# Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the Pilot Case Study - SPARE Project

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# Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS

- WPT1 Deliverable 2.1.2 Report -

## SPARE - Alpine rivers as society's lifelines

Rivers are the lifelines of sustainable development in the Alps. They provide clean drinking water for human use and irrigation for agriculture, they are home to a myriad of organisms, they provide recreation opportunities, and their power helps us to produce energy. Alpine streams can only provide these and other services to society if we take care of them, on the basis of comprehensive stream management. The SPARE (Strategic Planning for Alpine River Ecosystems) project aims at contributing to a further harmonization of human use requirements and protection needs. Nine project partners from six Alpine countries show how strategic approaches for the protection and management of streams can be improved across administrative and disciplinary borders, and promote awareness of the services provided by Alpine rivers, as well as their vulnerability. SPARE lasts from December 2015 to December 2018 and is co-financed by the European Regional Development Fund through the Interreg Alpine Space programme.
www.alpine-space.eu/SPARE

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Fraser, E. D.G, Dougill, A.J., Mabee, W.E., Reed, M., McAlpine, P. (2006) Bottom up and top down: Analysis of participatory processes for sustainability indicator identification as a pathway to community empowerment and sustainable environmental management. *Journal of Environmental Management,* Volume 78, Issue 2, pp.114-127 ..... 21

## Document control

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## Summary

This pre-report provides a set of initial guidelines to organize stakeholders' engagement in the PCS[1] ("Pilot Case Studies") of SPARE. It specifies general participatory principles and explains the rationales of the induced strategy. It gives recommendations for the planned structures and events, and introduces the future developments.

## Position of stakeholders' engagement and participatory governance in SPARE

The SPARE (Strategic Planning for Alpine River Ecosystems) project aims at contributing to a further harmonization of human use requirements and protection needs of the Alpine rivers. Exploitation, protection and any transformation of rivers and the related ecosystems are driven by human activities, which themselves result from actors' decision making, induced by perceptions, values and social interactions, ultimately shaped by the institutional, cultural and environmental context. Several factors can determine the individual choices and practices, but any individual has her or his own vision, sense of the future trends and can refer them to her or his own expectations. External ("top-down") regulations pre-assuming standardized social responses often tend to fail (Fraser et al., 2006), to face issues of low-adoption, resistance, irrelevance or instability after intervention is decreased. Their implementation and maintenance cost can be high. It's often when the classical approaches of policy design and implementation have been disappointing, that alternative more participatory approaches are called (Howlett, 2014). Overarching policies, from the Aarhus convention to the Water Framework Directive, the Plans & Programmes Directive or the Flood Directive have step by step increased the target level of participation. However, at national and catchment scales, it's still not obvious how they are transferred or which protocols must be chosen. River protection and management require a smart integration of technical, social, economic and institutional solutions (Savenije & Van der Zaag, 2008), equally endorsed by the various actors, and evenly respected in the long term. Finally one should notice that intermediary actors, representatives, delegates, may also fail to actually hold fully the mandate of their constituencies, and transfer downward the targeted messages and impacts.

[1] Please refer to the Glossary of this document for all acronyms or specific terms.

Engaging stakeholders at different levels early enough in the decision process is expected to trigger different benefits (Reed, 2008):

- Sustainable recognition of the process
- Engagement in further implementation, reduced future transaction costs
- Relevance of the decision and alignment with the needs and constraints of the participants
- Coherency with the diverse and localized environmental features
- Reduced conflict and resistance
- User-driven integration: opposing institutional silos' effects by a focus on the real lifecycle of field actors
- Respect of overarching procedural policies on participation.

Conversely, several drawbacks can appear:

- Time required for procedures
- Initial transaction cost
- Capture by vested interests or "professional participants"
- Inconsideration of representative democracy and elected bodies
- Lack of adequate engineering and facilitation skills in the managing institutions
- Origin and legitimacy of the process
- Resistance to procedural innovation
- Second-order conflict and resistance: "generalized suspicion" after semi-participation
- Limited actual engagement.

We aim at considering all these issues in the proposed procedural design. Methods and tools will be proposed therefore. In SPARE, four levels of participation will be addressed: internal participation for the process management group, participatory piloting, exploration and extension with a representative group, transformative engagement of the entire population attached to the river system. With this approach, we intend to balance a targeted wide inclusion with a pragmatic and feasible procedure.

## Who are the stakeholders?

A *stakeholder* is any person who has an interest, who impacts or is impacted by the issue “at stake“, the territorial project, or its consequences. It includes all policy makers, managers, NGO members, professionals, but also every habitant, experts and researchers, tourists, or even national policy makers when they address local issues. The term "stakeholders" is often understood in a limited sense, restricted to intermediary or representative stakeholders, which tends to exclude the general public, the „end-users“. Some organizations can also be globally addressed as „stakeholders“‘, which shrinks their own internal diversity and blurs the role of their delegates in the actual processes. Stakeholders, as human living and acting by the river, have functions and roles in the socio-environmental system. They also have different capacities, personal histories, beliefs, preferences, social ties and relational reactions. What is naively acknowledged to be “irrational” behaviour mostly correspond to complex, hidden, inherited, affective rationalities. Participatory processes in their design and conduct have to cope with a serious understanding of why stakeholders do or could behave strangely, counter-productively. The procedures proposed in SPARE will attempt to account for this and facilitate mutual benefit from and for river stakeholders.

