



PUTTING IN PLACE A MORE COOPERATIVE DECISION-MAKING PROCESS FOR EUROPEAN UNION TRANSPORT POLICIES AND PROJECTS



European Economic and Social Committee



IFOK.

European Economic and Social Committee

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Final Study

Putting in place a more cooperative
decision-making process for European
Union transport policies and projects

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Executive Summary

In 2013 the European Economic and Social Committee's Permanent Study Group on the Transport White Paper commissioned IFOK with drawing up a study on civil society involvement in European transport policies and projects. The aim of the study is to identify existing good practices in the field and, building on their assessment, to develop possible approaches for the EESC by which it can contribute to more participatory decision-making. Additionally, the study identifies a possible process for the development of a set of guidelines on civil society's and citizens' involvement in European transport policy and projects.

The study draws both on research and interviews conducted specifically for it, and on IFOK's wide-ranging expertise and long-standing experience in the design and implementation of tailored participative, deliberative and consultative processes. It is intended for policy and decision-makers, and civil society representatives, both within and beyond the EESC. As such it has been written from a user's perspective, focussed on providing practical and actionable insights and expertise.

The **four case studies** spotlight some of the wealth of different methods available for involving citizens and civil society in transport projects and policies. Importantly, they highlight **eight lessons learned**. Most notable amongst them is the value of an early and substantive involvement of all relevant stakeholders, the centrality of transparency and active communication about the process and its outcomes, and the essentiality of ensuring the process has an impact.

In the **toolbox of approaches for effective participatory decision-making**, five tailored possible approaches for the involvement of citizens and civil society have been developed for the EESC. The range from low-hanging fruits – easy and quick wins for greater civil society involvement in the EESC's work – to more ambitious processes, or ones specifically tailored for certain policy fields. All **highlight the central role of the EESC** in bringing in civil society's voice into European policy and decision-making, and show how this can be done in an even more collaborative manner.

The concept put forward for the **development of a set of guidelines** for civil society and citizen involvement in European transport policies and projects makes use of the learning and expertise captured in the study. It highlights how the benefits of deliberation and participation can be captured by the EESC as it works to establish a more cooperative decision-making in Europe.

1. Introduction and Background

The European Union (EU) has recognised the key role which transport plays in achieving a more sustainable development. It is central to enabling the EU to meet its renewable energy, climate protection, and resource efficiency targets, whilst also a key component in its drive towards smart, sustainable and inclusive growth.

The European Commission's 2011 Transport White Paper sets out ambitious targets to reduce greenhouse gas emissions, increase the use of low-carbon fuels in transport, phase out conventional fuels, and bring about modal shift in transport, without thereby curbing overall mobility. Significant technological advancement, investments in infrastructure and research, and, additionally, behavioural and policy changes are all key to making this happen. These complex changes require broad-based engagement of a broad variety of actors if they are to enjoy the long-term support necessary for their successful implementation. A stronger, more inclusive and systematic involvement of citizens and civil society in European transport policy will, therefore, be a prerequisite for success.

This has been recognised by the European Commission, and is being acted upon by the European Economic and Social Committee (EESC). The Committee is already uniquely placed to identify and put forward the plurality of views of civil society through its mandate and membership, and to leverage action through the networks at its disposal. Building on this, the EESC has been asked by the Commission to start a dialogue on the implementation of the White Paper, involving civil society, the European Commission and other relevant actors.

a. Aims of the Study

The Committee decided to take up the request made by the Commission and has set up a Permanent Study Group "Implementation of the White Paper on Transport", which will propose innovative participative decision-making processes. To support its work, the Permanent Study Group has commissioned this study into how more cooperative decision-making processes might be put in place for the work of the EESC in general in the implementation of the Transport White Paper in particular.

Thus the study aims to:

- **Describe and critically assess** four concrete cases of participatory decision-making processes in the field of transport policy;
- **Propose** a toolbox, to be implemented by the EESC with limited resources, consisting of five effective participation approaches that can add value to the European Union policy-making process, the work of the EESC and in the transport area;

- **Prepare** a concept paper about future guidelines for citizens' and civil society participation in transport policies and projects.

b. Overarching Approach and Methodology of the Study

The overarching approach taken by the consultants is one focused on the practical implementation by the EESC of the analysis and recommendations drawn up. Robust research and analysis will be combined with extensive, long-standing practical experience in implementing participative processes to help ensure the greatest possible added value and applicability of the study.

For each of the key elements of the study, the following steps have been applied for implementing the study:

- The **descriptions of the cases** are drawn up on the basis of extensive desk-top research, using a variety of sources and documentation of the projects under analysis. This research has been augmented, where necessary, by interviews with relevant actors (the project managers, key stakeholders etc.) to give as rich and comprehensive a picture as possible.
- The **analysis of the case studies**, in particular the identification of critical success factors, builds on the features of the case studies and the information presented. Additionally, the expertise and experience of the consultants informs on this analysis, helping to ensure the translation of success factors into actionable features for future activities.
- The **approaches** put forward seek to meet the goals set out by the EESC, enabling action and interventions at specific points in decision and policy making processes, and for specific purposes. The approaches build mainly on the consultants' expertise in designing tailored, impact- and outcome-orientated participative processes, and reflect the critical success factors identified in the analysis of the case studies.
- The final element of the study, the concept paper for possible **guidelines** for citizen and civil society participation in transport policies and projects, will also draw on the analysis put forward as well as on the consultants' experience.

2. Examples of successful participatory Decision-Making in the Transport Area

a. Overview of the Case Studies

The four case studies detailed below were selected according to a number of key criteria relevant for the aims of the study and the knowledge being sought. The initial criteria put forward by the EESC were augmented by the consultant based on experience and honed in consultation with the EESC, before being applied for the selection of suitable cases from the field of transport policy and projects.

	Criteria											
	Arnstein level	From the field of Transport policy	Use of internet-based participation methods	Geographical spread	Geographic scope				Substantive scope		Output/Impact	Comprehensive information/Documentation
					Local	Regional	National	European	Policy	Projects		
Mobility and Fuels Strategy for the German Government	6			DE								
Frankfurt airport	6			DE								
New public transportation consultations in Tartu	4			EE								
Dialogue Forum Feste Fehmarnbeltquerung	5			DE-DK							tbd	tbd

Between them the case studies span the local, regional, national and European levels in their geographic scope. Additionally, they also cover both transport policy and projects. Importantly, all cases

- Can be positioned quite highly on the Arnstein ladder of participation, ranging from consultation (4) to partnership (6);
- Make use of both online and analogue formats for engagement and information provision;
- Have an impact on decision-making (if to a varying degree), and
- Involve both stakeholders and citizens in a combination of ways.

The descriptions of the case studies below give an overview of the key features and context in which the project was initiated, highlight the methods and processes used, and give insights into the key success factors of the individual cases.

Case Study I

The German Government's Mobility and Fuels Strategy (MFS)

Die Mobilitäts- und Kraftstoffstrategie der Bundesregierung (MKS)

Summary

In 2012-2013, the German Federal Ministry of Transport, Building and Urban Development developed a broadly designed and technology-open Mobility and Fuels Strategy, with the aim of bringing about a paradigm shift towards a low carbon society through more sustainable transport and mobility. The strategy was developed on the basis of a comprehensive participatory process which involved experts and stakeholders from all sectors, as well as the public. During the process, participants considered the different technological options for fuels and transportation technologies. The aim thereby was to foster a common understanding amongst actors from politics, business, academia, and civil society of the goals and potential measures to be contained in the strategy.

The German government debated and passed the Strategy in the summer of 2013. Following this, the German government decided to continue the MFS dialogue process as a “learning strategy”, so as to implement its targets and approaches together with stakeholders.

Additionally, in August 2012 the German Federal Committee for Sustainable Development formally recognised the MFS process as a Flagship Initiative of the National Sustainability Strategy, praising its innovative and exemplary character, the effective cooperation between various actors and its contribution to spreading the concept of sustainability.



Basic Information

The Mobility and Fuels Strategy (MFS) is a broadly designed and technology-open transport and mobility policy strategy, designed to help achieve the country's CO₂ emissions reduction targets.

The process was initiated by the German Federal Ministry of Transport, Building and Urban Development (BMVI). More than 250 experts and stakeholders were involved, working in different deliberative formats and using different consultation and dialogue methods. In addition, more than 100 citizens took part in a two-day “practical dialogue”. A consortium of scientists and academics supported the whole dialogue process. IFOK GmbH designed and led the dialogue process by which the strategy was developed, contributing process management, facilitation and additional outreach support.

Location: Germany

Duration: March 2012 – 2014



Description of the Case

Departure Point for the Development of the Mobility and Fuels Strategy

The transformation of the energy system in Germany plays a pivotal role in achieving the country's environmental and energy policy objectives. This includes addressing the challenge of ensuring a reliable, economical, affordable and environmentally friendly energy supply, within the strictures of climate change. The reorganisation of the German energy system as part of the *Energiewende* (energy transition) affects the transport sector to a notably high degree: Today, the transport sector accounts for some 30% of final energy consumption and for about 18% of total CO₂ emissions. Moreover, 95% of all transport depends on fossil fuels and thus modes of transport, climate targets and renewable energy are closely linked.

As a consequence, the transport and mobility sector in Germany is of vital importance for achieving the German government's energy policy targets. The 2010 Energy Concept defined a reduction target for the transport sector of 10% by 2020 and of by 40% by 2050 for final energy consumption. Greenhouse gas emissions across all sectors are to be reduced by 40% by 2020 and by at least 80% by 2050 (baseline: 1995). No specific greenhouse gas reduction targets were set for the transport sector in the Energy Concept. Meanwhile the German government's Energy Concept specifies that renewable energies are to account for 18% of gross final energy consumption by 2020 and 60% across all sectors by 2050.

In addition, existing European regulations have a significant impact on energy supply in the transport sector in Germany:

- The EU Fuel Quality Directive (FQD 98 / 70 / EC) specifies a six per cent reduction in the lifecycle greenhouse gas emissions of the fuel / energy source by 2020, compared to 2010.
- The EU Renewable Energy Directive (RED 2009 / 28 / EC) specifies that renewable energies (RE) should account for at least 10% of total final energy consumption by 2020 in the transport sector for all modes of transport.
- EU Ordinances 443 / 2009 and 510 / 2011 define CO₂ efficiency targets for passenger cars and light-duty vehicles that lead to considerable energy savings.

The measures highlight the need to rethink and to reorganise the transport and mobility sector in Germany. This includes a critical assessment of current modes of transport and the investigation of renewable and sustainable modes for the sector. Different pathways need to be pursued in order to meet European and national targets: Firstly, a step-by-step shift from petroleum towards alternative fuels and especially to renewable energies; secondly improvements in vehicles' fuel and energy efficiency, and thirdly a change in transport behaviour.

Given the complexity of these different pathways, a systematic approach which embraces all

relevant areas of transport and mobility is crucial. Moreover, for successful and long-term implementation, the paradigm shift within the transport and mobility sector requires broad-based engagement and strategic involvement of a wide variety of actors, citizens and civil society.

The Overarching Idea of the MFS

Against this background and the request for a systematic approach towards a more sustainable transport system, the German government has drawn up the Mobility and Fuels Strategy (MFS). The strategy includes all modes of transport, ranging from road and aviation to rail and shipping. All forms of innovative technologies and alternative energy sources are considered in order to reduce both final energy consumption and CO₂ emissions.

Overall, the Mobility and Fuels Strategy (MFS) seeks to:

- Provide a comprehensive and in-depth information and orientation on the current status, opportunities and challenges of the options for energy and fuel for the various modes of transport;
- Broaden the knowledge base on issues of energy and technology in the transport sector;
- Analyse the framework conditions and to prioritise targets;
- Identify ways in which the Energiewende can be implemented for transport in the future;
- Contribute to the European and international debate on transport, its development and modes.

The drafting of the Mobility and Fuels Strategy was preceded by a comprehensive dialogue process, involving all relevant sectors and interest groups. Once the strategy was drafted on the basis of this input, it moved into an implementation phase as a “learning strategy”. As such, additional input, new insights and innovations continue to be contributed by stakeholders and experts.

The whole strategy development process, from its inception and development to its implementation, is subdivided into the following steps:

- i. Phase 1: Preliminary studies
- ii. Phase 2: Dialogue process
- iii. Milestone 1: Passing of the MFS
- iv. Phase 3: Implementation as a learning strategy

The constant documentation of activities throughout the MFS’ dialogue process helped ensure a high level of transparency, strengthening the level and quality of experts’ engagement and citizens’ involvement as a result. A documentation of each event in the dialogue process was drawn up and made available for download via www.mks-dialog.de. The website represented an

important communication channel for the project: It continuously informed about the process, additional activities and programmes, and about events. A newsletter was also issued with regular updates and information for anyone interested.

The strategy development process was designed, managed and implemented by IFOK and the Wuppertal Institute for Climate, Environment and Energy. This included the implementation of the multi-stakeholder dialogue. The organisations' work and the process for developing the strategy were coordinated and communicated to the public via the MFS "project office", which acted as the central contact point for the public, and as the face of the initiative



Methods and Process

Achieving a low carbon transport and mobility system constitutes a challenging task, in need of a systematic approach and multi-stakeholder engagement to help convene dispersed knowledge on the issue and to build support for possible solutions. The aim of the MFS was therefore to engage and build a broad alliance of actors from politics, business, academia, research and civil society through a broad-based and technology-open consultation process. The dialogue process for the development of the strategy and its subsequent implementation provides a framework within which representatives from these groups can discuss their views, and contribute their expertise and experience. The consultation process to gather input for the strategy, and the process surrounding its implementation are characterised by the varied but targeted use of open deliberation and dialogue methods: Different types of workshops, expert fora and other stakeholder events were used to bring about an outcome-orientated debate, the results of which contributed directly to the Mobility and Fuels Strategy.

