European Commission

Common Implementation Strategy for the Water Framework Directive (2000/60/EC)

Guidance document n.º 8

Public Participation in relation to the Water Framework Directive

COMMON IMPLEMENTATION STRATEGY FOR THE WATER FRAMEWORK DIRECTIVE (2000/60/EC)

Guidance Document No 8

Public Participation in Relation to the Water Framework Directive

Produced by Working Group 2.9 – Public Participation

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Foreword

The EU Member States, Norway and the European Commission have jointly developed a common strategy for supporting the implementation of the Directive 2000/60/EC establishing a framework for Community action in the field of water policy (the Water Framework Directive). The main aim of this strategy is to allow a coherent and harmonious implementation of this Directive. Focus is on methodological questions related to a common understanding of the technical and scientific implications of the Water Framework Directive.

One of the main short-term objectives of the strategy is the development of non-legally binding and practical Guidance Documents on various technical issues of the Directive. These Guidance Documents are targeted to those experts who are directly or indirectly implementing the Water Framework Directive in river basins. The structure, presentation and terminology are therefore adapted to the needs of these experts and formal, legalistic language is avoided wherever possible.

In the context of the above-mentioned strategy, an informal working group dedicated to the issues of public participation of the Water Framework Directive has been set up in October 2001, under working group 2.9 (on the Best practices in river basin management planning). The Netherlands, Spain and the Commission are responsible for the secretariat and animation of the working group that is composed of experts from governmental and non-governmental organisations.

The present Guidance Document is the outcome of the informal working group on Public Participation. It contains the synthesis of the output of the group activities and discussions that have taken place since October 2001. It builds on the input and feedback from a wide range of experts and stakeholders that have been involved throughout the process of guidance development through meetings, workshops or electronic communication media, without binding them in any way to its content.

We, the water directors of the European Union, Norway, Switzerland and the countries applying for accession to the European Union, have examined and endorsed this Guidance during our informal meeting under the Danish Presidency in Copenhagen (21/22 November 2002). We would like to thank the participants of the Working Group and, in particular, the leaders, the Netherlands and Spain, for preparing this high quality document.

We strongly believe that this and other Guidance Documents developed under the Common Implementation Strategy will play a key role in the process of implementing the Water Framework Directive.

This Guidance Document is a living document that will need continuous input and improvements as application and experience build up in all countries of the European Union and beyond. We agree, however, that this document will be made publicly available in its current form in order to present it to a wider public as a basis for carrying forward ongoing implementation work.

Moreover, we welcome that several volunteers have committed themselves to test and validate this and other documents in the so-called pilot river basins across Europe during 2003 and 2004 in order to ensure that the Guidance is applicable in practice.

We also commit ourselves to assess and decide upon the necessity for reviewing this document following the pilot testing exercises and the first experiences gained in the initial stages of the implementation.

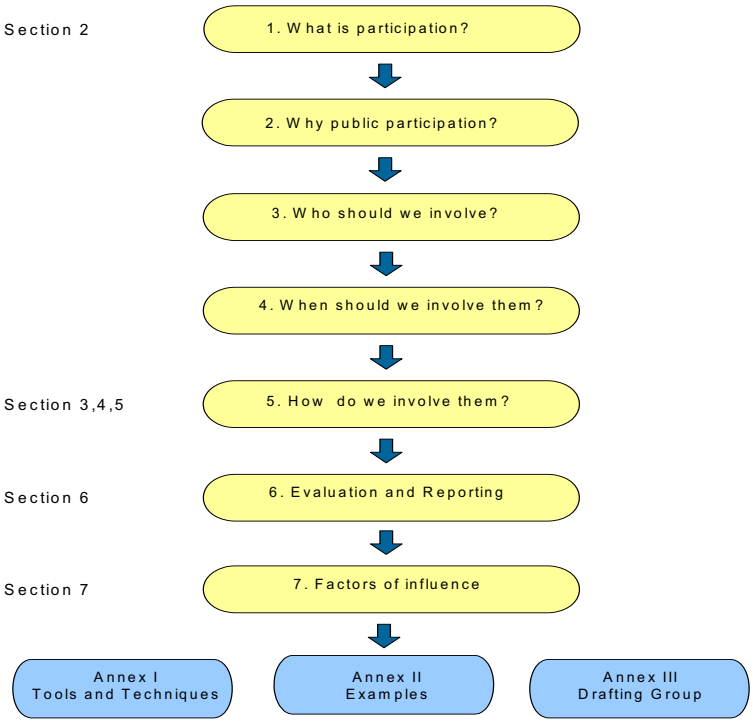
Executive summary

Purpose of this Guidance Document

This Guidance Document aims at assisting competent authorities in the Member States and Accession Countries with the implementation of Article 14 of the Water Framework Directive about Public Participation. This document can also benefit stakeholders and general public by informing them about the public participation process, encouraging them to engage in river basin management planning explaining what can be expected and outlining opportunities. This Guidance is horizontal Guidance since it is of concern to most activities under the Common Implementation Strategy for the Water Framework Directive.

This advisory and non-binding document has been developed by an informal European drafting group of experts and stakeholders under working group 2.9: Best Practices in River Basin Planning in the context of the Common Implementation Strategy for the Water Framework Directive. A list of members of the drafting group and contributing authors can be found in Annex III of this Guidance.

What can you find in this document?



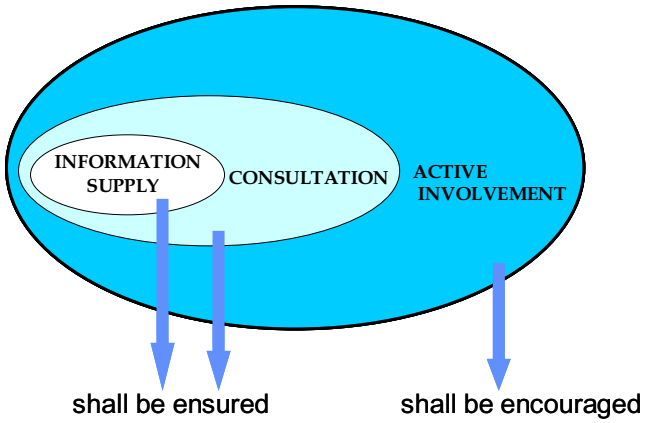
This Guidance starts with creating a *common understanding* regarding the meaning of public participation in the context of the Water Framework Directive (**Section 2**). Public participation can generally be defined as allowing people to influence the outcome of plans and working processes. It is a means of improving decision-making, to create awareness of environmental issues and to help increase acceptance and commitment towards intended plans. Public participation for the implementation of the Directive is recommended at any stage in the planning process, from the Article 5 requirements to the Programme of Measures and the design of the River Basin Management Plan.

After setting out a common understanding of public participation in the context of the Directive, the Guidance gives specific help on how to implement public participation in the different steps of the management process. The general planning steps to be undertaken are indicated in **Section 2.8** and elaborated for public participation in **Sections 3, 4 and 5.**

Although the phrase "public participation" does not appear in the Directive, three forms of public participation with an increasing level of involvement are mentioned:

- Information supply;
- Consultation; and
- Active involvement.

According to the Directive, the first two are to be ensured, the latter should be encouraged. Although the Directive does not require active involvement, this Guidance shows how active involvement can be very useful for reaching the objectives of the Directive. These three forms can be interpreted as being "public participation", although public participation usually covers a wider range of activities than prescribed by the Directive.



Who should we involve? The Directive is prescriptive in the sense that at least stakeholders (i.e. interested parties) should be involved when dealing with active involvement and also the public when dealing with consultation. Background information should be available at any time for anyone. A stakeholder analysis as described in **Annex I** will help to identify the stakeholders "who have something at stake" in the process and could be involved. A stakeholder will generally have an interest in an issue because he/she or it is either affected or may have some influence.

To avoid disappointing the parties involved it is very important to make clear which form of public participation is dealt with and what the role of those involved is. Also it should be borne in mind that Member States are responsible for the public participation process since they are responsible for achieving the objectives of the Directive. A clear signal should be given that *no blue-print exists for public participation* and that the public participation process

should be organised and adapted to national, regional and local circumstances. **Annex I** gives examples of *tools and techniques*, which support the process in a practical way. Ingredients for organising a public participation process are given in the main text of this Guidance. **Annex II** gives several *examples* of public participation that are related to different scales and different forms of public participation. Collectively, this information should make it possible to design a tailor-made public participation process at any level in the River Basin District.

With regard to *timing* (**Section 2.6 and 2.8)** public participation should be started early in the river basin planning, today rather than tomorrow in order to establish a good public participation process and allow integration of ideas, comments and input from stakeholders along the way. Moreover, early involvement will most likely prevent the competent authority from ending up with a river basin management plan on which no consensus can be achieved by 2009. The Directive mentions the following deadlines concerning consultation (with a repetitive cycle of 6 years for future river basin management plans):

December 2006 at the latest July 2007	Time table and work programme for the production of the plan, including a statement of the consultation measures to be taken; Comments in writing.
December 2007 at the latest July 2008	Interim overview of the significant water management issues identified in the river basin; Comments in writing.
December 2008 at the latest July 2009	Draft copies of the river basin management plan available; Comments in writing.
December 2009 at the latest	Start implementation of the plan.

The *scale* (**Section 2.7)** at which public participation should take place is not pre-determined. At a local scale the effects of management will be felt more directly and more responses from public and (local) stakeholders can be expected. This input can be aggregated to a higher level to take advantage of local knowledge at river basin or river basin district level. Sometimes the focus should be on a wider area than the one where public participation is undertaken, for example when dealing with measures.

In **Section 3** the significance and practical approach of *active involvement* is elaborated in relation to steps in the planning of the implementation of the Directive. Early active involvement for the identification of the River Basin will raise awareness while involvement in characterisation of the River Basin District will also help to collect data, information and experiences from stakeholders and to identify conflicts or establish common understanding. For the Programme of Measures active involvement is particularly important since it will most likely improve the effectiveness of the implementation and contribute to delivery in the long term.

Section 4 addresses the *3-step consultation* that is foreseen in the Directive (see also table above), trying to indicate practical issues that need to be dealt with when organising a consultation process, either a written or oral consultation process. One of the messages here is the need for clarity about who is being consulted and about what issues and the need for concise information or documents, which will be subject to consultation. Examples of tools for supporting the consultation process can be found in Annex I. Processing comments

received and using this input for improvement of the River Basin Management Plan requires a good management plan. Finally it is very important to give feedback to participants.

Access to information and background documents should be secured by the competent authorities. **Section 5** addresses questions like what kind of information should be available, in what way and who will be the one maintaining and disseminating this information. As a minimum the background documents should include all the documents that are summarised in the River Basin Management Plan. Usually on-line information like Internet or e-mail and off-line information like meetings are combined to inform stakeholders and public. One suggestion is to create one central information or knowledge centre in a river basin responsible for information management and dissemination.

During the whole process of public participation *iterative reporting and evaluation* are important tools to make the process transparent for participants. Therefore evaluation should be integrated with the public participation process. In **Section 6** indicators are mentioned that will help reporting and evaluation.

Finally the competent authority (who will often be the manager of the process) should be aware of the fact that any form of public participation requires *capacity building and investment* in order to build relations and understanding between different stakeholders. These and other factors which will help enable a learning approach to public participation are explored in **Section 7**.

A well-managed public participation process is not free of costs and demands time and energy, but it will pay off in the end. Public participation is not an end in itself but a tool to achieve the environmental objectives of the Water Framework Directive. Trust, transparency of process and good management of expectations will help to achieve good participation.

Now just do it!

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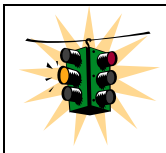
Introduction - A Guidance Document: What For?



Look out! What you will not find in this Guidance Document!

The Guidance Document will not provide you with a manual how to exactly perform public participation in your country. Political, organisational and cultural contexts vary a lot from one Member State or Accession country to another and will influence methodologies for public participation. Therefore one blueprint for all States is not possible.

This document focuses on the implementation of public participation in the broader context of the development of integrated river basin management plans as required by the Water Framework Directive.

Public participation is a subject that concerns different steps and phases in the implementation of the Directive and applies to most activities under the Common Implementation Strategy. This Guidance is therefore a *horizontal* Guidance.

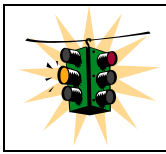
To whom is this Guidance Document addressed?

Member States and Accession countries

To create a common understanding and provide guidelines and examples of how to make public participation operational in order to improve the decision making process when implementing the Directive in general, and when developing river basin management plans.

Competent authorities of river basin districts

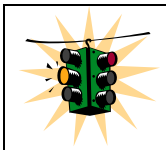
To support and provide guidance in practice on how, when and at which level to involve the public, water users and stakeholders in order to increase transparency and participation in developing river basin management plans.



Look out! Target group of the document.
This document aims at guiding **the competent authorities in the Member States and Accession countries** in the implementation of Article 14 of the Water Framework Directive.

Stakeholders

To provide a resource in order to support successful participation in water management and successful input into river basin management plans.

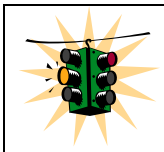


Look out! It also benefits stakeholders and the public! The document:
- explains why stakeholders should engage in river basin management planning and what can be expected by them and the general public: to voice opinions and concerns about future decisions, to ensure that relevant locally-held knowledge finds its way to the right decision platform;
- outlines practical opportunities and approaches for engaging at different levels and at different stages of planning; and
- clarifies, that this is a new process and a new form of partnership, which requires patience and mutual trust.

What can you find in this document?

The document:

- Aims at creating a common understanding with regard to public participation in the Directive and its benefits in order to increase transparency and participation in developing river basin management plans;
- Provides guidelines by explaining the requirements of the Directive with regard to the implementation steps and stages of river basin management planning and by analysing the possibilities the Directive offers; and
- Provides tools, examples and experiences of how to make public participation operational.



Look out! The methodology from this EU Guidance Document must be adapted to national, regional and/or local circumstances.
This is an EU Guidance Document on public participation. It aims to provide general principles and will need to be tailored according to political, organisational, cultural and physical contexts in each Member State and Accession country.

Some Member States have already decided to "translate" this Guidance Document into a national Guidance paper on public participation in the context of the Water Framework Directive.

… And Where?

The role of public participation in the Water Framework Directive

Section 2 *– What is public participation? Which role for public participation in the Directive? Why bother doing public participation? Annex I: Public participation techniques.*

Public participation in the planning steps

Section 2 *– Public participation in the planning steps. Ensuring coherency with the overall implementation process.*

How do we involve them? Tools and techniques for public participation

Section 3 - active involvement of all interested parties. Section 4 – consultation. Section 5 - access to information and background documents. What do you need to do? And what do you need to do by 2004? ***Annex II*** *– Examples of public participation in water management projects.* ***Annex III*** *– Lists and contacts of the Public Participation group*

Reporting the results of public participation

Section 6 *– How to report on and evaluate the processes of public participation in River Basin Management? Section 7 – Developing a learning approach to public participation.*

Section 1 – Implementing the Directive: Setting the Scene

This Section introduces you to the overall context for the implementation of the Water Framework Directive and informs you of the initiatives that led to the production of this Guidance Document.

December 2000: A Milestone for Water Policy

A long negotiation process

December 22, 2000, will remain a milestone in the history of water policies in Europe: on that date, the Water Framework Directive (or the Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy) was published in the Official Journal of the European Communities and thereby entered into force!

This Directive is the result of a process of more than five years of discussions and negotiations between a wide range of experts, stakeholders and policy makers. This process has stressed the widespread agreement on key principles of modern water management that form today the foundation of the Water Framework Directive.

The Water Framework Directive: new challenges in EU water policy

What is the purpose of the Directive?

The Directive establishes a framework for the protection of all waters (including inland surface waters, transitional waters, coastal waters and groundwater) which:

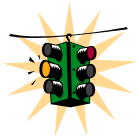
- Prevents further deterioration of, protect and enhance the status of water resources;
- Promotes sustainable water use based on long-term protection of water resources;
- Aims at enhancing protection and improvement of the aquatic environment through specific measures for the progressive reduction of discharges, emissions and losses of priority substances and the cessation or phasing-out of discharges, emissions and losses of the priority hazardous substances;
- Ensures the progressive reduction of pollution of groundwater and prevents its further pollution; and
- Contributes to mitigating the effects of floods and droughts.

…and what is the key objective?

Overall, the Directive aims at achieving *good water status* for all waters by 2015.

What are the key actions that Member States need to take?

- To identify the individual river basins lying within their national territory and assign them to individual River Basin Districts (RBDs) and identify competent authorities by 2003 (*Article 3, Article 24*);
- To characterise river basin districts in terms of pressures, impacts and economics of water uses, including a register of protected areas lying within the river basin district, by 2004 (*Article 5, Article 6, Annex II, Annex III*);
- To carry out, jointly and together with the European Commission, the intercalibration of the ecological status classification systems by 2006 (Article 2 (22), *Annex V*);
- To make operational the monitoring networks by 2006 (*Article 8*);
- Based on sound monitoring and the analysis of the characteristics of the river basin, to identify by 2009 a programme of measures for achieving the environmental objectives of the Water Framework Directive cost-effectively (*Article 11, Annex III*);
- To produce and publish River Basin Management Plans (RBMPs) for each RBD including the designation of heavily modified water bodies, by 2009 (*Article 13, Article 4.3*);
- To implement water pricing policies that enhance the sustainability of water resources by 2010 (*Article 9*);
- To make the measures of the programme operational by 2012 (*Article 11*); and
- To implement the programmes of measures and achieve the environmental objectives by 2015 (*Article 4*).



Look out!
Member States may not always reach good water status for all water bodies of a river basin district by 2015, for reasons of technical feasibility, disproportionate costs or natural conditions. Under such conditions that will be specifically explained in the RBMPs, the Water Framework Directive offers the possibility to Member States to engage into two further six- year cycles of planning and implementation of measures.

Changing the management process – information, consultation and participation

Article 14 of the Directive specifies that Member States shall encourage the active involvement of all interested parties in the implementation of the Directive and development of river basin management plans. Also, Member States will inform and consult the public, including users, in particular for:

- The timetable and work programme for the production of river basin management plans and the role of consultation at the latest by 2006;
- The overview of the significant water management issues in the river basin at the latest by 2007;
- The draft river basin management plan, at the latest by 2008.

Wetlands

Wetland ecosystems are ecologically and functionally parts of the water environment, with potentially an important role to play in helping to achieve sustainable river basin management. The Water Framework Directive does not set environmental objectives for wetlands. However, wetlands that are dependent on groundwater bodies, form part of a surface water body, or are Protected Areas, will benefit from WFD obligations to protect and

restore the status of water. Relevant definitions are developed in CIS horizontal Guidance Documents water bodies (WFD CIS Guidance Document No. 2) and further considered in Guidance on wetlands (currently under preparation).

Pressures on wetlands (for example physical modification or pollution) can result in impacts on the ecological status of water bodies. Measures to manage such pressures may therefore need to be considered as part of river basin management plans, where they are necessary to meet the environmental objectives of the Directive.

Wetland creation and enhancement can in appropriate circumstances offer sustainable, cost-effective and socially acceptable mechanisms for helping to achieve the environmental objectives of the Directive. In particular, wetlands can help to abate pollution impacts, contribute to mitigating the effects of droughts and floods, help to achieve sustainable coastal management and to promote groundwater recharge. The relevance of wetlands within programmes of measures is examined further in a separate horizontal Guidance paper on wetlands.

