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SPICOSA

An exercise in Stakeholder Participation Planning for a hypothetical offshore wind farm in the Gulf of Cadiz (II)

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INDEX

1. Introduction..... 4

2. Problems arising from the stakeholder plan..... 7

3. The conceptual framework of stakeholder plans..... 9

4. The design phases of a stakeholder plan..... 14

5. A participation plan for a hypothetical wind farm project in the Gulf of Cadiz..... 15

5.1. Choose a team to design the plan..... 15
5.2. Define the plan's primary and secondary goals 16
5.3. Determine the scope of the plan (involvement in the decision making process)..... 17
5.4. Include aspects of the legislative, jurisdictional and social contexts for participation and the decision making process 18
5.5. Determine who should be involved and why..... 21
5.6. Design the plan (appropriate tools)..... 24
5.7. Planning of the participation plan..... 26
5.8. Determine the timeframe and establish the cost..... 28
5.9. Establish suitable schedules and other resources required for the participation process..... 30
5.10. Promote the event..... 31
5.11. Assess the process and results..... 31
5.12. Disseminate the project and final report..... 34

6. Concluding remarks..... 35

7. Wind farm participation plan summary..... 36

Bibliography..... 44

Annex I. Distribution of competences 48

Annex II. Assessment tools 52

Annex III. Spain: Offshore wind farm zoning..... 55

LIST OF FIGURES

Figure 1. Groundwork for the Participation Plan …….. 4
Figure 2. Three levels of public involvement …… 11
Figure. 3. Participation Plan jurisdictional context…… …… 21
Figure 4. Importance-influence stakeholder matrix…… 21
Figure 5. Importance-influence stakeholder matrix for the hypothetical offshore wind farm in the Gulf of Cadiz. …… 22
Figure 6. Key stakeholder groupings…….. 23

LIST OF TABLES

Table 1. Participation Plan conceptual framework…… 13
Table 2. Situations for public participation…… 18
Table 3. Tools for public participation…… 24
Table 4. Participation tools and associated stakeholders…… 26
Table 5. Planning (phases and tools)…… 27
Table 6. Timeline Middelgrunden offshore wind farm, Denmark…… 29
Table 7. Cost of Middelgrunden 40 mw offshore wind farm, Denmark……. 29
Table 8. Assessment criteria for the participation plan…… 32
Table 9. Spanish distribution of administrative competences for processing applications for authorisation of electricity generating facilities in the territorial sea…….. 48
Table 10. Distribution of powers and responsibilities for the Spanish marine and coastal environment…… 49
Table 11. Assessment tools. Summary …… 52

LIST OF BOXES

Box 1. Design phases for a participation plan…… 14
Box 2. Participation plan design team for a hypothetical offshore wind farm in the Gulf of Cadiz…… 15
Box 3. Goals of the Participation Plan…… 17
Box 4. Stakeholder involvement in the participation plan…… 19
Box 5. Legislative context of the participation plan…… 20
Box 6. Key stakeholders…… 24
Box 7. Participation tools…… 26
Box. 8. Participation plan subject panels…… 28
Box 9.Timeline and cost of the Gulf of Cadiz offshore wind project participation plan…… 29
Box 10. Promotion of the Participation Plan…… 32
Box. 11. Measures for disseminating the participation plan…… 34

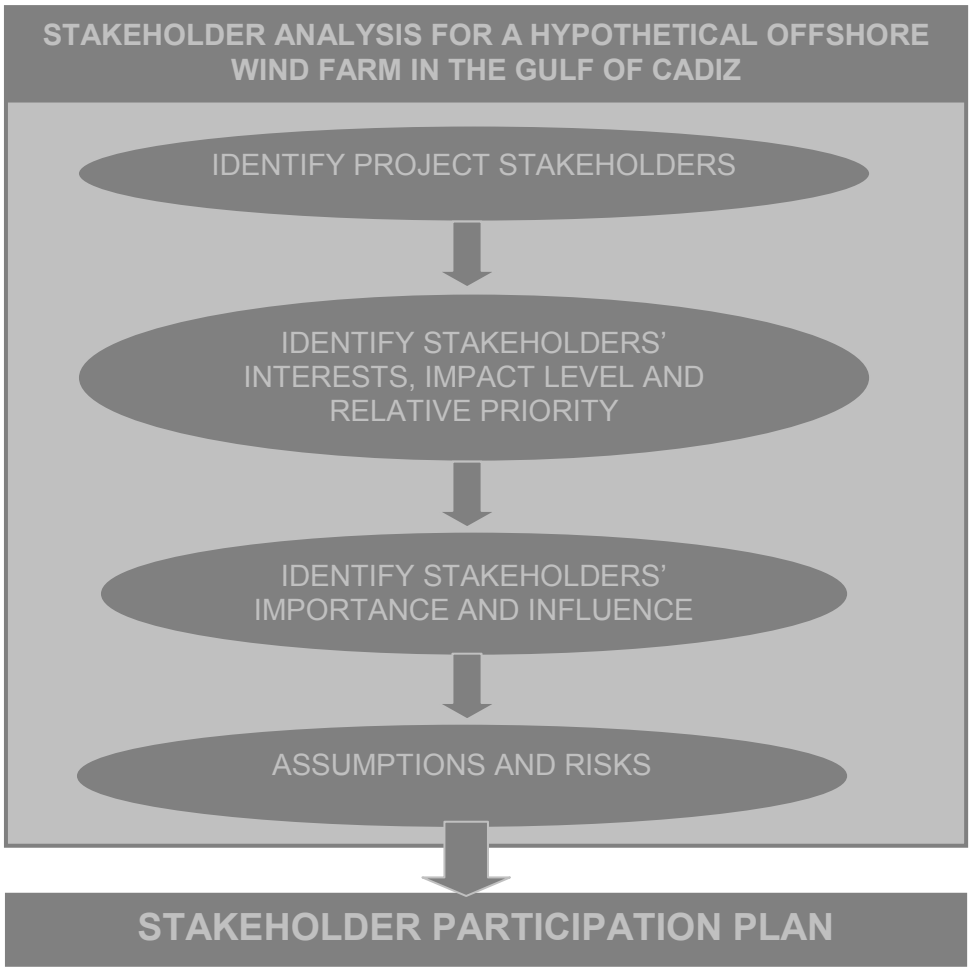
1. INTRODUCTION

This document, *An Exercise in Stakeholder Participation Planning for a Hypothetical Offshore Wind Farm in the Gulf of Cadiz*, is a contribution to the European SPICOSA project and comes under the WP1 End users Group within SSA Select_JPV.

The main goal is the design of a Stakeholder Plan to complete the stakeholder analysis begun in the document entitled: *An exercise in Stakeholder Analysis for a hypothetical offshore wind farm in the Gulf of Cadiz*.

The Stakeholder Plan is the culmination of the previously unfinished stakeholder analysis process, the sequences for which are set out in Figure 1. The purpose is to conclude the identification, classification and weighting of interest and other groups affected by the hypothetical construction of an offshore wind farm by designing a plan which defines stakeholders' capacities and powers for participation through specific measures.

Figure 1. Groundwork for the Participation Plan



Source: Authors.

The emergence of a new philosophy of participation has changed the way society is governed, with participation shifting from just being a peripheral issue to commanding a central role in the design and application of politics.

The broadening of the public area that public politics used to reserve for participation is justified by the rise of a new awareness among people that demands the return of public space, transparency in government management, the provision of basic services and, finally, a certain involvement in regional politics or specific sectors.

This social conquest has had a direct effect on the way government is conducted, with the establishment of participation as an obligatory part of any public initiative (laws, plans, etc.) on any government level: supra-state[1], state, regional and local. In this way public authorities seek to legitimise their actions through greater direct involvement with citizens and to establish more direct and dynamic mechanisms for accountability (Barnes, M, 2000).

As such the E.U. has repeatedly included participation in its most recent initiatives regarding marine policy and coastal planning, such as the *Green Paper: Towards a future Maritime Policy for the Union*[2], the Blue *Paper: An Integrated Maritime Policy for the European Union*[3] and the *Marine Strategy Directive* [4].

The major role of participation in political life in general, and, more especially, in land planning (including the coastal and marine environment) does not only affect administrations. Economic activity has also become imbued with this new philosophy; participation has become the back-bone of business strategy which employs a profuse array of participatory procedures whether for market studies, attracting customers or identifying potential risks in projects.

It is at this point that the relevance that participation has acquired can be seen, with companies forced to include designs for participation in any project they propose to implement. This is mainly demonstrated in private initiatives that affect land management or the environment, as is the case that concerns us herein (the hypothetical development of an offshore wind farm in the Gulf of Cadiz).

We are observing private and public initiative being put on the same level from the point-of-view of public monitoring, whether it be in the case of statutory or non-statutory plans. Aspects of an ideological nature such as public demands intended to influence policies regarding land or specific sectors have thus conditioned public or private practice in an immediate way.

[1] As was demonstrated on the supra-national level by the Aarhus Conference (Denmark, 1998) and Directive 2003/4/EC of the European Parliament and of the Council of 28th January, 2003, on public access to environmental information and repealing Council Directive 90/313/EEC.
[2] "…planning systems should be drawn up with the participation of all interested parties"; "…the importance that the participation of interested parties has in drawing up regulations".
[3] "The Commission: (…) will organise a consultancy structure for interested parties which will contribute ideas for the development of maritime policy and will facilitate the sharing of best practices".
[4] "Art. 18. Consultation and Public Information. (…) In accordance with Directive 2003/35/CE, member-States will ensure that all interested parties actively participate in the application of this Directive".

The main obstacle to putting participatory processes into practice when designing both private and public policies, plans and projects is rooted in identifying the ways or mechanisms for participating, differentiating between those aimed at obtaining public opinion from others where community involvement in decision processes is desired and yet others where the direct presence of the public in said processes is really being sought (Subirats, 2003).