Set-up and Design of the MFS

i. Phase 1: Preliminary studies

The first step in the MFS process was the conduction of a preliminary study by the German Energy Agency (dena) in 2011. The aim of the study was to investigate stakeholders' expectations regarding trends in the transport sector. These stakeholders included the academic and research community, stakeholders from business, as well as interest and lobby groups. The design of the dialogue process built on the outcomes of the preliminary study and learnings from the Federal Government's 2004 fuel strategy.

ii. Phase 2: Dialogue process

More than 250 experts and stakeholders from all sectors, as well as the general public, were

involved in the dialogue process, which took place over a period of several months. The aim was to foster a common understanding of goals and potential measures to be contained in the strategy among actors from politics, business, academia, and civil society.

During the process, experts, citizens and stakeholders examined different technological options for fuels and transportation technologies, discussed transport and energy on a cross-industry and cross-energy basis, weighed up possible options, and reconciled conflicting interests. On the basis of these outcomes, policy makers then drafted the Mobility and Fuels Strategy.

The dialogue process for the development of the MFS was composed of a series of closely integrated individual events, workshops, discussions etc., which each addressed a clear substantive purpose during the dialogue process.



(Source: own diagram BMVBS / IFOK)

Initial Workshop

The dialogue process started with an initial workshop on the idea of the MFS, which took place in March 2012 in the Federal Ministry for Transport, Building and Urban Affairs (BMVBS) in Berlin. The workshop addressed the question of how to integrate the Federal government's environment and energy targets into the MFS. Furthermore, it looked at what had to be considered at the international and European levels. The initial workshop reached out to various stakeholders from science and research, politics, academia and civil society.

Joint-Fact-Finding Workshops

A series of seven joint-fact-finding workshops addressed specific topics on drive systems and fuels, and took place in the second quarter of 2012 in various German cities, involving more than

230 participants. Participants from science, politics, academia and civil society identified different perspectives on the issues and gained an insight into the actual controversies surrounding them. As such, participants built up a detailed picture of the issues surrounding fuels and drive systems.

Three of the workshops were held on the subject of fuels (fossil fuels, biofuels and new energies as fuels), and four workshops were held on different drive systems for different transport modes (road transport, rail transport, shipping and air transport). Participants received a detailed background paper as preparation for the workshops. This also served as a guideline for the participants during the workshop.

Technical Meetings on Overarching Questions

The joint-fact-finding workshops identified a number of open questions, and cross-cutting, overarching issues with relevance across the different transport modes, fuels and drive technologies. These were addressed in a series of five technical, expert discussions which took place in the third quarter of 2012 in Berlin and which involved more than 350 participants. Experts on the issues presented input and shared insights. Participants were able to pose questions and engage in in-depth discussions. Controversial and trenchant issues and action recommendations were also addressed.

Citizens' Forum

Citizens' opinions about sustainable transport and mobility were incorporated into the dialogue process through a citizens' forum. The aim of the forum was to reflect on the interim results of the initial series of workshops and discussions. Some 80 randomly selected citizens were called upon to reflect on the current proposals and results, and to weigh up their value from the perspective of transport users. They were able to introduce their subjective perspective into the input being presented to the government and which formed the basis for drafting the strategy. During the two-day citizen forum participants discussed questions such as: Which aspects are important for us as citizens within the context of transport and mobility? And furthermore: which other aspects should be discussed in more detail for the development of the Mobility and Fuels Strategy?

Participants received a preparatory topic paper which provided an overview of the key aspects and results of the stakeholder and expert discussions so-far. The forum's participants worked in small groups to deliberate and identify their solutions and ideas. These discussions were professionally facilitated, their outcomes fully and transparently documented through the use of modern technology, and supported by additional scientific input: Experts from the fields of transport, energy and mobility were on hand to answer citizens' questions.

In addition to the two-day citizens' forum which took place within the MFS process, four

additional, separate dialogues sessions were organised by another project partner of the Ministry. These events were held in the towns of Passau, Frankfurt am Main, Stade and Dresden. The results were directly passed on to the BMVBS.

Federal States' Forum

The German Federal States have an important role to play in the implementation of transport policy, and thus of Mobility and Fuels Strategy. A dedicated discussion event for representatives from the country's 17 Federal States was therefore held in Berlin. Representatives of the states' transport ministries had the opportunity to discuss their questions, suggestions and concerns directly with the German Federal Ministry of Transport, Building and Urban Development. These reflections and implications were taken on-board for the eventual drafting of the strategy.

Workshops for Drafting Recommendations

The concluding round of workshop sessions within the dialogue process constituted three workshops in which participants from the different sectors of science, politics, academia and civil society conducted and formulated guidelines and recommendations for the drafting of the Mobility and Fuels Strategy. Additionally, a fourth event checked the consistency of the outcomes and recommendations prior to the drafting process.

An outline of the main results and issues arising from the events held up until then was drawn up for participants in preparation for the workshops. At the events, the 250 participants developed their recommendations for the drafting of the Mobility and Fuels Strategy. Participants had two ways in which to engage in the workshops: They could either hand in their points of view in writing prior to the workshop, or they could present their positions in the different working groups during the workshops.

iii. Milestone 1: Passing the MFS

Following the comprehensive engagement process, the Ministry set about drafting the actual Mobility and Fuels Strategy, drawing on the input and recommendations arrived at through the stakeholder dialogue process. The Mobility and Fuels Strategy was then debated and passed by the German Cabinet on the 12th of June 2013.

On the 19th of June, the Federal Transport Minister Dr. Peter Ramsauer presented the MFS at an outcomes conference in Berlin. The event sought to recognise and to applaud the success of the dialogue process for the development of the Strategy. The event gave participants – largely from the political sphere – the opportunity to discuss how to promote the idea of stakeholder engagement and citizen involvement. Participants emphasised their interest in staying engaged in the implementation and the subsequent follow-up of the MFS.

iv. Phase 3: Implementation as a learning strategy

The implementation of the MFS takes place through the Strategy becoming a “learning strategy”: As such it will continue to evolve, and will be updated and modified as new insights, technologies and developments emerge. A combination of technical and expert analysis and active, substantive stakeholder exchange form the basis for this further development and implementation.

Implementation of the Strategy as a learning strategy helps address the continuous changes taking place in the transport and mobility fields. It also accommodates the very strong interest expressed by the participants of the dialogue process to remain engaged in the strategy and with each other.

Amongst the “learning structures” being implemented is creation of relevant networks, and the establishment of flexible settings for the exchange of opinions amongst stakeholders.

Currently, a number of studies are being published on select key issues identified as important or in need of closer analysis during the dialogue process. These studies are accompanied by technical or expert discussions with stakeholders, the outcomes of which are then integrated into the Mobility and Fuels Strategy.

To-date the issues of liquefied natural gas (LNG) as an energy source for shipping and Power to Gas (PtG) have been analysed and addressed in this way. Involving some 90 stakeholders, the two events gave them the opportunity to exchange their views on the opportunities, challenges and prerequisites for the implementation of these new technologies in the maritime and public transport sectors, with the outcomes documented in real-time.



Success Factors

The Mobility and Fuels Strategy’s success can be measured by its adoption by the German Government in June 2013, the interest of various stakeholders and actors to remain engaged in the process, and in the recognition it received from the German Federal Committee for Sustainable Development which formally recognised the first consultation process for the development of the MFS as a Flagship Initiative of the National Sustainability Strategy in August 2012.

The critical factors in the process’ design which helped bring about this success are:

- i. The early, substantive involvement of diverse experts and stakeholders,
- ii. New networks for cooperation between stakeholders, citizens and policymakers,
- iii. Transparent communication, and

iv. Neutral, professional facilitation of outcome-orientated deliberations.

i. Early, substantive involvement of diverse experts and stakeholders

The dialogue process to draw up the MFS and the Strategy's implementation as a learning strategy represent a new approach by the German government in drawing up and implementing transport and mobility policy. It allowed for the early engagement of experts, stakeholders and citizens – and, importantly, in a central, substantive role. Participants contributed their specific knowledge and expertise to the development of the strategy, rather than being consulted on an already formulated document. This helped build understanding and knowledge among participants for the options, opportunities and trade-offs of different technologies and policy options. This has helped build acceptance of the project and its outcomes: The acceptance and buy-in to the strategy by stakeholders was stronger through the MFS process and stakeholders' involvement from the outset than would be the case through a traditional consultation process on a pre-formulated strategy.

This buy-in and ownership for the results can, additionally, be maintained as participants continue to remain involved with the strategy through its implementation process. As such they continue to contribute to the strategy and are offered opportunities to maintain the networks they were uniquely able to build through the dialogue process.

The involvement of a diversity of stakeholders and experts helped ensure that the options and technologies under discussion were weighed up from different perspectives, including a technical, economic and societal perspective, as well as from a user perspective through the active involvement of citizens.

Involving stakeholders early on in the process also allowed for an adaptive and flexible approach to the process' design. All dialogue events were originally to be held in different cities throughout Germany, reflecting its federal structure and the importance of the state level in this policy area. However, with most transport-related institutions and actors located in Berlin, it became clear that a number of important organisations and actors would not be able to attend if the dialogue events took place elsewhere. As a result, it was decided to host the events in Berlin and to augment this with the Federal States' Forum, thus providing a platform for the perspectives of the Federal States.

ii. New networks for cooperation between stakeholders, citizens and policymakers

One of the aims of the MFS was to create strong alliances among actors from politics, academia, research, business and civil society active in the field of transport and mobility. The various events of the dialogue process provided an appropriate framework for bringing about and for intensifying the exchange between the participating actors. They offered a platform for them to build networks. At the events, participants were able to discuss specific topics in detail, to answer questions through a substantive dialogue with experts but also to express their concerns.

All this helped to both build networks amongst participants, and to strengthen the quality and the level of their engagement. These went far beyond mere information exchange or provision.

iii. **Transparent communication**

The various steps, events, inputs and outcomes of the MFS process were all transparently communicated to all participants and to the general public from the very outset. This took place both in the context of the events, via the project's website and newsletter, and through answers to enquiries directed at the project office. Opportunities for different actor groups to engage were clearly communicated, and interested parties and the public could apply to take part. Additionally, they had one central point of contact with the process via the project office. These steps helped ensure a very high level of transparency surrounding the project and to thus strengthen acceptance of the process, its outcomes and its recommendations.

iv. **Neutral, professional facilitation of outcome-orientated deliberations**

All events and steps within the MFS process were designed with a clear outcome in mind. Participants gathered to discuss issues, contribute their expertise and make recommendations with a clear structure to their deliberations and a common goal to work towards. This helped ensure motivation to participate in what was perceived to be a valuable process, and a respectful use of their time. Additionally, they were supported in their work with the necessary materials, information and expertise to help them arrive at the outcomes agreed upon for the events. Unbiased briefing papers, additional expert input to hand and relevant information were all at their disposal.

Importantly, the work of the participants at the events was professionally facilitated by neutral facilitators. This helped ensure a fair process for the discussions, and that the outcomes were a true representation of the opinion of the groups. Importantly, it also allowed for differing perspectives, nuances in positions as well as areas of strong agreement or disagreement to be captured throughout the process.

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Case Study II

Regional Dialogue Forum Frankfurt Airport (RDF)

Regionales Dialogforum Flughafen Frankfurt (RDF)

Summary

The expansion of Frankfurt Airport represented one of the largest and most controversial infrastructure projects in Europe. In 1998, the state government of Hesse initiated a two-year mediation process on the airport's expansion – the largest such process to-date in Germany. In 2000, a “mediation package” was agreed upon, representing a shared solution accepted by practically all the parties involved the conflict up to that point. The mediation package resulted in the establishment of the Regional Dialogue Forum for Frankfurt Airport, which led the dialogue process in the airport region between 2000 and 2008. On the initiative of the state government of Hesse, regional stakeholders and the general public were involved in a structured, opinion-forming and proactive dialogue process.

The proactive dialogue with the general public was conducted using methods such as information events, podium discussions, internet forums, newsletters, focus group events, role-plays in schools, an advisory citizens' office, and information stands in the region's market squares. Joint clarification of the facts provided a transparent basis for decision-making.

As a direct outcome of the work of the RDF, a ban on night time flights was submitted by the Federal Administrative Court (BVerwG) as well as an anti-noise package for future noise protection, adopted by the Hesse state government in 2012.



Basic Information

The Regional Dialogue Forum (RDF) was an advisory body composed of around 150 stakeholders from various fields. It facilitated a sustained regional discourse, considering any issue related to the development of Frankfurt airport and its potential consequences for the region. The RDF covered a period of eight years and resulted in the follow-up project “Forum Airport and Region”.

The aim of the RDF was to negotiate a consensus between the contrary interests surrounding the expansion of Frankfurt airport. This necessitated a holistic approach of civic participation and mediation, as well as joint clarification of pressing and conflict-laden issues, such as noise. The methods used ranged from joint fact finding to a citizens' dialogue, from a mediation congress to role plays with pupils. 150 representatives of the RDF supported the dialogue process. More than 4 600 citizen took advantage of the advisory services of the citizens' office.