## What can the process manager expect from river stakeholders?

Stakeholders are not (only) potential “receivers” of policies or interventions, who should be convinced, educated, surveyed, helped. They can actually exhibit many roles and contribute by various forms:

- Be present and physically participate
- Be absent
- Initiate, trigger processes, actions, phases
- Listen and hopefully understand
- Observe, survey
- Provide information and local knowledge on facts, processes, events
- React and respond to proposal or requests
- Question
- Contest, refuse
- Propose ideas, solutions, strategies
- Organize, animate

- Model, formalize
- Discuss, negotiate
- Bring social linkages (“social capital”), connect to other stakeholders and networks
- Deliberate, compute, infer consequences
- Educate, transfer
- Decide, choose, select
- Validate, testify, sign
- Commit, engage
- Act, build, make

From this enumeration, we can realize that the usual basic role attributed to the general public (“lay people”), namely “listen” and “react”, is very restrictive compared to their actual potential role.

## SPARE principles for stakeholder engagement and participation

***Participation***

1. … should include the general public (« lay people ») and acknowledge their capacity as « self-experts » in regards to their own practices, needs and local environment
2. … should respect equally all individuals (e.g. gender, age, origin, activity, wealth…) and ensure equity of inclusion and voicing.
3. … requires time and means which are compensated by long-term benefit for socio-environmental sustainability
4. … complements representative democracy, does not replace it
5. … is neither communication nor persuasion
6. … goes beyond facilitation or mediation, but they are required.
7. … covers the whole range of decision making: procedural organization, policy framing, diagnosis, proposals, integration, choice, institutionalization, implementation, evaluation
8. … should be co-designed and agreed by the participants themselves, and not imposed “from the top”.

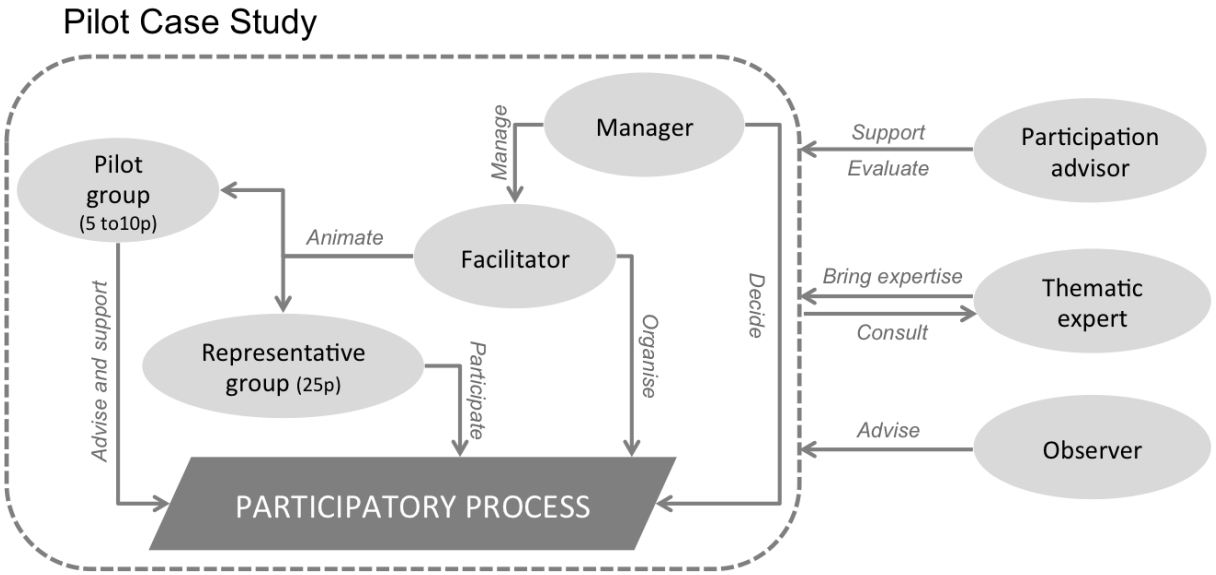
9. … is independent from specific methods. It is mainly a posture but sound methods can help implementing these same principles.
10. … should include experts and acknowledge their capacity to arbitrate the truth regimes based on the state-of-the-art knowledge.
11. … should value and reuse existing knowledge, solutions and expertise, but leaving space and time for stakeholders to consider and elicit first their own proposals.

## Participatory framework and schedule in the PCS

The participatory framework of SPARE has two main phases:

1. Participatory design of the local planning procedure (6 to 9 months)
2. Implementation of the participatory planning procedure (12 to 18 months)

The essential feature of the process is to leave space and time, and to provide methods and means, for the preparation by all stakeholders of the future procedure of decision: who, when, how and why each category of stakeholder will participate to the various decision phases, how it will be regulated and facilitated. Thereby this future process will be better accepted and respected by its participants, and should improve alignment between the existing institutional process and the stakeholders' expectations. In summary it means that "actors decide the participation plan". After 2017 this will actually be implemented.