Integration: a key concept underlying the Water Framework Directive

The central concept to the Water Framework Directive is the concept of *integration* that is seen as key to the management of water protection within the river basin district:

- **Integration of environmental objectives**, combining quality, ecological and quantity objectives for protecting highly valuable aquatic ecosystems and ensuring a general good status of other waters;
- **Integration of all water resources**, combining fresh surface water and groundwater bodies, wetlands, coastal water resources **at the river basin scale**;
- **Integration of all water uses, functions and values** into a common policy framework, i.e. investigating water for the environment, water for health and human consumption, water for economic sectors, transport, leisure, water as a social good;
- **Integration of disciplines, analyses and expertise,** combining hydrology, hydraulics, ecology, chemistry, soil sciences, technology engineering and economics to assess current pressures and impacts on water resources and identify measures for achieving the environmental objectives of the Directive in the most cost-effective manner;
- **Integration of water legislation into a common and coherent framework.** The requirements of some old water legislation (e.g. the Fish water Directive) have been reformulated in the Water Framework Directive to meet modern ecological thinking. After a transitional period, these old Directives will be repealed. Other pieces of legislation (e.g. the Nitrates Directive and the Urban Wastewater Treatment Directive) must be co-ordinated in river basin management plans where they form the basis of the programmes of measures;
- **Integration of all significant management and ecological aspects** relevant to sustainable river basin planning including those which are beyond the scope of the Water Framework Directive such as flood protection and prevention;
- **Integration of a wide range of measures, including pricing and economic and financial instruments, in a common management approach** for achieving the environmental objectives of the Directive. Programmes of measures are defined in **River Basin Management Plans** developed for each river basin district;

- **Integration of stakeholders and the civil society in decision making,** by promoting transparency and information to the public, and by offering an unique opportunity for involving stakeholders in the development of river basin management plans;
- **Integration of different decision-making levels that influence water resources and water status,** be local, regional or national, for an effective management of all waters; and
- **Integration of water management from different Member States,** for river basins shared by several countries, existing and/or future Member States of the European Union.

WHAT IS BEING DONE TO SUPPORT IMPLEMENTATION?

Activities to support the implementation of the Water Framework Directive are under way in both Member States and in countries candidate for accession to the European Union. Examples of activities include consultation of the public, development of national Guidance, pilot activities for testing specific elements of the Directive or the overall planning process, discussions on the institutional framework or launching of research programmes dedicated to the Water Framework Directive.

May 2001 – Sweden: Member States, Norway and the European Commission agreed a Common Implementation Strategy

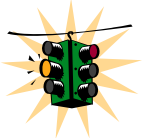
The main objective of this strategy is to provide support to the implementation of the Water Framework Directive by developing coherent and common understanding and guidance on key elements of this Directive. Key principles in this common strategy include sharing information and experiences, developing common methodologies and approaches, involving experts from candidate countries and involving stakeholders from the water community.

In the context of this common implementation strategy, a series of working groups and joint activities have been launched for the development and testing of non-legally binding Guidance (see *Annex I*). A strategic co-ordination group oversees these working groups and reports directly to the water directors of the European Union and Commission that play the role of overall decision body for the Common Implementation Strategy.

The 2.9 Working Group and drafting group on public participation

A drafting group has been created under working group 2.9 Best Practices in River Basin Planning for dealing specifically with public participation. The main short-term objective of this drafting group was the development of a non-legally binding and practical guidance for supporting the integration of public participation in the implementation of the Water Framework Directive. The members of the drafting group are policy makers, technical experts and stakeholders from European Union Member States and international NGO's (unfortunately no candidate countries to the European Union were involved).

To ensure an adequate input and feedback during the Guidance development phase from a wider audience, and to evaluate earlier versions of the Guidance Document, national consultation rounds have been organised by several Member States. The drafting group has organised an international workshop.



Look out! You can contact the experts involved in the public participation activities
The list of the members of the drafting group with full contact details can be found in Annex III If you need input into your own activities, contact a member from the group in your country. If you want more information on specific examples of public participation in water management projects, you can also contact directly the persons in charge of carrying out these studies.

Developing the Guidance Document: an interactive process

Within a very short time period, a number of experts and stakeholders have been involved at varying degrees in the development of this Guidance Document. The process for their involvement has included the following activities:

- Three workshops of the experts and stakeholder members of the drafting group;
- Some Member States organised national consultation rounds to collect comments on the draft Guidance version 1.1 (270802);
- Organisation of an international workshop to present and discuss the activities and output of the drafting group with not previously involved experts and stakeholders. To discuss the comments of the national consultation rounds (October 2002 – Amsterdam, the Netherlands);
- Interactions with experts from other working groups of the Common Implementation Strategy, via the members of the drafting group on a national basis.

Annex III provides the names of the members of this drafting group and of other contributors, and a list of activities of the Drafting Group.

Follow up activities

The activities of the working group dedicated to public participation will not stop with the endorsement of this Guidance by the Water Directors in Copenhagen (November 2002). The coming about of this Guidance allowed setting up a whole network of experts from several Member States. This network will still continue to follow the implementation of the Guidance and contribute to integrating public participation in the decision making process. Thus, several future activities are been already identified as follows, but other developments could appear in later stages.

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. To help the pilot river basins to test the Guidance on public participation, a specific and more practical format will be elaborated. This format-document will provide a pragmatic approach to the issues that the pilot river basins have to take care of with respect to public participation; it will be prepared for the end of 2002 in co-operation with the working group on Pilot River Basin Testing.

It has to be underlined that the testing exercise will involve a range of stakeholders (and also the general public in certain cases) in the pilot river basins. It will provide the basis for a concrete testing of tools proposed in Annex I and for readjustment of these if necessary.

Section 2 – Introduction to Public Participation in River Basin Management

2.1 The Public Participation provisions of the Directive

Public participation plays a key role in the Water Framework Directive. This Section discusses the different provisions of the Directive. The box below gives the relevant text from the Directive Of these texts Article 14 plays a leading role.

Preamble 14

(14) *The success of this Directive relies on close cooperation and coherent action at Community, Member State and local level as well as on information, consultation and involvement of the public, including users.*

Preamble 46

(46) *To ensure the participation of the general public including users of water in the establishment and updating of river basin management plans, it is necessary to provide proper information of planned measures and to report on progress with their implementation with a view to the involvement of the general public before final decisions on the necessary measures are adopted.*

Article 14
Public information and consultation

1. Member States shall encourage the active involvement of all interested parties in the implementation of this Directive, in particular in the production, review and updating of the river basin management plans. Member States shall ensure that, for each river basin district, they publish and make available for comments to the public, including users:

(a) a timetable and work programme for the production of the plan, including a statement of the consultation measures to be taken, at least three years before the beginning of the period to which the plan refers;

(b) an interim overview of the significant water management issues identified in the river basin, at least two years before the beginning of the period to which the plan refers;

(c) draft copies of the river basin management plan, at least one year before the beginning of the period to which the plan refers.

On request, access shall be given to background documents and information used for the development of the draft river basin management plan.

2. Member States shall allow at least six months to comment in writing on those documents in order to allow active involvement and consultation.

3. Paragraphs 1 and 2 shall apply equally to updated river basin management plans.

(this box continues to the next page)

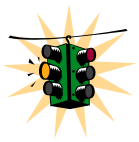
Annex VII
RIVER BASIN MANAGEMENT PLANS

A. River basin management plans shall cover the following elements:

…

9. a summary of the public information and consultation measures taken, their results and the changes to the plan made as a consequence;

11. the contact points and procedures for obtaining the background documentation and information referred to in Article 14(1), and in particular details of the control measures adopted in accordance with Article 11(3)(g) and 11(3)(i) and of the actual monitoring data gathered in accordance with Article 8 and Annex V.



Look out! Public Participation in relation to the Directive

As indicated by the title, this Guidance elaborates public participation in relation to the Directive and with the corresponding prescriptions. Public participation in general is however a process of which no blueprint exists and which needs to be designed according to the needs with the available means and tools. For the benefit of the results it can be wise to look further than minimum requirements.

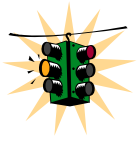
Preamble 14 highlights the fact that public participation will contribute to the overall success of the Directive. Preamble 46 emphasises the importance of informing the general public well in order to ensure or rather facilitate their participation in the planning process. According to Annex VII, the river basin management plan should tell where and how background information can be obtained. This plan should moreover summarise the public participation measures taken and should evaluate their results and the impact on the plan.

The key public participation provision of the Directive is article 14. This article prescribes three main forms of public participation:

- Active Involvement in all aspects of the implementation of the Directive, especially – but not limited to – the planning process;
- Consultation in three steps of the planning process;
- Access to background information.

The Member States have to *encourage* active involvement and *ensure* consultation and access to background information.

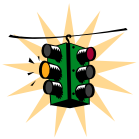
It may be clear from for instance preamble 14 that active involvement is not the same as consultation. Consultation means that the public can react to plans and proposals developed by the authorities. Active involvement, however, means that stakeholders actively participate in the planning process by discussing issues and contributing to their solution. Essential to active involvement is the potential for participants to influence the process. It does not necessarily imply that they also become responsible for water management.



Look out! The Directive requires more than consultation

In addition active involvement in all aspects of the implementation of the Directive has to be encouraged. Moreover, access has to be given to background information.

Beside the Directive there are other requirements on public participation in other EU legislation, especially in the Directive on Strategic Environmental Impact Assessment (Directive 2001/42/EC). The relationship of the Directive to the SEIA Directive is quite complex and has to be clarified with regard to the programme of measures and the River Basin Management Plan.



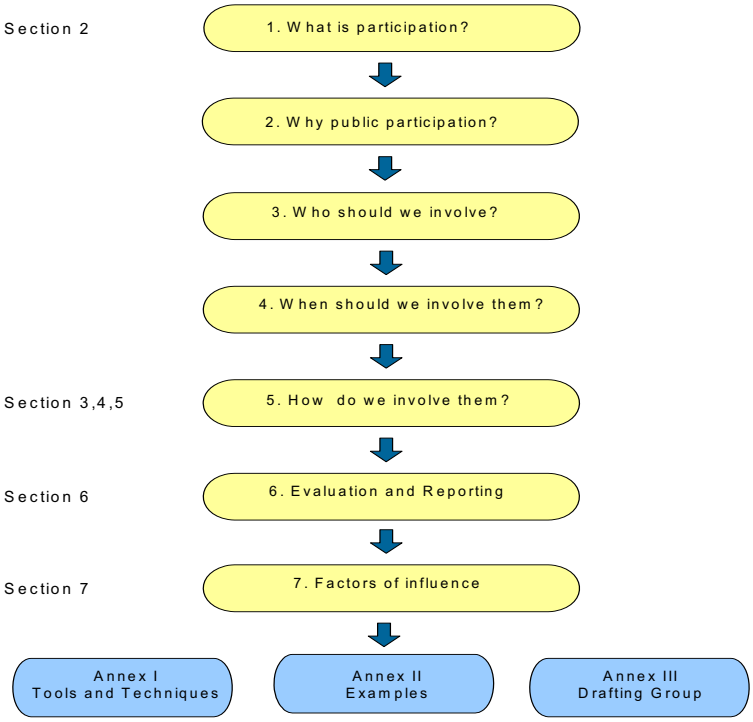
Look out! Public Participation is not only required for the river basin management plan

The programme of measures and individual measures are probably even more important.

The Box below gives an overview (glossary) of the main terms used in the Water Framework Directive and in this Guidance. The different forms of public participation will be discussed in more detail in Section 2.2, and the different types of public in Section 2.4.

Public participation
Allowing the public to influence the outcome of plans and working processes. Used in this Guidance as a container concept covering all forms of participation in decision-making. The Water Framework Directive does not use the term.
Public (or "**general public**")
"One or more natural or legal persons, and, in accordance with national legislation or practice, their associations, organisations or groups" (SEIA Directive (2001/42/EC), Aarhus convention art. 2(4))
Interested party (or "**stakeholder**"**)**
Any person, group or organisation with an interest or "stake" in an issue, either because they will be directly affected or because they may have some influence on its outcome. "Interested party" also includes members of the public who are not yet aware that they will be affected (in practice most individual citizens and many small NGOs and companies).
NGO
Non-governmental organisation
Broad public
Members of the public with only a limited interest in the issue concerned and limited influence on its outcome. Collectively, their interest and influence may be significant.
Consultation
Lowest level of public participation if we consider information supply as being the foundation. The government makes documents available for written comments, organises a public hearing or actively seeks the comments and opinions of the public through for instance surveys and interviews. "Consultation" in art. 14 of the Directive refers to written consultations only. Preamble 14 and 46 and Annex VII refer to consultation in general.
Active involvement
A higher level of participation than consultation. Active involvement implies that stakeholders are invited to contribute actively to the planning process by discussing issues and contributing to their solution.
RBMP
River basin management plan, required by Article 13 of the Directive.

Before discussing active involvement, consultation and information supply in the planning process, guidance will be given on some key participation questions, which all those involved in organising participation, need to consider:

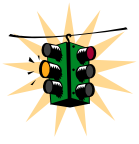


What, Why, Who, When, How questions, addressed in Sections 2-5

2.2 What is public participation?

Public participation can generally be defined as allowing people to influence the outcome of plans and working processes. However, there are different levels of influence.

The foundation for any form of public participation is **information supply** to the public. Strictly speaking, the Directive only requires access to background information and no active dissemination of information. The latter is, however, essential to make the prescribed consultation and active involvement work, as is also mentioned in preamble 46.



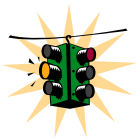
Look out! Public Participation covers a wider range of activities than prescribed by the Directive.

The Directive requires active involvement, consultation and access to information. More may be useful to reach the objective of the Directive (preamble 14).

The first level of real participation is **consultation**. Administrative bodies consult people and interested parties (stakeholders) to learn from their knowledge, perceptions, experiences and ideas. Consultation is used to gather information or opinions from those involved to develop solutions based on this knowledge. Reports, scenarios or plans are presented and people are asked to comment. The process does not concede any share in decision-making, and professionals are under no formal obligation to take on board people's views.

In this Guidance two types of consultation are distinguished: written consultation and oral consultation. Written consultation is the minimum requirement as stated in Article 14(1) i.e. "to publish and make available for comments to the public, including users". Oral consultation is more active and stakeholders have possibilities to have a dialogue or discussion with the competent authorities.

A higher level of participation is **participation in the development and implementation of plans**. Interested parties participate actively in the planning process by discussing issues and contributing to their solution. Still higher levels of participation are **shared decision-making** and **self-determination.** Shared decision-making implies that interested parties not only participate actively in the planning process, but also become partly responsible for the outcome. E.g. water use sectors could be represented in river basin organisations. Self-determination implies that (parts of) water management are handed over to the interested parties, e.g. by establishing water users' associations. Encouraging the first should be considered the core requirement for **active involvement**, the latter two forms are not specifically required by the Directive but may often be considered as best practice.



Look out! Management of Expectations

In order to avoid disappointment, it is very important to make clear towards the public which form of public participation they are dealing with and which role they play. During and after the process feedback should be given to the stakeholders and public.

The different levels of participation are not mutually exclusive. They build on each other: consultation implies information supply and active involvement implies consultation. Moreover, different levels can be useful at different stages. The choice of level depends on aspects like: the timing of public participation and the stage of the planning process, the (political and historical) context for public participation, available resources, objectives or benefits of public participation and the stakeholders identified to be involved.

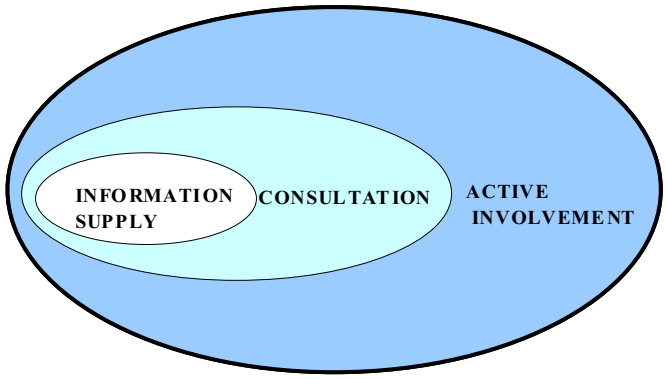
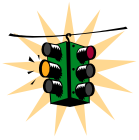


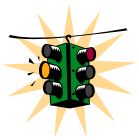
Illustration
Public participation can start with a stakeholder analysis using interviews with selected persons, be followed by public debate where the population is consulted on the identification of significant water management issues, be followed by a consultation of water users representatives (professionals, associations). More examples will be provided in Section 3 and 4.



Look out! Public participation is not necessarily about:
Everybody joining: be selective with actors, do a stakeholder analysis;
Everybody deciding: make clear what everybody's responsibilities are;
Losing control: participation cannot work if the outcome is completely predetermined, yet organise it well;
Achieving consensus at all expense: make clear that it will be impossible to satisfy all wishes hundred percent. Participation will help to explain decisions as they occur and promote ownership of the outcome arrived at.

2.3 Why public participation?

Initially of course to comply with the Directive and to achieve environmental goals and other benefits. Besides these requirements of the Directive it is good to emphasise the fundamental rationale for undertaking public participation, which is to ensure the effective implementation and achievement of the environmental objectives of water management (good status in 2015).



Look out! Public participation is a means to improve decision-making

Public participation is not an objective in itself. Public participation helps to define the rationale, framework, outcomes and validity of decision-making processes.

The main purpose of public participation is to improve decision-making, by ensuring that decisions are soundly based on shared knowledges, experiences and scientific evidence, that decisions are influenced by the views and experience of those affected by them, that innovative and creative options are considered and that new arrangements are workable, and acceptable to the public.

Key potential benefits that can result from public participation are (which are not mutually exclusive):

- Increasing public awareness of environmental issues as well as the environmental situation in the related river basin district and local catchment;
- Making use of knowledge, experience and initiatives of the different stakeholders and thus improving the quality of plans, measures and river basin management;
- Public acceptance, commitment and support with regard to decision taking processes;
- More transparent and more creative decision making;
- Less litigation, misunderstandings, fewer delays and more effective implementation;
- Social learning and experience–if participation results in constructive dialogue with all relevant parties involved then the various publics, government and experts can learn from each other's "water awareness".

Through participation, long term, widely acceptable solutions for river basin planning can be arrived at. This can avoid potential conflicts, problems of management and costs in the long term.

Wise Use of Floodplains project, EU Life Environment (see Annex II)
The WUF Project took place in Somerset, South West England, where it facilitated a creative and positive dialogue on the future management of flood events in the catchment of River Parrett. The aim was to encourage the wise use of water resources in river catchments to benefit people, their livelihoods and their environment. All stakeholders with an interest in the management of water resources in the Parret Catchment were welcomed.
In this project participation has resulted in the following benefits [1]:

- Helped identify long-term sustainable solutions for people, their livelihoods and environment;
- Built up ownership and trust;
- Was an investment as it involved early identification of issues and consensus-building;
- Raised awareness of catchment management issues; and
- Provided a means of accessing local knowledge and expertise.

2.4 Who should we involve?

The Directive uses different terms to refer to the public. With respect to consultation and access to background information simply the term **public** is used. This term is not defined in the Directive, but art. 2(d) of the SEIA Directive (2001/42/EC) gives a definition, which is also applicable to the Directive: "*One or more natural or legal persons, and, in accordance with national legislation or practice, their associations, organisations or groups*". Article 2(4) of the Aarhus convention contains the same definition. In preamble 14 and 46 the Directive also uses the phrases "public, including users" and "general public" respectively without any difference in meaning.

Concerning active involvement the term **interested party** is used. Interested party can be interpreted as meaning any person, group or organisation with an interest or "stake" in an issue either because they will be affected or may have some influence on its outcome. This also includes members of the public who are not yet aware that they will be affected (in practice most individual citizens and many small NGOs and companies). This Guidance will use the term **stakeholder** as synonymous with "interested party".

For practical reasons it is impossible to actively involve all potential stakeholders on all issues. A selection will have to be made. This selection can be based on the following factors:

- The relation of the stakeholder to the water management issues concerned;
- The scale and context at which they usually act, who they represent;
- Their involvement, being governor; user/victim/stakeholder; expert and executer of measures;
- Their capacity for engagement; and
- The political, social, "environmental" context.

Different stakeholders can make different contributions. Some stakeholders can contribute primarily by means of their ideas and the information they possess. Others may have more direct interests such as land or property that may be directly affected. In many cases organisations can represent the individual stakeholders. For every phase of the project the role of the different stakeholders should be reviewed. Some will be more affected by others, represent a larger party, be more active, or have more (financial) resources or knowledge.

Some stakeholders may be more difficult to handle than others, but that shall not influence their identification as stakeholders.

