures and*
922 *above average precipitation) in the Pacific Northwest (PNW).*

923

924 At lead times of a few decades to centuries, *climate change scenarios* are based on scenarios for changes in
925 the emissions and concentrations of atmospheric greenhouse gases and aerosols that are important for the
926 Earth's energy budget. Climate change scenarios do not require real-time observations needed to accurately
927 initialize the atmosphere or slowly-evolving boundary conditions (upper ocean temperatures, snow cover,
928 *etc.*).

929 *****END BOX*****

930

931 It is important to emphasize that seasonal to interannual climate forecasting skill is still
932 quite limited, and varies considerably depending on lead time, geographic scale, target
933 region, time of year, status of the ENSO cycle, and many other issues that are the subject
934 of chapter 2. Even so, the potential usefulness of this new scientific capability is
935 enormous, particularly in the water resources sector, and this potential is being harvested
936 through a variety of experiments and evaluations, some of which appear in this product.
937 For instance, reservoir management changes in the Columbia River Basin in response to
938 seasonal to interannual climate forecast information have the potential to generate an
939 average of \$150 million per year more hydropower with little or no loss to other

940 management objectives (Hamlet *et al.*, 2002). Table 1.1 illuminates the potential of SI
 941 climate forecasts to affect a wide range of water related decisions, potentially providing
 942 great economic, security, environmental quality, and other gains.

943

944 **Table 1.1** Examples of Water Resource Decisions Related to seasonal to interannual Climate Forecasts

Decision/topic	Agency/organization responsible	Activities affected	Climate Forecast information relevance
Dam and reservoir management and reservoir allocation	<ul style="list-style-type: none"> US Army Corps of Engineers US D.O.I., Bureau of Reclamation Tennessee Valley Authority FERC and its licensed projects Federal power marketing agencies State, local, regional water management entities and utilities, irrigation districts 	Distribution of inflows and outflows for: <ul style="list-style-type: none"> Agriculture public supply industry power flood control navigation instream flow maintenance protecting reserved waters for resources/ other needs 	<ul style="list-style-type: none"> Total reservoir inflow Long-range precipitation Long-range temperature Flow data Snow melt data Flood forecasts Shifts in “phase” in decadal cycles
Irrigation/water allocation for agriculture/aqua culture	<ul style="list-style-type: none"> Federal, state and regional facility operators Irrigation districts Agricultural cooperatives Farmers 	How much water and when and where to allocate it.	<ul style="list-style-type: none"> Long/short-range precipitation Long-range temperature
Ecosystem protection/ecosystem services	Federal and state resource agencies, <i>e.g.</i> , <ul style="list-style-type: none"> US D.O.I., Fish and Wildlife Service US D.O.A., Forest Service, US D.O.I., Park Service, US D.O.I., BLM, US D.O.C., NMFS, <i>etc.</i> State, regional and watershed- based protected areas NGOs, <i>e.g.</i> , <ul style="list-style-type: none"> Nature Conservancy, Local and regional land trusts 	<ul style="list-style-type: none"> Instream flow management Riverine/riparian management Wildlife management 	<ul style="list-style-type: none"> Climate cycles Long-term climate predictions