It is possible to circumvent this obstacle to a certain extent and bring about participation through the design of a plan for each policy or project that is to be implemented. A participation plan defines the different avenues for participation (information, consultation, involvement and decision making) during each phase depending on the proposed subject matter (impacts on the environment, public perception, etc.), and, most importantly, the public's powers and capacities for participation are specified (those directly affected, interested parties, and the general public).

What are the topics or subjects that can be participated in? What is the scope or extent of participation? When will it happen? Who should participate? To what degree can each stakeholder participate? That is to say, to what extent should participants be included in the decision-making processes? The main goal of a participation plan is to answer all these questions.

The intention of this document is to conduct an exercise in designing a Participation Plan for the hypothetical development of a private offshore wind farm project in the Gulf of Cadiz that would shed light on these questions. The goal is to produce a plan of stakeholders' capacities and powers defined by specific measures and clearly determined through a participation procedure and within the framework of a plan.

For this we shall base ourselves on the document entitled *An Exercise in Stakeholder Analysis for a Hypothetical Offshore Wind Farm in the Gulf of Cadiz*, where the identification, classification and weighting of stakeholders for the very same project that concerns us were specified.

2. PROBLEMS ARISING FROM THE STAKEHOLDER PLAN

The design and management of a participation plan should be conducted by professionals; any lack of experience of managers and administrations could render the plan ineffective. This apparently obvious circumstance is of the utmost importance. There is no room for improvisation in the process.

Once a team of workers has been defined for designing and managing the participation plan two aspects must be taken into consideration: a participation plan requires time and money. These two circumstances can be resolved through allocating resources and establishing a timeframe for the participatory process.

From a broad point-of-view a participation plan should maintain its communication channels open during the whole process, as this would confer legitimacy on the plan.

Participation processes frequently also have a number of other obstacles to overcome, the majority of which are typical of the "participation culture" of the collective or collectives that are to be involved in the process:

- Stakeholders' lack of confidence in the plan's managers as they are not from the area in question, their belief that the debate will be led or their opinion that the managers do not have enough training to begin the debate.
- The use of vested interests by stakeholders
- Possible marked absences from calls to take part.
- Refusals to take part.
- Heated arguments.
- The usurping of the debate by one or other of the participants.

Many of these difficulties can be forestalled if the process is designed correctly (choice of participants, prior dealing with conflicts, including participants in moderation duties, etc.) and, naturally, if the team that is to manage the process has the right experience and the right training.

Internal difficulties of the participation process that can be avoided by the plan's designers that can be highlighted include:

- The consideration that stakeholders do not have any experience.
- Considering that participants are homogeneous (they do not all share the same opinion).
- The absence of important stakeholders who are not represented.
- The use of complex techniques that hamper participation.
- A wealth of bureaucracy.
- Not ensuring that participants can give their opinions confidentially.

Some of these problems can be overcome by conducting a stakeholder analysis beforehand. Also, if the plan envisages stakeholders being conferred (granted) the power of decision, this must go hand-in-hand with the ability to explain and the will to listen or pick up on signs from the environment. Consequently, the proposed techniques should be sufficiently understood by participants, and the tools for monitoring the process –bureaucracy- should be kept to a minimum.

Notwithstanding, the main risk that a participation plan can run is failing to produce results. If we summon agents to express their opinion in a society which we express in specific actions, said actions should be taken into consideration and implemented to a greater or lesser extent. If a large number of participation processes come to nothing this generates a lack of confidence among the public that makes it very difficult to begin new processes, leading to the far from recommendable situation of social tedium. (Subirats, 2003).

3. THE CONCEPTUAL FRAMEWORK OF PARTICIPATION PLANS

The development of strategies to drive stakeholder participation is particularly necessary when projects are to be put in practice that might impact on stakeholders. Participation planning normally concludes with the establishment of a programme or action plan.

The hypothetical development of an offshore wind farm can be classified as a project, which might impact on the people in the vicinity. It is for this reason that it is necessary to design a participation plan.

There is a wide variety of participation planning methodologies in existence which has been widely put into practice by international organisations such as the United Nations (FAO, UNDP), IDB, etc. They came into being with the aim of driving development in underdeveloped countries, although they are currently applied in a general way. These methodologies for designing participation plans are built on the consideration of democratic participatory processes and not technocratic ones (the application of technical knowledge, techniques and methodologies to solve problems). Some of their more common applications correspond to the management of natural resources, agriculture, planning and action on a community level, and risk assessment.

The following methodologies for designing participation plans can be highlighted: Participatory Rural Appraisal (PRA), Participatory Learning and Action (PLA) and Participatory Action Research (PAR). All use a combination of techniques, which are selected in keeping with the goals and available resources:

a) Participatory Rural Appraisal (PRA) aims to involve communities in endogenous development through interactive and participatory processes. PRA builds on Rapid Rural Appraisal (RRA[5]) techniques, which pioneered the involvement of communities in an assessment of their needs, the identification of their problems, the development of strategies for these to be implemented, and the establishing of action plans to be executed by the community itself. PRA uses a broad spectrum of tools included in a group discussion format to obtain or deduce spatial, time, social and institutional data.

b) Participatory Learning and Action (PLA) is a development of PRA[6], and is a methodology for full community participation in the learning processes

[5] "RRA began as a coalescence of methods devised and used to be faster and better for practical purposes than large questionnaire surveys or in-depth social anthropology. Its methods include semi-structured interviews, transect walks with observation, and mapping and diagramming, all these done by outside professionals.", (Chamber, R, 2007: 7).
[6] Both terms are commonly used as synonyms and even jointly in the scientific literature: PRA-PLA.

regarding their needs and opportunities and in the actions required to tackle them. It uses a broad spectrum of activities, from visualisation, to the intervention of work groups, and offers opportunities for mobilising the local population in joint action.

c) Participatory Action Research (PAR) methodology envisages three main elements: research, education and socio-political action. It is experimental methodology for acquiring robust knowledge on which empowerment or a compensatory power for impoverished, oppressed and exploited classes or groups can be built, in order for there to be authentic organisations or mobilisations. Its aim is that these groups acquire sufficient creativity for it to become advantageous to them, and to be embodied in specific projects and acts of resistance in order to achieve goals in social transformation.

The main lesson learned from the design of participation plans with the methodologies described above is that there is no combination of techniques that can be applied mechanically in all contexts and for all stakeholders.

On the one hand, there are a number of tools–brainstorming, mapping, etc.- that can be applied in a flexible way in order to synthesise and analyse information and that can be used for group participation and even as part of individual interviews.

On the other hand, a number of guiding principles are stated explicitly to facilitate participation and negotiation in discussion focus groups and work meetings where different stakeholders are moderated jointly.

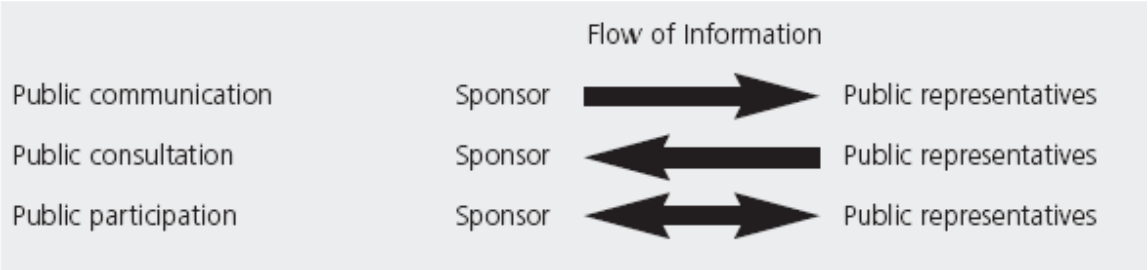
In the design of the participation plan for the hypothetical offshore wind energy project in the Gulf of Cadiz a number of aspects and tools will be chosen from the different methodologies described above and they will be adapted to the context and the stakeholders involved. This means that within the participation plan different strategies will be used for each stakeholder corresponding to the following actions: information, consultation, involvement, collaboration and empowerment.

The choice of these actions for designing a participation plan forces us to refer to the degree to which stakeholders will be included in the decision making process for planning, executing and assessing the offshore wind energy project.

According to the scientific literature and the above-mentioned methodologies, participation plans work along the line of three types of stakeholder involvement in the participatory process:

1) Decisional: stakeholders participate directly in the decision making process.
2) Consultative: stakeholders are consulted (in interviews, surveys, etc.) in order for their opinions to be known, and then others decide.
3) Informative: stakeholders are summoned to provide data, general views, or to set out problems.

Figure 2. Three levels of public involvement



Source: Rowe G and Frewer LJ. 30(2): 255

Both the competent authorities and the project developers in the coastal and marine environment area should take the initiative for encouraging public participation beyond what is required by legislation –information and consultation. This means that they should encourage active participation and involvement in the decision through the inclusion of the stakeholders in the decision making process (Committee on Environmental Impacts of Wind Energy Projects (2007):

- For their importance and the responsibilities they bear, local and regional authorities are the appropriate organisations for formalising participatory processes. They should establish early participation plans that allow stakeholders and the general public to notify them of the obstacles and opportunities that the project represents by registering their statements and holding public meetings. But the role of this participation process is to make headway towards the opportunity to include stakeholders in the decision making process in some aspects of project implementation, and even for the final approval of the project through co-decisional processes[7] –through consultation processes, expert committees, consensus committees and conflict resolution groups.

- The project promoters should set out a participation plan during the project application pre-phase when, rather than simply announcing the features of the project, stakeholders and the general public could be heard and allowed to state their claims for the introduction of changes –through information meetings, consensus committees, and mediation and negotiation processes. This would be a reasoned presentation of the project and its planning in order that it might be discussed and reviewed. Moreover, during the project execution, assessment and control processes, both the communication channels and the capacity for continuing to take co-decisions with stakeholders through the above-mentioned committees should be left open.

