Adopting effective stakeholder engagement processes to deliver regional Marine Protected Area (MPA) network

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Introduction

Natural England commission a range of reports from external contractors to provide evidence and advice to assist us in delivering our duties. The views in this report are those of the authors and do not necessarily represent those of Natural England.

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Finding Sanctuary Liaison Officer working with fisherman to map his activities

Background

This report was commissioned by Natural England and the Joint Nature Conservation Committee (JNCC) to provide an evidence base and advice on effective stakeholder engagement for the new Marine Conservation Zone projects.

The findings will be used by Natural England, JNCC and Defra to help define the process by which stakeholders will identify Marine Conservation Zones.

Project Details

Acknowledgments

Summary

Natural England and the Joint Nature Conservation Committee (JNCC) commissioned this research to provide an evidence base and advice on effective stakeholder engagement for the new Marine Conservation Zone projects. The requirements of this contract were for a range of tasks to be undertaken in a highly focused and time efficient way. The research included:
- Gathering evidence of good practice in stakeholder engagement from 27 case examples, 10 existing codes and protocols, and a survey of 130 delegates at a key conference
- Reviewing Finding Sanctuary's stakeholder engagement and identifying lessons of relevance to the new projects
- Comparing and contrasting different approaches to participation
- Providing a suggested process and recommendations on effective stakeholder engagement for the three new regional MCZ projects
- Exploring the opportunities and challenges of aligning stakeholder engagement in MCZ, Natura 2000 and MSP and how this could be done

Based on the above our recommendations for the new projects include:
- **Thorough preparation**
This includes: developing guiding principles and ethics for their

stakeholder participation and communication work, understanding good practice, recognising the importance of a professionaly designed and coherent process with all parts working together (rather than disconnected workshops or other activities), preparing and training staff, and working on building organisational support and understanding in sponsoring bodies.

- **Stakeholders**

This includes: respect for stakeholders underpinning all activities, systematic stakeholder analysis and balancing, and ensuring that stakeholders have real influence and can make a genuine difference.

- **Professional participation designers/facilitators**

This includes: contracting a professional designer/facilitator, who is experienced in stakeholder dialogue/consensus building, to design and tailor the regional process (within the agreed framework) and see it through from start to finish.

- **Well designed process**

This includes: undertaking process 'project planning' with the professional third party to ensure that all parts of the process work together within a clear structure, and there is clear and planned sequencing, stages, and levels of involvement. The process should be based on principled negotiation and consensus building and centre around deliberative and inclusive workshops. We recommend certain approaches are of particular relevance to the MCZ process including: consensus building, Systems Thinking, effective use of Participatory GIS , and the positive framing of questions.

- **Technically sound decisions**

This includes: ensuring that ecological (and other) experts take part in the deliberations on the same basis as other stakeholders, to negotiate the MCZ network to recommend, and to ensure it is technically sound and meets the relevant criteria.

- **Clarity about what is up for negotiation and the confidence stakeholders can have in the outcome**

This includes: ensuring that people in the national and sub regional processes understand that their deliberations will be passed to the regional process where the decisions on the MPA network to recommend, will be made. All stakeholders should be provided with clear information on what will happen to the regional recommendations after they have gone to government, the extent to which their recommendations could be changed, and the basis for change.

The process we have suggested to achieve this is centred on a deliberative participation process at the regional sea level. This will include a large group of stakeholders who are facilitated to deliberate over, and agree, the MCZ network to recommend to government. Because the regional sea areas are not yet meaningful to stakeholders, and not the scale at which data and knowledge is held, we also propose that the regional deliberations are informed and influenced by participation at other spatial levels. This includes liaison with local fishers and other uses, participation processes at sub regional sea level (for example by county coast or coastal forum area) and a national/international participation process.

The opportunity to align the regional MCZ process with Natura 2000 and forthcoming Marine Spatial Planning has also been considered in this research. The timeframes and procedures for these other processes are not yet firmed up and this makes it difficult to make specific recommendations. Instead, we recommend that the participation process remains adaptive to what else is happening and that opportunities to align with other processes are taken where they will not compromise the quality of the MCZ processes.

Contents

1 Introduction and purpose

Purpose and scope of this research

1.1 Natural England and the Joint Nature Conservation Committee (JNCC) commissioned this research to provide an evidence base and advice on effective stakeholder engagement and decision processes, in order to help people work together to identify a network of Marine Conservation Zones (MCZ) in English inshore waters and UK offshore waters adjacent to England and Wales.

1.2 The requirements of this contract were for a range of tasks to be undertaken in a highly focused and time efficient way. The research comprised the following:

- Gathering evidence of good practice in stakeholder engagement. Evidence was gathered via:
  - A rapid global survey of case examples
  - A rapid review of codes and protocols from practitioner and related literature
  - A survey of views from delegates attending a conference on 'Good Practice in Stakeholder Engagement in Marine Protected Areas'
- Comparing and contrasting different approaches to participation
- Reviewing and learning from Finding Sanctuary's stakeholder engagement by reviewing core project documents, conducting a project workshop and through interviews with key people
- Providing a suggested process and recommendations on effective stakeholder engagement for the three new regional MCZ projects
- Exploring the opportunities and challenges of aligning stakeholder engagement in MCZ, Natura 2000 and MSP and how this could be done

1.3 The structure of this report follows the same order.

1.4 The nature of this research has been qualitative not quantitative and so points are backed where relevant with quotes from case examples or the views of stakeholders.

1.5 A literature review was not included, but we have referenced some of the relevant academic and practitioner literature.

1.6 We have aimed for an accessible (non academic) writing style and format for a wider audience.

Background

1.7 Marine management in the UK is undergoing the most fundamental change in its history. There is increasing awareness about the need to conserve and manage the marine environment, and this is reflected in new commitments for the UK under the OSPAR Convention, and in EU and national policy. In the UK the statutory powers to enact these commitments are being included in the far-reaching draft Marine and Coastal Access Bill that, at the time of writing, is progressing through Parliament and expected to be made law in the summer of 2009.

1.8 The key policy drivers for Marine Protected Areas in the UK are:

International	
OSPAR Convention	This is a Regional Seas Convention and the mechanism for 15 Countries to cooperate to protect marine environments in the NE Atlantic region. As signatory to the Convention, the UK has a commitment to develop an ecologically coherent network of well-managed Marine Protected Areas by 2010.
EU	European Marine Strategy Framework Directive – a framework for the sustainable use of marine resources.
Habitats and Birds Directives	Under the Habitats and Birds Directives there is a requirement to establish and maintain a network of Natura 2000 protected areas.
National	
Government Policy	"Safeguarding Our Seas" which sets out the shared vision for a "*clean, healthy, safe, productive, and biologically diverse oceans and seas*"
Marine and Coastal Access Bill	A framework for management of the sea. Including - A new strategic system of marine spatial planning (MSP) - Licensing of marine activities - Marine nature conservation through the identification of Marine Conservation Zones (MCZ). - Management of marine fisheries

1.9 Under the Draft Marine and Coastal Access Bill, the government has committed to take forward Marine Conservation Zones (MCZs) as part of the overall marine protected area network, to conserve and promote the recovery of a wide range of habitats and species in the marine environment and with it important 'goods and services' which are relied upon by humans.

1.10 The purpose of MCZs is to conserve or aid the recovery of:

- "rare or threatened habitats (eg seagrass beds and deep soft sediment habitats);
- rare or threatened species (eg the sunset cup coral, the long-snouted seahorse and the native oyster);
- globally or regionally significant areas for geographically restricted habitats or species (eg estuary habitats and the spiny lobster);
- important aggregations or communities of marine species where a large number of species occur in one area, particularly hotspots;
- areas representing a range of biodiversity in UK waters, including important habitats such as areas of muddy seabed which contain Norway lobster, Northern sea fan and Angular crab;
- areas important for key life cycle stages of mobile species, including habitats known to be important for reproduction and nursery stages;
- areas contributing to the maintenance of marine biodiversity and ecosystem structure and functioning in UK waters; and
- features of particular geological and geomorphological interest."

1.11 Similar to Finding Sanctuary in the South West, three new regional projects are in the process of being set up around England to coordinate this work. These projects will

involve people from the outset so that different interest groups can share information and knowledge and influence what happens.

1.12   The Regional Projects being established by Natural England and JNCC for England Territorial and UK Offshore waters are outlined in the map below:

- South West Regional MPA Project (Finding Sanctuary)
- Irish Sea MCZ Project
- English Channel MCZ Project
- North Sea MCZ Project.

Regional and Territorial Water Boundaries.

National boundaries © British Crown and SeaZone Solutions Limited, 2008. All Rights Reserved. Data Licence No. PGA062008.004. NOT TO BE USED FOR NAVIGATION. This map is illustrative and the national boundaries are not official. OS Boundary Line © Crown copyright. All rights reserved Natural England 100046223 2008. The Regional MPA project boundaries are not finalised and may be subject to change.

1.13   There are also other marine decision processes going on now - or soon to start: the selection and designation of new Natura 2000 sites inshore and offshore, and marine spatial planning (MSP). Stakeholder engagement in the regional MCZ projects must take all this into account.

1.14   This presents many challenges including the need to:

- Ensure that the different mechanisms complement each other and lead towards a single marine spatial plan for the area.

- Engage a wide range of stakeholders in different ways, including formal and informal processes that occur over the same timeframes, and minimise confusion between the two.
- Minimise duplication of effort in data gathering and dialogue between stakeholders.
- Minimise stakeholder fatigue.
- Work at different spatial scales (local, regional, national and international).
- Involve all forms of knowledge not just scientific and technical.

Summary of mechanisms for marine spatial management

1.15   The following table aims to explain the existing and proposed mechanisms for marine spatial management and the different terms being used. Please note: It is provided here to aid understanding of this report. (This table should **not** be taken to be providing legally or technically accurate definitions)

	What	Basis	Where	Timeframes	Human use
Marine Protected areas					
Marine Conservation Zones (MCZ)	**Marine Conservation Zones.**	To protect and recover marine ecosystems including rare, threatened and representative habitats and species of national importance. "Ecologically coherent" network but actual location to be the result of maximising ecological benefit and minimising socio-economic costs.	In English inshore waters and UK offshore waters. Not predetermined but resulting from a process of information gathering and negotiation using guidance and a list of features. UK Government is committed to some being highly protected	MCZ networks to be identified and recommended by mid 2011.	Management and use will vary depending on the sensitivity of the habitats to different types of use. Some sites may be highly protected and be too sensitive for any damaging or disturbing human uses to take place – others may be compatible with a wide variety of uses.
	Highly Protected Marine Reserves (HPMR) (a category of MCZs).	To protect and recover marine ecosystems and act as reference areas.	Not predetermined but resulting from a process of information gathering and negotiation. May be located within existing Natura 2000 sites.	HPMRs to be identified and recommended by mid 2011 as part of the suite of MCZs.	No use which damages or disturbs the site.
	Marine Nature Reserves (MNR) (These will become Marine Conservation Zones under the UK Marine Bill)	To conserve marine habitats and species and geological features of special interest. Particularly, the protection of nationally important marine (including subtidal) areas.	Lundy in England (the only others are: Skomer in Wales, Strangford Loch in Northern Ireland)	No more MNR are currently planned and existing sites will transfer to MCZ.	MNR management plans, zone use and protect sites from damaging activities.
Natura 2000 (N2K)	**Natura 2000 European marine sites** includes: **Special Areas of Conservation** (SAC) under the	To conserve habitats and species listed as of European importance.	In UK inshore and offshore waters. Planned extensions of current coastal SPA and SAC out to sea.	New sets of sites are due to go out to formal consultation between October 2008 and October 2011.	Human uses that do not have a 'significant effect' on the listed habitats and species will be able to continue.

	What	Basis	Where	Timeframes	Human use
	European Habitats Directive **Special Protection Areas** (SPA) under the European Birds Directive		Identification of new areas that support habitats and species listed under the Annexes to the Directives and following the site selection criteria		
Sites of Special Scientific Interest (SSSI)	**SSSI** are designated under national legislation	Primarily a terrestrial mechanism to protect the best examples of the UK's habitats, species, geological or physiographical features.	UK inshore waters to low water mark only (ie predominantly intertidal, but some sites extend sub tidally).	No more subtidal SSSI are currently planned.	Human uses that do not have a significant effect on the listed habitats and species are able to continue.

Closed areas for fisheries stock conservation and management

	What	Basis	Where	Timeframes	Human use
Closed areas	Limited Entry and Closed Areas eg: Seasonal closed areas, Nursery Areas, closed to certain gear	To protect fish stocks	Existing areas	Already exist	These are areas where there are restrictions on fishing activity - either the type of fishing, the fish species or the time of year.
Experimental MPAs for fisheries stock management	Experimental closed areas to benefit commercial fish species and aid fisheries stock management	Fisheries Management	To be decided. Strategy is currently being developed although proposals for some initial areas are being taken forward	Currently being identified	To be decided on a case by case basis

Marine Spatial Planning

	What	Basis	Where	Timeframes	Human use
MSP	A system of marine planning similar to land based spatial planning	The result of mapping existing use, followed by negotiation between a wide range of marine sectors who have interests in the marine environment over allocation of space.	In English and Welsh inshore waters and UK offshore waters.	Likely to be after much of the work on MPAs has been completed	This is a way to plan how the sea is used.

2 Good practice in stakeholder engagement and participation

Aim

2.1 To identify good practice in stakeholder engagement in conservation planning throughout the world including both protected area designation and marine spatial planning.

Research method

2.2 Evidence was gathered via:

- A rapid global survey of case examples
- A rapid review of codes and protocols from practitioner literature
- A survey of views from delegates attending a conference on 'Good Practice in Stakeholder Engagement in Marine Protected Areas' in October 2008.

Good practice case examples

2.3 Stakeholder participation, as an approach to conservation planning, protected area designation, and marine spatial planning, is a developing field. There are increasing numbers of case examples but not all demonstrate best practice and innovation, nor are they all successful in their objectives.

2.4 The task was to undertake a survey of case examples of successful stakeholder engagement and participation in conservation planning to identify good practice.

2.5 The resources available for this element of work made it essential to use a rapid, efficient and low cost way of collecting data. It was not possible to look at any case in detail or review literature or websites. We therefore designed a structured survey form so that projects could tell us about their own 'success story', and identify for themselves why they thought what had been done was good practice. The success story sheet was designed to be:

- Quick to fill in
- Simple to use so that it could be filled in easily (including by people for whom English is not their first language)
- Succinct and focused to enable the key information to be read at speed.
- Easy to process and extract common principles and practice.

2.6 The case sheets were sent out via email to our network of contacts with the request for it to be forwarded to others. The list included:

- The IUCN Commission on Education and Communication.
- CEPA (Communication Education Participation Awareness) contacts in MEA: the OSPAR Convention Secretariat, the Jeddah Convention Secretariat, the Aarhus Convention Secretariat, the Ramsar Convention Secretariat.
- Via our network of people we have trained from over 30 different countries – the majority of whom are involved in natural resource management.
- Well-known cases.

2.7   When the case examples were returned, sentences on the stakeholder engagement process and method were extracted, coded, and sorted, using 'emergent analysis' which involves grouping comments by themes that emerge rather than by a predetermined set of titles or expectations.

2.8   We had 27 success story sheets returned, some describing a process or approach applied to many different locations. (For example in the South African National Park Authority returned one success story sheet describing the stakeholder approach they had taken to 21 parks).

	Country	Marine	Land/river	Total
Europe	UK, Switzerland	5	6	11
Africa	South Africa, Tanzania	1	2	3
Asia and SE Asia	India, Philippines, Indonesia	2	3	5
North America	Canada,	1		1
Caribbean	Trinidad and Tobago, Montserrat		2	2
South America	Mexico,	1		1
Australia and NZ	Australia, New Zealand,	2		2
South Pacific	Vanuatu	1		1
Various	(Mexico, Africa, Australia)	1		1
				27

Participation research, codes and guidance

2.9   Stakeholder participation is an area of research and expertise in its own right. It is also a profession with a growing number of practitioners skilled in process design and facilitation.

2.10   There are also an increasing number of codes of practice and lists of principles and guidance on participation, with a growing consensus amongst both practitioners and researchers about factors that are essential for best practice. Our aim for this task was to review a range of these sources. They were identified using snowball sampling ie we started with those we knew of and then followed up leads and references.

2.11   The results of this have been summarised on a matrix in the annex and include:

International Agreements:
- Aarhus Convention and the Participation Directive 2003/35/EC
- The UN Brisbane Declaration 2005

CSR practice:
- AA1000SES Stakeholder Engagement Standard

UK Government Guidance:
- Code of Practice on Consultation, revised and re-released 2008 (Consultation with voluntary sector also governed by 'Code of Good Practice on Consultation & Policy Appraisal' (Compact Code)

Academia:
- Macaulay Institute
- Reed 2008

Practitioner Codes:
- International Association for Public Participation (IAP2): Core Values

	• Involve: Deliberative Public Engagement – Nine Principles (July 2008)
	• Environment Council
International Conservation:	• IUCN Achieving Environmental Objectives (2004)

2.12 It is worth noting that there are increasing international, European and national drivers for stakeholder participation. Although systematically identifying and reviewing these is outside the scope of this report, the list includes the following:

- The articles, decisions, resolutions and work programmes of multi-lateral environmental agreements (eg the Ramsar Convention, Convention on Biodiversity, Aarhus Convention, Framework Convention on Climate Change, OSPAR Convention).
- European Directives (eg the Participation Directive, Water Framework Directive, European Marine Strategy Framework Directive).
- Government policy and guidance (in 2008 alone this includes: Excellence and Fairness; achieving world class public services, Cabinet Office; A national Framework for greater citizen engagement, Ministry of Justice; Communities in Control, White Paper, CLG; New Code of Practice in Government Consultation, BERR).

Hearing from the people who have an interest in good practice and who work in the marine sector

2.13 In tandem with this contract, Natural England and JNCC sponsored a conference to be hosted by Finding Sanctuary titled "Stakeholder Participation and Good Decision Making - Marine Protected Areas and Beyond - Helping you make better decisions that affect the marine environment" (here after referred to as the Good Practice Workshop).

2.14 In order to capture the experience and views of those with an interest in both MPA and stakeholder participation, an hour within the conference was allocated for an interactive session.

2.15 We designed a set of questions and techniques to help focus people's attention. During the conference, we facilitated this session to enable everyone to respond. The questions included:

- In the light of today, what stands out for you as key to good practice stakeholder participation and good decision-making?
- What kind of ethics/principles/values should guide good practice stakeholder participation?
- What characterises "good decision making"?
- Learning from mistakes – what are the pitfalls to avoid when doing stakeholder participation/decision making processes?
- What are the characteristics of working in a coastal and marine context that need to be taken into account in the MPA projects?

2.16 Over 130 people attended the workshop and gave their comments in response to the questions.

2.17 Following the workshop the outputs were typed up and then coded and sorted to provide a word for word report of what participants wrote.

Explanation

2.18   In the following section, we have aimed to build up a comprehensive picture of good practice based on the case studies, codes and guidance, the outputs from the Good Practice Workshop, and our own principles of good practice.

2.19   By using all these sources, we have been able to build a clearer and more comprehensive picture than if we had looked only at existing codes and guidance. This is because the latter are succinct and focused in order to provide guidance for practitioners who already have a good knowledge and experience of participation.

2.20   However in seeking to be comprehensive, it is inevitable that there is some overlap within the text, and that the results present an 'ideal'.

2.21   Please note in the following text:

- *"The quotes written like this are drawn from the case examples" (1) (*The number references a case example. The list is in Annex 3)
- *"Those with an asterisk are quotes from delegates at the good practice workshop"* *

2.22   We have inserted and referenced quotes from the codes, principles and guidance where they add an aspect not covered by the case examples or delegate comments. For the full summary of the codes, please see Annex 3

Preparing for participation, process design and facilitation

Preparing for participation

Ensure there are sufficient resources to do a good job	Participation is resource intense upfront so realistic funding and staff time need to be allocated for the purpose. - *"The larger the budget the greater the opportunity for creativity and broad-based project success" (15)* - *"A resource intensive process – but fully justified by the outcomes achieved and reduces necessity to apply resources to enforcement" (25)* - *"Acknowledge that good participation is time consuming and expensive but efficient in the longer term and leads to better decision making"* *
Plan for adequate timeframes and a flexible process	Well-designed participation processes take participants through a planned and designed sequence of activities that help people to build a shared understanding of the issue, explore potential solutions, and select the best for implementation. This process takes time and, whilst the process needs to progress through clear stages, the time taken for each stage will need to be appropriate to the situation and may need to adapt to changing circumstances. - *"It took considerably more time than expected. On reflection, this is not surprising if you want people to be meaningfully engaged in the process". (7)* - *"Give the process enough time to be effective. Don't underestimate the time needed to build relationships"* *
Develop Guiding Principles and Ethics to guide the work	The projects initiating the stakeholder participation need to have a clear ethic and ethos about participation. Some of the case examples recommended that before participation starts, a set of guiding principles should be developed:

– The participatory process should be based on *"relevance, integrity, mutual respect, transparency, and inclusiveness in order to seek the best possible solution"* (1)
– *"Stakeholder participation needs to be underpinned by a philosophy that emphasises empowerment, equity, trust and learning"* (4)
– *"Ensure that the process provides the opportunity for input from all stakeholders within reasonable timeframes, emphasising the sharing of information, joint learning and capacity building.* (1)
– *"Participation is seen as a right – not just a means of achieving project goals"* (6)

Help staff develop skills and understanding

Project staff need to understand participation. Most of the case examples emphasised the need for training so that staff understand the ethics, principles and practice of participation so that they can work with a third party and/or design and facilitate participation processes where appropriate. Staff also need excellent interpersonal skills.

– *"Energetic, enthusiastic and committed project managers to drive the process"* (7)
– *"This was chosen as (the pilot) project area because of the previous work by staff, and their willingness to try new ways of working".* (22)
– *"V. positive and skilled project managers with vision and excellent communication skills to go out and "sell" the project to others".* (16)

Have positive attitudes to participation and stakeholders

Project staff need a positive and respectful attitude towards other stakeholders. This includes a willingness to reflect on their own attitudes and where necessary change them.

– *"Before contributing, consider your personal motivation and try to remove attitudes that preclude/diminish the opportunity of others to take part"**
– *"Keep an open mind. There is always something missed. Don't preach and lecture to stakeholders. Ask them for their help to fill the gaps. In other words, engage them".* *
– *"Willingness to accept other viewpoints"* *
– *"Be open minded please – it's all relative!"* *
– *"Openness to other people's perspectives – willingness to learn"* *
– *"Respect for other stakeholders and a willingness to be open and to listen to all voices"* *
– *"Willingness to challenge personal/institutional preconceptions"* *

Help sponsoring organisations to understand their support is needed

Engaging in stakeholder processes is demanding, challenging and exciting work. The process is dynamic and requires flexible work planning. It can throw up unexpected demands on the workload and skills of project staff. To cope well, project teams need to know they are well supported by their organisation/s, and that there is a clear grasp of the nature of participation.

– *"Great teamwork from different departments"* (1)
– *"We had the support of government and community leaders"* (2)
– *"I felt trapped between the needs of a dynamic responsive and iterative stakeholder process and the culture of my organisation which was to plan time and tasks to the nth degree and to try to control what was happening even though we were just one of the authorities involved in the project".* (anon)

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Work towards a shift in organisational culture so participation becomes business as usual	Over time participation is seen as the "business as usual" mode of operation: – *"Stakeholder participation must be institutionalised, creating organisational cultures that can facilitate processes where goals are negotiated and outcomes are necessarily uncertain"(4)* – *"The organisation and in particular the Biodiversity Unit that coordinated this process has a strong worldview and culture supporting participatory approaches. This is expressed in formal policy and laws. Individuals within the unit strongly support this worldview and culture and are knowledgeable about participatory natural resources management and skilled facilitators of participatory processes. The Head of the organisation also has a strong personal belief in participatory processes".(6)* – *"Our existing legislation, policy and administrative arrangements do not adequately support participatory or integrated protected area management. Recommendations to address this came out of the process". (6)* Several of the standards for participation noted the importance of stakeholder engagement as a key part of accountability: – *"Accountability -including access to judicial procedures for challenging substantive or procedural legality of decisions, acts or omissions".* (Aarhus Convention) – *"Community engagement key to transparent and accountable governance". (UN Brisbane Declaration)* – *"Accountability is core to stakeholder engagement" (AA1000SES Stakeholder Engagement Standard)*
Develop a Communication Strategy that complements the participation ethos	Awareness raising and communication must complement the ethos of a participatory process. The focus of awareness raising and communication must be on the challenge, the opportunities and the process and not on arguing for a particular outcome. Care needs to be taken to avoid any suspicion that decisions have already been made or that the project is biased. – *"Awareness raising events with local communities and other stakeholders – presentations, seed-gathering festival, website, consultations" (16)* – *"Undertake effective communication campaigns to help educate the public (eg. our "Under Pressure" campaign)" (13)*

Participation strategy, process design

Develop a participation plan and design the process	The first stage in running an effective participation process is to undertake project planning so there are clear timelines and actions and the relationships between key actions are carefully planned. – *"Develop a participation strategy, with the input of key stakeholders, to guide the process" (7)* – *"We emphasise the need to replace a 'tool kit' approach to participation…. with an approach that emphasises participation as a process" (4)* The core participation process should be deliberately designed to be coherent and structured, with clear sequenced steps and stages that build

on what has gone before and have a clear direction. The core of the process will be face-to-face deliberative workshops but the design will plan in other activities such as:

- Collation of information and key documents
- Opportunities for people to feed back on progress to those they represent. This may be supported, by leaflets, presentations, draft maps or draft documents
- Checking of the acceptability of solutions (eg are they legally acceptable, technically feasible, affordable, sustainable, and maximise benefit)
- Ways to capture the views of those who are unable to take part in the deliberative forum, eg online or paper questionnaires, informal interviews, or drop in meetings for people to make comments.

- *"A clear process and to develop this we need to know what the stages are that are required by government in this process, what is needed for those stages and why those stages are required so that we can develop the entire process accordingly."* *
- *"The need to develop a structure to take work forward. Should also include guidance from government. Clarity in process, time process accordingly"* *

Ensure the process is designed by someone who is trained and skilled	The designer knows what they are doing - they are trained and skilled in process design and understand and apply principles of good practice. They should have a range of methods, techniques and skills that they can bring to the participation. They should also be someone who does not have stakeholder interests but who can maintain neutrality about the outcome.
Tailor the process to the circumstances and the needs of stakeholders	The process should be tailored to the situation (including: the focus of the discussion, spatial and temporal scales, cultural consideration, whether decision making is at a local, regional, national or international level, levels of tension, levels of complexity, past history and available resources.) The process design is adapted to the needs of participants. This includes that people are clear why they have been invited and, within the parameters of the discussion, can talk about the issues they need to talk about. Where possible participants influence how they participate and the priorities for discussion. - We were *"able to accept the holistic approach of stakeholders to ocean resource utilization including sustainable use". (18)*
Ensure the process is flexible and adaptive	Whilst the process needs to have clear structure and stages, it also needs to be adaptive and flexible to respond to circumstances. This could be because of new issues, new information, or an unforeseen consequence comes to light that changes everyone's understanding.
Ensure the process is genuine and of good intent	The process is a genuine opportunity for stakeholders to influence the outcome ie the lead organisation does not have a hidden agenda and hasn't already prejudged or made up its mind about what should happen.
Review and	The process is reviewed and evaluated as it evolves, including by

| evaluate the process | stakeholders, in order to improve practice and ensure it is working for participants and the organisations that are initiating and funding the process. |

Design and facilitation of workshops

| **Select appropriate methods and techniques** | Face-to-face events and deliberative workshops are designed and planned in detail with the careful crafting of questions and selection of techniques that help people communicate effectively (not for their own sake). |

| **Use skilled facilitation** | Facilitators are people with the relevant training and skills and accepted as able to be impartial by the stakeholders. Where situations are tense, complex and controversial and involve a high number of stakeholders, a professional is required. Project staff can design and facilitate processes themselves when they have the relevant training, attitudes and skills to facilitate well, the situation is not particularly controversial or complex, and stakeholders can accept them as impartial. |

- *"The process needs to have clear objectives from the outset, and should not overlook the need for highly skilled facilitation" (4)*
- *"Our organisation did not have sufficient internal capacity to undertake the facilitation of public meetings. This was outsourced and proved to be an advantage as the facilitators were totally independent and this was to the advantage of the process especially where relationships between the Park and the local community was strained". (1)*
- *"An organisation was contracted because of its expertise in facilitation of participatory processes and its perceived capacity (eg relevant world view, culture, skills and knowledge). As a neutral facilitator this person could more easily facilitate the negotiation of controversial issues and the building of consensus". (6)*
- *"Community members were trained up to take the role of facilitators" (2)*
- *"Build capacity to facilitate or get in a professional"**

Characteristics of the dialogue

| **Have a clear overall purpose** | The stakeholder participation needs to have clear purpose and objectives from the outset (but a vision statement or goals are developed collaboratively). |

- *"Clear direction"* *
- *"Clear objectives from the start"* *
- *"Clear objectives and timescale"* *

| **Develop a shared vision of the future collaboratively** | Developing a shared broad and long-term vision of the future helps to give a clear sense of direction and motivation to work towards achieving it. |

- *"The broad Strategic Visioning Workshop at the start facilitated buy-in and strong support that were an important foundation for the rest of the process" (6)*
- *"All stakeholders participated in an exercise envisioning the future" (15)*

| **Develop a shared understanding of the challenge** | Project initiators and sponsoring bodies are sometimes referred to as 'problem holders'. They understand enough about the situation to recognise that something needs to be done. They have probably been studying it, talking about it, and concerned about it, for a significant amount of time and are more than ready to get on with finding a solution. Other stakeholders may not even realise there is a problem that needs solving, or not yet be |

ready to acknowledge it, particularly if in doing so, it would have implications for their own interests.

