Question 5:

NEW FORMS OF DECISION MAKING

What new forms of decision-making are the most promising with regard to sustainable development when it comes to negotiating regional planning demands?

Final report

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CIPRA
Future
in the Alps

Picture on the front page: ´The Effects of Good Government in the Countryside´, Lorenzetti, 1338-1340, detail of fresco in Palazzo publico, Sienna

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1 INTRODUCTION

1.1 PRESENT SITUATION

The importance of public or citizens participation and governance issues has been increasing in the last years. On the one hand, this is due to international strategies, procedures and legal issues like the Aarhuis Convention (UNECE), the Local Agenda 21 (UN), the Convention on Biodiversity (UN), the Flora-Fauna-Habitat Directive (Natura 2000, EC), the Water Framework Directive (EC), the EIA and SEA Regulations (EC) and the European White Book ´Governance´ (EC). All these procedures and guidelines stress the importance of public participations but do not include detailed regulations.

On the other hand, individuals such as land owners, interest groups like farmers´ associations and the civil society in general demand – and are demanded – for more and more involvement into planning and decision making: for management plans, development concepts or strategies and infrastructure projects.

Public participation and new ways of decision making are often experienced as a big challenge – or even as an excessive demand: by decision makers, planners and persons working in administration on different state levels as well as by economic actors, interest groups and the citizens themselves.

Relations to the Alpine Convention

Public participation and new ways of decision making are not explicitly mentioned in the Alpine Convention (AC). In the preamble of several protocols it is mentioned that the local population should be enabled to define their ideas on social, cultural and economic development. Locals should also be involved in the implementation of these ideas within the frame of existing regulations.

Further the AC demands for an integrated policy including negotiations and balancing of interests among the involved parties (political authorities, alpine regions, member states, EU).

1.2 AIMS

The aims of Question 5 are:

- To raise awareness towards the potentials, advantages and risks of public participation and new ways of decision making
- To contribute to a change of behaviour and to an increasing number of projects and other activities using public participation and new ways of decision making

The target groups of this question are decision makers in governmental bodies, administration and in the private sector, regional managers, consultants, entrepreneurs, researchers, members of NGO´s, local and regional initiatives.

1.3 TASKS

The team agreed to slightly change the tasks and the guiding questions, which were finally formulated as follows:

Task 1: To highlight the innovative potential for decision making processes. How can existing forms of opinion building and decision making be improved and enhanced by including new elements of communication and collaboration, with the aim of achieving more sustainable solutions and decisions? 'Future in the Alps' is to summarise the state of practice of decision making processes in Alpine (and other) countries, the current standard of knowledge with regard to participation (research and practice) and publish the findings throughout the Alps.

Task 2: To publicise and promote the use of innovative approaches of opinion building and decision making. 'Future in the Alps' is to gather examples of good practice for new forms of decision making processes and to extract the lessons learnt for the improvement of existing practice with regard to sustainable development with specific focus on the issues of: regional value added, governance capacity, nature conservation, mobility and policy implementation.

1.4 GUIDING QUESTIONS

(1) What are the 'hot spot' issues (conflicts, problems) regarding existing decision making processes in the Alps? Which policy fields are mainly concerned?

(2) What is the existing practice of decision making processes regarding these issues (identification and focus on main types), what are their deficiencies and what is the potential of their improvement (strengths, limits)?

(3) Which frameworks are needed in order to improve the decision making processes with regard to sustainable development?

(4) What are the criteria to choose the methods and identify the stakeholders (fitting of methods and context)? Which methods are most suitable for which kinds of decision making processes?

(5) What can we learn from good practice of decision making processes with regard to the application (initiative, effectiveness, integration of new elements in existing legal frameworks) of new forms of decision making processes?

1.5 DEFINITION ´NEW FORMS OF DECISION MAKING´

But what does ´new´ forms of decision making mean? When can we say that new forms of decision making are used? The Q5-Team characterises ´new forms of decision making´ as follows:

- The procedure allows the integration of different types of knowledge (expert knowledge, ´local´ knowledge, scientific knowledge, practical knowledge) by providing the required framework. Knowledge transfer between the different groups is desired and supported.
- The issue dealt with is embedded into a wider and integrated approach, where at least neighbouring topics (horizontally and vertically) are considered.
- There is a negotiation process with clear aims, rules and defined expected outcomes. Those, who are responsible for the procedure, actively encourage cooperation between the (conflicting) parties involved into the procedure.
- ´Decision making´ does not include only the decision itself, but also the procedure which finally leads to the decision: information, awareness raising, opinion building, negotiations etc.
- The decision making procedure has innovative potential compared with the traditionally used decision making procedures in either it's concept, methods and tools

or involved actors. The decision making procedure may be already established or regularly used in some contexts, but should offer new possibilities for applications in other geographical, political or problem areas. Exclusively theoretical options that have not been tested in practice are not included.

Following issues of the other six questions of ´Future in the Alps´ are directly related to new forms of decision making:

- Question 1: the establishing and management of regional value added chains, of public private partnerships or of co-operations of local enterprises
- Question 2: the maintaining of local public services, the building up of new local infrastructures, the development of regional future visions, concepts for fostering local or regional identity
- Questions 3: the establishing of protected areas, the development of nature protection concepts and the implementation of management plans for protected areas
- Question 4: the elaboration of transport concepts, the realisation of infrastructure projects, the carrying out Environmental Impacts Assessments (EIA) and Strategic Impact Assessments (SEA)
- Question 6: the preparation of political strategies, the elaboration of political concepts or plans and their implementation through policy measures.

1.6 THE TEAM OF QUESTION 5

Partner	**Function**	**Responsible person**
Core team ´Future in the Alps´	Partner 1, co-ordinator	Wolfgang Pfefferkorn
Urban Planning Institute of the Republic of Slovenia, Ljubljana, Slo	Partner 2	Mojca Golobič and Sergeja Praper
Swiss Federal Research Institute WSL, Department Landscape, Section Landscape and Society	Partner 3	Marc Zaugg Stern and Matthias Buchecker

2 WORKING PROGRAMME AND METHODS

2.1 WORKING PROGRAMME

The team of Question 5 started co-operation in June 2005. The working steps are described in the table below:

Steps of work	Results, products	Duration
1. Exchanging first ideas, adapting the Tasks and the Guiding Questions	Q5-paper with adapted Tasks and Guiding Questions	6/05
2. Preparing stage of affairs for the first EPT Meeting	Presentation of adapted Tasks and Guiding Questions	7/05
3. Fixing the new Tasks and Guiding Questions	New Tasks and Guiding Questions fixed	9/05
4. Fixing criteria for selecting literature and examples of best and good practice based on the proposal of the Core Team	Criteria fixed	8/05-10/05
5. Preparing an investigation checklist to be followed by the other question teams in order to identify relevant issues for the Q5-Team	Checklist prepared and delivered to the other Question Teams	8/05
6. Investigation of state of knowledge: internet, literature, interviews, other Question-Teams	´Long list´ of interesting literature to be possible filled into the database	9/05-12/05
7. Investigation of best and good practice examples: internet, literature, interviews, other Question-Teams	´Long list´ of interesting best and good practice examples to be possible filled into the database	9/05-12/05
8. Defining structure of the report and distributing responsibilities for the single chapters	Structure of report fixed and chapters distributed	11/05-12/05
9. Writing chapters of the report and exchanging drafts, giving feedback per email and in a telephone conference	Draft chapters written, feedback given, chapters adapted and finalised	12/05-1/06
10. Filling in literature as well as best and good practice examples into the database.	Database filled in	11/05-2/06

Steps of work	Results, products	Duration
11. Finalising draft report	Draft report finalised and delivered to CIPRA	1/06-2/06
12. Contributing to the alpKnowhow synthesis by answering the questions of the Core Team	Answers to the synthesis questions sent to the Core Team	2/06
13. Contributing to the preparation of alpService by answering the questions of the Core Team	Answers to the questions regarding alpService sent to the Core Team	2/06
14. Discussing results with the other Question Teams	Additional input to report	3/06
15. Finalising report and database entries	Report and database entries finalised and delivered to CIPRA	3/06

2.2 METHODS

The Question 5-Team used different methods for investigation and co-operation. The co-operation methods within the Q5-Team were: team meetings (4), telephone conferences (1), joint elaboration of texts, exchange via email and telephone.

2.2.1 Methods for selecting the literature

The selection of literature was based on the following criteria:

- The literature should not be too old and / or represent a standard work.
- The focus was on popular works and manuals, not on scientific papers or reports.
- The works should be of practical use for the target groups of ´Future in the Alps´.
- There should be works from all alpine countries and also from outside of the Alps.

2.2.2 Methods for selecting the pilot projects

The team for Question 5 used different methods for data acquisition like expert interviews, reuse of own and other research project's results as well as literature, newspaper and internet surveys. Last but not least, we could utilise the huge material, that the CIPRA competition of summer 2005 provided (see: http://competition.cipra.org/en/competition/). The iterative process guided by the Question 5-Team with sup-

port from representatives from other Question Teams and by the national branches of CIPRA in France, Italy and Germany lead to a sample of mutually validated and agreed best practice examples from all Alpine countries.

The criteria to choose the best practice examples for Question 5 can be deduced from our comprehension of new forms of decision making and the interrelated assumptions (see Chapter 1, page 7).

2.2.3 Input from the other Question Teams

As Question 5 was dealing with a transversal issue, the team also asked the other Question Teams for their input regarding new forms of decision making. This input was based on a checklist with following criteria:

- Best practice examples should include new or innovative applications of traditional decision making methods. These methods should be described.
- The context of legislation and public policies should be mentioned.
- The formal and informal elements of the procedure should be highlighted.
- The effects of the decision making methods should be described.
- The success factors and the reasons for failures should be summarised.

2.2.4 Methodological problems

With regard to literature, there were no big methodological problems coming up. It was not so easy to find literature in all alpine languages, because the issue of question 5 is quite differently developed.

Regarding best practice examples, it was quite difficult – sometimes even impossible – to identify all the detailed information required to fill in the boxes in the online database. Some of the boxes had to stay empty, because information was not available.

The co-operation within the Q5-Team worked quite well. The clear instructions from the Core Team, the distribution of tasks and the different feedbacks from the partners helped to carry out the work in the time foreseen.

The co-operation with the other Question Teams was more difficult. The Q5 team expected some direct input regarding best practice examples and experiences gained etc. This input could be gained especially from Question 1 and Question 3.

3 RESULTS

3.1 GUIDING QUESTION 1: ´HOT SPOT´ ISSUES REGARDING DECISION MAKING IN ALPINE REGIONS

What are the 'hot spot' issues (conflicts, problems) regarding existing decision making processes in the Alps? Which policy fields are mainly concerned?

In the following chapter, we like to discuss so-called ´hot spot´-issues regarding decision making in different policy sectors which are important for the Alpine future. The discussion of the three following questions will be structured by the five other project questions (3.1.1–3.1.5):

- What are the conflicts and problems regarding existing decision making processes in the Alps?
- Which policy fields and issues are mainly concerned by these challenges ?
- Which are the existing and future challenges regarding decision making in the Alps?

In 3.1.6 the additional issue of decision making related to natural hazard prevention in the Alps has been added.

The Q5-Team agreed to define ´hot spot´ as follows:

- Topic or theme undergoing big changes (legal or others)
- Topic or theme of high social relevance (what is in the headlines of the news).

3.1.1 Regional value added

The link of our team to question 1 addresses the existing practice and the role of new co-operation models, of new forms of decision making and conflict resolution with regard to successful regional co-operation chains like e.g. business co-operation models or public private partnership models on regional level.

In all Alpine countries, the increasing gap between favoured and less favoured areas and the issue of regional compensation are points of major concern. Regional policies

are undergoing deep reorientation processes, national subsidies for regional infrastructure projects as well as for agriculture or public services are decreased, thinned out or even cancelled. National governments try to focus their development strategies and initiatives on regions with endogenous potential for creating economic development.[1] Naturally, remote and sparsely populated Alpine regions are especially challenged by these developments.

Therefore, the question is how to develop or successfully use endogenous potentials for creating product and service chains with a high regional value added. In all Alpine countries, strategies of combining tourism and food production, establishing sustainable value added chains and improving marketing strategies of regional products are seen as central elements to cope with the existing and future challenges of Alpine economic development.

The continuous changes in the political and economic framework are leading to a raising complexity and uncertainty with regard to individual and collective decision making processes and to different problems or challenges for local or regional actors:

(1) *Increasing number of potential negotiating partners:* Increasingly, local or regional actors will have to negotiate with extra-regional – and powerful – actors like e.g. national authorities or regional, national or international grocery chains with their corresponding political or economic agendas. Especially in order to organise reasonable product and service chains which persist without governmental subsidies, they are confronted with the market power of the big nationally or even internationally organised grocery retailers (e.g. Carrefour for France, Spar or Aldi for Germany or Migros and Coop for Switzerland).[2]

(2) *Raising information needs regarding administrative, economic and political contexts and developments*: Interrelated with the raising number of potential negotiating partners, today's decision making processes are characterised by an urge to gain more information regarding national or international legal, (macro-)economic or political contexts and developments.

(3) *Raising complexity of the economic and political contexts and developments*: Interrelated

[1] See e.g. the ongoing debate about the new regional politics in Switzerland under: http://www.seco.admin.ch/themen/wirtschaftsstandort/regionalpolitik/neukonzeption/index.html

[2] See for example: Hofer, Kurt & Stalder, Ueli (2000): Regionale Produktorganisationen als Transformatoren des Bedürfnisfeldes Ernährung in Richtung Nachhaltigkeit? Potenziale – Effekte – Strategien. Geographica Bernensia Universität Bern, Bd. P37. Bern: GIUB.

with point 3, decision making – especially in tourism or agricultural sector – has to cope with the raising cost intensity, the high requirement for knowledge, the need for product standardisation as well as the complex legal framework of today's food production which reduce the room for manoeuvre for economic decisions of local or regional actors.[3] The difficult challenge is to maintain the regional and ´authentic´ character of the products and to satisfy the needs of a more and more globalised food and tourism market. Insecure or even lack of legal base make these challenges even more complex. In Slovenia for example, procedures following the actual building law usually take a long time and have very unsure outcomes.

(4) *Raising coordination needs*: The creation of reasonable product and service chains increases the demand for local, regional or inter-regional coordination. Often, new organisations, institutions or institutional actors need to establish themselves and gain social legitimacy to develop or implement new rules and regulations. E.g. in Italy, lacking coordination efforts between the label agencies and policies and difficulties regarding the adhesion to the DOC (denominazione d'origine protetta) and IGP (indicazione geografica protetta) procedures are seen as an origin of the difficulties the corresponding products face on the market.

Thus, we see the following future challenges or needs for action with regard to programs or projects which aim at creating regional value added:

- *Regional negotiation capabilities and strategies for concentrating economic activities* like agriculture or industrial production in suitable areas.
- *Networking activities* with potential negotiation partners must be extended and professionalised.
- *Information flow and processing* (knowledge management) must be adequately organised in order to gain credible and solid bases for opinion building and decision-making.
- Developing of *business solutions* to cope with raising complexity of legal and economic contexts (like business networks or collectives with common business plans)
- *Improvement of organisational knowledge* for an adequate coordination with project partners and outsiders in order to successfully develop and implement project ideas.

[3] E.g. for cheese production highly equipped "labs" for which important investment are required.

3.1.2 Governance capacities

The link of Question 5 to governance addresses the existing practice and the role of new co-operation models, of new forms of decision making and conflict resolution with regard to preserving or enhancing the governance capacities of individuals and communities.

Today, Alpine regions are affected by several macro-trends, which reduce their governance capacities – in other words their abilities to self-organise the political, economic and social life:

(1) National or international political and economic concentration processes weaken the regional and local financial and organisational resources for self-organisation. Public services formally provided by national or regional authorities must be replaced by regionally or locally initiated initiatives.

(2) Migration processes originating in various reasons often cause losses of intellectual, social and economic capital in peripheral regions. The affected regions do not only have to cope with economic problems but also with challenges originating in decreasing social cohesion and over aged populations.[4]

(3) On the other side, immigration and urbanisation processes in certain mountain regions can overstrain or even destabilise traditional governance systems resulting in a deprivation of self organisation capabilities.

(4) Social macro trends like the increasing social fragmentation, the weakening social ties or the decreasing interest for public life aggravate the above mentioned effects of concentration processes, reduction of public services and migration.

Thus, we can deduce the following future challenges or needs for action for programs or projects aiming at improving local or regional governance capabilities. Naturally, they base essentially on the above mentioned regional or local capabilities to develop and realise endogenous economic potentials.

- Negotiating, testing and implementing new regional or local models of public services which are a) of good quality and b) appropriate in peripheral or remote areas. Within the scientifically accompanied project PUSEMOR (Public services in sparsely populated mountain regions), «sustainable strategies and innovative solutions for improving the provision of public services in sparsely populated moun-

[4] See project: http://www.brain-drain.org/

tain regions» are developed and tested in all the Alpine countries«.[5]

- Proactively integrating existing knowledge and experiences with regard to e.g. public-private partnerships or local initiatives in different sectors like transportation, communication or medical care (*knowledge management*).[6]
- Negotiating *development paths* against the background of increasing social fragmentation and generating opportunities to *develop the intellectual and social potentials of different social or age-groups* in order to assume responsibility for the local socio-political context (empowerment strategies, see report of Question 2) with special focus on the needs of young, elderly but also higher educated persons.[7]
- Developing incentives to promote regional collaboration in order to achieve the critical mass for an effective self-governance. For example, the Austrian Bundesländer Tyrol and Carinthia started to promote regional networking activities through their subsidy system which favour flexible, issue depending communal networks.

3.1.3 Protected areas

The zoning, planning, management and monitoring of protected areas require a) an analysis of the existing use and protection practices and b) the development of new co-operation models and new forms of decision making and conflict resolution to assure positive economic and ecological long-term effects of protected areas. However, the creation and maintenance of protected areas often face several difficulties:

(1) Existing conflicts between national or regional administrative units and local authorities about the implementation of use and protection regimes (see also 3.1.5). The lack of bottom-up co-operation for establishing new areas and providing effective management plans for the existing ones can be seen as one of the origins of the existing implementation problems and especially for the low interest in the formal participatory procedures.

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[5] See http://www.pusemor.net/doc/PUS_Flyer_EN.pdf or the homepage: http://www.pusemor.net/

[6] See for example project PUSEMOR or the Swiss national research programme NFP 48 «Landscapes and Habitats of the Alps» (http://www.nrp48.ch/)

[7] Higher educated persons generally engage more in local or regional efforts for self organisation, see: project: http://www.brain-drain.org/

(2) Moreover, existing land use conflicts between agriculture and nature protection constitute a problematic starting point for the creation of new protected areas. The latter are only seen as instrument for nature protection and not as a means for sustainable regional development.

(3) Amongst others, these prevailing *conflicts of ideologies and goals* originating in different fields of social practice result in low local or even regional support for the creation of a new protected area itself and the intervention in traditional use practice. Moreover, there is only few support of *potential opinion leaders* for the promotion of new natural parks, which would challenge the local or regional discourse.

(4) Often, the existing conflicts and the missing support of opinion leaders result in a low local formal participation level during the development of the protection area's goals and measures which is one of the major causes for low legitimacy in the local or even regional context. On the other hand, the existing conflicts usually lead to a very high motivation and willingness to influence the process by resources like public mobilisation or legal means!

(5) Finally, lack of well established good practice examples and lack of exchange of information prevent changes and reorientation in local debates about natural parks or other types of nature-protection areas.

From our point of view, procedural questions of opinion building and decision making will be essential for the successful creation of new and the maintenance of existing natural parks – and for their application as instruments of sustainable regional development. Following the discussion above, the following future challenges will have to be addressed:

- Analytical competence regarding the social and economic context of existing or new natural parks or other types of nature-protection areas including for example existing (land) use and protection practices and prevailing use and implementation conflicts in the affected policy fields like nature protection, agriculture or leisure activities in order to define best and worst implementation strategies in different social contexts.
- Procedural skills to organise and execute participatory processes with binding rules of procedure (e.g. targets, competences and room for manoeuvre), see Chapter 3.3.
- Especially capabilities to search for, define and implement synergies from protected areas with regional economies and local societies in a participatory approach. For example use of instruments like mediations, future workshops or

analysis of risks and strengths (e.g. SWOT-analysis) with focus on increasing the contribution of protected areas to regional development.

