

SWIM and Horizon 2020 Support Mechanism

Working for a Sustainable Mediterranean, Caring for our Future

Public/stakeholder information, education and participation in decentralised water management

Presented by:

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SWIM and Horizon 2020 SM

“2nd Regional on-site training on Decentralized Water Management” - 17th – 18th April 2018, Vienna, Austria
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This Project is funded by the European Union



umweltbundesamt[®]

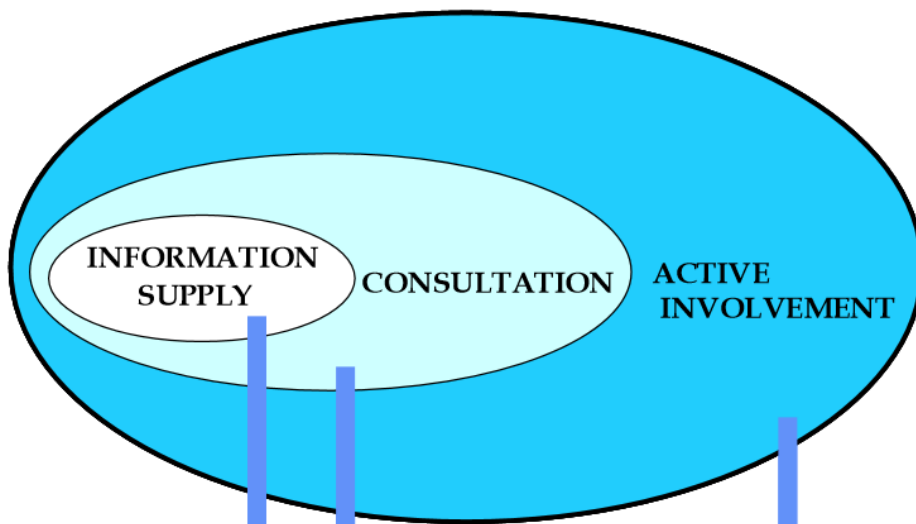
ATKINS

1st training workshop, Brussels, July 2018

“Sharing of experiences from the implementation of the EU Water Framework Directive (WFD) as an instrument for promoting decentralized water management”

