Stakeholder Involvement and Participation
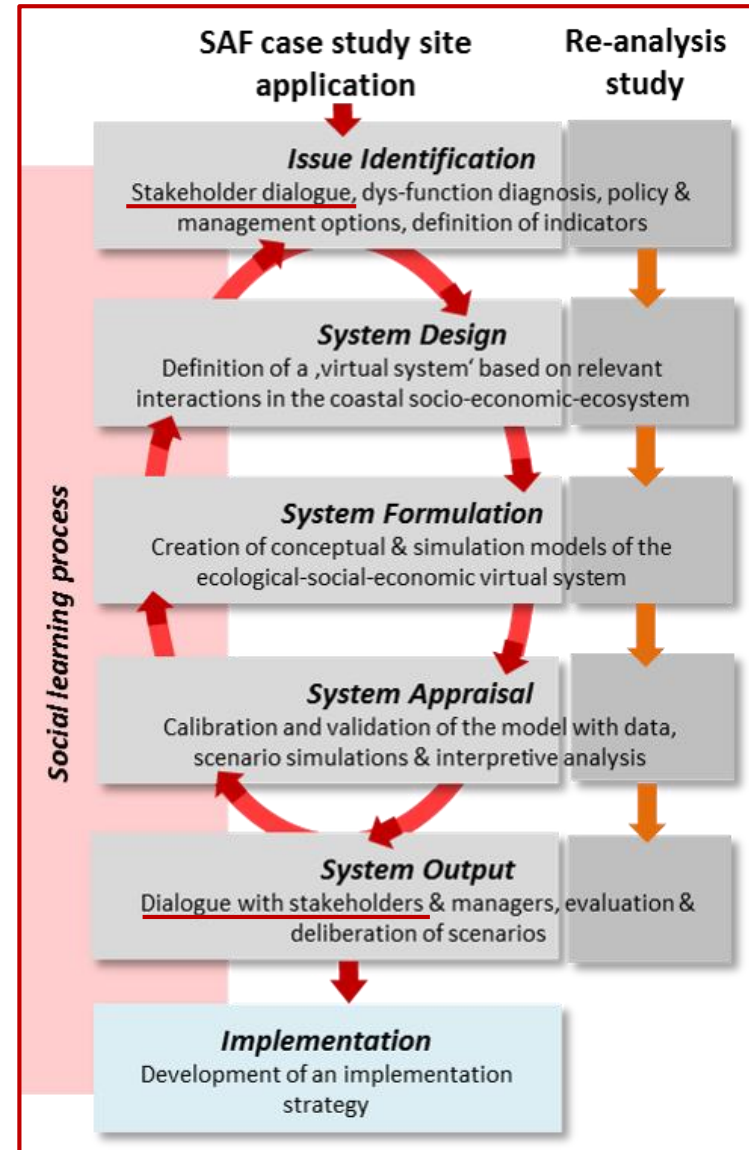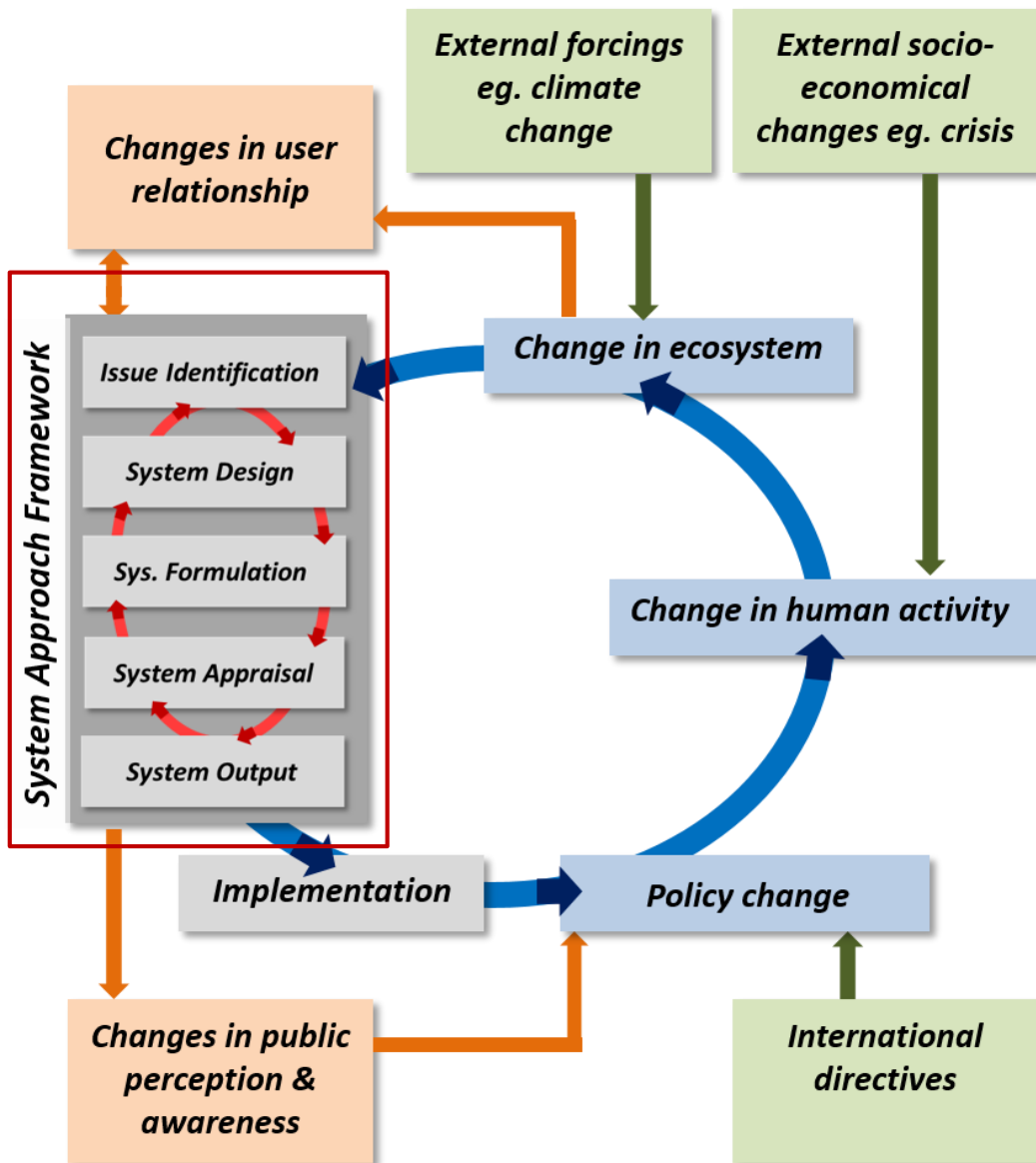
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A SYSTEM APPROACH FRAMEWORK FOR COASTAL RESEARCH & MANAGEMENT

