Annex I

Public Participation Techniques

November 2002

Why, who, when, how

The first three fact sheets discuss the preparational steps of the participatory process:
1. Stakeholder analysis;
2. Problem and cause analysis;
3. Communication planning.

In the fourth fact sheet, the different communication techniques are listed, from two perspectives:
4. Interaction and communication tools.

The other fact sheets focus on specific techniques. In the future, e.g. after the Pilot River Basin testing, information sheets can be added.
5. Interviews;
6. Active listening;
7. Workshops;
8. Creative sessions;
9. Citizens' Jury.
10. Interactive Geographic Information Systems (Web GIS)
11. Public hearings (see also tool 9. Citizens'Jury)
12. Monitoring and participatory evaluations
13. Computer tools for processing public comments

Reference list
This list is currently empty but in future links and references to public participation tools can be added.

1. Stakeholder-analysis

When embarking on an interactive process it is of utmost importance to consider who will be participating in the process. To get an overview of all the relevant stakeholders (or actors) in the field of interest, a so called "stakeholder-analysis" can be performed. This analysis reduces the risk of forgetting an important actor and will give an idea about the different angles from which the subject can be viewed.
Stakeholder-analysis itself is a relatively simple and a methodological exercise. And a possible methodology is presented in this annex along with an illustration. However, it is left to the reader to assess how this can be adapted to her/his own situation and made relevant to the economic analysis process.

Background

A stakeholder can be any *relevant* person, group or organisation with an interest in the issue, either because he is going to be affected by the subject (victim, gainer) or because he has influence, knowledge or experience with the subject. The analysis will bring transparancy in what stakeholders already exist and which interests they represent. Types of stakeholders are: government, local authorities, non-governmental institutions, political organisations, research institutes, industries, agriculture, households or other businesses.
A stakeholder-analysis is usually performed starting from the contents of a project using the "who?" question (for example: we want to build a house, who knows how to build it?). Be aware that the problem definition must be clear from the beginning and that the problem shall be viewed from as many different angles as possible.
Besides analysing the stakeholders it can be uselful to map the environment of a project to identify external influences. The map could tell something about the interests, motives and relationships of the actors identified, the field of force they operate in and risks. For example: which stakeholders have a positive or negative influence on the project, who has power, who has the biggest monetary interest? Similar mapping can be done for factors influencing the process, often expressed as threats (e.g. weather, financial or human capacities).
Generally, a process consists of several stages (as illustrated in Figure 1). For every single stage, it should be reviewed which stakeholders are relevant to involve in the process and if the stakeholders have the same "rights". The role and involvement of the stakeholder can differ from stage to stage, and the stakeholder-analysis will make this more transparent.

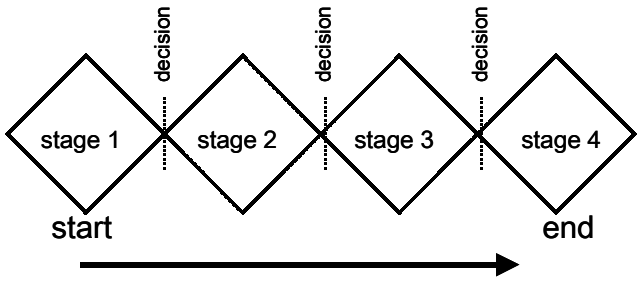


Figure 1: A process represented in diagram form

During the stakeholder-analysis the *degree of involvement* of every stakeholder (per stage) can be labelled as either (see Figure 2):
co-operating/co-working: the stakeholder that will actually participate in and contribute actively to the process (i.e. active involvement);

co-thinking: the stakeholder of which you want input with respect to content, it is a source of knowledge like experts (i.e. consultation);
co-knowing: the stakeholder which does not play an active role in the process but should be informed of its progress (i.e. information supply).

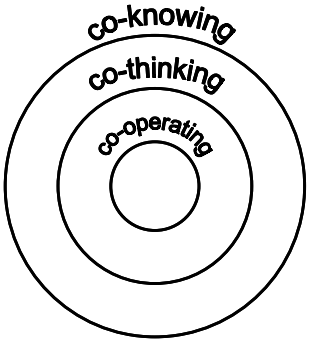


Figure 2: Target scheme to identify degree of involvement of stakeholder

If desired the identification approach can be refined by identifying the type of actor (see Figure 3):
decision maker: stakeholders which decide about the project;
user: stakeholders which use the result or are affected by it;
implementer/executive: the stakeholders that have to implement the results or new policy;
expert/supplier: stakeholders which put information, expertise or means at the disposal of the project.

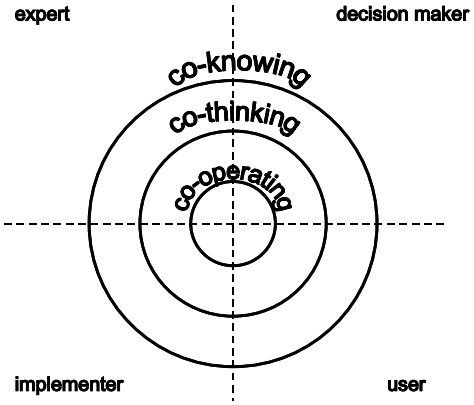


Figure 3: Refined target scheme to identify degree of involvement and type of stakeholder

Important! If the identified stakeholders are going to participate (actively or passively) in the project it is important to give feed-back to the stakeholder and specify clearly their role in order to avoid disappointments: management of expectations.

Stakeholder analysis: a simple methodology

Making the stakeholder analysis operational implies going through a series of steps of questioning and interaction. Although it needs to be adapted and refined to every situation, a simple methodology and series of steps is proposed below.

Step 1 - Define the stage of the process that will be subject to a stakeholder analysis. Putting the subject in question-form makes it usually more accessible and facilitate the identification

of key issues/stages. It appears rather wise to invite stakeholders (of which it is obvious that they are involved) to take part in a brainstorming session;

Step 2 - A group of maximum 10 persons (the project team) including a chairman performs a brainstorming session in which as many stakeholders and perspectives or angles linked to the selected stages are mentioned.
Keep it rather general, name groups or organisations, not yet concrete names or people;
Every suggestion is written down without judgement.

Step 3 - Check if the main perspectives/angles can be split up into sub-units/organised in types;

Step 4 – Allocate to the stakeholders identified a concrete name (and address/contact information);

Step 5 - Check the result:
Did we check all the stages of the process?
Do we have the ones that benefit and the victims?
Is the own project organisation included?
Did we identify the people behind umbrella organisations?

Step 6 - Once the stakeholders are identified, the long list can be ordered by identifying the degree of involvement of each actor in each stage:
Write down every actor on a Post-it notepaper;
Draw up the "target"-scheme with circles on a flap over;
Be clear about the stage in the process that is effectively analysed.

Step 7 - Put the notepapers in the right place in the "target"2) (Figure 2 and if refinement is desired this can be repeated for Figure 3);

Step 8 - Check if there are no big gaps;

Step 9 - Use the result! e.g. for a communication plan to notify concerned stakeholders. Be very clear with each stakeholder about his expected role and involvement in the process (management of expectations);

Step 10 - The brainstorming session can be continued to identify relationships between stakeholders, their interests and motives and factors that influence the process.

Illustration of the stakeholder-analysis

A small case is presented for the illlustration of the methodology. Subject of the case is the pollution at the downstream part of the River Scheldt. The municipalities along the river recognise the problem and and want to improve the water quality, they are initiating this case. The process is described in Figure 4:

2) Keep in mind that the degree of influence of the stakeholders is a factor to be considered. It might be useful more closely to involve "big" actors with much influence to ensure commitment and a supporting basis.

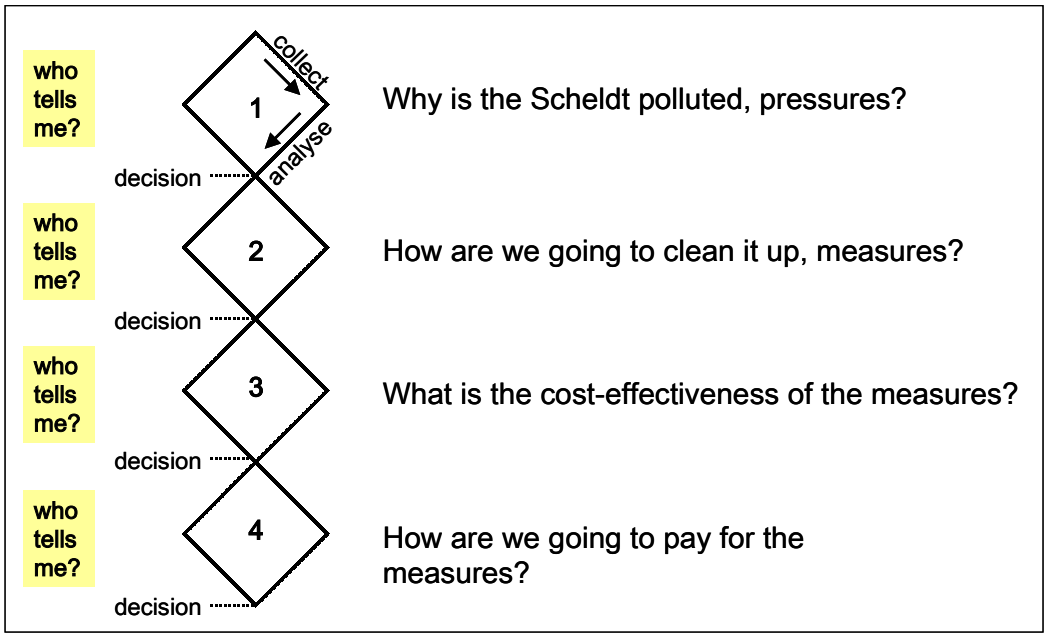


Figure 4: Different stages of a process concerning the pollution of the River Scheldt

Analogous to the presented methodology in the former sub-section, the possible results are presented below for the different steps of the stakeholder analysis and for the stage 1 of the process (i.e. why is the Scheldt polluter, pressures?).

Step 1 - Information is wanted about the pollution in the Scheldt, e.g. "Why is the Scheldt polluted?", who tells me that it is polluted?

Step 2 - The proposed project team will include the municipalities and they have decided to invite also representatives of the harbour of Antwerp and Vlissingen. As many different angles as possible are viewed during a brainstorming session. The output of this session is a (finite) list of stakeholders involved:

ICPS (Scheldt commission)	people in the neighbourhood
agriculture	harbours
recreation	municipalities
dredging companies	shipping traffic
fisherman	industries
government	WWTP

Step 3 – More detailed discussions show that the type "Industries" can be split up into:
- Industries with emission to the air (deposit)
- Industries with discharge to the water

Step 4 - The list is defined more precisely:

ICPS (Scheldt Commission)	people in the neighbourhood
agriculture: - farmer A, B, C - poultry farm D - pig farm E, F	harbours: - Antwerp (B) - Ghent (B) - Terneuzen (NL) - Vlissingen (NL)

recreation: - anglers - canoeists - cyclists	municipalities Antwerp, Ghent, Terneuzen, Vlissingen
dredging companies: - company X - company Y	shipping traffic: - EU umbrella organisation for shipping traffic
Fisheries	industries: - emissions to air: industry G - discharge to water: industry H
Government Belgium (Flandres, Wallonia, Brussels) The Netherlands	WWTP Antwerp, Ghent, Vlissingen, Terneuzen

For all stakeholders the contact person/competent authority should be identified and the address/contact information identified.

Step 5 - Checking the result shows that it is unclear which shipping companies are represented by the "European umbrella organisation for shipping traffic", as only shipping companies operating in the Scheldt area are seen as relevant. This will need further checks by the project team. It is also noticed that environmental NGO's are missing from the list of stakeholders identified so far, and the union for the "Protection of the Scheldt landscape" is added to this list.

Step 6 & 7 - The degree of involvement of the stakeholders is expressed by allocating stakeholders into the target scheme (Figure 5). For the first stage of the process (why is the Scheldt polluted, what are pressures?), much information needs to be collected. Thus many stakeholders end up in the second circle (co-thinking) of the target scheme. Some stakeholders are known to have a great socio-economic influence and are asked to co-operate together with the project team (inner circle). The outer border of the figure show the organisations that will be informed about the project.

Step 8 - Check for gaps in Figure 5, refine it.

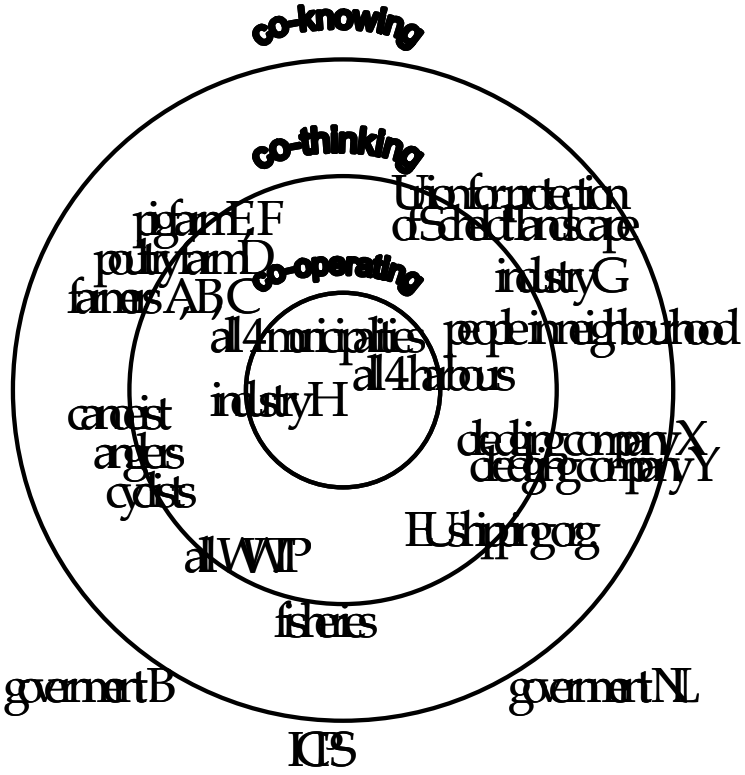


Figure 5: Target scheme with stakeholders who can tell about the pollution of the downstream part of the River Scheldt

Step 9 - The results of the brainstorming session are included into the project plan. Decision is taken that the harbours of Gent and Terneuzen and Industry H that are not yet part of the project team will be approached for co-operation.
Step 10 - The brainstorming session can be continued to refine the target scheme according to Figure 3 and/or to map the environment. Simple questions such as: What is the interest of Industry H?; What is the relationship between municipality A or harbour W? will help increasing the project team understanding of the role and stakeholder relationships.

References

ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2000.

WWF's preliminary comments on Public Participation in the context of the Water Framework Directive and Integrated River Basin Management; *Adam Harrison, Guido Schmidt, Charlie Avis, Rayka Hauser*, WWF, june 2001.

2. Problem and cause analysis

Objective
Good policy starts with a good and divided analysis of the problems and underlying causes, for which the policy should be developed. For this purpose a problem and cause analysis can be applied. It is a schematic reproduction of a causal complex which is hidden under or behind a problem and it forms the conclusion of the exploration phase.
There will be no good basis to reflect upon the problem until there will be an explicit agreement on the issue as outlined in the analysis. In the first place, the analysis contributes as argumentation to the problem solving strategy. Next to this it will function as a ruling document for the competent authorities at their consideration to what causal level or in what area the most successful actions can be undertaken.

Amplification
In may cases the analysis will get the shape of a 'tree': the most penetrating causes are situated at the bottom, while the symptoms can be found at the top. For this reason the tree is to be read from below to above.

The circles are the recapitulations/summaries of groups of quotes from an anthology (possibly supported by small blocks of literal quotes) or literal quotes.
It is preferred to formulate these recaps as close as possible to the original statements; this will lead to more recognition rather than official formulations.

Procedure
The P&C analysis is to be set up by (a part of) the project team. The persons that have to deal with this should know the situation and context well and have some analytic abilities. It is advisable to call upon a person very well experienced in the making of this kind of analysis schedules.

Make 'in relay' an anthology of the quotes

In an anthology the quotes have usually already been classified. Sometimes one can get along quite far by indicating the relations between and within the subjects. The analysis phase will require more or less shoving of the quotes, depending on the number of preparations that have already been taken place.

Separate the quotes or groups of quotes that belong together in the anthology. In doing this you should use your common sense. Dare to let loose the work of the anthology, but keep from doing unnecessary double work.

Tape the flap-overs together and put them on the ground. Put the quotes down and start shoving them: put the most thorough, most fundamental causes at the bottom and put the symptoms at the top. By doing this slowly but surely a (number of) schedule(s) will arise. It is not necessary for the whole group to join in this procedure A number of team members can do this by themselves and in a later stage the complete team can compare the 'cause/consequence-trees. Be aware not to divide the quotes in stacks in a too early stage, as it is important for all team members that they will be able to draw from all quotes available.

Agreement
The P&C analysis will for the first time be submitted to the public for agreement: does everybody agree that this analysis presents a good diagnosis of the problems to which the conductors should take actions?

What does and what does not?
Furthermore a choice needs to be made on which items of the policy route the project team should concentrate. More often the analysis embraces a field to which the project has no influence. For that reason this part drops out, the policy cannot influence this part of the causes. It is important to communicate this conclusion to the public.

Priorities
Priorities can made for the remaining items, with or without the public, but need to be authorized at any case by the competent authority. At the conclusion of the exploring phase it needs to become clear on which causal level/in which field successful actions can take place. It should be the ambition to intervene as deep as possible into the causal complex, in order to prevent the symptom contest. However, the deeper and fundamental the causes, the more difficult it will appear to solve them.

Policy formulation
During the phase of policy formulation the information from the analysis phase can be used as a basis for the shaping of ideas.

Presentation
In a very abstract and analytical way the P&C analysis will give a view of the problems to which the policy should take hold of. It forms the legitimation of choices that are to be made in a later stage of the route. The way of this presentation however will not be appreciated by everybody. Therefore it is advised to use the schedules in a direct way. Or look for an alternative way.
The schedules are adaptable for internal use, as 'evidence' or as input for conversations with some expert groups. For other objective groups images (cartoons, photos, …….), metaphors, a story or a written text can give better results. It is therefore advisable to write down the problem and cause analysis in an accompanying, summarizing text and eventually add the schedules in an enclosure, being a recap of the previous route and as a foundation of the conclusions.

Tips
Pay attention to blind spots: There may lack an important point of view. A number of additional interviews can fill this gap.

The stress for problems and causes may cause quite some resistance: 'how negative this is, while also positive things happen?!' In this case emphasize the objective of the analysis: the searching for the deeper causes of the bottlenecks, not yet for solutions. Essentially for this approach is not to be derived by a vision or being led into a problemsolving direction in an too early stage.

A way to deepen the analysis is the organizing of expert meetings.

Be aware of the question or assignment you give at the presentation of the schedules. The question is not: 'Do you agree?', but: 'Is the analysis right. Does it give a good diagnosis of

the problems to which the policy shout take action?'

It sometimes appears that the schedules are too rough or over-simplified to get good answers: a way to structure the discussions on the P&C analysis is to nominate tangible topics or conclusions, to which the project team should like to gather more information.

A combination of searching for solutions or policy options are at hand here. Moreover while a natural reaction of people will be: "This all sound very good, but what is your aim to this? Where is the link to what you would like to achieve: the policy objectives?"

Reference

ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

3. Communication planning

Objective
Communication is an important instrument in public participation, it is the lubricating oil of the PP-process. The additional schedule can be a first step for the formulation of a communication plan.

Stake
The formulation of a rough communication strategy will take place in an early stage of the route, preferably during the starting phase. At the entering of every next phase the plan will be adjusted, since the role and the dedication of the actors (and therefore their need for information) can change. The added schedule can be used for this as a working schedule and can help in keeping an overview of all communication activities. Naturally a flexible process also demands a flexible communication: a continuous alertness for developments within the project which make communication possible or necessary.

Amplification
The basis of the planning schedule is being formed by the grouping of the actors after involvement. At this inventory the actors are grouped into four main catagories, which all ask for another communicative approach:

Co-operators: members of the project team and others who play an active role in the project (i.e. active involvement).
Communication objective: exchange of information on behalf of the performance of the activities within the project.
Means: project group meetings, lists of action points, working documents, etc.

Co-thinkers: actors who can, at any moment in the process, be consulted or who contribute in an active way (i.e. consultation).
Communication objective: to inform, interest and stimulate a positive, co-working attitude, and who give continuously back-up of the process steps.
Means: interviews and workshops, newsletter, comment rounds, etc.

Co-knowers: actors who need to be well-informed of the project (i.e. information supply)
Communication objective: informing and the possibility to react
Means: a general brochure, intranet site, information meeting, etc.

Deciders: the competent authorization (and their advisors), that can take decisions at critical moments.
Communication objective: to inform, and to stimulate, preferably, an active attitude.
Means: reports, presentations

Along the vertical axe the construction of the process is stated. Here the most important data are implemented. In this way a matrix is being created, in which at any time the the means for every objective group can be filled in.

Procedure
Start making an inventory of the actors after dedication
Fill in the process structure: which data are important?

Pinpoint in every sector of the matrix what you would like to achieve at that particular moment at the various groups (co—workers, co-knowers, etc.). What will be the communication objective and what is the main message in that particular phase of the project?
Now fill in the communication means at the proper point of time in the process structure
- take the existing communication means and – channels as a start
- search for combinations of written and oral communication
Make a planning for each means of communication

Tips
Appoint one member of the project team being explicitly responsible for the communication
Adjust the grouping of the actors at the start of every new step in the process. It can namely be very well possible that a specific actor has been interviewed during the inventory phase, should only be kept informed at a later stage. On the other hand it is imaginable that a 'co-knower' will become a 'co-thinker' during the next phase of the project.
Make sure that no actor 'is being lost': every person that has ever played a role in the project, stays at least a 'co-knower'. Radio silence appears to be an awful let down for actors in interactive processes.
Make use of as much as possible existing communication channels and –means, such as existing consulting organs, the internal newsletter or house-organs, intranet site, etc. Another so much more extra newsletter will lead to an overload, while an small article in existing and well-known newsletter is usually being read better.
It will be possible to set in a number of communication means in a broad way, such as a general brochure, intranet site, a universal report cover, etc. Be on the other hand careful in spreading reports, anthologies, P&C analyses, etc. It is advisable not to send this kind of reports to all co-knowers, but see to a summary. An excess in information will bring the opposite result.
Do always indicate that the project team must be reachable for questions and suggestions and in what way: also here the interactivity should be visible.
It can be useful to give all means of communication within the project its own prospect: a kind of house style, slogan, colour combination or image will make the project recognizable. However, always consider the (substantial) costs versus the benefits. And remember the house style of your own organisation!

Reference
ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

4. Interaction and Communication tools

Workshop, sounding board or interview... The interaction and communication with the environment can be designed in several concrete forms. But which means fits the objective? When to choose what? What are the considerations? This inforsheet offers inspiration for a diversity of means. Also it gives some oversight in the multiformity of choices which you need to take while making a proces design or communication plan.

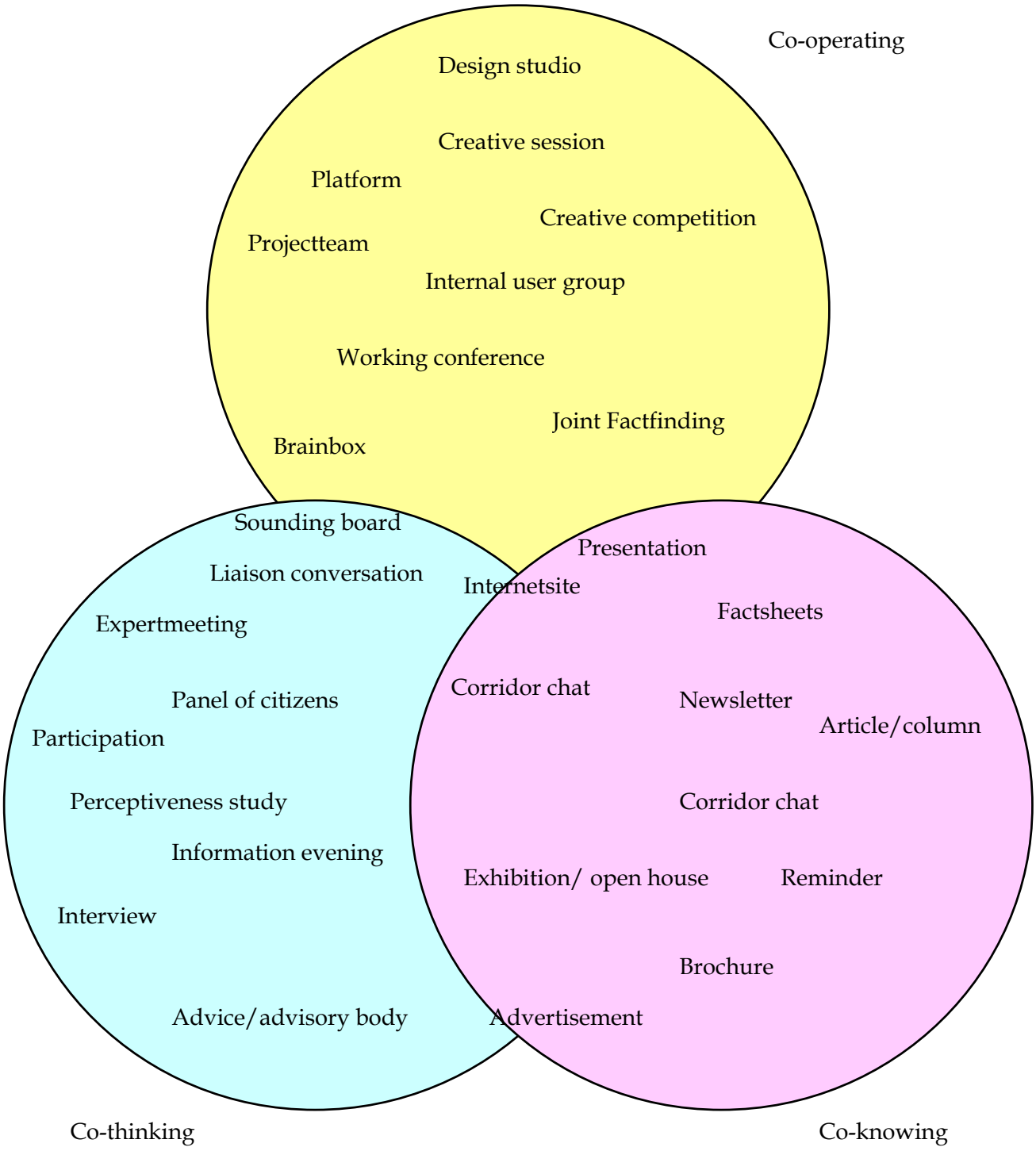
- The first two pages offer a number of criteria that can be of help by choosing certain means;
- Page three offers a "stain chart" with several means, classified after objective;
- Page four and further offer a short description of the different means in alphabetical order.