Annex I presents a technique for selecting the relevant stakeholders with a so-called **stakeholder analysis**. This will enable you to prioritise which stakeholders are vital to an issue in a specific phase of the project. Note that in order to ensure transparency and trust, it is important to be able to justify why the final set of stakeholders has been prioritised.

The box below illustrates a typology of possible stakeholders involved in water management. It makes no assumptions about their relative importance.

A typology of possible stakeholders:
Professionals – public and private sector organisations, professional voluntary groups and professional NGOs (social, economic and environmental). This also includes statutory agencies, conservation groups, business, industry, insurance groups and academia.
Authorities, elected people - government departments, statutory agencies, municipalities, local authorities
Local Groups- non-professional organised entities operating at a local level. It usefully breaks down into:
Communities centred on place – attachment centred on place, which includes groups like residents associations and local councils.
Communities centred on interest – e.g. farmers' groups, fishermen, birdwatchers.
Individual citizens, farmers and companies representing themselves. Key individual landowners for example or local individual residents.

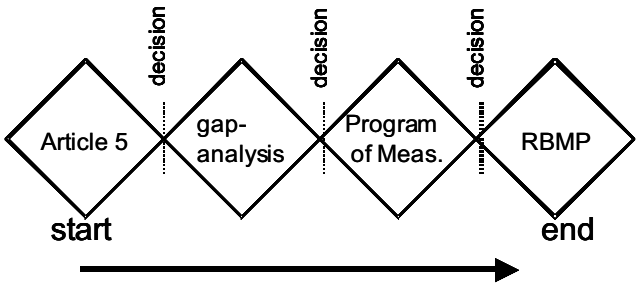
An illustration of governing bodies in Spanish River Basin districts

According the Spanish Water Act and the Regulation on Water Public Administration and Planning (Royal Decree 927/1988), different decision bodies are "governing and managing the river basin districts".
The *Government Board* proposes the plan of activities of the institution, its annual budget and, in general, it is in charge of every matter regarding the direction of the river basin district. At least one third of its members must be representatives of the water users. Representatives of the regional and central administrations form the other two thirds.
The Law also establishes the so called "decision bodies on participation regime" as the *Management Boards.*
The *Management Boards* have to coordinate the management of the different water structures in the sub basins usually defined as "management systems". Actually, they coordinate the water sharing in the basin solving conflicts between users. Members of the Management Boards are users with water rights described in the so called "Waters Register" and include representatives for every town, municipality or company in charge of water supply utilities, representatives of irrigation communities, industrial users and hydropower companies. The totality of the Management Boards according the law is grouped in the so-called "Users assembly". (this example is not presented in Annex II)

2.5 When should we involve them?

This question is divisible into two issues, firstly the matter of timing with regard to the process, secondly the actual necessity to embark on public participation, i.e. is the effort to organise the participation proportionate to the results?

Firstly **timing**. It is important to clearly define the stages of the process and every stage requires a review of the "why" and "who" question. The role and involvement of the stakeholder can differ from stage to stage. When to involve the stakeholders in the process depends on a number of factors. The objective of the project, the history and political setting, but also scale and the kind of stakeholders influence the timing of public participation. Also the stakeholder-analysis (see Annex I) will help to make this more transparent.



Model of a planning process

One may say that the stakeholders should be involved as early as possible, before decisions are taken. Only then the authorities are able to benefit optimally from their insight, experience and knowledge and allow maximum involvement, influence and ultimate acceptance of eventual decisions. It is never *too* early. When involving stakeholders at a very early stage in the process it should be made perfectly clear to the stakeholder what his role is and how his contribution will be handled. Otherwise do not involve them. For example when organising public participation during a reconnaissance study (to identify the sense of urgency of problems and to decide to invest in it or not), you must communicate in advance that the result of this study can be that the foreseen project will not be carried out. The fact is that people will spend energy and time on discussing issues, while the politicians may still decide not to invest in it.

Thus, the degree of participation of stakeholders in the early phases may be different from those in the later phases. Ultimately, timing of public participation has to be assessed on a case-by-case basis. It should be explained to participants how their involvement will be used to avoid false expectations (management of expectations!).

Secondly the **concept of proportionality** with regard to participation. When is the energy (human resources, money) that is put into the process proportionate to the outcome? There is a need to balance costs in terms of time and money and potential benefits. This is relevant for both the organiser of the process and the participants. This will have to be evaluated on a case-by-case basis depending on the form of participation you intend to use and circumstantial factors. Expert judgement and common sense will be your tools to perform a kind of risk analysis for proportionality.

Some questions that might help to consider the proportionality of your specific process are given below:

- In which stage of the process do you want to apply public participation?

- What is the specific problem in this stage and what are the expected activities (refinement of problem definition)?
- Is the outcome of this stage still flexible and open-minded or determined and fixed?
- At what scale do you plan to work?
- What form of participation are you planning to use?
- Which stakeholders are to be involved?
- What are your boundary conditions regarding:
  a) human resources;
  b) finances; and
  c) time.
- What is the political context like with regard to your process (pro/contra/neutral)?
- What is the actual acceptance level towards public participation processes?
- Who will decide in the end?
- Who will be involved from your own organisation in what way?
- Are there ongoing process/research of the same nature?
- How are you going to communicate? (See also Annex I on communication tools)
- What results are to be expected? Is it likely that involvement of stakeholders can positively influence the results?
- What do you want to achieve with public participation?
  - ownership of problem by third parties;
  - commitment of other parties;
  - innovative solutions;
  - acceptance of measures to be taken;
  - raising awareness.

Public and stakeholders should be aware that participation in the planning process will cost both time and money, like administrative cost for the NGO´s, stakeholders and the use of consultants etc.

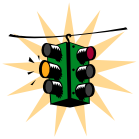
Illustration from running spatial planning in Sweden
Consultation with the public on overall plans and detailed plans is compulsory in Sweden. Consultation and information are important procedures to realise the plans and to prevent appeal against the plans. Example from one of the municipalities in Sweden shows that up to 25% of the costs and time to produce such a plan, mentioned above, fall on consultation and information just to prevent appeal against the plan and to "get everybody on the train". This may seem expensive, but appeal against the plans may delay the realisation of the plans to high costs of those involved both authorities and the publics.
In Sweden, no formal costs of the participation process fall on the users – except the time they use for the process.

2.6 The scope and timing of public participation

Note that the Directive tells us that Member States *shall encourage* active involvement and *shall ensure* consultation. In the first case Member States have to make a clear effort to promote and facilitate active involvement, in the second case consultation is an obligation, which has to be performed.

Furthermore the Directive gives no clear boundaries when it comes to the extent of these forms of public participation. This Guidance elaborates the range of possibilities between **minimum requirements** and **best practices** for each topic. It is up to the competent

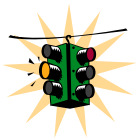
authority, which will – as a representative of the Member State – commission the public participation process, to decide which possibilities will be used in the public participation process. This choice is dependent of several factors such as the available financial means, the scale of the project, the cultural context, the effect on the environment and not in the least the political context. At the same time it should be emphasised that a competent authority should not fear a 'wider' form of public participation: the benefits with regard to improved decision making and the acceptance by the public of (unpopular) measures to be taken can be considerable. Moreover for compliance with the Directive the competent authority is dependent on the willingness of the public to participate in the (consultation) process.



Look out! The Member State is responsible

It should be borne in mind that the member state– and in practice most likely the appointed competent authority – is the final responsible body for achieving the objectives of the Directive. For the public participation process it means that only the member state (competent authority) can decide if it will stay in charge of final decisions or share its responsibility with stakeholders. Of course all without prejudice to the obligations of the Directive.

Article 14(1) 1st sentence deals with the encouragement of *active involvement of all interested parties* in the whole implementation process of the Directive. The success of this involvement will certainly not be met solely via the 3-phased information and consultation procedure pursuant to Article 14(1) 2nd sentence of the Directive ((a) timetable and work programme, (b) interim overview, (c) draft copies). The river basin management plan is to a large extent a summary and justification of all the choices and involvement of the public that has taken place earlier. Starting public participation only in 2006 will not work if the public has not been involved in making these choices. To ensure transparency and acceptance public participation has to start as soon as possible. Besides, the 3-phased procedure of 14(1)(a, b, c) will be successful only if the previous steps of information supply, awareness raising and consultation have been performed before.



Look out! Timing

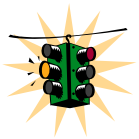
Start public participation as soon as possible and do not wait until 2006.

The timetable for public participation and the steps of the planning process receive attention in Section 2.8. How the three forms of public participation can be applied with regard to the steps of the **planning process** will be further explained in the coming Sections 3, 4 and 5. Firstly the scale issue in relation to public participation will be addressed in this Section.

2.7 The scale issue

The implementation of the Directive will require activities at many different scales: river basin district, river basin, sub basin, water body, national level, national part of an international river basin district, regional and local government level, etc. An important issue is at which scale public participation should be organised.

It follows from article 14 of the Directive that active involvement should be encouraged at all scales where activities take place to implement the Directive. Not only the area where the activities will be implemented should be considered, but the whole area where their impact may be felt. Consultation is required in the planning process for the river basin management plan and therefore at the scale of the river basin district or the national parts of an international river basin district.



Look out! Do not forget the impacted area and people!

When organising public participation on a specific issue, do not focus exclusively on the area where measures may be taken. Consider the whole area that may be impacted.

A public participation requirement at a specific scale does not mean that public participation should actually be organised at that scale. There are good reasons for organising public participation at lower scales. At the local scale the effects of management will be felt most directly and more responses from especially local stakeholders can be expected if public participation is organised at this scale. If for instance in a river basin district just one meeting is held, issues can only be discusses at a general level only and participants would have to travel large distances. Instead, several regional or local public participation meetings could be held, organised either by the competent authority for the whole district or by regional water managers. Of course, the staff requirements and costs would need to be considered.

A possible approach for the scale issue in public participation consists of five steps:

1. Determine which issues should be addressed at which level.

   The competent authorities in each river basin district should, together with the main stakeholders, define and analyse the main issues and their geographical scale. In large international river basin districts international co-ordination will be needed. If it is agreed that an issue should be addressed at for instance the regional level, a similar exercise could be held at the regional level to determine which aspects of the pertinent issue can be addressed at the local level. On top of the geographical scale of the issue, the existing institutional structure needs to be taken into account too, in particular the allocation of tasks and competences;

2. Determine what types of publics can make what types of contribution and what type of public participation is most appropriate for the publics and possible contributions concerned.

   As discussed, different publics may make different contributions in different phases;

3. Organise public participation as close to the public concerned as possible, given budgetary and staffing constraints;

4. Communicate the (first) results as soon as possible across different scales and between relevant units at the same scale.

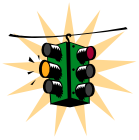
   Much local information and many local concerns and solutions will need to be incorporated, in an aggregated form, in the river basin management plan for the river basin district ("scaling up"). Issues that play at a higher scale should be communicated to and discussed with the local level ("scaling down"). Local information, concerns and solutions may also need to be communicated to upstream and downstream areas and to neighbouring areas outside of the basin (horizontal communication); and

5. Report on follow-up not only in the river basin management plan, but also at the level where public participation was organised.

   In the river basin management plan many details that are of concern for the regional or local level may be lost. The input of the participants needs to be recognised.

In this approach the initiative comes from the competent authority at the district scale. In addition, public participation initiatives can be taken at lower scales and then be "scaled up." River basin management can benefit if there remains room for experimentation.

In principle any level of public participation can be organised at any scale, even at the international river basin district scale. Nowadays many stakeholders are represented by larger international organisations, which is an advantage for the public participation process at large scales. The main issue is to find for each Directive issue the right combination of scale, stakeholders, public participation levels and methods. Stakeholder analysis (Annex I) can be very helpful for this.



Look out! Stakeholder Analysis (see Annex I)

Stakeholder analysis will help you to prepare for public participation at any scale.

The four boxes below give examples of public participation at the local scale and at the national and international river basin district scale. The first example shows, first, that public participation can be organised at the local level while still keeping the process manageable, and secondly, that it is possible to involve the broad public actively. The second, third and fourth example show that also at the national and the international river basin district level active involvement is possible. Annex II gives many more examples of all types of public participation at all scales (see especially the matrix).

Active Involvement of the broad public at the local scale

The Fens Floodplain Project – East of England (Wise Use of Floodplains Project) (see Annex II)

In the Fenlands in Eastern England the Wise Use of Floodplains project, as well as talking to stakeholders and organisations at a strategic level across the floodplain, wanted to talk to local people. In view of budget constraints, the views of communities in two representative villages within the 4,000-km^2 river basin were sampled. A range of local people was involved from school students to adults and retired people. They were invited to make any proposal they wished about making the floodplain more sustainable. A method called "planning for floodplains" was developed. This involved local people putting symbols onto a map based model to indicate the floodplain restoration projects they wanted. 200 different proposals were made in each village (2% of the population). Results of local community involvement were then compared with the views of other stakeholders obtained through other participation techniques (e.g. river basin level workshops, seminars) to assess how well the public proposals matched those of key organisations. The results supported proposals for floodplain restoration from an existing catchment wide project called "Wet Fens for the Future".
The local involvement showed 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.

Active involvement and consultation of stakeholders at the national river basin districts scale

The SDAGE projects, France (see Annex II)

For each of the 10 French large river basins, a management plan has been produced according to the 1992 French Water Act, called SDAGE. In a modified form they will become the river basin management plan according to the Directive. The so-called Basin Committee is responsible for their initial elaboration. This Committee is composed of the representatives of all stakeholders and users in the River Basin District (about 100 members):

- 1/3 local elected officials (i.e. mayors, local communities);
- 1/3 users, consumers, NGOs;
- 1/3 representatives of the State.

The Basin Committee defines the management plan (SDAGE) and co-ordinates the coherence between SAGE Projects (management plans at the sub-basin/local scale). It arbitrates water conflicts, decides on the taxes to be paid by the users and defines action programmes. The SDAGE document was made available to the general public only after its approval, but this will have to change.
Each Basin Committee created a Planning Commission and several Geographic Commissions (implanted at a more local level) in which a number of debates and meetings took place. Hundreds of interested parties were able to voice their opinions in the meetings of these geographic commissions. For example in the Rhone-Mediterranean-Corsica (RMC) Basin, the stakeholders were consulted through 10 geographic commissions, 6 technical committees and 7 socio-professional committees. Besides, the SDAGE Project was submitted to the associations by way of a specific dialogue. 1500 written comments from stakeholders and the general public were received.

National Water Council, Spain

According the Spanish Water Act and the Regulation on Water Public Administration and Planning (Royal Decree 927/1988), the National Water Council ("Consejo Nacional del Agua"), is the highest advisory body on water issues at national level. Three types of members compose the Council: Regular, designated and elected. The first group is formed by "positions" instead specific persons (i.e. the Water Director), the second is formed by appointed representatives that are members of the Council for a non limited period of time and the last one includes members that has to be elected every four years.

Regular members are:

- Chairpersons of the different river basin districts (12).;
- Directors of different Ministries with responsibilities regarding water as Environment, Agriculture, Economy and so on (For instance, the Water Director) (8)..

Designated members are:

- Designated representatives of different Ministries with responsibilities regarding water as Environment, Agriculture, Economy and so on (11);
- Representatives of each one of the Regional administrations (17) ;
- One representative of the Federation of Municipalities;
- One representative of the irrigation users communities;
- One representative of the hydro power companies;
- One representative of the water supply companies;
- One representative of the Commerce Chambers;
- Three representatives of the farmers;
- Two representatives from the limnology field;
- Three representatives of ecological NGOs;
- Three representatives from the University and the research field;
- One expert in irrigation techniques (appointed by the Agricultural Ministry).

Elected members are:
- Elected representatives of the regional administrations that belong to the water river basin district councils (12).*;*
- Elected representatives of the water users that belong to the water river basin district councils (12)..

According the Law, the National Water Council shall discuss and approve or refuse among others, the following[1]issues:
- The National Hydrological Plan, prior to their consideration by the Government and the Parliament;
- The River Basin Districts Water plans prior to their consideration by the government;
- Projects of regulation to be implemented in the entire Spanish territory affecting the hydraulic public domain;
- Projects and sectorial plans on agriculture, territory, energy or industry if they are considered as being of "general interest" and affect the water planning or the water uses;
- All the issues affecting more than two River basin districts.

It should be taken into account that this situation needs to be assessed and, consequently modified, following the objectives and legal consequences of the Directive.
(this example cannot be found in Annex II)

Active involvement of stakeholders, consultation and access to information at the international river basin district level

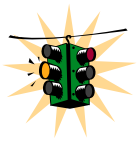
Danube River Commission / Danube Environment Forum (see Annex II)

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 can mean different things at different levels, but should have a common set of principles of transparency of process and inclusion.
The co-ordinating body for the international aspects of the Directive in the Danube basin is the International Commission for the Protection of the Danube River (ICPDR). 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.
Several large international NGOs have observer status in the ICPDR. They can participate in the meetings of the ICPDR, but they have no voting rights in its working groups. They provide significant input to the work of the Commission (for example in the establishment of an Ecological Expert Group). Through their networks, they provide small (national and local) NGOs with direct or indirect access to the international arena.

Key to managing the scale issue in river basin management is communication and co-ordination across scales and between units at the same scale (e.g. upstream and downstream countries or regions). This is very much facilitated by building up formal and especially informal networks across scales and between units at the same scale. Staff members of one competent authority could attend meetings organised by the other relevant competent authorities and vice versa. Moreover, the establishment of a central clearinghouse in each river basin district for public participation could be considered for exchanging the results of and experiences with public participation. Note that public participation at the international

[1] The National Water Council is an advisory body, so, its decisions are not legally binding. However, in practice, there is no record of one decision of the Council that has not been endorsed by the Government

river basin district level encourages the participation process at lower scales within the district. In basins where different languages are spoken sufficient funds for translating the most important documents need to be made available.



Look out! Keep each other informed across scales

Keep each other informed about all public participation processes going on in one river basin district, by formal means but especially informally. Sufficient funds for translating the most important documents need to be made available.

2.8 How do we involve them?

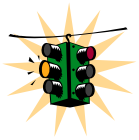
The timetable, which is linked to the program cycle of the Directive, as described in Section 3 is another determining factor in timing public participation. The different planning steps provide different possibilities for public participation. The Directive defines a number of phases and deadlines for its implementation, shown below (enumeration is not exhaustive).

STEP 1 By end of 2003	**Framework** Identification of River Basin Districts Assignment of the Competent Authorities Transposition of the Directive into national legislation
STEP 2 By end of 2004	**Characterisation and Analysis (Art.4)** Characterisation of the river basin district, review of the environmental impact of human activity and economic analysis of water use. Assessment of the likelihood that surface water bodies within the river basin district will fail to meet the environmental quality objectives set for the bodies under Article 4 ('gap analysis' Annex II (1.5)).
STEP 3 By end of 2006	**Planning for establishing programs of measures and outline of river basin management plans** Further characterisation for those bodies identified by the gap analysis as being at risk, in order to optimise the monitoring programme and the programme of measures. Monitoring programmes start
	For Public information and consultation about the RBMP, MS make available for comments a timetable and work programme for the production of the RBMP (MS shall allow at least six months to comment on those documents).
STEP 4 2007	For Public information and consultation about the RBMP, MS make available for comments an overview of the most important water management issues within the RBD (MS shall allow at least six months to comment on those documents).
STEP 5 2008	For Public information and consultation about the RBMP, MS make available for comments a draft copy of River Basin Management Plan (MS shall allow at least six months to comment on those documents).
STEP 6 2009	Final River Basin Management Plan published Programmes of measures shall be established.
STEP 7 2012	**Implementation** Programmes of measures implemented
STEP 8 2015	**Evaluation and updating, derogations** Good water status achieved? Objectives for Protected Areas achieved? Establishing and publishing the next plans and programs Derogations
STEP 9 2027	Final deadline for achieving objectives, following 2 6-year prolongations

In the next Sections the Guidance will describe how the three different degrees of participation can be organised in the different planning steps:

- active involvement (Section 3);
- 3-step consultation (Section 4);
- information supply (Section 5) .

As stated many times before, every process of consultation or active involvement is unique and depending on context and circumstances. Section 7 will help you to reflect on the public participation in your situation.



