D.T4.1.1

Participative Governance Training Scheme

PP14 – Business Upper Austria

August 2021

Project Information

Project Title: GoDanuBio - 'Participative Ecosystems for fostering the revitalization of rural-urban cooperation through governing Danube Circular Bioeconomy'
Project code: DTP3-471-4.1
Lead partner: BIOPRO Baden-Württemberg GmbH
Start of the project: 01/07/2020
Duration: 30 months
http://www.interreg-danube.eu/approved-projects/godanubio

Deliverable Information

Author/-s: Dorian Wessely, Gabriele Wolkerstorfer;
Deliverable nr.: D.T4.1.1
Submission date: 18/08/2021
Dissemination level: Public

Version	Date	Content	Elaborated by	Reviewed by
1.0	20.7.2021	Participative Governance Training Scheme Upper Austria	Biz-Up	BIOPRO
1.1	18.08.2021	Participative Governance Training Scheme Upper Austria (Final Version)	Biz-Up	

Table of content

Disclaimer:

The information and perspectives set out in this document are those of the authors and do not necessarily reflect the official opinion of the European Commission. Neither the European Commission institutions and bodies nor any person acting on their behalf may be held responsible for the use that may be made of the information contained therein.

Introduction

This document prepared by ERDF PP14 (Business Upper Austria Ltd.) serves as a guide to the developed training programme on participatory governance, which aims to enrich and broaden the understanding and skills of government practitioners regarding participatory governance approaches and practices. In developing the training programme, results were capitalised and considered, e.g. from the Interreg DTP project "YOUMIG" or "AgriGo4Cities". The Studiengruppe für internationale Analysen (STUDIA) was commissioned to jointly develop the training programme and to provide the guide for regional planning and implementation of the workshops.

Participatory democracy

Participatory democracy is a type of democracy in which citizens and other stakeholders have the power to decide political issues. The etymological roots of democracy (Greek demos and kratos) imply that the people are in charge, which makes all democracies participatory to some degree. However, participatory democracy tends to advocate greater citizen participation and more direct representativity than traditional representative democracy. For example, the creation of governing bodies through a system of selection, rather than election of representatives, is thought to produce a more participatory body by allowing citizens to assume positions of power themselves (1995[1]).

Definition of Multi Level Governance

Multi-level governance (MLG), as having been defined by the EU Committee of the Regions, applies to coordinated actions by the EU, its Member States and local and sub-national governments, based on and involving partnership and operational and institutional cooperation at all levels of the policy cycle, from the elaboration to the implementation of measures. These measures require the coordination and sharing of competences from the national to the subnational level. Here, the transnational level of the EU is a priority, especially given the growing importance of MLG in migration and integration policies. Hence, MLG concerns the dispersion of central governments, both vertically, which concerns actors located at different territorial and administrative levels, and horizontally, actors and sectors at the same level of government (2009[2]).

---

[1] Manin, B., 1995. *The Principles of Representative Government,* s.l.: Cambridge University Press.
[2] The EU Committee of the Regions, 2009. *White Paper on MLG.* s.l.:s.n.

Milestones towards sustainable development and public participation

Brundtland Report 1987

Sustainable development is development "that meets the needs of the present without compromising the ability of future generations to meet their own needs." Therefore, sustainable development must be guided by the following principles: preservation of the environment, economic development, social justice, and political participation.

UN Conference in Rio de Janeiro 1992

Resolution of the "Rio Declaration" and the "Agenda 21", the work programme for the 21st century: the comprehensive involvement of the population in political decision-making processes is an important prerequisite for sustainable development. A municipal action programme, the "Local Agenda 21", is formulated.

European Conference in Aalborg 1994

"Aalborg Charter": the signatory cities and municipalities undertake, among other things, to develop long-term action plans for their municipalities with the broad involvement of the population in the spirit of the Local Agenda 21.

Aarhus Convention 1998

Regulation of public access to information on the environment, public participation in certain environment-related decisions and access to justice in environmental matters.