Introduction

Aim of the lecture

➢ Provide theoretical background on participation and stakeholder involvement

➢ Give insights into practical experiences

➢ Apply a tool that is intended to be used within stakeholder workshops to enable a guided discussions

Defining Participation

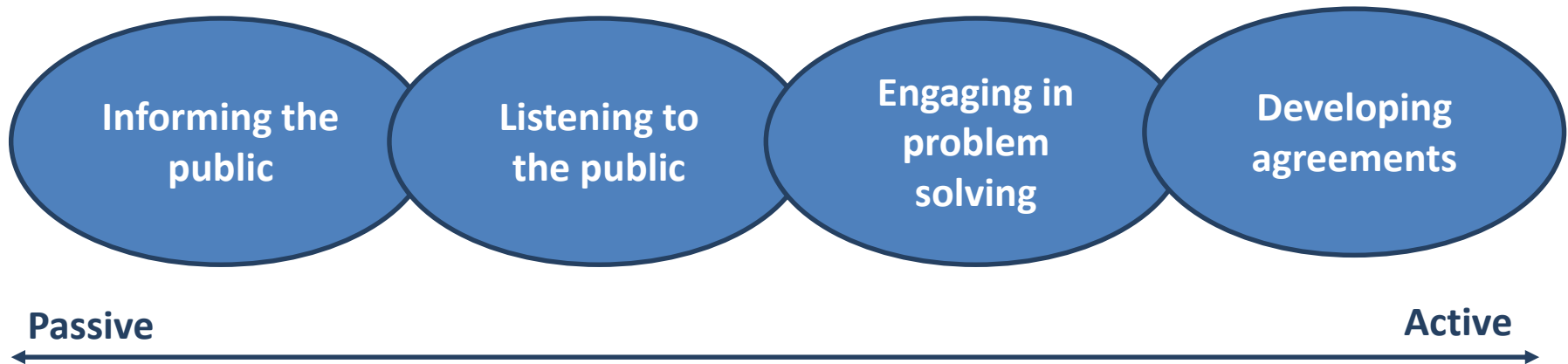**What is *public/stakeholder participation/involvement*?**

➢ Process in which the **concerns, needs and values of the public are incorporated into decision-making**

➢ It is based on a **two way communication and interaction** between the authority/organization/company making the decision and the people that want to participate

➢ The overall goal is to reach **decisions that are supported** by the public

➢ It is an **organized process**

➢ Participants have **some level of influence or impact** on the decision

Defining Participation

Different levels or typologies of participation based on

➢ Degree or Level of participation based on a continuum

| Informing the public | Listening to the public | Engaging in problem solving | Developing agreements |

Passive ←——————————————————————→ **Active**

➢ Nature of information based on direction of communication flow

Communication →

Consultation ←

Participatoion

Organization — Stakeholder

(Based on Creighton, 2005 & Reed, 2008)

Different levels or typologies of participation based on

➢ The theoretical basis distinguishing between normative and pragmatic participation

- Normative: Focused on the process

- Pragmatic: Focused on the end result

➢ The objectives for which participation is used

- Planner-centred vs. people-centred

→ **No matter which typology is used, they help can help in selecting between different participation methods or approaches**

Defining Stakeholders

Who is a stakeholder?