Providing time for this phase of a process is crucial if people are ready to move forward together.

- *"You initially need to be clear as to 'what is the problem'; the wider community then needs to understand there is a problem before accepting a solution is required" (3)*
- *"Everyone understands the problem" **

Ensure the situation is thoroughly scoped	The opportunities, issues, information needs and hopes are scoped and developed together
Build on common ground	The process builds incremental agreement and starts by seeking to identify and build up from common ground (but does not deny past history or disguise genuine disagreement).
Establish a common information base	A crucial part of the process is to establish a good information base by encouraging sharing of information and if necessary building agreement about a common source.
Put deliberation at the core of the process	*"There is sufficient and credible information for dialogue, choice and decisions, and space to weigh options, develop common understandings and to appreciate respective roles and responsibilities" (UN Brisbane Declaration 2005)*
Take what is said on the merit of the point not who said it	Part of good practice is to level the playing field and use techniques that separate issues or ideas from the people raising them. The wider group can then consider what has been said on its merit, rather than being unduly influenced by the status, knowledge base, or interests, of the person who made the point. This is part of running a fair and equitable process but it also avoids ruling out anything unusual or different. Dialogue process and techniques ensure no party dominates the decisions - not even when working in small groups in workshops.
Actively seek synergies	Bringing diverse interests together results in efficiencies of effort. - *"Pooling expertise and resources from each organisation to achieve far more than would be possible if they were working alone". (16)*
Encourage creativity	The process should deliberately include creative thinking and problem solving sessions which use lateral thinking techniques to promote innovative ideas. - *"When obstacles hamper the progress, it should be seen as challenge and participants are encouraged to find creative and innovative solutions" (5)*
Make decisions via a consensus processes	The process is built on a model of principled negotiation where people are helped to move from positional argument and behaviour, towards working cooperatively to seek mutually acceptable ways forward. The process develops in stages so that ownership and commitment to outcomes is built over time.

NB "Consensus" does not mean people agree on everything all the time but that the group arrive at a decision that many actively support and the remainder can at least live with, and can accept the reasoning for the decision given all considerations.

(For more please see the section entitled 'Consensus building' in the next section and 'Consensus' in the final chapter)

- *"Every effort was made to engage stakeholders to develop a consensus on the vision, objectives and institutional arrangements for the plan" (15)*
- *"We focused on the development of consensus on management goals and objectives". (7)*
- *"Because emphasis was placed all stakeholders being treated equally, the stakeholders collectively shared a great deal of influence. The decisions of how to proceed were collectively agreed on equally by stakeholders and decision-makers".(15)*

Ensure people are giving informed consent	Those who agree to something understand its implications and consequences for them and their interest. People are not rushed into decisions but have sufficient time within the process to give a considered response.

Encourage a positive stance and solutions focus

The process and facilitation works best when it encourages a positive asset based approach. (see section entitled 'Shifting from deficit/problem based focus to an asset based/positive focus')

- *"The activities are built by stakeholders based on their vision/dream The vision/dream was translated into practical activities by stakeholders that are doable by themselves, with minimum external intervention"(5)*
- *"Positive Reinforcement for example through the use of positive language and choosing Affirmative Topic in day-to-day interaction with stakeholders" (5)*
- *"Our ground rules included; 'no whining, no complaining, no blaming" (5)*
- *"It's fun and enjoyable! When obstacles hamper the progress, it should be seen as challenge and participants are encouraged to find creative and innovative strategies" (5)*
- *"We found that through the use of Appreciative Inquiry, people continue the activities even without our intervention (beyond project period). They are willing to actively participate as they feel as being well appreciated and trusted individual" (5)*

Workshops are informal and encourage a positive working atmosphere

Strong social capital is built when skilled facilitators help people to relax and to find working together safe and rewarding - even when discussing challenging subjects. Providing space and opportunities for socialising is beneficial. Greater creativity, and ability to problem-solve, comes when people are relaxed and enjoying themselves.

- *"Learning/meeting/workshops - It's fun and enjoyable!" (5)*

Involving stakeholders

Who to include

Undertake   Relevant stakeholders need to be analysed and represented systematically.

systematic stakeholder analysis	Stakeholders are those who have a 'stake' in the decision ie those who are potentially affected by or interested in a decision.
	The process seeks to bring all key stakeholders into the discussion, either directly or via a representative (this will depend on the scale of the issue). Where particular interests do not have organisations to represent their views, individuals are found so that they can speak with knowledge and provide insight into those interests' needs.
	Where people are likely to have an interest or be affected, but are unaware of this, their involvement is actively sought.
	– *"A stakeholder analysis was conducted to identify roles, responsibilities, interests and capacity to participate in management of the resource" (6)*
Be inclusive	The process actively seeks to include a wide range of stakeholders who represent multiple views and perspectives.
	This includes: opponents/blockers who will otherwise be outside the process giving it bad press, and key 'movers and shakers' who can help marshal resources for implementation.
	For local situations, processes actively encourage the involvement of hard to reach groups eg young people, disabled, ethnic minorities, elderly.

	– *"Give particular attention to ensuring participation by marginalized communities, communities with specific concerns, or communities that have historic or contractual rights". (1)*
	– *"There should be the promotion of social inclusion and equal opportunities" (7)*
	– We included both *"marginalized voices and those who are well connected and respected in the upland community through whom ideas can diffuse to their wider social network" (4)*
	– "*Ensure that a diverse range of stakeholders are involved, especially those that may be:*
	    – *Marginal and easy to miss out*
	    – *'difficult'/contentious and therefore TEMPTING to miss out" **
	– *"Don't omit 'difficult' stakeholders because it seems easier" **
	– Don't forget *"woman who will be impacted – but may be marginalized" **

Balance Power	Some stakeholders do have more power than others. But with careful process and workshop design, it is possible to reduce power differences so that information, challenges and solutions are considered on merit not on the status of the person who said it.
	Who is invited to participate will influence the outcomes. Power balancing is crucial and includes assessing if there are too many or too few from a sector, organisation or interest.
	– *"Consider power balance between stakeholders – some groups are weaker or not aware of their stake – this requires good facilitation"** – *"Some people don't feel comfortable in the process due to perceived differences in intellect etc, or lack of confidence" **
Involve people who can make a	Involve people who can make a difference and make real changes. Stakeholders from public bodies, and other organisations, should be

difference	mandated to represent the views of their organisation/interest. It should not be possible for more senior members/other departments to veto outcomes at the end of the process.

Levels of involvement

Have clarity about the appropriate level of involvement:	Different stakeholders can be involved in different ways throughout the process. A model used by practitioners is:

Information giving:	To raise awareness
Information gathering:	To develop own understanding
Consultation:	To be open to influence
Shared decision making:	To share decisions

Levels of participation are explored more in the section entitled 'Typologies of stakeholder participation'

Communicate the level of involvement to stakeholders	It is important to define and communicate the levels of decision-making and stakeholder involvement so that the extent to which stakeholders can influence what happens is as clear as possible: ie it is clear whether they are being asked:

- For information that others will use to make decisions,
- For advice that will influence decision makers
- To share in the decision-making.

- *"Be clear of your powers of affecting decisions, and those of other participants"* *
- *"Be clear on boundaries – what influence do stakeholders have"* *
- *"Clarity/honesty about the role that stakeholders input will play (e.g. consultation vs. collaboration vs. co-management)"* *

Maximise what is negotiable, but manage expectations	There are always real constraints eg statutory, environmental, practical, or economic, but the process explores these to ensure nothing is fixed which does not have to be. Expectations over what is achievable and when it will happen are managed. Stakeholder participation can generate high hopes and it is unrealistic to think that everything on everyone's wish list can happen. Also the participation process can only deliver agreement over what should happen – it is then up to the various stakeholders to implement what has been agreed and to ensure it results in lasting change.

- *"Stakeholder input on the decisions made about management planning was integral to, and integrated in, the management plans and are reflected throughout". (6)*
- *"Results of the stakeholder dialogues were used to formulate the first draft (consultation document) of the MPA management plan" (2)*

When to involve stakeholders

Involve stakeholders at an early stage	Stakeholders should be involved at an early stage whilst options are open and they can influence the outcome.

Develop a culture of ongoing involvement	Once the main participation process has reached its conclusion, participants should be involved in agreeing how they continue to be involved during implementation and ongoing management.

- *"It cannot be emphasised enough how easily a well-intentioned, well-funded, well-organised project can be allowed to dissolve when facilitators leave. It is absolutely crucial to commit for the medium-long term and to make every effort to keep ensuring the objectives of all stakeholders are truly in alignment through constant review".* (11)
- *"By engaging with stakeholder from the outset, including project design, this project connects with a number of ongoing agendas from a range of stakeholder organisations. Participation has continued at every point in the project from thereon"* (4)
- *"We have had stakeholder enthusiasm for over a decade"* (9)
- *"Stakeholder participation is the new business as usual and has been sustained for over 10 years. Stakeholders themselves started out wanting to meet every second year to review process but now meet formally twice a year with many now involved in a voluntary capacity to warden the area, collect data, and attend project events from fun days to research conferences"* (20)

Attitude to stakeholders

Stakeholders have a right to have a say

This is embedded in the Aarhus Convention Articles 6, 7 and 8, which gives the public the right to participate in environmental decisions that affect them. It is also included in following codes/standards:
- *"Inclusivity principle – giving stakeholders a right to be heard and accepting obligation to account to them"* (AA1000SES Stakeholder Engagement Standard)
- *"The Public should have a say in decisions about actions that affect their lives" (Core Values International Association of Participation Practitioners)*

Respect for all stakeholders underpins all actions

Respect for stakeholders underpins all actions. Stakeholder input is treated respectfully and their time and effort valued – everyone is an expert on something – at least their own point of view.

- *"Respect among all stakeholders of the rights, responsibilities and interests of all stakeholders – this included respect for differences of interests and willingness to negotiate to achieve consensus"* (6)
- *"Genuine respect for participants"* *
- *"Respect for different perspectives"* *
- *"Respect for all local stakeholders and traditions"* *

The organisations initiating the participation see themselves as stakeholders too

There is a tendency for those initiating the participation to see themselves as separate to the other stakeholders. However where these people see themselves as stakeholders in the issue, alongside all the others, it makes for a more genuinely equitable approach.

- *"Partnership: equitable sharing of rights and responsibilities of the whole process"*(2)
- *"All stakeholders were to be treated equally"*(15)

Ensure participation is voluntary

People are invited to take part but whether they do so or not is their choice. If key stakeholders are unsure about whether or not to take part in the process, it may be necessary for the lead facilitator to work with them to explore the benefits of taking part and the risks of not doing so. However, stakeholders should never be coerced or compelled to take part if they do not want to.

| **Help stakeholders develop constituency support** | The process design should allow times for stakeholders to discuss issues and opportunities with those they represent in preparation for workshops and to update them afterwards. This is supported with eg information, leaflets, maps and talks. |

Keep stakeholders well informed throughout

Part of the participation process is to ensure that communication with stakeholders is maintained throughout with regular feedback on progress and transparency about how stakeholders' input is making a difference.

– *"Communication is key, changes or decisions must be communicated clearly and effectively, or else misinterpretations and gossip are easily spread".(26)*
– *"Provide feedback on the outcome of the process to stakeholders and demonstrate how their inputs have been considered in the decision making process".* (1)
– *"Where possible changes were made to the management plans and where it was not possible to integrate suggested changes, the reasons why this was not possible were given"* (1)
– *"Follow up on all suggestions, submissions and advice; need for response and follow through"* (3)

Value and maintain stakeholder relationships through staff changes

Where good practice stakeholder participation has been carried out, it will have established genuine relationships, friendships and trust between people and project staff. Staff changes are therefore a time when good work is vulnerable to breaking down. A careful handover between outgoing and incoming staff makes a significant difference. Overlapping staff can be difficult for organisations to arrange, however it can save losing ground and is well worth the effort.

– *"The project was funded for 3 years – the original officer left after 2 years – it was difficult to re-establish relationships for the final year after the "gap" caused by recruitment – communities had "bought" the initial project officer".* (22)
– *"Before I left the project I was very careful to ask for a gradual handover so that the new project officer and myself could attend meetings together and I could hand over not just what the project was about but the relationships too. When people saw that I liked and trusted her, they transferred their trust in me to her. She didn't have to start from scratch"* (20)

Build Trust

Building trust takes time and skill but is essential to help people move from adversarial positions and behaviour to be willing to cooperate. Trust is built when people feel: respected, listened to, that they can influence the outcome, and when they see that their involvement makes a difference.

– *"Building trust among all stakeholders – this was important to facilitate the free and open exchange of information and ideas"* (6)
– *"Willingness of local fishermen to turn up to meetings, and contribute positively (gradually increased as trust developed and understanding of process and underlying drivers improved)"* (25)

Be sensitive to culture and build capacity to participate when needed.

The participation process and any events or workshop should take account of the culture. Where decisions are to be taken in deliberative workshops, people for whom workshop may not be a familiar experience will be invited and helped to take part. They should not be excluded because this would be an unfamiliar setting for them. Going to local resource users where they live

or work is a good way of gathering information - but it may inadvertently disempower them and prevent them participating more fully in deliberations.

- *"Meaningful engagement seeks to address barriers and build capacity and confidence to participate" (UN Brisbane Declaration)*
- *"Build and strengthen capacity of stakeholders (competencies and resources) to enable effective engagement". (AA1000SES Stakeholder Engagement Standard)*

Have transparency as a core value	- *"Community engagement is key to transparent and accountable governance in public, private, community sectors" (UN Brisbane Declaration)* - *"Transparency of stakeholder engagement process is a core feature of accountability" (AA1000SES Stakeholder Engagement Standard)*

Knowledge, information, and learning

Value all forms of knowledge	All forms of knowledge are used including science and user knowledge - *"Ensure that processes recognise all knowledge, indigenous and ordinary, as well as the diversity of values and opinions that exist between stakeholders". (1)* - *"Local and scientific knowledges can be integrated to provide a more comprehensive understanding of complex and dynamic socio-ecological systems and processes. Such knowledge can also be used to evaluate the appropriateness of potential technical and local solutions to environmental problems" (4)*
Undertake collaborative research	If time allows, collaborative research and study can be very beneficial. This is when stakeholders decide together the research questions and methods and share in data gathering and use. - *"Significant issues of dispute arose at the point at which specialist studies were conducted. As a result, the outcome of the further study was based on a collectively determined process and set of study ground rules that all stakeholders bound themselves to" (15)*
Foster mutual learning	The process is designed to foster mutual learning and encourages all participants to be willing to learn and be influenced by each other. It should be genuine two-way dialogue – the process should not be seen as an opportunity for "us to educate them". In workshops, formal presentations and papers are limited to those necessary to inform the deliberations. The participation changes and helps to shape peoples values, beliefs, preferences and opinions through discussion with others and by elaborating their own knowledge.
Encourage diversity of views	A diverse range of values and perspectives are freely and fairly expressed and heard.
Value feelings, interests, needs, and fears.	What is 'real', 'important' or 'rational' is not pre-judged.

Potential outcomes of good practice

2.23   As noted earlier not all processes deliver the benefits claimed for participation, nor are all outcomes met to the same extent. Much will depend on the way the process is designed and facilitated as well as the content and context of the participation. For example, Chess and Purcell (1999) evaluated the extent to which a range of participatory methods achieved a series of goals and found that success was influenced primarily by the way that group dynamics were handled by facilitators, the clarity of goals that were set and the quality of the planning that went into the events. Nevertheless, the benefits that good practice can result in include the following:

Better quality decisions

Technically sound decisions	The decisions do not fail because of technical inaccuracies or lack of knowledge because the appropriate experts and authorities have taken part in the process alongside other stakeholders and support the outcome. – *"Decisions based on long term thinking and current science" **
Responsive decisions	The participants believe the process and their involvement added value to the decision/s and that they helped to influence the outcome.
The decision is seen as legitimate	There are few challenges to the decision because it is seen as legitimate.

Ease of implementation

Implementable decisions	The decisions are readily put into practice. Few, if any, changes are required in order to enable their implementation. – *"Reaching decisions that are practical to implement" **
Ownership and agreement	Stakeholders agree that having explored constraints and options, the outcome is the optimum decision possible - and many stakeholders support the decision. Stakeholders have understanding of the reasoning for decisions and are able to explain it to a wider constituency. – *"Local ownership of the process – local people must drive the process for planning and management of their resources, while recognising the interests of external stakeholders" (6)*
Momentum	It is easier to maintain the momentum to implement decisions and they are delivered as soon as practicable, their impact is monitored, participants continue to meet, challenges to successful implementation are few if any and are easily overcome.
Efficient	The decisions are implemented with little or no opposition and are done so with the agreement of key stakeholders.

Potential effects on stakeholders

Reciprocal trust	Willingness to share responsibilities, share information, and to offer time and support in the knowledge it will be rewarded by a better outcome. There is the development of goodwill towards other participants over the long term.

Co-operation	There is evidence of partnership working across and within sectors for example with joint leads on projects.
Mutual education	There is greater understanding of the views, and values of others interested in the issue. An appreciation of this in other current work. – *"Stakeholder engagement events were also opportunities for awareness raising and learning opportunity"; (2)*
Empowerment	Stakeholders believe that they can influence local decisions – the removal of any initial scepticism, greater support for participation, involvement in other local decision making opportunities. – *"Extremely positive – commitment and enthusiasm generates further interest and commitment, growing the project in every direction". (16)*
'Community' development	This can mean a community of place or a community of purpose. Either way good practice participation results in: new networks of communication where previously none existed; newly instigated projects; greater involvement in activities.
Personal development	– *"Unexpected opportunities for professional development have occurred" (13)* – *"New skills have been learned by each of the stakeholders". (13)*
Invisible products are valued	Increased understanding and trust, new relationships, are valued as much as the visible documents and agreements. – *"The open, sharing network that has allowed participants to develop friendships, trust, pride in their work, respect, camaraderie, and a sense of family". (26)*

Challenges of stakeholder engagement in natural resource management

Challenges

2.24   The good practice outlined above is both comprehensive and generic and can apply when any multi-party participation process takes place. However, stakeholder participation in the management and use of the natural environment has to take into account factors that are not common to all contexts in which participatory processes are used. This includes:

Complexity	The natural environment is characterised by complexity, uncertainty, and continuous natural and man induced change (such as succession, nutrient enrichment and climate change)
Reductionist Science	Western science does not take a systems perspective but is reductionist with specialised natural scientists and resource managers focusing on, and developing specialism in, particular natural features or processes.
Sectoral policy	Policy and management are sectoral, often lacking joined up thinking and sometimes in contradiction to each other
Multiple perspectives	There is rarely a shared view of what is important, instead there are multiple-perspectives, multiple values and multiple uses

Controversy	Management decisions are usually a matter of controversy
Tradition of experts decide	Typically, management of the natural environment has been the province of environmental professionals and experts who have made decisions based largely on technical and scientific knowledge.
International law and policy	In the UK There is now a strong influence from International Conventions and EU Directives.

2.25 Coastal and marine natural resource management adds yet another layer of challenges. At the Good Practice Workshop, participants were asked: *"What are the characteristics of working in a coastal and marine context that need to be taken into account in the MPA projects?"* The following summary is based on their responses:

Rights and perceived rights	Use of marine and coastal resources is a complex mix of actual ownership and rights, together with the perception of free rights of access and exploitation that have developed over history
No visible administrative boundary features	On land, features such as rivers, lakes, and topographical features demark administrative boundaries. At sea administrative boundaries cannot be seen
Complex policy	There is complex policy and management some derived from land based systems and others marine
Lack of clear overarching structure and responsibility	On land, there are many agencies with responsibilities for management of different aspects of the land just as there are at sea. However, on land, the coordination of spatial planning is brought together at different scales under the responsibilities of district, county/unitary and regional authorities. As yet, there is no similar governance or authority for marine management.
Scale	The scales at which policy and management have to work are many orders of magnitude greater than on land.
Land based uses impact the sea	Many of the human activities that impact the sea take place inland and are managed and regulated through land-based policy eg nutrient and chemical run off.
Human impact not very visible	It is not easy to see the impacts, especially offshore with impacts often "*out of site and out of mind".*
Lack of information	There is a lack of information about the marine environment, the activities that take place, the economic value of these activities and their impacts on the marine environment
Difficulty in getting information	It is technically difficult and costly to research and develop understanding. Information that has been gathered may not be in compatible formats. Where information has been gathered by EIAs, the information is not freely available.
Ecology	The ecology of the sea is not yet well understood. Many species are highly mobile and migratory.
The physical environment	The physical environment is highly dynamic, with natural processes taking place over great distances

Cultural	Fishing is a traditional use with a distinct culture *"The last place where a hunter gatherer culture exists in the western world"* *.
Low public understanding	The marine environment is not publicly well understood or valued

Systems thinking and science

2.26 In the face of these challenges some of the case examples not only emphasised the need for good practice participation and careful process design, but also highlighted the need for 'systems thinking' as a vital key to successful natural resource management:

– *"System-awareness - Ecological and social systems are inseparable. Without understanding and addressing the needs, drivers and dynamics of the development of local society / community, natural resource management can not be effective."* (2)
– *"Comprehensiveness - Sustainable resource management and equitable share of biodiversity benefits are only successful if all stakeholders, especially subsistence resource users are involved"* (2)
– *"Integrated Management, Ecosystem-Based Management, adaptive management and precautionary approach".* (8)
– *"Negotiation of conservation must be linked to issues of development".* (10)
– *"Able to accept the holistic approach of stakeholders to ocean resource utilization including sustainable use".* (18)
– *"Sustainability of impact – sustainability will be achieved only through building stakeholder capacities and facilitating stakeholder ownership"* (6)

2.27 'Systems thinking' is a discipline and approach in its own right (ref Checkland 1981 and 2000) and one we recommend as of importance to the new MCZ projects. For further explanation, please see Systems Thinking in the next chapter.

2.28 Another key point is that scientists should be involved alongside other stakeholders to foster mutual learning and well informed decisions:

– *"Demonstrate decisions are based on best available science and knowledge and be prepared to refute contrary claims"**
– *"Actively engage the scientific community"**

Critique of participation

2.29 In addition to the literature that promotes and encourages participation, there is also a body of literature critiquing and questioning it (eg Nelson and Wright, 1995; Duane, 1999; Wondolleck and Yaffee, 2000; Cooke and Kothari, 2001; Burton and others, 2004). The US National Research Council report on 'Public Participation in Environmental Assessment and Decision Making' (2008) undertakes a comprehensive review of the participation literature, including both those who advocate, and those who critique participation, and suggests that concerns about participation fall into four broad categories:

- Processes are used for political manipulation.
- Decision quality can be degraded and scientific information not well handled.
- Processes are often unfair and inequitable.
- There is the potential to yield trivial results at substantial costs in time, effort and funds.

2.30   The last three can be addressed through better process design, fairer process, and skilful facilitation. The first, political manipulation, is the greatest risk because both practitioners and stakeholders can enter a participation process in good faith, believing it to be genuine and to have real influence, only to find out down the line that this is misplaced. The NRC report reviews the participation literature for what happens when agencies and authorities misuse participation:

- It will '*disempower and deligitimate public opposition both by those who have participated ("they've had their say") and those who did not ("they've have had their chance")*'.
- It takes up the time and effort of stakeholders so that they do not have the resources to act outside the process.
- It may build unwarranted trust with short term gain in public acceptance at the expense of legitimacy and trust over the long run.
- Because the process is perceived to be legitimate (but is not) it will insulate the agency from legitimate external challenge.
- It allows the agency to avoid or defend against legal challenge on the grounds that participation was undertaken according to statutory requirements even if the participation had no real influence.
- It can '*co-opt, localise, and contain or channel conflicts that would otherwise influence agency actions and thus function as a way for an agency to exert control and engage in hollow public relations rather than being truly responsive*'.

2.31   Within the academic debate critiquing participation, it is notable from a practitioners perspective that:

- There is insufficient differentiation between the wide variety of methods, motivations and approaches to participation which means that conclusions are made about 'participation' as a whole rather than the efficacy of a particular method, approach or design.
- Case examples of participation not working are sometimes taken to mean that participation itself doesn't work rather than reviewing the case against good practice to find out why it didn't work and what can be learnt.
- The literature does not always differentiate between participatory research and participatory consultation/collaborative decision-making. The drivers, ethics and methods of the former are largely extractive, focused on quality data, and undertaken by academics, whilst participatory resource management is more often based on principled negotiation, focused on a quality decisions, and undertaken by practitioners.
- There has not been an equal academic effort in critiquing the way that decisions get made if participatory approaches and facilitation are not used (for some of the problems see the section entitled 'Consensus Building' in this report).

2.32   In summary, although there are potential pitfalls and abuses of participation, there is now a growing consensus that by following best practice, it is possible to overcome many of these problems, to deliver higher quality decisions that are more likely to be adopted and maintained in practice (Reed, 2008).

3   Exploring different methods and approaches to participation

Aim

3.1   The aim of this section is fourfold:

1. Compare different approaches to participation including risks, benefits, and practicalities.
2. Highlight methods of participation of particular relevance to the MCZ projects (Consensus Building, Participatory GIS (PGIS), asset based approaches, systems thinking).
3. Discuss factors that influence costs and durations of different approaches.
4. Highlight key considerations when involving stakeholders.

Typologies of stakeholder participation

3.2   There are a number of different ways of framing and understanding participation approaches:

- Different levels of involvement
- The roots of approaches to participation
- The motives for participation
- The method of participation

Different levels of involvement

3.3   There are a wide variety of typologies categorising the way organisations relate to other stakeholders. Many of these are hierarchical and can imply that one category is morally or ethically better than the other. For example, one of the first and most commonly referenced is Arnstein's ladder of participation, which was first published in 1969 (see below). By putting manipulation at one end, it implies that the other end is morally better. In reality, the level of appropriate public participation in any engagement process should be based on many factors and (aside from coercion and manipulation) one level is not necessarily better than all others.

1	**Manipulation**	These levels assume a passive audience which is given information that may be partial or constructed
2	**Education**	
3	**Information**	People are told what is going to happen, is happening or has happened
4	**Consultation**	People are given a voice, but no power, to ensure their views are heeded
5	**Involvement**	People's views have some influence, but traditional power holders still make the decisions
6	**Partnership**	People can begin to negotiate with traditional power holders, including agreeing roles, responsibilities and levels of control
7	**Delegated Power**	Some power is delegated
8	**Citizen control**	Full delegation of all decision-making and action

Arnstein's Ladder of Participation 1969

3.4   Whilst this, and other similar models, provide helpful theoretical models, they are not as useful in practice when deciding the most appropriate level of stakeholder involvement. A model developed by Harris (2000) and used by stakeholder dialogue practitioners

divides the way an organisation relates to either internal or external stakeholders into four categories:

		Stakeholder's influence over outcome	Amount of social capital likely to be acquired	Numbers who can be involved
Information giving	To raise awareness	None	Least	Most
Information gathering	To develop own understanding			
Consultation	To be open to influence			
Shared decision making	To share decisions	Most	Most	Least

3.5   In this model, one way of relating to stakeholders is not considered better than another. Each is seen to have value and is suitable for different purposes. The more detailed table in Annex 1 includes information about the kind of situations that a particular level is suitable for.

3.6   It is important to understand that the 4 categories in the table are based on the extent that stakeholders influence the outcome. This is not a categorisation of approaches or methods. It is possible to hold a fully facilitated participatory process in three of the categories:

- Information gathering – where people have no influence over how the information is used.
- Consultation – where their views are passed to decision makers.
- Shared decision-making – where they are directly helping to make the decisions themselves.

3.7   The difference is over what happens to the outputs: who uses them, how they use them, when they use them, and the extent to which they influence the outcome.

