FINAL REPORT
Implementation & results of monitoring and evaluation methods
Participatory processes for strategic planning of five alpine rivers

Dora Baltea, Italy
Drôme, France
Inn, Switzerland
Soča, Slovenia
Steyr, Austria

– Deliverable D.T1.3.2, Nov. 2018 –

SPARE - Alpine rivers as society's lifelines

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

www.alpine-space.eu/SPARE

CONTENT

INTRODUCTION

During the SPARE project (2015-2018), participatory processes have been implemented in five pilot case studies (PCSs, see Figure 1). The overall aim of these participatory processes was to improve existing watercourse management practices by integrating citizens and other stakeholders in decision-making.

The objective of the current report is to present the results of the monitoring and evaluation (M&E) of these participatory processes over the entire timeframe of the SPARE project.

The report is organised in **three parts**:

- ***The context in which participatory processes were implemented***: what are the issues at stake, who are the different actors, what knowledge they have about water, how participatory processes were linked to strategic planning in each PCS, etc.
- ***The participatory processes themselves***: who were the participants involved, what methods were used, who was mobilized and at what moment, …
- ***The outputs, outcomes and impacts***: which deliverables were produced by participants (e.g. citizen diagnosis, proposals, etc.), whether participatory processes changed their perceptions, which modifications it generated in the institutions in charge, etc.

Each part is composed of several sub-sections (cf. table of content). For each subsection (except context), we have indicated:

- A reminder of the methodological guidelines initially provided by the project work package in charge of participation (WP T1)
- A description of the way these guidelines have been implemented in each PCS
- Key lessons learned

Data collected to fuel the current report comes from the various M&E methods implemented in each PCS (See section on Monitoring and evaluation and Table 11). Additional data was also collected and compiled in other WP T1 deliverables or in other work packages' deliverables. We have included in this report only the data that was relevant to understand and analyse participatory processes. For more detailed information on specific aspects, we have included links to these other deliverables.

As a reminder, the **main innovations** in terms of participation proposed in the frame of the SPARE project were:

- **Including citizens**, and not only intermediary stakeholders, in the strategic planning of alpine rivers,
- Very **early participation**, i.e. including citizens in the engineering of their participatory process,
- Developing and testing **new participatory tools** (MyRiverKit, SMAG),
- A **monitoring and evaluation protocol** adapted to local needs and supporting the piloting of the participatory process.

Figure 1- Location of the five pilot case study (PCS) areas over the Alps

CONTEXT

Social-environmental issues at stake

We will not enter into much detail here about the social environmental issues at stake in each PCS. They are detailed at length in D.T.3.1.1 “Definition of current river management processes, focal actors’ problems and related ES in the PCSs” through reports, infographics and a photo library for each PCS (http://www.alpine-space.eu/projects/spare/en/home).

The table below summarises the main social-environmental issues at stake in each PCS. Even though each PCS has specificities, **some issues are common to all PCS**, including changes of stream flow regime, flooding, landslide, sediment transport hazards, conflicts among water users and preservation of water quality. These issues constitute the rationale of the SPARE project.

Table 1 Social-environmental issues at stake in PCSs

	Dora Baltea	Drôme	Inn	Soča	Steyr
Size of the river basin	3261 km2	1670 km2	1945 km2	2320 km2	1029 km2
Inhabitants	128 300	51 200	~ 25 000	120 000	~ 22 000
Social-environmental issue at stake	Very high hydro-geological risk (inundations, debris flow and landslides), good water quality, natural discharges strongly affected by water withdrawals and climate change, lack of information on water availability, Conflicts among water users (hydropower, cattle breeding and small farming, culture and tourism, fishing and angling), drinking provided ONLY by underground aquifers.	Substantial floods and drying up, intensive exploitation of gravels and water resources, conflicts among water users (kayakists, tourists, farmers, urban areas), water quality issues	Melting of glaciers, changes of stream flow regime, climate change. Risk of debris flow and landslides. Issues of water availability and conflicts, especially in summer period between farmers and tourists. Conflicts with small hydropower development are high.	Sparsely populated, high annual precipitation, attractive natures and well-preserved environment; main uses: drinking water supply, fishing farm, hydropower plants, and much tourism and recreation (fishing, rafting, kayaking and canyoning). Issues of flooding, landslide and sediment transport hazards ; pressure on water and riparian areas See	High water quality and abundance of water resources, allowing recreational activities and hydropower development. Rivers have been for centuries subject to modification of banks and straightening of river courses in order to enable use of hydropower and to protect against floods. New focus on river ecology and on achieving more natural conditions (lot of renaturation measures, fish ladders, …)

Overarching policies

Four out of the five PCS are member states of the EU. Switzerland is not a EU member state. As such, the four PCS are meant to apply the **EU water overarching policies**, including, but not limited to:

- The Aarhus convention (1998)
- The Water Framework Directive (WFD) (2000)
- The Floods Directive
- Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment (SEA Directive)
- The UN Resolution 64/292 (2010) recognising the human right to water and sanitation

Reminder of key elements of the Aarhus Convention concerning public participation:

Each Party shall make appropriate practical and/or other provisions for the public to participate during the preparation of plans and programmes relating to the environment, within a transparent and fair framework, having provided the necessary information to the public. Within this framework, article 6, paragraphs 3, 4 and 8, shall be applied. The public which may participate shall be identified by the relevant public authority, considering the objectives of this Convention. To the extent appropriate, each Party shall endeavour to provide opportunities for public participation in the preparation of policies relating to the

environment. (Article 7 - public participation concerning plans, programmes and policies relating to the environment > but see also all other articles of the convention)

Reminder of key elements of the WFD concerning public participation:

To ensure the participation of the general public including users of water in the establishment and updating of river basin management plans, it is necessary to provide proper information of planned measures and to report on progress with their implementation with a view to the involvement of the general public before final decisions on the necessary measures are adopted. (PREAMBLE – Para 46 & Art.14 in Annex 1 of the WFD)

In the 2015 Report on the progress in implementation of the Water Framework Directive Programmes of Measures, public participation is only mentioned once, as one obstacle identified by France (along with CY, DE, PL and UK) in implementing the programme of Measures (PoMs). Austria mentions "Cooperative working between public authorities and stakeholders at international, national and/or local levels" as one achievement in implementation of the WFD PoMs. No specific mentions of public participation or consultation are made in the Member State specific in-depth assessments on the WFD Programmes of Measures. Additional research would be needed to detail further how these overarching policies were translated in national and subnational legislations.

Three of the five PCSs are or belong to wider **transboundary river basins.**

The **Soča** is shared with Italy. On the Italian side, the river is called Isonzo. A transboundary Permanent Italian-Slovenian Commission for Water Management has been operative since 1975. The commission organises periodical meetings in principle every two years. During meetings, problems, open questions and initiatives are discussed (e.g. water regime, status and quality of underground water, water use, flood and erosion protection, hydrology, pollution, river navigation etc.) and detailed activity plans are defined. In 2016, discussions on harmonizing the processes of implementation of EU WFD and Floods Directive were ongoing. (Sources: www.ec.europa.eu/environment/archives/water/implrep2007/pdf/Governance-Transboundary%20Fact%20Sheets.pdf & Report 3.1.1. Soča).

The **Inn** River belongs to the Danube watershed and is handled by the International Commission for the Protection of the Danube River. Switzerland is not a country that is part of the agreement, the area of the Inn basin being less than 2 000 km2. But it participates in bilateral / multilateral cooperation with neighbouring countries. In the case of Inn River, Austria and Switzerland have signed an agreement for energy consumption in the Inn catchment area.

In Austria, the Austrian National River Basin Management Plan is closely embedded in a "Roof Management Plan" covering the International River Basin Districts Danube, Rhine and Elbe. These "Roof Management Plans" mainly address – apart from setting the scene for the national plans – issues of basin wide relevance and thus provide the frame for the national plans. These "Roof Plans" are drafted by the riparian countries using the International River Commissions in place. (Source: www.ec.europa.eu/environment/archives/water/implrep2007/pdf/good_examples.pdf

In 2016, Slovenia became the first EU member to enshrine the right to drinking water in its constitution.

Strategic planning in pilot case studies (PCSs)

Participatory processes which were implemented in the frame of SPARE project were initially meant to fuel institutional strategic planning processes at the regional or local scale. Table 3 lists institutional water laws, plans and programs at the national, regional and local scales in the PCSs and highlights the ones which project partners have listed as those in which participatory processes took place.

Table 2 - Institutional water laws, plans and programs at the national, regional and local scales in the PCSs (plans and programs in bold blue are the ones in which participatory processes take place)

	Dora Baltea	Drôme	Inn	Soča	Steyr
Last National laws to date	National Environment Law Dlgs 152/2006 National Decrees 29-2017 and 30-2017 (Ecological Flow and Env. assessment on withdrawals plant installation)	National Law on water and aquatic ecosystems (LEMA ; 2006)	National Law on Water Protection (2011)	National Water law (Zakon o vodah ZV-1E 2002-2015) Inland Navigation Law (Zakon o plovbi po celinskih vodah ZPCV ; UL RS št.30/02, 29/17)	Austrian Water Act (1959 in the valid version, recent modification in 2018) National River Basin Management Plan (NGP) : • 1st NGP (2009-2015) • 2nd NGP (2015-2021)
Regional river basin management plan (RBMP)	**Valle d'Aosta Region** Piano Regionale di Tutella delle Aque (PTA) Valle D'Aosta 1st PTA (2006-2016) **2nd PTA (in preparation)**	**Rhône-Méditerranée Basin** Schéma directeur d'aménagement et de gestion des eaux (SDAGE) du bassin Rhône-Méditerranée 1st SDAGE (1997-2009) 2nd SDAGE (2010-15) 3rd SDAGE(2016-21)	**Grison Canton** **1st Integrated River Basin Management Plan in the canton of Grison (in preparation)**	**North Adriatic River Basin** North Adriatic River Basin Management Plan 1st RBMP (2009-2015) 2nd RBMP (2016-2021)	**Upper Austria Region / Länder** Programme of measures Upper Austria **Draft regional water management program for river sections of special ecological importance**
Local river basin / water body management plan		**Drôme river basin** Schéma d'aménagement et de gestion des eaux (SAGE) du bassin versant de la Drôme 1st river contract (1990-1996) 2nd river contract (1999-2006) 1st SAGE (1997 – nowadays) 1st revision of SAGE (2013) **2nd revision of the SAGE (in preparation)**	**Inn river basin**		

It can be noted that the way the WFD was applied differs in each PCS. In France and Slovenia, large river basins exist (Rhône-Méditerranée and North Adriatic Basins) encompassing the local river basins where SPARE participatory processes took place (Drôme and Soča river basins). In Italy, Switzerland and Austria, SPARE participatory processes took place at the level of the administrative region (respectively Valle d'Aosta region, Grison Canton and the province of Upper Austria).

Water management and strategic planning is carried out either by independent River basin authorities, as in France and Slovenia, either by the offices of the regional government like in Italy, Austria and Switzerland (Figure 2, Figure 3, Figure 5, Figure 6, Figure 7). Technical support is usually brought by public institutions, either at national or regional scale, most of them being partners in SPARE Project: IzVRS, BOKU, Irstea and ARPA.

« Usual » participatory approach in the PCS

In practice, participation of stakeholders in river basin strategic planning in the five PCS often goes through the involvement of **intermediary stakeholders** (i.e. representatives of policy makers, managers, NGO members, professionals, experts, etc.) in water instances and technical committees. **Citizens, inhabitants and other users** (e.g. tourists) are informed but rarely consulted or actively involved;

In **Dora Baltea**, intermediary stakeholders (representatives of public administration thematic services, or of groups of private stakeholders) are mainly involved through technical meetings to discuss specific river management projects. Participation of the public was mainly informative so far. Formal letters, written reports, newspaper articles and, in general, written correspondence are the common way of interaction among river managers, stakeholders and local communities. In case of "hot topics", public informative meetings have been organised. The revision of the PTA was meant to increase citizen participation through: publication of river management documents on PTA website (with the possibility for citizens to comment), online questionnaires, forums, in-depth meetings and thematic meetings. According to ARPAVDA (source: DT 3.1.1), the low level of citizen participation in water management so far can partly be explained by the fact that hydraulic works built in the past 50 years contributed to protect river buffers from erosion and floods but also strongly reduced river ecosystems which limited the attachment of the population to the river in comparison with other resources such as mountains, woods or glaciers. Cf. http://pta.invallee.net/partecipazione.

In **Drôme**, the local water committee (named Commission locale de l'Eau, CLE), which is in charge of the elaboration and implementation of the local river basin management plan (named "Schéma d'Aménagement et de Gestion des Eaux, SAGE"), is composed of three stakeholder groups: elected representatives of municipalities, public administrations and water users. Citizens are meant to be represented through their elected representatives, as well as through the water users' group. Inhabitants of the river basin are informed through various information means (flyers, website, display in city councils or billboards, etc.). For specific projects, plans and programmes, a public inquiry is mandatory during which citizens can provide their comments on the drafted document through an online or paper format. Since 2017, a preliminary concertation can be organised by water managers before the drafting of the project, plan or programme. Citizens, local authorities and associations can also require the organization of such preliminary concertation under specific conditions (Source : http://www.riviere-drome.fr/les-acteurs-cle.php).

In the **Inn**, the swiss National Law on water protection build the legal basis. The law was established 1991 and revised in 2011. For the revision NGO's as WWF, Aqua Viva and other members of the Water Agenda 21 did the lobbying for the implementation of this law, which protects better the river ecosystems. Participatory processes in river basins are not directly stipulated in the federal law. They are formulated from the Water Agenda 21 in their vision of integrated river basin management planning. This issue is since that time an approach promoted by the federal office for environment. Before the SPARE project started, two stakeholder workshops, organised by the Foundation Pro Terra Engiadina together with WWF Switzerland, took place, where existing conflicts concerning water resources in the catchment were defined. One of these events focused more on the effects of climate change and its impact on water resources and also water scarcity, while the goal of the second workshop was to draw the existing conflicts of the different stakeholder groups. In both workshops politicians, water users and citizens participated. The need of an integrated management was considered. Therefore a memorandum of understanding was prepared. The aim to start the integrated river basin planning in the whole Inn basin was refused by the politicians of Upper Engadin, because they were afraid that protection is the main aim of such a project. River Walk for Youth and the transborder River Dialog with representatives from Switzerland, Austria and Germany will help to establish a new thinking for the future.

In the **Soča**, two rounds of consultation were organised on the draft of the first River Basin Management Plans in 2009 and 2010. A consultation on the RBMP regulation was launched on 05/04/2011, and on the 13/04/2011 a consultation was also launched on the

Environmental assessment report and the Program of measures. Both consultations were open during 30 days from the respective date. (Source: http://ec.europa.eu/environment/water/participation/map_mc/countries/slovenia_en.htm). The consultation on the 2nd cycle of RBMP was very limited. In practice, mainly intermediary or representative stakeholders were consulted. Consultations were open to the public but little communication was made about it (Source: PCS session Windischgarsten May 2018). When initially established in 2014, the Soča River Foundation was meant to increase stakeholder involvement in RBMP. However, when the consultation on the 2nd cycle of RBMP was organised in 2015, SRF was at the very beginning and little could be done.

In **Steyr**, intermediary stakeholders were involved in the 1st NGP and in the 2nd NGP: they were informed about the identified problems and could propose solutions through events, workshops and ongoing stakeholder integration. Many projects were launched by the Ministry in recent years to raise awareness of citizens on water preservation and management: youth platform "Generation Blue", Neptune Water Award, "Wasseraktiv" platform, Upper Austrian river dialogues, etc." River dialogues" were organised in 10 regions between 2008 and 2012, involving about 11.000 Upper Austrians, but none on the 12 communities of the Steyr PCS. During River Dialogues, "*all citizens [are] invited to discuss their personal future vision for the river.[…] as first step the stakeholders – like representatives of water management departments, fishery and nature conservation – present their plans for the future shape and structure of the river. In the second phase, the citizens of the overall river catchment are invited to take positions within an online-inquiry. The third step is set by a local conference – the real dialogue – between public, regional stakeholders and representatives of the water management units of the ministry and the particular federal states*". (Source: www.ec.europa.eu/environment/archives/water/implrep2007/pdf/good_examples.pdf)

Initiation of SPARE participatory processes and articulation with institutional decision-making processes / strategic planning processes

Among the five PCSs,

- One was **fully articulated** with the institutional decision-making process, it took place ahead of the official revision of the local water management plan and the local water committee committed upfront to take consider the results of the participatory process: Drôme.
- Two participatory processes were meant to take place in the frame of an institutional strategic planning process but the **articulation between the two processes was limited**, mainly due to political changes and other factors (see section below): Dora Baltea and Inn.
- Two participatory processes were only **partly articulated** with institutional decision-making processes. They pursued other goals: Soča and Steyr.

Dora Baltea

In **Dora Baltea**, the participatory process was initially meant to take place in the frame of the **revision of the PTA** (Figure 2). SPARE participatory events were therefore meant to be integrated in the "institutional" participatory process of the PTA (thematic meetings, etc.). Several attempts were made by SPARE partners to link the participatory process with the official PTA process:

- Informative event in the frame of the preparation of the official river planning process 16/07/2016
- PTA Stakeholder meeting about PTA update 14/12/2016
- PTA Thematic commission Valutazione ambientale derivazioni idriche e Definizione deflusso ecologico 30/05/17, which corresponds in SPARE to D.T.2.2.2 - Stakeholder event on IRMPs – New National Decrees and Guidelines concerning Ecological Flow and ex-ante environmental assessment concerning small hydropower plant installation)
- Face to face meetings 09/2017 to 4/2018
- Workshop on hydromorphological method MesoHABSIM 21/3/2018.

However, despite the first attempts, the process manager changed his vision about SPARE participatory approach implementation during the PTA revision process. In January 2017, he decided that only some participatory events would be performed in connection to the official PTA revision process. These participatory events include ace to face meetings, workshops and "generic" meetings open to the public. These events aimed at ascertaining stakeholders' water requests, discussing management and planning alternatives (or scenarios, including "Alternative 0" no withdrawals) and identifying indicators reflecting the effect of different alternative scenario on stakeholders' own interests (cf. D.T.3.2.1 Report Dora Baltea). However, by the time this report was written, there was still no clear vision as to how much these elements would be taken into account in the official PTA revision process (still suspended in December 2018 due to umpteenth government crisis) and so becoming formal rules to plan river issues.

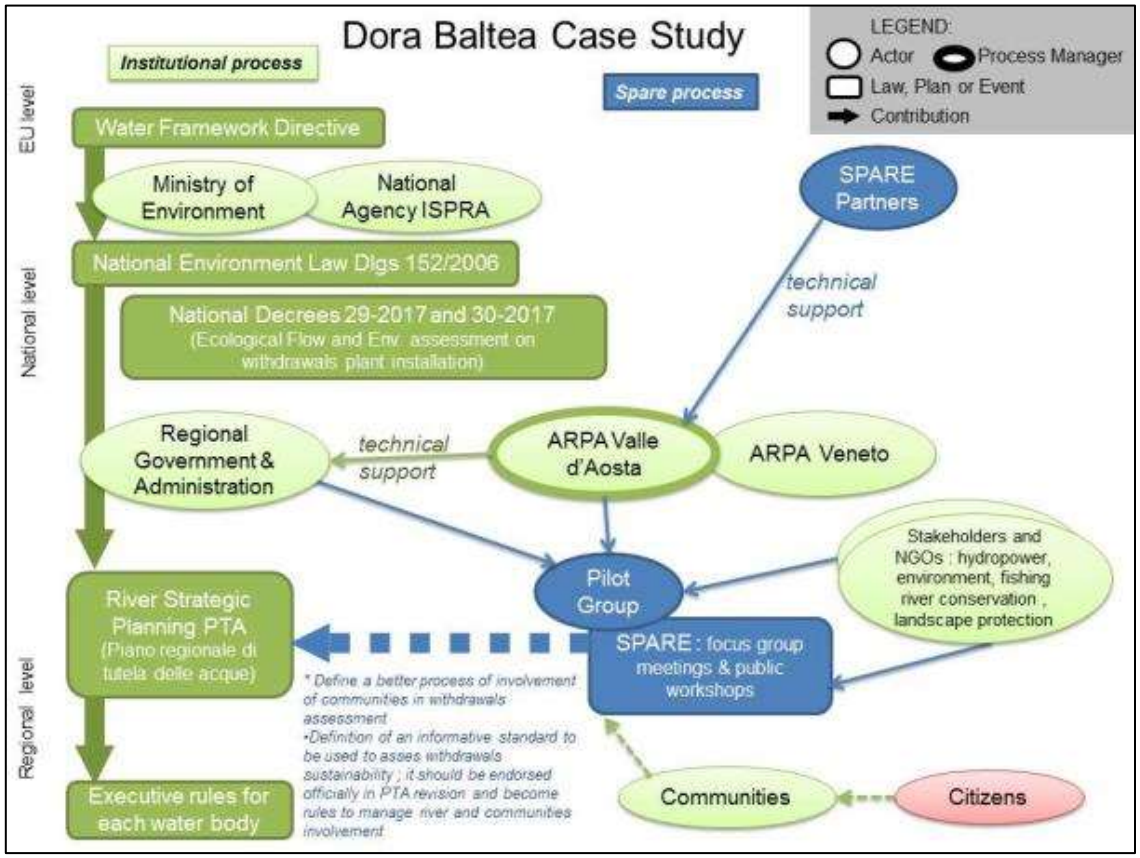

Figure 2 – Institutional water governance schemes in Dora Baltea PCS and articulation with SPARE participatory process (Girard & Hassenforder, 2018)

Drôme

In **Drôme**, the participatory process took place ahead of the official revision of the local water management plan called "SAGE" (Figure 3). The official revision of the SAGE started in spring 2018 while the participatory process took place from autumn 2016 to autumn 2018. The participatory process followed similar steps than the ones of the official SAGE revision, including a diagnosis, action proposals and planning. The success of the articulation between the participatory process and the institutional decision-making process in Drôme notably relies on the fact that the local water committee (CLE), which is the official decision-making entity for the SAGE, officially recognised the participatory process and agreed to take into account citizens' diagnosis and action proposals in the official revision of the SAGE. On 16 March 2017, the CLE approved the **charter regulating the articulation between the participatory process and the institutional decision-making process** (see "PROCESS" section for more details). Moreover, on 19 January 2018, the SAGE Observatory Thematic Commission, an offshoot of the CLE, **requested that the SAGE official diagnosis include a presentation and four detailed pages of the citizen diagnosis**.

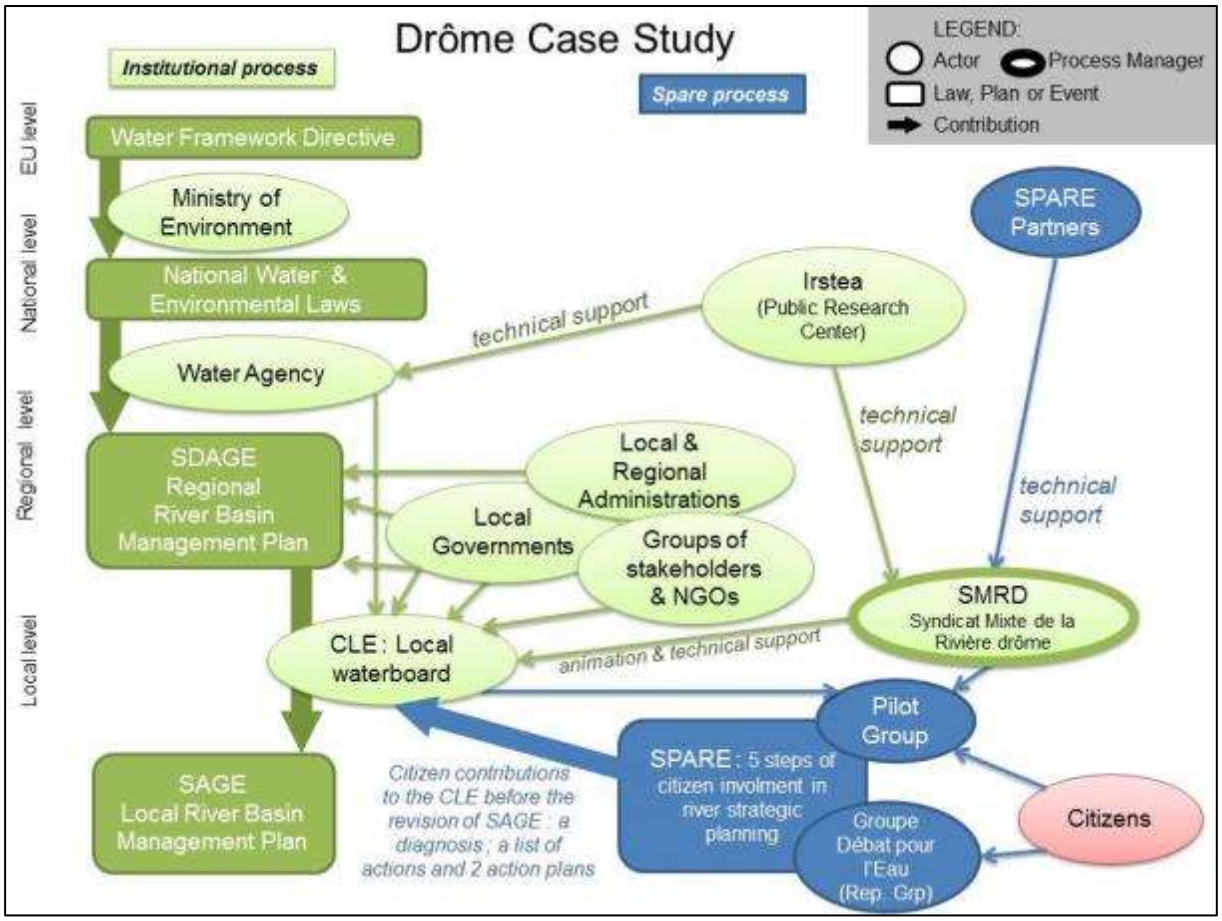

Figure 3 – Institutional water governance schemes in Drôme PCS and articulation with SPARE participatory process (Girard & Hassenforder, 2018)

Inn

In the **Inn**, the participatory process was initially meant to take place in the frame of the preparation of the **First Integrated River Basin Management Plan (IRBM) in the canton of Grison**. Starting the IRBM plan was an initiative of Foundation Pro Terra Engadina (PTE) accepted by the wider foundation board (2014). This board consisted of representatives of the municipalities in the catchment, members of different NGOs, representatives of the tourism association and of different cantonal offices. During the preparation phase of the project, different stakeholder meetings including citizens took place. The decision to actually start the project implementation was made by the regional decision-makers (Board of Foundation ProTerra Engadina). Representatives of Upper and Lower Engadine helped defining a pilot group. The participatory process started in April 2016 with a Pilot group meeting to present the Integrated River Basin Management Engadine (IRBM) project and the SPARE project. In September 2016, a presentation IRBM and SPARE was held for the president conference of Upper Engadine. The representatives of the Upper Engadine region decided not to participate in the IRBM project due to several reasons : IRBM was seen as needless for the Upper Engadine, because they don't recognise a need for a future planning ; the other point was the fear that the IRBM will led to a higher protection of the water resources. Despite the negotiation from Upper Engadine the representatives of the Lower Engadine Region (conference of presidents from communities) decided to follow the decision taken in June 2016 to develop an IRBM. Thus, project SPARE has created a new opportunity to continue anyway. Additionally, it was decided that the IRBM would include Val Müstair, along with Lower Engadine, since Upper Engadine refused to participate (cf. Figure 2). The pilot group decided later on to hand over IRBM to the person in charge of regional planning in Lower Engadine. The hand over is planned in January 2019.

Figure 4 - Map of the Inn PCS area. The Inn river basin (in blue) is part of two Regions in the Canton of Grisons: the Maloja and the Lower Engadine/Val Müstair regions. Upper Engadine is a subset of the Maloja Region (but is not an administrative entity). Source: https://en.wikipedia.org/wiki/Canton_of_Grisons#/media/File:Karte_Lage_Kanton_Graub%C3%BCnden_2015.png

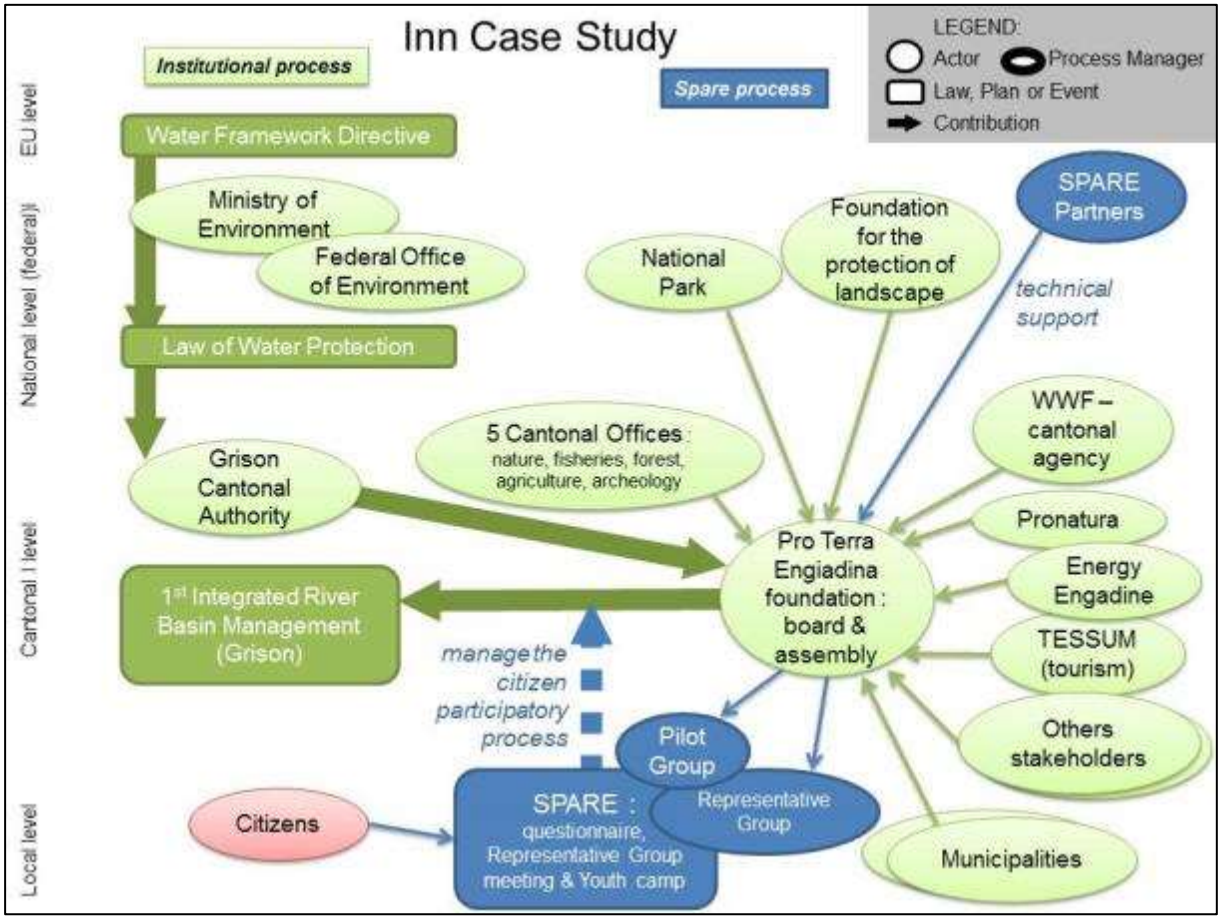

Figure 5 – Institutional water governance schemes in Inn PCS and articulation with SPARE participatory process (Girard & Hassenforder, 2018)

Soča

In the **Soča**, SPARE participatory process was aiming at the operationalization of Soča River Foundation (SRF) (Figure 6). The idea for SRF was active from 2010. The key players were Ministry for Environment and Spatial Planning, Institute for Water of the Republic of Slovenia, Slovenian Environment Agency, Sport agencies, gravel extraction companies, Triglav National Park, Soča Valley Development Centre, municipalities, Institute of the Republic of Slovenia for Nature Conservation, Soške Elektrarne Nova Gorica (SENG), angling clubs and tourism associations. As mentioned previously, when initially established in 2014, the Soča River Foundation was meant to increase stakeholder involvement in RBMP. However, when the consultation on the 2nd cycle of RBMP was organised in 2015, SRF was at the very beginning and little could be done. **This is the only official articulation which took place between SPARE participatory process and the official revision of the RBMP process**. SRF is hoping to play a larger role in the next revision of RBMP (starting in 2021). In addition to timing, this articulation was hampered by several other factors, including the reOrganization of Slovenian water stakeholders since 2015 (see next section). In parallel to RBMP, SPARE participatory process played a role in the consultation of stakeholders organised as part of the process of change of the **National law for navigation on inland waters**. SRF approached the Ministry of infrastructure to collect comments and suggestions to the new Inland Navigation Law. SRF prepared the comments in close cooperation with stakeholders and Representative group. It received 14 responses (see section on "PROCESSES" below). The comments were sent to the Ministry of Infrastructure and the Foundation is waiting for a response.

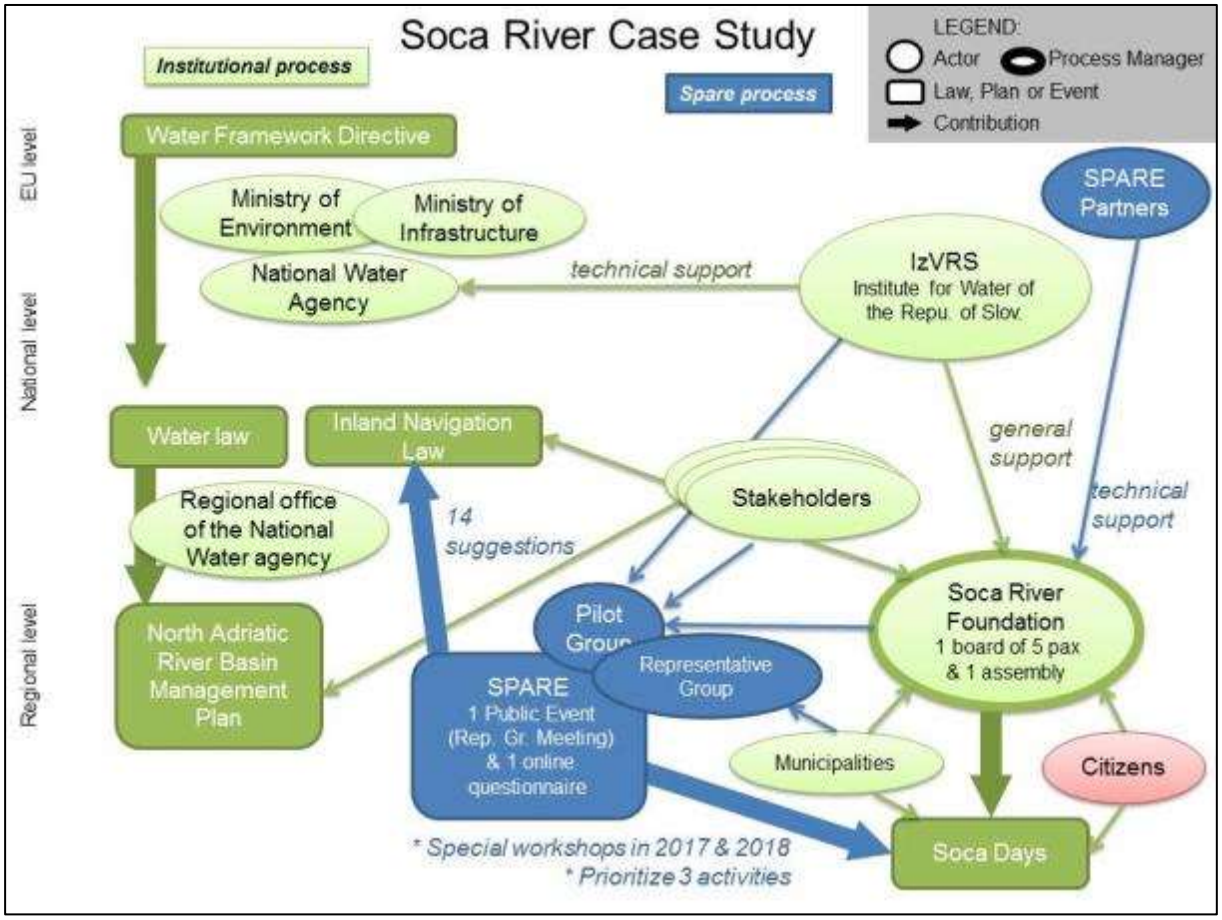

Figure 6 – Institutional water governance schemes in Soča PCS and articulation with SPARE participatory process (Girard & Hassenforder, 2018)

Steyr

In **Steyr**, SPARE participatory process was initiated by the Office of the Upper Austria Government and officially introduced by the Water Management Unit of the Office of the Upper Austria's Government (Land OÖ). Nevertheless, it was only partly articulated with a **regional water management program for river sections of special ecological importance** (Figure 7). The draft version of the program contains river stretches in the whole Upper Austria and not only of Steyr catchment. Nevertheless, a huge amount of the stretches that deserve protection are in the catchment of Steyr River. Therefore the content of the draft version of the program was presented and discussed during the 4th Rep. Group meeting. The goals of the participatory process are wider: to increase awareness of the citizens about all types of ecosystem services and to offer a platform for conflicting actors to come together and work on common development targets and sustainable perspectives for the region. In that sense, the participatory process contributes to the regional water management program in that it makes visible the points of view of different stakeholders on the preservation of river stretches and provides a platform for discussion.