???

"anybody who wants to be"

"those who have an interest in or are affected by a decision"

"those who have influence or power in a situation"

Benefits of stakeholder involvement

➢ Gain stakeholders' **trust and support** for organisations' decisions

➢ **Resolving/reduce/avoiding conflicts** (between stakeholders)

➢ **Create new relationships** among stakeholders

➢ Generate a **common understanding** of a problem

➢ Bring to light important **local knowledge** about nature resources

➢ **Increase public understanding** of natural resource issues or management decisions

➢ Help agencies **understand flaws** in existing management strategies

➢ Produce better outcomes of decisions

➢ Increasing stakeholders' responsibility and accountability;

➢ **Ensure implementation** of new programs or policies

➢ Contributing to **more effective enforcement of rules and regulations** by increasing the likelihood of compliance

➢ **Enhance acceptance** of management policies and decisions

Risks/challenges in stakeholder involvement

➢ Costly
➢ Time-consuming
➢ Labour-intensive
➢ Confrontational
➢ Can ultimately delay decision-making
➢ Can create new conflicts and escalate existing ones

Does it make sense to involve stakeholders?

Comparison of Length of time from Problem identification to Implementation of measures
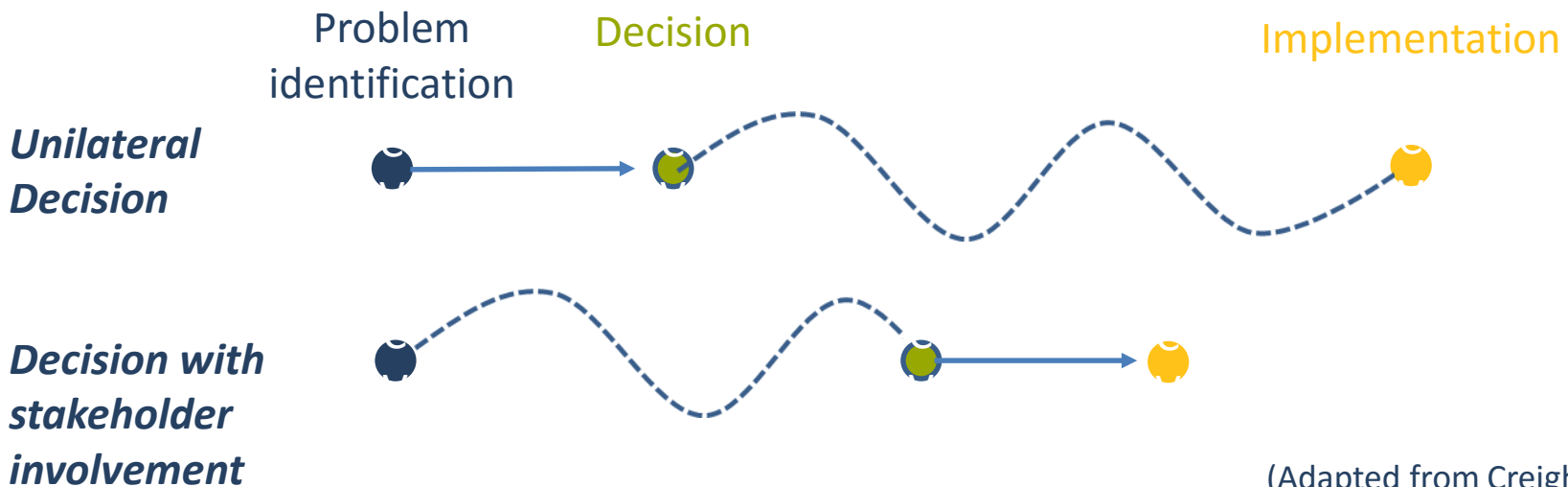
(Adapted from Creighton, 2005)

When is stakeholder involvement not needed?

Not feasible in case

➢ Critical information on this issue are lacking

➢ There is a need for quick action (given a mandated deadline or timeline)

➢ The issue addresses basic values or principles

➢ Legal clarification is needed

➢ Extreme polarization prohibits face-to-face discussion

➢ Stakeholders are not concerned about the issue

(NOAA Coastal Services Center, 2007)

# When is stakeholder involvement feasible?

Feasible in case

➤ Proactive engagement can help to avoid problem

➤ A problem has been clearly identified

➤ Many parties are affected

➤ The best course of action is complex

➤ Support of stakeholders is necessary for the decision to be successful

➤ Many parties are affected by the decision

➤ No single agency has clear or complete jurisdiction

➤ No single agency has the resources or expertise to make and implement a decision

➤ Issues and solutions are negotiable

➤ Parties are willing to collaborate

(NOAA Coastal Services Center, 2007)

Identifying stakeholders

- ➤ Cause a problem
- ➤ Affected by a problem
- ➤ Affected by a solution
- ➤ Affected by doing nothing