[7] The Spanish water management experience has established that the Catchment Area Organisation should give users the capacity to be included in the decision making process in certain aspects –e.g.: the withdrawal of water. Should a project affect the powers and responsibilities of a number of institutions and organisations, the possibility of officially creating a committee or agency where all affected stakeholders might be included in a weighted way, and given co-decisional capacity, should be arbitrated on.

The actions therefore selected for the Gulf of Cadiz wind energy participation plan include the three types of stakeholder involvement in the participatory process:

i. Decisional: through involvement, collaboration and empowerment actions.
ii. Consultative: through consultation actions.
iii. Informative: achieved through information actions.

For progress to be made in the participation plan's conceptual framework, the following question could be asked: what tools will be used to carry out these actions? For reasons of internal consistency the participation plan must develop participation tools that adapt to the chosen actions. The tools that exclude stakeholders from the decision making process and those that actively involve them should therefore be chosen from those described in the PRA-PLA and PAR approaches and in the scientific literature consulted:

A. Tools that exclude decision-making: Public meetings and non-consensus advisory committees (where the positions taken up are expressed), public consultation.

B. Tools that include decision-making: consensus-based advisory committees (require agreements between participants) and negotiation/mediation (participants are forced to come to an agreement).

Once the actions and tools have been described, all that remains is to establish a programme for the Participation Plan, that is, the phases in which the hypothetical offshore wind energy project participation plan will be executed.

In the literature on participation and consultation plans that was referred to for carrying out offshore wind energy projects[8] it is concluded that early participation is required if the projects are to be successfully developed. This means that the participation plan should include all the project phases from planning to assessment and control.

The following Table sets out the conceptual framework for the participation plan for the hypothetical offshore wind farm project in the Gulf of Cadiz:

[8] Included in the bibliography.

Table 1. Participation Plan conceptual framework.

OFFSHORE WIND ENERGY PROJECT PHASES	TYPE OF PARTICIPATION				
	INFORMATION	**CONSULT**	**INVOLVE**	**COLABORATE**	**EMPOWER**
	Promise: we will keep you informed.	Promise: We will keep you informed, listen to you, and provide feedback on how your input influences the decision.	Promise: We will work with you to ensure your concerns are considered and provide feedback on how your input influences the decision.	Promise we will incorporate your advice and recommendations as far as is possible.	Promise: We will implement what you decided.
PLANNING					
EXECUTION					
ASSESSMENT					
CONTROL					

Source: Adapted from Bryson's Strategic Change Cycle (1985).

4. DESIGN PHASES FOR A STAKEHOLDER PLAN

The following phases for the design, execution and assessment of participation plans have been established in keeping with the various methodological approaches consulted:

Box 1. Design phases for a participation plan.

1) **Choose a team to design the plan.**
2) **Define the primary and secondary goals of the plan.**
3) **Determine the scope of the plan (involvement in the decision making process).**
4) **Include aspects of the legislative, jurisdictional and social context for participation and the decision making process.**
5) **Determine who should be involved and why.**
6) **Design the plan (appropriate tools).**
7) **Planning.**
8) **Determine the timeframe and establish the cost.**
9) **Establish suitable schedules and other resources required for the participation process.**
10) **Inform participants.**
11) **Promote the event.**
12) **Assess the process and the results.**
13) **Disseminate the project and final report.**

Source: Authors.

In the following these phases are applied to the hypothetical project for constructing a wind farm in the Gulf of Cadiz.

5. PARTICIPATION PLAN FOR A HYPOTHETICAL WIND FARM PROJECT IN THE GULF OF CADIZ

5.1. Choose a team to design the plan.

The first step in designing a participation plan consists of creating a specialist team. Allowing there to be any improvisation in a participation plan will surely lead to failure.

There are numerous experts in participation in the social sciences -sociologists, anthropologists, geographers, etc. with proven experience in the design and implementation of participatory processes on a worldwide scale. It is a basic requirement to include professionals from this branch in the participation plan design team.

The inclusion in the team of professionals from the field of the law would facilitate compliance with legal prerequisites and regulations regarding information, consultation and participation that will have to be implemented.

If the projects involve there being impacts on the environment it will be necessary to also include scientists in the team who would provide advice on specific topics, such as the marine environment, birdlife, and so on.

In the same way, the participation plan design team should include members of the administration, institution or company that is behind the participatory process.

It will be necessary for there to be a specialist in mediation or a 'facilitator' for the design of certain participation tools, e.g. conflict resolution.

In the particular case that concerns us, the participation plan design team should be made up of the people listed in the following box:

Box 2. Participation plan design team for a hypothetical offshore wind farm in the Gulf of Cadiz.

- Specialist in participation: sociologist or anthropologist.
- Law professional.
- Members of the competent (local and regional) administrations.
- Scientists: Environmental sciences –the marine environment-, Geography –Land management.
- Professional conflict resolution mediator.

Source: Authors.

5.2. Define the primary and secondary goals of the plan.

Determining goals is a highly significant step in public participation plan design. Not only the depth and the scope of public participation will depend on the goals, but they will also help to define the choice of tools: public hearing, the sending of communications, etc.

There can be several types of goal, the most frequent being: providing information, identifying problems, obtaining ideas or solving problems, receiving input on existing ideas, gaining local knowledge (corrective/informative), achieving consensus, avoiding conflicts (shorter delay for work to start), assessing impacts for beneficiaries and non-beneficiaries, establishing joint decision making.

The goals of the participation plan for the hypothetical wind farm project in the Gulf of Cadiz are:

Box 3. Goals of the Participation Plan

Primary goals:

- To establish a transparent participation process with a broad spectrum of stakeholder participation.
- To create an interactive dialogue process to spread information, consult, identify problems and reach a consensus on solutions.

Secondary goals:

- To identify stakeholders, including those directly affected by the project, those who have vested strategic interests, and those who are involved by virtue of their statutory role or political position.
- To formalise stakeholder participation from an early stage.
- To consult stakeholders about the project.
- To provide stakeholders with sufficient information in a language that they can easily understand.
- To identify all positive and negative aspects perceived by the stakeholders, including environmental, economic and social effects.
- To establish areas of common agreement and understanding in order to forestall possible future conflicts between the developers and the stakeholders.
- To undertake a commitment to stakeholders in several regards: listen to their opinions and bear them in mind in the decision making process.

Source: Authors.

5.3. Determine the scope of the plan (involvement in the decision making process).

Stakeholder involvement in a participation plan might be merely informative, consultative or decisional. The design team must make the plan comply with current legislation in this respect. Nevertheless, the degree to which the project requires stakeholders to be involved can have greater implications than what is determined by law.

In this regard, in the Aarhus Convention implementation Guide[9] it is stated that: "*The level of involvement of the public in a particular process depends on a number of factors, including the expected outcome, its scope, who and how many will be affected, whether the result settles matters on a national, regional or local level, and so on".*

EU legislation states that offshore wind energy projects must comply with two assessment processes that include stakeholder participation:

- Strategic Environmental Assessment of the coastal and marine environment[10] that forces Governments to include public information and establish consultation processes in the development of certain plans and programmes.

- Environmental Impact Assessment (EIA), which specifies that the consultation and public information results should be taken into consideration in the project by the development company as well as by the substantive body when granting authorisation for the project[11].

In neither of the cases is the obligation to involve affected parties in the decision making processes stated, with information and consultation measures alone being established. Nonetheless, there have been experiences in EU legislation that consider active stakeholder participation in the decision-making process for certain policies or programmes to be advisable (Water Framework Directive).

The previously stated legislation, direct impacts and the opposition of local stakeholders combine to confirm the appropriateness of including the three types of stakeholder involvement in the participation plan for the Gulf of Cadiz offshore wind energy project.

Consequently, both the competent authorities and the developers of a project in the coastal-marine area are considered to be required to take the initiative to encourage public participation beyond what is required for complying with obligatory legal prerequisites: information and consultation.

[9] ECONOMIC COMMISSION FOR EUROPE, (2000), The Aarhus Convention: an implementation guide, United Nations, New York and Geneva.

[10] In application of Directive 2001/42/EC on the assessment of the affects of certain plans and programmes on the environment (SEA Directive), Spanish legislation states, in the third additional provision of Royal Decree 1028/2007, the need for the Ministries of Industry, of Tourism and Trade, of the Environment, and of Agriculture, Fisheries and Food, to prepare a Strategic Environmental Assessment of the Spanish Marine and Coastal Environment.

[11] ROYAL LEGISLATIVE DECREE 1/2008, of 11th January, which approves the revised text of the Environmental Impact Act text for projects.

This means they must foster active participation and decisional involvement through the inclusion of stakeholders in the decision making process (Box 4).

Box 4. Stakeholder involvement in the participation plan.

- Public information.
- Public consultation.
- Involvement in decision-making.

Source: Authors.

5.4. Include aspects of the legislative, jurisdictional and social contexts for participation and the decision making process.

5.4.1. Aspects of the legislative context.

The legal systems that might be in conflict with the proposed participation mechanisms (informative, consultative or inclusion in the decision making process) or that might cause confusion regarding the parties' rights and responsibilities need to be known. The legal specialist in the design team could be very useful in this regard.

The following Table sets out the situations in which public participation must be implemented and those cases when it is not necessary. Public participation is essential for the offshore wind energy project in the first three situations (see also Box 5).

Table 2. Situations for public participation.

Situation	Public Participation
When public participation is required by law and/or decree.	Obligatory
When public participation is especially required by the EIA.	Obligatory
When public participation is especially desired because of social and environmental impacts that a project might entail.	Highly appropriate
When information surrounding the project is for some reason confidential or deemed to be a State Secret.	Excluded
When there is a state of emergency or alert and decisions must be made quickly without the participation of the people.	Can be omitted

Source: Orozco Badilla, J. et al.

Box 5. Legislative context of the participation plan.