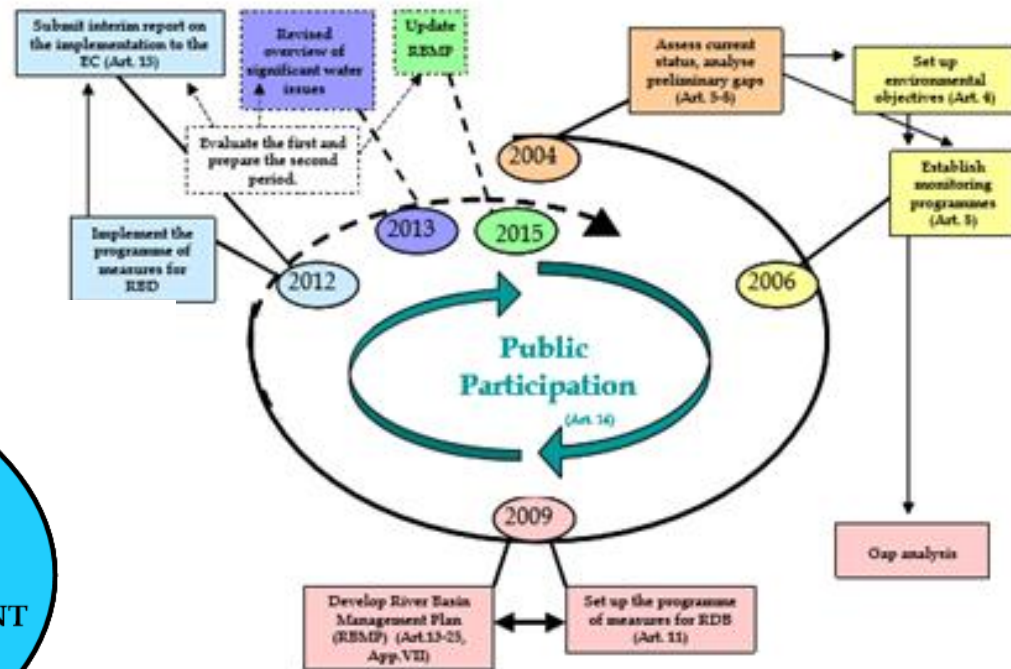


Public participation in the WFD



shall be ensured

shall be encouraged



Source: CIS Guidance Document 2003

Learning objectives of the 1st training workshop

- Develop understanding of key concepts and principles of stakeholder engagement.
- Explore benefits, approaches and techniques for public participation.
- Obtain overview of process of and methods for designing engagement activities.
- Gain first-hand experience in using methods for planning effective public participation.

Lessons learned at the 1st training workshop

- There is no *one size fits* all but **common challenges**.
- The key to effective public/stakeholder participation is **asking the right questions** when planning these activities.
- **Participants have a lot of practical experiences to share!**

Ambitions for the 2nd training workshop

- Establish a common understanding of key concepts and principles of stakeholder engagement.
- Explore how different institutional arrangements can affect participation and planning outcomes.
- Share and discuss experiences to identify challenges and key factors for success!

Session plan

- Introduction
 - *Public participation - When, why and how?*
 - *How to make it work? – Exploring challenges and strategies for realizing the potential of participation*
- Breakout session : Sharing of experiences (facilitated exercise)
- Plenary session: Presentation of group discussions



Introduction

Information, education and participation in decentralised water management: When, why and how?”

What is public/stakeholder participation?

“Public participation encompasses a group of procedures designed to consult, involve, and inform the public to allow those affected by a decision to have an **input** into that decision”.

Terminology used interchangeably here.

Information and education are prerequisites of higher levels of involvement.

Why stakeholder involvement?

Who would be the public in each case?

Normative

„Everyone who is affected by a decision should be involved.“

Substantive

„Planning decisions are better, if we incorporate the public's views and knowledge.“

Instrumental

„By involving the public, decisions will be more easily implemented.“

Social learning

„Participation allows stakeholders and authorities to better understand and accept the different views and expectations“

Benefits

Benefits that **may** arise from stakeholder participation are:

- More informed and transparent decision-making.
- Conflict prevention by development of consensus and information sharing.
- Can help in the implementation of otherwise unpopular decisions.
- Identification of more appropriate (not better!) solutions.
- Establishment of trust and working relationships.
- Learning!

What specific benefits from stakeholder participation have you experienced in your work with stakeholders?

Who to involve?

Any individual or group...

1. Who has the **power to affect** actions, decisions, policies and practices or goals or a plan or project?
2. Who **can affect or is affected** by the actions, decisions, policies and practices or goals of a plan or project?
3. Who **has an interest** in the actions, decisions, policies and practices or goals of a plan or project?

Narrow or broad definition?

A stake: an interest of share in an undertaking

Spectrum: Interest to legal rights

Possible stakeholders

- **Professionals** – public and private sector organisations, professional voluntary groups and professional NGOs (social, economic and environmental). Local authorities and government departments, statutory agencies, conservation groups, business, industry, insurance groups and academia.
- **Local Groups - non-professional organised entities** operating at a local level. It usefully breaks down into:
 - ***Communities centred on place*** – e.g. residents associations and local councils.
 - ***Communities centred on interest*** – e.g. farmers' groups, fishermen, football clubs, hunting groups.
 - ***Communities centred on identity (age, gender, religion, politics)*** e.g. women's groups, school groups, church groups.
- **Individual citizens, farmers and companies** representing themselves. E.g. key individual land owners or local individual residents.