Place: Frankfurt, Germany

Duration: June 2000 – June 2008

People involved: 150 representatives of the RDF



Description of the Case

Departure Point for the Development of the Regional Dialogue Forum

Today the international airport Frankfurt/Main is one of the largest passenger airports in Europe and one of the most important aviation hubs worldwide. Since the construction of the western runway (Runway 18 West) in 1984, and an additional runway in 1997, the flight and passenger figures have been increasing on a constant basis: While 29 million people were transported in 1990, 57.5 million passengers were recorded in 2012.

Despite its importance for mobility and transport, the continued expansion of Frankfurt airport has always been accompanied by vehement and controversial opposition. Central to the conflict over the expansion over the past decades were the different interests of the stakeholders and of the predominantly negatively affected local residents: Whilst supporters of the project stressed the positive economic impact of the expansion thanks to increased capacity, opponents proclaimed the negative impact of noise due to increased air traffic as well as its negative effects on the environment. Moreover, opponents questioned the utility of the additional runway. After the construction work of Runway 18 West was completed in April 1984, the conflict reached a tragic climax in 1987 when two police officers succumbed to their injuries following attacks by two representatives of the militant part of the Frankfurt airport protest movement. This violent conflict was nationally perceived as a symbolic and ideological fight of civic movements against capitalist expansion efforts. The protests and the deaths of the police officers made a lasting impression on the Federal State of Hesse: When the Frankfurt aerospace announced new expansion requirements in 1997, it was stipulated that any protests against an additional runway not escalate to the levels seen in the previous decade. As a result, the Government of the State of Hesse sought to bring all sides to the negotiating table as early as possible, and introduced a mediation process. The aim of the mediation process was to negotiate a compromise between the economic interests of Frankfurt airport and the needs of Hesse's citizens to maintain their quality of life.

Through the mediation process a comprehensive package of recommendations for measures in five key areas: the expansion of the airport, the general ban on night time flights, an anti-noise-package, improvement of the efficiency of airspace and airport use through technological innovation and process organisation, and the establishment of the Regional Dialogue Forum Frankfurt airport (RDF). After three days of hearings, the majority of the Hesse State Parliament voiced its support for the mediation package in May 2000 and it was adopted as a result.

The Overarching Idea of the RDF

The intention of the RDF, created in 2000 by the Government of the State of Hesse, was to continue and to intensify a fair and open dialogue process, building on and following on from the mediation process which took place between 1998 and 2000. The primary question to be addressed by the Forum was 'How is the Frankfurt Airport developing, and what impact will it

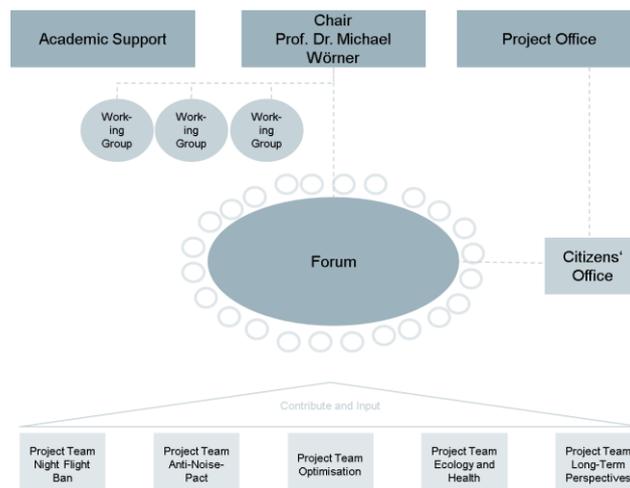
have on the Rhine-Main region today and in the future?’ The overall aim thereby was to build consensus between stakeholders, and to increase acceptance, for the expansion of Frankfurt airport. The Forum was designed to oversee the implementation of the agreements arrived at by the members of the mediation process. The RDF acted as an interface between citizens’ concerns and political decision makers. In doing so the RDF and its members gained significant and wide-ranging expertise through the RSF process, enabling it to also act as an advisor to official bodies throughout the formal decision making procedures.

After the adoption of the rules of procedure for the RDF, the appointment of the members of the Forum and the definition of the work programme, the Hesse Government issued the following mandate (working tasks) to the RDF:

- Understanding and cooperation through dialogue,
- Consulting of the formal and legal procedures,
- Objectivity through information and clarification of the facts,
- Guardian and impetus of the mediation process.

The Structure of the RDF

The different work packages were implemented by 150 stakeholders in total, drawn from all relevant sectors and citizens’ initiatives, who worked in different committees. In the Forum 34 institutions reflected upon the frameworks of the project and assessed the experts’ reports which provided the foundation for the Forums’ decisions. Thus, the Forum itself had no decision-making competence, but, rather, made appropriate recommendations for the further development of the airport expansion project. The Forum was technically supported by five Project Teams which deliberated on the technical or scientific aspects of noise-protection, night-time flights, ecology, health, and process management.



The Project Teams received additional assistance in terms of expertise and recommendations from smaller Working Groups (not shown on graphic). These smaller Working Groups consisted

of different actors from business, state and municipal authorities, science, academia and NGOs.

Overall, the RDF was chaired by Prof. Dr. Michael Wörner.

Members of the Working Groups of the chairman of the RDF, Prof. Dr. Wörner, assessed and negotiated the different options provided by the forum and its potential implementation. The nomination of members for the RDF took place based on the interests and experiences of the members of the dialogue process. Given the truly ground-breaking nature of the process, and it being heavily politicised, the procedure was continuously re-assessed through the help of temporary working groups and additional experts' opinions.

The team from the Öko-Institut e. V. provided scientific backing to the RDF. Scientists supported the work in the Forum, the Project Teams and the Working Groups. They placed special focus on the scientific verification of the arguments raised in the discussion.

IFOK designed, facilitated and coordinated the mediation process, public relations, project management, strategic planning, event planning, media contacts, organisation of the Project Teams, and print and online communications for the RDF.



Methods and Process

The conflicts seen in the context of the expansion of Frankfurt airport necessitated a holistic, proactive approach of civic participation and mediation. Such a process had to offer a genuine opportunity for the public to become involved in the decision making process, as well as provide scientific clarification of pressing issues. The methods used for these two aspects were set up according to the overall aims of the RDF.

Methods and Tools of the RDF

The RDF dealt with a large number of topics and questions related to Frankfurt airport such as:

- economic consequences of the expansion and its impact on the job market,
- environmental issues,
- human health,
- the social structure of the local communities, and
- house prices (which to-date have not been analysed scientifically).

Especially in the beginning of the debate there were serious concerns, such as that an increase in aircraft noise would lead to reduced life expectancy or to a decrease in property values. Addressing these issues at an early stage was crucial in order to prevent conjectures and to create an atmosphere of acceptance and trust.

Topics and questions for the work of the RDF were based on a work programme drawn up by an

advisory scientific committee and adopted by the Forum itself. Like a project map, this annually updated work programme clarified the links between individual discussions and activities, and provided an overview of the status quo of each sub-project.

So-called joint-fact-finding methods were central to the work of the RDF. Through this way of working participants formulated common guidelines for the process procedure in a transparent and structured way.

Joint-fact-finding

Joint-fact-finding is a methodology within the context of consensus building among stakeholders. In a structured, collaborative process, the stakeholders define and identify technical and scientific questions related to a certain field. Together with qualified experts, the stakeholders refine, analyse and interpret the information for further decisions and actions.

These methods were also used within the context of expert discussions and expert hearings. Expert discussions outlined the main issues of certain problems whilst expert hearings were used to then answer the questions thus identified. The members of the expert discussions and hearings came from various disciplines, which allowed reflection on the problems and questions from different angles. In ensure the highest quality of information and knowledge was available, the RDF commissioned additional studies from organisations throughout Germany. The commissioned researchers had to report their interim results to the respective project team at regular intervals.

Though never codified, the working of the RDF was characterised by a shared normative understanding of the Forum and its work: the interaction of the members was characterised by principles of mediation and dialogue, transparency, fairness and impartiality. According to the Forum's Rules of Procedure, members of the RDF were encouraged to implement a respectful and trustworthy communication and negotiation style through active listening, to present their perspective in a negotiable matter, and to endeavour to achieve mutual recommendations. Equally, in dealing with the scientific expertise which was central to the work of the RDF it was as important for members to preserve openness and the willingness to learn continuously, but also to navigate the process towards concrete decisions.

In order to balance the needs of an open dialogue but also an outcome-orientated process the aspect of transparency was of the high importance. Members of the RDF received all relevant information for the meetings in advance, and were able to download all protocols of previous meetings via the RDF Intranet. Following the meetings, the results were made available to the public.

The RDF's broader Engagement Process

The involvement of the general public in the RDF process played a pivotal role in gaining

citizens' acceptance for the airport's expansion, and served not least to avoid violent confrontations as had happened in the past. While the Forum and its expert advice aimed to objectify the debate, a broader engagement process focused on communications and building acceptance through dialogue, targeted towards citizens and the general public.

In order to enable a large number of people to become involved in the RDF process, the RDF initiated two pathways for citizens to take part: first, participation took place through their elected representatives and representatives of their interests/of accepted interest groups through the members of the RDF. Second, a transparent and comprehensive process of direct citizen engagement was implemented.

The Citizen Engagement Process

The citizen engagement process was implemented by several institutions and using numerous formats. These included: an informative and advisory citizens' office, public dialogue events, a mediation congress, print and media dialogues, as well as classical public relations. Discussions directly with citizens produced valuable feedback which was incorporated into the on-going development process of the airports' expansion.

- #### The citizens' office

The aim of the citizens' office was to enable the exchange of information between the Regional Dialogue Forum and the general public, offering them a platform for conveying their opinions, addressing their information needs and delivering requests from affected citizens. It was the central service point for the general public and provided up-to-date information on the construction of the airport and the related issues such as noise, economic development and impact on the environment.

The citizens' office was not merely a stationary helpdesk which citizens had to go to lengths to access and of their own accord. Rather, it also offered a mobile information service, enabling the citizens' office to actively reach out to the public and extend its reach to a maximum number of people. The mobile information service – effectively an information stand which distributed information about the RDF, was staffed by knowledgeable support staff or members of the Forum and was set up in busy shopping streets etc. where the general public was easier to access – was mainly deployed whenever a central milestone in Forum's negotiations had been reached. This enabled it to quickly relate information and to be accessible at important junctures in the process.

An additional service of the citizens' office was to lend out sound measurement devices and aircraft noise maps to local residents so that they could collect data on noise pollution in their immediate environment. The citizens' office then evaluated the collected data for the residents. More than 270 people made use of this service.

Furthermore, dialogue discussions were organised by the office in public institutions, during which experts answered the public's questions. Also, a special engagement format, in the form of a role play was developed for school children by the citizens' office. The role play encouraged pupils to address the different perspectives of stakeholders in the airport's expansion, helping them develop a differentiated view of the project, and to enhance their ability to deal with conflicts. The role play reached more than 28 schools, 63 school classes and 1 800 pupils.

- **Public dialogue events**

The aim of the public dialogue events was to communicate the complex topics of the expansion project to the wider public. Moreover, the public dialogue events provided an appropriate setting in which policy makers, experts, representatives and affected residents could come into direct exchange with each other and communicate their own questions, fears, worries but also to present and to negotiate ideas and solutions. When participants raised new topics for discussion these were referred directly to the RDF Forum. The public dialogue events largely addressed the central issues already being worked through by the RDF (noise, sound insulation, legal procedures, long-term perspective for the region, protection of the environment, human health, and the economic impact on the region due to the airports' expansion).

- **Mediation congress**

One of the first milestones of the dialogue process was the congress "Mediation and Dialogue as an Institutional Opportunity" held in April 2001. The mediation congress was the central event that informed the general public and other stakeholder groups about the RDF's aims and goals, and its role in the airport expansion process. Moreover, it provided a collaborative space to reflect on the mediation process of 1998 to 2000, and on the knowledge generated for the further development of the airport. The format included panel discussions by representatives of the European Union and of the Hesse Landtag. In seven workshops, participants discussed the opportunities and challenges of mediation within the context of infrastructure projects. More than 250 people participated in the congress.

- **Print and media dialogues**

People who were interested in the dialogue process had the opportunity to participate in it via online formats. Online communications included three webpages:

- The webpage of the mediation process from 1998-2000 (www.mediation-flughafen.de) which documented the process and the results of the mediation.
- The webpage of the RDF (www.regionales-dialogforum.de) provided services related to the work of the RDF, such as information, protocols and the annual report. An integrated weblog enabled citizens to directly pose their questions to the representatives of the RDF. The members of the RDF could access the

RDF intranet via the webpage.

- A service webpage (www.fluglaerm-frankfurt.de) on the issue of aircraft noise provided information on flight routes and measurements of aircraft noise.
- Besides this online communication the RDF regularly published a newsletter (“Dialogbrief”) in print format. The newsletter included new developments in the project, interviews and discussions, and was written in a clear and easy to understand matter.

- **Public relations (PR)**

The entire dialogue process was accompanied by continuous, active public relations activities. The aim of this professional PR support was to objectify the media debate about the expansion, and to avoid conflicts through a misrepresentation of the facts. The RDF was responsible for the coordination of the PR, issuing press releases after important meetings or decisions etc.