White Paper on European Governance 2001

This White Paper defines principles of good governance for the first-time. These include, above all, the involvement of the public in policy- and decision-making at all levels of the EU (national, local, etc.).

Austrian Strategy for Sustainable Development 2002

The strategy focuses on a policy that is long-term and holistic and integrates ecological, economic and social aspects in equal measure. Transparency and public participation are seen as the "key" to implementing the strategy.

Aalborg +10 Conference 2004

The resolution of the so-called "Aalborg Commitments" is about measures to ensure the quality of life and sustainability of cities and municipalities in ten thematic areas (including planning, mobility, health, good governance) (2005[3]).

---

[3] Arbter, K. et al., 2005. *Das Handbuch der Öffentlichkeitsbeteilung - Die Zukunft gemeinsam gestalten.* Wien: Österreichische Gesellschaft für Umwelt und Technik.

Capitalisation of existing project results

The training scheme presented here is based on existing projects and uses them as examples of best practice. The results of the projects served as the basis for the training courses developed within the framework of GoDanuBio WP T4.

The following projects were analysed in detail and their findings were incorporated into the training design:

YOUMIG

YOUMIG explored the interaction of different actors at different policy levels to identify migration-related challenges and made recommendations on how to address these challenges. The YOUMIG project shows how participative citizenship can be lived. Stakeholders, politicians and scientists at individual, organisational and EU level carried out complex capacity building activities to find creative solutions in each project member country. The aim was to facilitate cooperation between different levels of government. Through workshops, cooperation between national administrations, statistical offices, research institutions and local communities was demonstrated for improved measurement, assessment and management of the causes, patterns and impacts of youth migration, leading to an improved multi-level governance cooperation. Different types of workshops were organised to define, among other things, the possibilities for an improved multi-level governance cooperation based on the MLG concept. Based on this, policy recommendations were made for the regional governments (2019[4]).

AgriGo4Cities

The AgriGo4Cities project faces the same challenge as GoDanuBio: improving the involvement of the population in decision-making processes. Due to a lack of forms of participation, the population is becoming increasingly detached from governance processes and administrative action in general. They no longer feel represented or as equal partners.

Against this background, the AgriGo4Cities project relied on the approach of participatory urban and peri-urban agriculture (UPA). It is an effective method to strengthen institutional public capacities and thus counteracts the marginalisation of population groups in urban society in order to initiate sustainable urban development in the Danube Region. In the project, innovative methods of participatory planning and their integration into decision-making processes were developed. In this process, the capacities of public administration to involve relevant actors and civil society were strengthened.

Closer cooperation strengthened mutual trust and the socio-economic inclusion of disadvantaged population groups. The reduction of social and economic inequalities led to a more sustainable

---

[4] Gruber, E. 2019. YOUMIG project. WP 6 – Activity 6.2 National policy recommendations for improved cooperation on youth migration. AUSTRIA

development of disadvantaged neighbourhoods. Administrations, local initiatives, research institutions and planning offices were involved in the multifaceted project partnership (2019[5]).

Both projects presented creative methods of bringing marginalised groups back into the decision-making process. The activities and workshops serve as the basis for the training scheme established in this project. Positive effects were analysed and included in the design. Lessons learned from the previous projects were examined and appropriate conclusions were drawn.

Purpose of participatory governance

A participation process brings together people with different interests, opinions and ideas that might not be related to each other. Different perspectives, needs and experiences are exchanged, which leads to a greater knowledge about the different facts of the project. Later, decisions can build on this and are thus better prepared and secured. If all interested parties are given the opportunity to participate in a project that concerns them, this increases identification and satisfaction with the result. Consequently, results achieved in a participation process often have a higher level of acceptance and a longer shelf life.

Implementation takes place more quickly, and there is less need for subsequent improvements, which in turn can save time and money. Dealing with conflicts of interest within the framework of a participation process can also help to avert the threat of legal disputes.

Citizens and other stakeholders can benefit from being able to contribute their ideas, opinions and perceptions to a topic or a project in the participation process. In addition, they are better and more up-to-date informed about all aspects of the project than outsiders and gain insight into decision-making processes.