Source: CIS Guidance Document 2003

Conducting a stakeholder analysis

Steps

Step 1: Identify stakeholders

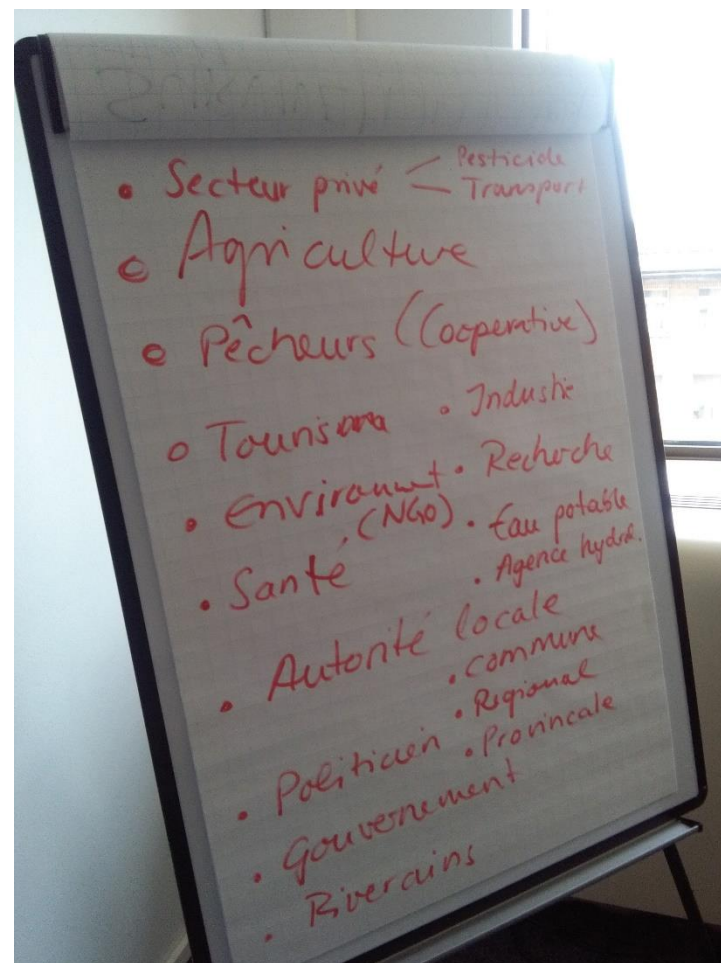
To broadly identify interests and possible representatives.

Step 2: Describe level of influence and interest

To determine relevance for specific issues/planning steps, interests and capacities.

Step 3: Determine participation levels and methods

To develop a draft participation strategy taking where stakeholder interests and capacities match participation objectives.