Success Factors

The central intention of the dialogue process was to build consensus on the expansion of the airport. This required a strategic approach which was based on the pillars of transparent information, open dialogue and professional project management.

i. Objectivity through Information

The Regional Dialogue Forum ensured a fact-based discussion through procedures of joint-fact-finding and continuous exchange of information. The RDF based its work notably on technical realities which helped to objectify the debate and thus to prevent emotional conflicts based on misunderstandings. Additionally, complex scientific and procedural language was made understandable to the general public, helping make the process more transparent. It allowed the broad public to become engaged in the open discussion being held, helping to reach a large number of people.

ii. Agreement through Dialogue

The RDF process paved the way for a regional balance of interests beyond the scope of formal planning procedures. The continuous exchange on issues, concerns, and ideas in an atmosphere of mutual trust facilitated negotiations because the decision-making processes became more transparent. By this means the various stakeholders and affected residents had a clearer and more comprehensive view and understanding.

The Regional Dialogue Forum brought together various stakeholders and facilitated a two way

flow of information through authentic communication and innovative participation methods. Thus, communities and individuals had the opportunity to voice their concerns directly to representatives of the RDF, who either answered the questions immediately, took care to pass the information on to the people in charge or collected the information as the basis for a new joint-fact-finding process.

iii. Transparent Communication

The dialogue between stakeholders was maintained not only through meetings but also through a citizens' office, the online communications (websites), public dialogue events, and PR. These instruments allowed all relevant actors to stay informed, even if they were unable to attend or participate in the actual meetings. Actively using these channels to communicate shared results also helped keep the substantive debate about the expansion of the airport out of the media arena and the preserve of the Forum, further helping to objectify the debate.

The dialogue process was also designed to minimise the entry threshold, and thus to reach new target groups: the easily accessible language, the mobile citizens' office and the role plays in schools helped get new target groups, and thus a large number of affected citizens, involved in the dialogue process. This also made it possible for new opinions and facets of the public debate or questions to come to the fore.

iv. Professional, neutral Third-Party Implementation of the Dialogue Process

One of the overriding success factors of the success of the RDF was its professional implementation and facilitation, spanning the entire dialogue process and the ten years of mediation and negotiations. This was absolutely essential given the complexity, conflict, political importance and high-profile nature of the issue and the project. The neutral, third-party process management helped build trust in the process, its outcomes, and between otherwise adversarial actors.

Professional project management helped to coordinate and to bundle a wealth of information and opinions, to facilitate consensus, and to react to the growing demand for a meaningful and outcome-orientated dialogue with citizens and the lay public. This resulted in a more transparent, sustainable and equitable outcome.

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Case Study III

Using e-participation Tools for the Preparation of the new Tender for Public Bus Transportation in Tartu, Estonia

Summary

To improve its public transport system, the municipality set up an e-participation project. The aim was to raise public awareness and to collect citizens' opinions on the public transport system in terms of its quality whilst a new tender was under preparation. The e-participation project was launched in cooperation with the local newspaper "Tartu Postimees" on the official homepage of the city.

The project was divided into two online sessions.

In the first session, timetables and core routes were discussed, whilst the topic of the second session was the design of the public transport system. Facebook and Twitter were also used to inform the public about the on-going project.

The project proved to be a success: Over 500 pieces of feedback were received from citizens via the internet and social media. The government of Tartu used the citizens' feedback to establish the criteria for the new call for tenders it issued, with the aim of improving the bus routes and timetables in-line with its customer's needs



Basic Information

The project "Using e-participation tools for the preparation of the new tender for public bus transportation in Tartu, Estonia" was an online consultation process to improve the city's public transport system, in terms of time tables, routes and visual design. The opinions and comments of the citizens were used to develop the criteria for the new call for tenders for the future public bus system. The online consultation process was initiated and implemented by the Municipality of Tartu. The project was launched in cooperation with the local newspaper, Tartu Postimees. Via online communications channels more than 500 pieces of feedback were collated from the public.

Location: Tartu, Estonia

Duration: 23rd of March 2010 - 6th of April 2010



Description of the Case

Departure Point for the e-participation Project on Public Bus Transportation

The improvement of the quality of the public transportation system was a pressing and urgent issue in Tartu during the 2009 elections: Tartu's citizens strongly criticised the public transport system which did not meet their demands on public transport in terms of routes and frequency, especially during summer holidays. Moreover, the citizens of Tartu complained about the maintenance of vehicles regarding their levels of cleanliness and comfort.

Against this background the Municipality of Tartu launched an open online participatory consultation process in order to critically assess the current transport system, its timetables and its visual design. The leading role taken on by the Municipality in the matter, and its decision to initiate an online participation process was quite unusual, given that the public transport system in Tartu is not implemented nor subsidised by the local government. Rather, the public transport system in Tartu operates on the basis of private-sector principles and is designed and run by a private company. This company is granted the provision of these services by the Municipality via a public call for tenders every five years. With a new tender under preparation, and against the backdrop of upcoming local elections in 2009, the municipality decided to initiate a process by which to identify and stipulate improvements.

The outcomes of the online participatory process were used to define the quality requirements laid out in the upcoming tender. This participatory approach also corresponded with the Local Government Act and the statutes of the Municipality of Tartu, which propose to discuss all relevant topics of local life in an exchange with its citizens.

The Overarching Idea of the e-participation Project

In reply to the strong criticism of the public transport system, the municipality of Tartu decided to set up an open online consultation process. The overall aim was to improve the then current public transport system with regard to timetables and the visual design of the vehicles by setting out new quality requirements for the upcoming public tender.

Citizen engagement played a key role here: The aim of the online consultation process was to engage citizens and other relevant stakeholders at the earliest possible stage of the tender process and to collect their interests and opinions on the public transportation system. An additional goal was to familiarise citizens and city representatives with e-participation tools as a new instrument for use in public decision-making processes.

The online participation process was designed and facilitated by a project management team. The team consisted of six members of different departments within the Municipality of Tartu: the Deputy Mayor Margus Hanson, two representatives of the Department of Communal Services, two representatives of the Department of Public Relations and an urban city designer. The purpose of the project management team was to manage the project, including the coordination

of public communications, and the evaluation of the feedback received from the public.

The Department of Communal Services initiated the online process and selected the relevant participation tools for the project. Additionally, the Department of Public Relations delivered and applied the appropriate e-participation tools.

The online participatory process was implemented in cooperation with the local newspaper Tartu Postimees. Tartu Postimees provided its network channels to reach out to the public and to inform the residents of Tartu about the online consultation process. The newspaper supported the municipality free of charge. In exchange, Tartu Postimees was granted exclusive and first-hand access to information about the online consultation process.

One of the aims of the process was to improve the visual design of the city's busses. Hence Tartu Art College was asked to design several motifs for the new busses. Nine design proposals from the Tartu Art College students were chosen for an online competition as part of the online consultation process.

The online participatory process was also supported by a special discussion committee. This temporary working group was formed for the preparation of the criteria of the new tender on public bus transportation in Tartu. It consisted of different members of Tartu's municipality, representatives of the Students' Union of the Estonian University of Life Sciences and transportation companies. Additionally, various interest groups such as the Union of Tartu Retired Citizens, the Southern Estonian Union of Visually Impaired Persons, the Union of Tartu Citizens with Physical Disabilities and the Tartu Union of Disabled Citizens and other similar, relevant organisations were part of the discussion committee. The aim of the committee was to gather different opinions and perspectives as input for the development of the quality criteria to be used in the call of tender. The committee was appointed by the City Government of Tartu and headed by the Deputy Mayor of Tartu, Margus Hanson.

The online consultation process on Tartu's public transport system took place in the following steps:

- i. Preparation of the online consultation process
- ii. Action 1: Changing timetables
- iii. Action 2: Visual design
- iv. Evaluation



Methods and Process

Tartu's municipality aimed to involve as many people and as diverse target groups as possible in the development of the bus quality requirements. These ranged from politicians to students and business partners. It intended to engage citizens at the earliest possible stage in the tender process.

The online consultation process set up by the Municipality thus sought to gather information which contributed directly to the development of quality requirements for the new call for tenders. Social media channels and the local newspaper Tartu Postimees were used to spread word about the online consultation process and kept the public informed. On the Municipality's website (www.tartu.ee) citizens were asked to answer a questionnaire about the timetables and routes, and about the busses' visual design.

In addition, staff at Tartu's city tourist centre in the town hall provided information for interested members of the public. There citizens were invited to give feedback and their answers to the questions of the online consultation process using a form made available.

Above all, the online consultation process provided a new framework within which the citizens of Tartu could contribute their opinions and suggestions regarding the future bus transportation system.

i. Preparation of the online Consultation Process

The process for preparing the consultation comprised of two aspects: an "expert" consultation process, and steps for the preparation of the separate, additional online consultation. For the former a special discussion committee thoroughly discussed the development of the criteria of the new tender, in addition to the online consultation process. Between December 2009 and March 2010 six meetings and several working groups were held to address the issue of quality requirements for the new tender.

The first step in the process was the preparation of the online-consultation process by the project's management team. In cooperation with the Department of Communal Services and the Department of Public Relations, the project management team identified the central issues (timetables and routes, visual design) and precise questions for the online consultation. Moreover, the project management team set up a project plan, including the aspired timeframe and activated the communication channels.

Four main communication channels were used to promote and to facilitate the online participation process: social media channels (Facebook and Twitter), Tartu Municipality's webpage (www.tartu.ee) and the local newspaper, Tartu Postimees.

In the preparation phase it was decided to divide the online consultation process into two

sessions: The first focused on the timetables and routes of the future public transport system while the second debated the visual design of the busses. The online consultation process was launched on the 23rd of March 2010 and lasted until the 6th of April.

ii. Session 1: Time Tables and Route Maps

The first session of the online consultation ran from 23th of March 2010 to the 6th of April. The aim was to identify the needs of public transport passengers in terms of timetables and routes for the public bus transport system. Citizens were encouraged to give feedback about the existing timetables and routes maps. These were published on the webpage of the municipality of Tartu and also in the Tartu Postimees. This served to raise public awareness of the online consultation process and encouraged citizens to participate. Announcements and further information were also spread via Facebook and the Twitter account of Tartu's Municipality "tartulinn". These social media channels linked to the consultation on the Municipality's website.

In addition to giving their opinions on the existing service infrastructure, citizens were invited to propose new suggestions on timetables and routes via the feedback box on the consultation page. Access to the questionnaire was facilitated by prominent placement on the website's welcome page.

It was also possible to submit comments and suggestions via Twitter, Facebook and the Tartu city tourist centre. Moreover, comments via the local newspaper's website (www.tartupostimees.ee) contributed directly to the development of the tender criteria.

The screenshot shows the Tartu Municipality website with the following content:

- Navigation:** Tartu logo, "halduse mõtte linn", "Uudised", "Kultuur ja meelelahutus", "Tervishoid", "Sotsiaalarabi", "Haridus ja teadus", "Ettevõtlus", "Kohalik voim", "Turism".
- Main Content:**
 - Bussiliinide muudatused** (Bus route changes)
 - Hea kaasinlane!
 - Meie on väga oluline, et kõik linnaeased, aga ka meie linna külalised saakid oma ettepanekute ja märkustega osaleda ühistranspordi arendamises ja peagi toimuva Tartu linna ühistranspordi linnaühenduse konkursi ettevalmistamisel. Avaldame siin lehel võimalikud bussiliinide muudatused. Bussiliinide väljatöötamisel kasutati uude ühistranspordi mudelit, mis aitab koostada uusi liine arvestades linna liikumise, elanike töö- ja elukohtade, praegust liinivõrku ning bussides läbi viidud sõitjate loenduse tulemusi. Liinimuudatused on kavas käiku lasta alates suvisest sõidugraafikule üleminekust ning sügisest juba täismahus.
 - Järgnevas fasis on muudatused märgitud punases kirjas. Lisatud on ka iga muudatava liini kohta skeem. Ootame teie ettepanekuid, tähelepanekuid või märkusi antud muudatuste kohta siinsamas lehel. Kui Te ei soovi siia oma ettepanekut jätta, saate see palun meiliga aadressile infokeskus@raad.tartu.ee.
 - [Bussiliinide võimalikud muudatused \(pdf\)](#)
 - Muudetavate liinide skeemid:
 - Lin nr 2
 - Lin nr 5
 - Lin nr 6
 - Lin nr 8
 - Lin nr 9
 - Lin nr 12
 - Lin nr 16
 - Lin nr 16A
 - Lin nr 17
 - Lin nr 18
 - Lin nr 20
 - Lin nr 26
 - Avalda arvamust** (Submit your opinion)
 - 1-20 21-40 41-60 61-80 81-100 101-120 121-140 141-160 161-180 181-200 201-220 221-237
 - [Lisa oma sissekanne](#)
- Comments:**
 - 10/06/10 21:19: Helle. Kindlasti oleks vaja õhtust otseühendust Ropka tööstusrajooni ja Annelinna vahel. Bussiliin nr. 12 peaks küll õhtuti kauem sõitma. Tartu on siiski niivõrd suure elanikkonnaga linn, et natuke vana on kell 19 bussiliinikut lõpetada!
 - 07/05/10 19:26: ahto. las jääb nr 5 kellaajad samaks sest muld muutetaks kellaaseg ära ja ma ei tea et muudet ja kui ma kooli lähen siis jään hiljaks et kellaaseg muudeti ärs

