Participatory Integrated Water Resources Planning

STAKEHOLDER ANALYSIS and INVOLVEMENT

UNESCO-IHE, April 2013

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Learning objectives

This courses will assist participants in:

- distinguishing between ‘good’ and ‘poor’ involvement;
- understanding the rationale and the benefits of working with stakeholders;
- identifying the most important stakeholders in the river basin / city and getting them involved;
- planning and coordinating a stakeholder process in the long run;
- becoming aware about the costs and other challenges of stakeholder involvement; and
- assessing the stakeholder process and its outcomes through a case study.

Contents

Adapted from the SWITCH training kit (www.switchtraining.eu)

- Part 1 – The need for effective stakeholder involvement
- Part 2 – Stakeholders in urban water management
- Part 3 – Stakeholder involvement and sustainability
- Part 4 – Putting stakeholder involvement into practice
- Part 5 – Involving stakeholders in strategic planning for IWRP

Part 1 – The need for effective stakeholder involvement






Integration needs collaboration

... because it is important to ...

- get a holistic overview of current water uses in the basin (or city / water body / …)
- develop a common vision of water in the basin for the future
- balance interests and needs of users
- create synergies and bundle resources and capacities

Shortcomings of current approaches to stakeholder involvement

- Patchiness
- Its value is not appreciated
- Stakeholders as mere listeners
- Disadvantaged groups excluded
- One-way relationship with researchers
- Servicing a political agenda
- Lack of coordinating capacity

- *Cf discussion in Water Governance course + Cleaver, 1999*

A more effective approach to stakeholder involvement

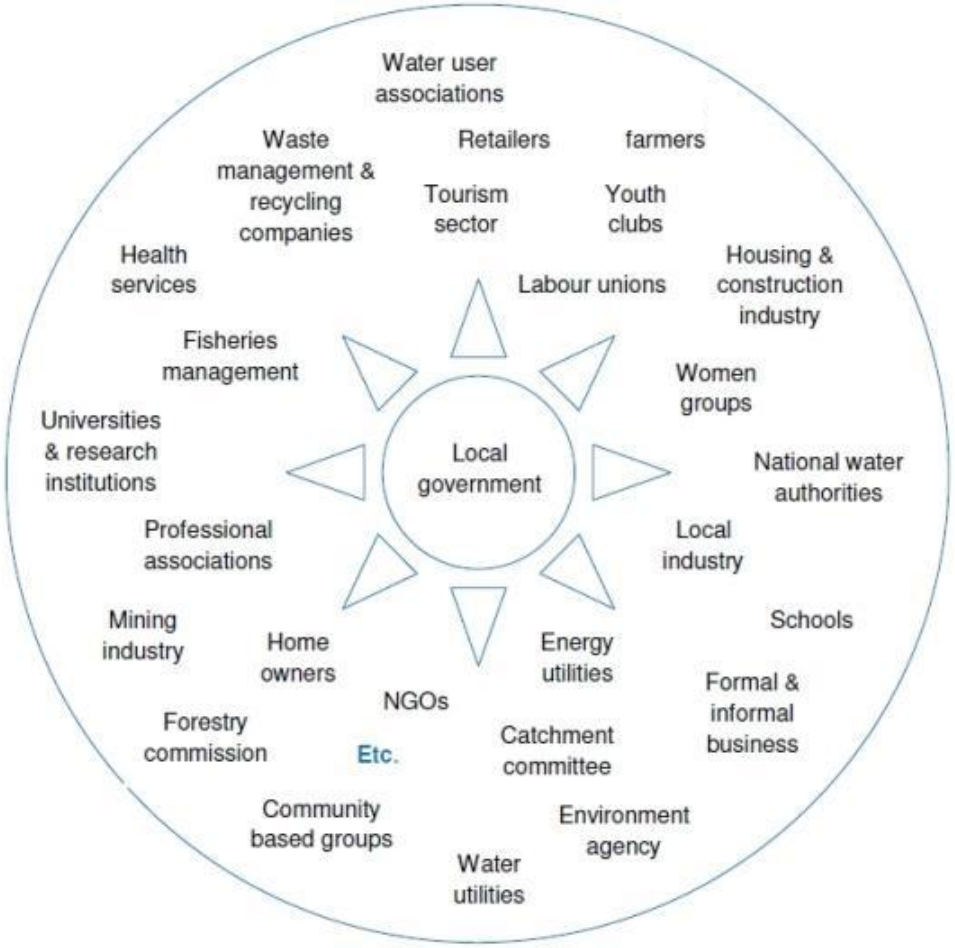
To reduce:

- Inefficiency
- Social inequity

Multi-stakeholder involvement:

- Experts, decision makers and water users
- Increases awareness, cooperation and ownership
- *Needs to be prepared and managed wisely*

Part 2 – Stakeholders in water management



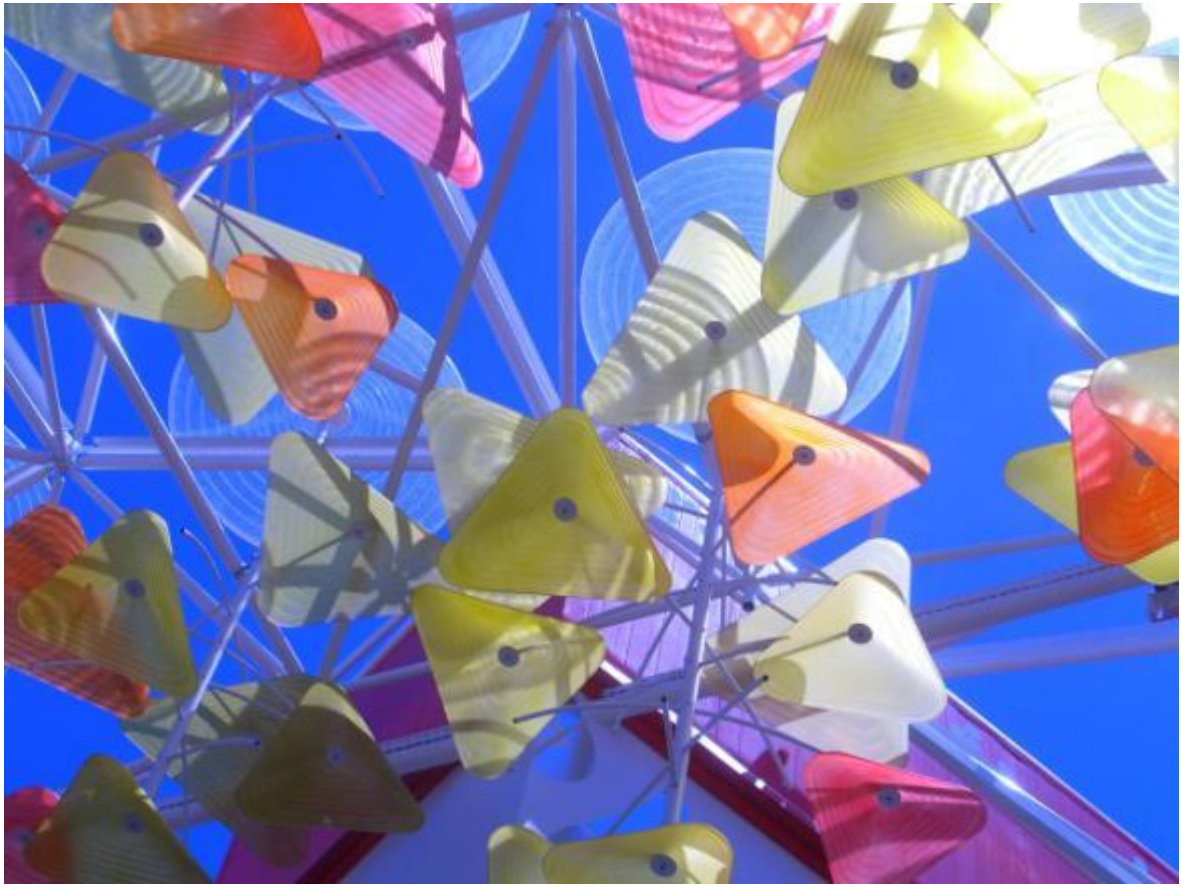
Stakeholders in water management are

- different spheres of government: regional, national, sub-national, local
- water utilities and companies
- farmers
- businesses
- community-based organisations
- universities and research institutions
- schools
- media ...