- Participatory development of implementation and monitoring systems to increase the legitimacy of new and existing protected areas. Thereby, re-thinking of existing formal procedures and responsibilities for the establishment of parks (definition of areas, and rules for development and protection, development of management plans) in order to enable a balanced and inclusive participation of all levels and interests.
- Networking strategies to interconnect the existing experiences with the successful implementation and maintenance of protected areas in order to gain acceptance and legitimisation in the local or regional context. For example, the Alpine Network of Protected Areas pools expertise, techniques, and methods used by the managers of Alpine protected areas. It promotes co-operation in the areas of conservation and management, tourism, mountain agriculture and forestry and information and education.[8]

3.1.4 Mobility

The following section discusses the importance of new forms of decision making for successful mobility concepts and projects. The focus is on tourism, leisure and commuter mobility, but we include also other positive mobility concepts and projects. Today, Alpine regions are facing several challenges regarding mobility regulation:

- Public transport services are thinned out or even cancelled in all Alpine countries. Consequently, the mobility opportunities of younger or elderly persons without own cars are constrained more and more.
- On the other hand, increasing commuter, tourism or leisure mobility not only threatens Alpine ecology but also influences negatively the life quality of the affected population (e.g. because of noise and air pollution).

In order to effectively approach the existing mobility problems and to find socially legitimised solutions, new forms of opinion building and decision making are required. We see the following challenges regarding the necessary negotiation processes:

- *Lack of strong policies and instruments* (´political will´) promoting alternative mobility or public transport systems as basic conditions for negotiating sustainable mobility

[8] See: http://www.alparc.org/.

concepts.

- *Constitution of regional negotiation capabilities and institutionalised platforms as a procedural basis* to develop strategies for creating new and maintaining or abandoning existing transport infrastructure and for planning traffic regulation concepts (e.g. concepts for regional mobility or sustainable tourism, transport plans or traffic regulation systems).
- *Designing negotiation processes and platforms which provide a basis for a fair and transparent consideration of all relevant interests* connected to mobility questions – despite all the powerful interest groups and lobbying organisations interested in this issue.[9]
- Developing *socially legitimised strategies for distributing* the accumulated goods (e.g. incomes, taxes) and ´bads´ (e.g. noise and pollution) between e.g. tourist and non-tourist areas or between urban and peripheral regions.
- Developing *negotiation and mitigation strategies for the existing clash of interests* between the demands of e.g. tourism, nature and environment protection or commuter mobility.

3.1.5 Policy implementation

In this chapter, questions of policy implementation will be discussed. On a more abstract level, some issues of implementing the principles of specific policy fields already raised above will be resumed. In all Alpine countries, there are long-standing difficulties to effectively implement norms, regulations or concepts in certain policy fields like mobility, spatial planning, or nature and environment protection.[10] Causes and rationale for the known difficulties can be seen in different fields:

- *Disputed or unclear distribution of duties and responsibilities* between different state levels paralyses implementation processes.
- *Lacking political will for policy implementation* and *prevailing conflicts of interests or ideologies* between the involved groups hinder the effectiveness of policy implementation.

[9] For example, the French "Commission Nationale de Débat Public" is in charge of collecting all the opinions – e.g. regarding the construction of new motorways. The final decision is however often political and linked to lobbying activities of often nationally organised strong lobbies.

[10] For Switzerland see e.g. Kissling Näf & Wälti, 2002.

- *Lacking resources for implementation:* The above mentioned *increase of complexity of policies and regulations* overstrains the resources of certain local communities. However, the transfer of responsibilities of local political bodies and organisations to regional combines is politically disputed.
- *Lack of trust* between the relevant regional or local actors like for example public authorities, interest groups or NGOs due to e.g. failed or instrumentalised participatory initiatives or general mistrust.

We postulate a strong link between the adoption of adequate forms of decision making and the effectiveness of policy implementation with regard to sustainable development. Thereby, the results and experiences of scientific policy assessment and research can contribute to design fair and transparent decision making and implementation processes. Regarding policy implementation and decision making, we see the following challenges:

- Methodical capabilities and resources to systematically *analyse implementation gaps and their causes*
- Defining the *adequate state levels and negotiation platforms* to discuss the necessary strategies for a successful policy implementation (subsidiary principle)
- *Defining and reaching accountability, responsibility and trust* with respect to the implementation of public policies based on fair and transparent negotiation processes including all relevant actors and interests concerned
- Negotiating and achieving the *necessary resources needed for policy implementation*
- Special focus on how to institutionalise reasonable networks between urban and peripheral rural regions

3.1.6 Natural Hazards

In all the Alpine Countries, the *management* of *natural risk* will stay or become a more and more important policy field in order to secure Alpine Future. An effective and cost-efficient flood, avalanche or mud flow prevention will be essential to assure Alpine future against the corresponding natural hazards. Adequate decision making processes must provide the basis for negotiating the necessary and affordable safety measures but also for negotiating the possible ´abandonment´ of selected risky areas or the socially legitimised acceptance of certain risks.

3.2 EXISTING PRACTICE OF DECISION MAKING PROCESSES: A DIAGNOSIS

This chapter aims at answering the **Guiding Question 2: What is the existing practice of decision making processes regarding the issues which were identified as decision making hot spots in chapter 3.1? What are the deficiencies of decision making processes and what is the potential of their improvement?**

Despite today's general tendency to assign formal power to citizens and stakeholders, in practice the choice of goals and of the means for reaching them remain largely delegated, centralised and hierarchical (OECD, 2001). However, these established forms of decision making are unable to claim either the effectiveness or the legitimacy required to effectively face the challenges posed by the actual technological, economic and social changes. These challenges are no less pertinent in the Alps than elsewhere and quite as varied as Alpine geography and society. Nevertheless, the analysis of the hot spots showed that there are certain issues prevailing and very similar in different political and geographical contexts. Decision making forms which are now used to resolve the problem are often among the *causes* of the problem and are at least as important as the ´objective´ factors, such as lack of local resources, polarisation effects etc. The ever emerging question related to decision making processes is how to manage long term co-operation between the stakeholders[11]. Missing interfaces for co-operation as well as unclear (or even wrong) distribution of responsibilities seem to be the main sources of problems. New forms of decision making are therefore highly topical and already emerging. Two characteristics of traditional decision making forms need fundamental changes: the fixed and permanent allocations of power that are engraved in the structures and constitutions of many organisations; and the tendency to vest initiative exclusively in the hands of those in senior positions in the hierarchy.

The following overview of the existing decision making forms aims to support an ad-hoc diagnosis of the main shortcomings and identification of the opportunities for improvement and evolution of new decision making forms. It is therefore by no means exhaustive or generally valid, but seems to be operational for the Alpine situation from the exploratory and ´lessons learned´ perspective.

Market and politics are the two main arenas of decision making. While it seems that the general global trend is towards neo-liberal US model, calling for ´less state´ and considering the ´invisible hand of the market´ to be the most effective decision maker,

[11] Authorities and administration on different levels: national/regional/local, groups and individuals, enterprises, see also Annex 5.

the continental European tradition of rather strong political regulation still characterizes the decision making processes in the EU and the Alpine countries. Regarding the roles of stakeholders, these approaches could be labelled technocratic, consultative and participatory/deliberative. Neither is inherently good or bad, there are just good or bad implementations and more or less appropriate choices with regard to the type of problem and policy field. The following text therefore briefly presents the main characteristics of each approach, its main strengths and weaknesses and the conditions that need to be met in order to make it a solution rather than a cause of the problem.

Market approach:

Market arena has developed for settling issues among the individual subjects' wants and preferences. The main standard (reference) is efficiency, the decision making process is trade. As such, markets really work only for consumer commodities. However, the strong influence that markets have gained in the globalisation process has taken away a share (in many places a large one) of decision making power from elected and traditionally competent authorities, mostly on local level. Among the 'Future in the Alps' issues, Question 1 (regional value added) most explicitly addresses these issues. It seems that prevailing economic rules which favour and lead to centralisation do not work well for small Alpine economies. The majority of hot spots therefore deal with ways to counteract the logic of globalised markets. In this context there seems to be a call for ´more state´, either in terms of subsidies or other support to help establish viable and competitive local enterprises and to help them cope with the big transnational companies.

Politics approach:

In modern societies, legitimacy of an issue or a decision roots in the public sphere with politics as the main arena for settling the relations between individuals and society. The involved interests include rights, the reference is social justice/equity and the main political processes of deliberation are voting and negotiation. Most issues of 'Future in the Alps' (Q2-Q4 and Q6) address non-material or common values (for example sustainable transport or nature conservation) where market is less (or not at all) successful. Therefore they are typically ´political´.

The political decision making processes include several variations. An important distinction regards the level of inclusiveness and the role of involved interests. The traditional division in representative and direct democracy mostly refers to the decision making act in the narrow sense. When considering the decision making process as one

including awareness raising, opinion making and alternative development, the distinction could be made between the technocratic, consultative and co-decision making (deliberative) approach.

Technocratic decision making:

In this case, the decisions are left to experts. Depending on the situation, they can either be delegated formal decision power (i.e state agency or office), or asked to provide support to the formal decision maker. This type of decision making is a legacy of modern society and its rational decision paradigm, but is today still often recalled in demands such as »let experts decide« and a somehow naive argument that science can ensure »objective« (i.e. fair, ideal) decisions. This shift of public support towards technocratic approaches could be attributed to the lack of rational argumentation for political decisions and a shift towards populism in politics. Besides, a combination of fast technologic and scientific development and increased bureaurocratisation of decision making procedures is favourable for technocracy revival. Advances in ICT in particular have had very strong impact in the Alpine space by reducing traditional spatial isolation. Many projects analysed in 'Future in the Alps' do apply computer modelling, GIS and Internet as a decision making support. In these cases the role of technology is rather ambivalent in terms of (de)technocratisation of the process. However, there are also several decision making situations where scientists play an exclusive role: most of these relate to nature and biodiversity conservation issues. There are cases where people are invited to participate only to provide the audience and a lever for legitimisation of a scientific exercise. Over relying on this type of approach has been often identified as one of the reasons for conflicts in establishment and management of nature protection areas (Austria, Germany, Slovenia).

The main problem of technocratic decision-making processes is the lacking of legitimacy, caused by non-transparency, exclusion of 'non-experts' due to a communication gap and transfer of discretion power to people (or institutions) which neither have been granted the decision rights nor do they bear responsibility. Further problems include fixing the reference frame within the scientifically dominated discourse and marginalisation of alternative ones, narrowing originally multi criteria decision problems to a single expert dimension and a tendency to apply quantitative methods in the context of high uncertainty and subjectivity, which can bring misleading results. On the positive side, such decision making procedure is usually (but not necessarily) least time and money consuming. It may therefore be suitable when time is a problem and there is a need for urgent and highly technical action (i.e. in cases of natural hazards). However, even in such cases it is important that the objectives have been legitimised

and participatory mechanisms are ensured elsewhere to a satisfying degree. Of course, when there is no interest from the public (proven!), a technocratic approach may also be fitting. Following aspects can contribute to improve the results and achieve legitimacy of a technocratic approach:

- Professionally rigorous and unbiased approaches must be applied.
- Doubts regarding potential conflicts of interests must be avoided by disclosure of participating experts and their affiliations.
- Assumptions as well as limitations regarding data quality and reliability of methods must be clearly stated.
- All uncertainties and risks must be openly addressed.
- Quality must be assured by expert panels and revisions.
- Easy to understand methods (e.g. ecological footprint) and visualisation (GIS, 3D modelling) should be used to improve transparency and foster knowledge exchange.

Consultative decision making:

This decision making type often follows an established procedure, with the additional opportunities for consultation with stakeholders. These opportunities are usually offered in the scoping phase and at public display and discussion of draft documents. In some policy areas (e.g. spatial planning or environmental impact assessments) this is a required procedure, while in others it may depend on the willingness of the responsible authority to consult the stakeholders or on the need to gain support from the stakeholders in order to implement a project (or policy measure). In cases of long lasting and convincing majority of one political party (as is i.e. the case of CSU in Bavaria), it may be less inclined to do so.

Many approaches analysed in 'Future in the Alps' do fall into this category, some of them are being selected as ´best practice´. Most of the spatial planning processes *have to* be consultative as they must obtain and incorporate several aspirations. However, they tend to transform to overly bureaurocratic and technocratic types of processes. Many forms of long term co-operation between enterprises, administration and politics (e.g. regional development strategies in Austria or ´Patto Territoriale´ in Italy) also use a consultative approach. The main threat is that they become a non-transparent, corporativistic type of deliberation, where only the strongest and well organised or institutionalised actors exert their influence. Some of the projects within 'Future in the Alps' tend to this direction. Many communities in the Alps are small with conservative and

patriarchal societies, with most of the local power concentrated within a few families with large property or traditional authority (e.g. in Valais or Haute-Savoie in France). Local employers can also grab a very large share of decision power. In such circumstances, the consultative approach can be understood in a rather pre-modern way of "elder meetings" where decisions are taken in closed circles of influential stakeholders, and other interests are marginalised. On the other hand, influence of lobbies from outside Alps can also be very strong. Most obvious examples are in transport or mass tourism, where lobbies are believed to play a decisive role. This ´high jacking´ of local politics has in some cases already led to judgements that local level is granted too much decision power, which they are not able to deal with (Austria, Switzerland, France, Slovenia). Transferring some of the responsibilities to regional level may be a solution, but not always feasible (e.g. in Slovenia, there is no regional level authority).

A consultative approach is adequate when the public interest is limited to a well defined issue or to a few and well organised interest groups. It may also be applied complementary to other opportunities for the public to influence the decisions. Opportunities for the improvement of consultative processes include:

- Providing equal opportunities and representation of interests by: adequate and varied communication channels (considering the available resources, knowledge, and technical equipment of different stakeholders), common framework for synthesis and conflict resolution, transparent process.
- Ensuring serious consideration and impact of stakeholders' inputs on the decisions by formal obligations i.e. legally binding contracts and by providing feedback to participants.

Co-decision making:

This kind of procedure is directed by stakeholders together with experts, whose main task is to provide knowledge support and to foster dialogue and discussion leading to consensus. In political sciences, the 'extreme' type of participatory processes is known as **deliberative,** and is controlled by the participants, while the role of the experts is reduced to servicing and supporting the process of deliberation. Ideally, the panel of stakeholders should participate throughout the process; the scope of decision and definition of objectives are also a part of the deliberative procedure and involved groups should be able to initiate additional research of certain issues. Civil forums are probably the most common organisational form, but there is a wide set of different approaches and tools available.

Co-decision making is especially important when other opportunities for public debate

and consensus building are limited, when important issues of public interests are in question, when there is a strong interest in the public for co-operation, when public interest is unclear or conflicting, when policy implementation crucially depends on public support and consensus.

Long and ineffective procedures are most often cited as the main problems of such approaches. These are relative and may be overcome by adequate organisation. A more serious problem of participatory decision making is related to representation and legitimacy of participants. It is usually (but sometimes wrongly) considered that organised groups and NGOs adequately represent ´public interest´ or local inhabitants in general, and as such given high level of legitimacy. Some caution is needed: the non-transparent and non-democratic management of such organisations could mask very particular interests of certain groups (´hidden agendas´). Another problem is (in)adequate intellectual and social potential of participants, which is needed for a balanced and effective process and in order to assume responsibility for decisions. In the Alps, this may be one of the biggest obstacles to participation in the areas where the population is undereducated and old. Younger generations are attracted to the urban centers and do not participate in local decision making. In some alpine areas with in-migration (e.g. Bavarian Alps) there are groups (immigrant workers, retired people) who are new to a rather traditional and stiff social structure and find it difficult to actively involve in local affairs. Among the projects analysed within the 'Future in the Alps', many (in particular those of Question 2) are explicitly aimed towards empowerment of local stakeholders. Another big group are concrete projects (such as establishment of heritage museums or trails, trademarks, community centres…), which often function as a focus point for joint endeavours of different stakeholders and foster sense of community and co-operation. Especially if they are organised supra locally, these projects are valuable for the Alpine space since they help the isolated communities to change the tradition of self sufficiency and non-co-operation and to activate synergies.

Things that could be done to attenuate the problems of participatory approaches:

- Experts should play a key role in providing adequate information, as well as structuring it in analysis of the problem and synthesis of proposals. Besides, they should also actively support communication and conflict resolution, which requires specific skills.
- Ensure representative choice of participants by a transparent and non-exclusive process of stakeholder identification and by applying openness and accountability to all participating parties: it must be apparent which interests they represent and how inclusive that representation is.

- Increasing the motivation and capacity of people to creatively and responsibly participate in decision making processes requires improving the education, raising the awareness and increasing social sensitivity.

All mentioned decision making forms are embedded into existing political systems and have to comply with their rules, but can also to some extent collide with them. Although far from not being political, the economy and the market decision making system operate relatively independently of the political system by their own rules, which are more or less universal (at least as far as Alpine countries are concerned, and more and more so globally). The political decision making forms, on the other hand, closely depend on the political system. Of the above mentioned forms, the techno-bureaurocratic one is certainly best fitted to most of the political and administrative situations. It does not interfere with the established system of responsibilities and discretionary powers. The other two forms have some difficulties with embedding in the democratic political system. Democracy, especially in its direct form, is based on the idea that everybody has the right to decide and that all votes are equal. This concept opposes the consultative type of decision making, especially its less transparent and less inclusive forms where the participants are pre-selected and the deliberation process happens behind the curtains. In the real world however, the consultative approaches happily coexist with the political system. Some of the consultation procedures, such as negotiations between social partners, are well established parts of the democratic political system. The representative democracy provides correctives by requirements regarding the representativeness of participating partners and by formalising the deliberation process thus making it more transparent. In many consultation procedures however, the participating stakeholders cannot prove their democratic background and legitimacy in representing an interest group. Several examples can be found among corporations, lobbyists, trans-national organisations as well as NGOs. This problem is to a lesser extent present in the co-decision making, assuming that this concept is based on the right of everybody to participate. In practice this principle can not always be followed – not least *because* of the existing political framework, which explicitly excludes 'everybody' from most forms of political activity. The big problem with co-decision making is the question of the responsibility. The one who is entitled to take the decision should also be responsible for the consequences. And only those who are elected or appointed by somebody can be called to account. These relations can be blurred to some extent with the co-decision making concept. However, this problem also plagues the technocratic approach: the call 'let experts decide' gives somebody who is only knowledgeable in one field (i.e. technology or nature science) the responsibility for the consequences in economy, society or environment.

3.3 GUIDING QUESTION 3: WHICH FRAMEWORKS ARE NEEDED IN ORDER TO IMPROVE THE DECISION MAKING PROCESSES WITH REGARD TO SUSTAINABLE DEVELOPMENT?

In this chapter, we decided to follow a ´handbook approach´: We described the required framework and the aspects to be taken into account for each single phase of a decision making process separately. As a consequence, some issues and remarks are repeated in the different sub-chapters.

In the following chapters we did not draw direct links from the checklists to the best practice examples mentioned in chapter 5 and Annex 2. These links can be found directly in Annex 2, where all best practice examples are described in a table with regard to the following criteria:

- USP regarding new forms of decision making
- Methodological approach
- Transparent negotiation process with clear rules
- Integration of different types of knowledge
- Wider and integrated approach (neighbouring issues)
- Co-operation encouraged by the responsibles.

3.3.1 Key words

Framework

It can be defined as a structure or skeletal used as a basis and for supporting decision making processes. It is a set of assumptions, concepts, values, rules and practices that constitute the conditions under which decision making processes are carried out.

Definition based on (http://sb.thefreedictionary.com).