3.8   Whichever level of participation is used, it is essential that stakeholders understand what is being asked of them and there is clarity about the extent to which they can make or influence the decisions.

Roots of participation

3.9   Different types of participation have been developed for different reasons and by different disciplines and are therefore underpinned by different ethics and values, as well as different methods and techniques. One key difference is whether the primary focus is on information and data gathering itself, or whether the focus is on stakeholders behaviour and helping them move from positional stances to principled negotiation, with information gathered both to inform the decision and reduce uncertainty and thereby conflict.

Roots	Description	Example	Strengths	Weaknesses
Human geography and economics.	Geographers and economists seeking to understand what people value	Multicriteria analysis Computer Modelling	Uses the language of maths, economics and science and appears to be transparent, repeatable and provide strong "evidence".	The model or maths crunches out the solution and this can disassociate stakeholders from the outcome. The technical language that surrounds the methods

Roots	Description	Example	Strengths	Weaknesses
				The primary focus is information gathering and processing rather then principled negotiation.
Planning	Planners desire to understand how people want space to be planned and designed	Planning for Real Participatory GIS	Very visual and engaging	Usually used to provide information for decision makers - although approaches to PGIS are developing to be more consensual.
Consensus building / conflict management	Desire to provide an alternative to conflict and the inaction arising from deadlock. Aim is to help people find what they agree about and find mutually acceptable and implementable ways forward.	Consensus building/ stakeholder dialogue Environmental mediation	Fosters mutual understanding and creativity Has a high regard and respect for stakeholders The process is designed to help people move from positional to principled negotiation.	Not seen as scientific, mathematical or repeatable.
Development	A way of capturing information from local people in developing countries. Often uses techniques that don't depend on literacy	Participatory Rural Appraisal (PRA)	Creative ways of gathering diverse forms of knowledge and know how.	Tends to be used for very local decision making or as a way of gathering information for authorities to make decisions

D Pound 2008

Motivation for participation

3.10   This typology is based on the motivation that organisations have for carrying out participation. Motivation can be principled or practical. For example, when environmental agencies in England initiate participation processes it is usually because they believe it is the best way of achieving better management of the environment – their motivation is therefore practical and seeking to ensure that management decisions are better informed and better supported (Studd, 2002). They have no particular ethic about inclusion or people having the right to have their say.

3.11   Most participation is done for a mixture of motives.

		Main Objective	Rationale
Practical	**Functional**	Improvement of the quality of the decision.	Inclusion of a wide range of technical specialists and knowledge holders to integrate knowledge and ensure that decisions are better informed from multiple perspectives.

		Main Objective	**Rationale**
	Instrumental	A way of getting to an outcome and making progress more easily	Inclusion of a wide range of people so that there is 'buy in' and less or no resistance later
	Reputation	Maintaining the reputation of the organisation/s involved	A concern that making a decision without engaging others will damage the credibility and reputation of the organisation/s
	Financial	Carrying out the work in the most cost effective way	A wish to avoid costly delays and legal challenge
	Compliance	Ensuring work complies with relevant legal instruments and policy on participation (eg the Participation Directive/ Aarhus Convention)	Ensuring that decisions comply with legal requirements for participation and cannot later be challenged in law
Principled	**Democracy**	Commitment to inclusion as a moral imperative	People should be included because they have a right to be involved in decisions that affect them
	Emancipation	Commitment to including those who have been marginalized in the past	Emphasis on social inclusion of less privileged groups who most often suffer from environmental degradation
	Representation	Ensuring representatives of all relevant social categories have a voice	The only way of getting an outcome that is "fair" is to ensure that representatives match the demographics of those who will be affected.

D Pound 2008

Methods of participation

3.12 This typology is based on categorising methods of participation. Key differences are between the number of people who can be included in the participation and the depth to which they can deliberate over the issues.

Method	**Description**	**Examples**	**Inclusion**	**Deliberation**
Participatory Bodies	A small number of people (eg around 12 or so) come together and consider an issue in great depth	• Citizens Jury • User Panels • Focus groups	Very low	High
Packages	Complete "off the shelf" packages More or less established structure Developed by a particular organisation (and often copywrite)	• Planning for Real • Future Search	Medium	Medium to high

Approaches	A process of dialogue is designed and tailored to the situation using a range of tools and techniques	• Stakeholder dialogue • Consensus Building	Medium to High	Medium to high

D Pound 2008

Approaches of relevance to MCZ

Consensus building

3.13   Consensus building is a process of shifting people from positional or adversarial negotiation tactics to principled, or cooperative, negotiation.

Positional negotiation /competitive decision-making (win/lose)

3.14   Meetings that are not facilitated (or poorly facilitated) do not have at their disposal consensus techniques. Decisions are therefore usually made based on the group tacitly or explicitly deferring to some form of positional or personal power held by one or more individuals in the group eg: statutory authority, technical/scientific expertise, seniority, social status (age, class, gender, education, ethnicity, wealth), the numbers of people an individual represents, financial resources, or force of personality. (An alternative way of making decisions may be via voting when the numbers of parties from a particular interest matters most).

3.15   This fosters a competitive atmosphere were 'positional' negotiating tactics work best to advance ones interests. CEDR, the Centre for Dispute Resolution (unpublished training materials) summarise the process as follows:

- Each side takes a position – what I offer or demand
- Justification – why I must get this outcome
- Haggle or threaten – to get movement from the other side
- Make concessions – to try to reach a compromise
- Agree somewhere near the middle

3.16   To try to improve results it is likely that one or more of the following tactics will be employed: posturing – ie misrepresenting the position; withholding sensitive information (eg where the information is weak); making threats; engaging in bluff; digging in or walking out; never giving without being sure you are getting; only conceding small amounts and doing it slowly.

3.17   The idea that positional negotiation achieves the best results overlooks the behaviour of all those involved:

- Each party withholds information carefully selecting the data that will strengthen their case - any agreement is therefore made without all relevant and available information.
- It will not address real interests because people argue from positions and keep interests and needs hidden.
- Effort is expended in defending positions rather than seeking solutions.
- It is based on a model of competition: winners and losers, and this will result in damaged relationships and distrust.
- All too often parties end up verbally attacking the other person's information and if necessary their credibility.
- One party can't admit the other party has a fair point in case it leaves them vulnerable.
- It anticipates a win/lose outcome but can force a lose/lose result.

- The negotiation can break down completely because no one is getting much of what they want and alternatives to negotiation (eg litigation, objection, protest, obstruction) are seen as strategies that are more effective.

Principled negotiation /Consensus Building

3.18 Principled negotiation shifts from negotiating from stated 'positions' (ie where someone says they stand on an issue) to negotiation on how to meet interests and find merit. This is sometime referred to as the 'Harvard style' of negotiation stemming from the work of Profs Roger Fisher, William Ury and Bruce Patton in the Harvard Negotiation Project (best known for their book "Getting to Yes: Negotiating Agreement Without Giving In" 1991).

3.19 Consensus Building is a deliberately designed and facilitated approach based on helping multiple stakeholders, with wide ranging interests, undertake 'principled negotiation' and move towards actively seeking mutual benefit and win/wins. The process seeks to help people step down from positional statements and stances to share information, explore common ground, generate creative ideas, explore options, and short list the best for implementation. It encourages social learning, cooperation, collaboration, exploration, creative problem solving, and the building of social capital. Within the process, all forms of knowledge are valued not just formal or expert knowledge.

3.20 Consensus Building does not mean that all concerned will agree about everything to the same extent and that nothing will be decided unless this level of agreement is reached. It does mean that everyone has explored all options and worked to find a mutually acceptable way forward. Some will support or actively support the agreed way forward, others may only accept it on the basis that they have worked creatively and hard to find an option more acceptable to them and their interest, but they accept that none has been identified.

Finding common ground and working towards consensus

3.21 Towards the end of a consensus building process, participants are facilitated through specific techniques that identify where there is common ground and acceptance and where there is still disagreement and further negotiation and creative problem solving is needed. For example, listed below are four degrees of support described from the point of a participant:

   1. *I am totally happy about this idea.*
   2. *I am not wild about this idea, but if everybody else is happy with it I'll go along.*
   3. *I can only accept this if, having discussed it further, we really cannot find an option that is more acceptable to me.*
   4. *I cannot accept this under any circumstances and if this idea goes forward, I will have to withdraw from this negotiation.*
   (*Andrew Acland pers comm*)

3.22 Having mapped the extent to which participants support the proposal, they are then facilitated through several iterations sharing the responsibility to find solutions that help those with strong concerns to increase their support. Those who do not accept the proposal are asked "How would this proposal, which all the others accept, need to be changed to make it acceptable to you (your sector or interest)?"

3.23 Experience suggests that concerns at this stage are often about managing risk and uncertainty and so acceptable modifications may be quite simple for example:

- A minor change in wording
- A contingency plan in case of negative outcome
- Ongoing monitoring of the effects of the proposal

- An agreement to review and adapt or make amendments/refinements at some specified point in the future

Where people are concerned that the 'devil is in the detail':

- An agreement that the next level of detail will also be undertaken through principled negotiation

3.24   Once a modification is developed it is taken to the larger group who are asked if they can accept the proposed modification.

3.25   If as the deadline approaches, it seems likely that some areas of disagreement will remain, participants are facilitated to decide what to do. Solutions may include:

- Agree as much as possible, firm it up, and move to implementation, whilst continuing to work on the outstanding matters.
- Convening additional workshops or a working group to look for creative solutions.
- Develop consensus about the level of consensus required for different issues (with less important issues requiring less consensus)
- Clarifying what the minority do agree to, what they are unable to accept, and how these minority concerns are handled.

Consensus building and the natural environment

3.26   Even with a desire to co-create a shared vision and goals and to deliver on this, the literature is filled with examples of the challenge in natural resource management to generate consensus amongst diverse stakeholders. McKinney and Harmon (2007) provide a typology which helps to understand the fundamental nature of many natural resource problems, and therein the kinds of approaches that might help move them forward:

(1)Technical and practical problems	Where people agree on the nature of the problem and the issue is how to technically solve it – different opinions may exist on the technical solution but generally through reasoning and existing knowledge, agreement can be reached (an example might be a noxious weed infestation – requiring negotiation with land owners but a technical solution can be found that all accept);
(2)Value-laden problems	Where people agree on the basic nature of the problem but not on how to resolve it (an example is an urban planning problem to site waste);
(3)Value-laden 'wicked' problems	Where people disagree on both the nature of the problem and how to resolve it (e.g. drilling for oil in a marine wildlife refuge) (McKinney and Harmon 2007).

3.27   Problem type (1) is normally the easiest to resolve.

3.28   In problem type (2) values and interests can pull people in different directions despite recognition of a common problem, so processes are needed which give time and space to voice the different values before moving on to finding agreeable solutions – the key is in managing a process that gives adequate space for different views. When this isn't done people may start to work (consciously or unconsciously) against the process.

3.29   In problem type (3), 'wicked' problems, not having a shared view of what even the problem is (i.e. 'naming the problem'), can make it difficult to move forward to solutions. The critical first step in this kind of problem is to work on developing a common understanding of the problem. Fundamentally, these types of problems require a carefully structured, professionally facilitated process design.

3.30   There is well-developed literature on 'wicked problems' (Rittel and Webber (1973), Allen and Gould (1986), Forester (1999), Putnam and Wondolleck (2003), and Spangler (2003)).

Shifting from deficit/problem based focus to an asset/positive focus

3.31   A development in participatory processes, which is gaining increasing credence, is to shift the focus of participation from problems that need fixing, to what is working well and needs developing and enhancing.

3.32   Two approaches in particular champion this approach: Appreciative Inquiry (AI) and Asset Based Community Development (ABCD)

Appreciative Inquiry (AI)

3.33   Appreciative Inquiry (AI) is based on the premise that human systems "*change in the direction in which they inquire*" and that if positive change is to result, a positive and appreciative approach should be taken.

3.34   When organisations, partnerships or projects do the opposite and take a deficit-based or problem-solving approach, they focus on inquiring into problems and the causes of problems. As a result, they keep finding more and more problems and will divert effort, energy and resources away from what is working well and towards addressing these problems. This deficit-based approach tends to result in a risk-averse blame culture. It also results in the loss of forward momentum and motivation as people become increasingly problem focused and focused on the past, and what went wrong and why. If instead, the inquiry is on finding what works and seeks to enhance, develop and broaden this, the organisation or project becomes stronger, more positive and solutions-focused. The focus of attention and inquiry therefore determines the outcome. (Whitney and others, 2003). To this end AI has four stages: "discovery, dream, design and destiny" and story telling about what works is a key part of the process.

3.35   It is important to note that AI does not avoid challenges or issues but views them in the context of what is already working well and frames them in a way that enables a solutions focus. This enhances the capacity of those involved to deliver on positive change.

3.36   One of the case examples returned in our research describes the use of AI as a tool for enhancing the adaptive capacity of communities to manage forest resources in Indonesia (Yuliani and others, 2008). The action research took several approaches to resources management with different communities, including problem based approaches, but found that AI was the most effective in changing the motivation, skills and self confidence of local communities in managing their forest resources in a sustainable way:

Problem solving	Appreciative Inquiry
The outcomes: anger, frustration, blaming each other, expecting external group to solve their problems, forest management is problematic, difficult, complex, too much frustration, pessimism that efforts can bear positive results, feeling inferior and incapable	The outcomes: inspired, motivated, feel being valued and trusted, belief in their own capacity to reach their vision, willing to take the lead and/or to start new initiatives, belief that forest management is something doable and useful, belief that collaboration will bear positive results.
Past orientation	Future orientation
Analyzing the past	Planning for the future

Reducing, or at least not building, self confidence	Improve self confidence
When something does not work, people tend to wait and/or blame others	Quickly look for strategies to overcome difficulties and reach their goals

Extract from Yuliani, Adnam, and Indraitmoko 2008

Asset Based Community Development (ABCD)

3.37   Asset Based Community Development has similarly emerged as a rejection of deficit based (problem and issue focused) approaches, where communities have to demonstrate all the things they lack in order to win resources. Like AI, ABCD argues that "*A community that inquires into problems will keep finding problems. A community that attempts to appreciate what is best in itself will discover assets. Asset Based Community Development takes as its starting point these existing assets, particularly the strengths inherent in community based associations and social networks, and mobilises these, alongside tangible assets such as land and buildings, to create new economic and social opportunities".* (O'Leary, 2006*)*

Learning from ABCD and AI

3.38   ABCD and Appreciative Inquiry share with other good practice approaches to participation the need to "value people and their diverse contributions, to develop core listening skills, to learn to step back as well as to learn not to judge, criticise or rush" and "recognise that values, behaviour change, and attitude are key parts of the puzzle, alongside those promoting a learning culture and trust" (O'Leary, 2006). The key part that ABCD and AI demonstrate, is that the way that questions are framed and facilitated can change the effectiveness of stakeholder participation.

3.39   We are not here recommending AI or ABCD per se for stakeholder involvement in MPA because effective involvement is going to require a wider approach and a variety of methods and techniques. Also part of facilitating stakeholder process where there is or may be tension and conflict, is to deliberately provide a safe and carefully facilitated opportunity for people to "vent" their concerns and issues before they are ready to move on and think positively.

3.40   However, the overall ethos of taking an asset based (rather than deficit based) approach to stakeholder participation and natural resource management is an important lesson that can be taken from AI and ABCD. Using this ethos within a well-designed and well-facilitated process should help to make stakeholder participation in the selection and management of MPA even more effective.

3.41   (It was notable that in several of the workshop that formed part of this research, stakeholders wanted a greater appreciation and understanding of what has already been done to manage marine resources – ref the section titled 'Building on what exists' under 'information gathering and use' in chapter 5).

Systems Thinking

3.42   'Systems Thinking' is a discipline and approach in its own right (Checkland 1981 and 2000; Lane 1999 a and b; Morris and Chapman 2000).

3.43   In contrast to scientific reductionism, which currently dominates western science, Systems Thinking perceives a system as a dynamic and complex whole, which interacts as a structured functional unit. This means that instead of analysing different parts of the system in detail from a particular discipline and then seeking to put the pieces of the jigsaw back together, systems thinking starts from the point of looking at the whole and the relationships, processes and interactions within the system in order to understand

how it functions. Thinking in this different way leads to very different insights and different conclusions about what interventions may be needed to help the system work better.

3.44 *"Reductionist methods cannot help to cope with problems that arise as a result of the **complexity** and **interconnectedness** between components in a system. Under these circumstances, any severing of the connections in order to make the situation simpler actually changes the situation to be solved"* (Lane 2008). In natural resources management, this means that even breaking the system down and viewing it from the perspective of social, environmental and economic disciplines will miss crucial connections and feedback mechanisms.

3.45 *"Thinking holistically does not mean that one cannot do anything to simplify the issue at hand but an holistic approach emphasizes that the simplification should be accomplished in a way that does not overlook the significant connectedness. One of the central devices used in facilitating a holistic approach to problems is the representation of an issue or situation as a 'system' using a variety of picture based diagramming techniques to capture the essential connectedness of the issue. All representations are sense-making models of messy situations or complex systems. Pictorial representations of our thinking can help by attempting to capture as much of a situation as possible showing both components and connections in different ways. These models can guide our actions and learning, as it is often difficult to express and comprehend complex systems in words alone, particularly where you are covering many discipline areas. They can be used for personal actions or learning or for collective action or learning where many participants contribute to their construction and interpretation, sharing their thinking about a situation. It cannot be emphasized too much that the point of using the systems way of describing an issue is not to say 'this is how it actually is' but deliberately to generate variety in the way the issue is thought about. This variety is useful, indeed usually necessary, where our conventional or established way of thinking about the issue has not led to a satisfactory outcome. The only criterion for deciding whether a particular representation is a 'good' one or not, is whether it leads to fruitful insights".* (Lane 2008).

Ecosystem Approach

3.46 The Ecosystem Approach provides a framework for systems thinking, stakeholder participation and sound conservation.

3.47 It has been developed and adopted by the Convention on Biodiversity (CBD) as the **fundamental** delivery mechanism for implementing the Convention. The CBD defines the Ecosystem Approach as "*A strategy for the **integrated** management of land, water and living resources that promotes biodiversity conservation and sustainable use in an **equitable** way"*.

3.48 To guide implementation the CBD has agreed 12 Ecosystem Approach principles and 5 points of Operational Guidance, and provided implementation guides. The 12 principles and points of operational guidance provide a coherent framework that is relevant to MCZ. Several of the principles seek to ensure that decision-making is both integrated and equitable and so are relevant to good practice participation and this report:

Principles:

1 The objectives of management of land, water and living resources are a matter of societal choice.
2 Management should be decentralised to the lowest appropriate level.
7 The approach should be taken at the appropriate spatial and temporal scales.
11 Decision-making should consider all forms of relevant information (scientific, indigenous and local).

12   It should involve all relevant sectors of society and scientific disciplines.

Operational Guidance:

2   Enhance benefit sharing.
5   Ensure intersectoral co-operation.

3.49   (The full list of principles can be found in the Annex)

3.50   In response to the Ecosystem Approach and how it could be implemented for marine conservation, English Nature produced a report ' The Ecosystem Approach - Coherent actions for marine and coastal environments' (Laffoley and others, 2004). Of particular relevance to this report are the four priorities for action in the section on achieving social coherence:

Priority 1   Increase stakeholder participation and improve transparency in decision-making.

Priority 2   Ensure decision-making processes are well planned, timely, and undertaken at meaningful spatial scales.

Priority 3   Ensure that all relevant stakeholders have opportunities to participate effectively, including disadvantaged or marginalised groups or communities

Priority 4   Introduce initiatives to build understanding and ownership of the benefits provided by the marine and coastal environment.

Participatory mapping and participatory GIS

3.51   Since the early 1960s, the use of participatory mapping has developed rapidly and been used not only in natural resource management but also in fields such as urban planning, social care and social policy.

3.52   Techniques for doing participatory mapping range from: the techniques of Participatory Rural Appraisal (initially developed for use with indigenous people in a development context) that focus on using local and familiar materials to construct a picture or to draw on the ground; paper based methods; three dimensional models; highly sophisticated GIS; and now applications using digital pens (Vajjhala 2005).

3.53   Participatory mapping presents a variety of challenges:

- Often people hold their knowledge about the environment visually and spatially and can struggle to describe in words some of what they know. Creating visual representations can help capture this knowledge. However many people also struggle to think of space from an aerial, two-dimensional map-based perspective. The way we know places is more often by landmarks, views, travel times, uses, cultural or historical connections, emotional or spiritual attachments, geographic characteristic (for example 'prone to flooding', 'steep to climb'), and fertility/productivity. (At sea, this will include features such as currents, tidal effects, sandbanks and rocks, good fishing areas, good dive sites).
- Many people do not have map literacy and are unfamiliar with for example OS map symbols and the meaning of gridlines. Nautical charts will be familiar to the resources users who use them on a daily basis for navigation purposes, but other stakeholders may have even less familiarity with them than with OS Maps. Aerial photography and now Google Earth can help people gain a sense of place on land but will be little help at sea.

- There are considerations about who maps belong to, who has the power to influence the map, edit it, what type of information can be mapped, whose information is used and whose isn't.
- What information counts? Many stakeholders do not separate their knowledge into social, economic and environmental knowledge so whatever mapping/GIS stakeholders encounter, it should be able to capture and present all forms of knowledge with some equity - not just scientific/ecological/uses. (Our experience of mapping with pen and paper is that people annotate maps with a wide mix of 'types' of knowledge and this is facilitated so that one type of knowledge is not considered more valid than another).
- Risks for participants of mapping include: exposing people to competition or danger, extracting spatial information for others benefits without this being clear to those providing it, and extracting information which will be used against people. (Chambers 2006).

3.54 With the advent of GIS in the 1990s, software development has meant ever more sophisticated programmes are available for use. However, the advances in mapping have not been accompanied by equal progress in understanding good practice participation and how and when PGIS fits in.

3.55 In the literature, the term Participatory GIS is used to mean a range of levels of participation:

- Experts go to stakeholders and extract information from them using paper and then transfer this to GIS or directly map stakeholder information onto GIS maps themselves.
- Stakeholders are given the pen or mouse to make their own maps, but do not do this in dialogue with others and so the project/experts end up reconciling differing maps and deciding what information to use and take notice of.
- Maps are co-created with stakeholders negotiating and discussing what lines and information should go where.
- Web-based PGIS where the map is created by stakeholders and posted on the Internet for stakeholders to interact with.

3.56 There is currently a need for better exchange of good practice between those developing GIS technologies and participation practitioners who are skilled in process design and mindful of ethics and good practice. Other benefits and challenges of PGIS include the following:

Benefits of PGIS	
	- Developments in geo-technologies over the last 20 years have increased availability, affordability and ease of use and enhanced capabilities.
	- Large amounts of data can be collected, stored and analysed electronically.
	- There is the potential for the sharing of data more easily between stakeholders.
	- A system can be developed specifically for the task in-hand and can therefore be tailored to meet the needs of both the administrator and the various stakeholders.
	- Public domain GIS such as 'Google' mapping is already being utilised by 'non-expert' users so potential for web-based application is high
Challenges of PGIS	- As a highly sophisticated technical tool, if members of the public are to use GIS they require training to understand the

parameters as well as the visual outputs.

- The need for training sets up a dichotomy of the knowledgeable "expert" - and all others. This very easily can translate into feelings of "us" and "them" with scientist/ technicians – ie "project staff" on one side - and stakeholders in their myriad forms on the other. This can reinforce frustrations and affect group cohesion, leading to disempowerment and loss of participation and buy in: results which successful participatory processes work hard to avoid.
- A risk is for technology (in this case pGIS software but it can be many other types of technical tools) to take centre stage, producing an inverse relationship with process design – such that the tool ends up driving the process instead of the process dictating the tools.
- The process of engagement can very easily be directed by the data input needs of the software as well as by the technical parameters of what the tool can tell us. For example being based on maximising efficiency, a GIS run might produce results that exclude other important considerations such as traditional and conflicting use patterns; nuances that much software will be unable to integrate fully. (These problems were encountered in the recent Invest in Fish project: Heather Squires pers comm.)
- The GIS maps are so graphically sophisticated that it is difficult to make iterations look like drafts because they do not easily portray the quality of the data used to create them in the same way that a messy hand drawn map would. This can inadvertently provoke conflict when stakeholders perceive that what is shown on the maps has already been decided and there is little scope for influence. They may also feel duped.

3.57 More recent developments have meant it is possible to undertake PGIS online. Again, there are benefits and challenges to this:

Benefits
- It is accessible to many members of society
- Information can be kept up to date and the maps can be changed as a project or process develops.
- Simple formats such as 'Google' Earth can be used which are more familiar and easier to understand than for example paper OS maps
- Planning meetings are not restricted to geographical location, or times.
- Hyperlinks can be made available to further information should the participant wish to become more informed about a subject.
- The Internet creates opportunity for participants to express opinions in a non-confrontational and relatively anonymous manner.

Challenges
- Some people do not have access to the Internet (either because they don't have access to a computer or they lack the skills to use it). Of those who do have familiarity with using the Internet, it is likely that only a few will be familiar with how to use GIS. This raises issues of social inclusion, equity and fairness.
- How are online mapping comments and suggestions validated to ensure that there has not been misunderstanding of the map (scale, location and so on) or deliberate tactical voting?

- How is online mapping harmonised and integrated with the type of interactive face-to-face deliberative process proposed in this report?

3.58 In summary, the medium and means of mapping – whether on paper or in a GIS format – and the style and mode of facilitation, influences who can take part, the nature of the outcomes and the overall power relationships set up or reinforced (Chambers 2005). In deciding if, when, why, and how to use participatory GIS, it is vital to make an informed assessment of the costs and benefits involved.

From methods and techniques to process design

3.59 As well as the particular methods and approaches highlighted here, there are a wide variety and ever growing list of other methods and techniques for participation (for example see Involve 2005a; Chambers, 2002; Toogood, 2000; Creighton, 2005; and the IAP2 Toolkit).

3.60 In addition, the design and facilitation of stakeholder or public participation is developing profession with increasing numbers of national and international conferences and other opportunities for practitioners to learn from each other and share ideas. These forums are bringing people together who not only use different methods but also have applied them in different sectors, cultures and countries. As a result, there is both an increasing creativity and inventiveness of approach but also a blurring of the different methods and techniques as people borrow from each other's techniques and traditions.

3.61 In this context, the focus is shifting away from particular methods or approaches towards the need for skilful process design that creates an overall structure and coherent process within which a wide range of methods and techniques may be used.

3.62 Good practice process should have a clear design and coherent structure including:

- Clear process (project) planning setting out the timing of key stages and phases and how knowledge, information, and decisions flow through the different stages and parts of the process.
- A coherent design at three levels: the overall process (including the number of workshops and what happens before and after each); the design of each workshop in the sequence; and, the design and selection of tasks within workshops (eg how people will be grouped, what questions are to be considered, what techniques will be used).
- The timing and number of workshops and of other ways of engaging stakeholders.
- The sequence of questions that need to be asked to broaden out the discussion and then narrow it back to agreement and forward planning for implementation and ongoing dialogue.

Factors that influence process design, timeframes and cost

3.63 The findings of research (Reed 2008; NRC 2008) are that good practice in stakeholder participation requires that processes are deliberately designed and tailored to the situation by someone with professional process design skills. Since each situation has different numbers of participants, levels of tension, complexity and spatial and temporal scales, no one-size approach fits all circumstances. Like any other kind of design, (eg in architecture or engineering) a variety of factors have to be taken into account by a skilled practitioner to ensure that the design is fit for purpose. The actual costs for stakeholder engagement will therefore vary from case to case.

3.64 Selecting the optimum methods and techniques will depend on:

Numbers of stakeholders	• The number of stakeholders involved in workshops • The number of stakeholders that may need to be engaged outside workshops and the means of engaging them.
Levels of Tension	• The levels of tension and expressed argument and conflict between participants • Whether or not all key stakeholders are ready to enter into a dialogue
Scale and governance level	• The spatial scale of the process and the governance level (eg local, regional, national or international)
Complexity of the issues	• The complexity of the issues under consideration
Level of knowledge and understanding	• Whether knowledge is weak and challenged, or robust, understood and accepted • Whether key information is readily available
Timeframes	• The time available between a process starting and a decision having to be made
Resources of time and funds	• The available resources of time and funds
What is negotiable	• What can and what can't be changed as a result of stakeholder input.
Past History	• Whether there is poor history between stakeholders with ongoing active tension and conflict and low levels of trust, or a good history of working together cooperatively and collaboratively, or no previous history on the topic.
Capacity	• Whether or not there is capacity to run a participatory process including sufficient skilled facilitators to support larger events and professional facilitators to lead them.