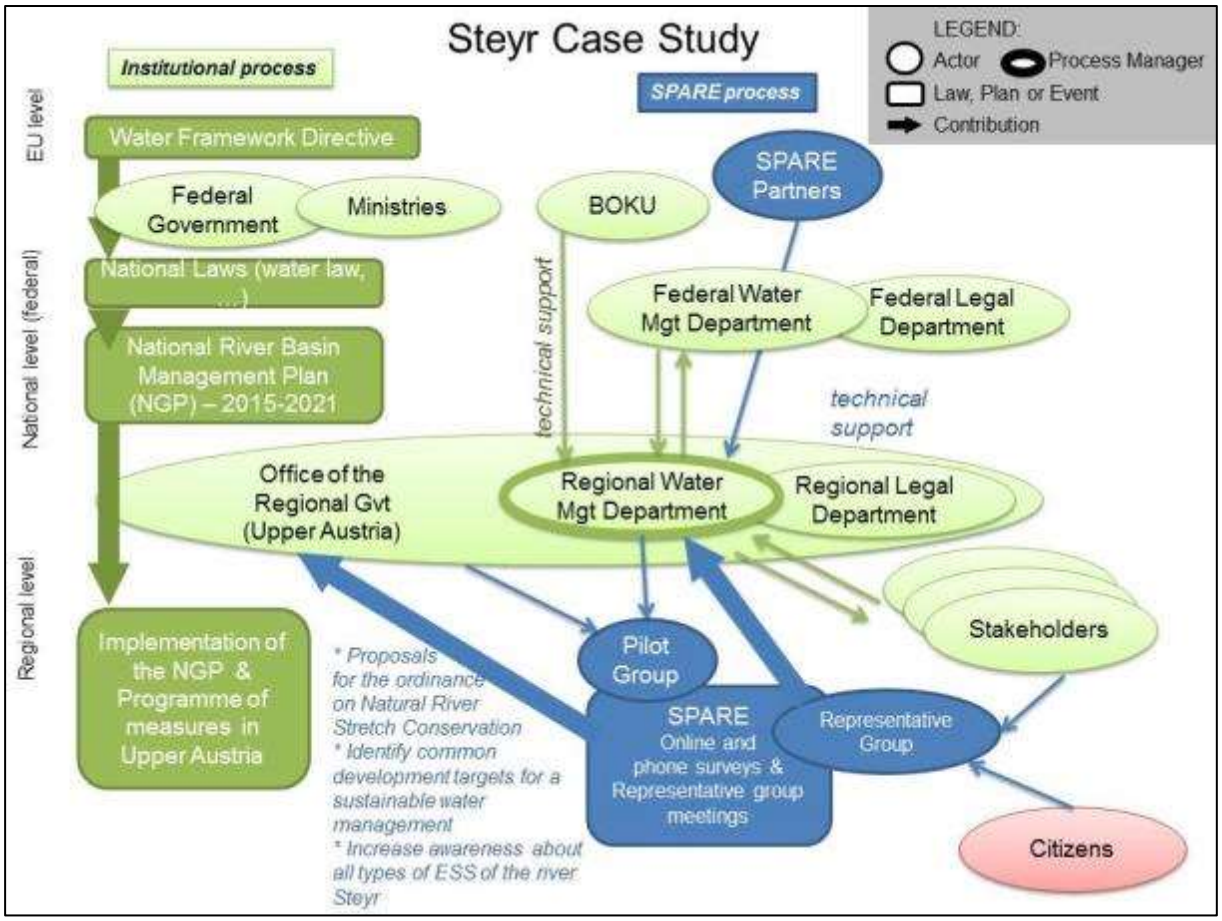

Figure 7 – Institutional water governance schemes in Steyr PCS and articulation with SPARE participatory process

Objectives of participatory processes in the five PCSs

Objectives of participatory processes listed in Table 3 were **identified by PCS process managers and facilitators**.

Table 3 - Objectives of participatory processes in the five PCSs

	Dora Baltea	Drôme	Inn	Soča	Steyr
Objectives of participatory processes	Increase information and awareness of population and stakeholders regarding water withdrawals requests. Improve participation of local communities to water withdrawals management and planning	Experiment new forms of citizen participation in water management Enable citizens to make concrete proposals and present them to the local water committee (CLE) before the revision of the local water management plan (SAGE)	Establish an Integrated River Basin Management Plan. Inform citizens. Involvement and empowerment of young people ("ambassadors" for their rivers) .	Involve participants / stakeholders and build on visibility and recognition of SFR Set priorities of objectives and activities for the river Implement activities for the river	Make visible the points of view of different stakeholders : make interests and conflicts over the use of water visible, offer a platform for conflicting actors to come together Together with stakeholders, evaluate multiple related ecosystem services (ESS) and create awareness Work on common development targets and sustainable perspectives for the region (balance protection and development needs)

In **Drôme**, objectives of the participation process were also discussed by the representative group during the first meeting on 3rd December 2016. **Ten categories of objectives were identified by Drôme citizens**:

- collect and give access to useful information/prior to decision-making, raise-awareness (on the river, water uses, governance and its actors, etc.)
- prevent and solve conflicts
- understand each other and each and everyone's place in the river basin
- transform governance, the way we decide
- get new proposals for actions to emerge; collect them, share them collectively, diffuse them (e.g. shoreline cleanup)
- make this [participatory] process, its results and its participants legible and credible (to citizens and those who manage the river)
- collect the wishes and needs of citizens
- empower citizens, give everyone the opportunity to act, appropriating the power to act
- live better
- build relevant tools

An attempt was made during the workshop to explicit these objectives into one sentence. The resulting sentence was: "*to collect, exchange, share and disseminate to everyone the needs, wishes and proposals of citizens and other stakeholders on all river issues; these proposals could concern the river, its uses, its governance and its stakeholders*".This sentence was then discussed by the Pilot Group and the Process Manager propose the final redaction of the objective, validated by the group : "*enable citizens to make concrete proposals on diverse water-related topics in order to bring new ideas to the local water committee for the preparation of the revision of the water management plan (SAGE*)" (objective mentioned in the participation plan). Several reasons contributed to frustrate participants of this step: goals of the step was non really understood by process manager and facilitator during the communication call for participation (participants were invited to discuss about their link to river and water), As the step initially expected to occur during 1

day spent 3 days organized in 4 events, it was quite hard and long to define the participatory objectives and as participants came to discuss on river stakes, some participants felt frustrate in the rest of the process, not being clear what for they were working. Then, the Process Manager was very careful to repeat the main objective at each beginning of a participatory event.

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As in Drôme, in **Steyr**, the goals of the participation process were not always clear to the participants and had probably not been enough explained before the first Rep. Group meeting. Due to lack of information, some participants assumed a "hidden agenda" behind the participatory process. Moreover, it appeared crucial to keep the goals and direction of the process open and flexible in order to adapt to the participants wishes and needs. This made it possible to achieve progress in the discussions and to design a survey that was conceived as relevant for the region (instead of other tools proposed by SPARE Project).

Contextual factors which influenced participatory processes on the way

As mentioned in previous sections, all participatory processes were hampered by **institutional reforms and political decisions**.

In **Dora Baltea**, the regional government changed three times during SPARE timeframe, which delayed considerably the PTA revision process (in march and October 2017). In addition, the decision of SPARE process manager to cut the participatory process apart from the PTA process in the beginning of 2017 led ARPAVDA to modify completely the format and content of participatory activities. Indeed, water withdrawals for hydropower production are a key factor for economy at regional scale, which implies very high attention to use rules to be defined in PTA official revision. Bilateral negotiations among government and the biggest HP production stakeholders constantly affect the process. The decision not to adopt SPARE participation activities during official revision process and steer the process in full autonomy, sounds like a "safety measure". On the other hand, agriculture withdrawals are another main factor influencing river status and planning : farmers water rights are often very old (since Middle Age) so considered "steady and firm in the tradition" and normally not to be questioned in a public meeting. Furthermore, the Dora Baltea river network has good water quality but it is strongly affected by natural discharge alteration (see driver 1 above). Till 2012 – 2014 water discharge availability has been defined using hydrological models holding (very) high inaccuracy levels and, consequently, leading to conflicts among river stakeholders. The key informative topic is to define and foresee water amount availability with acceptable level of precision and ensure a correct sharing among stakeholders. Recent national decrees about Ecological Flows definition methods were approved obliging Local River Authority to use discharge data to assess river use sustainability. Besides, water use concessions normally last around 30 years and they are not changed frequently: PTA defines the official rules for water sharing and its revision is planned in coincidence with SPARE. Consequently, deepening and clarifying water amount availability methods and derived information standard is a key topic, and this topic was supported by SPARE project. At least, 2017 was a very dry year, affected seasonal water availability and led to conflicts among water users, especially among farmers upstream and downstream be more evident. The climate evidence has increased attention to water and rivers. It was also the case in Drôme Valley in 2017.

In **Drôme**, the national territorial reorganization (MAPTAM Law: Law on the modernisation of territorial public action and affirmation of metropolises 2014 ; NOTRe Law: New Territorial Organization of the Republic 2015; cf. http://www.rhone-mediterranee.eaufrance.fr/gestion/locale/gemapi/loi-decrets.php) transferred of a new jurisdiction and

related tax to local communities. Since January 2018, local communities had decided to give SMRD a new role: SMRD is now the contracting authority for the management of aquatic environments and protection against floods, including dikes management, a "block of competence" named "GEMAPI". This new competence brings new financial flexibility to the SMRD. GEMAPI tax is collected from citizens by local communities and transferred to SMRD in order to fund SMRD operational costs and GEMAPI related works. Although the GEMAPI skill is not directly related to SPARE and SAGE, it enhances the sustainability of the SMRD.

In the **Inn**, the decision of the representatives of the Upper Engadine region not to participate in the IRBM project causes that the Lower Engadine decided to develop an IRBM only for the Upper Engadin catchment of the Inn river. The aim to use advanced participatory methods for water resource planning couldn't be implemented because of the lack of financial resources and the lack of practice in the region for participatory processes. Due to the decision not to force the population to a higher participatory process the idea to teach young people came up. During a week workshop the participatory methods were tried by young people, with the aim that they will start to use these methods now or later in their river basins.

In the **Soča,** the reorganization of water governance in Slovenia, including the creation of the Slovenian Water Agency and of the Soča River Basin Authority in 2015 modified the expectations of the Ministry of Environment towards SRF's mission.

In the **Steyr**, the participation process was coincident with the development and publishing of the draft of a regional directive to protect water bodies which could have been considered as a "hidden agenda" of the participation process by the participants. The draft of the directive has thus to be presented and explained to avoid misunderstandings. No specific institutional reform took place in the timeframe of the project. Furhermore, the decision not to connect the two ski regions "Hinterstoder" increased the tensions between representatives of environmental protection Organizations and representatives of the tourism sector, who both took part in the participatory process. Otherwise, there is a strong commitment of the inhabitants of the region towards "their" river and "their" region and interests are well represented though numerous associations, organizations, and institutions that can be involved in a participatory process.

Key lessons learned

The articulation of participatory processes with institutional decision-making processes is strongly dependent on **timing**: in Drôme and Steyr, calendars of participatory processes could be aligned with institutional decision-making processes. In Dora Baltea, the postponing of PTA revision was an issue for maintaining the articulation between the two processes.

Participatory processes are strongly dependent on **institutional reforms and changes in water governance**: both modify the allocation of competences related to water management, the ability of participatory process managers and facilitators to make sure that results of the participatory process will be taken into account in the institutional decision-making process, their legitimacy towards citizens and decision-makers, etc. Two out of five PCSs were directly impacted by such reforms and changes (Dora Baltea and Soča) and one was indirectly impacted (Drôme).

Participatory processes need **political support**: even if not all politicians support the participatory process, support of a few key decision-makers from the beginning is necessary. Pilots of participatory processes need to be aware that both political priorities and personalities can change over time. In both Drôme and Steyr, where participatory processes were the most ambitious, key decision-makers allowed technicians/managers to implement participatory processes. On the opposite, Dora Baltea and Inn were impacted by a withdrawal of political support while participatory processes were starting or ongoing.

PARTICIPATORY PROCESSES

Piloting of participatory processes and PCS actors' structure in SPARE

Reminder of methodological guidelines initially provided by WP T1

As a reminder, methodological guidelines initially provided by WP T1 suggested the following PCS actors' structure in SPARE.

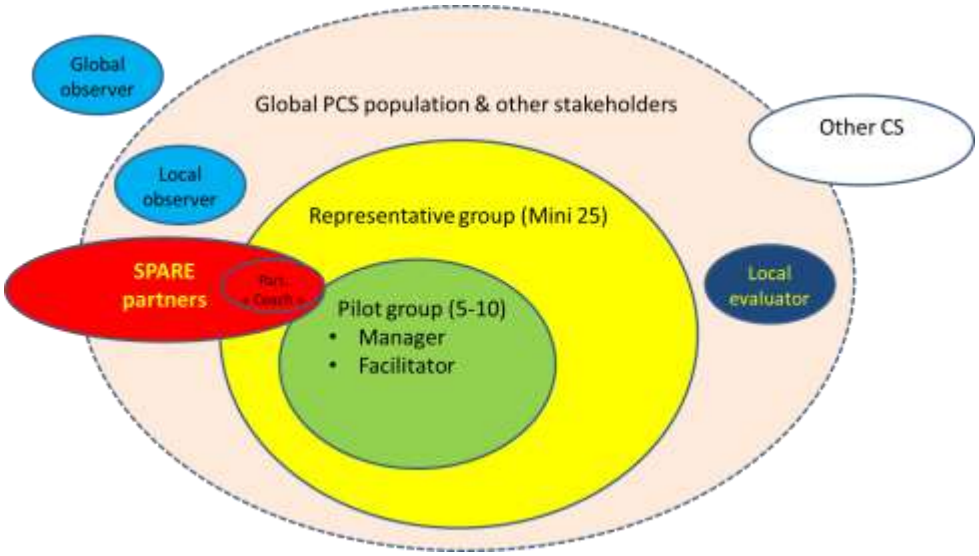


Figure 8 - PCS actors' structure in SPARE suggested in WP T1 initial guidelines (Source: WPT1 D.T.1.1.2 Pre-Report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS")

This figure was reorganised in the final version of T1 guidelines as following:

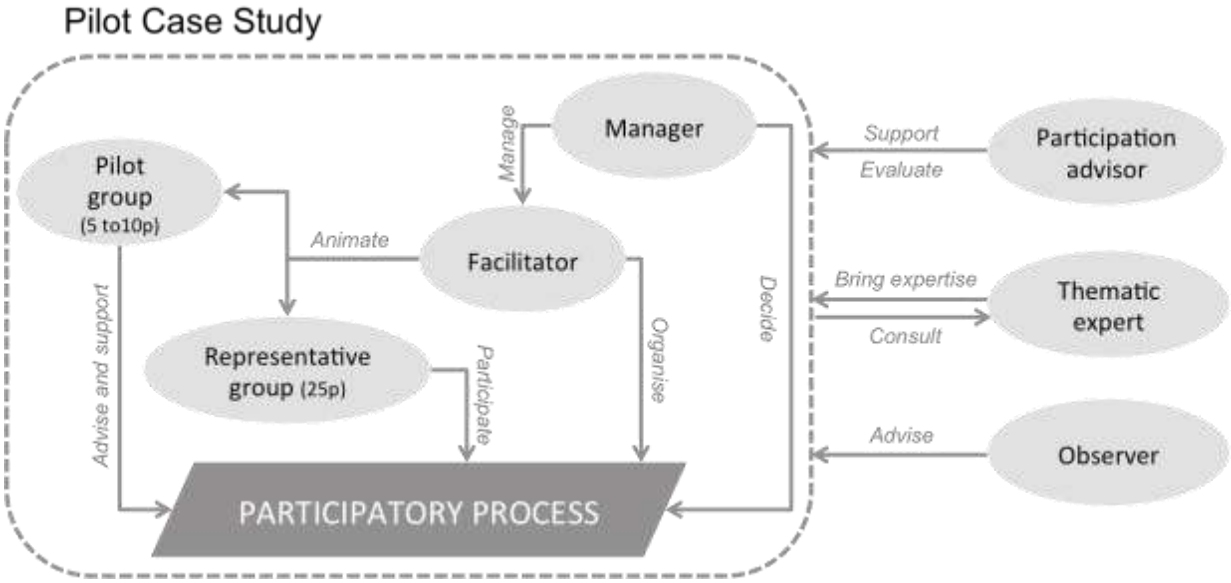


Figure 9 PCS actors' structure in SPARE suggested in WP T1 final guidelines (Source: WPT1 D.T. 1.1.2 Final report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS)

For a detailed description of the composition and role of each category of actors, see grey boxes in the sections below and WPT1 D.T. 1.1.2 Final report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS" > Glossary on roles and stakeholders.

Description of the way these guidelines have been implemented in each PCS

Process Managers (PM)

Reminder of the role of the process managers (Source: D.T. 1.1.2 Final report):

The local process manager is the person in charge of deciding and steering the whole local PCS process. She / he can be either a political person or an administrative manager. She/he must be able to mobilize others and maintain the dynamics. She/he must know the needs and constraints of the process. She/he should stay the same until the end of the project. She/he will participate to all project's meeting related to the PCS.

Table 4 - Presentation of Process Managers

	Dora Baltea	Drôme	Inn	Soča	Steyr
Process manager (Organization)	Local government (Regione Autonoma Valle d'Aosta)	Local water management authority (SMRD)	Foundation (Pro Terra Engadina)	Foundation (Soča River Foundation)	Office of the regional government (Land OÖ) – Water management Unit
Process Manager (person)	Raffaele Rocco, Executive coordinator, Assessorato Territorio, Ambiente e Opere pubbliche	Chrystel Fermond, director of SMRD (since 2008) Gerard Crozier, president of SMRD	Angelika Abderhalden-Raba, general manager Pro Terra Engiadina	Miro Kristan, President of the Soča River Foundation	Franz Überwimmer, Head of Water Management Planning Unit Stefan Schneiderbauer, member of the Water Management Planning Unit

The management of the participatory process was held by different Organizations (two governments, one water management authority and two foundations), depending on the allocation of water management roles in each country. In four of the five PCS, the management of the participatory process was held by the authority officially in charge of the management of the river basin.

In terms of individuals, process managers were, in four out of five PCS, the highest executives in their Organization. The only PCS where it was not the case is the Steyr. They all know well the PCS context and were experienced in water management. The level of engagement and support of process managers in participatory processes was varied: In **Drôme, Inn, Soča** and **Steyr**, process managers attended all local participatory events (each process manager attending an event in two in the Steyr). In **Dora Baltea**, the process manager was far less involved and supportive of participation. Drôme, Inn and Steyr process managers attended almost all SPARE partner meetings ; Soča process manager attended half of the partners' meetings whereas Dora Baltea's one was absent of most meetings.

Facilitators

Reminder of the role of the facilitator (Source: D.T. 1.1.2 Final report):

The local facilitator will be in charge of animating and facilitating all local actions / sessions with the various stakeholders. She/he must be used to organize and facilitate public participation in a multi-level context. She/he must be able to speak all local languages or dialects, and understand the essential cultural and social traits. She / he must be independent and acknowledged by all stakeholders as such: no specific personal agenda, no vested interest outside the success of the process. She/he must be aware of the issues although she/he is not expected to contribute to the content. She/he will attend all methodological workshops of the project; She/he must speak English.

Table 5 - Presentation of facilitators

	Dora Baltea	Drôme	Inn - Engadine	Soča	Steyr
Function of the facilitator	Staff of regional public agency (ARPA Valle d' Aosta)	External consultant hired part-time by the Process Manager (SMRD) and internalised	Staff of the Process Manager (Pro Terra Engadina Foundation)	Staff of the Process Manager (Board member of the Soča River Foundation)	External consultants hired temporary by the Process Manager (Office of Land OO) – 10 years experience
Names of facilitator(s)	Andrea Mammoliti-Mochet technical public executive at ARPA (Regional Agency for Environment Protection)	Claire EME: part-time facilitator (50%) between April 1st 2016 and April 1st 2017 and 80% from April 1st 2017 - December 31th 2018. Martin Cavero replaced Claire Eme from November 1st 2016 to June 30th 2017 during Claire's maternity leave	Depends on the events (sometimes external, sometimes internal): Angelika Abderhalden-Raba, (Pro Terra Engiadina, 12/2015- Barbara Grüner Pro Terra Engiadina, 04/2017- Rolf Strasser Eichenberger Revital, 12/2015	Dušan Jesenšek, facilitator in SPARE project since April 2016	Following a procurement procedure in summer 2016, "Tatwort Nachhaltige Projekte GmbH" was contracted. The main facilitator tasks are carried out from Christine Ehrenhuber

Only three PCSs recruited a facilitator: **Drôme, Soča** and **Steyr**. In Drôme, the facilitator was "internalised" and became part of SMRD staff. In Soča, the facilitator was already a member of the Foundation. In Steyr, an external company was hired following a procurement procedure (Tatwort Nachhaltige Projekte GmbH). Each of these three facilitators had experience in facilitation. In **Dora Baltea** and **Inn**, no facilitator was recruited. Facilitation was made by the process manager, by another team member with less experience in facilitation, or punctually by an external expert for some meetings (like in **Inn** ; this expert played a role of a personal coach for the project team also).

Pilot Groups (PG)

Reminder of the role of the Pilot Group (Source: D.T. 1.1.2 Final report):

The Pilot group is a local group of 5 to 10 persons, selected and led by the process manager, who seeks their help for understanding and covering the various issues, for connecting to the relevant networks, for mobilizing the other groups. Members must be trusted persons for the manager, with whom she/he can easily address sensitive issues and find solutions for the process. They must represent the whole territory, the main social groups and sectors, even indirectly. The Pilot Group **is not supposed to address and solve directly the management problems**. They'd rather **NOT have any current decision role to avoid tendency to overwhelm participation.** It is in charge of facilitating and ensuring efficiency of the process. They must be open and interested in participation. They don't decide the process. They advise and support it. They will attend only local management meetings; hence they are not supposed to speak English. Some can technically be also formal local observers.

Table 6 - Presentation of Pilot Groups

	Dora Baltea	Drôme	Inn	Soča	Steyr
Number of members	12	10	6	6	10
Number of Pilot Group meetings	0	9	12	2	5
Who?	Public administrations, elected representatives, NGOs	Citizens and official "CLE" members	Members of PTE foundation (PM) ; elected representative, cantonal office	Members of the steering committee of the SRF (PM)	Process manager team and experts
When?		Mainly during the preparation phase	All along the project	At the beginning and the end of the project	Mainly at the beginning of the project
What for?	/	Advising Process Manager, mainly in designing the participatory process, and less regarding implementation	Discussing water management plan	Framing SPARE project	Preparing / designing the participatory process (including defining objectives) Selection of Rep. group members together with PM and facilitators
Comments	Several internal meetings between ARPA (PM) and official PTA (4)			Beside PG meeting there were also internal meetings (6)	

All the PCSs recruited a Pilot Group, as mentioned in T1 guidelines. The section was made by the Process Manager or facilitator. However, the frequency of the meetings, the composition of the PG and its role in the participatory process differed in all PCSs.

In **Dora Baltea**, the PG never gathered collectively, as SPARE experimentation has been suspended by the Process Manager before its formalization. Indeed, several internal meetings we organized between SPARE partner (ARPA) and official PTA.

In the **Inn**, a first Pilot Group was recruited in April 2016. However, the group was not very supportive of the participatory process. Hence, a second PG was recruited in September 2016. This second group met 12 times all along the project and was very active in supporting PTE in selecting the representative group and organising the Rep. Group meeting, choosing the most appropriate communication means and developing a strategy to involve youths.

In **Drôme**, **Steyr** and **Soča**, the Pilot Group were also very active in supporting PMs and facilitators, especially in the first step of designing the participatory process. In **Steyr** and **Soča**, the Pilot Group was closed to a technical group of experts to organize the process.

In all PCS except Dora Baltea, at least part of the PG members attended Rep. Group meetings. In **Drôme**, even though the PG was not meant to have a decision role, the group was at times asked to contribute to the reflections held in the participatory arena (for instance by completing the participation plan at the beginning of the process).

In **Steyr**, the Pilot Group discussed the tools, methodologies and participatory approaches as well as the approach to Monitoring and Evaluation. Together, with Process Manager and Facilitator, the PG defined objectives of the public participations process. The PG also made suggestion for the selection of members of the Rep. Group. (source: Local planning of participatory process in PCS upper Austria – DT121).

Representative Groups (Rep. Group)

Reminder of the role of the representative group (Source: D.T. 1.1.2 Final report):

The representative group is **a smaller working group than the entire population but supposed to represent it and act on behalf of it** (as a legal court jury). Gathering a minimum of 25 people, it must represent the entire river system users and concerned populations. It should be representative in terms of water relation, geographical location, age, gender, and activity. This group will be dynamically identified after a stakeholders analysis, but it should stay globally the same throughout the project. It should include "unusual" participants, absent from the classical institutions. Members will be expected to participate actively to different activities: initial expectations, local methods training, PRE-PAR based design of the participation (about 2 days) / decision procedure, problem and policy framing, situation description / modelling, options proposal, options integration in strategies, strategy testing, implementation discussion, social extension, support and legitimacy. In total over 18 months they may be invited to a total of 6 or 7 activities. They may be supported financially therefore. All activities will be in local language.

All the PCSs recruited a Representative Group (Rep. Group), as mentioned in T1 guidelines, but the frequency of the meetings, the composition of the Rep. Group differed in all PCSs.

Hence a transversal comparison of the composition and role of RGs in the five PCSs would not make sense. Some remarks can however be made.

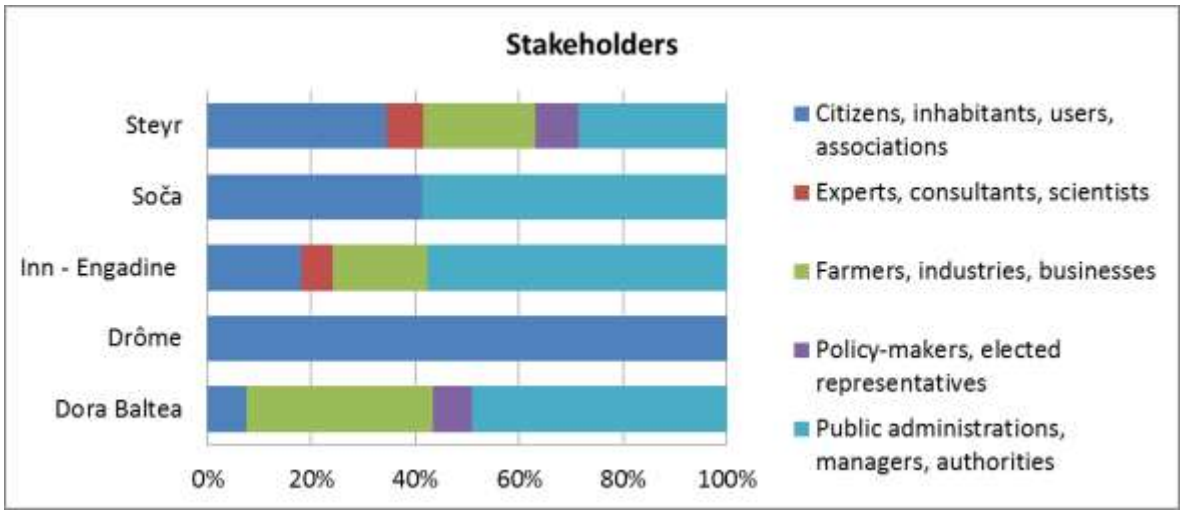
Citizens were involved in four out of five PCSs (not in Dora Baltea) (Figure 10). Nevertheless, the methodological choices made at the beginning of the process (i.e. for all participants to be invited as citizens and not „representatives of“, to use only first names and never ask for their affiliation to an organization) make it difficult to compare PCSs. **Drôme** followed this recommendation and therefore little data exist on the composition of the Rep. Group. Other PCS did not follow this recommendation and recruited Rep. Group members through invitation letters. In the **Inn**, only two citizens were involved (young Swiss who attended the youth camp in August 2018). Therefore the Pilot Group decided to involve citizens more actively during face-to-face meetings. In **Soča**, the event was open to public and some citizens were involved. In **Dora Baltea,** representatives of NGO participated but not citizens. The facilitator of Dora Baltea explains its choice to work mainly with stakeholders and not citizens: "*from PCS6 survey it appears very clearly that citizens consider river planning an issue to be managed mainly by experts. Somehow, they delegate experts to decide river planning rules. This corresponds also to our perception of how local communities feel the river. The "common citizens" normally willing to participate directly to river planning are again stakeholders meaning fishermen and farmers (interested in water*

withdrawals in their own territories). They too usually delegate their representatives to protect their interests so they probably won't be so keen on participating to PTA participation activities" (source: DT132 Report "Final documentation of participatory processes and of experimental activities implemented in each PCS").

In **Steyr**, the Rep. Group gathered representatives from various fields (like water management, economy, nature protection, agriculture, forestry, local administration, education, culture,…) suggested by the Pilot Group, and finally selected by the facilitator based on telephone interviews and a stakeholder analysis. The stakeholders were thus selected according to their function as "representing" certain interest groups, including "typical" river management institutions (community government, energy providers, environmental protection, public administration), but also others societal groups such as educational, cultural, health institutions, local gastronomy, sport, outdoor, event groups, industry and business concerned in a way with the River Steyr, etc. With the exception of certain regional experts, all suggested members of the Rep. Group are citizens of the project area. These Rep. Group members were invited to participate through a letter sent in Dec. 2016 which gave further information on the steps ahead. Process managers found that it was impossible to form a representative group that fully represented the entire population and preferred to use a large-scale online survey, which helped to make the process truly participatory (source: DT 3.3.1 "PCS evaluation: final river protection & management protocol- PS Steyr).

Unlike the guidelines request, in **Drôme,** the Rep. Group was "open": participants were not selected. Every people could attend to Rep. Group meetings. Invitations were made through local medias (radio, newspaper, newsletters, Facebook, blogs, website, etc). As a result, its composition was not meant to be representative of the entire population of the river basin. Drôme PCS was the only one which tried to estimate if the Rep Group composition was representative of the population of the river basin (for more details see Report "Contributions des citoyens en amont de la 2ème révision du SAGE Drôme" ; http://www.riviere-drome.fr/actualites/86-retours-sur-le-seminaire-de-restitution-du-projet-spare). The group appeared nearly representative in terms of gender. However, upstream river basin region was over-represented to the detriment of downstream. 45-59 years old and 60-74 years old people are over-represented and others age groups are well represented with a slight deficit of 0-14. As regards professional activities, senior executives and intermediate occupations are over-represented, while employment categories as employees and Manual labourer lacked the most. Thus, even if the Rep. Group was open, the composition of the SPARE participants was not so different from the composition of the population of the watershed. This is probably due to the efforts made in proposing participatory workshops in various formats and schedules (working day, weekend) as well as efforts made towards certain audiences, especially schoolchildren. Moreover, we can notice that the representativeness of involved citizens has changed during the process. The Pilot Group decided to call this group in Drôme "Groupe Débat pour l'Eau".

In all PCS, none of the participants to Rep. Group was supported financially.