Through participatory processes, politicians gain a better insight into the needs of different population groups and can improve communication with all stakeholders. Participation processes allow a better integration of conflicting interests and foster a culture of cooperation and dialogue. This in turn can stimulate interest in politics and encourage citizens and other interest groups to participate more.

For administrative staff, participation procedures can mean a reduction in workload because the project has been discussed or developed together with those affected. Therefore, fewer objections and subsequent complaints can be expected. Participation procedures also make an important contribution to strengthening trust in the administration.

Seeking dialogue with affected citizens and other stakeholders can help entrepreneurs to avoid defuse conflicts with them or prevent them from arising in the first place. The willingness to talk promotes mutual understanding and trust. In approval procedures this can avoid appeals and thus save costs.

For stakeholders, participation in a participatory process offers the opportunity to make the interests and ideas of their own group better known and to increase their chances of implementation. The

---

[5] Szalók M., Bende Cs., Kozina J. (eds) (2019) Participatory urban agriculture governance plan for fighting social exclusion in the Danube Region. Székesfehérvár: Central Transdanubian Regional Innovation Agency.

discussion of other positions raises one's own profile and can strengthen one's competence for future interest negotiations.

When people with different ideas and perceptions, with different professional backgrounds and life experiences come together, they usually encounter opposing views. Therefore, participation also requires time and the willingness to deal with other opinions and to engage in discussions and conflicts. However, it is often only in the confrontation of different points of view that deeper insights into problems and thus new ideas for their solution emerge. So one should not shy away from the debate, it will bring all participants closer to a common solution (2005[6]).

Goals of participatory governance

- Exchange of information and experiences

- Comprehension for differing other opinions

- Coordination of interests

- Enhanced quality and transparency of decisions

- Enhanced acceptance and traceability of decisions

- Strengthening the identification of citizens and other interest groups

- Strengthening of people's trust in decision makers

- Creation of a broad approach to opinion forming

Advantages of participatory governance

- + Promotes understanding for other opinions and the reconciliation of interests. This increases the chance of finding consensual and sustainable solutions.

- + Promotes the exchange of information or experience among participants and enables networking with like-minded people.

- + Can lead to better decisions because the knowledge of all people involved is used.

- + Increases the chance and acceptance of jointly supported solutions

- + Increases the political legitimacy of decisions and makes them more comprehensible.

- + Can save time and money by avoiding delays and costs due to objections during project implementation and court proceedings.

---

[6] Arbter, K. et al., 2005. *Das Handbuch der Öffentlichkeitsbeteilung - Die Zukunft gemeinsam gestalten.* Wien: Österreichische Gesellschaft für Umwelt und Technik.

+ Is a proven and tested instrument to arouse interest in politics and democratic participation, to create places where people can learn and practise democracy together.

Limits of participatory governance

According to Arbter et al. 2005[5], participatory processes can contribute significantly to improved, accountable decision-making on matters of public interest. But they also have their limits. Participation processes have little chance of success if:

- those affected do not want to participate, for example because they are afraid of being appropriated, have had bad experiences with participation processes, see other possibilities or better ways to assert their interests.

- there is a lack of support from decision-makers, for example because politicians or administrators fear a restriction of their decision-making power.

- there is no room for manoeuvre because the essential decisions have already been made.

- Social inequalities and different access to participation processes cannot be compensated for if, for example, hard-to-reach or disadvantaged groups (e.g. migrants) cannot participate.

Levels of participation

The degree of participation is influenced by various factors. Depending on the willingness of decision-makers from politics, administration and business, citizens and stakeholders can incorporate their ideas into planning and decision-making to varying degrees. Furthermore, the type of procedure - i.e. whether it is a formal or informal procedure - or the method chosen determines the extent to which the interests of citizens or stakeholders can be included. A distinction can be made between the following levels of participation, according to Arbter et al. 2005[7]:
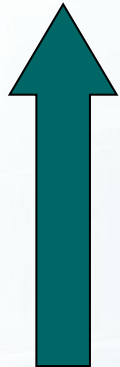
Depending on the given framework conditions

- The aim of informative public participation is to make plans or decisions known and understandable to the general public, who have little opportunity to influence the decision.