3.65   Not only does the design element make it difficult to carry out cost/benefit analysis on stakeholder processes but also the measures themselves cause difficulty. Many of the costs are tangible (officer time, payment of professional process design and facilitation, training so that staff can support the process, administrative tasks, room hire and refreshment for participants) whilst many of the benefits are intangible and much harder to measure (social capital, better use of information and knowledge, better quality decisions, greater agreement and willingness to abide by agreements over the long term, speed of implementation). (Involve 2005b)

Key aspects of involving stakeholders

Stakeholder analysis

3.66   The legitimacy and acceptability of the outcome of participation is strongly linked with the perceived fairness and legitimacy of the process (NEC 2008). Essential to this is that different interests are involved in a way that is perceived as fair and balanced. To achieve this, systematic stakeholder analysis is essential.

3.67   There are a variety of ways to undertake stakeholder analysis. Methods used by participation practitioners tend to be pragmatic and quick to do. Academics and researchers have developed more thorough, comprehensive but time demanding methods. For an overview of available methods for stakeholder analysis, see Reed and others (In press). Other relevant publications include: Lindenberg and Crosby (1981); Grimble and Wellard (1997); Brugha and Varvasoksazky (2000); Chevalier and Buckles (2008); and Prell and others. (In press).

3.68   Once the range of stakeholder interests have been identified key considerations are:

- The balance between inclusion and deliberation
- How people represent their interests
- Their ability to take part

3.69   Each of these is explored further below.

Inclusion and deliberation

3.70   *"Inclusion encourages breadth in decision making"* (ie broadening the range of experience and knowledge involved) and **"*deliberation is more concerned with depth*"** (ie exploration of values and perceptions in detail to develop mutual respect and understanding) (Holmes and Scoones, 2000 quoted in Studd 2002). The UN Brisbane Declaration (2005) has describes deliberation as when *"There is sufficient and credible information for dialogue, choice and decisions, and space to weigh options, develop common understandings and to appreciate respective roles and responsibilities"*

3.71   Stakeholder processes can be inclusive without being deliberative for example, paper or online questionnaires provide the opportunity for a great number of people to comment on proposals but they are unable to discuss the issues in depth with others, explore options, develop social capital, or undertake social learning. Alternately a "*process can be deliberative without being inclusive when a small group of people, not seen as representative of all the relevant interests, are brought together to discuss and decide on a course of action"* (Studd 2002).

3.72   The optimum process will blend methods and techniques to be deliberative and inclusive.

Representation and costs of taking part

3.73   Closely aligned with the concept of inclusion is the question of representation. Even if a stakeholder process is designed to be as inclusive and deliberative as possible there are still practical limits on the numbers of people that can be brought together to deliberate. (In our experience, the upper limit is about 70 - 100 people based on logistics of venue sizes and facilitating face-to-face discussions). Even large forum like this are not sufficient for all those who have an interest, and so sectors and interests have to have representatives to bring their view into the discussion.

3.74   The challenge is that people can "represent" their interest or use in very different ways.

	Description	Costs of taking part
Paid professional staff	Public bodies and NGO have professional paid staff whose job includes attending meetings and workshops in order to represent the interests of their organisation. These people are likely to be technically	Professionals are salaried by their organisation and time spent at workshops or in reading briefing or other materials will not affect their income. Their expenses will be

	knowledgeable, professionally skilled and comfortable with the culture of meetings and workshops.	met.
Volunteers in elected or nominated roles	Smaller charities, clubs and associations have voluntary but elected councils or committees with elected chairs that represent the interests of their members. Often the people who take up these roles are retired and they may or may not be comfortable with meeting with those from a professional culture. Within their own organisations, the models of decision-making are usually chaired, formal and based on voting.	Will not be remunerated for the time they put into attending but may have expenses met
Volunteers elected by one organisation but representing many others	Where the deliberation process is focused on large spatial areas, it is not possible for every charity, club or association to take part. In these situations, a representative from one organisation may be asked to take part to explain the views of that sector or interest. However, it is unlikely that such a person will be regarded by that sector as having been nominated to speak on their behalf.	Will not be remunerated for the time they put into attending but may have expenses met
People who do an activity that is not organised in clubs and associations.	Where resource users are not organised into associations or clubs, it is still important to hear from someone from that activity who can bring user knowledge about how it is carried out and where and when it takes place. Such people may have good links and informal networks with others who carry out the same activity, and will have rich user knowledge, but they are not nominated representatives and have not been authorised or mandated to 'speak on behalf' of that sector	Those from uses that do not have clubs or associations are unlikely to have any of their costs met.

3.75 All participation is fuelled by the time of stakeholders and all will pay some opportunity cost to take part. However, where there is very real financial cost to the individual in participating it raises ethical issues of fairness. As can be seen in the table above the different ways of representing others also affects the ability of people to afford to take part.

3.76 This issue is explored in the literature (e.g. Cooke and Kothari, 2001). Solutions for those who lose a days income to take part include:

- To go to where the people work. However whilst this provides the project the opportunity to explain what they are doing and to collect information and know-how, it is not helping these people engage in deliberative forums.
- Holding workshops at time of year, week, or day, when there will be less or no impact on income.
- Paying on request at least the expenses of non-professional stakeholders.

- Paying a per diem to those who will suffer a real loss of income. This is a norm in many overseas development contexts but is not something we have come across within the UK. (It is also worth noting that it raises all sorts of other issues not least setting a rate that is meaningful but does not end up incentivising attendance at workshops to the point that people participate for the money rather than through any real interest or stake in the issue).

Developing social capital

3.77 Pretty and Ward (2001) define social capital as the sum of connectedness, trust and goodwill between people and suggest that it has four elements:

- Relations of trust
- Reciprocity and exchanges
- Common rules, norms and sanctions
- Connectedness, networks and groups.

3.78 They argue that social capital should be seen as one of five key assets essential for sustainable living alongside: natural, physical, financial and human.

3.79 Social capital enables people to work together more positively even when difficult decisions have to be made and it results in co-operation and collective action. However establishing social capital is not quick or easy. Social capital is best achieved when people feel:

- They are listened to
- They are treated with honesty and respect
- They can influence what happens
- They have been able to spend time together and get to know each other in an informal context
- They can relax and even laugh together

3.80 In these circumstances, attitudes change and people become willing to understand other perspectives and more information is shared. This in turn helps establish more trust and good will, which are essential ingredients for good communication and co-operative conflict resolution.

3.81 When people do not feel they are being treated in these positive ways, they feel dis-empowered and defensive. They will not share information, communicate openly, or think creatively.

Process of change in all participants

3.82 Participatory processes are sometimes referred to as processes of social learning. This is because all participants learn from each other and as a result begin to change their own ideas and understanding of issues and potential solutions. As a result, social learning is increasingly becoming a normative goal in natural resource management (e.g. Parson and Clark, 1995; Diduck and others, 2005; Keen and others, 2005).

3.83 Participants also start to change their view of participation itself. Quite apart from the levels of contention on the issues, some technical experts/regulators and other stakeholders are often initially resistant to the cooperative process of participation (Houtekamer 2007). We have divided the attitudes between those most often held by technical experts and regulators and those of other stakeholders but the attitudes are not necessarily exclusive to that group:

Technical
- Belief that the subject is too complex or technical for other

Experts / Regulators	stakeholders to make a worthwhile contribution.
	• A tendency to invoke both science and statute to push their own view forwards.
	• Fear that too much is at stake: the environment is already under too much stress and if other stakeholders are involved it could lead to compromise/selling out/further degradation and loss
	• Feeling that they are the experts and so everyone should listen to them.
	• Bad experiences of participation in the past.
	• Discomfort with the level of social interaction required
	• Perception that the tools and techniques of facilitation are flippant ways to deal with difficult issues.
	• Concern about the time it takes - stakeholders are often seen as hindrance or distraction to effective decision-making
	• Concerns about sharing power
	• Concerns about the uncertainty
Other stakeholders	• Cynical that their participation will make any difference – the decisions have probably all been made – it is just being done for appearances sake.
	• Opportunity costs – if they give time to participation they are not getting on with the day job or for eg fishers earning a living
	• Spending money on participation is a waste of tax payers money
	• They are used to working in a context where if they think their interests may be at risk the most effective behaviour is to employ negative tactics:
	• Outside meetings: criticising, obstructing, making formal complaint, lobbying and campaigning.
	• Inside meetings: being positional, and forceful, seeking to dominate or control, threatening to walk out, shouting and expressing anger.
	• Concerns about sharing information – perceive withholding information and cooperation as power

The process of change

| No or little awareness of others interests and the shared challenge | → | Get involved out of fear of losing out | → | Recognise the benefits of involvement for your own interests | → | Recognise the validity of others interests and knowledge | → | See the benefits of cooperation and participation and commit to active and ongoing engagement |
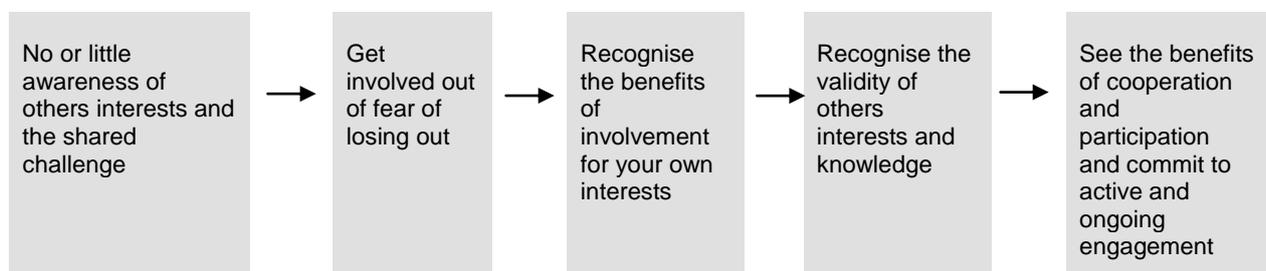
4 Learning from Finding Sanctuary

Aim

4.1 The aim of this task was to review the existing Finding Sanctuary process against good practice, particularly in terms of effectively engaging stakeholders, collaborative working, decision-making, being cost and time effective, and achieving their stated goals;

About Finding Sanctuary

4.2 Finding Sanctuary's Web Site describes the project as follows:

"Finding Sanctuary is a partnership project which aims to secure a healthy and productive future for the coasts and seas of South West England. Over four years, the project will work with stakeholders to design a network of Marine Protected Areas (MPAs). The goal of the MPA network is to safeguard our region"s undersea habitats and marine life, and to help ensure the long-term sustainability of marine resources in the region".

Previous involvement with Finding Sanctuary

4.3 In the interests of openness and transparency, it is important to state that we have had previous involvement with Finding Sanctuary. Through this involvement we have had some insight into the project, but have not been asked to advise on overall process design or participation strategy.

4.4 In early 2007 we have designed and facilitated three specific events:

- The Finding Sanctuary Regional Workshop
- The initial meeting of the Steering Group on which the Terms of Reference were based
- An education exchange bringing together marine educators from across the SW

4.5 The project manager and one member of staff have also attended **dialogue matters'** training course, "Beyond Consultation – Good practice in stakeholder participation".

Research method

4.6 There are many rationales and methods for reviewing and evaluating stakeholder involvement; these include examining outputs, outcomes and impacts; examining processes; examining values. Whatever the rationale, evaluation at its core should be a platform for learning, accountability and capacity building.

Different Functions of Evaluation

Source: http://learningforsustainability.net
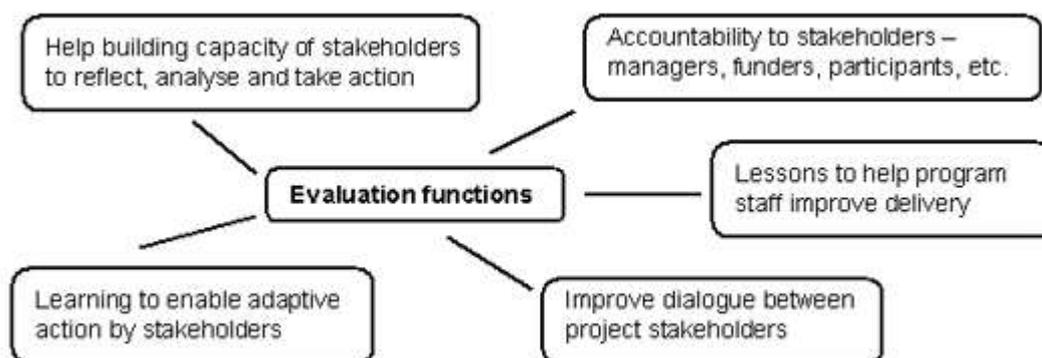
4.7 This review of the Finding Sanctuary project is essentially a formative review specifically focusing on the stakeholder engagement and decision making process. (Formative evaluations answer questions about how to improve and refine a developing or ongoing program, typically with a focus on process or impact. These differ from summative and impact evaluations, typically conducted to measure success).

Choice of method

4.8 The presence of researchers and facilitators has an effect on a project, and we were mindful that our involvement and conclusions needed to be supportive and undertaken with sensitivity. Any investigation that took a problem and issues focus risked having a negative effect on Finding Sanctuary and on the project's ability to succeed.

4.9 Within the resources available for this work, specific tools at our disposal included the following:

Semi-structured phone interviews	Semi-structured interviews offer no social learning and ran the risk that people would "vent" negative feelings and frustrations and potentially risk entrenching or hardening views.
A discussion paper and online or paper questionnaire	A questionnaire would provide quantitative as well as qualitative information but would constrain what was discussed and whilst providing information for this contract would have offered less benefit to Finding Sanctuary itself.
A workshop with the steering group, project board and staff.	A workshop, whilst demanding of participants time, provided the opportunity to frame and facilitate questions in a way that elicited key information in a positive, forward focused way, that did not escalate conflict or create negativity and contributed to building social capital within the group.

4.10 A facilitated workshop was selected as the primary means of hearing key stakeholder views, perspectives and hopes because it enabled us to not only collect information and insight that would benefit the new MCZ projects, but had the potential to be of benefit to Finding Sanctuary.

4.11 The workshop design was influenced by the ethos of Appreciative Inquiry (AI), although it did not follow a full AI process. AI, as noted in the previous chapter is based on the premise that organisations change in the direction in which they inquire. So an organisation (partnership or project) that inquires only into problems will keep finding problems and will divert effort, energy and resources away from what is working well.

The organisation then becomes negative or problems focused. If an inquiry looks instead at finding what works and seeks to enhance, develop and broaden this, the organisation can become stronger, more positive and solutions focused.

4.12   Whilst a single workshop reviewing progress would have a limited effect it was important to ensure that any effect was positive not negative.

4.13   The workshop was the main way of inquiring into Finding Sanctuary; however, we sought to triangulate the findings by also:

- Reviewing key documents (the Finding Sanctuary Phase 1 Strategy, minutes of two steering group meetings and the Terms of Reference for the Steering Group).
- Holding non structured discussions with the project officer, a project liaison officer, the Chairman of the board, and two steering group members.
- Listening for perspectives and views of the Finding Sanctuary when talking informally to members of staff, the Boards and Steering Group and to other stakeholders who expressed interest in this research.

Research finding

4.14   The remainder of this section includes:

- A look at the background and context of Finding Sanctuary
- Our research findings in relation to the aims
- Recommendations of relevance to Finding Sanctuary and the new projects.

4.15   Stakeholder or project member quotes are in Italics and not attributed.

4.16   In the evaluation section, text boxes have been used to differentiate between explanatory text and the review of Finding Sanctuary.

Background and context to Finding Sanctuary

The structure and location of the project

4.17   The FS project document outlines the following formal structures and functions:

Steering group: Consists of up to 15 members representing a balance of stakeholder interests whose purpose is to provide feedback and guidance to the MPA planning team – ensuring that decisions are solid, fair, balanced and within parameters set by the project.

Board: Made up of representatives from partner organisations and responsible for the legal, financial and overall project management, with no responsibility for the design or selection of sites.
–   *"The board works well"*

Project team: The project team comprises a project manager, 3 liaison posts, a (new) communications coordinator, 1 MPA planner and 1 GIS and data officer.

   Core staff:
–   *"We are lucky to have the right people in the right jobs"*
–   *"Its well administered"*
–   *"Staff have a good grasp of science"*
Liaison staff
–   *"Having full time liaison staff is very important"*
–   *"Liaison staff speak the "local language" and are respected"*

| **Scientific review group**: | A robust scientific review process involving both an independent review and a project-specific advisory process bringing together regional scientific experts in a series of science advice workshops. |

4.18   In relation to this structure the clear division between the Board and the Steering Group is an aspect of the structure that is valued:

  – I value "*the separation of the board and steering group*"
  – "*The structure broadly works; makes sense to have governance and administration (management) separated from the decisions* (about the MPA network)".
  – "*Well thought out structure of clear responsibilities – 2 sets of people – very good*".

4.19   The placing of the project in a neutral location away from any of the founding partners was also valued:

  – "*Administration by a neutral body (SW Food and Drink) working well*"
  – "*Office based on neutral territory is good*"

Strengths of Finding Sanctuary

4.20   During the review workshop participants were asked for what they valued and what they considered the strengths of Finding Sanctuary: Themes that came out strongly include that:

  • It is innovative and leading the way.
  • The staff are valued and appreciated.
  • There is a clear intent to hear views, issues and concerns of stakeholders, and to involve stakeholders in identifying where the MPA network could be.
  • The project is (now) much better resourced.

A learning and autonomous organisation

4.21   During our review of Finding Sanctuary, it was notable that a culture of learning, innovation and openness to new ideas has been established. From the outset the project has sought to learn from good practice elsewhere and adapt to changing circumstances. This is reflected in comments made during the review workshop in response to the question "What are Finding Sanctuary's strengths?

  – "*Ability to evolve*"
  – "*Ability to learn – not starting with all the answers*"
  – "*A learning team (adaptive process)*"
  – "*Can change rapidly to changing circumstances*"
  – "*Independence to adapt*"

4.22   The strengths of being a small independent organisation are strongly felt and valued. However, this may cause challenges for Finding Sanctuary as it is overtaken and drawn into the timetable, requirements and procedures of the regional MCZ projects.

4.23   An example of this is the frustration that people feel with the ecological guidance. Finding Sanctuary had made good progress in developing its own ecological guidance but a national Science Advisory Group for all the MCZ projects will now carry out this task.

Rapidly changing context

4.24   Finding Sanctuary has found itself operating in a rapidly changing context. Just 18 months ago at the Regional stakeholder workshop, the project officer said that "*this is a voluntary process to find a network of MPA's - if we can't work together and support this it wont be able to happen – there is no statutory legislation or enforcement to carry this out*".

4.25   While the aspiration of a national Marine Act was part of the motivation for the project when it first started in 2004, the reality of a Marine Bill was quite remote. This has now changed, and with it the legitimacy and perceived responsibility of FS to deliver results:

– *"There's tension regarding the SG role as it now exists and how it was stated at beginning (we spoke of exploring options first, now it's recommending"*
– *"The external context has changed: before SG would "suggest", now it is recommending. The responsibility for each SG members is v high".*

In the spotlight

4.26   When the project started, it was an independent regional project initiated by English Nature, with limited secured resources and no official mandate. It was not set up and resourced as a pilot for implementing a network of Marine Conservation Zones in response to the Marine and Coastal Access Bill.

4.27   In fact, Finding Sanctuary spent three years getting established before going public on 25 April 2007 – just 18 months before the review workshop. Whilst a great deal of advance thought and discussion went into how the project should develop, the realities of limited and short term funding and limited staff resources meant the project has had to evolve opportunistically. This has influenced the numbers and composition of the project team, the order in which it has carried out work and the way it has engaged stakeholders to date.

4.28   There is a discrepancy in the actual staffing versus what was projected in the original project plan. This translates into fewer staff in liaison posts and until very recently there has been an absence of anyone in communications/event management. Funding short falls have been a major factor in reduced staffing, with the European Financial Instrument for Fisheries Guidance (FIFG) financing the liaison posts and nothing similar available to fund communications. Since Finding Sanctuary went public, the lack of a clear communications/participation function has had a direct impact on the effectiveness of the stakeholder engagement process. (This highlights for all projects the disproportionate impacts of piece-meal funding).

4.29   Now JNCC and Natural England are actively initiating new regional projects in 3 other areas of England, and Finding Sanctuary is being seen as the project to copy. This is placing enormous pressure on the Board, Steering Group and staff.

4.30   There is also the risk that, instead of being seen as having made the very best of limited resources, Finding Sanctuary is seen as the way things ought to be done and to be copied in detail.

- *"Be careful about using FS as the pathfinder/model –it started with a voluntary remit but has now been overtaken by the Marine Bill and statutory process, it lacked resources up front"*
- *"FS was set up organically – there was no official mandate"*
- *"We did what we could and made the most of opportunities"*
- *"Funding has come into the project in pieces, which hasn't been great."*

- *"The weakest part of FS has been communications – but this should have been the priority – we should have set up a neutral communications person upfront and early – more important than IT!"*

Effectively engaging stakeholders

4.31 Evaluating stakeholders processes is now an area of research in its own right (Involve (undated) Chess and Purcell, 1999; Chase and others, 2004; Koontz, 2005; Webler and Tuler, 2006; Blackstock and others, 2007; Fritsch and Newig, in press).

4.32 Within the available time, we have chosen to review the effectiveness of Finding Sanctuary against two key parameters: the extent to which people have been included and the extent to which they have been able to deliberate. (For more please see the section in the previous chapter on 'Inclusion and Deliberation').

Regional Stakeholder workshop April 2007

When Finding Sanctuary held its first stakeholder workshop in the April of 2007, significant efforts were made to be inclusive and to identify and invite a broad range of sectors and interests from the South West. Approximately 100 people were invited and about 80 people attended. The workshop was professionally designed and facilitated (by ourselves).

This workshop was a strong start at both inclusion and deliberation. However it was not the start of an ongoing facilitated participatory process and following the workshop, discussion narrowed down to a smaller group: the steering group who have chaired, rather than facilitated, meetings.

The Steering Group

The decision to form a steering group was undertaken by the Board prior to the regional workshop. As part of our contract to run the regional stakeholder workshop, we were asked to run a process for the selection of the membership of the group. A questionnaire was sent out to over 100 stakeholders, prior to the Regional workshop, asking which interests or organisations should be represented on the steering group. Approximately 35 organisations or interests were identified and than a prioritisation exercise was facilitated during the Regional workshop to short list the 15 or so that would comprise the steering group. This process enabled some equity in the way that membership of the group was agreed. However, at the end of the workshop people expressed concern that the composition of the group was not sufficiently inclusive, and letters were received afterwards by organisations that wanted a seat at the table.

The first meeting of the group took place in September 2007. It was professionally facilitated (again by ourselves) to help people discuss and agree their role and remit and how they would conduct their meetings. At this meeting, members again expressed concern that the group was not inclusive enough and key interests were missing, but at the same time people felt that numbers had to be kept to around 15 if meetings were to be effective. From September 2007 to the review workshop the group met only a few times.

During our review it became evident that those who sit on the group still do not regard it as sufficiently inclusive:

- *"There are a lot of groups or sectors missing from the SG. Eg. general public, port authorities, local councillors, other users (aggregates) etc."*
- *"Some communication/networking has started with recreational anglers but we need more."*
- *"Need different structure to allow for better input from fishermen in different places/gears"*

- *"That the steering group evolves to represent a larger number of stakeholders eg 50-70"*
- *"Increase in size of steering group (or regional stakeholder forum) to take account of all stakeholder interests"*

Currently the steering group meetings are chaired and the view of the group is that this has been done well:
- *"Selection of an impartial Chairman has been very good"*
- *"The selection of a Chairman who is skilled and experienced at governance, highly credible, and who has some distance – ie limited direct involvement in the issues being explored – is very helpful, and is the case with FS".*

However if the group remains chaired, there are real limits to the number of people who can be effectively involved, and it will need to stay at or about current numbers. Even at this size there are challenges with the way that decisions actually get made (see 'Consensus Building' in the previous chapter).

In terms of deliberation, the size of the group works in favour of in depth discussion. However factors typical of all unfacilitated discussions, particularly where there are strongly different interests, mean that this is unlikely to be able to happen. Some of these factors include confusion over what 'consensus' means in practice, the level of social capital, positional negotiation, the pressure individuals feel, and variety of ways people represent their interests. These are explored in later sections.

If the stakeholder group is to become both more inclusive and more deliberative, it will be necessary to change the mode in which it operates to a good practice stakeholder process, which is designed and run by skilled facilitators.

In conclusion, the current membership and functioning of the steering group has been the best possible within available resources, but it is regarded as not inclusive enough, and it is unlikely to be very effective at being able to deliberate over options.

Liaison with Fishers

Another way that Finding Sanctuary is currently involving stakeholders is via the Fisher-map project which is certainly aiming to be inclusive in terms of the numbers of fishers and types of fishing (but is not yet including or capturing information from other sea users). The process of gathering the information is via meetings between liaison officers and small groups of fishers. This enables in-depth discussion amongst those present but it is not deliberative because the meetings are primarily to collect information (not deliberate over options).

This work is one of the achievements that people at the review workshop spoke most highly about

- *"Having full time liaison staff is very important"*
- *"Liaison staff speak the "local language" and are respected"*

The liaison officers are all ex fisherman and their understanding and empathy with fishers has been a great strength in working with and gathering information from SW fishers. However there are risks of selecting liaison officers from a particular sector. They may find it difficult to remain impartial and to avoid taking sides with the fishing sector themselves, particularly on occasions where there is some strain between the fishing sector and the project. It also remains to be seen how other sea users, who see themselves as at odds with the commercial fishing sector, relate to the liaison officers.

- *"Liaison and the projects communication staff need to be seen as 'honest brokers'"*

Representation

4.33   People can represent interests in a variety of different ways:

- Paid professional staff.
- Volunteers in elected or nominated roles.
- Volunteers elected by one organisation but representing many others.
- People who do an activity that is not organised in clubs and associations.

4.34   (For more please see the section on Representation in the previous chapter).

Within Finding Sanctuary, members of the steering group vary in the extent to which they represent their sector or interest. Members of the group fall into all of the above categories and in the context of the pressure the steering group is under, and the changed remit from when the group was formed, this is causing real difficulties:

− *"Different SG members have different degrees of autonomy, perceived influence and representation (to their sector(s))"*
− *"There is an under-representation in the fishing sector, which is only partly influenced by loss of one fisheries rep. The Fishing sector is many sectors – varies by type of gear used, locations and fish species targeted, regulatory context (inshore versus offshore), management structure (owners vs. crew), culture. Can't make broad generalisations, and no one industry representative exists. 3-4 representatives at the SG at least needed. Only having one person means he's under tremendous pressure and can't do the job or himself justice."*
− *"Without better representation and a more appropriate process for involving the fishing sector this can't work".*

Whilst these views are currently being expressed in relation to fishing interests, it is likely that other interests and users, for example the variety of recreation interests, would express the same views if they were sufficiently aware of the project and had only one or two representatives on the group.

The different ways that people "represent" others will affect the strength of voice that they believe they have in the discussion. This will be based on:
- Their sense of authority or mandate to speak on behalf of others.
- The extent to which they feel supported by people who share the same interests
- The extent to which they feel their own views are consistent with others from the same interest.

The way people "represent" others will also affect their ability to discuss with others from the same interest whether the proposals considered by the steering group are likely to find wide acceptance or not.

− *"Some SG members are unable to communicate about the project to their sector/network"*

Several SG members have noted the pressure of the responsibility – to both "find the answer" and to represent their sector(s) adequately while doing so. The potential for heightened adversarial dynamics around such a small table with huge perceived responsibility is high.

4.35   The challenges of parties representing others in these differing ways are not possible to overcome in their entirety in any deliberative process, particularly for common pool resources such as the sea. But the problems can at least be ameliorated including by: systematic stakeholder analysis and balancing a well designed stakeholder process which provides opportunities for a broader range of voices at several levels of

involvement (information gathering, consultation and shared decision making), much greater inclusion in the deliberative forum itself, skilful facilitation and use of techniques so ideas and issues are taken on merit not on the status/mandate of the person speaking, and support for people taking part to help them communicate with their sector.

Affording to take part

4.36   When stakeholders take part in participatory processes there are costs involved. At the least this includes the opportunity cost of their time and their expenses. Some of the stakeholders in Finding Sanctuary will be paid professionals and will have their expenses paid by their organisations. However, for some sectors or interests, stakeholders will be self-employed or part of small enterprises. They will not be salaried to take part and for some (eg recreation concessionaires, charter boats, or fishing interests) there will be a loss of income if they give up a day of their time to take part in workshops. If the person taking part is the proprietor of a small recreation business or the skipper on a fishing vessel, this has the potential to not only affect his or her own income but others who are employed often on a casual basis.

4.37   Where there is very real financial cost to the individual in participating it raises ethical issues of fairness.

Within Finding Sanctuary this barrier to involvement has been noted:

−   *"Need reimbursement for participation. Fishermen directly lose salary to participate in events".*

Collaborative working, decision-making

Social capital

4.38   Social Capital is the sum of connectedness, trust and goodwill between people. Good levels of social capital are essential for cooperative and collaborative action (for more on this please see the section on Social Capital in the previous section).