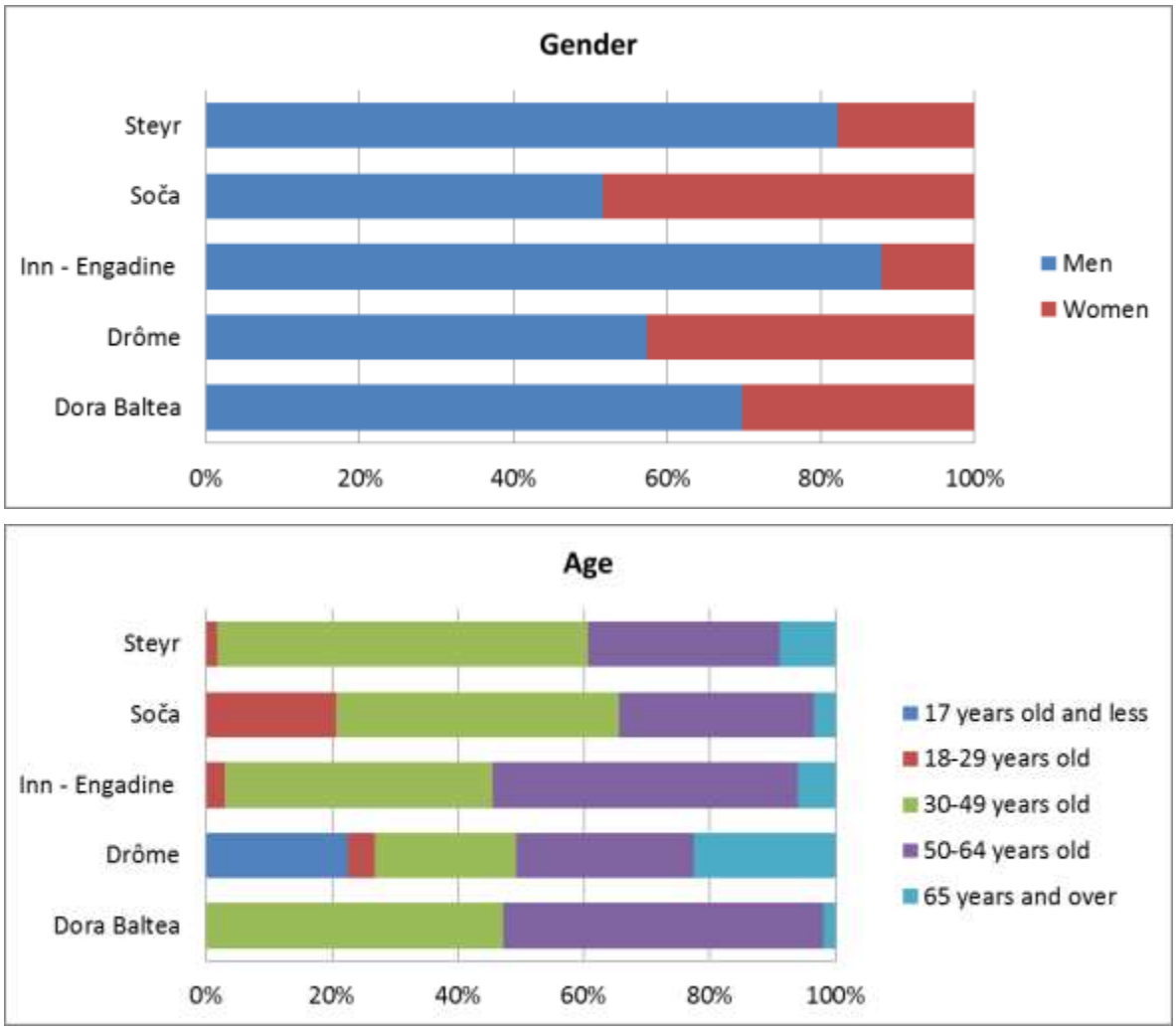


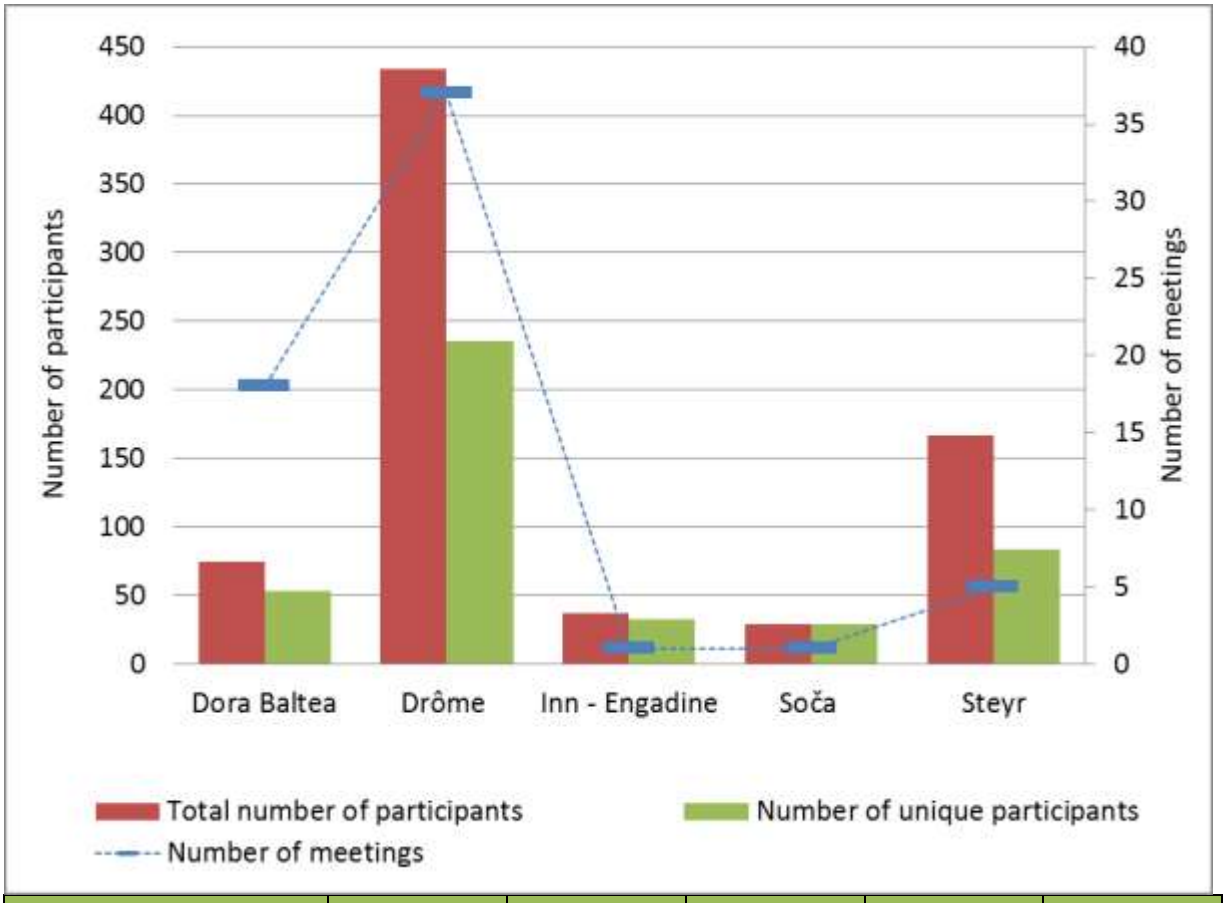
Figure 10 - Composition of Representative Groups of each PCS

Regarding the number of meetings, in **Inn** and **Soča**, the Rep. Group met only once during the three-year duration of the project. In **Dora Baltea**, it was mobilised through 16 small focus group discussions with representatives of interest groups (see below). They got the opportunity to gather collectively only in 2 public workshops (one on National Decrees and another one on hydromorphological indicators to be used to measure withdrawal effect on river environment). In **Steyr**, the Rep. Group met five times, and three of the meetings aimed to raise awareness on values represented by ecosystem services, actions to capitalize or exploit them in a sustainable way and consequences derived from the options. In **Drôme**, SMRD organized 7 public meetings but also numerous different kinds of smaller workshops, some with specific public (as school students for example), for a total of 37 different events (Figure 11).

In **Dora Baltea**, each participant, except one, participates at only one face-to-face meeting. People attending PTA meetings and Rep. Group meetings were the same ones. They know each other and they normally attend regularly the meetings. The facilitator tried to involve persons and institutions normally not involved in withdrawals discussion such as common citizens (by social media as Twitter, Whatsapp and massive mailing) and NGOs for nature protection, but finally only NGOs concretely participated.

On the contrary, in **Drôme**, Rep. Groups meetings gather mainly people who are not involved in official SAGE process. In this PCS, which counted 37 different participatory events and 236 different participants, 181 people participated only once (77%), 31 people two to four times (13%), and 22 people 5 times or more (9%), with a maximum a 13 times. We can note a certain decrease of participation during the process (some do not continue), but at the same time a deepening of participation, in the sense that those who come become very involved in the process (attendance, involvement in the organization,…).

In **Steyr**, where there were 5 Rep. Group meetings and 84 different participants, 40 people participated only once (48%), 32 people two or three times (38%), and 10 people 4 times or more (10 %).



	Dora Baltea	Drôme	Inn	Soča	Steyr
Number of meetings	18	37	1	1	5
Total number of participants	75	434	37	29	167
Number of unique participants	53	236	33	29	84
Max. - ***Average*** - Min. Number of meetings per participant	2 - ***1,03*** - 1	13 - ***1,84*** - 1	/	/	5-***2,0*** - 1

Figure 11 - Presentation of Representative Groups (number of participants and meetings) for each PCS

The role of the Rep Group meetings was different in each PCS. In **Dora Baltea**, the meetings consisted of presenting an innovative approach, conceived by the ARPA to assess water withdrawals effects on river environment, fishing, landscape, energy and economy and to collect feedback from stakeholders, with the aim of increasing trust between the Pilot manager, the facilitator and stakeholders. In **Soča** and **Inn,** the Rep Group, which has met only once, has mainly defined priorities. In Soča, participants identified objectives for river management and selected actions that could be implemented to reach the objectives. At Inn, they discussed water needs in the watershed, identified potential conflicts, and established a "vision" for water management. In **Drôme**, the members of the Rep Group took part in the different stages of the participative process: framing the participative process, describing the initial situation (diagnosis), proposing options and actions for the river and integrating the actions in the action plans, monitoring and evaluation. In **Steyr**, the Rep. Group raised and discussed the most relevant issues for river management and provided support to the facilitator for the design of the participatory process with other citizens: it tested the online survey (which was framed on the Rep. Group discussions) beforehand and gave feedback.

Local evaluator

Reminder of the role of the local evaluator (Source: D.T. 1.1.2 Final report):

The local evaluator is a person in charge of implementing and synthesizing the local monitoring and evaluation process. In principle, this person should be independent from the manager or the Pilot Group (to avoid self-evaluation). She/he should be used to policy evaluation processes (ideally a profile in social sciences), be able to speak the local language and know local conditions. She/he will have to animate the co-design of the specific local evaluation protocol, and then to organize protocols and structure data collected from observations, surveys, indirect processing, etc. Finally, she / he should process these data so that they are shared in the SPARE common framework, in English. She / he may have to participate to some global project meetings dedicated to monitoring and evaluation.

None of the PCS identified a local evaluator, partly because no budget was dedicated to monitoring and evaluation (M&E). Hence, M&E of participatory processes was fairly limited in all PCSs (see section below on M&E). Facilitators, process managers and WPT1 partners mainly carried out M&E.

In **Drôme**, the framing of monitoring and evaluation was on the agenda of several meetings of the Pilot Group but was never really addressed due to lack of time. An ad-hoc participatory monitoring and evaluation group was therefore formed, composed of members of the Rep. Group. The M&E group met for the first time on 24 April 2017 (11 participants) to frame the monitoring and evaluation objectives and indicators. The second meeting on 11 July 2017 (5 participants) was an opportunity to discuss methodological proposals made by Irstea on the basis of the initial framework, to present the initial results of the monitoring-evaluation of the PrePar phase and to validate the implementation of „action monitoring sheets“. When asked about their expectations, it appeared that members of the M&E group where mainly interested in being updated about the results of the M&E (e.g. representativeness of he Rep. Group, progress of the participatory process, etc.) rather than being involved in M&E implementation and synthesis.

Local observers

Reminder of the role of the local observers (Source: D.T. 1.1.2 Final report): Observers whose domain of expertise is mainly inside the Pilot case study. They speak local language and participate to local adaptations of the process.

A list of local observers in each PCS can be found in SPARE project application form (http://www.alpine-space.eu/projects/spare/en/about/observers).

Local observers were not very engaged in participatory processes in PCSs. This can be partly explained by the fact that their role was not made very explicit from the beginning of the project. Local observers were involved punctually in other WPs events such as the International Knowledge Exchange Workshop (IKEW D.T2.2.1 held in Ljubljana in October 2017), to support the communication and diffusion of SPARE-related events (e.g. support provided by the River Association Rhône-Alpes Auvergne to organise sessions of SMAG tool in France) or to give some expertise to the Process Manager (Workshop «SAGE et participation citoyenne : options pour le futur», 29/05/2019, Drôme PCS).

Inn, local observers were involved only in discussions directly with the project manager and partly sometimes as participant in the Pilot Group. Their role was mostly to give feedback to the ongoing process.

In **Soča**, local observers were informed about the progress of project SPARE, either via newsletters or other communications tools. Observer Soča Hydro Power Plants Nova Gorica were involved in PG meetings and testing of e.g. SMAG tool. SRF was also in close contact with Slovenian Water Agency for Organization of one Rep. Group workshop that will be organised in November 2018.

In **Steyr,** a local observer was also member of the Pilot Group and the Rep. Group. He had the important role in bringing in a valuation of the compatibility of suggested measures with nature protection legislation.

Participation advisor (or "coach")

Reminder of the role of the participation advisor, or "coach" (Source: D.T.1.1.2 Final report): Expert in participation in charge of supporting the manager and the facilitator in co-designing and steering the participatory process and its evaluation. Does not intervene directly locally. Only supports in background the implementation. Speaks English. Participates, to the extent possible, to all meetings where participation and evaluation are addressed

Irstea was in charge of supporting process managers and facilitators of each PCS. The coaching team was mainly composed by Emeline Hassenforder Nils Ferrand and Sabine Girard. Other experts brought punctual support (Géraldine Abrami, Melaine Aucante). Irstea provided methodological support through guidelines, training workshops and individual face–to-face, skype or phone calls. Some other SPARE partners also brought some technical support to the managers and facilitators, like BOKU in Steyr, IzVRS in Soča or ARPA VDA and ARPA Veneto in Dora Baltea. In Drôme, an external expert of participation (Jean-Emmanule Rougier) also gave some methodological advises to the facilitator.

Thematic experts

Reminder of the role of thematic experts (Source: D.T. 1.1.2 Final report): Specialist (expert, scientist, consultant) for a given domain interesting for the CS and the stakeholders. May be consulted on various issues. May be local or global. Not planned initially they can be recruited for short-term missions if required.

In **Dora Baltea,** external experts (Technical University of Turin) organised with facilitator and Process Manager a thematic workshop, held in Aosta on 21.03.2018 on hydromorphological methods and indicators used to define and quantify pressure / impacts on rivers due to withdrawals presence. Beside, external experts have been involved to produce the informative standard on withdrawal management: collect information about major withdrawal demands and concessions above mentioned at regional level ; merge it and validate it them; join it to a basic GIS representation to be let available to communities on web and to be used mandatorily during meetings with communities.

In **Drôme**, workers from SMRD were gradually involves in the participatory process. They assisted to public forums in order to answer technical questions from participants. They also contribute during the expertise of actions proposals from participants (see section “description of participatory process”).

In **Inn** experts were involved during the Representative meeting and for giving feedback to the different stages of the project.

In **Soča**, thematic experts were involved in the Pilot group, as its members were selected on the interest of individuals that are involved in different water uses (e.g. Hydropower plant Company, touristic and fishing sector and public authority).

In **Steyr**, external experts from other Austrian regions were invited to present their experience and draw comparisons with Steyr in the 2nd and 3rd Rep Group meetings. Aside, thematic experts from the administration body attended Rep. Group meetings, covering various fields like water law, river ecology, fishery, tourism, energy.....

Key lessons learned

It is important for each participant to **identify who the different stakeholders** involved in the process are and what their **roles** are. In particular, to avoid misunderstandings, the role of participation advisor (coach), local observers and thematic experts should be clearly stated, as they do not necessarily participate in all meetings, and do not participate as other participants (ie Rep. Group members).

The roles of process manager and facilitator each require different **skills**. Facilitation skills can be found outside (by hiring a specialist) or internally, with training. This is not the case for the process manager, who must carry a political vision.

Process Manager needs to have a **legitimacy and institutional role** in water decision-making in the river basin to facilitate the participatory process and its articulation with the institutional decision-making processes. It's also easier to involve participants if they are **known** enough by them.

Political support in favour of the participatory process appeared as a key factor in every PCS. It also has to be formalized to increase the trust.

For the M & E analysis, asking participants for personal data (gender, age, place of residence, …) and their institutional **affiliations** is necessary to assess representativeness (especially for the Rep. Group).

Communication and engagement of participants

Reminder of methodological guidelines initially provided by WP T1

In our conception of participatory engineering, **communication by itself is not participation**, but it comes in support of participation. In particular, communication makes it possible to:

- disseminate the initial information on the participatory mechanism and attract the attention of citizens to provoke their commitment,
- mobilising citizens for the various participatory actions,
- disseminate the results of the monitoring-evaluation, e.g. share the composition of the representative group, changes produced, etc.,
- make the participation plan known to the population of the watershed and give them the means to react (consultation).

Source: WP T1 initial guidelines (Source: WPT1 D.T.1.1.2 Pre-Report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS")

Description of the way these guidelines have been implemented in each PCS

Communication activities were managed internally by facilitators in **Dora Baltea** and **Soča** (with internal newsletter). In **Steyr**, the external facilitator took care of it. In **Drôme** and **Inn**, the task was divided between facilitator and a journalist with an external contract. In **Drôme**, the facilitator took care of Facebook, newsletters, posters and the journalist took care of digital activities and local media. In **Inn** the journalist developed a communication concept for the first year. Due to financial resource restrictions, the pilot group then took over directly the communication activities. In **Dora Baltea** and **Drôme**, facilitators felt difficult to define an adequate communication strategy toward participants because they did not have internal communication skills.

The level of communication activities was very different between the PCS, depending on the level of participatory activities. It was much higher in **Drôme** and **Steyr** than in other PCS. In each PCS, communication activities were developed at the beginning of the project. Although the participatory process continued, with many events, communication activities had to be reduced in the Drôme, due to insufficient financial resources.

Communication activities will probably be completed in the coming months, at least in **Drôme**, **Inn**, **Steyr** and **Dora Baltea,** where the presentation of results to the population remains to be done.

Table 7 - Communication tools used during the project in each PCS

	Dora Baltea	Drôme	Inn	Soča	Steyr
Main communication tools used for participation	• 1 Newsletter (digital) • Invitations by Emails (720 recipients) • Publications in internal or external digital medias (Newsletters, Twitter) • partners website • SPARE Photobooks ; Infographics ; Video interviews	• SPARE newsletters (7) • SMRD Newletters "Inf'Eau Drôm" (4) • Poster campaigns (2) • Online forum (1) • Local press (>20 newspaper articles) • local radio Interviews (4) • Facebook • Personal invitation (letter) & e-mails • Public informative events (3) • Media event (2) • Interventions in local thematic events (4) • Publications in internal or external digital medias (>50) • partners website • SPARE Photobooks; Infographics; Video interviews	• Facebook • information spread during 1 public event (Water Days) • television emissions (2), local radio interview (2) • ARE newsletter (2) • publications in internal or external digital medias (6) • partners website, gazette, homepage • SPARE Photobooks ; Infographics ; Video interviews • publics events (presentation)	• 4 Newsletters (digital) + 1 planned for Dec. 2018 • Invitations by e-mails and over phone • information spread during 1 public event (Soča Days) • publications in internal or external digital medias • internal newsletter information disseminated over IzVRS and SDC webpage (50) • partners website (13) • SPARE Photobooks ; Infographics ; Video interviews	• 6 Newsletter (digital) – env 150 pax • 2 Newspaper articles • 3 Press releases (50 medias) • Publications in media online or print (14) • 1 media event • Online survey containing information on Ecosystem Services • Official mailing (10.150 addresses) • publication on Tatwort home page • partners website • SPARE Photobooks (printout) ; • SPARE poster and flyers in events
Estimate number of people reached	• 10000	• 50 000	• 5 000	• 50 000	• 11 000

Figure 12 - Overview of some communication tools used for participation

It is quite difficult to measure the impacts of the communication activities implemented by PCS because no data has been collected on this subject.

At the end of the project, the Process Managers of both Drôme and Steyr gave feedbacks on their communication activities. In **Drôme**, the communication should have been the first and better focused on the local water governance and plan (SMRD, CLE and SAGE) before presenting the participatory process of SPARE It appeared later that this preliminary information was missing for most participants, which created some frustration and misunderstanding. In **Steyr**, the information on goals and topics of the participatory process could have been explained better before the first Rep. Group meeting. Due to lack of information some members assumed a "hidden agenda" behind the participatory process.

Meanwhile, citizens strongly demand more information on the impacts of communication activities, at least in the PCS where they were most involved, as in **Drôme** or **Steyr**. In **Drôme**, they question the relevance and effectiveness of the current communication strategy of the Process Managers (see 'Outputs, outcomes & impacts" section for more details).

Key lessons learned

Communication is important both to promote **citizen engagement** in the participatory process and to **maintain their interest** throughout the process.

Communication skills (vocabulary, codes, tools,…) are needed to support participatory processes, that process manager or facilitator don't necessarily have. Financial resources have also to be anticipated.

The **language barrier** is a challenge: many guidelines, reports were available only in English, and they are not understood by the general public.

Participation rules and regulation

Reminder of methodological guidelines initially provided by WP T1

Few initial methodological guidelines on regulation were provided to process managers and facilitators of the SPARE project. The three main supports that have been formalised are:

- a “Typical invitation and commitment document“ for the RG that details their rights and duties (cf. DT 1.1.2 p19),
- behavioural rules of participation to be stated and displayed at the beginning of each collective meeting, and
- individual authorisations of image rights for photos and videos.

Transparency and the participants' right to information are ensured in part by participatory monitoring and evaluation of the process.

Description of the way these guidelines have been implemented in each PCS

Only the **Drôme** PCS used participation rules and a charter.

In **Drôme**, following the first Rep. Group meeting in December 2016, the pilot manager and facilitator, supported by Irstea researchers, drafted **participation rules**. These rules, modelled on the CLE's internal rules, aimed at formalising the existence of the various participatory groups and to regulate their functioning. They include elements on the composition of the Pilot Group and the Rep. Group, their roles, the frequency of meetings, the arrangements for validating decisions and commitments. These participation rules were discussed at the following Rep. Group meetings of 6 February and 6 March 2017 on the basis of the public participation charter issued by the Ministry of the Environment, Energy and the Sea, which had just been published (cf below). The rules for participation were then submitted for consultation on the same basis as the participation plan to all RG members in April 2017. In July 2017, these rules for participation were supplemented by rules for the operation of e-mail exchanges, the need for which had been expressed by the SMRD and several members of the Pilot Group. In France, the use of participation rules, also called „**participation charter**“ is becoming more and more common. The French Ministry of Environment has published its own public participation charter in 2016 defining values and principles forming the basis of a virtuous participatory process (http://www.ecologique-solidaire.gouv.fr/sites/default/files/Charte_participation_public.pdf). A national pool of participation warrants has also been created which role is to ensure that participation rules are respected by all and that participation takes place under good conditions. A French network of Participation practitioners has also launched a web page on participation charters, which censes participation charters developed in France (https://i-cpc.org/les-chartes-de-la-participation/).

In parallel, a **participation charter** was established which regulates the articulation between the participatory process and the institutional decision-making process (see previous section „Initiation of SPARE participatory processes and articulation with institutional decision-making processes / strategic planning processes“). This charter was validated by the local water committee (CLE) on 16/03/2017. Through this decision, the CLE:

- acknowledged the added value of citizen participation and committed, for the length of the SPARE project (2016-2018) to:
  - consider the results of the participatory process,
  - study the proposals that will emerge and their feasibility
  - study the possibility of including them in the revision of the SAGE
  - relay these results to the competent authorities.
- allowed citizens to take part in CLE meetings: 2 citizens in CLE plenary meetings, 1 in CLE bureau meetings and 3 in thematic commissions’ meetings. For plenary and bureau meetings, citizens were invited as observers while for thematic commissions,

they are allowed to contribute. Between June 2017 and May 2018, 22 citizens participated to 12 CLE meetings.

- agreed, during the duration of the SPARE project, to systematically include an item on the SPARE project at the agenda of each CLE meeting.

(Source: charter regulating the articulation between the SPARE project and the Drôme local water committee, translation of CHAP6, articles 19, 20 and 21. Available here: https://sites.google.com/site/dromenjeu/system/app/pages/admin/revisions?wuid=wuid:gx:5930387d541df2cd)

Finally, a **Rep. Group membership form** was circulated to Rep. Group members in order to formalise their commitment. By April 2017, only 12 of the 46 participants had signed it. The assumption is that some participants came to a meeting and did not wish to continue their engagement. In parallel, others are active but have not signed the form simply because they did not see the mail pass or not signed at the beginning of the meeting. Only 1 of the 46 people explicitly said that they did not wish to be part of the Rep. Group.

The aim of these various formalisation documents was in particular to prevent newcomers from calling into question the work previously done by Rep Group members on the rules and the participation plan. Despite, these rules, the Process Manager and facilitator of the SMRD needed to constantly moderate some citizens who did not respect the participation rules. Some were aggressive, other reused personal mail addresses or data for personal interests. The Drôme Deputy Prefect had to intervene and one citizen has been officially excluded from the Rep. group members.

Dora Baltea and **Inn** did not used any participation rules or charter. In **Soča** and **Steyr**, specific rules were explained to participants at meetings, especially when participatory tools (such as the fishbowl conversation in Steyr, for example) were used.

Key lessons learned

Participation rules must apply to all participants, whoever they are (citizens, representatives of, elected officials, etc.).

Send the participation rules to each participant before his first participation.

Remember the participation rules before each participatory event.

Do not hesitate to use the rules to **frame or even exclude participants** who are "disruptive" and do not respect the rules.

Take into consideration different modalities of participation (**face-to-face *and* digital**) when drafting the rules.

Engineering & preparation of participation (PrePar)

Reminder of methodological guidelines initially provided by WP T1

The guidelines regarding the engineering/preparation of participatory processes in SPARE are included in D 2.1.2 Report “Initial Guidelines on Stakeholders’ Engagement and Year 1 Participatory Process in the PCS”. The major challenge within SPARE was to let stakeholders and citizens themselves decide of the participatory process: who, when, how and why each category of stakeholder will participate to the various decision phases, how it will be regulated and facilitated. The guidelines explain how to plan the participatory process through 17 phases (see PCS1 to PCS17 in Figure 13).

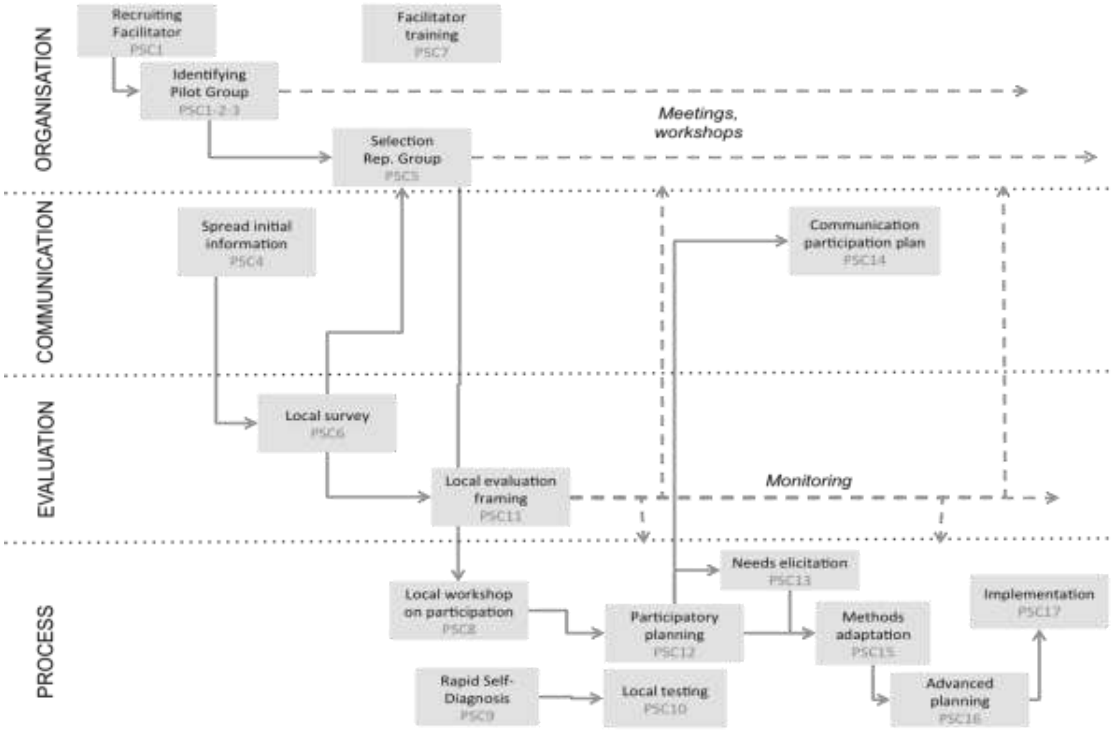


Figure 13 - Guidelines for the preparation phase of the participatory process (Source: WPT1 D. 1.1.2 Report “Initial Guidelines on Stakeholders’ Engagement and Year 1 Participatory Process in the PCS”)

Actions labelled “PCS8” and “PCS12” concerned specifically the design of participation plans. PCS 8 is an informative workshop, which aims at: informing the participants about the SPARE project, the river and participatory governance, deciding the objectives of participation in the PCS with the participants, discussing the level of participation for each decision step and discovering participatory methods associated with each step. PCS12 applied the “PRE-PAR” method. It includes 4 main phases:

- *Main decision steps:* Referring to the 8 posters presented during PSC8 workshop, participants have to order the main steps individually then collectively.
- *Listing of stakeholders through group discussion:* Facilitators may distribute background documents after some time to help participants complement their list.
- *Role of stakeholders:* By sub-group, participants specify specific roles for each stakeholder (organise, give opinion, listen, etc.) and summarize their results to the other groups in order to fill the matrix.
- *Conclusion:* Participants discuss about the feasibility, coherence and relevance of their PRE-PAR plan.

Participants should end up with a Participation plan (using a PRE-PAR matrix) for their territory. This plan can be prepared ahead of the specific PRE-PAR session, by individual activities and pre-consultations. If the PRE-PAR sequence is not strictly finalized after one day, there can be some limited delayed deliberations, using distant votes, with synthesis by the PG.

Description of the way these guidelines have been implemented in each PCS

In total, 5 participation plans were made, but they are slightly different. Two of them, in **Soča** and **Dora Baltea,** relate to the preparation of the participatory process, that is to say, PCS1 to PCS17, but in a strongly adapted version. In **Drôme, Inn** and **Steyr**, the participation plans relate to post – PCS17 implementation activities, as it was suggested by guidelines.

Designing the participatory plans was mainly done in PCSs during a period of 6 to 9 months in 2017. After 2017 the resulting participation plans were meant to be implemented. The details of these plans can be found in Report D121 “Codesign of a participatory decision and governance pan for the PCSs”, but we can highlight here the main insights.

Only one participation plan was prepared with citizens (i.e. the Representative Group): in **Drôme** PCS. In **Dora Baltea**, **Inn**, **Soča** and **Steyr**, participation plans were prepared internally, by process managers, facilitators and other PCS team members, with more or less support from the Pilot Group or the Participatory Advisor.

Dora Baltea

In **Dora Baltea**, the participation plan relates to PCS1 to PCS17 activities. However, after attending methodological workshop and coupling PTA revision and project calendars, the Process Manager changed his vision about the SPARE participatory approach implementation during the PTA revision process. He finally considered the participation methods proposed valuable but not possible to be fully implemented in the Aosta Valley participation process. Thus, after several meetings between Process Manager collaborators and facilitator, it has been decided that only some PCS phases could be performed, in order to perform stakeholders and population participation in the official planning procedures related to PTA (see below the section “Description of participatory process” for more details).

Figure 14 - Participation Plan in Dora Baltea (facsimile extract)

Drôme

In **Drôme**, citizens prepared the participation plan, following the guidelines provided. The methodology was slightly adapted in that it did not take place in two separate workshops but over one weekend to avoid mobilizing participants two weekends in a row. At the end of this first weekend, the participants expressed their will to organize a second, then a third session in order to allow the people who were not available the first time to join the group and give their opinion on the participation plan. During the third session, the representative group participants, questioning their legitimacy to "decide who will participate", decided to carry out a consultation allowing all representative group members to give their opinion on the plan and the rules for participation produced beforehand. 8 opinions were registered, including 7 validating the documents. The final participation plan and rules were presented on 13 May 2017 at the forum launching the implementation of the participation plan. They were also presented to the local water committee (“CLE”) on 16 March 2017.

Participants find it difficult to define participatory goals and a participatory plan. In addition, some participants were frustrated with the rest of the process, not knowing clearly what they

were working for. Then the process manager was very careful to repeat the main goal at the beginning of a participatory event. Some participants also found this phase of preparation for participation too long, and wanted to talk about the river first. But the participants then appreciated being associated to build the framework of the participative process. Moreover, the participation plan voted by the citizens was finally too ambitious and SMRD encountered difficulties in keeping its commitments and reducing participatory activities without creating disappointments.

A detailed analyze of the process, the outputs and impacts of this preparation phase of participation is presented in: HASSENFORDER, E., FERRAND, N., GIRARD, S., EME, C., FERMOND, C. 2017 L'ingénierie participative de la participation : une expérience citoyenne sur la rivière drome. 7ème Colloque du réseau OPDE (Des outils pour Décider Ensemble) , Montpellier, 26-27 octobre 2017.

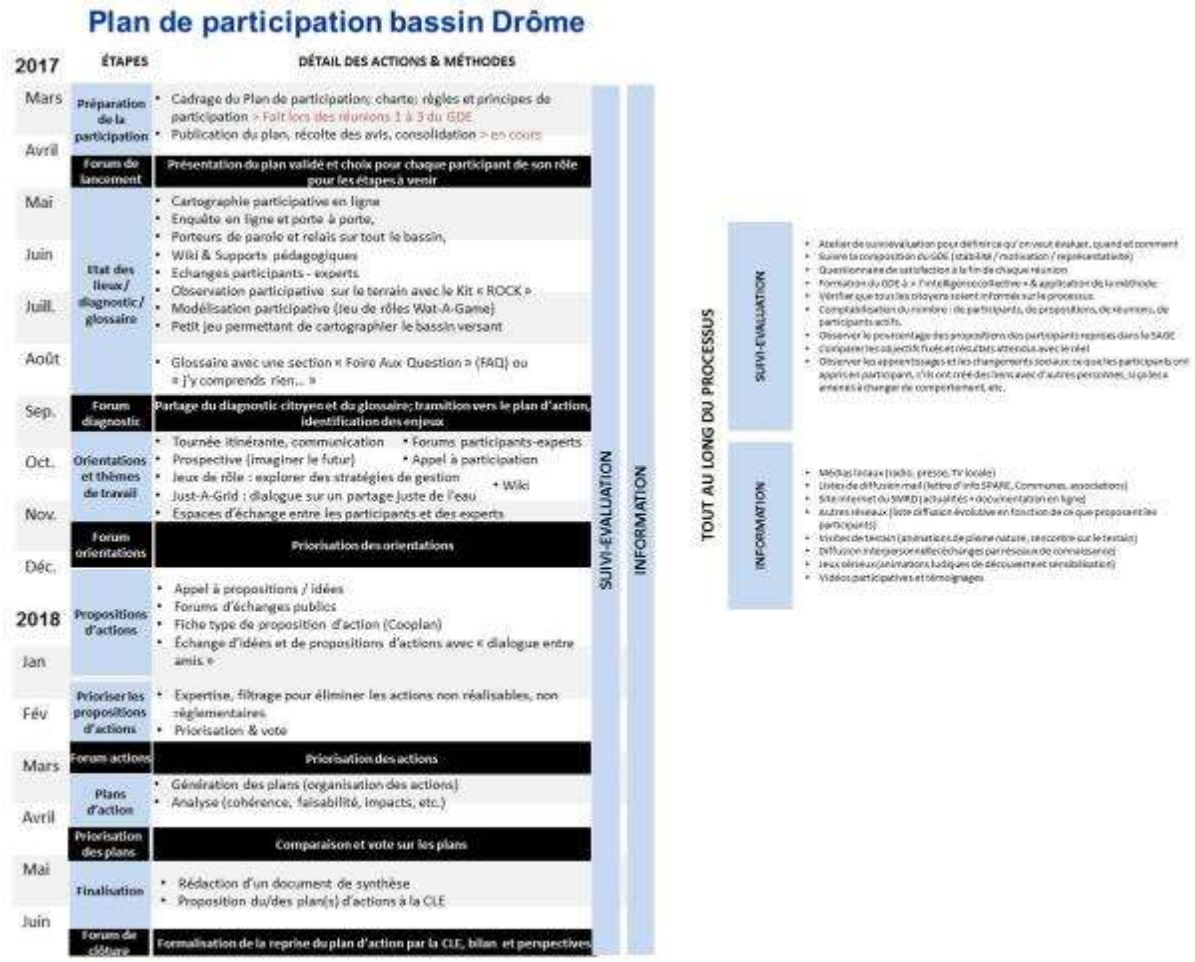
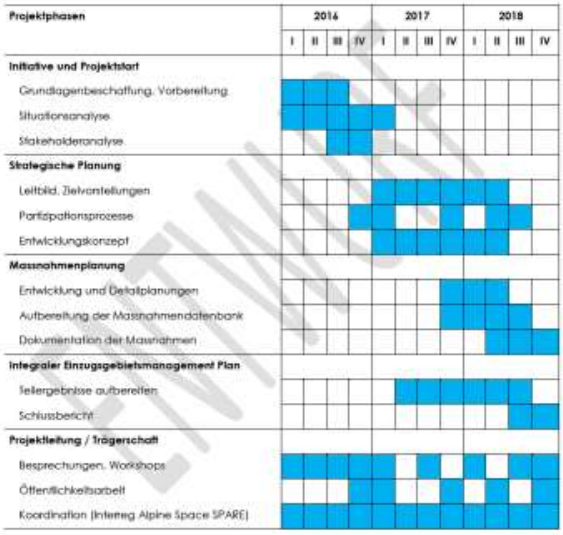


Figure 15 - Participation Plan in Drôme

Inn

In **Inn**, the participation plan was prepared by Process Manager with the Pilot Grpup members. This plan was included in the stakeholder analysis (Report "Akteuranalyse und Partizipationskonzept - Integrales Einzugsgebietsmanagement Engadin - Interreg Alpine Space Projekt SPARE", 08/11/2016). However the Pilot Group decided not to carry out all these steps. The intended participatory process was not possible to conduct also due to missing financial resources and also because of the lack of practice of participation in the Engadine Valley.