Decision making processes

Decision making processes are made of several phases and steps which have to be considered when discussing the required framework conditions:

(1) Clarifying the starting point (idea, open question, unsolved problem etc. with a need for decision: delimitating content, time, space, actors = scoping)

(2) Assessing the situation

(3) Considering options for the decision making procedure

(4) Preparing the decision making process

(5) Selecting the appropriate methods and tools

(6) Negotiating and making decisions

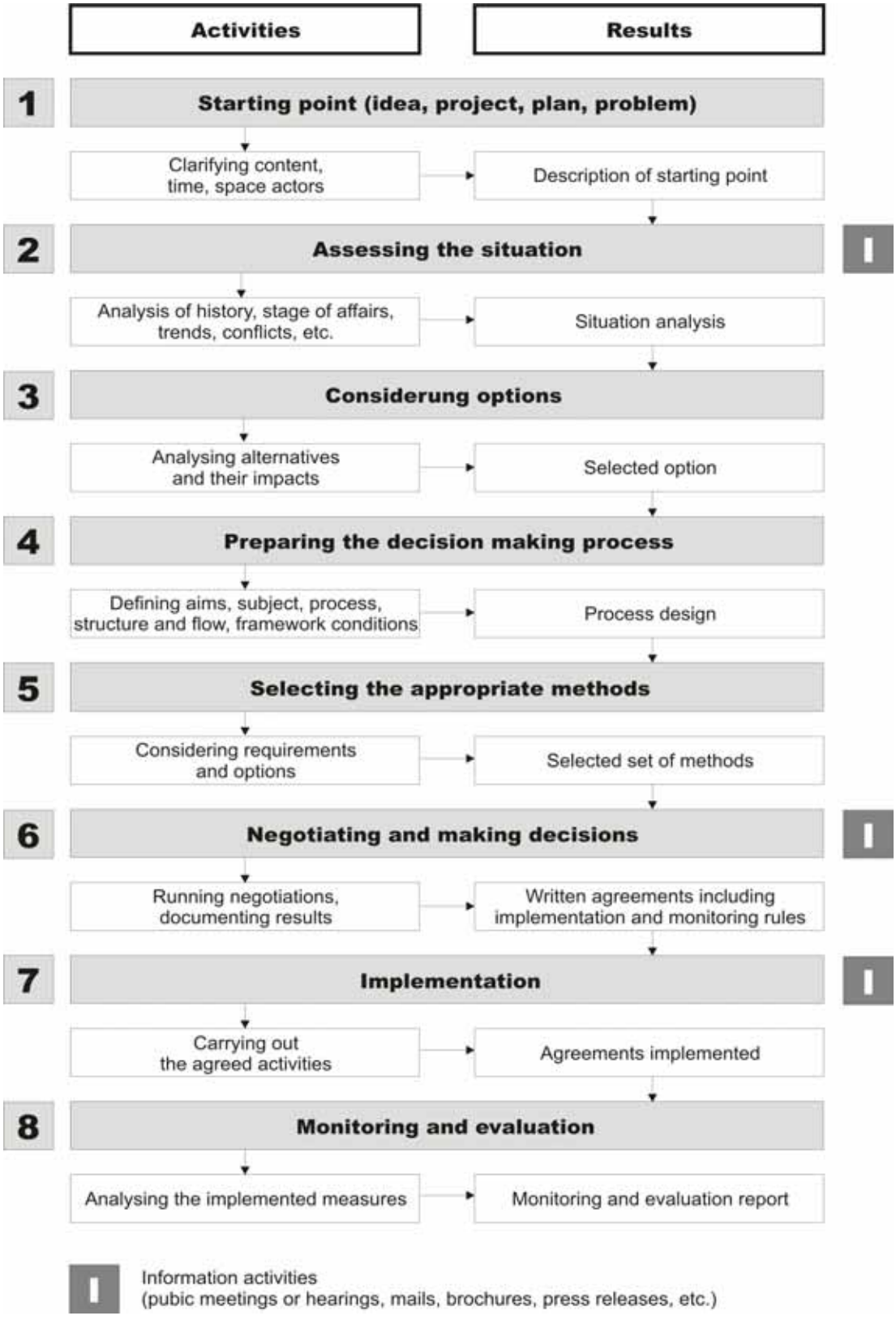
(7) Implementation

(8) Monitoring and evaluation

(9) Accompanying information

Fig. 1 shows the different activities and results of decision making processes. In the following chapters, these different phases are described in more detail:

Fig. 1: Decision making process flow



Source: own elaboration

3.3.2 Step 1: clarifying the starting point (idea, open question, unsolved problem etc. with a need for decision): delimitating content, time, space, actors

There is always an ´initial situation´ with a need for decision making. It can be a project idea, a planned co-operation, an environmental conflict etc. Although the ´initial situation´ is always a starting point, there is always a previous history regarding content and or actors.

At this stage, a clear description of the ´initial situation´ (idea, project, plan) including previous history, aims, content, working steps, time schedule, costs, responsible actors, ex ante estimation of impacts (economic, social, ecological) is required.

Checklist for describing the ´initial situation´ (idea, project, plan etc.):

- What are the aims? What shall be reached? Which problem shall be solved?
- Who is responsible for the intended project or plan?
- Who could be concerned (directly or indirectly) by the project or plan?
- What framework conditions are relevant for the intended project or plan?
- Which dimensions does the project or plan have with regard to content, space and time?
- What is still unknown? How can we gain this knowledge by including different types of knowledge (expert knowledge, ´local´ knowledge, scientific knowledge, practical knowledge
- What do the different steps of planning and implementation look like?
- How long will it take all in all?
- How can the project area be defined?

3.3.3 Step 2: Assessing the situation

Before the decision making procedure can be designed, the ongoing situation has to be assessed. In general many questions are still open at this stage of the process. The following checklist should help to calculate the position:

Checklist for assessing the situation

- Which aspects of the intended project or plan can be considered as beyond dispute?
- Which areas of conflict can be identified?
- Who is considered? Project initiators, planners, administration, land owners, land users and other interest groups?
- How strongly are the different parties concerned? How much influence and power do they have?
- Which legal status do the parties have with regard to the decision making procedure?
- Which legal or other formal regulations with regard to the decision making procedure are relevant?
- How are the relations between the parties? Where are conflicts? Where are alliances?
- Which positions do the different parties have? On which problem, definitions or perceptions do these positions rely?
- Which interests are standing behind these positions?
- Which kinds of conflicts can be identified? Conflicts regarding contents and facts? Conflicts regarding personal relations? Conflicts regarding roles and procedures?
- Which are the dimensions of the conflicts regarding content, space and time: is it a limited conflict with a small number of persons involved, which can be solved in short time, or do we have to deal with a complex conflict with many parties concerned?
- Are there any reasons for conflicts lying in the past? Conflicts between whom? What had happened?
- What is the level of escalation: are the parties still willing to talk to each other and to negotiate or did they already burn the bridges behind themselves?
- Who can provide further information?

Even if you analyse the situation by reading studies, newspapers, by making interviews and conversations, you will never get a total picture. But this is hardly necessary, in general it is sufficient to detect the main development trends, to see in which directions things are going, to discover the driving forces. Completeness of information is not decisive at this stage, it is necessary to find out what is really important.

3.3.4 Step 3: Considering options for the decision making procedure

The assessment of the situation and the elaboration of options is strongly depending on the formal (legal) and informal aspects. If the decision making procedure is clearly determined by legal regulations like an EIA or SEA, aspects of new forms of decision making can be taken into account only at specific parts of the procedure. But still, even if procedures are determined, the spirit of new forms of decision making can be considered and at least some aspects can be regarded.

If the decision making process is more informal and not determined by legal regulations like for example in a regional development concept, then there are many options how to conduct the procedure.

Some initial questions based on the results of Steps 1 and 2:

- Is it reasonable and useful that things go on as up to now? If not, what should change?
- Which new perspectives emerge from the present situation? Are there new actors, new framework conditions (regarding content, space, time or money)?
- Is the number of options already complete or are there totally different alternatives which have not been considered until now?
- What is the room for manoeuvre? How can the room for manoeuvre be adapted, enlarged?

Which aspects could argue for new forms of decision making (including different types of knowledge, taking into account a wider context, negotiation procedure including the parties affected, innovative aspects regarding content, actors, methods)? The following three checklists are based on OEGUT Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation, Nr. 2, Der Nutzen von Öffentlichkeitsbeteiligung aus der Sicht von AkteurInnengruppen.

Checklist: Which aspects could argue for new forms of decision making?

<u>General aspects</u>

- Relevant information becomes accessible to those who are concerned.
- Including different types of knowledge leads to better decisions.

- There is a clear framework for negotiating conflicts and for balancing the different interests.
- Results will be better accepted.
- The parties involved become more competent for future negotiation procedures.
- Participants can improve personal or collective skills (e.g. organisation, negotiation)
- Personal relations between the persons involved lead to easier interactions in the future.
- Social capital like e.g. negotiation capacities or social networks is built up
- Each of the persons involved can gain sympathy and appreciation.
- There is an ethical obligation to a participatory negotiation of social development.

<u>With special regard to policy actors</u>

- Political decisions are more accepted.
- The general public trusts more in politics.
- The pressure from lobbyists can be reduced.
- The image of politicians in the general public can be improved.
- Communication between civil society and the political class improves.
- Minorities can be better integrated into the discussion.

<u>With special regard to actors in administration</u>

- Conflicting interests can be better integrated.
- Legal procedures become easier (less objections and comments), this leads to reduced workloads for people working in administration.
- The pressure from lobbyists and single political actors can be reduced.
- New issues going beyond classical administration work can be discussed and integrated.

With special regard to citizens and initiatives

- Own ideas and interests can be brought into the decision making process.
- Citizens get the chance to actively influence projects, plans and policies.
- The personal status or the status of the initiative can be up-valued.
- A basis for future co-operations can be created.

With special regard to project initiators

- The project or plan is better accepted by the locals.
- The chances to realise the project or plan increase.
- The duration of approval procedures can be reduced.
- Entrepreneurial risks can be reduced because of higher legal security.
- The project initiator is better accepted in the region, this makes the realisation of future projects and plans easier.

Besides the arguments FOR, there are also reasons AGAINST or challenges of new forms of decision making:

Checklist: Which aspects could argue against new forms of decision making

General aspects

- The aims of the procedure are unclear.
- There is not enough room to negotiate.
- The parties cannot detect sufficient benefits.
- The parties are not willing to co-operate.
- The implementation of the decision is unclear.
- Responsibilities and duties are unclear.
- There are not enough resources available (personnel, time, money).
- The parties have made negative experiences with new forms of decision making in the past.
- It is not possible to bring the relevant parties to the negotiation table.

With special regard to policy actors

- The existing balance of power is put into question.
- The position of opposing groups could be strengthened.
- New and rival opinion building and/or decision making platforms enter the scene.
- The complexity of the situation increases.
- The results of the procedure are unpredictable.
- At least partially uncontrollable situations will occur.
- The procedure leads to delays.

With special regard to actors in administration

- Existing room for manoeuvre is reduced or changed.
- New and rival opinion building and/or decision making platforms enter the scene.
- The complexity of the situation increases.
- The results of the procedure are unpredictable.
- At least partially uncontrollable situations will occur.
- The procedure leads to increasing workload and to delays.
- Citizens´ expectations regarding further procedures are raised.

With special regard to citizens and initiatives

- Citizens could be misused for the purposes of project initiators or policy makers by unfair participation offers.
- There are better alternatives to reach the own goals (public actions, media).
- The citizens are lacking of resources (personnel, time, money).
- The citizens are not in an equivalent negotiation position (less information, less influence on the procedure and on results than other, more powerful parties).
- If the outcomes are not in favour of the citizens, they have less chances to change it, because the decision had gained a high level of legitimacy.

With special regard to project initiators

- The position of opposing groups could be strengthened.
- The results of the procedure are unpredictable.
- The procedure leads to delays.

If the responsible actors consider to NOT use new forms of decision making, they should be aware of the following possible consequences:

Checklist: What could be the consequences, if new forms of decision making are NOT used?

General aspects

- Relevant information is reserved to single interest groups.
- Relevant information is overseen.
- Existing knowledge stays unused, quality of decisions can be reduced.
- Results will be less accepted.
- Conflicts can easier escalate.

With special regard to policy actors

- Political decisions are not comprehensible by the interested and concerned individuals or groups.
- Political decisions are less accepted.
- The general public looses trust in politics.
- Single interest groups can do lobbying much easier.
- The image of politicians in the general public can degrade.
- Communication between civil society and the political class can become worse.

With special regard to actors in administration

- Feedback with regard to policy implementation and the connected difficulties is missing.
- It is getting more difficult to integrate conflicting interests.

- Legal procedures become more time consuming because of increasing objections and comments.
- Single interest groups and political actors can do lobbying much easier.

With special regard to citizens and initiatives

- Own ideas and interests cannot be brought into the decision making process.
- Citizens loose the chance to actively influence projects, plans and policies.
- Mistrust increases, future co-operation becomes more difficult.
- Other ways to express own interest have to be found (publication, media etc.).

With special regard to project initiators

- The project or plan is less accepted by the locals.
- The duration of approval procedures can be enhanced because of increasing objections and comments.
- Entrepreneurial risks can be enhanced because of reduced legal security.
- The project initiator is less accepted in the region, this makes the realisation of future projects and plans even more difficult.

The consideration of arguments for and against new forms of decision making can lead to different options:

- If the circumstances seem to be adequate and a basic framework can be fixed, the decision making procedure can be started as described in Step 4.
- If the circumstances seem to be disappropriate, it makes sense either to cancel the procedure or to postpone the beginning until adequate circumstances are established.

3.3.5 Step 4: Preparing the decision making process

3.3.5.1 Defining the aims

Before starting a decision making procedure, the responsible persons should clarify what exactly they want to reach: do they just want to canalise the critical potentials, do they just want to inform the public in order to get better acceptance or do they really want to involve the different affected interest groups into a fair procedure?

It is obvious that the different interest groups have different agendas: administrative bodies try for example to convince local land owners to accept a new protected area because EU regulations have to be fulfilled, NGO´s vote for the protected area in order to prohibit a planned road infrastructure project, the land owners intend to keep up the land use as up to now without any restrictions ... etc.

Also those who are invited to participate in the decision making process have to clarify their own aims (FISCHER et al 2003):

- Gathering aims in an initial brainstorming: what exactly do I want to achieve through my participation in the procedure?
- Structuring aims: Which aims belong together? What is still missing?
- Ranking aims: What is most important to me? Which aims have the highest priority?
- Reviewing aims: How realistic is it that I can reach these aims? What or who could help me? What or who could hinder me?
- What are my maximal aims? What is my room for manoeuvre? What is my best alternative besides negotiating?

Clarifying the aims helps to decide whether it makes sense to participate in a decision making procedure and under which terms and conditions. If I have no alternatives I will act in a different way than if I am not really depending on the procedure.

3.3.5.2 Defining the subject

A clear definition of the subject is one of the most important framework conditions. In general, the subject itself and also the room to negotiate cannot be totally fixed in advance (see Pt. 3.3.2, Step 1). During the negotiation procedure, these two issues become a topic on the agenda again and need further detailing.

Nevertheless, in order to realise a successful decision making procedure it is necessary to clarify the subject in advance as far as it is possible. Following questions can be helpful:

- What exactly is the subject of the decision making procedure? Which issues are negotiable, which are not?
- What is the room to negotiate? What is the spectrum of possible results? What can be expected? Is there something to be excluded?
- What are the criteria in order to decide who should be invited to participate?

3.3.5.3 Defining the tasks and the process

After having defined the subject, the decision making procedure has to be divided into different tasks, and these tasks have to be arranged in a meaningful chronological order (see Fig. 1).

For the definition of tasks, following questions may be helpful:

- What is the aim? What do you want to reach with this specific task?
- What are the different working steps in order to reach this aim?
- Which methods should be used?
- Who is responsible for the different working steps?
- Until when should the different working steps be completed?
- What are the results of the different working steps? How will these results be used?

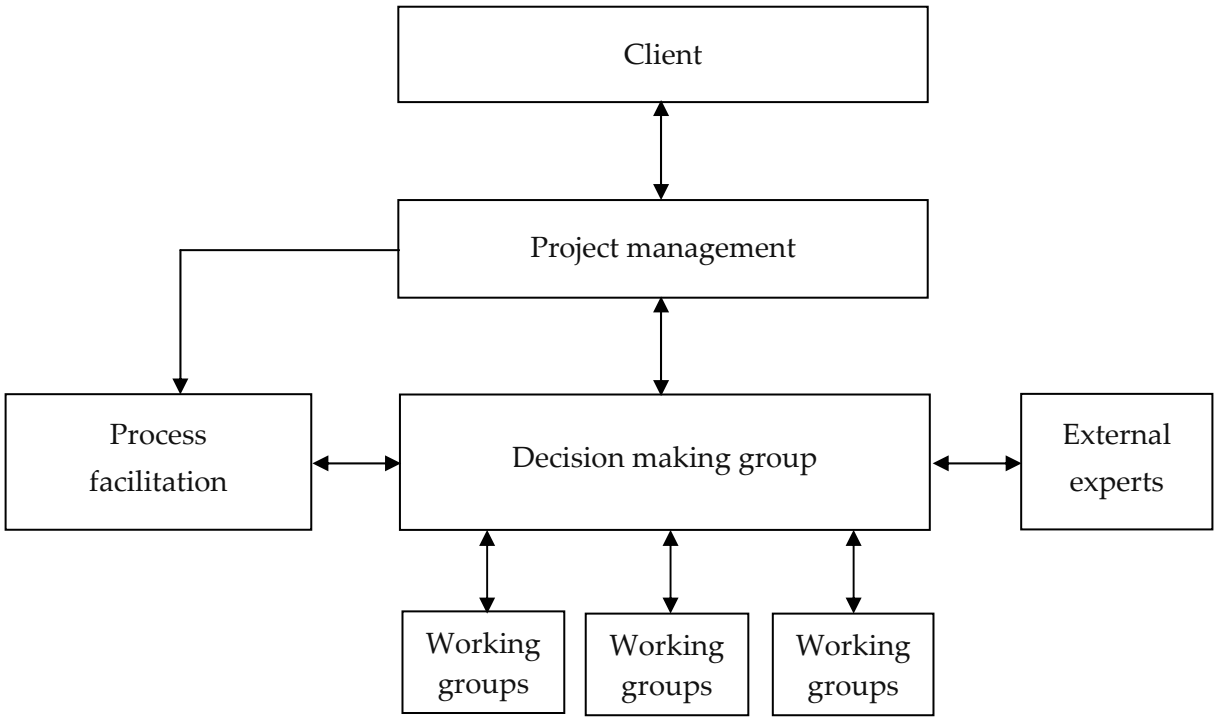
3.3.5.4 Defining the process structure

Defining tasks, responsibilities and a chronological order of the procedure also leads to the question of responsibilities. Following questions can be helpful:

- Who is participating in the process?
- Who is playing which role?
- Who is responsible for what?

It may be helpful to describe the process structure in a chart (see Fig. 2).

Fig. 2: Model structure of decision making procedures



Source: PFEFFERKORN et al 2006

Clear structures are a crucial precondition for an effective handling of the decision making process. It is decisive that that the ´right´ persons are participating in the procedure. If key actors are missing, decisions risk to be cancelled in a later stage.

3.3.5.5 Fixing the framework

Before the decision making process can start, appropriate framework conditions have to be created. The following checklist is based on OEGUT Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation Nr. 1: Checklisten für Rahmenbedingungen und Qualitätskriterien partizipativer Verfahren im öffentlichen Bereich.

Checklist: framework conditions for preparing promising decision making procedures

Participants

- Participation is voluntary.
- All relevant actors are represented in a balanced way at the negotiating table.
- The process facilitators had a conversation with the single parties before the process starts. In these talks the general understanding of roles and procedures, of interests, possible benefits and risks are discussed.
- The framework allows the participation of specific social groups (immigrants, young and elderly people, women).

Commitment of the official decision makers

- Political support for the decision making procedures is clarified in advance.
- Those who will implement the results are involved into the procedure.

Results

- The results of the procedure are open, at least there is a sufficient band width and scope of possible results.
- The participants are aware of their scope of action and also of their limits.
- It is clear from the very beginning who will be responsible for the final decision making.
- The participants know about the bindingness of the results and what will happen with the results after the decision is made.

Time

- The involvement of the parties is early enough to make maximal use of existing negotiation potentials.
- The duration of the procedure is clearly fixed and sufficient to fulfil the tasks.
- Duration of the procedure as well as time needs are adapted to the resources of unsalaried participants.
- Certain time flexibility is given in order to respond to unexpected events.

Money

- Sufficient financial means are guaranteed to carry out the process in a professional way.
- Unsalaried work is honoured in other ways.
- A financial reserve is foreseen in order to react on unexpected incidents.

Other resources, information

- The starting situation is analysed.
- The participants receive an initial information package regarding the content and the procedure.
- Access to relevant information is guaranteed to all participants.
- A framework for effective and continuous exchange of knowledge throughout the process is prepared.

Process design and management

- The process is facilitated by independent and experienced persons.
- The process design is well adapted to the specific situation.
- The distribution of roles and responsibilities is clearly defined.
- Organisational issues (meeting locations etc.) are clarified.
- The interfaces between formal (legally determined steps like a public hearing) and informal parts of the procedure (like a future workshop) are clearly defined.
- The general public is informed as far as it is convenient to the specific situation.