<p>Public water supply/wastewater management*</p>	<ul style="list-style-type: none"> • Municipalities • Special water districts • Private water utilities • Water supply/wastewater utilities/utility districts 	<p>Needs for new reservoirs, dams, wastewater treatment facilities, pumping stations, groundwater management areas, distribution systems; Needs for long term water supply and demand management plans; Drought planning.</p>	<p>Changes in temperature/precipitation effect water demand; reduction in base-flows, increased demands, and greater evaporation rates (Gleick <i>et al.</i>, 2000; Clarkson and Smerdon, 1989). Predictive information at multiple scales and multiple time frames.</p>
<p>Coastal zones</p>	<ul style="list-style-type: none"> • Regional Coastal zone management agencies • Corps of Engineers • NMFS, other federal agencies • Local/regional flood control agencies • Public supply utilities 	<p>Impacts to tidal deltas, low lying coastal plans Changes to fish production/coastal food systems, salt water intrusion Erosion; deterioration of marshes Flood control, water supply and sewage treatment implications</p>	<p>Predicted sea level rise & land subsidence; fluctuation in surface water temperature; tropical storm predictions; change to precipitation patterns; wind & water; storm surges and flood flow circulation patterns (Davidson, 1997).</p>
<p>Navigation</p>	<ul style="list-style-type: none"> • Harbor managers • River system and reservoir managers, barge operators 	<ul style="list-style-type: none"> • River and harbor channel depth; flow 	<ul style="list-style-type: none"> • Stream flow, seasonality, flooding potential
<p>Power production</p>	<ul style="list-style-type: none"> • Federal water and power agencies; FERC; private utilities with licensed hydropower projects; private utilities using power from generation facilities 	<ul style="list-style-type: none"> • Water for hydropower • Water for steam generation in fossil fuel and nuclear plants • Water for cooling 	<ul style="list-style-type: none"> • Temperature (and relationships to demand for power) • Precipitation • Stream flow and runoff
<p>Flooding/floodplain management</p>	<ul style="list-style-type: none"> • Floodplain managers; flood zone agencies; insurance companies; risk managers, land use planners 	<ul style="list-style-type: none"> • Infrastructure needs planning • Emergency management 	<p>Short and long-term runoff predictions, esp. long term trends in intensity of precipitation, storm surges, <i>etc.</i></p>

945

946 Besides the potential applications suggested in Table 1.1, there are other overarching
 947 opportunities for use of seasonal to interannual climate and hydrologic forecasts recently
 948 introduced to the water resources sector. Adaptive Management and Integrated Water
 949 Resources Management are examples of reforms that are still in relative infancy (see
 950 chapters 3 and 4) and could gain considerable traction through fostering continuous
 951 feedback from forecasts to changes in practice and improved performance. Adaptive

952 management embraces the need for continuous monitoring and feedback; information
953 provided by forecasts can prompt real time adaptations by public and private agencies
954 and water users. Integrated Water Resources Management is based around the concepts
955 of flexibility and adaptability, using measures that can be easily reversed or are robust to
956 changing circumstances (IPCC Report, 2007 3.6.5). Such potential flexibility and
957 adaptability extends not just to water agencies, but also to the citizenry generally.
958 Advances in climate forecast skill and their application provides an opportunity to convey
959 to the public, all of whom use water in one way or another, a deeper understanding than
960 currently exists about the relationship of climate variability to increased risk,
961 vulnerability, and uncertainty related to water that now tends to be perceived in static
962 terms. In addition, more finely tuning water management to real time climate prediction
963 allows for cutting down the lead time for response to climate variation.

964

965 **1.2.3 Organizational Dynamics and Innovation**

966 The flow of information among agencies and actors in a complex organizational field like
967 climate forecasting and water resources is not at all like water itself that is ruled by
968 gravity and flows downhill. Even as skill levels of climate and hydrologic forecasts have
969 improved, resistance to their use in water resources management both exists and persists
970 (O’Conner *et al.*, 1999; Rayner *et al.*, 2005; Yarnal *et al.*, 2006). Such resistance to
971 innovation is to be expected according to organizational and management literature that
972 addresses the management of information across boundaries of various kinds that include
973 organizations, disciplines, fields, practices and the like (Carlisle, 2004; Feldman *et al.*,
974 2006). The same specialization that makes organizations effective in delivery of

975 organizational goals can make them resistant to innovation (Weber, 1947). Creating a
976 product or service requires differences in experience, terminologies, tools, and incentives
977 that are embedded in a specific organization. Because knowledge takes investment such
978 as time, resources, and opportunity costs, it constitutes a kind of “stake”, and significant
979 costs are associated with giving it up and acquiring new knowledge (Carlisle, 2002).
980 Further, if the kind of knowledge that needs to be coordinated across boundaries may be
981 so different in kind that a bridge of a common language must be created that allows
982 translation to take place. Finally, the sort of demands made by sharing information across
983 boundaries may be so novel that a fundamental readjustment is needed that challenges the
984 organization to rethink what it knows and how.