Criteria: when which means?
What is the aim of the interaction, what do you expect of the parties?
Co-operating: asks for interactive media, such as working meetings, etc.
Co-thinking: asks for "tapping" means, like interviews, discussiongroups..
Co-knowing: asks for advising media, like presentations, articles, factsheets..
using a stakeholder analysis (see first sheet) you can answer this question.
Is it important to pay attention to relationships next to content? If so, choose as little as possible for written communication and as much as possible for personal contact. Do not leave this to third parties but do it yourself.
Is it mainly about communication between project and target group, or also about communication between actors? In the last case, choose group meetings with plenty of time for networking and information exchange.
How much money, time and capacity is available?
Will you use a permanent committee or will you organize a temporary one?
How large are the target groups? The bigger, the more difficult personal communication will be. In that case it is useful to look for liaisons.
Will you ask a selected company, or do you invite everybody to contribute?
Will the information get out of date soon? Do not choose for printed media, but for printing presentations and the internet.

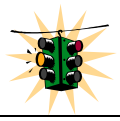
Tips
Do not underestimate the value of showing your face: personal contact will be the best way to establish bonds and to inspire confidence. It also shows that you value the other party.
In general people are bad readers and better listeners. Oral, personal communication is the most effective. Search for the combination: oral supported by written.
Management of expectations: be alwas clear about the status of a certain contact. Tell at the introduction of the day what the objective is and what will happen with the results.
Always state the name of a contact person, or point for reactions, on all communication means.
Do not 'forget' people: once communicating means to continue communicating.
Always provide minutes after a meeting, in which is stated what will happen with the results.
Read also the infosheets in this Annex on Communication Planning and Preparation of Workshops.

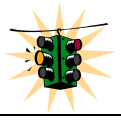
Stain chart for forms of interaction and communication

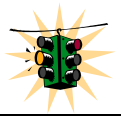
To put into action the different communication means is no hard core science. By presenting them slightly different a co-thinking day can transform into a co-operating day. Often these means are close to each other. The following arrangement gives broad outlines. All means can be found in alphabetical order and with an explanation in the tabel on the next pages.

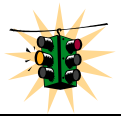


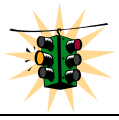
Interaction and communication ABC

Technique	Description	Look out ! 
Advertisement	Certainty that information is presented unchanged at a certain time in a certain medium. Suitable for bringing projects to the attention of for example people living in the neighbourhood of a planned construction project. Can be obligatory in official participation procedures. Can reach a wider public.	Only space for limited information, this can sometimes be understood as "sales talk". Expensive.
Advice/advisory body	An advisory body advises on request of for example the minister or out of their own.	An advisory body cannot be used directly in the project, but can advise in all stages of the policy making process and signalize issues to be put on the agenda or fulfil a canalizing or sounding board function.
Brainbox, electronic meeting, (ballot box)	IT supports participants of a brainstorm meeting, structures information and decision-making. Fast method to collect information with the possibility to give anonymous input.	Experienced facilitator is essential. Combine brainstorming in front of the computer with discussion around the table.
Brochure	Can be used to present a short summary of the project, indicates the most important issues and how to participate. Can be limited to one edition, can be made cheap but also very expensive. Informs many people and restricts misleading information.	Can be interpreted wrongly, contains limited information, no direct feed-back, sometimes hard to disseminate. Quickly out-dated. Always state contact person, telephone number, e-mailaddress.
Corridor chat	Individual (informal) approach of people. Good means to ask attention for project, process or aspects from it and in reverse to see if something goes down well. Get an idea what is at stake	Informal, person-dependent, sensitive to twaddle, does it fit your personal style? info could start to lead a life of its own. Do not forget to update your collegue next door or other departments.

Technique	Description	Look out ! 
Creative competition	Groups with high variety look for innovating solutions in the policy formulating stage while "competing with each other". This method allows for retaining a wider creativity under a longer period, which prevents the drop-out of solutions in an early stage because of compromises.	
Creative sessions	To find and selection of solutions in groups. See further on in Annex I "Creative sessions"	
Design studio	To work in small groups (max 5 p.) to elaborate solutions. "Light" version of creative competition (see there)	
Exhibition, Infocentre, Infopillar, Open house, Reading corner, Posterpresentation, Stand at a fair	To make accessible to interested parties the knowledge of participants. Gives general information at relatively limited costs, you might reach people who wouldn't participate otherwise. The project is made 'visible'.	One-way communication: gives info but does not receive. Use simple and accessible language, no jargon. Pay attention to anouncement. Give name of a contact person and telephonenumber.
Expert meeting	Meeting for collection commentary/observations of experts on ideas or proposals, or to collect specific information. Make sure that the participants do not feel 'drained' on information only: give them something in return	Mobilizing of several experts and finding a date for the meeting can be difficult, invite far in advance. Participating experts can be (bussiness) competitors, they will not speak their minds. The panel chairman needs to know the subject well. Besides contents, think about inviting people with experience/empirical knowledge. If the aggregation of new ideas is the objective: do not limit to one and the same sector or discipline.

Technique	Description	Look out ! 
Factsheets	Give a summarized state of play on ±1 A4. Directed at people who are rather deeply involved in the subject or the proces of the project (co-operators/workers and co-thinkers, sometimes co-knowers). Quick and easy to make, also by having a format on A4 pre-printed which is filled in with up to date information. Relatively cheap.	Probably asks for a repeated publishing. Precisely from deeply involved people it is nice to receive feed-back, but this means does not provide for that. The message should contain tailor-made information, close to the needs of the recipient. Always indicate a contact person.
Information evening	While providing for a meeting point for networking, a group of co-knowers/co-thinkers is informed.	Do not fill in the programme completely, leave some space. Plan long breaks to give opportunity for informal contacts.
Internal user group	Broad composition of sounding board, specifically for internal projects (in organisation of competent authority)	
Interview, personal or by telephone	A direct way to exchange information. Give people the feeling that someone is listening. Combine a in-depht conversation with a networking function. This can be a valuable investment.	Can be time consuming, reach is limited. Do not tender interviews: doing it yourself is likely to increase the involvement.
Intranetsite, Internetsite, Discussion group on internet, Electronic participation and on-line planning	Gives the possibility to inform and interview people via a computernetwork or internet. Participation is made easier. The discussion can be protected against other internetusers.	Computer infrastructure is the limiting factor. Some experience with computers is required. Target group is unverifiable. Maintenance and updating is labour-intensive. Pay much attention to communication to anounce these actions. Discussion group can be a good preparation before a meeting.

Technique	Description	Look out ! 
Joint factfinding-guiding-group	Group of involved parties and interested parties which guides a process of joint factfinding. Group is involved in the formulation of research questions, selection of research bureau and assessment of interim results. Coordinated by initiator with scientific quality check.	
Liaison conversation, conversation with possible mediators	Conversation in which you address someone about his/her membership of other networks/fora and in which you make agreements about the transfer of information (back and forth). Part of the dissemination of information is outsourced and it offers entrance to neighbouring networks, which can be too far from the subject to involve closely.	Most likely you have to approach these liaisons several times. Often you assume implicitely that people inform their own party. However this hardly ever happens automatically (unless the value of the news is high). Provide with supporting information.
Panel of citizens /focus group	Qualitative research under citizents by means of group interviess, in which the projectteam/civil servants follow the interviews in a separate room via cameras. During the interview they can ask the interviewer to ask supplementary questions.	Interviews are done by professional agencies. To find out what citizens think is important with regard to issues such as "safety".
Participation	Can be a legal procedure to give citizens a chance to give their opinion about projects and decisions	
Perceptiveness study	Survey which has the aim to identify value judgement of citizens and the estimation of effects of policies or plans from the perspective of the citizen.	
Platform	More or less fixed committee of representatives of organisations, who meet regularly to exchange organised opinions about a certain theme. Can be used as societal thermometer, for competitive cooperation or for policy preparation.	

Technique	Description	Look out ! 
Presentation	Presentation for formal committees or for a working meeting, etc. You bring the subject to the people which increases the chance that they take note of it.	Timing is very important, even the projectplanning might be adapted to it. Tell clearly in advance why you come to tell something (informative, to probe opinions and what are you going to do with it? will it be used in decision-making?)
Projectteam	Projectleader + team, often from the competent authority that take care of the organisation and steering of the project.	If possible involve people in the team that should play a role in the continuation of the project (next projectleader, more regional civil servants).
Reminder	Small present as a thanks, it works as a reminder for the project. A present of daily use keeps people alert at work.	Keep it austere, it might be governmental money. Try to be original, a stale present works contrarily.
Sounding board	Varied group of stakeholders which follows the policy process closely and which advices the decision-makers regularly about decisions to be taken or the progress.	Make good appointments about the status and the input of the sounding board. Take care of a good secretariat and timely information supply
Working conference (with simulation, brainstorm, priority of alternatives, scenario discussion, etc.)	Meeting with a limited amount of participants to deepen the insight in a problem or to map possible solutions. A lot of information exchange, images, arguments. Solutions can be tried.	Good selection of participants, recruitment, preparation, participation and follow-up take a lot of time. Determine the objective well. I ist diverging or converging? Is the input/ contribution of the participants really useful? See to an adequate facilitator and good reporting.

Reference

ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

An overview of available tools[1]

The available tools can be grouped into five categories according to the main support of these tools : internet – Web, classical communication tools, groups meetings, visits and field observations, softwares.
They can be also categorised according to the phase(s) of the participation process at which they are the most adapted : starting and organisation phase, actors and context analysis, diagnostic of the current situation, search for solutions, implementation and evaluation.

TOOLS AND TECHNIQUES Categorised by main support and by aim or method.	PHASES OF THE PARTICIPATION PROCESS					
	Starting Organization	Actors analysis, context	Diagnostic of the current situation	Search of solutions	Implementation, 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					*	

1 This overview is made on the basis of a study recently ordered by the Water Department of the French Ministry of Ecology and Sustainable Development.
Source : « Comparative study of information and public participation means to water management in three countries : Quebec, The Netherlands and Denmark ». Dominique Drouet, Jean-Philippe Détolle, Michèle Sachs (RDI, Recherche Développement International).

VISITS AND FIELD OBSERVATIONS						
- Observation network of fishes (ROPED). - School network for the study of water pollution, other networks - Visits on the field			* * *	* * *		
OTHERS TOOLS (SOFTWARES)						
- Software tools for the management of the comments.			*	*		

Recommendations for the choice of the tools

The choice of the tools and techniques for information, consultation and participation depends of the objectives, available resources and the step of the process.

Some tools result from a long maturing. This can be considered as a quality proof.

The information collected invite to take into account firstly a range of techniques and tools which are quite classical but which have proved themselves (numerous implementations, often positively judged).

Must also be mentioned, among the tools which improved along the years, some undeniable tools.

A second group to take into account is composed of emerging tools, which are based on communication technologies, such as internet and the Web. Some of these new means must be studied in the viewpoint of the participation process which will be put in place in the middle term.

The use of the formal approach of public audience, even if it seems very efficient, arouses some reserves.

The scale issue appears as essential : it is needed to modulate the objectives according to the scale of the « project ».

5. Interviews

Objective

In public participation the opinion and/or knowledge of the parties concerned play an important part. The question however is how to trace these. A way of "tapping" the environment is to take 1-to-1 interviews with a number of the concerned parties. The target of the interviews seems to be easy: getting to know as much as possible on how the interviewed person thinks about the policy item. The right line of questioning can help to achieve this. Further some tips on how to work out the results.

Main Issue

During the exploring phase taking interviews can be one of the ways to make an inventory of the opinions of the parties concerned. Besides that it is a good way to make personal acquaintance with the concerned parties. The results are being gathered in an anthology, on the basis of which a problem- and cause analysis is being made.

Amplification

A number of very open key questions form the backbone of the conversation. The emphasis lies in the identification of problems and causes.

Key questions:
What kind of developments do you see?
What kind of problems/bottlenecks do you foresee?
In your opinion, what are the causes of these problems?
In your opinion, what is the desirable situation?
Why this strives?
What can you or what would you like to contribute in order to achieve the desired situation?

Help questions

The situation can arise that the questions are too open or that the lecturer has little to stimulate. In a situation like this it would be best to rephrase the question, by which however always the essence (developments, bottlenecks, causes) needs to be maintained.
For example:
Think of developments, both on long as on short term
How do you qualify the problems mentioned: as serious, superficial, etc.?)
Suppose you would look upon your department/field/working area from another point of view/ …….; what kind of problems would you see then?
When would you feel the policy in this field is being adjusted well and why?
What would need to be changed?

Procedure
The project team, eventually completed with a number of others, will take the interviews itself. The number of interviews depends of the outcome of the actor's analysis, but can vary from 15 to even 100 interviews.

The preparation
Determine – by means of an actors inventory and analysis – which actors are the "co-thinkers";
To summarize regularly will bring structure to the conversation and helps the listener to check;
Send invitations in which the motive and the target of the conversation are being mentioned
* inform about the tendency of the conversation, but do not about the literal questions
* make sure the letter is being signed by a high-placed person (the principal)
* make a telephone call after the letters have been sent in order to make a final appointment;
See on beforehand to a clear briefing of all interviewers and eventually to a short training active listening.

The interview
Before the interview: Assure yourself and once more restore in short in which context the conversation needs to take place
During the conversation:
* use the question list as a checklist and …….., not as a ……
* keep track of the time (take one hour as a minimum)
* do not use a tape recorder, but take notes in stitch words
* do not act too formal; see it more as an informal conversation
At the end of the conversation:
* check if all questions are being asked
* ask whether the interviewed person would have something to add
* write down the person's address data
* inform the person what will be done with the notes (are being treated confidentially and will be resumed into an anthology, which is to be ……)

The report
Work out the notes quickly after the interview; at that time it is still fresh in your memory.
The interview reports are only for own use: deal with it in a confidential way and make quotations in the anthology in an anonymous way.
Stay as close as possible to the statements of the interviewed person.
Rephrase in case the statements might be unclear for the team players
Agree to a standard for the processing:
* on the computer
* reward the statements you found of interest for yourself with a *
* classify the answers after sequence of the questions

Tips
Do not contract the taking of the interviews out. The interviews give the possibility to get acquainted with important connections in your working field.
With the dividing of the interviews it is better to prevent that interviewers will take interviews with their own connections. A too great acquaintance can easily result to the effect of "oh, you do understand what I mean by this". By acting like this there will be a great risk that the interview will give a poor result.

Reference

ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

6. Active listening

Objective

The objective of the interviews in the exploring phase seems so easy: getting to know as much as possible on how the interviewed person thinks about the policy item. It however appears to be hard for the interviewers not to enter into the discussion themselves. This can be prevented when interviewers are aware of their own behaviour during these discussions. Some practical tips on listening skills, in order to get the best possible benefit from these interviews:

Main Issue

The below-mentioned guidelines can be used as a basis for a short training for the interviewers in how to listen actively, at the beginning of the exploring phase.

Tips

To do:
Ask open questions:
Ask questions to which the relater can give broad answers, for example questions that start with words like 'how', 'what', 'why', etc.

Summarize:
To summarize regularly will bring structure to the conversation and helps the listener to check whether or not he has understood the issue well: "When I get it well then …'

Ask through:
Questions like 'Do you see any more aspects?' or 'Can you give an example' enter further into the matter.

'Humming'
To 'hum' regularly or to confirm the lecturer ("yes", "indeed") stimulates the lecturer.

Drop a silence
People have a silence tolerance of only a few seconds. After four seconds already someone will continue speaking. It motivates the lecturer if there are moments of silence from time to time: the lecturer will be stimulated to inform his audience further on the matter in question.

Non-verbal communication
Regular eye contact, a slightly bend-forward position, approving nods from time to time, etc. demonstrate of attention for the lecturer.

Not to do:
Do not ask closed questions
Questions like: "Do you know the department?", "Do you like apple pie?" can only be answered by the lecturer with yes or no, and therefore will not bring much new information.

Do not ask multiple choice questions
A variety on the closed questions: "Do you or don't you like apple pie?" This kind of

questions also brings little information.

Do not ask suggestive questions
Strictly taken, the answer is enclosed in this kind of questions: "I take it you do like apple pie? ". The lecturer is being steered in a certain direction when posing this kind of questions.

Do not present your own opinion
The lecturer will be inhibited in telling his story in case you will present your own opinion. It will also inhibit the interviewer to listen well.

Do not enter into a discussion
This is the biggest pitfall for listeners, especially when the lecturer mentions an item which is not agreeable to the interviewer's opinion. However, "yes-no" conversations are conversations with another aim than to gain information.

Do not interrupt
Let the lecturer tell his story.

Reference
ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

7. Preparation of workshops

Workshops – or whatever you call meetings – can be helpful in consulting stakeholders. But only if the contribution to and place in the process is well-considered.

Checklist preparation

1 - Consider the place in the overall process

- In which phase are we?
- Are we in a divergent or the convergent stadium?
- Is there a decision at hand?
- Do we want the people to react or to creatively invent?
- What is the position of the participants in the process?

2 - Determine the problem with regard to the contents

What is the objective of the meeting in terms of contents and relations?
Which questions have to be answered?
Is the group prepared to answer these questions?
Inquire after what is admitted to discuss and what not! Determine the boundary conditions of the conversation: which subjects are no longer under discussion?
Is the objective:

To develop a vision, to collect ideas, then:
pay attention to the human, postpone a judgement.

Decision making, then:
besides diverging also converging and formation of a judgement.

Transfer of knowledge, then:
emphasis on the contents, first establishing a good atmosphere (relations).

Co-operation, then:
build up relations from a common content (e.g. the working process).

Creating a common basis, support, then:
acknowledge and single out anger or resistance, make the boundary conditions for participation explicit.

3 - explore the situation

the group:

What are the features of the group?
How many people are we dealing with?
What type of people are they? Do they know eachother?
Do they have a aggravating previous history?

Are they participating out of free will or is it compulsory? Are they in a good mood (single out aversions or dislike)

Have the participants the same level of thinking?

the location:

Is everything present (whiteboard, pens, overhead projector, beamer, etc.)
Are there enough rooms in case of parallel workshops?
Can you move around the tables/chairs?

How is the atmosphere? It is better to keep the room as close as possible to the usual environment: no energy will be lost on that. A creative brainstorming session asks for a messy space.
available time and moment:

Consider to start the evening before: evenings allow for informal items in the programme, the ritual dancing. Next day you can start immediately with the contents.
what type of facilitator fits in?
Meetings with objectives in terms of relations ask for different capacities than meetings which mainly address contents. The one facilitator can't work with lawyers and rather works with farmers, the other one rather works with policy makers. The type of meeting decides the choice of facilitator.

Basis for the programme-structure
Whatever the objective of the meeting, as a basic rule:
from abstract to concrete, and;
from Conceptualization to Judgement to Decision making.

This brings the following possible basic structure for meetings:
1 preparation of the atmosphere
    a cup of coffee, etc.
2 ritual dancing
    introduction round, networking, opening speech of the project leader, etc.
3 laying eggs
possible frustrations, dissatisfaction, but people also have to get rid of over-enthusiasm and pride with regard to recently achieved results, before they can contribute to the meeting. For example by means of: sticking memo's with their comments to a flip-over and spout knowledge or ventilate criticism.
4 warming-up
    a 'creative warming-up', e story teller, a catching presentation, cartoons, etc.
5 diverge
    make an inventory of ideas, opinions, experiences, etc.
    often in sub-groups
6 converge
    combine and cluster of input, draw conclusions.
    plenary feed-back of the subgroups
7 planning of actions
    planning of actions with regard to the problems or the further process
8 planning of actions
    to agree about actions for the processing of the results of this meeting.

Tips
build in mobility in the programme (walking, to get up from the chair, etc.);
take into account the famous 'dip' after lunch;
see to variety; for example between talking and creativity, or by plenary parts and working in sub-groups;
consider preparatory interviews with key-figures;
make clear agreements about the role of the projectleader/client during the sessions;
keep the projectteam free, so they can orientate on their role with regards to contents. Ask an external facilitator for the supervision of the process.

Reference
ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

8. Creative sessions

The phase of the process in which future policy is formulated centralizes the search for solutions. Creative sessions with groups of co-thinkers is a good way to generate creative and innovative ideas. Some possibilities:

Programme structure
Generally a creative session consists of two stages:
diverging: to generate ideas, "fanning out"
converging: to combine input, search for the leitmotivs, concluding, "bringing together"
(See also infosheet on prepartions of workshops)

A programme for a creative session often contains the following steps:
Context
Clarity about the central question, to give the necessary background information
Explanation of working process and time schedule
Motivating kick-off
Diverging
Setting free of new ideas, individually or in a group
Inventory of ideas (see below)
Converging: structuring
Look for connection/coherence between ideas, for example by means of clustering
Converging: put a name to it
Discussion and drawing conclusions, for example by naming or prioritizing of clusters
Reflection
Take decisions about the incorporation of solutions in the process.
Make agreements about the processing and dissemination of the results.

(co-source: The Institute of Cultural Affairs)

Diverging and converging
All creative sessions have generally the same structure: after a diverging stage (the real brainstorming) follows the converging (analysing and concluding). Several methods can be used. Important is to adapt the method of diverging to the one of converging.
Determine the desired result
Estimate how widely you can diverge to later on converge to this desired result
While diverging think about how you want to converge

Diverging: ways of brainstorming
Some rules of the game are always valid:
Everything anyone says is OK
Postpone judgements
Everything will be written down or recorded in another way
Everybody has to have his/her say

Individual brainstorm
Participants write down for themselves a couple of ideas. Then they select the 5-7 best/funniest ones and give it as input into the group. A safe way of brainstorming,

appropriate for groups with a 'hindering' hierarchy (i.e. people do not feel free) or if the group contains some participants who start controlling the conversation.

Brainstorming with a mindmap

The simplest way of brainstorming is to have people 'shouting' ideas, experiences, etc. The facilitator writes down everything, for example in the form of a mindmap: the central question or subject in the centre and put around (like a spider) the ideas of the group. Ideas that have interlinkages can be put together at once, and clusters are formed. This method works well with groups that have plenty of ideas and with hardly any hierachic tresholds (people feel free to speak).

'Small' design studio

Participants of the workshops are literally going to cut, paste, sing or dance what they actually mean. Size of (sub)group 5-7 people. Make sure you find a nice space with enough material to tinker (old magazines, felt-tips, paper, glue, etc.) in order to stimulate the creativity. Duration at least 2 hours. Appropriate for groups which need stimulation to become active, and you will strike new sources of creativity. Excellent for boring and sleepy times of the day like friday-afternoon.

Associations

Participants are asked to reason from completely different subjects or things towards the subject which is central for the workshop. This method is often applied in the world of Industrial design in order to find innovative solutions. For example: reason from a matchbox to a stadium. Result: an extending soccer field.

But this can work also for questions about organisation or innovative policy solutions. For example by taking the animal world as an example or to benchmark with completely different business areas and to look for differences and similarities. These sessions ask for a relaxed atmosphere.

Searching for images

For sensitive issues (such as the functioning of people or parts of the organisation) it can be useful to ask people about an image or metaphor which they find representative/fitting for themselves or the organisation. Make an inventory of the images and ask what it says about themselves or the organisation; which features are important? Sometimes it can be useful to give a lead for the metaphor, for example an animal or a (type of) car.

Brainbox

A Group Decision Room or Brainbox is a room in which the participants have a computer and are connected with eachother by a network. Everybody can at the same time give input/opinions/ideas (anonymous) and react on eachothers remarks. In a short time a lot of information will be generated and it stimulates creativity. The software should have the following possibilities: brainstorming, ranking/clustering of ideas, prioritizing or voting and discussion. Suitable for both diverging and converging, for large groups with varying backgrounds, complex matters and settled habits of communication. An oral plenary session is necessary to evaluate, make agreements on follow-up.

Converging: clustering and prioritizing

Clustering

By putting ideas on yellow Post-it memo's they are easy to move around on a board. Cluster from coarse to fine: firstly make general clusters under one expression (this is about...), later on look for refinements (positive-negative, short term-long term, etc.) and make sentences that summarize the cluster.

Give points, score

Everybody can give points or marks. For example 1x8, 2x4, 4x2 and 8x1 points to a list of items. The result is a kind of thermometer: the options with most points are accepted by

definition, also drop-outs will be clear. Discussion can focus on the options with a mean score.