The document ´Towards a reinforced culture of consultation and dialogue – General principles and minimum standards for consultation of interested parties by the Commission´ includes following minimum standards:

(1) The scope of the consultation procedure is clear.

(2) Concerned parties must be given the opportunity to present their points of view.

(3) The Commission has to inform about consultation measures via appropriate media, especially via Internet

(4) Time limits: interested parties should have 20 days time to give feedback to meetings and 8 weeks to give feedback to written public consultations

(5) Receipt of contributions and feedback has to be acknowledged. The results of public consultations have to be published via internet.

The ´Code of Practice on Consultation´ of the British Prime Minister includes following elements:

(1) Consult widely throughout the process, allowing a minimum of 12 weeks for written consultation at least once during the development of the policy.

(2) Be clear about what your proposals are, who may be affected, what questions are being asked and the time scale for responses.

(3) Ensure that your consultation is clear, concise and widely accessible.

(4) Give feedback regarding the responses received and how the consultation process influenced the policy.

(5) Monitor your department's effectiveness at consultation, including through the use of a designated consultation co-ordinator.

(6) Ensure your consultation follows better regulation best practice, including carrying out a Regulatory Impact Assessment if appropriate.

3.3.6 Step 5: Selecting the appropriate methods and tools

The selection of the ´right´ methods and tools is depending on different aspects which are described in Chapter 3.4.

3.3.7 Step 6: Negotiating and making decisions

After having clarified the starting point (Step 1), having assessed the situation (Step 2), considered options (Step 3), having prepared the decision making process (Step 4) and selected the appropriate methods (Step 5), negotiations can finally start.

The negotiation phase can be divided into following stages:

- Starting phase: getting to know each other, distributing relevant material to the parties, defining rules of procedure.
- First negotiation phase: gathering and learning to understand the relevant topics, problem perceptions, positions and interests of the parties, working up the case history.
- Second negotiation phase: defining common and conflicting aims, identifying measures, fixing priorities.
- Third negotiation phase: specifying measures, defining responsibilities and time schedules for implementation.
- Final negotiation phase: summarising results, defining monitoring and evaluation measures.

Each phase should be secured by written or documented agreements, this is always the basis for the next step.

Before negotiations can start, some organisational issues have to be clarified:

- What are the requirements for the meeting location (distance to participants, neutral terrain and atmosphere, size etc.?
- Which are the technical requirements (light, media, pin boards, arrangement of tables, catering etc.)?
- What is the right meeting time (which day of week, which time of day, evening)?
- What is the title of the first get-together?
- Who invites the participants? What is written in the invitation letter?
- When do the participants have to be invited?
- Is it necessary to provide child care?

3.3.7.1 Starting phase

The first get-together is always crucial. Its atmosphere is often formative for the whole process. Which aspects are relevant:

- Introduction by the process initiators, then handing over to the process facilitators
- Introduction by the process facilitators, information about the agenda
- Presentation of participants: names, institutions, functions
- Agreements concerning the organisational aspects of the decision making procedure: duration, meeting place, time schedule, dates etc
- Distributing relevant material to the parties: which technical material is relevant (studies, reports, surveys etc.). Who needs which material? After reading the material: what is unclear? If necessary, study authors can be invited
- Defining rules of the procedure: clarifying roles, responsibilities, rights and duties of the participants; defining rules of interaction and of internal and external communication

If some parties want to enter discussions regarding contents already in the start meeting, it is the duty of the facilitators to postpone this discussion to a later phase of the process. In the beginning the participants should focus on the discussion about structures and the execution of the process itself.

In addition it can be very helpful if the ordering party (political or administrative bodies) makes a statement that they commit to implement the joint results of the decision making process.

3.3.7.2 First negotiation phase: separating interests from positions

This phase should help to specify the subject and the aims to be achieved. It has to be clarified if possible adaptations are still within the room to negotiate. Following questions can help the participants to identify the relevant topics:

- Which issues of this process are important to me? Why?
- Where can I see special chances to achieve my goals?
- Which are my main fears?

Each of the parties should have enough time and space to argue and explain their con-

cerns. This makes clear the needs and wishes of the parties, the relations between the different interest groups (conflicts and alliances), important events in the past etc. At this stage the facilitators have to support the parties to detect their 'real' needs behind superficial positions. It is crucial to identify these needs, because they are the ´building material´ for common decisions and solutions.

3.3.7.3 Second negotiation phase: developing common aims

After knowing the interests of all parties involved, the aims of the process can be further specified. The questions mentioned in Chapter 3.3.5.1 can be helpful, but now the parties have to agree on *common* aims of the process:

- Gathering aims: What are our common aims of the process? What exactly do we want to achieve?
- Structuring aims: Which aims belong together? What is still missing?
- Ranking aims: Which aims are most important to us?
- Reviewing aims: How realistic is it that we can commonly reach these aims? Who or what could help us? Who or what could hinder us?

After having worked on the aims of the process, the parties have to identify the ways leading to these aims: Which measures could be helpful to achieve the common goals? Answering this question normally leads to a long list of possible measures in different fields of activity. At this stage it could be helpful to divide the plenary group and to specify the issues in smaller working groups.

Plenary groups sometimes refuse to split up at this stage because the common identity and the confidence within the group is not yet strong enough. It is the responsibility of the facilitators to find a solution, for example to fix the dates of working group meetings suchlike that nobody is excluded.

Installing working groups leads to additional resources (personnel, time) needed – this has to be considered when planning the decision making process.

3.3.7.4 Third negotiation phase: preparing solutions

In the different working groups the participants can work out proposals and draft solutions for their issues. These proposals include activities, expected results, responsibilities, time schedules, costs and financing. The results of the working groups have to

be exchanged in the plenary group. The parties have to find out which of the proposed solutions in the different fields are compatible and which are conflicting. The conflicting issues have to be discussed in a next round – either in the plenary group or in working groups again. At this stage, several rounds of negotiation may be needed in order to come to sustainable solutions.

When having achieved joint solutions in a first draft, the involved parties have to enter into consultations with the interest group they are representing in order to get their o.k. This is a crucial step in the decision making procedure. Without the acceptance of the members of their interest group, the parties are not able to continue the decision making process.

Therefore it is very important that the members parties in the negotiation group support each other in explaining the interim results or draft final results to the members of the different interest groups. In many decision making processes this takes more time than finding the common solution itself.

After having received the feedbacks and comments from the members of the different interest groups, the negotiation team has to adapt the draft solutions in order to fulfil all needs and wishes as far as possible.

3.3.7.5 Final phase

The final phase has several crucial aspects: agreements have to be fixed, final decisions to be made. These decisions may have strong impacts on future activities. Following questions are relevant:

- In which way should the results of the process be secured? Is a joint report sufficient? Should the parties sign a joint final document? Should the results be made legally binding?
- How can be guaranteed that the agreed decisions will be implemented? What has to be done to make this happen? Who is responsible for that? Until when do the different steps have to take place? How will the implementation results be monitored and evaluated? By whom?
- Which are the costs for the agreed measures? Who is responsible for financing?
- Who should be informed about the results and decisions? How should this information be disseminated (see Step 8).

The end of a decision making procedure is an important transition phase: responsibility for implementation is often located in other institutions than responsibility for planning and decision making. New persons – lacking of the joint decision making experience – enter the scene and take over the matter. At this stage, complete and careful communication is decisive in order to ensure successful implementation.

Summarising the success factors of negotiation procedures, the following five areas seem to be relevant:

- Process management
- Handling of knowledge and information
- Internal interaction and communication
- External communication
- Implementation of results including monitoring and evaluation

The following checklist is based on OEGUT Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation, Nr. 3, Grenzen, Stolpersteine und Instrumentalisierung von Öffentlichkeitsbeteiligung.

Checklist: key factors for promising negotiation procedures

Process management

- The decision making procedure is managed by professional and independent facilitators.
- Permanent monitoring and reflection of the procedure in order to identify the need for changes and adaptions.
- Accurate organisation of the procedure (meeting facilities, time schedule, documentation, etc.).
- The facilitators use different methods according to the specific situations.
- The facilitators and all other persons involved care for a continuous work flow and try to avoid troubles and disruptions of the process.

Handling of knowledge and information

- All relevant information is disseminated to the parties before and during the decision making procedure.
- Different types of knowledge are made available and included into the procedure in order to prepare well founded decisions.
- Good practice examples help to raise the willingness for co-operation.
- The steps of the procedure (agendas, memos, drafts, final papers etc.) are well documented and disseminated to the parties.

Rules for internal interaction and communication

- The roles of all participants are clearly defined and agreed by the involved actors from the very beginning.
- The facilitators care for clear and fair rules of procedure, which have to be agreed by the parties in the beginning of the process. These rules should be laid down in written form and include following elements: the aims and steps of the procedure, the rights and duties of the parties as well as the rules for decision making (e.g. consensus or majority decisions).
- The facilitators provide specific 'rules of the game' concerning team culture and communication (fair communication, appreciation of the other parties, tolerance, the way how to deal with the knowledge gained etc.).
- It is the duty of the facilitators to make sure that the agreed rules are followed by the parties.
- The facilitators ensure that all opinions are heard and discussed.
- If it should be the case the facilitators care for the integration of new participants.
- The proportion between the expenditure of time and the expected benefit is acceptable for all parties.
- The parties are informed about costs and financing of the procedure.
- The parties are informed who participates honorarily.

External communication

- The parties agree to which extent, when and how the general public is informed about the process.

- The parties agree to present the results as a common achievement.

Implementation of results

- The rules for implementation of the results and for monitoring are defined during the decision making procedure.

3.3.8 Step 7: Implementation

Although decision making processes often lead to satisfying results, implementation often deviates from the agreements or even fails completely. This leads to big frustration among the parties involved.

Implementation problems or failures can have several reasons:

- The aims as well as the final results and outputs of the procedure were not defined clearly enough before or during the procedure.
- It was not defined clearly enough before or during the process, how far participation of the different parties would reach, how far they are involved in the final decision making.
- The process design was not flexible enough to consider upcoming needs for changes and adaptations of the subject or the extent of participation.
- It was not defined clearly enough before or during the procedure what should happen after the final decisions are made, who is responsible for implementation.

Especially if implementation problems are predictable, a continuous monitoring of implementation by a small group including the most relevant actors or interests followed by an evaluation of process and results seems to be very important. It helps building up trust for next planning processes and learning from mistakes.

3.3.9 Step 8: Monitoring and evaluation

Monitoring and evaluation measures help to find out if the goals of the process have been achieved and if the implementation leads to the expected effects.

Following questions could help to specify the monitoring and evaluation activities:

- What are the aims of monitoring? In general monitoring and evaluation are focussing on

- Relevance: Do the implemented measures correspond to the initial needs?
- Coherence: Are the aims, instruments, procedures and resources fitting well together?
- Impacts: Which are the direct and indirect, the short and long-term economic, social and environmental impacts?
- What exactly should be examined? By which indicators?
- When and by whom should monitoring measures be carried out? How will the concerned persons and institutions be involved into the monitoring and evaluation procedure?
- What will happen with the monitoring and evaluation results?

In new forms of decision making, these monitoring and evaluation aspects are defined not only by the client or project leader, but rather by a group including stakeholders, concerned persons and institutions assisted by an external facilitator.

3.3.10 Accompanying information

Public relations are an important element of decision making procedures. PR can have two different functions:

- Activation: individuals and interest groups are informed about the opportunity to take part in a decision making procedure. Dissemination measures should be fitting to the needs of the different target groups with special regards to specific groups like elderly people, youngsters, immigrants and women.
- Providing confidence: in order to make the decisions effective, the single results as well as the steps leading to the results have to be communicated to the public.

Following questions can be helpful for planning PR measures:

- What are the aims of the information measures?
- How can we reach these aims?
- Who will provide the required resources (personnel, time, money)?
- Whom do we want to reach at which stage of the process?
- Which communication media are most appropriate to reach the different target groups?

Traditional communication media:

- Printouts (folders, flyers, posters, etc.)
- Internet (websites, links, mailings, newsletters, forums)
- Radio, TV
- Events (discussions, workshops, festivities)
- Expositions

More interactive and creative forms of communication:

- Activation inquiry
- Ideas competition
- Artistic interventions in the public space (e.g. Forum Theater)
- Video
- Unusual partnerships (e.g. testimonials with artists, famous persons, etc.)

Accompanying information and the PR measures in detail are part of the rules of procedure, which have to be defined before and at the very beginning of the decision making process.

3.4 GUIDING QUESTION 4: WHAT ARE THE CRITERIA TO CHOOSE THE METHODS AND IDENTIFY THE STAKE-HOLDERS (FITTING OF METHODS AND CONTEXT)? WHICH METHODS ARE MOST SUITABLE FOR WHICH KINDS OF DECISION MAKING PROCESSES?

3.4.1 Key words

The definitions are based on http://sb.thefreedictionary.com

Criteria to identify the stakeholders

Criteria

Standards, rules, or tests on which the identification of stakeholders can be based.

Stakeholder

One who has a share or an interest, as in an enterprise.

In the last decades of the 20th century, the word ´stakeholder´ has evolved to mean a person or organisation that has a legitimate interest in a project or entity. In discussing the decision-making process for institutions – including large business corporations, government agencies and non-profit organisations – the concept has been broadened to include everyone with an interest (or ´stake´) in what the entity does. That includes not only its vendors, employees, and customers, but even members of a community where its offices or factory may affect the local economy or environment (wikipedia). See also: HOSTMANN et al (2005), p. 16f.

Suitable methods

Means or manners of procedure, especially regular and systematic ways, that are appropriate to come to a decision.

Kinds of decision making processes

A variety, a sort of decision making processes.

For ´decision making process´: see Chapter 3.3.

3.4.2 How to identify stakeholders for decision making processes

In legally determined procedures it is mostly regulated who takes part in the decision making process and who does not. In informal procedures, the identification of the ´right´ stakeholders for the processes is a crucial issue and depending on a wide range of aspects ´, which are are described under Chapter 3.3, mainly 3.3.2-3.3.5.

3.4.3 Criteria for the selection of the ´right´ methods for decision making processes

The selection of the ´right´ methods is depending on different aspects. Following questions can be helpful:

- How complex is the issue? What is the scale of the issue (local, regional ...)
- What is the central aim of the decision making process?
- Which are the expected results and outputs?
- Who should be involved into the procedure? How many persons are expected to participate?
- Where are the limits of participation? Do we talk about consultation or about co-decision making?
- How high is the willingness of the involved parties to negotiate?
- How high is the conflict-level?
- How much time and how much money are available?

There is a wide range of methods to be used for different kinds of procedures and situations. Often different methods are combined. In chapter 3.4.4. these methods are described in more detail.

3.4.4 Description of methods

The different methods of new forms of decision making can be divided into three groups – according to the level of participation intensity (details see Tab. 1 below):

- Level 1: ´Information´

- Level 2: ´Consultation´
- Level 3: ´Co-decision making´

Meanwhile, these levels are ´state of the art´ in many participatory policies and programmes. As there is a variety of ways how to use the methods and as the different methods are sometimes combined, the borders between the different levels are not fixed.

With regard to their legal basis, the new forms of decision making could also be divided into two big groups: some procedures are legally fixed (e.g. EIA), others are just informal but usually can be to a certain degree incorporated in formal procedures. The methods described below are more focussing on informal procedures but take also into account legally determined processes.

For the methods described, different tools for decision support, for moderation and conflict management can be used, especially with regard to brainstorming, to giving feedback, to the ranking of certain issues, to evaluation and reflection etc. There is a huge quantity of publications describing these tools and how to use them, in addition a wide range of qualification and training measures are offered.

Tab. 1: Level of participation intensity and corresponding methods

Level of participation	Title of method	Participants	Duration	Suitability for level of escalation 1)	Also possible outdoor	Process phase	Costs	Complexity
Information: The public is provided with or has access to information. One-way communication, no possibility to give feedback.	Mail	●●●	▼	L, M		S, I	L-M	L
	Leaflet and brochure	●●●	▼	L, M		S, I	L-M	L
	Press releases, press conferences	●●●	▼	L, M	○	S, I, M	L	L-M
	Placard	●●●	▼	L, G	○	S, I	L	L
	Exposition	●●●	▼	L, M	○	S, I	L-H	M
	Information center	●●●	→	L, M	○	I	H	H
	Open house	●●●	→	L, M		I	M	M
	ICT tools	● - ●●●	→	L, M		P, S, I, M	L-M	M
	Cultural event, mainly for awareness raising	●●●	▼	L, M	○	P, S, I	L-M	M

Level of participation	Title of method	Participants	Duration	Suitability for level of escalation 1)	Also possible outdoor	Process phase	Costs	Complexity
Consultation: The views of the public are sought. Sometimes real interaction takes place. Two-way communication: information and possibility to give feedback	Inquiry	●●●	→ →	L, M	○	P, M	M	M
	Conversation, interview	●●	▼	L, M, H	○	P, M	L-M	M
	Petition	●●	→ →	L, M, H		P	M	M
	Stakeholder analysis	●●	→ →	L, M, H		P	M	H
	Public hearing or meeting	●● - ●●●	▼	L, M, H	○	P, S, I	L-M	M
	Discussion (real or virtual)	● - ●●●	▼	L, M, H		S, N, D, I, M	L	L
	Workshop	● - ●●	▼	L, M	○	S, N, D, I, M	L-M	M
	Round table	● - ●●	▼	L, M, H		S, N, D, I, M	M	M
	Focus group	● - ●●	→ → →	L, M, H		N, D, M	M	M

Level of participation	Title of method	Participants	Duration	Suitability for level of escalation 1)	Also possible outdoor	Process phase	Costs	Complexity
	Working group	● - ●●	→ → →	L, M, H		N, D, M	M	M
	Planning cell	● - ●●	→ →	L, M, H		S, N, D	M	M
	Future conference	● - ●●●	▼	L, M		P, S	M	M
	Open space	● - ●●●	▼	L, M		P, S	M	M
	World cafe	● - ●●	▼	L, M		P, S, N	M	M
	Field trip	● - ●●	▼	L, M, H	○	P, S, N, D, I, M	L-M	M
	Citizens´ jury	● - ●●	▼	L, M, H		S, N, D, M	M	M
	Participatory evaluation	● - ●●	→ →	L, M		M	M-H	H

Level of participation	Title of method	Participants	Duration	Suitability for level of escalation 1)	Also possible outdoor	Process phase	Costs	Complexity
Co-decision making: Direct influence on decision via voting or other procedures	Co-operative planning process with negotiations resulting in a ´voluntary agreement´	● - ●●	→ → → →	L, M, H		P, S, N, D, I, M	H	H
	Mediation procedure	● - ●●	→ → → →	M, H		P, S, N, D, I, M	H	H
	Stakeholders represented in decision making boards	● - ●●	→ → →	L, M, H		N, D, I, M	L-H	H
	Binding referendum	●●●	→ →	L, M, H		P, S, N, D	H	H
	Popular initiative	●● - ●●●	→ →	L, M, H		P, S, N, D	H	H
	Intermediary organisation	● - ●●	→ → → →	L, M, H		P, S, N, D, I, M	H	H

1) Level of escalation. Many information measures maybe helpful as an introduction into a decision making procedure

Criterion						
Number of participants	● = low: ca. 5 – ca. 20		●● = medium: ca. 10 – ca. 40		●●● = high: ca. 30 – ca. 200 and more	
Duration	▼= single event	→ = short: some days – some weeks	→ → = medium: some weeks – some months		→ → → = long: 0,5 – 3 years	
Escalation level	L = low: the parties generally accept each other, there are no big conflicts, or the conflicts are not carried out (yet)		M = medium: there are conflicts between the parties, the parties are twitting, but still listening to each other		H = high: there are heavy conflicts between the parties, partners do not listen to each other any more, communication has broken down	
Indoor/outdoor	☼ = outdoor is possible, specific aspects have to be considered (weather, location etc.)					
Phase	P = preparation phase	S = starting phase	N = negotiation phase	D = decision phase	I = implementation phase	M = monitoring phase
Costs	L = low: some hundred to a few thousand Euro		M = medium: a few thousand to a few ten-thousand Euro		H = high: above a few ten-thousand Euro	
Complexity	L = low: if most of the following aspects are true: low number of actors and conflicts, low level of escalation, low duration of procedure, small area concerned (only one municipality). Strong willingness to find a common solution		M = medium: if most of the following aspects are true: medium number of actors and conflicts, medium duration of procedure, medium size area concerned. The parties are twitting, but still listening to each other and willing to find a common solution		H = high: if most of the following aspects are true: high number of actors and conflicts, high level of escalation, long duration of procedure, large area concerned (several municipalities or even provinces). Partners do not listen to each other any more, communication has broken down, low willingness (and trust) to find a common solution	

Sources: Own elaboration based on EUROPEAN COMISSION (2002), KOLLMANN et al (2003), MOSTERT (2003)

In the next chapters, some methods are described in more detail.