Look out! Remember communication

The backbone of public participation is two-way communication between the competent authorities, the participants and all other interested parties. Transfer of information between different planning steps is essential. Tools which support communication and interaction such as public meetings, interviews, workshops, websites, etc. are described in Annex I.

Section 3 – Active involvement of all interested parties in the Planning process of the Directive

"Member States shall encourage the active involvement of all interested parties in the implementation of this Directive, in particular in the production, review and updating of the river basin management plans." (Article 14.1, 1st sentence).

3.1 Introduction to active involvement

The purpose of the participatory requirements of Article 14, including active involvement, is to support the effective implementation of the Directive. While this has particular focus on the production, review and updating of the River Basin Management Plans, the encouragement of active involvement of stakeholders in the wider implementation of the Directive also needs to be considered. The potential benefits of greater stakeholder can be summarised as follows:

- RBMPs are likely to be more successful through achievement of "buy-in" to their objectives and delivery by promoting "ownership", acceptability and the co-operation of relevant stakeholders;
- Decision-making is likely to be more efficient through earlier identification and, where possible, resolution of conflicts;
- Solutions are likely to be more sustainable and equitable through the input of a wider range of knowledge and perspectives; and
- In the longer term, relationships between competent authorities and stakeholders are likely to be strengthened.

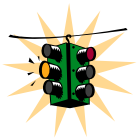
Although "active involvement" has not been defined in the Directive, it implies that stakeholders are invited to contribute actively to the process and thus play a role in advising the competent authorities as described in the spectrum of participation presented in Section 2.2.

It is important to note that there is no single correct approach to the organisation of active involvement. It will require a tailor made process which is context specific. This makes it difficult to be prescriptive in terms of defining an active involvement process. One possible solution would be for the competent authorities to develop a strategy to adapt the common understanding, outlined in Section 2, to the national, River Basin District and local context. In order to secure greater acceptance of the consultation and involvement process amongst stakeholders, the strategy should be published early in the process of implementation.

The ideal for active involvement is inclusiveness but, in practice, the notion of involvement of being open to everyone who has a stake, usually needs to be qualified by "as appropriate" to the particular context due to imposed constraints such as the Directive timetable, technical complexity, and limits on influence etc. Understanding, establishing and communicating clear boundaries for active involvement in the strategy will help keep stakeholder expectations realistic.

Given the above points, this Section presents the broad principles of active involvement: why, what, who and how stakeholders should be involved in the different steps of Directive cycle outlined in Section 2.8.

It is important that this Section is read in conjunction with the Guidance Documents produced by the other Working Groups in the Common Implementation Strategy.



Look out! Active Involvement is not a voluntary exercise
In the first place since Article 14 '*shall encourage*' implies that Member States have to make a clear effort to promote and facilitate active involvement. In the second place since the River Basin Management Plan (Annex VII, element 9) shall give account of the measures taken to inform and consult the public and the changes of the plan that followed from this involvement. In the third place since Preamble 46 tells us "*provide information.... with a view to the involvement of the general public before final decisions on the necessary measures are adopted*".

3.2 Active involvement in the program cycle of the Directive

STEP 1 By end of 2003	**Framework** Identification of River Basin Districts Assignment of the Competent Authorities Transposition of the Directive into national legislation

Why, what and who?

Active involvement in this step will help raise awareness of the introduction of the Directive and the early decisions that will establish the competent authority and spatial outline of the River Basin Districts.
Active involvement in this step is unlikely to be significant, and public participation will be characterised by information supply and consultation via existing national procedures.
Input should be sought from as wide a range of stakeholders as can be reached.

How?

By communication planning (see Annex I) and using the existing national procedures.

Consultation on the Directive Annexes 2 and 5, UK environment agencies (see Annex II)
The technical annexes of the Directive 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.

In the summer of 2002 the UK environment agencies issued public consultation documents on "The Guiding Principles on the Technical Requirements of the Water Framework Directive".

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.*

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 EHS in each others drafting processes increased UK wide shared understanding while providing reassurance to stakeholders that common interpretations were being applied and proposed.*

STEP 2 By end of 2004	**Characterisation and Analysis (Art.4)** Characterisation of the river basin district, review of the environmental impact of human activity and economic analysis of water use. Assessment of the likelihood that surface water bodies within the river basin district will fail to meet the environmental quality objectives set for the bodies under Article 4 ('gap analysis' Annex II (1.5)).

Why, what and who?

Active involvement in the characterisation and analysis step will be useful to:
- Raise awareness of the process of characterisation and analysis;
- Collect data, information and views of a range of stakeholders;
- Identify issues and where possible resolve conflicts and manage expectations.

The characterisation and analysis step can be broken down into a number of distinct processes. The delivery of these processes, and ultimately the RBMP which they lead to, will stand a greater chance of success with the involvement of key stakeholders. Some specific detail is offered below for each process.

Review of pressures and impacts: This review forms one of the foundations of RBMP and helps determine which water bodies are likely to be at risk of not reaching ecological status by 2015 (or later) because of the pressures on them. The purpose of stakeholder involvement would be to help determine the pressures and impacts on water bodies and provide input to the identification of waters most at risk.

Economic Analysis: This process will help a) set up a trend scenario which predicts the socio-economic trends for the future, which is essential for the "gap analysis", and b) evaluate current levels of cost recovery and c) analyse the cost-effectiveness of measures between 2004 and 2009. Stakeholder involvement will help to determine a), b) and c). Secondly, involvement is also important since good ownership could mean also better financial support (either directly by the public or by political pressure).

Classification and objective setting: In this process a start has to be made with the definition of the **status of the water bodies** on the basis of the characterisation of water

bodies within the River Basin Districts required by Annex II and V. Also **environmental quality objectives** have to be set. When setting the environmental objectives, it is most important to have good ownership of local people, but it has to be guided carefully as capacity building is indispensable (interpretation of Guidance Documents). There is risk of failure of objectives of the Directive by "overriding" economic issues (e.g. clean hydropower and navigation), but there is also a big chance to create awareness and to win the pro-environmental sections of society. This involvement should be organised from bottom (small basin or even water body) to basin districts and whole basin.

Gap analysis: When the current water status and envisaged environmental quality objectives are set, the **gap analysis** can be performed. The first gap analysis is to be performed before the end of 2004, for the purpose of the first RBD characterisation, in order to define the water bodies being at risk of failing to meet the objectives of the Directive for 2015. This first gap analysis will be based mostly on expert judgements and currently available data and information. After 2004, this first gap analysis will be refined on the basis of new data, among them the results from monitoring programmes (operational after end 2006). This new information will be used to update the RBD characterisation to be included in the river basin management plan (Annex 7), involve key-stakeholders in the identification of gaps and set up of trend scenarios. In the case of gaps, this makes them aware of a need for change, and it will help to get their input in the identification of appropriate measures (next step).

Designation of Heavily Modified Water Bodies: Like gap analysis, the designation of heavily modified water bodies is a two step process, with a provisional designation by 2004 and a final designation by 2008 The purpose of stakeholder involvement would be to support the identification of heavily modified water bodies (HMWB), resolve conflicts and contribute to the acceptance of HMWB designation.

The most important stakeholders to be considered at this strategic level of dialogue will be those who can really contribute to delivering solutions (e.g. other government bodies, water companies, wastewater treatment companies), those who have technical expertise and are 'representative' of a particular constituency (e.g. NGOs, research community) and those who pay for action (consumers).

How?

When considering the different processes, active involvement may be undertaken at national, River Basin District and local levels. Involvement at the national level would predominantly be with national government, industry bodies, consumer bodies, national NGOs and technical and academic experts. At the River Basin District and local level, involvement would tend to be with representatives of regional and local government and stakeholders with an interest in a specific River Basin District, river basin or water body.

At each of these levels it may be useful organise involvement using the following methods:

- Bilateral meetings;
- Steering groups;
- Advisory groups.

Possible activities for active involvement are:

1 "Process Start Up" meeting/workshop(s) with key-stakeholders to discuss:
   - The objectives;
   - The working process (how to reach the objectives) and decide on their role;

- The preconditions (Terms Of Reference) for their involvement;
- Availability and relevance of existing data;
- Communication plan.

2 Inventory of knowledge and perceptions on:
- The description of the surface waters and groundwater bodies; what are the major issues (problems)? This can be done through workshops, interviews, panels and fieldtrips with stakeholders.

3 Analysis and structuring, decision making on characterisation;

4 Information supply to all relevant stakeholders.

River Basin Management Plan Maas/sub-basin Niers, (see Annex II)

Pilot project with regard to Article 14 (North Rhine-Westphalia, one of the 16 German Lander)
In the three Niers fora: Municipalities, districts, water companies, water associations, chambers of agriculture, forest authorities, nature conservation NGO's, biological planning units, the Netherlands authorities and stakeholders (all of the relevant region), have been consulted. In round tables with 30 – 40 persons per forum the following activities took place: Information supply, discussion, distribution of relevant materials, exchange of experience, involvement with regard to data collection.

Integrated reconnaissance study on the River Basins of the Rhine and Waal (see Annex II)

Objective:
To give advice to the national government on possible scenario's for future water management
The open interactive process has the following elements:

- 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 water boards are represented. They are responsible for the decision making and the advice to the government on further policies. (Before only the regional office of the Ministry developed such studies and gave advice) ;
- an expert group (of government staff (and representatives of NGO's);
- (in a later phase) "working groups" of experts per theme:
  - ◊ water flow, use and land use;
  - ◊ juridical and governmental issues;
  - ◊ communication.
- open communication; from the start the project team 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 NGOs and interested citizens. The aim was to explain about results of the screening study so far, to create understanding and support and to seek reactions and advise on the proposed measures;
- information evenings for the general public with a (DVD) film putting water management in a historical perspective, 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 to discuss possible measures;
- Consultation rounds (interviews) among the parties involved on how to proceed.

STEP 3 By end of 2006	**Planning for establishing programmes of measures and outline of river basin management plans** Further gap characterisation for those bodies identified by the gap analysis as being at risk, in order to optimise the monitoring programme and the programme of measures. Monitoring programmes start. For Public information and consultation about the RBMP, MS make available for comments a timetable and work programme for the production of the RBMP (MS shall allow at least six months to comment on those documents).

NB: The Directive requires consultation and active information supply for the phases from 2006-2009. These subjects are discussed in more detail in Section 4 respectively 5.

Why, what and who?

This step is mainly focussed on planning the potential measures which may be used to achieve the objectives set for different water bodies, and to determine which options would be feasible and effective. Active involvement will help determine stakeholders' views on the potential options, and to elicit other possibilities to be screened which in turn would help determine the final measures selected. The programme of measures should be co-ordinated with other water and land- use planning processes and funding mechanisms. This may have significant financial benefits, in addition to improving effectiveness of the implementation. Also the SEIA directive refers to plans and programmes of measures (see Section 2.1 and 2.4).

The examples on the SDAGE project in France (see Section 2.7 and Annex II) do also illustrate this step.

The most important stakeholders to be considered at this step will be those who can really contribute to delivering the Programme of Measures (e.g. other government bodies, water companies, wastewater treatment companies etc), those who have technical expertise and are 'representative' of a particular constituency (e.g. NGOs, research community) and those who pay for action (consumers).

How?

When considering the different measures, active involvement may be undertaken at national, River Basin District and local levels. Involvement at the national level would predominantly be with national government, industry bodies, consumer bodies, national NGOs and technical and academic experts. At the River Basin District and local level, involvement would tend to be with representatives of regional and local government and stakeholders with an interest in a specific River Basin District, river basin or water body.

At each of these levels it may be useful organise involvement using the following methods:
- Bilateral meetings;
- Steering groups;
- Advisory groups.

The IIVR project, The Netherlands (see Annex II)

The project has chosen for a cooperative style in which the different authorities and nongovernmental organisations (NGO) (and 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 group of experts, government employees and members of NGO's, discussed the content of the planning process;
- consultations of citizens and interest groups. In addition, several sessions were organised during a period of two years to consult citizens and interest groups and give them a chance to share their problem perceptions and generate ideas.

STEP 4 2007	For Public information and consultation about the RBMP, MS make available for comments an overview of the most important water management issues within the RBD (MS shall allow at least six months to comment on those documents)..

See Section 4 and 5.

STEP 5 2008	For Public information and consultation about the RBMP, MS make available for comments a draft copy of River Basin Management Plan (MS shall allow at least six months to comment on those documents)..

See Section 4 and 5.

STEP 6 2009	Final River Basin Management Plan published. Programmes of measures shall be established.

See Section 4 and 5 with respect to the publication of the RBMP.

Why, what and who?

This step is mainly focussed on establishing the Programme of Measures, which will be used to achieve the objectives, set for different water bodies. As stakeholders will implement or be affected by some of the measures, active involvement in this step will help gain commitment to the delivery of the Programme of Measures.

The most important stakeholders to consider at this step will be those who can really contribute to delivering the Programme of Measures (e.g. other government bodies, water companies, wastewater treatment companies, farmers etc) and those who pay for action (consumers).

How?

When establishing the different measures, active involvement may be undertaken at national, River Basin District and local levels. Involvement at the national level would predominantly be with national government, industry bodies and consumer bodies. At the River Basin District and local level, involvement would tend to be with representatives of regional and local government and stakeholders with a role in delivery of the Programme of Measures.

At each of these levels it may be useful organise involvement using the following methods:
- Bilateral meetings;
- Steering groups;
- Advisory groups;
- Workshops and meetings to generate solutions and define measures.

Erne Sustainable Wetlands Project (see Annex II)

In the Erne catchment (cross border Northern Ireland and Ireland) covering over 4,000square km's) the aim was to produce a model for agreeing a vision for management of the river basin (catchment). Active involvement with a range of stakeholders and a range of methods was tried at different geographic levels. It was found that people generally related better to the more local scale.
Methods included questionnaires, community mapping and workshops. Everyone living within the river basin was considered as a potential stakeholder and active involvement was encouraged by a participatory approach of holding workshops open to the public and any interested organisation and going out into public places like town centres.

STEP 7 2012	**Implementation** Programmes of measures implemented.

Why, what and who?

This step is concerned with the implementation of the Programme of Measures. Active involvement in this step will help to maintain the awareness of the measures and contribute to their sustained delivery.

The most important stakeholders to consider at this step will be those who are contributing to the delivery of the Programme of Measures (e.g. other government bodies and industry sectors etc).

How?

When implementing the Programme of Measures, active involvement may be undertaken at national, River Basin District and local levels. Involvement at the national level would predominantly be with national government and industry bodies. At the River Basin District and local level, involvement would tend to be with representatives of regional and local government and stakeholders with a role in delivery of the Programme of Measures.

At each of these levels it may be useful organise involvement using the following methods:

- Bilateral meetings;
- Steering groups;
- Consultation methodologies.

River Tyreså project, Sweden (see Annex II)

Public participation to restore and develop a River basin.
A steering group was set up consisting of politicians from the municipalities. Working groups were formed of representatives of municipalities, county board and from the water users (total 11 persons). The working group has close contact with the sport fishing associations, house-owners associations and many other associations within the catchment area. After the first introductory meeting some interest/issue groups were established: recreation/outdoor life, local history and eutrophication. The working groups have regular meetings once a month with these groups. The public participated also through panel debates. The outcome was a list of measures being implemented resulting in a.o. The establishing of walking paths, improved of the quality of the surface water, protection of an ecological park.

STEP 8 2015	**Evaluation and updating, derogations** Good water status achieved? Objectives for Protected Areas achieved? Establishing and publishing the next plans and programs. Derogations.

Why, what and who?

This step is concerned with the achievement of the objectives. Active involvement in this step will be useful to raise awareness of the achievement of the objectives and facilitate the understanding of the effectiveness of the Programme of Measures.

The most important stakeholders to consider will be those who can really contribute to delivering the Programme of Measures (e.g. other government bodies, water companies, wastewater treatment companies, farmers etc), those who have technical expertise and are "representative" of a particular constituency (e.g. NGOs, academics etc) and those that pay for action (consumers).

How?

When considering the achievement of the objectives, active involvement may be undertaken at national, River Basin District and local levels. Involvement at the national level would predominantly be with national government, industry and consumer bodies, national NGOs and technical experts. At the River Basin District and local level, involvement would tend to be with representatives of regional and local government and stakeholders with an interest in a specific River Basin District, river basin or water body.

At each of these levels it may be useful organise involvement using the following methods:

- Bilateral meetings;
- Steering groups;
- Consultation methodologies.

The Emå River, Sweden (see Annex II)

Catchment area of 4 500 km^2.
Objectives public participation:

- To contribute to sustainable development by encouraging commitment and support from local people as regards restoration of the area and other environmental measures;
- To use knowledge and experience from NGO's and other stakeholders;
- To avoid new and, if possible, solve old conflicts.

Municipalities, county administrative boards, NGO's, etc., cooperated in different working groups from 1994 onwards (from 1997 there were 8 groups). Different associations took part in these working groups such as the Emå River Council, farmers associations, owners of fishing waters, angling associations, local history associations, nature conservation associations, municipalities and tourism enterprises.
Public participation is achieved by holding seminars, information meetings and hearings, circulating documents (e.g. objective documents) for comments, forming working groups (those in the group bring information back to their organisation and vice versa) and distributing newsletters, etc. Minutes from the various meetings were taken and distributed.

West country River Trust (WRT), UK (see Annex II)

The objective of the project is:

- To raise awareness;
- To use the knowledge and experience of stakeholders for the sustainable development of river catchment areas;
- To improve water quality through comprehensive involvement of farmers;
- 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 southwest. The workshop has been followed by a questionnaire exercise, which asks stakeholders to identify their priorities for rural land-use. Hence knowledge on local issues, resources in terms of active participation and commitment and willingness to imply changes in their production practices to ensure environmental quality is gained.

The Tubaek stream, Denmark (see Annex II)

The key to the constructive dialogue was:
Public meetings were organised through the farmers union and that meetings took place at the farm – the "kitchen-table model";
Negotiation and signing of voluntary agreements on water management has taken place.

STEP 9 2027	Final deadline for achieving objectives, following 2 6-year prolongations

The six-year programme cycle will remain, including public participation as described before.

Section 4 – Consultation

4.1 Introduction to consultation

Consultation aims at learning from comments, perceptions, experiences and ideas of stakeholders. Unlike active involvement, consultation is only possible after completion of draft plans and other documents, and during the preparation of these documents. Moreover, it is a less intensive form of public participation. Yet, whereas active involvement often is necessarily somewhat selective, consultation allows everybody who is interested to become involved in decision-making. It is a useful complement to active involvement and can function as a kind of check on active involvement, to see if all interests, points of views were represented.

According to Article 14 consultation concerns the following requirements and timetable for consultation (with a repetitive cycle of 6 years for future river basin management plans):

December 2006 (at the latest)	Time table and work programme for the production of the plan, including a statement of the consultation measures to be taken;
July 2007	Comments in writing.
December 2007 (at the latest)	Interim overview of the significant water management issues identified in the river basin;
July 2008	Comments in writing.
December 2008 (at the latest)	Draft copies of the river basin management plan available;
July 2009	Comments in writing.
December 2009 (at the latest)	Start implementation of the plan.

Thus consultation refers to:

- Publishing;
- Making available for comments;
- *For the public*, which is a wider range than stakeholders only.

Further on in this Section the three required consultation phases are discussed separately and something will be said about the timing of consultation.

The Directive specifies that public comments must be provided in writing, e.g. either in paper form, by mail, or via e-mail. Additionally however, other ways of consultation can be considered (oral consultation). So basically, there are two different forms of consultation:

1. *Written consultation*, where people are asked to comment in writing on the proposed analysis or measures (this can include the use of internet);
2. *Oral or active consultation*, where the consult is sought in interviews, workshops or conferences. During these meetings major issues are presented and the invited stakeholders are asked (in small groups) to give their perception, knowledge and ideas on the specific issues (Annex I gives an example of such a workshop). They can also be consulted on the development of measures through questions like: "how to solve these issues?" or "how to proceed with our working process".

Written consultation is regarded as a minimum requirement for implementation of the Directive, oral consultation as best practice. However combinations of these two are often applied.