Governance

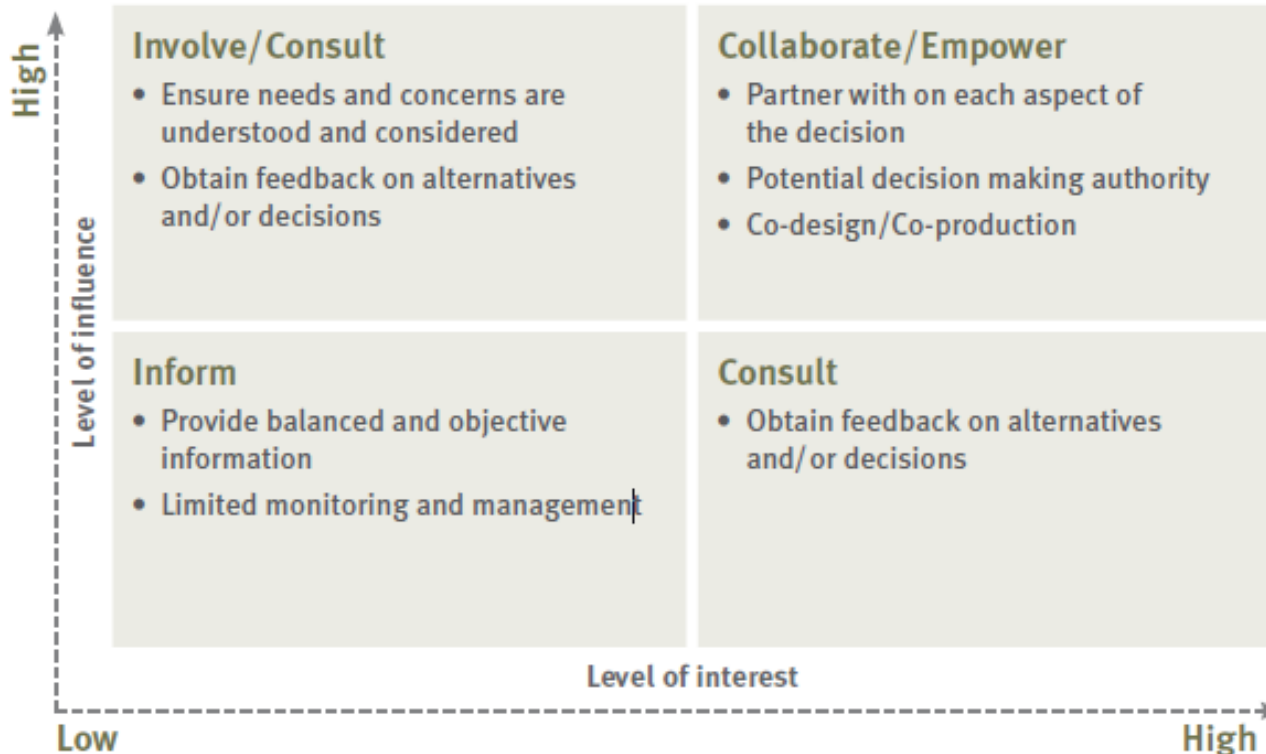Stakeholders

Scientists

Systems Approach
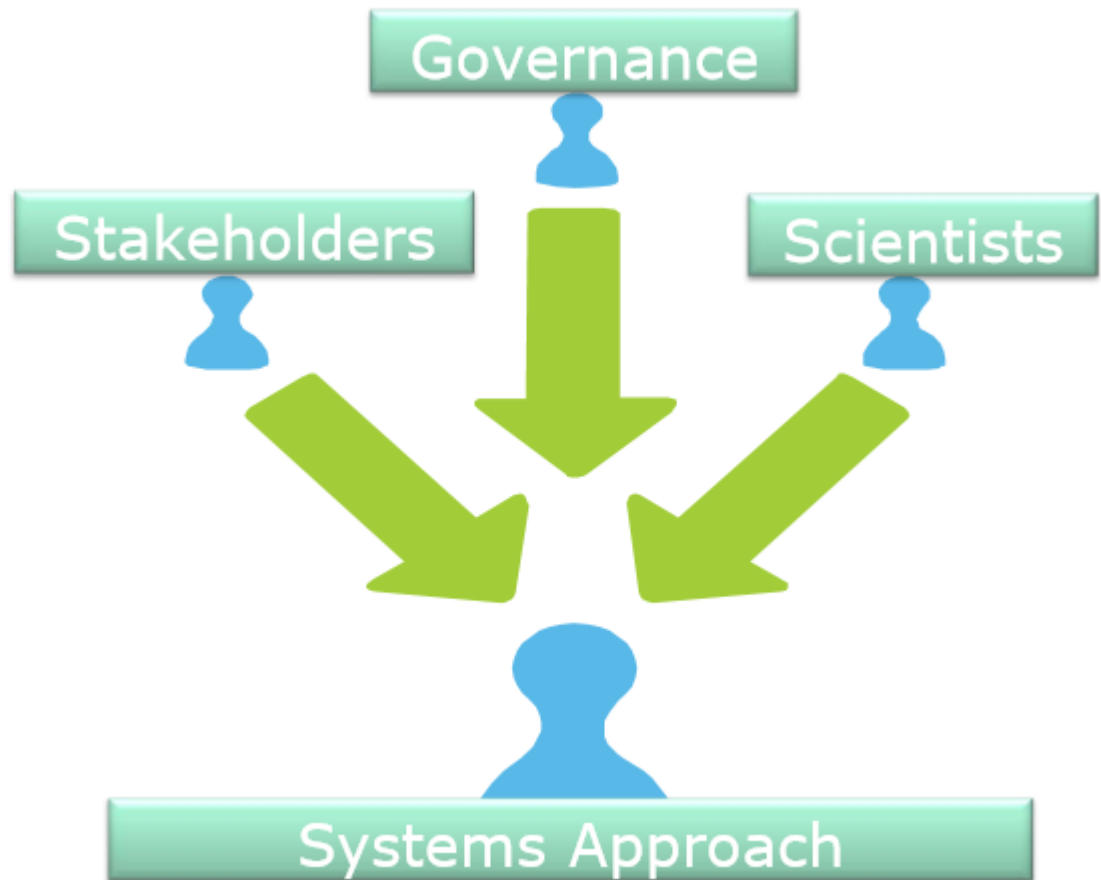
Mapping stakeholders

To map your list of identified stakeholders the following questions need to be considered:

➢ What stake or interest does the stakeholder have in the policy, project or service?

➢ How will the stakeholder be impacted by the policy or project?

➢ What influence does the stakeholder wield regarding the policy, project or service?

➢ How much 'noise' would they make if their views/concerns were not taken seriously?

➢ What is the existing relationship with the stakeholder like?

Involve/Consult
- Ensure needs and concerns are understood and considered
- Obtain feedback on alternatives and/or decisions

Collaborate/Empower
- Partner with on each aspect of the decision
- Potential decision making authority
- Co-design/Co-production

Inform
- Provide balanced and objective information
- Limited monitoring and management

Consult
- Obtain feedback on alternatives and/or decisions

High · Level of influence · Low

Level of interest · Low · High

State of Victoria (Department of Education and Early Childhood Development) (2011)

Levels of participation in stakeholder involvement

State of Victoria (Department of Education and Early Childhood Development) (2011)

	Inform	Consult	Involve	Collaborate	Empower
Stakeholder engagement goals	To provide balanced, objective, accurate and consistent information to assist stakeholders to understand the problem, alternatives, opportunities and/or solutions.	To obtain feedback from stakeholders on analysis, alternatives and/or outcomes.	To work directly with stakeholders throughout the process to ensure that their concerns and needs are consistently understood and considered.	To partner with the stakeholder including the development of alternatives, making decisions and the identification of preferred solutions.	To place final decision-making in the hands of the stakeholder. Stakeholders are enabled/equipped to actively contribute to the achievement of outcomes.