985

986 Figure 1.3, adapted from Carlisle (2004) portrays the different level, challenge, or gap
987 that must be filled for sharing knowledge across boundaries, and helps convey the
988 challenge of innovation through information sharing across different organizations, levels
989 of government, and public and private actors. At the lowest level of the inverted triangle
990 information transfer is relatively simple such as exists between different climate
991 forecasters located in different organizations. Forecasters have common knowledge and
992 know each others’ levels of expertise and respect it regardless of organizational ties.
993 Because a common lexicon exists, knowledge transfer is relatively simple. The usual
994 barriers to smooth information flow apply, including information overload, availability of
995 storage and retrieval technologies and other information processing challenges.
996 Unfortunately, agencies prefer their own terminology and trust information that comes
997 from inside the organization more than information from outside, the adoption of

998 seasonal to interannual climate forecast information in the water resource sector hardly
999 ever fits this simple transfer profile.

1000

1001 At the second or translation level of managing information, shared meanings or
1002 resolution of discrepancy of meaning are necessary. This level of information sharing
1003 probably typifies the relationships between climate forecasters and water resource
1004 forecasters who have long predicted water futures using data such as snowpack, soil
1005 moisture, basin and watershed models and the like. This involves a large expenditure of
1006 effort that has to be justified within the organization and may well encounter resistance
1007 unless offset by some considerable pay off. A common lexicon may need to be invented
1008 with common definitions. Effort must be expended to develop shared methodologies,
1009 create cross-organizational teams, engage in strategies such as collocation of offices, and
1010 employ individuals who can act as translators or brokers. Sometimes translation requires
1011 making tacit knowledge explicit, and translation becomes more difficult when
1012 information is related to practices that may be very different on either side of boundaries.

1013 This level of information sharing probably typifies the relationships between climate
1014 forecasters and water resource forecasters who have long predicted water futures using
1015 data such as snowpack, soil moisture, basin and watershed models and the like.

1016

1017 The third or transformation level of managing information requires considerable change
1018 in the ways in which organizations presently process and use information, such as
1019 moving toward co-production of knowledge with outside organizations, interests and
1020 entities. These costs negatively impact the willingness of organizations to make such

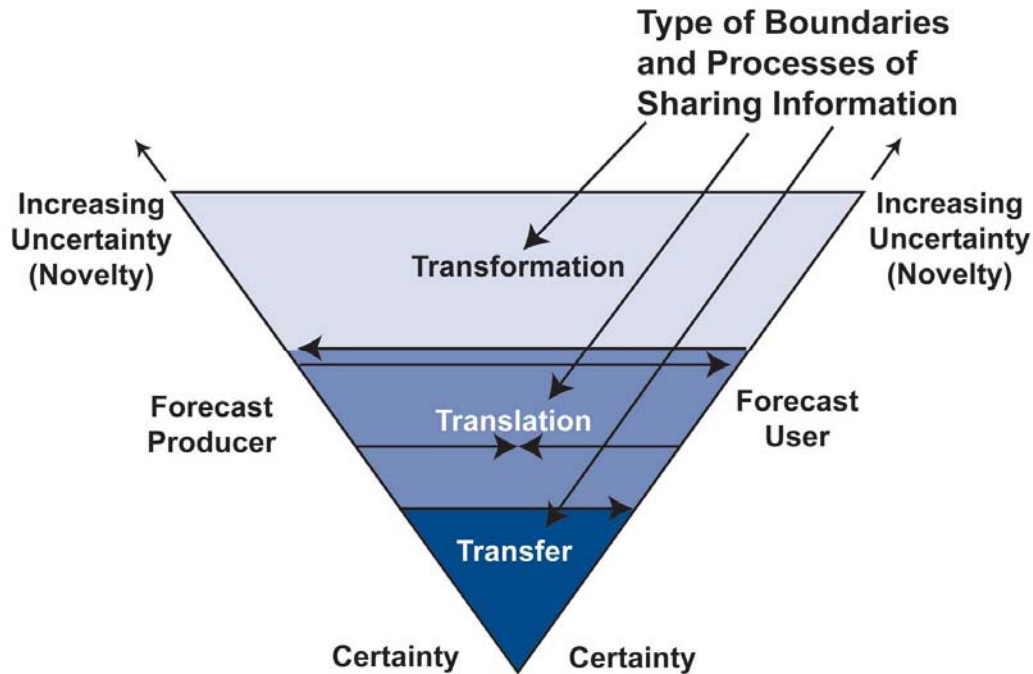
1021 transformational changes and help to explain why organizations continue to follow “path
1022 dependent” or business-as-usual practices despite evidence that innovation would be
1023 beneficial. For instance, the very large challenges presented to climate forecasters to
1024 involve users in the production of climate products explains why they continue to follow
1025 what has been termed the “loading dock” model, or simply putting forecasts out with
1026 little notion of whether or not they will be picked up (Cash *et al.*, 2006). Knowledge at
1027 this level is a transformed mixture of knowledge that is determined to still be of value and
1028 the knowledge that is of consequence given new insight on climate variability.