Water mandates in river basin planning

- Ministries
- WAUs
- ...

Part 3: Stakeholder involvement and sustainability



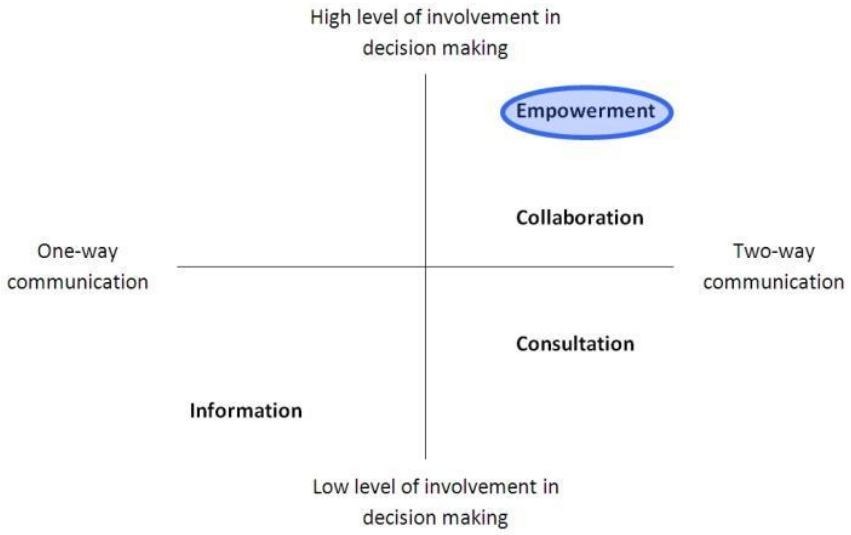
Good governance – UNDP principles

Principles of good governance	
Legitimacy and voice	Participation
	Consensus orientation
Direction	Strategic vision
Performance	Responsiveness
	Effectiveness and efficiency
Accountability	Accountability
	Transparency
Fairness	Equity
	Rule of law

Part 4: Putting stakeholder involvement into practice

Different levels of involvement

- Information
- Consultation
- Collaboration
- Empowerment

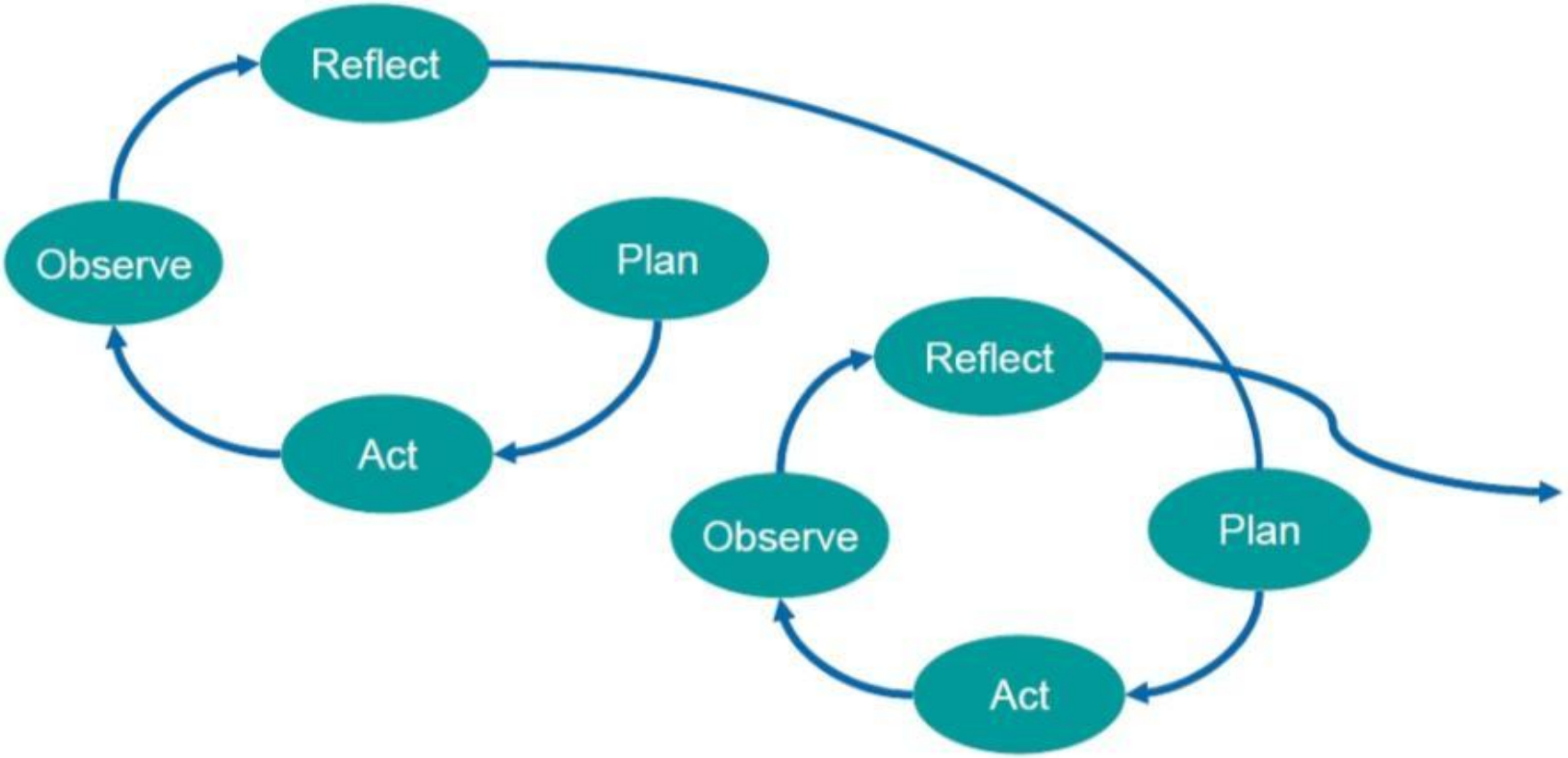


Informal and formal approaches

- Informal:
- \+ Good for thinking outside the box
- \- Lack of formal mandate means decision making is not influenced / Unstable group

- Formal:
- \+ Recognised status / Binding character
- \- Participants act within the mandate of their institutions: less innovation