At present the amount of social capital held within different parts of the project is strongest within the boards and project team and lowest in the steering group.
−   *"No time within SG spent on getting to know each other, building sense of a group with shared objectives, building trust or basic understanding of each other, or the project."*
−   *"There is limited information or education element to the SG process – there's varied understanding about the broader context of the project, ie the Marine Bill and other directives (EU and domestic)."*
−   *"SG lack clarity about their roles and responsibilities – some lack info and understanding about MPA/Marine bill etc – need more time to build understanding – a couple of days training and socialising."*
−   *"SG meetings are too infrequent"*

However, an extract from the terms of reference for the Steering Group, which were based on discussions at their facilitated workshop in September 2007, demonstrate a clear desire for the steering group to work together in a co-operative way.

2.1 The Character of Steering Group meetings
−   *"Meetings are well managed"*
−   *"They are characterised by open mindedness, mutual respect, and a determination to understand others perspectives,"*
−   *"There is a spirit of co-operation, mutual learning and creative problem solving"*
−   *"The meetings are constructive and achieving clear goals with everyone working towards finding win/win outcomes"*

– *"There is a time for informal networking to help the group get to know each other and work together well"*

The reasons for the discrepancy between experience and aspiration lie in the way that people behave around decision-making when there is a lot at stake and there is no skilled facilitation. (This is explored in the section on 'Positional negotiation/competitive decision making' under the section on 'Consensus Building' in the previous chapter).

Decision making

4.39   The section on 'Consensus Building' explores difference between positional or adversarial negotiation and principled or cooperative negotiation. The section also sets out the need for a third party to design and facilitate a process that enables people to shift from negative to cooperative tactics.

Within the Finding Sanctuary project there is a clear intent that the steering group should be the group that deliberates and makes choices and decisions (ref ToR). It is also clear from the Terms of Reference quoted earlier, that members have the intent to find agreement and develop consensus. However, despite their good intent, it remains unclear how decision are actually made by the steering group. There is no clear process, mechanisms, or techniques, of how consensus is to be achieved.

Without this, and in the context of strong differences and interests, it is inevitable (and no reflection on members of the SG) that the tactics of positional negotiation are used:

– *"People take an adversarial view and so when ever something is proposed everyone ends up tearing it to pieces".*
– *"We need a lever to release pressure on the SG"*
– *"Its difficult to grasp the process- some don't get the process/approach of collaborative working"*

– *"Procedures for SG to make recommendations or make any decisions are not clear: operating through consensus? How? We need guidance"*
– *"Are the groups involved in FS too different to ever be able to reach consensus?"*
– *"Should FS be even trying to reach consensus?"*
– *"There isn't the understanding that consensus is not about unanimous agreement – not voting- not veto"*
– *"Lack of a clear understanding within the group of each other and of the full and complete remit of the group (ability to make suggestions was the scope at beginning, now talking as if making consensus is the rule and recommendations will be formal and final)"*

As their experience demonstrates, good intent is sometimes not enough, and the role of a skilled and impartial third party is needed to help people shift from positional negotiation to principled negotiation.

Being cost and time effective

Process design

4.40   A growing consensus amongst participation practitioners and academics is that for stakeholder engagement to be effective, a coherent designed process (Reed 2008, NRC 2008) is essential.

Due to the resource constraints, Finding Sanctuary has not yet had the resources to fund or commit to a professionally designed stakeholder process.

However without a clear process and project plan it is unlikely that effective use is being made of people's time, or the time available to carry out the work. Ad hoc meetings, unclear decision making, positional negotiation tactics, and lack of sequencing so that earlier decisions can get revisited and reopened, are all likely to lead to inefficiencies.

− *"We need a step by step process – transparent"*

Science and GIS

4.41   The choice and role of technical science in participatory processes is important and can seriously impact positively or negatively the success of any collaboration.

4.42   Recognising that GIS and other technical support are vital to marine dialogue process, we have highlighted this area separately in an earlier chapter.

Finding Sanctuary has developed understanding and skill with the GIS and other technical knowledge required to inform the optimum selection of MPA. This is appreciated and recognised:

− *"Advances in technical content (web, GIS) have changed for the better"*

And aspirations for the future are:
− *"We will have applied cutting edge GIS and decision support software, good science…. And managed to communicate it all so people understand what we are doing"*
− *"Adoption of participatory GIS, building on the techie expertise from the US and achieving proper understanding of what decision support software can and can't do."*

However there are also frustrations about the time that this is taking:
− *"A lot of time is spent waiting on the science and technology"*

And about the optimum use of GIS
− *"GIS is not being used as a communications/learning tool and should be"*
− *"Stakeholders need to be involved in determining what types of data to include in the GIS, what kind of information is needed"*
− *"Socio-economic factors need inclusion into the mapping, not just ecological"*
− *"Decisions are needed on how to use the data - what parameters to include for meeting our objectives (eg should we try to set targets?)"*
− *"If we set targets, who should set the targets – would this be better done by others outside the FS process? They could then pass the details of sorting out where to put what over to FS which would be practical work for local stakeholders"*
− *"There's limitations in using Marxan and we should acknowledge these"*
− *"We should have multi-stakeholder sub-groups exploring issues like the use of Marxan"*
− *"Need very good plain English communications if using technical software – MUST NOT BE A DIVIDE or separator. Not seen as a black box".*
− *"To use a front end with stakeholders, would need huge amounts of time and resources to get pass the barriers it creates"*

Achieving stated goals

Goals

4.43   Formally agreed vision and goals, and the value judgements they convey, are the building blocks for a successful collaborative process. Building a broad and integrated long-term vision, co-designing goals and searching for and stating shared values, can be very important for building group cohesion and social capital.

The overarching objectives set for Finding Sanctuary are:

Vision: A healthy, biologically diverse marine environment for future generations

Aim: Design and plan a network of MPAs around South West England that is based on good science, and developed in collaboration with a wide cross section of stakeholders.

Goal: The goal of the MPA network will be to safeguard and encourage recovery of marine biodiversity, and to help ensure the long-term sustainability of marine resources in the region.

These goals were initially developed by the project team and have been crucial to securing finances and support for the setting up of the project. The steering group considered and made minor amendments to these goals but did not co-create the vision and goals themselves.

−   *"It's important to set clear objectives early in a process but not so early that the objectives are not well understood and endorsed".*

Finding Sanctuary goals focus on biodiversity and marine resources. However, some members of the SG question if the existing objectives are complete and think the goals should be broader and be about achieving sustainability and integrated solutions. Other members think the answer may lie in formal (top down) government endorsement of the group's ecological objectives.

−   *"It's difficult to get widespread support for just ecological objectives"*
−   *"Not everyone on the Steering Group fully understands or supports the project's objectives"*

When asked for their wishes for Finding Sanctuary the answers included:
−   *"It will start to redress the ecosystem in the sea and provide a sustainable future for marine life and those who make their living from the sea."*
−   *"For the MPA network to end up in the right place and prove beneficial to both the environment and stakeholders"*
−   *"That FS achieves an end product which is environmentally, socially and economically acceptable"*

When asked what kind of information was needed for the effective selection, designation and management of a network of MPA. The resulting mind map highlighted 7 threads: Intrinsic value of the sea, process understanding, multiple knowledge types, current activities and uses, ecological considerations, legislation, local communities. Whilst these are not in themselves project goals, they are factors which participants felt should be incorporated when planning for MPAs. While ecological considerations are present, other considerations include recognising that there are many different types of relevant knowledge and that local community perceptions are important, as are current local activities.

All these are indicators that some people would like the goals to be broadened out.

4.44 Defra and the Agencies discussions about how to implement MCZ networks in practice have developed rapidly over the last six months. It is now well understood that deliberations about the network will need to take into account both ecological and socio economic considerations. The principle will be that where there is a choice between ecologically comparable sites, if one is in an area of lower socio-economic value, and/or lower levels of physical, biological or chemical pressure, it will be selected in preference to one in an area of higher socio-economic value and/or higher pressure.

4.45 This broader approach, which seeks a sustainable future for marine life and people, is not currently reflected in Finding Sanctuary's stated goals. However, the new projects are able to start from a different point of understanding and can develop more integrated and holistic goals with stakeholders.

4.46 (Also of relevance to this discussion is the section of this report on the Ecosystem Approach.)

Achieving stated goals

Finding Sanctuary has clearly stated goals, a skilled and competent staff, a supportive Board, and a SG with good will and good intent but which is struggling to become cohesive.

The ability of the project to achieve its stated goals may mean revisiting the goals themselves and ensuring their original goals are integrated and set within a broader set of goals about sustainability which will be of more relevance to more people.

Whatever the goals themselves, we consider that based on the stakeholder engagement to date, the project is unlikely to be able to achieve its goals. This is not to do with the commitment and competence of those involved, but to do with the need for the project to follow good practice stakeholder participation. In particular, we would emphasise the need for coherent, inclusive and designed conflict management/consensus building process with a clear overall design including sequencing of tasks and skilled facilitation.

Recommendations for Finding Sanctuary and the new Projects to consider

4.47 Recommendations are provided to support further discussion and possible modifications to Finding Sanctuary. These early stage lessons will also be helpful to the new regional projects.

Structure, staffing, hosting, and learning

Structure   The Finding Sanctuary structure of having a Board that is focusing on management and administration of the project separate from the stakeholder forum is trusted and liked by stakeholders and recommended for the new projects.

We recommend that each of the MCZ projects has a project board which is separate to the stakeholder process.

Steering group   The Finding Sanctuary steering group membership and meeting style is not working well and we recommend this is not copied in other locations.

The chapter of this report on a suggested process for the new projects provides our recommendations for:
- A designed structured process
- A deliberative stakeholder process involving in the order of 70 or more stakeholders representing a much broader range of

interests.

- Professional facilitation using skills and techniques that help people to find what they agree about and to work cooperatively

We recommend that stakeholders discussions about the MCZ network are through a professionally designed and facilitated stakeholder process.

Staffing

To avoid the imbalance that Finding Sanctuary experienced as a result of piecemeal funding we strongly recommend that in order to be effective and implement comprehensive and integrated projects, core staff funding is required to cover more equably the essential activity areas. In particular the inherent bias in conservation projects towards funding the familiar (science and GIS) should be balanced with the need to effectively resource two way communication and participation activities.

We recommend that the projects are provided with sufficient resources to have a balanced complement of staff and to undertake communication and participation effectively.

Liaison Staff

Finding Sanctuary has found that liaison staff with a fishing background have been a great asset when seeking to engage fishers. However, these individuals will need help and support in order to maintain a neutral stance and avoid taking sides, or being perceived to have taken sides, with the sector they are from.

We recommend that liaison staff are actively helped to maintain their impartiality.

Hosting/location of the projects

Hosting the MCZ projects at a neutral location is appreciated by stakeholders

We recommend that projects are hosted in a neutral location.

Learning culture

Whilst the learning culture of Finding Sanctuary is both unusual and a great strength we would advise that it does also need to exercise some discernment in which case examples it learns from. This includes first finding out the principles of good practice for a particular skill or activity (eg stakeholder participation) and then assessing projects to see to what extent they have followed good practice before selecting what to learn from.

We would also encourage the MCZ projects to learn from other non-MPA projects in England/UK. Whilst MPA projects elsewhere in the world have a shared goal with the MCZ projects here, they may be taking place in very different cultures. For example, there has been and is good work being done in this country in relation to the European marine sites, estuary management groups, participatory GIS, and a strong body of literature and case examples in good practice stakeholder participation in land and riverine resource management.

We suggest that the new projects adopt a learning culture and learn from good practice in natural resource management (not just MPA or marine work).

Learning from

Finding Sanctuary has without a doubt been a pioneering and innovative

Finding Sanctuary project and there is much to learn from. However, it was not set up as a pilot for implementing the MCZ agenda of the Marine and Coastal Access Bill and so was not given commensurate resources upfront. Having developed a work plan, the project set out to find funding and it has made the most of funding opportunities when they have become available. To a degree, it is the availability of funds that has determined the order of activities, methods, and staffing, and so it should not be taken as an exact model or template for others to follow.

We suggest that Finding Sanctuary is viewed as a pathfinder not a template.

Effectively engaging stakeholders

Inclusion Our findings show that the current composition of the Steering Group is not sufficiently inclusive leaving some interests without a seat at the table and other interests under represented (eg the range of fishing interests).

We recommend that the new projects undertake a systematic stakeholder analysis and engage a much larger group of stakeholders in the core regional deliberation process (in the order of 70 plus people).

We recommend that the regional process is run as the core of a process that also involves local, sub regional sea, and national stakeholders. (See 'Recommendations and suggested process for the new regional projects').

Deliberation When there is a lot at stake people use positional negotiation tactics, which make open minded and in-depth deliberation difficult if not impossible to achieve (however skilled and respected the chair).

The role of a neutral third party facilitator is to guide participants through a consensus building process that helps people engage in principled negotiation.

We recommend that each of the MCZ projects appoint a professional third party to manage and facilitate their participation process, and that the third party understands principled negotiation and has skills in consensus building/conflict management.

Representation If not carefully facilitated, the fact that different stakeholders represent their constituencies to different extents and in different ways will cause bias and inequalities.

Skilful design and facilitation of workshops can make a significant difference in mitigating against this by ensuring that ideas are taken on merit (not on the power base of the person who proposed it).

We also recommend that the projects actively support stakeholders (particularly those from dispersed and/or unorganised interests) in helping them communicate and liase with their constituencies.

We recommend that the participation processes are designed to be fair and use techniques that ensure points are taken on merit.

We recommend that the projects work with stakeholders to identify

what help and support they need in communicating with their constituencies

Affording to take part	Where there is a real financial cost to the individual in participating it raises ethical issues of fairness.

We recommend that the new project have sufficient resources to cover expenses of unsalaried stakeholders who request assistance.

We also recommend that the idea of a per diem is considered and explored for particular and limited range of stakeholders such as small scale/near subsistence fishers.

Collaborative working and decision making

Social Capital	There is a tendency for conservation projects to place a high importance on expert information and science and overlook the need to build strong social capital, or to understand the means of doing so. Even with the best of intent, the difficulties in achieving good social capital are demonstrated by Finding Sanctuary.

A well-designed and well-run stakeholder process will itself build social capital amongst participants – indeed that is one of the key strengths and reasons for doing stakeholder participation. However, opportunities to enhance this should be taken when ever practicable. Examples of how to do this with the stakeholders in the regional process could include:

- Optional field visits/trips
- Eating together if stakeholders travel long distances and need to stay overnight prior to a workshop.
- Within workshops, there is a tendency to become very task-focused, but the value of generous break times with quality refreshments should not be underestimated.

We recommend that the projects are encouraged to understand the importance of good social capital, and that they actively seek opportunities for ways of enhancing social capital with and between stakeholders

Decision making	The Finding Sanctuary SG has struggled to turn their aspiration for collaborative and cooperative meetings and effective decision making into reality.

Well-designed and well-run participation will address this by setting out a clear process that progresses through a sequence of questions and activities and helps people to make decisions.

We recommend that the participation processes are skilfully designed in detail and impartially and skilfully facilitated.

We also recommend that stakeholders are provided with briefing on the type of process they are being invited to take part in, a process map, the way decisions will be made and the meaning of the term consensus building.

Being cost and time effective

Process design   There has been a tendency both within Finding Sanctuary, and more generally within the natural environment sector, to commission **individual** ad hoc workshops. These may be well designed and skilfully facilitated, but stand-alone workshops, however effectively run, do not add up to a coherent process. They can provide a highly effective and efficient way of capturing knowledge, know how, and views of participants, and building understanding. But they will not in isolation add up to a designed and sequenced decision making-process.

Good practice is for a coherent structured sequenced process, designed by someone who has the relevant process design skills.

Science and GIS   One of Finding Sanctuary's strengths has been in seeking the best available scientific knowledge and information and in putting together a team of highly skilled GIS technicians.

However the role of science and GIS in decision-making has to be handled carefully.

We recommend that both Finding Sanctuary and the new projects ensure the following:
- **That at an early point in the stakeholder process, stakeholders are asked what information they need to help them in their discussions**
- **That science (natural and socio economic) information is then gathered in response to identified needs**
- **That science is presented in an accessible format and plain language**
- **That risks and uncertainties are explored and explained well**
- **That GIS is likewise made as accessible as possible**
- **That collation of relevant information and GIS is done to serve the needs of stakeholders and stakeholders do not find themselves serving the needs of sophisticated models.**
- **That stakeholder processes include not only resource users but also those with relevant science and technical expertise**

Achieving stated goals

Setting goals   Much of the literature on multi-stakeholder processes (MSPs) states there are real advantages to broad goals, which integrate and reflect the aspirations of the multiple groups involved.

An important discussion for the Finding Sanctuary steering group is whether the goals should be broadened out.

For the new projects, the lesson can be learnt about the timing and process for deciding goals. They can also take advantage of the developments in thinking since Finding Sanctuary started, and can develop broader goals together with stakeholders (see the quotes under 'Goals' for examples of the broader aspirations of stakeholders that

include the three pillars of sustainability).

Exploring long term aspirations will help the group to understand each others:
- Motivation for involvement
- Ways of viewing the problem
- Goals, objectives and hopes.

We recommend that the new projects develop broad goals and a shared vision together with the other stakeholders in the first workshop in each process.

Achieving stated goals

It is of the utmost importance to manage expectations of what Finding Sanctuary, and the new projects, may practically deliver. This means emphasising that the participation process can decide the MCZ network to **recommend** to government but the final decision rests with government (Defra).

In regard to achieving this or its stated goals, Finding Sanctuary demonstrates that good intent is not enough. To achieve goals, especially in the management of common pool resources, good practice participation is essential.

We recommend that stakeholder expectations are managed. We recommend that the projects implement good practice participation

5   Recommendations and a suggested process for the new regional projects to consider

Aim

5.1   Provide recommendations and a suggested process for the new regional projects to consider in order that they can complete the projects objectives by mid 2011

Assessment of the situation

5.2   Prior to designing a process, it is important to scope and assess the context and content of the process against key parameters. We have included this assessment below:

(**Please note** the word 'regional' is meant as the regional sea area not the administrative regions of England. Please also note that this is our own assessment at the time of writing and details may be subject to change.)

Purpose	• To identify a network of Marine Conservation Zones that can be recommended to Defra, in October 2011, including where the MCZ network is, the objectives for conservation for each MCZ, the likely acceptable human use, and level of protection.
Who decides what	• Decisions about what network to recommend are to made at the regional (project area) level.
	• Involvement of local area and national stakeholders will be to provide information and comment for the regional deliberations.
	• Natural England and JNCC will collate regional MCZ project recommendations into a single document that will be presented to government. They will not change the recommendations but will provide formal advice to Government on whether the network satisfies the MCZ network objectives.
	• To help the regional projects submit recommendations that will achieve the UK MPA network objectives, specialist staff will work alongside other stakeholders within the regional processes, to provide information, technical expertise, and to negotiate and influence the outcome.
	• Following submission of the recommended network, Defra will undertake a formal national consultation.
	• The Minister will sign off the network
What can't be changed as a result of stakeholder participation	• That MCZs are recommended to Government for designation by October 2011 as part of an ecologically coherent network of MPAs: the UK has obligations to meet this target under the OSPAR Convention and European Marine Strategy Framework Directive.
	• The Regional Sea Areas: the regional sea areas have been delineated by Natural England and the Joint Nature Conservation Committee based on bio-geographic regional

	seas and political boundaries.
	• The location and features of Natura 2000 sites: the sites have been selected by Natural England and JNCC because that is where habitats and species occur that are listed on the Annex's to the Habitats and Bird Directives and meet the site selection criteria. (Although amendments are possible based on scientific grounds).
	• The overall purpose of the network, the network design principles and the guidance produced/endorsed by the Science Advisory Panel.
What can be changed as a result of stakeholder participation	• The specific location, size, shape and management of the MCZ network (as long as the network design guidance is followed, criteria and conservation objectives are met).
	• Discussion on which conservation features are sensitive to which human uses and how they are best managed. (Dialogue is essential because users of the marine environment and relevant authorities understand where, when and how activities take place and JNCC and Natural England understand ecological issues such as functionality, location, and sensitivities). The management of MCZs will be the responsibility of the statutory authorities. However, the regional projects can recommend management measures for the sites and will be encouraged to work with the management authorities to participate in the management of the sites.
Location of the projects	• There are four regions of varying sizes and with cross border boundaries within the UK and adjacent to the territorial waters of other European Countries
Spatial scale	• The MCZ project areas cover vast areas of coast and open sea
	• The scale and delineation of the regional sea areas is not meaningful to stakeholders. Depending on the sector some have a national perspective including off shore whilst many sectors will have information and knowledge that is quite localised and near shore
	• For many (but not all) stakeholders there is a division between those whose interests are mainly near shore and those for whom they are offshore
	• The process needs to work at multiple scales (Local level (harbour and length of coast or county coast), regional sea area, and national, with input from international stakeholders).
Levels of awareness and tension amongst stakeholders	• Many sectors have been actively involved at a national level in lobbying to influence the Marine Bill. This has led to some sectors becoming highly positional, well resourced, and ready to challenge proposals in order to advantage their own interests.
	• Stakeholders in the regional sea areas (outside of the Finding Sanctuary area in the SW) have little if any knowledge of MCZ or the 3 new projects.

Past history	• Previous attempts to designate MPA at sea have been fraught with difficulties and only one small area in England has been given this protection (Lundy).
	• Management of the marine environment for nature conservation underwent a significant change about a decade ago when the coastal Natura 2000 European marine sites (Ems) were designated and management schemes were developed. This was the first shift to cooperative working within a statutory framework in marine management and with a significant degree of success (EN, SNH, CCW, EHS, (DoE(NI)), JNCC & SAMS, 2001; Jones and others 2001)
	• Estuary Management Projects have likewise brought stakeholders together to coordinate management. In these areas, stakeholders now have a history of meeting together in a variety of forum to discuss and coordinate activities, and develop understanding.
	• Outside European marine sites, and estuary project areas, there is no history of the different marine sectors working together.
	• There is antagonism and polarisation between some conservationists and fishers.
Timeframes	• Current timeframes are that the process has to deliver MCZ network recommendations by mid 2011.
Other relevant processes	• Where possible the process needs to be 'aligned' with other marine planning processes (a current top down process for designating new Natura 2000 offshore sites, and the forthcoming Marine Spatial Planning).
	• Other sectors (and the Crown Estate) are currently undertaking analysis of policies, targets, and spatial data in order to plan for spatial needs.
Rapidly evolving context	• Natural England and JNCC are in an ongoing process of developing their thinking on the MCZ projects and so new information and considerations are emerging that will affect the process design.
	• Likewise changes in government policy arising from National Policy Statements and the Marine Policy Statement will need to be taken into account.

Type of process that is needed

5.3   Based on this we propose that the process:

Works at different scales	• Has a large deliberative forum at a regional level as the backbone of the process.
	• Works at multiple spatial scales with clear flow of information between each
	• Engages national and local stakeholders at a spatial scale that is meaningful to them
	• Nests information on human uses at national, regional and local level via a stakeholder 'handbook' or 'dossier'.
	• Provides some consistency across regions but enables a degree of adaptation to regional circumstances.

Provides a foundation for the future	• Evolves and develops, and leads to the effective management, monitoring, and review, of the MPA network • Provides a clear regional structure, a solid foundation of information and understanding, and builds good social capital for forthcoming Marine Spatial Planning.
Is principled and designed	• Is based on helping people to move from positional negotiation to principled negotiation • Has a clear structure and architecture, is coherent in design (so that all the parts work together), and has clear stages, logic and sequence • Optimises inclusion and deliberation • Is streamlined and efficient as possible so that the same design of workshop could take place at different locations • Makes the best use of stakeholders time

Suggestions for how people are organised during the process

5.4   As described above the scale and area of the regional seas is not yet a meaningful space for stakeholders and so we propose that the participatory process operates at and between regional sea level, area level, local level and national/international. (Please note we are not here suggesting that there are neat divisions between, for example, regional and area stakeholders, but that through careful stakeholder analysis and balancing, stakeholders can take part in one or other of the levels as appropriate).

Stakeholders

Stakeholder Regional Process	• The process we propose is centred on a large deliberative regional stakeholder forum, which brings key stakeholders from across the sectors and region together to make the decisions about what MCZ network (and management) to recommend to Government for that region. This forms the backbone to the process. However as discussed earlier the regional sea areas are not a meaningful space to most stakeholders so there is a need to harness the knowledge and advice of those with a national or international perspective, and those with a more local perspective.
Stakeholder Area Processes (covering stretches of coast within a region)	• We think it is necessary to subdivide the region and run participatory workshop processes to capture the knowledge, know how, and views of stakeholders at a more local level. These stakeholders would have interests that operate closer to shore for example: shell fishers, recreation interests, and Local Authority activities • Where there are existing coastal forums that cover large areas (eg The Solent, or the Wash & North Norfolk Coast), it makes sense to harness their existing knowledge and social capital. Where no such coastal forum exists, 'area' input could be by county coast or some other division that would be meaningful to stakeholders.
Liaison with local stakeholders	• Finding Sanctuary has demonstrated the benefit of capturing local knowledge by allocating liaison officers to areas of coast where they then meet local fishers and other sea and

shore users in small informal groups. We have included this in our proposal.

National and International Process

- Some sectors (for example oil and gas, renewables, cables aggregates, shipping, and some fisheries interests) have a national or international perspective to the sea. We propose that a sequence of workshops are also held at a national level as a way for these stakeholders to input their information and comment before it is passed to the regional forums.
- The national level workshops will also include stakeholders from other countries who carry out activities within UK waters. In relation to management, particular effort needs to be made to include fishing interests from neighbouring countries because the UK cannot regulate activity of foreign vessels beyond six nautical miles.
- The National & International process will be used to maximise opportunities to identify synergies and opportunities to help the regional projects minimise socio-economic impacts of the MCZ network, and maximise the effectiveness of participation. Some sectors have extensive experience in Marine Spatial Planning and could offer advice and support to the regional projects to ensure that opportunities to minimise duplication of work are used. Other European States are also developing MPA networks (e.g. France) and are keen to maximise opportunities to collaborate to minimise duplication of work and identify synergies.
- National & International stakeholders can help ensure that the best use is made of stakeholders' time (please see text on 'Minimising stakeholder fatigue' under 'Other Considerations' later in this chapter)

Science Advisory Panel

- A Science Advisory Panel is already being set up to advise on ecological advice, produce and/or endorse network design guidance, and take an overview of how well emerging networks fulfil ecological criteria

Process advisory group

- The value of an independent, professional, third party facilitator, is that they can design and facilitate a process which is seen as legitimate, well structured, and impartial. In order to do this they need to be well informed (including about the issues, context, cultural considerations, existing or likely conflicts, what is or is not negotiable, and timeframes). To ensure that this information is not coming from a single source or interest (which would be perceived as biasing the process), it is standard practice for practitioners to convene a small subgroup of about 6-8 key stakeholders, (often partners in a project or relevant authorities), to provide contextual information to the designer/facilitator to help them design a better process. The facilitator then meets with this group at regular intervals to ensure that the process is adapting to circumstances – and any changes are well informed and understood by key people.
- The role of this advisory group is only to provide contextual information. Within the participation process, these people

are on an equal footing alongside other stakeholders. Their role in this subgroup **does not** give them any greater say or influence on the outcome of the participation.

Project team and board

Regional Projects
- Like Finding Sanctuary the entire MCZ Projects will be supported and run by regional teams comprising professional staff.

Project Board
- Also, like Finding Sanctuary the MCZ Projects will be managed and given oversight by Project Boards comprising staff from sponsoring bodies that do not participate as stakeholders but stay focused on the management of the projects.

Process designer and facilitator

Independent professional process designer / manager / facilitator.
- We propose that the stakeholder processes are designed in detail, managed and facilitated by professionals who work with people from the projects (and other organisations with an interest) to facilitate the workshops in the process.
- The third party professional will have responsibility for:
  - Overall stakeholder process design and management
  - Being good stewards and managers of the process and impartial about the content and outcome.
  - Bringing knowledge, expertise, and skill to group interaction and group process
  - Crafting and facilitating the process and workshops to use process methods, tools, and techniques, appropriately and responsibly
  - Providing a safe environment where participants trust they can speak freely and safely
  - Maintaining confidentiality
  - Guiding and leading teams of small groups facilitators during stakeholder workshops

Small group facilitators
- Large stakeholder workshops require a team of skilled facilitators. It is usually outside the budgets of conservation organisations to have a fully professional team. We propose that within workshops, when people are working in small groups, that group facilitators comprise people from the organisations involved, but who do not themselves have to participate as stakeholders. They should be trained in the relevant skills and work as a team under the leadership of the professional facilitator. (This has the advantage of building capacity within the projects and areas for additional or later work.)