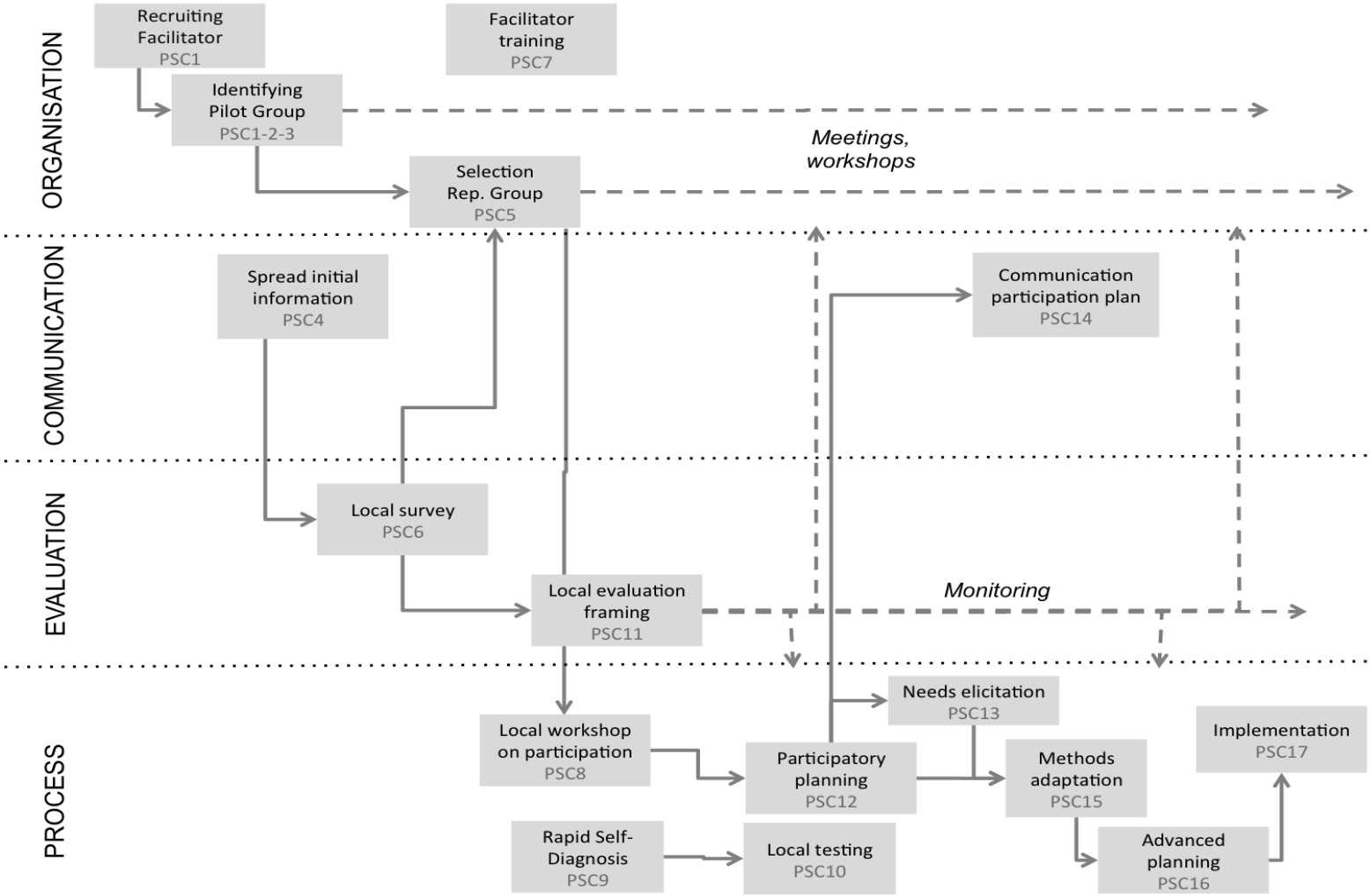



For definition of the stakeholders and groups, refer to the included *glossary.*

Summary of the PCS steps with the various implementation groups:

| | Description | Duration | Stk involved | Role |
|---|---|---|---|---|
| PCS 1 | Identification of the pilot group & the facilitator | 2 months | Mngr | Identify and select |
| PCS 2 | Introduction to the participatory process principles | 1 week | Padv<br>Mngr & Facl | Inform<br>Participate |
| PCS 3 | Process introduction to the pilot group | 1 day | Mngr & Facl<br>PilG | Inform<br>Participate |
| PCS 4 | Launch of the communication about the project in the PCS | 1 month | Facl | Inform |
| PCS 6 | Large public survey about the river in the PCS | 5 months | Facl<br>Padv | Disseminate<br>Support |
| PCS 5 | Identification of the representative group | 3 months | Facl, Mngr & PilG | Identify and select |
| PCS 7 | Workshop on PCS activities and methods to implement | 1 week | Padv<br>Mngr & Facl | Inform<br>Participate |
| PCS 8 | Local workshops on methods for participation | 1 day | Mngr & Facl<br>RepG<br>Padv | Inform<br>Participate<br>Support |
| PCS 9 | Self-Modelling for Assessing Governance | 1 day | Facl<br>Selected STH | Animate<br>Participate |
| PCS 10 | Exploration of others management practices from other PCS | 2 months | PilG<br>RepG | Analyse & inform<br>Read |
| PCS 11 | Local evaluation framing | 2 months | Facl<br>Mngr & PilG<br>Padv | Animate<br>Participate<br>Support |
| PCS 12 | Local planning of participatory process (PrePar) | 1 day | Facl<br>RepG<br>Padv | Animate<br>Participate<br>Support |
| PCS 13 | Needs elicitation for methodological adaptations and development | 2 months | Mngr<br>Padv | Ask and share<br>Collect |
| PCS 14 | Dissemination of the participation plan (PrePar) to the general public | 2 months | Facl & RepG<br>STH | Inform<br>Read |
| PCS 15 | Methodological adaptations and development | 5 months | Padv<br>Mngr & Facl | Suggest<br>Decide |
| PCS 16 | Preparation workshop for the planning of the implementation phase | 1 week | Mngr & Facl<br>Padv | Participate<br>Support |
| PCS 17 | Official launch of the implementation phase | 1 day | Mngr, Facl, RepG & PilG<br>STH | Inform<br><br>Participate |

PCS actions' details




(---nils.ferrand@irstea.fr, 2016---)

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These 17 phases correspond to the preparation phase of the participatory process. The actual implementation of the participatory process starts after PCS17. This “participatory preparation of participation” is an innovation of the SPARE project as it has almost never been done elsewhere. The important aspect of the preparation phase is that participation needs to be planned as a whole process, and not as a series of events as is too often the case: stakeholders need to think why they are implementing participation in their river basin, who they want to involve, when and to do what. PCS1 to PCS17 are meant to guide PCS partners and stakeholders in this reflection.