Learning alliances

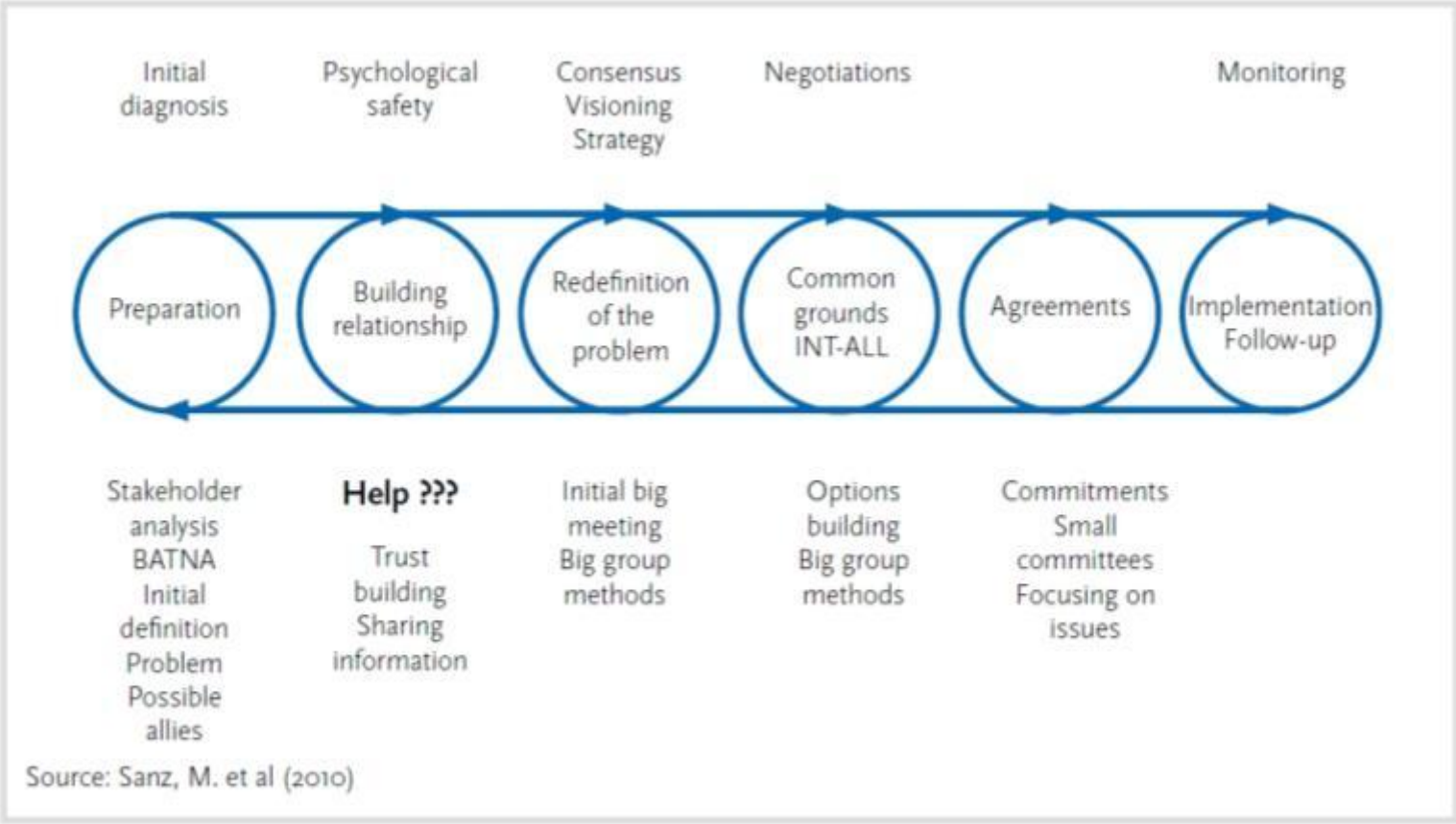


Social inclusion

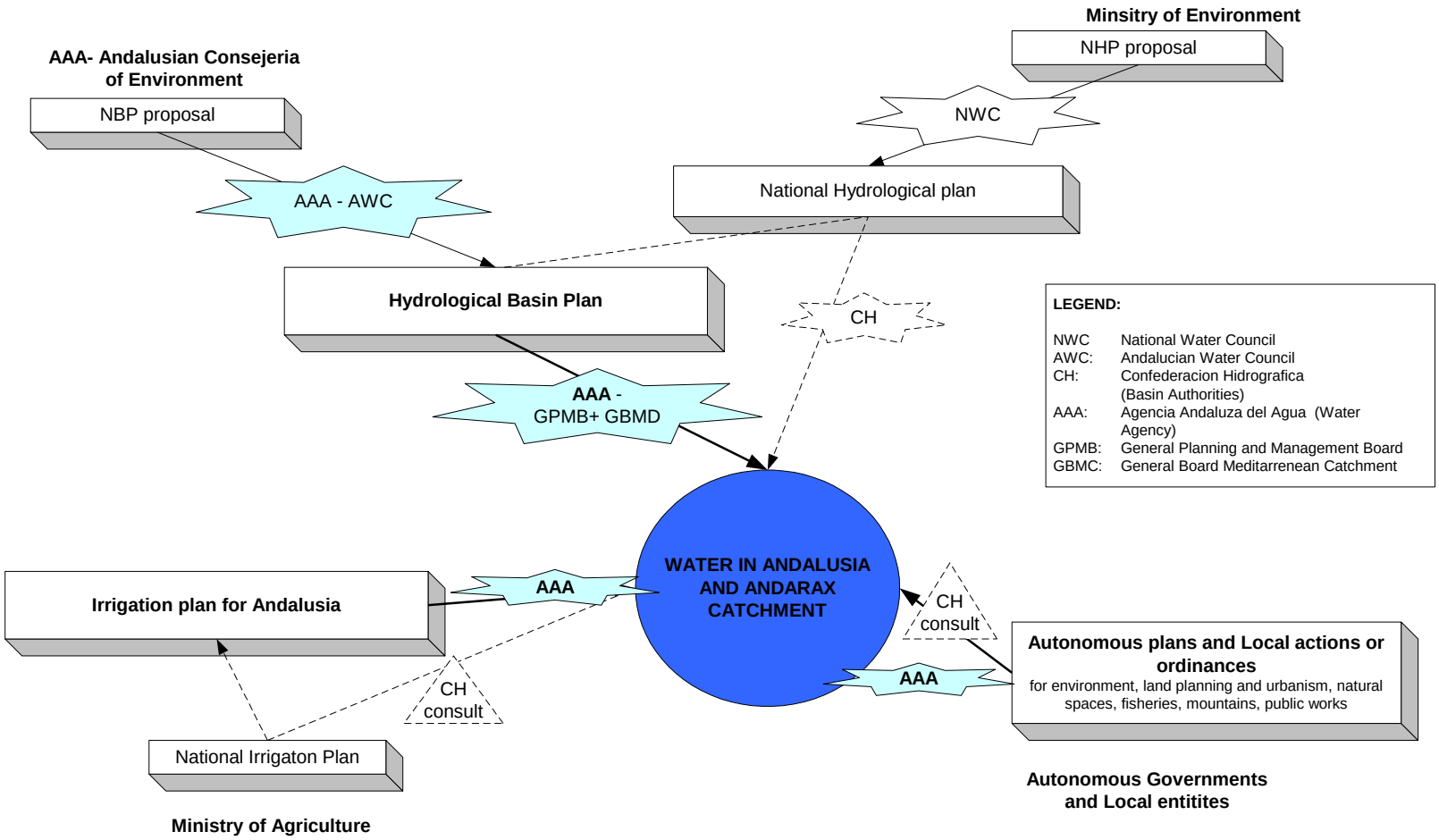
- Fair access to water
- Basic needs of all water users to be met
- Disadvantaged groups of society must have their say, too

Social inclusion (2)