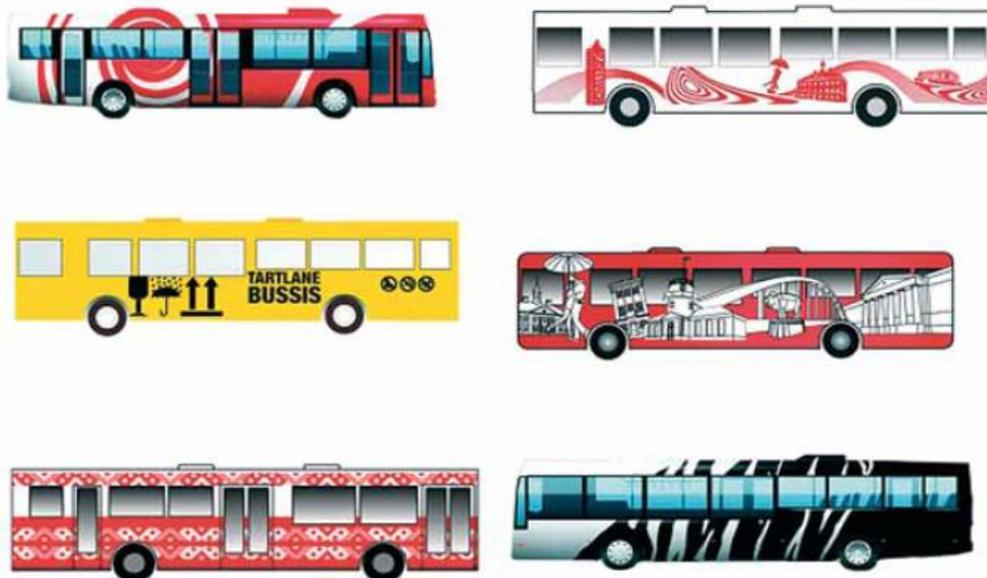
- Right Sidebar:**
- Mis toimub Tartus? 2014
- Tartu linna e- ja teenused
- Tartu linna 97 847 elanikku 1. jaanuar 2014
- KALULIKKU
 - Tartu infokeskus
 - Ametnik vastab
 - Heakorraldefon 1789
 - Bussinfo
 - Kaardid
 - Tartu e-kaart
 - Kustilused
 - Külasteraamat
 - Sundmuste album
 - Pildialbum
 - Vaabikaamerad
 - Lin Tartus
 - Leibiroo
 - Sisukaart
 - Twitter
 - Facebook

Screenshot of the online-consultation. Source: Municipality of Tartu

iii. Session 2: Visual Design

In the second online consultation session, from the 24th of March to the 6th of April, the citizens of Tartu had the opportunity to vote for a new visual design for the public transport busses, again via the Municipality's website. The nine different proposals were designed by students of the Tartu Art College.

Similar to the first online consultation session, the call to participate was prominently placed on the website of the Municipality of Tartu, and promoted via Facebook, Twitter and the Tartu city tourist centre. Pictures of the different designs were published in the Tartu Postimees.



Six of the nine proposed bus designs. Source: Municipality of Tartu

iv. Evaluation

The online consultation reached a notable number of people: During the first session, 233 pieces of feedback were received on the new timetables and new routes; the consultation registered 8,549 visits during the first session. The second session elicited 314 responses to the new proposed designs for the busses, and 7,046 visits over the 14 days it was online. In the end, Tartu's citizens chose a modern visual design in a reddish hue for their future bus system.



The chosen bus design. Source: Municipality of Tartu

The project management team also stressed the high quality of the comments received: Tartu's citizens made a significant number of valuable suggestions and gave very constructive feedback.

After the closure of the online consultation process the tender procedure was conducted by the Department of Communal Services. The visual design for the busses selected by citizens was a mandatory requirement for the new tender. The Department of Communal Services also included additional suggestions from citizens in the tender requirements, such as the wish to no longer have advertisements placed on the bus windows.



Success Factors

Overall, the participation process proved to work well: It garnered a large number of high-quality contributions (547 pieces of feedback over both online consultation sessions), which could be directly included in the drafting of the new call for tenders.

Critical factors which helped ensure the success of the project include:

- i. Clear roles for and clear benefits of the involvement of stakeholders and citizens.

- ii. Transparent and direct impact on decision making, with high-level buy-in
- iii. Active communication of the project via different channels
- iv. Clever combination of analogue and digital participation formats

- i. Clear roles for and clear benefits of the involvement of stakeholders and citizens

The involvement of different actors (decision makers, stakeholders and citizens) in the process was undertaken with clear roles ascribed to each. This was also in-line with the unique insights and knowledge they could contribute, and thus their involvement offered a clear benefit.

Stakeholders involved in the special discussion committee were able to directly share their insights and the perspectives of their constituents on important criteria for the tender. Citizens, in their role as transport users, were able to contribute from this point of view and on questions related to that. They were able to speak with authority and authenticity on an issue they had expertise in. Thus it was also clear for all involved what their role in the process was and they were able to see the added value or benefits which they specifically could bring.

- ii. Transparent and direct impact on decision making, with high-level buy-in

From the very outset the process was designed to generate important inputs for decision-making and for policy design (in this case the terms of reference for the bus transportation tender). Involving stakeholders and citizens at so early a stage helped enable new ideas to come to the fore, and increased the relevance of participation for those involved – it was possible for citizens and stakeholders to really shape outcomes. This approach helped to create ownership and acceptance of, but also responsibility for, the future bus transportation system because users knew were offered the opportunity to help shape it in-line with their requirements. These aspects were actively communicated, helping underline the importance of the contributions being made by citizens and the value for participants to become involved in the process.

The active involvement of key staff from the relevant municipal departments, and especially of the Deputy Mayor Margus Hanson, also underlined the importance for decision makers of the process and the contributions received. Giving the process this sort of institutional anchorage and high-level political support helped communicate the initiators' sincerity and to strengthen the impact of the process.

- iii. Active communication of the project via different channels

The municipality's active communication of the consultation via different communications channels – both online and offline – helped broaden the reach of the consultation. Additionally, it made it possible to better reach different target groups. This proactive communication via different channels no doubt played a significant part in raising awareness and thus mobilising citizens to contribute: Those not familiar with social media channels were able to find out about the consultation via the established and trusted medium of the Tartu Postimees.

Importantly, communication about the project was not limited to the windows in time when citizens and stakeholders could become actively involved. The continuous documentation of the online consultation process strengthened the transparency of the process, whilst keeping the public informed about the development of the new tender (so the outcome of their contributions) helped to show what impact they had had, rounding off the process.

iv. Suitable deployment of analogue and digital participation formats

The process made use of a combination of participation formats, notably of low-entry threshold digital and simple analogue formats. Thus the right tools were used to achieve the desired outcomes.

Citizens were able to submit their responses online via a simple online survey, or in person via the town hall. Technological literacy and access, specialist expertise and the availability of significant amounts of time were all removed as barriers to participation. The online consultation survey represented a low-threshold approach.

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Case Study IV

Fixed Fehmarn Belt Crossing Dialogue Forum

Summary

In 2011 the Federal State of Schleswig-Holstein established the independent Dialogue Forum Fixed Fehmarn Belt Crossing to accompany the project's planning and building. The Forum is made up of some 30 participants representing the diversity of views surrounding the project – investors, city and municipal government, local citizens' initiatives, business representatives and interest groups etc. It convenes every two to three months with the mandate to discuss relevant issues surrounding the project and to develop opinions which input into the formal planning process. As German planning law does not recognise such additional consultative fora, the Dialogue Forum has a merely consultative and advisory role. However, as a large diversity of stakeholders is involved in the Dialogue Forum its consensual decisions do have a certain political relevance.

The Forum works in a consensus-orientated manner to draw up its opinions and recommendations. It does this through a series of meetings which take place every two to three months. The meetings of the Forum are held in public with additional Q&A events for citizens. Its work is supported by a series of working groups, and augmented by workshops held on specific questions or issues. The issues addressed by the Forum are determined by its members.

In future, once the planning phase has been completed, the Forum's work will address issues and questions surrounding the implementation of the building of the tunnel. The Forum is mandated to meet until the completion of the project. A dialogue forum also exists on the Danish side of the Fixed Fehmarn Belt Crossing project. Given the broad political support the project enjoys there, the Danish Forum already works more to address questions surrounding the design of the project and its modalities. There is currently no active cooperation between the two bodies, but contact exists between the chairs and may be expanded in future.



Basic Information

Location: Fehmarn Island, Germany, and Lolland, Denmark

Duration: 2011 until completion of the project's building



Description of the Case

Departure Point for the Dialogue Forum Fixed Fehmarn Belt Crossing

The Fehmarn Belt Fixed Link crossing represents one of Europe's largest infrastructure projects, proposing to link the Danish island of Lolland with the German island of Fehmarn, via the Fehmarn Belt. Thus, it has a meaningful significance for pan-European transport from Scandinavia to the Mediterranean Sea. The project plans to provide a faster, more direct rail and road link from northern Germany to Lolland, and on to the Danish island of Zealand. Originally conceived of as a bridge, but now redesigned as an immersed tunnel, the project integrates existing transport infrastructure and is one of the most important, as well as largest, of the projects implemented within the European Commission's TEN-T corridors structures.

Planning and preparatory intergovernmental agreements have been ongoing since 2007, when the decision was reached to proceed with the construction of a fixed link crossing. Then, construction was due to begin in 2015 and was widely expected to finish at the end of 2021. An intergovernmental treaty signed between Germany and Denmark in September 2008 provided the basis for formal planning processes and procedures to be initiated, and parliamentary approval/ratification was granted on both sides in 2009. The decision to replace the planned bridge with a tunnel was announced in late 2010. This was approved by a cross-party majority in the Danish Parliament, with formal planning procedures expected to be completed in 2013. In Germany, a plan approval process was initiated.

Local controversy surrounding the project grew on the German part, not least out of environmental and social concerns regarding the impact of the project. Additionally, delays and decreased investment in the planned mainland railway link placed strain on public perception of the project. It was in this context, and with state elections called for 2011, that the Dialogue Forum Fixed Fehmarn Belt Crossing was initiated by the Federal State government.

The Overarching Idea of the Dialogue Forum

In response to the growing public criticism of the project, the government of Schleswig-Holstein announced the establishment of the Dialogue Forum in 2011. The independent Forum was to offer identifiable interest groups and the public a central place for exchange on their concerns and priorities surrounding the project, and a vehicle via which to develop shared solutions to these issues. At that stage the project was still in the process of being granted planning approval. As German planning law does not formally recognise such citizen engagement processes, the Forum's role could merely be consultative and advisory, with no formal jurisdiction or influence on the official processes. However, the Forum's decisions do carry a certain political relevance while they are not binding.

The aims of the Dialogue Forum are to

- Conduct a transparent exchange of information and opinions on all issues related to the project,
- Accompany the administrative and planning processes, as well as the implementation (i.e. building) process, and to
- Draw up opinions, suggestions and recommendations for the project's initiators and for the planning approval bodies.

The Forum convenes some 30 constant members which represent the spectrum of interests surrounding the Fixed Fehmarn Belt Crossing. These include the project's initiators and financiers, including the Deutsche Bahn, Fehmarn AS and others, local citizen initiatives against the project, representatives of local businesses and industry, including the local trade and industry associations, sectoral associations etc., environmental organisations, representatives of social interests, including trade unions, and representatives of local municipalities, cities and the Federal State. The Forum is chaired by the former diplomat Dr. Christoph Jessen.

In its composition the Dialogue Forum seeks to cover the broad spectrum of positions and knowledge surrounding the project, so that problems can be addressed and shared solutions arrived at. As such it works in a consensus-building manner, with all agreements arrived at deliberatively and unanimously. A combination of meeting formats is used in the work of the Dialogue Forum with the aim of combining the utmost transparency with an outcome-orientated process. The issues which the Forum addresses are proposed and selected by the members themselves.



Methods and Process

The Dialogue Forum meets every two to three months, with the mandate to discuss relevant issues surrounding the project and to develop opinions which input into the formal planning process. The work of the Forum is prepared and supported by working groups, augmented by workshops on specific issues, and directly preceded by citizen consultation sessions, hosted by the Forum's chair.

Citizen Consultation Session

The citizen consultation sessions are held for an hour directly prior to the meeting of the

Dialogue Forum. They are held by the Forum's chair, Dr. Jessen, and offer citizens and the general public a platform by which to find out more about the work of the Forum, steps in the formal planning process and to raise issues of concern to them. They can thus propose topics which they would like the Forum to address in greater detail.

Questions from the general public and citizens can also be posed via the website where, like those raised during the consultation session, they are answered online by designated competent members of the Forum.

Meetings of the Dialogue Forum

The Dialogue Forum meets every 2-3 months for between 3 and 4 hours. The meetings are open to the public (capacity of the room allowing) and are streamed live via the Forum's website. They are the central platform for exchange between stakeholders – i.e. members of the Forum – and the public.

The meetings begin with a report from the Forum's Chair of the questions posed by the public during the preceding citizen consultation session. Members of the Forum are asked to answer these questions, and these are posted via the website.

The Forum members work in a deliberative, consensus-orientated manner to discuss issues of concern to the public and to stakeholders. They seek to arrive at shared opinions and recommendations on these issues, so that these can serve as advisory input for the formal planning process. Individual stakeholders put forward issues they wish to raise, holding presentation or initiating discussions on the topics. Specific issues of particular import, or whose complexity goes beyond the time available for the Forum, are addressed in additional workshops.

In addition to the live streaming of the meetings, a live protocol is made of the meetings and agreed upon by the members during the session. This helps to save time and makes outcomes transparent and available to the public. At the end of the meeting, members of the public in attendance of the meeting can pose questions to members of the Forum. The session usually takes half an hour and gives participants an opportunity to address their questions which have arisen during the Forum's deliberations. The public does not otherwise take part in the discussions of the Forum during the meeting.

Working Groups and Workshops

The work of the Dialogue Forum is independent and autonomous. As such it is up to the members of the Forum to determine its work plan, the issues it wishes to address, how it seeks to go about this and thus the agenda for its meetings.