1029

1030 Knowledge at this third level must be created collaboratively rather than delivered and
1031 must be salient, credible and legitimate to all engaged actors. Salience or decision
1032 relevance is changing, as the context for decisions is changing as discussed above.
1033 However, information is likely to be more salient if it comes from known and trusted
1034 sources (NRC, 1984, 1989, 2002; Sarp Report, 2006). Credibility is not just credibility of
1035 scientists, but also to users. Information is more credible if it recognizes and treats
1036 multiple perspectives. Legitimacy relates to even handedness and the absence of narrow
1037 organizational or political agendas (Cash *et al.*, 2003; NRC SARP Report, 2006). Almost
1038 all of the important applications of seasonal to interannual climate forecasts involve
1039 information management at level three.

1040

1041



1042

1043

1044 **Figure 1.3** Illustration of the processes of information sharing. At the tip of the triangle forecast producers
 1045 and forecast users are sharing a common syntax and framework and therefore knowledge is simply
 1046 transferred. As the products and uses become increasingly different and novel, a process of learning has to
 1047 occur for information to be translated (middle of triangle). Finally, information will need to be transformed
 1048 in order for knowledge to be accessible to very different parties. Adapted from Carlile, 2003.
 1049

1050 **1.2.4 Decision Support, Knowledge Networks, Boundary Organizations, and** 1051 **Boundary Objects**

1052 A recent National Academy of Sciences Report (2006) observes that decision support is
 1053 widely used but definitions vary. Following the lead of this report, decision support is
 1054 defined here as creating conditions that foster the appropriate use of information. This
 1055 definition presumes that the climate scientists who generate seasonal to interannual
 1056 climate forecasts often do not know what information they could provide to water
 1057 resources managers that the managers would find useful, and that water managers do not
 1058 necessarily know how they could use seasonal to interannual climate forecasts and related

1059 information (NAS, 2006). The primary objective of decision support activities is to foster
1060 transformative information exchange that will both change the kind of information that is
1061 produced and the way it is used (NRC 1989, 1996, 1999, 2005, 2006).

1062

1063 Decision support involves engaging effective two-way communication between the
1064 producers and users of climate information (Jacobs *et al.*, 2005; 2006; Lemos and
1065 Morehouse, 2005; NRC, 1999, 2006) rather than just the development of tools and
1066 products that may also be useful though less fundamental. This conception of decision
1067 support brings into focus human relationships and networks in information utilization.
1068 The test of transformed information is that it is trusted and considered reliable, and is
1069 fostered by familiarity and repeated interaction between information collaborators and the
1070 working and reworking of relationships. A knowledge network is built through such
1071 human interactions across organizational boundaries and creating and conveying
1072 information that is end to end useful for all participants ranging from scientists to
1073 multiple decision makers.

1074

1075 A variety of mechanisms can be employed to foster the creation of knowledge networks
1076 and the coproduction of knowledge that transcends that otherwise available. Among such
1077 mechanisms are boundary organizations that play an intermediary role between different
1078 organizations, specializations, disciplines, practices, and functions including science and
1079 policy (Cash, 2001; Clark *et al.*, 2002; Guston, 2001) These organizations can play a
1080 variety of roles in decision support that include convening, collaboration, mediation and
1081 the production of boundary objects. A boundary object is a prototype, model or other

1082 artifact upon which collaboration can occur across different kinds of boundaries during
1083 which such collaboration participants may come to appreciate the contribution of other
1084 kinds of knowledge, perspectives, expertise or practice and how it may augment, help or
1085 modify their own knowledge (Star,1989). A fish ladder is a kind of boundary object since
1086 it is an add-on to a dam structure and must be part of structural design. At the same time
1087 it serves fish species and needs the insight of biologists for it to work.