- SASI – a Systematic Approach for Social Inclusion



Part 5: Involving stakeholder in strategic planning for IWRM

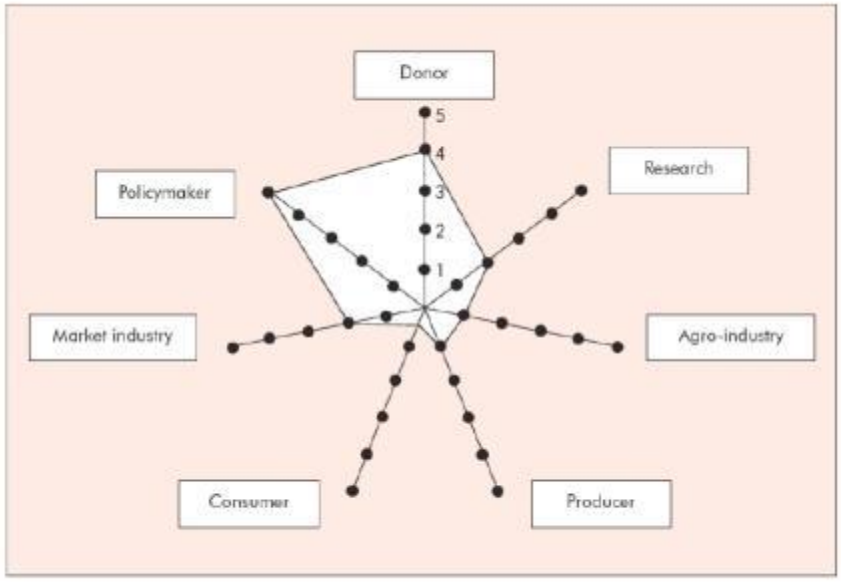


Stakeholder analysis as the first step

- Stakeholder analysis:

- Initial brainstorming
- Stakeholder analysis
  - Differentiate key, primary and secondary stakeholders
  - Rank stakeholders according to importance and influence

Stakeholder analysis (2)



Source: 'SWITCH in the City' (2011), Part II

High Importance / Low Influence	High Importance / High Influence
A	B
C	D
Low Importance / Low Influence	Low Importance / High Influence

Source: UK Department for International Development, 2002

Institutional mapping

- Looking behind the scenes of power relationships
- Understanding the reality – rather than the rules
- Can lead to politically sensitive results
- Should be undertaken by researchers or consultants

Estalishing a process for stakeholder involvement - recommendations

- Clarify the stakeholder process goals and expectations
- Maintain transparency regarding roles and interests
- Focus on the needs of the rive basin as a whole (clear link to situation/problem analysis)
- Try to create win-win situations
- Strive for early tangible results

Establishing a process for stakeholder involvement - financing

- Staff
- Communication costs
- Print materials
- Moderator for meetings
- Cost for meeting venues, equipment, materials and catering
- Expert advice and training

Establishing a process for stakeholder involvement – Focal point for coordination

- Managing internal collaboration
- Ensuring coherence with other strategies and policies
- Linking internal and external stakeholders
- Development of Terms of Reference
- Hiring facilitator and moderator
- Planning and administering budget

Establishing a process for stakeholder involvement – Getting stakeholders on board

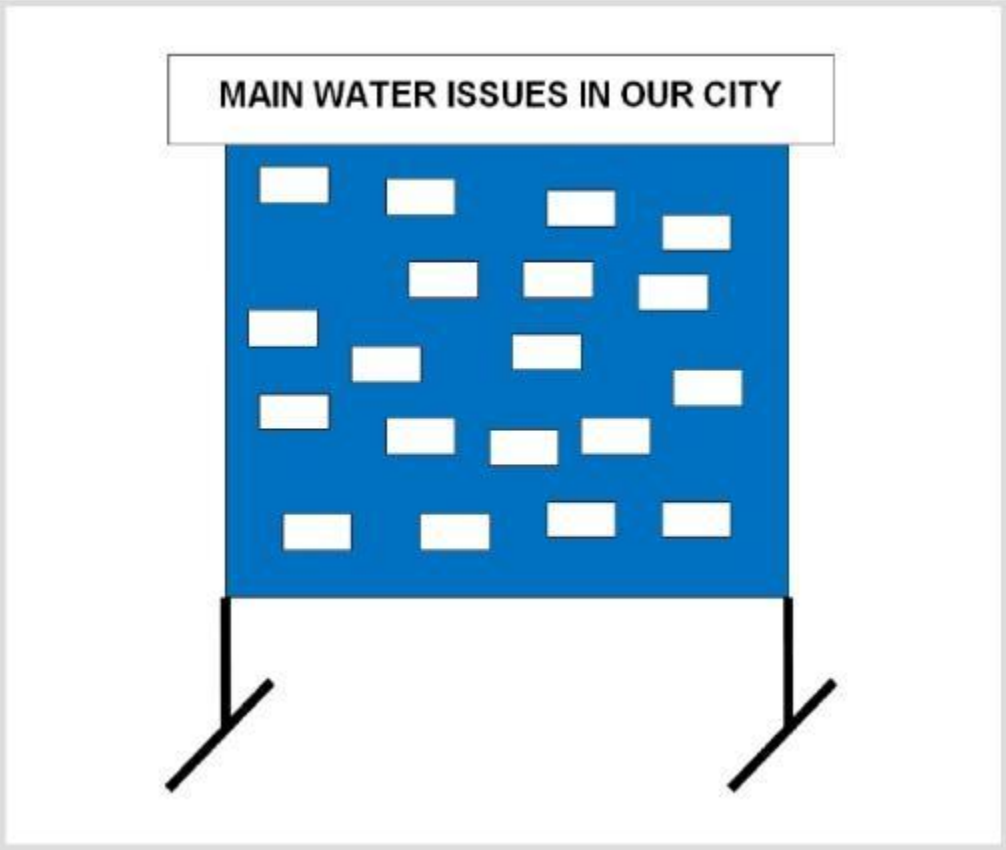
- Understand different interests/ agendas of stakeholders
- Speak their language
- Highlight benefits, provide incentives
- Create space for those less familiar with participation
- Aim for ownership through development of common vision

Working with stakeholders effectively – information flow

- Ensuring early outputs
- Highlighting success
- Raising profile of stakeholders engaged

Website of the local SWITCH Learning Alliance in Birmingham, UK http://switchbirmingham.wordpress.com

Working with stakeholders effectively – Moderating meetings



Working with stakeholders effectively

Scenarios for objective	Score
There is no accessible record of stakeholders involved and of their actual involvement in various events and activities.	0
There is an out-of-date record of stakeholders and their actual involvement in events and activities.	25
There is an up-to-date record of stakeholders and their involvement, and some basic communication tools are systematically used (e.g. email, phone) between events.	50 (benchmark)
There is an up-to-date record of stakeholders and their involvement, and archives are maintained through systematic use of advanced communication tools such as a message board or an Internet Forum.	75
Information on the involved stakeholders is accessible to all (e.g. via an on-line database), participation in all events and activities is systematically recorded and a combination of methods is used effectively (based on feedback received) to communicate between events.	100
Justification of score (with date)	**Score awarded**

Stakeholder involvement in the Andarax river basin

Case study on 3 parallel stakeholder involvement initiatives

Participatory water resources planning and collective groundwater management

- Participatory water resources planning ~ adaptive management and IWRM
- Collective management and groundwater resources
- Multi-level governance initiatives to improve water resources management trough participatory processes or organs – case study analysis
- Importance of
  - Who is participating and why: motivation, power, → equity?
  - How do we participate: Information presentation, digestion and follow up → efficiency and social learning?
  - Implementation of the outcomes + monitoring (~operational capacity) → adaptation?