### *PCS1 Identifying pilot group & "facilitator"*

**PCS1 Identify and select pilot group members and facilitator 2m**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| Select | | | | | |

1. Manager lists possible members of the PG, contacts them and introduces the project at first level, in order to engage them in the PG. Formal commitment is delayed until PCS2.
2. Manager identifies a possible facilitator and organizes contractual conditions for her / his work. The facilitator work intensity varies with the case studies.
3. Results (list of PG members, name of facilitator) are communicated to T1

Cf. *Glossary* for definition of the pilot group

### *PCS2 SPARE level process introduction and framing*

**PCS2 Introduce the participatory process principles 1w**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| Participate | Participate | | | Inform | |

T1 experts introduce the principles of the whole process to the members present at the kick-off. Dialogue is organized to adapt some first guidelines. Adaptation can be continued afterwards according to the actual local implementation conditions

## *PCS3 Local process introduction to pilot group*

| PCS3 Introduce the participatory process locally | | | | | 1d |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Inform | Inform | Participate | | | |

1. Manager and facilitator prepare the local introduction by translating and adapting the common documents.
2. They gather the PG (1/2 day session) to present the whole process locally and discuss conditions for adaptation and implementation

   Typical content:
   - Local PCS reminder
   - SPARE introduction
   - Discussion on river protection & participation
   - Collecting expectations
   - Adapting process.
3. First feedback to the whole project

## *PCS4 Spread initial information on SPARE*

| PCS4 Introduce the participatory process locally | | | | | 1m |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| | Inform | | | | Read |

This action aims at informing the whole population about the project and starting raising attention to get some engagement. This communication may trigger the audience to react and express interest. Feedback is allowed via internet or direct (phone) contact with the facilitator.

All communication means can be used at this stage (press, newsletter, radio & TV, market places, schools).

The content can be:

- SPARE project introduction
- Attracting attention to the river local challenges
- Rising interest on participation and related roles
- Informing on future plans, including attractive sessions planned (planning,

visits, games)

Clear information on contact point must be provided: a simple project email address, a phone contact, an info-place.

## *PCS5 Identification and selection of the representative group*

| PCS5 Identify and select representative group members | | | | | 3m |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Select | Select | Select | | | |

Identifying and gathering the RepG is a critical but challenging task. With the limited means available in the project, it may require some specific arrangements to ensure its efficiency.

The RepG should be constituted based on the following criteria:

- Gender
- Age distribution (NB. Minors are not recommended although they can participate through other instruments. Seniors should be present.)
- Spatial origin (living place) or attachment along the river. Members can be non inhabitants if they have a significant stakeholder's position (e.g. tourists, specific river related business attracting external workers)
- Activity, employment category
- Known activism vs. absence in past river institutions, increasing presence of "invisible"

The distribution should, as much as possible, mirror the real social distribution. However the minor categories should still be there to ensure representativeness of at least one (e.g. very remote parts of the catchment should be represented) – even at the cost of unbalancing the normal distribution.

The RepG size should be at least 25 but it can be much higher if logistics allow for it. A size of 50 or 60 is normally easily tractable.

Basic recruitment should be made on the base of volunteering, following advertisement or specific request in the initial questionnaire (PCS6). This introduces

a bias as volunteers are actively interested, but the practical trade-off is acceptable. From the volunteers' list, if people show the same features (rare condition), then random sort should be used. To fill the missing social categories, a proactive move should be organized. At first stage ways of contacting them should be found through interpersonal networks, NGOs, places. First-order relationships from the PG should be avoided, as well as any strong links with already recruited members. In general pre-existing interpersonal relationships among members should be avoided.

A possible alternative procedure is to use a random selection on any population listing (phone directory) and contact persons one after one until all categories are covered.

After being contacted, persons receive information about the project and the type of requirements they will face (cf annex). This includes the financial and material (transport) conditions for supporting their attendance. They can decide to commit or not. If they do, they sign the initial participation charter..(see "rules and procedures" paragraph for more information)

Cf. *Glossary* for definition of the representative group
Rules and procedures

## *PCS6 Large scale local individual pre-assessment / survey*

| **PCS6** | **Inform and communicate about the project**<br>**Collect perceptions and knowledge for evaluation purpose**<br>**Identify potential members for the RepG** | | | | **5m** |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| | Disseminate | Disseminate | | Support | Participate |

This is an optional action.

This global survey aims at collecting perceptions and expectations from the population about:

- River management and protection, and ecosystems services
- Participation
- Intentions for the representative group

Based on a common framework, it may be adapted locally. It is also used as a basic tool for initial monitoring and evaluation, and later in the PRE-PAR procedural design

phase (PCS12)

It is disseminated via internet, can be mailed, can be distributed in public places. It is advertised in media.

Local processing is limited to translation of the (few) open questions.

General processing is mutualized at project level.

All aggregated results (anonymous) are made public and disseminated globally.

This is NOT the Self-Diagnosis / Self-Assessment action (cf. PCS9).

### *PCS7 WORKSHOP 1 on PCS activities*

| PCS7 Introduce the PCS activities and methods to implement | | | | | 1w |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Participate | Participate | | | Inform | |

A 5 days workshop with all WPs where the PCS activities are prepared, methods are taught, and specific needs and adaptations are considered. It actually starts the PCS field activities. It especially trains the facilitators and informs the managers.