3.4.4.1 Information

Information is one way communication. Therefore this level is often not considered as participation. Sometimes, information procedures play an important role in the beginning of a decision making process. Information is also relevant for those who just want to be informed and not participate intensively in a procedure.

Mail

Mails help to inform the general public. They should include a description of the intended plan, project or problem, a time schedule, the stage of affairs, dates of events, information about how one can participate in a planned decision making procedure. The information should be short, the language clear and easy to understand. Information letters or emails have to include a sender and all relevant contact information (phone, mail, www). If you use this method, you have to be aware of the fact that many persons will not read it but throw it directly into the wastebasket. Nevertheless, it may be necessary to use this method in the beginning of a procedure to ensure area wide information.

Placard

Placards are fixed on public places, this can be the City Hall, market places, shopping centers, churches, leisure centers etc. The function is similar to mails, placards can just give some basic information and raise public attention. The information has to be even more simple and clear than in mails, good layout is very important.

Exposition

Expositions offer more detailed information for the general public, they can include placards, objects, installations, computer animations, video clips etc. Expositions can be designed in a mobile and modular way, so they can be expanded and used at different locations and at different stages of a decision making procedure. Good expositions may be quite expensive!

3.4.4.2 Consultation

Consultations offer a dialogue, information and opinions can be exchanged. Citizens can give feedback to plans or projects, but they have no influence on the further use of their feedback. Therefore their influence on final decisions often stays marginal.

Conversation, interview

One on one talks or interviews can be very helpful for decision making procedures. Before a procedure really starts, process facilitators can get into contact with involved parties, can learn about their opinions, positions, fears and interests and gain useful background information. These are important factors for the design of a decision making process. In addition, one on one talks create a relation between persons, which can be very important in difficult situations later on.

One on one talks or interviews should be carried out by those who are responsible for the process design and or the later process facilitation. Important aspects are: aims of the interview, location, duration, transparency, open questions. It may be helpful to use a guideline in order to make interviews comparable. The results of interviews should be summarised in written form.

Interviews should always be authorised by the interviewees. Interviews are a very time consuming technique so it is usually not possible to have a representative sample of people. Therefore generalisations should be avoided.

Discussion, hearing

Discussions and hearings help to inform about ideas, projects, plans, to present different opinions and to get feedback from the participants. If organised early enough in the process, discussions and hearings can also be a starting point for a participatory decision making procedure.

Discussions and hearings are very common consultation methods. Success or failure are mostly depending on a careful preparation and good facilitation of the event. Important aspects: aims, target groups, date, location, size, technical aspects (arrangement of tables and chairs, light, microphone, pin walls, translation etc.), roles of the key actors: Who invites? Who presents the contents? Who should sit on the podium? Who is the moderator? What should be written in the invitation letter? How will the feedback of the participants be documented (live-protocol via beamer)? What will happen with

the results later on? The facilitators should also be prepared for critical situations: escalating conflicts between participants, unexpected behaviour etc.

Workshop

Whereas discussions and hearings are open to a general public and also open with regard to contents and results, workshops have a limited number of (mostly) selected participants. In order to ensure good working conditions, workshops should not include more than 15-20 persons, otherwise it is necessary to work in subgroups. Workshops should have clear aims, structures, roles and procedures.

The duration of workshops can be from half day to two or three days. If more time is needed then they can be organised as two or three consecutive events. Workshops should provide an optimal setting for WORK. Therefore they should be prepared very precisely, the role and contribution of each participant should be clear. Important questions: What are the aims of the workshops? What are the expected results at the end of the day? Which working steps are necessary to reach these aims? Which material do the participants need in advance? How will the workshop results be documented? What will happen with the results later on?

Also technical aspects have to be considered: date, location, arrangement of tables and chairs, light, pin walls, translation, catering etc.

Working group

Working groups consist of a certain mix of participants who co-operate for a special purpose, e.g. to work on a specific issue of a problem or to answer specific questions. The size of working groups should be limited to ca. 15-20 persons, otherwise group work becomes difficult and subgroups have to be installed. Working groups normally meet regularly, their co-operation methods can be meetings, discussions and workshops but also all other consultation and co-decision making methods.

Excursion

Excursions often are not considered a special method: they can be organised as discussions or workshops on-site. Excursions can be very helpful to make problems visible and better understandable. Sometimes solutions can directly be found. Excursions are often embedded in a wider participatory context of a decision making procedure.

Therefore the following aspects should be considered: What are the aims of the excursions? Who should take part? The number of participants should not be higher than 25 persons, otherwise conversation and discussions become difficult. At which stage of the process should the excursion take place? Which are the sites to be visited? How will the results be documented? What will happen with the results in the further procedure? Some technical aspects:

How much time will be needed? How will the travel be organised? Are there catering facilities? Is there a place to go in case of bad weather?

Excursions are a good method to bring people together, this method offers different options for small talk, walking together, getting to know each other, socialising, building relations.

Participatory evaluation

Participatory evaluation means that the relevant aspects of monitoring and evaluation measures are defined not only by the client or project leader, but rather by a group including stakeholders, concerned persons and institutions assisted by an external facilitator.

In a good decision making process the main aspects are already included in the final process agreement (see Chapter 3.3.7). Before the monitoring and evaluation phase starts, following aspects should be clarified: What are the aims of monitoring and evaluation? What exactly should be examined? By which indicators? When and by whom should monitoring measures be carried out? How will the concerned persons and institutions be involved into the monitoring and evaluation procedure? What will happen with the monitoring and evaluation results?

3.4.4.3 Co-decision making

At this level, the participants can directly influence the final decisions. Therefore the methodological requirements are higher than on the other participation levels.

Co-operative planning process

Co-operative planning processes can be used for complex projects and plans with different thematical issues, interest groups and types of knowledge. The decision making procedure normally requires several steps (see Chapter 3.3). Often, several information and consultation methods like public hearings, workshops, excursions etc. are embedded. Co-operative planning processes need clear aims, expected results, structures and rules of procedure, a work programme as well as regulations regarding the implementation of results and monitoring. All relevant aspects are mentioned in the Chapters 3.3.2-3.3.9.

Mediation procedure

Mediation is a method for conflict management. Participation is voluntary, it is the responsibility of the involved parties to find and work out common solutions. The parties are supported by an independent and professional mediator.

The mediation of environmental conflicts can be characterised by complex issues (like a motorway, a power plant or the zoning of a new industrial area) with many different interest groups, a high number of participants, a conflict history, a high level of conflict escalation. The mediation procedure includes several steps starting with a conflict analysis, the preparation of a process design, the selection of participants, the separation of positions and interests, the elaboration of common aims, measures etc. The single steps are not so different from other participatory planning processes described in Chapters 3.3.2-3.3.9. Mediation procedures normally end with a written agreement or contract between the involved parties.

Many consultation methods described under Pt. 3.4.4.2 can be listed under co-decision making, if there is a mechanism ensuring that results will be directly made a part of the final decision.

4 BEST PRACTICE EXAMPLES

4.1 INVESTIGATION OF BEST PRACTICE EXAMPLES

The team for Question 5 used different methods for data acquisition like expert interviews, reuse of own and other research project's results as well as literature, newspaper and Internet surveys. Last but not least, we could utilise the huge material that the CIPRA competition of summer 2005 provided (see: http://competition.cipra.org/en/competition/). The iterative process guided by the Question 5-Team with support from representatives from other Question Teams and by the national branches of CIPRA in France, Italy and Germany lead to a sample of mutually validated and agreed best practice examples from all Alpine countries.

The criteria to choose the best practice examples for Question 5 can be deduced from our comprehension of new forms of decision making and the interrelated assumptions (see Chapter 1, page 7):

- The procedure allows to integrate different types of knowledge by providing the framework required. Knowledge transfer between the different groups is desired and supported.
- The issue dealt with is embedded into a wider and integrated approach, where at least neighbouring topics (horizontally and vertically) are considered.
- There is a negotiation process with clear aims, rules and defined expected outcomes.
- Those, who are responsible for the procedure, actively encourage co-operation between the (conflicting) parties involved into the procedure.
- The decision making procedure has innovative potential compared with the traditionally used decision making procedures in either its concept, methods and tools or involved actors.

The chosen examples base on a variety of different methodologies and instruments and therefore represent the possibilities which are applied in today's planning and implementation practice. Moreover, the examples correspond to a multiplicity of processes like e.g. situation analysis, problem analysis and definition, strategy development or conflict resolution. Within our sample, the following instruments were applied: media-

tion, workshop, working and focus group, future conference, Internet participation, round table, survey, inquiry, empowerment, civic forum, ´Planungszelle´, involvement in city council decision making, referendum, school education, PR and media.

Geographical factors were also important for our choice. The sample consists of 35 examples from all Alpine countries (see below). Two examples from EU level decision making are also added. Of importance were also the links to the issues of the other question groups. Naturally, the links to the teams of Question 6 (policy implementation) and Question 2 (governance) are most obvious. But there are also strong interrelations of Question 5 with Question 1 (regional value added), Question 3 (protected areas) and Question 4 (mobility).

Best practice examples, geographical distribution: Austria: 10, Switzerland: 8, France: 6, Slovenia: 5, Italy: 4, Germany: 2, EU: 2

Best practice examples, links to the other questions of ´Future in the Alps´: Q1: 18, Q2: 23, Q3: 10, Q4: 10, Q6: 31

All best practice examples are listed in Annex 2. They can also be found in the CIPRA database (see: http://projects.cipra.org/bestpractice/bestpractice_overview).

4.2 SYNTHESIS OF INVESTIGATION

Most of the best practice examples which were collected and examined within Q5 have a recent date: almost all started in 21st century and have finished recently or are still ongoing. This is quite understandable since our focus was on the NEW decision making forms. Nevertheless this is not to say that we could not learn from visionary attempts in the past. At least two examples prove this: first is the case of *Mitigation of impacts of recreational activities on the local ecosystem* from Isère in France, which started already in 1973. The second one; *Ortsplanungsrevision Saanen* in Swiss canton Bern is a very recent one (2005-2008), but it was qualified for a best practice example due to its similarity to the ambitious planning procedures in the 1980ies.

As far as our topic is concerned, most of the cases refer to comprehensive decision making issues, comprising several sectors, issues and stakeholders, such as regional or local development strategies. These examples are rather equally represented in all

countries. They are followed by concerns of human (social cohesion, social services) and nature well being (nature conservation). Mobility, regional products, agriculture, forestry and risk prevention are areas represented by one or two cases. We could conclude that more complex problems pose bigger challenges for the traditional decision making forms and therefore inspire innovative approaches.

The merits which qualified the collected examples as best practices were rather diverse. The mere ability of the different stakeholders to creatively communicate with one another and thus achieve synergies is often already considered to be an achievement. This rather banal finding shows that the decision-making reality is still quite far from the theoretical standards. However, there were also real achievements in content, methods or formal procedure which could be considered innovative. Most of the innovations refer to the design of the procedure, whereby achieving transparency seems to be an overarching aim. Another obvious trend is an emphasis on the networking. Beyond that, different ways of formalising newly developed relations often proved to be valuable. These range from informal agreements to contracts all the way to passing of a formal act. The non-conventional distribution of responsibilities and roles and new comprehension of subsidiarity can also be a success factor. A quite diverse set of innovative ways of embedding civil initiatives into formal procedures prove, that these are not as inflexible as usually assumed. A great deal of innovativeness could also be detected in the set of participants: marginal groups are being more often involved, whereby youth seem to be the most popular group to involve, while other specific groups (elderly, immigrants, disabled..) still seem to be neglected. An important shift of the "new decision making forms" shows an emphasis on empowerment, awareness raising and education for responsible citizenship and participation of different groups in future decision making processes.

As regards content, the best practice examples searched integrated solutions to solve several problems at the same time. This approach differs from the traditional sectoral one, and although it is rather complex and demanding, our examples show that it is feasible. Another innovation is opening of the traditionally expert dominated fields (such as risk prevention) to non-expert public and open debate.

As far as methods and techniques are concerned, most rely on well proven techniques: information dissemination, panels, workshops, expert (think-tanks) and mixed working groups prevail. Some of them do have specific formats or "trendy" trade marks, such as focus groups, future conferences, European Awareness Scenario Workshops, Citizen conference… When bigger numbers of participants need to be considered, the traditional tools such as opinion surveys and referendums are used. There are only few

methods which could really be called innovative, such as planning cells, forum theatre, mediation, city walks, project markets, and even these may be just other versions of or names for traditional methods. It may be somewhat surprising, but the exploration of innovative technologies is not very much an issue in decision making practice. Only few cases of on-line tools or computer visualisations and simulations were mentioned. Nevertheless, it is often an innovative application of a well known method, which can significantly improve the process and its outcomes.

At the beginning of our best practice survey, we choose four criteria to be considered when evaluating a case as a "best practice". Following is a synthesis of assessment according to these criteria.

(1) Transparent negotiation process with clear rules. Many assessments of process transparency simply state: "objectives, strategies, etc. were openly discussed and agreed among all relevant stakeholders". Although presentation and discussion indeed often seems to be sufficient to ensure transparency, this assumption needs some caution. First of all, it may work only as long as there is a strong consensus about aims, priorities and means, and a lot of good will among the participants. However, with conflicting and complex issues this is seldom the case. Such situations require more sophistication for achieving transparency. Secondly, the statement "all relevant actors" requires some attention – it is not at all self evident who is included. If this issue is not handled well, the process can turn out to be a rather clientelistic and not at all transparent one. For smaller communities, everybody should be invited. For larger ones, an open call for participation with a transparent selection of a representative sample (as in some EU examples) can be a solution. At least the most decisive steps should be open for everybody who is interested in the issue. Other recommendations include:

- Clear structure of the process (delimitation of steps, goals and deliverables of each step, actors). Standardised processes (e.g. *Agenda21* in Italy) add further to the predictability, but may not "fit all": there may be cases which require adaptability.
- Defined room for manoeuvre, roles and responsibilities of the stakeholders. It may be wise to sign an agreement. This can be a voluntary document, a legally binding contract or even a formal document passed by responsible authority.
- Regular presentation of mid-term results. Besides face to face and other traditional ways of dissemination, public media and Internet in particular should be made better use of.

(2) Wider and integrated approach. Many of the surveyed projects had to deal at least with the conservation/development balance, but most often they addressed very complex themes (land use, regional development…). Often they were embedded in an existing framework, such as regional/national park management or regional/local development strategy. Other options to increase integration were:

- Concrete problems can be used as a point of departure and dealt with from several aspects.
- Vertical integration is usually weaker than horizontal. It does make sense to consider at least one level above the project in question (to question preceded strategic decisions) and one level below (to verify the implementation measures and feasibility).
- Some projects (i.e *Triglav national park legislation procedure*) may go significantly beyond their original scope in that they challenge existing political and institutional frameworks.

(3) Integration of different types of knowledge
and

(4) Responsibles encouraging co-operation are dealt with together since they often overlap. All projects involved a variety of experts and users with differences in numbers, influence, levels of knowledge interchange etc. The transparency of the process and a right mix of participants are often enough for a good level of knowledge exchange. There is little information available on what exactly were the activities of the responsibles to encourage the cooperation and knowledge exchange. Providing adequate information is obviously the first thing to consider, but there are some other ideas:

- A skilled manager of the whole process is almost a must for several reasons, such as providing a central address for all questions. This can be a professional facilitator or a local person who is specifically trained (i.e. LAMA's – local agenda managers in the case of *Graz housing estates project*).
- Smaller groups usually function better, so it may make sense to split into several working groups. When audience is really large (EU citizens for example) then intermediaries should be considered (such as consumer organisations, NGOs, professional networks…).
- Formal approaches such as panels are o.k., but less formal approaches should

also be helpful; such as excursions and exchange of traditional roles (role playing). Sometimes experts should just provide background support and other users are put to the front of the debate.

- Communication channels should be adapted for specific groups (children, less educated, immigrants…). This includes members of administration who are sometimes the most difficult group to involve in knowledge exchange.
- Personal communication is still preferred. However, in some cases other means have to be employed, such as teleconferences or web pages. Use of IT requires caution, since it can help to bridge the communication gap but could also increase it.
- Sometimes it is difficult to motivate people in the first place. Showing the consequences for their life-world and giving them opportunity to decide (announce an opinion poll or referendum) or at least influence the decision (being a part of a formal decision-making procedure or having the opportunity to present the proposals at the official meetings of the local/national/EU decision making bodies) can significantly increase willingness to cooperate.
- It is worth making some extra effort to ensure that the gained knowledge is further disseminated and multiplied and that the established networks are maintained and spread.

5 RELATIONS TO OTHER QUESTIONS OF THE PROJECT, DESCRIPTION OF SYNERGY POTENTIALS

5.1.1 Question 1: Regional value added

Regional value added is largely created through trade as a decision process and in market as a decision making arena. In globalised markets these decision making forms favour and lead to centralisation. The trend of stronger market therefore doesn't work well for small Alpine economies. A successful pursuit of sustainability objectives such as coherence, environment protection and social development seems to require ´more state´ in the decision making processes to balance the effects of markets. These state interventions in terms of subsidies or other support aim to protect local economies and help them cope with the big transnational companies. As mentioned in 3.1.1, we see also urges to develop local or regional *networking strategies* and improve *knowledge management capacities*. In close co-ordination with other economic, administrative or scientific actors *business solutions* should be developed to cope with the raising complexity of legal and economic contexts. These may include (von Schomberg, 2002): visionary enterprises, transition management models, co-evolution of societal and technological systems instead of innovations in particular technology. Finally, *improvement of organisational knowledge* for an adequate co-ordination with project partners and outsiders in order to successfully develop and implement project ideas should be encouraged.

5.1.2 Question 2: Governance capacity

There is a close interrelation between the concepts of ´decision making´ and ´governance´. Therefore the criteria of good governance (following the ´White Book EC´) largely overlap with the criteria of ´new decision making forms´. Governance capacity crucially depends on ability of individuals to identify the common interest (proper instruments to deal with different interests and conflicts, responsibility and clear distribution of roles, openness and transparency of decisions, effectiveness of decisions through subsidiarity and coherence, participatory decision making processes), and strong social cohesion (balanced social stratification, involvement of all groups of local society including social and ethnic minorities). In short, these are the conditions

that are required and at the same time fostered by the bottom-up processes and democratic participation of the new forms of decision making (as conceived within the Question 5-Team).

In many parts of the Alps there is a tradition of rather authoritarian governance and decision making from the family (clan) level (i.e. patriarchal hierarchy, system of legacy transmission) to the local communities, which is restricting individual initiative, dialogue and consensus seeking and tends to turn consultative approaches to rather exclusivist and corporativist ones.

However, local and regional capacities for self-governance will be crucial to face existing or future challenges like the weakening social cohesion, ongoing brain drain processes in peripheral regions or jeopardised public services. There will be an enhanced urge to negotiate creatively adequate framework conditions and concrete solutions in different policy sectors which are adapted to the needs of the different Alpine regions. Thereby, fair and transparent forms of decision making will be essential to achieve socially legitimised local and regional solutions which are also obliging for other and more powerful actors, like e.g. federal authorities or big business players.

5.1.3 Question 3: Protected areas

As confirmed by findings of the Question 3-Team, sustainable development of the (especially large) protected areas decisively depends on the support of all stakeholders. They can therefore only be successful when they are implemented by a co-operative regional development process in which all interest groups participate.

Although participation is emphasised as an important concept, there is a focus on co-operation and co decision making among the important stakeholders (lobbies). On the other hand, there is a strong emphasis on one-way communication (strategic communication, information and PR) as regards the participation of the general public. As such, the model which is proposed and described in detail in the QT3 report represents a typical consultative – corporativist approach (according to QT5 terminology). Nevertheless, such an approach is rather different and more plausible than the now prevailing technocratic – bureaucratic one which has already proved to be inadequate for the establishment of large protected areas and their successful management for sustainable development.