Improving water management trough participatory processes → collective groundwater management

- 3 initiatives at different scales, multiple levels

1. Official planning process by water agency at regional scale (multiple basins): Information sessions, sectoral workshops and citizen juries for information and consultation on preliminary diagnosis and draft hydrological plan

2. Multi stakeholder platform for participatory planning at basin scale – ALTAGUAX project

3. Establishing a water user board and regulation plan at aquifer level by public consulting body – Project on Regulating of Water Ressources of Middle and Lower Andarax (POMBA)

- Analysis of strong and weak points in the processes, opportunities and challenges for participation, integration and implementation

Improving water management trough participatory processes → collective groundwater management

- 3 initiatives at different scales, multiple levels

1. Official planning process by water agency at regional scale (multiple basins) - AAA

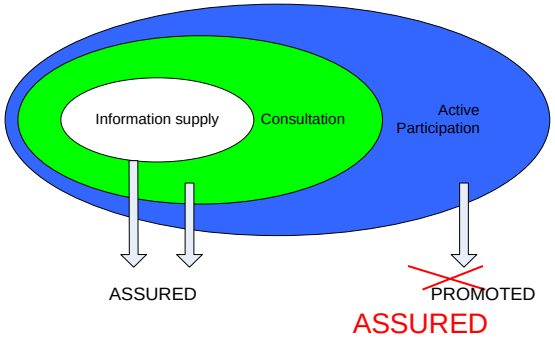
2. Multi stakeholder platform for participatory planning at basin scale – ALTAGUAX

3. Water User Board at aquifer level by public consulting body – POMBA

- Analysis of strong and weak points in the processes, opportunities and challenges for participation, integration and implementation

1. Official planning process by water agency (AAA) – introducing new content and actors

- Internal changes + EU Water Framework Directive
  - Environmental uses and good status of water bodies
  - Public participation (article 14)
  - Principle of Cost recovery



→ Changes in planning process: Integrated Water Managament

→ Changing institutions and tasks

→ Water council now integrates different voices

→ Organization of « Participation days » - Different publications and sensibilization campaigns

→ Environmental Impact Assessment, Economic Analysis, Action Plans

= a different table

New content on table = Scheme of important themes

- Start of elaboration Hydrological Plan
- Structuring of diagnostics in themes
- Linked to strategies for actions (measures to mitigate problems)

- Public consultation per sector + experts + web consult
  - Agriculture, Industry, Tourism
  - Province
  - On invitation

- Once approved on this plan is translated into action plan + hydrological plan project + environmental assessment
- After next round of consultation approval of hydrological basin plan and inclusion in national hydrological plan

DEMAND SUPPLY AND RACIONALITY OF USE	
Problems of satisfying present and future demands	
NON-COMPLIANCE OF ENVIRONMENTAL OBJECTIVES	
Unsufficient superficial flows	
Agricultural nitrate pollution	
Pollution by phytosanitary products	
Pollution caused by urban waste water discharge	
Industrial or other pollution	
Degradation of biotic environment	
Morfological changes and riverbed instability	
Desertification processes and sediment depostion in the river network	
Overexploitation of aquifers, marine intrusion and other salinization processes	
Damage to habitats and species of interest	
EXTREME METEOROLOGICAL PHENOMENA	
Flood risk	
Vulnerability to drought	
KNOWLEDGE AND GOVERNANCE	
Administrative, organizational and management problems	

Participation events in planning cycle: what? who? when?

	What	When? frequency	Who	Remarks
Information days	Presentation of planning cycle and general observations	6 days in June and July in different cities	Users, experts, other stakeholders (on invitation)	Province and autonomous level
Citizen juries	Selection of citizen and invitation during 2 days in hotel for discussion	2 days in May and June	25 citizens randomly selected in the province	Presentation of various experts, debates and inquiry
Territorial workshops	Presentation of draft plan, Q&A and evaluation action plans	1 afternoon per province	Users, experts, other stakeholders (on invitation)	Province level
Bilateral meetings	Meeting with the competent authorities to discuss specific parts of the plan	On demand	On demand	No further information
Meeting on ecological flows	Discussion on ecological flows in river basins	1 afternoon per province	Users, experts, other stakeholders (on invitation)	

- Scale = province or larger scale
- Frequency
- Feedback

Who participates?:
interest groups→ regional water council

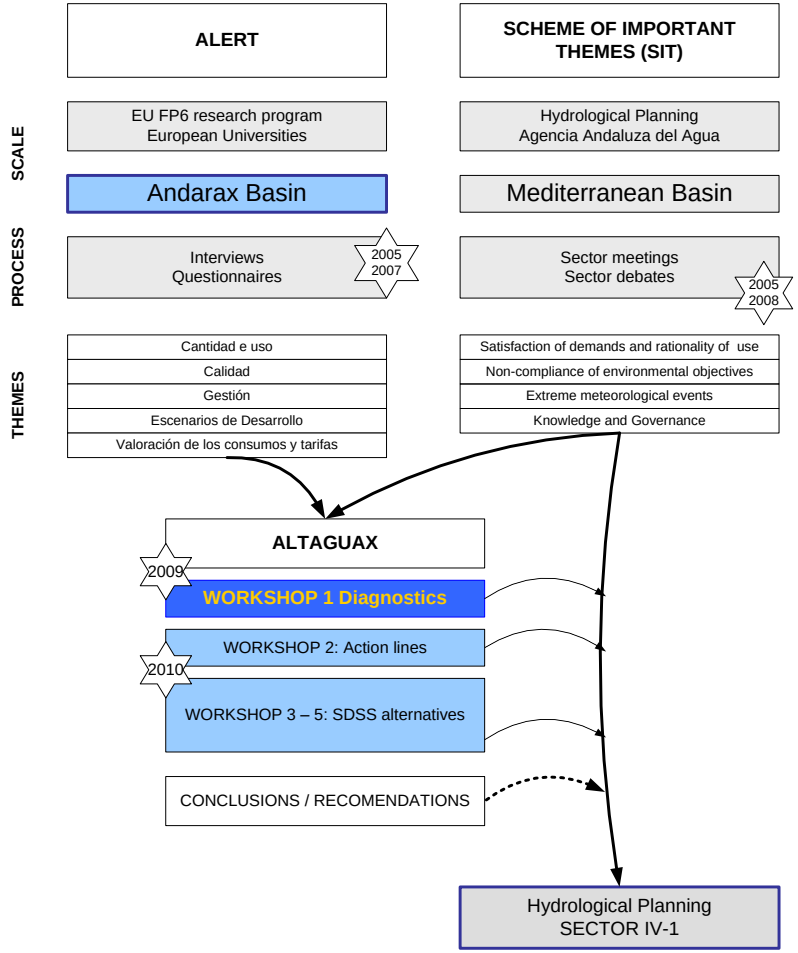
Observations official participatory planning

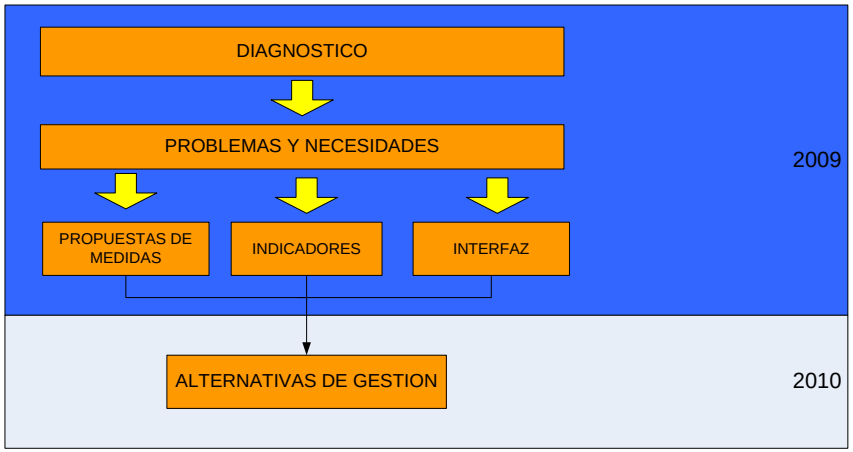
- On composition of work group and motivation
  - Focus on users (sectoral and territorial meetings) + compensation trough organization of citizen juries
  - Frequency and scale of participation/consultation is far from sufficient (no common ground)
  - No clear feedback, some actors not invited to council meetings (ecologists)

- On work plan and information flow
  - Public information improved substantially, but detail of analysis not sufficient + lack of coordination
  - Vast amounts of information (ETI = 300 pages, draft plan = 327 pages + 9 annexes of +- 200 pages)
  - Use of Scheme of Important Themes improves the process
  - Need for technical people to detail the information in the plan during the sectoral/territorial meetings