Cf. *Summary of the SPARE Drôme workshop 4-7 July 2016*

### *PCS8 Local workshops on methods for participation*

| PCS8 Introduce participatory approaches in the PCS | | | | | 1d |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Inform | Inform | | Participate | Support | |

Following WORKSHOP 1, the managers and facilitators organize for the pilot and representative group a specific information workshop (about 30 to 35 participants). This workshop of minimum ½ day (4 hours) aims at:

- **Informing** the participants about the SPARE project, the river and participatory governance
- **Deciding** the objectives of participation in the PSC with the participants
- **Discussing** the level of participation for each decision step and **discovering** participatory methods associated with each step

Before the workshop, all participants must have filled the common questionnaire

(PCS6). Facilitators have to prepare participants' kits and they can email, prior to the workshop, specific documentation provided by T1 such as the PowerPoint on participatory governance for river management, the 8 posters and the list of participatory methods associated to each poster.

Previous to workshop, and for time allocation reasons, an information meeting may be organized for the whole representative group or for sub-groups to present the project and the river.

PCS8 can be assisted (distantly) by T1 coach but must be done in local language.

PCS8 has to be held in a large flat room (no tribune) with 7 tables. Participants receive a personal badge with first name only (no family name). Tables are pre organized to maximize diversity. Name tags (first name only) are already on the tables. Everyone receives a participant kit with basic information. The 8 posters in A1 format are hung on the wall.

When participants enter the room they can pitch a name flag on a large catchment map.
During the session everyone has and uses a "question form" where (s)he can list, keep and transfer questions when cannot be asked dynamically.

Content of the workshop (3h40/ 5h05):

NOTE: Timing in parenthesis are for a 1/2 day workshop duration or full day workshop duration.

- 1 - Short welcome talk to thank participants, remind the objectives, explain the rules of debate and detail the agenda. (10mn/10mn)
- 2 – Presentation of the SPARE project and the river (PowerPoint, 10mn/ 15mn)
- 3 – Ice-breaking activity (20mn /20mn)
- 4- Presentation of participatory governance for river management (PowerPoint, 10mn /15mn)
- 5 – General questions on participation (15mn / 30mn)
- 6 – Discuss the objectives of participation in the PCS in sub-group and

then in plenary (30mn / 40mn)

- 7 – Poster presentation (30mn/ 30mn). can eventually be combined with a coffee break.
- 8 – Group discussion on one poster. Groups discuss about the level of participation they would like to target and the methods associated (25mn/ 40mn)
- 9 – Group discussion on a second poster to argue about previous group choices. (25mn/ 40mn)
- 10 – Plenary discussion to summarise the choices made by the various group (20mn/ 40mn)
- 11 – Final wrap-up and announcement of future stages (15mn)
- 12 – Workshop evaluation (10mn)

Cf. *Specific guidelines for PSC8 for more detailed information*

### *PCS9 Rapid Self-Diagnosis / modelling on former experience for assessing governance (SMAG)*

**PCS9 Model and analyse the governance process of a river basin over the past 30 years. 1d**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| | Animate | | | Support | Participate |

The facilitator engages for 4 to 8 participants in the rapid self-assessment protocol (SMAG), a 1-day session. These participants should know the history of the river basin over the past 30 years. They produce a self-diagnosis of the past governance and management, transferable and reusable. It is also the base of the future design of transformative plan. Results are shared over all PCS and assessed by PCS10.

This process can be extended to some other case studies, if any. The deal is to keep them in the information-sharing loop of SPARE on SMAG bases.

Cf. *Specific guidelines for PSC9 (DT1.1.1)*

### *PCS10 Local testing / exploration of other management practices*

**PCS10 Discover other management practices. 2m**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| | | Analyse & inform | Read | | |

The pilot group receives synthetic information about other PCS SMAG results. They can dialogue on them, and consider their transferability (from other PCS other case studies). They provide an evaluation feedback to the RepG: “we have considered the governance process of the CS … and our conclusion is…”.

### *PCS11 Local evaluation framing*

**PCS11 Organise the evaluation process to monitor PCS activities. 2m**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| Participate | Animate | Participate | | Support | |

Based on the common guidelines for M&E (D.T.2.3.1) provided by the participation advisor (coach), the facilitator engages the pilot group in the framing of the local evaluation. This initial reflection on evaluation will be the opportunity for the pilot group to prepare the planning of the participatory process (PRE-PRE-PAR) and determine the knowledge needed to identify whether the objectives have been reached.

Evaluation in this case is NOT aiming at controlling what is done locally but at supporting the participatory process to make sure that it is on the right track towards its objectives. The pilot group, the manager and the facilitator design the evaluation for themselves and other stakeholders. The participation advisor will provide methodological support (in English), remotely or in person based on needs and availability.

Typical program for PCS11 (about 2h30):

- Short welcome talk (5mn)
- Quick roundtable exercise to collect participants’ vision about the added

value and constraints of monitoring and evaluation (M&E). The objective is to clarify and discuss preconceived ideas about M&E. (10mn)

- Presentation in plenary to remind and explain the objectives and importance of M&E (PowerPoint, 5mn)
- Framing of the PCS local evaluation based on the seven following phases – detailed in the common guidelines for M&E provided by the participation advisor (1h30):

  Phase 1: Scoping and planning

  Phase 2: Indicators

  Phase 3: Identification of the evaluator(s) and feasibility

  Phase 4: Selection of M&E methods

  Phase 5: Implementation of the M&E

  Phase 6: Data analysis

  Phase 7: Sharing of the M&E results

These phases are not chronological

- Plenary discussion (20mn)
- Final wrap-up and announcement of future stages (15mn)

As for other PCS, results are communicated to T1

Cf. *Form and role of evaluation below*

*Guidelines for M&E (DT2.3.1)*

## *PCS12 Local planning of participatory process - PRE-PAR phase*

**PCS12 Produce and validate a participation plan for the territory 1d**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| | Animate | | Participate | Support | |

In its second main workshop (after PCS8, absolute pre-requirement), the representative group has to specify jointly specify who should participate, at which decision step and how.