Stickering

Everybody can distribute 10 stickers to the options of his/her choice. The result will be more diffuse than giving points but also less confronting.

Feed-back and discussion

Methods of brainstorming like the design studio and associative exercises do not lead to lists of options which can be prioritized/ranked. In those cases plenary sessions are used for feedback of the results of (sub)groups and an evaluating discussion takes place under the supervision of a chairman.

Tips

Try as much as possible to work in smaller groups; the bigger the chance that everybody joins in.

Creative sessions take at least half a day.

It could be useful to hire a facilitator/chairman, the projectteam can take part themselves.

Reference

ARB toolkit, Gereedschap voor het managen van open beleidsprocessen (tools for the management of open policy processes); *Adviesunit Resultaatgericht Beleid, Ministry of Public Works, Transport and Water Management*, The Netherlands, 2002.

9. Citizens' Jury

Objective
A citizens' jury (CJ) is a group of randomly selected people, who represent a microcosm of their community, and are paid to attend a series of meetings to learn about and discuss a specific issue and make public their conclusions2. Each juror is supposed to represents the public interest and not his/her own self-interest. The idea behind CJs is that given enough time and information, ordinary people can make decisions about complex policy issues. This method aims to strengthen the democratic process by including within it the considered views of a cross section of members of the public.

Amplification
A typical CJ might have the following characteristics3:
The topic for the jury should be of public interest.
The jurors should be selected on the basis of attitudinal or demographic quotas, or both.
Jurors are paid to attend the CJ, which typically runs for 2-4 full days.
The information presented to jurors should come from several points of view.
A neutral moderator should facilitate all discussion.
The jurors should respond to a "charge" or question.
The jury should have review and approve all their findings and recommendations.
The jurors must be allowed to evaluate the process and make public their views.
The jurors must believe that their recommendations will have an impact or at least be considered.

The Procedure
A CJ will not be appropriate in all situations. Look at the following questions to decide whether this technique should be used4.
Can the issue be distilled into one key question?
Is the issue complex, with various angles or key issues to be considered?
Does the issue require background information?
Is the issue of concern to the community?
Is the sponsoring body open to change in response to the results of the jury?
Can the issue be tackled and a conclusion reached in the time allowed?

Jury Selection
Jury selection is crucial to the success of the process. Typically juries consist of between 12 and 24 participants who are selected to be representative of the relevant population. Jurors should be selected from the affected population in a fair and open way. Some juries are selected in an entirely random manner, for example by using the electoral register. Others use quotas so that representation from different income, racial or attitudinal groups is ensured.

2 Crosby, N. (1995). Citizens' Juries: One Solution for difficult Environmental Questions. In O. Renn, T., Webler, & P. Wiedemann (Eds.), *Fairness and Competence in Citizen Participation* (pp. 157-174). Dordrecht: Kluwer Academic Press.
3 based on Crosby (1995: ibid) and James, R.F. (1999). *Public Participation in Environmental Decision-Making - New Approaches*. Paper presented at the Annual National Conference of the Environment Institute of Australia. Hobart, Tasmania
4 Fife Council (1997). *How to Organise a Citizens Jury*. Corporate Policy. Fife Council. Scotland

Selection of Witnesses
The witnesses chosen should represent different points of view and extreme views from one side of the debate should be balanced with opinions from the other side. Typically witnesses are asked to speak for 15 minutes and answer questions from the jury for a further 30 minutes. Witnesses may appear alone in front of the jury, with another witness, or as part of a panel. An ideal jury would have a mix of these formats in order to vary the sessions and maintain the interest of the jurors.

The procedure
In order for a conscientious atmosphere to prevail, the jury must be carefully organised. There is usually one facilitator who chairs the plenary sessions, explains what is to happen in smaller groups session and aids the jury in coming to a decision at the end of the process. The facilitator may or may not have specific knowledge of the issue under discussion, but must, in all cases, be impartial in their words and actions.
The focus of the whole proceedings should allow the jurors to deliberate on the issue at hand, but in order for this to happen careful arrangements need to be in place, and staff are required to ensure the process runs smoothly. Other than the chief facilitator, additional staff are required to help facilitate smaller group sessions; meet, greet and brief the witnesses before their presentation; and take care of housekeeping arrangements.
The facilitator will meet the jurors in an introductory session. This is held before the start the jury to introduce jurors to each other, to indicate what they might expect to happen in the days of the jury and to introduce any staff involved in the process.
During the process a variety of sessions are usually scheduled. As well as sessions where witnesses make presentations to the jury and answer questions, there are usually sessions where the jury discuss issues together or in small groups. They may be given tasks, for example to identify and rank the benefits of a particular issue. This provides variety for the jury, and helps to break down the big task of the jury into manageable pieces.

Decision making
Consensus is the most desirable means by which to come to a final decision or set of recommendations, although this may not always be possible. In order to reach a consensus plenty of time is needed to work through disagreements, but in some cases no matter how much time is allocated a consensus may not be reached. In such situations a voting system may be used. The way in which a jury makes a decision is important, as exploration of minority views is a valuable feature CJs. Such views should always be reported in the final report.

The Report
The final product of a CJ process is a report, detailing the process and recommendations made by the jury. Typically reports contain all details of the process, including witness presentations, reports on discussion sessions as well as final recommendations, and details of any disagreement. In order to avoid bias in the final report a draft copy is sent to all jurors for comment and agreement before it is finalised. This ensures that any misrepresentation is eliminated before the report goes to the sponsoring body.
The report often also contains some evaluation of the process, from the jurors point of view. The evaluation provides a check to the report, and shows how the jurors felt about the process and the relevance of the findings.
Once the report has been finalised it is sent to the commissioning body, and what happens next depends on the jury process and recommendations.

What Happens Next?
One of the most important elements in a jury process is that the jurors feel their opinion is going to make a difference. It is important that the sponsoring body acts on the jury report. This may take the form of a written report, or a workshop, where the appropriate body discusses the recommendations, explains why it will or will not implement them and provides a timetable for further action.

10. Interactive Geographic Information Systems (Web GIS)

Tool implementation objective(s)	Record public reactions on the basis of locational specificity: the interactive Web site, built with a geographic information system (GIS) core, enables associating public comments with geographic positions or spatial coordinates.
Pertinent participation process phase(s)	Public information dissemination, public hearing, co-production of solutions, co-decisions; the tool may be of use during different stages of a process referred to as either "participatory planning" or "participatory physical planning".
Tool description	Having entered its experimentation phase, the tool has been named "LODERWeb" (for Location-Dependent Reaction" Web). A description is available on the site http://cgi.girs.wageningen-ur.nl/cgi/education. This tool (developed using "Mook Technology" and "ARCView IMS") features a set of videos that provide use instructions (via the "Lotus-Screencam" software), which explain how to generate a reaction connected with a specific location.
Implementation	The methodology employed has been set forth in detail in a Ph.D. dissertation written by R. Kluskens of Wageningen University (Geographic Information Center). The implementation of LODERWeb corresponds to step 6 of this methodology (input of citizen reactions associated with specific geographical locations). Step 7 consists of defining "problem zones" based on these reactions and then proposing these zones as a focus of discussion. ("The application of WebGIS in local participatory physical planning: Development of an interactive Web site to inform and consult citizens about physical plans", February 2000).
Eventual variants	Variants are created by the individual plans, and digitized geographical representations may be incited by this tool.
Implementation examples	Application to the design of a fictitious city called Zwuile containing a population of 23,000. This virtual experimental test involves developing a new industrial zone within the city limits.

Source: R. Kluskens (Wageningen University)

11. Public hearings (see also tool 9. Citizens'Jury)

Tool implementation objective(s)	Present the public with the full set of project components, provide a forum for answering all questions; collect opinions in the form of motions filed before the Hearing Commission, and then defended by their respective authors. This procedure satisfies legal requirements and allows officially recording public motions.
Pertinent participation process phase(s)	The entire project, yet most specifically during the diagnosis-building and solution-design phases.
Tool description	A two-step procedure: overall explanation, with questions from the public and responses from experts affiliated with the pertinent institutions (1); followed by the collection of opinions and reports. In the case of the Quebec water project, the hearing lasted a total of 3 days in each of the 17 regions (with 5 or 6 public sessions held each time). 370 motions were filed and heard before the Commission. All pertinent documents could be accessed and consulted simultaneously at 35 "consultation centers" (municipal libraries, town halls, etc.) (2). The Commission's budget amounted to 2 million Canadian dollars ($CAN) and covered the logistics (transportation, lodging) and salaries of the temporary staff hired for the occasion. ($CAN 200,000 were then added to compensate those who filed reports).
Feedback	For the water management hearing held in Quebec: importance of the role played by the Hearing Commission in stimulating public debate; complete transparency, extremely responsive to all participants; inclusion of the full diversity of opinions expressed; legal protection of Commission members. Chief among the difficulties encountered: the procedure tends to overemphasize the opposition, may become repetitive and may be monopolized by a minority interest (for the purpose of grandstanding). According to the International Association of Public Participation, this tool is one to be avoided if at all possible (otherwise, it should be preceded by a series of informal meetings). For this association, the presence of an audience allows freely expressing reactions, but does not incite dialogue and tends to polarize the competing views.
Implementation examples	Water resources management hearing in Quebec (see data sheet).

Sources: A. Beauchamp (Environ-Sage Inc.) - President of the Commission assigned the public hearing on Quebec water management issues, R. Beaudet - Public Hearing Office in Environmental Issues (BAPE), H. Marchand (BAPE)

Notes on the "Public hearings" tool sheet

(1) In the case of the Quebec public hearings, the first phase was actually conducted in two stages. BAPE started by producing a base document that served to frame the approach and initiate discussion. According to some participants, this document "lacked substance" and did not help sharpen the public's comprehension of the stakes involved. The Environment Ministry then completed this document by drafting a profile of water-related

issues specific to each of the 17 jurisdictions engaged in the hearing process. Next, all of the ministries with oversight in the field of water management attended a joint work session in order to file the necessary documents and handle questions from the public. This approach gave rise to a two-level probe:

- A global level dealing with the entire province of Quebec, where water resource protection problems due to private operations lie at the heart of the debate over exporting groundwater or surface water and privatizing publicly-owned infrastructure;
- A more local and practical level concerning issues specific to each region: water quality, health risks, groundwater risks related to belowground disposal sites, agricultural production activities, etc.

(2) The Commission was composed of 3 commissioners (including the President), 2 analysts, a planning officer, an information officer and 11 experts.

The complexity of the issues were more pronounced in those territories under convention rule, i.e. the northern regions inhabited by native Inuit and Cris peoples, which are exempt from Article 31 of the law on environmental quality. It thus became necessary to set up a protocol agreement between these territories and the provincial government in order to integrate the BAPE-led consultation.

12. Monitoring and participatory evaluations

Tool implementation objective(s)	Enable a project evaluation to be performed by those most directly concerned (and not exclusively by project sponsors). This tool entails evaluating both the project and its results (plan, etc.) as opposed to merely evaluating the public participation aspect.
Pertinent participation process phase(s)	Evaluation phase.
Tool description	This tool differs from traditional monitoring and evaluation methods for several reasons: - The process has been designed and managed not by the project leaders or an outside expert, but rather by the stakeholders in conjunction with the project team (often assisted by a "facilitator"). - The stakeholders design and adapt the method, collect and analyze the data. - The indicators are defined by stakeholders. A number of supporting materials may be used when implementing this type of monitoring-evaluation: maps (for locating project-induced changes), relational diagrams (among groups, institutions, etc.), and scoring grids (for comparing preferences and results).
Feedback	The success of this approach requires involvement of both men and women, intermediary organizations (including NGOs), interested private companies and those assigned institutional oversight. The application example for this technique in the case of Local Agenda 21 monitoring and evaluation highlights the advantages of this approach in defining the set of monitoring and evaluation indicators (since selected indicators, in some instances, do allow revealing "unsuspected problems").
Implementation examples	"Citizen learning teams" in the United States set up to monitor and evaluate federal programs; Local Agenda 21 tracking in the United Kingdom.

Source: Institute of Development Studies (IDS Policy Briefing No. 12)

13. Computer tools for processing public comments

Tool implementation objective(s)	Procure elements contained within reports and documents filed as part of a public hearing process, in addition to any comments received. Acquire the capability to numerically handle all of these elements in order to analyze and then integrate them into the final report.
Pertinent participation process phase(s)	In the case of Quebec's public consultation, a software application was used during the report-writing phase, following the second public hearing phase.
Tool description	This software is distributed by the Quebec company AGIR, which has developed a new technology in the field of information tracking, one of whose original features pertains to the technique of searching by means of indexed language sequencing. This software is called "Naturel" (Marketing Director: Pierre-Paul Proulx, ppproulx@natquest.com). This tool corresponds to a conventional query-type instrument: digital archives are stored in the form of Word files (PDF files seem to cause problems). The tool builds an index from this databank of documents. The project manager is then able, using keywords, to access the set of documents in which these words have been found by the tool. (The user is directly referred to text passages where the keywords were identified.) The tool also allows for statistical processing (frequency of terminology, number of documents in which a particular keyword appears, etc.).
Implementation examples	At the time of Quebec's public consultation on water management, all 370 reports (14,000 pages of documents) filed in digital format were loaded into a database and queried using the "Naturel" software developed by AGIR.
Feedback	Use of a standard software application, which does not require any modifications to meet BAPE's needs: according to the BAPE project leader, the software is easy to use and does not necessitate any special training - one to be recommended. For further information, contact Stéphane Moreau: stephane.moreau@bape.gouv.qc.ca

Sources: S. Moreau, R. Beaudet and H. Marchand - Public Hearing Office in Environmental Issues (BAPE), Web site www.natquest.com

Reference List

Annex II

Examples of Public Participation in water management projects

November 2002

Introduction

This annex
aims at providing and explaining examples of public participation in water management projects in some Member States and Eastern Europe,
demonstrates the range of possible approaches with regard to public participation on different scales and with regard to various issues,
aims at motivating competent authorities to try new tools and methods.

The matrix on page 5 will help to find the examples you are most interested in.

The examples are mostly from the past and do not deal especially with the Water Framework Directive (WFD). Others are current examples with regard to the implementation of the WFD, but of course not finalised yet.

The examples are mostly positive, but some of them show also the difficulties and mistakes that may happen. Therefore the examples are about "lessons learnt"!

The list of examples is in no way exclusive, there are much more examples, of course also from outside Europe. In this context it should be mentioned that there are ongoing or just finalised research projects, which provide more examples and approaches with regard to public participation and WFD:

- French Study comparing public participation tools and techniques in the Netherlands, Denmark and Canada (finalised), for more information contact: Ministry of Ecology and Sustainable Development, Water Department - 20 avenue de Ségur - 75 302 PARIS Cedex 07, Madame Coralie NOËL - Bureau de l'économie de l'eau et de la programmation, phone: (00 33) 1 42 19 13 76 - Fax : (00 33) 1 42 19 12 94, E-mail : coralie.noel@environnement.gouv.fr

- ongoing SLIM (Social Learning for the Integrated Management and Sustainable Use of Water at Catchment level) project in England/Scotland, France, Italy and the Netherlands, for more information contact: http://www.slim.open.ac.uk/

- ongoing HARMONICOP project (preparation of a "Handbook on PP methodologies" (WFD), comparison and assessment of national PP experiences and their background), for more information contact: www.usf.uni-osnabrueck.de/~pahl/projekte/harmonicop

List of examples by country

The scale of examples and the degree of public participation

Level\PP	Active involvement	Consultation	Information
International	Danube River Commission (32.)	Danube River Commission (32.)	Danube River Commission (32.)
National	RBM plans in Flanders (1.) DEFRA Stakeholder Sounding Board (6.) National commission for Public Debate (15.) SEPA activities (22.) River Emå (28.)	 DEFRA Stakeholder Sounding Board (6.) National Water Council (11.) National Commission for Public Debate (15.) SEPA activities (22.) Global flood defense plan Júcar (25.) River Emå (28.) Water association of river Fyrisån (30.)	RBM plans in Flanders (1.) National commission for Public Debate (15.) Information Letters in Thuringia (16.) SEPA activities (22.) River Emå (28.)
Regional	 Westcountry Rivers Trust (5.) SDAGE (12.) Niers Regional forums (17.)	Regional Planning System (2.) Westcountry Rivers Trust (5.) SDAGE (12.) Niers Regional forums (17.)	Regional Planning System (2.) Niers Regional forums (17.)

Level\PP	Active involvement	Consultation	Information
Regional <continued>	IIVR project (20.) Balearic Islands (27.)	Integrated Reconnaissance (19.) Technical Annexes II and V of the WFD (24.)	Integrated Reconnaissance (19.) IIVR project (20.) Technical Annexes II and V of the WFD (24.)
Local	The Tubaek Stream (3.) Reducing water consumption in Graphics Corporate Sector (4.) Wise Use Project, Somerset (7.) Fens Floodplain project, East of England (8.) Lake Pyhäjärvi (10.) SAGE projects (13.) Drôme river, SAGE (14.) Erne Sustainable Wetlands Project (18.) Municipal Water plan Hilversum (21.)	Nõo rural district development of a municipal water supply and sewage system plan (9.) SAGE projects (13.) Drôme river, SAGE (14.)	

Level\PP	Active involvement	Consultation	Information
Local <continued>		Ettrick project (23.)	Ettrick project (23.)
	Alcobendas - city of water (26.)	Alcobendas - city of water (26.)	Alcobendas - city of water (26.)
	River Emå (28.)	River Emå (28.)	
		Municipal Water Plan of Örebro (29.)	Municipal Water Plan of Örebro (29.)
	The Water Association of river Fyrisån (30.)		The Water Association of river Fyrisån (30.)
	Helcom MLW (31.)	Helcom MLW (31.)	Helcom MLW (31.)
	Lower Danube Green Corridor (33.)		

1. River sub basin management plans in Flanders, Belgium

Inspiration points/key points;
Integral water management, planning at river basin level, participation in different phases of the process, stakeholders, participatory working groups, interviews, surveys,…

Aim/objective of the project;
In Flanders, the water system is managed by several local (a.o. provinces, communities) and regional (Flemish) authorities. Because of different concerns and interests of these authorities on the one hand, and because of the role that stakeholders play in using the water system on the other hand, 11 river basin management plans will be made in a participatory manner.
These management plans will include:
A description of the water system and its surroundings;
A description of the needs of the stakeholders;
An analysis of these descriptions, the bottlenecks and expectations;
A vision on the development of the water system (including goals);
Programme of measures
The ultimate goal is to create en more practical level for collecting and analysing information and to ensure more participation from all stakeholders. These sub basin plans will be used as an input for the making of (international) river basin management plans.

Scale/unit of planning;
11 river (sub)basins in Flanders

Period:
2001-2006

Objective of Public Participation (Why PP?)
To involve all authorities and come to an agreement on the development of the water system;
To involve all stakeholders and public in general;
To inform the public in order to develop sustainable water management

Who participated and how (Degree/form of public participation) in what phase of the planning:
A description of the water system and its surroundings: consultation of all authorities, universities and (some) stakeholders in a working group;
A description of the needs of the stakeholders: active involvement of the stakeholders, mostly by interviews with representatives of 12 designated sectors (written enquiries are not efficient);
An analysis of these descriptions, the bottlenecks and expectations: active involvement of authorities and stakeholders (done by several workshops and interviews with key players);
A vision on the development of the water system (including goals): active involvement of authorities and stakeholders;
Programme of measures : active involvement of authorities and stakeholders;

Methods and tools applied
Consultation of stakeholders (key players) by written enquiries, interviews, workshops;
Per sub basin, a working group with representatives from all authorities has been created to evaluate the results;
Website for communication with all stakeholders: www.bekkenwerking.be

Major input of stakeholders
Knowledge; indication of specific problems and solutions; feedback on proposed texts (support or disagreement)

Tangible result
PP is necessary for acceptance of regional planning process as an important tool. Once contacted and convinced, it is much easier to keep everybody focused on the (importance of) making regional management plans.

Lessons learnt
Personal contact with key players of stakeholders is very important and creates added value to the planning process. This personal contact ensures a continuous interest. Thus, it is best to keep them well informed of all stages in the process.

Formal procedures for PP
For the time being, no formal procedures exist. There is however a manual made (that is being continuously updated).

Cost of the project
A minimum of 4 persons per sub basin is required. For the sectoral analysis, support by an external partner is useful (cost: appx 75.000 euro per sub basin)

For more information contact:
Didier D'hont
Ministry of Flanders
Aminal, Water Dept. (E. Jacqmainlaan 20 box 5, 1000 Brussel)
Didier.dhont@lin.vlaanderen.be

Available reports:
www.bekkenwerking.be

2. Regional Planning System, Denmark

Inspiration points;
Integration of land-use and water use; public consultation procedures

Aim/objective of the project;
Regional planning in Denmark integrates land-use and water management and provides the framework for agriculture, forestry, assignment of areas sensitive to groundwater, areas assigned for nature corridors, location of large infrastructure and urban development
The system is linked closely with the EIA requirements as well as all activities related to wastewater treatment planning, drinking water supply and nature restoration
Thus, the strength of the system is its high degree of integration between land-use and water management

Scale/unit of planning;
Regional planning system, Denmark, up to 5.000 km2

Period:
Since 1970ies

Objective of Public Participation (Why PP?)
PP is provided at consultation level through public hearing procedures.

Who participated and how (Degree/form of public participation) in what phase of the planning:
The number of people attending public meetings, though, is not very high. Stakeholders – organisations, industry, farmers etc. – provide their opinion through letters as well as bi-lateral meetings with the County

Methods and tools applied;
Formal public hearing rounds via electronic media, local and regional press, publications available in public buildings etc.

Major input of stakeholders
Knowledge. Support or disagreement communicated.

Tangible result (effect) of PP?
Opportunity provided for the broad public as well as key stakeholders to influence the process. Acceptance of the regional planning system as the most feasible approach for linking water use and land use.

Lessons learnt:
Lessons learned: integration of coastal waters in the regional planning has to take place across watershed boundaries; this is organised through county co-operation structures, but measures may vary from county to county; the Danish Water Action Plan is implemented through the counties, but has still difficulties in addressing non-point sources

Formal Procedures for PP

Described in the Law on Regional Planning.

For more information contact:

Danish Ministry of Environment
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

Available reports

www.mem.dk

3. Tubaek Stream, Denmark

Inspiration points;
Involving farmers as partners in water management

Aim/objective of the project;
A 3-year project involving 1 person from the county and 1 from the farmers union aiming at involving all farmers (approx 50) in the 15 km Tubaek Stream in voluntary agreements regarding reducing excessive use of nutrients and pesticides. Through a carefully planned dialogue, a positive and constructive co-operation was established with the farmers, leading to substantial cuts in run-off of nitrogen, full cut of excessive use of phosporous and pesticides. The basis for the voluntary agreements was the existing framework for supporting environmentally-friendly farming, which has its origin in the 2nd pillar of the CAP

Scale/unit of planning;
A 15 km stream and its catchment within the county of Storstroem

Period:
1998-2001

Objective of Public Participation (Why PP?)
To establish a win-win situation, which involves farmers as partners in water management

Who participated and how (Degree/form of public participation) in what phase of the planning:
Farmers in a local water catchment together with representatives from county and farmers advisory service

Methods and tools applied;
The key to the constructive dialogue was that public meetings were organised through the farmers union and that meetings took place at the farm – the "kitchen-table model".

Major input of stakeholders
Knowledge on local issues, resources in terms of pro-active participation and commitment. Willingness to imply changes in their production practices to ensure environmental quality,

Tangible result (effect) of PP?
Local farmers accepting environmental objectives, contributing pro-actively in implementation of programs perceiving it as a win-win situation, establishment of relations between farmers and the county build on trust.

Lessons learnt:
Lessons learned: farmers can be mobilised for implementing environmentally-friendly practices, provided the dialogue chosen respects the farmer and it meets him at his premises The approach is time-consuming, but prevents conflicts. The results are incorporated into he daily farming activities, hereby creating a win-win situation. The approach builds on existing co-operation structures within the farmers' community.

For more information contact:
Storstroems County, Annette Larsen, ajl@npk.stam.dk
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

Available reports
Forthcoming

4. Reducing Water Consumption in the Graphics Corporate Sector, Denmark

Inspiration points;
Cooperation with business companies. Knowledge on day-to-day business practices. Co-funding in terms of staff time allocated for the demonstration activities. Sharing knowledge with other companies from the sector, which in fact are also their competitors. Cleaner practices in Graphics Sector

Aim/objective of the project;
Aim: to reduce water consumption and environmental impact from companies in the Graphics Corporate Sector through demonstration activities – the result was an impressive 70-90% reduction in the water consumption

Scale/unit of planning;
Company / business sector

Period: 2000

Objective of Public Participation (Why PP?)
For the corporate sector as such to engage in cleaner practices investments, several barriers must be dealt with: lack of information about their environmental problems and related improvement opportunities (knowledge on benefits), lack of interest / motivation (incentives), lack of access to financing. Demonstration of concrete opportunities and providing of win-win examples allows for a new business paradigm to spread. Further, through this co-operation the Competent Authorities also gets input on how to establish a feasible planning and incentives framework.

Who participated and how (Degree/form of public participation) in what phase of the planning:
Danish Environmental Protection Agency unit for cleaner production, consultancy company, selected companies from the Graphics Sector, Graphics Business Sector Association
PP: several companies as well as the Graphics Corporate Sector organisation was involved comprehensively throughout the entire process shaping the improvements within the daily activities of the companies and testing new equipment, supported economically by the project

Methods and tools applied;
Direct involvement of selected companies in concrete activities, elaboration of main results in evaluation report, dissemination through Danish EPA and Graphics Business Sector networks

Major input of stakeholders
Knowledge on day-to-day business practices. Co-funding in terms of staff time allocated for the demonstration activities. Sharing knowledge with other companies from the sector, which in fact are also their competitors.