However, the Q5-Team would encourage the responsible planners and politicians to experiment with more inclusive forms of decision making which are able to mobilise interest groups and population in order to enhance local or regional acceptance of and

involvement in the creation and maintenance of protected areas as important elements of the their life worlds.

5.1.4 Question 4: Leisure, tourism and commuter mobility

The several challenges regarding mobility regulation that Alpine regions are facing today, call for the application of new forms of decision making. The provision of mobility opportunities as well as mitigation of negative mobility impacts on society and environment are tasks which require close horizontal and vertical coordination in order to enhance the room for manoeuvre to satisfy the needs of affected regions. A regionally coordinated engagement to promote alternative mobility or public transport systems as basic condition for negotiating sustainable mobility concepts demands for new forms of opinion building and decision making processes including all stakeholders from state, economy and civil society. The same applies for the development of strategies for creating new and maintaining or abandoning existing transport infrastructure and for planning traffic regulation concepts (e.g. concepts for regional mobility or sustainable tourism, transport plans or traffic regulation systems). Especially the development of *mitigation strategies for the existing clash of interests* between the demands of e.g. tourism, nature and environment protection or commuter mobility could profit from the procedural experiences made in other policy fields like regional development, spatial planning or nature protection.

5.1.5 Question 6: Impact and further development of policies and instruments

There is a close link between the decision making forms and policy making. Although decision making does not always end up in a designation of a policy measure, all policies are a result of a (sort of) decision making procedure on different geographic and administrative levels. In practice, this is often a non-transparent bureaurocratic or technocratic procedure, closed within the administrative bodies and lacking public debate. At the same time policies are often criticised for not achieving much effects in terms of sustainable development and for not being able to steer the processes and to prevent negative impacts. In relation to Question 5, the decision making process as such may be considered as one of the reasons for ineffective policies, and ´new decision making forms´ should be taken into account as the state of the art in policy making processes.

On the other hand, the policy measures can affect governance and participation in dif-

ferent ways (positive and negative). To support new decision making forms, the policy measures should (Impact assessment guidelines of the European Commission SEC (2005) 791):

- Treat actors and stakeholders on an equal footing, with due respect for their diversity, including cultural and linguistic diversity
- Ensure the autonomy of the social partners in the areas for which they are competent (for example, secure the right of collective bargaining at any level or the right to take collective action)
- Ensure the individual's rights in relations with the public administration
- Ensure the individual's access to justice
- Improve public's access to information
- Ensure media pluralism and freedom of expression.

Carefully and transparently planned and implemented opinion building and decision making processes on different administrative and political levels will be essential in order to successfully define the *adequate state levels and negotiation platforms* and bargain satisfyingly over the necessary strategies for a successful policy implementation (subsidiary principle). Such processes including all interested actors will be important in order to define *accountability and responsibility and to build a basis for trust as one of the most important factors for successful policy implementation.*

6 SYNTHESIS, CONCLUSIONS, RECOMMENDATIONS

6.1 KEY EXPERIENCES, KEY FACTORS FOR SUCCESS AND SUSTAINABILITY; RECOMMENDATIONS

In chapters 3.1 and 3.2, the Question 5-Team tried to describe the present state of decision making with regard to ´hot spot´ issues of the other 5 questions of 'Future in the Alps'. Chapters 3.3. and 3.4. deal with practical requirements for successful and sustainability oriented new forms of decision making. Chapter 5 summarises the recommendations from the Question 5-Team with regard to key issues of the other 5 questions of the project. All in all, the experiences gained and the lessons learned in this investigation can be summarised as follows:

- The ongoing technological, economic, ecological and social changes in (not only the Alpine!) society demand for corresponding decision making models and procedures. Many hitherto existing forms of decision making often cannot meet the requirements needed. Existing implementation difficulties in several policy fields underline the need for forms of decision making which reflect the complexity of today's decision making.
- With regard to the other 5 questions of the ´Future in the Alps´ project, we estimate that following aspects will become even more important for decision making procedures in the next years:
  - Increasing number of involved individuals and institutions into decision making procedures
  - Increasing complexity of contents because of ongoing specialisation and technical and scientific progress. This leads to
  - Growing needs with regard to information and knowledge transfer and to
  - Growing requirements regarding administration and process management.

The efforts to answer to these challenges are already reflected in some initiatives, i.e. the ´Code of Practice on Consultation´ of the British Prime Minister, the EC ´Impact Assessment Guidelines´ and the EC ´General Principles and Minimum Standards for Consultation of Interested Parties by the Commission´.

As a summary of this investigation, the Question 5-Teams recommends the following:

(1) New standards for decision making processes

Regardless what is the decision making form in place (market, technocratic, consultative, co-decision or any combination of these), there are some common conditions which will always improve the effectiveness and results: transparency, trustworthiness of responsible actors, respect and serious consideration for different opinions and alternative options, open opportunities for all interested to give comments and (as high degree as possible) to participate in decision making, willingness to accept critic and arguments, readiness for compromise and consensus.

In order to achieve new standards, the integration of the following elements into existing decision making processes in the different fields of Alpine policy and regional cooperation is needed:

- Procedures to reach mutually accepted problem definitions
- Procedures to balance existing power relations within the participative procedure
- Integration of different types of knowledge (expert knowledge, ´local´ knowledge, scientific knowledge, practical knowledge) and active knowledge transfer between the different groups
- Integrated approaches including neighbouring topics
- Adequate and easily accessible information to the parties concerned and to the general public
- Procedural and negotiation skills of the responsible persons
- Organised frameworks and platforms for negotiation, conflict resolution and binding decisions.

(2) Upgrading of the decision making culture through capacity (education, and training) and institution building

Managing these decision making procedures in a good and promising way is a big challenge. Today, many of the involved persons like clients, politicians, process facilitators, participants from administration, technical experts, civilians etc. are lacking of ´procedural´ and negotiation skills. This is true not only for individuals, but also for institutions like local or regional administration, business, NGO´s etc. This situation

can only be improved through capacity building (education and training). The training offers on the market are manifold but often not specific enough for the needs of the individual. In addition, there is a lot of new literature like guidelines and handbooks for process management, public participation and conflict resolution.

Improving the situation does not only include the training of the responsibles of today, but also to educate the youngsters in negotiation and conflict resolution skills.

On the other hand, the building of adequate institutions like regional or local platforms or co-operatives will be necessary to provide a stable framework for negotiating Alpine future. Hereby, the analysis of the functionality of existing traditions and institutions of collective decision making like agricultural co-operatives or regional networks can provide valuable knowledge to support these processes of institutional change or institution building.

6.2 OPEN QUESTIONS, NEW QUESTIONS

The investigation work brought up some new or unsolved questions which should be treated in the near future:

- How can the above recommended standards for new forms of decision making be implemented into existing processes? Who are the key players? What steps would have to be taken?
- How to appreciate existing – and often widely accepted – forms of decision making while – at the same time – trying to introduce new forms of opinion building and decision making which are more fair and transparent?
- How to effectively bring "superior" interest (like e.g. security or a clean and healthy environment) in – often locally dominated – negotiation processes?
- How can the upgrading of the decision making culture be achieved? How to educate, motivate and enhance capacity for active and responsible participation in decision making? Who should be educated? What could be the frameworks, programs, contents, methods?
- How to improve representativeness and legitimacy of participatory decision making procedures?
- How can implementation gaps and their reasons be analysed in a promising way? This issue is close to Question 6.

- How to deal with decision making in the view of increasing immigration? Will our (i.e. western/European) model for successful decision making work equally well in a mixed community where members have very diverse cultural and political backgrounds?
- How to deal with decision making increasingly influenced by processes of globalisation and international standardisation?

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ANNEX 2: LIST OF THE BEST PRACTICE EXAMPLES FILLED IN THE ONLINE DATABASE

This table includes all best practice examples from the database. In the database further examples are mentioned. They are entitled as ´Other good practice examples´.

	General information					Q5 issues & criteria						Additional information
Title	**Policy Field / primary goal**	**Location**	**Duration**	**Links to other Questions**	**Description**	**"USP" regarding new forms of decision making**	**Methodological approach**	**Transparent negotiation process with clear rules**	**Integration of different types of knowledge**	**Wider and integrated approach**	**Co-operation encouraged by the responsibles**	**Publications, links**
SWITZERLAND												
Partizipative Planungsprozesse Entlebuch	Regional development, nature conservation	Switzerland, Canton Luzern	2003-2005	1,2,3,6	Creation of Biosphere Park as starting point; multi-sector policy development	Diffusion of nfdm from Biosphere Park creation process in other policy sectors; special focus on visualisation and scenario development	Workshops, panels for e.g. Tourism, timber industry, energy, education, information meetings	For this purpose planning instruments that support participation in the evaluation of landscape modifications are developed and evaluated.	Accompanying research (social and natural sciences)	Embedded in regional park management and the interrelated participative procedures, which are already established	Horizontal and vertical coordination of actors interested in mountain agriculture is aspired (Project's responsibles link e.g. Local and regional actors or farmers, authorities and scientists)	http://projects.cipra.org/bestpractice/NachhaltigePlanungsprozesse

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"Plattform Stotzigwald"	Forest- and wildlifemanagement	Switzerland, Canton Uri	2002-2005	1,2,3,6	Forest and wildlife management project with links to nature protection and risk prevention; forestry, hunting and nature protection developing common solutions to forest and wildlife management;	Embedded in a research project (nfp 48) of Swiss National Fonds; Combination of resource use, nature protection and natural risk prevention	Panel for information exchange, opinion building and – in certain fields – decision making	All relevant stakeholders are involved in the project development and decision-making. Transparency, efficiency and participation is given.	Panel for information exchange, opinion building and – in certain fields – decision making	Multi-policy-objectives: natural risk prevention, nature protection, forestry, agriculture	All relevant stakeholders are involved; horizontal and vertical co-operation is established	http://projects.cipra.org/bestpractice/StotzigwaldQ5
Planning process of the Parc Ela	Regional development, nature conservation	Switzerland, Canton Graubünden	2001-2008	1,2,3,6	Development of problem definition, goals and measures together with stakeholders	Participative identification of call for action and joint definition of goals, measures in management plan; close connection to the local and cantonal authorities	Regional planning process with workshops, panels, expert groups etc.	Well structured process of visioning; well defined room for manoeuvre; external project coordinator; close coordination with local authorities	Very open opinion building and decision making process; common analysis of possibilities and synergies between park management and economic activities	Parc ela is the heart of a regional development strategy	All relevant stakeholders are involved; horizontal and vertical co-operation is established	http://projects.cipra.org/bestpractice/ParcEla

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Pro Val Lumnezia	Regional planning and development	Switzerland, Canton Graubünden	Since 1986	1,2,6	Institutionalisation of the think tank "Pro Val Lumnezia" as a result of a local debate on a scientific study conducted in 1986	Institutionalisation of civic movement to a local interest group with potential to activate regional development in the Val Lumnezia	Local think tank to initiate, promote, support or coordinate development and implementation of local or regional development projects	Pro Val Lumnezia has played a leading role in finding public and private money for innovative projects legitimisation of the recommended use of the existing potentials with a combination of ecotourism, agriculture and forestry	Facilitating and coordinating activities leads to integration of different types of knowledge	Think tank embedded in regional development strategy for Lumnezia (institutionalised)	Networking activities to promote cooperation between different interested actors	http://projects.cipra.org/bestpractice/ProValLumnezia
Mehrwert Holz & Plattform Holz	Wood production and marketing	Switzerland, Canton Luzern	1999-2008	2,6	Mehrwertholz implements projects, which increase the demand for wood as building and construction material and as a renewable energy resource in the canton Lucerne.	Very accurately planned opinion building and decision making process based on the application of different; five expert-networks were established dealing with education, consumer, institutional investors, innovations and marketing.	Workshops, panel, accompanying expert groups	Since all relevant stakeholders are involved in the project development and decision-making transparency, efficiency and participation is given. The project communication is also supported by a strong internal and external network-management.	Integration by cooperation of actors from wood industry, planners, scientists	Embedded in strategy „nachhaltige Wirtschaftsentwicklung in der Zentralschweiz"; regional and local capacity building as on of the main goals (flow back of knowledge to organisations)	Networking activities to promote cooperation between different interested actors from wood industry and marketing	http://projects.cipra.org/bestpractice/HolzQ5

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Projekt Hochwasserschutz Samedan 2002 bis 2006	Risk policy (flood prevention)	Switzerland, Canton Graubünden	2002-2006	2	Ambitious process of definition of problems, goals and measures in the affected area	Good example for a negotiating process in the natural risk sector; accurate analysis of room for manoeuvre	Workshops, information meetings	Expert-driven but transparent process with clear rules (project organisation, room for manoeuvre, public involvement)	Information gathering and exchange important element in the project organisation (excursions etc)	Embedded in a local and regional development strategy (provides safety for communal development areas)	Project organisation favoured cooperation between stakeholders from state, economy and civic society	http://projects.cipra.org/bestpractice/Flaz
Ortsplanungsrevision Wilderswil	Communal planning	Switzerland, Canton Bern	2005-2008	1,2,4,6	Workshops on different, communally relevant themes; broad search for development goals (e.g. well-being, landscape)	exceptional in today's communal planning context; similar to the ambitious planning procedures in the 1980ies	Communal planning process in future workshops, panels, information meetings	Ambitious process with clear but adaptable rules (if the process shows the need to adapt them)	Very open opinion building and decision making process integrating all interested stakeholders and their knowledge	Will provide the "heart" of a local development strategy	Cooperation is an important basis for the legitimacy of the process	http://projects.cipra.org/bestpractice/Wilderswil/base_edit
FRANCE												
Contrat de développement Rhône-Alpes (CDRA) Alpes-Sud-Isère (2003-2007)	Regional planning, tourism, nature protection	France, Rhône-Alpes	2003-2007	1,2,3,4,6	Regional Development strategy and action plan	Developing participatively regional development strategy (10 years; charte de territoire) including action program (5 years) within framework of CDRA	Workshops, panels, workgroups, public information and consultation, education	CDRA as a broad scheme to include the interested stakeholders from state, economy and civil society	Open opinion building and decision making process aims at integration of all interested stakeholders and their specific knowledge	Charte de territoire and action plans as the heart of future regional and local development; CDRA links local with regional and national policy level	Co-operation with all relevant actors and institutions on local and regional level	http://projects.cipra.org/bestpractice/CDRAAlpesSudIsere

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Diminiuation de l'impact negative des activités sportives de montagne sur les rapaces rupuestres	Recreation, sports and nature protection	France, isère	Since 1973	2,3,4,6	Mitigation of impacts of recreational activities on the local ecosystem (especially birds)	Developing participatively strategies to mitigate the impact of recreational activities on the local ecosystem; development of a user charta	Mediation, working groups	Collaboratively worked out use and protection rules based on conjoint observation of local habitats, especially for birds	Knowledge of bird protectionists, recreation associations and communities	Integration of bird protection into local use and protection arrangements	Conjoint data gathering as basis for collective decision making and implementing use and protection rules	http://projects.cipra.org/bestpractice/RapacesRupuestres
Maintenance and restoration of the characteristic hedge row network landscape of the Champsaur and Valgaudemar Valleys	Nature protection, agriculture	France, National Park Les Ecrins, Provence Alpes Côte-d'Azur, Hautes Alpes, France	1999-2004	1,2	Project aims at the maintenance and restoration of the ecologically valuable hedge row network landscape, involving local farms	Fruitful collaboration between agriculture and nature protection (National Park)	Workshops, information; Use and protection contracts between the French state and the farmers for the maintenance of the hedges	Within the frame of the Leader II, a communication strategy was established. Workshops, public information procedures as well as use and protection contracts between the French state and the farmers were used as instruments	Involving knowledge of local farmers and mutual knowledge transfer as main points in project design	Integration in National park strategy; use of resources from Leader II-program; evaluation of process and results by National Park	The role of the National Park and the Chambre d'agriculture was to guide and to advise the farmers. The whole programme was accompanied by different communication actions.	http://projects.cipra.org/bestpractice/ChampsaurValgaudemar
création de structures et de services pour l'enfance	Child care	France, Rhône-Alpes, Isère, Bourg d'Oisans	2002-2008	2,6	Improvement of the child care situation in rural areas	Collaboration of parents, Child care experts and communities to establish a sustainable improvement of the child care situation	Workshops with parents and teachers; consultative procedure	Transparent process of defining needs, working out and implementing the future structures for local child care	Administration, teachers, carers, parents brought in their respective knowledge and priorities to shape future child care situation	Integration in National park strategy; use of resources from Leader II-program; evaluation of process and results by National Park	Project leaders promoted actively involvement of teachers, carers, citizen's associations, parents	http://projects.cipra.org/bestpractice/ServiceEnfants

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Créations de groupements d'employers et d'emplois pluriactifs sur le territoire rural d'Albion	Work, employment	France, Vaucluse, Alpes de Haut Provence	Since 1999	1,2,6	Development of local worker's association in a gradually abandoned region with high unemployment rate	Institutionalizing a worker's association to resist the problems of regional economic crisis or economic transition in a peripheral region and to coordinate between market needs and local labour market	Future-Workshops including entrepreneurs, workers and municipal authorities	Transparent process of defining needs, working out and implementing the future structures for connecting market needs and local labour offer	Integration of different types of knowledge in the field of the workers themselves (trade and industry), the intermediate group (Projet 04), the potential customers and local, regional and national administration (e.g. For subsidies)	Ambitious process to define the existing and future needs of all involved stakeholders and institutions	Continuous and intensive cooperation of all interested actors from state, economy and civil society as basis for the success of the project	http://projects.cipra.org/bestpractice/employers
Renouer le lien ville/campagne dans les Alpes	Food production and marketing	France, Rhône-Alpes, Isère, Bourg d'Oisans	2004-2006	1,2,6	The project's main objective is to create local contracts between consumers and farmers in peri-urban and rural, sub-highland zones based on a commercial but interdependent and solidary exchange of fresh products (market gardening).	Negotiating and fixing direct and stable business relations between producers and consumers in form of contracts	Regular work-group connecting agricultural producers and consumers to assure a reasonable distribution of agricultural goods	Transparency given in regard to the negotiation process (e.g. Regular reunions with minutes) as well as in regard to results (fixed contracts) and financing	Integration by involving knowledge of producer and consumer associations (e.g. Market rules, consumer needs)	Integrated in the approach of Associations pour le Maintien d'une Agriculture Paysanne (AMAP)	Cooperation and co decision making as central elements of connecting producers and consumers	http://projects.cipra.org/bestpractice/LienVilleCampagne

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SLOVENIA												
Integrated rural development and village renewal (CRPOV)	Rural development	Slovenia (case: Dovjemojstrana)	1990-2002	1	A long term program, consisting of diverse projects integrating issues of agricultural production, countryside conservation, cultural landscape protection and development, agricultural land protec-tion and demography	- bottom-up approach: inhabitants with the aid of the experts, - transparency: meetings of the project council and all interested people. - subsidiarity principle: harmonized work and shared responsibilities	Working groups, local leadership	To lead the projects the project council is formed from the representatives of professional organization, local community and influential individuals. Work proceeds as a series of meetings of the project council and all interested people.	Systematic endeavor of a large number of inhabitants with the aid of the experts,	The topical workshops are organized focused on issues from the five thematic areas, adrressing the main issues of concrete local environment	Subsidiarity principle: harmonized work and shared responsibilities among professional organization, project council, local authorities and ministry	Integrated rural development and village renewal - CRPOV 1990-2002, 2002, Republic of Slovena, Ministry of agriculture, forestry and food,
New law on Triglav national park	Nature conservation	Slovenia (area of Triglav national park)	2001 - ongoing	2, 6	An initiative of coalition of non-governmental organizations to make a new, improved law on protection of natural, cultural and spiritual values in Julian Alps (Triglav national park Act)	- proactive approach: entrance of the (organized) public into policy making procedure with alternative proposals. - organizing the consul-tative polls in the con-cerned areas.	Parliament procedure + NGO initiative (working groups, PR) + local referendums	The process has been very flexible and responded to the acts of administration. However, all the activities of the Coalition were widely publicized: to general public (in media) and to the responsible actors	The Coalition in cooperation with Academy for Science organized several meetings where expert knowledge was shared and exchanged with more political (activist) participants	The issues of nature conservation as well as regional development were discussed, moreover, the project questions existing policy and law making procedures in general	High level of cooperation of ngos and networking with other organizations (Academy, National council, Park management). Activation of affected and interested public for a decision making process.	http://www.cipra.si/content.php?article.cat.47