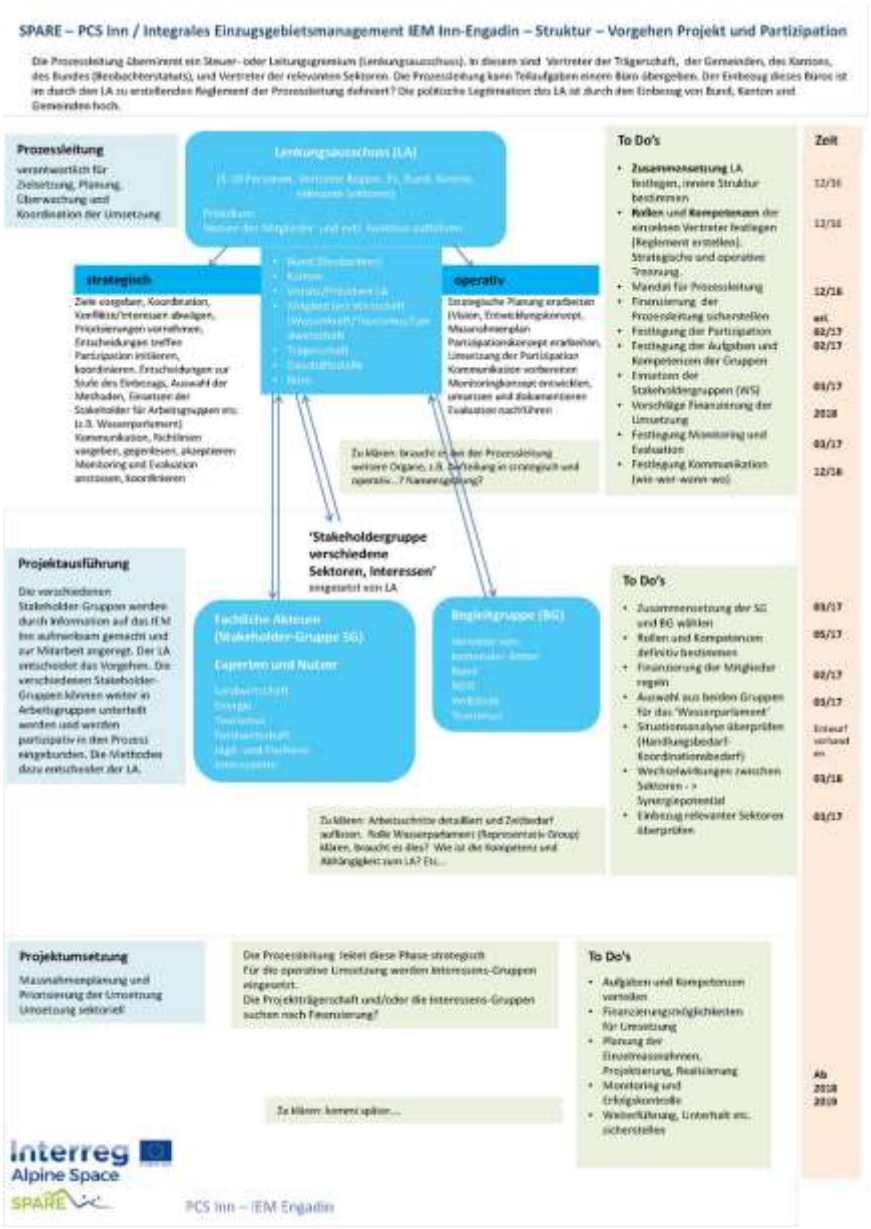


Figure 16 - Theoretical participation plan in Inn

Soča

In **Soča**, the participation plan relates to PCS1 to PCS17 activities, but without the design of a participatory process (PCS 8 and 12). It focused on motivation of people to cooperate and become members of SRF, through directly some implementation actions (see below).

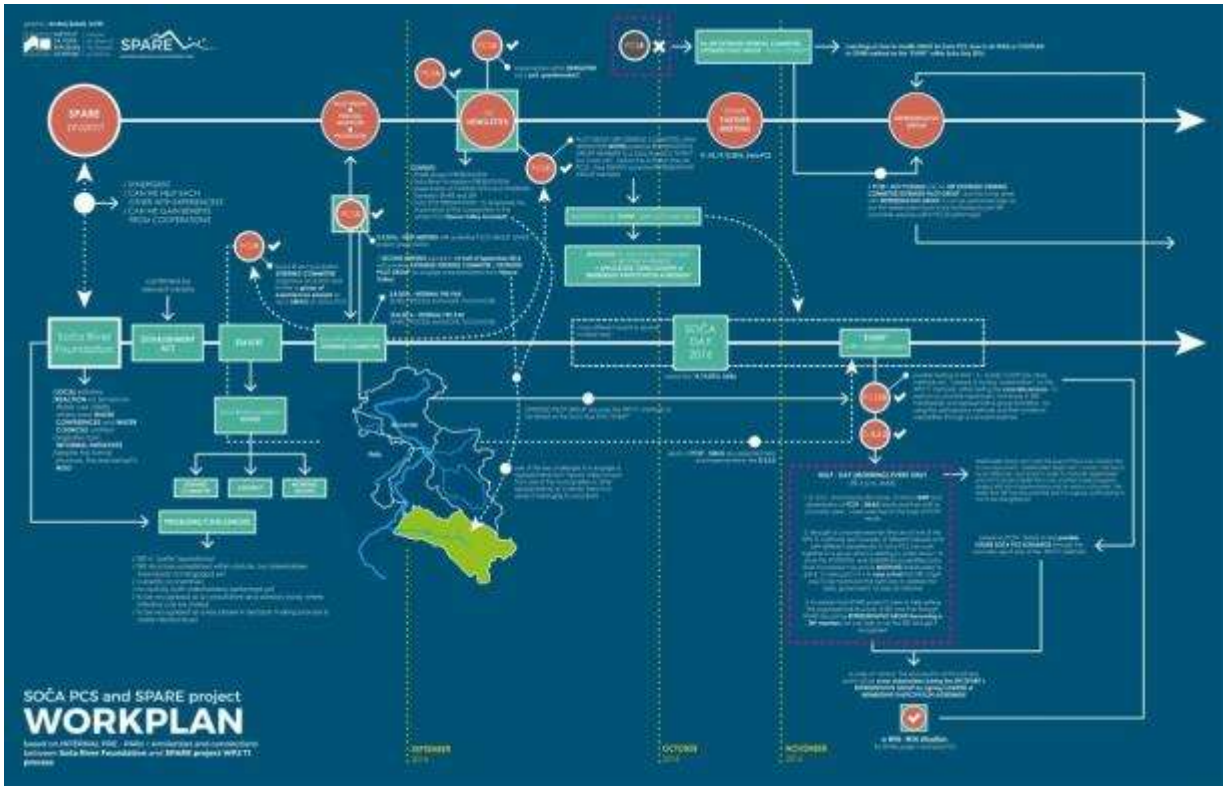


Figure 17 – Participation Plan in Soča

Steyr

In **Steyr**, the process design was very open and did not predefine a certain direction. It was up to the Pilot group together wirth PM and facilitators to design the process and up to Rep. Group members to adapt the content. The topics of the meetings were influence directly from the needs of the stakeholders, members of the Rep. groups. So was the content of the online survey.

Stage 1	**Pre-Assessment**
Actions included in that stage	- Framing of the participation process "Die Steyr WERT schätzen" ("VALUE Steyr") - Stakeholder analysis in river catchment - telephone interviews with stakeholders for pre-assessing perception on water-governance - analysis of eco-system services in river catchment based on stakeholder interviews and desktop research - identification and selection of Representative Group (RepG)

Stage 2	**First RepG-Meeting**
Actions included in that stage	- setting up the RepG ○ Who is included? • Representatives of all stakeholder groups of the region • Representatives of the government of Upper Austria • Selected citizens from the region (from sectors such as nature preservation, agriculture, power generation, tourism, health, culture, education etc.) • About 30-40 individuals (always the same throughout the process) • and external experts • science • practicioners from other regions - giving information about the process and collecting feedback and expectations of stakeholders - providing a platform for discussion - communication about process within the river catchment (local press release)
Stage 3	**Thematically focused RepG-Meetings**
	- based on discussion from first RepG-Meeting, three thematically focused meetings of RepG ○ **Central questions of the meetings:** ○ Which VALUES (relating to ESS) are provided by the river in the area? ○ Which VALUES (relating to ESS) are to be kept or should be increased? ○ What should (or should not) happen for these (prioritized) values/services to be maintained or increased in the future? - Input on the respective ecosystem services from stakeholders and discussion among RepG - Evaluation/weighing of different ecosystem services - Derivation and discussion of development goals for water management
Stage 4	**Large scale online-survey in river catchment**
	- Online-survey among the whole population of the project area (~20.000 people) - to test and add to the results/evaluation of ESS of the RepGroup - Advantage: about 10% of the whole population (= expected return rate of survey) will deal intensively with ESS - Large scale communication about the process in local media and invitation to participate in online-survey - Goals: ○ Refinement of the stakeholder-evaluation of ESS ○ Increased awareness of the population (the survey will not only include questions but give a lot of information on ESS) ○ Stronger basis for development goals
Stage 5	**Closure**
	- Taking back results of online-survey to RepG for discussion in a final meeting - Refinement of ESS-concept and development goals - Communication about results in local media

Figure 18 – Participation Plan in Steyr (not include: M&E tasks – see M&E section below)

Two participation plans were implemented as planned (with only minor adaptations) in **Drôme** and **Steyr** PCS. The two others were only partially implemented, mainly due to political factors (see below for more details).

Key lessons learned

The main lesson learned comes from the Drôme, which is the only PCS to have fully experienced designing a participatory plan with the citizen.

The preparation of the participation took too much time (nearly 6 months) but this phase of framing with citizens was **important** because it helped to:

- **clarify the objectives,** content and flexibility of the participatory process and avoid further frustration
- identify the participants to be involved and the **best ways to involve them;** on this subject, citizens are better than experts because they know better the customs and habits of the inhabitants as well as the local media to be used.
- **define the roles** of each participant in the participatory process, in particular the rights and duties of the participants, but also when it is more appropriate to involve a particular actor and for what.
- for a better **knowledge and appropriation** of the participative plan

The hypothesis was also that this participatory framework of the participation plan could allow a **better engagement** of the participants throughout the process. With regard to the Drôme PCS, it does not seem so obvious. Some participants were clearly motivated by this first phase, but on the contrary, others were disgusted and abandoned the process.

The PrePar method can also help to **clarify the links between the participatory process and the institutional decision-making process**, through the participation of institutional stakeholders, the consideration of outputs at the end of each stage or the involvement of citizens in institutional events or bodies. Early formalization of the relationship between the participatory process and the institutional decision-making process can increase participants' commitment and motivation, but is not always possible. Sometimes institutions prefer to wait and see how the participatory process works, if there are any benefits, before officially recognizing it.

With regard to the **identification of the objectives of the participatory process**: first of all, the Process Manager must present clearly and as soon as possible the objectives of the water management project. These objectives will guide the objectives of participation and will determine the margin-of-manoeuvre for the participatory process. This is not so easy to do because, sometimes, these objectives are unclear, even for the process manager, and they are built or evolve precisely during (and through) the preparation phase or the implementation of the participatory process. In this case, it is essential that the Process Manager regularly **recalls this objective** in order to reaffirm the meaning of the project and the reasons for participation.

Finally, if the preparation phase were to be redone with citizens, it should be **shortened** (one or two meetings, less than a month) and focused on:

- clarification of **participants' goals (PM, citizens, experts, ….)** ; these objectives may differ from each other. It is not necessary to define only one objective, but at least to list them and be aware that not all may be fulfilled because they are not all compatible. Having a single goal provides a clear guideline for establishing a participation plan. Too many objectives no longer allow for this role of guideline, and complicate the definition of the participation plan.
- identification of the **steps to follow** when and for how long (based on the proposed steps, see Figure 19) ; these steps:
    - either they are imposed by the process manager because the participatory process is part of the existing strategic planning process,
    - they can be discussed with participants, when the participatory process is in the early stages of the strategic planning process or when the focus is on awareness raising
- selection of the **level of participation** (information, consultation, negotiation, decision)

- identification of **who** should be involved in each step, including citizens but also the usual stakeholders. While the precise definition of the role of each actor can be time consuming and difficult to do, it is necessary, at least, to define who will lead the main actions at each step.
- identification of **expected outputs** at the end of each step; not necessarily the content but at least the format: should it be a report, a public event, a video, etc.? And also how should they be taken into account in institutional decision-making processes?

The **training and discussion of the tools** to be used at each stage requires a fairly long training and discussion time between the participants. To save time, this step can be done by experts in participatory methods or by the pilot group, facilitator and process manager).

Description of participatory processes

Reminder of methodological guidelines initially provided by WP T1

The “Initial Guidelines on Stakeholders’ Engagement and Year 1 Participatory Process in the PC” concern only the engineering/preparation phase of participatory processes since one major challenge within SPARE was to let stakeholders and citizens themselves decide of the participatory process. Once a participation plan was drafted by stakeholders, it was meant to be implemented. As a result, participatory processes were very different from one PCS to the other. For more details on tools and methods proposed and implemented at each steps, please refer to next section.

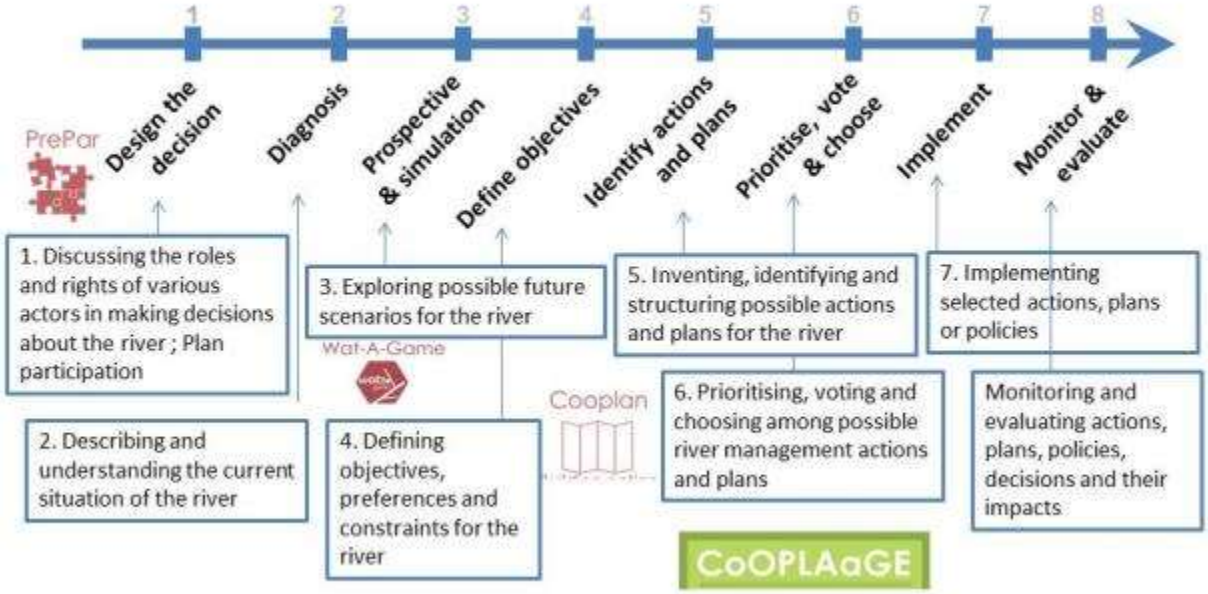


Figure 19 – Designing a participatory process for water strategic planning: 8 steps suggested (Source: Irstea, 2017)

Description of the way these guidelines have been implemented in each PCS

Several other project deliverables provide a detailed description of the participatory processes in PCSs:

- The five preliminary Word reports which were used to write the current analysis entitled “Final documentation / monitoring / evaluation of participatory processes and of experimental activities implemented in each PCS” (in preparation of D.T 3.2.1 PCS Installation kit and D.T1.3.2 Final M&E report)
- The five reports on PCS process assessment & promotion (D.T 3.3.1 PCS evaluation: final river protection & management) providing a SWOT analysis of processes in the PCS

We will provide here only a summarised overview of the participatory processes in PCSs. We will also try to understand why different choices were made in regards to participation.

Dora Baltea

In **Dora Baltea**, ARPA VDA (facilitator) tried constantly to couple SPARE activities to official PTA. The main purpose was to develop a quantitative assessment approach of compatibility of different ecosystem services, based on a data-driven improved management and planning model fed by continuous water discharge monitoring data. The approach also aimed at

including, step by step, participation by stakeholders. Therefore, the participatory process mainly focused on continuous river discharge monitoring standards and participatory Multi Criteria Analysis (MCA) to assess water withdrawals through two phases (Source: D.T 3.3.1 SWOT Report Dora Baltea). The starting point was based on two considerations: first, local communities were not able to plan or decide on water withdrawals demands and effects because they often did not know how the process really works; secondly, information on existing pressure on rivers was dispersed (spread in different offices) and incomplete. So, the creation of an "informative standard" was considered essential to ensure informed and fully aware participation of local communities. The task was (1) to rebuild the aforementioned database entirely on digital support, (2) to provide it with a representation mapping using GIS and (3) creating a geodatabase related to the existing information bases available for all communities and local bodies on web.

Phase 1: Preparation of practical devices and technical reports

First, some practical devices were prepared:

- a discharge monitoring demonstrative site was set up on a stream in the territory of the PCS (http://www.alpine-space.eu/projects/spare/en/pilot-case-studies/dora-baltea/monitoring-station)
- an online platform to collect and share discharge data was prepared, (www.alpine-space.eu/projects/spare/en/pilot-case-studies/dora-baltea/monitoring-station)
- an online platform to apply MCA for withdrawal assessment with free access to stakeholders was prepared (http://192.168.5.191:8003/)

The objective of these tools was to make clear the feasibility of the new methodological and informative standard, which was defined with the aim of ensuring transparency and access to strategic information and better assessment of withdrawal sustainability in the river system.

Besides, a technical report about informative standard ("from discharge monitoring to water withdrawal management alternatives"), was prepared describing: 1) data flow to be adopted, 2) indicators to be elaborated, 3) Multi Criteria Analysis (MCA) to be used to assess withdrawals sustainability, 4) official technical standards (UNI ISO referred) about river discharge monitoring activities and also 5) a **procedure to ensure participation of population – local communities to withdrawals demands process, references to the current set of laws**. The report and related annexes was aimed at detailing the informative and methodological standard, defining it openly and officially, including **the rules for local population to participate to new withdrawals demands process**. The report frame has been conceived to be included and endorsed by current River Strategic Planning revision (actually in standby).

Phase 2: Technical meetings

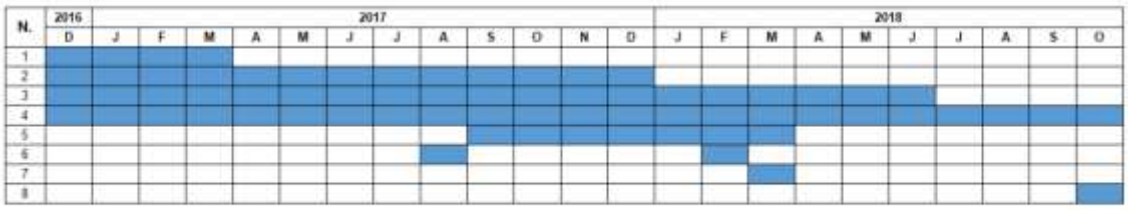
To increase better knowledge and understanding of strategic information about withdrawal sustainability to all the involved stakeholders, several meetings were organized with local authorities, project managers, river technicians and local communities, during which SPARE activities and the products prepared in the PCS were presented and discussed together to collect feedback. Overall, these meetings were targeted to increase mutual trust among participants and among participants and us.

The main meetings were:

- 16 face-to-face meetings (partially aligned to official planning revision calendar) with focal stakeholders and local communities' representatives to collect feedback about the participation of population to current withdrawals demands process and the harmonization with the River Strategic Planning revision.
- a public thematic workshop (organized in collaboration with Politecnico di Torino) about the hydromorphological indicator used in the PCS to assess impacts on rivers affected from withdrawals, in order to clarify the feasibility of new monitoring / informative standard and to focus on specific (new) environmental indicators (according to current set of laws modification).

If the “technical” part (from discharge monitoring to MCA application) is already operational and ready to be used, the definition of the process for local communities’ involvement in withdrawals assessment and for their feedback consideration has still to be completed. This part, and the entire informative standard revision, will be updated (probably) within the end of 2018, according to the decisions of the PM and his collaborators for the River Strategic Planning revision process.

A public has been organised on 30th of November 2018 to present and discuss with stakeholders and population feedback collected during the face-to-face meetings and to draft together a new procedure defined in the revised River Strategic Planning for the new withdrawals demands process.



N.	Main activities in PCS Dora Baltea
1	Discharge monitoring demonstrative site preparation
2	Preparation of an online platform to collect and share discharge data
3	Preparation of an online platform to use MCA for withdrawal assessment
4	Preparation and presentation of a technical report about informative standard
5	Face-to-face meetings with focal stakeholders
6	Two meetings with PM
7	Public thematic workshop about environmental indicators used to assess impact of withdrawals on rivers
8	Public workshop to present to stakeholders and population the results and feedback collected during face-to-face meetings

Figure 20 – Participation Process in Dora Baltea (Source: SWOT Report Dora Baltea)

Drôme

In **Drôme**, following the participation plan drafted by the RG, the participatory process followed five main phases:

Phase 1 (April - Dec 2016): preparation

The participatory process in Drôme started in April 2016 by recruiting the facilitator and then the Pilot Group. Information on SPARE was spread through newsletters and local newspapers. In June, July and September the Pilot Group started to meet. First decisions were taken concerning the Representative Group name and recruitment strategy. The Pilot Group also decided to organize information meetings to attract citizens and present them the project. These information meetings took place in three different parts of Drôme valley (upstream, midstream and downstream) on November 2017 and aimed to promote the project, recruit the Representative Group and inform about the following RG meetings. A large survey, based on PCS6 questionnaire, was launched through the Internet and in SMRD newsletter and spread along the basin. Volunteers working for the SMRD also interviewed inhabitants of the river basin using the questionnaire in October.

Phase 2 (Dec 2016 - May 2017): construction of the participatory plan and participation charters with citizens (PRE-PAR)

The Rep. Group met for the first time on 3-4 Dec. 2016, performing a local workshop on participatory processes and water governance, during which a participation plan draft was designed (PCS 6 & 8). It met again in February and March 2017 to complete this participatory plan, and new participants came. The Rep. Group agreed on functioning rules for the group. A consultation of the final version of the participation plan was held online to Rep Group members. The local water committee (CLE) officially validated these documents in March 2017 and they were presented to a public meeting in May.

In April, a first workshop on Monitoring and Evaluation was organised, open to everyone.

The Pilot Group met three times, in January, March and April, to support Process Manager and facilitator on the clarification of SPARE objectives, the organization of the groups, the finalization of the participatory plans and rules and the planning of future actions.

To sum up, this phase allowed to co-authored a participation plan, rules and a chart.

Phase 3 (May - Oct 2017): Citizen diagnosis

On the 13th May 2017, a forum was held to officially launch the implementation phase of the participation plan. The first step of the participation plan was to build a participative diagnosis using different tools. During this forum, different tools were presented and groups gathered to start the diagnosis work on water quality, water uses, governance, perceptions, etc., using the proposed tools or not. These groups of citizens met worked during the summer and until October, more or less supported by facilitator (SMRD) or Irstea (regarding participatory modelling). Mid-July, trainings was provided to participants by Irstea and SMRD to be able to use specific tools like a participative modelling and participatory mapping, River Observation and Conservation Kit (KOPER).

In total, more than 629 contributions were collected using 4 different tools:

- 8 “expression walls” sessions which aims to collect citizens vision about river and water thematic (including 1 session during the Forum) : 474 contributions including 73 from school students
- 4 field-observation session, based of KOPER method, but adapted, after 2 meetings of training and a field work with experts : 75 contributions
- 2 interviews with 6 experts by citizens (on water quality topics), after 4 meetings of citizens to prepare the questions: 65 contributions
- Questions addressed to SMRD during the 3 information meetings were also included in the citizen diagnosis (15 contributions).

In addition, 1 citizen wrote a report on water governance in the river basin who do what in Drôme watershed?”). 3 meetings on participatory modelling (WAG and CAPPA-WAG) after 1 training day were also organized by Irstea and allowed to produce a first version of a role-playing-game on river management in Drôme basin. In July, a second workshop on Monitoring and Evaluation was organised, open to everyone.

At the end of July, an inter-workshop meeting was organized with the Rep. Group and with some SPARE partners: during the meeting, activities and difficulties were presented, participants expectancies were collected, and the KOPER method was tested. In October, 5 writing workshops of citizens diagnostic were organized in order to co-write the synthesis. Unfortunately, the high number of expressions does not allow finalising the document on time. Despite, a public forum took place the 14th of October 2017 to share preliminary results and to finish this phase of citizens diagnostic.

According to participation plan, the next step should have been the definition and selection of orientations. This topic has been addressed on the 14th of October: some orientations were identified but not prioritized. Some members of the Rep. Gr proposed to meet again in order to prioritize these orientations. Unfortunately, there were few and Process Manager decided to skip this step and to go on directly with the collection of action proposal for the river.

In parallel some autonomous activities of citizens went on like for example: a field trip on beavers (09/12/2017); a meeting on citizen participation in CLE (14/11/2017), 2 meetings on governance topics from some members of GDE (20/11/2017 and 19/0/2018), a conference and photo exposition on river by a citizen (June 2018).

Furthermore, since May 2017 and until now, some Rep Group members regularly attended to official CLE meetings (nearly 20).

Phase 4 (Nov2017 - March 2018): Actions & Action Plans for the River

The method called COOPLAN, proposed by Irstea was implemented in order to collect, discuss and to put together citizen action proposals for water and rivers of the basin. SMRD

decided to collect these action proposals with an online form. This form was design by Irstea and SMRD together and tested by the Pilot Group meeting on the 12/12/2017. A large communication campaign was engaged to promote the online participation (radio interviews, newspaper, Facebook add; conference…). From December 2017 until February 2017, 130 detailed actions were collected. These proposals were shared and discussed during 3 public meetings (2 and 3 March 2018, Allex, Saillans, Pont de Quart), with the "market place" method. Sometimes action proposals were modified or added. On the 12/03/2018, these actions were discussed and given more explicit names if needed by experts from SMRD, Irstea and Local Observers (ARRA).

At last, some action plans were built in the participatory forum on March 24. Two action plans, made by 10 participants resulted from this public event.

Phase 5: April – Nov. 2018: Data processing, synthesis and promotion

The last phase consisted of processing the data from citizen diagnosis /action proposals and actions plans in order to write a final report for the CLE. This is currently done mainly by the facilitator with the methodological support from Irstea. A local final event was planned in October to return all the results to the citizens, as well as a presentation to the local water board (CLE).

Besides, following the request of some Rep. Group members, Irstea organised, with SMRD a meeting with participation experts and citizens to discuss further how to involve more citizens in the local Water Committee (29th of May 2018).

Figure 21 – Participation process in Drôme (Source: Communication ISRivers, adapted from SMRD, 2018)

Inn

In **Inn**, the main objective of the participatory process was to establish an Integrated River Basin Management Plan which includes citizens' point of view. One of the challenges of IRBM is conflict management among water users. Hence PTE Foundation attempted to start a participatory process with citizens for the Upper and Lower Engadine. A Pilot Group was recruited in April 2016. Nevertheless, following the decision of the representatives of the Upper Engadine region not to participate in the IRBM project (Sep. 2016), it was decided to reorient the participatory process.

Phase 1: September 2016 – August 2018

The process started with the recruiting of a new Pilot Group. During the first meeting the participatory methods were discussed and a workplan with three steps were drafted. The first step was a “stakeholder analysis” and the design of participation process, which formed the basis for the work of the Pilot Group (see Report “Akteuranalyse und Partizipationskonzept - Integrales Einzugsgebietsmanagement Engadin - Interreg Alpine Space Projekt SPARE”, 08/11/2016). After identifying the different stakeholders and their influence and concernment, the members of the Representative Group were chosen. A “situation analysis” was started by Process manager and Pilot Group with the inputs from stakeholders.

The first and unique Rep. Group meeting during SPARE project was held on 25th August 2017.The aim was to know more about the requirements of participants, about their visions of existing problems, needs to act and willingness to do it together. The feedbacks of participants during and after the meeting, were used to draft a first vision for the catchment, which was finalized by the Pilot Group (see Report “Integrales Einzugsgebietsmanagement IEM Inn - Bericht – Entwurf, August 2017).

The Pilot Group met several times to prepare the situation analysis and to design the whole process, including communication activities.

In April 2018, “water consultation hours” (face to face meetings) were prepared and performed to involve citizens. During 6 days, the population was invited (through press media) to get inform and give feedback. There were not a lot of people (15) but the discussions were intensive and helpful for the ongoing work. It was possible for citizens to join the PTE team during these meetings, to exchange views and participate.

In parallel, PTE decided to involve young people in the IRBM. Irstea supported PTE in organising the International River Youth Camp in July 2018. There were several objectives to this camp: discovering and testing several participatory methods developed by Irstea; building and sharing a specific vision of what is participation, meeting other young people concerned by integrated water resources management, presenting a river, taking it as a case study and preparing a participatory process, becoming a “river ambassador”. The six-day program consisted of alternating practical exercises (on participatory methods and tools) and field visits to observe a river. 21 participants (11 women and 10 men) aged 15-30 attended the camp.

Phase 2 & 3: from Sept. 2018

The second phase will take place at the end of 2018 with a meeting of stakeholders officially involved in different sectors of water management. The next step will be a second meeting with the Representative Group to discuss the results of the "situation analysis" and to prepare and prioritize measures in 2019. From February 2019, the third phase will be hold by regional planning, which will take over the implementation and control of the process, instead of the foundation. One pilot Group members will be in charge of the transition phase.

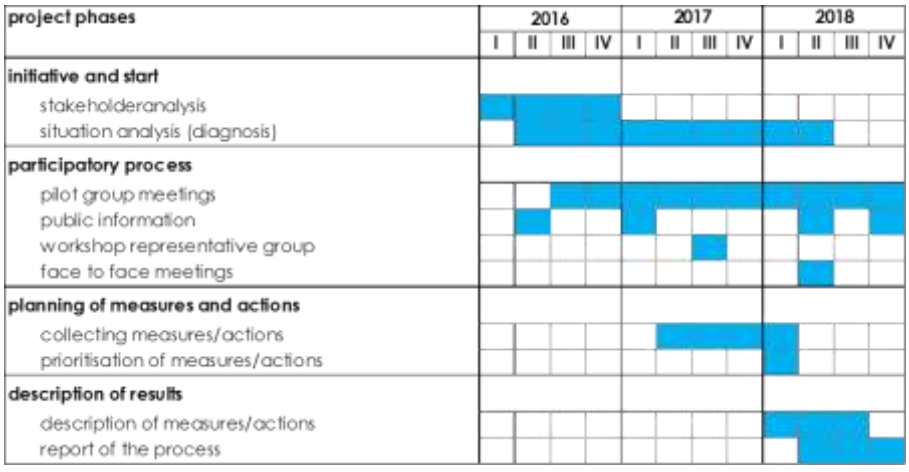


Figure 22 - Process and participatory process in Inn (source: report on PCS process assessment & promotion, DT 3.3.1)

Soča

In **Soča**, the participatory process followed adapted Irstea steps. Participation phase and implementation phase went hand in hand, so there was not a previous preparation phase. The process moved to the implementation phase directly, involving stakeholders in the process of choosing actions to implement. It consisted mainly in a Rep. Group meeting during Soča Day in November 2016 with 29 persons, and then of a SMAG workshop in January 2017 with 2 persons.

During the Soča Day event, through the adapted participatory method COOPLAN, participants identified objectives and selected actions that could be implemented to reach the objectives, and organized these actions in space and time.

Then, the Pilot Group met on 18th August 2017 to evaluate the results of the Questionnaire (PCS6) and to prepare a list of activities based on preliminary (Soča day Idrija 2016) shortlist of possible activities. The Pilot Group decided to select the three most feasible activities that could be done in the framework of SPARE project. These three activities are:

- National law for navigation on inland waters (organized participation of stakeholders as contribution to the process of law change)
- Definition of the system for co-financing of individual sewage treatment plants
- Green infrastructure – planning of cycling routes within river corridors

They also agreed that some activities such as creating the Foundation website could be done simultaneously.

Then, the Process Manager organized a voting on priorities in August 2017 by email, sent to 99 people (stakeholders and the Rep.group. He received 14 responses via email, over phone and directly in person from an association of water sport agencies. In addition, Process Manager checked willingness at the Ministry of infrastructure and got a positive feedback from them also. Result showed that the most urgent and feasible matter is participation at the process of inland navigation law change. SRF approached the Ministry of infrastructure to collect comments and suggestions to the new Inland navigation law. SRF prepared the comments in close cooperation with stakeholders and Representative group. The comments were sent to the Ministry of Infrastructure and the Foundation is waiting for a response (Source: Minutes of T1 Second training Ljubljana Sep17 ; Report " PCS Process assessment, DT331).

Figure 23 - Participatory process in Soča (Source: Report on PCS process assessment & promotion DT331)

Steyr

In **Steyr**, the participatory process contained five main phases:

Phase 1 (oct 16 - feb 17): Pre-Assessment

The first phase was the framing of the participation process called "Die Steyr WERT schätzen" ("VALUE Steyr"). The Pilot Group defined the objectives of the participation process and selected the Representative Group members. This selection was finalized by the facilitator (Tatwort), based on a stakeholder analysis in river catchment. The facilitator although made some telephone interviews for pre-assessing perception on water-governance and eco-system services. He reached around 38 people: inhabitants, associations, industry and business concerned with the river, policy makers, experts. The results of this pre-assessment are summarized in the report "Pre-Assessment for which participation for the management of the Steyr and its tributaries?". In addition, a self-retrospective assessing of the water management practices in the catchment of the Steyr

River of past decades was done through the SMAG tool with 7 participants with comprehensive knowledge on the history of the river basin.

Phase 2 (March 2017 - Oct 2017): RepG-Meetings

The Rep. Group was set and first met on 09/03/2017. Process Manager gave information about the process and collected feedback and expectations of stakeholders. A method was tested to rate and value ecosystem services of the river and stakeholders raised the issues most relevant according to them.

Based on this discussion, focus topics were chosen for the following three RepG-meetings:

- "Value of the river Steyr and its tributaries for tourism, economy and jobs" (01 June 2017)
- "Potentials of the river Steyr and its tributaries for near-natural, water body related tourism – a chance for the region".(14 Sep 2017)
- "Preservation of an intact nature along the River Steyr and The river Steyr as a space for living and education" (12 Oct 2017)

Some external experts were invited to each of these 3 Rep. Group meetings and the participants could ask questions an discussed the presented issues in working group or fishbowl convesvation. Based on the content of the discussions and ideas developed together with Rep. Group participants, an online survey was developed. In addition, communication was spread about process within the river catchment (local press release)

Phase 3 (May 2018) Large scale online-survey in river catchment

A large-scale public survey has been organized on river perception, issues, governance and proposals. The goals were to refine the stakeholder-evaluation of ESS, to increase awareness of the population (giving a lot of information on ESS) and to constitute a stronger basis for development goals. The survey was framed on a large-scale local individual pre-assessment and on the discussions of stakeholders in four meetings of the Representative Group from March to October 2017. The draft was sent to Rep Group members and the 14 feedbacks received were incorporated by Tatwort in the survey.

There was a large-scale communication and invitation to participate. The survey has been disseminated in April 2018 and was open to all residents and employees in the 12 municipalities of the PCS region and anonymous. An official postal invitation to participate in the survey was sent to 10.150 addresses (8.000 households). The invitation included information about the project as well as step-by-step explanation how to participate in the online survey (under the link www.diesteyrwertschaetzen.at).

The online survey consisted of 15 questions regarding ecosystem services of the river Steyr and its tributaries, about tourism, environmental protection and development goals for the region. The questions also contained additional information (in the form of "read more" fields and mouse-over fields) and served also as a tool for knowledge transfer regarding e.g. ecosystem services. (Screenshots of the survey are attached to this report.)

824 people participated in the survey from 9 to 25 April 2018, that is to say nearly 10% of the whole population.