A special working group on the work plan meets regularly to draw up a proposal for the next working steps of the Forum. It draws on issues raised in the citizen consultation sessions, during the Forum's meetings and the Q&A session held after the meeting. It proposes an agenda for the

next meeting of the Forum to the Chair. Final editing and decision rest with the Chair, who then distributes the agenda for the next meeting.

Other working groups have addressed issues such as the Forum's internet presence and the special planning process. The working groups are made up of volunteers from amongst the members of the Forum.

Issues which the Forum feels need to be addressed in greater detail than the regular meetings of the Forum allow are addressed in separate, dedicated workshops. One such one-day workshop took place already in June 2013 and addressed traffic forecasts and planning, and the cost-benefit relationship of a fixed Fehmarn Belt link and its rail connections. Another workshop took place in March 2014 and looked at the economic risks and opportunities of the fixed Fehmarn Belt crossing. As such it also addressed possible employment effects, impacts on tourism and agriculture, equality of access to road and rail connections, real estate impacts and opportunities to improve local economic development. The workshop was prepared by the chamber of trade and industry, the German trade union confederation and the employer association as members of the Forum. Participation is generally open to members of the Forum, and additional expertise is called upon on a case-by-case basis.

The outcomes of the workshops are presented at the next meetings of the Forum and as such inform its work and the opinions it draws up.

Project Office

The work of the Forum, its working groups and its Chair is supported by a dedicated project office. The office is permanently staffed and hosted by a third party organisation, the Schleswig-Holsteinischen Heimatbund e.V. The project office acts as an operative and organisational face for the project to the public, in addition to the role and work of the Chair.

Cross-border Cooperation

The Fehmarn Belt Crossing represents a central European infrastructure project, of importance not only for Germany but also for Denmark (which the crossing will link together) and for European transport more broadly. As such cooperation between the parties on both sides of the project represents an important element in ensuring its success.

With the building of the crossing agreed at intergovernmental level, the local planning and authorisation processes are currently in motion. These are, however, very different processes in terms of their length and procedure, and the political and local contexts in which they take place also have a number of marked differences.

Thus the Fehmarn project enjoys cross-party support in Denmark, whilst in Germany a number

of local issues and interests are the source of concern and opposition. The German Dialogue Forum has, thus far, therefore sought to address these local issues first as they are the basis for the next steps in the process of planning and building the Crossing.

Importantly, there is established contact between the responsible ministries and decision-makers on both sides and the Dialogue Forum has contact with its Danish counterpart. This body is, however, already addressing issues and questions surrounding the design of the building and the operative implications of the build, which the German planning authorisation process is currently still underway.

Of note and value is that members of the German Dialogue Forum are keen to exchange with their Danish counterparts and to learn from their experiences. There are no Danish participants amongst the members of the Forum, though the Danish project initiator, Fehmarn AS, is a member.



Success Factors

With the work of the Dialogue Forum still underway, it is difficult to already identify success factors which universally hold. None the less, a number of features afford it a robust set-up which enable it to address a few of the common pitfalls of dialogue processes. These include:

- i. Convening the breadth of positions and interests at one round table,
- ii. Giving the process a face, driven by an accepted central chair
- iii. Outcome orientation towards an open outcome

i. Broad spectrum of opinions and interests meet at one round table

The composition of the Dialogue Forum represents the breadth of interests and positions related to the project. These range from its initiators to its opponents, and the various local interests in between. As such it offers everyone an equal share of voice in the discussion about the project and its design.

Importantly, the Forum acts as the central place where or as the focal point for the debate about the project. As such it helps bring different opinions, interests and positions into the open and into dialogue with one another. It also helps avoid this debate taking place via the media or in other contexts.

ii. Giving the process a face, driven by an accepted central chair

Ensuring the neutrality of the dialogue process and of those associated with it can be all-important for generating buy-in for participation, the process and its outcomes. This requires both

a neutral, third-party facilitation of the process – but also a strong central figure to give the dialogue process a face, to confer responsibility and legitimacy, and to drive forward the work. This role has been filled by Dr. Jessen – a third party individual with substantial knowledge of political processes and their complexities, and with local insight (he is from the region) – but without being seen as biased by representing a specific (political) interest or local perspective.

iii. Outcome orientation towards an open outcome.

The work of the Dialogue Forum is independent and self-determined. Though it works in parallel to the formal planning procedure, it does so in a manner which helps it develop its input into that process in a timely manner, in-line with concrete steps. Importantly, the Forum arrives at its outcomes itself. These are not pre-determined or co-determined by the Forum's initiators. Thus it is possible for the Forum to arrive at an outcome which would, at face value, run counter to the interests of the Fehmarn Belt Crossing's initiators' interests. Ensuring an open-outcome process is key to ensuring that participation is not undertaken merely as a fig-leaf or alibi for already arrived at outcomes.

Additionally though, the process is an outcome-orientated one. Work by the Forum moves on apace and in time with decision making processes. As such it shows that it values participants' time and investment, and highlights the value added of their contributions.

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b. Key Lessons Learned and Critical Success Factors

Despite the variety of methods, issues and features of the case studies detailed above, a number of critical success factors can be identified which hold true for them all – albeit in differing degrees. These are features which should be incorporated into the design of participative processes if they are to achieve the desired impact and are to leverage the value which participation can bring:

1. Societal actor as initiator and driving force of the process

Participation processes need a driving motor to guarantee the clear motivation and strong commitment by all participants. It also helps in bringing new players on-board. A dedicated societal initiator not only brings legitimacy to the process but also ensures continuity throughout the dialogue.

2. Early and substantive involvement of experts and stakeholders

The sooner all relevant stakeholders are involved, the greater the opportunity to constructively discuss conflict-laden issues and reach shared solutions. Early stakeholder involvement creates acceptance in a broad community and reinforces the stakeholders' sense of responsibility for a constructive outcome.

3. Involvement of all affected stakeholders

Participation processes can only produce effective and long-lasting solutions if *all* relevant and affected interests are represented and voiced at the table. Thus, a participation process needs to reach out to all relevant stakeholders in a proactive and integrating manner, rather than avoiding or shunning “unpleasant” opinions until they can no longer be ignored.

4. Objectification through joint-fact-finding

A joint and binding clarification of all relevant facts ensures a common knowledge basis amongst those involved in a participation or dialogue process. Fact-based discussion and a continuous exchange of information help to objectify the debate and hence avoid irrational or ill-informed opinion-formation.

5. Transparent and active (external) communication

Secret-mongering provokes rumours and speculations. Participation builds on transparent communication. It is essential to continuously inform *all* stakeholders *and* the general public about the process, about unresolved questions and the intermediate results. A high level of transparency surrounding the project strengthens broad acceptance of the participation process and – most importantly – of its outcomes.

6. Professional and neutral third-party facilitation

Successful participation makes use of an intelligent and professional dialogue design – both for the overarching process and for the individual elements therein. Its success depends in no small part on the professional and unbiased facilitation of discussions. Ensuring that outcome-oriented and case-specific deliberation methods are used are a central technique for this. Living this neutrality within the process helps ensure acceptance of the process and its outcomes, even from the most critical voices.

7. Open-result discussion

Participants need to know from the outset what their scope of influence is. They need to know what they are mandated to discuss and co-determine, and what is beyond the scope of their influence or contributions. Ideally, the fewer predefined decisions, the better. Within a substantive participation or dialogue process stakeholders need to trust that their involvement makes a meaningful contribution and difference to the outcome. This requires a fair process, addressing an open question and which generates an outcome that truly represents the opinion of the group.

8. Integration of outcomes into decision-making processes

Solutions and actions that are jointly developed need to be binding for all participating institutions; otherwise the stakeholder involvement is downgraded to mere alibi or fig-leaf participation. Impact needs to be ensured through their integration into established and formal decision-making processes – both those of the dialogue’s initiator, its addressees and its participating institutions.

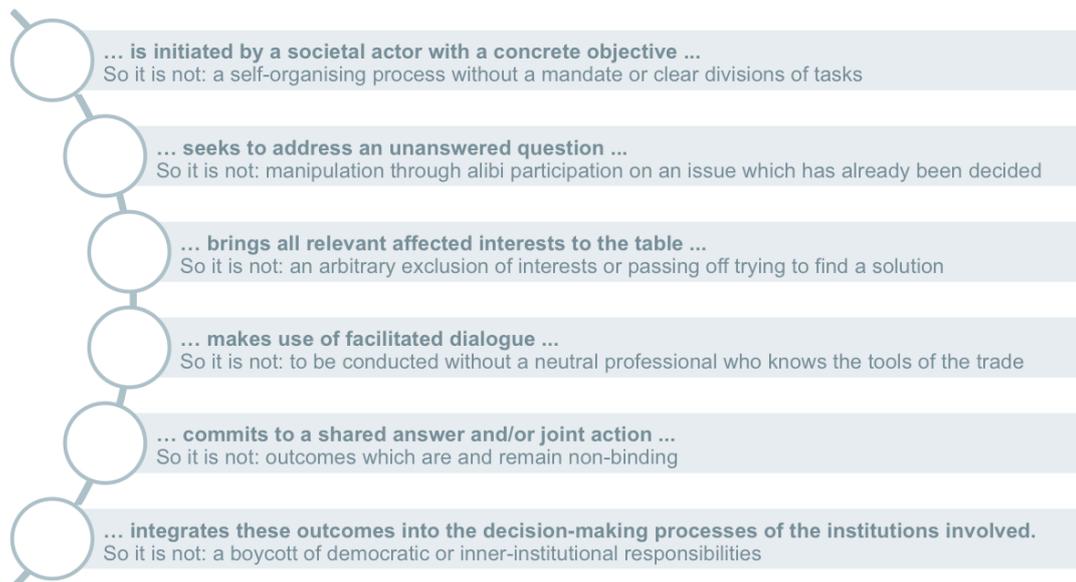
Viewed from the perspective of the EESC and of the Permanent Study Group, these success factors can be implemented or emulated to varying degrees. Not all can be translated one-to-one for the Committee, the Group and its roles and mandates, and require a degree of re-framing for their application to engagement activities by the EESC. None the less there remains a clear need to ensure that as many of these features are integrated into the engagement and participation activities initiated by the Committee as possible if the full benefits of participation, deliberation and cooperation are to be accrued.

3. A Toolbox of Approaches for effective participatory Decision-Making

Effective participation has a processual nature whereby different methods of participation are combined in the best possible way to transparently and efficiently arrive at a desired outcome. Tailored to each individual situation, such processes make use of a range of methods. These might include focus groups, online consultations, open space conferences, 21st Century Town Hall style citizen summits, expert hearings, various participatory foresighting processes, peer reviews or any number of other methods which enable different target groups to engage substantively on an issue, developing shared outcomes and actions.

Important to note is that the methods themselves and their combination must be carefully tailored to the aims of the process, the issues under discussion, and the outcomes to be achieved. Here too it is important to ensure in the design of such processes that they be linked with established or formal decision-making processes, and that their outcomes can feed into other organisations or processes in a way which ensures their relevance, impact, and value added.

Thus each participative approach will, by its very nature, be different and applicable to very specific contexts, contents and outcomes. Accordingly, the approaches put forward below are tailored to specific needs and aims on the part of the EESC and of the PSG. Despite the natural and necessary variance in participative processes, experience has shown that effective, successful participation is a strategy which:



Graphic: The six rules of successful participation

These “rules” tally with the success factors identified in the case studies above. Importantly, they are also reflected in the approaches detailed below as ideas and possible activities by the EESC and the Permanent Study Group.

a. Overview of participatory Approaches

The following participatory approaches serve to address the EESC’s aims for involving civil society organisations at different points in decision-making processes. Additionally, they seek to strengthen the impact of the Committee’s activities within the processes and cooperation of the European Institutions.

The simplified schematic below shows points along the policy- and decision-making process at which valuable opportunities for participation and engagement present themselves. It also highlights the focus for the approaches put forward to the EESC on the more concrete steps in that process.



Graphic: Schematic of the focus of the approaches for the EESC

In summary, the different tailored participative approaches sketched out below

- i. serve the Committee’s concrete aims
- ii. involve the various relevant actors/actor groups
- iii. on a different relevant topics
- iv. at important points in the decision-making processes,

thus generate the outcomes being sought by the EESC and the PSG.

Approach I: Setting the Agenda with important Issues for Civil Society

Process Architecture



Basic Information

Goal:	Identify issues of importance for civil society in a timely manner, so as to bring these to the attention of the European Commission
Participants:	Members of the EESC, other representatives of civil society, members' organisations
Size of group:	Variable; easily scalable
Budget:	Low

Description of the Approach

Within the context of the EESC's existing meetings architecture, members identify key issues of importance for them and for their organisations. This could, for example, be done in the context of the EESC plenary meetings.

Identified issues are collated and prioritised. The insights gained should then be augmented by a systematic, comprehensive screening and mapping of the issue to identify its relative importance and urgency. Additionally, hearings and other interviews with relevant actors, experts or stakeholders add to the insight. These hearings could take place within the EESC's plenary so as

to maintain links with members.

Having identified and prioritised the issues of importance for civil society, these form the basis of an initiative opinion, drawn up by the normal established processes within the EESC.

The initiative opinions are also opened up for online discussion and editing amongst its members or its members and their organisations.