Promise to stakeholders	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how stakeholder input influenced the outcome.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how stakeholder input influenced the outcome.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the outcomes to the maximum extent possible.	We will implement what you decide. We will support and complement your actions.
Methods of engagement	• Fact sheets • Open houses • Newsletters, bulletins, circulars • Websites, external and edugate	• Public comment • Focus groups • Surveys • Public meetings • Ultranet • Web 2.0 tools	• Workshops • Deliberative polling • Web 2.0 tools • Forums	• Web 2.0 tools • Reference groups • Facilitated consensus building forums for deliberation and decision-making • Experimental projects	• Dialogue with Government • Local governance • Joint planning • Provision of data • Shared projects • Capacity building

Source: adapted from the International Association for Public Participation (IAP2) spectrum www.iap2.org (2007)

Methods of stakeholder engagement

	Method	Benefits	Limitations	Notes
Inform	**Fact sheets** Usually brief, paper based on online documents which summarise the 'facts'.	• Able to reach a large number of stakeholders in a simple, efficient way • Can be targeted to a particular stakeholder group and developed into languages other than English	• May not be accessible to people with visual impairment or low literacy levels	Should be tailored to the relevant needs of the recipients.
	Information sharing Information sessions, emails, newsletters, circulars and websites.	• Able to reach a large number of stakeholders. • Can be targeted to specific stakeholder groups	• Written material may not be accessible to people with visual impairment or low literacy levels	Method and content should be tailored to the stakeholder group.