Code of practice on written consultation for the Directive:

1 Timing for the organisation of consultation, apart from the dates mentioned by Article 14, should be built into the planning process for a policy or service from the start;
2 It should be clear who is being consulted, about what questions, in what timescale and for what purpose, the consultation process is open to anyone;
3 the documents which are subject to consultation (timetable, work programme, significant water management issues, draft copy of river basin management plan) should be as simple and concise as possible (including a summary of 2 pages of the main questions it seeks views on), some summaries for a broader audience should be prepared;
4 the documents should be made widely available, with the fullest use of electronic means and effectively drawn to the attention of all interested groups and individuals;
5 Anyone with an interest has six months respond to the documents;
6 Responses should be carefully and open-mindedly analysed, and the results made widely available, with an account of the views expressed, and reasons for decisions finally taken;
7 Departments should monitor and evaluate consultations, designating a consultation coordinator who will ensure the lessons are disseminated.

4.2 Management of comments

Management of information and comments is important with consultation. There are several available tools for informing the public and at the same time asking them to comment on the plans: fact sheets, newsletters, Internet, brochures, advertisements, articles in magazines, columns in newspapers, exhibitions, open house, info evenings and TV/radio (see description of communication tools in Annex I). The whole area that is potentially affected by the river basin management plan should be covered for example by display in city halls, libraries, local newspapers and actively sent to stakeholders or anybody that is likely to have an interest. Once the information is published you should be prepared to get responses and to act.

4.2.1 Where to collect responses?

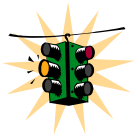
Point 7 in the box above also refers to the question of where comments should be received. For the management plan as a whole, they could be collected centrally, by an (inter)national co-ordination agency, or non-centrally, by the authorities displaying the plan. The Directive contains no provisions regarding collection and processing of comments received from the public.

Comments regarding international management plans can be collected on a national basis, at defined locations. Once collected, comments must be sent immediately to the authorities concerned, in the interest of speedy assessment. Where comments are well founded, the relevant results (such as adaptation of measures plans, etc.) should be collected on a national basis, for the river basin district, and then forwarded to the international agency (if existing) that co-ordinates or facilitates the preparation of an international management plan. In administrative areas that cross boundaries – such as those along the upper Rhine or the Moselle/Saar area – and thus will require sub-plans, co-ordinated processing of comments

regarding the relevant areas/sub-plans, by authorities co-operating within the relevant areas, would be a useful way of reducing co-ordination overhead at the international co-ordination agency.

4.2.2 How to analyse the comments?

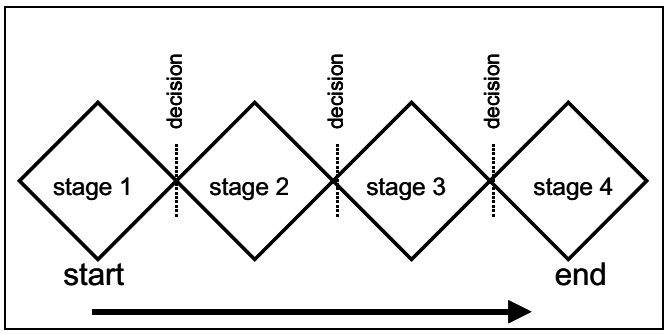
Responses should be carefully and open-mindedly analysed, and the results made widely available, with an account of the views expressed, and reasons for decisions finally taken. It is important that the authority of the area in question is able to respond to the comments and be responsive to the public/stakeholders. They need to be informed on the arguments for decisions taken and the final outcome of the planning process. Also, it should be ensured, that the authority that displays the plan, or the authority that collects comments, is able to forward, to the co-ordination unit and/or the relevant regionally competent authority, comments that refer to parts of the river basin district for which the authority does not have regional competence. When many comments are received it is advisable to categorise the comments. Subsequently the answers, motivations and decisions can be prepared per category in one surveyable document and returned to the public/stakeholder.



Look out! Feed-back
It is important to give feedback to the participants of the consultation. The feedback should contain a motivation and be returned in a reasonable time frame. Remember that in future these consultations need to be organised every 6 years. 'Cherish' the participants: you will need them again!

4.3 How to organise consultation

Dealing with organisation there is the need for a well-organised tailor-made design, using the earlier mentioned planning process diagram:



Stage 1 Starting stage: TOR for your project, indicate clearly the boundary conditions;
Stage 2 Exploring stage: diverge and explore all possibilities/ideas;
Stage 3 Ranking stage: converge and cluster/prioritise the possibilities, make a decision and agreements on further activities;
Stage 4 Implementation and information.

4.3.1 More practically:

- Stage 1 "Process Start Up" meeting/workshop(s) with these groups or groups of key-stakeholders to discuss:
  - The objectives for consultation;
  - The working process (how to reach the objectives of art. 14) and decide on their role;
  - The preconditions (Terms Of Reference) for their involvement;
  - Availability and relevance of existing data;
  - Communication plan;
- Stage 2 Inventory of knowledge and perceptions on:
  - The description of the information to be consulted upon; what are the major issues?
  - Timing of this supply of information; is the time schedule of the Directive practical? Refine the time schedule
  - Who are we going to consult?
  - How are we dealing with the responses; management of information?
  - What tools do we have at our disposal for communication?
  - How do we give feedback;
- Stage 3 Analysis and structuring, decision making on consultation;
- Stage 4 Information supply to all relevant stakeholders.

4.4 Consultation on the timetable and work program (art 14 (1) a)

4.4.1 What tasks to be done?

By the end of 2006 at the latest, the public must be informed and consulted about the timetable and the work programme for production of the management plan and about the planned consultation measures.

4.4.2 How to organise the consultation?

The way consultation is organised depends to a large extent on the geographic scale of management plans.

At *river basin level and Sub-basin level*, both written and oral consultations can be organised. The relevant stakeholders and public in the river basin district should be given an overview of the planned plan-production steps (data collection, assessment, definition of objectives, decision regarding measures) and of the participating authorities and agencies (who is responsible for doing what, and by when). If necessary, information about other options should be provided; for example, regional informational events regarding the Directive could be held. With such overview information, the interested stakeholders and public become aware when they can raise their concerns and proposals.

The public that is consulted does not necessarily have to live in the river basin district concerned, a measure within the district may have effects on areas that are not assigned to the river basin district in question (e.g. adjacent coastal areas, groundwater aquifers). Persons, groups and organisations in these areas also fall under the definition of "public" and consequently they too have to be consulted. Practically this means that at a very early stage the area that may be affected has to be determined and that in the whole area (also if outside of the river basin district) the documents mentioned in Article 14 should be published and made available for comments.

At the *international river basin district level* a useful approach for the written consultation would be to publish internationally prepared papers, all with very similar wording, throughout the river basin district. A form of international co-ordination is needed on making the timetable and work programme including the proposed public participation measures. On the other hand, it is not clear whether such papers will be available on the international level at the time in question. But since only a first general overview is being provided, extensive co-ordination will probably not be required. The data regarding the competent authorities, and a timetable, must be available for all river basin districts by 2006.

Alternatively, the Member States would have to take action independently from each other. In any case, certain content of this information level (such as who does the international co-ordination, who works internationally in support of whom) should be provided in standardised form. Consequently, the relevant discussion on the EU level and in the international river district commissions must be awaited.

Article 14 (1) 2nd sentence, "*Member States shall ensure that, for each river basin district, they publish and make available for comments to the public, including users:*"
The information and documents mentioned in Article 14(1) a) through 14(1) c) must be published and made available. The Directive does not specify what type of publication is required, but we can refer to the Code of practice on written consultation (see Section 4.1).

In discussions in Brussels, the Commission has repeatedly called attention to the Internet, which some Member States have already been using successfully even for larger planning projects. The Internet offers a good opportunity to describe and present transposition of the Directive, which is a complex process, in an understandable way. Using the Internet some questions have to be answered, e.g. the rate of the target audience with a connection to the Internet, whether additional paper versions have to be made available to the part of the public without access to the Internet, if personnel would have to be assigned to guide through a management plan, if internet access of appropriate authorities could be used by the public.

4.5 Consultation on "significant water management issues"

4.5.1 What tasks need to be done?

In the second consultation step, a preliminary overview of the important water management issues for the relevant river basin district and for its river basin(s) (the Directive's use of these terms in Article 14 is not standardised) is to be published by the end of 2007 at the latest. The important issues for the river basin district can be derived from:

- The analysis of the water-quality inventory that is to be completed by the end of 2004;
- The subsequent discussion regarding definition of objectives (taking into account the exceptions provided by the Directive);
- The necessary measures;
- The perceptions, knowledge and experience of the relevant stakeholders.

By the end of 2007, a relatively homogeneous assessment of the key requirements for action should be available throughout the entire river basin district. By this point, assessments should no longer differ, since otherwise any co-ordinated approach would be endangered.

4.5.2 How to organise the consultation?

The examples in the boxes hereafter show different forms of consultation at different geographic scales:

(Inter)national and district level

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). Stakeholders are observers to the Commission, which implies full participation, no voting rights.

River Basin level

Water management Plan of the municipality of Örebro, Sweden (see Annex II)

The objective of the consultation is to fulfil the demands about public participation of the Swedish planning and building act concerning consultation in the development of comprehensive plans. A working group and a steering group consisting of a civil servants implement the work. A total of about 70 different authorities and organisations upstream the catchment areas and within the boarders of the municipality have been consulted on a draft plan during a seminar and information meetings. The working and steering group acknowledged their opinions and comments. The adjusted document was sent for a new round of consultations. Farmer- and water protection associations and the university were also involved

4.6 Consultation on River Basin Management Plans

4.6.1 What tasks need to be done?

The centrally important third phase of public information and consultation will begin at the latest at the end of 2008: publication of draft versions of the management plans. The content requirements for plans are described in Annex VII. Such plans, especially those for the larger river basin districts, are likely to consist of extensive documents with maps. At this point, these documents must already be nationally and internationally harmonised, to the maximum possible extent, so that they will clearly show what co-ordinated water management is planned.

4.6.2 How to consult?

National scale
A useful approach could be for the national or international co-ordination unit responsible for the river basin district overall to compile these papers and then provide them to the affected states.

River Basin scale

Consultation on the River Basin Water Plans, Spain

In Spain the development of Water Plans in the river basin districts is made by "Water Councils".

According the Spanish Water Act and the Regulation on Water Public Administration and Planning (Royal Decree 927/1988), the Water Council in each river basin districts has the duty of discussing and proposing the river basin plan to be approved by the Government. At least, one third of the total number of the Water Council members has to be of the representatives of the users.

A river basin Plan in Spain includes, among others, the following contents:

- Water resources assessment;
- Water demands evaluation;
- Criteria for water uses priorities;
- Water resources allocation for current and future uses;
- Basic water quality requirements;
- Measurements for groundwater protection;
- Water infrastructures needs.

4.7 Timing of consultation and international co-ordination

Article 14 (2) "*Member States shall allow at least six months to comment in writing on those documents in order to allow active involvement and consultation*"

For each of the above-described consultation steps, the public must be allowed a period of at least 6 months to comment in writing about the relevant documents. This period is probably reasonable but the over-all time schedule is tight, since results of consultations have to be incorporated within relevant papers, in harmonised form, for the entire river basin district. Especially with regard to consultation regarding draft versions of the management plans, the question arises of how the workload is to be managed. Therefore some consultation steps might be initiated earlier than the final deadlines specified by the Directive. This could save time that would then be available for later work. Therefore, an internationally co-ordinated approach is required, if co-ordinated results are to be presented.

Article 14 (1) requires that the public be consulted regarding the management plan for the entire river basin. This brings up the question of how such consultation should be internationally co-ordinated.

Harmonisation of the timetable plays a central role in this context. In light of the tight deadlines for transposition of the Directive, and the close succession in which the various consultation phases take place, international co-ordination regarding a parallel approach – if at all possible – would seem necessary. Suitable procedures for this should be approved by the relevant international bodies.

Furthermore, the question of what documents must be submitted, a question already mentioned above must also be considered. The key issue in this connection is what an international management plan should look like. Some international river basin district commissions are currently discussing the structure of a management plan for a river basin district. There is concern that too little time will be available to produce such a complex work, especially if it is to be logical and coherent.

Section 5 – Access to information and background documents

Access to information and to background documents covers two aspects:

- Sufficient "Information supply" in the different implementation steps; and
- Access to background documents and information according to Article 14 (1).

5.1 Sufficient "Information supply" in the different implementation steps

In the whole implementation process sufficient information is necessary to enable active involvement of stakeholders and the public in general. The following Section will describe how this can be organised.

Sufficient refers to:

- The different stakeholders and the public;
- The kind of information (progress in the planning process, results and outcome of analysis, proposed measures and plans, arguments in decision making);
- The way information is being provided (in a understandable and easy way, with e.g. announcements where to find information if required). For the public in general, the Internet, brochures and television spots are useful means. The organised stakeholders will most probably get all the relevant information in the steering groups or commit-tees established.

The following examples illustrate how the information supply can be organised. You often see a combination of "on-line" information supply through Internet and mail and off-line meetings and conferences to inform the public of the output of the planning process. Objectives like awareness rising, promoting changes or just to inform people influence the final selection of tools. The availability of budget resources often determines the final choice.

Alcobendas-city, Spain (see Annex II)

The objective of the project is to raise awareness of the population, local authorities and SME's in Alcobendas, a Madrid suburb, on water consumption. A comprehensive package of activities has been implemented, 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.

Activities included press conference, calls and visits by media-rep's, TV reports on water-saving systems, interviews radio stations, and publishing of articles.

Information letters for the implementation of the Directive in Thuringia, Germany (see Annex II)

The objective is to make the persons or organisations interested in water management issues acquainted with the objectives and necessary steps of the Directive and to express their ideas and proposals. At the moment the information letters (six pages) are published twice or three times a year

(available in printed form or via internet. At the end of the letters a contact person is named (phone and email) The until now huge demand for the information letters encouraged the Thuringian Environment Ministry to expand this approach in the future. The information letters and the contact to the ministry should 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.

The National Commission for Public Debate, France

A wide range of methods and tools is applied 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 example, for the TGV Rhin-Rhône project, 6000 were distributed);
- **"information letters of the debate"** or "lettres du débat: to inform the public on the debate, mobilise it regularly to participate and communicate information on the evolution of the debate " (for the TGV Rhin-Rhône project: 2 700 000 were distributed);
- **public meetings** (TGV Rhin-Rhône project: 10 in different cities);
- **Internet web site:** to have information on the project and the organisation of the public debate (for the TGV Rhin-Rhône project: 6500 visits, 70 per day);
- **Visits** to the headquarters of the specific commission to consult more detailed documents on the project;
- **Question-answer system** (TGV Rhin-Rhône project: 2000 questions received);
- **Prepaid cards**: distributed with the information letters, to ask for further information;
- **mail:** for sending remarks, opinions or thoughts;
- **toll-free number**: to ask for information and questions;
- **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).

For more information, see Annex II.

5.2 Access to background documents and information according to Article 14 (1)

Article 14 (1) "*c) request, access shall be given to background documents and information used for the development of the draft river basin management plan.*"

As a minimum the background documents should include all the documents that are summarised in the river basin management plan (Annex VII). The Article 14 sentence above is referring to an additional right to information, a right that must be exercised via special application. The Directive does not specify to whom such application must be made. There may be one central information- and knowledge centre in a river basin and a national and/or

regional centres can be considered (in case of an international river basin). At least these centres should have access to background documents or information. The set-up of these centres and the procedures for providing access to information has to be decided on (see Annex VII A. 11) in the river basins. Background documents can be provided in the form of inventories of pressures and impacts on water bodies or details with regard to the programs of measures or more detailed information on implementation levels under the river basin district level (the public will ask "What consequences will the river basin management plan have for myself or my water uses?"). The Directive does not specify how quickly a request for information should be answered, but taking the Aarhus convention as a reference, one month could be advised.

The possibility of also placing background documents on Internet, and of making relevant reference, should also be considered. This will be a rather small effort, as relevant files have to be prepared anyway for inventories under the Directive.

The Municipality of Örebro's water management plan, Sweden (see Annex II)

Objectives Public participation
To fulfil the requirements for public participation under the Swedish Planning and Building Act of 1987 concerning consultation in the development of overall plans. 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.
Consultation was effected by organising seminars, information meetings and hearings and by circulating proposed land use plans for consideration by the parties involved.

The access that must be provided to background materials and information could be seen in connection with the Environmental Information Directive, its transposition into national law and the Aarhus Convention. The Aarhus Convention caused an amendment of the Environmental Information Directive (Directive 90/313/EC) and national laws will have to be harmonised with this amendment by the end of 2006. The materials and information referred to in the framework of Article 14 (1) 3rd sentence are all environmental information within the meaning of the information Directive (both definitions are extensive in scope and also include, for example, measures that could have an impact on environmental media). For this reason, transposition of Article 14 (1) 3rd sentence could employ a cross-reference to national environmental information law and its procedures.

Section 6 – Evaluation, Reporting results of active involvement, public information and consultation measures

Annex VII of the Directive requires that the river basin management plans cover *"a summary of the public information and consultation measures taken, their results and the changes to the plan made as a consequence"* (Annex VII.9) and *"the contact points and procedures for obtaining background documentation and information referred to in Article 14(1) (…)"* (Annex VII.11)

This requirement serves the information of the Commission in its role as "Guardian of the Directive", but can also be used as a tool to improve public participation in the next planning cycle. In that case, reporting is used in an evaluative manner, introducing a learning process. In this Section, both reporting and evaluation are treated.

6.1 Reporting

6.1.1 Why, what, who?

The Directive, as pointed out above, requires reporting on the public participation process. Reporting brings transparency into the public participation process, and gives feedback to the participants on what has happened with their comments. With respect to that, more than an *ex post* tool for supervision of the Commission over the Competent Authority, reporting is a tool for involving the public. Reporting therefore, should not only be directed at the Commission, but emphatically also to the participants involved before. It deserves consideration to report not only at the end of a participative process, but also during the process after participative activities (direct feedback). As stated in the requirements of the Directive, the whole process of participation should be described; from the way information is made accessible for stakeholders and the public, to the effect of the participation process on the River Basin Management Plan.

6.1.2 How?

The requirement from Annex VII, element 9 can be fulfilled by drafting a table with the measures taken and techniques used, the responses received from what sectors, and the implications of the responses for the River Basin Management Plan. It is recommended to take into account the reporting aspects on forehand, when designing a public participation process (this also has to do with 'management of expectations'; what do people expect to happen with their comments?).

It also is recommended to add quality indicators to the report, like:

- 'Facts and figures', description of the public participation plan (objectives and methods, who did you contact and why, how many reached, how many reactions etc.);
- Measuring of 'customer satisfaction' (how do participants judge the information supplied, the possibility to react, the actions following from their participation?);
- Comments per sector (did every sector react; implies stakeholder analysis);
- Proportion between resources for public participation and resources for the rest of the planning process.

The SDAGE projects, Reporting in the Adour Garonne Basin, France (see Annex II)

For each of the 10 French large river basins, a management plan has been produced according to the 1992 French Water Act, called SDAGE. In a modified form they will become the river basin management plan according to the Directive. The so-called Basin Committee is responsible for their initial elaboration. This Committee is composed of the representatives of all stakeholders and users in the River Basin District (about 100 members):

- 1/3 local elected officials (i.e. mayors, local communities)
- 1/3 users, consumers, NGOs
- 1/3 representatives of the State

The Basin Committee defines the management plan (SDAGE) and co-ordinates the coherence between SAGE Projects (management plans at the sub-basin/local scale). After three consultation rounds with 600 stakeholders and 1000 civil servants, a proposal for a river basin management plan for Adour Garonne Basin was finalised. The proposal was put out to a wider public for comments during 50 public meetings and finalised afterwards into a SDAGE, a river basin management plan, for the Adour Garonne Basin.

Reporting

- The comments of the first three consultation rounds are reported in a "registry of comments" which is publicly available;
- Three documents will be published: the final river basin management plan (110 pages), an executive summary (25 pages) and a 4 pages leaflet. The information will be available on a website and can be downloaded from there. Background information is available on demand;
- Every year the Operation Board (under the Basin Committee) publishes an annual report including an executive summary and an informative leaflet, describing the progress of implementation of the plan;
- The SDAGE was made available to the *general* public only after its approval.