Tangible result (effect) of PP?
Significant environmental improvements, positive attitude from the Business Sector to implementation of Cleaner Practices, remarkably improved

Lessons learnt:
With rather limited funding schemes, demonstration activities can successfully be conducted, with the results being extracted for later inclusion in revision of environmental regulation of the sector's environmental impact. Through this approach, the new regulation is fully in line with what is possible in the sector, while at the same time the organisation can communicate results as well as the future legislative changes in advance to their members. The investments made from the State budget are later saved in costs for wastewater treatment plants.

For more information contact:
Danish EPA, +45 32660100, Danish Technological University, Christian Poll, cp@ipu.dk
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

5. Westcountry Rivers Trust, England

Inspiration points;
Environmental charitable trust. Development of catchment management activities.

Aim/objective of the project;
The Westcountry Rivers Trust (WRT) is an environmental charitable trust established in 1994/5 to conserve, maintain and improve the natural beauty and ecological integrity of rivers, streams and wetlands. The WRT regards appropriate land management and the restoration of sympathetic flow regimes as central to the recovery of biodiversity. The WRT works both as a leader and facilitator in the region to effect change through the development and delivery of catchment action.

WWF-UK identified the WRT as a partner in 2000. The partnership, still in its early stages, is intended to demonstrate WWF's key policy messages on the ground and to take some of the lessons from WRT's work to national and European level policy arenas. Work on focuses primarily on freshwater conservation, sustainable rural development and other key land use policy areas.

Scale/unit of planning;
The Westcountry Rivers Trust focuses its activities in the south-west of England (the counties of Devon and Cornwall). Specific projects are largely focused at the catchment level (e.g. the Tamar 2000 project was focused on the River Tamar catchment).

Period:
The Westcountry Rivers Trust has been in existence since 1995. Several projects have undertaken since its formation with varying durations. The Tamar 2000 project was funded by the EU under its Objective 5b scheme – it lasted three years.

Objective of Public Participation (Why PP?)
- awareness raising
- to use the knowledge and experience of stakeholders for the sustainable development of river catchment areas
- improved water quality through comprehensive involvement of farmers

Who participated and how (Degree/form of public participation) in what phase of the planning:
Participation has largely focused on farmers and key regional stakeholders (e.g. statutory environment agencies, the local water company, other NGOs).
The WRT works both as a leader and facilitator in the region to effect change through the development and delivery of action. For instance, WRT has recently used WWF-UK funding to bring together key regional stakeholders in a workshop to begin the process of agreeing a long term vision for the landscape of the south-west. The workshop has been followed by a questionnaire exercise which asks stakeholders to identify their priorities for rural land-use. Further follow-up activities are planned.

Major input of stakeholders
Vision on the long term development of the landscape
Priorities for rural land use

Knowledge on local issues, resources in terms of pro-active participation and commitment. Willingness to imply changes in their production practices to ensure environmental quality,

Tangible result (effect) of PP?
WRT projects have resulted in:
Improved river water quality through reduced use of farm chemicals (fertilisers, pesticides etc.). In time this will contribute to enhanced aquatic ecosystems.
Improved farm incomes: more efficient use of water, improved farming practices and reduced chemical use have resulted in net direct benefits of approximately £2,700 per farm per year in two catchments. Indirect benefits have yet to be measured.
The implementation of proposed activities with tangible results like: for example Salmon is back, being able to swim in the river , etc.

Lessons learnt:
One of the most important lessons learned is that farmers are the best people to communicate messages to other farmers. In addition, messages on how to improve rivers and the environment carry more weight if there are clear benefits for farmers.

For more information please contact:
WWF UK, Dave Tickner
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

Available reports
www.wwf.uk

6. DEFRA Stakeholder Sounding Board, England

Key- words;
National stakeholder involvement

Aim/objective of the project;
The terms of reference for the Stakeholder Sounding Board says that it is a forum for stakeholders to:
provide input to DEFRA (Department for Agriculture, Food and Rural Affairs) thinking on transposition, and related policy issues, of the Water Framework Directive (WFD)
raise issues relating to the WFD of concern to the group
provide input into development of a long-term strategy for the environmental quality of water - what it should cover, in what detail, risks and opportunities

Scale/unit of planning;
National – the Stakeholder Sounding Board considers WFD-related issues for the whole of England. To date, no similar groups have been established in Scotland, Wales or Northern Ireland.

Period:
The Stakeholder Sounding Board was established in early 2001 after a request from a group of stakeholder organisations (including WWF-UK). There is no fixed timescale for the group's existence.

Who participated and how (Degree/form of public participation) in what phase of the planning:
The organisations represented on the Stakeholder Sounding Board are:
Government
DEFRA (Department for Agriculture, Food and Rural Affairs)
Statutory agencies
Environment Agency (the government's statutory agency for environmental protection in England and Wales)
English Nature (the government's statutory advisor on, and agency for, nature protection in England)
Private sector
Confederation of British Industry (CBI)
Chemical Industries Association (CIA)
Crop Protection Association (CPA)
Country Land and Business Association (CLA)
National Farmers' Union (NFU)
Water UK (the trade association for UK water companies and water authorities)
NGOs
Royal Society for the Protection of Birds (RSPB)
WWF-UK
Other stakeholders
UK Centre for Economic and Environmental Development (UKCEED)
Office of the National Consumer Council (ONCC)

Participation takes the form of regular meetings (approximately 3 or 4 a year), hosted in turn by different stakeholder Sounding Board members. The meetings are chaired by a senior official from DEFRA. DEFRA also undertakes a secretariat function.

Major input of stakeholders
Individual stakeholder organisations, or small groups of stakeholder organisations, can flag up issues for discussion. They are then invited by the Stakeholder Sounding Board to prepare a paper on the issue. The paper is discussed at subsequent meetings.
DEFRA may also raise agenda items.

Thus, WWF and UKCEED have prepared a paper on public participation; the RSPB and others have prepared a paper on Wetlands and the Water Framework Directive; the RSPB, WWF, Water UK and the NFU are currently preparing a paper on diffuse pollution.

Outstanding issues:
It is not clear what status these papers have within the government. Although the papers include recommendations for action by government and other stakeholders, DEFRA have not made clear whether they will act on those recommendations, even if all stakeholder organisations agree with them.

The relationship between the Stakeholder Sounding Board and the UK government's internal technical advisory group on implementing the WFD has yet to be clarified.

Lessons learnt:
A national forum that allows stakeholders to input directly into policy thinking is genuinely useful. It allows direct access to government officials and provides a mechanism by which government can assess the most important issues. For relatively little cost and effort this enhances the traditional methods of consultation and individual meetings with each stakeholder organisation.

However, it is important that there is full transparency so that stakeholder organisations can see how their ideas and concerns are considered and acted on (or not) by the Government. At the moment, we are still working on this in the Stakeholder Sounding Board.

For more information contact:
WWF UK, David Tickner, DTickner@wwf.org.uk

7. The Wise Use of Floodplains Project in Somerset, England

Our work was made possible through the award of a 50% grant from the EU LIFE Environment Fund programme.

Inspiration points – this example is inspiring because:
in partnership with other initiatives this project facilitated a creative and positive dialogue on the future management of flood events in a catchment, where previously stakeholder views had been polarised for decades to the extent where the conflict had become notorious in national environmental circles.

Aim/objective of the project:
The WUF Project's aim was to encourage the wise use of water resources in river catchments to benefit, people, their livelihoods and their environment. We set out to achieve this by:

1. Generating new options for the sustainable management of flood events across the catchment and annual water levels on the floodplain.
2. Testing public participation methods to find out what were the economic, social and environmental costs and benefits of different options for managing flood events and floodplain water levels

The project, through its participatory approach helped to find out how the policies of the government and European Union needed to be changed to promote sustainable management of the catchment and its floodplain. Findings were passed to managers of river catchments across Europe to enable their governments to implement the WFD.

Scale/unit of planning:
The River Parrett Catchment in the county of Somerset, South West England. It is the largest river system in Somerset covering 1665 km2, about half of the county area and containing five major rivers: the Parrett, Isle, Tone, Yeo and Cary. The floodplain forms a significant part of the Somerset Levels & Moors: - an area of international importance for wildlife.

Period:
January 2000 – March 2002

Objective of Public Participation (Why PP?):
In Somerset, the WUF Project developed new ways of helping stakeholders in the River Parrett Catchment to find sustainable solutions through participation for the management of water, both in flood events and throughout the year.

Who participated and how (Degree/form of public participation) in what phase of the planning:
The Project sought to involve "stakeholders" - anyone or any organisation, at whatever level, with an interest in the management of water resources in the Parrett Catchment. Above all, it offered an opportunity for local concerns to be heard. Since the first participatory workshops started in 2000, a wide range of representatives of communities, local interests and organisations ranging from local to national government-level were involved.

Methods and tools applied;
The WUF Project responded to what communities and individuals wanted. Working closely with an existing and (in the United Kingdom) unique forum for local democracy, the Levels & Moors Partnership*, we held participatory workshops to encourage stakeholders to share

views and address problems in partnership. Workshops were managed through facilitative leadership: with the help of group management techniques, stakeholders were helped to work together in a non-conflict environment. The WUF Project Officer was the facilitator for all participatory workshops. Contextual information such as new research on the effectiveness of present flood management practices was introduced to help all stakeholders to develop a common understanding of issues.

Participatory working has to be product-orientated to be worthwhile. If a process is not guided by the need to reach a common goal then it will drift and is unlikely to achieve results.
Stakeholders came to agree that no one solution would solve the problems of flood and water management, but that a comprehensive package of measures was needed. Facilitated dialogue provided the bridge to enable a wide variety of interests to work jointly towards a common goal.

To reach the desired goal of integrated flood and water management, a variety of solutions were generated in a series of participatory workshops. These solutions were built into a Parrett Catchment Action Strategy, which sets out what community and organisational stakeholders wanted to be achieved by 2050".

As collaborative working developed between local initiatives, the WUF Project and LAMP managed participatory workshops under an umbrella initiative, the Parrett Catchment Project.

It is estimated that the approximate cost of facilitating the dialogue over two years is approximately €30,000.00 (salary costs of project officer/facilitator). Workshop costs were additional but low at approximately €150 – 180 for each event (hire of the venue and catering for around 40 participants). The overall cost is difficult to estimate accurately, because staff from a variety of organisations donated their time to the initiatives involved. For the LIFE Project, the budget used to commission new research in Somerset was approximately €75,000.00 and partnership organisations provided around €36,000 of in-kind time in support of the Wise Use of Floodplains Project. (Note: all of these figures are provisional.) In conclusion, the total cost of facilitating such a complex dialogue over a two-year period was remarkably low and the gains are far greater than the financial investment.

*LAMP serves 86 parish councils with wetland habitats on the Somerset Levels & Moors, who in turn represent all local community and organisational interests.

Major input of stakeholders at participatory events
We invited 85 representatives of local communities and organisations to our workshops and regularly saw 30 – 40 people at each event. The organisations ranged from the major government agencies to single-issue lobby groups. It was the first time in Somerset that participatory working had taken place on such a scale.

Tangible result (effect) of PP?
A series of 27 facilitated participatory workshops, which began in May 2000, produced:

> A statement of the consensus between all stakeholder interests, which forms the basis for a vision for the future management of the catchment and floodplain.

Eleven "components" or potential solutions to manage flood events, a combination of which will make up an Integrated Flood Management approach.
A detailed analysis of the policy, funding, administrative and technical barriers and opportunities involving implementation of the eleven components.

Appraisal of the social, economic and environmental costs and benefits of each of the components.

Enhanced understanding among stakeholders of the implications of the conservation management objectives necessary to achieve "favourable condition" of the Special Protection Area (Birds Directive)

Initiated a productive dialogue on finding a new balance between agriculture and environmental interests to achieve favourable condition of the Special Protection Area and Ramsar sites, while helping agriculture and other rural industries to work towards sustainable management of an internationally important wetland.

Produced practical sustainability indicators to monitor the effectiveness of changes in water and land management.

Many of these outcomes are continuing to be implemented beyond the end of the Life Project and are resulting in practical land management and integrated catchment management for the area.

Lessons learnt:
Positive Lessons
· Make dialogue relevant to people's lives.
In Somerset the project centred on a major environmental issue that affected a wide range of stakeholders.

· Dialogue should be gradual and often.
Frequent small-scale dialogue is better than big one-off events. More flexible processes are better at accommodating changes in views and developing consensus. Continuing dialogue is better at establishing and maintaining trust and helps to manage participants' expectations of outcomes more realistically.
· Maintain the momentum of the process.
Ensure that the next stage in the participatory process can move on from the last one. Discuss issues, generate solutions, appraise them, test them for sustainability and evaluate their effectiveness once implemented.
· Create trust through impartiality.
This was critical to the success of the process in Somerset. It was the first time that water management had been discussed in a neutral public forum. The WUF Project existed between its sponsoring organisations (the LIFE Project partners): it was not seen as part of them. The role of the WUF project officer as an impartial facilitator gave stakeholders confidence that that they were taking part in a truly participative process and independent process.
· Work to invest time.
Constantly remind participants or potential participants of the need to invest time: without commitment the energy of the process will dissipate. Participants have been very committed to the Somerset process: thirty to forty key stakeholder representatives regularly attended workshops.

Negative Lessons:

· Expensive one-off events can bring dialogue to a halt by delivering a "verdict" and may not be appropriate in making progress on a particular issue in a particular context.

· Don't become a discussion forum without a purpose – manage expectation

· Avoid any one organisation leading a process so that the process does not have the necessary impartiality needed to create trust amongst stakeholders.

Contacts for further information:
Barry Phillips, Rural Environmental Facilitation Service, b.phillips@tiscali.co.uk,
+44 (01934) 713864

See also www.floodplains.org

8. The Fens Floodplain Project – East of England

Inspiration points:
Active involvement can be sampled effectively by involving communities in a few villages within a river basin.

Aim/objective of the project;
To involve the community in determining options for floodplain restoration and integrated management.

Scale/unit of planning;
Sub- Regional – 2 villages within a river basin.

Period: 1999-2002

Objectives of Public Participation (Why PP?)
To involve local people directly in making floodplain restoration proposals for their local area and to trial new participation and appraisal methods in a few villages to assess how well they reflected wider concerns across the river basin. Participation helped gain a broad understanding of how the public wanted their floodplain developed without the expense of consulting large numbers of people. Results of community participation were compared with the views of other stakeholders obtained through other participation techniques (e.g. workshops, seminars) so as to assess how well the public proposals matched those of key organisations.

Who participated and how (Degree/form of public participation) in what phase of the planning:
A range of local people from school students to adults and retired people in two representative villages. They were invited to make any proposal they wished about making the floodplain more sustainable, socially, economically and environmentally.

Methods and tools applied, plus resources;
A method called "planning for floodplains" was developed. This involved local people putting symbols onto a model to indicate floodplain restoration projects they wanted, for example, new wetland nature reserves, riverside cycleways, more boat moorings for tourists. In both villages three main sets of proposals emerged from the groups of symbols on the model such as:
-establishing a wetland nature reserve
-more boat moorings for tourists
-constructing cycleways along the riverside.

Training for a project officer and an assistant to run the "planning for floodplains" exercise cost 800 euros each. 20 days of an assistant's time to prepare, run and write up the community sessions cost 5500 euros. Materials cost around 620 euros. 6 days of project officer time were already accounted for in the project budget. This method assumes there is an officer in place to run and manage the process.
Major input of stakeholders
2% of the population in the two villages sampled made 200 proposals.
A model of each village and its floodplain was made available for people to put proposals on over 2 days in public locations such as the library and school.

Tangible result (effect) of PP?
200 different proposals to contribute to sustainable development of the floodplain were made in each village. Most proposals aggregated into 3 main proposals in each village. The results supported proposals for floodplain restoration from an existing project called "Wet Fens for the Future". This was valuable validation of the "Wet Fens for the Future" project for the organisations which had invested in its development.

This validation of the Wet Fens Project has encouraged organisations involved to go ahead with practical floodplain restoration projects aimed at 15,000 hectares over 50 years at a cost of 15,600,000euros. In UK terms this is a large-scale restoration programme.

Lessons learnt:
Positive:

- That even just sampling participation in 2 villages in the sub-region can produce useful data to confirm existing proposals or to assess whether it is worth investing in a larger scale participation process.

- The "Planning for Floodplains" methodology enables any member of the public to indicate easily and quickly the floodplain management proposals they would like to see in their area.

- The Planning for Floodplains method enables public views to be sampled relatively quickly and inexpensively.

Negative

- Lots of time and effort needs to be invested in choosing villages typical or representative of communities in the river basin e.g. in terms of size, location and characteristics. Criticisms can always be made chosen villages are not sufficiently typical. Ideally a project would have as many "samples" as possible.

- The disadvantage of using samples is that statistically they are small numbers of people and therefore may not reflect wider views across the river basin. The results need to be corroborated against the results of other participation methods in the same river basin (workshops/seminars)

Further information –
www.floodplains.org or via jac.cuff@virgin.net for the European Environment Bureau.

9. Nõo rural district development of a municipal water supply and sewage system plan, Estonia

Inspiration points
Effective public consultation techniques in preparation of municipal water management plans in rural areas help to develop economically feasible plans and to pull together social and economic objectives of local development with environmental protection objectives.

Aim and scale of the project
Nõo rural district government worked to develop a water supply and sewage system plan using different techniques of public consultations for preparation and development of the plan. The plan included two parts – a part for development of a centralised water supply and sewage system (50% of the inhabitants use the centralised water system) and a part for water use and sewage system for the areas that are not connected to centralised water systems.

The rural district occupies 170 square km, includes 20 villages and is located in Tartu County of Estonia. 4000 people live in the Nõo rural district.

Period
1998 - 2001

Objective of Public Participation
The local municipality organized consultations with inhabitants of the rural district using different techniques during preparation of its water supply and sewage system development plan.

Who participated and how (Degree/form of public participation) in what phase of the planning:
Local officials; local stakeholders, mostly farmers, and general public – inhabitants of the rural district. Information to the general public was provided through publications in the local newspaper and people had an opportunity to react and comment to the local government. Interviews and meetings/consultations with local stakeholders and public were held that included personal meetings of experts with farmers at farms and group meetings with inhabitants regularly organized by the local government.

Methods and tools applied
At the beginning the local government
Informed about a start of preparation of the water management plan in the local (district) newspaper;
Students of sociology conducted long non-structured interviews with stakeholders and interviews using open-end questionnaires with representatives of public. The study helped to clarify perceptions by local inhabitants of the situation with drinking and waste waters; results of the study complimented an assessment of a state of drinking and wastewaters conducted by water engineers;
After the initial assessment was made, the local government
Published in the local newspaper results of the studies and asked for comments through the newspaper to the study. Inhabitants were rather passive in their reaction to the published texts however publishing a map of the area with specific information on water quality in wells and location of the wells brought much more interest to the water quality issues from

land owners where wells were located. As a result of the publication, the district government environmental department got requests for details on water quality in some of the wells.
Local government conducted a series of meetings with local people to discuss water quality in the wells and other issues that concerned development of the municipal water management plan.

Major input of stakeholders
The consultations allowed making a more detailed and precise mapping of the problems related to drinking and wastewaters in this rural district that might have not been noticed without the public consultation. The last helped to elaborate a more detailed, realistic and economically feasible water management plan.

Result (effect) of the PP
Estonian national water legislation requires that after 31 December 2007, 95% of wastewaters be treated in villages connected with the central sewage system in the rural district. The study showed that this goal is not realistic given low incomes of the population in the area and specific problems with water infrastructure in different parts of the rural district. A tailor-made investment plan is being developed to ensure that the Nõo rural municipality water management plan is economically feasible and realistic. Communication with the local stakeholders also allowed developing cost-effective solutions for resolving specific water management problems.

Lessons learnt
Local stakeholders gain awareness about local environmental issues through their practical experiences of using natural resources but also partially this awareness is derived from mass media. For example, everyday experience of using water from a local well and then information about its quality in media creates awareness and promotes participation. The local newspaper is the main way of obtaining information about the local issues of concern in the district. Local meetings showed to be important to develop a dialogue between local authorities and the inhabitants.

Surveys and active consultations with local people using different tailor-made approaches are critically important in the process of development of economically feasible and realistic municipal water management plans, especially in countries in transition, where municipal budgets are very limited and priorities according to social and economic needs of the population have to be defined.

For more information contact

Case prepared
Ms. Gea Järvela, Nõo rural municipality environmental advisor
Tel. 372 50 88 359, email gea@nvv.ee, www.nvv.ee

Case translated and edited
Gulnara Roll, Peipsi Center for Transboundary Cooperation
Tel. 372 7 421 001, email Gulnara.Roll@ctc.ee, www.ctc.ee

10. Lake Pyhäjärvi: local water management, Finland

Inspiration points:
close co-operation and participation of local authorities and residents as the basis for lake restoration

Scale/unit of planning:
local

Period:
1990 – 2000

Objective of Public Participation (Why PP?)
Encouragement of the residents to participate in the development and planning of their local environment and to draw their attention to water and environmental protection in order to reduce the land-derived nutrient load (eutrophication) and improve the water quality of Pyhäjärvi and the rivers Yläneenjoki and Pyhäjoki.

Who participated and how?
Local municipalities, organizations and industry together with local and national authorities founded the Pyhäjärvi Protection Fund (PPF) to guarantee the resources for protection of the lake. In 1996-2000 seven village plans were conducted at the Pyhäjärvi drainage area. The plans are based on the residents' own ideas and the residents themselves are responsible for the implementation of the village plan.

Methods and tools applied:
The planning started by contacting the local village associations and organising information meetings for the residents. After the village association had decided to conduct the plan, all the village residents were actively informed about it. Residents selected the planning team (5-6 persons) who innovated and progressed the plan. However, the planning team meetings were open for all the interested residents. The representative of the project mainly worked as an assistant and secretary.

Major input of the stakeholders:
The plans are based on the residents' own ideas and the residents themselves are responsible for the implementation of the village plan.

Tangible result (effect) of PP:
Since the external nutrient load originates from agriculture, rural waste-waters and air pollution, a multitude of water protection measures have been implemented in the drainage basin since the 1990s, resulting in some reduction of P loads, but the effects cannot yet be seen in lake water quality. The water quality of the ditches running to rivers Yläneenjoki and Pyhäjoki has improved during the project. Some of the village associations are willing to make new village plans.

Lessons learnt:
Village planning brings benefits to both permanent and temporary residents of the villages as well as for the authorities as the interaction and communication between the residents, authorities and the planners increases and it is easier to turn existing ideas into concrete initiatives and to apply funding for further projects. The environmental consciousness of the

residents increases and individual residents and the entire village have a better opportunity to get their voices heard. Resident-oriented planning results in a manual of the residents' own ideas, which will be taken into account and committed to.

For more information please contact:

Ventelä, Anne-Mari, Pyhäjärvi Protection Fund, Ruukinpuisto FIN-27500 Kauttua, Finland, fax +358-2-838 0660, email: anne-mari.ventela@pyhajarvi-instituutti.fi;

11. National Water Committee, "Comité National de l'Eau", FRANCE

Elements of inspiration
The diversity of the members of the National Water Committee allows to have deep and rich debates. On the basis of a participatory approach, the final advice is established after having reached a consensus. Debating important water-related issues increases the transparency of the national water policy.

Key words
National level ; advisory body ; stakeholders ; debates ; consensus ; transparency

Background
The National Water Committee was created by the 1964 Water Act, its composition was defined by a 1965 Decree. The advice of the National Water Committee is obligatory for the elaboration of Water Acts, the application texts for Water Acts and the decrees determining the lists of activities subjected to prior authorisation or declaration.

Scale/unit of planning:
National – 550 000 km2 –– 77 members for 60 000 000 inhabitants

Period:
Exists since 1965. 43 plenary meetings in the past 10 years (several meetings per year).

Objective of Public Participation
– To give advice on river basin planning, large development projects and water distribution schemes, problems shared by two or several basins, issues related to water laws or decrees
– To discuss the preliminary definition of national water policy
– To propose solutions to the issues related to the water acts of 1964 and 1992.

Who participated and how
Under the Prime Ministers responsibility, the National Water Council is composed of 77 members, divided into 5 clusters :
- 23 water users (chambers of agriculture, fishers' associations, industrialists, associations of consumers or for environmental protection, tourism associations, water suppliers, etc.)
- 6 chairmen of the basin committees
- 8 competent people (scientists, experts, specialists, etc.)
- 18 state representatives (representatives of the Ministers in charge of water issues)
- 22 elected officials (deputees, department or regional councils, etc.)

Methods and tools applied:
Before the meetings, the Committee's Office, hosted by the Water Department of the Ministry of Ecology, prepares information papers and sends them to the Committee members.
During the meetings, a debate takes place for each point of the agenda meeting and any member of the Committee can give his own point of view. The consensus approach is prefered to the voting.
After the meetings, the Committee members can send supplementary comments to the Office, which adds them to the minutes of the meeting. The minutes are examined and approved at the next meeting.

Major input of stakeholders:
For example, the National Water Committee gave recently inputs for the draft river basin management plans for Guyana, Martinique and Reunion and for the transposition of the Drinkwater Directive. It will be consulted for the transposition of the Water Framework Directive.

Tangible result (effect) of PP? :
The large representation of stakeholders in the NWC improves the dialogue between interested parties and ensures a central function for advice or proposition to the Minister. Comments on the texts are useful and allow a real improvement of them. But above all, the most important result consists in the possibility to organise a real debate on and for water issues.