- Public participation is required by law and/or decree: *Law no. 27/2006, of 18th July, which regulates the rights of access to information, public participation and access to justice in matters of the environment.*
- Public participation is especially required by the IEA*: Royal Legislative Decree 1/2008, of 11th January, which approves the revised text of the Environmental Impact Assessment Law for projects.*
- Public participation is especially desired because of social and environmental impacts that a project might entail: *Strategic Environmental Assessment of the Spanish Shore, Min. Environment, 2008.*

Source: Authors, compilation from Ministry of the Environment.

5.4.2. Aspects of the jurisdictional context.

The way powers and responsibilities for the coastal-marine environment are shared out varies depending on the legislation in effect in each State. An in-depth study is required to ascertain which aspects of the jurisdictional context might affect each separate project and this could be prepared by the participation plan design team's law specialist.

In the case of Spain, the extreme heterogeneity of the legislation that is applicable make the legal status of wind farm complexes a complex puzzle which involves the powers of the State[12], of the Autonomous Communities (regional level) and the Town Councils (local level)[13] (see Table 3).

This complexity throws up a question mark: which is the right Administration for implementing the Gulf of Cadiz offshore wind energy project participation plan? The answer might be found in European legislation.

According to the document entitled *An Integrated Maritime Policy for the European Union. Action towards integration of maritime affairs across the EU* (2007) the creation of an agency is needed to coordinate all the various planning actions in the coastal and marine environment.

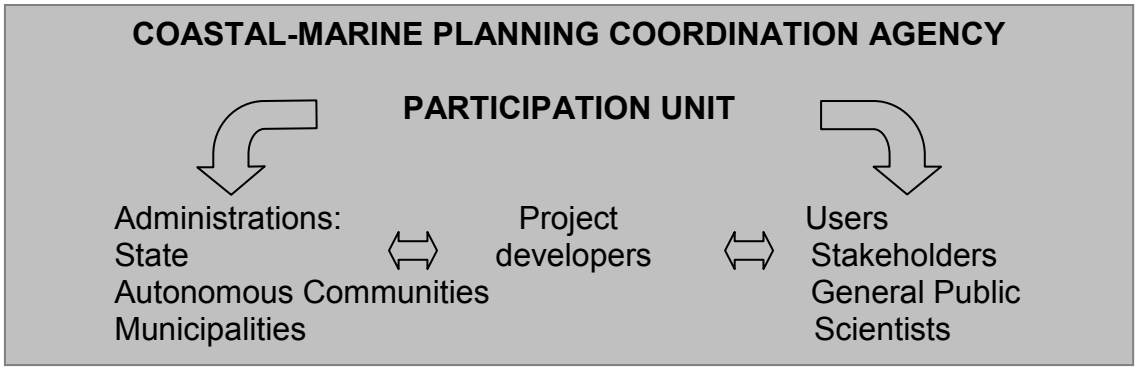
With the passing of the April, 2008 draft of its Marine Bill on marine strategy, British law already includes the establishment of this agency.

[12] See Annex I. The distribution of administrative competences for processing applications for electricity generating facilities in the territorial sea.
[13] See Annex I. The distribution of administrative competences in the Spanish coastal and marine environment and competences for estuaries.

Canadian oceans strategy[14] similarly establishes that*: "*The governance model proposed for Integrated Management is one of collaboration. It involves ocean management decisions based on shared information, on consultation with stakeholders, and on their advisory or management participation in the planning process."

It is proposed that an agency similar to that of Great British manages the Gulf of Cadiz offshore wind energy participation plan, since it brings together in one place all the administrations that have powers and responsibilities for the marine environment.

Figure 3. Participation Plan jurisdictional context.



Source: Authors.

The purpose of this agency is to establish links between the needs of the stakeholders, the project developers, the people, scientists and government departments in the decision making process.

These links will be established through a new institutional structure, the Marine Planning Coordination Agency, which provides a stable framework for participation and communication processes, which can be applied to any action that is to be undertaken in the marine and coastal environment. The coordinating Agency, as the seat of Law, will undertake to coordinate public participation.

5.4.3. Aspects of the social context.

Aspects of stakeholders' cultural politics should also be included in the design of participation plans, such as traditional participatory practices (pre-existing associations and networks, relationships between stakeholders, etc.).

In the same way, it is necessary to include aspects of ethnic sociability if the plan is to be implemented in areas where ethnic groups are recognised to exist, as well as language differences between the people, should there be any.

No aspects of the social context need to be included in our participation plan.

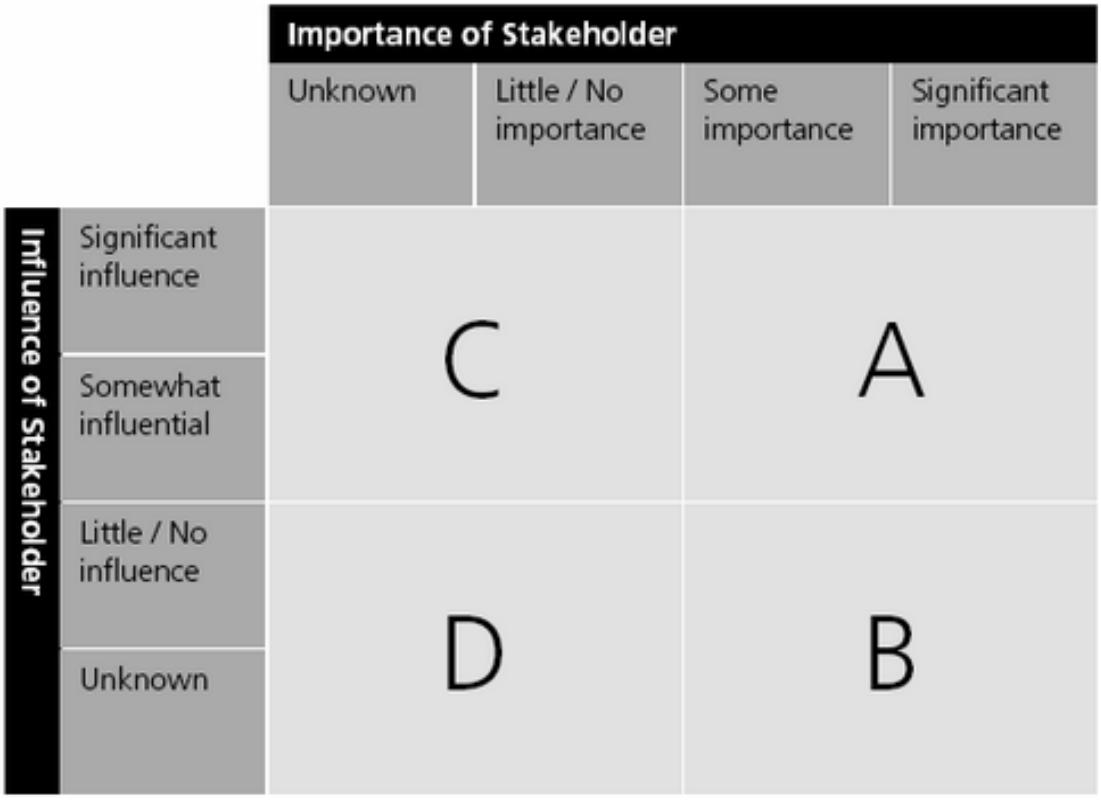
[14] GOVERNMENT OF CANADA (2002) , *Canada´s oceans strategy, our oceans, our future*, Fisheries and Oceans Canada, Oceans Directorate Ottawa, Ontario.

5.5. Determining who should be involved and why.

The identification of the actors who should be linked to a public participation plan should envisage a study of the different groups and forces that intervene in a community's decisions and that are active agents in the undertaking of activities in the population, including trades unions, associations, community leaders, gender groups, grassroots organisations and non-governmental organisations, cooperatives and, should it be the case, people affected across borders.

Stakeholders should be classified as follows according to the importance and influence matrix:

Figure 4. Importance-influence stakeholder matrix.



Source: Department for International Development (1993)

Boxes A, B and C correspond to key stakeholders. The effect of this classification on the participation plan is:

Box A: These are the stakeholders with a high degree of influence and who are very important for the success of the project. This means organisations need to establish good relations with these stakeholders in order to obtain social support for the project. One example of these could be the Administrations and Trades Unions.