Source (Report on global Survey in PCS Upper Austria: "Which development for the river Steyr and its tributaries?"- http://www.alpine-space.eu/project-news-details/en/3921)

Phase 4 Closure (June 2018)

Results of the survey were presented to the RepG in a **final meeting** on June 12, 2018. Participants were invited to discuss the main results of the survey, to work on specific next steps that could follow in the PCS and to define which steps each person would be able or willing to take him or herself. The results were also presented to the **media** in a media event on June 12, 2018 and in a press release on June 14, 2018. Consequently, the results and press release were distributed via Newsletter and a press release. The results should serve as a basis for future decision-making and management plans for the river.

N	Main activities in PCS Steyr	2016			2017												2018									
		O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O
1	Meetings of the pilot group																									
2	Stakeholder Analysis and selection of representatives																									
3	Telephone Interviews with selected stakeholders																									
4	Meetings of the Representative Group (RepG)																									
5	Preparation of the Questionnaire for Online-Survey																									
6	Programming of the Platform for Online-Survey																									
7	Integrating Feedback of RepG members and finalizing of Questionnaire for Online Survey																									
8	Preparation of Postal Notification and Press Release for Start of Online-Survey																									
9	Online-Survey live at www.diesteyrwertschaetzen.at																									
10	Analyzing results of Online-Survey																									
11	Final workshop to present to stakeholders and population the results of the Online-Survey																									

Figure 24 - Participatory process in Steyr (Source: Report_PCS_Steyr_Local planning of Participation Process; DT331 Report on PCS process assessment & promotion)

Comparative analysis of participatory events & participants between PCS

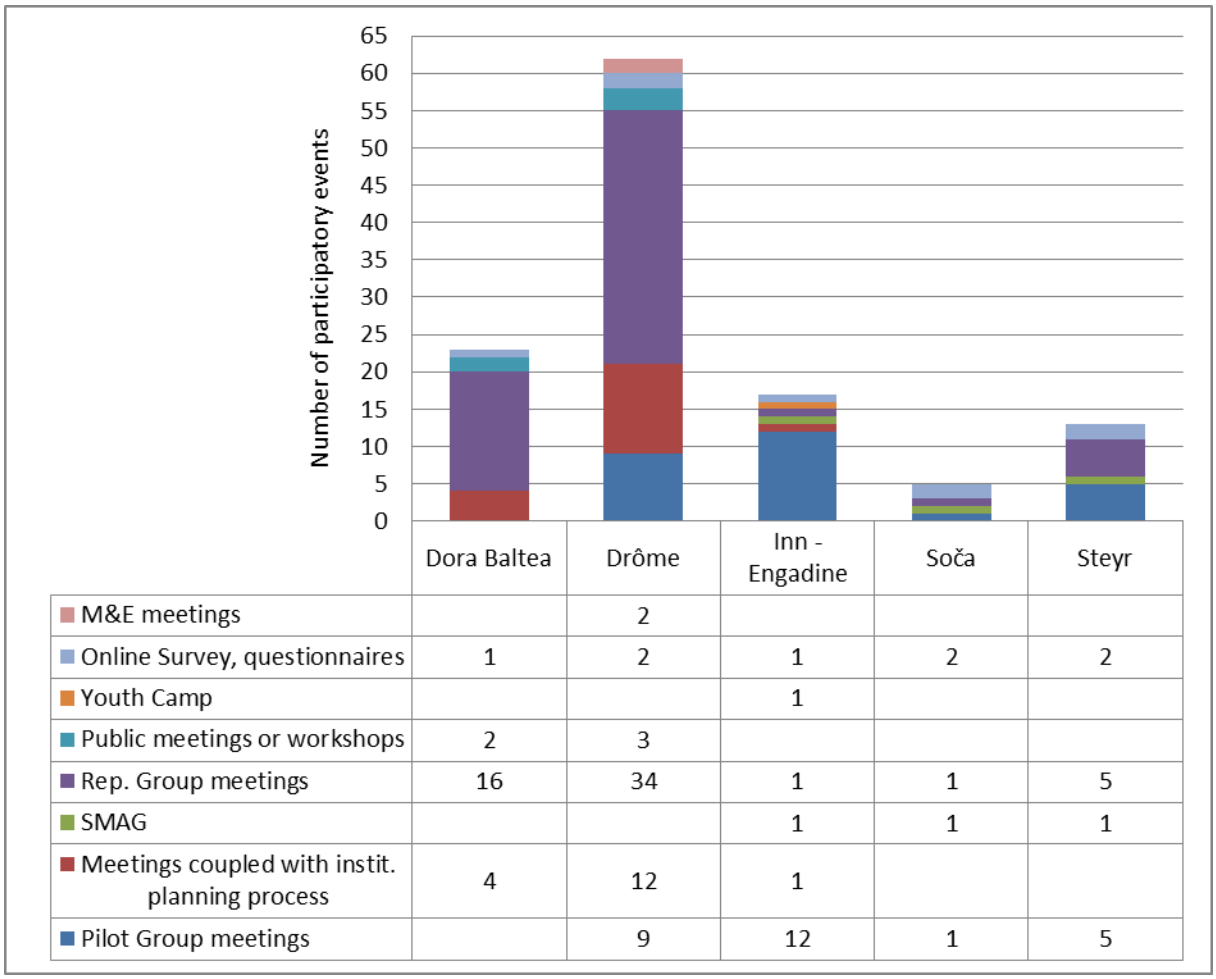
The participatory processes implemented were strongly different between PCS. Hence, a transversal comparison would not make sense. Some remarks can however be made.

Participation have been organised through Pilot Groups and Rep. Groups in all PCS except **Dora Baltea**. All PCS used online participation and some PCS also used workshops with smaller groups (Table 1).

Table 8 – Organization of participants

	Dora Baltea	Drôme	Inn	Soča	Steyr
Organization of participants	Only sub-groups (face-to-face meetings) + online participants	1 Pilot Group 1 « open » Rep. Group (Groupe Débat sur l'Eau) + sub-groups (including students) + online participants	1 Pilot Group 1 Rep. Group 1 Youths camp + sub-groups (face-to-face meetings) + online participants	1 Pilot Group 1 Rep. Group + online participants	1 Pilot Group 1 Rep. Group + online participants

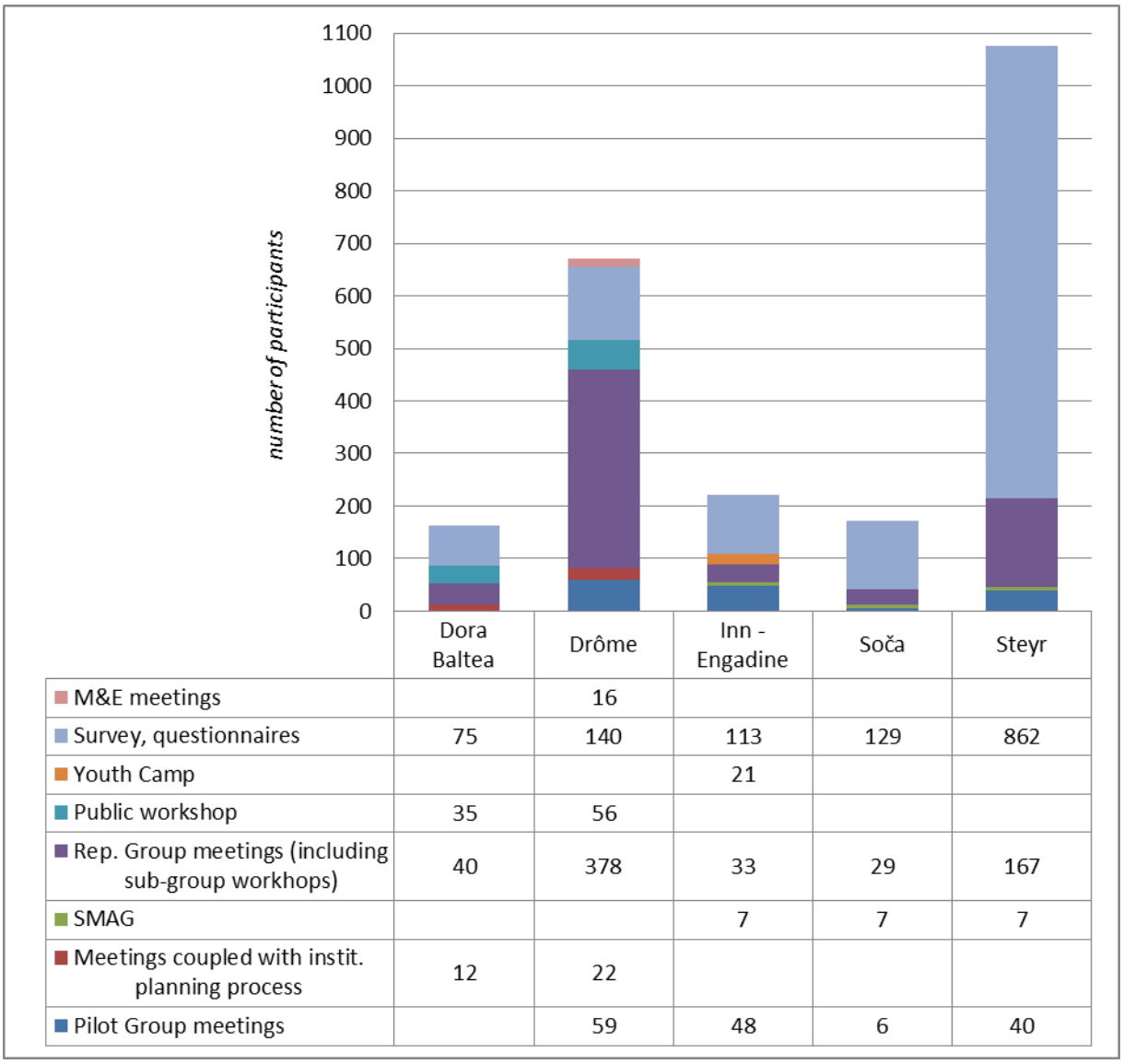
Some processes have been much more participatory than others, in terms of the number of events, the number of participants involved or the nature of the participation. Regarding the participatory events, PCS processes were heterogeneous (Figure 25). There were 62 different events in **Drôme**, 23 in **Dora Baltea,** 17 in **Inn**, 13 in **Steyr** and 5 in **Soča**, but they gathered a very different number of participants: 1036 in Steyr, 671 in Drôme, 222 in Inn, 171 in Soča and 162 in Dora Baltea (Figure 26).



	Dora Baltea	Drôme	Inn - Engadine	Soča	Steyr
M&E meetings		2			
Online Survey, questionnaires	1	2	1	2	2
Youth Camp			1		
Public meetings or workshops	2	3			
Rep. Group meetings	16	34	1	1	5
SMAG			1	1	1
Meetings coupled with instit. planning process	4	12	1		
Pilot Group meetings		9	12	1	5

Figure 25- Number and types of participatory events in each PCS

In **Dora Baltea**, face–to-face meetings were all on weekdays, took place in the Process Manager office or in ARPA venue, and lasted 3 to 4 hours. In **Drôme**, the events took place in various places along the river basin, either on week day or Saturday, exceptionally on Sunday and lasted from two hours to a full day. In that case, lunch was offered once, and other time, it was suggested each participant to bring something to share meals. In **Soča** the only one Rep. Group meeting took place in Idrija, lasted half a day a morning in weekday. In **Inn**, it took place in Lavin, lasted one full weekday. In **Steyr**, Rep. Group meetings took place in different municipalities of the river basin. They were either on Sunday either on weekday, at the end of the afternoon (5pm) and lasted about 4 hours.



	Dora Baltea	Drôme	Inn - Engadine	Soča	Steyr
M&E meetings		16			
Survey, questionnaires	75	140	113	129	862
Youth Camp			21		
Public workshop	35	56			
Rep. Group meetings (including sub-group workhops)	40	378	33	29	167
SMAG			7	7	7
Meetings coupled with instit. planning process	12	22			
Pilot Group meetings		59	48	6	40

Figure 26 - Number of total participants per type of events in each PCS

In **Dora Baltea**, farmers were difficult to involve in the SPARE process, as in the PTA process, while they are strongly involved in renovation of agriculture withdrawals. This could be explained by different reasons, including an "age factor" (being the major part of farmers retired persons quite old and not keen on spending time to participate to meetings instead of taking care of their farming activities). Another factor lies on the fact that they obtained a delay of 3 years to align concessions to national laws, and were consequently note in the mood of discussing their positions on sharing water. In **Soča**, the main challenge was the lack of interests by some stakeholders. There were some difficulties in involving local communities, especially the younger population. It was also harder to involve top decision makers – different ministries. In **Inn**, as Engadin is a small region in which the same individuals are always asked to participate as stakeholders, these people sometimes become tired of participation processes

In **Drôme** and **Steyr**, the main challenge was not only to find participants, but to convince them to participate more and attend future Rep. Group meetings. For **Drôme**, the challenge was also to answers multiples expectations of citizens in in a process quite framed and limited in time. For **Steyr**, the challenge was mainly facilitate the debates inside the Rep. Group meeting. The difficulty was to avoid that discussions were led by a few representatives who had very strong opinions while others did not take the opportunity to contradict. Another challenge was to manage pre-existing personal relationships (and conflicts) between the stakeholders that also influenced the content and mood of the discussions.

In **Drôme**, participants were encouraged by the SMRD and Irstea to organise participatory events autonomously, especially during the diagnosis phase. This was a success of the overall process. A drawback was that facilitation was difficult during several of these meetings due to the fact that no Rep. Groups member who was present had participation skills. Similarly, the participation rules usually "enforced" by the SMRD facilitator were not always respected, leading at times to tensions during these autonomous meetings.

Key lessons learned

With regard to the **timing of the process**, we note that the preparation phase, with or without citizen participation, was longer than originally planned, due to the need to convince all stakeholders, including politicians, but also because process mangers and facilitators need time to train and appropriate participatory methods. It also takes time to process the data collected during participatory activities, and this phase of data processing and writing of results and lessons learned for participants should not be underestimated.

Regarding participation, few participants came throughout the process, from beginning to end. They went to one or more participatory events but rarely to all the events.

Several obstacles were identified: lack of political and social incentives, missing time, date, duration or place of meetings, age of potential participants, lack of interest, lack of real issues to discuss, always the same participants participate…

To be involved, participants need to know how, for what and to what extent the results they produce will be used. The **objectives of the participation** and the **expected results** must be clearly exposed. They can be formalized between the Process Manager and the participants to increase transparency and mutual trust (with a charter for example). Another option, which was not used in PCSs, would be to conclude a contract between the process manager and the participants, which define the duties of the participants (in terms of attendance at the activities), with or without income against. Otherwise, the participatory process should be designed with the possibility of including new participants throughout the process, which in itself is a methodological challenge. The establishment of clear and accepted procedural rules appears to be a strong prerequisite.

By the way, to encourage long-term participant engagement and to help the process run smoothly, participants **need to be informed about and when results are produced**. This information should be educational and provided promptly after each participatory workshop. This may require implementing new tools facilitating monitoring, first level processing and rendering.

In general terms, as accepted in the domain literature, the three categories of participation initiation: mandatory through regulation, institutionally or politically driven and bottom-up through social movements and engagement, should be combined to maximize efficiency and dissemination. The latter is the least considered here as we generally don't have mandate toward the community-based organizations; while they the most efficient in mobilizing, as demonstrated by the classical "community organizing" processes (Beckwith, Lopez, 1997)[1]. In the future of River governance, such bottom up approach may be fostered.

[1] Beckwith, D., & Lopez, C. (1997). Community organizing: People power from the grassroots. Washington, DC: Center for Community Change.

Participation tools & methods used

Reminder of methodological guidelines initially provided by WP T1

Irstea has provided guidelines and training on adaptive governance methods and tools for river protection and management through two workshops, coaching sessions and several documents (see Coaching section below). Irstea has proposed several methods and tools designed by it and experienced in an international context for years. They are part of the "Cooplaage" kit:

- ***PRE-PAR "Framing a participatory process":*** see "Engineering & preparation of participation (PrePar)" section above
- ***Wat-A-Game***: prepare a local model (role-playing game) to simulate, in a participatory way, the current situation, test and discuss different options, in order to define a common strategy of actions.
- ***Cooplan "Develop an integrated action plan***": propose and structure actions, and verify their coherence, feasibility and effectiveness
- ***M&E methods***: see "Monitoring & evaluation" section above

Other tools and methods were developed within the SPARE project and were more experimental such as:

- ***SMAG "Self-Modelling for assessing governance"*** : a quick and easy method for self-diagnostic of past river protection and management
- ***ROCK "River Observation & Conservation Kit":*** a simple tool for participatory design of river observation and conservation processes, to help citizens exploring and understanding links between them, the activities, and changes, and selecting useful information collection and systems
- ***My River Kit:*** an easy-to-play role-game dedicated to awareness rising on aquatic environments ecosystem services

Furthermore, Irstea supported Process Managers and facilitators of the PCSs for the methodological adaptation of these methods & tools or for the development of other tools, based on available resources (time, budget, people, etc.).

For more details, refer to DT113 Report "Workshops on advanced participatory methods & adaptive governance processes for River protection & management".

Description of the way these guidelines have been implemented in each PCS

Table 9 - Participatory tools & methods used in each PCS (for M&E tools & methods, see next section)

	Dora Baltea	Drôme	Inn	Soča	Steyr
Participatory methods used	PCS6 questionnaire Participatory multi-criteria analysis (MCA) SMAG Individual questionnaire	PCS6 questionnaire PrePar Matrix Expert interviews Expression walls ROCK Wat-A-Game - Part. Modelling CooPlan Market Place Focus Group Online survey Online forum	Ind. questionnaire SMAG focus group World café Youth Camp: My River Kit, ROCK, Wat-A-Game - Part. Modelling, CooPlan, PrePar matrix	PCS6 questionnaire (online survey) Adapted CooPlan SMAG Voting on priorities (e-mails) Test of digital version of MyRiverKit	Ind. questionnaire Brainstorming Fishbowl conversation Voting game & rating method Workshop on small tables SMAG PrePar Matrix On-line survey (wordpress based CMS)

Some tools and methods proposed by Irstea have been perceived as **not feasible regarding** the context and current processes of the different PCSs (like in **Dora Baltea**, **Steyr, Inn**). Some facilitators have strongly adapted these methods, as **Soča**, with the Cooplan method for example.

Some facilitators, as in the **Drôme**, also felt that they were not enough trained to allow the **transfer of methods to citizens** (see "coaching" section for more details). As a result, the methods were not always understood by the participants and the facilitator experienced tensions with and between participants. They also expressed some methodological difficulties regarding the processing of the high number of collected data, in order to allow a quick return to participants. This is particularly the case for the Cooplan method, fully tested with the citizens of PCS. This is also related to the underestimation of human resources and to the underestimation of the time required for this task, not sufficiently explained in the guidelines. Some process managers and facilitators also lacked social science skills for this kind of social data analyse. It would have been necessary to have specific training on this subject and to plan additional time, and it was finally done thanks to Irstea's coaching and support in data analysis.

In addition, some tools and methods proposed by Irstea were innovative and PCSs were asked to experiment them. In some PCSs, it **seemed too risky for Process Managers**, like in **Dora Baltea**, and they preferred not to test them. In the **Drôme**, there was a demand to use more confirmed and non-experimental methods when it was too risky. The risks in Drôme concerned the increase of mistrust of the citizens, the decrease of the credibility of SMRD and the elected members of the CLE or the fear of creating misunderstandings on the technical aspects of the watershed.

Besides, SMRD and Irstea had **different objectives** within SPARE: SMRD wanted operational and ready-to-use tools to allow participants to make concrete proposals for the future, while Irstea proposed first dedicated tools to make the participants think. Therefore, it was not primarily the result but the process that was important: to raise awareness of the complexity of public decision-making, to arbitrate between choices, to take into account different factors for example. Irstea also wanted to explore and test innovative methods. These different goals were not always compatible. As Irstea was present as an expert or observer or, sometimes, as a facilitator in some citizens' meetings, the participants were able to feel this tension.

The tests of **SMAG and My River kit** in PCS and other case studies are detailed in two reports: "DT1.1.1 - Self-Modelling for Assessing Governance (SMAG), Guidelines & Report" and DT 1.4.1 – My River kit, Guidelines & Report.

Some PCSs developed other tools. Especially, in **Steyr**, the participants of the Rep. Group tested a **new participatory method to rate and value eco system services** of the river Steyr. The aim of the method was to provide a visualization for the perceived importance of ecosystem services by local stakeholders instead of applying scientific methods of assigning economic or social value to specific ecosystem services (Figure 27). This voting and evaluation game were useful to avoid prominence of some participants, more willing to speak up in front of the groups than others, and to have a better view of the whole group opinion. The "fishbowl conversation"[2] was another tool used by the facilitator in the Steyr Rep. Group meetings. It was used for example to raise the most pressing topics regarding ESS among the participants.

[2] "Fishbowl conversation" is a suitable discussion method for larger groups: 8 chairs were arranged in an inner circle. The remaining chairs were arranged in concentric circles outside this "fishbowl". A few participants were selected to fill the chairs in the inner circle while the rest of the participants sat on the chairs outside. The rule was for discussion between participants only taking place in the inner circle while the audience outside listens. One chair in the inner circle was left empty. The intention of this empty chair was that any member of the audience can, at any time, occupy this empty chair and join the discussion in the inner circle. The discussion thus continues with participants frequently entering and leaving the inner circle.

Figure 27 – Picture of participatory exercise to rate ESS in Steyr PCS (source: Report "Documentation and Evaluation of the Participatory Process in PCS Upper Austria – River Steyr", D.T1.3.2)

The Steyr **online survey**, as the online Cooplan survey in **Drôme**, was another attempt to reach more participants, and to get a better representation of the whole population of the river basin.

With regard to the Cooplan online method in the **Drôme** PCS, it provided a significant number of contributions (130) with a common structure, demonstrating the efficiency of such simple collection. However, it appeared sometimes difficult for the participants to formulate concrete proposals for actions and not only general goals. The organization of physical meetings allowed the development, completion and improvement of these proposals, with the presence of technical experts from the SMRD. Thus, for a part, the propositions of actions could be made more concrete and operational. In addition, the way in which the method was configured generated a large amount of information that the SMRD found long and difficult to process, analyse and report. This is part of the margins of improvement of the method.

Key lessons learned

Individual questionnaires at the beginning or during the process can be useful for M&E (initial and final perceptions, knowledge and practices) but also as a tool for both awareness raising and knowledge transfer and stakeholder's enrolment. In general, individual phases lead to elicitation of personal perspectives, prior to constructive deliberation building.

One should clarify the **purpose of each step and propose tools and methods accordingly**. Some of tools are designed to raise awareness, encourage discussion and raise new questions among participants. Other tools aim primarily at producing operational results such as a list of proposed actions, a prioritization of choices, etc. These objectives and the choice of tools must be clear and accepted by all participants to avoid frustration with the results achieved.

Some **confirmed methods are necessary**, instead or complementary to experimental tools, when the **situation seems too committed** and political risks estimated too heavy.

Difficulties faced by the process manager and facilitators raise the issue of a better calculation and display, in the guidelines, of **the human resources, the skills and the time necessary** for the appropriation, the organization and the implementation of participatory tools and methods, taking into account also the tasks of **analysing the data collected, summarizing the results and writing pedagogical summaries for the citizens.**

Innovation with efficient but different tools require a **real investment in initial training, appropriation and transfer**. Process managers and facilitators need to be aware of this.

Monitoring and evaluation

Reminder of methodological guidelines initially provided by WP T1

Monitoring and evaluation (M&E) is too often considered at the end of a process or project as a tool for controlling what has been done. We have a different vision of M&E, as a tool to support decisions and to know what we are doing. It aims to guide a participatory process and collect information about the participatory process itself in what context it is implemented and what are its impacts. M&E helps to know where we stand (ex-ante situation), to decide what we want to get (the objectives), to decide how to get there (the process), to know whether we are on the right path (formative evaluation) and also to know when the objectives have been reached (summative evaluation).

There are two specific aspects regarding the monitoring and evaluation (M&E) of participatory processes in the PCS.

- A **transversal M&E** which is similar for all PCSs, and answers questions like who / when / where some people have participated, what is the institutional context of participatory processes in each PCS and what are the main impacts (Table 10).

Table 10 - Indicators to be monitored and evaluated

	Context	Process	Impacts
Indicators to be monitored and evaluated	• Social-environmental issue at stake • Institutional decision-making process in which the PP takes place • Initiator of the participatory process • Other project carried out in the territory in parallel with SPARE • „usual“ participatory approach in river management and planning in the PCS • Other factors which influenced the participatory process on the way • Previous participatory processes or attempts in the PCS	• Participatory process objectives • Summary of the participatory process • Process Manager • Facilitator(s) • Who prepared/designed/ engineered the participatory process? • Role and composition of the Pilot group • Role and composition of the Representative group • Representativeness of the people involved in the PCS • Who pays for participation • initial expectations of participants • Initial Perception PCS 6 & videos • How innovative has the participatory process been? • overall budget used for the participatory process • Participatory tools and methods used	• Main outputs • Impacts on participants • Expectations met • Willingness to organize / participate in future participatory processes • Autonomous dynamics among participants • Impact on actions • Social scale • Spatial extent
Methods & tools	Questionnaires, events monitoring, attendance lists for sessions, expectations in sessions, photos & videos of events, minutes of participatory events, sessions' evaluation form, interviews, session observation, external evaluator analysis, interviews		

- In addition to this transversal M&E, PCSs could explore **specific M&E questions** that were of concern to them, regarding impacts. Cf paragraph bellow on Outputs, outcomes & impacts, for more details.

Since SPARE EU reporting is already quite burdensome, the objective of the M&E here was to be adapted to PCSs expectations and needs.

For more details, see: D1.3.1 Report "Guideline on monitoring and evaluation methods for Local Capacity in River Protection and Management".

Description of the way these guidelines have been implemented in each PCS

Drôme and **Steyr** discussed the framing of the M&E with the Pilot Group. Drôme also did it with the Rep. Group, and then facilitators implemented it. In **Steyr**, the facilitator had the skill and time to do it. In Drôme, the facilitator received additional support from Irstea researchers and interns.

In other PCSs, the facilitator implemented some of the M&E tools suggested by Irstea but did not deepen the reflection on M&E, especially because they were not advanced enough in the participatory process (mainly for external reasons). In **Soča**, initial data was not collected at the beginning of the project and could not be compared later in the process. Thus, it was a constraint of calendar, but also of time and human means. In **Dora Baltea**, the process manager plan to tackle with M&E results during the during a workshop planned in November 2018 when results will be presented to participants. In **Inn**, M&E activities are planned in the third phase of the IRBM project, after SPARE duration.

Overall, if **participatory events and participation (ie the "process") were fairly well monitored** (Table 11), few M&E tools were implemented by the PCSs for **the evaluation of outcomes and impacts** (see section below).

Table 11 – Monitoring & evaluation methods implemented in each PCS

	Dora Baltea	Drôme	Inn - Engadine	Soča	Steyr
Monitoring and evaluation M&E methods used BY ALL PCS	• Minutes of participatory events, photos and videos • Interviews with facilitator(s), manager(s) • Interviews (video or not) with participants (citizens, stakeholders, elective representatives,..) • Word template reports • PCS sessions in partners meetings • Monitoring of events (SPARE events; spreadsheet; PPT) • Monitoring of participation (in Pilot Group, Rep. Group, other) based on attendance sheets				
Other monitoring and evaluation tools used	• Questionnaire PCS 6 • Questionnaires at the end of face-to-face meetings	• Questionnaire PCS 6 • Questionnaires at the end of each event • Observation of event	• Observation of event	• Questionnaire PCS 6	• Observation of the events • Feedback form at the end of Rep Group meetings

In **Dora Baltea**, a questionnaire has been distributed to participants during the face-to-face meetings. 33 participants attended one of the meetings and received the questionnaire, but only 32 of them filled in it. Detailed results of this evaluation are in Report D321 "Face-to-face meetings with stakeholders, feedback collection results, PCS Dora Baltea river"). However, the facilitator noted that he lacked lack a social and/or environmental anthropology background to fully understand the factors that condition participants' attitudes toward water use and management.

In **Drôme**, during the 1st Rep. Group meeting on the 3rd and 4th of December 2016, the participants were able to discuss about M&E as it was one of the stages mentioned in the PrePar methodology. However, participants expressed difficulty in discussing the M&E of participation while the participation plan had not yet been finalized. On the other hand, they highlighted the very strong link between participatory diagnosis and initial M&E. The framing of monitoring and evaluation was on the agenda of several meetings of the Pilot Group but was never really addressed due to lack of time but also a lack of specific training on this subject. An ad-hoc participatory monitoring and evaluation group was therefore formed, composed of members of the voluntary representative group. This group met two times: the first time on 24th of April 2017 (11 participants) to frame the monitoring and evaluation objectives and indicators; the second meeting on the 11th of July 2017 (5 participants) to discuss methodological proposals made by Irstea on the basis of the initial framework, to present the initial results of the monitoring-evaluation of the participation engineering phase and to validate the implementation of participative action monitoring sheets. In addition,

several researchers from Irstea made some observations of all the participatory events, video interviews of participants and an intern also made a dozen of interviews of participants.

In **Steyr**, M&E has been a shared task of the Process Manager, of the Pilot Group and a local evaluator appointed by the facilitator Tatwort. Methods used for M&E included observation (eg. photographs) and audio recordings of discussions. The process has been documented with detailed minutes of meetings and phone interviews done by Tatwort's evaluator. Attendance lists have been kept for all meetings. Furthermore, to collect information from individuals, 11 interviews (videos) have been done with stakeholders throughout the process. For all telephone interviews, details protocols has been kept.. Polling exercises and feedback questionnaires have been used as M&E tools throughout the Rep. Group meetings (a total of 25 questionnaires for the 5 Rep. group meetings). M&E results are shared with SPARE partners and are available for the Pilot Group and Rep. Group. (Source: Report "Documentation and evaluation of the Participatory Process in PCS Upper Austria- Steyr River, DT132).

PCS sessions dedicated to monitoring and evaluation were organised in each partner meetings and during the 2nd workshop on participatory methods. These sessions allowed **reflexivity among facilitators and process managers** on the progress of the participatory process, the achievement of the objectives and the evaluation of its results and effects. This could complement but not replace a more rigorous M&E analysis, based on the collection of data from the participants (observation, questionnaire, surveys, etc.).

Key lessons learned

M&E is an absolute requisite for quality enhancement of processes. But, still, it appears to be secondary for many partners who focus on their primary action plan.

The definition of the M&E objectives and tasks can be done **after the definition of the participatory plan**, when participatory goals and activities and are sufficiently specified. But it can also serve from the beginning to enlighten the aims, the conditions and assets, and thereafter prepare the participation plan by guiding its design. Intertwining of the M&E actions in the participation can be strengthened

For rigorous evaluation, some data collection should be mandatory, and they should be collected throughout the process. These include, in particular, data characterizing the various **participatory activities** (date, place, purpose, etc.) and **participants**, but also the **human and financial resources** used for each participatory activity or the **means of communication** used.

Roles and responsibility for M&E must be clearly allocated to some specific persons, even contracted therefore. They can become really responsible for delivery and quality. This is similar to the role of external auditing structures.

Few links have been made between the M&E of participatory processes and the technical and financial reports of the SPARE project. Monitoring and evaluation tools were not used for reporting and, conversely, we could not use EmS financial data to assess budget allocation for participatory activities. Because these two types of tasks are time consuming for process managers and facilitators, they could be better coupled.

Collecting and analysis data collected through the M&E required some **social sciences skills** that local stakeholders did not already had. Processes must plan such skills or at least sufficient training.

Coaching

Reminder of methodological guidelines initially provided by WP T1

The participation advisor or "coach" is in charge of supporting the manager and the facilitator in co-designing and steering the participatory process and its evaluation. More precisely, the participation advisor does:

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

The participation advisor does NOT intervene directly locally, implement the participatory and evaluation processes nor he translates the guidelines in local languages.

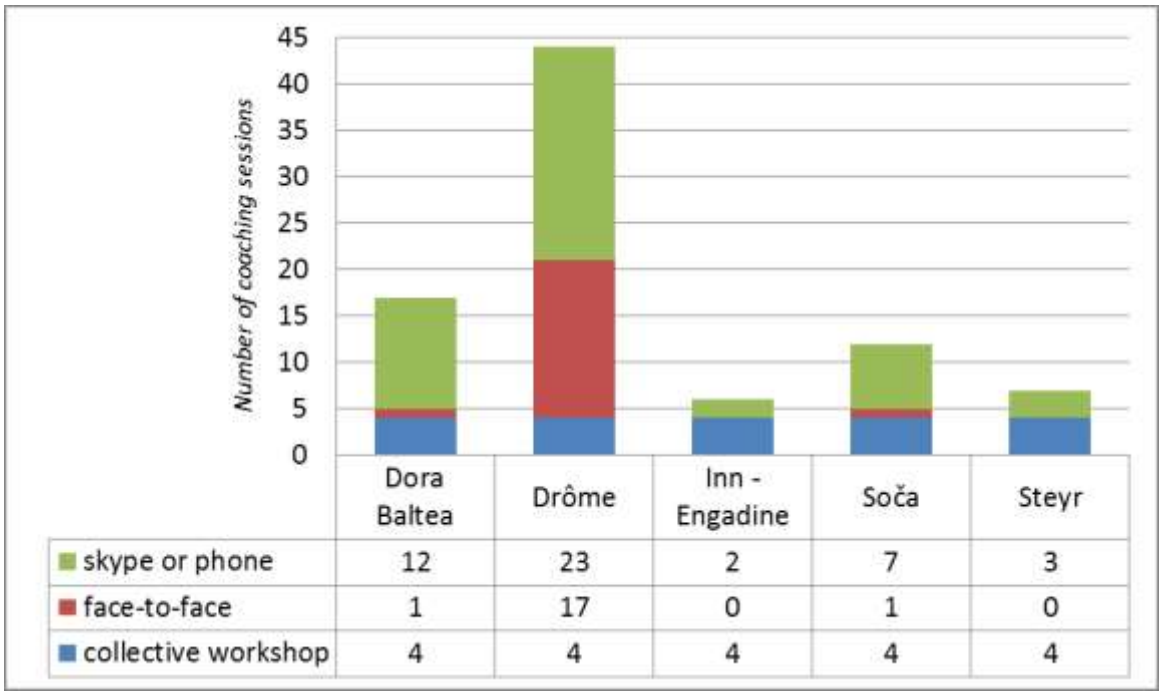
For more details, refer to D.T1.2.2 Report "Accompanying the PCS participation process through coaching sessions" - & D 2.1.2 Report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS").

Description of the way these guidelines have been implemented in each PCS

Two training workshops on advanced participatory methods & adaptive governance processes for river protection & management were organised by Irstea for process manager and facilitators, in France and Slovenia, in July 2016 and November 2017. They were initially planned for 5 full-days each. As most of the process managers and facilitators of PCS were note able to attend to such a long time, the two workshop were reduced to 3,5 days for the first one, and 1,5 day for the second (Cf Report : "Workshops on advanced participatory methods & adaptive governance processes for River protection & management - D.T.1.1.3").

Besides, coaching was organized in sessions and adapted to the needs of each PCS. Various means were used for the coaching including, but not limited to; meetings, emailing, phone, Skype, documents, distant monitoring and local session support.

The coaching was much more developed in a PCS: Drôme, with 44 sessions, while other PCS have benefited from 6 to 17 sessions (Figure 28). This can be explained for two main reasons. First, **Drôme** is the only PCS who has fully implemented the participatory process as suggested in the guidelines. Drôme was also the first one to initiate the process, to test innovative methods and tools designed by Irstea. This experimental phase required additional support. Secondly, because of the geographical proximity, it was easier or Irstea to be regularly present on site. The Drôme PCS also asked for much more support than expected in the original guidelines. Several Irstea participation advisers eventually intervened directly in the Drôme PCS, sometimes to facilitate the groups, and especially to support the data processing. This seemed necessary because local human resources were not sufficient.



	Dora Baltea	Drôme	Inn - Engadine	Soča	Steyr
skype or phone	12	23	2	7	3
face-to-face	1	17	0	1	0
collective workshop	4	4	4	4	4

Figure 28 – Number and type of coaching activities in each PCS (coaching during the Youth Camp in Inn is not included in this figure)

The coaching activities were mainly developed in the first two years of the project for the preparation of participatory processes, except in the Drôme PCS where support was also needed for the implementation of the process, which lasted until May 2018 (Figure 29).