Lessons learnt:
Positive Points
– The National Water Committee has become an important tool for the transparency of water policy.
– It has found a real place and plays a major role in the water policy – related decisions. It has no juridical power but its role is essential : its advice is taken into account when the final decision is taken.
– Concerning draft laws, prior debates within the Committee help to improve the texts and bring a consensus before the presentation to the legislative assemblies.
– Complementarity between coordination of measures at national level & planning process at district level
Negative Points
– Major emphasis on economic uses & interests of water compared to environmental protection

Contacts for further information:
Ministry of Ecology and Sustainable Development - Water Department
20 avenue de Ségur 75 302 PARIS Cedex 07
- Madame Coralie NOEL – Bureau de l'économie de l'eau et de la programmation
Tel : (00 33) 1 42 19 13 76 – Fax : (00 33) 1 42 19 12 94
E-mail : coralie.noel@environnement.gouv.fr
- Madame Nelly BOBLIN-COLLET - Bureau de la coordination interministérielle
Tél : (00 33) 1 42 19 12 63 - Fax : (00 33) 1 42 19 12 69
E-mail : nelly.boblin-collet@environnement.gouv.fr
Web Site : http://web/ministere/organismes/old/CNE.htm

12. River basin management plans (S.D.A.G.E., "Schémas Directeurs d'Aménagement et de Gestion des Eaux", FRANCE

Elements of inspiration:
- Active involvement of stakeholders at basin / sub basin levels
- Iterative planning process (alternation of writing draft plan and stakeholders consultation)
- Reporting process of stakeholders comments and competent authorities answers

The success of the dialogue and participation of interested parties will make the success of the SDAGE. To be used by the State services, the municipalities and the users as a reference document, the content of the SDAGE must be well discussed and negotiated, well understood and well accepted.

Key words
River basin scale ; long-term planning ; active involvement ; stakeholders ; iterative process ; reporting ; initial status ; objectives and measures ; reference document ; public information

Background
The French Water Law of the 2nd January 1992 instituted decentralised water planning tools : river basin management plans (the so-called SDAGE) at the level of the 6 large metropolitan river basins and local water management plans (the so-called SAGE) at the level of sub-basins.

Aim/objective of the project:
Assess the initial status and main problems, define quality and quantity objectives, guidelines and priority measures. Elaborate the river basin management plan (SDAGE) defining the main orientations of an integrative and balanced management of aquatic environments and their uses and representing a framework for the planning process in the whole River Basin.

Scale/unit of planning:
'Regional', river basin level (about 100.000 km2 – 5 to 15 000 000 inhabitants – 800 to 1500 stakeholders involved

Period: 1992 - 1997

Objective of Public Participation :
– To obtain a reference document for all questions all over the great basin (from flooding to water quality …) defining management objectives, strategy and actions
– To reach consensus between all categories of users / stakeholders
– To use the elaboration phase to create a common understanding, a common vision at the scale of the river basin between State services, communities and users.
– To involve people in the definition of the rules of the game : the more people we involve in the process, the more chances we have to see the rules respected.

Degree of PP and stakeholders involved:
The Basin Committee is composed of the representatives of all stakeholders and users in the River Basin (about 100 members): 1/3 local elected officials (i.e. mayors, local communities), 1/3 users, consumers, NGOs and 1/3 representatives of the State. The Basin Committee defines the river basin management plan (SDAGE) and co-ordinates the coherence between

local water management plans (SAGE). It arbitrates water conflicts, decides on the taxes to be paid by the users and defines action programmes.

Methods and tools applied : Iterative planning and reporting processes:
Each Basin Committee created a Planning Commission and several Geographic Commissions (implanted at sub basin level or for specific issues : inter-regional aquifer or coastal areas) in which a number of debates and meetings took place. Hundreds of interested parties were able to voice their opinion in the meetings of these geographic commissions.

For example, we can describe the planning process used for the elaboration of the management plan of the Adour Garonne Basin to illustrate the stakeholders involvement and the reporting on the results of the consultation.

Basin level:	Sub basin level (8 in Adour Garonne District):
Coordinator Prefect Basin committee (120 stakeholders) Planning board (36 stakeholders) Operation board (District Public Services	Geographic Commissions (about 1000 stakeholders in a whole)

Step 1: The Operation Board prepared a Draft V0 for the SDAGE, based on experts' knowledge. The diagnosis, main issues, objectives and measures were described at each sub basin level in a "sub basin notebook" with a synthesis for the whole basin level.
Step 2: The Draft V0 was mailed to all stakeholders of the geographic commissions, who could give their comments during a meeting in every sub basin. Consultants made a synthesis of these comments and addressed it to the Operation board.
Step 3: The Draft V0 was improved by the Operation Board taking these comments into account. The Draft V1, containing the SDAGE (70 p) and the "8 sub basin notebooks" (25 p with a lot of maps), were endorsed by the Planning board.
Step 4: The SDAGE and sub basin notebooks were mailed to each stakeholder and presented during an other meeting in every sub basin. Stakeholders were asked to mail their comments with a delay of 2 months, telling their name and function and explaining the point of the Draft in discussion. The same procedure was conducted specifically with all the Public Services concerned by water policy
Step 5: All the comments were handled the same way :
a) a draft answer was prepared by the Operation Board
b) it was endorsed/modified by the Planning board
c) all these information were reported in a "registry of comments" with a page for every discussed section of the Draft, describing : the issue discussed, all the stakeholders' and civil servants' comments on this issue, the answer of the Operation board and the final decision of the Planning Board.
d) All the registries were made available to the public at the Public Service Office hosting each Geographic Commission.
Step 6: Taking into account about 600 stakeholders' and 1000 civil servants' comments, a new Draft was written (V2 : SDAGE and Sub Basin notebooks) with a new iteration of consultation and reporting of the stakeholders' comments (There were less reactions during this third consultation).
Step 7: The draft V3, endorsed by the Planning board was presented as the « SDAGE draft » for consultation to a wide range of other stakeholders (regional and departmental assemblies, councils of main towns …) and during 50 public meetings. There were very few demands for modification of the project during this step.

Step 8: The draft was endorsed by the Basin Committee and signed by the Coordinator prefect.
Three documents were published for public information: the whole SDAGE (110p), an executive summary (25 p) and a 4p leaflet. A web site was implemented, from which everybody can download all these papers. Sub basin notebooks are available on demand. Nowadays, the Operation Board publishes an annual report (plus an executive summary and a leaflet accessible on the web), describing what is the state of the basin, compared with the initial objectives. The public can ask questions or react by e-mail

Major input of stakeholders:

– All stakeholders discussed in details all the components of the plan, the preliminary reports and the final report, which were modified in consequence and finally accepted by all
– A real involvement of the water users in the decision-making process, including 'polluters'
– A lot of exchanges between stakeholders, giving some "social learning" about water management (understanding of the diversity of stakes, better acceptance of the different expectations and water uses)
– For example, as regards the associations concerned with environmental protection, they have been a real stimulus for different issues : management of alluvial plains, hydroelectricity, granule extractions from the rivers, etc.

Tangible result (effect) of PP?:
– The river basin management plan (SDAGE) was elaborated and discussed between all categories of stakeholders within the Basin Committee and the Geographic commissions.
– The decentralisation of the Basin Committee through geographical commissions, users & consumers commissions, allows to involve also local people
– Associations have been stakeholders in the thinking and the decision-making, which is essential. For example they achieved great progress as regards the protection of wetlands, flood-prone areas, riparian forests, alluvial groundwater, etc.
– Socially more accepted measures

Lessons learnt:
Strong points :
– Necessity to implement training and information all along the process
– Consultation and effective participation of users need sufficient delays in order to allow the different consultations to take actively place
– Time is necessary so that the stakeholders of a river basin know and understand each other, speak together, ratify together the diagnosis of the river basin status and think together about the possible solutions to solve the problems identified.
Weak points :
– The SDAGE was elaborated and discussed by representatives: it is a representative and not a direct participation of the public in general.
– The SDAGE document is made available to the general public only after its approval.
– The cost of the project is difficult to assess, but in every basin, a staff of 2 to 5 people was dedicated to the stakeholders involvement and public information during 2 years

Contact for further information :
Ministry of Ecology and Sustainable Development - Water Department
20 avenue de Ségur - 75 302 PARIS Cedex 07
Madame Coralie NOËL - Bureau de l'économie de l'eau et de la programmation

Tél : (00 33) 1 42 19 13 76 - Fax : (00 33) 1 42 19 12 94
E-mail : coralie.noel@environnement.gouv.fr
Web Sites : http://www.environnement.gouv.fr/ministere/sdage.htm
http://www.oieau.fr/anglais/gest_eau/index.htm
http://www.eaufrance.tm.fr/
http://www.eau-adour-garonne.fr/

13. The local water management plans (S.A.G.E., "Schémas d'aménagement et de gestion des eaux"), FRANCE

Elements of inspiration:
Active involvement of stakeholder at local level – capacity building
The scale of these local management plans (about 1000 km2) allows to be closer from people and concrete problems. It gives more place for participation than a larger scale. This example show that time and pedagogy are needed to reach a consensus between interested parties. According to the case, interested parties can decide in the final document to apply the existing water law only or to go a little further.

Key words
Local scale ; local wish ; long-term planning ; active involvement ; stakeholders ; initial status, objectives and measures ; reference document ; public consultation

Background
The French Water Law of the 2nd January 1992 set up decentralised water planning tools : river basin management plans (the so-called SDAGE) at the level of the 6 large metropolitan river basins and local water management plans (the so-called SAGE) at the level of sub-basins. The SAGE is drawn by a Local Water Commission and then submitted to the Basin Committee, local government institutions, chambers of commerce and agriculture and the general public for consultation before being voted by the Local Water Commission and finally officially approved by the State prefect.

Scale/unit of planning:
'Local', sub-basin level - about 1.000 km2 – about 100 stakeholders involved for 100 000 inhabitants

Aim/objective of the project:
– To start from a local wish and progress towards a large consensus between users
– To involve local people
– To precise the guidelines defined in the SDAGE and to adapt them to local circumstances
– To be closer to concrete questions and implement concretely the guidelines defined in the SDAGE.

Period: About 5 years

Objective of Public Participation (Why PP?):
- The elaboration of this type of planning document needs a collective approach, based on the local solidarity at the level of the basin or sub-basin. The most important success factor is to create dynamics round the definition of a common project.
– To obtain a reference document for important water issues all over the sub basin (from flooding to water quality…) defining management objectives, strategy and actions, by reaching a consensus between users
– To use the elaboration phase to create a common understanding, a common vision at the scale of the river basin between State services, communities and users.
– To involve people in the definition of the rules of the game : the more people we involve in the process, the more chances we have to see the rules respected.

Degree of PP and stakeholders involved:
Diagnosis, objectives and measures are discussed between all categories of stakeholders within the Local Water Commission (from 50 to 100 members) : ½ local elected officials, ¼ users, consumers, NGOs and ¼ State representatives. The SAGE is the end product of the works realised by the Commission, completed by a consultation of all the citizens, who have access to the draft during 2 months.

Methods and tools applied :
– A facilitator (a technician or an engineer) is employed at the beginning of the project in order to manage the whole process
– At the beginning, the facilitator organises information meetings for the members of the Local Water Commission on water issues and the role of the SAGE document. He informs also all the elected officials of the basin and raises the awareness of the different partners and stakeholders within the river basin
– A lot of meetings of the Water Local Commission take place, in which the people concerned can debate to produce the plan from the beginning to the end of the elaboration process
– Thus, the members of the Local Water Commission go in common from a step to the next, with preliminary reports which are really discussed in detail, modified and finally accepted by all stakeholders: assessment of the initial status of the basin and tendencies, definition of water quality and quantity objectives, determination of the rules for the aquatic environments preservation and the actions to be planned.
– When the project of SAGE has been elaborated by the Local Water Commission, it is made available for comments to the general public during 2 months in public places.
– The project can be modified by the Local Water Commission to take into account the comments of the public before the adoption by the Prefect.
– After the adoption of the plan, the Local Water Commission follows the implementation of the plan and for this purpose it has 2 meetings / year.
– During the whole process, communication tools are used to raise and maintain the motivation of both the stakeholders and the general public (some booklets are regularly distributed to all homes)

Major input of stakeholders:
– All stakeholders discuss in detail all the components of the plan, the preliminary reports and the final report, which are modified in consequence and finally accepted by all
– A real involvement of the water users in the decision-making process, including 'polluters'
– At the local level of the sub-basin and in the SAGE preparation, local associations can speak in the name of the river itself

Tangible result (effect) of PP?:
– A lot of exchanges between stakeholders, giving some "social learning" about water management (understanding of the diversity of stakes, better acceptance of the different expectations and water uses)
– Progress towards a shared culture
– Decentralisation of the decision
– Concrete implementation of the existing water law and definition of some supplementary water regulations at the level of the sub-basin.
– Socially more accepted measures

Lessons learnt:
Strong points :
– With regard to the SDAGE, the SAGE is closer from concrete questions and is at a more adequate scale for participation
– It is necessary to implement training and information all along the process
– It is necessary to have clear ideas on the common objectives, to put in place a solid but also open institutional organisation
– It is essential to work at the adequate scale and adapt to the context
– The Local Water Commission is a place for the dialogue between the different stakeholders of the territory. The representiveness of the composition of the Commission is an essential success factor.
– Importance of human resources : the staff must be adapted to the stakes and the context
– It is essential to maintain the motivation of everybody all along the process and to show the progress realised with the concrete actions made during the whole elaboration of the SAGE
Weak points :
- discussions between representatives (but local representatives)
– the asymmetry of information among stakeholders
– the slowness of the process, mainly for legal, political and institutional reasons
– the consultation of the general public is only formal, when the draft is already developed and complete
– The cost of the project is difficult to assess precisely. It needs a facilitator and a secretary during 2 to 4 years, and consultants for the diagnosis and the first draft of plan

Contact for further information :
Ministry of Ecology and Sustainable Development - Water Department
20 avenue de Ségur - 75 302 PARIS Cedex 07
Madame Coralie NOËL - Bureau de l'économie de l'eau et de la programmation
Tél : (00 33) 1 42 19 13 76 - Fax : (00 33) 1 42 19 12 94
E-mail : coralie.noel@environnement.gouv.fr
Web Site : http://www.sitesage.org/

14. The Drôme river management plan, FRANCE

Elements of inspiration
Active involvement of stakeholders at local level – capacity building

Key words
Local scale ; local wish ; long-term planning ; active involvement ; stakeholders ; initial status, objectives and measures ; reference document ; public consultation

Background
The Drôme river management plan was the first SAGE to have been completed, implementing the procedure established by the 1992 Water Act (see previous example)

Aim/objective of the project:
protect the Drôme valley area characterised by a beautiful countryside and varied heritage value through the rivers of the catchment, their underground water tables, and their dependent wetland ecosystems.
solve the priority problems of the catchment which are the quantity management of the water resource and the maintenance of beds and river banks.
precise the guidelines of other aspects of the water management.

Scale/unit of planning: :
Local / catchment - 83 municipalities concerned - catchment area of 1,640 km2. 42,500 inhabitants.

Period: 1994-1997
Technical studies, discussions and local meetings from 1994 to 1997 (3 years).
Consultation and approval in 1997 ; implementation since 1997.

Objective of Public participation (Why PP):
The objective was to protect the river heritage and to ensure a better appreciation of it, taking into account the different water uses and ensuring preventive action against risks. For that purpose, a process of local consultation, negotiation and consensus was implemented to reach agreed objectives regarding water management between the different interested parties and river users.

Who participated and how (Degree/form of public participation) in what phase of the planning :
Active participation of the stakeholders : the Local Water Commission for the Drôme river was composed of 44 members : 50% local elected officials, 25% representatives of State services and departments, 25% representatives of local water users groups (agricultural irrigation, gravel extraction, leisure activities, associations, etc)
The Basin Committee (consulted)
Local elected officials (consulted)
Chambers of commerce and agriculture (consulted)
The State Prefect (final decision)

Methods and tools applied:
Meetings of the Local Water Commission at the level of the basin
Sub-basin meetings

A specific facilitator (who was also a technician) was in charge of the preparation of meetings, the communication during the whole process concerning the progress of the works, the technical secretariat and the coordination of the writing of the SAGE.
The draft was made available to the general public for comments in public places (during 2 months).
The Local Water Commission published during the process regularly a journal to inform the population living in the basin of the different activities done in the catchment.
The planning document is now under implementation and the Local Water Commission still publishes regularly this journal.

Major input of stakeholders: :
About 20 meetings of the Local Water Commission ; Numerous sub-basin meetings ; Consultation of the general public

Tangible result (effect) of PP:
The process has gone through three main steps at which a consensus between all categories of stakeholders and users was reached : assessment of the current situation, definition of management priorities, evaluation of necessary measures to achieve these objectives. The SAGE objectives were translated into 6 actions plans related to : water resources, river channels and banks, water quality, risk management, natural heritage ecosystems, tourism and leisure activities.

Lessons learnt :
Positive points :
Agreement on the SAGE was possible through a local will to make public interest a priority.
The Drôme river was perceived as a linking factor and gave an identity to the whole valley area and to the whole consultation process.
The consensus obtained on the SAGE document ensures the implementation of the SAGE since 1997, the coordination between existing structures and a sustainable presence in this field.
Negative points :
the asymmetry of information among stakeholders
problem of capacity building for some stakeholders
the slowness of the process mainly for legal, political and institutional reasons
the consultation of the general public is only formal, when the draft is already developed and complete

Contact for further information:
- Ministry of Ecology and Sustainable Development
Water Department - 20 avenue de Ségur - 75 302 PARIS Cedex 07
Madame Coralie NOËL : tel (00 33) 1 42 19 13 76 - fax (00 33) 1 42 19 12 94
E-mail : coralie.noel@environnement.gouv.fr
- District d'aménagement du Val de Drôme
Cours Verdun 26400 CREST
Tél.(00 33) 4.75.25.43.82 - Fax.(00 33) 4.75.25.44.96
Web site : www.icpdr.org

15. National Commission for Public Debate (CNDP), FRANCE

Elements of inspiration
The public debates organized by the CNDP are open to every citizen. At the moment, the CNDP has not adressed any issue related to water management but for each public debate it has organised, a combination of methods and tools for public information and participation were used. The most innovative tool consists in the gathering of the public contributions into comprehensive "stakeholders' books", these documents being distributed to all participants for discussion, in the same way as the documents realised by the project leader.

Key words
Public debates ; early participation ; broad public ; combination of tools ; stakeholders' books

Background
The National Commission for Public Debate (CNDP) was created by law of the 2nd February 1995 to reinforce the environmental awareness in big development projects (motorway networks, airports, harbours, etc). The Commission is composed of members of the Parliament, local representatives, magistrates, representatives of civil society and experts.

Aim/objective
When it is requested to do so by a petition, the Commission organises itself a 4-months public debate, or it asks the project leader to organise it. The public debate has to deal with the objectives and characteristics of the project, so it means that it takes place at the very beginning of the process. A specific commission, composed of competent people in the field, is put in place to coordinate the debate.

Scale/unit of planning
The projects concern usually several French regions. For example, the public debate organized between March and June of 2000 for the TGV Rhin-Rhône (southern part of the high-speed rail line between East and South) concerned 4 regions : Alsace, Bourgogne, Franche-Comté and Rhône-Alpes, which represents 4,5 million people from Strasbourg to Lyon.

Period:
4 months (possible extension to 6 months in certain cases).

Objective of Public Participation
The public debate can help to reach a consensus on the objective and characteristics of the project and particularly, it can help to identify the potential impacts for the environment and for the inhabitants which may be affected by the project and then to propose to the project leader some measures to reduce these impacts and improve the project.

Who participated and how (Degree/Form of public participation) in what phase of the planning
For example, for the TGV Rhin-Rhône project, the CNDP was requested by a federation of environmental NGO (France Nature Environnement) to organize a public debate on this project. The special commission was composed of the French Rail Network as the project leader, the "organised public" (representatives, departments'chiefs, economic authorities, etc.), the press, the users and environment protection associations and individuals ("non organised public"). These people represent the very first circle of participants. But the public meetings are open to all citizens and concern thousands of participants.

Methods and tools applied
The methods used to inform the public:
"supporting dossier": provided by the project leader, gives to the public the necessary information to participate - general description of the objectives and the main characteristics of the project, estimation of the economic and social stakes, identifications of the main environmental impacts and evaluation of the economic and social costs of the project - for the TGV Rhin-Rhône project, 6000 were distributed
Internet web site : to have information on the project and the organization of the public debate (for the TGV Rhin-Rhône project : 6500 visits, 70 per day)
"information letters of the debate" or "lettres du débat: to inform the public on the debate, mobilize it regularly to participate and communicate information on the evolution of the debate " (for the TGV Rhin-Rhône project: 2 700 000 were distributed)
visits to the headquarters of the specific commission to consult more detailed documents on the project
prepaid cards: distributed with the information letters, to ask for further information.

The methods used for public participation:
public meetings (TGV Rhin-Rhône project : 10 meetings in different cities)
question-answer system (TGV Rhin-Rhône project : 2000 questions received)
prepaid cards + toll-free number : to ask for information and questions.
mail: for sending remarks, opinions or thoughts.
E-mail: from the Internet web site, to ask questions and consult all the answers already given
"contributions" : mails received at the commission which showed one particular and developed position - TGV Rhin-Rhône project : 85)
"stakeholders book" : selection of some of the observations from the public were published in so-called "stakeholders books" ("cahiers d'acteurs") and distributed (TGV Rhin-Rhône project : 10 books in total)
press (example, for the TGV Rhin-Rhône project : 163 articles published in the regional press, 26 in the national press and 10 press meetings in the 10 cities where the public meetings took place)

Major input of stakeholders
Essentially through public meetings, questions-answers system, contributions and stakeholders' books.

Tangible results of PP:
The public is invited to express itself but the project leader is not legally bound by its answers given to the public. However, the project leader takes into account the opinions of the public who participates in the debate and the project might be modified in consequence. The assessment report of the public debate is made available to the public.

Lessons learnt
Strong points
participation of individuals who are given the same importance as the representatives.
question-answer system : allows everyone to ask questions, with the assurance of having an answer
"stakeholders book" : innovative tool creating further considerations between stakeholders and public
interest of the public for these types of democratic consulting processes in a moment where the project is not totally defined and where there is still place for making modifications.

very important role of the regional and local press as a support for information supply to the public
taking into account the lessons learnt, the CNDP will be able to give advice and recommendations to public authorities to favour and develop public participation (Local Democracy Law, 27th February 2002).

Weak points
superficial interventions sometimes ; not the same level of participation in all meetings.
not enough meetings (reasons of costs, time and availability of stakeholders)

Contact for further information
Commission Nationale du Débat Public - Ministère de l'écologie et du développement durable
20 avenue de Ségur - 75 302 PARIS Cedex 07
Tel : (00 33) 1 42 19 20 26 - Fax : (00 33) 1 42 19 17 90
E-mail: cn-debatpublic@environnement.gouv.fr

16. Information letters with regard to the implementation of the Water Framework Directive Germany (Thuringia),

Elements of inspiration
This example shows one possibility to inform stakeholders and the broad public continuously about the contents of the WFD and the implementation process.

Key Words
continuous and current information on the implementation and planning process, stakeholders and broad public

Background
The WFD is a new approach, also in the 16 Lander (regions) of Germany which have the competences concerning water management. Thuringia is part of several river basins and has the task to implement the WFD in the parts of these river basins in its territory. The environment ministry of Thuringia is interested to inform stakeholders and also the broader public continuously from the beginning of the implementation process in the region on in order to encourage acceptance and provide transparency.

Aim/objective of the project
Early and continuous information is seen as the basis in order to enable and encourage the active involvement of the public as required in Article 14 WFD. The information letters are distributed in order to explain the implementation steps and the work to be done and in order to enable stakeholders and public to get informed, to follow the implementation process and to be prepared when the programme of measures will be discussed and when the consultation on the river basin management plan will take place.

Scale/unit of planning
Thuringia (one of the 16 German Lander), national/regional/sub-basin level. Thuringia is part of the river basins of the Elbe, the Weser and the Rhine. The Land covers 16 171,5 km^2 and has 2 449 082 inhabitants.

Period
During the whole implementation process, i.e. at least until 2009. Three information letters have already been published until October 2002.

Objective of Public Participation (Why PP?)
Not all stakeholders are members in the implementation groups in Thuringia and it is also important to reach the broader public. This can be done by the information letters. The letters provide detailed information on e.g. the content of the WFD with regard to the actual implementation steps (at the moment e.g. with regard to Article 5 WFD (description of the status quo), on pilot projects in Thuringia, information events etc. The public has the possibility to become acquainted early with the objectives and necessary steps of the WFD and to express ideas and proposals.

Who participated and how (Degree/form of public participation) in what phase of the planning?
The target group are especially the persons or organisations interested in water management issues, but also the broad public. The information letters are also intended to inform especially the stakeholders and persons which are not members in the WFD implementation

groups in Thuringia. The information letters are sent to the environment ministries of the other German Lander, to all district authorities and to other regional environment, agriculture and planning authorities in Thuringia, all sorts of industrial, environmental, agricultural etc. associations and NGOs in Thuringia and on federal level, political parties in the parliament of Thuringia, but also to private persons, private planning institutions and universities.