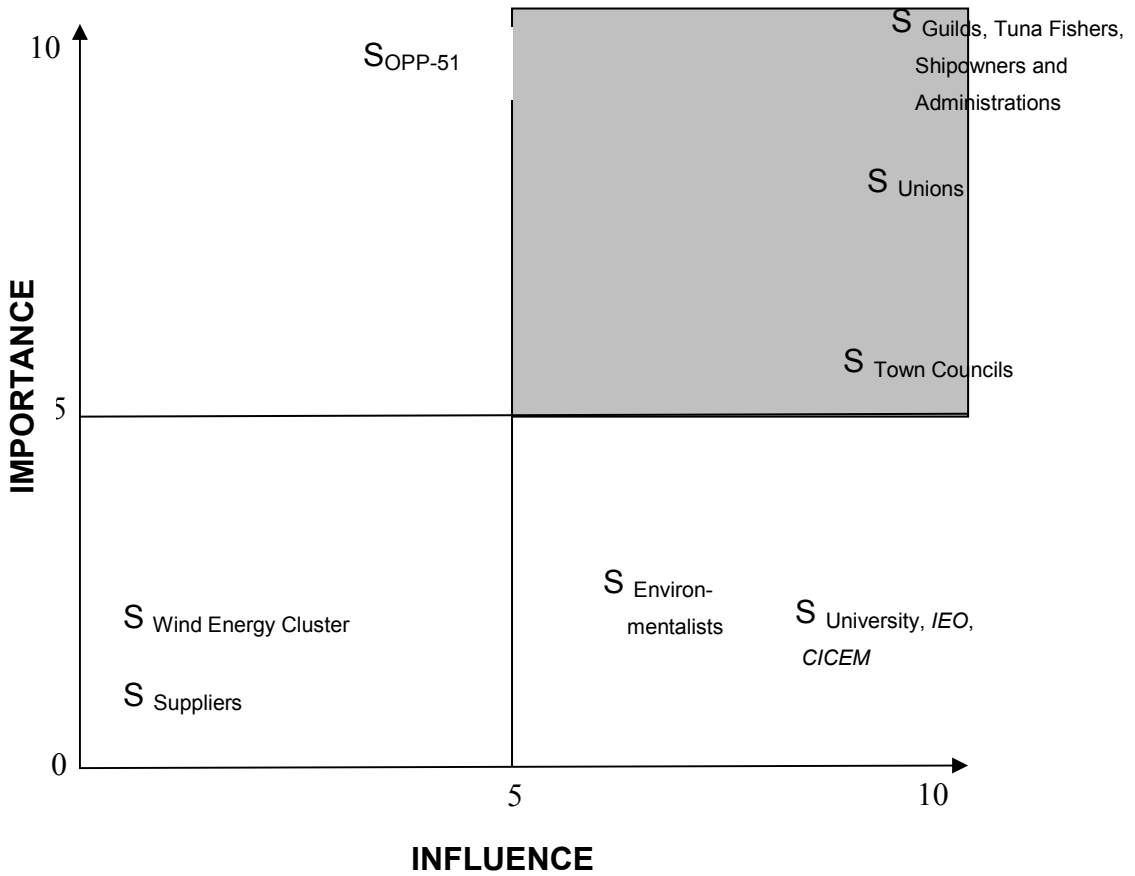
Box B: Stakeholders who are very important for the success of the project but who have little influence. This means special initiatives have to be taken: One example could be traditional fringe groups – young people, indigenous groups, etc.- who benefit from the project or a new service, but have only a small say in its implementation.

Box C: These stakeholders have a lot of influence and can affect the project. Their interests are not necessarily in keeping with the aims of the project. This means they might represent significant risks and require being given specific and ongoing attention.

Box D: The stakeholders included in this box have both low influence and importance for the project, and require only limited non-priority attention.

An effort was made to classify and weight stakeholders in *An Exercise in Stakeholder Analysis for a Hypothetical Offshore Wind Farm in the Gulf of Cadiz* in order to identify those who should be involved in any participation plan. The result was:

Figure 5. Importance-influence stakeholder matrix for the hypothetical offshore wind farm in the Gulf of Cadiz.



Source: Authors.

The basic stakeholders for the participation plan are therefore:

Box 6. Key stakeholders.

The stakeholders considered to be key stakeholders in the project: the Fishermen's Guilds, the Shipowners' Associations, the Tuna Fishers, the Trades Unions and the Administrations (national, regional and local).

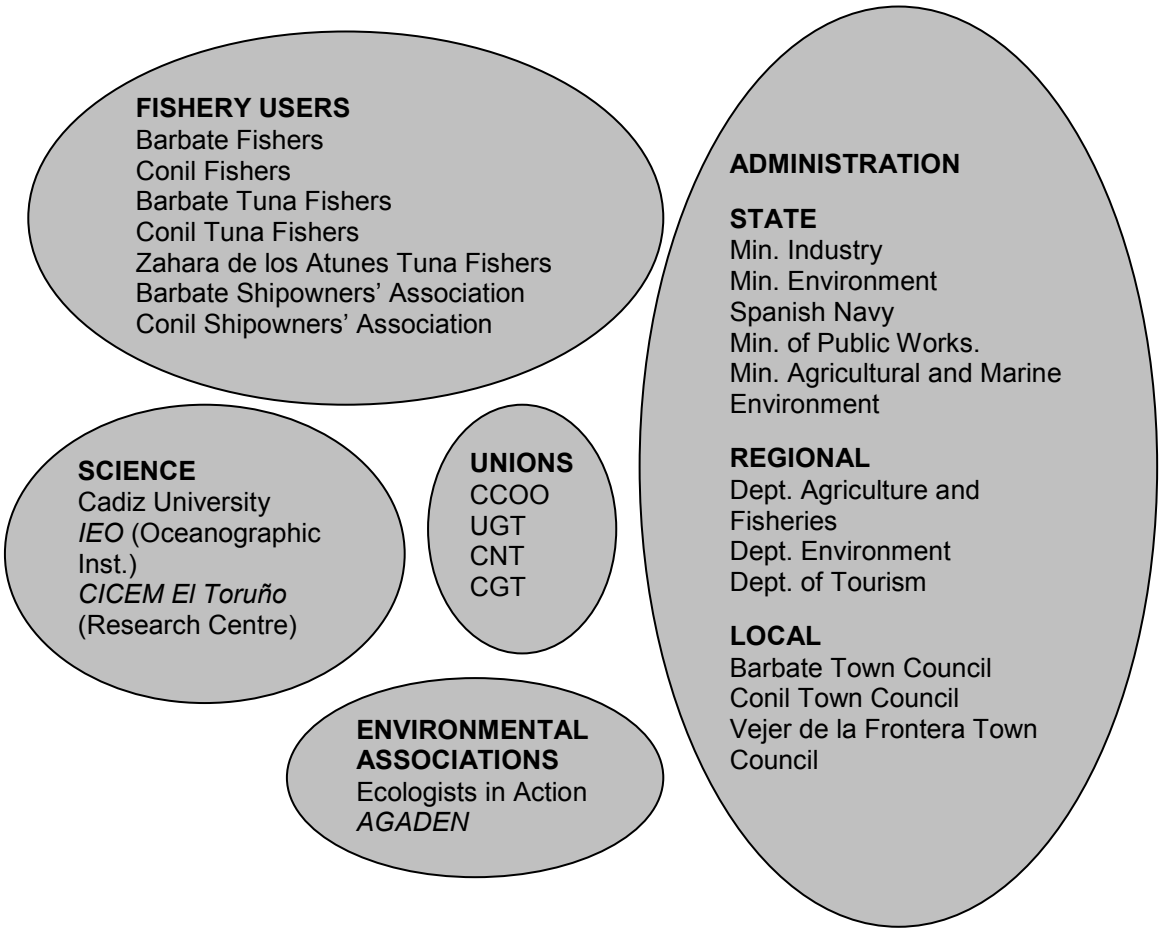
The stakeholders that represent the greatest potential threat to the success of the project: Environmentalists, the University, IEO (Spanish Oceanographic Institute) and CICEM (the Sea Farming and Species Research Centre).

An Exercise in Stakeholder Analysis for a Hypothetical Offshore Wind Farm in the Gulf of Cadiz, (2007).

Source: Authors.

As stated in the conclusions, not all stakeholders should be involved in all phases of the participation process. The stakeholders that have similar information requirements can be grouped together (Figure 6) and provided with specific documents and sectoral information campaigns, as well as have co-decision and conflict resolution processes specifically designed for them.

Figure 6. Key stakeholder groupings.



Source: Authors.

5.6. Design the plan (appropriate tools)

This step is of great importance for the scope of the proposed goals. A suitable selection of techniques for eliciting information increases the chances for success. For example, when the aim is simply to provide information, some of the most useful techniques are public information meetings and the use of mass media such as the radio and television. When the aim is to obtain ideas, written comments are useful, as well as public hearings.

Visits to the site and field inspections are also useful for identifying problems, receiving ideas and opinions and assessing proposals. Assessment committees and field offices include information delivery and reception and other actions linked to achieving consensus, as do workshops and contact with the local intermediary. Finally, informal group meetings can achieve a variety of goals at one and the same time.

Some of the most common techniques used for introducing public participation (middle column) are set out in the following alongside the main goals (right-hand column) and the communication features of each of the techniques.

Table 3. Tools for public participation.

Communication features			Public participation and communication techniques	Goals of public participation					
Level of public contact achieved	Capacity for negotiating diverse interests	Degree of two-way communication		Inform and educate	Identify problems and values	Obtain ideas and solutions	Feedback	Assessment	Resolve conflicts /reach consensus
2	1	1	Public hearings		x		x		
2	1	2	Public meetings	x	x		x		x
1	2	3	Informal meetings of small groups	x	x	x	x	x	
2	1	2	Information meetings for the general public	x	x				
1	2	2	Presentations to organised community	x			x		
1	3	3	Coordination of informative seminars	x			x		
1	2	1	Field offices		x	x	x	x	
1	3	3	Planned visits to site		x		x	x	
2	2	1	Informative brochures and leaflets	x					
1	3	3	Field research and site visits	x	x				
3	1	2	Information stand	x		x	x		
2	1	2	Demonstration model projects	x			x	x	x
3	1	1	Materials for media	x					
1	3	2	Answers to community concerns	x					
3	1	1	Press communiqués inviting debate	x			x		
1	3	1	Letters to respond to inputs			x	x		
1	3	3	Workshops		x	x	x	x	x
1	1	3	Administrative department committees		x	x	x	x	
1	1	3	Work groups		x	x		x	
1	1	3	Work for local residents		x	x			x
1	3	3	Ombudsmen to defend local interests			x		x	x
1	3	3	Ombudsman or representative to defend local residents		x	x	x	x	x
2	3	1	Public review of the Preliminary EA						

Level of participation:1= low, 2= medium, 3= high

Source : Dutch Commission for Environmental Impact Assessment.

The following tools have been chosen for the hypothetical Gulf of Cadiz wind farm project participation plan and are matched to the different types of specific stakeholder involvement:

Box 7. Participation tools

- Public information:
  - Public meeting.
  - Non-consensus Advisory Committees.
- Public consultation:
  - Public consultation.
- Decisional involvement:
  - Consensus-based Advisory Committees.
  - Negotiation/mediation.

Source: Authors.