Participants should end up with a Pre-Participation (PRE-PAR) matrix for their territory. This PRE-PAR plan can be prepared ahead of the specific PRE-PAR session, by individual activities and pre-consultations.

A typical PRE-PAR workshop requires a full day and includes:

- 1 - Short welcome talk to thank participants, remind the objectives, explain the rules of debate and detail the agenda. (10mn)
- 2 - Main decision steps. Referring to the 8 posters presented during PSC8 workshop, participants have to order the main steps individually then collectively. (1h)
- 3 – Listing of stakeholders through group discussion. Facilitators may distribute background documents after some time to help participants complement their list. (1h30)
- 4 – Role of stakeholders. By sub-group, participants specify specific role for each stakeholder (organise, give opinion, listen, etc.) and summarize their results to the other groups in order to fill the matrix. (1h15)
- 5 – Conclusion. Participants discuss about the feasibility, coherence and relevance of their PRE-PAR plan. (1h)
- 6 – Final wrap-up and announcement of future stages (15mn)
- 7 – Workshop evaluation (10mn)

Coffee breaks and lunch must be insert in this programme.

If the PRE-PAR sequence is not strictly finalized after one day, there can be some limited delayed deliberations, using distant votes, with synthesis by the PG.

Cf. *Specific guidelines for PSC12 for more detailed information*

### *PCS13 Needs elicitation & exchanges with other CS*

**PCS13 Gather methodological adaptations and support needs. 2m**

| Mngr | Facl | PilG | RepG | Padv | STH |
|---|---|---|---|---|---|
| Ask and share | | | | Collect | |

PCS12 provides a set of (participation and evaluation) actions with methodological needs. Some can be specific and require adaptations or development by T1. The manager transfers results to T1 and specifies need and questions. This information is also shared with other PCS. T1 assesses the development needs and checks the feasibility within SPARE and the available time. Result is communicated to the PCS manager. If some actions cannot be supported, the PCS manager with the PG can

decide to have it done by an external consultant (on local budget), or try to replace it by another. If no solution is found then the PG deliberates the case, and the result is communicated to the entire RepG which has (in an extra session or distantly) to decide finally what to do. T1 advises this contingency adjustment.

### *PCS14 Communicate participation-plan to population*

| PCS14 Disseminate the participation plan to the general public | | | | | 2m |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Inform | Inform | | Explain | | Read |

The PRE-PAR plans are communicated locally to the general population, with possibility to feedback on it. Therefore a PRE-PAR summary is made and disseminated by all available means. Members of the RepG can explain it outside to the general population. Public meetings can be organized.

Feedbacks are collected by all reasonable means for a given period. They are processed by the facilitator and discussed with the pilot group. If significant changes are required, then the proposal has to be submitted to the RepG.

### *PCS15 Method adaptation*

| PCS15 Tailor participatory methods to PCS needs | | | | | 5m |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Decide | | | | Suggest | |

As a joint activity of T1 and the PCS partners, the requirements for methods' adaptation (PCS13) are processed. If required, new methods can be included and specified. Language adaptation is processed locally.

### *PCS16 WORKSHOP 2 on PCS activities and advanced planning*

| PCS16 Review participatory methods and evaluation process. | | | | | 1w |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Participate | Participate | | | Support | |

This 4 days workshop prepares the implementation phase. It transfers the resulting specific methods as required by the RepG. Evaluation is included in this session. Some parallel sessions may be organized for the PCS if they differ from one to another. Some members of the pilot groups may attend.

At the end of PCS16 a specific session is devoted to building the detailed procedure, which refines the PRE-PAR. It specifies all detailed steps with all technical requirements and commitments. Means are secured at this stage.

Cf. *Summary of the worshop (DT1.1.3)*

### *PCS17 START implementation process*

| PCS17 Announce the beginning of the local activities | | | | | 1d |
|---|---|---|---|---|---|
| Mngr | Facl | PilG | RepG | Padv | STH |
| Inform | Inform | Inform | Inform | | Participate |

This is the official launch of the implementation phase, including a formal signature / agreement / launch with officials and all members of the RepG. A public event is organized. Media are invited. The process referees (as of PRE-PAR) are presented.

## Conditions for adapting locally this PCS process

Each PCS can adapt this normalized PCS sequence. However there are some minimal requirements:

- Have a respectful participatory process, transparent and accountable.
- Have a RepG respecting the requirements, and not being a group of “official representatives”.
- Processes can be extended as widely as decided locally.
- Include monitoring and evaluation, following the joint requirements (see below).
- PCS 8, 9 and 12 are mandatory.

## Coaching principles

The participation advisor or coach (or "coach") is in charge of supporting the manager and the facilitator in co-designing and steering the participatory process and its evaluation.

The participation advisor does:

- Provide support, guidelines and background material on participatory and M&E methods
- Answer, to the extent of his/her knowledge, managers and facilitators' methodological questions
- Assesses the methodological adaptations or development needs in each PCS and checks the feasibility within SPARE based on available resources (time, budget, people, etc.)
- Ensure feasible methodological adaptations or developments
- Support in background the implementation of the participatory and evaluation processes (including data analysis for the evaluation)
- Participate, to the extent possible, to all meetings where participation and evaluation are addressed
- Foster exchange of information among PCS
- Liaise regularly with managers and facilitators
- Guarantees minimal requirements regarding the PCS process to ensure coherence among PCS and throughout the project

The participation advisor does NOT:

- Intervene directly locally
- Implement the participatory and evaluation processes
- Translate the guidelines in local languages

Coaching will be adapted to the needs of each PCS. A detailed coaching plan will be agreed upon with each PCS at the end of year 1. Various means may be used for the coaching including, but not limited to, emailing, phone, distant support (hotline), documents, distant monitoring and local session support.