- Citizens and stakeholders can comment on submitted proposals and contribute their ideas and suggestions, as for example in the preparation of a zoning plan. Consultative public participation is thus about getting feedback from stakeholders on proposals, plans or decisions to be considered in the decision-making process.

- There is also the possibility for those affected and interested to have a say and influence in the development of the project, its implementation and realization. Arguments are heard through participation in a round table or in a mediation process. The degree of co-determination ranges

---

[7] Arbter, K. et al., 2005. *Das Handbuch der Öffentlichkeitsbeteilung - Die Zukunft gemeinsam gestalten.* Wien: Österreichische Gesellschaft für Umwelt und Technik.

from the joint development of proposals to far-reaching decision-making rights of citizens and other stakeholders.

Table 1: Levels of Participation, Arbter et. al 2005[6]

Co-determination Working group, Round table, planning cell, environmental mediation etc.
Consultation Public discussion event, questioning, citizens and stakeholder meeting, statements, etc.
Information Posting, mailing, information event, public inspection, etc.

Guideline for participatory governance processes

How public participation begins

This section according to Arbter et al. 2005[8], gives you an overview on where to start with participatory processes and how to implement them, in a chronological order.

Inform yourself and others

- Obtain comprehensive information on the background and accompanying circumstances. Are there already activities? What demands, ideas or suggestions are being put forward by those affected? What are the concrete concerns and areas of conflict? Do some research in newspapers and on the internet and try to talk to people in your community or your community or your environment. You can also contact citizens' offices, the provincial environmental ombudsmen's offices or at the municipal office.

- If you are a citizen or a representative of an interest group and you are still looking for allies for an initiative, make your topic public: via newspaper articles, events, posters, direct mail, flyers or personal conversations. If there is still no initiative on your topic and you intend to find one, define your goals together with other interested people as concretely as possible: what do you do you want to achieve? What should the situation look like after the participation process has been successful? Imagine your goals as vividly as possible because images are ideal vehicles. It is

---

important that your goals are realistic. Also distinguish between goals that you absolutely want to achieve and those for which you are prepared to make sacrifices.

- As a project applicant, policy maker or administrative staff, actively inform the population about a project and where information about it can be obtained. Concrete, clear and generally understandable information is important. A balanced presentation of both the benefits and the possible adverse effects of the project are also an important confidence-building measure.

Clarify whether the requirements for a formal participation process are in place

- When a concern or project is brought to the attention of the administrative authorities, it is investigated whether public participation is mandatory, for example in an EIA procedure, in a Strategic Environmental Assessment, in zoning planning or in water management planning.

- As a citizen or stakeholder, find out when and how you can exert influence so that you do not miss any deadlines. You can do this, for example, at your municipal office, at the competent administrative authorities or at the environmental ombudsmen.

Weigh up the benefits of an informal participation process

- Consider whether the mandatory participation opportunities provided are sufficient for the implementation of the project, or whether a more intensive participation process might bring better and more sustainable results.

- If there is no formal provision for public participation, weigh up the benefits of an informal participation process; especially if the issue is a conflict-prone one, you as a representative of politics or administration are looking for new ways of working with the population, want to realise an unusual idea or achieve the greatest possible acceptance for a project.

Develop ideas for the course of the participation process

- If you would like to carry out a more intensive process, consider how such a process might look like in your case.

- Write down your ideas and formulate a first concept. This will make your ideas comprehensible to other people who you want to convince of the usefulness of your project. Also consider what benefits a participation process can have for other affected groups, political decision-makers or the administration, and where the opportunities and risks lie.

Methodology

Below are some proven methods that can structure the participation process, make it more efficient, more varied, and more interesting, according to Arbter et al, 2005[9]:.