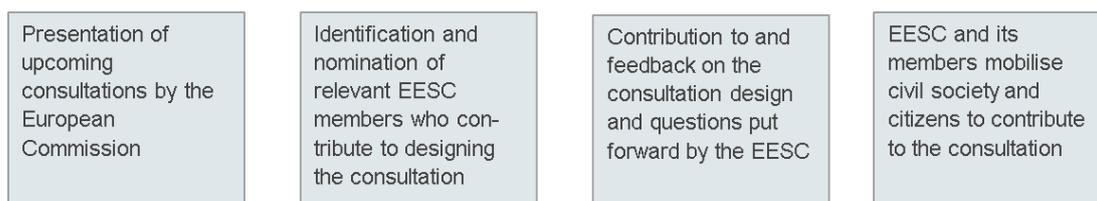
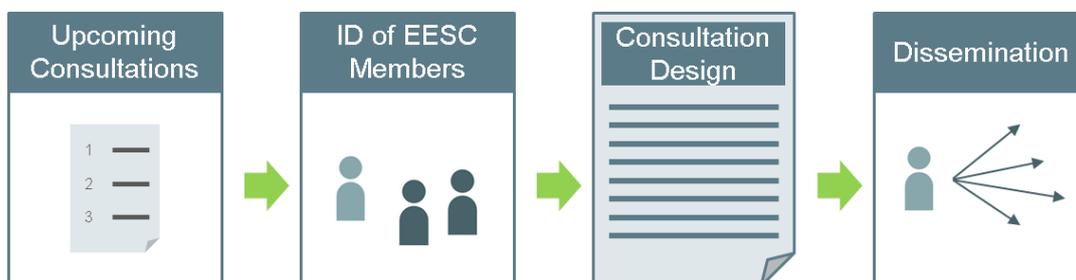
The outcomes are collated and form the initiative opinion given as input by the EESC for issues and areas on which it would welcome action by the Commission and the other European Institutions.

Key Success Factors

- Clear structure and transparency of the process, including on the evaluation and process for the uptake of submissions
- Active communications, mobilisation and involvement of actors and multipliers in the process to ensure a broad outreach

Approach II: Improving the Commission’s Consultation Processes

Process Architecture



Basic Information

Goal: Increase the relevance and impact of European Commission consultations through the involvement of civil society expertise at the design phase

Participants: Members of the EESC

Size of group: Variable; easily scalable

Budget: Low

Description of the Approach

As the European Commission sets about planning and developing its consultations, it draws on the knowledge, expertise and perspectives of members of the EESC to frame and design the consultation.

Members with expertise in a particular policy field, or whose organisation has a clear link to that issue area, are actively invited at an early stage to contribute ideas on what issues are pertinent from the perspective of civil society, or on which issues civil society can offer new and additional insight.

As the consultation is designed by the European Commission, members of the EESC are invited

to review and give input on the structure and actual questions of the consultation.

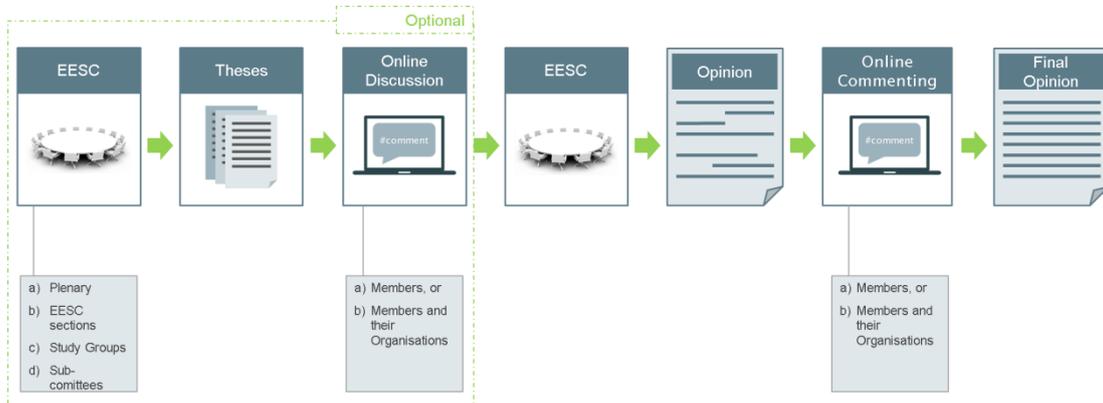
Additionally they inform their networks and members of the consultation to help ensure its broader outreach.

Key Success Factors

- Early involvement of civil society knowledge and perspectives to ensure that a real contribution is made to the design of the consultation process
- Transparency of roles and scope between the European Commission, the EESC and contributors to a consultation (both in the context of designing the consultation and all formal steps thereafter)
- Active communication of the European Commission's consultation by the EESC so as to reach as broad a group as possible and to ensure the benefits of civil society involvement in the design of the consultation are realised

Approach III: Placing the voice of Civil Society at the heart of the EESC’s work

Process Architecture



Basic Information

Goal: Increase the involvement of civil society representatives in the work of the EESC and in the development of its opinions, thus increasing their weight and impact in European decision making processes

Participants: Members of the EESC
 Optional: Members of the organisations represented by members of the EESC

Size of group: Variable; easily scalable

Budget: Low

Description of the Approach

The EESC develops an opinion on a legislative proposal put forward in its usual manner, engaging members from its different sections through dedicated study groups.

The opinion drafted by the study group and its rapporteur is made available to other EESC members for commenting, augmentation and additions online. This invitation can, where appropriate, also be extended to the organisations represented by (selected) members of the EESC, further broadening the reach and input for the opinion.

The outcomes of the online consultation are sorted, discussed and, incorporated by the study group. This then forms the opinion submitted by the EESC.

This process can be augmented by a preceding process of consultation. Be it study groups or other bodies within the EESC (including the sections and subcommittees), they make use of a process of consultation to gather input and replies to theses they put forward.

In the case of study groups these might be the broad outlines of an opinion being drawn up, helping it identify lines of consensus or broad discussion points for its further work. These are

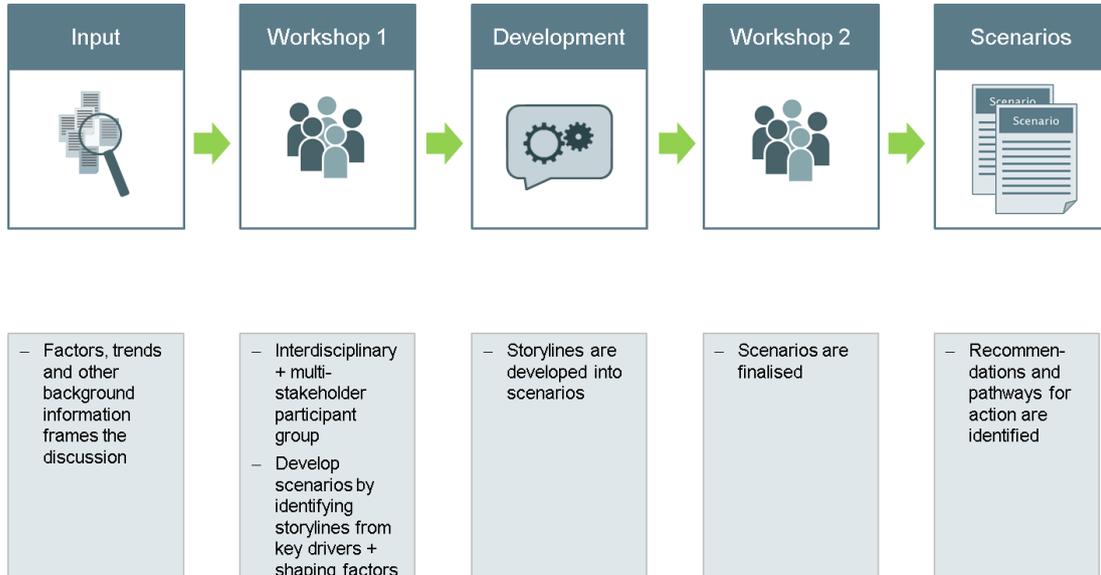
also made available for online consultation, either amongst other members of the section, or in certain situations the committee or of members' organisations. This then forms the basis for the next working steps in the process detailed above by which the EESC draws up its opinions.

Key Success Factors

- Outcome-orientated process
- Clarity of roles and scope, as well as transparency on how contributions received through consultation will (or will not) be used and incorporated in the EESC's final opinion
- Clear links to established decision-making and opinion-formation structures to ensure relevance and impact, and thus offer an added value/benefits to participating
- Short timeframe to maintain the actuality of the issue and to truly support the Committee's work

Approach IV: Contributing substantively to the Implementation of the Transport White Paper

Process Architecture



Basic Information

Goal:	Develop unique perspectives from civil society on the implementation of the Transport White Paper and identify the necessary (policy) measures for this
Participants:	Members of the EESC Optional: additional experts and civil society representatives
Size of group:	20-30
Budget:	Low-Medium

Description of the Approach

Research, trends and important factors are compiled into an input paper for participants of the scenario workshops. These form the basis for discussions and assessments by the 20-30 interdisciplinary participants drawn from the EESC and, where relevant, individuals offering additional expertise.

In the first two-day workshop participants identify drivers and which developments/trends will have a relevant impact on factors relevant for the implementation of the Transport White Paper. Then they identify which actor groups and strategies are involved in these developments before highlighting of shaping factors to assess the strength of the impact of each key driver. Possible developments and characteristics for each key driver, and their predictability are also identified. A systematic exploration of the shaping factors follows using a morphological box process.

After the workshop storylines are then drawn up based on the factors identified by participants. In this context a consistency check of which factors could be linked together are also developed.

The second workshop translated the possible scenarios into action pathways, working back from the situations sketched out to identify what policy options, choices, actions and initiatives need to be undertaken by whom to bring them about.

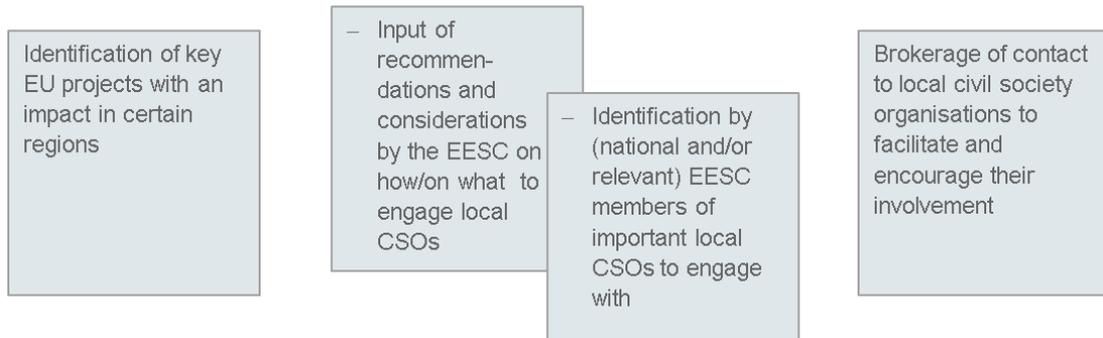
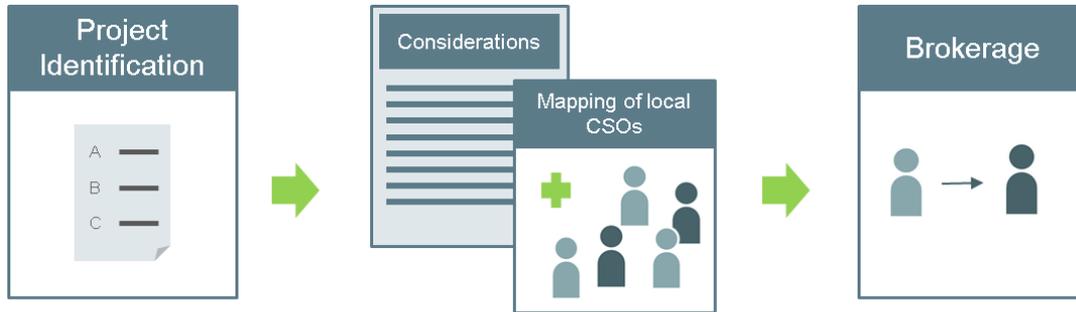
Key Success Factors

- Outcome-orientated approach and clear process architecture
- Neutral and professional third-party facilitation – ideally by an organisation experienced in the development of participative foresight techniques and scenario work

Knowledge of the issue and actor landscape for the identification of the factors and play, and of the most suitable participants

Approach V: Brokering between the European Level and local Civil Society Insights

Process Architecture



Basic Information	
Goal:	Bridge the gap between European policies and projects and local civil society by engaging local civil society in a substantive and systematic way
Participants:	Members of the EESC and members of organisations represented by members of the EESC; representatives of additional relevant local CSOs
Size of group:	Variable
Budget:	Low

Description of the Approach

The European Commission provides the EESC with a list of important projects in the field of transport policy to be implemented in Member States and at the local level, with European support. This is done as early as possible to help support the early and substantive involvement of local civil society actors.

Relevant members of the EESC – both from a geographical point of view and given their substantive expertise – are asked to identify important local stakeholders and civil society organisations to be consulted by the EC, project developers and local/regional government. Additional to this mapping, members provide insights on important issues in the local context, helping sensitise the Commission and others for local issues.

These insights can be gathered by EESC members through direct contact with the CSOs identified, or from the existing expertise of the EESC's members.

A tailored process of consultation, information and deliberation is drawn up by the competent local, regional or national authority, and in-line with local planning and consultation laws. So far as these offer opportunities for civil society participation, the EESC supports these processes and provides information to the local CSOs identified on these opportunities for them to become involved.

Additionally, they broker the contact, where relevant, between the EC and the local CSOs.