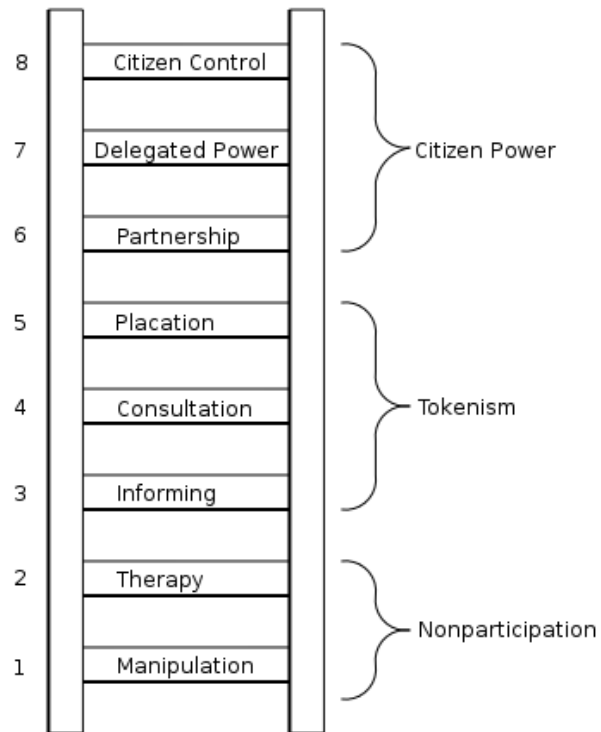
Methods for stakeholder analysis

Interest	
Importance	<p>A. High interest/Importance, High Influence These stakeholders are the basis for an effective coalition of support.</p> <p>Treat fairly</p>
	<p>B. High Interest, Low influence These stakeholders require special attention; their interests must be protected.</p> <p>Strategic threat/opportunity</p>
Importance	<p>C. Low Interest/High Importance, High influence These stakeholders can influence the outcomes but their priorities may not be those of groundwater management. They may be a risk to progress, but could also present an opportunity if incentivised.</p> <p>Low priority</p>
	<p>D. Low Interest/Importance, Low influence These stakeholders are of least importance to the project.</p> <p>Keep involved and informed</p>

*Have you applied similar methods in past participation processes?
 Could you give examples of each of these categories in your basin area, catchment or a specific project?*

How is it done?

The theoretical perspective



Arnstein's ladder

An alternative view:
„Form follows function“





Increasing level of public impact

	Inform	Consult	Involve	Collaborate	Empower
Goal	To provide balanced & objective information to help public understand problems, options, solutions.	To obtain feedback on analysis, alternatives, decisions.	To work directly with the public throughout the process to ensure that public concerns & aspirations are understood & considered.	To partner with public in each aspect of the decision including the development of alternatives & identification of preferred solution.	To place final decision-making in the hands of the public.
Promise to public	We will keep you informed.	We will keep you informed, listen to concerns & aspirations, & provide feedback on how public input influenced the decision.	We will work with you to ensure your concerns & aspirations are directly reflected in options developed, & provide feedback on how public input influenced the decision.	We will look for your advice in formulating solutions & incorporate your input into the decisions to the maximum extent possible.	We will implement what you decide.
Example techniques	Brochures Web sites Exhibitions	Public comment Focus groups Public meetings	Workshops Scenario planning	Advisory committees	Citizen juries Ballots

Selecting institutional arrangements & methods

...based on level of engagement sought.

COMMUNICATION

- Information sharing
- Employee training
- Project bulletins and letters to targeted audiences
- Company brochures and reports
- Internal and external newsletters
- Web sites
- Technical briefings
- Speeches, conference presentations, displays, handouts and videos
- Open houses and town hall meetings

CONSULTATION

- Questionnaire surveys
- Focus groups
- Workplace assessments
- Ad hoc stakeholder advisory meetings (e.g., community consultations)
- Standing stakeholder advisory forums
- Online feedback and discussion forums

DIALOGUE

- Multi-stakeholder forums
- Advisory panels
- Leadership summits
- Virtual engagement on intranets and the Internet

PARTNERSHIPS

- Joint ventures
- Local sustainable development projects
- Multi-stakeholder initiatives
- Alliances

Selecting institutional arrangements & methods

...phase of the planning process

TOOLS AND TECHNIQUES Categorised by main support and by aim or method.	PHASES OF THE PARTICIPATION PROCESS				
	Starting Organisa- tion	Actors analysis context	Diagnostic of the current situation	Search of solutions	Implement- ation, evaluation
INTERNET – WEB					
- Interactive Geographic Information Systems (Web GIS).			*	*	
- Interactive Web Site	*	*	*	*	
- Informative Web Sites Web, polls via internet.	*	*	*		
- Tools for self-evaluation (Web Site, virtual information centre).					*
«CLASSICAL» COMMUNICATION TOOLS					
- Tools for passive information.	*				
- Tools for active information.	*				
- Collection of comments by poll or interviews.		*	*	*	
GROUPS MEETINGS, WORKSHOPS					
- Public audience.			*	*	
- Group for actors analysis.		*			*
- Group for „Participatory Rapid Appraisal“		*	*		
- Group for „Evaluation of the Citizens Values“	*		*	*	
- Thematic Round table				*	
- Prospective Conference				*	
- Workshop for participatory conception of solutions				*	*
- Participatory follow up and evaluation					



Introduction

Practical experiences with public/stakeholder information, education and participation – How to make it work?