Activating survey

In an activating survey, citizens and other stakeholders are asked for their opinions and attitudes, and at the same time they are encouraged to stand up for their interests and to participate in the development of solutions in their neighbourhood.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Consultation	Day – several Months	For groups over 30 people	To learn about the interests and needs of people in a particular location To promote the self-determined engagement of citizens	Survey of citizens in their neighbourhoods by trained interviewers Evaluation of the survey Formation of interest or action groups	Interested Stakeholders

---

[9] Arbter, K. et al., 2005. *Das Handbuch der Öffentlichkeitsbeteilung - Die Zukunft gemeinsam gestalten.* Wien: Österreichische Gesellschaft für Umwelt und Technik.

Stakeholder Meeting

A Stakeholder Meeting, offers the opportunity to inform interested parties and those affected about a project and to publicly discuss the aspects of the project.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Information, Consultation	Several Days	For groups over 30 people	To inform the public about a planned project or planning at the municipal level, if opinions and suggestions from citizens are to be obtained	Informing the public about the planned project or the intended planning, followed by discussion, possibly work in small groups.	Interested citizens, representatives of interest groups, representatives of politics and administration, possibly experts.

Internet forum

Internet forums are online discussion platforms that enable interest groups to express themselves in writing on a specific topic and discuss it with others.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Consultation	Days to Months	For groups over 30 people	As an additional information and communication service for citizens, independent of time and place; To gauge public opinion on a particular issue or project.	An Internet forum is opened on a specific topic. Internet users post comments online and can react to the contributions of others.	Interested Stakeholders with access to the internet

Consensus Conference

At a consensus conference, selected heterogeneous groups of citizens work out an answer to a politically or socially controversial question in intensive dialogue with experts.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Consultation; Co-determination	Days	Small Groups (15) to groups over 30 people	For the treatment of controversial topics by interested laypersons with the support of experts. Obtaining public opinion on a specific issue	Selection of about ten to 30 interested citizens. Familiarisation of the citizens with the topic (through information material provided such as statements, background reports, newspaper cuttings etc.) Conduct a 3-day conference: comprehensive presentation of the topic by the experts, questioning of the experts by the participants and intensive discussion of the topic, citizens prepare a written report with their consensual opinions and recommendations and their reasons, presentation of the report to the decision-makers.	Interested citizens, representatives of interest groups, representatives of politics and administration, possibly experts.

Mediation

Mediation is a voluntary, clearly structured process in which those affected by a conflict work together to find a lasting solution and are supported by professional mediators.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Co-determination	Weeks – Months	Small Groups (15) to groups over 30 people	In the case of latent or open conflicts in concrete planning procedures and problems to support conflict parties who want to reach an amicable conflict resolution	1. Initiation: Convincing all conflict parties of the benefits of mediation, search for suitable mediators. 2. Preparation: Analysis of the conflict through individual discussions, determination of the group of participants, drawing up of a working agreement which specifies the procedure, goal, content etc. of the mediation process. 3. Implementation: Presentation of the different interests and needs, gathering of missing information, search for solutions and decision-making. 4. Agreement: Preparation of a written mediation contract on the results achieved and their implementation.	Interested citizens, representatives of interest groups, representatives of politics and administration, possibly experts.

Open Space Conference

At this conference there is a central theme, but no fixed speakers or prepared working groups. The participants themselves decide who wants to work on which topics and for how long.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Consultation, Co-determination	Days	Groups over 30 people	When it comes to working on complex issues with a large number of stakeholders. As an initial spark for a project that is to start with a broad-based collection of ideas.	Presentation of the main topic and collection of interesting questions on it. Working on the questions in small groups that are formed again and again, for each of which a group protocol is prepared Publication of all protocols	Interested citizens, representatives of interest groups, representatives of politics and administration, possibly experts.