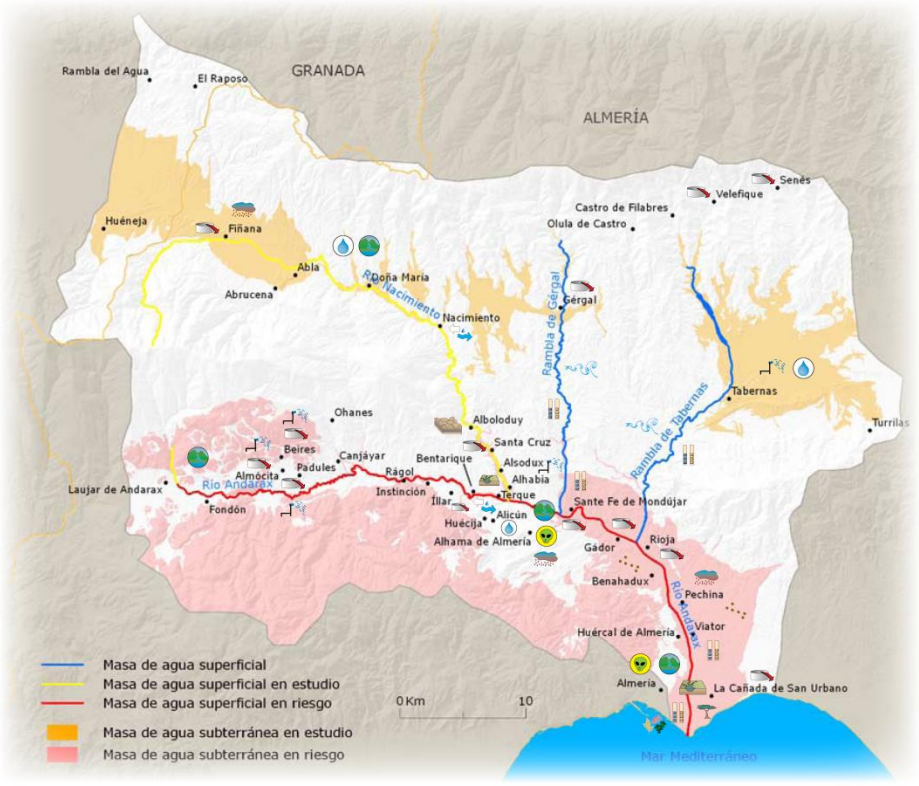
- On capacity for social learning and implementation
  - Cyclic process with follow up of the plan objectives and measures , ongoing process - but previous identified lack of planned monitoring jeopardizes social learning
  - Absence of economic valuation of action plans → no implementation strategy / no cost-efficiency
  - Implementation of various action plans remains at different ministeries , no real coordination by the planning authority
  - Political processes and economic crisis heavily way on the process (plans are not being approved by national authority for implementation) - funding problems

2. Multi-stakeholder platform at basin scale (Altaguax)





Workshops on validation of diagnosis (1) and proposition of action plans (2)



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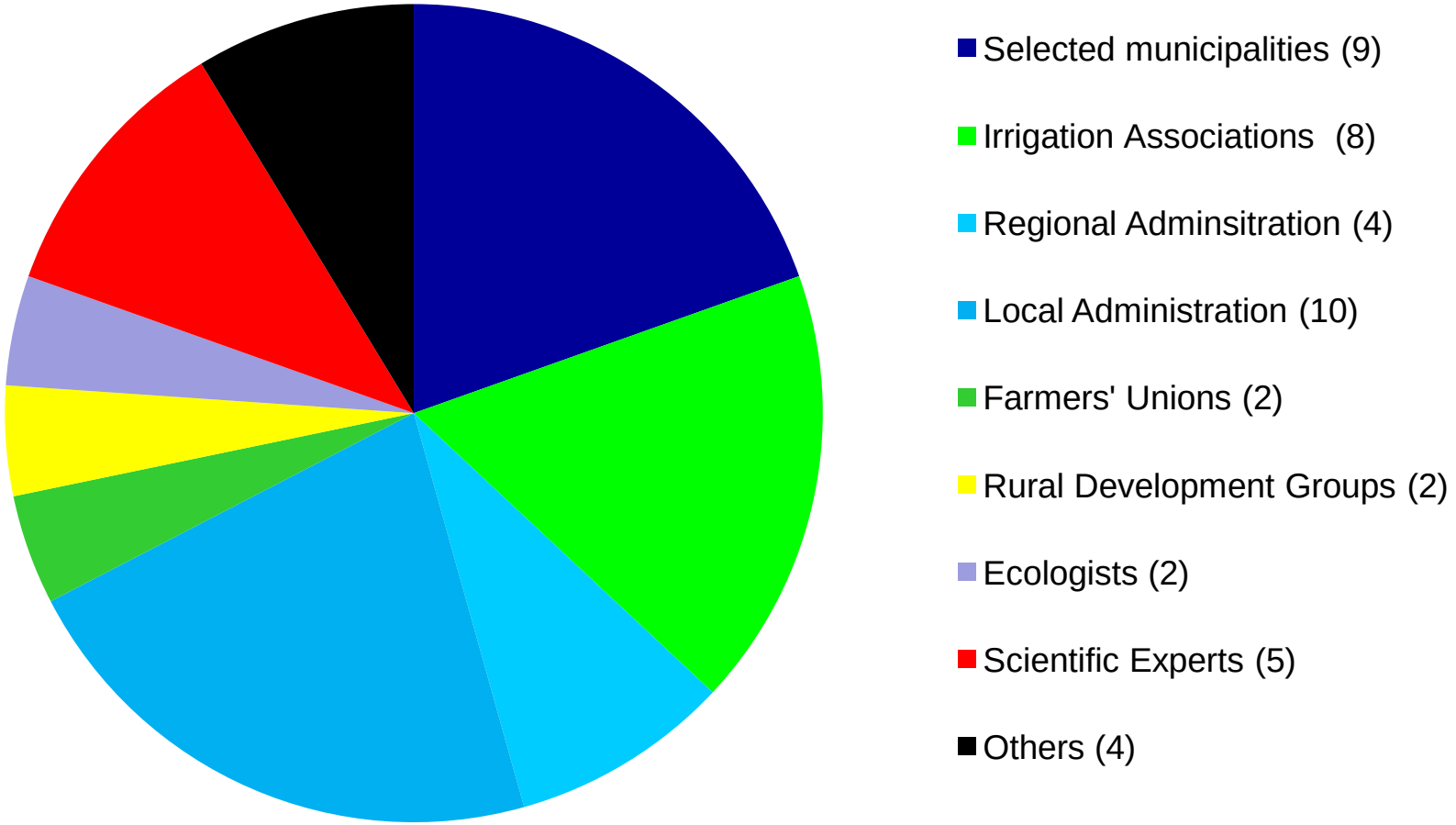
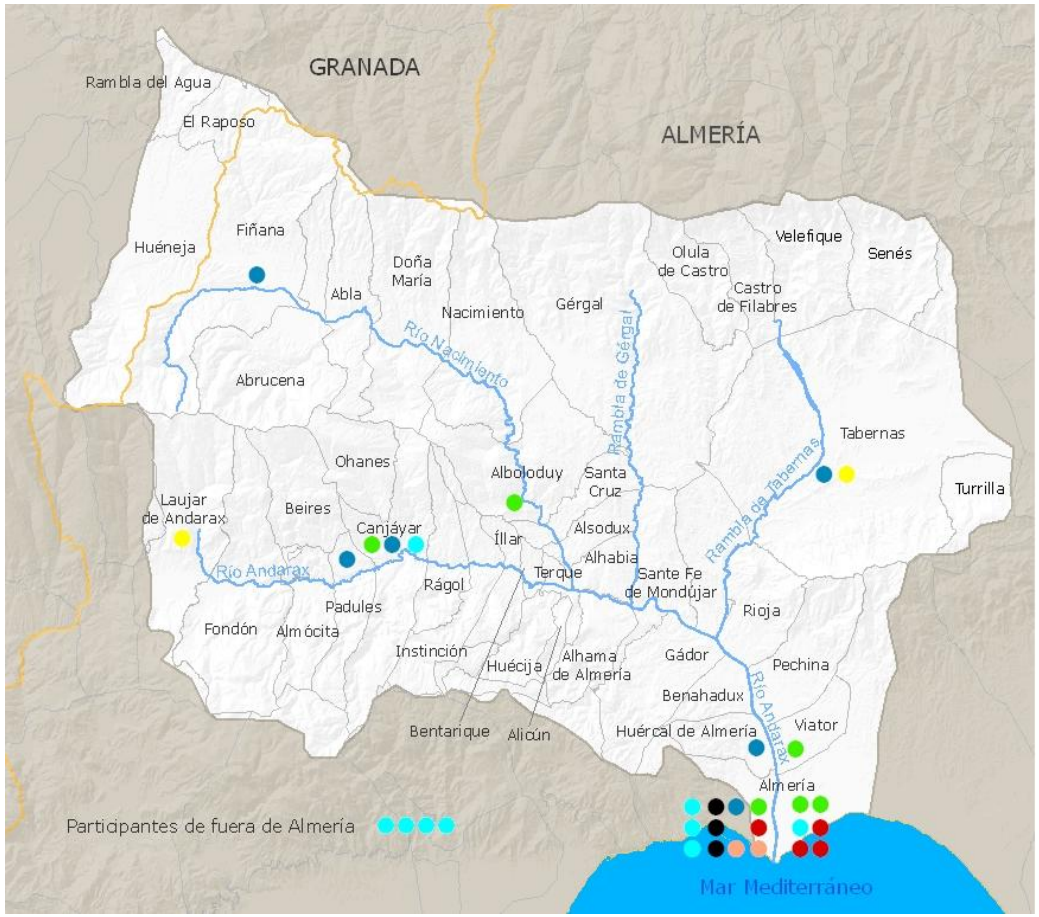
Who participates?: multi stakeholder platform