State of Victoria (Department of Education and Early Childhood Development) (2011)

Methods of stakeholder engagement

	Method	Benefits	Limitations	Notes
Consult	**Survey** A quantitative research method to gauge views, experiences and behaviours.	• Straightforward • Forcussed and specific • Can gauge a large number of opinions • Easily adapted	• Difficult to gather qualitative information • Answers may be irrelevant • Delivery methods can affect results	Always include open-ended questions and space for fuller comments.
	Workshops Facilitated events designed to enable stakeholders to work actively and collaboratively on a common problem or task.	• Discussing complex issues, analysing competing options and generating ideas • Encourages joint working and problem solving • Builds ownership of results		Facilitation is crucial.
	Expert panel Used to gather concentrated opinions from a range of experts on a particular issue.	• Focus intently on a specific subject • Produce in-depth analysis • Experts can often be objective	• The process needs to be carefully focussed • Breadth may be limited • May be too 'exclusive'	If the group is large, facilitation will be necessary.
	Public meetings A meeting open to all interested, rather than those specifically invited.	• Opportunity for stakeholders to raise issues and ask questions • Opportunity to gather support for new ideas and build relationships • Communicate with large groups		
	Interviews Intensive face-to-face meetings, telephone conversations.	• Best way to obtain qualitative information from an individual • Can produce highly accurate results • Adds a personal dimension	• Necessitates sensitivity • Large numbers are required to ensure accurate results • Careful preparation necessary	

Best practice stakeholder involvement

1. Needs to be underpinned by a **philosophy that emphasises empowerment, equity, trust and learning**
2. Should be **considered as early as possible** and throughout the process
3. Relevant stakeholders need to be analysed and represented systematically
4. Clear **objectives for the participatory process need** to be agreed among stakeholders at the outset
5. Methods should be selected and tailored to the decision-making context, considering the objectives, type of participants and appropriate level of engagement
6. Highly **skilled facilitation** is essential
7. Local and scientific knowledge should be integrated
8. Participation needs to be institutionalised

(Reed, 2008)

Example Greifswald Bay, Germany

Example Greifswald Bay, Germany

- most important spawning and nursery grounds of the spring spawning herring stock in the Southern Baltic; High economic value for the regional coastal fisheries

- Fish stocks managed on the basis of quotas and total allowable catches, but stock declining due to recruitement failures

- Spawning and nursery grounds are not managed within policies; ecosystem-based approaches in form of area specific management lacking!

- Increasing anthropogenic pressure on coastal areas and the use of aquatic resources; Strong conflicting interests between different stakeholder groups
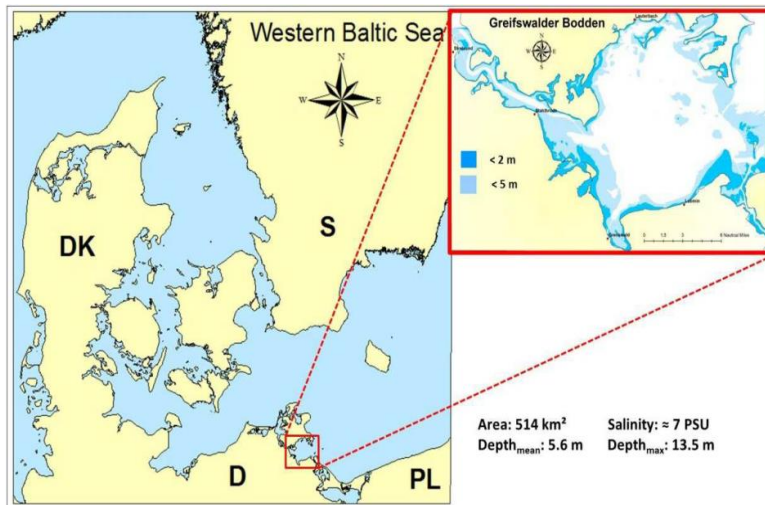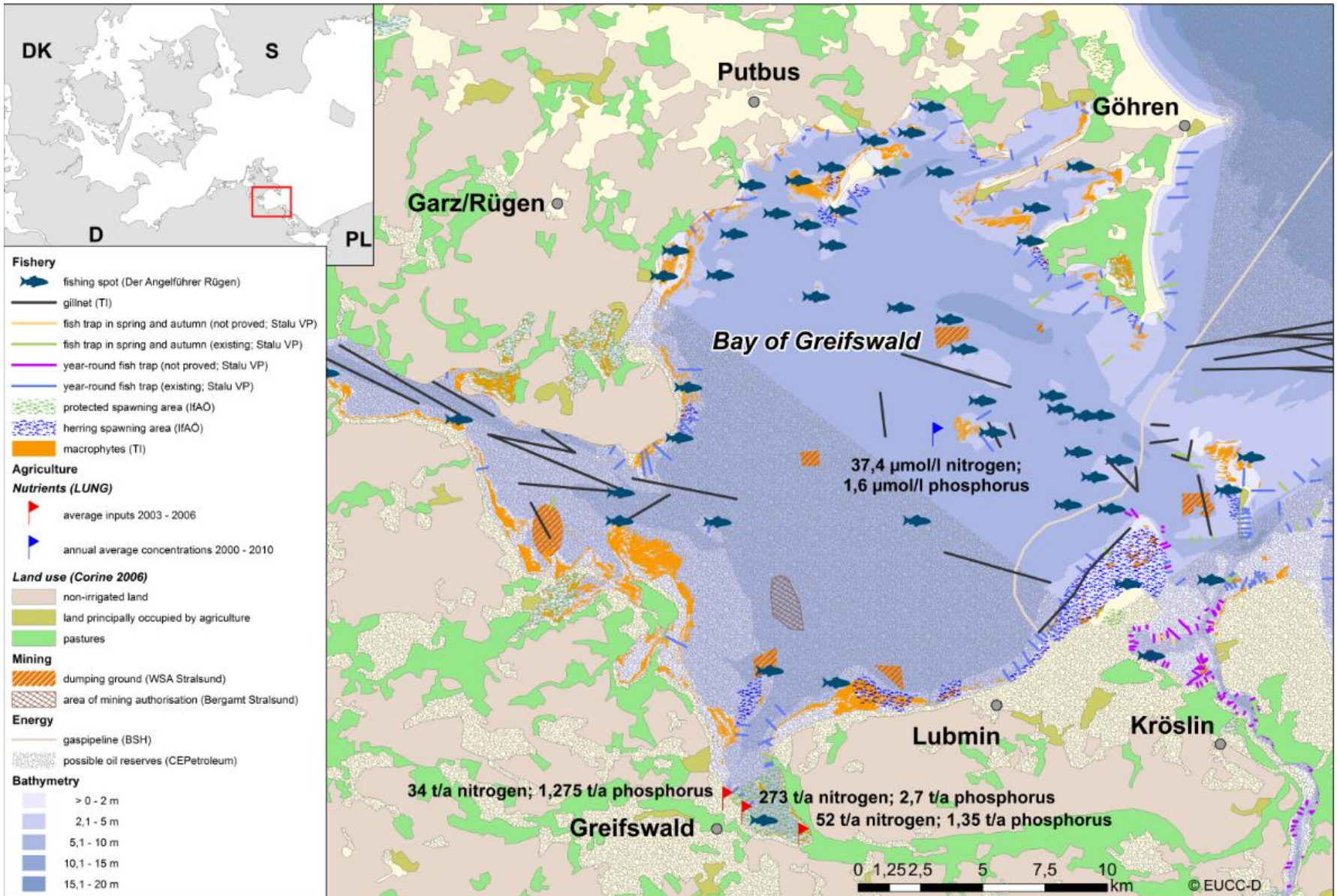
Map of the Western Baltic Sea with a map section of the Greifswald Bay (P. Kotterba/ TI-OF)