Planning Cell

In a planning cell, randomly selected, non-organised citizens draw up a "citizens' report" on a specific issue, based on their own experience and knowledge. In technical questions they are supported by experts.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Co-determination	Days	Up to Groups over 30 people	For planning tasks at local and regional level, development of concepts. If the balanced participation of representatives of as many population groups as possible is to be ensured. When the everyday knowledge of those affected and the knowledge of experts should complement each other.	Random selection of about 25 citizens and release from their daily obligations, compensation for loss of earnings, organisation of childcare facilities for parents. Comprehensive information of all participants about the project; Possibility to talk to those affected by the project, experts, authorities, etc.; possible site visit.	Selected Stakeholders and Experts

Round Table

At a round table, representatives of the interest groups affected by a project discuss a factual problem on an equal footing and try to find a joint solution.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Co-determination	Days - Months	Up to Groups over 30 people	To clarify controversial issues with different stakeholders when conflicts are already emerging.	Round tables do not have a standardised procedure. Important for a successful process are neutral moderators, the recording of the discussion and the representation of each group by the same number of persons entitled to vote, regardless of their (factual/political) strength.	Interested citizens, representatives of interest groups, representatives of politics and administration

Future Work Shop

In a future workshop, participants are encouraged to develop imaginative and unusual solutions to current issues through an atmosphere that promotes creativity.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Co-determination	Days	Small- to medium-sized groups	When visions are to be developed, e.g. in the creation of mission statements, development scenarios, future projects, etc.	1. Criticism phase: Analysis of the current situation and identification of problems. 2. Imagination phase: Development of ideas and proposals for solutions, which may be utopian at first, constraints are ignored 3. Realisation phase: Investigation of how the proposals can be made feasible and what the implementation can look like.	Interested citizens, representatives of interest groups, representatives of politics and administration

Future Conference

In a future workshop, participants are encouraged to develop imaginative and unusual solutions to current issues through an atmosphere that promotes creativity.

Level of participation	Duration	Number of Participants	Suitability	Procedure	Participants
Co-determination	Days	Up to Groups over 30 people	For long-term planning and projects at the municipal level or in organisations for future-oriented questions	Reflecting on the past and present developments Developing blueprints for the future, consensual agreement on a blueprint, planning concrete measures	Interested citizens, representatives of interest groups, representatives of politics and administration

List Of Sources

Arbter, K. et al., 2005. *Das Handbuch der Öffentlichkeitsbeteilung - Die Zukunft gemeinsam gestalten.* Wien: Österreichische Gesellschaft für Umwelt und Technik.

Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft und Österreichische Gesellschaft für Umwelt und Technik (ÖGUT), 2005. Das Handbuch. Öffentlichkeitsbeteiligung. Die Zukunft gemeinsam gestalten. Austria

Fishkin, J. S., 2011. *When the People Speak.* s.l.:Oxford University Press.

Gruber, E. 2019. YOUMIG project. WP 6 – Activity 6.2 National policy recommendations for improved cooperation on youth migration. AUSTRIA

Manin, B., 1995. *The Principles of Representative Government,* s.l.: Cambridge University Press.

Szalók M., Bende Cs., Kozina J. (eds) (2019) Participatory urban agriculture governance plan for fighting social exclusion in the Danube Region. Székesfehérvár: Central Transdanubian Regional Innovation Agency.

The EU Committee of the Regions, 2009. *White Paper on MLG.* s.l.:s.n.

Checklists[10]

✓ Initiation of Participation processes

Public Participation Manual

Already in the initiation phase, very important measures can be taken that favour the successful course of a participation process. The following checklist will help you to consider the most important steps.