The process

Overview and sequence

5.5   We propose that the processes at local, regional and national level, are structured around a sequence of workshops that help stakeholders move from a starting point of having little or no shared understanding that there is something to be solved, to developing understanding and broadening out discussion, through to exploring ideas before then narrowing the discussion down again. At the regional sea level, the later stages of the process will need to include techniques that help people build consensus about the most technically sound, workable, and acceptable MCZ network. The sequence is broadly illustrated in the diagram below, which shows the process expanding out before contacting back and leading to decisions. (Based on De Bono TEC Chart). The sequence is explored further in the following text.

Expand

i

1. **Purpose**

2. **Expand and explore** information, and develop understanding

Bring stakeholders together

3. **Generate ideas**, and then explore benefits and disbenefits

idea	
idea	✓
idea	
idea	✓
idea	✓

Contract

4. **Start refining ideas and short listing**

5. **Decide the best** for implementation
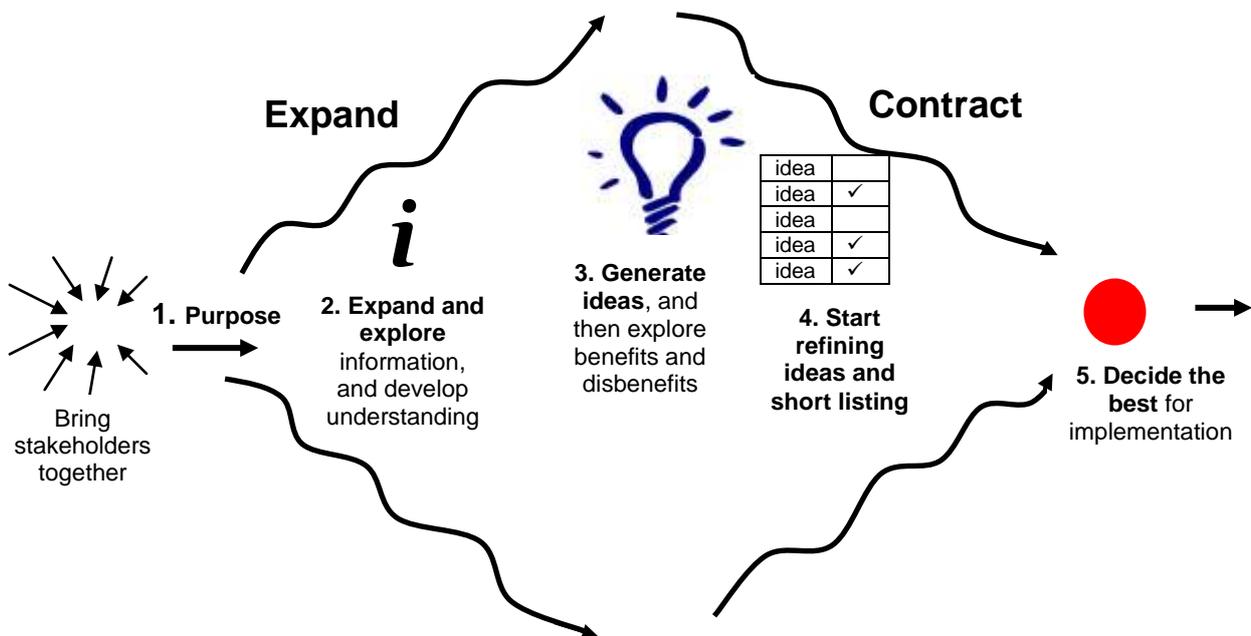
1. Purpose

Clear purpose but broadly stated

- Share the challenge: that the sea is under considerable pressure from human use and with concerted effort and action the decline can be halted, and the sea brought back to good health.
- Part of the solution, and the purpose of the dialogue, is to find areas that can be managed for nature- but this is just one part of the solution to better management of the sea.

2. Expand the discussion

Share aspirations and hopes for the future of the regional sea.

- Develop a broad and shared vision for the regional sea and the role of the MCZ. (The purpose of this type of activity is part of social learning and helps participants express in their own words their hopes for their regional sea. It also helps people think beyond their own interests, perceive the bigger picture, and to see where there is common ground and common aspirations amongst the broad group of stakeholders.)

Develop shared Awareness and understanding of the challenge	• Explore the opportunities and challenges of this concept for all stakeholders • Develop a shared broad understanding of the marine environment (without seeking to decide whose view is the correct one).
Co create information	• Stakeholders identify the information they need to help them make a worthwhile contribution to the discussion. • Collect offers of information • Stakeholders start working on some of the information they will need to inform their discussions including:

About the natural environment

– What are the habitat types, nationally, regionally and locally important habitats and species from a conservation perspective
– What are the important habitats and species from commercial or cultural perspectives

About human use

– What human uses take place within the project area and where?
– What are the benefits and disbenefits of these?
– What existing management, zoning, or restricted areas are already in place within the project area (or in the process of being agreed)?
– Which human uses are compatible with which habitat types (graded on: compatible, could be compatible with effective management, not compatible)?
– Which human uses are compatible with each other in the same space/habitat and seasons?

Collate information and package in a usable/accessible format	• Collate information and compile in the form of a working 'hand book' or 'dossier' for stakeholders that comprises all key information including the following:
	  • Each human use including:
	    – Facts and Figures for each human use
	    – Perceived trends and changes
	    – Perceived benefits/positive effects of the activity, and disbenefits/negative effects
	    – Maps of where the activity takes place
	  • Provide ecological guidance
	  • Provide information on which human uses are compatible with which type of habitats.
	  • Provide information on what is already being done to manage the sea

3. Generate Ideas

Start generating ideas	• Stakeholder mapping of ideas for where the network might go • Explore who and what benefits, and who and what experiences the disbenefits, of the different parts of the network and the emerging network as a whole • Explore what kind of human use is compatible with different parts of the network.

4. Refine ideas and shortlisting

Look for the areas were there is most support
- Identify the parts of the network, and its management, that many support and others can accept - for some this will be as the 'least worst' options.

Expert ecological view
- Get an expert view (from the Science Advisory Panel) on the extent to which the emerging network meets ecological requirements

Work on what else is needed
- Focus on adding to the network what is needed, where this could be, and how it could be managed to have maximum benefit and minimise the negative effects

5. Decide the best to recommend

Agree the best
- Agree the preferred MCZ network for the region.

Complete and submit
- Send the recommended network to JNCC and NE

Final stages following the stakeholder process
- JNCC and NE pass on the recommendations to Defra
- Formal Consultation
- Final Decision from the Minister

Outline structure of the process

5.6   The diagram over the page shows the structure and phases of the process. We have suggested that the regional process is set around 5 main workshop and the national and area workshops around three. (However we would see these as the number of essential workshops and do not preclude that other workshops or activities may be needed). The process is spread over quite a long timeframe but this is based on our current understanding of the time that the projects are likely to need in between workshops, to process outputs and prepare the next iteration of information or maps.

Structure of the design

Main workshops in the process   Contingency workshop   → Information and comment to regional deliberative forum. NB: it will also be essential that information flows back from the regional forum to all other parts
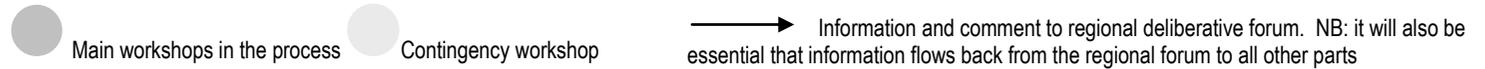
	Project Prepar-ation	Information Gathering Phase			Projects prepare dossiers of key info (Stakeholders liaise with those they represent)	Explore Options Phase - participatory mapping	Projects prepare first draft maps (Stakeholders liaise with those they represent)	Regional Consensus building over draft MCZ map	Projects prepare info for consult-ation (Stakeholders liaise with those they represent)	Consultation – individual comment	Regional forum consider comments and firm up network	Submit to JNCC and NE
		Briefing and scoping	(Stakeholders liaise with those they represent)	Develop shared understanding								
	2009							2010				2011
National stakeholder process joined by some international stakeholders Provide information, and comment on iterations of the MCZ network to the regional process. (If want to deliberate on recommendation, will need to take part in regional process)		1				2				3		
Regional Stakeholder Process Approx 70 stakeholders – includes ecological experts from NE & JNCC Deliberate over and decide the MCZ network to recommend for the region.		1	2		dossier	3	Compile maps	4i 4i		Consult on draft MCZ network	5i 5i	
Local stakeholders (eg by county or by costal forum area) Provide information, and comment on iterations of the MCZ network to the regional process		1				2				3		
Liaison with local user groups Map activities and knowledge of valued areas for nature		**Ongoing liaison with local users**										

Science Advisory Group (Advise on emerging networks)		Develop ideas for ecological guidance	Refine ideas for guidance and issue			Give view on draft MCZ network			Give view on draft MCZ network		
Defra, JNCC, national team of NE		**Provide expert information as needed**										

Adaptive process design

5.7   The diagram on the previous page, shows an outline process design and further more detailed design work and project planning will be required for the processes including design of workshops, phases in-between, and to ensure that the regional, local and national workshops are coordinated and work as a coherent whole.

5.8   It is fully expected that between now and implementation, the overall structure may need to evolve and be refined as more becomes known. Factors that could influence the detailed design include:

Changes in the national context
- Further changes in the policy context, guidance and procedures from Defra, Natural England and JNCC as they develop and clarify their thinking
- The timing of when the regional projects are up and running and able to start running the stakeholder processes
- The timing of the MCZ process in relation to the Natura 2000 process
- New socio economic and environmental information.

The spatial planning that other sectors are doing
- Other sectors (renewable energy, oil and gas, and to some extent aggregates) along with the Crown Estate are also undertaking analysis of policies, targets, and spatial data in preparation for allocation of areas for their interests.
- Not only does this mean that they have substantial knowledge and information about the marine environment but will also need to be talking to many of the same stakeholders.

Regional considerations
- Variations between regions (such as Finding Sanctuary starting from a different point or the Irish Sea process needing to make particular provision for involving stakeholders from Ireland, Scotland, Wales and the Isle of Man).
- The views of the regional projects
- The contextual knowledge of the 'process advisory group' may bring to light regional considerations that are unknown at this stage.

New techniques
- GIS and the role of PGIS in the processes needs further development
- The use of online tools also needs further consideration

The professional designer/facilitator
- Throughout the report, we have recommended that because the challenge is complex and stakeholders are likely to have strong views, professional designers/facilitators are commissioned to run the processes and to see them through from start to finish. Process design and facilitation is a craft, with each professional designer bringing their own experience to bear on the work they do, and each having their own preferred ways of working. This includes selection of methods, skills, and techniques. The practitioners commissioned to do the work will therefore influence the design.

5.9   We have included in the annex some more detailed ideas about what might need to happen at each workshop within the regional process. The national and area workshops will also cover much of the same ground but will not progress through the final consensus building stages.

Preparing for participation

Natural England and JNCC preparation

Developing understanding in Natural England, JNCC, Defra and Other Government Departments

Part of preparation for participation is to ensure that there is a good understanding and support for participation within the sponsoring bodies. The participation literature is increasingly highlighting the issue of how institutional culture and capacity within public bodies, affects the ability of public engagement to succeed. (Involve 2007).

Currently the officers involved in the MCZ work understand that this is a fundamentally different approach. However, it will also be important for senior/director level staff, scientific experts, and other key people in the agencies and government departments, to understand what this difference means and to support the approach.

In particular there needs to be a good understanding of the following:
- The difference between traditional consultation (where statutory authorities hold out until all views are in and then decide to what extent they will be influenced by or will veto them) and good practice deliberative participation (where the statutory bodies and technical experts, participate fully alongside other stakeholders within the participation process, to share information and negotiate outcomes that are technically and legally acceptable)
- The need for a consistent and positive approach to stakeholders (see text on careful communication under regional projects preparation).

We strongly recommend that awareness raising is needed to help key public and civil servants understand the different paradigm and nature of genuine stakeholder participation so that they can adjust their own procedures, actions and communication accordingly.

Developing clarity about the final stages of the MCZ decision process

Natural England and JNCC's intent is that the selection of MCZ should be via a bottom up 'stakeholder led' approach with the regional projects deciding the MCZ network to recommend to government for their region.

Stakeholders have already expressed concern that they could work hard deliberating at a regional level and then find that Defra, one of the other Government Departments, or the Minister, could veto their recommendations or that intense lobbying by a single interest could over turn their hard work. Evidence for this comes from the Finding Sanctuary and National Workshop:

- *"Keeping minister on board throughout projects to avoid ministerial u-turn at the last minute"*
- *"Keep minister on board – no surprise, use channels, brief officials – which ones?"*

- *"Outputs of a fair & equitable dialogue MUST NOT be overwritten by NE/JNCC at final stages, on the grounds that 1 stakeholder groups' criteria are not fulfilled"*
- *"That Defra do recognise the stakeholders buy in to the process that has been devised and honours the decisions made"*

If the process suggested in this report is adopted, it will involve a large group of stakeholders, meeting together at a regional level through a sequence of workshops spread over the space of 18 – 24 months. These stakeholders will be listening to information and comment from other stakeholders at national, coastal and harbour level. They will be grappling with complex information, challenging choices and working hard to find mutually acceptable outcomes. If after all this, the formal consultation run by Defra has the potential to overturn or make substantive changes to the recommended network, this must be made transparently clear to stakeholders upfront.

The risk that their recommendations might be overturned will have the following effect on stakeholders:
- Some stakeholders may decide not to engage in the participatory process but to wait until formal consultation to input their views
- Others will be less inclined to work hard at negotiating a mutually acceptable MCZ network recommendation.
- There may be issues of equity, fairness, and raise questions about the legitimacy of the outcome. This is because it is likely that the more powerful and organised interests can martial resources to mount a strong case at formal consultation and so will have greater influence on the final outcome.

If at the end the participatory process, the risk is realised, and regional recommendations are vetoed by part of government, or substantive changes made in response to lobbying by a single interest, there will be negative consequences for the implementation phase and MSP:
- The social capital (trust and good will) that has built up over marine management within the region will be damaged
- 'Buy in will be lost and this will affect implementation and management of the network of MCZ.
- Effective stakeholder involvement in the MSP processes - will be very difficult because it will involve the same interests, and stakeholders are likely to be jaded and cynical and unlikely to want to participate, considering it a waste of time.

We realise there are likely to be many changes to marine policy and government itself over the next few years, and that pinning down procedure with any certainty at this stage is difficult.

We recommend that the end stages of the process are as clear as possible and communicated to stakeholders. Any changes to this should be communicated at the earliest opportunity

Establish resources   The projects will need sufficient staff and funds to:

- Support a participatory process
- Contract third parties (a process designer/manager/facilitator)
- Hire workshop venues and provide refreshments.
- Provide expenses for particular stakeholders who are not supported by an organisation (and possibly a per diem for those who have to give up a day's earnings to take part).

We recommend that sufficient resources are allocated to the participation element of the projects.

We recommend discussions take place to explore the idea of per diems for particular stakeholders.

We recommend that contingency funds are set on one side so that if one of the processes requires unexpected and additional facilitation, or mediation, resources are available.

Plan for adequate timeframes and a flexible process   The time frames for the MCZ projects run from early 2009 to mid 2011. This would be considered a good time frame for the majority of stakeholder processes. The question is whether this timetable is sufficient for this particular challenge. Considerations include:

- The regional sea projects themselves are not yet set up, and initial actions will include recruiting, staffing, building a team, finding offices, and other logistics.
- The projects are going to have to move very swiftly from establishment to delivery.
- The process is set within a rapidly evolving context with ongoing changes in statute, policy, management, organisational structures (eg with the new MMO) and timeframes. (There have been significant changes in these even within the timeframes of this contract).
- The requirements of Impact Assessments and how these are carried out, timed, and fit with the stakeholder process – all aspects which are currently under discussion.

With this level of uncertainty, it is difficult to conclude with any confidence whether or not it is possible to run a stakeholder process within these timeframes. Based on our experience, and current understanding of the context, we believe that it will be feasible. However, it will remain vital that the participation processes get off to a good start in 2009, progress is kept under review, and the process adapts to what emerges within the process and to the continually changing external context.

We recommend that processes are designed according to good practice principle and have a coherent structure and sequence, but that detailed design and adjustments are made in response to changing circumstances.

National Coordination   Whilst the regional projects retain responsibility for the processes in their region some national level coordination will be needed to ensure:

- Consistency of approach,
- High standards of contracted third parties

- Staggered workshops to enable some stakeholders (eg technical specialists) to attend workshops in more than one region
- Communication between regions to ensure that the network makes sense across the regional boarders.

We recommend that national coordination is needed to ensure that the entire stakeholder process is coherent.

Briefing materials   Stakeholders at all levels will need some plain language briefing sheets to explain to them:

- The process
- The purpose
- The other processes running concurrently or soon to start (Natura 2000 and MSP)

We recommend that specialists skilled in plain language written communication, write succinct briefing sheets on key topics.

Regional projects preparation

Build staff capacity and understanding   Stakeholder participation is not merely another way of holding meetings it is a paradigm shift in the way that work is undertaken and it influences every aspect of a project including its: ethics and values, governance structures, timeframes, and the role and attitude of staff (as enablers or partners rather than experts).

Staff in the new projects will need a good grounding in this approach and the skill to work with a professional third party process designer/facilitator. Some staff will also need to have skills in facilitation to support professionally lead workshops and, once they have built up some experience, to have the capacity to facilitate smaller or less controversial workshops themselves (subject to acceptance by the stakeholders).

We recommend capacity building and training in good practice participation for regional project staff.

Time planning   Any organisation undertaking and/or sponsoring stakeholder participation has to be ready for the work it entails. Tasks include

Process support	Includes: liasing with the third party designer/facilitator, gathering information requested by stakeholders, preparing draft maps or text, chivvying other stakeholders to carry out crucial tasks,
Administrative tasks	Includes: maintaining databases mail-outs,, organising venues, catering and transport requirements.
Technical experts	Technical experts will be needed to take part in workshops and to be ready for unpredictable requests for information and expert view.

Stakeholder processes are by nature dynamic and the projects will need to be responsive to stakeholders and what emerges at workshops. This can mean unexpected work and requires flexibility and adaptability in work and

time planning.

We recommend that relevant staff in the project teams, and the agencies, are made aware of the dynamic nature of participation processes so they can build in contingency time and be prepared for unexpected demands on their time

Supportive organisation

The project boards and sponsoring organisations also need to have a good understanding of the ethos and practice of stakeholder participation. Without this there is the potential for clashes in work culture between the traditional 'decide, announce, defend' mode and the collaborative approach.

We recommend that project boards, and staff in sponsoring organisations, are well briefed and helped to prepare for the cultural difference of participatory processes

Contract professional designer and facilitator

Because of the complexity and nature of the stakeholder participation, we have recommended that professional process designers and facilitators are used. Once appointed they can design the process in detail and ensure that the process is coherent over the time it will run.

We advise against using facilitators on an ad hoc basis.

We recommend that each of the MCZ projects appoint a professional third party to manage, facilitate and oversee their participation process from start to finish, and that the third party understands principled negotiation and has skills in consensus building/conflict management.

Stakeholder Analysis

A thorough stakeholder analysis needs to be undertaken. First at a generic level, identifying the organisations and interests to be involved, and then at a more detailed level within each of the regions.

(At the workshops within this contract, participants were asked for suggestions on who they thought the stakeholders were. This information provides a strong starting point. Further work is needed to collate this together, carry out gap analysis, and develop the listings further).

We recommend that a systematic stakeholder analysis is done to ensure that processes are balanced and inclusive

Careful communication

As described elsewhere in this report, when there is a lot at stake, there is a tendency for all sides to adopt a position statement of what they want or demand. It is usually stated clearly and firmly but is narrowly defined. This induces tension and conflict and closes off dialogue, creativity, and cooperation.

The solution to this is for those initiating and sponsoring a participation process to be careful about how they communicate and avoid making positional statements themselves. Instead, the focus of communication should be on describing the challenge and the process of involving others to help solve it. An example tailored to the MCZ projects is:

From a statement: *We are going to designate x % of the sea area for nature, or designate x number of MCZ*

To an intent: *The sea is important for all of us. But it is under*

stress. We want to work with you to solve this. That means sharing our different interests, information and ideas and working together to find and manage the best bits for nature with least negative impact on your interests, and where possible benefit to your interests.

If position statements or targets are set in advance, we still recommend that the emphasis of communication should be on the wish to work together rather than on restating and defending the position.

We recommend that careful attention is given to what is communicated and how this is done to ensure that messages are consistent with the desire for collaborative stakeholder led processes, and the need to build or maintain trust and good will.

Practical Preparation

Running stakeholder processes includes practical preparations including finding suitable venues, and sending out invitations and briefings.

Venues suitable for large stakeholder workshops are hard to find and often have to be booked months in advance. Requirements include large halls, flexible layout, bluetack friendly walls, and with sufficient space for large groups to move in out of plenary and small group sessions.

Invitations to workshops should be sent about 6 – 8 weeks in advance and provide sufficient plain language explanation about both the purpose of the engagement and the process without being overwhelming.

We recommend project management/planning to ensure that practical preparations are timetabled in and carried out when needed.

Information gathering and use

Providing social, economic and ecological information

The co-creation of knowledge and information is an important phase in stakeholder processes. It enables people to identify what information they need to support them in their deliberations and for people to make offers of the information they have and can make available. These early steps in sharing resources and making offers help build social capital.

The tendency is for sponsoring organisations to provide a wealth of 'expert' information upfront but this can lead to stakeholders feeling rushed and railroaded. It can also trigger concerns about who decided that information was important, how it was gathered, who gathered it, and how it was analysed. If this is not carefully handled useful information can be rejected.

We recommend that where 'factual' information is presented to stakeholders, it is done so in a way that enables stakeholders to discuss and consider the relevance to their deliberations.

We recommend that any information, models, scenarios, or mapping should be serving the needs of stakeholders, and that care is taken that stakeholders do not end up serving the needs of models, maps or expert analysis.

Dossier of information

Building a shared understanding of each others activities and interests will be vital to help stakeholders undertake principled negotiation. (Please see 'Expand the discussion' under 'Overview and sequence' earlier in this

chapter)

We recommend that stakeholders are provided with working handbook or dossier of information which includes facts and figures and stakeholder views on the perceived benefits and disbenefits of each activity or use.

Building on what exists

A message that came over strongly in the various workshops in this research was that stakeholders want the projects to recognise and build on what is already going on and they are concerned that the MCZ projects may be ignoring what is already in place. Evidence for this comes from the workshops:

- *This statement implies the seas are not already managed – build on what already exists"*
- *"Wind-farm plans and mussel farm plans – already MSP. New MCZ needs to be seen in context"*
- *"Fear that earlier work will not be recognised"*
- *Fear that "Won't take into record the existing situation"*
- *"Do we understand the number and locations of the MPA network we have in place?"*
- *"Knowing locations of all protected sites under all regimes eg fishing grounds and wind-farm areas"*

We suggest that care is taken to ensure that the process will take into account the existing spatial allocations and management (as well as those that are currently in the pipeline) and that this is communicated to stakeholders.

Minimising unnecessary anxiety

One of the causes of conflict in resource management is the uncertainty about what any proposed change in management means. In the absence of information, stakeholders logically have to assume, and base their tactics on, the worse case scenario: in other words work on the basis that there will be a significant negative effect on their interests. For example, unless there is contrary information, resource users will have to make the tactical assumption that all MCZ will be HPMR and their activity will be excluded. On the other hand, conservations would have to work on the basis that until proven otherwise, all resource uses have negative effects on all the habitats.

To reduce conflict arising from these tactical assumptions, it will be important for stakeholders to explore at an early stage which human uses are compatible with which types of habitats. We understand that a consultant is already doing some work on this for Natural England, but it will be important for stakeholders to discuss this information and explore the relevance of it for their particular regions, activities or habitats.

We recommend that an early activity in the participation processes is to explore the compatibility of particular types of use with particular types of habitat so that, where possible, people can step down from tactical assumptions at an early stage.

Other considerations

Systems thinking and Asset based process	**We strongly recommend that the detailed design of the participation process uses elements of Systems Thinking (including pictorial diagramming techniques) and Appreciative Inquiry (positive framing of questions)** (see earlier Chapter for more on these)
Consensus building	As explained elsewhere, consensus building is an iterative process that helps people undertake principled negotiation and actively and incrementally seek mutually acceptable outcomes. In this way process are made up of multiple small decisions, which add up to the main decision.
	In the context of participation, consensus does not mean everyone agrees about everything or that all support the outcome to the same extent.
	During our research, it has been suggested the degree of consensus should be defined in advance. However, this would undermine the participatory process to the point that it becomes unworkable. As explained elsewhere, the process of consensus is to move people from positional negotiation tactics to principled negotiation**.** If the level of agreement that is sought is defined upfront, it will induce adversarial negotiation tactics and uncooperative behaviour (including blocking tactics, the forming of alliances, and lobbying behind closed doors). The very things that good practice participation seeks to avoid.
	We strongly advise that the level of agreement is not defined and quantified upfront. **For consensus building to work, we advise that the regional stakeholders hold the responsibility about how to resolve outstanding issues as the deadline approaches.**
Participatory mapping	The process is going to require participatory mapping. How this is done needs to be thought through carefully. Please see the section on 'Participatory Mapping and GIS' earlier in this report.
	There have also been some suggestions that participatory mapping should be undertaken online and fully open to the public. In relation to the MCZ projects, it would be important to work out how such input would be used, and how it would harmonise and integrate with the kind of deliberative process proposed in this report. For example, if potential MCZ locations are weighted based on the number of nominations, this is a form of voting and some interests could mobilise people to influence the selection of a particular network, which favours their interests. Also given the difficulties with perspective and the understanding of distance at sea, there is the potential for the public to misunderstand the map (scale, location and so on).
	Comments made during this research include:
	– *"Live conceptual modelling using computers was both too abstract and intimidating for many stakeholders."(4)* – *"IT software is a vital aid to decision making but is not instead of stakeholder participation and wealth of experience." **
	We recommend that there is the need to bring together experts in PGIS (including online) with process designers to consider some of these issues and ensure that GIS is used to support and assist the participatory process, not distract or undermine it.

Minimising stakeholder fatigue	There is a clear desire amongst national stakeholders that stakeholder participation is 'minimised'. Clearly, real duplication of stakeholder engagement is counter productive and wastes people time. However it is also crucial that stakeholders in a process develop social capital, a clear grasp of the task in hand, have clarity about what is up for negotiation (whether the process is providing information, advice or a decision) and have an opportunity to develop their understanding collaboratively over time. In an effort to avoid duplication, there is the risk that stakeholders become confused between tasks, top down and bottom up processes are muddled together, and the MCZ participation process fails.

We recommend that opportunities to streamline and find synergies with other processes are capitalised on - but only in as far as this does not pose a risk to compromising, the quality, clarity, and good practice of the MCZ stakeholder process.

Why focus groups are not a good idea as the main means of stakeholder participation	One suggestion that has cropped up several times during our research is the idea that 'same interest' focus groups should be the main way of engaging stakeholders.

Within workshops, there will be times when people need to work together in mixed groups to broaden understanding and in topic/focus groups to deepen understanding. Within the overall process, it may also be appropriate to convene temporary working groups who meet in between workshops and report back to them.

However focus groups as the main means of engaging stakeholders lack all the benefits of good practice participation eg the opportunities for social learning, building social capital, enriching the deliberations, and ensuring decisions are well informed from all perspectives. Of even greater concern is that focus groups can end up escalating conflict or generating new conflicts. This happens when parties from one sector work together, using only their own knowledge, to develop their own position and consolidate their own preferences for the outcome. Different sectors thereby develop and harden contradictory and conflicting positions.

An example in this context would be where those from the fishing sector developed their views on a minimum MCZ network of potentially insufficient ecological benefit, whilst those from the conservation sector develop an extensive network with no regard to the social or economic consequences.

When a focus group approach is used and when differences like this arise, it leaves the question of who reconciles these differing views.

We recommend that any focus groups/same interest groups that occur in addition to the main workshops, are convened only as part of the deliberately designed process.
To avoid suspicion, we recommend that the need for any extra meetings, particularly single sector meetings, is communicated clearly to the stakeholders, and if necessary their assent sought.

Should the projects carry out process design and facilitation themselves?

During our research, it has been suggested that the regional projects should take on the role of designing and facilitating the stakeholder processes, however, as stated elsewhere we believe these processes are too complex and the topic too controversial for this to be possible.