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Land use plan for Komenda municipality	Land use planning	Slovenia, Komenda municipality	2000-2001	1, 6	An alternative land use planning procedure was conducted with participation of inhabi-tants (in opinion survey and workshops), which resulted in an alterna-tive, generally acceptable location for the production zone.	- opportunity for people to actively and competently contribute their opinion in decision about land use. - combination of opinion survey and workshops	Public opinion survey, workshops, computer-models	The results of each step were presented to the public and discussed in workshops. Criteria for land-use were made explicit and were subject to discussion	Values and aspirations of inhabitants were explicitly combined with expert evaluation models and were base for development of the alternative options. Use of IT helped bridge the communication gap	The issues of nature, natural resources, human environment protection as well as development of agriculture, industry settlements and recreation have all been systematically addressed	The involvement of the representative sample of the inhabitants was ensured by opinion survey. The survey itself informed and activated inhabitants for further (active) participation in the workshops	
"Third development axis"	Regional spatial planning	Slovenia, Koroška region	2002 - ongoing	2, 4, 6	In the regional spatial development plan (RSDP) a proposal has been developed for the transportation netwok in such a way as to aid sustainable develop-ment of the region by creating a "develop-ment axis" on transregional and cross-border level.	- synergy of expert work and regional stakeholder activities at-tained, - extended participatory activities implemented within a formal planning procedure, - direct communication of regional stake-holders, ministry representatives and experts	Workshops, meetings, presentations, media work	Results of each phase presented, discussed and amended during workshops with regional stakeholders and representatives of sectoral ministries. Single phases were adopted by the RSDP programme board.	The expert work has been informed by positions, programmes and interests of regional stakeholders (municipalities, economic players etc.) And sectors (regional institutions, ministries).	Preparation of the pilot RSDP is based on the so-called comprehensive approach, comprising the settlement system, transportation and other economic infrastructure, nature and landscape as well as the environment.	At each level, co-ordinators acted as the "organizers" of the respective level stakeholders. This was complemented by the proposals and engagement of the expert team.	http://rzpr-koroska.urbinstitut.si/ http://www.rra-koroska.si/

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CROSSBOR-DER – Regio-nal partners-hip Kar-van-ke/Karawanke n	Regional development, cross-border co-operation	Slovenia: Goren-jska, Koroška, Savinjska regions Austria: Kaernten	2002 - ongoing	1, 2, 4, 6	Regional devel-opment agencies in the Slove-nian-Austrian cross-border area have set up a working group (WG) with the aim to foster cross-border co-operation and sustain-able development of the cross-border re-gion.	- formation of cross-border working groups and networks of a variety of actors – enabling direct contact between actors from Slo-venia and Austria - involvement in preparation of national level programmes for the programming period 2007-2013	Working groups, work-shops, meetings, in-formation and educa-tion activi-ties	The communica-tion with munici-palities, enter-prises, schools... Requires open work and com-munication strategies. Much information is shared through web-sites of the partners, there are several info-points. A working programme has been prepared by the WG.	Partners in the WG share the tasks according to their specializa-tion. In networks and working groups, actors from different fields and institu-tional back-grounds partici-pate.	Activities of partners are oriented to-ward strength-ening of the cross-border co-operation and harmoni-zation of de-velopment interests. Issues include eco-nomic co-operation, tourism, hu-man resources, environmental protection, nature, culture.	One of the basic aims of the partnership is to foster cross-border co-operation.	http://www.bsc - kranj.si/index.p hp?subpage=44 &cat=7 http://www.rra -koroska.si/ http://www.car nica-rosental.at/

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ITALY												
Local Agenda 21	Local sustainable development	Italy	2000 - ongoing	2, 6	LA21 has proved to be an effective new in-strument of govern-ance for local sustain-able development. The results include "5P": promoting and improv-ing of A21 processes, Action plans, Imple-mented projects, participation, and partner-ship.	- concept of deliberative decision making - participatory project planning,	Civic forums, focus groups, multi-media, European Awareness Scenario Workshop	Standardized steps: adhesion to Aalborg Charter; opening of the Civic Forum; elaboration of an Environment State Report, thematic work-tables, adoption of the Local Action Plan. Intermediate results are presented, discussed and approved by the Forum.	Interactive and creative exchange of the knowledge on technical and nontechnical aspects, objective and subjective happens within active interdisciplinary working groups	The issues discussed within LA21 are very wide and address several aspects. The LA21 forums have been at least partly involved in decision making issues other than Agenda 21 (i.e. Sectoral programs)	Participation is activated in early phases of the decision making process,	Sancassiani W. et al, 2004. Agenda 21 Locale in Italia - Partecipazione e progetti per lo sviluppo sostenibile locale. Indagine sull'attuazione dei processi di Agenda 21. FocusLab http://www.a21i-taly.it/a21italy/index.php

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Sustainable Mobility in schools	Sustainable mobility, environmental educa-tion and awareness	Italy		2, 4	A process aimed to change the individual and public ways of life towards new sustain-able forms of mobility in the school-home paths	- encouraging responsible and active citizenship; - developing the capacity of defin-ing the relations between personal behaviours and global fall out.	Working groups	The process itself is rather simple, when solutions for new mobility patterns are decided upon (hours and stops of Pedibus and Bicibus, or par-ticipants and routes for car pooling) parents and children take responsibilities to implement them	The knowledge about environ-ment and mobil-ity is brought in by the manager, then knowledge of the children and parents is combined to find sustainnable solutions	The applicable solutions are searched to solve complex envi-ronmental problems within the wider context of new forms of urban sustain-ability	The children are motivated on the contri-bution that they can give to the improve-ment of the situation: by analysing the map of their neighbour-hood, discus-sion	
City Council of Chil-dren	Town plan-ning	Italy		2	The aim of the project is to stimulate the chil-dren's perception of their town and to make them-selves propose some concrete ideas based on their real needs to improve the town and their life in it.	- innovative way of combining bottom up initia-tives and formal decision making procedure - encouraging and fostering respon-sible and active citizenship;	Working groups, city council pro-cedures	The ideas are prepared by children sup-ported by their teachers and external experts, and are proposed during the city council, which will analyse it and decide to put it into practice or not.	Personal, every-day, experiential knowledge of users (children) is combined with expert knowledge into projects ideas and integrated in the decision maing process	Issuess can relate to any of the town plan-ning and de-sign problems.	The ideas proposed by children are developed following the participative planning methodology. The children are supported by their teach-ers and by some external experts	

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Self-organised refer-endum on traffic management in the Puster Valley	Transport planning	Southern Tirol, Italy	2004-2006	4, 6	Grass-roots or-ganisa-tion of a referendum for awareness-building purposes and to test public opinion with regard to future devel-opments in traffic man-agement for the Puster Valley.	- complementar-ity of information and decision - direct influence of the decisions by people. - consistent appli-cation of the subsidiarity principle:	Self organized referendum	The approach is based on the application of the art. 118 of the Italian constitu-tion, which gives the citizens the right and the mandate to take care of the com-mon issues. The referendum itself is an impersonal and impartial procedure with clear rules.	The referendum initiated a wide public debate, where alternative options were compared and evaluated in expert as well as in subjective terms of costs and benefits for dif-ferent groups	Issues of eco-nomic devel-opment of the valley (pur-chasing power and jobs) and environmental impacts (pres-ervation of natural and cultural land-scape values) were discussed and decided upon in the process	The initiative for referendum came from bottom-up; not from "official" policy makers (regional gov-ernment), who were actually reluctant to accept the idea	

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EU												
European Citizens' Conference on the City of Tomorrow	Urban sustainability research	EU	2004-2005	6	RAISE is a 6th Framework Programme aiming at raising the awareness and testing the acceptance and usability of results achieved by the recently closed or on-going EU research projects on urban sustainability.	- citizens conference process involving citizens from each EU Member State, - interfaces between science, citizens, politics - »Citizens' Declaration on the City of Tomorrow	Citizens conference, preparatory meetings, final conference	The whole process consised of the selection of participants (through open call for participants via web), three preparatory meetings, and a final conference in Brussels. All the results were posted n the project web site.	The aim was to demonstrate a new way to stimulate the "application" of research results by involving directly the "end users". This new way is complementary to more traditional communication, dissemination and exploitation actions.	The following issues were discussed: urban governance, sustainable transport, sustainable built environment, cultural heritage. Additionally, education for sustainability was identified as being fundamental for success of the other issues	For the first time the European Commission actively sought the opinion of the European citizens on EU policies by giving a panel of citizens the opportunity to evaluate research outcomes on sustainable urban development on a European wide level.	RAISE website: www.raise-eu.org

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Interactive Policy Making (IPM)	All EU level policy fields	EU	? Ongoing	6	The European Com-mission's IPM initiative is meant to collect feedback directly from citizens, consumers and businesses - in order to better under-stand how they per-ceive EU policies and to learn from their ex-perience.	- the Commission's 'single access point' for consultations 'Your Voice in Europe' web portal, - 'listening device' (collection of policy effects), - on –line consultation mechanism	Internet-based instru-ments: data base of policy effects (problems), on-line consulta-tion mechanism, database on formal and structured consultative bodies and ngos (CONECCS)	Feedback mechanism collects spontaneous information from citizens and records them in the Commission's Feedback database On-line consultation mechanism obtains views and feedback on a particular policy-related issue	Information is collected from citizens and businesses about problematic cases occurring every day as well as their comments on new legislation proposals	Thousands of cases are collected annually, which are used for constant monitoring of the application of existing legislation and concrete input for new policy initiatives by several Directorate Generals	Easy access via the Commission's 'single access point' for consultations 'Your Voice in Europe' web portal, 300 intermediaries are actively collecting and recording Information	http://europa.eu.int/yourvoice/ipm/index_en.htm
AUSTRIA												
Kinder in die Mitte	Social cohesion	Austria, vorarlberg	2004-2005	2	Participation project aiming at turning the provincial government of vorarlberg into the child-friendliest provincial government of austria. The project aims at a long term learning process of children, teenagers and adults.	- top down project, the different types of methods made it possible to integrate a lot of groups in a different way, - participation of children, teenagers and adults (not necessarily parents)	Future workshop, planungszelle (planning cell), civil report, round table	The work of the participants was completed in a dialogue with experts to get constructive ideas. The future workshop and the planungszelle had clear rules and results.	Systematic endeavour of a large number of participants of all ages with the aid of experts.	The issues of education, children, teenagers, child care and social benefits were discussed.	Harmonised work among professional organisations, cooperation and consultation of specific groups like the association of day mothers, world of children, several social institutions.	http://www.vorarlberg.at/, http://www.partizipation.at

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Regionalcluster Hartberg, Regional Cluster Hartberg	Regional development	Austria, styria / hartberg	2002-2010	1, 2, 6	The 'regionalcluster hartberg' is the first trans-sectoral cluster for a rural region. The project aims at creating sustainable development of the regional economy by connecting several projects of companies, communities and residents.	- bottom up project, - opportunity for communities, residents and enterprises to actively and competently contribute to the development of their region, - combination of workshops and forums	Future conference, working groups, mission statement, cluster forum	The overall concept and the process are developed by 80 members of the 'future conference'. Working groups are responsible for all issues and projects. Defined role of the moderator. The steering committee does not influence the contents of the ideas.	The work has been informed by positions, programmes and interest of regional and local stakeholders (municipalities, economic players, residents) and sectors.	The inner-regional, trans-sectoral networking is the main issue of the regional-cluster. The issues regional added value, sustainable development, traffic and human potential have been discussed.	One of the basic aims of the project is inner-regional and trans-sectoral co-operation.	CIPRA competition project, http://www.regionalcluster.at
Mediation Telfser Grüngürtel, Mediation of the green space in Telfs	Protected areas, nature conservation	Austria, tirol / telfs	2002-2003	1, 3	After the plan to build a golf course in telfs has been refused in a public opinion poll in may 2002 the municipal council of telfs decided to start a mediation procedure to eliminate the conflict and to discuss the development of the area	- synergy of expert work and inhabitants activities	Mediation procedure	(1) preparation of mediation procedure (2) collection of ideas and issues (3) clarification of interests and needs (4) creative search for ideas (5) appraisal of results and selection of options (6) agreement	19 experts from different scientific backgrounds were available during the procedure. Expert knowledge was shared in several meetings.	The issues of nature, tourism, protected areas, regional value added, regional and spatial development, … have been discussed during the mediation procedure.	No info	http://www.partizipation.at/, http://www.anton-huetter.com

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Verschiedene Herkunft – gemeinsame Zukunft, Different provenance – equal future	Social cohesion, integration	Austria, krems, (guntramsdorf, traismauer, hainburg)	2002-2005	2, 6	Migrants are often discriminated and excluded from work through legal conditions and social barriers. The pilot communities of the project implement measures to ameliorate the migrants conditions on the labour market.	- special role model for integration, - establishing intercultural teams, multiplierts and work places at the local municipality	Start event, working groups, expert opinions, expert interviews, good practice examples, forum theatre, discussion meetings	The process was phased out in several modules. The issues, aims and activities and the guideline for integration were developed and discussed in workgroups.	The project was scientifically accompanied by a research company. The issues employment, migration, social integration, intercultural education were discussed in the project.	The project aims at developing and implementing an integration concept for a municipality in different steps and issues.	High level of co-operation of municipal staff and social institutions; harmonised work	http://www.partizipation.at. http://www.krems.at. http://www.equal-noe-lak.at
teens open space	Urban development	Austria (linz, vienna, graz, steyr, bruck/mur), slovakia (piestany, malinovo)	2004-ongoing	2	The teens_open_space is a participatory open space planning regarding to teenage interests. Teenagers can express their criticism and ideas in so-called 'city walks' and their utopias and ideas in planning workshops by redesigning their chosen spaces.	Partly direct communication of urban stakeholders, city representatives, politicians and experts, participatory activities implemented with a planning procedure	Planning workshops, city_line youth conference, city walks to favourite locations and 'scary' locations, film art work, networking and education for street workers and planners	The results of the phases were documented and presented, the ideas for the open spaces were discussed with responsible persons and municipal stakeholders.	landscape planning, film art work, education for street workers and landscape and urban planners	no info	no info	http://www.teensopenspace.at

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Mediation Siebenstern-platz, Sylvie	Urban development, human protection	Austria, vienna	2001	1, 2, 4, 6	The remodelling of the siebensternplatz a few years ago led to conflicts between residents, users and shopkeepers concerning noise problems. The municipality of vienna started a mediation process to work out an agreement to reduce noise.	Opportunity for people to actively and competently contribute their opinion in the decision making process, - participatory process implemented within a formal planning procedure, - direct communication of urban authorities and experts	Mediation procedure	The results of each step were presented and discussed. In a series of 6 meetings the participants analysed the problems, tried to find solutions and decided on a number of measures to be taken.	Systematic development of ideas with the help of experts	The project focused on mediation between noise offenders and noise victims, always endeavouring to create a platform for co-operation among all stakeholders in urban noise.	The core element of the project was personal communication (with inhabitants and authorities).	http://www.sylvie.at, http://www.partizipation.at

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Mediation Natura 2000 Verwall	Nature protection	Austria, vorarlberg (verwall)	2001-2002	1, 3, 4, 6	The nomination of the verwall for natura 2000 led to widespread worries and strong opposition on the part of landowners. Communication with the authorities broke down until the provincial government decided to conduct a mediation procedure	- mediation procedure for solving the escalated conflicts with communication broken down. - new approach for the development of a management plan for a natura 2000 area b40	Mediation procedure, field trips to the verwall region	The process was divided into phases: (1) preparatory activities, (2) launch (3) 1st, 2nd and 3rd round of negotiation, (4) agreements, (5) implementation;	There were a lot of interest groups and experts involved in the procedure: forestry, agriculture, hunting, tourism, nature conservation, birdlife, experts from the provincial authorities	The issues of nature conservation and regional value added as well as nature usage (forests, tourism) were discussed intensively. These points were the main topics of negotiation.	A high level of co-operation was necessary, because there was a great lack of confidence in the beginning and huge conflicts between the interest groups and the federal government.	http://www.partizipation.at/, Publication: Hiess, Pfefferkorn: Mediation Natura 2000 Verwall. In: Zoll+, edition 2, June 2003 // ÖGUT: Die Zukunft gemeinsam gestalten. Das Handbuch Öffentlichkeitsbeteiligung. Wien, 2005

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Lokaler Aktionsplan für Beschäftigung und Bildung Munderfing,	Employment and education, human resources	Austria, upper austria (municipality of munderfing)	2003-2004	1, 2, 6	The project aims at strengthening the competitiveness of the rural municipality munderfing in upper austria with special attention to human resources. A 'local action plan for employment and education' was elaborated in a collaborative way.	Bottom-up approach. The project strengthens the self-organisation of a municipality, its inhabitants and its political, social and economical actors.	Local conference, work groups, working on scenarios, formulation of an action plan	The project is formed from the representatives of professional organisations, the local community, stakeholders and individuals. The work proceeded in a series of meetings and work shops, starting with a local conference.	The project highlights the importance of qualification of employees, fast procedures of authorities and effective service for enterprises and good living conditions as factors to improve economic development, unemployment and negative demography .	Networking (co-operation with schools, enterprises and authorities), but also regional co-operation getting away from parochial politics. The project highlights possibilities to strengthen the so-called soft location factors.	It has become clear that co-operation between the local authorities and enterprises and also inhabitants is an important location factor. This co-operation led to faster procedures of authorities and some effective service for enterprises.	http://www.munderfing.at, http://www.institut-retzl.at

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Lebenswert Wohnen GOAL Graz, Housing Estates (GOAL Graz)	Increase of life quality, reduce negative impacts on residents	Austria, graz	2001-2003	2, 4, 6	Goal (gesund ohne auto und lärm) is an extensive action plan relating to environment, health, mobility and noise. The module 'housing estates' developed measures to increase life quality in three residential areas in graz in a collaborative way.	Opportunity for inhabitants to actively and competently contribute to their quality of life honorary assistants were involved and they were entrusted with supporting people living in the housing estates .	Questionnaires, evaluations, information, action plan: meetings, committee meetings, work shops and parties.	The work in the three different housing estates in graz was characterised by uniform steps. // enthusiastic inhabitants were trained as so called lamas (local agenda managers) with moderation, project management, conflict management and pr.	The issues of noise, mobility, children, teenagers, social conflicts, were discussed in the working groups. The lamas will continue to act as competent interlocutors and multipliers in their housing estates and continue to spread their new knowledge.	The idea of 'housing estates in conformity of agenda 21' is so successful that they will persist. New housing estates will be incorporated.	Harmonised work between local authorities and shared responsibilities between them and the people living in the housing estates (lamas)	http://www.goal-graz.at
Jugenddeklaration Bodenseeregion,	Future regional development	Austria, germany, switzerland, liechtenstein: region of lake constance	2002-2003	2, 6	the youth declaration of the region of lake constance was developed as a spin-off of the agenda 21 for the area. It was formulated in several events by pupils, members of youth parliaments and youth organisations.	Opportunity for teenagers to create ideas for the future development of their region and to discuss the ideas with responsible persons	Conferences, workshops, project markets, round tables, internet participation	The project is embedded in a greater context. The youth declaration was formulated by teenagers and presented and discussed on the international youth summit in friedrichshafen in 2003.	Different topics were discussed during the elaboration phase, e.g. Education, fairly paid work and employment, nature and environment, climate change, human rights and integration. These issues were included in the declaration.	The declaration was adopted by about 1.200 young people and was consigned to the secretary of environment of baden-württemberg. The results were discussed on the 2nd youth summit in 2005.	No info	http://www.bodensee-agenda21.net, http://www.partizipation.at

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GERMANY												
Zukunftsforum Ludwigshafen 2020, Future Conference Ludwigshafen 2020	Urban development	Germany, ludwigshafen	2003-2004	1	The city of ludwigshafen is one of the first cities in germany that started a 'future conference' about its urban development, involving 64 participants to develop strategies for the city.	- synergy of expert work, urban stakeholders and residents, - opportunity for people to actively and competently contribute their ideas for the future development of ludwigshafen	Future conference, workshops	The process has been documented well and the results were presented and discussed. After about one year the participants met again to discuss the proceedings.	Members of the urban development committee and members of different administrative bureaus participated at the future conference and at workshops.	The urban development as well as economic development of the city were discussed in the conference and in the workshops.	No info	http://www.ludwigshafen.de, http://www.partizipation.at
Umweltmediation 'Schutzwaldsanierung Hinterstein', Mediation procedure 'protection forest Hinterstein'	Protected areas, nature conservation	Germany, schwaben / oberallgäu	2002-2005	3, 6	The protective function of the protection forest in hinterstein was malfunctioning. A mediator worked with all stakeholders on a joint solution in a mediation process.	- synergy of expert work and regional stakeholder activities	Mediation procedure	voluntary participation process, equality of all participants, transparency, principle of subsidiarity, formulation of a contract	Systematic endeavour of a large number of participants and scientific backgrounds	All issues concerning nature protection and nature usage (tourism, sports) were discussed and negotiated.	Harmonised work among professional organisation, co-operation and consultation of specific groups like foresters, hunters, nature protectors, tourism, water managers,…	Cipra competition project

ANNEX 3: LIST OF THE ORIGINAL MATERIAL CONCERNING THE PUBLICATIONS AND BEST PRACTICE EXAMPLES DEPOSITED ON THE ONLINE PLATFORM FOR DOCUMENTS

Aaarhus Convention (1998): Convention on Access to information, public participation and decision-making ans access ti justice in environmental matters. Done at Aarhus, Denmark.