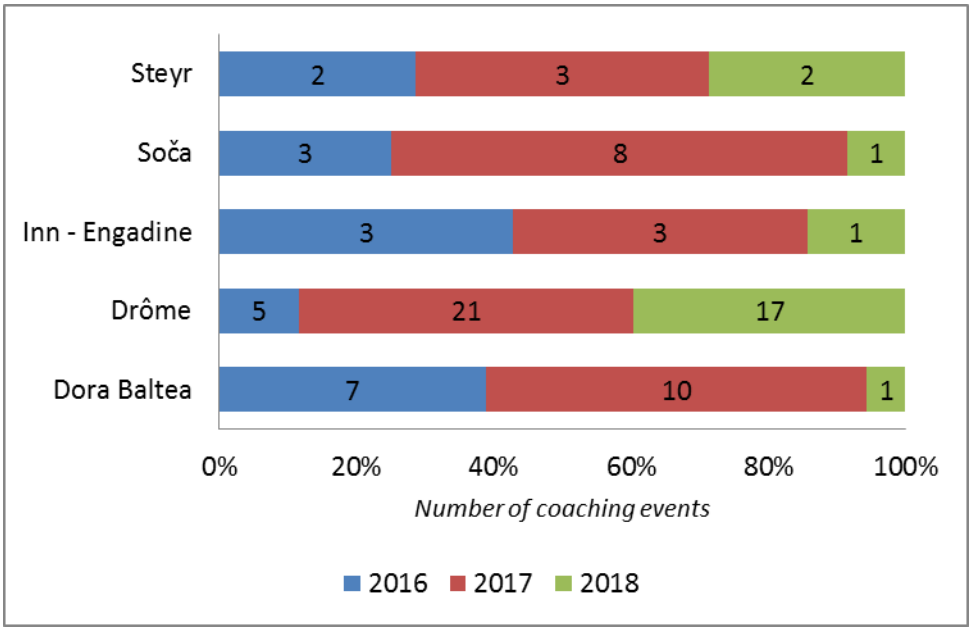


Figure 29 –Distribution of coaching activities in each PCS during the SPARE project duration

Key lessons learned

The participation advisor was to provide methods, training, guidelines and coaching sessions, but **did not intervene directly** locally to implement these methods. This can be called "second level support": accompanying facilitators who accompany participation among participants. In one PCS, the participation advisor went beyond this role and finally intervened directly. This created a lot of confusion among the participants and should be avoided.

There are **different strategies of "second level support"** of participatory processes (Figure 30). They can be positioned on three axes: one linked to the tools and methods provided to involve the participants (more or less adaptable), the other linked to the objective of participation (equality of chances versus empowerment of the weakest) and the last linked to the ethics of facilitation (neutrality versus reflexivity). These three types of transfer are neither partitioned nor exhaustive. For example, the participatory tools used may have an ethics and ethics that are not necessarily neutral and thus contribute, even indirectly, to the empowerment or inability of participants. It is therefore important for advisors and facilitators to be aware of the underlying effects of their strategic choices of empowering the weak.

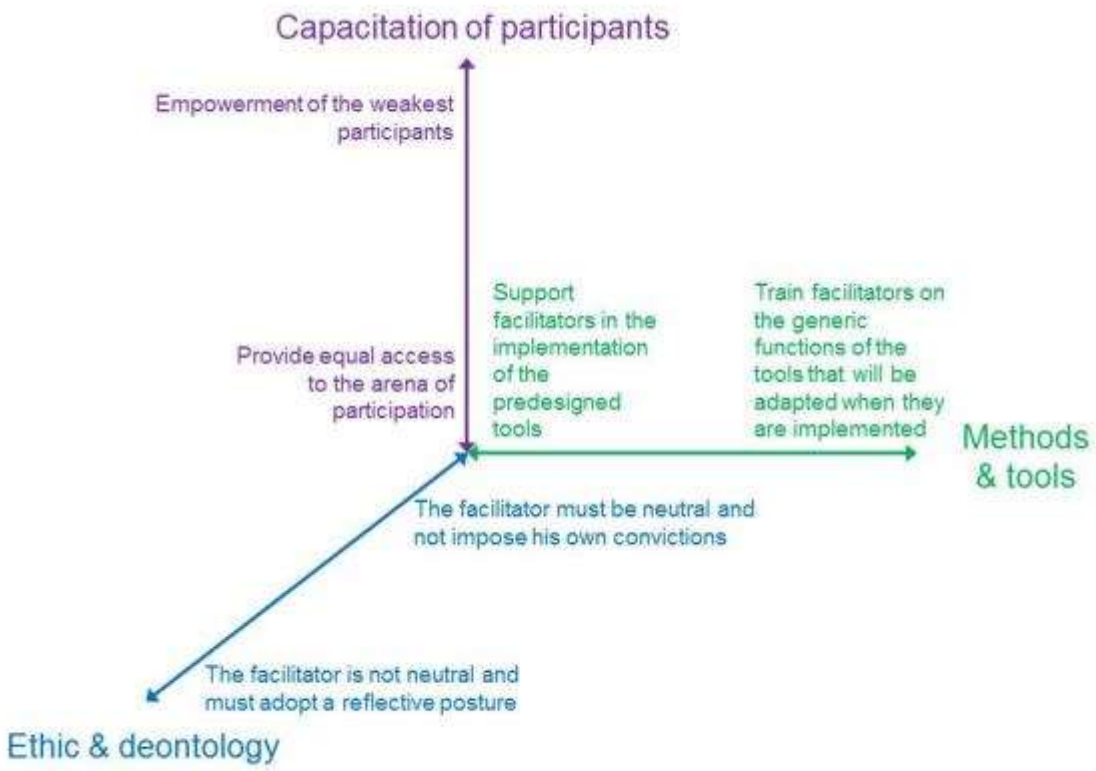


Figure 30 - Different strategies of "second level support" of participatory processes (Hassenforder, E., Loudin, S., Ferrand, N., Garin, P., Girard, S., 2018).

Budget dedicated to participatory processes

No specific guideline was provided to monitor budget dedicated to participatory processes in PCS. Nevertheless, we tried to estimate it through a n inventory of expenses, adapted from Involve (2005) ("The true costs of public participation", www.involve.org.uk/wp-content/uploads/2011/03/True-Costs-Full-Report2.pdf). Only the expenses of the five first periods of the project have been estimated but they contain the main part of the budget.

Regarding the **origins of funding**, they depended mainly on the EU's Interreg fund in 4 of the 5 PCS (Table 12). Additional funding came from the organizations of the Process Managers and/or facilitators: ARPA and Local regional government in **Dora Baltea**, SMRD in **Drôme**, the Office of Upper Austria in **Steyr**. In **Soča**, additional funding was provided by the IzVRS National Institute, the Soča River Foundation not being a project partner. This has caused difficulties in developing participatory activities in this PCS.

In **Inn**, in the first instance, public participation was financed by PTE and WWF. The project Integrated River Basin Management (IRBM Inn) was co-financed by the FOEN (Federal Office for the Environment) as it was a pilot case study of the Canton of Grison. The canton bore the costs for their inputs and attendance at meetings, etc. PTE had to bear the rest of the costs (approx. 50%). Due to the SPARE project, the funding of FOEN was easier to get without the higher involvement of the cantonal office.

Table 12- Budget for participation in each PCS

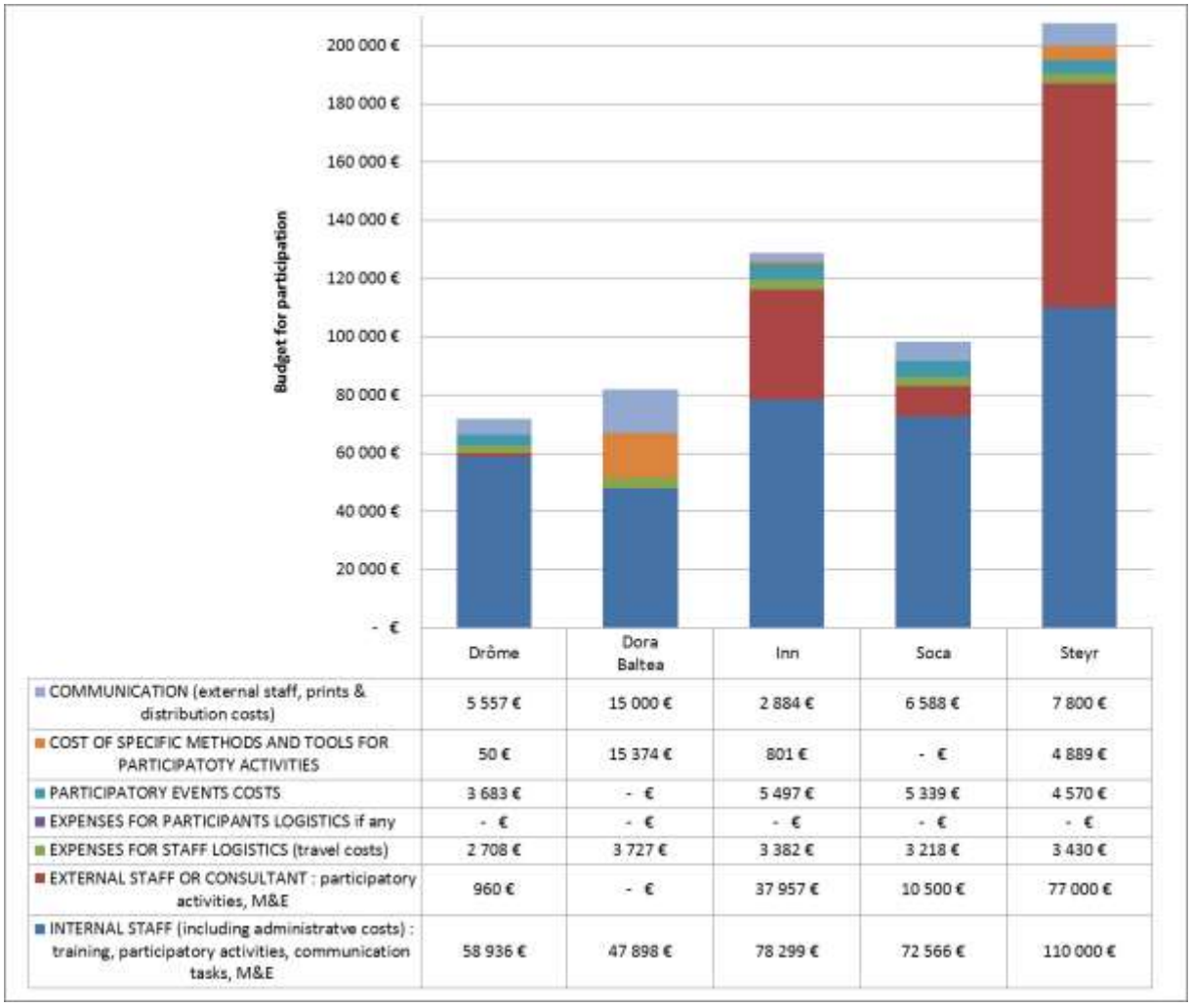
	Dora Baltea	Drôme	Inn	Soča	Steyr
Who paid for participation?	UE Interreg SPARE Project for all SPARE activities (about 75%) ARPA (about 25%) Local regional government for the part of the participatory process included in the official PTA revision (hosting seminars, workshops and 75 % of face to face meetings)	UE Interreg SPARE Project (85%) SMRD, (15%)	PTE (50%) WWF (10 %) FOEN (Federal Office for the Environment) (30 %) Canton of Grison (for their attendance costs only)	UE Interreg SPARE Project (85%) IzVRS – national financing (15%)	UE Interreg SPARE Project (45%) Office of Upper Austria's Government (55%, including additional costs of participatory process and internal staff costs)
Estimate budget spent for participation	71 895 €	82 000 €	50.000 €	98 211 €	207 689 €
Was the budget enough for participation?	Yes	Yes	No	No : SRF missed some means as it was not an official partner	No : need of 17.000 € more than initially calculated

In the PCSs, funding covered staff costs of the facilitator, part of the process manager's staff costs, training and costs of partner meetings (room, catering, travel, etc.) required by the SPARE project. It also covered the costs of participatory public meetings (rooms, food ...) including communication costs (Figure 31 ; Figure 32).

Overall, **budget dedicated to participatory processes was high** in all PCS, and not proportional to the number of participatory events neither to the number of participant. It was between 72.000€ and 98.000€ in **Dora Baltea**, **Drôme** and **Soča**, and more in **Inn** (128.820€) and **Steyr** (207.700 €), linked to the high cost of internal staff. In all PCS, the

highest expense is for staff whether internal or external, between 58 % to 90% of the total budget, depending on the PCS.

The estimate staff time dedicated to participatory processes was: 370 days in **Dora Baltea**, 288 days in **Drôme**, 100 days in **Inn** and 240 days in **Steyr**. No data are available for Soča. **Drôme** PCS also estimate the volunteer citizen participation around 711 days and **Soča** PCS around 25 hours.



	Drôme	Dora Baltea	Inn	Soca	Steyr
COMMUNICATION (external staff, prints & distribution costs)	5 557 €	15 000 €	2 884 €	6 588 €	7 800 €
COST OF SPECIFIC METHODS AND TOOLS FOR PARTICIPATOTY ACTIVITIES	50 €	15 374 €	801 €	- €	4 889 €
PARTICIPATORY EVENTS COSTS	3 683 €	- €	5 497 €	5 339 €	4 570 €
EXPENSES FOR PARTICIPANTS LOGISTICS if any	- €	- €	- €	- €	- €
EXPENSES FOR STAFF LOGISTICS (travel costs)	2 708 €	3 727 €	3 382 €	3 218 €	3 430 €
EXTERNAL STAFF OR CONSULTANT : participatory activities, M&E	960 €	- €	37 957 €	10 500 €	77 000 €
INTERNAL STAFF (including administratve costs) : training, participatory activities, communication tasks, M&E	58 936 €	47 898 €	78 299 €	72 566 €	110 000 €

Figure 31 - Detailed budget for participation in each PCS (budget has been calculated only for the five first periods of the SPARE Project)

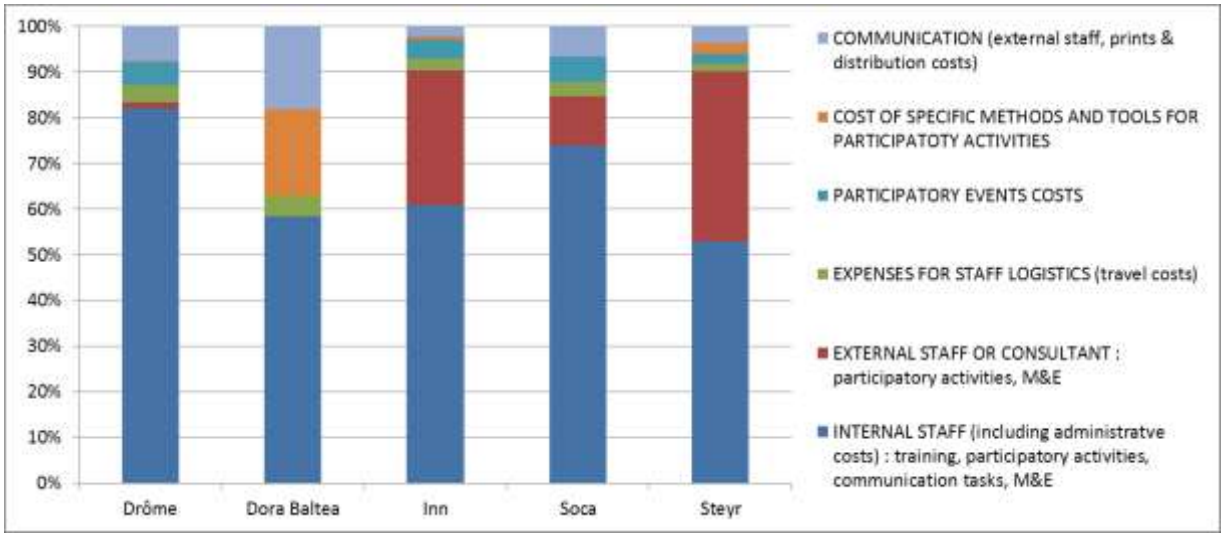


Figure 32 – Type of costs for participation in each PCS (budget has been calculated only for the five first periods of the SPARE Project)

Apart from **Dora Baltea** and **Drôme**, **Inn, Soča** and **Steyr** PCSs considered that the **funding was not sufficient** for the implementation of the participatory process provided for in the SPARE project. However, the Drôme process manager noted that more budget could have been spent on the **communication** task toward participants.

The main problem for all PCCs is the **heavy reliance on EU funding** to pursue a participatory process, especially for internal or external staff costs.

In **Steyr**, the participatory process finished in June 2018 with the last Rep. Group meeting and results will be used to focus future projects and be considered in future planning. On the other hand, in **Drôme**, they are willing to pursue a participatory process, but the question of human and financial resources is still the subject of discussions between decision-makers. In **Inn**, the Process Manager wants to continue. The funding will be partly from the municipalities and some other funds from other foundations and the cantonal office is expected. The budget will be approximately 10.000 € for one year. In **Soča**, SRF will continue with participatory activities in the future, and the funding for the activities should be covered by different funds.

Key lessons learned

Significant sums have been spent for participatory processes in each PCS, but these will be stopped at the end of the SPARE project. **PCSs rely heavily on external grants to maintain and develop participation** in river management and strategic planning.

For future international projects with many project partners, it is important to calculate additional budget for **coordination** between the project partners at the beginning of the project. It is also important to calculate additional budget for **monitoring and evaluation activities**, and **unexpected** events at the beginning of the process.

In none of the PCS, **citizens** were paid to participate to SPARE activities. Nevertheless, some lunches or collations have sometimes been offered during the break of meetings. In Drôme, there was some willingness to invite citizens to take part on local national or international SPARE meetings, but this had to be abandoned due to administrative constraints linked to EU financing procedure.

Again, time for serious training is required for facilitators, ensuring later sustainability of the process by autonomous steering of participation in the institutions.

A real participation leads often to a real mobilization of citizens who themselves will trigger the persistence of an inclusive and respectful dynamic. Ambiguous and incomplete procedures lead to citizens' frustration which in turn is a disincentive for participation. This can unfortunately be the hidden agenda when a real policy improvement is not expected.

OUPUTS, OUCOMES & IMPACTS OF PARTICIPATORY PROCESSES

Reminder of methodological guidelines

"Impact" generally refers to the changes directly, or rather indirectly, induced by the implementation of the project's interventions with and for participants. Measuring it is a requirement to assess the actual "value" of the process, which has been implemented and funded by European Interreg programme.

These changes can expand in different dimensions, through the "ENCORE" analytical framework:

- ***External***: changes observed outside the working groups (the "participants") on the environment or other citizens. Usually these changes can be observed, but causal attribution (proving that this change is due to an internal project's process) is difficult. Some participants can claim that there is a direct link but analytically proving it requires protocols, which are extremely difficult to implement.
- ***Normative***: changes in values (in social terms), norms, preferences among participants;
- ***Cognitive***: changes in knowledge, belief, cognition, among participants;
- ***Operational***: changes in participants' actual practices, observed behaviors, ways of doing;
- ***Relational***: changes in participants' social relationships, like dialogues on related topics, trust, mutual recognition;
- ***Equity***: changes in distribution of resources (material, like water or land, or immaterial, like voicing capacity, satisfaction) among participants, refers to social justice.

Monitoring impacts has a timeframe of which choice is constrained by intrinsic contradictions. Short term (after) measurement provides low-"polluted" results as the process still occupies a large part of the functional, cultural and political spectrum – but the persistence of the change is very questionable. Longer-term assessment can demonstrate more robust impacts and stable changes, but attributing them to the engineered process is very questionable, as several other factors may have influenced meanwhile.

Measuring changes requires obviously being able to compare between an initial reference situation and the currently observed. Therefore, 3 techniques exist: (1) a longitudinal analysis where for the observed group an ex-ante (before) assessment can be made, compared with others, one or more, later (ex-post) assessment; (2) a statistical analysis using only an ex-ante assessment for the target group, with a comparison made with pre-existing statistical data on the general population; (3) an inter-comparison between the target group and other persons from the same population, who have not participated and preferably have had no links with the target group, or its surrounding impact.

For more details, refer to D 1.3.1 Report "Guideline on monitoring and evaluation methods for "Local Capacity in River Protection and Management" or to the MOOC "¨Participatory methods, tools and protocols to support stakeholders to discuss, negotiate and engage in change strategies in socio-environmental systems" ; section Monitoring and Evaluation : https://spare.boku.ac.at/index.php/en/get-informed

During the first and second training workshops, PCS partners were able to identify what they would like to monitor and evaluate in regards to their participatory processes. Most of the issues of interest listed by PCS partners concerned targeted impacts and outcomes. Partners also listed possible indicators (Table 13).

Table 13 - M&E objectives and indicators related to outputs, outcomes & impacts, identified by each PCS *(source: Training workshop, Ljubljana, sept. 2017 ; WPT1 Deliverable 1.3.1 Report "Guideline on monitoring and evaluation methods for "Local Capacity in River Protection and Management").*

	Dora Baltea	Drôme	Inn	Soča	Steyr
Participation objectives related to the M& E of impacts, outcomes & outputs	Make local communities aware of water withdrawals Planning withdrawal rules updating Make aware stakeholder about need and importance of involving local communities in withdrawal proposal and management	Include citizen in the waters scheme (SAGE) revision. Collect citizen visions for now and future ; Collect citizen topics ; identify forgotten topics or stakeholder Raise awareness Develop a common objective of the territory	Raising awareness within the population Empowerment and Financial support of groups of youths	Build an interest among participants Selection of activities for the river Implementation of activities for the river	Framing of the public participation process Stakeholder analysis : perception of different stakeholders on water management practices Analysis of the perception of different stakeholders on ESS Make interests and conflicts over the use of water visible Elicit and share development objectives for water management Increased awareness of the Rep G about multiple types of ESS of the river Steyr Increased awareness of the general population about all types of ESS of the river Steyr Inputs on the respective ESS from stakeholders Evaluation/weighing of different ESS
Indicators to be monitored and evaluated	Number of local communities aware Who are these local communities Number of inhabitants informed (objective 150.000 inhabitants) Awareness of withdrawals rules New suggestions for withdrawal rules	Plan include inputs from citizens' perspective Territorial identity based on river basin (reinforce) Solutions to resolve problems at watershed scale Synthesis of citizens' visions and expectations Communication of this synthesis New breath Consequences of involving citizens	Political legitimation of participation process in the whole basin Possibility for communities to bring ideas to the Region Formal support of politicians to the support Number of participants in water days	to identify the level of awareness to increase interest of participant ; to know how to plan our participatory process in the future to define on what Soča River Foundation could operate	Number and content of telephone interviews Detailed reports (Local planning of participatory process in PCS ; Pre Assessment ; Current river management approach) Attendance lists Observations (e.g. photographs) Audio recordings of discussion Detailed minutes of meeting Number of produced or collected instances and content of: given information on ES ; inputs from stakeholders on ES ; polling exercises ; feedback questionnaires ; Interviews ; Newsletters; development objectives for water management ; press releases and published articles ; information packages on ESS in the survey ; evaluation/weighing of different ecosys. services

Based on this list of indicators (Table 13), Irstea proposed methods to monitor and evaluate six different impacts:

- Measuring Awareness of citizens and participants about the river catchment, its dynamic, ecosystem' services, the institutions and regulation rules, the project's dynamic.
- Measuring Interests / concerns / preferences about the river, the ecosystem services, actions and strategies.
- Measuring Feeling of identity or attachment related to the river and its environment
- Measuring Communication and marketing influence of the media methods and tools used with the population
- Measuring Operations, practices, actually observed in relation with the project
- Measuring Social mood and interaction dynamic within relational networks, conflicts, trust.

Tools suggested were: questionnaires, cognitive and functional mapping, experiment, locate oneself on a geographical map, concepts attached to the place or river, hierarchies of attachments for given sets of place proposals, economic measurements, interviews and narratives, direct observation, direct and indirect declaration, external assessment and secondary impact monitoring, social network analysis, policy networks methods.

For more details, refer to D 1.3.1 Report "Guideline on monitoring and evaluation methods for "Local Capacity in River Protection and Management".

Description of the way these guidelines have been implemented in each PCS

If outputs are mentioned in the section below, fewer data was collected regarding outcomes and impacts. This is due to two main reasons:

- Outcomes and impacts are assessed over a longer time frame and this report was written in mid-2018 while some participatory processes were still ongoing;
- Few M&E methods suggested were finally used by PCSs to assess impacts, due either to the lack of social sciences expertise in each PCS group, to the lack of human means therefore, or to a limited recognition of the need for M&E.

Nevertheless, some outcomes and impacts could still be analysed, especially regarding changes generated by participatory processes on project partners and their organizations. These elements are mainly based on the analysis of:

- the perceptions of citizens about the river and participation through questionnaires (PCS6) and surveys
- the perceptions of Process Managers and facilitators of each PCS, stated by themselves, through:
    - 4 M&E sessions during partner meetings or training workshop (Aoste, 27/04/2017; Zernez, 04-05/10/2017; Ljubljana, 28/09/2017; Windischgarsten, 16/05/2018) ;
    - 7 videos interviews of facilitators or managers at the beginning and /or at the end of SPARE project (1 in Dora Baltea ; 2 in Drôme, 1 in Inn, 2 in Soča, 1 in Steyr);
    - 10 reports (2 for each PCS): D.T 3.2.1 & D.T 1.3.2 Report "Documentation / monitoring / evaluation of participatory processes and of experimental activities implemented in each PCS" ; D.T 3.3.1 Report "PCS evaluation: final river protection & management protocol"

We also used additional data's from:

- participants' questionnaires at the end of participatory events, in Drôme and Steyr;
- observation of these events, in Drôme ;
- face-to-face and video interviews of some participants in Drôme.

Outputs

The main outputs of each PCS are summarized in the following table.

Table 14 – Main outputs of the participatory processes in each PCS

	Dora Baltea	Drôme	Inn	Soča	Steyr
Participatory Process objectives (reminder)	Increase information and awareness of population and stakeholders regarding water withdrawals requests. Improve participation of local communities to water withdrawals management and planning	Experiment new forms of citizen participation to water management Enable citizens to make concrete proposals and present them to the local water committee (CLE) before the revision of the local water management plan (SAGE)	Establish an Integrated River Basin Management Plan. Inform citizens. Involvement and empowerment of young people ("ambassadors" for their rivers)	Involve participants / stakeholders and build on visibility and recognition of SFR Set priorities of objectives and activities for the river Implement activities for the river	Make visible the points of view of different stakeholders : make interests and conflicts over the use of water visible, offer a platform for conflicting actors to come together Together with stakeholders, evaluate multiple related ecosystem services (ESS) and create awareness Work on common development targets and sustainable perspectives for the region (balance protection and development needs)
Main outputs	1 technical report about informative standard List of water requests List of management and planning alternatives (withdrawals) List of Indicators to assess impact of withdrawals on rivers	1 participatory diagnosis (630 contributions) 1 list of citizen propositions of actions (189 propositions) 3 Action Plans 1 online forum 1 beta version of playing game on Drôme basin Answers to 78 questions asked by citizens	Common vision of the river basin (list of water needs) Definition of the main conflicts and the first steps in the integrated river basin management planning 21 Trained youth from Youth Camp	3 most feasible activities 14 suggestions from stakeholders on the new National law for navigation on inland waters	Stakeholder and citizens evaluation/ weighing of different ecosystem services Development goals for water management

Dora Baltea

In **Dora Baltea**, the main output is a **technical report with informative aim** ("from discharge monitoring to water withdrawal management alternatives") describing data flow to be adopted, indicators to be elaborated and Multi Criteria Analysis (MCA) to be used to assess withdrawals sustainability. Experimental assessment is already an official way to define withdrawal sustainability. This technical report has been amended with the comments and suggestions made by Rep. Group members during the face-to-face meetings. This **standard** has been defined for 61 hydropower and about 20 agricultural withdrawals

renovation and is currently being applied. It is formally named “experimental” and is legally endorsed by the old River Plan rules (2006).

However, the procedure to involve local communities has not been adopted so far and is not included in the PTA. Local communities’ role and rules have been discussed, but not approved, and still have to “labelled” as official in river planning revision. However, the standard do include a higher number of stakeholders (both public and private) than before SPARE.

The production of this informative standard with experts wasn’t planned at the beginning of SPARE project and it is clearly focused to Dora Baltea PCS circumstance. The facilitator notes that “ *By this experimentation in Dora Baltea, we were able to overpass (at least partially) the lack of strategic information and ensure reliable information access during participation of communities*”.

Figure 33 – Facsimile of a poster resuming the informative standard developed by ARPA VDA

Drôme

In **Drôme**, the main results are a **citizen diagnosis**, **a list of action proposals and 3 citizen action plans for the river**. These results are summarized and analysed in the local final report (“Rapport Final SPARE - Synthèse des résultats du projet SPARE”) and through thematic synthesis. They have been presented to the local water committee (07/11/2018) and at a public event (16/10/2018) (http://www.riviere-drome.fr/actualites/86-retours-sur-le-seminaire-de-restitution-du-projet-spare).They are also synthesized and illustrated in a booklet distributed to the public during the final local event. A report compiling all participants’ questions to experts is also available with answers from SMRD (http://www.riviere-drome.fr/documents-divers.php/).

The **citizen diagnosis** gathers 629 contributions from 164 different participants (see section PROCESS above for the detail of the data collection methods used). All the current topics of the local water management plan have been addressed, but with varying intensity. In the diagnosis, participants mainly spoke about water quality (50% of the contributions, mainly on

pollutions and waste), activities related to the river (mainly bathing) and the preservation of biodiversity and landscapes. This diagnosis also showed that citizens have expectations regarding transparency, information and awareness of residents on all water management issues. They also expect better bonds among the various stakeholders. The diagnosis also showed that citizens were largely unaware of SMRD's main ongoing projects, including one on ecological continuity of flood management.

I like **I do not like**

Figure 34 - Example of results from the citizen diagnosis in Drôme PCS: Word clouds on what participants "like "and "do not like" regarding the river

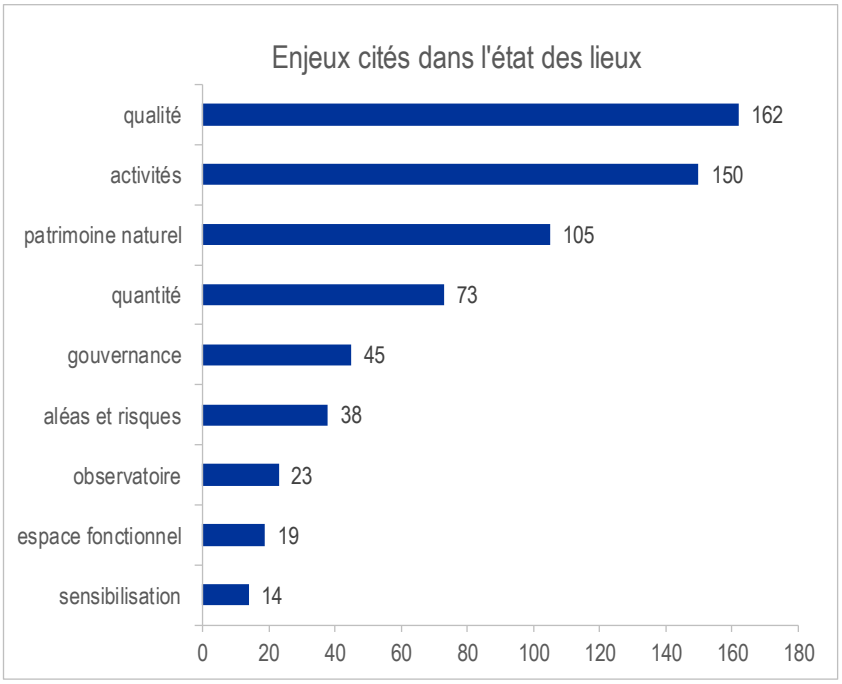


Figure 35 – Example of results from the citizen diagnosis in Drôme PCS: distribution of citizen contributions based on their main topics

The **list of citizen action proposals** gathers 189 contributions from 91 different participants (Figure 36). All the stakes of the current water management plan have been addressed and 65% of citizens' proposals are in fact already planned. This list highlighted the need to find compromises between the development of activities and the protection of ecosystems, such as around the issue of bathing sites or protected areas for nature. It should also be noted that while many action proposals focused on increasing citizen participation in river management, few of the action proposed were to be carried out by citizens. Participants essentially asked existing institutions to act and offered little to do on their own. The SMRD considers that empowering users is therefore a major challenge for the future.

SUMMARY OF RESULTS REGARDING DRÔME CITIZEN ACTION POPOSALS

25% of action proposals relate to governance. Among them, the majority of proposals concerns the introduction of new rules or taxes to regulate recreational activities and better protect the environment (eg canoe quota, verbalisation of beaver slaughter), as well as a strengthening of the control of existing rules, especially on water withdrawals, sanitation and accounting with planning documents. Participants also proposed, among other things, training and facilitation actions to support changes in users' practices, in particular water saving.

23% of the proposed actions relate to information and awareness. These proposals concern all issues or more targeted topics, such as the regulation activities, the preservation of biodiversity, water savings, river maintenance or water quality. The participants propose the implementation of new tools such as: the creation of an Internet site of information synthesizing the data on the water with an on-line cartography, the installation of information panels along the river, the realization of teaching guides and videos, the creation of a House of Nature or even workshops with the school public.

20% of the action proposals concern activities related to the river. Essentially, the proposals relate to the development of access sites to the river (parking, trash, toilets) and viewpoints for the observation of the landscape and the creation of pathways along the river (pedestrian, bicycle).

11% of the proposals concern the quantity of water. One third of the participants propose the creation of water reserve, another third to save domestic water and the last third of the proposals concern agricultural water saving.

11% of the proposals concern water quality, half of which concerns the reduction of waste, the cleaning of the banks, the depollution of certain sites.

6% of the proposals concern the preservation of biodiversity, 2% of them concern the observation of data on the river and 3% the maintenance of rivers.

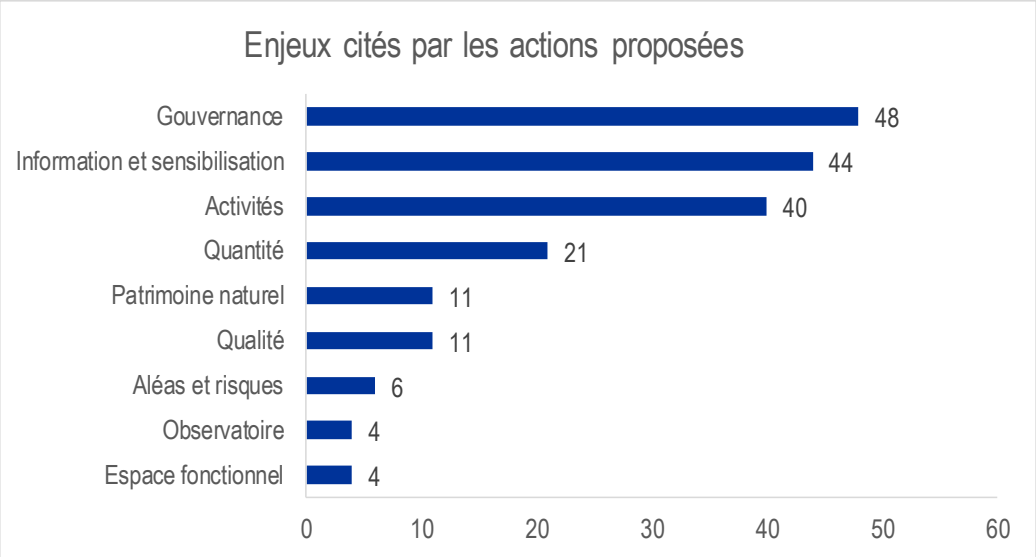


Figure 36 – Summary of the results from the citizen action proposals in Drôme PCS: distribution and content of proposals based on their main topics

Furthermore, based on these action proposals, 11 citizens jointly built three **different action plans**. Figure 37 shows one of these three plans. These action plans are not intended to be implemented, but they had a pedagogical purpose and will be transferred to the Local Water Committee for consideration. Indeed, participants estimated the resources and impacts of action proposals and the plans, but these estimations were not verified by experts. In addition, few participants contributed. However, this method allowed the 11 participants to better understand the complexity of strategic planning. They selected actions, organized them in space and time and checked the coherence, feasibility and effectiveness of their action plan. The observation of the meeting and the feedback forms showed that thanks to this exercise participants realized the limited resources of their territory for water

management. Political support and financial means emerged as the most restrictive resources for carrying out the actions they had proposed.