Who participates?: multi stakeholder platform



- Irrigation associations / Farmer organizations
- Municipalities
- Rural development agents
- Administration
- Other (private, neigbourhood)
- Experts (scientific, technical)
- Ecologists

→ covering different
interests
sectors
locations

UNESCO-IHE Institute for Water Education

Work flow: workshops on validation of diagnosis (1) and proposition of action plans (2)

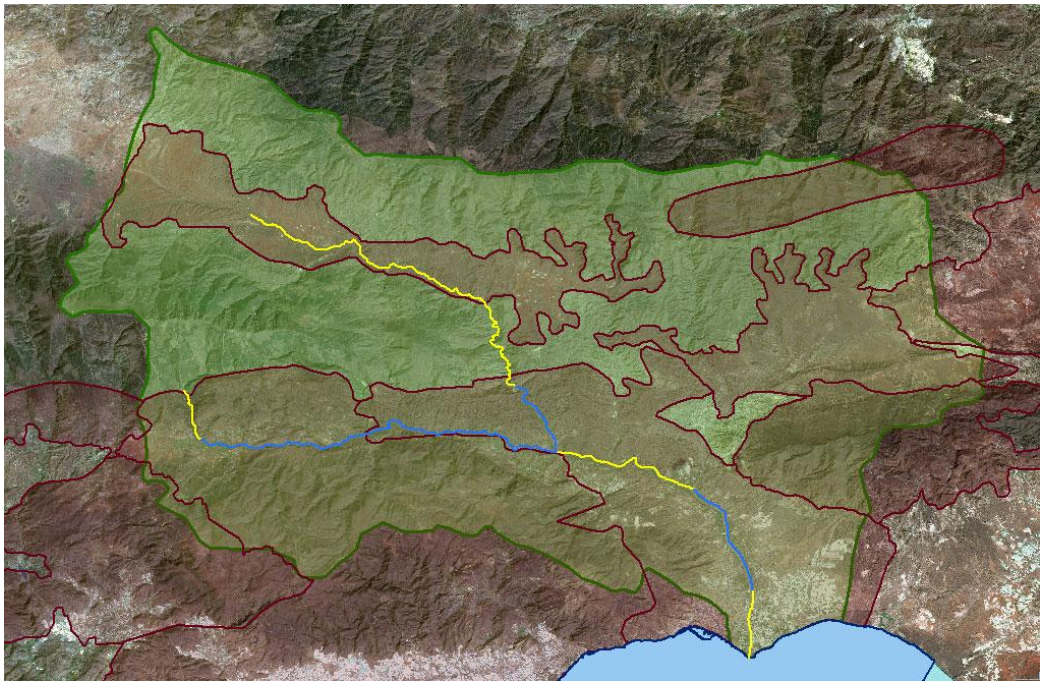
Work flow: workshop on decision support system (3) and allegations to draft plan (4) + *final test DSS (5 – on going)*






Workshops 4: Objectives

- Get closer to stakeholders: 26, 27 and 28 October



- Formulation of petitions against draft hydrological plan = direct benefit
- Formulation of alternative management strategies to be discussed during workshop 5

WorkshopS 4: 26-28/10/10
Comparison diagnostics Altaguax – PH and petitions






Workshops 5: Objectives

- “Retomar el pulso”
  - Petitions against the hydrological plan – answers received
  - Hydrological Plan presented to National Council – planned actions
- Presentation of alternatives/scenarios that will be evaluated with the revised SDSS tool
- Tests with the SDSS – individual/group and debate/evaluation
- Evaluation and closure of the ALTAGUAX project

Workshops 5: 17/02/12

Observations multiple stakeholder platform

- **On composition of work group and motivation**
- Create a solid working group (experience, trust, motivation, knowledge)
  - Representation of all sectors in different geographical locations in the basin
  - People gradually loose 'shame' to talk, build up confidence and create transparancy

  - Call call call, visit visit visit during several years in MSP
  - Feed back sessions needed to keep participants motivated – again importance of scale

  - Importance of presence decision makers to assure participants are heard
  - Importance of presence administration technicians to clarify the debate

- Who participates and who doesn't? What strategies to motivate?

  - Majors are very difficult to engage in the processes that are not directly linked to operational level
  - Smaller stakes get lost after workshop 1 in MSP, picked up again by one to one interviews and multiple workshops 4 → importance of scale, importance of cost/benefit

Observations multiple stakeholder platform

- **On work plan, information flow (creation of transparancy and system knowlegdge) and capacity for social learning and implementation**
  - Information gradually presented
  - Large emphasis on diagnosis (2 workshops) → creation of common ground
  - Maps and web page as supporting tools, however hardly used outside of workshops
  - Sessions of 2* 2,5 hours

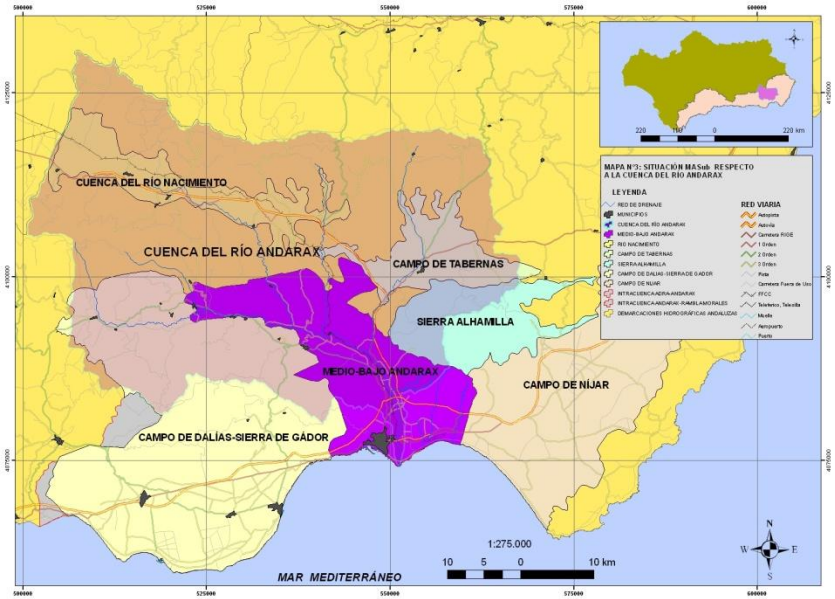
- Dynamics, material and timing
  - Clear objectives, calendar and time frame make the process more robust
  - Facilitation!