Herring spawn on macrophytes in the Greifswald Bay (TI-OF)

Stakeholder involvement + problem solution

1. Who are the different **actors and institutions** influencing coastal areas?

2. How do **political network structures** look like?

3. How can criteria like **effectiveness, legitimacy** and **participation** be implemented in decision-making integrating stakeholders' perspectives?

4. What are the factors that impede or strengthen coastal management?

Methods

Institutional and policy analysis
- Analysis of the formal governance structures and the institutional framework
- Evaluation of policy discourses (prevailing newspaper articles, position papers etc.)

Qualitative, thematic analysis of in-depth interviews
- Fishery authorities and associations, fishing industry
- Nature conservation authorities and associations
- Agricultural authorities and farmers associations
- Spatial planning authorities & mining authority
- Research institutions & environmental consulting

Participatory observation
- Attendance of several stakeholder meetings and scoping dates etc.
- Roundtable initiation with the stakeholders

Power of stakeholders

Please estimate your own influence and the influence of other relevant stakeholders in the governance network of the coastal areas of Greifswald Bay!

How do you estimate your own influence and the influence of other stakeholders in the governance network? (read lines from the left to the right)	Fishery authorities	Fishery associations	Nature concervation authorities	Nature conservation associations	Agriculture authorities & associations	Spatial planning authorities & environmental consulting	Industrial enconomic interests	Research institutions (Science)	Resource extraction authority
Fishery authorities	low to medium	very low to medium (depending on the political level)	very high	very high	very high	n.a.	very high	medium to high	very high
Fishery associations	medium	very low to medium (depending on the political level)	very high	very high	high	n.a.	very high	medium to high	very high
Nature concervation authorities	medium	low	low to high	medium to high	very high	low (in regard to economic priorities)	high	low	decrease of influence but still high
Nature conservation associations	medium to high (strong pro-fishing and pro-fishery perspective)	medium to high (but low social backing)	low to high	medium to high	very high	high (in regard to the institutionalization of rights)	very high	low to medium	decrease of influence but still high
Agriculture authorities & associations	medium (pro-fishing and pro-agricultiral perspective)	low (bad organization and medial reputition)	high	high	high	high (in regard to the institutionalization of rights)	n.a.	high (innovation depending on research)	n.a.
Spatial planning authorities & environmental consulting	decrease of influence/ quite low -> no rights institutionalized;medium infuence in lobbying for higher quotas	decrease of influence/ quite low -> no rights institutionalized;medium infuence in lobbying for higher quotas	low	high (but low priority)	high	n.a.	high	n.a.	high (economic priorities in policy-making)
Research institutions (Science)	medium to high	decrease of influence/ low to medium	high	high	high	high (in regard to the institutionalization of rights)	medium to high priority	low to high	high
Resource extraction authority	n.a.	n.a.	high	high	n.a.	n.a.	high	n.a.	high

HERRING /F. Lempe/TI-OF

Results of 'power analysis'

- Fishery feels marginalized and disadvantaged in regard to the implementation of their interests in policy-making

- Nature conservation authorities and associations are perceived as powerful

- Discrepancies between the own and outside perception of influence

- „Political staging" in regard to their own influence?