Figure 37 - Example of results in Drôme PCS: one of the 3 action plan made by citizens

Inn

In **Inn,** the main result is a "common vision" developed by the participants in the process. This vision is "to maintain or develop the Inn River and its basin in an almost natural character where men and the biosphere live in a sustainable equilibrium" (Inn Faciliator). The following figure shows the three pillars of integrated water management to consider. This vision has been validated by all stakeholders and from the conference of presidents.

Figure 38 – Common vision on Inn PCS: the 3 pillars of the IRBM

Moreover, some action fields and possible synergies between sectors have been listed (See Figure 39). They were defined during the Rep Group meeting and further elaborated by the Pilot Group.

	Landwirt-schaft	Energie	Tourismus / Siedlung	Wasserversorgung	Ökologie
Landwirt-schaft		Konzessionen für Bewässerung Mehrfachnutzung	Priorisierung Wasser für Bewässerung	Konkurrenz-situation Trinkwasser-Bewässerung	Gewässerraum Schutzzonen
Energie	Wassernutzung im Sommer		Absprachen, Priorisierung	Mehrfachnutzung, Synergien	Restwasser Verbauungen Wärmepumpen
Tourismus / Siedlung	Konkurrenz in Hochsaison, Landschaft	Wassermenge im Fluss Landschaft		Saisonal abhängige Mengen	Wassermenge und hohe Qualität
Wasserversorgung	Einhaltung Schutzzonen, Gewässerraum, Wassersparend	Synergie nutzen	Saisonale Verfügbarkeit (Menge und Q)		Quellfassungen in sensiblen Gebieten
Ökologie	Entnahmen Einhaltung Restwasser, SchZ Qualität FM	Einhaltung Restwasser Dynamisierung Durchgängig	Saisonaler Verbrauch Versiegelung	Nutzung Quell-/Grund- und Seewasser	

Figure 39 – Example of output in Inn PCS: action fields, synergies within the defined most important sectors in the catchment area Inn

An information sheet has been prepared for each sector, describing initial situations, conflicts with other water uses and possible actions. The actions identified as the main priorities by the stakeholders were taken into account in the implementation measures plan. An example is shown in Figure 40.

Massnahme Nr.	Hauptsektor	Gewässer-ökologie / Massnahmen	Öffentliche Wasserver-sorgung (A)	Landwirt-schaft (B) Bewässerung	Energie, Wasserkraft (C)	Tourismus / Siedlung (D)
		Sektoren				
1	Alle	Organisation IEM in Region gründen				
2	A	Vorgehen zur Reaktion auf Trockenheitsbulletin				
3	A, B	Online Inventar Wasserentnahmen,-dargebot				
4	A	Quellen, Mineralquellen einbeziehen in WV (Schüttung)				
5	B	Wassersparende Bewässerung, Massnahmen Landwirtschaft				
6	A	Wasserteilungskonzept (Priorisierung)				
7		Kataster mit Be- und Entwässerungsleitungen				

Figure 40 - Extract of the measure plan for the integrated river basin management Inn

Soča

Three feasible activities were proposed by the Pilot Group, based on a preliminary shortlist of possible activities that could be carried out by the Soča River Foundation (Soča day Idrija 2016):

- National law for navigation on inland waters (organised participation of stakeholders as contribution to the process of law change)
- Definition of the system for co-financing of individual sewage treatment plants
- Green infrastructure – planning of cycling routes within river corridors

The first one was considered the most urgent and feasible, and the process manager decided to focus on it. A consultation of the Representative group and additional stakeholders was organized. The 14 responses were sent to the Ministry of infrastructure. The other two activities, on sewage treatment plants and green infrastructures could not be implemented in the timeframe of SPARE.

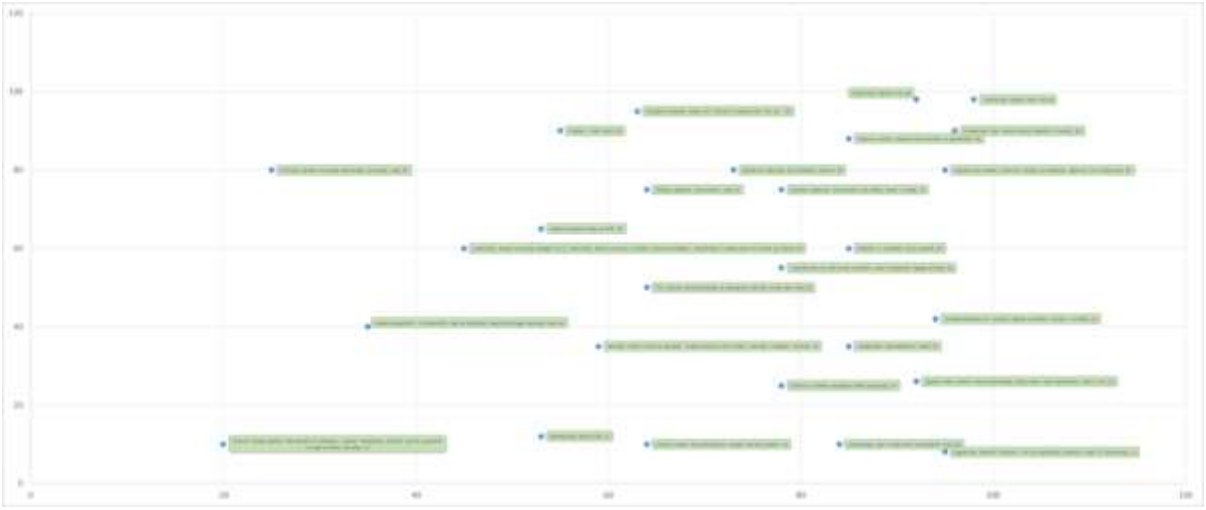


Figure 41 - Main output in Soča: Priorities and feasibility of activities in Soča PCS (CooPlan results)

Steyr

In **Steyr,** the main output was **the definition of development objectives to ensure sustainable management**. These objectives were defined during the participatory process, mainly through the online survey and Rep group discussions. These objectives represent topics that are of high relevance for citizens and stakeholders in the river catchment and that should be given more attention.

Regarding the online survey (called “Protect the river Steyr but also find ways for a low-impact utilization”), some results are presented on Figure 42 and Figure 43. 824 people participated in the survey, mainly inhabitants of the 12 communities of the pilot project region (inhabitants and employees of local companies) above the age of 16 years. The survey showed that people in the river catchment value the Steyr and its tributaries, especially for its precious nature, as a habitat for animals and plants (84 % of respondents). The second service that respondents valued as most important to them was the river potential for recreational activities, sport and health (81 %). The results also show how much the river is perceived as a unique “jewel” that needs to be maintained. Actions that have none or low-impact on the environment and the river are preferred. The results will be used as a basis for regional development and river management **(STEYR, IS IT POSSIBLE TO PRECISE HOW ?).**

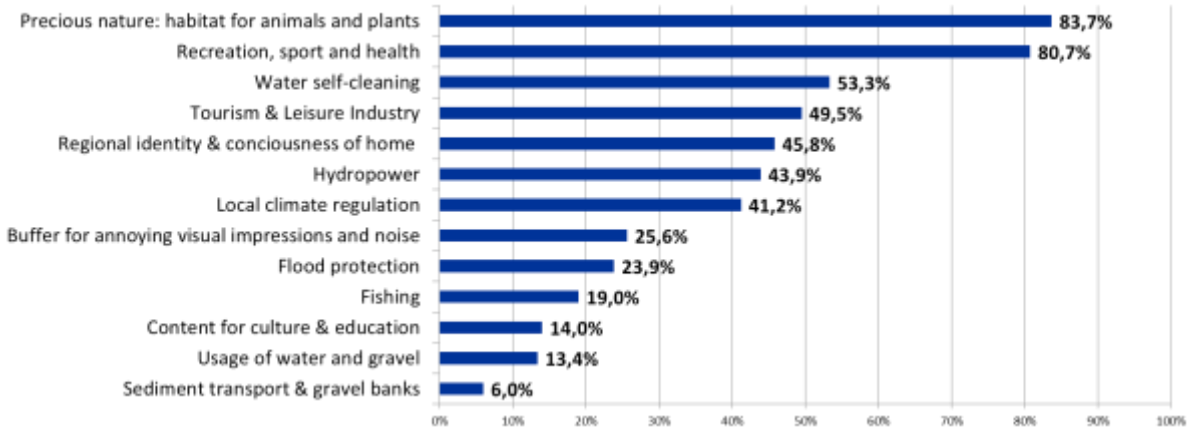


Figure 42 – Example of results from the online survey in Steyr: answers to the question "Which of the following ecosystem services is most relevant for you? (source : Report on global Survey in PCS Upper Austria: "Which development for the river Steyr and its tributaries?")

Press release, June 2018 - Results of the PCS online survey: "Protect the river Steyr but also find ways for a low-impact utilization" (http://www.alpine-space.eu/project-news-details/en/3921)

"The *population of the Steyr river basin favors local recreation opportunities and tourism in a „low-impact" form, such as hiking and bicycling (46,5 %). This is followed by a wish for the re-establishment of longitudinal connectivity of the rivers to allow passage for fish and other aquatic organisms (44,4 %). Obstructing features, such as river hydropower stations, would need to be rendered passable to attain this goal. An expansion of hydropower is favoured by only 14% of the respondents.*

Commitment to conservation laws but clear opinion on otters

A clear rebuff is given to an increase of activities that might endanger the environment in and around the river: The majority of respondents (51 %) wants to maintain the environmental and water protection regulations in their current form. More than a third of respondents (35,2 %) even wants to increase these regulations. Only 8,1 % advocate for a reduction of the current protective rules.

When it comes to the question of how to proceed with the increase of the otter population in the river catchment, however, a clear opinion was expressed that contradicts the otherwise distinct positioning for conservation: Half of the respondents (49,6 %) wants a containment of the otter population. Only 17,2 % advocates a strict protection of the species.

"Low impact" utilization

Human activities that do not conflict with environmental and water protection are preferred by the survey participants. When it comes to creating opportunities for recreation activities, 52,7 % of respondents selected the establishment of a continuous cycling path along the river Steyr as well as a hiking and walking path (50 %). 39,4 % of respondents want better access to the river bank and 31,3 % see a need for water playground areas. Regarding the development of touristic infrastructure, 42,6 % of respondents saw the need for increased and better signage and visitor guidance. 33 % argue for increasing the quality and quantity of catering and accommodation.

Survey results reflect general opinion of representative group

The survey results largely correspond with the ideas and wishes expressed by the stakeholders in the four preceding meetings of the "Representative Group" (RepG) of the SPARE Pilot Case Study in Upper Austria. The questions of the survey were developed based on the content and discussion points of the meetings where a group of 40-50 regional stakeholders participated.

The conflicts between nature conservationists and representatives of local politics and industry that appeared several times in the RepG-discussions were not reflected in the survey results. On the contrary, the local population seem to prefer those "uses" of the river (like hiking or cycling) that have less conflict potential with environmental protection.

Maintain the "treasure in front of our doors"

The survey gives a clear picture of the opinion of the population of the Steyr river catchment: The river and its tributaries are a jewel that they want to be preserved. The people clearly appreciate the beauty and the recreational value of the river in front of their doors. Over 60 % regularly spend their time at the river banks to take walks, for cycling, bathing etc. More than 90 % of the respondents rate the river and its tributaries as attractive for recreational activities.

Regarding development goals for the region, the increases in the area of local supply (eg. shops) – 39,6 % – and more employment opportunities for various qualifications – 37,3 % are ranked higher than an expansion of leisure facilities (30,5 %).

What's next?

The results of the survey were presented in a final meeting of the Representative Group on 12 June 2018. Together with the inputs, discussions and contacts from the 4 preceding meetings, they will serve as a basis for future planning, prioritization and implementing of regional development activities. Projects such as a continuous cycling path along the river Steyr and a better orchestration of "river highlights" that are currently being implemented see themselves confirmed in the survey results."

Figure 43 - Press release, June 2018 - Results of the PCS Steyr online survey: "Protect the river Steyr but also find ways for a low-impact utilization" (http://www.alpine-space.eu/project-news-details/en/3921)

Regarding the Rep. Group meetings: one of the main outputs is the idea for a for a water organisation for nature and tourism along the river Steyr and its tributaries. Another input is the weighing of ecosystem services in the Rep. Group. The results of the voting games done in the RepG are very similar to that of the Online Survey (Figure 44).

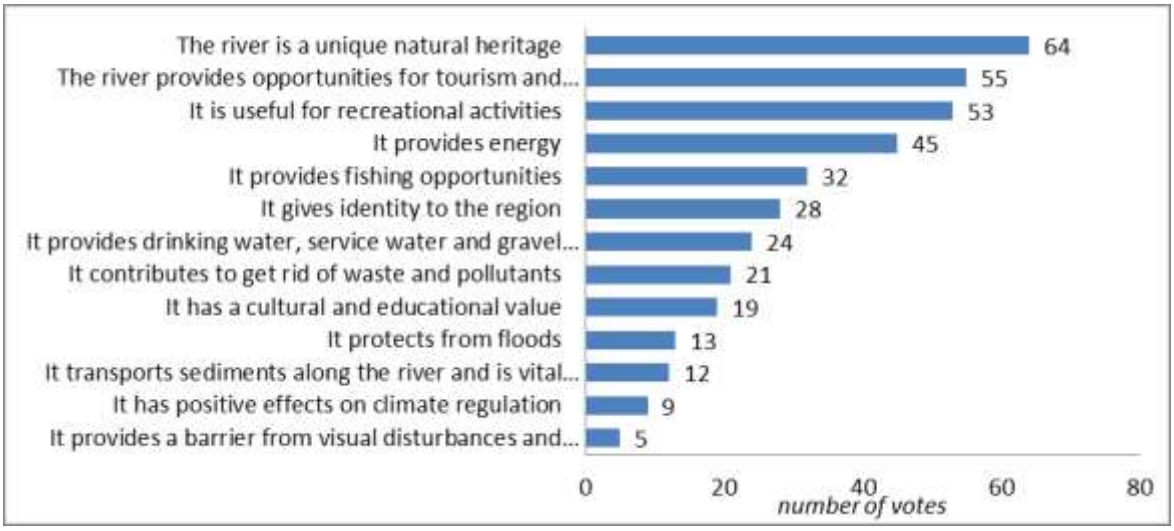


Figure 44 – Results of the voting game in the first Rep. Group meeting in Steyr (09/03/2017)

Key lessons learned

In conclusion, regarding the initial objectives, they were fully reached in two PCS, **Drôme** and **Steyr**, with some concrete proposals from citizens. They have been only partly achieved in the three others PCS.

In the two PCS where citizens were the most involved (**Drôme** and **Steyr**), the process managers claim that the participatory process involving citizens leads to results that would not have been the same if the exercises had only been carried out with the usual stakeholders. For example, in the case of **Drôme**, the subject of waste is not central in the Local Water Plan because there is little stake in terms river quality (WFD criteria). However it seemed like a real expectation of the citizens. Even if there are no legal obligations, the SMRD is thus very encouraged to work anyway on this subject. Likewise, a third of the proposed actions concern public information and governance issues. However, these topics are currently not considered as a priority by the local water committee and in the Local Water Management Plan. The future will demonstrate whether the Local Water Committee does consider them.

Initial perceptions of citizens about the river and participation

At the beginning of SPARE project, a questionnaire was prepared by Irstea and provided to PCSs partners (PCS6). The objective of this questionnaire was to collect perceptions and expectations from the population about: River management, protection, and ecosystems services ; Participation ; Intentions for the representative group.

The questionnaire was meant to be reused at the end of participatory processes to assess changes in citizens' perceptions. The use of the questionnaire in PCSs was optional. Questions were slightly adapted by PCSs to answer their needs. **Four PCSs out of five used the questionnaire**. In the **Inn**, a slightly different survey was made as part of a Master thesis work by Nicola Egli. One hundred stakeholders were interviewed providing with an overview of which factors drive their willingness to actively participate in an integrated river basin management plan. In the **Steyr**, the content of the questions slightly differed as well: the survey focused more on ecosystem services of the river Steyr and its tributaries, about tourism, environmental protection and development goals for the region.

The questionnaire was only used once in each PCS. No before-after analysis could be done:

- In **Steyr**, because PCS partners decided to make the survey at the end of the participatory process only
- In **Dora Baltea** and **Soča**, because very few participatory activities were implemented so an additional survey at the end of the process was not relevant
- In **Drôme**, because only 6 people who answered the initial survey participated in the process. Hence an additional survey at the end of the process was not relevant. Rather, it was decided to make interviews with participants.

The number of respondents to the survey for each PCS is listed in Table below.

Table 15- Number of respondents to the PCS initial questionnaire

	Dora Baltea	Drôme	Inn	Soča	Steyr
PCS6 initial quest. or other survey on perceptions	71	85	100 (other quest.)	79	824 (other quest.)

Results of **Dora Baltea**, **Drôme**, **Soča** and **Inn** surveys are included in infographics:

- Dora Baltea: http://www.alpine-space.eu/projects/spare/en/pilot-case-studies/dora-baltea/charts
- Drôme: http://www.alpine-space.eu/projects/spare/en/pilot-case-studies/drome/charts
- Soča: http://www.alpine-space.eu/projects/spare/en/pilot-case-studies/soca/charts
- Inn : http://www.alpine-space.eu/projects/spare/en/pilot-case-studies/inn/charts

Results of **Steyr** are included in Report D.T3.1.3 "Report on global Survey in PCS Upper Austria: "Which development for the river Steyr and its tributaries?"

Four questions were used in more than two PCSs. We propose a short-compared analysis of these four questions below.

What are the three keywords which best represent the river and its tributaries?

Blue = Very frequent, Yellow = frequent, Red = Not frequent

In **Drôme:**

In **Soča**:

In **Dora Baltea**: In **Inn-Endagine**:

Figure 45 – Compared Word clouds of the keywords, which best represent the river and its tributaries for each PCS (source: Report D T3.1.3 & infographics)

More words relate to nature, beauty and biodiversity in the **Drôme** and **Soča** than in **Dora Baltea**. The words correspond to the description of the environment in **Dora Baltea**. The main uses of rivers appear clearly in the different PCS: "leisure" and "bathing" in the Drôme, "tourism" and "fishing" in Soča and "energy source" in Dora Baltea. In **Inn**, the words are more management and policy oriented, but this is related to the identity of the respondents.

How well do you know the following terms?

Table 16- lists of terms proposed in the initial PCS questionnaire in each PCS (Dora Baltea, Drôme, Soča)

	Dora Baltea	Drôme	Soča
Common terms proposed in the survey	• River basin • River basin management plan • Ecosystem services • Hydropower energy • Ecological continuity • River integrated management • Water framework directive • River vulnerability	• European water framework directive • Integrated river management • Ecosystemic services • River vulnerability • Ecological continuity • Hydropower • Watershed • "Schéma d'aménagement et de la gestion de l'eau (SAGE)"	• River basin • Water management plan • Ecosystem services • Hydropower • Ecological continuity • Integrated river management • EU. Water framework directive • River vulnerability
Specific terms used in the PCS		• Syndicat Mixte de la rivière drome (SMRD) • Commission locale de l'eau (CLE) • Schéma directeur d'aménagement et de gestion des eaux • Instream flow • Low flow • Diffuse pollution • Flood risk • Wetland	• Water catchment area

In **Dora Baltea**, almost everybody knows the meaning of the term "Hydropower energy", but also the knowledge of the words "River basin", "River Basin Management Plan", and "River vulnerability" is spread. Instead, many persons have never heard the term "Water Framework Directive", and several do not know the meaning of "Ecosystem services", "Ecological continuity", and "River integrated management".

In **Drôme**, Local water plans and organizations (SMRD, CLE) seem to be very few known, as less than 20% of the interviewees could explain what or who they are to someone else. On contrary, the terms of "watershed", "wetland", "hydropower", "flood risk" or "erosion" are very well known. More surprisingly, even some technical terms like "diffuse pollution", "low flow" or "instream flow" are known by nearly half of the interviewees. They are directly linked to specific and strong stakes in Drôme valley. New and academic concepts like "ecosystemic services" and "ecological continuity" are unknown by "only" half of the interviewees, which is not so bad, showing probably the low representativeness of the sample.

In **Soča**, most known term among participants are “Hydropower” and “River basin”. Less than half of the participants knew the meaning of “Water management plan”. For participants it is hard to explain the meaning of “Ecosystem services” and “European Water Framework Directive” although they already heard for the term somewhere.

For each of the following services provided by the river, how important is it for you?

Table 17 - lists of services proposed in the questionnaires in each PCS (Dora Baltea, Drôme, Soča, Steyr)

	Dora Baltea	Drôme	Soča	Steyr
Services proposed in the survey	• It provides our drinking water • It is useful for agriculture • It allows the economic development of the territory • It contributes to get rid of waste and pollutants • It provides energy • It is a resource for tourism • It is a resource for landscape • It is useful for recreational activities • It is vital for nature, biodiversity and ecosystems • The river is everyone’s heritage • It has a spiritual / symbolic / religious value • Other	• The river is everyone’s heritage. • It was there before us and it will remain after us • It is beautiful. I like to see it and know it is there • It is useful for recreational activities • It is vital for nature, biodiversity and ecosystems • It provides our drinking water • It is useful for agriculture • It allows the economic development of the territory • It contributes to get rid of waste and pollutants • It provides energy • It creates connections among people • It has a spiritual / symbolic / religious value • Other	• It is everyone’s heritage and responsibility • It is beautiful. I like to see it and know it is there • It is useful for recreational activities • It is vital for nature, biodiversity and ecosystems • It provides us with drinking water • It is useful for agriculture • It enables the economic development of the territory • It conveys away waste and pollutants • It provides energy • It creates connections among people • It has a spiritual / symbolic / religious value • Others	• Precious nature: habitat for animals and plants • Recreation, sport and health • Water self-cleaning • Tourism & Leisure Industry • Regional identity & conciousness of home • Hydropower • Local climate regulation • Buffer for annoying visual impressions and noise • Flood protection • Fishing • Content for culture & education • Usage of water and gravel • Sediment transport & gravel banks

In **Dora Baltea**, the services cited as a priority are “Dora Baltea river and its tributaries are everyone’s heritage” and “they are vital for nature, biodiversity and agriculture”. The majority of the sample assumes that rivers provide drinking water for local communities, even if it is false because, in the basin, drinkable water is provided only by underground aquifers.

In **Drôme**, the service “Vital for nature, biodiversity and ecosystems” was as first priority. It’s coherent with the exercise of keywords where nature and biodiversity where mainly cited. “Everyone heritage” was cited second: considering water as a common good is not surprising as it is rooted in the French culture of water; it is written in the 1st article of the French water law of 1992.

In **Soča**, the two services cited as priority were “it is vital for nature, biodiversity and ecosystems” along with “it is everyone’s heritage and responsibility”. Then :“The river with its tributaries is useful for its recreational activities and energy production” and “It is a source of a clean drinking water” .

It is interesting to note that “**it is everyone’s heritage” and “it is vital for nature, biodiversity and agriculture” were the two services cited as priority** in all three PCSs.

The spiritual/symbolic/religious connection to the river was rated as more important in **Drôme** and **Soča** than in **Dora Baltea**.

In comparison with **Steyr** (see section "outputs" above), the Steyr and its tributaries as a habitat for animals and plants was regarded as the most relevant aspect by almost 84 % of respondents, followed by their potential for recreational activities, sport and health (81 %). The river's capacity for self-purification ranges on third place, a bit further behind (chosen by 53 % of respondents).

Would you like to participate in further reflections for a better management of the river?

In **Dora Baltea**, most respondents to the survey are interested in participating in further reflections and works for a better management of the Dora Baltea river, mainly by Internet and mail (16%), being present in meetings (15%), and actively participating and making proposals (13%). 35% of respondents would like to be informed.

Answers are similar In **Drôme**: most respondents to the survey are interested in participating in further reflections and works for a better management of the river, mainly by Internet and mail (23%), being present in meetings (19%), and actively participating and making proposals (14%). 32% of respondents would like to be informed.

It is interesting to note that:

- Indeed, when citizens were offered to make action proposals online, new participants came in who hadn't participated in previous steps of the process
- Drôme is a territory which has a strong participation culture: many instances of political and cultural life are participatory. It may explain why more people would like to participate than in other PCSs.
- Paradoxically, even though most people mentioned that they would like to participate, only 6 respondents actually participated in the participatory process following the survey.

In **Steyr**, 54 % of respondents do not want to participate in the river management or further reflections on development goals. 41 % would like to receive more information. 7,5 % want to participate via e-mail, while 6 % would like to attend meetings and working groups on the subject.

Impacts on participants

Information on the participants' final perception is only available in **Drôme**. In the other PCS, impacts on participants were analysed based on the perceptions of the facilitator, the process manager or the local evaluator.

Indeed, in **Drôme**, at the end of the SPARE project (October 2018), a short questionnaire was sent to participants. 21 people answered, all participated at least once. They were mainly men, over 60 years old and retired. Overall, they appreciated the project, even though it did not meet all their expectations. On average, they felt that they could express themselves, but that their point of view was not sufficiently taken into account by other participants. The steps of the participatory process that they preferred were the "proposals for action" and the "observation of the local water committee". Conversely, the elaboration of the participation plan (PrePar step) was the least appreciated. They are quite satisfied with the overall results of the participatory process; even if a third thinks it is too early to say (the questionnaire was sent before the final event with the final presentation of the results). With regard to the suggested improvements, most of them relate to the preparation phase (see previous section). They also concern a better stability of the Rep. Group and more regular meetings. We can also note a contradiction between, on the one hand, a claim for more autonomy (doing it by themselves), and simultaneously a requirement for more detailed guidelines. One of the most involved participant, also member of the Local Water Committee (as an elected representative) explains: "*at the beginning of the project, I had a real mistrust. Are we going to be test subjects again? Will our work, our results be taken into account? In view of the results presented at the final event and the CLE, I am now convinced that we must continue citizen participation*" (source: Water Local Committee, 07/11/2018).

The following table summarizes the impacts of participatory processes on participants as they were perceived by the process managers and facilitators of each PCS (source: D.T 3.2.1 & D.T 1.3.2 Report "Documentation / monitoring / evaluation of participatory processes and of experimental activities implemented in each PCS").

Table 18 - Impacts on participants perceived by Process Manager and facilitators of each PCS

	Dora Baltea	Drôme	Inn	Soča	Steyr
Main impacts on participants	• Improved understanding of target system elements • Reduction of conflicts • Influence on decision • Increased collaboration, trust, networking, relationship building	• Improved understanding of target system elements • Capacity building • Increased collaboration, trust, networking, relationship building	• Increased collaboration, trust, networking, relationship building	• Reduction of conflicts • Capacity building • Increased collaboration, trust, networking, relationship building	• Reduction of conflicts • Improved understanding of target system elements • Increased collaboration, trust, networking, relationship building

Increased collaboration, trust, networking, relationship building

In **all PCSs**, process managers and / or facilitators saw an **increase in collaboration, trust, networking and relationship building** among participants.

Thus, in **Dora Baltea**, the facilitator notes: "*thanks to SPARE activities and meetings, stakeholders are now more aware about each other existence and requests even if they are not always ready to discuss their own ones*" and adds: "*Common comprehension of river planning issues among stakeholders and among local communities people is very important but you'll never reach a full understanding about everything*; *it would be better to focus on reaching a good level of mutual trust among actors around the table than trying to explain all details*". He also mentions the probable increase in awareness and understanding among public administration services referents, even if they already know each other's. (source:

Report D321“Final documentation of participatory processes and experimental activities implemented in each PCS”).

In **Drôme**, regarding relational impacts, the participatory process strengthened the relationships among Rep Group members. Some members who didn’t know each other before SPARE met outside of the events organised by SMRD to advance their working groups outputs. Relations between citizens and technical staff of SMRD have also been strengthened, through participations of the staff to different workshop or forums. People also phone or come more often the SMRD office.

Steyr process managers also note an impact on “*bringing people together who normally don’t talk to each other*”. Thanks to the Rep Groups meetings, stakeholders were brought together in a completely new constellation. The selected members were not such that would normally talk to each other in day-to-day business.

In **Inn**, referring to the only one Rep. group meeting, the participants had the feeling that the working atmosphere was very productive and positive and that there was a good discussion basis. Invited stakeholders that could not join the meeting expressed their interest to join the project and to collaborate.

In **Soča**, the main goal was to get stakeholders interested in future cooperation. The main problem encountered by the SRF was to motivate stakeholders to participate and come to events. One public event was organised during SPARE project and involvement of stakeholders remains a challenge.

Reduction of conflicts

In three of the PCSs, **Dora Baltea**, **Soča** and **Steyr**, according to the facilitators, there were a **reduction of conflicts**. The facilitator of **Dora Baltea** assumes “*that a part of existing prejudices has decreased through informal more confidential mood of face-to-face meetings. Somehow participants (public ones, private ones, stakeholders ...) passed from an “alert & struggle” mode to a “let’s try to find if there’s a viable solution” mode. Besides, SPARE context being a project is perceived at least partially as a “school gym, a training”, not a real competition among stakeholders so participants get more relaxed and open to listen to each other*”. The facilitator of **Steyr** explains: “*The participatory process has – to some extent - contributed to the reduction of conflicts between participants. Personal relationships between stakeholders have been strongly influenced by a yearlong struggle of local economy against nature conservation in the question of the extension of a local skiing resort. The participatory process helped to move discussions away from that and to give the opportunity to find common ground (…). It was obvious in the final RepG-meeting that discussions were less heated than in the beginning of the process*” (source: Report « Documentation and Evaluation of the Participatory Process in PCS Upper Austria – River Steyr, D.T1.3.2 »)

In **Drôme** PCS, some tensions were reduced thanks to a better mutual understanding of the participants about their different uses of the river. However, the participatory process also created some new tensions and conflicts. Some occurred among the participants of some working groups, but without cutting the collective dynamic in the end. There were also some tensions between some members of the Rep. Group and the SMRD. Some people wrote emails to complain about the choices made by SMRD and Irstea regarding the methods used in participatory process. One member was excluded from the Rep. Group because he made inappropriate remarks to state agents, scientists and citizens.

Improved understanding of target system elements

In addition, in the 3 PCS where the number of participatory events were the highest (**Dora Baltea, Drôme**, **Steyr**), the facilitators identified an **improved understanding of target system elements**.

In **Dora Baltea**, according to the facilitator, participants “*increased specific knowledge about methods to assess withdrawal sustainability and discovered the complexity of river issues. Some of them have realized that what has been proposed (informative & methodological*

standard and open participation) could be a good professional opportunity in the next years" (source: Report Final documentation of participatory processes and experimental activities implemented in each PCS, D321).

In **Steyr**, the main impacts on participants, as perceived by the Process Manager and facilitators were to make visible the points of view of different stakeholders from the Steyr river catchment but also on the importance of multiple river related ecosystem services (ESS) in the Steyr River catchment (in Rep group meetings). Another impact, which is "harder to measure", is awareness raising of ecosystem services.

In **Drôme**, SMRD, CLE and SAGE are better known by participants. At the beginning of the project, it became apparent that many participants did not even know about SMRD or what was the river management plan called SAGE. In addition, many of the preferences and values of members of the Rep Group were expressed by their contributions to the diagnosis of the Drôme river basin. Several comments show that the participation of citizens in the working groups had changed their perception. For example, some participants of the participatory modelling group said: "*We can see how the river flows and realize the problem of water scarcity*", "*this game helps to understand how the upstream and downstream parts of the watershed are interconnected and how decisions taken upstream impact downstream*". In addition, other tools, such as the river observation and conservation kit (ROCK), led participants to a better knowledge of the actors involved. "*This experience has shown the diversity of users along the Drôme: some do not respect the rules, some express the need to better understand their impacts on water and ecosystems, some behave like sentinels of the river, as this group of young people met, which showed us the traces of various offenses on the site*" (source: Report D321"Final documentation of participatory processes and experimental activities implemented in each PCS").

Capacity building

In both **Drôme** and **Soča**, the facilitators noted an impact on the **capacity building of participants.** In fact, Drôme is the only PCS where training workshops on participatory methods have been organized for citizens.

Influence on decision

Only the facilitator of **Dora Baltea** identifies an **influence on decision** and, he justifies it: "*They* (the decision makers) *notice that participation is a step to be taken in consideration. They cannot take for granted that communities will simply endorse what they have decided*." He also notes the "*Change of mind of some groups of stakeholders (the ones interested in HP, etc.) because the process made visible that they also want to involve local communities. They may not want that communities decide but they want to involve them"*.

In **Inn**, the facilitator is more moderate: "*On the one hand, participants appreciate the ability to communicate within the different sectors in the basin and therefore have the feeling that this process can change the situation and that they can benefit from it. Especially the Pilot Group and the politicians of Lower Engadin are really convinced that the region can benefit from this process. On the other hand, they are aware that some things can't be changed (easily) due to legal regulations*".

The facilitator of **Steyr** asks herself the question to what extent the participation process has contributed to the realization and took the example of the creation of a continuous cycling path along the river. This issue was raised several times during discussions and was also an option that was favoured by the majority of survey respondents. It has therefore been included in the proposal of planning (source: Report « Documentation and Evaluation of the Participatory Process in PCS Upper Austria – River Steyr, D.T1.3.2 »).

We will detail the outcomes and impacts of the participatory processes on the institutional decision-making processes in each PCS below.

Willingness to participate in further processes and other impacts on participants

Regarding the willingness to **participate in future participatory processes**, this aspect was only partly evaluated in **Drôme**. Of the 21 respondents in the final evaluation questionnaire, some participants expressed a willingness to continue to participate. 60% were willing to participate in a process driven by the institution, while 90% were willing to participate in arenas external to this institutional framework (alone, via NGOs, ...) (Figure 46). In parallel, some participants dropped out after the forum of launching which can be an indicator of their loss of interest towards the participatory process or of the fact that their expectations were not met. Some participants also expressed disillusion towards participatory processes.. Considering the time and energy required to participate in these processes, some participants also expressed that they would not participate in future processes (source: Report D321 "Final documentation of participatory processes and experimental activities implemented in each PCS").

Figure 46 - The willingness to going on with participation (final questionnaire, Drôme PCS, 21 respondents, October 2018)

In addition, in **Drôme** PCS, it appeared throughout the process that some participants had specific expectations regarding the participatory process: some participants working in the civil society sector or as independent consultants expected to find a source of income through SPARE.

In **Steyr**, according to the facilitator, it was also obvious from both the evaluation of feedback forms as well as from statements in the discussions that the opinion of stakeholders towards the participatory process changed in favour of the participatory activities. Several participants admitted to having been very sceptical towards the participation process and its goals in the beginning, whereas now, they have the feeling that the process contributed to their work in a positive way. The majority of respondents of the Rep. Group feedback forms stated that they are willing to continue participation in this or similar processes. 40,5 % of respondents of the online survey stated that they would like to receive more information regarding the participatory development of goals for the river. 6,4 % of respondents said that they would like to be invited to workshops and meetings (source: Report « Documentation and Evaluation of the Participatory Process in PCS Upper Austria – River Steyr, D.T1.3.2 »)

In addition, there were some **autonomous dynamics among participants** in **Drôme, Inn** and **Soča**. In **Soča**, it was for example, a local initiative of stakeholders during the process of dam reconstruction named "Most na Soči lake"**.** In **Drôme**, several Rep. Group Members organized parallel activities, with or without the support of SMRD like: rubbish collection along rivers, field visits (beavers, old canal, …), photo-exhibition or even meeting on water governance aspects. In **Inn** a local initiative of stakeholders was started by a member within the international littering project to collect microplastics. Another initiative is the implementation of a biodiversity day in the floodplain by Strada. An international Inn River Day was also established together with WWF Austria.