- **Public meeting:** is a forum that allows *communities, the affected public* and *the general public*, to address their concerns and interests directly to both the staff of the coordination Agency and the developing company for the project. Public meetings foster two-way communication and provide the community and interest groups with the opportunity to put their questions forward in an informal setting. The goal of a public meeting is to share information and have a discussion about issues. The aim is not for decisions to be taken. Meetings of this type should allow the public, stakeholders, the Agency employees and the developers to share data, ideas, concerns and interests. This would allow the marine planning coordination Agency to obtain information about the wide range of interested parties, their interests and concerns. It would also allow a knowledge base of public interests, ideas and needs to be compiled for the Agency to systematise the issues that might affect a specific decision.

- **Non-Consensus Advisory Committees:** Made up of the stakeholders who might be an obstacle to the project: *Environmentalists, the University, IEO (Spanish Oceanographic Institute) and CICEM (the Sea Farming and Species Research Centre).* The goal is to provide a public forum for the interests that concern the community and which might affect it to be discussed. Members will be in the right mind to learn about the project and put forward ideas and suggestions to the developers, even though the result is not an agreement on these by consensus. This committee can be chaired by a hired professional (facilitator) who does not belong to the marine planning coordination Agency.

- **Public consultation:** This is a specific procedure for the planning and assessment stages and is open to the general public. The aim is to establish an information flow between the community and the wind

energy operators. This can be done through informal consultation at public meetings or through formal consultation by means of surveys.

- **Consensus-based Advisory Committees**: Comprising the key stakeholders, *Fishermen's Guilds, Shipowners' Associations, Tuna Fishers, Trades Unions and the Administrations***.** The aim is to create a forum where those involved might work together to reach agreements to resolve any problems caused by the project. They can be used to reconcile the interests of the wide range of stakeholder representatives and to eventually reach a consensus on decisions.

- **Negotiation/mediation**: Negotiation and mediation processes will be set up for *key stakeholders* and for any *interested public* that puts up sufficient opposition at public meetings. These are basically aimed at environmental issues that require a solution. In this regard, the Agency and the project developer should explicitly set out the pertinent measures and planning activities. The use of a mediator will facilitate negotiation. Facilitation is a process to help key stakeholders organise constructive discussions on potentially controversial issues. The facilitator will encourage effective communication, eliciting creative options and keeping the group focused on the matter in hand.

Table 4. Participation tools and associated stakeholders.

TOOLS	PUBLIC MEETINGS	NON-CONSENSUS ADVISORIES COMMITTES	PUBLIC CONSULT-ATION	CONSENSUS-BASED ADVISORY COMMITTES	NEGOTIATION-MEDIATION
PARTICI-PANTS	General public	Environmentalists Universities IEO (Spanish Oceanographic Institute) CICEM (the Sea Farming and Species Research Centre)	General public	Fishermen's Guilds Shipowners' Associations, Tuna Fishers, Trades Unions Administrations	Fishermen's Guilds Shipowners' Associations, Tuna Fishers, Trades Unions Environmentalists

Source: Authors.

5.7. Planning **of the participation plan.**

In order for the phases of the participation plan to be established, it is useful to know both the development phases of the project for which there is to be participation, and the legal requirements for the various participation tools[15].

The plan for the Gulf of Cadiz offshore wind energy project participation plan has been prepared in line with the phases of the project: planning, execution, assessment and control.

[15] The work teams law specialist could be especially necessary in this regard.

Table 5. Planning (phases and tools).

PHASES OF ENERGY PROJECT OFFSHORE WIND FARM	TYPE OF PARTICIPATION				
	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PLANNING	Public meetings Non-consensus advisory committees	Public consultation	Consensus-based advisory committees	Consensus-based advisory committees Negotiation	Negotiation-mediation
EXECUTION	Public meetings			Consensus-based advisory committees Negotiation	Negotiation-Mediation
ASSESSMENT	Public meetings	Public consultation		Consensus-based advisory committees	Consensus-based advisory committees
CONTROL	Public meetings			Consensus-based advisory committees	Consensus-based advisory committees

Source: Authors.

The nature of the project has to be known for the aspects to be determined where the participatory tools are to be implemented.

In the case of the Gulf of Cadiz offshore wind energy project, the impacts that the project might have[16] can serve as a thread for determining the topics or aspects where the participatory tools are to be implemented (Box 11).

Box. 8. Participation plan subject panels.

- Air and climate.
- Water.
- Earth.
- Wild flora and fauna.
- Protected natural spaces.
- Countryside.
- People and human health.
- Tangible property: tuna trap nets, dredgers.
- Interests and sea uses.
- Heritage.

Source: Authors.

According to the answers obtained and the bibliography that was referenced the impacts for information/discussion/negotiation in the participation plan subject panels are:

[16] Based on *Estrategia Ambiental del Litoral Español*.

(1) Impact on local residents: noise, shadow flicker, view, value of land, activities such as hunting and walking.

(2) Impact on natural and cultural values: landscapes, ecology such as birds, marine and existing flora and fauna, sacred or historical sites.

(3) Impact on businesses: aviation, telecommunications, tourism, commercial fishing and shipping.

5.8. Determining the timeframe and establishing the cost

It needs to be pointed out that legal frameworks do not provide adequate support for the justification of the time and resources that a participation plan requires.

When the need to undertake a public participation process is established in either the private or public sector there has to be an awareness that its undertaking will involve an investment of both time and money. In this regard, the budget/time/organisation triangle becomes a key factor in achieving the goals set. Before commencing a task of this magnitude one should be aware of the following considerations:

- How to inform the people about how they can take part publicly.
- Whether the people have the means for taking part (time, resources such as cellphones, the Internet, etc.).
- Allotting sufficient time for reports to be read and discussed.
- Allotting sufficient time for ideas and opinions to be developed and positions to be taken up.
- Whether there is a sum of money set aside for extra costs, for matters such as hiring a team and travel allowances to pay for public hearings.

These considerations help to guide a participation plan design team regarding the time and cost that should be established.

Box 9. Timeline and cost of the Gulf of Cadiz offshore wind project participation plan.

It is not possible to determine the timeline for the plan for the hypothetical offshore wind energy project in the Gulf of Cadiz, as this would depend on the wind farm's development phases (the average length of the projects is some five years). The cost of the plan should be determined by the marine planning coordination Agency.

As an indication, we can provide the timeline and cost of a participation process for an offshore wind project that has already been implemented:

Table 6. Timeline Middelgrunden offshore wind farm, Denmark.

Table IV Process of the establishment of Middelgrunden Offshore Wind Farm [1], [6], [7]

Application on principal approval	September 1996
First public hearing, 27 turbines	June – Sep 1997
Second public hearing, 20 turbines	June – Sep 1998
Principal approval	May 1999
Third public hearing (Environmental Impact Assessment report)	July – Oct 1999
Final permit from Danish Energy Authority	December 1999
Contracts signed	December 1999
Construction initiated	March 2000
Casting concrete	April – July 2000
Starting work on seabed	May – June 2000
Placement of gravity foundations including the first 30m section of the tower	October - November 2000
Placement of the sea cables between the turbines	November
Placement of the upper part of the turbine including rotor	November - December 2000
First turbines start production	December 2000
Commissioning	March 2001

Source: Sørensen, H.C. et al, (2002): 4

Table 7. Cost of Middelgrunden 40 mw offshore wind farm, Denmark.

Table VIII Financing of the project [5] and [8]

When	Activity	Funding M €	
		Public	Project
12-1996	Information prospect	0.01	
03-1997	1st feasibility Killer assumptions	0.15	
05-1997	Cooperative formed Advertising 7 €/share		0.13
08-1997	1st public hearing Visualisation 1	0.04	
11-1997	2nd feasibility - engineering, design - soil investigation	0.40	
08-1998	2nd public hearing - visualisation 2	0.05	
01-1999	Pre-qualification		0
05-1999	Planning permission	0.01	
06-1999	Detailed Project		0.27
07-1999	Environmental Impact Assessment	0.07	
08-1999	Soil investigation CPT		0.06
10-1999	Tender		0.12
11-1999	2 boreholes		0.05
11-1999	25 % Payment shares		4.3 *
12-1999	Permission		0.01
12-1999	Contact contractors		5.0 *
09-2000	100 % Payment shares		17.2 *

Under financed

* 50% total cost of project

Source: Sørensen, H.C. et al, (2002): 4

5.9. Establishing suitable schedules and other resources required for the participation process.

The following aspects should be taken into account when setting dates for a specific event, public meetings, etc.

- For community activities: conflicts must be avoided with the main activities, such as schools, sports, church, etc.
- Avoid holidays.
- In general terms, working days are better than sessions held at weekends.

With regard to venues for meetings:

- The venue should be suitable for accommodating all participants.
- The space should be flexible, with side rooms.
- The venue should be easy to find and easy to reach.
- It should be furnished as required (table, chairs etc.).
- Electric sockets for plugging in lights and computers and internet connections should be located, as well as the climate control (air-conditioning, etc.).
- The venue should be politically neutral (and also neutral with regard to religion).
- The area should also provide enough electric current to serve electronic media.

Materials commonly required in participatory processes include:

- Paper
- Notebooks for taking notes
- Post-it notes
- Blackboards and chalk
- Continuous listing paper in sheets for writing on.
- Pens and pencils
- Photocopier
- Computer
- Projector
- Projection screen or screen-type OHP and table
- Microphone
- Podium
- Printer
- DVD player
- Camera to record sessions and take photographs

All these requirements will be included in the Gulf of Cadiz offshore wind energy participation plan.

5.10. Promoting the event.

Promotion of the event is the part of the public participation plan that begins the recruiting of participants.

One of the easiest and most effective ways of informing and involving the community is through the media. Media coverage is one of the keys to success. Nurturing relationships with key media figures often has great importance.

Promotion can include coverage in the press and television through: public service announcements, advertising, press communiqués and posters (all of these should be prepared by the plan design team).