	YES	NO
√ Have you used all relevant sources (e.g. municipal office, citizens' office, internet, newspapers, provincial environmental ombudsman's office, etc.) to obtain information on your topic?	▪	▪
√ Has it been clarified what activities have already taken place on this project or topic (e.g. initial preliminary planning, surveys already carried out, etc.)?	▪	▪
√ Are other stakeholders and the public informed about the initiative for a participation process, e.g. through leaflets, advertisements in newspapers or similar, in order to possibly still to find other committed partners or to network with other initiatives?	▪	▪
Requirements		
√ Has it been clarified whether public participation is required by law (e.g. by the EIA Act, the spatial planning laws of the Länder or the Water Rights Act)?	▪	▪
√ Were all those affected contacted and informed (especially important for legally prescribed participation processes!)?	▪	▪
√ As the person affected, have you informed yourself about any deadlines with the authorities?	▪	▪
√ Has consideration been given to whether an informal process could possibly complement and support a mandatory participation process?	▪	▪
Concept		
√ Have you written down your ideas for a participation process - possibly with the support of professional process facilitators?	▪	▪
√ Have you considered how the participation process can benefit other stakeholders and how you can convince them to participate?	▪	▪
√ Have you considered at which level (information, consultation, co-determination) the participation process makes most sense?	▪	▪
√ Are you clear about what you want to achieve with the participation process?	▪	▪
√ Are you aware of the opportunities and risks of a participation process?	▪	▪
From initiation to preparation		
√ Have you contacted the (political) decision-makers and informed them about your ideas for participation?	▪	▪
√ Do you know what the next steps are to start the participation process and have you informed the other stakeholders?	▪	▪
√ Has it been clarified who will take on which task in the preparation and implementation of the participation process?	▪	▪
√ Has the financing of the process been clarified or are there at least funding commitments?	▪	▪
√ Have all the important stakeholder groups (decision-makers in politics and administration, Citizens, stakeholders, project applicants) agreed to participate in or support the process?	▪	▪

Practice

---

[10] Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft und Österreichische Gesellschaft für Umwelt und Technik (ÖGUT), 2005. Das Handbuch. Öffentlichkeitsbeteiligung. Die Zukunft gemeinsam gestalten. Austria

Preparation of
Participation processes

The quality of a participation process depends to a large extent on good preparation in terms of content and organisation. The following checklist helps you to consider important points for the success of a process in advance.

Basic : Worksheets on Participation, No. 1, by the ÖGUT Strategy Group on Participation www.partizipation.at

	I	K	M *)
Goals and tasks			
▪ Is the goal and task of the participation process clear to all participants?	x	x	x
▪ Is the procedure open in terms of outcome so that there is sufficient room for manoeuvre?		x	x
Participants			
▪ Have all potentially interested parties received sufficient information on the content and process of the procedure to be able to to be able to decide for or against participation in it?	x	x	x
▪ Are all relevant population and interest groups represented (possibly by appointed representatives) in a balanced way? composition (e.g. women, men, parents, young people, etc.) represented?		x	x
▪ Were attempts made to inform hard-to-reach groups about the participation process and to encourage them to participate? interested?	x	x	x
Results			
▪ Are all stakeholders informed about their possibilities for influence and action?	x	x	x
▪ Has it been clarified who has what decision-making authority in the procedure and afterwards?	x	x	x
▪ Are the stakeholders informed about what will happen to the results of the process and what degree of binding force they will have?	x	x	x
▪ Is the support of decision-makers from politics and administration ensured and have they agreed to adopt the results of the participation process or to justify deviations from them?	x	x	x
Time + Money			
▪ Is there a sufficient time frame (including time buffer) for the participation process?	x	x	x
▪ Is there a precise timetable and schedule for the participation process?	x	x	x
▪ Was the time required for all participants, especially for voluntary participants, approximately estimated? communicated to all stakeholders?		x	x
▪ Is there an expense allowance for the participants or has consideration been given to how the appreciation for hours worked free of charge can be expressed (e.g. through public recognition, Acknowledgements, benefits for public services, etc.)?		x	x
▪ Are the financial costs (incl. scope) for the entire participation process (e.g. for process support, information work, expert opinions, etc.) calculated and funding secured?	x	x	x
▪ Are the financial requirements and the allocation of funds disclosed?			x
▪ Are the donors and the nature and amount of their contributions known to all those involved?			x
Process design			
▪ Was an impartial, competent process control commissioned to accompany the participation process?	x	x	x
▪ Have preliminary discussions been held with groups and individuals about the understanding of the process and roles, about the benefits and limits of the participation process?		(x)	x
▪ Is the event or process design adapted to the specific topic and the available time and financial resources? Resources adapted?	x	x	x
▪ Are the interfaces between formal and informal participation processes clarified, e.g. when an EIA is carried out by an mediation process is interrupted?	x	x	x
Organisation			
▪ Has the personnel responsibility for the organisational tasks been clarified?	x	x	x
▪ Are the premises and the necessary technical equipment (flipchart, overhead, microphone etc.) for Events available?	x	x	x