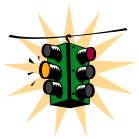
6.2 Evaluation

6.2.1 Why, what, who?

Evaluation can improve the quality of the public participation process. Evaluation has been defined as "a process of assessment which identifies and analyses the nature and impact of processes and programmes" (Interact 2001). The essential purpose of evaluation in the context of participatory processes is therefore to assess what they have achieved. Achievement can be assessed against both qualitative and quantitative criteria. And evaluation can examine how particular participation methodologies worked and if they worked well or not. In this way, those involved can assess the "worth" of the exercise, and how things may or may not be done differently in the future. It is vital from many viewpoints that an evaluation is carried out. Not only from the viewpoint of participants who have invested time and effort but also from the viewpoint of the organisers and (if different people) those that have funded a process.

In an ideal situation both competent authority (the organiser of the participation) and participants are involved in the evaluation. Not only to hear from the opinions of participants and stakeholders, but also to include them into the learning process. Further, it is recommended to draft evaluation from the start into the design of the public participation process. On the one hand, objectives should be drawn up in clear terms that actually can be

evaluated, and on the other hand, evaluative steps can be build into the participative process in order to 'keep track of the process' and introduce improvements on the way.

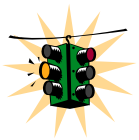


Look out! Evaluation should not be an afterthought
The needs of evaluation should be built into the design of the participation process from the beginning

6.2.2 How?

First: take into account the evaluation aspect when designing a public participation process. This already starts with explicit objectives (preferably quantified), together with timetables for their achievement, included to provide benchmarks against which progress may be assessed. The use of a common framework for evaluation can help ease of comparison where participation has occurred in several places within a river basin.

Outcomes are one of the hardest areas to assess and often outcomes can develop over time and it was too early to evaluate them fully. Outcomes can also be tangible in terms of hard outputs or intangible in terms of process and both are valid reasons for doing participation.



Look out! Evaluate on the basis of the objectives
It will be essential to evaluate public participation against set objectives and review it as the process progresses and plans and programmes are written

A quick evaluation sheet for specific events can be useful and an evaluation form could include questions like:

- Your role/how did you become involved;
- What do you think were the aims of the activity?
- What effect has your contribution made?
- What effect has the activity had on (physical environment, local economy, local organisations)?
- Was the activity worthwhile?
- Ideas for improvements;
- Advice to others holding similar events.

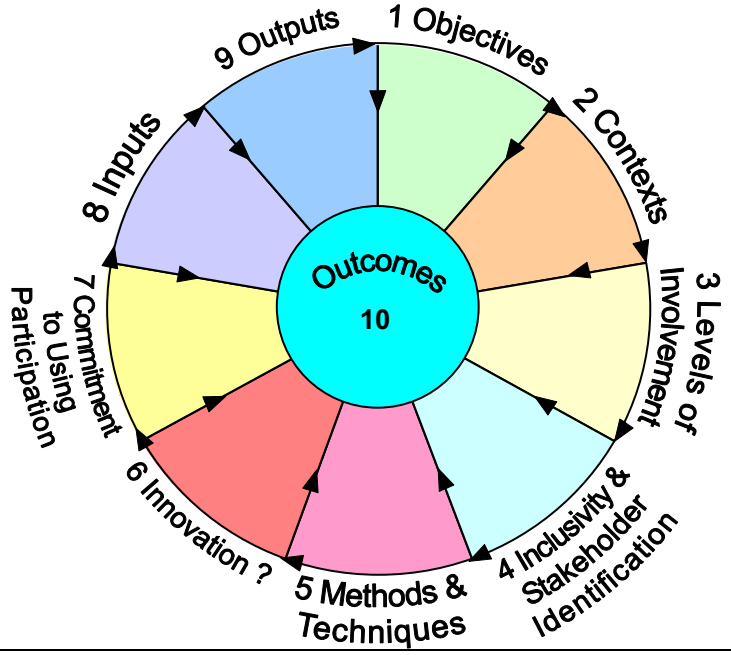
As with most of the issues surrounding participation, there is no right or wrong way to conduct evaluation and the key is to be as inclusive and flexible as possible.

A Framework for evaluation of participation

The following is one suggested basic summary sequential 10-point framework within which to approach the evaluation of the use of various participatory processes within a project or planning process.

Essentially this framework aims to evaluate both the participation 'process itself and the impacts of that process'. It is an adaptation for the EU Wise Use project of work done by Interact – (see references to this Guidance). The user would consider the headings for evaluation starting at 1 – the objectives of the participation and work round through headings 2- 10 culminating in consideration of number 10: the outcome of the participation – that is what was really achieved. Based on evaluation public participation processes and methods may then need to be reviewed.

Summary Framework for Evaluation of Participatory Processes



6.2.3 Evaluation principles:

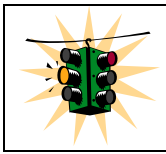
Principle: Try and incorporate time and resources for evaluation of participatory processes into the decision making process itself.
Principle: Carry out evaluation where possible throughout a process, not just once it is completed so processes can be revised and reviewed.
Principle: Make evaluation as inclusive as possible by involving a range of stakeholders (e.g. funders, project staff, participants)
Principle: Use evaluation frameworks where appropriate but also be flexible and allow for other, perhaps less formal evaluation methods.
Principle: Be aware that evaluation will reveal tangible results (e.g. product orientated) as well as intangible ones (process orientated).

Section 7 – Developing a Learning Approach to Public Participation; A key to success

The previous Sections have shown the importance of public participation in the implementation of the Directive. This Section aims to stimulate the reader to contemplate an intended public participation processes. Several factors are highlighted which should be considered for the benefit of the public participation process, but are not prescribed by the Directive. The factors mentioned here could sometimes make the difference between success and failure. Although the text of the Directive does not explicitly require an active participatory approach, the implementation of the Water Framework Directive should be done **together**. The future will also require a more inter-sectoral approach and a broader view on water management, crossing established boundaries and watersheds.

A willingness to improve, trust, transparency and a positive attitude to the process of implementing the Directive in conjunction with other stakeholders and members of the publicis essential for success. Each can learn much from the others. Such a learning approach has increasingly gained attention in, for example, larger commercial companies, which, on the one hand, have to constantly adjust to new expectations and demands of the market, while on the other hand, have to re-organise themselves and adjust their capacities accordingly. Active involvement of the public is indeed comparable to such a situation and subsequently calls for a more dynamic approach to participation and self-understanding among water management authorities.

While many examples have been used to illustrate practical ways in which participation can be undertaken, this Guidance cannot hope to encompass the variety of situations, which will be encountered over the next decade or more, as the Directive is implemented. Yet it will be necessary for competent authorities and other stakeholders to be able to respond to these challenges in a way, which is consistent with the spirit of the Guidance.



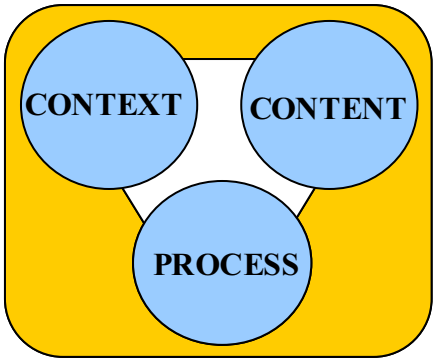
Look out! A dynamic and learning approach will pay off in the future
All, public, stakeholders and competent authorities, at any level, will benefit from increased communication, accumulation of knowledge and sharing of each other's experiences. Lessons learnt in the past will be valuable input for the future.

This Section draws attention to the factors, which underpin a learning approach to participation with three aims in mind. First, to *raise awareness* amongst competent authorities and other stakeholders that there is a need to develop approaches to public participation, which are tailored to local conditions (here 'local' even means the customs and traditions of an international River Basin District). Second, to enable the competent authorities to review and assess their own and others' *current approaches* to public participation. Finally, to enable the competent authorities and other stakeholders to begin to develop a *learning approach* to public participation.

A learning approach means that competent authorities and other stakeholders collectively take responsibility for creating the necessary conditions so that public participation becomes

a way of learning about each others perspectives, views and knowledges, thereby providing the basis for negotiation between stakeholders about how best to implement the Directive.

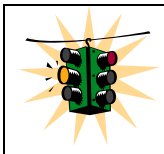
The following Sections illustrate some of the factors, which competent authorities will need to be aware of to assess and inform their own current practices and provide a basis for developing new approaches to public participation in the future. These factors can be grouped under the headings '**context**', '**process**' and '**content**'. Each is explained in turn.



Factors influencing the public participation process grouped in three main groups.

7.1 Context factors

Context refers to the **existing conditions or circumstances** in which the approach to public participation is being developed, since there will always be a 'history' of environmental management before the implementation of the Directive. It is impossible to describe the context of public participation in advance since there will be considerable variations between member states, over time, at different locations and scales and so on. However, the context can significantly influence public participation in terms of process design, content of discussions and outputs. In some instances the context may mean that it is inappropriate to initiate public participation without some change in existing relations between stakeholders. It is therefore necessary to be aware of the starting conditions if processes of public participation are to be successful.



Look out! Existing conditions 'set the scene' for public participation
These conditions evolve from a historical and local context regarding:

- Political culture of decision-making;
- Culture of stakeholder involvement;
- Organisational or institutional practices;
- Budget and resources;
- History of previous attempts to engage stakeholders;
- Environmental conditions;
- The scale of the project.

The strength of a good process is **to recognise the context** in which public participation is being developed and to realise that it may require competent authorities and other stakeholders to accept the need for some or all of the following **changes**:

- Changes in attitude of public authorities to the environment and other stakeholders;
- Organisational changes;
- Political commitment and resource allocation;

- Capacity building and representation of stakeholders;
- Reaching beyond stakeholders to individual citizens and enterprises;
- Demonstration projects to build trust and to learn from experiences.

These factors are explained in more detail.

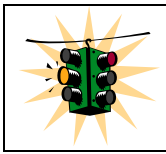
7.1.1 Change in attitude: stakeholders as partners in water management

Many government authorities have realised that the "command-control" resource management systems prevalent in the 1960s and 1970s have had some significant environmental consequences. Sharing the management of natural resources with the people that depend upon them for their livelihood, can help to make their management more sustainable, more efficient, less expensive, and more socially acceptable.

This shift means that the competent authorities may have to change their own organisational perspectives on the value of involving stakeholders in the process of decision-making and implementation. Dominating behaviour by authorities may inhibit participation, while an attitude where authorities realise they need to listen to knowledge, insight and solutions of their partners (stakeholders) in order to be able to provide high quality RBM plans encourages it. For those in powerful positions to adopt a non-dominating, learning attitude may even entail personal change amongst staff. This implies that water managers need to be technical experts *and* process managers. Adopting an attitude, which begins by defining water problems as human problems rather than technical issues, is a good way to begin to appreciate perspectives of other stakeholders.

As a simple way of revealing current attitudes to public participation, we invite reflections on the following questions:

- Why does your organisation (want to) engage in public participation?
- How is this achieved?
- With what results?
- To what extent have either the process or outcomes changed you or your organisation in any way?



Look out! Listen and be open minded
Public participation will not be successful if competent authorities and stakeholders do not respect, listen and learn from the views and perspectives of each other so that over time they become partners in the implementation of the Directive.

7.1.2 Organisational changes

Since public participation often requires a different working approach by competent authorities, it follows that a number of organisational changes may also be necessary. At the most basic, it may be necessary for the competent authority to :

- **Review its current organisational structure** to determine the level and focus of public participation at present and the extent to which its current organisational structure encourages or constrains public participation in decision-making;
- **Review the skills, experience and competencies of staff** to assess whether the competent authority either currently has the competency to engage in processes of public participation or whether it may need additional training;
- **Review the current budget and resources allocated to public participation.**

The need for an organisational review of competent authorities and the findings of the review will vary across the different member states. A review should really be considered since it is often too easy and too simplistic for one organisation to assume that it is *other* stakeholders that need to change when there is conflict. Equally, a review will encourage the competent authorities to determine training needs for staff that may have limited experience of public participation.

The process of public participation may also affect the organisation's practices. These may require the competent authority to ensure some or all of the following become part of the organisations 'way of doing things':

- **Making the results of the planning process more open-ended** (depending on new insights, knowledge, ideas for solutions). Active involvement is characterised by more open-ended processes. Active involvement is by its nature more uncertain and unpredictable in terms of content, scale, financial cost and time;
- **A flexible approach to the contributions of stakeholders**. The timing and tempo of stakeholder involvement may change throughout the process. The competent authority may have to make allowances for this;
- **A flexible approach to financial planning**. As decisions are made in partnership with other stakeholders, there will need to be some provision for open budgets (i.e. not earmarked to certain measures before hand);
- **Retaining a local rather than organisational perspective**. Public authorities working within a certain sector and or institution inevitably orientate towards their own obligations ands objectives and the delivery of these become the key concern. It is important to ensure that the local, broader context is not forgotten. 'Local' in this sense are also the habits and traditions within an international River Basin District.

The challenge of all types of organisations will be to handle these changes. Changes in procedures and structures take their time. However, in the meantime the change in attitude and skills of the motivated employees, actively supported and resourced by senior level management, will help in finding "room for change" within the existing organisational and institutional context.

7.1.3 Political commitment

The starting point for embarking on a participatory approach is a commitment at political level. This commitment has to be based on an understanding and awareness of the new obligations and why active involvement is not only beneficial but also necessary in order to deliver the anticipated water quality objectives as a significant part of promoting sustainable development.

In this regard, political representatives need to be aware of the following:

- The aims of public participation in relation to the development and implementation of the directive;
- The nature of participation, its implications and whether it compliments or replaces previous practices;
- The potential of stakeholders' contribution to water management;
- The need for political commitment to the process *and* the outcome;
- The role and timing of formal decision-making in the process and hence the particular contribution of political representatives;
- Means to reach beyond organisations and institutions to individual citizens;

- Possible consequences of the process. For example will changes in water pricing be more or less acceptable as a result of public participation in the decision-making process?
- Water management is no longer the sole responsibility of government authorities. Network organisations are needed in which government organisations work together with NGO's, business enterprises, interest groups, and experts (universities);
- The commitment from the politicians needs to be transformed into concrete resource allocation ensuring sufficient staff, budget, mandate, ambitious public participation objectives and internal training.

The **Danube River Basin** takes up approx 1/3 of the surface of Europe. Within this scale, linking local and international levels constitute a major challenge. The international cooperation takes place within the framework of the Danube River Commission ICPDR). **(see Annex II)**

Stakeholders e.g. NGOs can apply for observer status to the Commission, which implies full participation, no voting rights. A large number of smaller (national and local) NGOs are connected with this through co-operation platforms, notably the Danube Environment Forum (Assembly of NGOs), and other networks such as the Global Water Partnership CEE. The GEF-financed Danube Regional Project supports the Danube Environment Forum (DEF) by financial means, hereby enabling the NGO-participation in practise.

DEF is an NGO platform with combined local and regional structure, established in 1999 to promote NGO participation in government fora, programmes and initiatives. Within this context, the NGOs have been able to contribute e.g. as follows: facilitating dialogue on trans-boundary River Basin Planning, participating in the establishment of ICPDR Expert Group on River Basin Management and WFD Implementation, development of Issue Paper on WFD and Public Participation, ensuring NGO and public participation in the Danube River management and co-ordination through DEF, providing concrete, local cases for the ICDPR discussions.

7.1.4 Capacity building and representation of stakeholders

To take the steps from some degree of "consultation" towards "active involvement", whatever shape it may take, will be a challenge for the competent authorities and other stakeholders. As noted above, an organisational review will help identify whether those involved (whether the competent authority or any other stakeholder) in the process have sufficient capacity to engage in public participation. The capacity to engage could be dependent on resources, availability of experienced and qualified staff, their knowledge of the situation (e.g. what happens down-stream) and the extent to which those involved are willing to acknowledge the potential for change in the management of the water issues under consideration. This will mean that participants will have to be willing to take co-responsibility for decisions, which emerge from the participation process.

Providing stakeholders with improved access to information and decision-making, will also oblige them to take shared responsibility for utilising their networks and communication channels. Their members and associates should be made aware of some of the implications of the Directive and possible consequences of its implementation, for example about the Programme of Measures.

For example, business sectors that are further involved in the decision-making, and are eventually presented with demonstration projects aiming to identify appropriate water management solutions, will have an obligation to inform their members and encourage them to adopt a new approach to water use. For companies, an analysis of their situation and interests with regard to water management could include questions on the following issues:

- Current water use;
- Current pollution levels/recent pollution permits;
- Current measures to reduce/prevent pollution or other pressures;
- Relative cost levels on water use and wastewater services;
- Current incentives / legislative framework for water use;
- Degree of subsidises in the production process;
- Experiences with EMA / code of conduct / good agricultural practices;
- Awareness level and knowledge of the river basin, particularly down stream.

Equally, NGOs usually have intermittent problems financing their work programmes. Often they depend on various funding schemes offered by national or international donors. These schemes will become particularly relevant in situations where the competent authorities request participation in water management bodies. This problem is particularly relevant for local NGOs and regional branches of national NGOs, being less experienced and having less resource than the central offices, with often only voluntary members.

It will be up to the competent authority to determine how its own organisational approach to public participation can help other stakeholders overcome some of these and similar problems to build the capacity among a wide range of stakeholders to progress the issues. In some cases it may be appropriate for the competent authorities to provide, for example, secretariat support to stakeholder networks, to make information widely available and perhaps to offer training events on specific aspects of the Directive. Equally, the possibility of stakeholders informing and providing 'training' to the competent authority should not be discounted. Capacity building will be a two-way process.

7.1.5 Reaching beyond organisations to the individual citizens and companies

A significant part of a participation strategy should be prioritised to consider reaching beyond organisations and institutions to individual citizens. A large part of the water use as well as water pollution is generated at the level of single households, dispersed settlements, individual companies and agricultural units.

Reaching beyond organisations to individual citizens and companies is crucial for water management, due to the large share of water use and water pollution held by individual households, dispersed settlements, small and medium enterprises and small agricultural units.

7.1.6 Demonstration projects to build trust and to learn from experiences

Demonstration projects will help evaluate and demonstrate the success of public participation in the water management sector and offer the potential for all stakeholders to learn from practical experience. Competent authorities should be encouraged to initiate such projects. These projects could have a wide range of aims:

- Through a "don't talk about it - show it"-approach, to convince target groups to embark on new, different practices with regard to active involvement;
- To create win-win situations: active involvement gives stakeholders the possibility to influence the implementation process with regard to their interests, while the competent authorities will achieve a more widely accepted implementation.

Reducing water consumption in the Graphic Sector, Denmark (see Annex II)
The objectives are:

- To involve stakeholders in the set-up and implementation of demonstration activities;
- To make them "ambassadors" of the new water consumption practices, by showing results and its impact on sustainable water consumption.

The Danish Environmental Protection Agency unit for cleaner production consultancy company, selected companies from the Graphics Sector. The Graphics Business Sector Association were 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. 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. 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 get input on how to establish a feasible planning and incentive framework.

7.2 Process Factors

'Process' refers to **the ways in which stakeholders participate** in the implementation of the directive. This is not limited just to the 'delivery' of the directive, but includes the process in which stakeholders engage with each other to negotiate on issues of concern, possible actions and to determine how implementation can be best achieved. Experience has often shown that the quality of the process determines whether wider support for actions and measures is forthcoming.

The quality of the process is dependent on the principles which inform its design. It cannot be overstated that **trust and transparency** are fundamental to mobilising stakeholders to engage with each other and to take on shared responsibility beyond their own immediate interests. The difference between being partners in water management and opponents often rests on a lack of a trust, suspicion of hidden agendas and lack of a co-operative climate for creative solutions. The participation process should encourage:

- Trust;
- Openness;
- Transparency;
- Honesty;
- Respect;
- Inclusion;
- Positiveness.