The stated intent and purpose of the projects is to result in a network of MCZ for their region. Staff will therefore be perceived as biased and other stakeholders are unlikely to accept them in the role of impartial designers and lead facilitators. As well as impartiality, there may be questions about whether or not the projects have the relevant experience, training and skills to design and facilitate a consensus building process. If they do, there will be opportunities for them to work with the independent third party. We have included some information in the Annex on when less experienced people from within projects or organisation can design, facilitate and lead a process.

We recommend that projects develop guidance for when it might be appropriate for staff members to facilitate parts of the process.

6 Aligning process for MCZs with Natura 2000 and MSP

Aim

6.1 To investigate if and how the different decision making processes for the marine environment (MCZ, and Natura 2000 and MSP) can work together and benefit each other.

Research Method

6.2 In order to consider the answer to this question we:

- Ran a workshop with key national stakeholders to discuss and explore the challenge
- Reviewed information from Natural England on the proposed Natura 2000 process
- Spoke with and had correspondence from relevant officers in Natural England (the Senior Project Manager of the Designations, Regulatory Services and Access Team, the Senior Specialist Marine Policy, the Specialist - Marine Protected Areas.)
- Met with the JNCC UK MPA Network Manager to work on the process design.

6.3 Approximately 30 people attended the national workshop from across the sectors and gave their comments in response to the questions. Following the workshop the outputs were typed up and then coded and sorted to provide a report of what participants said.

6.4 From these sources it was clear that the factors we needed to take into account when considering the optimum way forward included:

- The statutory requirements
- The statutory time frames
- Potential for duplication of effort
- Risk of stakeholder fatigue
- The scale, complexity and levels of tension about marine management and spatial planning

Comparison of the two processes

6.5 When considering whether or not a participatory, deliberative process is the best way of involving stakeholders, it is important to consider what can be negotiated and what cannot. We have compared below the differences between the Natura 2000 and the MCZ processes:

	Natura 2000	**MCZ**
Basis of selection	Boundaries and features are decided by Natural England & JNCC based on best available scientific information and in response to the requirements of the Habitats and Birds Directive.	The objective is to look for representative examples of habitats, and the locations of rare and threatened habitats and species, to form a functional network.
Location, size and boundary	The location, size and boundary is determined by the location of the conservation features.	The location, scale, conservation features, conservation objectives, use and management of the majority of MCZ are all up for discussion and negotiation. There will be some limited sites, with internationally and nationally rare and scarce species, that only occur at very specific and limited locations. There will be little flexibility to negotiate over the location of these sites, but there is over how they are used and managed.
Grounds for change	Amendments to location and boundary can be made on scientific grounds. Though Natural England anticipate and want scientific information from stakeholders with data and survey of the seabed to help them make well informed decisions.	The aim is to create a network of MCZ that meets ecological requirements whilst limiting negative socio-economic effects. This means that stakeholder perspectives, socio-economic information, and ecological information, can all inform the site selection
Type of process	Top Down	Bottom up
Scope for negotiation	Low for consultations on sites, features and boundaries. Higher for Impact Assessment (particularly in regard to mitigation) and ongoing management High for management schemes	High
Timeframes	At the time of writing the process for N2000 is still to be firmed up	From spring/early summer 2009 to 2011

Research results from the national workshop

6.6   At the national workshop held in November 2008 participants were briefed on the Natura 2000 agenda and the MCZ projects. The event included questions about the extent to which national stakeholders thought that the different processes could be aligned. The following is a summary of stakeholder comments.

Preferences

A single process for MSP and MCZ

- *"This should be a single process – it would make it more relevant to more stakeholders - the projects don't just need nature conservationists and fisheries engaged – they need info from eg windfarms, aggregates, cables etc"*
- *"How can you decide nature conservation zoning in the absence of knowledge and info about other pressures – should be a single process"*
- *" If proper MSP – should include MCZs and all users from start"*
- *"How to avoid stakeholder fatigue? – a strategic engagement/consultation across the marine bill of which MCZs will be a part"*

Minimise stakeholder fatigue

- *"Design approach to minimise need for multiple engagements with stakeholders, i.e. min risk of consultation fatigue"*
- *"Want clear integration of timetables so people can give their best and avoid stakeholder fatigue"*

Opportunities

Overarching Marine Objectives

- *"Marine objectives underpin MCZs and MSP – ensure marine objectives inform MCZ process"*
- *"Setting overall objectives to incorporate all processes"*
- *"How all are interlinked – SFD/MCZs/MSP/N2000 – how can they contribute to national and international commitments"*
- *"How network is established needs to look at good environments. Status and achieving it for whole marine environment".*

The role of the MMO

- *"MMO should have input in regional projects and MSP. Need to look at how they can be engaged now"*

MCZ aiming for genuine sustainability

- *Take into account and maximise socio economic and environmental benefits*
- *"Integrated socio-economic operations and sensitive habitats and species through a participative consultation process"*
- *"Signing up to a cohesive MSP system that balances environmental, social and economic needs"*

Use the structure established for MCZ for MSP

- *"Use same stakeholder groups for MSP as used in MCZs – gives stakeholders purpose and involvement after MCZs - Keep expertise"*
- *"Timing not aligned but can use stakeholder processes in place for MCZs for MSP when the time comes - Provides level of continuity"*

Use information from MCZ for MSP

- *"How data is managed, collected and shared should be improved in terms of time, energy and transparency"*
- *"Share information from MCZs to MSP – e.g. stakeholders"*

N2000 and MCZ

- *"Management framework for N2000 & MCZs same – competent authority responsible – can build on that to make team more aligned"*

Challenges

Timing and objectives not aligned between N2000 and MCZ	– *"Objectives of different processes not aligned so could lose sight of specific objectives for one or another designation"* – *"2 streams get out of sync - holding up consideration of other process"* – *"Danger of tripping each other up – processes for each are different, as are objectives of each"*
Same stakeholders different approach	– *"Some stakeholder groups in N2000 and MCZs but different approach"* –
Avoid clashes in timing of workshops	– *"All regions will need to coordinate timetabling of meetings to facilitate involvement"*
Difficulties for stakeholders	– *"Risk of processes going ahead separately, resulting in lack of stakeholder ability to attend all processes"* – *"Stakeholders unable to assume different roles in different processes"*
Overlap in levels	– *"Make clear national/regional/local stakeholder can overlap"*
Other processes	– *"Need to be aware of lots of other processes that are going on"* (for example: WFD, MSFD, Landscape Convention, CFP, Heritage Bill, Experimental MPA for fishstock management, other sectors and Crown Estate who are making spatial decisions prior to MSP)

Aligning MCZ, with the selection of Natura 2000 sites, features, and boundaries.

6.7   Whilst there is a clear desire for Natura2000 and MCZ to be aligned, the means of doing so is dependant on the timing of different elements of the two processes in relation to each other.

6.8   During this research, we have worked on several iterations of how the two processes might fit together. This has included considering what would need to happen within particular workshops to build clarity about the different nature of the two processes, whilst still offering an opportunity for stakeholders to discuss N2000 sites. However, in the course of this contract, there has been slippage in first one process and then the other. This degree of uncertainty means we are unable to recommend how the two processes are aligned in any detail. We have however, concluded the following:

Natura 2000 - consultation on sites, features and boundaries.	The timing, procedures, statutory requirements, and scope for negotiation, mean alignment between MCZ and Natura 2000 may be quite limited for the stages of Natura 2000 focused on the selection of sites, features and boundaries.
Natura 2000 Management	There is much more scope to integrate the management of Natura 2000 site with the MCZs as part of a coherent MPA network

6.9   These are explored in more detail below.

Challenges for Aligning N2000 (site, feature and boundary) consultation and the MCZ process

Confusion for stakeholders on the purpose of MCZ, and of Natura 2000 sites

- There is the possibility for confusion between the different ecological basis for MCZ and Natura 2000. Natura 2000 is focused on the conservation of particular features, not on how these habitats and species function within a wider system. This difference between MCZ and Natura 2000 will need to be clearly explained. The shift from a site based to a systems approach, which sees each MCZ as a part of a functional network, will be unfamiliar to some (including (from our experience) some conservationists).
- There is potential for confusion over why there are different procedures and requirements.

Confusion over the process and ethos for MCZ and Natura 2000

- The top down nature of the Natura 2000 process presents a very different ethos and attitude to stakeholders, and the scope for amendment is confined to scientific grounds. This compares to the much more open, exploratory, bottom up processes envisioned for the MCZ.
- Consultation on the first offshore Natura 2000 sites is (at the time of writing) timed for early 2009, which is too early for the MCZ process and will not overlap directly with it. This timing will however, be shortly before the MCZ process, and so it has the potential to give stakeholders the message that when areas of the sea are set aside for nature, it is done by 'top down' centralised decision-making. This may mean that instead of starting with a neutral attitude towards the MCZ processes, and an openness to be convinced it is worthwhile, some stakeholders may take much more convincing that the MCZ process is a fundamentally different bottom up and collaborative process.
- The consultation on up to 12 possible inshore and offshore sites looks as if it may occur just as the MCZ projects are drawing stakeholders into workshops and starting to build relationships, and understanding about the MCZ projects. This initial phase is a sensitive time in any stakeholder process. If it does coincide with the Natura 2000 process, careful and clear communication will be needed about the two processes within and outside workshops.

Opportunities for Aligning N2000 consultation and the MCZ process

Natura 2000, and MCZ workshops

- The first workshops in the MCZ process should stay focused on introducing the MCZ concept to stakeholders and start to explore the idea, challenges, benefits, process and information needs. In the interests of openness and transparency, this workshop should include an explanation that there is a separate process going on for a limited number of particular sites, what that process is, why it has to be top down, and how people can give their comments. But this will have to be handled with the utmost care to minimise confusion.
- The second MCZ workshops may coincide with the Natura

2000 consultation for some inshore and other offshore sites. If they do, the opportunity could be taken to allocate a session within the workshop for consideration of the Natura 2000 sites. By this stage, stakeholders will have increased understanding from the first workshop, and from various explanation/briefing sheets about MCZ. However, it will be vital to explain again the difference between the two processes and why only science can be considered for alterations in Natura 2000 sites.

Aligning N2000 impact assessment and management with the MCZ process

6.10 Based on our current understanding, the management of MCZ will evolve during and after the participation processes:

1. The regional MCZ participation processes will include discussion about conservation objectives, the likely acceptable human use, and appropriate levels of protection.
2. The MCZs will have Impact Assessments and, presuming they are iterative, these will provide opportunities for discussions about potential mitigation and management.
3. Following approval by the Minister, the responsibility for management of MCZ will pass to the relevant authorities, who will need to work with stakeholders to work up and implement management measures, monitoring and review.

6.11 The main concerns of resource users will be less about where the MCZ are, or there conservation objectives, and much more focused on how the MCZ can be used and what that means for their sector or interests. It is therefore likely that, as part of conflict management and consensus building over the network, some stakeholders want to go beyond the requirements of the MCZ recommendations package, and negotiate in more detail over MCZ use and management. This may also mean that voluntary management can be established prior to and feed into the relevant authorities more formal management planning when it follows ministerial approval of the network.

6.12 In relation to the question of aligning Natura 2000 and MCZ, we think that discussions about use and management offer the main opportunity to align the Natura 2000 process and the MCZ process.

Opportunities for Integrated and holistic management

- Even though the Natura 2000 sites will be identified for particular species or habitat features, when it comes to management we would recommend that the Ecosystem Approach is taken to the management of the sites. This approach has been used on the NE Kent Natura 2000 with success. It proved more relevant to stakeholders and more ecologically sound, whilst also enhancing the conservation of the Natura 2000 features.
- Taking a holistic approach to the management of the new Natura 2000 sites will make it easier for stakeholders to perceive them as a key part of the MPA network within their region. This would mean that non-Natura 2000 habitats and species, natural processes, ecosystem services, and sustainable uses (within the area designated Natura 2000) are all taken into account and considered alongside the MCZs as a functioning part of the MPA network.
- We suggest that any experimental MPA for fish stocks are likewise considered for their broader ecological and socio economic contribution to the MPA network.

| | • | The more that the different designations (regardless of name or primary purpose) can be managed in a consistent, integrated and holistic way, (whilst still meeting their objectives), the more sense it is likely to make ecologically and to stakeholders (both conservationists and resource users). |

Impact Assessments
• Both the MCZ and the Natura 2000 sites will have Impact Assessments. Consideration of positive and negative effects, accruing from and to human uses, will form an integral part of the participatory processes. The extent to which this is considered to meet the requirements of the Impact Assessments remains unclear at this stage.

Conclusions about aligning MCZ and Natura 2000

• The nature and timing of the Natura 2000 process may have some negative impact on the MCZ process, but careful communication and maximum transparency will reduce this.
• When the MCZ processes get underway, it will be clearer how the timing of the two processes work out in relation to each other. At this stage, it will be possible to identify more accurately whether or not there are opportunities for the consultation over Natura 2000 to be included in the MCZ workshops.
• As the MCZ processes progress to consideration of options and shortlisting, the focus of resources users will be on the use and management of the MCZ. At this stage, there will be opportunities to consider holistic management of Natura 2000 alongside MCZ as part of a functioning MPA network.

Aligning MCZ and Marine Spatial Planning

6.13 The opportunity for the MCZ processes to align directly with MSP appear limited. The timing and procedures of MSP are yet to be firmed up and will in any case depend on the progress of the Marine and Coastal Access Bill. The current projections are that this will pass into law in the summer of 2009, to be followed by the setting up of a new Marine Management Organisation (MMO), and then marine spatial planning.

6.14 The MCZ projects could provide for MSP a foundation of social capital, shared and accepted information, informed stakeholders, and clear stakeholder structures that could continue into MSP. Also, by the time the MSP processes start, there will have been a great deal of learning about how to bring marine stakeholders together effectively, and these lessons could be used to refine and enhance the MCZ processes and structures, for MSP.

6.15 Whether or not MSP capitalises on this will depend on how the MMO decide to take forward the stakeholder participation element of MSP. Another consideration will be the scale and boundaries of the MSP areas and the extent to which these marry up with the MCZ regional seas.

6.16 If the MMO decide to harness the MCZ participation structures, and this decision is made at an early enough stage in the MCZ processes, it could have the following advantages for both processes:

• Stakeholders in the MCZ process would see MSP as the next step of the process for sustainable management of our marine environment, and are therefore more likely to take a longer term and more holistic perspective.

- Resource users could potentially perceive it as more equitable, albeit the MCZ processes focuses on nature, space for their interests will be considered more fully down the line.
- MSP can capitalise on the social capital (networks, growing trust, growing understanding).
- MSP can harness the knowledge and increased capacity and skills of stakeholders to participate (stakeholders will be more familiar with iterative, structured and cooperative processes as well as more knowledgeable about each others interests and the marine environment).
- The idea of manuals or dossiers of information for each stakeholder will help form a valuable foundation of understanding. The MSP process can then start with a review: "what has changed since this was written?"
- The collation of data and stakeholder knowledge could be compiled with the clear intent that it should be used and passed on to the MSP process. This may help improve the accuracy of information provided by stakeholders (tactics to only provide selective or generalised information to protect their interests in the MCZ process, might be avoided in case it backfired in the MSP process).

6.17   Risks of the MSP participation process for MCZ include:

- Potentially there may be a significant mismatch between the regional areas for MCZ and MSP
- The MSP process may be quite separate but overlap in time with the MSP process. If it starts part way through the MCZ process, it will compete for stakeholders' time and attention
- Stakeholders are confused between the two processes

6.18   In summary, we think there could be significant advantages if stakeholders perceive the MCZ processes as leading into MSP.

Spatial allocation and MCZ

6.19   In advance of MSP, allocation of space to particular uses (for example renewable energy, oil and gas, and aggregates) continues and is accelerating. Also, some of the sectors that the MCZ process will need to involve are also driving processes where they are decision-makers.

6.20   This provides opportunities to share data and knowledge more effectively.

6.21   The MCZ process proposed in this report includes capturing data and knowledge from stakeholders and sharing it in an accessible way between stakeholders. We have proposed that one way of doing this is for each human activity or use to have its own table of key information. This will succinctly summarise facts, knowledge, and stakeholders' perceptions of the benefits and disbenefits of each use. Once this is collated, it will form a shared information base for stakeholders as they deliberate over the MCZ network, and could be used by each sector to inform their own decision-making. As well as this dossier, the projects will collate detailed data basis about both the marine environment and the way it is used.

6.22   The aspiration of at least some stakeholders is to go further than this and for there to be a single integrated process (ref 'Research results from the national workshop' earlier in this chapter). If this happened, it would in effect be using the MCZ processes to trigger marine spatial planning prior to the formal MSP process.

6.23   From the point of view of designing and running a participation process, it is entirely possible to run an integrated process that has more than one purpose and delivers

outputs for several needs. Indeed, where this is possible, it is good practice and often makes more sense to resource users. One local example of this is the NE Kent European marine site process in the late 90's, where a consensus building process was used to deliver three outputs: the content of the marine site Management Scheme, better ways of managing coastal recreation, and new ideas that could be taken forward for Objective II funding and contribute to economic regeneration. The process made good sense to participants, fostered the engagement of key authorities and led to integrated solutions.

6.24   Whether or not the MCZ processes could be integrated and deliver outputs for other decision-making processes is therefore not to do with constraints on process design, but to do with the context (eg the timeframes, organisations, interests, policies, spatial scales, statutory requirements, and cultures) and the acceptability of this idea to policy makers and other stakeholders.

6.25   More specifically, the question has been raised about whether or not it would be possible to at least add together the resources and processes of the MCZ projects with wind farm planning and perhaps aggregates, ahead of marine planning. The following questions illustrate the challenges of doing this and include:

- Would this idea be acceptable to policy makers?
- Would this be acceptable to all sectors and stakeholders? What would other sectors, eg fishers or the conservation lobby, think? Would they see this as more efficient and reducing stakeholder fatigue, or an unfair advantage, lacking equity, forming a power base, and seeking to pre-empt MSP and unduly influence the MCZ network?
- How would this partial spatial planning fit with and complement or undermine full MSP and the work and remit of the MMO?
- Are the other sectors willing to share resources to this extent?
- Are they willing and open to be influenced by the negotiations of a broad range of stakeholders?
- How would a bottom up deliberative participation processes fit with the current procedures for allocating space for renewable energy or aggregates?
- How would the MCZ projects, which are just being set up, respond to either having their roles, responsibility and agenda broadened, or being replaced by another project?
- Are the regional sea areas defined for the MCZ projects, at meaningful spatial areas for deliberation for the other sectors?
- If this collaboration occurred at the national level but not regional level would that be perceived to have shifted the power away from the regional deliberations?

Conclusion

- It is entirely possible to design integrated participation processes that deliver outputs that meet a number of different needs. Whether or not this is workable or desirable in this context would require further investigation. Our current view is that stakeholders from other sectors, who were not able to share resources in this way, and who were waiting for the MMO led MSP, would not consider partial integration of the process as an equitable or legitimate way to run the MCZ process.
- There is a clear need to use stakeholders time respectfully and without wasting people's time. However, stakeholders do need to spend enough time together to develop understanding and social capital, move to principled negotiation, and seek mutually acceptable solutions. The drive from national stakeholders to "minimise stakeholder participation" should not take precedence over ensuring that the process has time to work. (It is also worth noting that some of the sectors that operate at national or international level are considerably better staffed and resourced than the stakeholders in the regions).

- The MCZ participation process could be used to 'consult' stakeholders on their views in relation to other issue, in much the same way as may happen for Natura 2000. But these would not be consensus building processes on those topics and if sessions within the MCZ workshop were used in this way, it would displace work on the MCZ deliberations and is likely to mean more workshops will be needed.

Annex

Annex 1 Different ways of relating to stakeholders

(Diana Pound 2003 Adapted from R Harris. Why Dialogue is Different. Elements. Issue 2 12/2000)

	Type of activity		Who decides what?	Level of stakeholder influence over outcome	Examples		When best to use	Social capital acquired
1	Information giving		**The power holders tells people what they have been done or decided.**	None (unless people object or protest)	Reactive ▪ Press Releases ▪ Letters ▪ Leaflets ▪ Newsletters ▪ TV interviews ▪ Legal notices ▪ Advertisements	Interactive ways ▪ Interpretation ▪ Public meeting ▪ Displays ▪ Open days/events	▪ When the information is not controversial or good will and trust are established ▪ When the organisation is mandated by stakeholders to make decision ▪ In an emergency	Least
2	Information gathering		**The power holders ask information to help them decide what to do.**	None (unless people object or protest)	Reactive ▪ Questionnaires ▪ Interviews ▪ Surveys ▪ Video diaries ▪ Opinion polls	Interactive ways ▪ Quality of Life Capital ▪ Priority Search ▪ Community maps ▪ Citizens panels ▪ Focus groups	▪ When information is likely to be given willingly and without suspicion ▪ When it is clear how the information will be used - who will use it and how they will use it.	
3	Consultation		**The power holders consult stakeholders for their opinions** on a proposal, but retain power to take or leave what has been said. When Consultees disagree with each other, the power holder decides how to resolve or reconcile the difference.	Limited - can influence amendments or development of proposal but not propose new alternatives	Reactive ● Asking for written comment on plans ● Exhibition with feed back forms ● Public Meetings ● 1:1 meetings	Interactive ways ● Facilitated Interactive workshops ● Planning for real ● Consensus Conferences ● Community Forums	▪ When the stakeholders trust the organisation/s making the decisions	
	Shared decision making	**Bounded Stakeholder Dialogue**	**The power holder pre-sets some options or constraints before the dialogue starts The power holder initiates and sponsors a process that brings stakeholders together to decide a mutually acceptable way forward in that context.**	Stakeholders fully involved within pre-set constraints	Tailored processes ▪ Stakeholder dialogue: deliberately designed processes facilitated by neutral third party. The process involves stakeholder workshops interspersed with other phases to gather information, give information, or consult. All this is done in a pre-planned and coherent way. Off the shelf processes ▪ Examples include Open Space Technology, Future Search, Real Time Strategic Change		▪ When the organisation is willing and able to let others influence the outcome ▪ The organisation has to predetermine some of the parameters and has ownership of the problem but is open to how it is solved ▪ When issues are complex and need integrating ▪ To resolve tensions and conflicts or when it is vital to stop them escalating in the first place ▪ Collaboration with wider group is subject specific	
		Open Stakeholder Dialogue	**The power holder recognises it is just one of many stakeholders grappling with a complex issue. Together there is joint initiation of dialogue, assessment of issues, and consensus building.**	Stakeholders are fully involved in the decisions and the process	▪ As above but process usually long-term (years), more resource intense in terms of time and money		▪ Lack of single problem holder ▪ The parameters of the debate are wide and outcome open ▪ Need for ongoing long-term collaboration and partnership	

Annex 2 Summary of success stories/case examples

M: marine
Tw: terrestrial or wetland

	Name of project	Where	M TW	Location	Focus or reason for participation
1	South African National Parks: Stakeholder Engagement in the Development of Park Management Plans	Africa	TW	21 National Parks in South Africa	To enable international, national, provincial and local stakeholders to participate in the development of Park Management Plans for 21 South African National Parks
2	"Conserving Giant Clams through a Community Reserve in the Lakshadweep Islands"	Asia	M	Agatti, Union Territory of Lakshadweep, India	Setting up India's first co-managed marine protected area. Key partners of co-management: – local island community (fishing community) government of the Union Territory of Lakshadweep
3	Rezoning of the Great Barrier Reef	Austrailia	M	Great Barrier Reef Marine Park, Australia	GBRMPA recognised the need to conduct an enormous public consultation program as part of the major initiative to increase the protection of biodiversity across the entire GBR Marine Park.
4	Sustainable Uplands: Learning to manage future change	UK	TW	1. Peak District National Park 2. Nidderdale AONB 3. Galloway uplands	To work with people in UK uplands to better anticipate, monitor and respond to future change
5	Promoting Conservation that Benefit Local Communities in Danau Sentarum National Park, West Kalimantan, Indonesia	Asia	TW	Danau Sentarum National Park, West Kalimantan, Indonesia	The activities are built by stakeholders based on their vision/dream Excitement for each their vision/dream The vision/dream was translated into practical activities by stakeholders that are doable by themselves, with minimum external intervention
6	Participatory management planning for a protected area: the Aripo Savannas Environmentally Sensitive Area (ASESA)	Caribbean	TW	Trinidad and Tobago	To develop a comprehensive framework to guide the management of the Aripo Savannas Environmentally Sensitive Area (a protected area legally declared under the Environmental Management Act [2000] as a Strict Nature Reserve). The required outputs were: 1. A park management plan 2. A resource management plan 3. A recreation management plan 4. An interpretive and public awareness plan 5. An implementation plan (detailed 10- year work programme) 6. A manual of the process of park planning as a template for use in future planning for ESAs 7. A popular version summary management plan 8. A case study of the processes employed in this planning process and evaluation of the processes
7	Enabling the people of Montserrat to conserve the Centre Hills	Caribbean	TW	Montserrat, West Indies (UK Overseas Territory)	An objective of the project was to develop a participatory management plan for the Centre Hills, as two thirds of the area is privately owned. We were also concerned that management plans are often written and just left on shelves to gather dust. Stakeholder participation was essential to achieve local ownership and ensure the management plan would be implemented
8	Gilbert Bay Marine Protected Area	N America / Canada	M	Gilbert Bay (Labrador), Newfoundland and Labrador, Canada	This is a community driven initiative, championed by local leaders. This initiative complemented Fisheries and Oceans Canada approach to establishing MPAs, which encouraged stakeholder involvement in the MPA designation process
9	Waikaraka Estuary Managers	Aust NZ	M	Waikaraka Estuary, Tauranga Harbour, New Zealand	The encroachment of mangroves was preventing clear water flow within the estuary. Consequently, both fish and bird life were suffering, and recreational activities were being hindered.