Methods and tools applied
At the moment the information letters (six pages) are published twice or three times a year (available in printed form or via internet (www.thueringen.de/tmlnu, see: Europäische Wasserrahmenrichtlinie, only in German). There is a list for the distribution of the printed form (number of copies: 3000) by mail. Additionally there is a big list of Email addresses to which the information letters are sent automatically. Everybody can ask to be inserted in this Email list. At the end of the letters a contact person is named (phone and email) in case of questions or proposals. The information letters are also made available during water management related seminars, workshops etc. organised by Thuringia's authorities or other institutions.

Major input of stakeholders
The WFD implementation process has just started, so there is less input than a huge interest from the stakeholders in as much information as possible.

Tangible result (effect) of PP?
There is a clear interest in information on the WFD and its implementation. The public wants to be informed, even more specified than in the last three information letters. The environment ministry of Thuringia feels encouraged in its approach and plans to expand it in the future.The information letters and the contact to the ministry will be used also as platform with regard to other Thuringian ministries and to other of the 16 German Lander. The information should become intensified and specified, e.g. by information on special issues. Therefore also other authors than from the competent authorities themselves will have the possibility to deliver texts for the information letters.

Lessons learnt
There is already a huge demand for detailed information on the WFD and its implementation which was perhaps underestimated in the beginning. Early and open information and communication is the key for a coherent and on time implementation of the WFD.

For more information please contact
- www.thueringen.de/tmlnu (EU-Wasserrahmenrichtlinie, only in German)
- Heide Jekel

Federal Ministry for the Environment,
Nature Conservation and Nuclear Safety
Division WA I 2 (B)/Water Law
P.O. Box 12 06 29, 53048 Bonn, Germany
Tel.: 0049/1888/305-2521, Fax: 0049/1888/305-3334
mailto: heide.jekel@bmu.bund.de

17. River Basin Management Plan Maas/sub-basin Niers, Germany (North Rhine-Westphalia)

Elements of inspiration
This example shows one possibility to involve stakeholders on regional level in the implementation of the WFD from its beginning on in order to get hold of their knowledge and in order to discuss the relevant implementation steps and its consequences.

Key- words
Information and consultation of the public, organised public, regional forums, non organised public

Background
The WFD is a new approach, also in the 16 Lander (regions) of Germany which have the competences concerning water management. North Rhine-Westphalia is part of several river basins (e.g. Rhine, Maas) and has the task to implement the WFD in the parts of these river basins in its territory. The Land covers 34.079 km² and has more than 18 million inhabitants.

Aim/objective of the project
Pilot project with regard to Article 14 WFD in North Rhine-Westphalia. Involvement of the organised public/the stakeholders in the first implementation phase until 2004 (Article 5 WFD: inventories, review, analysis) on regional level. Information of the broad public in the relevant region with regard to WFD in general (objectives, implementation steps etc.).

Scale/unit of planning
Sub-basin level (the sub-basin of the Niers is divided in three parts in order to have three regional discussion and information forums (upper, middle and lower Niers). The river Niers is part of the Maas river basin. The Niers sub-basin covers 1382 km² mostly in Germany and for a small part in the Netherlands, 715.000 people are living in this area. The environment ministry of North Rhine-Westphalia was interested to create a structure which allows to involve the relevant stakeholders in the implementation process.

Period
Since 2 years. Until 2004 (end of first implementation phase). At the moment it is likely that public participation by regional forums will be continued until the end of the implementation process.

Objective of Public Participation (Why PP?)
To enable information, stakeholders' input and a consensual approach from the beginning of the implementation process on.

Who participated and how (Degree/form of public participation) in what phase of the planning?
In the three Niers forums: Municipalities, districts, water companies, water associations, chambers of agriculture, forest authorities, nature conservation NGO's, biological planning units, the Dutch authorities and stakeholders (all of the relevant region), 30 – 40 persons per forum. Round Tables: Information, discussion, distribution of relevant materials, exchange of experience, involvement with regard to data collection.
Broad public on regional level: Internet site (www.niers.nrw.de), possibility to ask questions.

Methods and tools applied;
In the three Niers forums: Meetings at the moment once a year (sufficient for the first implementation phase, later on perhaps more frequent), internet site for each forum (only accessible by password, with all relevant information and discussion material)
Broad public on regional level: One information flyer until now (general information with regard to the WFD), Internet site (www.niers.nrw.de), press reports.

Major input of stakeholders
Stakeholders in the three forums delivered the necessary data for the first implementation phase until 2004 (Article 5 WFD: impacts, pressures etc.). Stakeholders delivered their view on the WFD and the implementation process. At the moment there is mainly a huge demand to get informed and involved.

Tangible result (effect) of PP?
In the three regional forums none of the stakeholders feels discriminated, it is a balance of to give and to take, open and positive discussions, good atmosphere with regard to the next implementation steps.
Experiences could be used for the North Rhine-Westphalia guidance paper on pp.
The data delivered by the stakeholders are used to fulfil the requirements of Article 5 WFD and as basis for the WFD planning process.

Lessons learnt
Huge interest of the stakeholders to participate in the implementation. Positive reactions because they are involved early and get a lot of useful information. The regional approach and the discussion in smaller groups proved their worth (it was already useful in the past before the WFD with regard to alluvial water programs) , they enable useful discussions and create acceptance and common understanding as a basis for the next implementation steps. This approach is already used in some other parts of North Rhine-Westphalia and because of its benefits is likely to be taken over in all sub-basins or parts of them in the territory of North Rhine-Westphalia.
On the other hand this approach is a lot of work (preparing and organising the meetings) and requires staff and time.

For more information please contact
- www.niers.nrw.de (only in German)
- Heide Jekel

Federal Ministry for the Environment,
Nature Conservation and Nuclear Safety
Division WA I 2 (B)/Water Law
P.O. Box 12 06 29
53048 Bonn
Germany
Tel.: 0049/1888/305-2521
Fax: 0049/1888/305-3334
mailto: heide.jekel@bmu.bund.de

18. Erne sustainable wetlands cross border Ireland and Northern Ireland

Inspiration points
Erne Sustainable Wetlands was an inspiring example of public participation because it carried out a range of participation methods at a range of scales. This resulted in a shared vision for the area as well as specific projects.

Aim/objective of the project;
Erne Sustainable Wetlands aim has been to identify ways of achieving integrated and sustainable, or 'wise use', of water and land resources for the benefit of people and wildlife within the Erne catchment.

The project has achieved its objectives through:

- Development of a framework, or process, to help demonstrate, in practical ways, how the public could be engaged in a decision making process within the catchment.
- Development of a common vision and set of values that sets out the 'desired future condition' for the future of the Erne catchment. It describes stakeholder values for river, floodplain and catchment management for which measurable objectives can be developed subsequently.
- Exploration of issues and management proposals for sustainable management of water and land resources that are practical and have public support.
- Development of criteria and impact indicators to help assess the sustainability and impact of management proposals.
- Application of the Local Sustainability Model to assess economic, social and environmental sustainability of the management proposals.
- Development of a catchment scale, impact assessment methodology.
- Examining how policies need to be changed to promote integrated and sustainable management of the catchment.

Scale/unit of planning
The Erne Project tested participation at three different scales:

· Catchment
· Sub-catchment
· Cross-border partnership (c1000km2)

Period:
The project took place over a two and a half year period, from November 1999 to March 2002

Objective of Public Participation (Why PP?) Who organised it?
The Project Officer, Janie Crone, trained as a facilitator, developed principles for participation, designed the participatory process and facilitated all the workshops and training events. The participatory process was designed to help demonstrate, in practical ways, how the public could be engaged in a decision making process within the catchment. The process initiated was open and inclusive so that anyone with a management responsibility, stake or interest in the catchment could contribute to discussions, and each workshop started with, in a sense, a blank sheet of paper.

To help encourage informed action, the process involved elements of education, awareness raising, information sharing and training. The project used Participatory workshops and events. Training and capacity building were key elements to: Increase commitment to the process; develop ownership of the process; develop lasting skills at all levels; be cost-effective

Who participated and how (Degree/form of public participation) in what phase of the planning?
The Erne Sustainable Wetlands participatory process involved different levels of participation at different times. Some of the process (Questionnaires, Community Mapping) was concerned with gathering information and public awareness, while other parts of the process, (themed workshops and prioritising workshop), asked stakeholders, together with statutory and non-statutory organisations, to prioritise and make choices that gave stakeholders an equal role in decision making.

Every person living within the Erne catchment should be considered a stakeholder. A stakeholder is any person, group or organisation who can impact on or be impacted by decisions made about land and water management. The population of the Erne catchment is approximately 150,000 people over an area of 4340 km2. The population is mainly rural and dispersed with an average density of 29 people per km2.

The process in the Erne tried as far as possible to include anyone who wanted to get involved. All workshops were publicly advertised through local newspapers, local newsletters, leaflets/posters and direct mailings.

In the time constraints of the project (effectively the bulk of participation had to run from September 2000 to Feb 2001) it would have been impossible to get full participation, and even the 10% (which would have been 15,000) required for a true representative sample, would have been difficult to reach. However, over 150 stakeholder groups, community organisations and development associations were contacted in the course of the project. Each group has a stake in the future of the Erne wetlands through, either, economic considerations, social life of communities or environmental concerns. In terms of inclusivity, therefore, many of the organisations and groups involved represented large numbers of people, for example, the local wildfowler group that was involved has a membership of over 400. Also many elected councillors were at the meetings and have representative status. In these terms therefore, though the figures for 'individuals' present would suggest low percentage involvement true representation was much higher.

Methods and tools applied; Include resources used if known (time, money)
Participatory Methods included: Facilitative Leadership, Stakeholder Dialogue, Participatory Appraisal, Community Survey, questionnaires, and the Local Sustainability Model. Members of the community, stakeholder organisations and project Steering Group have been trained themselves in some of these methods.

Indicative costs of some of the methods
Facilitative Leadership £3098 (pounds)
Participatory Appraisal Training £3960 (pounds)
5-day training programme for 10–16 participants.

Major input of stakeholders;
Stakeholders were central to the success of the Erne Sustainable Wetlands project. An early decision in the project was to include stakeholders in the process at a very early stage so that they were involved in shaping the outcomes in a

Tangible results (effect) of PP?
Within the time constraints of a project, it is difficult to give a true estimation of the tangible results of public participation.
There area several measurable results:

· There is more understanding of public participation within statutory and non-government organisations
· PP has been put on the agenda of many organisations, if only at a discussion level.
· An expectation and momentum has been created within the Erne catchment.
· A long term vision has been created
· A management model has been created for continued participation

Lessons learnt

Positive

- The initial process was designed to provide a framework for participation at the scale of the river basin / catchment. The process was successful in achieving its objectives. There was good discussion and debate, and each workshop developed issues into management proposals.

- People relate to the environment immediately around them, and to issues that impact on their lives. Experience of working within a focus area, (between Newtownbutler and Belturbet, an area of c100km2), has highlighted that:

  People feel a sense of local ownership and pride,
  Have a lot of local knowledge,
  Can often make the link between local actions and local impacts,
  Feel more able, and have the capacity, to take action at a local level.

This is not to say that the public are not capable of providing valuable contributions to a decision making process at the scale of the catchment. They are, but the process of engagement needs to start at a more localised level to help build capacity and confidence.

Negative:
A deeper analysis of the participants of the workshops showed that the process did not attract wide support and participation at community level.

By initiating the process at catchment level, many community stakeholders did not feel they could contribute to discussions because:

- They could not relate their local experiences to a catchment / river basin scale.
- There was often a lack of knowledge and awareness about catchment issues and the ability to make the link between action and impacts.
- They were not always confident about sitting around the table with 'specialists and experts.'
- There was a real feeling that statutory agencies do not listen to the communities needs and it would be a waste of time.

Summary findings

There is a need to build a catchment management structure that people feel confident with and able to participate in. To successfully engage people in a decision making process at river basin / catchment scale requires a structure of localised groups.

Contacts for further information:
JANIE CRONE, Erne Sustainable Wetlands Project Officer : abocurragh@utvinternet.com

European Environment Bureau via jac.cuff@virgin.net

See also www.floodplains.org

19. Integrated Reconnaissance of the river Rhine, Waal and IJssel (so-called RVR and IVB projects), The Netherlands

Inspiration points:
Consultation of experts, NGO's and other governmental organisations in a reconnaissance study at River Basin Level

Aim/Objective of the project:
The Dutch government has developed its policy "room for water", but asked the regional offices of the Ministry of Public Works to develop in an open approach, in close cooperation with the other government organisations, to give advise on the possibilities of water management with a waterflow of 16.000m3/s (till 2015) and with a situation of 18.000m3/s or more afterwards (with further climatic changes…) Four projects are initiated of which two RVR and IVB are discussed below.

Scale/unit of planning
Regional level (involving 2 provinces)
Scale 1: 375.000

Period
1998-2001

Objective of PP:
to use the knowledge and experience of other government organisations for the development of water management options in the coming decades and hence improve the quality of the national policy.
To develop commitment and support for the formulation and implementation of this national policy

Who participated and how (degree/form of public participation) in what phase of the planning
The open interactive process is formed by:

- a steering committee
- a close cooperation with other governmental organisations. In steering committees, the 2 provinces, municipalities, the regional office of PW, VROM and LNV as well as the waterboards are represented. They are responsible for the decisionmaking and the advise to the government on further policies. (Before only the regional office of PW developed such studies and gave advise)
- an expert group (of government staff (and representatives of NGO's)

In the IVB project the projectteam has been supported (in a later phase) by three "working groups"of experts per theme: 1. waterflow, use and land use 2. juridical and governmental issues 3. communication. The juridical aspects are of large importance as room for water demands a number of changes in the current laws and procedures. The RVR project organised reflection groups with representatives of NGO's)

open communication
From the start the projectteam showed a positive attitude towards interviews, questions by stakeholders and took care to produce clear reports, and leaflets to inform about the progress and results

symposia (IVB).
The IVB project has organised two symposia. One for the governors and the other one for NGO's and interested citizens. The aim was to explain about results of the screening study sofar, to create understanding and support and to seek reactions and advise on the proposed measures.
information evenings for the general public (IVB)
a (DVD) film putting water management in a historical perpective, bringing interests together under the flag of security and illustrating all proposed measures and its consequences . The objective is to inform people, provide them the knowledge they need, generate understanding for the necessity and gain insight on the different perceptions and ideas people have. What are the consequences of these measures for the user, inhabitants and local governors?
"Kitchen table" conferences with the ministry and farmers in the area. Which measures are possible?
Consultation rounds (interviews) among the parties involved on how to proceed.

The government has based is decision on policy making on the results of the study on "watermanagement in the 21th century" (so-called WB21). This study has also been interactive in a sense that it formulates a strategy by organising:

- Expert meetings focusing on different topics (like agriculture, nature conservation, recreation, shipping, town planning and international aspects)
- Expert meetings and research on different policy instruments
- Research on the coherence between regional- and the national water systems

Methods and tools
See above: expert groups; working groups per issue; open communication; interviews; symposia; information evenings; DVD film; "kitchen table conferences"; consultation rounds

Experience and lessons learnt
Only after a thorough problem analysis and the generation of guidelines for water management, the project organised discussions with NGOs. The idea was that the government should have a sense of direction before other parties become involved in the discussion. The topic is difficult as the problem is security and national interests are at stake. However, in retrospect, the consultation of other parties and stakeholders would have been usefull half-way the process in order to share problemownership and invite people to generate solutions.
The province is eager to take the role as process manager. They are responsible for the integral area development and fear that the Ministry has a dominant say in the plan development (see reaction minister)
A reconnaisance study becomes more effective if combined with proposals for alternative measures or scenario's. The latter makes conflicting interests but also chances for new solutions clear. For example, the measures as proposed by IVB made the interest of the different parties clear and evoked the development of new alternatives by these stakeholders. The RVR project decided not to come with a plan but provides a kind of toolkit with 1000 measures, without indicating the location of possible measures and its effects. Discussion on what where, when and for whom was postponed and thus agreements among parties was still missing.
The strategy that is currently being developed on watermanagement in the next century was still missing at the start of the study. Hence, pre-conditions and directives were not clear. The IVB project took initiative and developed new pre-conditions which could (with approval of the Hague) could be used in the further development of measures..

Communication towards citizens about progress and results is poor in the RVR project. People do not see the necessity of this study yet.
Projects were implemented (funded by EEC) in the riverbeds while the policy on watermanagement in the coming century is still being developed. This resulted in one project in a confusing situation where the government appeared to be unreliable. In the other project "no-regret" measures were formulated to be financed by these EEC funds

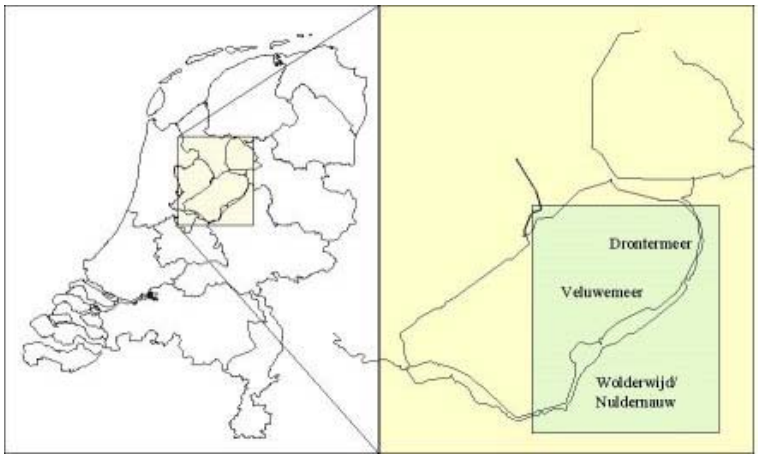
(Tangible) Result
1. A new style of government
The steering commitee wants to continu its cooperation and appreciates the atmosphere of trust, good relationship and the working together. *"we want to continu this cooperation like wise people that make sense"."it is a form of careful decision making in a phased approach"*
Other government organisations and NGO's like the department of agriculture and nature conservation have gained understanding for the interests of PW and the importance that is being attached to security ("nature is more flexible than security"). Hence, they search for alternative policies like security in "wet nature". The feeling of mutual understanding and trust has grown among the different organisations involved
NGO's showed new initiatives, E.g a waterboard developed their own alternative solutions (and published it in a newsletter)
also farmers came up with constructive alternative solutions for water management in specific areas.
2. Water management issues
General outline for water management in the riverbasin (of the river Rine)
Development of a vision on spatial planning in relation to water management by Provincial Government and Department of VROm in the region
Different alternatives are developed and the effects of each are indicated
The question has been answered; within the existing watersystem the river water can be accomodated (16.000 m3/s) through improved maintenance and measures within the system
The weak parts in the watersystem (with respect to security) are indicated in the region
No alternatives, but different measures are developed that can be implemented sequential (IVB):
in between dikes
flowing through the Biesbosch
green rivers (after 2015)
No regret"measures are proposed (that are subsidised by EEC) , which can be directly implemented (and shows direct results to those who have been involved)
"It is no longer a study on civil-technical measures, but an organic process, focussing on security through creating room for water…. Measures need to be flexible in order to anticipate further changes and the effects of measures…..All relevant parties (organisation) share the problemperception and measures!" (projectleader)

20. IIVR project, Integrated Planning of the Veluwe Lakes, The Netherlands

Inspiration points
This project shows an example of shared responsibility among several authorities in developing an integral plan. This shows a number of institutional challenges and gives examples of different forms of participation in different phases of the process

Aim/objective of the project
The Veluwe lakes are managed by several authorities, each with its own policy and instruments to manage the different parts of the water and its border. Besides these local and regional authorities (in total 20), also non governmental issue groups, have their concerns and interests. Hence a situation has occurred where plans are not in line with each other and often have conflicting interest, like those of nature, recreation, fishery and transport by water.
In 1996 an integral planning project has been initiated by the Ministry of Public Works and water management (PW) in the region.

Scale ; hundreds of stakeholders, 3 provinces, 10 municipalities, 4 national ministries worked together on a plan for the Veluwe Lakes (about 64 km^2). See figure below.



Period: 1996-2010

Objective of Public Participation
An open planning approach was chosen with the following objectives:
to achieve more consistency in existing and future development.
to develop a high quality plan which is feasible and widely accepted

Who participated and how (degree/form of public participation) in what phase of the planning.
The project has chosen for a co-operative style (see chapter 2) in which the different authorities and non-governmental organisations (NGO) (or interest groups) work together and have an equal say in the final outcome. The interaction is organised through:
a steering-committee, formed by governors of the different government authorities. They gave direction to the process and take decisions The steering-committee is supported by the initiative-group.

an initiative group. This groups of experts; government employees en members of NGO's, discussed the content of the planning process.
consultations of citizens and interest groups. In addition, several sessions are organised to consult citizens and interest groups and give them an chance to share their problem perception and generate ideas.

A project team facilitates the planning process. This team consists of staff of ministry of public works. However they have a separate office, their own name and logo and work independently. An important motive of the project team for this approach is that citizens should not be burdened by the fact that the government is divided in state, provincial and other government organisations.

In the process the four steps of start, problem inventory, generating solutions and action can be recognised. After each steps decisions are made on how to proceed.
1. Start
process plan (1996),
developing a terms of agreement with all authorities (1997),
organising team and steering committee, task assignment
2. Exploration of current situation
inventory of all problems, issues and first ideas (summer 1997).
Government Authorities in 3 provinces, NGO and citizens (total 300) participated by attending one of eight sessions. 400 issues came up. During the sessions an atmosphere for brainstorming and an open mind has been stimulated by all kind of exercises. Cartoon artists visualised and hence stimulated the discussion (see illustration). Experts participated in the sessions but were asked not (yet) to react. Also, non-participants were consulted, to verify the outcome. After the sessions all problems were clustered and analysed with the help of the expert-centre. A report with results has been sent to all participants.
the steering committee approved the outcome and the continuation of the process.
3. Generating solutions
generation of ideas and solutions (summer 1999)
During sessions with 170 participants ideas and solutions are developed for the problems. Creativity has been stimulated with different tools and techniques (a/o varying from artistperformance, brainwriting techniques to the use of GIS design to indicate the location of problems and solutions).During this session all kind of knowledge and ideas are brought together and induces citizens, interest groups, project team, experts and authorities to look at solutions from a different point of view. After the sessions the expert-centre analyses and further develops the ideas into "building blocks".
inventory of actual situation and on-going projects, a structure analysis and zone map scenario development.
impact analysis.
The effects were indicated per scenario during a 2-day session where experts and users indicated criteria and effects using objective arguments and their own experience and knowledge
decision making by the Steering Committee on the strategy to follow (end'99)
4. (Preparation for) implementation
development of a plan indicating what, where, when and by whom have been implemented
8 working groups consisting of members of the intitiative groups and key-persons have developed in 3 sessions of a day a detailed plan for the different aspects like nature, recreation, economic development etc.
setting up of a terms of agreement (on the responsibility for the implementation)
decision by the steering committee on the implementation of the plan (nov 2000)

implementation of the plan in 3 phases, starting in 2002 .Moments for reflection were planned in order to be able to adjust the plan to new developments and insights.

The results:
Governors were enthusiastic. They took their responsibility by dividing the costs for implementing the proposed 38 measures.
the response of all participants in the process has been positive.
New forms of cooperation have started among government authorities (at different levels), within their offices and with NGO's
NGO's have improved the quality of the plans. They introduced new perceptions and arguments and kept others sharp (e.g. by posing questions like what is at the interest of the users?)
NGO's have broadened their scope and got feeling for the interests of the others parties involved. They formed on their own initiative a new consortium of recreation and nature conservation groups have developed a plan (or vision) indicating their mutual interests as well as disputes (on their own initiative)
The central office of PW in The Hague appreciated the outcome of the process as it gives an integral plan with an overview of different measures, arguments and priorities. It also shows the (financial) contributions of the other parties involved.
The plan consisted of long-term measures but also activities that can be directly implemented, which motivates the different parties.

Lessons learnt
Lessons learnt with respect to the process are:
take time for the start
The start took almost two years, as the authorisation of the project and the co-operation of authorities took time.
indicate the pre-conditions and/or a sense of direction before starting interactive sessions with citizens and interest groups.
The large amount of information gathered during the inventory was another reason for delay. It took a considerable amount of time to process all data and compress it into a number of clusters that could be used in the next step of generating solutions In retrospect the interactive sessions were too open in a sense that no restrictions, preferences or pre-conditions were indicated. For the citizens it may have been easier if there was a sense of direction (as developed by the steering committee, showing their ambitions and scope
make a tailor-made process design during the start of the process
Only half-way, a total process design for plan development has been made. At the start of the problem inventory it was not clear how to proceed with the large number of problems (sometimes even contradicting each other).
integrate the interactive planning process in the formal decisionmaking procedures.
involve the governors actively and support them in their new role
The major role of governors is to provide a clear assignment. They need to be involved in the problem definitions, to make sure they are committed and see the necessity to act.
Governors do not want to be involved in sessions to generate solutions (they don't feel secure nor capable to do so…). They rather discuss the generated options and directions how to proceed (and choose). Informal meetings help to get a feeling for their political context and their attitudes towards possible solutions. They need time to discuss proposals and generate support within their own organisation. The attendance of governors during public "information-evenings" is positive as they can indicate their role and dilemma's.
It is the role of the project leader to keep all governors committed to the process and major outcomes

Work with an independent project team
Although it consisted of staff of the ministry of public works (PW), they have gained the support and trust of the other parties as care takers of their interests. Since there were two different provincial governments involved and the central topic was water, the project team of PW appeared to be the logical process manager. Provincial's authorities have showed a growing interest in the role of process manager (as integral spatial development has become their major concern)

More information:
www.iivr.nl (only in Dutch)

21. Waterplan for the municipality of Hilversum, The Netherlands

Inspiration points
It shows an example of consultation of stakeholders in the process of developing an integral water plan for a municipality. Collaboration is based on common sense of urgency

Aim/Objective of the project:
A municipality-waterplan is an integral plan, which indicates the policy on the management and use of water in the city. In the municipality of Hilversum the existing plan did not get the support from all other organisations involved. Moreover, the political situation was even further sensitive as the municipality was in financial problems and in ward under the central government. Also physically the situation was complex. Deep water levels led to a shortage of water, while an old-fashioned water sewage system caused problems of flooding and pollution. Complexity augmented due to the responsibility of different organisation for water management (the province for deep groundwater; the water board for surface water, bottom and banks; the service for water management and sewage system for policy preparation and maintenance, while the municipality cares for the water quality below ground surface. Hence, the local governor decided that an alternative approach for the plan development was necessary

Scale/unit of planning; Municipality

Period; 1995

Objective of PP:
to de-politicise the situation,
to create a high quality plan and
to strengthen new forms of co-operation.
to create understanding and support for the integral use of water within the municipality by developing a sustainable plan.