Outcomes & impacts on institutional decision-making processes / strategic planning processes

In addition to the formal outputs listed above, this question was discussed among PCS partners during the 5th SPARE partner meeting in Windischgarsten, Austria in May 2018 (source: "Minutes of the 5th SPARE Partner meeting,15th – 17th May 2018, Windischgarsten, Austria").

Formally, as mentioned in the above section entitled "Initiation of SPARE participatory processes and articulation with institutional decision-making processes / strategic planning processes", the only PCS where decision-makers had officially agreed to take into account the results of the participatory process was **Drôme**. A synthesis of the citizen diagnosis will be included in the official diagnosis of the SAGE. A report gathering all the results from SPARE participation process (both citizen diagnosis and proposals) will be presented to the Local Water Committee. There, the future revised Local Water Plan will show to what extent citizen suggestions have been incorporated. However, the recognition of the added-value of citizens in the process of revision of this Water Plan is already a success per se. "T*he SPARE project took place before the revision of the local water plan (SAGE). We collected the opinions of the citizens, and they will be used in this revision. This is a big change because public consultation is usually organized as part of public inquiries at the end of the process. It is now a national incentive, but in the Drôme, we experienced it before it became mandatory*". (C. Fermond, video interview, April 2018).

In the four other PCSs, partners are still hoping to make an impact, but no formal engagement of decision-makers has been made:

- In **Dora Baltea** the articulation with the PTA is still under discussion.
- In the **Inn**, political support is different from the two part of Engadine: on the one hand, the Upper Engadine refuses to be part of the IRBM and has prevented any articulation with the institutional decision-making process so far; but on the other hand, decision-makers in Lower Engadine are convinced of the project and ready to pay for the ongoing process; they should also launch the IRBM in the nearby valley of Val Munster.
- In **Soča**, SRF was not able to say whether the suggestions made for the law on inland navigation had been taken into account or not, but the fact that the Ministry of Infrastructure asked SRF to organise the consultation helped increasing the recognition of SRF as a key player in water management in the region.
- In **Steyr**, the results of the regional scale survey, showing public expectations and interests, should be used as a basis for future decision-making.

Dora Baltea

In **Dora Baltea**, the coincidence of SPARE experimentation with the River Plan official revision was an asset. Several deliverables were diffused and promoted endorsing them as PTA officially related: this "labeling agreement" encouraged citizens' and stakeholders' participation, since the PTA official revision concerns them directly. At the contrary, as SPARE was a cooperation project formally outside from official revision procedures, it allowed the experimentation of new approaches. Likewise, frequent local government changes that have slowed down local river planning revision had paradoxically let ARPA more time to identify and work with stakeholders in the frame of SPARE.

Moreover, as ARPA VDA is a public institution playing an official role in water and river planning at regional level, its contribution has to be formally considered from Local River Authority. Nevertheless, this articulation with PTA wasn't easy and is still under discussion. Local River Authority progressively realized that SPARE activities could be useful to official river planning revision. It didn't "absolutely" need SPARE contribution, but it started to appreciate it and assigned ARPA VDA freedom and space to work together. The main impact of SPARE was finally to show that changing the management approach was possible and feasible (source: Report D321"Final documentation of participatory processes and experimental activities implemented in each PCS").

In particular, the activities of SPARE made it possible to better consider the subject of agricultural withdrawals. The challenge for Process Manager and ARPA VDA was to involve regional administration representatives for agriculture in order to consider adequately farmers interest in PTA revision and in the definition of indicators to be used in MCA standard. In the first months of the project, regional administration representatives for agriculture didn't want to discuss this topic being so crucial and risky but after indicators workshop on 21.03.2018, they came to ARPA VDA and asked for support. Three meetings have been organized so far to define together specific indicators quantifying effects of withdrawals on agriculture and related ES. These indicators, once available, should be used in the frame of SPARE informative approach.

After May 2018 elections a complete change of government occurred. New administrators have replaced old ones and passed months to orient their activities. But, at the same time, regional high level administrators remained more or less the same of past government and so did their management approach. The Process Manager Raffaele Rocco was maintained. Participation activities were stopped (as explain before). But some results regarding the evolution of the withdrawal assessment have been partially adopted. However, the proposal about adopting a formal procedure to involve local communities in the process has not been discussed until yet, and this decision remains strongly dependant on policy makers choices, energy market transformation or umpteenth political changes.

Drôme

In **Drôme**, the **links with the formal decision-making process** (Local Water Committee – CLE), are one of the main impacts of the Drôme participatory process so far.

The results of the participatory process, ie **the citizen diagnosis and the list of action' proposals are used in the official review process of the local water management plan** (the SPARE report will be joined to the official one). The SMRD produced thematic syntheses that were read and discussed by the Water Committee members during the five thematic meetings preparing the institutional diagnosis. This production was taken into account in the same way as the technical update of the official data on the river and its management, prepared by the SMRD.

In addition, the process manager decided to set up a **new working method** within the local water committee during meetings dedicated to the validation of the diagnostic update by offering more participative tools: individual reflection, small group discussion, collective writing and large group restitution.

Figure 47 : example of a synthesis of the citizen diagnosis provide to the Local water Committee to fuel the official diagnosis update

Furthermore, as mentioned above, **Rep. Groups members were able to participate to CLE meetings** and shared their testimonies with other members of this institutional committee in charge of water management. C. Fermond, director of the SMRD explains: "*The presence of citizens at CLE meetings was appreciated in both directions. The members of the CLE saw the possibility of having an external opinion, and this also forced them to more pedagogy in the way of working, to use terms more understandable. We also realize that despite the complexity of the subjects, citizens can make pertinent remarks leading to concrete things and that that we would not necessarily have integrated without their presence. This was really appreciated, it was done quite naturally and it should be able to continue in the future*" (video interview, April 2018). G Crozier, the president of the CLE

confirms: "*we have integrated the people of the GDE (Re. Group) into our work: they bring another look, a new vision* (…) *What I was looking for was to have not only the opinions of those who know the river but also of residents who have different visions, some feedbacks, even from people who sometimes lack knowledge. And it's up to us to explain them why we can or cannot do things"*. (video interview, April 2018). The added value of citizens' observations is therefore for them: a better understanding of past actions, current issues and the complexity of river management, as well as for decision-makers: to feed the debate with new points of view and the "expertise of users".

During the project, several participants from the Pilot Group and the Rep. Group expressed their willingness to be involved in the long-term management of the river, to continue the participation of the citizens and to be better involved and recognized in the official Local Water Committee (CLE). In August 2017, a Rep. Group member, who was an observer at a meeting of the steering committee of the CLE, raised the issue of permanent citizen participation in debates and decision-making under the direction of the SMRD. He requested the recognition of the Rep. Group as a full member of the CLE, with the right to vote. The President of the CLE has expressed a keen interest in answering these questions in the coming months. This testifies to the opening of the CLE to citizens. Following this meeting, this member of the group of representatives convened a meeting of a citizens working group to reflect on the modalities of citizen **participation in the local water committee, beyond the SPARE project.**

On May 29, 2018, at the request of SMRD, a workshop was organized by Irstea on the theme "*SAGE and citizen participation, options for the future*". The objective of the meeting was to discuss the continuation of the SPARE project, within the existing institutional framework. It was essentially to discuss the "future" of citizen participation in Drôme and its relationship with the Local Water Committee. Among the participants were representatives of the SMRD, citizens of Drôme, Irstea, the Ministry of Ecological and Solidarity Transition (Ministry of the Environment), the Rhône Méditerranée Corse Water Agency, the Drôme Departmental Council, 3 NGOs and several researchers. 39 suggestions were provided, both locally and nationally.

Discussion on implementation is ongoing in Drôme PCS. The decision will be based on the steering committee of the SMRD, mainly composed of elected representatives. Participatory activities were almost all covered by EU funding and SMRD has very little human and financial resources internally. This is even more the case, as the Water Agency, the main financial support to the SMRD, must reduce its budget for reasons of national restriction. The SMRD raised the need to continue to inform the population more often about the issues and the SMRD work. At a minimum, a communication program is under discussion to keep the public informed. This would probably not respond to citizens' requests for participation, but can be seen as a pragmatic first step for Process Manager.

Last but not least, the participatory process of SPARE confirmed the emergence of new challenges, such as the preservation of the old canals and allowed the official entry of one of its representatives inside the Local Water Committee, who was also an active citizen participant of SPARE.

Inn

In the case of **Inn**, the political decision of the Upper Engadine not to take part in the process required PTE to entirely redefine the process and start from scratch all over again. Inn process was therefore delayed compared to other PCSs, but the process will certainly continue after the duration of the SPARE project. At the same time, however, the support of Lower Engadine government, from the beginning, helped to engage people, especially the pilot group. At the beginning of 2019, PTE will leave the management of the process and the regional planning unit of the Lower Engadine Government will take it over, with a transition period piloted by a member of the Pilot Group.

So far, the main outcome of the process in **Inn** PCS, is that the decision makers have decided to set up a Water Committee, which is empowered to assume responsibility for all

water affairs in the Lower Engadine. This committee will also be responsible for the IRBM of the neighboring valley (Engiadina Bassa Val Müstair) which is in the same administrative region. The organigram of this water committee (Kommission IEM) is mapped in Figure 48. The committee will begin work early in 2019.

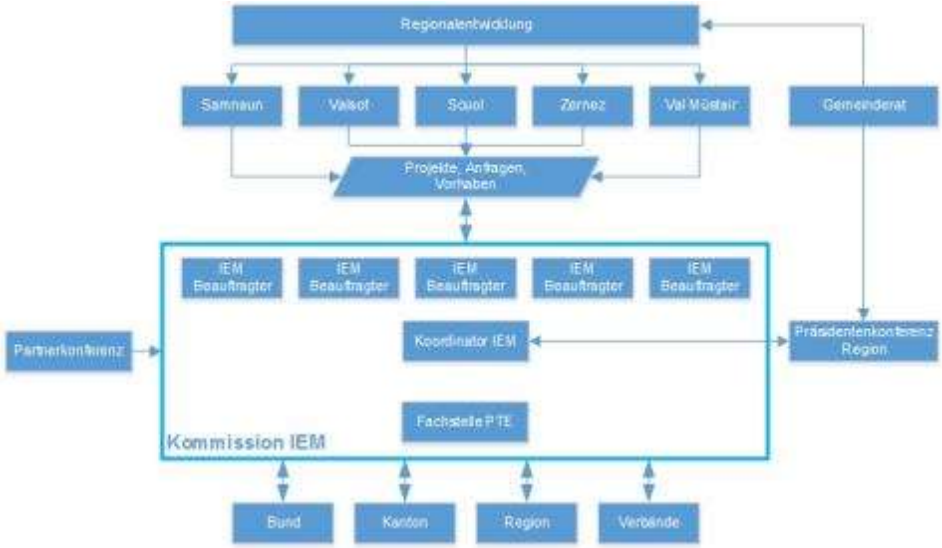


Figure 48 - Organization of the water committee in the region Lower Engadin and Val Müstair in future

Soča

In **Soča**, Soča River Foundation role in "participatory process-solving" was strengthened. The main impact is the **visibility gained** by the SRF: it appeared as one of the key player in the Organization of the yearly event "Soča Days". Additional phone calls and emails to SRF show a better recognition of SRF as one of potential focal points in water related issues.

SRF has also a **better cooperation** with other institutions, for example: the Ministry for Infrastructure asked for suggestions for Law change. The process of collaboration with Slovenian Water Agency, Ministry of Environment and Spatial planning is ongoing.

Steyr

In **Steyr**, the main impacts were to **make citizens and stakeholders expectations and interests at local and regional scale visible** for everybody, specifically for decision-makers and to create common development objectives and sustainable perspectives for the region. The survey at regional scale showed that people are in favour of sustainable options for rural development and that conservation of river stretches and sound rural development seem possible. For example, projects such as a continuous cycling path along the river Steyr and a better orchestration of "river highlights" that are currently being implemented were confirmed in the survey results (source : Report « Documentation and Evaluation of the Participatory Process in PCS Upper Austria – River Steyr, D.T1.3.2 »). It should be some strong **arguments** for further decision making and strategic planning of the Regional Government of Upper Austria.

Moreover, "*people with concern for nature know that they do not stand-alone, and that should make them stronger and better heard in the further decision processes*" (Source: F. Uberwimmer, "Minutes of the 5th SPARE Partner meeting,2018)

Based on these survey results on people's expectations and interests, the next step was the **definition of common development goals** in the last Rep. Group in June 2018. The task was to work on specific next steps that could follow in the PCS and to define which steps each person would be able or willing to take himself or herself. Several suggestions were already quite well defined and several participants committed themselves to taking the responsibility for follow-up.

Outcomes & impacts on Process Manager Organizations

The participatory processes had also some impacts on the Process Manager organizations.

Dora Baltea

In **Dora Baltea**, the main impact is about the higher collaboration between the process manager and facilitator that is to say between the local government (Regione Autonoma Valle d'Aosta) and ARPA. The local government allowed ARPA to officially collaborate with his staff to define and adopt a new informative standard to assess withdrawals sustainability.

At the end of SPARE Project, the facilitator believes that ARPA will continue some participatory activities in the frame of its institutional role and trying to couple with regional planning official revision to be normative compliant and ensuring concrete results to participation activities.

Drôme

In **Drôme**, the SPARE participatory process has made SMRD and CLE better known by citizens. This was one of the main expectations of the Process Manager with SPARE Project, both for the director of the SMRD and its president. This expectation has been met (source : video interviews of C. Fermond and G. Crozier, April 2018): "*I think people know better SMRD and CLE now. In terms of numbers, it may seem small, but it is huge compared to what it was before SPARE. We have developed contacts with people we do not usually meet, not just with users who have problems with water*" (C. Fermond, April 2018).

Conversely, the views, ideas and representations of citizens are better known to the SMRD Process Manager, its elected representatives and technical staff, and to the members of the Local Water Committee

In addition, the SMRD has improved its **communication strategy** towards citizens. It has developed new tools such as Facebook, the electronic newsletter or communication with external digital media. The elected representatives and the workers of the SMRD are now more aware of the interest and the needs to improve the strategy of communication of the SMRD towards the inhabitants. The pursuit of communication activities is currently being considered, as well as the way to welcome the public in the office.

Moreover, SMRD is also **better known**, not only by citizens, but also by other **NGOs and administrations**, inside and outside the Drôme Valley. SMRD received several requests from local and national NGOs to present its activities. Regional and national levels are also interested in the SMRD's participation experience. For example, the RMC Water Agency and the Ministry of the Environment have asked SMRD for feedback on implementation of the participatory process in the context of the national SAGE procedure. SPARE experience will supply national considerations about the integration of participatory process into "SAGE" procedures.

However, SPARE process **created citizen expectations that SMRD would probably not be able to fulfil** in future with the end of financial resource, as it has been said above. The institutional context does not smoothen the transfer from an experiment with citizens' engagement toward a more stable structure. The current emergence of new regulations in France about "environmental dialogue" may lead to positive transformations in this direction. The Drôme river case is now considered by the French Ministry of Ecology as a reference case study for possible procedural options.

Moreover, with the difficulties encountered during the process, the challenge was to make the president of the SMRD **confident** with the citizens, because since the beginning, he has mostly heard about the problems. G. Crozier explains: "*On citizen participation, I have a split opinion. This is positive when those who are interested in the river participate. And when people engage with a civic vision. However, when people get involved because they belong to associations or pressure groups, which are otherwise legitimate, it undermines the purely civic vision*" (video interview, April 2018). He realized that "*participation is more complicated*

that one can think and that citizen participation should to be strongly "framed", to avoid any deviation. (G. Crozier, video interview, April 2018). Showing the benefit of the citizen participation was thus a challenge for the SMRD team. It was mainly fulfilled with the presentation of the results and report to the Local Water Committee and the last public event in autumn 2018. The president G. Crozier acknowledged and praised the quality of the work and suggested that it should encourage the Local Water Committee to reflect on how to continue participation (Local Water Committee, 7 Nov. 2018). The first and only one action stated is the implementation of a concertation, as part of the revision of the next Water Plan. However, this consultation will be on a short and rather minimal phase, according to the new national regulation in force. At the end of the SPARE project, the pilot manager and facilitator identify the future challenges for the SMRD, with emphasis on taking into account issues related to citizen involvement in water management, including: "*How to make the next Local Water Plan more understandable and operational for users? How to strengthen the links between Water Committee members and users? What place and role to give citizens in the Local Water Plan? What place to give to social issues insufficiently unrecognized?"* (C. Eme, Local Water Committee, 7 Nov. 2018).

Inn

In **Inn**, the process manager felt that the process had "*no direct impact on PTE*" because "*its purpose was to initiate the process (...) and that PTE could transfer the processes to existing organizations or create new committees, able to obtain financial support from regional development.The strategy and the plan of action of PTE were defined with the decision-makers and the other stakeholders of the region for this purpose*". This is what happened with the transfer to the regional planning of Lower Engadine. However, we can note an indirect impact: the first youth camp was a success in terms of awareness and involvement of young people in the management of their rivers and PTE would probably organize again the coming year.

Soča

As in Drôme, SPARE project led **Soča** River Foundation to think about its **communication strategy**. The Cooplan method highlighted the need for a SFR webpage to make SFR more visible, including towards policy-makers responsible of the institutional planning process. Nevertheless, links between SRF and institutional websites have still to be developed.

Moreover the SPARE project was to be an opportunity to make the Soča River Foundation **more operational**. This objective has been partially fulfilled. The three most feasible actions identified through the participatory process guide the Foundation's vision for the years to come. The SPARE project has also enabled the Soča River Foundation to make its specificity **more visible** and to better define its role and strategy. "*SRF has been established to support better participation and harmonised decision making. It can become a link between stakeholders and decision makers to improve the flow of information and cooperation for mutual benefits. In the next steps, the SRF will continue with bottom up approach cooperating with regional and national water authority administration. The SRF has to first focus on smaller issues. It will try to create a discussion area to address issues and act as a catalyst in processes*" (Source: Report PCS process assessment & promotion. DT331 PCS Soča river). In the round table discussion on Soča Day, an advice to include a wider range of representatives was stated. The members of the Pilot Group stated that they want to meet regularly also after the end of SPARE project.

Both the Process Manager and the facilitator agree that the participatory process, set up in the SPARE project, provided "*good practices*" and also "*motivation*" for the day-to-day work at the SRF, and that participatory activities should continue after SPARE (M. Kristan and D. Jesenšek, video interviews, May 2018)

Steyr

SPARE participatory process and the planning of it brought a lot of new insights in participation. For the Process Manager organization, the main lessons learnt, which will be considered in future participation processes, are (Source: Process Manager written feedback, oct. 2018):

- "*The concept of ecosystem services (ESS) is quite complex to be used with people who do not have a scientific approach to river management. However, breaking the ESS down to a simple presentation (without categorizing) and evaluation game made it easier to understand the idea.*
- *It is impossible to compile a "Representative Group" that is fully representing the whole of the population. Using a large scale Online Survey thus helped to make the process really participatory.*
- *The structures in (Upper) Austria make it necessary to work with representatives from associations, Organizations, institutions ... if a meaningful process is to be implemented. The stakeholders were thus selected according to their function as "representing" certain interest groups whereas the whole population was involved via the survey.*
- *It was crucial to give the stakeholders an opportunity to see and comment on the survey questionnaire and the test link beforehand and to integrate their feedback. This took away fears of a "biased" survey.*
- *It was crucial to keep the goals and direction of the process open and flexible in order to adapt to the participants wishes and needs. This made it possible to achieve progress in the discussions and to design a survey that was conceived as relevant for the region.*
- *It helped the scope of the discussions to bring in external expertise from other Alpine regions. The discussions were more focused and less based on personal (conflict-based) relationships when there were external experts in the group.*
- *If you want to get the public opinion trend it is not enough just to make discussion events with stakeholders from various fields. You have to combine the discussions at least with voting/evaluation games or better with a survey. The opinion of a few who shout loud is not necessarily the "general" opinion.*
- *It was a benefit for the RepG-meetings to actively invite stakeholders that had not spoken up during previous meetings to share their own ideas in the fourth RepG meeting. This helped to steer the focus of discussion away from the then dominant topics and to open up the scope of discussion to other relevant aspects of the river (like its value for culture and education or its contribution to local identity.)*
- *For future participation processes: It is important to calculate additional budget for unexpected events at the beginning of the process.*
- *For future international projects with many project partners: It is important to calculate additional budget for coordination between the project partners at the beginning of the project.*"

Key lessons learned

From the perspective of experts in participatory governance, many of the issues observed are not surprising. Process managers, politicians or citizens encountered classical barriers to citizen participation. These include, but are not limited to, resistance to real participation, low mutual respect, limited willingness to change practices, and limited time devoted to participation. Efforts have been made during the project design phase to prevent and reduce these issues, for instance through planning time for training and procedural preparation, and including resources for participatory processes support.

Despite some remnant obstacles, two of the five PCS have already achieved their initial objectives with concrete results (Drôme and Steyr) while the other three can affirm that they are on the way, and that they have already taken the first steps. Several impacts have been observed regarding participant transformations, changes within process manager organizations and influence on the decision-making process, as detailed above. In view of these five different experiences, some common lessons can be drawn.

"Foot-in-the-door" effect of participatory processes

Participatory processes appear to produce irreversible effects when citizens are really engaged and when their participation is respected and encouraged by decision-makers. Dedicated participatory practices and self-confidence develop so that citizens tend to routinely interact with the institution (like asking questions and requiring answers, coming to the water manager's office, etc.). These effects are very positive in that they reinforce the relationship and trust between the institution and citizens, and they generate a common understanding of the opportunities and difficulties of integrated management of river basins. The social request for participation may also induce new institutional dynamics (like emerging participatory institutions). But citizen participation also creates new expectations and needs of citizens towards Process Managers. Answering them and pursuing the same intensity of interaction than during the participatory process but on a daily basis may be difficult without a support like the SPARE Project. Human and financial resources are needed to receive the public, communicate, organize, support and facilitate participation, as well as to manage eventual tensions. Without such resources, participatory processes risk being undermined or even instrumentalized (political destabilization of powers, entrism, etc.).

Communication: support or deviance of participation

For some of the process managers or facilitators, at the beginning of the project, the participatory process was seen solely as an opportunity to improve communication with stakeholders or the public. Communication was an aim of participation. For others, communication was considered as an added value, in addition to other outputs outcomes and impacts of the participatory process. In any case, communication deliverables are one of the remaining outputs of the project.

This illustrates two different visions of the articulation between participation and communication. On one side, communication can be considered as concurrent and supportive of the implementation of a participatory process: to invite participants to the participatory process, inform them about river management, but also and above all, to raise awareness of decision-makers about the importance and interests of participation. On the other side, if participation is limited to communication, the risk is for the participatory process to deviate from its initial goal and rules and to be instrumentalised as an "acceptology" tool destined to avoid the resistance of local actors rather than to include them in decision-making. In this case, participation would most probably not lead to a real and sustainable transformation of river and ecosystem management.

The tools designed and transferred by Irstea during the SPARE project, such as SMAG, MyRiverKit or participation guidelines, are procedural innovations intrinsic to the

management of watercourses and institutions. They are destined to provide practical help to process managers to go beyond communication and achieve one of SPARE's initial objectives: "to improve existing watercourse management practices by integrating participatory approaches"

For real impacts on decision-making processes

The monitoring and evaluation of the five participatory processes showed that all processes led to some transformations of the process manager organisation, whether a public institution or a foundation, and irrespectively of the level of implementation of participatory processes. The simple fact of contemplating the idea of implementing a participatory process, let alone implementing it or experimenting new methods, led institutions in charge to question the place of citizen participation in decision-making processes. Major transformations of process manager organisations that were observed are:

- an increased visibility and recognition by a wide range of stakeholders, from citizens to national decisions-makers,
- the questioning of their communication strategy,
- the adaptation to new expectations raised by citizens and stakeholders.

With respect to the impacts of participatory processes on decision-making, we observed various degrees of commitments when it came to including citizen outputs into decision-making processes. The Drôme case study is the only one in which this commitment was formalized from the beginning and where citizen proposals were really concretely considered in the institutional updating of the Local Water Plan. However, some changes also occurred in other case studies, even though less concrete or visible. These changes mainly relate to the relationships of process managers with stakeholders involved in decision-making processes (such as increasing trust, legitimacy or power struggles). Ultimately, they may interfere with the course of the decision.

Lessons learned from the successes and challenges of the five case study processes highlight the key role of some elements for real impacts on the decision-making processes:

- the initial willingness and / or ability of the process manager to implement and participate in the participatory process (time, resource, skills, …)
- the legal and institutional framework (which facilitates or hinders the participatory process)
- the possibility of aligning the calendars of both the strategic planning and the participatory processes
- the support from a political leader or network
- the initial commitment, if possible formal, of key political stakeholders to consider both the citizens/participants' inputs during the process and the final outputs at the end
- the openness of the process manager and facilitator to accept risk taking and innovation, to be open to transforming / adapting existing institutions or creating new institutions for water and river management.

CONCLUSION

The participatory processes implemented under the SPARE project were intended to feed the institutional processes of strategic planning for river basin management at the regional or local level. For four of the five case studies, the Water Framework Directive was the main overall policy. These case studies presented a variety of socio-environmental contexts and issues, representing some of the diversity of alpine regions. They also illustrated the diversity of institutional organizations responsible for strategic planning of alpine rivers, the different ways in which article 14 of the Water Framework Directive are applied, and the customs of communication with the peoples. Participatory processes implemented in the frame of SPARE were managed in some cases by local governments, in others by public institutions or by foundations. They were more or less aligned and articulated with the institutional water resources strategic planning.

For all these reasons, Irstea has proposed a highly adaptive approach to citizen participation including different steps and modules to choose from. This has led to the implementation of five singular participatory processes, whether in terms of format, duration, level of inclusion, participatory methods used, etc. The five participatory processes have taken somewhat different paths from the originally proposed protocol. On the one hand, this makes comparison rather complicated, but on the other hand, it allows for a better understanding of the diversity of situations and stakes in terms of participation in alpine river management.

In summary, more than 120 participatory activities took place in the five case studies. 435 different people participated for a total of 940 presential participations to activities. In addition, there were 1350 participants online. Depending on the case study, between 10% and 100% of the participants were citizens, who were SPARE's initial target audience.

All participatory activities initially planned could not be implemented, but it highlights the difficulties faced by process managers and facilitators when trying to implement participatory processes on the ground. It is an illustration of the fact that the application of Article 14 of the WFD is neither obvious, nor easy or automatic. The main difficulties encountered were the lack of political will or support, the incompatibility of the participatory and institutional decision-making agendas, the lack of adequate human resources or skills, the lack of time to engage in cultural change or transform existing stakeholder habits in place.

The experience of the five case studies shows that the transfer of participatory methods, the increase of competences of stakeholders in the field, and the increase of resources dedicated to public participation are key but not sufficient. It is also essential to create favorable conditions for setting up participation, and to question the way process pilots can negotiate these conditions with decision-makers.

Different achievements of the SPARE project deserve to be highlighted when it comes to participatory processes. The process set up in the Drôme, which involved citizens in the revision of the local water plan, is pioneering and innovative. It occurred even before French legislative changes regarding public participation. As such, it represents an unprecedented experience which successes, as well as difficulties and failures, allows to draw more general lessons and to prepare the extension of similar participatory processes in other case studies and at other scales. It is now cited as an example nationwide. In Steyr, the large scale survey allowed the participation of more than 820 people, whose attachment to the river is now clear and perceptible for public authorities in place. In the Inn, the SPARE project made it possible to re-launch an integrated watershed management approach, by reinforcing the trust created between the local government, the foundation and the various stakeholders. In Dora Baltea, the participatory process made it possible to discuss the criteria used to assess water withdrawals and to include the points of view of a wider range of stakeholders in a subject usually confined to initiated technicians. In the Soča, the participatory process has provided some concrete lines of action for the Soča River Foundation.

Local decision-makers (as well as process managers) have been led to question participation. The project led them to clarify their objectives: who should be involved in water management, what for and in what ways? They were able to appreciate the added value of

involving citizens, in particular in terms of a better knowledge of the points of view of the inhabitants, but also of appropriation of the decision. However, they also measured the work, the means and the time needed to really involve citizens in decision-making processes and the risks involved. In any case, and even if all the decision-makers have not made a strong commitment to setting up participatory processes, the simple fact of questioning is already preparing some future changes in the institutions of strategic water planning.

With regard to the methodological approaches that were transferred by Irstea to support participation in strategic planning, different conclusions can be drawn. The SPARE project has been designed in a collaborative and innovative perspective, with the spirit of transposing pre-existing successful participatory approaches to the Alpine river systems and to develop new ones. Two kinds of participatory tools were therefore used with different expectations. Some participatory tools were already pre-existing and had already been tested in other river basins, in Europe and elsewhere. These include several tools of the CoOPLAaGE toolbox (e.g. Prepar, COOPLAN, M&E protocol). These tools were expected to be transferred, implemented and evaluated in the five case studies.

Other participatory tools were designed, developed and tested during the SPARE project. These include SMAG and MyRiverKit. The aim was for these tools to be tested and validated in the case studies. Testing innovative tools in places where the very conditions for participation are not always optimal may appear ambitious. Yet, it is a specificity and advantage of any research-action project which has to deal with both innovative and operational goals. SMAG and MyRiverKit have only been partially tested during SPARE Project but they will be improved in the coming months, as several project partners and observers expressed interest in using them.

The implementation of the PrePar method with citizens in the Drôme case study has provided many lessons. Framing participation with participants provides social and substantive learning among participants but it’s time and effort challenging. Participatory framing allows participants as well as process pilots to define, clarify and share the objectives of participation. It also helped participants identify the best ways to involve them according to their habits. Participating in the construction of the participation plan also allows its ownership by the participants. The process led, in addition to a participation plan, also to the formalization of the roles, the duties and rights of each and the operating rules of the participation. This allowed later to avoid or at least regulate the overflows. In terms of impacts, there was a rise in participants' skills both in how to participate well in oneself, but also in how to involve others (creating autonomous dynamics). On the other hand, the process revealed some difficulties. It was considered too long by the participants (it lasted 6 months). The exercise appeared to them difficult and abstract. While some participants appreciated defining the method, others were frustrated to discuss method before talking about the river. If we hoped for a greater involvement of participants in the participatory process, on the contrary the framing of participation discouraged participants who did not return. If this is to be done again, we recommend to shorten the duration, to discuss essentially the schedule of the main steps of participation plan (except if they are imposed by the pilot of the process), to choose the desired level of participation and the public ("political" choice) and to leave the precise choice of tools to the experts of participation (technical operationalization). Finally, the effects and impacts were generally positive, could we have reached the same with later involvement? Two questions remain: When and what information to provide to enable participants to participate in the development of the process? Is it not premature and ambitious to ask reflexivity of participants about participation when they have not yet themselves necessarily tested or experienced participation?

The multiplicity of participatory activities and tools implemented in the five case studies also raises questions regarding the amount of data produced. Indeed, participation generates data, be it opinions, proposals, choices, arguments, etc. This participants’ production must be dealt with by the process managers or facilitators, so that it can be analyzed and the results presented quickly to participants, non-participants and decision-makers. Without this, the process can be curbed, for example because participants do not have the information

needed to move forward or because new participants find it difficult to get into the process. The process can also be discredited because advances are not visible which can give the feeling that the work engaged is limited. The processing of the data produced by participants deserves to be anticipated, in order to rationalize its collection for instance, through limiting the questionnaires provided to participants to essential questions, or through automating the collection or treatment of data. In all cases the time and skills needed to do collect and analyse data should not be underestimated. The presentations of tools and the guidelines could be improved with more details on this point (type of data expected; method and time to process them, ...).

The monitoring & evaluation process, based on similar same-scale European projects (HarmoniCOP, Aquastress, NEwater, Afromaison), was expected to ensure a monitoring capacity, held by the local stakeholders and inducing sufficient reflexivity to foster better management at all levels, from policy makers to citizens. If some citizens were involved in M&E at the beginning, the major part was finally made by researchers. The projects of the Interreg program are based on a collaborative work between managers and researchers to test new tools in an operational way but the plurality of issues are somehow not so easy to conciliate: operational issues for the PCS, research challenges for researchers and contractual issues for the Interreg program. This indeed implies a complexity of monitoring and evaluation.

In terms of capitalization, the M&E procedure led to results which can be generalized and transferred via the SPARE “Action and Policy Support Service” : https://spare.boku.ac.at/index.php/en/. This would need practical validation in future experiments with the platform itself.

Annex 1 – Glossary

Table 19 - Glossary on roles and stakeholders (Source : D122 Report "Initial Guidelines on Stakeholders' Engagement and Year 1 Participatory Process in the PCS")

Name	Role
Facilitator	The local facilitator will be in charge of animating and facilitating all local actions / sessions with the various stakeholders. She/he must be used to organize and facilitate public participation in a multi-level context. She/he must be able to speak all local languages or dialects, and understand the essential cultural and social traits. She / he must be independent and acknowledged by all stakeholders as such: no specific personal agenda, no vested interest outside the success of the process. She/he must be aware of the issues although she/he is not expected to contribute to the content. She/he will attend all methodological workshops of the project; She/he must speak English.
Global observer	Observers whose domain of expertise is national or international, or larger than the CS territory. They can speak English and contribute to the international extension and relevance of the project.
Local evaluator	The local evaluator is a person in charge of implementing and synthesizing the local monitoring and evaluation process. In principle this person should be independent from the manager or the pilot group (to avoid self-evaluation). She/he should be used to policy evaluation processes (ideally a profile in social sciences), be able to speak the local language and know local conditions. She/he will have to animate the co-design of the specific local evaluation protocol, and then to organize protocols and structure data collected from observations, surveys, indirect processing, etc. Finally she / he should process these data so that they are shared in the SPARE common framework, in English. She / he may have to participate to some global project meetings dedicated to monitoring and evaluation.
Local observer	Observers whose domain of expertise is mainly inside the CS territory. They speak local language and participate to local adaptations of the process.
Process Manager	The local process manager is the person in charge of deciding and steering the whole local PCS process. She / he can be either a political person or an administrative manager. She/he must be able to mobilize others and maintain the dynamics. She/he must know the needs and constraints of the process. She/he should stay the same until the end of the project. She/he will participate to all project's meeting related to the PCS.
Partici-pation advisor (or coach")	Expert in participation in charge of supporting the manager and the facilitator in co-designing and steering the participatory process and its evaluation. Does not intervene directly locally. Only supports in background the implementation. Speaks English. Participates, to the extent possible, to all meetings where participation and evaluation are addressed
Pilot group	The pilot group is a local group of 5 to 10 persons, selected and led by the process manager, who seeks their help for understanding and covering the various issues, for connecting to the relevant networks, for mobilizing the other groups. Members must be trusted persons for the manager, with whom she/he can easily address sensitive issues and find solutions for the process. They must represent the whole territory, the main social groups and sectors, even indirectly. The pilot group **is not supposed to address and solve directly the management problems**. They'd rather **NOT have any current decision role to avoid tendency to overwhelm participation** It is in charge of facilitating and ensuring efficiency of the process. They must be open and interested in participation. They don't decide the process. They advise and support it. They will attend only local management meetings; hence they are not supposed to speak English. Some can technically be also formal local observers.
Represent ative group (aka. Panel, assembly)	The representative group is **a smaller working group than the entire population but supposed to represent it and act on behalf of it** (as a legal court jury). Gathering a minimum of 25 people, it must represent the entire river system users and concerned populations. It should be representative in terms of water relation, geographical location, age, gender, and activity. This group will be dynamically identified after a stakeholders analysis, but it should stay globally the same throughout the project. It should include "unusual" participants, absent from the classical institutions. Members will be expected to participate actively to different activities: initial expectations, local methods training, PRE-PAR based design of the participation (about 2 days) / decision procedure, problem and policy framing, situation description / modelling, options proposal, options integration in strategies, strategy testing, implementation discussion, social extension, support and legitimacy. In total over 18 months they may be invited to a total of 6 or 7 activities. They may be supported financially therefore. All activities will be in local language.
Stake-holder	Any person who has an interest, who impacts or is impacted by the territorial project, or its consequences. Includes every habitant, experts and researchers, tourists, even national policy makers when they address local issues. NB often "stakeholders" is understood in a limited sense, restricted to intermediary or representative stakeholders.

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