## Rules and procedures

Before engaging participants, it is crucial to define rules of participation to manage the participatory process. These rules clarify the organisation (roles and responsibilities) and the implementation of the participatory process. They establish a moral framework between all participants: managers, facilitators, pilot group, representative group and the public.

These rules, which apply to everyone, state principles and values structured in 3 documents

- A participation charter which define “the rules of the game” as well as the rights, responsibilities and limits of each participant
- A behavioural charter describes shared benchmarks to facilitate group harmony during sessions, workshops, group discussions, etc.
- An electronic charter sets the basic rules for the participants' interactions on digital tools as emails, social networks or instant messaging.

These three charters must be discussed intensively with the pilot group but they can also be refined with the citizens. On this explicit basis, participants can discuss the participatory principles and plan upstream, but not challenge the plan during implementation.

## Form and role of evaluation

Evaluation in in this case is NOT aiming at controlling what is done locally but at supporting the participatory process to make sure that it is on the right track towards its objectives. Evaluation is designed by the pilot group, the manager and the facilitator for their own use and the use of participants.

In the frame of SPARE, M&E is initiated at the beginning of the process because it helps managers, facilitators and key stakeholders to:

- Know where they stand (context) and which external elements may positively or negatively influence the process,
- Decide where they want to go (objectives, impacts, outcomes, outputs) and know whether they are there yet,
- Decide how to get there (process) and know whether they are on the right track.

Results of the M&E will allow collecting information on the context, process and impacts in each PCS. In addition to supporting the participatory process, this information will be used to exchange experience among PCS (PCS13), communicate PRE-PAR plans to the public (PCS14) and more globally communicate about the process and its results to local stakeholders.

Initial steps for the M&E on year 1 in PCS are:

- Training on M&E methods to PCS managers and facilitators (PCS 7 and 16)
- Local evaluation framing by pilot group (PCS 11)
- Training on M&E methods to representative group (PCS8)
- Local evaluation planning by representative group through Pre-Par (PCS12)
- M&E implementation (PCS17, year 2 and 3)

➔ Cf. *PCS11 Local evaluation framing* above for the detail of the different phases of the M&E process

Various M&E methods may be used depending on the M&E objectives, indicators and resources in each PCS. These methods include, among others, questionnaires, attendance lists, interviews, debriefing, pictures, videos, observation, rating, cognitive mapping, games, etc. The participation advisor will support each PCS for the selection of the most appropriate methods.

## Who will evaluate?

The local evaluator will be in charge of implementing and synthesizing the local monitoring and evaluation process. She/he will have to animate the co-design of the specific local evaluation protocol, and then to organize protocols and structure data collected from observations, surveys, indirect processing, etc. Finally she / he should process these data so that they are shared in the SPARE common framework, in English. She / he may have to participate to some global project meetings dedicated to monitoring and evaluation.

The local evaluator should be selected based on the following criteria:

- Be independent from the manager or the pilot group (to avoid self-evaluation)

- Be used to policy evaluation processes and methods (ideally a profile in social sciences)
- Be able to speak the local language and English
- Know local conditions
- Have analytical skills

With the limited means available in the project, the identification of the local evaluator may require some specific arrangements to ensure his/her good working conditions. Depending on M&E ambitions and dedicated resources in each PCS, several people may for instance carry out the evaluator's role.

The local evaluator should remain as neutral as possible when performing his/her role and provide recommendations on the PCS process based on data collected only. This posture must be understood by the evaluator him/herself but also by the manager, facilitator and participants. Subjectivity is unavoidable and will need to be taken into account in the data analysis.

Identifying the local evaluator is a critical but challenging task. The manager and/or facilitator will be in charge of the "recruitment" of the local evaluator based on guidance provided by the pilot and representative groups. The local evaluator will be asked to sign an M&E charter (on his posture, intellectual property of the data collected, etc), which will be provided by the participation advisor. The local evaluator will receive support, guidelines and background material from the participation advisor.

## Joint requirements

In addition to the indicators identified by the pilot group and specific to each PCS, a number of common indicators will have to be informed by local evaluators about the context, process and impacts in all PCS. These include, for example, basic information about each event (pilot group meetings, representative group meetings, actions towards the public, etc.) such as the date, duration, list of participants, participants' selection, content and methods. The participation advisor will provide an online form for that purpose. This information will be used to exchange experience among PCS and analyse and communicate about SPARE process and results. These joint requirements will make the most of deliverables produced for WP T2,

T3 and T4 in order to maximize synergies and integration throughout the project and minimize the workload for local evaluators. For instance, information collected for D4.1.1 (Current river management approach in PCS) and PCS6 (large-scale individual pre-assessment) will be used for the context analysis of each PCS.

### Link with project reporting

Project reporting is a form of evaluation, which was not included in the paragraphs above. Some of the information collected through project reporting will be used for the evaluation of the process in each PCS and vice-versa.