Who participated and how (degree/form of public participation) in what phase of the planning
The participatory style was a "consultative" one. When considered necessary the project team consulted interest groups and organisations (in total 25).
The project team was formed by the Municipality, responsible for developing the plan. They were supported by a Steering Committee consisting of members of the other organisations involved; the province, the waterboard, and an institution responsible for clean water. Whenever necessary governors were consulted as well as interest groups.

Methods and tools applied
Participation was organised through:
- discussion sessions per theme
- rounds of information supply
- consultation evenings a/o to enable interest groups to give comments and indicate priority to proposed measures.

Tangible Result (effect) of PP:
the solutions were no longer solely found in technical measures like bigger pipes and pumps, but a shift in attention took place towards increasing the human capacity to find solutions for the source of problems

a waterplan was developed in combination with a plan for a new sewerage system
the high quality plan drew all the attention, while the battle for competence among different organisation was put at the back bench
close cooperation between municipality, waterboard and province in a political sensitive situation with strong competition among parties. They all supported the final plan.

Lessons learnt:
the well structured process helped creating clearity on when and how which persons or organisations could participate
the governors gave room to the projectleader to manage the process with authority (which was usefull in the political sensitive situation)
the latter requires that both governors and process manager have a good working relationship and keep constantly in touch on when the governor should play what role and the other way around.
governors want to be able to choose and need to know the effects of the different alternative solutions

22. Participation, Consultation and Capacity Building in WFD Transposition Processes; Scottish Environment Protection Agency and Scottish Executive, Scotland

Key words:
Scottish Executive, SEPA, transposition, capacity building, key issue/ stakeholder /sectoral workshops

Inspiration points – this example is inspiring because:
During the past 2.5 years a number of events were organised to increase organisational capacity and understanding of the WFD across a range of bodies in Scotland. This process helped inform debate and discussion of key WFD issues and enhanced mutual understanding of issues of agreement or concern. A wide range of public and private organisations actively engaged in and contributed to this process.

Aim/objective of the project:
In Scotland many of the component parts of the WFD are not presently in place e.g. water abstraction or impoundment controls, controls on river engineering or an equivalent of River Basin Management Planning. WFD implementation, therefore, presents major challenges to many organisations and stakeholders.

The general aims of the activities undertaken and described were:
To inform a range of public authorities, NGOs, sectoral interests and other stakeholders of WFD transposition and implementation processes in Scotland, notably around periods of formal public consultation,
To increase organisational capacity in respect of WFD understanding to allow meaningful input to, and engagement in, key WFD transposition and consultation exercises.
To inform a range of organisations and interested parties of present interpretations of key WFD issues, and to discuss and debate these

To encourage meaningful discussion of WFD issues by interested parties to increase mutual understanding of positions and views
By the encouragement of participation in these early WFD stages to build capacity across a range of organisations and interested parties to benefit future RBMP and Characterisation processes and activities.
Scale/unit of planning:
These information sessions, seminars and workshops were undertaken at a range of different scales and levels of input including:
National (as part of national preparations for WFD transposition)
Sectoral (individual sectoral groups were involved in specific events)
Issue specific (individual WFD issues were identified for specific discussion)

Period:
Spring 2000 – Ongoing

Degree of public participation and stakeholders involved:
The information and participation exercises undertaken in Scotland were organised in different ways to allow different sectors, issues and geographic scales to be considered. Ranges of stakeholders were, thereby, brought into the process at different stages and in situations in which they were confident and comfortable.

Stakeholders engaged in the process included:
Local Government
"Industry"
Rural Land Use (agriculture, forestry etc)
Freshwater Fisheries
NGOs
Environmental Groups
Public and Government Agencies and Departments
Other interested parties via inclusive and open events

Methods and tools applied;
This example was essentially a sequence of information session, workshop and conference events undertaken throughout preparations for WFD consultation stages.

In order to be most effective a range of approaches were taken which are summarised below:
Events were sectoral (to allow key audiences to be met) or;
Issue specific (to allow key issues to be considered) or;
Wider events (to allow open discussion and resolution of issues and differing opinions from, for example different sectoral groups),
Stakeholders participated in all of these event types.

A range of groups made presentations on particular WFD issues and aspects of particular relevance to them. This direct and public involvement reduced the perception that these events were the sole responsibility of individual organisations. Events were organized and managed by different partnerships according to subject matter
Many events were jointly organized by the Scottish Executive and SEPA. Other partnerships, however, organised different events. e.g. the Scottish Executive and WWF were responsible for the provision of a workshop specifically considering WFD public participation .

By using different approaches to different events to encourage engagement with different groups an inclusive i WFD process was generated.

Major input of stakeholders
Stakeholders were involved in different ways within the process. Some made presentations reflecting their particular expertise, concerns or responsibilities, some debated technical interpretations of particular WFD areas while others played key roles in managing events. Particularly in the early stages of this process general information on the WFD was required to inform later debate and discussion; initially SEPA and the Scottish Executive fulfilled this role. Facilitated sessions allowed the active involvement of parties not specifically leading or presenting any of the events or topic discussions.

Participating numbers ranged from 30 – 40 for sectoral seminars and workshops to in excess of 100 for more general events or where a sector or issue of particular significance was considered.

The sequencing of events around formal consultation processes and stages allowed the introduction of key consultation questions for debate. In this way the consultation responses of stakeholders could be informed by open debate and discussion of issues and on a greater understanding of WFD implications for themselves and of other groups. An increased mutual understanding of WFD issues was delivered.

Tangible results of public participation exercises
The series of events produced, or helped to produce:
Increased organisational capacity and understanding of WFD issues,
Enhanced mutual understanding of respective organisational positions, concerns and interpretations,
Provided opportunities to resolve issues of concern and to re-assure groups of interpretations,
Helped inform responses to WFD formal consultation exercises.
Introduced many of the new WFD concepts and requirements (to Scotland) to key groups at the start of the process,
Started the WFD process of public participation at an early stage in Scotland and provided a start point on which to build future processes, procedures and trusted relationships.

Project costs:
It is not possible to quantify the costs involved in providing the participative and consultative opportunities available within the described process. However, significant staff resource from organisations managing events was allocated from SEPA, Scottish Executive, WWF and others. Additionally, time allocated from a range of stakeholders in attending and presenting at events was significant.

Lessons learnt:
A number of key lessons have been learned during and as a result of this process in Scotland. Some of these are summarised below:

It is clear that participative approaches similar to that summarised can be hugely beneficial in building organisational capacity of all bodies involved. It is certainly the case that by opening the WFD debate in Scotland throughout the transposition process more informed and valuable contributions from a wide range of groups were received and generated.

Where the approach taken in Scotland has been particularly successful has been in targeting input both sectorally and at appropriate times within the process, e.g. linked to SE consultation periods. That participative and consultative exercises, processes and opportunities should be focussed and targeted and meaningful in order to deliver most benefit to the overall process is perhaps the key lesson.

The continual and ongoing engagement of stakeholders during the past years has improved and developed the dialogue and relationships between organisations. This continued commitment to engagement in the process is better than single events.

The WFD is an ongoing and iterative process so participative and consultative opportunities must be provided on an ongoing basis to allow continued meaningful engagement in the range of WFD processes.

It is apparent that what is delivered is never enough! There remain calls for a wider and more inclusive approach still to WFD implementation. In many cases these are reasonable expectations and aspirations that SEPA and the other Responsible Authorities must try to meet, address and manage.

Contacts for further information:

Callum Sinclair
SEPA South West
5 Redwood Crescent
Peel Park
East Kilbride
Strathclyde
G74 5PP

Tel: 01355 574298
E-mail: callum.sinclair@sepa.org.uk

Michael Kellet
Scottish Executive
Environment Protection Unit
Victoria Quay
Edinburgh
EH6 6QQ

Tel: 0131 244 0219
E-mail: Michael.Kellet@scotland.gov.uk

23. Ettrick floodplain restoration project by Borders Forest Trust in the Scottish Borders, Scotland

Inspirational points:
Several techniques have been used by the Borders Forest Trust (BFT), who manage the project, to ensure meaningful public and stakeholder participation. These include an initial public meeting, the establishment of a local community steering group and a technical (stakeholder) steering group. A citizens' jury was also conducted involving members of the wider community to help guide the process. The project continues to be guided and assisted by the community steering group.

Aim of the project:
The aim of the project is to restore floodplain characteristics by removing and ameliorating intensive forest and agricultural practices together with the establishment of large areas of semi-natural habitat to produce a functioning floodplain of national and international quality.

The project has developed a matrix of linked elements along the upper Ettrick Water to create an extended mosaic network of woodland and associated habitats. The restoration work has involved the creation of appropriate riparian scrub, wetland, and woodland on species poor unimproved grassland and areas previously afforested with exotic conifers. The removal of exotic conifers and reinstatement of natural flooding patterns has increased the upper Ettrick's flood buffering capacity and the biodiversity value.

Scale/unit of planning:
The Upper Ettrick valley contains tributaries of the main Ettrick River which feeds the River Tweed. The project area is in excess of 2 square kilometres, extends for some 6 kilometres along the main watercourse and has involved a number of private landowners and Forest Enterprise (the State forest managers) in the management of: hay meadows; wetland (rush pasture); willow scrub and alder carr; native broadleaved woodland and species poor grassland.

Period:
The project has been running for 5 years from 1998-2002 and will continues to run for the next five years.

Objective of public participation:
Borders Forest Trust is a community-based organisation originally formed by community groups and individuals. It is designed to serve communities in the South of Scotland. In the Ettrick project the objectives of the community consultation were:
To identify public aspirations and fears of environmental projects related to floodplains;
To encourage greater community involvement and ownership within environmental restoration projects;
To identify problem issues at an early stage of the project;
To encourage the sustainability of the project by mobilising the local community;
To benefit from local knowledge.

Who participates and how?
Stakeholders and the local community participate in the planning and implementation of the project through two groupings. The technical steering group comprises a range local bodies

and agencies (such as Scottish Environment Protection Agency, Scottish Natural Heritage, Forestry Commission) who advise on the technical aspects of the project. The local community is provided with a voice via the community steering group where dedicated members have an input to the planning and implementation of the project. The wider community also had the opportunity to participate in the development of the project through a citizens' jury.

Methods and tools applied
At the start of the project the local community was invited to a public meeting where the details of the project were discussed. Community members were invited to volunteer to sit on a steering group. The community steering group meets project managers on a regular basis to discuss progress and feed into the planning and implementation of the project.
A citizens' jury was also held to allow wider members of the community to learn about and feed into the project. The jury was made up of citizens drawn from across the Scottish Borders. Stakeholders from different perspectives such as NGO government agencies etc attended the jury as witnesses, presenting information to the jurors, and answering questions. The jury made recommendations on the benefits of the project and management of the site.

Major input from stakeholders
A technical steering group made up of local stakeholders and government agency representatives also meet project managers on a regular basis to advise on technical aspects of the project.
Stakeholders also participated in the citizens' jury as witnesses. This facilitated dialogue between members of the community, stakeholders, and project managers.

Tangible results (effect) of Public participation?
Tangible results of the participatory nature of the project have included:
ensuring the sustainability of project, for example members of the community are keen for the project to continue and have volunteered to work as project wardens;
the ability to iron out difficulties and allay fears early on in the project timetable
encouraging farmers to manage their land in complementary way
changes made to aspects of the project. For example, the entry points to, and the access paths within sections of the project area were decided by the Community Steering Group, and are different from the original ideas of the BFT staff involved in the management of the project.

Lessons learnt
Community involvement is an essential component of this floodplain restoration project and has contributed to the design and execution of most elements. Without adequate public involvement and consultation the project would have run into many objections and much hostility. Potential objections were likely to stem from confusion as to the nature of the project and sensitivity of people to practical works associated with flooding.
One of the major lessons learned by BFT was the importance of early positive engagement with communities and an ability to respond quickly and flexibly to areas of concern and misunderstanding.

Formal procedures for public participation
There were no formal requirements for public consultation, however, since the BFT is a community led group, a participatory approach was considered vital for the success of the project. Although many participatory processes were designed within the project plan much

of the interaction has been led by the community itself. As the project progressed the public consultation and engagement became less structured and formal, and more dynamic as the community began to take the lead with respect to access planning and project interpretation.

For more information contact

Willie McGhee, Director, Borders Forest Trust, Monteviot Nurseries, Ancrum, Scottish Borders, TD8 6TU Scotland. will@borderft.force9.co.uk
Wendy Kenyon, SERP, Macaulay Institute, Aberdeen, AB15 8QH, Scotland
w.kenyon@macaulay.ac.uk

Available reports

http://www.bordersforesttrust.org/projects/ettrickhabitat.htm

24. Consultation on Technical Annexes II and V of the WFD, Scotland, England and Wales

Inspiration points
In the summer of 2002 the Scottish Environment Protection Agency (SEPA) in Scotland and the Environment Agency (EA) in England and Wales issued public consultation documents on "The Guiding Principles on the Technical Requirements of the Water Framework Directive". These documents outlined the principles and requirements of technical annexes 2 and 5 following:
An inclusive drafting process and Stakeholder input at the outset of the production process and launch of the consultation documents.

Participative approaches related to the technical requirements of the Directive are difficult to formulate, manage and make meaningful but this example shows how progress can be made on such issues where a will to do so exists.

Aim/objective of the project:
The general aims of the consultation exercise were to:
Help stakeholders understand the technical context provided by annexes 2 and 5 to the administrative and regulatory provisions required of transposition;
Allow comment on the proposed principles to be adopted in implementing these annexes as these provide the basis for allowing the sustainable use of water resources and the efficient achievement of the Directive objectives while delivering real environmental benefits;
To gather views as to how and when stakeholders would wish to be involved in technical implementation processes.

Scale/unit of planning:
The respective SEPA and EA consultation documents were issued on a Scottish and England/Wales scale respectively.

Period:
The consultation documents were issued in early summer of 2002 with comments to be provided by August/September 2002. Stakeholder workshops were held at the document launches.

Prior to this stakeholder workshops were held at the process outset (2001) to allow initial input at early formative stages of drafting and highlight issues of concern and interest.

Objective of public participation:
The technical annexes of the WFD are complex and not easily understood or interpreted. They do, however, provide the basis and instruction as to how the water environment will be assessed, monitored and classified. These tasks inform Objective setting, the development of Programmes of Measures and regulatory regimes. As such it is important that, as far as possible, the principles being adopted, or being considered for adoption, are understood and supported by the range of stakeholders, authorities and organisations potentially affected by these assessment or related activities.

The objectives of this exercise were to:
Allow stakeholders to input their priorities and concerns as to how technical annex interpretation might affect them;

Allow stakeholders to comment on proposed WFD technical interpretations and principles;
Provide a framework by which a range of public bodies across the UK could input to the development of a common interpretation and understanding of Directive requirements.

Degree of public participation and stakeholders involved:
Stakeholder participation was encouraged and facilitated within the stages as below:

At the launch of the annex 2/5 process stakeholder workshops were organised and attended by a range of industry and environmental interests as well as other public and non-public bodies. At these events views, concerns and issues were gathered from stakeholders to inform later drafting exercises and to provide a context for later discussion and interpretation debate.

Document drafting required input from a range of public bodies and agencies to fully gather and capture expertise from across sectors and interests. In Scotland participating organisations included SEPA, Scottish Water, Scottish Natural Heritage and Fisheries Research Services. In addition, the EA and the Environment and Heritage Service (EHS) from Northern Ireland participated in the Scottish process. Similarly, SEPA and EHS participated in the EA led process in England and Wales to help ensure UK wide consistency of content and interpretation.

At the launch of the annex 2/5 documents stakeholder workshops were organised and attended by a range of industry and environmental interests as well as other public and non-public bodies. At these events initial responses, concerns and questions raised by the publications were aired and discussed openly.

A consultation period following the document launch allowed a period for formal stakeholder comment to be provided.

Major input of stakeholders:
At the organised workshops the views and concerns of stakeholders were:
Gathered for inclusion and consideration during the drafting process;
Highlighted by stakeholders to inform others of these views thereby encouraging debate of these, potentially informing the consultation responses of other consultation respondees and allowing mutual understanding of concerns.

Tangible results of public participation exercises:
Consultation periods for these documents have now closed and a wide range of responses received by SEPA and the EA. These will be used to help shape ongoing interpretations of the technical annexes, inform principles to be taken forward during this process and allow the balanced consideration of the concerns of stakeholders.

It is likely that ongoing involvement and input from stakeholders in many aspects of annex 2/5 and general WFD interpretation will be provided following this exercise and process. It is hoped that SEPA and the EA, supported by arrange of other public organisations, will benefit from the adoption of transparent and inclusive approach to WFD interpretation in the coming years. The Scottish Executive in Scotland and the Department this approach for Agriculture, Food and Rural Affairs in England and Wales supported and allowed this SEPA and EA approach.

Lessons learned:
A number of key lessons are summarised below:
It is possible to develop and provide participative opportunities associated with WFD technical processes and issues.
Attempt to involve stakeholders in such issues and processes are appreciated by them and deliver benefits to prospective competent authorities in terms of both transparency and trust and through the valuable and insightful contributions made by stakeholders.
The collaborative working of agencies and public bodies in both Scotland and England and Wales is beneficial in increasing national understanding and co-working relationships. Similarly the reciprocal involvement of SEPA, EA and RHS in each others drafting processes increased UK wide shared understanding while providing reassurance to stakeholders that common interpretations were being applied and proposed.

Contacts for further information:
Callum Sinclair, SEPA South West, 5 Redwood Crescent, Peel Park, East Kilbride, Strathclyde, G74 5PP, Scotland. Tel: 01355 574 298; Fax: 01355 574 688; E-mail: callum.sinclair@sepa.org.uk

25. Global flood defense plan in river Júcar, Spain

Elements of inspiration
Information to the public in this case has been a two way, iterative process. Authorities of the river basin district not only transmitted information of the results of the floods assessment but at the same time involved representatives of the community in the design phase of the flood control related strategies

Key- words;
Floods, risk perception, transparency, co-responsibility.

Aim/objective of the project;
Development of a global floods control plan.

Background:
Jucar River Authority has carried out different hydrological and hydraulic studies in the river Jucar with the ultimate objective of reducing the damages produced by floods in a plain with a very important social and economic relevance. The objective of the participation process has been mainly to involve stakeholders and public in general on the decisions taken, coordinating measures at river basin, regional and local levels. River Júcar flood plain is about 4000 km^2 with a population of more than one million people.

Who participated and how (Degree/form of public participation) in what phase of the planning
The public participation process started in 1998 with the creation of an ad hoc committee including water authority members and representatives of the municipalities located in flood prone areas. This committee was enlarged in order to incorporate representatives of ministries belonging to the Spanish central administration, departments of the regional government, NGOs and users associations. A permanent secretariat of the committee allowed the management of the consultancy process and capacity building was provided by the Jucar river authority. In order to present the process to the public in general several workshops and meetings were organised. Risk maps were presented in a workshop in Valencia in April 2002 after a long consultation process with the affected administrations and public in general. These maps together with other basic documentation have been included in a CD with GIS tools that allows their visualization and analysis. All this information have been distributed to the public free of charge.

Major input of stakeholders
One key element was to agree that the idea of "zero risk" culture can not be accepted. It has to be admitted the presence of a certain degree of danger and thus the acceptable level of risk has to be decided. Flood risk maps can be a good tool to apply these principle serving as the first information source of information in order to look for a compromise between urban development and flood control that means important economical implications.

Tangible result (effect) of PP and lessons learn
Publishing and distribution of risk maps
Identification of priority actions
Understanding by the community of the degree of vulnerability and assimilation to what extent they can be affected by floods.
Increasing the transparency and legitimacy as well as underlining the economic and social relevance of flood control policies

For more information please contact:
www.mma.es (Oficial web page of the Spanish Ministry of Environment);
teodoro.estrela@chj.mma.es (river authority manager of the project and process facilitator);
manuel.menendez@cedex.es (technical studies)

26. Alcobendas - city of water for the 21st century, Spain

Inspiration points;
Awareness raising on water consumption and change of attitude towards water consumption

Aim/objective of the project;
To raise awareness of the population, local authorities and SMEs in Alcobendas, a Madrid suburb, on water consumption in order to create a culture of treating water with respect.

Scale/unit of planning;
Alcobendas, a satellite town at the outskirts of Madrid, with 90.000 inhabitants.

Period:
2000-2001

Objective of Public Participation
To engage the public in water savings

Who participated and how (Degree/form of public participation) in what phase of the planning:
A broad range of the inhabitants, authorities and local SMEs
A wide range of activities, information and media coverage: just for publicising the results (see below),the following was carried out:
press conference attended by 30 representatives from press, radio and TV
the project office received more than 1.000 calls and visits by media-rep's
4 TV reports on water-saving systems
17 programs on "Olca Alcobendas"
14 interviews on other radio stations
113 articles published in various magazines and graphic media
a total of 250 journalists were informed about the project

Methods and tools applied;
A comprehensive package including:
Exchanging technical and scientific information to encourage the introduction of effective water-saving technologies and programs and water demand management
Promoting new regulations
Stimulating the water-saving technology market
Promoting changes in the productive sectors
Increasing public awareness of the need to participate actively in saving water
Offering an example of the introduction of effective water saving measures in new homes
Publicising the results and methodology so that they can be adapted to other towns

Tangible result
Estimated water savings for Alcobendas: 102.200.000 litres per year

Lessons learnt:
The most important aspect of the "Alcobendas - city of water for the 21st century" is not the savings in absolute terms, but the creation of mechanisms that produce a permanent change of attitude towards saving in the use of water in cities.

For more information contact:
WWF Spain, Alfredo Lopez, aguascont@wwf.es
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

Available reports
http://www.wwf.es/

27. The Water Forum in the Balearic Islands, Helcom, Spain

Inspiration points
This example is inspiring because is promoted directly by the Environment Council of the Balearic Government and designed and organised by the Development and Ecology Foundation (ecodes), a member of the EEB and a serious and responsible organisation. Also, the perception of the participant stakeholders seems to be very positive regarding the first two initiatives encouraged:
the Pitiusic and Menorca workshops.

Aim/objective of the project;
The main objective of the Water Forum in the Balearic Islands is the participation of citizens in drawing up an analysis of the current situation as regards the management of water and the construction of a basic consensus for water policies in the Balearic Islands. This consensus would contribute greatly to moving the management of water towards a sustainable model, which the population of the islands desires, in this case with reference to the management of hydrological resources.

Scale/unit of planning;
Balearic Islands (Eivissa, Formentera, Mallorca and Menorca, 5.016 sqKm), Western Mediterranean, Spain

Period:
2001-2003, as a minimum.

Objective of Public Participation
The main objectives of this initiative are as follows:

To achieve, in a context of neutrality, communication between business, social and institutional groups without the habitual intervention of the news media;
To create informal environments for meetings between the leaders of social sectors often involved in confrontation;
To make sure, in a context of negotiating, that parties receive information on the conflicts from the appropriate technician in the local government;
To ascertain, without the intermediation of the news media, and without bilateral negotiating tensions, the main concerns of the principal community leaders of the sectors most relevant to the management of water on the three islands;
And, also, to ascertain shortfalls in the focuses of social organisations in relation to the management of water;
To detect the main sources of conflict, and the position held by the range of sectors in this regard, and the nuances of these confrontations
To ascertain points for a basic consensus for water in the Balearic Islands in order to construct a new culture of water in the Balearic Islands.

Who participated and how (Degree/form of public participation) in what phase of the planning:
In 2001, the project aimed at the participation of the full range of stakeholders, including individual citizens, local, insular and autonomous administrations, NGOs, representatives of political parties, land owners, water supply, water treatment and desalinisation technicians, consultants, etc. The aim was for the groups to be as heterogeneous as possible, ensuring the presence of women and old and young people, who still appear to be under represented

sectors in the water management field. 32 people were invited to every workshop, and 23 average attended each of them.

Methods and tools applied;
For the first phase (Pitiusic Islands and Menorca workshops in 2001) the Logic Framework method was used. This method consists mainly in discussing within the whole group or 4-5 people the proposals of every participant and their appropriate setting in a certain diagram. The final results are a series of logical trees reached in consensus by the whole group. In this case, the proposals represent the main problems and main solutions for solving them regarding water management in the three islands, Ibiza, Formentera and Menorca.

In Mallorca, during the 2002 phase, the EASW (European Awareness Scenario Workshop) methodology might be applied. This is a more complex group method, following in essence the same path but in a more closed and fixed way. The EASW Initiative was launched by the European Commission DG XIII D in 1994 as a pilot action to explore new possible actions and social experiments for the promotion of a social environment favouring innovation in Europe.