One creative way of attracting and informing the public is through the coining of a striking catchword or slogan.

Possible content for the media that are to inform on the event includes: subject, the order of the day, contact telephone number and other information lines, a list of the director/administrators of the participatory process, method philosophy, description, programme, list of participants, companies that are sponsoring the event and any additional information regarding the issues that are to be debated.

Text messages or e-mails can be sent out in order to enlist stakeholders. It would be advisable to send reports to organisations and other interest groups.

A register of those present should be taken before the event begins.

It has been determined that the Gulf of Cadiz offshore wind energy participation plan should be promoted through the following participatory activities:

Box 10. Promotion of the Participation Plan.

- Use of mass media.
- Posters.
- Text messages.
- Sending out e-mails.
- Sending reports to organisations.

Source: Authors.

5.11. Assessment of the process and results.

Assessment is not a static action that is performed in the last phase of the participation plan. On the contrary, it should be continuous and transversal during the whole of the participation process.

Assessment is based on the knowledge of the practice or execution of the plan through the systematisation of information and the debate about this practice between all the various actors and is present from the very beginning.

It is difficult to imagine an *a priori* and decontextualised proposal of the type of assessment that a participation plan requires. Notwithstanding, the chance to combine quantitative, qualitative and participative methodologies (see Annex II) can be highlighted.

The following assessment criteria are proposed for the Gulf of Cadiz offshore wind energy participation plan:

Table 8. Assessment criteria for the participation plan.

ASSESSMENT CRITERIA	GOAL	TOOL	ELEMENTS
PLANNING	Identify whether process has been planned or not.	Analyse planning qualitatively.	- Goals of process. - Phases. - Chronogram. - Tasks envisaged during each phase. - Elements for dissemination. - Resources required for each phase and process as a whole.
		Analyse qualitatively the degree to which the planning document has been complied with.	It is preferable that this type of assessment be done externally.
FUNDING	Identify the budget envisaged for project.	Analyse whether budget conforms to goals of the project.	This information can be obtained from the project or the person in charge of the process.
STAFF	Identify existence and volume of own and outside technical resources devoted to project.	Staff's degree of specialisation and professionalisation.	This information can be obtained from the project or the person in charge of the process.
		Analyse whether technical resources conform to goals of the project.	
DEGREE OF PARTICIPATION	Identify quality of participation procedures.	Analyse the degree of participation of the process as a whole qualitatively.	For this assessment to be done it might be useful to include the participants' perception obtained through a questionnaire or workshop. It is preferable that this type of assessment be done externally.
	Identify the opportunity for participation procedures.	Analyse qualitatively what degrees of participation there have been throughout the process (whether there has been information, whether there has been deliberation, etc.)	
QUALITY OF INFORMATION	Information/dissemination channels	Identify the channels used: posters, telephone calls, e-mails, website, etc.	For this type of assessment to be done it might be useful to work with internal discussion groups and/or workshops with participants.
		Identify weaknesses in information channels analysing whether information reaches all potential participants or not.	
		Analyse qualitatively the degree to which the information channels are effective in transmitting the information to all potential participants.	

	Plurality of information produced.	Analyse plurality of information sources used in the process identifying the different sources and the different visions and opinions of the topic submitted to participation.	
	Clarity and usefulness of information produced.	Subjective appraisal by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism.
METHODS AND TECHNIQUES FOR DELIBERATION	Assess the use of deliberation techniques.	Identify whether in the process participation techniques or mechanisms have been used to mitigate inequalities in deliberative spaces.	
	Assess the opportunity for having one's own say.	Subjective appraisal by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism.
SUBSTANTIVE RESULTS	Assess the type of result.	Identify existence of a substantive results document for process.	Type of results obtained: proceedings, diagnosis, plans, specific actions, reports, etc.
	Subjective assessment of results by participants.	Subjective assessment by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism. Can also be done by means of qualitative participatory assessment.
IMPLEMENTATION OF RESULTS	Check on implementation of tangible results.	May not be tangible or envisaged for later on. In such cases it can be observed whether some institutional body has ratified the results of the process institutionally.	This information can be obtained from the analysis of the process or through an interview with the political person in charge of the process.
	Assess follow-up bodies.	Identify existence or review of some type of organisation of this type and analyse its plurality.	If such a body should exist, its role in the process should be assessed and it should be confirmed that it really has relevant functions attributed to it. It is preferable that the analysis of the follow-up body's functions and plurality, should it exist, be done externally.
RETURN OF RESULTS	Assess return of results at end of process.	Identify whether the process envisages return.	Analyse format for return of results, should it exist: public presentation, return workshop, document sent out to participants, letter, etc. It is preferable that this assessment be done externally.

Source: Authors.

5.12. Disseminating the participation plan and final report.

To disseminate the results of the plan a document has to be prepared that summarises both the practice and the conclusions and assessment of the participation plan.

In order for the document to be widely disseminated, it can be given out in print form to the participants and to the competent administrations and interested organisations and also published on institutional websites.

Similarly, a summary of the document can be disseminated through the mass media.

Finally, in order to give the participation plan social legitimacy, the holding of an event (a conference or meeting, etc.) is recommended to disseminate the final report on the participation plan, including its assessment, amongst the community.

The following measures have been selected for disseminating the results of the participation plan for the Gulf of Cadiz offshore wind farm project:

Box. 11. Measures for disseminating the participation plan.

- Preparation of a final report.
- Report sent to stakeholders (administrations and interest groups)
- Provide public with summary of report.
- Dissemination through: mass media and website.
- Conference held to present final report.

Source: Authors.

6. CONCLUDING REMARKS

Devising a participation plan not only involves difficulties regarding the need to adapt participatory methods to specific casuistry, but also others that expose the barriers created by the new legislative frameworks which cannot be identified by a literal reading of the texts.

Some of the institutional problems surrounding participation that must be overcome when devising participation plans are set out in the following:

- There are no institutions or bodies that approach participation from an all-embracing point-of-view. This means that creative proposals have to be made that might conflict, not so much with the structure, but with the practical workings of the administrations. One of the viable proposals that can be highlighted is the creation of official instruments for interaction between the authorities and citizens.

- Traditional reactive participation does not contribute to defining the problem but finds it has already been formulated in a certain way. Transition to more active participation is a slow process, and for institutions and citizens to adapt to these processes requires a change in political participatory culture with the administration playing a key role by taking measures to drive the process forward.

- Participation is limited in scope and citizens have a capacity for decision making on only a few occasions. When legislation includes a capacity for decision-making it does not state or, at least, it does not state clearly the practical mechanisms for applying this degree of participation.

- Setting participation in motion requires funding and this funding must be specified in the planning phase of any participatory process.

7. WIND FARM PARTICIPATION PLAN SUMMARY

7.1. Participation plan design team

- Specialist in participation: sociologist or anthropologist.
- Law professional.
- Members of competent administrations (local and regional)
- Scientists: Environmental scientists –marine environment-, Geography –Land management.
- Professional mediator in conflict resolution.

7.2. Goals

Primary goals:

- To set up a transparent participation process with a wide spectrum of stakeholder participation.
- To create an interactive dialogue to disseminate information, consult, identify problems and arrive at solutions by consensus.

Secondary goals:

- Identify stakeholders including those directly affected by the project, those who have vested strategic interests, and those who are involved by virtue of their statutory role or their political position.
- Regularise stakeholder participation at an early stage.
- Consult stakeholders about the project.
- Provide stakeholders with sufficient information in a language that they can understand easily.
- Identify all the positive and negative aspects perceived by stakeholders, including environmental, economic and social effects.
- Establish areas of common accord and understanding to forestall possible future conflicts between the developers and the stakeholders.
- Commit to stakeholders in a variety of ways: listen to opinions and take them into account in the decision making process.

7.3. Scope of participation.

- Public information:
  - Public meeting.
  - Non-consensus Advisory Committees.
- Public consultation:
  - Public consultation.
- Decisional involvement:
  - Consensus-based Advisory Committees.
  - Negotiation/mediation.

7.4. Aspects of the legislative, jurisdictional and social context for participation and the decision making process.

A) Legislative context.

- Public participation is required by law and/or decree: *Law no. 27/2006, of 18th July, which regulates the rights of access to information, public participation and access to justice in environmental matters.*
- Public participation is especially required by the EIA*: Royal Legislative Decree 1/2008, of 11th January, by which the revised text of the Law on Environmental Impact Assessment for Projects is adopted.*
- Public participation is especially desired because of the social and environmental impacts that a project might entail: *Strategic Environmental Study on Spanish Shores, Min. Environment, 2008.*