EUROPEAN COMMISSION (2002): Towards a reinforced culture of consultation and dialogue – General principles and minimum standards for consultation of interested parties by the Commission´. Brussels. http://europa.eu.int/comm/secretariat_general/impact/docs/com2002_0704en01.doc

MOSTERT, E. (editor, 2003): Public Participation and the European Water Framework Directive. Inception Report of the Harmonicop (=Harmonising Collaborative Planning) Project. Delft.

OECD (2001): Governance in the 21st century, Organisation for Economic Co-operation and Development, Paris. http://www.oecd.org/dataoecd/15/0/17394484.pdf

ÖSTERREICHISCHE GESELLSCHAFT FÜR UMWELT UND TECHNIK (OEGUT), Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation Nr. 1: Checklisten für Rahmenbedingungen und Qualitätskriterien partizipativer Verfahren im öffentlichen Bereich. Wien.

OEGUT Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation, Nr. 2, Der Nutzen von Öffentlichkeitsbeteiligung aus der Sicht von AkteurInnengruppen. Wien.

OEGUT Strategiegruppe Partizipation (2004): Arbeitsblätter zur Partizipation, Nr. 3, Grenzen, Stolpersteine und Instrumentalisierung von Öffentlichkeitsbeteiligung. Wien.

UNITED NATIONS (1992): Local Agenda 21. United Nations Conference on Environment & Development Rio de Janerio, Brazil.

WORLD BANK (2005): A Call for Participatory Decision Making: Discussion Paper on World Bank-Civil Society Engagement. DRAFT for Public Comment.

ANNEX 4: ORIGINAL MATERIAL CONCERNING THE PUBLICATIONS AND BEST PRACTICE EXAMPLES (HARD COPIES)

ARBTER, K.; HANDLER, M.; PURKER, E.; TAPPEINER, G. & TRATTNIGG, R (2004): Das Handbuch Öffentlichkeitsbeteiligung. Die Zukunft gemeinsam gestalten. Wien.

PFEFFERKORN, W., LEITGEB, M. , HECKL, F., GOTSBERGER, T. (will be published in spring 2006): Vielfalt statt Zwiespalt. Begleitfaden zum Mitgestalten von Lebensräumen – ein Beitrag zur Umsetzung der Biodiversitätskonvention. Wien.

ANNEX 5: DEFINITIONS OF KEY TERMS OF THE QUESTION 5 (REASSESSED AND COMPLETED GLOSSARY)

Key term	Definition relevant for 'Future in the Alps'
Consultation (new)	Gathering opinions and information from interested parties as an essential part of the policy development process, enhancing its transparency and ensuring that proposed policy is practically workable and legitimate from the point of view of stakeholders (Towards a reinforced culture of consultation and dialogue; General principles and minimum standards for consultation of interested parties by the comision COM (2002) 704 final)
Criteria (new)	Standards, rules, or tests on which the identification of stakeholders can be based (http://sb.thefreedictionary.com)
Decision making process (new)	Decision making processes as they are understood by the Q5-Team are made of several phases and steps, which have to be considered when discussing the required framework conditions: (1) Clarifying the starting point (idea, open question, unsolved problem etc. with a need for decision: delimitating content, time, space, actors (2) Assessing the situation (3) Considering options (4) Preparing the decision making process (5) Selecting the appropriate methods (6) Negotiatiating and making decisions (7) Implementation (8) Accompanying information (9) Monitoring and evaluation
Empowerment (new)	Shift of social and political processes so that the citizens or community groups are granted greater legitimacy leading to distributive change, such as better access to goods and services or a greater number of opportunities for participation in political process.= expansion in the ability of the citizens or communities to take action on their own behalf (Elwood)

Framework (for a decision making process) (new)

A structure or skeletal used as a basis and for supporting decision making processes. It is a set of assumptions, concepts, values, rules and practices that constitute the conditions under which decision making processes are carried out. (http://sb.thefreedictionary.com)

Hot spots (new)

The Q5-Team agreed to define ´hot spot´ as follows:

- Topics or themes undergoing big changes (legal or others)
- Topics or themes of high social relevance (what is in the headlines of the news).

Kinds of decision making processes (new)

A variety, a sort of decision making processes. (http://sb.thefreedictionary.com)

´New´ forms of decision making (new)

´New forms of decision making´ are characterised as follows:

- The procedure allows to integrate different types of knowledge (expert knowledge, ´local´ knowledge, scientific knowledge, practical knowledge) by providing the framework required. Knowledge transfer between the different groups is desired and supported.
- The issue dealt with is embedded into a wider and integrated approach, where at least neighbouring topics (horizontally and vertically) are considered.
- There is a negotiation process with clear aims, rules and defined expected outcomes. Those, who are responsible for the procedure, actively encourage co-operation between the (conflicting) parties involved into the procedure.
- ´Decision´ is not only the decision itself, but also the procedure which finally leads to the decision. It includes information, awareness raising, negotiations etc.).
- The decision making procedure has innovative potential compared with the traditionally used decision making procedures in either it's concept, methods and tools or involved actors. The decision making procedure may be already established or regularly used in some contexts, but should offer new possibilities for applications in other geographical,

	political or problem areas. Exclusively theoretical options that have not been tested in practice are not included.
Participation (revised)	In political science ´Participation … is an umbrella term including different means for the public to directly participate in political, economic or management decisions.´12 We can distinguish between the participation in formalised or even institutionalised procedures (e.g. elections, public polls, mediations, round tables, participatory planning instruments) and participation in order to influence a decision making process by the application of resources like relationships, power, (expert) knowledge or money.
Stakeholder (new)	One who has a share or an interest, as in an enterprise. In the last decades of the 20th century, the word ´stakeholder´ has evolved to mean a person or organisation that has a legitimate interest in a project or entity. In discussing the decision-making process for institutions – including large business corporations, government agencies and non-profit organisations – the concept has been broadened to include everyone with an interest (or ´stake´) in what the entity does. That includes not only its vendors, employees, and customers, but even members of a community where its offices or factory may affect the local economy or environment (http://sb.thefreedictionary.com, wikipedia) See also: HOSTMANN et al (2005), p. 16f.
Suitable methods (for decision making procedures) (new)	Means or manners of procedure, especially regular and systematic ways, that are appropriate to come to a decision. (http://sb.thefreedictionary.com)

ANNEX 6: LIST OF POTENTIAL FUTURE MEMBERS OF THE NETWORK 'ENTERPRISE ALPS'

- Engelbert Ruoss (www.biosphaere.ch): regional manager, spends a lot of energy spreading experiences of regional management with special interest for labeling and product marketing
- Ueli Stalder, Schweiz. Arbeitsgemeinschaft für die Berggebiete (SAB) (a.o. publications: Stalder, U. (2001): Regionale strategische Netzwerke als lernende Organisationen Regionalförderung aus Sicht der Theorie sozialer Systeme. Geographica Bernensia. Reihe G, Grundlagenforschung, Vol. 68. Geographisches Institut der Universität Bern, Bern, 392 S. pp. and Hofer, K. & Stalder, U. (2000): Regionale Produktorganisationen als Transformatoren des Bedürfnisfeldes Ernährung in Richtung Nachhaltigkeit? Potenziale – Effekte – Strategien. Geographica Bernensia Universität Bern, Vol. P37. GIUB, Bern.
- GEYSER: Groupe d'Etudes et de Services pour l'Economie des Ressources: Since 1983, GEYSER (Studies & Services Group for Resource Conservation) has endorsed the changes evolving in agriculture, in rural society, and in international relations by strengthening innovative social practices. These include supporting local initiatives, co-ordinating thematic networks, enhancing dialogue among stakeholders and with decision-makers, and spreading information. See: http://www.geyser.asso.fr. Contact person: Philippe Barret, phi.barret @ geyser.asso.fr
- ÖGUT: The Austrian Society for Environment and Technology (ÖGUT) is a non profit member organisation that is formed as a scientific platform for environment, economy and administration. It was established in 1985 after the conflict concerning the hydro power station Hainburg in Lower Austria, with the goal to overcome the barriers in the conflict areas of economy and ecology. Prevention of conflicts and developing new methods of conflict resolution and consensus building is therefore a main topic at ÖGUT.

  Due to the membership of around 70 organisations from private industry, public authorities, ministries (e.g. Ministry of Economics and Labour, Ministry of Agriculture, Forestry, Environment and Water), local authorities, special interest groups (e.g. Chamber of commerce, IG Passivhouse), environmental organisations (e.g. Greenpeace, WWF, Global 2000) and individuals, ÖGUT has the best preconditions

for networking, preparation and providing of competent information and innovative solutions in order to initiate challenge in the environmental, social and economic field.

The main focus of ÖGUT lies on networking, scientific competence and innovation in the fields of environment and technology. ÖGUT is specialized in five topics and therefore divided in five departments:

- Participation,
- Enlarged European Union,
- Research and Technology,
- Energy Contracting and
- Ecological Economy.

The 'Department Participation' at ÖGUT contributes trough scientific studies, the evaluation of participative processes and through impulses deriving from working groups and strategy groups directed by ÖGUT to further develop participative methods and instruments and to enhance the general conditions for a broad implementation of public participation.

ÖGUT is a competence centre for conflict management and conflict resolution and the crosslinking of stakeholders. ÖGUT has a permanent staff of 18 employees, 15 of it being scientists.

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ANNEX 7: LIST OF ONGOING RESEARCH PROJECTS ON QUESTION 5 FILLED IN THE FORM OF THE ISCAR-DATABASE

- BrainDrain: http://www.brain-drain.org/
- ClimChAlps: Climate change in the Alps, InterregIIIB: 2006-2008 (website not yet available)
- New Orientations for Democracy in Europe (NODE): www.node-research.at/
- Forschungsprogramm Transdisziplinäres Forschen (TRAFO): www.traforesearch.at
- Forschungsprogramm proVision**:** Vorsorge für Natur und Gesellschaft: www.bmbwk.gv.at/forschung/fps/provision
- PUSEMOR (Public services in sparsely populated mountain regions): http://www.pusemor.net/
- Swiss national research programme NFP 48 «Landscapes and Habtitats of the Alps» (http://www.nrp48.ch/)

ANNEX 8: SPECIAL DOCUMENTS

"Aarhus-Convention" (UNECE Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters)

The UNECE *Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters* was adopted on 25th June 1998 in the Danish city of Aarhus at the Fourth Ministerial Conference in the "Environment for Europe" process. The convention recognises, that "adequate protection of the environment is essential to human well-being and the enjoyment of basic human rights, including the right to life itself"[13] The objective of the Aarhus-Convention is declared in Article 1:

"In order to contribute to the protection of the right of every person of present and future generations to live in an environment adequate to his or her health and well-being, each Party shall guarantee the rights of access to information, public participation in decision-making, and access to justice in environmental matters in accordance with the provisions of this Convention."[14]

The convention refers – amongst others – to the principles of the Stockholm Declaration on the Human Environment (1972)[15] and the UN-Conference on Environment and Development in Rio de Janeiro (1992)[16]. The Aarhus Convention acknowledges the "*obligation to future generations*" and emphasises the conviction, "*that sustainable development can be achieved only through the involvement of all stakeholders*". It focuses on interactions between the public authorities, the economic sphere and the civil society with special considerations of NGOs. Therefore, the convention "*links government accountability and environmental protection*" and promotes "*a new process for public participation in the negotiation and implementation of international agreements*" [17]

The convention's signatory countries should assure, that public authorities "*assist and*

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[13] See the preamble of the Aarhus-Convention in:
http://www.unece.org/env/pp/documents/cep43e.pdf

[14] See: http://www.unece.org/env/pp/documents/cep43e.pdf

[15] See the Stockholm Declaration under:
http://www.unep.org/Documents.multilingual/Default.asp?DocumentID=97&ArticleID=1503

[16] See the Rio Declaration on Environment and Development under:
http://www.unep.org/Documents.multilingual/Default.asp?DocumentID=78&ArticleID=1163

[17] See: http://www.unece.org/env/pp/

provide guidance to the public in seeking access to information, in facilitating participation in decision-making and in seeking access to justice in environmental matters" (§ 3.2). Moreover, the Aarhus convention calls for promotion of "environmental education and environmental awareness among the public" (§ 3.3) and claims an "appropriate recognition of and support to associations, organizations or groups promoting environmental protection" (§3.4.)

Articles 4 defines principles for the "access to environmental information" Article 5 "collection and dissemination of environmental information" demands that the authorities collect and disseminate environmental knowledge in an adequate way. Article 6 specifies the requirements for appropriate public participation in decision making:

"The public concerned shall be informed, either by public notice or individually as appropriate, early in an environmental decision-making procedure, and in an adequate, timely and effective manner,…" (§ 6.2)

Hereby, the convention mentions information on the possible nature and consequences of the decision, the responsible authorities and the planned procedures of the opinion building and decision making process (e.g. start; opportunities for the public to participate and time and venue of any envisaged public hearing)

Article 7 promotes public involvement "*concerning plans, programmes and policies"*. Moreover, the convention demands in article 8 also public participation "*during the preparation of executive regulations and/or generally applicable legally binding normative instruments*" Finally, article 9 defines the access to justice in case of the non-consideration of the convention's rules:

"Each Party shall, within the framework of its national legislation, ensure that any person who considers that his or her request for information under article 4 has been ignored, wrongfully refused, whether in part or in full, inadequately answered, or otherwise not dealt with in accordance with the provisions of that article, has access to a review procedure before a court of law or another independent and impartial body established by law." (§ 9.1)

Agenda 21

The claim for "participation" in Agenda 21 refers to a variety of institutional and non-institutional actors. Communal and regional authorities should be involved in the definition and implementation of public policies (federalism). Second, the claim for participation affects also the relationship between public authorities of all state levels, the economic sphere and the civil society. Third, the interests of the future generations should be taken into account when defining and implementing paths of social and en-

vironmental development.

Agenda 21's Sector III "strengthening the role of major groups" links the effective implementation of the objectives of Agenda 21 with the participation of the "major" social groups in decision making:

"Critical to the effective implementation of the objectives, policies and mechanisms agreed to by Governments in all programme areas of Agenda 21 will be the commitment and genuine involvement of all social groups." (Agenda 21, §23.1)

The demanded "broad public participation in decision-making" (§23.2) should include the involvement in environmental impact assessment procedures as well as the information about and the participation in opinion building and decision making processes – especially if individuals or communities are potentially affected by them. (§23.2) Chapter 24–32 define several social groups and their special needs towards paths of sustainable development.

Chapter 24 aims at the strengthening of women's participation in all key-issues, especially in national ecosystem management and control of environment degradation. Therefore, a substantive increase of the proportion of women decision makers, planners, technical advisers, managers and extension workers in environment and development fields is seen as a necessary condition.

Chapter 25 states that "involvement of today's youth in environment and development decision-making and in the implementation of programmes is critical to the long-term success of Agenda 21." (§25.1) The countries are called on to "establish mechanisms that permit youth access to information and provide them with the opportunity to present their perspectives on government decisions" (§25.4)

Chapter 26 stresses the importance of the integration of "indigenous people and their communities" and their types of knowledge concerning their environment in opinion building and decision making processes. However, this claim does not only apply to indigenous people in remote areas of foreign countries. It is a general invitation for the responsible authorities to recognise and appreciate e.g. the existing norms and values, traditional forms of knowledge and resource management practices of those affected by decision making processes.

Chapter 27 describes the "vital role" which Non-governmental organizations (NGOs) play in the shaping and implementation of participatory democracy. Therefore, the responsible authorities should use this potential:

"Society, Governments and international bodies should develop mechanisms to allow non-governmental organizations to play their partnership role responsibly and effectively in the process of environmentally sound and sustainable development." (§27.5)

Chapter 28 promotes the *participation and cooperation of local authorities* in implementing the objectives of Agenda 21. "*Through consultation and consensus-building, local authorities would learn from citizens and from local, civic, community, business and industrial organizations and acquire the information needed for formulating the best strategies*" for communal development. (§28.3). Chapter 29 emphasises the participation of workers and their trade unions at different state or enterprise levels. The important roles of business and industry as well as scientific knowledge for the development of modern societies are highlighted in Chapter 30 and 31. Therefore, the Agenda 21 claims the active involvement of the actors from the economic and scientific spheres in opinion building and decision making. Finally, chapter 32 discusses agriculture as the central activity for much of the world's population. Farmers, their families and rural communities are seen as key-actors for implementing the objectives of sustainable development.

World Bank: Guidelines and Policies Regarding Participation

The *Participation and Civic Engagement Group* of the Social Development Department promotes the participation of people and their organisations to influence institutions, policies and processes for equitable and sustainable development. It invites all partners to apply "participatory approaches in the design, the implementation, the monitoring and evaluation of World Bank supported operations". World Bank's Participation and Civic Engagement Group focuses on the following main themes[18]: Social accountability, enabling environment for civic engagement, participatory monitoring and evaluation and finally participation at the project, program and policy level. Consequently, World Bank's comprehension of participation touches not only the implementation of projects but the very relationship between public authorities, the private sector and the civil society. Participation is seen as the basis for accountability, transparency and – therefore – trust between the different actors involved in World Bank projects.

- **Social Accountability**: social accountability relies on civic engagement and increases the possibilities of the public to hold government officials and bureaucrats

[18] Compare: http://lnweb18.worldbank.org/ESSD/sdvext.nsf/66ParentDoc/ParticipationandCivicEngagement?Opendocument

accountable. The participation concept of the World Bank links social accountability with *governance*, *increased development effectiveness*, and *empowerment*. Social accountability mechanisms include "citizen participation in public policy making, participatory budgeting, public expenditure tracking, citizen monitoring of public service delivery, citizen advisory boards, lobbying and advocacy campaigns."[19]

- **Enabling Environment for Civic Engagement**: The World Bank invites its partners from public authorities and private sector to shape the institutional framework in order to increase the possibilities for political and social participation. Here, the framework includes legal, regulatory and policy frameworks, and political, socio-cultural and economic factors.[20]
- **Participatory Monitoring and Evaluation**: "Participatory monitoring & evaluation (PM&E) is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, program or policy, share control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions. PM&E focuses on the active engagement of primary stakeholders." PM&E is seen as a central key for a better understanding of policy definition and implementation processes. It is the basis for an adequate integration of all involved types of knowledge, and the commitment of the affected stakeholders.

According to the Word Bank concept, the application of PM&E-methods is highly context sensitive. However, some general principles or steps are defined:

Source: World Bank's Evaluation Procedure[21]

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[19] http://lnweb18.worldbank.org/ESSD/sdvext.nsf/66ByDocName/SocialAccountability2. For further reading: CORNWALL, A. & GAVENTA, J. (2001): Bridging the gap: citizenship, participation and accountability. In: PLA Notes, 40, February 2000. P. 32-35.

[20] For tools and methods see: http://lnweb18.worldbank.org/ESSD/sdvext.nsf/66ByDocName/EnablingEnvironmentforCivicEngagementToolsandMethods

[21] See: http://lnweb18.worldbank.org/ESSD/sdvext.nsf/66ByDocName/ParticipatoryMonitoringandEvaluation1ToolsandMethods

- **Participation at the Project, Program & Policy Level**: The World Bank's comprehension of participation is not limited to the possibility to influence the realisation of particular projects. According to the Word Bank's agenda, the interested or affected stakeholders should also be enabled "to influence and share control over priority setting, policy-making, resource allocations and access to public goods and services." Hence, the framework also claims stakeholder involvement within processes of problem definition, goal and priority setting and strategy development.