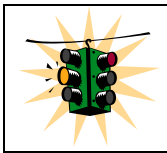
Translating these principles and using them for the design of a participation process is not always easy, since there are many stakeholders, new situations emerging and many aspects of process which need to be considered. However, practical experience suggests that a number of common factors, relating to process design and performance, are key issues for consideration by competent authorities and other stakeholders.

In summary, **processes for public participation should be characterised by some or all of the following:**

- Early involvement of people in setting the terms of reference;
- Developing co-ownership of the process design;
- Opportunities for learning between stakeholders;
- Mutual respect;

- Flexible and 'open' process;
- Iterative and continuous evaluation;
- Independent facilitation;
- Ongoing.

The above list does not include specific recommendations as to *how* to enable opportunities for learning, for example. This is because there is no one method which will work for all in all situations.



Look out! Challenges in the process
The challenge for the competent authority is to take these factors into account while developing and organising the process of public participation in conjunction with other stakeholders.

7.2.1 Early involvement in setting the terms of reference

This is an important consideration and should not be overlooked by competent authorities since one of the most common causes of problems in participation occurs when stakeholders feel excluded from the aims and design of the process. Involving stakeholders in setting the terms of reference can help to build trust and establish dialogue between different interest groups from the outset. The terms of references for the process might include agreement about the following:

- Objectives of the process;
- The general scope of the process;
- The range of stakeholders who are likely to be interested;
- Expectations of those involved;
- Communication protocols;
- Financial resources and allocation;
- Organisational support and contributions as required;
- Timescale and timetabling; and
- The contribution of the process and its outputs to formal decision making.

It is important to remember that the terms of reference can be modified as conditions change, the process gets underway or as new stakeholders are involved for example. This is particularly true of the process objectives, scope and participants.

7.2.2 Developing co-ownership of process design

As with setting the terms of reference, it is important that competent authorities explore with other stakeholders how best to proceed with public participation since there is no single design for participation which will suit every situation. A process based on co-development and co-ownership is likely to build trust, attract greater support from stakeholders and create a mutual willingness to make the process a success. Co-ownership also tends to ensure that the process is more suited to its purpose and maximises the skills and capacities of those involved. It will therefore be necessary for competent authorities to guard against presenting a pre-determined approach without an equal opportunity for participants to contribute to the process design.

7.2.3 Opportunities for learning between stakeholders

The design of the process should help to create opportunities for learning between stakeholders. This goes beyond simply presenting information (such as a lecture or

presentation), which tends to be one-way rather than two-way communication. Instead, the design of the process should seek to encourage active dialogue between participants. In some instances, simply the act of bringing people together for the first time results in new insights about the different perspectives, aims, successes and problems of each other's work. This can develop into regular meetings of stakeholders to help establish new partnerships and help alleviate problems before they arise. While dialogue to develop understanding and enable learning between stakeholders is important, the process has to be more than a 'talking shop'. Experience and research suggests that stakeholders are highly motivated by achieving results 'on the ground'.

7.2.4 Mutual Respect

In many instances, stakeholders are not always in agreement with each other and differences of interest and opinions can often be entrenched. The process should encourage stakeholders to respect each other's views. Independent facilitation is often useful in these instances. For some, including competent authorities, this will not be easy to accept particularly if previous encounters have been marked with hostility and strong disagreement. Nonetheless, a learning approach to public participation will only succeed if there is an explicit acknowledgement of difference *and* a commitment to exploring the nature of that difference to identify possible common ground and agreement on how to proceed. The differences are often expressed in a variety of ways such as: disagreement about what the problem is (the identification of the problem); the kinds of information which are considered acceptable (scientific and non-scientific); and ways to proceed and the likely consequences of particular causes of action. The competent authority is likely to be in a central position here and should work to ensure that the invitation to participate and the process of participating builds a sense of mutual respect among all stakeholders by valuing the diversity of interests, views and opinions.

7.2.5 Flexible and 'open' process

This design factor is an important reminder that all stages of the process cannot be pre-determined. A flexible approach to process design is more able to accommodate change and learning as stakeholders engage with each other over time. Equally, an 'open' process is part of building trust between stakeholders. If the process is too rigid and constrains discussion then stakeholders are likely to withdraw support. In agreeing to participate, all stakeholders, including competent authorities, are under an obligation to listen and take note of others concerns. This may mean altering the process design over time.

7.2.6 Iteration and continuous evaluation

Iteration is about inviting participants to review the process, to reflect on what they have achieved so far and whether changes are needed to either process or content. It is part of the continuous evaluation of the process so that learning is incorporated into the process *immediately* and can inform current (rather than just future) ideas, negotiations and so on. This can be very effective, for example, where a new understanding emerges between stakeholders (such as a redefinition of the problem) and shifts the basis of participation onto a new level. Building continuous evaluation into a process can be as simple as identifying time for reflection at any stage – this creates a space in which participants can review what has occurred. The important point is that evaluation is not only just about an ex-post assessment or an evaluation of the outputs. It should be an on-going process.

7.2.7 Independent facilitation

This design factor is not always appropriate since some types of participation are not facilitated. However, independent facilitators can be particularly beneficial when relations between stakeholders are difficult and there is a lack of trust or respect between participants. Using a neutral third party can also help avoid concerns that the competent authority might dominate debates and agendas. Allied to this, it may be necessary for meetings to be held on 'neutral' territory. In any event, consider rotating the location of regular meetings between the different participants. This can keep ideas 'fresh' and new insights and understanding can be gained just by visiting offices of different stakeholders.

7.2.8 Ongoing

While large-scale one-off events have their place in participation, too often they either fail to have a lasting impact on the issues or they fail to generate large-scale ownership and commitment to act. Experience suggests that smaller scale, *ongoing* processes tend to provide more opportunities for stakeholders to establish trust and understanding between each other and are more likely to generate long term momentum. It also ensures that stakeholders who cannot make one particular meeting because of time pressures are not excluded, as they would be if the meeting was simply one-off.

7.3 Content Factors

Many of the **factors relating to content** are closely linked to the design of the process to the extent that many experienced practitioners of public participation often pay more attention to getting the process 'right' in the knowledge that the 'content' tends to follow naturally. As with other parts of this Guidance, it is impossible to be specific about the content of participatory processes. Even so, it is likely that the following factors will be important at some stage in the process:

- Valuing diversity of knowledges;
- Evidence, proof and uncertainty;
- Reporting and communication.

7.3.1 Valuing diversity of knowledges

As more stakeholders are involved, so the diversity of their experiences, views and knowledge is likely to increase. It is important to be aware of, and value, the different types of knowledge which stakeholders draw upon. These might include, for example, scientific expertise, and situated non-expert knowledges – often from stakeholders who live and work in the locality. It is important to realise that expert *and* non-expert knowledges can contribute to a better understanding of the root causes of the problem and lead to a more informed and relevant plan of action. Experience in the water resource sector has shown that generic 'expert' solutions have often been inappropriate for local conditions and have had unintended negative effects. Many of these could have been avoided if scientific expertise had been combined with local knowledge and experience. This is not least likely to be case with regard to defining the reference conditions, where knowledge on historic conditions - being equally distributed with authorities and other parts of society - may turn out to be of crucial importance, e.g. previous physical appearances of rivers and wetlands.

7.3.2 Evidence, Proof and Uncertainty

While valuing diversity is important, it can also create problems for determining what is accepted as 'evidence and proof'. Some stakeholders may insist that only 'scientific' evidence is acceptable as the basis of the decision-making process. Others might want to fill in gaps or qualify this information with their own personal experiences and observations. However, there will be many occasions where no scientific information is available or where considerable uncertainty exists either about the resource base of the consequences or of intended courses of action. There is no easy answer how to proceed under these conditions. However, if the process design is robust, then debates over uncertainty can be aired and decisions taken with this in mind. We suggest that competent authority should try to ensure that decisions are based on all the available evidence by accepting that non-scientific information can be a legitimate form of knowledge about the environment and can be used to compliment and inform expert opinion. In conditions of uncertainty, it will be necessary for the degree of uncertainty to be made explicit.

7.3.3 Reporting and communication

Non-technical summaries, which reflect the perceptions of the stakeholders and the broad public, are important in the reporting of the process. This also includes providing non-technical summaries of the RBD analysis for the local catchment situation. Thus, local stakeholders will be able to identify themselves with specific situations.

7.4 Conclusion

The preamble of the Water Framework Directive includes a very clear statement: active public involvement is most likely the key to success with regard to achieving the desired water quality objectives. This statement reflects several years of accumulated European water management experiences. In simple words: the water users and water polluters need to be turned into part of the solution, not being left outside the considerations as part of the problem. This Guidance has presented a range of recommendations on how to ensure active involvement. It is important, however, to take into account that no blueprint solutions can be provided. Each River Basin District has to find its own way to handle this, taking into account the prevailing cultural, socio-economic, democratic and administrative traditions. Careful planning, e.g. stakeholder analysis, is a particular recommendation, but each competent authority has to accept that a dynamic and learning process based on "trial and error" is the challenge to embark on. Experience show, however, that given sufficient time, it will pay off in the long run.

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. 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 they will be affected by the subject (victim, gainer) or because they have 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.

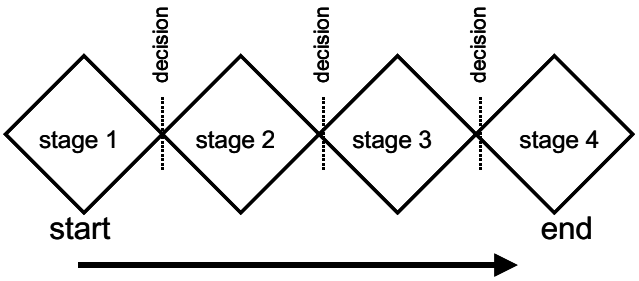


Figure 1: A process represented in diagram form

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).

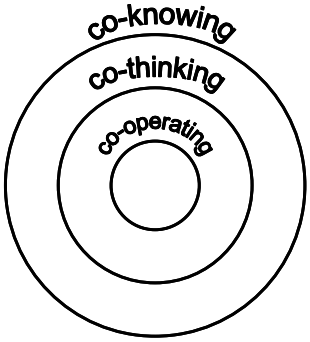


Figure 2: Target scheme to identify degree of involvement of stakeholder

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.

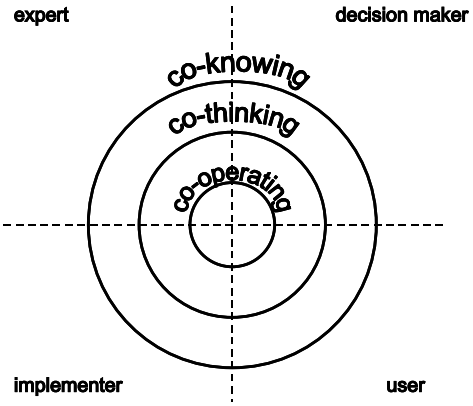


Figure 3: Refined target scheme to identify degree of involvement and type of stakeholder

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.

[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.

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:

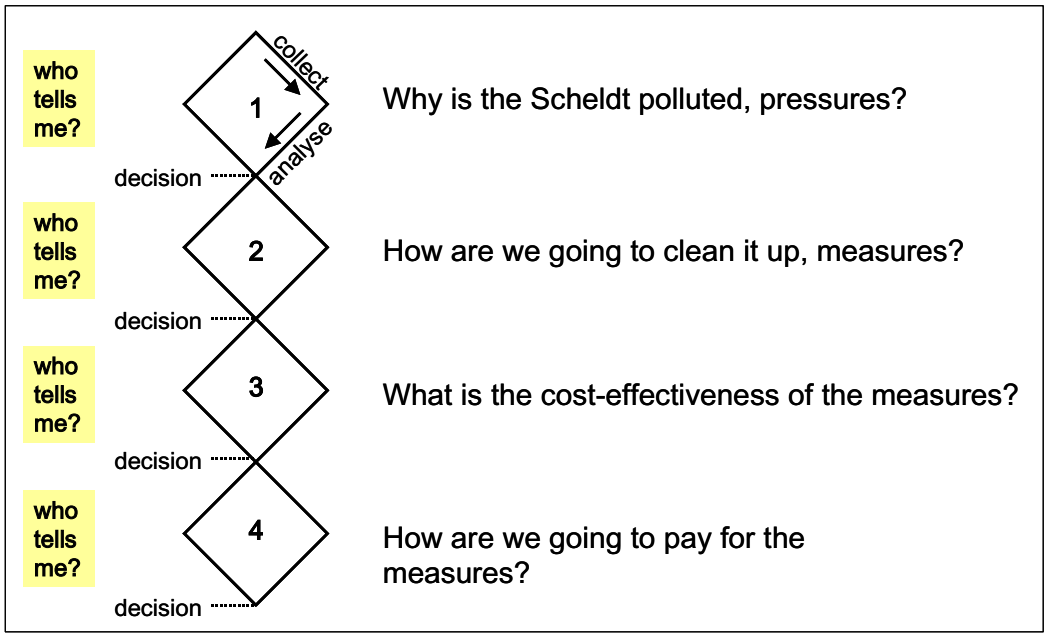


Figure 4: Different stages of a process concerning the pollution of the River Scheldt

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.

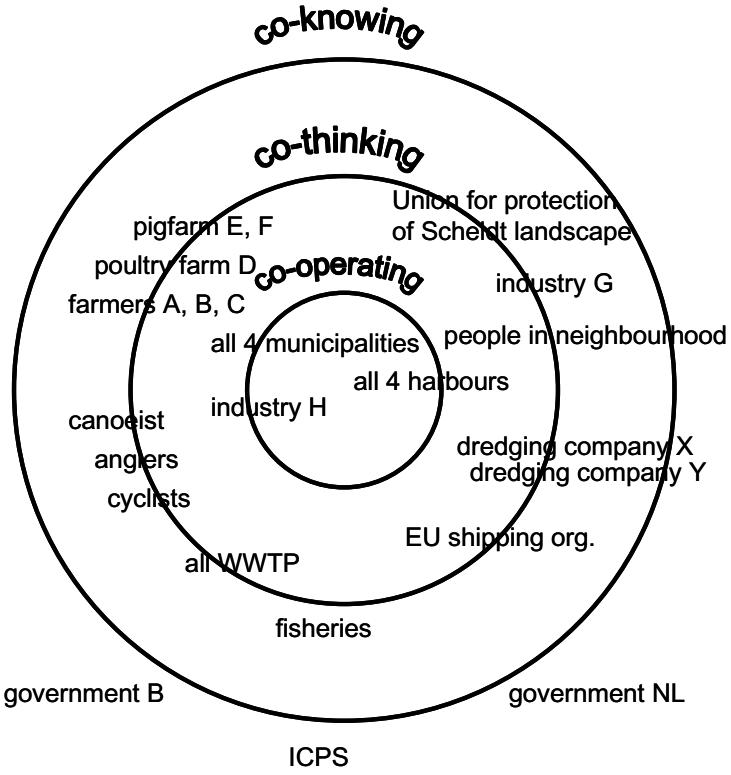


Figure 5: Target scheme with stakeholders who can tell about the pollution of the downstream part of the River Scheldt

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 these 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 quite far along by indicating the relations between and within the subjects. The analysis phase will require more or less arranging 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 arranging 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 be made for the remaining items, with or without the public, but need to be authorised in all cases 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 more 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, summarising 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 emphasise 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 organising 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 during the early stages of the route, and 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 a working document which can help in providing an overview of all communication activities. Naturally a flexible process also demands flexible communication: a continuous alertness for developments within the project which make communication possible or necessary.

Amplification

The basis of the planning schedule (see Figure 3.1) is the classification of the actors into their category of involvement. At this stage the actors are grouped into four main catagories, all of which 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 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 to give continuous back-up of the process steps.
Means: interviews and workshops, newsletters, comment rounds, etc.

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

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

Along the vertical axes in Figure 3.1 the steps of the process are 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 for each group (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 plan for each means of communication.

Tips

Appoint one member of the project team to be explicitly responsible for the communication
Adjust the grouping of the actors at the start of every new step in the process. It may be possible that a specific actor has been interviewed during the inventory phase, in this case they need only be informed at a later stage. On the other hand it is possible 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 should remain at least as a 'co-knower'. Radio silence (no feed-back, no response) appears to be an awful let down for actors in interactive processes.

Make use of as many existing communication channels as possible, such as existing consulting networks, internal newsletters, intranet site, etc. An additional newsletter may lead to an overload, while a small article in existing and well-known newsletter may be more appropriate.

It will be possible to set a number of broad communication channels, such as a general brochure, intranet site, a universal report cover, etc. On the other hand, be careful not too widely distrubute reports, anthologies, P&C analyses, etc. It is advisable not to send these kinds of reports to all co-knowers, but enable them to see to a summary. An excess in information will bring the opposite result.

The project team must always be available to respond to questions and suggestions and this interactivity must be done in a transparent way.

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 recognisable. However, always consider the (substantial) costs versus the benefits. And remember the house style of your own organisation!

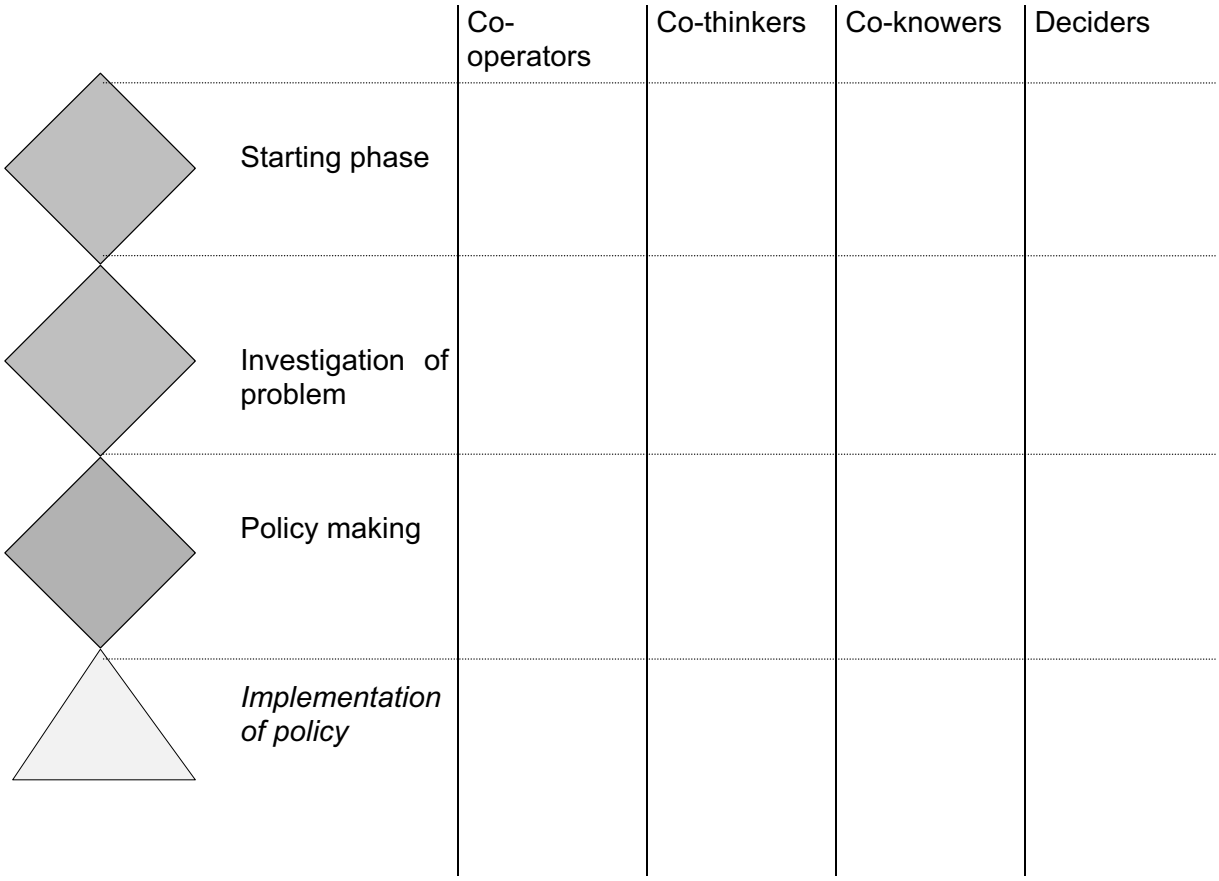


Figure 3.1: Important steps in the policy making process and the involvement of the different categories of actors

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, discussion groups.