  - Fundamental to have an extended debate on the diagnostics – issues of scale
  - Repetition on diagnostics helps to create collective identity

  - Sufficient time needed for consultation of previous documents
  - Web environment motivates, however, it is hardly used out of workshop

3. Establishing water user board at aquifer scale - POMBA

Agencia Andaluza del Agua
CONSEJERÍA DE MEDIO AMBIENTE
Cuenca Mediterránea Andaluza



Work flow = discuss and define competences

- To attain a sustainable use of the available water resources in groundwater body 060.012, solving problems of overexploitation and pollution, both from groundwater resources as from the existing non conventional resources that can supply to the members of the Central Users Board in the future

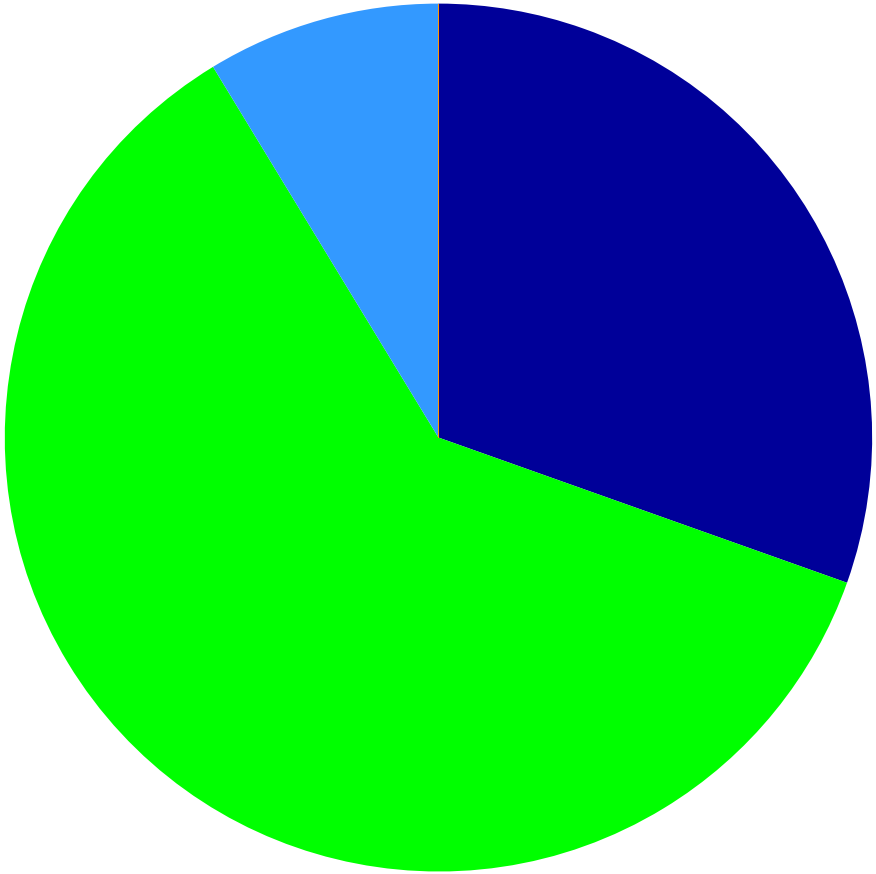
- Establish necessary actions and measures towards rational water use, monitoring of quantitative and qualitative status, pollution control, and improved artificial recharge of the groundwater bodies where viable. Comply with hydrological plan + enhance members on savings, rationing, optimization

- Control of uses and abstraction rates
- Collaboration and dialogue with Andalusian Water Agency, collective defense of interests

- Inform on all proceedings for granting, modification or extinction of user rights of the water resources

- Guarantee the availability of sufficient water resources, trough incorporation of non-conventional resources for all uses

Composition Central Water User Board at aquifer scale



- Municipalities
- Irrigation Associations
- Water Utility
- Water Agency (local)
- Experts, ecologists, unions, companies

Observations Water User Board

- On composition of work group and motivation
  - Invitation of water users in the area, based on registrated uses
  - Virtually limited to urban and agricultural water use
  - Direct motivation as this is going to be the regulatory authority

- On work plan and information flow
  - Revision and update of registrated water rights (private and public)
  - Interviews in the field and control of boreholes
  - Discussion of legal framework and 'estatutos', composition and competences of the Water User Board
  - Creation of water balance at the aquifer scale + estimation of available resources and allocation plan (not completed)

- On capacity for social learning and implementation
  - Outsourcing to public company(Tragsatec), technocratic approach
  - Limited consideration for alternative approaches (cf composition work group), no information on revision of the established 'Plan de Ordenación'
  - Direct link to implementation in the competences in estatutos
  - Political processes and economic crisis heavily way on the process (water balance and plan de ordenación not completed) - funding problems

Strong points of current multi-level governance and participation

- Efficiency arguments
  - Improved public information
  - The participation processes have more credibility when the Scheme of Important Themes is used
  - More effective processes when administration technicians participate as technical help
  - Flexible rules improve the process (possibility to include suggestions)
  - Processes with a clearly explained calendar and methodology are more robust
- Equity and empowerment arguments
  - When adequately organized public participation is a real opportunity to inform and educate citizens on the new objectives of water management and have them participate in the decision making
  - .....But are they adequately organised?

Weak points of current multi-level governance and participation

- Effiency arguments
  - Lot of the processes lack clear objectives: there is a need to explain that their main goal is to reach WFD objectives: why?
  - No good facilitation
  - Time schedules don't allow to have an indepth discussion and reach a satisfactory solution to the presented problems, too much information that is not mediated
  - Scale of processes are not linked with the management unit

- Equity and empowerment arguments
  - Most of the processes are focused on interest groups and haven't been translated to the general public (new voices have difficulties to reach the table)
  - Unclear future of the current participation processes is: need to integrate and follow-up with the future processes of planification
  - Parallel communication channels between interest groups and administration (back doors)
  - The relevance and utility of public participation has not been fully acknowledged by the management responsibles

Conclusions

- Limited institutional capacity to implement these new planning processes (~historical context)
- Scale issue, river basin organisation are not implementing the participation process ←→ motivation (need to create a direct interest for stakeholders important for creation of trust and active motivation)
- Limited society capacity to participate → importance of the process as gradual social learning, need to include different voices at the table
- Implementation needs clear competences, realistic cost estimations and subsequent funding
- → need for vertical integration of different initiatives, polycentric governance needs integration to be set as a goal from the beginning
- ICT and web tools offer enormous opportunities to support these processes but dynamics need to be continuously reactivated during the processes

Checking the learning objectives

?? Did the lectures help you to:

- distinguish between ‘good’ and ‘poor’ involvement;
- understand the rationale and the benefits of working with stakeholders;
- identify the most important stakeholders in the river basin / city and getting them involved;
- plan and coordinate a stakeholder process in the long run;
- become aware about the costs and other challenges of stakeholder involvement; and
- assess the stakeholder process and its outcomes.

Thank you