1088

1089 **1.3 OUTLINE OF THE REPORT AND WHERE PROSPECTUS QUESTIONS**
1090 **ARE ADDRESSED**

1091 This Chapter addresses what types of seasonal interannual forecasts related decisions are
1092 made in the water community and what role could such forecasts play. It describes the
1093 general contextual opportunities and limitations to innovations such as the use of seasonal
1094 to interannual forecast information would entail.

1095

1096 Chapter 2 answers the question: what are seasonal and interannual forecast products and
1097 how do they evolve from a scientific prototype to an operational product? It also
1098 addresses the issue of skill and the impediments to progress in improving skill, and the
1099 steps that are taken to ensure that a product is needed and will be used in decision
1100 support. It describes the level of confidence about seasonal to interannual forecast
1101 products in the science and decision-making communities.

1102

1103 Chapter 3 focuses on the obstacles, impediments, and challenges in fostering close
1104 collaboration between scientists and decision makers in terms of theory and observation.

1105 The real world barriers encountered in translation of climate variation forecasting
1106 information is explained by a theoretically grounded body of knowledge on why and how
1107 resource decision makers use information. Chapter 3 addresses the following kinds of
1108 questions: How are hazards and risks related to climate variability perceived and
1109 managed? What are the challenges related to finding out and serving the needs of
1110 decision makers? It emphasizes the importance of reliability and trust. It suggests how
1111 decision support could leverage scientific and technological advances.

1112
1113 Chapter 4 provides examples of a range of decision support experiments in the context of
1114 seasonal and interannual forecast information. It describes the limitations on the kinds of
1115 information available and the need to employ logical inference. It also discusses how
1116 decision support tools can be improved.

1117
1118 Chapter 5 provides an overview of this report, especially identifying overarching themes.
1119 It suggests the kinds of research and action needed to improve progress in this area.
1120 Finally, it addresses how the knowledge gained in water resources might be useful to
1121 other sectors.

1122
1123 The Prospectus for this study contained a series of questions that the Climate Change
1124 Science Program Office directed this group to answer within this product. Table 1.2
1125 summarizes the questions and where they are addresses in the report.

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1129 **Table 1.2** Questions To Be Addressed in Synthesis and Assessment Product 5.3
 1130

Prospectus Question	Report Location where Question is Addressed
What seasonal to interannual (<i>e.g.</i> , probabilistic) forecast information do decision makers need to manage water resources?	2.1
What are the seasonal to interannual forecast/data products currently available and how does a product evolve from a scientific prototype to an operational product?	2.2
What is the level of confidence of the product within the science community and within the decision making community, who establishes these confidence levels and how are they determined?	2.2
How do forecasters convey information on climate variability and how is the relative skill and level of confidence of the results communicated to resource managers?	2.3
What is the role of probabilistic forecast information in the context of decision support in the water resources sector?	2.3
How is data quality controlled?	2.3
What steps are taken to ensure that this product is needed and will be used in decision support?	2.5
What types of decisions are made related to water resources?	3.2
What is the role that seasonal to interannual forecasts play and could play?	3.2
How does climate variability influence water resource management?	3.2
What are the obstacles and challenges decision makers face in translating climate forecasts and hydrology information into integrated resource management?	3.2
What are the barriers that exist in convincing decision makers to consider using risk-based hydrology information (including climate forecasts)?	3.2
What challenges do tool developers have in finding out the needs of decision makers?	3.3
How much involvement do practitioners have in product development?	4.1
What are the measurable indicators of progress in terms of access to information and its effective uses?	4.3
Identify critical components, mechanisms, and pathways that have led to successful utilization of climate information by water managers.	4.4
Discuss options for (a) improving the use of existing forecasts/data products and (b) identify other user needs and challenges in order to prioritize research for improving forecasts and products.	4.4 and 5
Discuss how these findings can be transferred to other sectors.	5

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