Is participation an effective tool ?

Why?

- Capture local knowledge / identify local issues / problems
- Promote consensus / coalitions
- Identify achievable objectives / solutions
- Facilitate early trade-off debates
- Educate / inform
- Identify key personalities, stakeholders, and interest groups who may help or hinder the project.
- Involve stakeholders before they involve you !!

Why not?

- Reactive planning
- Closing the expert - layman gap
- Variability of commitment
- Danger of sensitising the community
- Dominance of entrenched power structures
- Turf wars
- Cost & resource burden (important if process is non-statutory)
- Raising unrealistic expectations
- Delay decision making process
- Undermining role and authority of elected representatives

A 'best practice' participation model ?

Unlikely

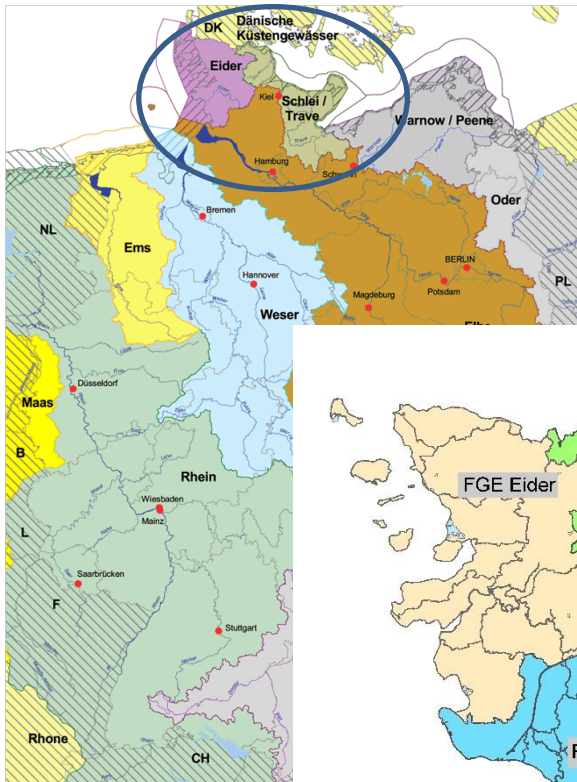
What little empirical evidence there is available suggests that what 'works' in practice is dependent on the 'who', 'what', 'why', and even 'where' of the scheme.



A point by point schedule of actions appropriate for all cases at all times is perhaps an illusory goal.

Guidance on principles, process and strategies to respond to specific challenges might be of more use.

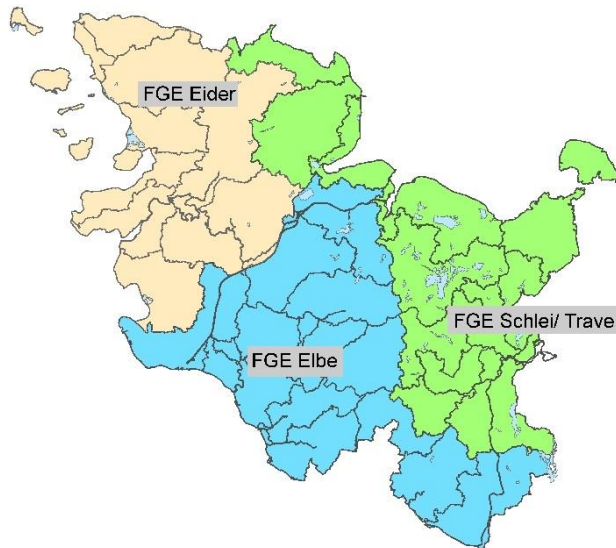
Successful examples – how did they get it right?



Flussgebietseinheiten in der Bunde
(Richtlinie 2000/60/EG - Wasserrah)

Die Markierung und Kennzeichnung der außerhalb der Ger
internationaler Flussgebietseinheiten dienen lediglich der Vi
Staaten sowie internationale Abstimmungen unberührt.