For more information see http://www.cordis.lu/easw/home.html

Both methods require skilled consultants. For the Logic Framework Workshops, one facilitator was in charge, helped by three assistants, also skilled, and, in this case, an abbreviated version was implemented, lasting only a whole day (from 09:00 to 20:30, including lunch and several coffees in between). The usual version usually takes 2 days.

The EASW method requires a larger number of consultants (4 to 6), and cannot be successful if shorter than one day and a half.

Indicative costs:
the first phase of the Balearic Forum cost about 30,000 euros

A EASW workshop costs about 13,000 euros to run.

Tangible result
Until now, some encouraging initiatives have arisen from a few stakeholders who organised themselves to push the Administration on specific topics. For example, in Menorca, a member of Menorca Reserve of the Biosphere and a technician from the Sant Lluís Towhall, were freely assigned by the rest as responsible for asking the insular authorities about the project to organise an Insular Water Administration, against the Balearic existing one. Despite this initiative not being *a priori* positive for the Balearic Government (who promotes the Forum), it is seen as a good movement within the whole participation process.

Contact for Further information:
* Fundación Ecología y Desarrollo/gea21. Plaza San Bruno, 9 - Of. 1ª. 50001 Zaragoza (Spain)/ Tous i Ferrer, 12, entlo. C, 07003 Palma, Mallorca, Balearic Islands (Spain).Tel +34 976 298282/+34 971728218. Fax +34 976 203092/+34 971728218. www.ecodes.org

* Direcció General de Recursos Hídrics, Conselleria de Medi Ambient, Gran Via Asima, 4ª, 07009 Polígon Son Castelló. Palma, Mallorca, Balearic Islands (Spain). Tel. +34 971 177141. www.caib.es

28. Co-operation on the Catchment Level in the Emån River Basin, Sweden.

Elements of Inspiration
River Basin wide co-operation to achieve sustainable development by encouraging commitment and support from local people in restoration of the area and implementing environmental measures. Catchment area management

Key words:
Stakeholders, broad public, measures, co-operation

Background
There are several ongoing conflicts between different stakeholder groups in the Emån river basin. The entire main channel and several tributaries are Natura 2000 areas. This part of Sweden is suffering from decreasing population and low educational level. River basin co-operation, on a broad scale, is used as a method to achieve the following objectives:
Better water quality within the Emån watershed.
Pollution should not restrict the use of the water resources for drink water production, fishing, bathing, industrial purposes etc.
Better environment for Trout and Salmon.
High environmental values existing within the watershed shall be preserved and developed.
All natural species shall exist in sustainable populations.
Economic and environmental sustainability in the region

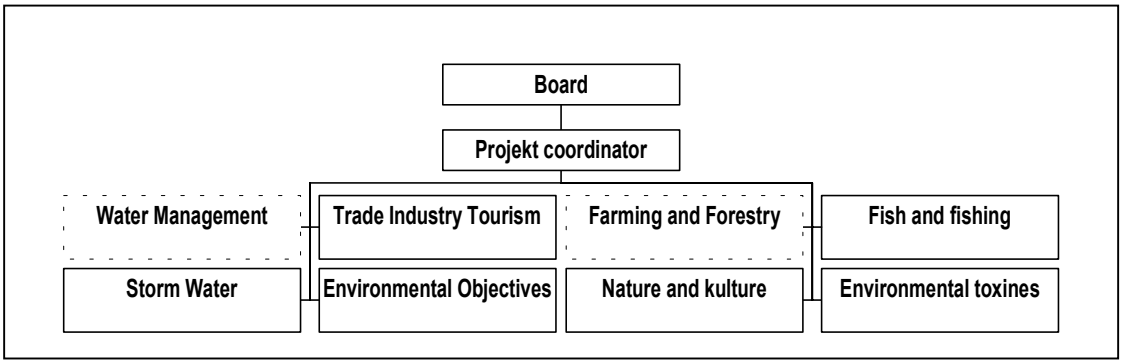
Scale / unit of planning;
Catchment area of 4 500 km2.
Population involved – more than 2000 (=2%)

Period:
1994 -- ongoing

Objectives for public participation
In the Emån watershed they are paving the way for environmental sustainability by means of involving the public in water management. The stakeholder association is encouraging voluntary action, commitment and support from the local population and industry in restoration and development of the area. The objectives of the public participation in the different projects are:
To make use of the knowledge and experience from NGO's and other stakeholders
Avoid or solve conflicts that arise between different groups of stakeholders.
Increase the awareness of, and knowledge about, the environmental values in the Emån region.
Increase co-ordination between different enterprises and stakeholders within the watershed.
Increase interaction between different stakeholders to find strategies for how natural recourses may be exploited from a holistic and sustainable perspective.

The Emån model for public participation - who participated and how :
Eight municipalities, two Regional Administrative Boards, the Emån River Council, The Federation of Swedish Farmers, owners of fishing waters, angling associations, local history associations, nature conservation associations co-operate in the Emån Stakeholder Association. All of the above mentioned have representation on the board of directors.

Different task groups perform the work. Each task group has its own chairman and 6 – 15 members representing different stakeholders and with specific knowledge about the tasks at hand.
Different authorities and NGO:s take part in the work in the task groups .



The organisation of the Emån Stakeholder association

Methods and tools applied;
Public participation is achieved by holding seminars, information meetings and hearings, circulation of documents (e.g. objective documents) for comments, forming task groups (those in the group bring information back to their organisation and vice versa) distribution of newsletters, press conferences etc. Minutes from the various meetings were taken and distributed. There is always a discussion possibility on the web site.

Major input of stakeholders
Stakeholders have been involved in the planning process, in formulating the environmental objectives and in the negotiation for restoration measures. All stakeholders, including the NGOs have provided input for the information documents and have given their view on all suggested plans of measures.

Tangible results of public participation in the Emån river basin

- The following measures are the result of co-operation between the general public and other stakeholders:
- Two new, well functioning, fish by passes, have reintroduced sea trout (*Salmo trutta*) and Salmon (*Salmo salar*) to 20 kilometres of the main channel. More bypasses are planned further up the river.
- Spawning grounds for stationary stocks of trout have been restored in several sections of the river system.
- A complete inventory and risk assessment of storm water in towns and on the road net. Two storm-water dams are being built in 2002.
- Seventeen working groups of more than 200 farmers have been established to improve water quality and biodiversity.
- One abandoned industrial site has been remediated. 35 000 tons of cadmium- and 9 000 tons of lead-contaminated material has been removed. There are also plans to remediate two mercury-contaminated lakes.

New fish by pass at the Finsjö hydropower station

- As from 2002, the water flow from nine hydropower dams is co-ordinated in accordance with a new drought protection plan (flow management plan). Stakeholders have assumed economic responsibility for necessary investments.
- A fishery plan on sub-catchment level has been presented for the whole catchment area.
- Biotope mapping of all rivers and streams (a total length of 800 kilometres) has been performed.
- A plan for nature conservation and cultural history preservation was another result of public participation.

Lessons learnt

- It is important for the general public to derive local benefits and see tangible results of their input and involvement.
- People are more interested in providing input and being involved if the problem concerns their own neighbourhood.
- PP takes a lot of time and involves education and information initiatives as well as the exchange of ideas.
- It is important to create different arenas for participation and discussion.
- It is also important to remember that positive results, big and small, from the PP process must be celebrated.
- The involvement of the media is another important success factor.

Summary:

The river basin co-operation started as a means to resolve conflicts. Many people are or have been involved on different levels in the process. The public has been involved in tangible measures. It is, however, difficult to get everybody to participate. Often no more than 10-15 % of the people that are invited to take part in seminars or hearings actually show up. Different forms for participation attract different groups of stakeholders. Therefore there must be several possibilities for communication. The Internet is one good example. Good media coverage is helpful when we want to involve more people in the process. The fact that, in some cases, the stakeholders were involved at the sub-catchment level was useful. It is easier to discuss a problem or a possibility close to people's homes.

The cost of the project

The total budget for the objective 5b projects that were carried out from 1997-2000 was 2,02 million EURO. The cost for public participation during this time may be estimated to 150 000 EURO.

The cost for public participation from 2001-2002 is estimated to about 100 000 EURO most of this cost refers to the work in the farmer project. A smaller portion refers to the planning of fish bypasses, information and lectures in schools and the administration of the Emån stakeholder association.

For more information please contact:

www.emaprojektet.h.se
Bodil Liedberg Jönsson,
bod@hultsfred.se

29 The Municipality of Örebro's water management plan, Sweden.

Inspiration points;
A total of about 70 different authorities and organisations upstream of the catchment area and within the municipality's borders have been consulted on a draft plan.

Key words
Experiences, long tradition on information and public participation.

Aim/objective of the project;
To develop a water management plan as a complement to the municipality's overall land and water use plan. A further aim is to fulfil the regional and national environmental objectives for surface and groundwater

Scale/unit of planning;
The area of the municipality is 1600 km^2 divided into several catchment areas.

Period:
Pre-1990 - ongoing.

Public participation objectives
The aim is to get people involved in planning process so they can react and give input. But alsoTo fulfil the requirements for public participation under the Swedish Planning and Building Act of 1987 concerning consultation with the public in the development of overall plans. It is also inspiring that Sweden has had this system for public participation for a very long time and has routines for it

Who participated and how (degree/form of public participation) in the different planning phases:
A working group and steering group consisting of civil servants have been implementing the project.
A total of about 70 different authorities and organisations upstream of the catchment area and within the municipality's borders have been consulted on a draft plan. Their opinions and comments were acknowledged by the working and steering groups. The adjusted document was circulated again for consultation.
Those involved included farming and water conservation associations along with Örebro University.

Methods and tools applied;
Consultation was effected by holding seminars, information meetings and hearings and by circulating proposed land use plans for consideration by the parties involved.

Major input of stakeholders
Input from farming associations concerning voluntary versus compulsory measures for farmers. Input from the water conservation associations concerning their present role in monitoring and nature conservation associations regarding species protection measures. Örebro University indicated how sensitive areas should be defined and protected and supported the project by disseminating information to the general public.

Tangible result (effect) of PP?
The steering and working groups met with stakeholders to answer questions and justify their actions. Much of the latter's input is important so that the water management plan can be revised. This will also affect the development of the land-use plans.
Lessons learnt:
It is important for the public to see tangible results and direct benefits from their input and involvement.

Formal procedures for PP
Consultation on advisory overall plans and detailed development plans is compulsory in Sweden under the Planning and Building Act of 1987. The public also has access to reports and documents in the public domain under the Swedish Administrative Procedure Act of 1986.

For more information please contact:
The municipality of Örebro.
stadsbyggnadskontoret@orebro.se

30. The Fyrisån River Water Association, Sweden

Inspiration points –
Involvement of many relevant stakeholders in the water association board and the close connection between the association and the public.

Key words
Stakeholders, broad public

Aim/objective of the project;
To protect and restore the river and provide information for the general public by monitoring water management activities (extraction, aquaculture, etc.) and thus use the river's resources in an economical and sustainable way.

Scale/unit of planning;
Catchment area: 2 000 km^2.

Period:
1962 – 1983 -- ongoing

Public participation objectives (Why PP?)
To involve relevant stakeholders in the water association board and to get measures done.
To inform the public and hence promote sustainable water management

Methods and tools applied and major input of stakeholders;
The association consists of a board and three working groups for monitoring, measures and water management. Members of the water association board and the working groups represent municipalities, industrial plants, irrigation associations, drainage associations, angling association and dam-owners. They represents people from different sub-catchment areas. Many actors such as schools, farmers, NGO's etc., are involved in different projects in sub-catchment areas on the very local level and are supported by the association. Several environmental projects (one of them supported by WWF) have been started and are connected to the water association. The water association has one half-time employee for administrative service and the time for monitoring.

Seminars, information meetings and hearings were held. .

Activity days were organised when local people took initiative and helped to restore the lakes by e.g. clearing reeds along the riverbanks to create better conditions for animal life. Meetings with landowners on the implementation of the proposed measures were also held.

Tangible result (effect) of PP?
The public take initiative and show endurance and are really involved in the job and get measures done. They feel involved. Reconsideration of some of the water permits awarded to avoid too low a water-flow in the lake system.
Restored wetlands by landowners and others. Measures have been implemented at the local level.

Lessons learnt:
A positive way of working in the water association is to initiate (small) water projects and ensure the involvement of the public in these projects on the sub-catchment level.
Summary: PP limits the costs of tangible measures. People do various forms of voluntary work within different non-profit associations.

positive and negative points
The close connections between the board the public through the system with the water association. The board have the main responsibility and everyone know their own role.

Cost of the project?
60 000 euro (excluding administrative costs) for environmental measures and for water analysis.

Formal procedures for PP
Water associations are regulated by the Swedish Water Association Act as legal entities.

For more information please contact: www.uppsala.se/miljokontoret (in Swedish only), Anders Larsson, Anders.Larsson@mk.uppsala.se

32. Helcom MLW, Baltic Sea Region

Inspiration points;
Trans-boundary co-operation on river restoration, elaboration of sustainable development strategy, coastal catchment planning and management

Aim/objective of the project;
Co-operation at coastal catchment level in 5 large areas on nature conservation, wetlands restoration, water management and community development within the framework of joint demonstration project "Helcom MLW" based on ICZM approach.

Scale/unit of planning;
Some of these several thousand km2 (and linked to the largest river catchments in Europe - Nemunas, Odra, Vistula); 3 of the areas being transboundary.

Period:
Ongoing since 1995 (1999)

Objective of Public Participation (Why PP?)
Mobilising of local communities for contributing to international environmental objectives

Who participated and how (Degree/form of public participation) in what phase of the planning:
The core of PP was the establishment of locally based advisory groups, including in principle all relevant stakeholders in a round-table approach throughout the various stages of the planning process. Combined with various communication efforts directed at the broad public.

Methods and tools applied;
Round-table group discussions with all stakeholders. Media, information boards, leaflets, public meetings, consultation on draft plans.
PP include awareness raising activities regarding the role and functions of wetlands (and the areas' international importance to biodiversity conservation) on one hand, on the other hand particularly support for development of alternative income sources on the other hand

Major input of stakeholders
Knowledge on local situation, local development context, co-ordination with other relevant programs, ideas for demonstration activities.

Tangible result (effect) of PP?
Local community and several stakeholders committed to continue the process - regrettably halted due to lack of external financing (international donors as well as national funds)

The locally based NGOs (e.g. "Rusne Fund for Nature" and "Kintai Sailing Club" in the Nemunas Delta shared by Lithuania and Russia) has benefited substantially from participation in the process, while at the same time has contributed through disseminating key information to the own networks (e.g. local farmers).

Lessons learnt:
Lessons learned: in these areas, poverty is widespread and it is impossible to raise local attention and support for delivering these "environmental services" to the international community without a trade-off in terms of development support

A local, holistic sustainable development process is imperative for sustaining an adequate contribution and accepts of international environmental objectives. It is possible BUT also time-consuming to establish such a process, and its context must inevitably be in the shape of a trade-off: what does the local community get from the national / international community in return for accepting certain development regulations and restrictions?

The locally based NGOs (e.g. "Rusne Fund for Nature" and "Kintai Sailing Club" in Lithuania) consisting of environment-interested farmers constitutes the core in maintaining at least some type of process following the withdrawal of the project-funded process momentum.

Establishment of a local sustainable development structure will in the long run be imperative for sustaining such a process as well as constituting the local capacity for interactions between international / national environment objectives and local development needs. Further, particularly in resources-weak rural communities (which are of particularly relevance in an Eastern European context) such a structure will also contribute significantly in a broader sense to strengthen local development opportunities and capacity. One such example could be the Solway Firth Partnership in Scotland.

For more information contact:
Lennart Gladh, WWF Sweden, lennart.gladh@swipnet.se
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

33. Danube River Commission / Danube Environment Forum

Inspiration points;
Planning at river basin level. Linking between district, basin and local level.

Aim/objective of the project;
Dialogue on trans-boundary River Basin Planning, establishment of WG on WFD, development of Issue Paper on WFD, ensuring public participation in the Danube River management and co-ordination through setting up the *Danube Environmental Forum (DEF)*. DEF is an NGO platform with combined local and regional structure, established in 1999 to promote NGO participation in government fora, programmes and initiatives. The DEF network and operation is still under development.

Scale/unit of planning;
Planning of the Danube River basin 'occurs' at a range of levels from sub-catchment/communities to international commissions. Participation of stakeholders happens in different ways at different levels in the overall process. The cascade of approaches to public participation from working with communities directly at one level to ensuring that representative organisations are involved at an international level is a good illustration of how public participation means different things at different levels but should have a common set of principles of transparency of process and inclusion.

Period:
Ongoing since 1994

Objective of Public Participation (Why PP?)
Danube Regional Project supports Danube Environment Forum (Assembly of NGOs)
Linking between district, sub-basin and local level.

Who participated and how (Degree/form of public participation) in what phase of the planning:
Stakeholders are observers to the Commission, which implies full participation, no voting rights.
Involvement of international stakeholders, e.g. WWF as observer to the ICPDR. A large number of smaller (national and local) NGOs are connected with this through co-operation platforms, notably the Danube Environment Forum.

Methods and tools applied;
Observer status granted to NGO representatives at meetings of the Commission. *The International Commission for the Protection of the Danube River (ICPDR)* is the co-ordinating body for international aspects of the Directive's implementation. ICPDR is promoting public participation in the planning process, through financial support to the ICPDR Information System, including the Danube Watch, as well as operating networks such as the Danube Environmental Forum (DEF), MLIM and AEWS. NGO observers attend the ICPDR Meetings, and provide significant input to the work of the Commission (for example in the establishment of an Ecological Expert Group).

Major input of stakeholders
Development of Issue Paper on WFD
Participation in several WGs under the ICPDR
Providing of knowledge on local issues as well as trans-boundary dimension.

Result (effect) of PP?
International co-operation on sharing of experiences and joint focusing (MS+ACs+nonACs) on river basin planning and WFD implementation

Lessons learnt:
Co-ordination structures are needed in order to provide small (national and local) NGOs direct or indirect access to international river basin co-operation, e.g. through representatives appointed from joint NGO platform. Larger NGOs with international program may play a facilitating role for linking smaller NGOs with the international structures.

Formal procedures for PP in the river basin
NGOs can be granted observer status to the ICPDR
Considered most feasible way of handling public participation at river basin district level

For more information contact:
ICPDR Secretariat
Charlie Avis, WWF DCPO, charlie.avis@wwf.hu

Available reports
www.icpdr.org

34. Lower Danube Green Corridor, Bulgaria, Romania, Ukraine, Moldova

Inspiration points;
Trans-boundary co-operation on wetlands restoration, role of NGOs, large-scale RBM, involvement of international stakeholders, ensuring coherence with local level participation through pre-project interviews on environmental awareness and social assessments

Aim and scale of the project;
4-country trans-boundary co-operation on wetlands restoration, management and protection aiming at nutrient retention from the Danube River, totally encompassing 700.000 ha (hereof some 200.000 ha for wetlands restoration).

Period:
Preparations started end of 1990'ies, LDGC officially endorsed in 2000, ongoing - expected to be a multi-year program.

Objective of Public Participation (Why PP?)
Awareness raising among the broad public as well as selected target groups, e.g. local municipalities. Mobilising local community in order to ensure preparedness for utilising new development opportunities

Who participated and how (Degree/form of public participation) in what phase of the planning:
NGO-participation in the drafting of the concept and concrete activities
Strong local participation in the detailed design at local level anticipated within the framework of a joint overall project steering group
NGOs involved in development and implementation of Communications Strategy for the LDGC
Involvement of international stakeholders, ensuring coherence with local level participation through pre-project interviews on environmental awareness and social assessments
Local NGOs involved in development and implementation of Communications Strategy for the LDGC, a.o. Green Balkans (Bulgaria) and After School Club (Romania)

Methods and tools applied;
Travelling exhibition, local events, press and media work, leaflets, meetings with local municipalities and other stakeholders, fundraising with international donors.

Major input of stakeholders
Fundraising, personnel, knowledge, motivation, commitment, international contacts, pictures, creativity, local contacts.

Result (effect) of PP?
Increased public support at local level for the wetlands' restoration activities

Lessons learnt:
Trans-boundary commitment and actions on using wetlands restoration as a measure (nutrient retention) for addressing non-point source pollution, the interviews showed a positive attitude to wetlands restoration while at the same time revealing lack of basic knowledge on wetlands functions leading to the need for a Communications Strategy

International and local NGOs can play a significant role in mobilising the public for e.g. wetlands' restoration activities

For more information contact:
ICPDR Secretariat
Charlie Avis, WWF DCPO, charlie.avis@wwf.hu
Henrik Dissing, WWF Denmark, h.dissing@wwf.dk

Annex III

Drafting Group and other Contributors

November 2002

The working process of the drafting group on public participation

Practice what you preach, is what we believe. Therefore the drafting group has organised the development of this guidance on public participation in a participatory way. The working process until November 2002 is set out below:

Phase 1: Initiation and defining the Terms of Reference	
Interviews with members of the Working Group, EC	
Brainstorm session; drafting the issues paper	October 24 2001
Workshop	March 6,7 2002
Phase 2: Internal writing process "state of the art" concept guidance:	
Bringing existing information together per section	March/May 2002
Collection of examples of public participation in water management projects	
Meeting with WG 2.9 in Madrid	April 15 2002
Development concept 01 during workshop 2	May 21, 22 2002
Adjustment, additional data collection	June 2002
Development of draft guidance and presentation at meeting WG in Brussels	July 4,5 2002
Phase 3: Consultation and adjustments	
Consultation of experts and target groups per country (including accession countries)	July/Sept 2002
Workshop with experts and target groups from Member States and Accession Countries in Amsterdam	October 7,8 2002
Adjustments and development of draft guidance	October 2002
Presentation guidance to the Water Directors	November 2002

From the beginning of 2003 to 2005, the guidance documents produced by the different working groups under the Common Implementation Strategy will be tested in a range of pilot river basins through the European Community, to assess the practicability of all the guidance documents and the coherence between them. The issues related to 2004-steps will be tested first (2003-2004), the issues related to later steps being tested afterwards. The so called « horizontal guidances », will be tested in all the pilot river basins in the first phase. This guidance on public participation is likely to be tested as such.

Another further development of activities could be to establish contacts and exchanges of experiences with the International Association of Public Participation (IAP2) situated in North America, Denver[5]. All the work done for producing this guidance document and the results merging from experiences through the establishment of an European experts network could be valorised by providing input concerning the European area, for which currently no data exist.

5 IAP2 was created in 1990 and gathers practitioners of public participation and people interested by this topic. The association has currently 1000 members, essentially North Americans ; it is organised into 18 chapters, among these are 1 Australian and 1 South-African but any European chapter. IAP2 disseminates documents on best practices and methods (see www.iap2.org).

Members of the drafting groups are:

Belgium,	Didier D'hont	Didier.dhont@lin.vlaanderen.be Tel: +32 2 553 2140 Fax: +32 2 553 2145
EC	Marta Moren	marta-cristina.moren-abat@cenc.eu.int Tel: +32 2 296 7285
EEB,	Jacqui Cuff, EEB / RSPB	Jac.cuff@virgin.net Tel/fax +44 1767 262670
France	Coralie Noël,	coralie.noel@environnement.gouv.fr Tel: +33 1 4219 1376 Fax: +33 1 4219 1294
Germany,	Heide Jekel	heide.jekel@bmu.bund.de Tel: +49 1888 305 2521 Fax: +49 1888 305 3334
Greece	Andreas Loukatos	alouk@epem.gr Tel/fax: +30 3010 8627598
Netherlands	Jetske Verkerk	j.verkerk@riza.rws.minvenw.nl Tel: +31 320 298 882 Fax: +31 320 298 514
	Marc de Rooy	m.drooy@riza.rws.minvenw.nl Tel: +31 320 298 431 Fax: +31 320 298 514
	Annet van den Hoek	avandenhoek@wxs.nl Tel/fax: +31 26 3617 786
Sweden,	Clas Mangusson	clas.magnusson@naturvardsverket.se Tel: +46 8 698 1223 Fax: +46 8 698 1480
Spain	Manuel Menendez	manuel.menendez@cedex.es Tel: +34 91 335 7939 Fax: +34 91 335 7922
TUD	Erik Mostert	e.mostert@citg.tudelft.nl Tel: +31 15 2787800 Fax: +31 15 2787799

UK Aram Wood aram.wood@environment-agency.gov.UK
Tel: +44 1454 624306

WWF Henrik Dissing, WWF hd@mof.kk.dk
Tel: +45 33662851
City Hall of Copenhagen
(new contact person : Guido Schmidt guido@airtel.net)

Other contributors

UK, Kevin Collins, SLIM Project, Systems Discipline, Faculty of Technology, Open University, contributed significantly to section 7
E-mail: k.b.collins@open.ac.uk
Tel: +44 (0) 1908 655095

Examples of public participation in water management projects and/or public participation techniques

were also put in by:

Estonia, Gulnara Roll, NGO on trans-boundary cooperation
E-mail: Gulnara.Roll@ctc.ee
Tel: +372 7 421 001

France, Patrice Garin, Institute of water management CEMAGREF
E-mail: patrice.garin@cemagref.fr
Tel: +33 4 67 04 63 39

France, Dominique Drouet, Recherche Developpement RDI
E-mail : r.d.i@wanadoo.fr
Tel : 33-1 42 33 35 00

UK, Callum Sinclair, Scottish Environment Protection Agency
E-mail: callum.sinclair@sepa.org.uk
Tel: +44 1355 574298

UK, Wendy Kenyon, Macaulay Institute, Aberdeen
E-mail: w.kenyon@macaulay.ac.uk
Tel: +44 131 650 7251