## Glossary on roles and stakeholders

| | | |
|---|---|---|
| Facilitator | Facl | The local facilitator will be in charge of animating and facilitating all local actions / sessions with the various stakeholders. She/he must be used to organize and facilitate public participation in a multi-level context. She/he must be able to speak all local languages or dialects, and understand the essential cultural and social traits. She / he must be independent and acknowledged by all stakeholders as such: no specific personal agenda, no vested interest outside the success of the process. She/he must be aware of the issues although she/he is not expected to contribute to the content. She/he will attend all methodological workshops of the project; She/he must speak English. |
| Global observer | Gobs | Observers whose domain of expertise is national or international, or larger than the CS territory. They can speak English and contribute to the international extension and relevance of the project. |
| Local evaluator | Levl | The local evaluator is a person in charge of implementing and synthesizing the local monitoring and evaluation process. In principle this person should be independent from the manager or the pilot group (to avoid self-evaluation). She/he should be used to policy evaluation processes (ideally a profile in social sciences), |

| | | |
|---|---|---|
| | | be able to speak the local language and know local conditions. She/he will have to animate the co-design of the specific local evaluation protocol, and then to organize protocols and structure data collected from observations, surveys, indirect processing, etc. Finally she / he should process these data so that they are shared in the SPARE common framework, in English. She / he may have to participate to some global project meetings dedicated to monitoring and evaluation. |
| Local observer | Lobs | Observers whose domain of expertise is mainly inside the CS territory. They speak local language and participate to local adaptations of the process. |
| Manager (aka. process manager) | Mngr | The local process manager is the person in charge of deciding and steering the whole local PCS process. She / he can be either a political person or an administrative manager. She/he must be able to mobilize others and maintain the dynamics. She/he must know the needs and constraints of the process. She/he should stay the same until the end of the project. She/he will participate to all project's meeting related to the PCS. |
| Participation advisor. (or "coach") | Padv | Expert in participation in charge of supporting the manager and the facilitator in co-designing and steering the participatory process and its evaluation. Does not intervene directly locally. Only supports in background the implementation. Speaks English. Participates, to the extent possible, to all meetings where participation and evaluation are addressed |
| Pilot group | Pilg | The pilot group is a local group of 5 to 10 persons, selected and led by the process manager, who seeks their help for understanding and covering the various issues, for connecting to the relevant networks, for mobilizing the other groups. Members must be trusted persons for the manager, with whom she/he can easily address sensitive issues and find solutions for the process. They must represent the whole territory, the main social groups and sectors, even indirectly. The pilot group **is not supposed to address and solve directly the management problems**. They'd |

| | | |
|---|---|---|
| | | rather **NOT have any current decision role to avoid tendency to overwhelm participation** It is in charge of facilitating and ensuring efficiency of the process. They must be open and interested in participation. They don't decide the process. They advise and support it. They will attend only local management meetings; hence they are not supposed to speak English. Some can technically be also formal local observers. |
| Representative group (aka. Panel, assembly, parliament) | RepG | The representative group is **a smaller working group than the entire population but supposed to represent it and act on behalf of it** (as a legal court jury). Gathering a minimum of 25 people, it must represent the entire river system users and concerned populations. It should be representative in terms of water relation, geographical location, age, gender, and activity. This group will be dynamically identified after a stakeholders analysis, but it should stay globally the same throughout the project. It should include "unusual" participants, absent from the classical institutions. Members will be expected to participate actively to different activities: initial expectations, local methods training, PRE-PAR based design of the participation (about 2 days) / decision procedure, problem and policy framing, situation description / modelling, options proposal, options integration in strategies, strategy testing, implementation discussion, social extension, support and legitimacy. In total over 18 months they may be invited to a total of 6 or 7 activities. They may be supported financially therefore. All activities will be in local language. |
| Stakeholder | Sth | Any person who has an interest, who impacts or is impacted by the territorial project, or its consequences. Includes every habitant, experts and researchers, tourists, even national policy makers when they address local issues. NB often "stakeholders" is understood in a limited sense, restricted to intermediary or representative stakeholders. |

| | | |
|---|---|---|
| Thematic expert | Texp | Specialist (expert, scientist, consultant) for a given domain interesting for the CS and the stakeholders. May be consulted on various issues. May be local or global. Not planned initially they can be recruited for short-term missions if required. |

## Rules and requirements for the representative group

Notes: the name of the group itself can be adapted: panel, assembly, parliament, citizen council…

Typical content of the invitation and commitment document:

<< Introduction of the SPARE project and its local aims in the PCS>>

"*In this context, as a selected member of the Representative Group your role will be to participate to the different stages in the name of the entire population of the <RIVER> valley, to represent non-member citizens and to discuss all issues within the group and eventually with anyone from then population. It means you'll have to attend and participate actively to the following stages until February 2017:*

- *Discovering and considering several issues related to the river management and protection, as well as in terms of forms and methods of participation and decision.*
- *Discussing and deciding how the future process of participation will be organized, with whom, using which methods.*
- *Feedback to the general population.*

*This will mean at least 2 days of engagement during this period.*

*During this initial period, you will define yourself, within the representative group, what will be your role afterwards, how much you should contribute. Hence it is not possible at this stage to establish later requirements – BUT YOU WILL DECIDE IT.*

*As a member of the Representative Group, you commit to:*

- *Attend the 2 sessions planned before February 2017.*
- *Participate actively by providing your ideas, proposal, and critics.*
- *Fully respect the rules of each session, provided to you at its beginning.*

- *Listen to and respect equally all others' statements, proposals, critics. This doesn't mean you must agree with them but consider them in the dialogue.*
- *Fully respect the requirements and demands of the facilitators of the sessions, who are responsible for the good conduct and mutual respect.*
- *Engage and contribute to improve social well-being, river sustainability and regional development.*
- *Restrain from any external communication about individual statement, position, act held by another member.*
- *Within this last condition, communicate collective processes and results externally in a trustful manner, without distorting reality, and respecting individual anonymousness.*

*If so, you deserve the following rights:*

- *You cannot be held liable of any decision or any outcome.*
- *You are free to leave the group at any time if you consider these same rules are not respected, preferably after informing the process manager with explanations.*
- *You can express externally in public "as a member of the Representative Group"*
- *You will get the following support for your participation <…>*
- *<INCLUDE the individual information & privacy statement for your country, as required by local law>*

*If you agree with these principles, please sign this document, date and include your name and the following sentence "I hereby acknowledge these conditions and accept to respect them fully*".

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