Key Success Factors

- Transparent and outcome-orientated process, with clear links to established decision-making and opinion-formation structures
- Clear value added and benefits of participating – both for the EESC and for those contributing
- Transparency of roles and responsibility within the process, for the EESC, European Commission and for local civil society organisations/stakeholders
- Active (external) communication

b. Organisational and Practical Considerations for the Implementation of the Approaches

The implementation of the approaches outlined above requires a variety of different resources, ranging from the financial and institutional to the technical and experiential. As such, the EESC and the PSG would be well advised to draw on the support and expertise which other organisations have in developing and implementing innovative participation, deliberation and consultation processes. This would also help ensure that the Committee makes use of and meets the critical success factors of neutral, professional third party facilitation and ensuring a transparent, outcome-orientated process.

Translating the success factors already identified into practical considerations, below is a brief list of some very central considerations for the EESC to bear in mind as it seeks to implement the above processes. The considerations draw on extensive practical experience in the field.

1. Clarity of aims and scope of the consultation

It will be crucial for the EESC to be clear about the aims of the participative approaches it initiates. Only by ensuring it knows what it wants to achieve will it be possible to select the best suited tools and combine these into an effective processual approach. Additionally, clarity about the scope of the consultation must be ensured – a clear answer is needed on what *can* be co-determined or decided, and what lies beyond the scope of the consultation.

These dimensions need to be communicated transparently from the outset so that those invited to engage know what benefit there is in participating, and know what their role is (and is not). This needs to be clear in all outreach materials, in the framing and mobilisation for the consultation, dissemination activities etc.

2. Clarity on the limitations of participative approaches

The benefits of participative processes are manifold and valuable – and increasingly need to be used by policy- and decision-makers to help them meet the challenges they are faced with. Naturally enough such processes, methods and approaches also have limitations of what they can and cannot achieve. They are not a universal solution or panacea.

Having a realistic expectation of what can be achieved is thus an important prerequisite on the part of the initiator of participative approaches. This too needs to be communicated transparently and born in mind to manage the expectations of citizens, CSOs, stakeholders and other actors. Experience shows, for example, that simply having an online platform which enables people to engage will not in and of itself bring this about – other factors such as mobilisation, communication and impact are necessary to achieve this.

3. The tailored combination of online and offline approaches

Online and offline consultations each have their own strengths and weaknesses. First and foremost these are scalability and simplicity, and substantive depth and impact respectively. One cannot replace the other. Their smart combination can, however, help leverage their respective benefits to maximum advantage, engaging different target groups which, ideally, move beyond “the usual suspects”.

The scope and substance of online and offline consultations also needs to be different. Where it is possible to have more open and deliberative discussion during a face-to-face consultation, it is necessary to have a concrete text proposal or question to discuss via an online consultation. For that it can be simpler to illicit and compile responses from online participants. Both formats need to be professionally, actively and neutrally moderated. The work involved in this, and in the collation and integration of responses received via an online consultation should, however, not be underestimated given the importance of this step for process transparency, the volumes of responses which can be received and issues of language/multilingualism.

4. The need for active communication and mobilisation

Participation and engagement opportunities require visibility so that they are taken advantage of. Only through an active and appropriate communication is it possible to mobilise interest and thus illicit responses.

Such communication can take the form of peer recommendations and word of mouth, active advertising, classical public relations activities etc. It is important to note that this requires resources and, in the European context, often benefits from local knowledge and linguistic capabilities to facilitate accessibility and efficacy.

5. The importance of tangible and transparent impact

An important motivator for organisations and individuals to invest their expertise and time in participative approaches is the prospect of contributing to something valuable or important. This is a precious resource and should not be underestimated.

As a result it is crucial that the participative processes actually make a difference and participants can see what impact it will have on decisions, policies and projects. Good expectation management is required here as often such impacts might be indirect or long-term. None the less, ensuring links with policy processes and decisions is so important it should be planned from the outset and communicated throughout.

These considerations are by no means exhaustive and to include detailed practical considerations is beyond the scope of this study. Rather, these considerations serve to prompt careful thinking about the options for taking action to implement the processes outlined above, and their very real practical implementation implications.

4. Concept for the Development of Guidelines

Building on the European Commission's request to the European Economic and Social Committee to identify ways in which decision-making processes for EU transport policy and projects might be made more cooperative, and with greater civil society involvement, the Committee's Permanent Study Group is thinking to develop guidelines on the implementation of this.

The development of the guidelines themselves are beyond the scope of this study; however, a concept is put forward for how these guidelines might be developed, and important aspects which should be considered are laid out. The concept put forward for drawing up the guidelines builds on the learning drawn up in this study, notably the critical success factors identified from the case studies, the extensive additional expertise contributed by the consultant, and the requirements of the approaches suggested for the EESC.

Ensuring that the guidelines are realistic and relevant for the European Economic and Social Committee, its members and its work first and foremost, and additionally for the other European Institutions is of primary importance. Only in this way can it be hoped that they offer an added value to the Committee and the Permanent Study Group, and that they find acceptance and application.

a. Goals and Target Audiences of the Guidelines

The overarching **goal** of the Guidelines is to increase the substantive involvement of civil society and European citizens in the design, development and implementation of European transport policies and projects. As such the Guidelines also seek to:

- Raise awareness for the need for early and substantive civic engagement in formal and informal planning procedures for transport policies and projects;
- Enable the relevant institutions and organisations to involve citizens and civil society in a meaningful way by
 - Offering an insight into the practical processes and tools for civil society and citizen participation, how these tools can be applied and how they interlink,
 - Sensitising for potential pitfalls and challenges which might be faced by those implementing a more participatory approach in European transport policy and projects,
 - Offering hints and insights from successful case studies and best practices, both in the field of transport policy and projects and, where possible, from other policy areas which offer valuable learning.

The Guidelines should prove to be relevant and inspirational for the different actors and institutions involved in the development and implementation of European transport policies and projects. By ensuring their relevance for actors from each of the different steps in the policy formation and project implementation processes it is possible to increase their impact and to ease the mainstreaming of civil society participation.

The primary **target audiences** of the Guidelines are

- The European Institutions involved in the development and implementation of European transport policy, notably
 - The EESC itself, and its members,
 - The Committee of the Regions,
 - The European Commission, and DG Move in particular,
 - The European Commission Agencies, and the Innovation & Networks Executive Agency (INEA) and the Executive Agency for Competitiveness & Innovation (EACI) in particular;
- Public and private infrastructure project developers, including
 - European Commission (co-)funded programmes and projects,
 - Private and public-private companies in the field,
 - National, regional and municipal government ministries and agencies responsible for transport infrastructure planning and implementation;
- European, regional and local economic development associations, in light of the often close link between regional development programmes and transport and infrastructure planning;
- Civil society organisations and interested EU citizens, including
 - European umbrella organisations in the field of transport, civil society development and citizen engagement,
 - Regional and local civil society organisations in areas impacted upon by European transport policies and programmes.

b. Proposed Scope and Structure of the Guidelines

It is recommended that the Guidelines be more than merely a set of rules and recommendations on civil society and citizens participation in transport policy and projects. Experience shows that bringing such guidelines to life with a clear setting and contextual information for their application, insightful illustrative examples and practical tips for implementation are key to helping further understanding and increasing relevance. In this way it is possible for users of the Guidelines – including the target audiences identified above – to see how they can apply them in their work and their spheres of influence.

As such the structure for the Guidelines proposed below is of a more comprehensive nature:

Guidelines
for Citizens' and Civil Society Participation
in EU Transport Policies and Projects

- I. Introduction**
 - i. Goals and target groups of these guidelines
 - ii. How to use these Guidelines
 - iii. The goals of the EU's White Paper on Transport

- II. Why civic participation?**
 - i. Arguments for a culture of civic consultation and dialogue

- III. Important Considerations on formal and informal planning procedures**
 - I. Golden rules of dialogue and civic participation

- IV. A Tool box of dialogue and participation methods**
 - i. Goal: Information
 - ii. Goal: Consultation
 - iii. Goal: Cooperation
 - iv. Key Success factors

- V. Some practical examples of project types and model processes of civil society and citizen participation**
 - i. Selection of insightful Case Studies

- VI. Checklists for the implementation of this guideline and of civil society and citizen participation in EU transport policies and projects**

c. Process for the development of the Guidelines

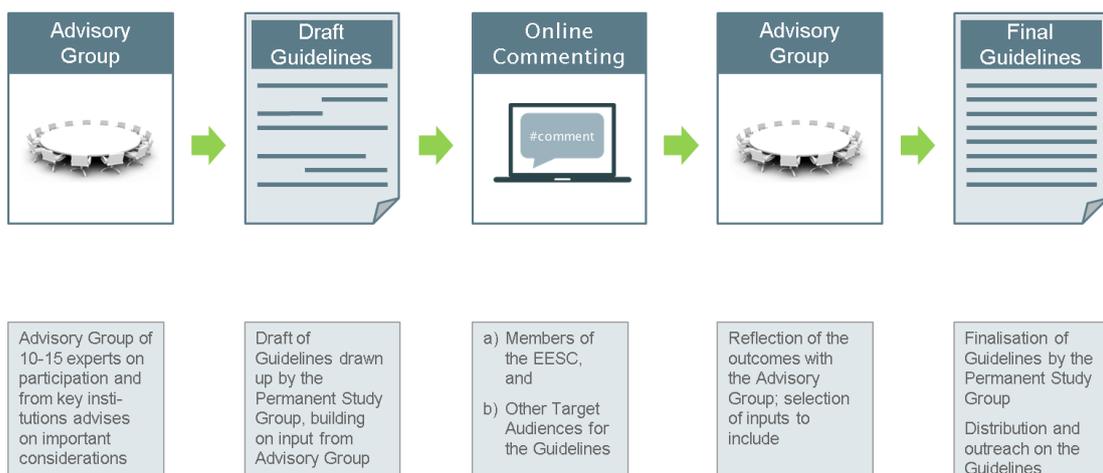
The process by which the EESC develops the Guidelines for citizens’ and Civil Society Participation in European Transport Policies and Projects should benefit from the advantages which well-designed and managed participatory processes can afford. These include

- gaining new and additional insights of value to the Guidelines and their implementation,
- building support for the Guidelines amongst those involved through their active involvement already in the development phase, and
- building capacity for the implementation of participative processes through the implementation of such a process – capacity both in the EESC and in the other institutions involved – and serve to anchor such approaches in the organisations involved.

To secure these benefits it is also important that the process for the development of the Guidelines also follow and adopt the good practices laid out above and identified as critical success factors. It is therefore recommended that the process be a transparent, participative process, with clear opportunities for members of the EESC and other relevant institutions to provide input in an outcome-orientated way, and that the relevance of the final guidelines for policy making are given so as to ensure the Guidelines’ impact.

Done well the process for developing the Guidelines offers the EESC not only the opportunity to “walk the talk” but also to set the agenda for smart, substantive stakeholder participation in European policy and projects.

Steps of such a process are detailed below:



Graphic: Proposed process for the development of the Guidelines

Possible members of the Advisory Group might include representatives of the other European Institutions, important civil society organisations in the transport field and leading practitioners from the participation space. Limiting this to select individuals with unique expertise, rather than institutional completeness and parity, will help ensure that the right information and perspectives are made available during the drafting, reflection and finalisation of the Guidelines, further strengthening their applicability.

d. Ideas for increasing the Impact and for the Dissemination of the Guidelines

Once the Guidelines have been developed it is necessary to ensure their use, and thus secure their impact. This can be done in a number of ways, with the best options available closely linked to the ultimate process selected and implemented for their development.

Involving important stakeholders and organisations in the development of the Guidelines is a particularly effective way in which to ensure that they are known and used: Having worked on developing the Guidelines, the organisations involved have a vested interest in them and can see their relevance for their work. As such it is easier for them to apply the Guidelines in their work.

Additional to this, a systematic process of outreach and of engagement should be implemented to help broaden the reach of the Guidelines beyond those who helped draw them up. This could include:

- A presentation event of the Guidelines to all members of the EESC, and their distribution to members;
- Brussels-based and local dissemination events at which the Guidelines are presented and discussed with (potential) users, to embed them into local contexts, organisations and considerations. Framing the event and the discussions from a users perspective will help focus on the benefits the guidelines can bring to organisations and actors, and incentivise their use;
- Regular (annual) reflections on and a clear process for updating the Guidelines over time should be built in and communicated. This would help ensure that important learning and experiences are captured, and used to further improve them – and would help keep users, organisations and contributors engaged on the issue;
- Development and maintenance of a regular dialogue with organisations or individuals particularly important for the Guidelines effective implementation. Building relationships with individuals who can champion the Guidelines within their organisation will be important for ensuring that ownership helps lead to implementation. This includes with key individuals within the European Institutions, with leading organisations represented in the EESC, national and local government, and academia also working in this field.

5. Conclusion

Overall it is clear that the European Economic and Social Committee is uniquely placed to give citizens and civil society a voice in European decision-making and, in doing so, to contribute to more participative and cooperative processes. With the request from the Commission on how this might be done within the scope of the Transport White Paper, the Committee has an exciting mandate to test this out in a very concrete policy field – and, importantly, in one which will require the active and productive engagement and contribution of citizens and civil society if its aims are to be achieved.

A number of good practices are already taking place to engage citizens and civil society in European transport policy and projects. From these – and from other examples beyond the transport policy space – it is possible to glean a number of valuable ideas, insights and lessons for the EESC. Those captured in this study are by no means complete, but offer a starting point from which the EESC is well positioned to embark upon structured processes to engage citizens and civil society in an even richer, more substantive, systematic manner in its work.



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