Quelle: Umweltbundesamt, Juni 2004



Schleswig-Holstein, Germany

- RBD Eider, Schlei/Trave, and Elbe
- Implementation
 - *Competent authority:* Ministry of Environment
 - *Working level:* Water & Soil Associations

Participation activity	Stakeholders	Meetings	Purpose
3 RBD Advisory Councils	Relevant authorities and administrations, e.g. rural development, nature conservation Farmer associations Industry/trade associations Recreational water user associations Environmental organisations Forestry/forest owner groups	Twice/year	To inform participants about the planning process and specific projects. To provide opportunities to voice concerns, opinions and contribute new ideas.
34 Working Groups (established in 2002, small sub-catchments)	8 to 10 members: Local authorities, water user associations, agriculture, fisheries, local and regional environmental NGOs, regional water authorities; led by Water & Soil Associations	Since 2002; bi-monthly or monthly meetings.	Working Groups support local implementation of WFD by examining & providing data; development of local measures. Meetings chaired by member of the association; groups examine, discuss, and eventually amend planning documents to be forwarded to the authority; contractual agreement between Ministry and each Working Group (!).

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Outcomes

- Measures get integrated in planning documents;
- High level of acceptance by those involved in local implementation

Kävlinge River Project

Collaborative project on nutrient mitigation (1995 municipalities in the catchment)

- Goal: to create 300 ha of wetlands and 200 ha of catchment based on voluntary participation of the
- The formal organization
 - a project board represented by politicians from
 - an advisory committee represented by officials from all municipalities;
 - a consultancy as implementer;
 - working groups and a reference group representing universities and other concerned stakeholders.
- Operational level : farmers who executed the action plan, and the consultancy that assisted farmers
- Collaboration contract which guaranteed that the municipalities jointly financed the project

Has your (catchment) authority established any formal stakeholder management groups?

What have you learned about stakeholder participation from that exercise?

Group discussion

1. What are your experiences with public/stakeholder information, education and participation in decentralised water management?

- What was the context (planning process, decisions, management issue etc.)?
- What was the purpose of the participation process?
- Who was involved?
- How were they involved (level of participation, methods etc.)?
- When were they involved?

2. What are the main challenges of public participation?

- Identify key challenges
- Discuss strategies to address these challenges
- Identify illustrative examples based on your experiences

Practicalities

- Two groups
 - Melanie Muro (English)
 - Eric Mino (French)
- Nominate one rapporteur
- Document results to report back to plenary

Please remember:

- This is your opportunity to share your experiences
- There is no right or wrong!

Some pointers

Checklist for effective participation

Were the objectives clear?

Were the participants representative of all of the interests?

Was the method appropriate to the objectives to be achieved?

Was it clear to participants how their participation could contribute to the decision process?

Was the timing and location of events appropriate for people?

Was adequate time provided for discussion and debate?

Have majority and minority views been sought and acknowledged in the outcome?

Have participants been able to influence the decision?

(Source: after Gray *et al.*, 2003, modified)

Or think about the main questions: Why, who and how (when)?

Documenting your discussions

Challenge	Strategies	Examples
All interest are represented <ul style="list-style-type: none">• Lack of organisation• Lack of knowledge of those affected• Limited time and financial resources		
Participants were able influence the decision <ul style="list-style-type: none">• Participants have high expectations• Some voices are louder than others• ...		

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Factors for success

- Change of attitude of public authorities;
- Changes in procedures (institutionalization of participation);
- Political commitment and resources (e.g. co-financing);
- Capacity building and information of public/stakeholders and authorities;
- Demonstration objects;
- Education/improved awareness of (project/planning) beneficiaries;
- Roles of all actors involved are clear;
- Cooperative attitudes and trust;
- Transparency, openness, information-sharing;
- All relevant interest are included/represented;
- Tailored process design/arrangements: Participation methods are appropriate to meet participation objectives;
- Established participation traditions/continuity.

Source: CIS Guidance Document (2003)