	Name of project	Where	M TW	Location	Focus or reason for participation
10	Jungfrau-Aletsch-Bietschhorn UNESCO World Heritage Site	Europe	TW	Swiss High Alps	Integrated management of the World Heritage Site
11	MIMAMPI	Africa	TW	Mpimbwe Division, western Tanzania	To build capacity for a local community based organisation MIMAMPI and develop programmes for generation of funds for natural resource management and development in this community adjacent to Katavi National Park. This process also aided with the integration of this institution with new and existing institutions, particularly Wildlife Management Areas, which required mapping of natural resources and an agreed management plan.
12	The Nguna-Pele Marine Protected Area Network – Vanuatu	South Pacific	M	Nguna and Pele Islands, Republic of Vanuatu, South Pacific	To achieve realistic, people-focused benefits from natural resource management
13	XPLAINATION	UK	TW	Salisbury Plain, Wiltshire. Specifically, Bulford, Larkhill, Perham Down, Upavon military communities	The funding was procured by the Wiltshire Wildlife Trust (WWT), based on the development of relations between each of the stakeholders. WWT created a two-day project officer position with the Heritage Lottery Funding. The Army Welfare Service (AWS) are a key stakeholder as work to develop four community natural heritage-based spaces in each of four military communities, by 12-19 year olds, has been undertaken via pre-existing AWS youth groups. Defence Estates (DE) are a key stakeholder as the creation of community spaces is on land they are custodians of and the project is helping them to achieve their wider sustainability and community targets. The project could not have been successful without the participation of the 75 young people. They are key stakeholders in that they have designed and will be constructing the community spaces.
14	Awel Aman Tawe	UK	TW	South Wales in the Amman and Upper Swansea Valley area	The stakeholder participation involved a proposal for a community wind farm to be erected on the site of a disused coal pit to produce income for the regeneration of the local area. The main reason for the participation was to gain public support for the project and to raise awareness of renewable energy.
15	Container Handling in the Port of Durban, South Africa	Africa	M	Port of Durban, KwaZulu Natal, South Africa	Because of the growing container traffic in the Durban Port, plans were made to expand the Port. Due to many factors –such as the promotion of the City-Bay interface, the multi-functional use of the Bay, and maintaining the Bay's vital ecological role – public participation was key to ensuring that all stakeholder needs were met.
16	Wyre Forest Landscapes ("Grow with Wyre") is an exciting Landscape Partnership Scheme, headed up by the Forestry Commission, the lead partner in the West Midlands.	UK	TW	Landscape area centred on the Wyre Forest, Worcestershire and a designated National Nature Reserve.	Wyre Forest Landscapes will result in a 10-year strategy to ensure the long-term social, environmental and economic sustainability of the area. Currently the scheme is being developed with a Stage I grant from the Heritage Lottery Fund (HLF) and has been earmarked for a further £2 million Awaiting "Stage 2 pass" from HLF which will allow project delivery to start in Autumn 08 - £1.8 million award applied for to support delivery. The "Grow with Wyre" scheme has 22 elements, which collectively aim to conserve, restore and enhance the unique features of the Wyre to ensure the long-term social, environmental and economic sustainability of the area. The projects in the scheme will inform and involve local communities. It will look to do the following: ▪ re-instate sustainable land management ▪ manage for the biodiversity of the area ▪ develop renewed local and traditional work skills ▪ develop markets for products coming out of land management activities ▪ establish sustainable wood fuel usage and encourage "low carbon" living ▪ provide new visitor, volunteer and education facilities ▪ provide sustainable and increased access to the Wyre explore the history of the Wyre using state-of-the art technology The projects are linked and reliant on each other to deliver the self-sustainability that is the ultimate goal of the "Grow with Wyre" scheme.
17	WILD INDIA	Asia	TW	Kolkata, Duars Forest areas (sub-Himalayan lower gangetic plain ecoregion), West Bengal, India	A project run by a journalist who researches on forest, wildlife and livestock sectors all over India and produces interactive documentary films.
18	Native Oceans a program of Ocean Revolution	S America	M	Sonora, Mexico; Inhambane, Mozambique; NE Arnhem Land and Torres Straits, AU	Protection of oceanic wildlife and habitat, replacement of unsustainable oceanic resource utilization with sustainable alternatives
19	"Save the Delhi Ridge Forest"	Asia	TW	Delhi, India	Delhi, the capital city is one of the very few metros in the world, which can boast of a forest, known as the Delhi Ridge, the tail end of the Aravalli mountain ranges dating back 1500 million years. Delhi ridge had a total length of 53 Kms. but now it has been fragmented due to urbanization. Delhi Ridge –The "*Rakh*" Forest" – The Green lung, which performs many ecological functions is vital to the city's well being. Apart from the green cover and the rich biodiversity, it provides respite to people from the heat and dust, from the noise and chaos

	Name of project	Where	M TW	Location	Focus or reason for participation
					and offers aesthetic pleasure and peace of mind. It is also: A Natural watershed A Crucial water recharge area A birdwatchers paradise An agent in tempering the micro climate A Carbon sink A Sink for the huge amounts of pollution of the city Provider of fuels and fodder for use by villagers. A subject of research And the performance of these functions greatly depends on its extent and status. But It was facing the risk of getting overrun by urban development.
20	Thanet Coast England	UK	M	SE England	In 1998 The need for a European Marine site management scheme for the Natura 2000 sites In 2006 The need to review the first plan and broadening it out to implement the 12 principles of the Ecosystem Approach
21	London Array Offshore Wind Farm	UK	M	Greater Thames Estuary	Developers recognised they had to consult with nature conservation organisations throughout the planning process due to sensitive nature conservation issues.
22	Coastal Futures – Humber Community Project	Uk	M	Humber Estuary – north bank east from Hull to Spurn Point	Funded through Defra "Invest to Save Budget". Premise of project – investment of time to involve communities in new strategies / projects in the early stages of development will save time and possibly money later, through reduced objections or revisions to plans
23	An interdisciplinary assessment of the success of co-management and compliance of a Marine Protected Area in the Philippines	Asia	M	San Salvador Island, Philippines	To incorporate the views of different stakeholders particularly primary resource users (fishermen) on there perspectives on co-management and compliance of the marine protected area
24	Devon Maritime Forum	UK	M	Devon	Development of Marine and Coastal Access Bill legislation and the role for stakeholders in Devon
25	ESFJC Cockle & Mussel Management Policies	Uk	M	The Wash	To incorporate fishermen's knowledge and understanding of the local marine environment in the development of (i) conservation objectives for The Wash and North Norfolk Coast European Marine Site, which in turn fed into (ii) Fisheries Management Policies for the cockle and mussel fisheries in the Wash.
26	Grupo Tortuguero	S America	M	Baja California peninsula, Mexico	Sea turtle conservation
27	RIPPLE (Rivers Involving People, Places and Leading by Example)	Ireland	TW	Ballinderry River, Co. Tyrone/Derry Northern Ireland	To develop a fully participatory river basin management plan that is led by the local catchment community and supported by policy and decision makers. Developing and action plan that can be managed and implemented by the community so that their river can contribute to achieving 'good ecological status' in a much larger international river basin district (Neagh-Bann)

Annex 3 Summary of good practice codes

Note: This review is a sample only of the ever-expanding list of codes and principles on 'engagement'. The codes and principles reviewed fall under categories of public engagement, deliberative public engagement, stakeholder dialogue, and consultation – though different they are deemed similar enough to permit comparison. The table below lists the ones we have used and the reference or url.

1	Aarhus Convention & Participation Directive: 2003/35/EC	http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32003L0035:EN:HTML [Accessed January 2009]
2	UN Brisbane Declaration	http://www.getinvolved.qld.gov.au/assets/pdfs/brisbane_declaration.pdf [Accessed January 2009] For context: http://www.engagingcommunities2005.org/home.html [Accessed January 2009]
3	AA1000SES Stakeholder Engagement Standard (sits within the AA1000 Accountability Framework)	http://www.accountability21.net/uploadedFiles/publications/SES%20Exposure%20Draft%20-%20FullPDF.pdf [Accessed January 2009]
4	HM Government Code of Practice on Consultation, revised and re-released 2008	http://www.berr.gov.uk/files/file47158.pdf [Accessed January 2009]
5	Macaulay Institute: Good practice principles for stakeholder engagement in policy development	http://www.spatialnorth.eu/download/18.49aebab41110298c34b80007664/Spatial+North+Stakeholder+Engagement+in+Policy+Development.ppt [Accessed January 2009]
6	Reed, Mark (2008). 'Stakeholder participation for environmental management: a literature review'	See reference list
7	International Association for Public Participation.	http://www.ci.minneapolis.mn.us/communications/docs/IAP2CoreValues.pdf [Accessed January 2009]
8	Involve with the Consumer Council and Shared Practice: Deliberative Public Engagement: 9 Principles	http://www.involve.org.uk/assets/Publications/Deliberative-public-engagement-nine-principles.pdf [Accessed January 2009]
9	The Environment Council	http://www.the-environment-council.org.uk/principles-of-authentic-engagement.html [Accessed January 2009]
10	IUCN Adapted from Achieving Environmental Objectives (2004)	http://www.unece.org/env/esd/information/Publications%20IUCN/Achivieng%20Environmental.pdf [Accessed January 2009]

The table follows broadly the same order as the section 'Good Practice in Stakeholder Participation'.

	International agreements and declarations		Corporate (CSR)	UK Govt guidance	Academia		Practitioner Literature			Conservation organisation
	1	2	3	4	5	6	7	8	9	10
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Preparing for participation - Resources of time and money										
Time	Reasonable time frames shall be provided to give sufficient time for each stage of public participation			2 Duration of consultation exercises should normally be 12 weeks min					**Resourcing**: good engagement processes need both time and money. Running out of either is frustrating for all. Furthermore, it can actively undermine everything previously achieved. Spell out the resource implications at the outset and be wary of starting what cannot be properly completed.	
Money		12. Requires that Indigenous peoples, poor and marginalised are adequately resourced to participate effectively	Org shall assess capacity and resource needs of stakeholder to participate and respond to these needs							
Staff				7. Officials running consultations should seek guidance on how to run effective exercises and share what is learnt						
Embedding participation						8. Participation needs to be institutionalised to create organisational culture where goals can be negotiated				Change the organisation to create a more enabling context for CEPA work
Accountability	Accountability - including access to judicial procedures for challenging substantive or procedural legality of decisions, acts or omissions	Community engagement key to transparent and accountable governance.	Accountability is core to stakeholder engagement.						**Accountability**: as soon as possible after the end of engagement processes respond to participants with an unambiguous account of how and	

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									why their contributions have - or have not – influenced the outcome, and ensure there are routes for follow-up including reporting on final decisions, strategies and/or implementation plans.	
Communication										Tailor the language and approach
Participation Strategy and Process design										
Designed process			Identify stakeholders and design engagement strategy, objectives and scope	Clarity of process – including clarity of proposals, impacts, and timescale for responses	Focus on process not projects. Need clear objectives and agreed mandate	Well designed process more important than the tools used				
Tailored design		14. Recognise wide range of methods and tools to facilitate appropriate community engagement	Inclusivity – develop appropriate engagement strategies and plans		One size does not fit all – principles important not procedures	5. Methods should be selected and tailored to the context		4. Tailored to the circumstances		Tailor process to familiar traditions
Plan made available			Plan outlining engagement strategy, objectives and scope will be made available to stakeholders							
Priority to participants discussions					4. Clear objectives agreed among stakeholders at the outset	Public Participation - seek input from participants in designing how they participate (CV5)	7. Gives priority to participants discussions		Responsibility for the agenda and the process is shared among all stakeholders	

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Process review		15. Affirm value of monitoring and evaluation of process and outcomes	B3.9 Orgs shall establish processes to measure quality of stakeholder engagement practice					9. Is reviewed and evaluated to improve practice		
Involvement /inclusion										
Who to involve	Participation should be fostered, including participation by associations, organisations and groups.	Inclusion - opportunity for a diverse range of values and perspectives to be freely and fairly expressed and heard	Inclusivity – To identify, understand and prioritise stakeholders			3 Relevant stakeholders need to be analysed and represented systematically	Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision (CV4)	5. Involves the right number and type of people	**Inclusiveness**: encourage the participation of all stakeholders who have an interest in or who would be affected by a specific decision, including 'hard to reach' groups, such as young people, minorities, and socially mobile professionals. Stakeholder dialogue is an inclusive process, involving all interest groups that have a concern about the outcome	
Levels of involvement										
Having an influence	Effective public participation enables public to express and have relevant opinions and concerns taken account of. Due account shall be taken of results of public participation	Influence – when people have input in designing how they participate, when policies and services reflect their involvement and when their impact is apparent.	Consider and respond to the needs and concerns of stakeholders in decisions, policies and practices B3.8 Orgs will use what it learns from process to inform strategies and operations	1. Formal consultation should take place when there is *scope* to influence the policy outcome.	There is a Right to influence	Need to enable stakeholders to influence or alter the questions being asked and the outputs that are produced.	Public Participation includes the promise that the public's contribution will influence the decision (CV2)	Makes a difference	**Responsiveness**: there is little purpose in spending time and money on engagement if there is no willingness to listen to its results. Those doing the engaging must be open to the idea that their existing ideas can be improved (or are wrong), and that	

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									they will, if necessary, be amended. Those being engaged must perceive that their voice will be taken seriously, and that things can be changed. If they do not perceive this, the engagement process will be regarded as a sham, and it will be harder to involve them the next time their views are needed.	
Transparent on which rung of the levels of involvement	Transparency of decision making process	Integrity – when there is openness and honesty about the scope and purpose of engagement;		3. Should be clarity on the scope to influence						Manage expectations
Integrity		13. Integrity – where there is openness and honesty about scope and purpose of engagement						3. Process has integrity		
When to involve stakeholders										
Early involvement and throughout	At an early stage when all options are open			1. Should be done at a stage where there is still scope to influence policy		2. As early as possible and throughout the process				2. Be proactive and continue to use CEPA• when things are going well
Attitude to stakeholders										
Right to have a say	Public entitled to express comments and opinions	Community engagement is essential to achieving Millennium Development Goals	Inclusivity principle – giving stakeholders a right to be heard and accepting obligation to account to them				The Public should have a say in decisions about actions that affect their lives (CV1)			

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Equality									**People attend as equals**	
Respect		10. Effective community engagement fosters relationships based on respect and trust.			Respect rather than exploit or exhaust			6. Treats participants with respect	**Commitment**: show respect for both stakeholders and taxpayers by giving engagement the appropriate priority and resources, and demonstrating that it is a genuine attempt to understand and incorporate other opinions even when they conflict with the existing point of view.	
Participants are kept informed	Competent authority makes reasonable efforts to inform public about decisions made and reasons, including info on participation process		Inclusivity – provide an account to stakeholders of decisions, policies actions & performance, and communicate what it learns from engagement	6. Clear feedback should be provided to participants following the consultation	There is a right to be informed		Public Participation communicates to participants how their input affected the decision	8. Participants are kept informed		
Build Trust		10. Effective community engagement fosters relationships based on respect and trust.				Trust is important as guiding principle, alongside empowerment, and learning.				Trust stakeholder knowledge to find the way forward –
Cultural sensitivity			Orgs shall establish appropriate ways to engage with stakeholders						**Accessibility**: provide different ways for people to be engaged and ensure people are not excluded through barriers of language, culture or opportunity.	Tailor process to familiar traditions

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Doesn't waste peoples' time				5. Need to keep the burden of consultation to a minimum					**Productivity**: the ultimate purpose of all engagement is to make something better. How an engagement process will do this needs to be set out to encourage stakeholder participation and assure them that neither their time nor the sponsor's money is being wasted.	
Transparency	Transparency	Community engagement key to transparent and accountable governance in public, private, community sectors	Transparency of stakeholder engagement process is a core feature of accountability					2. Transparent	**Transparency, openness and clarity**: ensure stakeholders are given all the information they need, tell them where information is lacking or things are uncertain, indicate clearly what they can or cannot influence by responding, and provide an indication of next steps.	
Knowledge information and learning										
Information and resources provided so participation is meaningful	Participation should be fostered, including through promotion of environmental education to the public			3. Ensure consultation materials are clear, concise and widely accessible 4. Outputs should be designed to be accessible to and targeted to people the process intends			Public Participation provides participants with the information they need to participate in a meaningful way (CV6)			

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				to reach						
Different types of knowledge valued and mutual learning						7. Local and scientific knowledge should be integrated			**Willingness to learn**: all engagement should encourage everyone to learn from each other, and this means a style of process that is as interactive and as incremental as possible to build increasing layers of mutual understanding, respect and relationship.	Combine different forms of knowledge
Build Capacity		11. Meaningful engagement seeks to address barriers and build capacity and confidence to participate	B3.6 Build and strengthen capacity of stakeholders (competencies and resources) to enable effective engagement.							
Design and facilitation of workshops										
Facilitation skilled and independent						6. Highly skilled facilitation is essential			**Independence**: using a neutral convener and independent facilitators, especially in highly polarised situations, can help to build the confidence of stakeholders. It is difficult for a sponsoring organisation, whether local authority or private company, to facilitate an independent	

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									process, and the attempt to do so may in itself arouse suspicions about the integrity of the process. Dialogue meetings are designed and facilitated by independent professional facilitators who have no vested interest in the final outcome	
Common ground									Dialogue processes seek to identify and build on common ground	
Deliberative		When there is sufficient/credible info for dialogue, choice & decisions, & space to weigh options, develop common understandings & appreciate respective roles & responsibilities								
Potential outcome of good practice										
Decisions are sustained over the long term		10. Effective community engagement creates more inclusive and sustainable communities	Org will assess, re-map, and re-define its operations and stakeholder engagement strategy in light of its learning			Need research to understand factors which allow stakeholder participation to produce stronger and more durable decisions in different contexts	Pubic participation promotes sustainable decisions by recognising and communicating interests & meeting process needs of all participants, including decision makers (CV3)		.	
Multiple impacts		9. Effective			Leave positive					

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		engagement generates better decisions, delivering sustainable economic, envtl., social and cultural benefits			legacy					

*CEPA refers to communication, education, participation and awareness tools and guidance

Other Codes, protocols or guidance	Web address
Communities in Control, DCLG Empowerment White Paper	http://www.communities.gov.uk/documents/communities/pdf/886045.pdf
ISO Standard 26000 Social Responsibility	Pending 2010 See draft guidance: http://isotc.iso.org/livelink/livelink/fetch/2000/2122/830949/3934883/3935096/home.html
SIGMA (CSR) Guidelines - Stakeholder Engagement	See http://www.projectsigma.co.uk/toolkit/StakeholderEngagement.asp
UK Office for Science and Innovation Guiding Principles for Public Dialogue	http://www.sciencewise-erc.org.uk/cms/assets/Uploads/Other-SW-Docs/guidingprinciples08.pdf
Environment Council - Principles of Authentic Engagement	http://www.the-environment-council.org.uk/principles-of-authentic-engagement.html
World Business Council for Sustainable Development – Stakeholder Dialogue Principles and Guidelines	http://www.wbcsd.org/DocRoot/sY0gbwlH9OPo3doLXocI/stakeholder.pdf
Centre for Effective Dispute Resolution – Code of Conduct For mediators and other third party neutrals	http://www.cedr.co.uk/library/documents/code_of_conduct.pdf [Accessed January 2009]
OSPAR Guidance for good practice for communicating with stakeholders on the establishment and management of marine protected areas.	http://www.ospar.org/documents/DBASE/DECRECS/Agreements/08-02e_MPA%20stakeholder%20communication.doc [Accessed January 2009]
Association for Conflict Resolution - model standards of conduct for mediators Sept 2005	http://www.abanet.org/dispute/documents/model_standards_conduct_april2007.pdf [Accessed January 2009]

Annex 4 Ecosystem Approach

The Ecosystem Approach was adopted as the main framework for action in 1995, adopted as the fundamental tool for the delivery of the Conventions objective in May 2000, and was endorsed by the Worlds Summit on Sustainable Development in 2002 at Johannesburg.

To guide implementation the CBD has agreed 12 Ecosystem Approach principles, 5 points of Operational Guidance, and provided implementation guides. In the list below we have highlighted the principles, and the points of operational guidance, that are relevant to the need for good practice participation.

The 12 ecosystem approach principles are:
1. **The objectives of management of land, water and living resources are a matter of societal choice.**
2. **Management should be decentralised to the lowest appropriate level.**
3. Ecosystem managers should consider the effects (actual or potential) of their activities on adjacent and other ecosystems.
4. Need to understand and manage the ecosystem in an economic context.
5. Conservation of ecosystem structure and function to provide ecosystem services should be a priority.
6. Ecosystems must be managed within the limits of their functioning.
7. **The approach should be taken at the appropriate spatial and temporal scales.**
8. Process and objectives for ecosystem management should be set for the long term.
9. Management must recognise that change is inevitable.
10. **Seek the appropriate balance between integration, conservation and use of biodiversity.**
11. **Decision-making should consider all forms of relevant information (scientific, indigenous and local).**
12. **Involve all relevant sectors of society and scientific disciplines.**

The 5 points of operational guidance are:
1. Focus on the relationship and processes within the ecosystem.
2. **Enhance benefit sharing.**
3. Use adaptive management practices.
4. Carry out management actions at the scale appropriate to the issue, with decentralisation to the lowest level appropriate.
5. **Ensure intersectoral co-operation.**

Note: The Ecosystem Approach is not the same as the Ecosystem Services Approach, which is derived from the Millennium Ecosystem Assessment (2003).

Key differences between the two approaches are that the Ecosystem Approach promotes integrated and equitable decision making, systems thinking, and sees humans as part of the system. The Ecosystems Services Approach is based in reductionism, tends to be econocentric, and evaluates ecosystems for what they provide for humans so that humans are perceived as consumers of services rather than an integral part of the ecosystem.

Annex 5 When could the projects carry out process design and facilitation themselves?

We have recommended professionals are used to designer and facilitate the main stakeholder processes. However, within the life of the projects, there may be other smaller and more straightforward stakeholder meetings and workshops. If the stakeholders would accept and trust project staff in an impartial role, and the individual has the training and skills to undertake this role, the benefits of using a member of the project team for smaller workshops may well outweigh the disadvantages:

Benefits
- They will understand the issues surrounding the discussion
- They will have a knowledge of the area,
- They will have knowledge of the regional policy context, and decision making procedures of the regions
- They will have knowledge of the stakeholders eg their values, hierarchies, written and unwritten rules, language acronyms, personalities.
- It appears to be lower cost (though if staff are running processes they are not able to do other work)
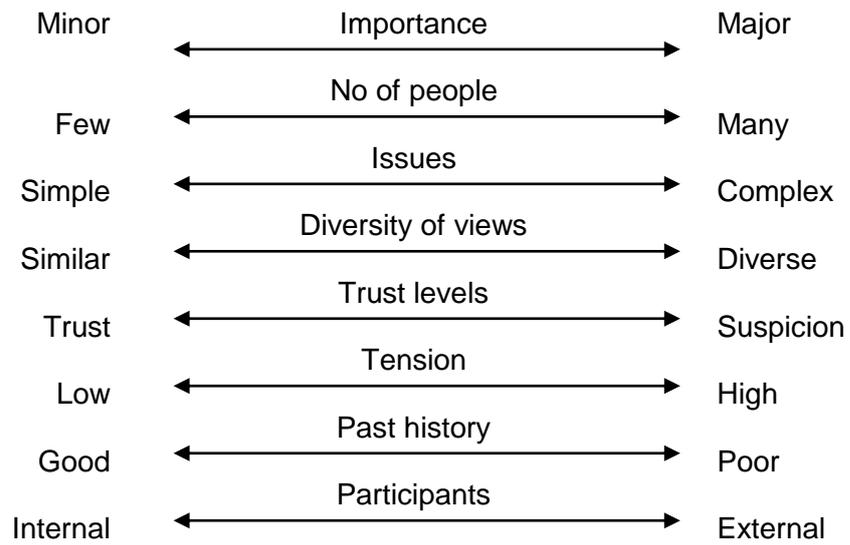
Disadvantages
- Suspicion of bias
- They will be more aware of the positional status of stakeholders and may inadvertently defer to people with whom they share expertise, or who are senior in sponsoring organisations that control the purse strings.
- They may need to be participants themselves to bring contextual knowledge into the process eg about changes in deadlines or policy.
- They are vulnerable to pressure from particular groups or individuals.
- They may lack the necessary training, skills, experience or personality.
- There are time costs - facilitating events or processes takes them away from their normal work.
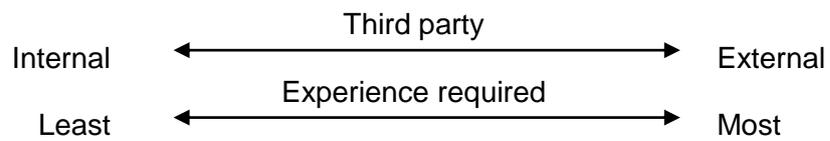
Based on Pound 2008

The table below provides some continuums that can be used as indicators as to whether or not an external third party is advisable. The further to the right a situation is, the more likely that an independent professional is required.

Assessing the situation

Minor	Importance ←————————→	Major
Few	No of people ←————————→	Many
Simple	Issues ←————————→	Complex
Similar	Diversity of views ←————————→	Diverse
Trust	Trust levels ←————————→	Suspicion
Low	Tension ←————————→	High
Good	Past history ←————————→	Poor
Internal	Participants ←————————→	External

Who to use as a third party

Internal	Third party ←————————→	External
Least	Experience required ←————————→	Most

Pound 2008

Annex 6 Draft process ideas

Please note:

- There are a number of unknown factors that may influence the design (see main text)
- The level of details gets less through the process. This is because early stages of a process are strongly influenced by the purpose and context of the dialogue, which is known in advance. Later stages are designed to be adaptive to what happens in the process itself, which is not known. This includes factors such as the dynamics between stakeholders, quality and acceptability of information, uncertainty, perceived or actual conflicts, perceptions of risk, and how hard people have to negotiate to find mutually acceptable solutions.
- The process below is for the regional process but at least in the earlier stages will be very similar in design to the sub regional and national process.

Preparation

- Contract professional process practitioners to design, run and facilitate the whole process
- Convene process advisory group to advise process designer
- Systematic stakeholder analysis
- Build facilitation capacity to provide teams of support facilitators to help facilitate workshop
- Send out briefing and invitations to stakeholders
- Practical preparation for first workshop

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Workshop 1 Briefing and scoping

Briefing presentations to explain the purpose and process. Key messages include:

- Explain the purpose: Share the challenge: that the sea is under pressure from human use and with concerted effort and action the decline can be halted, and the sea brought back to good health. Part of the solution, and the purpose of the dialogue, is to find areas that can be managed for nature. The only way of achieving this is to work together collaboratively to share information and ideas
- Explain what is negotiable: That this is a collaborative process to make decisions about what to recommend to government. The regional process will decide what to recommend advised and influenced by national and sub regional participation. But the final say rests with the Minister.
- Brief people on the process, timeframes and so on.
- Brief people on the difference between the MCZ and Natura 2000 process - and explain how they can comment on Natura 2000

Facilitated sessions:

Share aspirations and hopes for the future of the regional sea.

- Develop a broad and shared vision for the regional sea and the role of the MCZ.

Develop shared awareness and understanding

- Explore the opportunities and challenges of MCZ
- Start to develop a shared broad understanding of the current situation, and trends and changes, in the regional marine environment (without seeking to decide whose view is the correct one).
- Start to develop understanding of uses and activities in the region and the perceived socio economic and environmental benefits and disbenefits of each.
- Do some hand drawn rough mapping eg of human uses, valued areas, known ecological hotspots (make it very clear that these are rough and ready ideas).

Identify Information needs

- Stakeholders identify the information they need to help them make a worthwhile contribution to the discussion. Collect offers of information

Explore the role of being a regional stakeholder representative

- Explore how stakeholders will need to liaise with their constituents (i.e. attend a series of workshops, and brief any substitutes well).
- Ask what help people need to help them liaise with the people or interests they represent

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Process outputs and prepare for next workshop

- Process outputs
- Collate information asked for by stakeholders
- Prepare draft human activity information sheets
- Draft rough maps
- Practical preparation for next workshop

Workshop 2: Developing shared knowledge

Co creation of knowledge

- Stakeholders start working up the information they need to inform their discussions including:

About the natural environment

– What are the habitat types, nationally, regionally and locally important habitats and species from a conservation perspectives
– What are the important habitats and species from commercial or cultural perspectives

About human use

– Review the draft human use information sheets and maps
– Map, or look at maps, of existing management, zoning, or restricted areas that are already in place within the project area. Comment on accuracy.
– Consider which human uses are compatible with which habitat types (graded on: compatible, could be compatible with effective management, not compatible)
– Which human uses are compatible with each other in the same space/habitat and seasons

Alert people to the Natura 2000 process

- If appropriate and it fits with N2000 consultation -do some participatory work on the proposed N2000 maps

Process outputs and prepare for next workshop

- Process outputs
- Collate information asked for by stakeholders
- Collate, and issue, a working 'hand book' or 'dossier' for stakeholders that comprises a working draft of all key information including the following:

Each human use including:

– (county, regional sea, national) Facts and Figures for each human use
– Perceived trends and changes
– Perceived benefits/positive effects of the activity, and disbenefits/negative effects
– Draft maps of where the activity takes place

The ecological guidance
Information on which human uses are compatible with which type of habitats.
Information on what is already being done to manage the sea

- Practical preparation for next workshop

Workshop 3: Participatory mapping of draft maps

Briefing

- Stakeholder mapping of ideas for where the network might go (frame as brainstorming at this stage). Note likes and dislikes. Explore who and what benefits, and who and what experiences the disbenefits, of the different parts of the network and the emerging network as a whole
- Explore what kind of human use is compatible with different parts of the network.
- Ensure it is clear that 'rough and ready' ideas on the maps are being generated from a number of sources (this workshop, the area workshops, liaison with local stakeholders(eg fisher maps, on line maps) and will be collated and processed before they next see them

- Process outputs
- Collate mapped ideas from all sources and prepare 'Fuzzy' maps. Look for quick wins – ie those areas that have been suggested by all the fora
- Code maps based on habitat type to show compatible uses, uses that would need management, uses that would not be compatible.
- Get an expert view (from the Science Advisory Panel) on the extent to which the emerging network meets ecological requirements
- Practical preparation for next workshop

Workshop 4: Refine network and develop consultation version
(NB This work may need two days)

Look for the areas were there is most support

- Identify the parts of the network, and its management, that many support and others can accept - for some this will be the 'least worst' options.

Work at what else is needed

- Consider advice of Science Advisory Panal
- Focus on adding to the network what is needed, where this could be, and how it could be managed to have maximum benefit and minimise the negative effects
- Develop ideas on management of each possible MCZ

Consider if it seems likely that the consultation and final workshop will reach sufficient agreement to make a recommendation to Government.

- If not discuss and agree what needs to happen

- Process outputs
- **Consult at all levels on maps and conservation objectives**
- Collate comments from all stakeholders in relation to the network as a whole
- Get an expert view (from the Science Advisory Panel) on the extent to which the draft network meets ecological requirements
- Practical preparation for next workshop

Workshop 5: Final consideration of the MCZ network
NB This work may need two days
(This is the next iteration of the network so this workshop will have some similar content to workshop 4)
Look for the areas were there is most support

- Identify the parts of the network, and its management, that many support and others can accept - for some this will be as the 'least worst' options.
- Consider advice of SAP and make amendments as necessary
- Negotiate over final amendments
- Assess levels of support for MCZ network

- Process outputs
- Prepare the MCZ network package ready for sending to JNCC and NE
- Send the recommended network to JNCC and NE

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- JNCC and NE collate all regional networks into a single document
- Pass on the recommendations to Defra
- Advise Defra on the extent to which they believe it meets the requirements

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- Defra undertake formal consultation

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- Final Decision from the Minister

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- **Stakeholder forums reconvene to agree the ongoing management, monitoring and review of the network and prepare for MSP**

Annex 7 References

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