Practice

✓ Implementation of Participation processes

The points to be considered when carrying out participation processes have a lot to do with the chosen method or process design, and with whether competent process management accompanies the process and ensures quality assurance. In any case, you should consider the following points during the process:

	I	K	M	*)
Participants				
▪ Are the roles of all participants (e.g. who represents which group with which authority to act) clarified?	x	x	x	
▪ Is staff continuity or the integration of new participants guaranteed?			x	
Rules of the game				
▪ Are there clear agreements on the course of the procedure, on the rights and obligations of the participants? and on the way decisions are made (e.g. consensual decisions or decisions by the majority decisions)?			x	
▪ Have process control and participants jointly agreed on rules for dealing with one another and defined via communication with the outside world?			x	
▪ Do all stakeholders have the opportunity to express their opinions and participate in discussions?		x	x	
▪ Is attention paid to adherence to the timetable and schedule?			x	
Information				
▪ Do those involved receive all the information relevant to the process in good time, in a clear and in a generally understandable form?	x	x	x	
▪ If necessary, additional expertise is sought so that decisions can be made on a sound basis. basis can be taken?	x	x	x	
▪ Is there continuous public information coordinated with other stakeholders about the process and its progress? (See also Checklist Public Relations, p. 56)	(x)	(x)	x	
▪ Is the process documented in a comprehensible way (minutes, interim reports, etc.)?	x	x	x	
Results				
▪ Have all those involved committed to presenting the result as a joint achievement?			x	
▪ Are structures created to control and track the implementation of the results? can?			x	

*) In the individual columns it is marked which quality criteria are particularly important for
I informative public participation
K Consultative public participation via comments
M Public participation via co-determination (cf. Stages of public participation, p. 9).
(x) = applies to longer-term, process-based participation procedures, but not for one-off events

Basis: Worksheets on Participation, No. 1, of the ÖGUT Strategy Group on Participation ➔www.partizipation.at

Practice

✓ Public relations
in participation processes

Informing the general public about a planned participation process is of particular importance, as this is how those affected and interested learn about the project and the opportunities for participation. Through public relations work, interested citizens can follow the process even if they do not participate themselves.

Information and press work	YES	NO
✓ Are sufficient financial resources available for public relations work?	■	■
✓ Has the personnel responsibility for information and press work been clarified?	■	■
✓ Is it clear which goal is to be achieved with public relations (initial information about the project, activation of participants, ongoing reporting, etc.) and with which How can it best be reached with the information on offer?	■	■
✓ Has it been clarified which target groups (young people, migrants, etc.) are to be addressed and with which message this is most likely to succeed?	■	■
✓ Is there an active information offer for the population (official notices, newsletters, direct mail, contributions on TV or radio, advertisements in newspapers, etc.)?	■	■
✓ Is there a passive information offer (public plan inspection, exhibition, information event, homepage, hotline, citizens' telephone, consultation hours, etc.)?	■	■
✓ Is there a possibility for citizens to express their opinion on the project (letterbox, e-mail address, hotline, discussion event, etc.)? Is it clear what is meant by these opinion What happened to your comments or questions?	■	■
✓ Are all suitable media (daily newspapers, district newspapers, trade media, association media, etc.) used? Internet, radio, TV etc.) used to inform the public?	■	■
✓ Is the information of the press and the public coordinated in terms of content and timing with the stakeholders? voted?	■	■
✓ Have all parties involved jointly laid down rules for dealing with the press and the public (answering enquiries, sending press releases, organising press conferences, etc.)?	■	■
✓ Is it clear which information about the participation process is subject to the principle of confidentiality? and which can be disclosed to the press and the public?	■	■
✓ Have all parties involved committed themselves not to disclose confidential contents to the outside and to refrain from one-sided press and public information?	■	■
✓ Are journalists invited to certain events where public attention is desired?	■	■

Practice