- Stakeholders perceive mining, industry and agriculture as politically prioritized
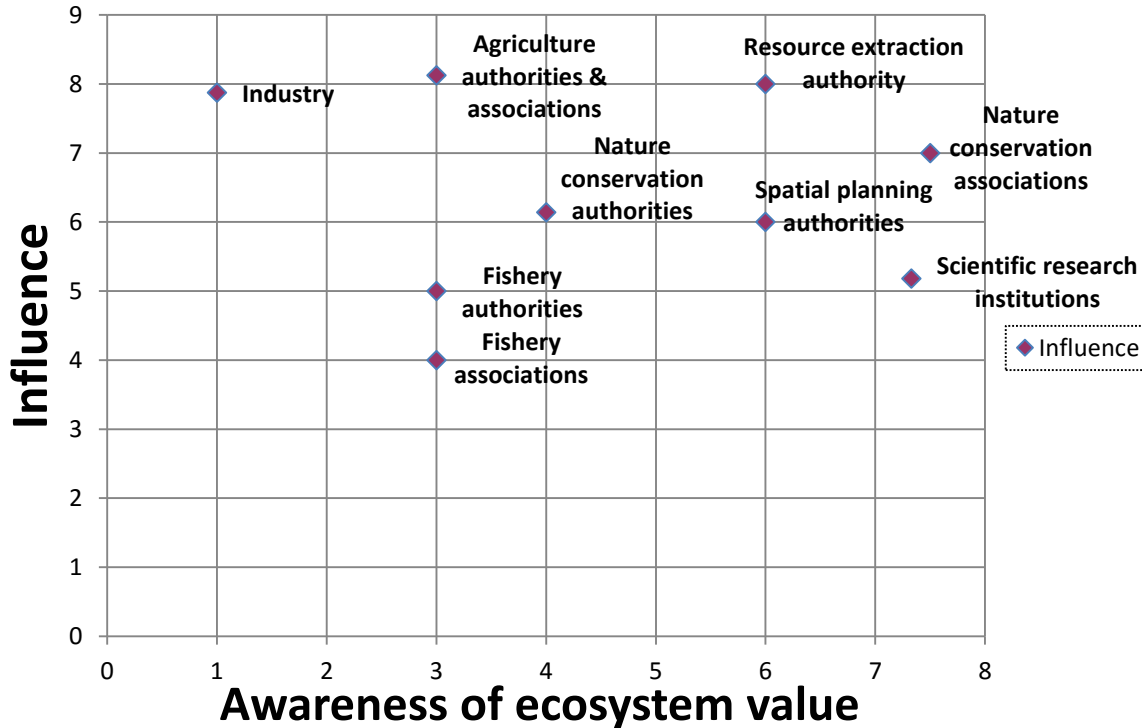
Influence and awareness of stakeholders

Are you aware of the value of the coastal ecosystem and would you support further protective measures?

Influence - Awareness Matrix

- Those that are aware feel that they do not have influence!

- Those that could have influence are not aware!

- Especially resource users show little awareness and interest to improve protection

- No political priority for coastal and spawning area management

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Social network analysis

Legend:
- Fishery authorities and associations, fishing industry
- Nature conservation authorities and associations
- Spatial planning authorities
- Agricultural authorities and associations
- Environmental consulting offices
- Mining authoritiy
- Municipalities and others
- Research institutions

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Conclusion network analysis

- Environmental authorities & associations have central positions in the governance network

- Fishery feels marginal in the governance network → Regional authority for fisheries serves as an interface between fishery and the „rest" → however little acceptance for further protective measures

- Fishery strongly fears further restrictions on fishery activities

- Spatial planning as crucial in „mediating" different interests → high betweenness

- Environmental consulting agencies -> high centrality, while fishery lack „influential" contacts to the governance network

- Science policy interface is weak

- High overall connectivity, but almost all stakeholders wish to broaden the dialogue

Conclusion Greifswald Bay

1. Support of preservation and improvement of herring spawning habitats

2. Inclusion of herring spawning areas in existing (protective) regulations (NATURA 2000, spatial planning programme, voluntary agreement)

3. Compilation of existing data regarding herring spawning areas

4. Search for monitoring measures

5. Defining options to avoid negative (anthropogenic) impacts

6. Spawning area management does not necessarily mean the assignment of non-use zones

WIKIPEDIA

Literature

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Reed, M. S. (2008). *Stakeholder participation for environmental management: a literature review*. Biological conservation, 141(10), 2417-2431.

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