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 organise 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.

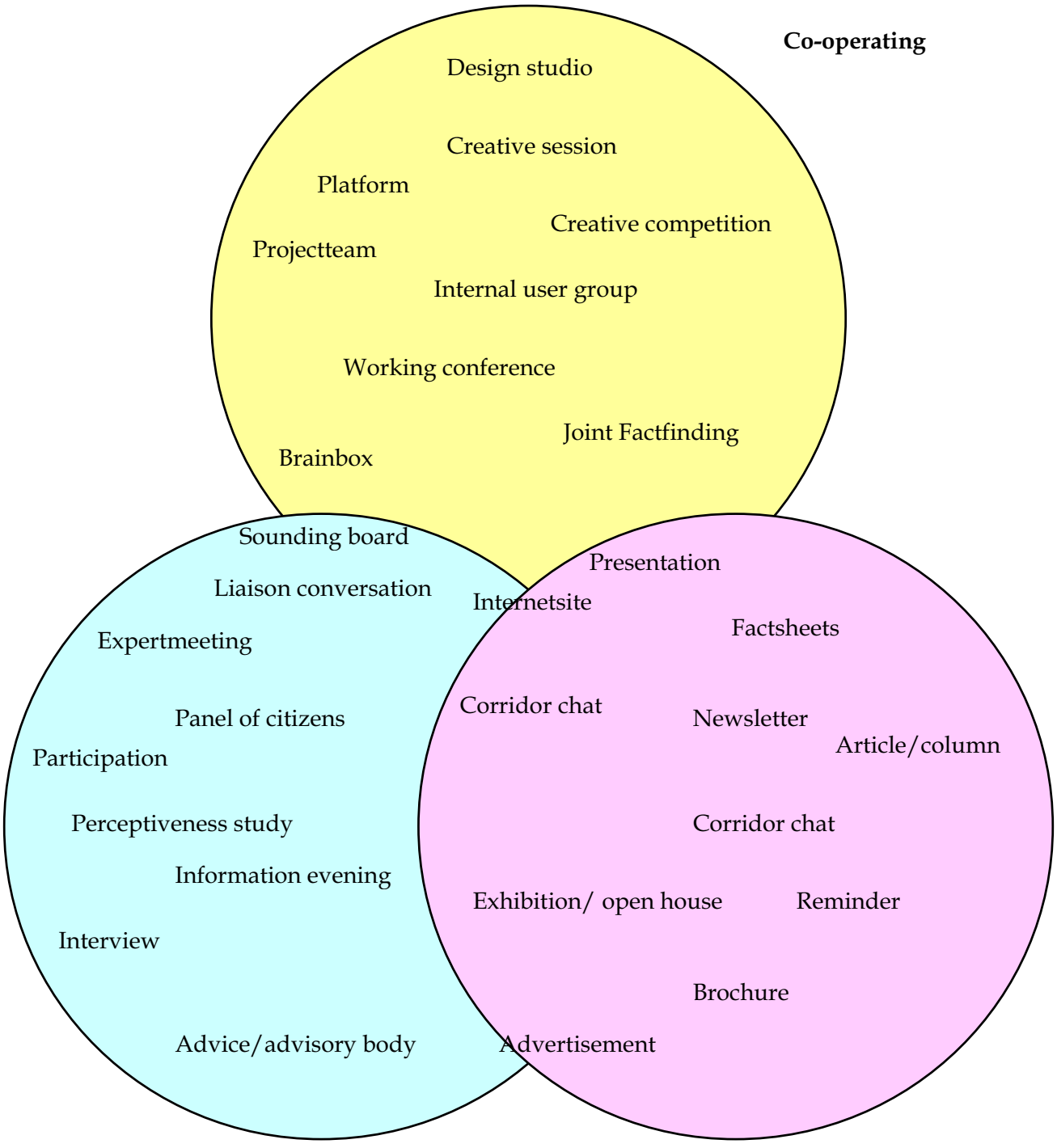
Tips

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.

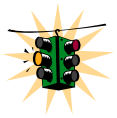
Do not 'forget' people: once communicating means to continue communicating.
Always provide minutes after a meeting, in which is stated what will happen with the results.
Read also the infosheets in this Annex on Communication Planning and Preparation of Workshops.

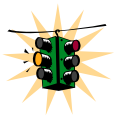
Stain chart for forms of interaction and communication

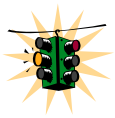
To put into action the different communication means is no hard core science. By presenting them slightly different a co-thinking day can transform into a co-operating day. Often these means are close to each other. The following arrangement gives broad outlines. All means can be found in alphabetical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

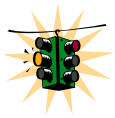


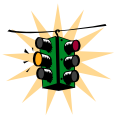
Interaction and communication ABC

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 signalise 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, and e-mail address.
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	Establish groups comprising people with different backgrounds. These groups look for innovative solutions in the policy making stage while "competing with each other". This method allows for retaining wider creativity over a longer period due to the different backgrounds. People seek a compromise and a range of different perspectives which prevents the drop-out of solutions in an early stage . (Groups of people of the same background would most likely strive to a uniform solution from the outset).	
Creative sessions	Formulation of groups to find and select solutions. See Section in Annex I "Creative sessions".	
Design studio	To work in small groups (max 5 p.) to elaborate solutions. "Informal" version of creative competition (see above).	
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 telephone number.
Expert meeting	Meeting for collection of the 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.	Mobilising several experts and finding a date for the meeting can be difficult, invite far in advance. Participating experts can be (business) competitors and may 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 summarised 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.	Possibly requires repeated publishing. It would be good to receive feed-back on the factsheet from the relevant people. However this technique does not offer this possibility. The message should contain tailor-made information, reflecting the needs of the recipient. Always indicate a contact person.
Information evening	Provision of a meeting point to enable 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-depth 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 computer network or internet. Participation is made easier. The discussion can be protected against other internet users.	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 announce these actions. Discussion group can be a good preparation before a meeting.
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. Co-ordinated by initiator with scientific quality check.	

Technique	***Description***	***Look out !*** 
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 citizens by means of group interviews, in which the project team/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.	
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 have come to make a presentation (informative, to probe opinions and what are you going to do with it? will it be used in decision-making?)

Technique	***Description***	***Look out !*** 
Project team	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. Is it 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[3]

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

[3] 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)..

TOOLS AND TECHNIQUES Categorised by main support and by aim or method.	**PHASES OF THE PARTICIPATION PROCESS**				
	Starting Organisa-tion	**Actors analysis context**	**Diagnostic of the current situation**	**Search of solutions**	**Implement-ation, evaluation**
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 tools

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

Some tools result from many years of experience. This can be considered as a quality proof. Firstly a range of techniques and tools which are quite classical but which have proved themselves (numerous implementations, often positively judged) can be used (or testsed).

Anothergroup to take into account comprises emerging tools, which are based on communication technologies, such as the 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 for the implementation of the WFD (art 14)..

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 undertake 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. The following text provides some tips on how to carry out the interview.

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 gathered in an anthology, on the basis of which a problem- and cause analysis is 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 is this the desirable situation?
- 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 this situation it would be best to rephrase the question. However the essence (developments, bottlenecks, causes) of the question must always be maintained.
For example:
- Think of developments, both long andshort 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, together with a number of others, will take the interviews themselves. The number of interviews depends of the outcome of the actor's analysis, but can vary from 15 to 100 interviews.

The preparation

Determine – by means of an actors inventory and analysis – which actors are the "co-thinkers". Regular summaries will bring structure to the conversation and helps the listener to check their understanding.

Send invitations in which the motive and the target of the conversation are mentioned:
- inform about the content of the conversation, but not about the actual questions;
- make sure the letter is 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.

Provide a clear briefing of all interviewers beforehand, including a short training session in active listening.

The interview

Before the interview: Assure yourself and once more briefly recap the context in which the conversation needs to take place.
During the conversation:
- use the question list as a checklist and guiding principle, not as an inflexible must;
- keep track of the time (take one hour as a minimum);
- do not use a tape recorder, but take brief notes in shorthand;
- do not be too formal; treat it more as an informal conversation.

At the end of the conversation:
- check if all questions have been asked;
- ask whether the interviewed person has anything to add;
- write down the person's address;
- inform the person what will be done with the notes (e.g. that they will be treated confidentially and will be summarised in an anthology, which is to be subject to feed-back).

The report

Write up the notes immediatly after the interview; at that time it is still fresh in your memory.

The interview reports are only for your own use: deal with them in a confidential way and make anonymous quotations in the anthology .

Stay as close as possible to the statements of the interviewed person.

Rephrase in case the statements might be unclear for the project team.

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 out the interviews. The interviews give you the opportunity to get acquainted with important contacts in your working field.

Dividing of interviews prevent interviewers taking interviews with their own contacts. Too great an acquaintance can easily result in assumptions being made. (i.e. "oh, you do understand what I mean by this") and 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.

Summarise.
To summarise 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' explore the matter further.

'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 only four seconds 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 bent-forward position, approving nods from time to time, etc. demonstrate attention to 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 provide much new information.

Do not ask multiple choice questions.
A variation on closed questions: "Do you or don't you like apple pie?" This kind of question also provides little information.

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

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

Do not enter into a discussion.
This is the biggest pitfall for listeners, especially when the lecturer mentions an item which is not in line with 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 for discussion 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 each other?
Do they have any antagonism in their 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 starting the evening before: evenings allow for informal items in the programme, the social rituals. 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 Conceptualisation 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 and 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 spouting knowledge or venting criticism.
4 Warming-up
a 'creative warming-up', a 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 project team 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 centralises 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 prioritising 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. It is important 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 thresholds (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 with (i.e. old magazines, felt-tips, paper, glue, etc.) in order to stimulate 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 also work 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 (anonymously) and react on each others 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, prioritising 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 and make agreements on follow-up.

Converging: clustering and prioritising

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 summarise 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 prioritised/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 smaller the group the greater the chance that everybody joins in.
Creative sessions take at least half a day.
It could be useful to hire a facilitator/chairman so the project team 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 conclusions[4]. Each juror is supposed to represent 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 characteristics[5]:

- 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 used[6].

- 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?

4 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.

5 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.

6 Fife Council (1997). *How to Organise a Citizens Jury*. Corporate Policy. Fife Council. Scotland.

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.

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 digitised 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 overemphasise the opposition, may become repetitive and may be monopolised 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 polarise 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 privatising publicly-owned infrastructure;
- A more local and practical level concerning issues specific to each region: water quality, health risks, groundwater risks related to below ground 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 analyse 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 organisations (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 analyse 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

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 are 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.) IIVR project (20.) Balearic Islands (27.)	Regional Planning System (2.) Westcountry Rivers Trust (5.) SDAGE (12.) Niers Regional forums (17.) Integrated Reconnaissance (19.) Technical Annexes II and V of the WFD (24.)	Regional Planning System (2.) Niers Regional forums (17.) Integrated Reconnaissance (19.) IIVR project (20.) Technical Annexes II and V of the WFD (24.)

Level\PP	**Active involvement**	**Consultation**	**Information**
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.)		
		Nõo rural district development of a municipal water supply and sewage system plan (9.)	
	Lake Pyhäjärvi (10.) SAGE projects (13.) Drôme river, SAGE (14.) Erne Sustainable Wetlands Project (18.) Municipal Water plan Hilversum (21.)	SAGE projects (13.) Drôme river, SAGE (14.)	
		Ettrick project (23.)	Ettrick project (23.)
	Alcobendas - city of water (26.) River Emå (28.)	Alcobendas - city of water (26.) River Emå (28.)	Alcobendas - city of water (26.)
		Municipal Water Plan of Örebro (29.)	Municipal Water Plan of Örebro (29.)
	The Water Association of river Fyrisån (30.) Helcom MLW (31.) Lower Danube Green Corridor (33.)	Helcom MLW (31.)	The Water Association of river Fyrisån (30.) Helcom MLW (31.)

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 a 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 km^2

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 aimed 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 demonstration activities. Sharing knowledge with other companies from the sector, which in fact are also their competitors. Cleaner practices in the 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 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 get 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 were 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 the evaluation report, dissemination through Danish EPA and Graphics Business Sector networks.

Major input of stakeholders

Knowledge of day-to-day business practices. Co-funding in terms of staff time allocated for 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.

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. 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 km^2, 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

<u>Positive Lessons</u>

- 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.

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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 contact:

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 organised 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 organised 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 the results of the studies in the local newspaper 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 in 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 a more detailed and precise mapping of the problems related to drinking and wastewaters in this rural district to be made 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 cost-effective solutions for resolving specific water management problems to be developed.

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, the everyday experience of using water from a local well and then reading information about its quality in the 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 were shown 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 the 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

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10. Lake Pyhäjärvi: local water management, Finland

Inspiration points

Close co-operation and participation of the 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, organisations 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:

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

Elements of inspiration

The diversity of the members of the National Water Committee allows for 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

In existence 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.);
- chairmen of the basin committees;
- 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 co-ordination 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:

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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 integrated 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: Coordinator Prefect Basin committee (120 stakeholders) Planning board (36 stakeholders) Operation board (District Public Services	Sub basin level (8 in Adour Garonne District): 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 another meeting in every sub basin. Stakeholders were asked to mail their comments within 2 months, giving 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 with 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 the information was 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 the involvement of 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 needs sufficient delays in order to allow the different consultations to actively take 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 for 2 years.

Contact for further information:

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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 stakeholders at a local level – capacity building.
The scale of these local management plans (about 1000 km²) allows them to be closer to people and concrete problems. It gives more place for participation than larger scale plans. This example shows 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 wishes ; 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 refine 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 undertaken 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/she also informs the elected officials 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 work on a co-ordinated way from one step to the next. Preliminary reports are 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 preservation of aquatic environments and the actions to be planned;
- When the SAGE project is elaborated by the Local Water Commission, it is made available for comments to the general public for 2 months;
- The project can be modified by the Local Water Commission to take into account the comments of the public before 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; and,
- 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

- ll 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;
- 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 on behalf 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 to concrete questions and is at a more adequate scale for participation;
- It is necessary to implement training and information throughout 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 an 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 (local) representatives of the same organisation/authority;
- 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 for 2 to 4 years, and consultants for the diagnosis and the first draft of plan.

Contact for further information:

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20 avenue de Ségur - 75 302 PARIS Cedex 07
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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 the local level – capacity building.

Key words

Local scale ; local wishes ; 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 be 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; and,
- Refine the guidelines of other aspects of the water management.

Scale/unit of planning

Local / catchment - 83 municipalities concerned - catchment area of 1,640 km^2. 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 co-ordination of the writing of the SAGE;
- The draft was made available to the general public for comments in public places (for 2 months);
- The Local Water Commission published a journal regularly during the process to inform the population living in the basin of the different activities carried out 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 co-ordination 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
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Web site : www.icpdr.org

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

Elements of inspiration

The public debates organised 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 on 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-month 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 usually concern several French regions. For example, the public debate organised 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 organise 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 organisation 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, mobilise 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 participate 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 at a time 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:

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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 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 wants to inform stakeholders and also the broader public continuously from the beginning of the implementation process in the region 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 be informed, to follow the implementation process and to be prepared when the programme of measures is discussed and when the consultation on the river basin management plan takes 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 up to 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 can become acquainted with the objectives and necessary steps of the WFD early in the process and can 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 particularly intended to inform stakeholders and persons who are not members of 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 implementation of the WFD within the given timescales.

For more information please contact:

- www.thueringen.de/tmlnu (EU-Wasserrahmenrichtlinie, only in German)
- Heide Jekel

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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 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 km^2 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 km^2 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

For 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

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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 (c1000 km^2).

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 km^2. The population is mainly rural and dispersed with an average density of 29 people per km^2.

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 wildflower 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

<u>Positive</u>

- 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 c100km^2), 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.

<u>Negative</u>

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:

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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 advice 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 advice);
- An expert group (of government staff (and representatives of NGO's).

In the IVB project the project team 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 project team 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 so far, 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 "water management 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 useful half-way the process in order to share problem ownership 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 water management 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 water management 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 continue its cooperation and appreciates the atmosphere of trust, good relationship and the working together. *"we want to continue 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!" (project leader).

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.

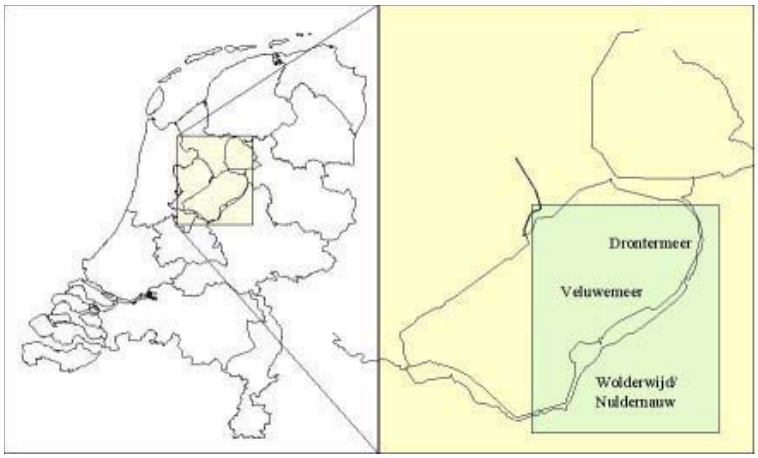
Aim/objective of the project

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 interests, like those of nature, recreation, fishery and transport by water.

In 1996 an integral planning project was initiated by the Ministry of Public Works and water management (PW) in the region.

Scale/unit of planning

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 Section 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 artist performance, brainwriting techniques to the use of GIS design to indicate the location of problems and solutions). During this session all kinds 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 more 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 was augmented due to the responsibility of different organisations 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;
- To strengthen new forms of co-operation; and
- 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 on 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 project leader to manage the process with authority (which was useful 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 organised and managed by different partnerships according to subject matter.

Many events were jointly organised 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 extensive WFD public participation 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.

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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; and
- 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.

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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:

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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 damage 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 visualisation and analysis. All this information has 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 that a certain degree of danger is present 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:

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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;
- 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 on 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 may 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 levels. 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 drinking 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 km^2.
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:

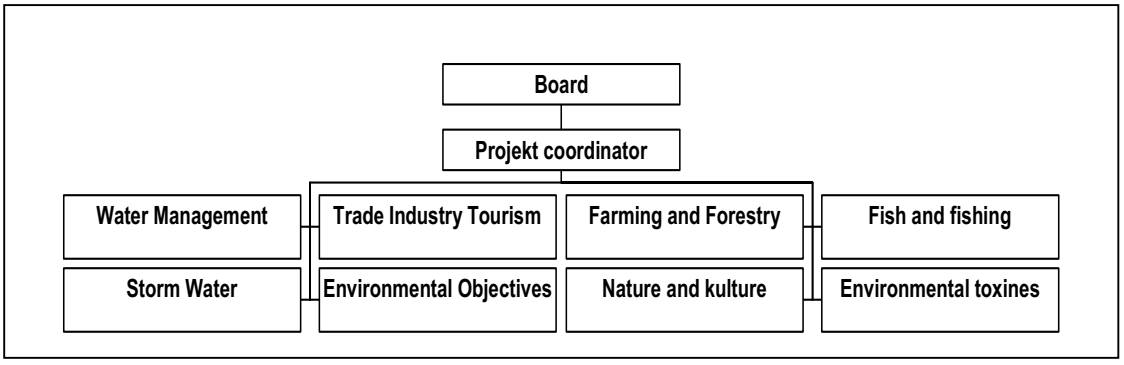
- To make use of the knowledge and experience from NGO's and other stakeholders;
- Avoid or solve conflicts that arise between different groups of stakeholders;
- Increase the awareness of, and knowledge about, the environmental values in the Emån region;
- Increase co-ordination between different enterprises 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

New fish by pass at the Finsjö hydropower station

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;
- 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 also to 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

31. 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 km^2 (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:

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32. 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.

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Available reports

www.icpdr.org

33. 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 (here of 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.

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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[7]. 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.

7 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).

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