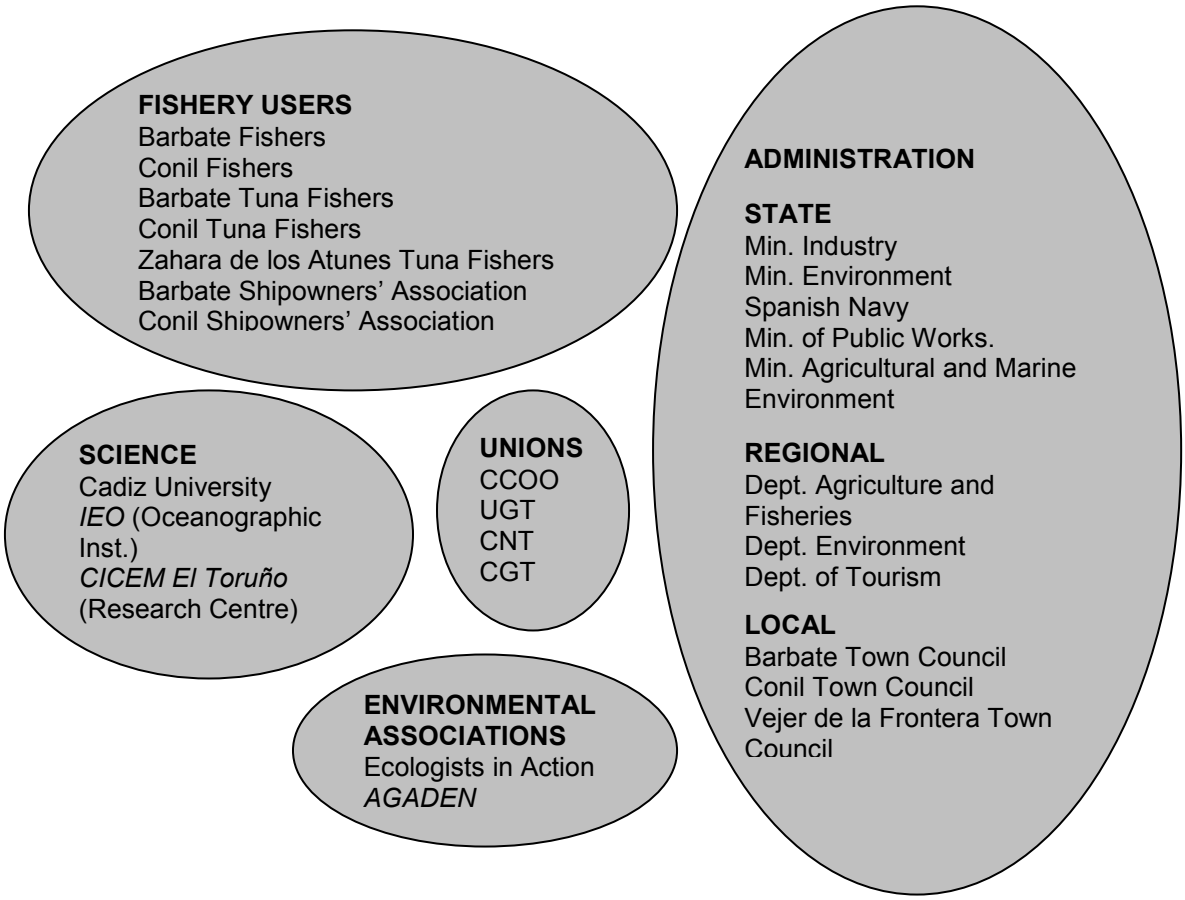
B) Jurisdictional context.

COASTAL-MARINE PLANNING COORDINATION AGENCY

PARTICIPATION UNIT

Administrations: State, Autonomous Communities, Municipalities ⟺ Project developers ⟺ Users, Stakeholders, General Public, Scientists

7.5. Those involved.



7.6. Participation tools

TOOLS	PUBLIC MEETINGS	NON-CONSENSUS ADVISORIES COMMITTES	PUBLIC CONSULT	CONSENSUS-BASED ADVISORY COMMITTES	NEGOTIATION-MEDIATION
PARTICI-PANTS	General public	Environmentalists Universities IEO (Spanish Oceanographic Institute) CICEM (the Sea Farming and Species Research Centre)	General public	Fishermen's Guilds Shipowners' Associations Tuna Fishers Trades Unions Administration	Fishermen's Guilds Shipowners' Associations Tuna Fishers Trades Unions Environmentalists

7.7. Planning of Participation Plan.

PHASES OF OFFSHORE WIND ENERGY PROJECT	PARTICIPATION PLAN ACTIONS				
	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PLANNING	PUBLIC MEETINGS NON-CONSENSUS ADVISORY COMMITTEES	PUBLIC CONSULT	CONSENSUS-BASED ADVISORY COMMITTEES	CONSENSUS-BASED ADVISORY COMMITTEES NEGOTIATION	NEGOTIATION-MEDIATION
EXECUTION	PUBLIC MEETINGS			CONSENSUS-BASED ADVISORY COMMITTES NEGOTIATION	NEGOTIATION-MEDIATION
ASSESSMENT	PUBLIC MEETINGS	PUBLIC CONSUL-TATION		CONSENSUS-BASED ADVISORY COMMITTEES	CONSENSUS-BASED ADVISORY COMMITTEES
CONTROL	PUBLIC MEETINGS			CONSENSUS-BASED ADVISORY COMMITTEES	CONSENSUS-BASED ADVISORY COMMITTEES

Participation plan subject panels

- Air and climate.
- Water.
- Earth.
- Wild flora and fauna.
- Protected natural spaces.
- Countryside.
- People and human health.
- Tangible property: tuna trap nets, dredgers.
- Interests and sea uses.
- Heritage.

Main impacts

(1) Impact on local residents: noise, shadow flicker, view, value of land, activities such as hunting and walking.

(2) Impact on natural and cultural values: landscapes, ecology such as birds, marine and existing flora and fauna, sacred or historical sites.

(3) Impact on businesses: aviation, telecommunications, tourism, commercial fishing and shipping.

7.8. Timeline/costs

It is not possible to determine the timeline for the plan for the hypothetical offshore wind energy project in the Gulf of Cadiz as this would depend on the wind farm's development phases, which differ depending on the various projects that have been presented (the average length of the projects is some five years). The cost of the plan should be determined by the marine planning coordination Agency.

7.9. Schedules and requirements

The following aspects should be taken into account with regard to schedules.

- For community activities: conflicts must be avoided with the main activities, such as schools, sports, church, etc.
- Avoid holidays.
- In general terms, working days are better than sessions held at weekends.

Venues:

- The venue should be suitable for accommodating all participants.
- The space should be flexible, with side rooms.
- The venue should be easy to find and easy to reach.
- It should be furnished as required (table, chairs etc.).
- Electric sockets for plugging in lights and computers and internet connections should be located, as well as the climate control (air-conditioning, etc.).
- The venue should be politically neutral (and also neutral with regard to religion).
- The area should also provide enough electric current to serve electronic media.

Materials required include:

- Paper.
- Notebooks for taking notes.
- Post-It notes.
- Blackboards and chalk.
- Continuous listing paper in sheets for writing on.
- Pens and pencils.
- Photocopier.
- Computer/s
- Projector.
- Projection screen and/or screen-type OHP with table.
- Microphone/s.
- Podium.
- Printer.
- DVD player/VCR.
- Camera to record sessions and take photographs.

7.10. Promote the event

- Use of mass media.
- Posters.
- Text messages.
- Send out e-mails.
- Send out reports to organisations.

7.11. Assess process and results.

ASSESSMENT CRITERIA	GOAL	TOOL	ELEMENTS
PLANNING	Identify whether process has been planned or not.	Analyse planning qualitatively.	- Goals of process. - Phases. - Chronogram. - Tasks envisaged during each phase. - Elements for dissemination. - Resources required for each phase and process as a whole.
		Analyse qualitatively the degree to which the planning document has been complied with.	It is preferable that this type of assessment be done externally.
FUNDING	Identify the budget envisaged for project.	Analyse whether budget conforms to goals of the project.	This information can be obtained from the project or the person in charge of the process.
STAFF	Identify existence and volume of own and outside technical resources devoted to project.	Staff's degree of specialisation and professionalisation.	This information can be obtained from the project or the person in charge of the process.
		Analyse whether technical resources conform to goals of the project.	
DEGREE OF PARTICIPATION	Identify quality of participation procedures.	Analyse the degree of participation of the process as a whole qualitatively.	For this assessment to be done it might be useful to include the participants' perception obtained through a questionnaire or workshop. It is preferable that this type of assessment be done externally.
	Identify the opportunity for participation procedures.	Analyse qualitatively what degrees of participation there have been throughout the process (whether there has been information, whether there has been deliberation, etc.)	
QUALITY OF INFORMATION	Information/dissemination channels	Identify the channels used: posters, telephone calls, e-mails, website, etc.	For this type of assessment to be done it might be useful to work with internal discussion groups and/or

		Identify weaknesses in information channels analysing whether information reaches all potential participants or not.	workshops with participants.
		Analyse qualitatively the degree to which the information channels are effective in transmitting the information to all potential participants.	
	Plurality of information produced.	Analyse plurality of information sources used in the process identifying the different sources and the different visions and opinions of the topic submitted to participation.	
	Clarity and usefulness of information produced.	Subjective appraisal by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism.
METHODS AND TECHNIQUES FOR DELIBERATION	Assess the use of deliberation techniques.	Identify whether in the process participation techniques or mechanisms have been used to mitigate inequalities in deliberative spaces.	
	Assess the opportunity for having one's own say.	Subjective appraisal by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism.
SUBSTANTIVE RESULTS	Assess the type of result.	Identify existence of a substantive results document for process.	Type of results obtained: proceedings, diagnosis, plans, specific actions, reports, etc.
	Subjective assessment of results by participants.	Subjective assessment by participants.	Can be obtained through a questionnaire at end of process or through some participation mechanism. Can also be done by means of qualitative participatory assessment.
IMPLEMENTATION OF RESULTS	Check on implementation of tangible results.	May not be tangible or envisaged for later on. In such cases it can be observed whether some institutional body has ratified the results of the process institutionally.	This information can be obtained from the analysis of the process or through an interview with the political person in charge of the process.

	Assess follow-up bodies.	Identify existence or review of some type of organisation of this type and analyse its plurality.	If such a body should exist, its role in the process should be assessed and it should be confirmed that it really has relevant functions attributed to it. It is preferable that the analysis of the follow-up body's functions and plurality, should it exist, be done externally.
RETURN OF RESULTS	Assess return of results at end of process.	Identify whether the process envisages return.	Analyse format for return of results, should it exist: public presentation, return workshop, document sent out to participants, letter, etc. It is preferable that this assessment be done externally.

7.12. Disseminate participation plan.

- Prepare final report.
- Send report to stakeholders.
- Provide public with summary of report.
- Dissemination through: mass media and website.
- Hold conference to present final report.

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ANNEX I. DISTRIBUTION OF COMPETENCES

Table 9. Spanish distribution of administrative competences for processing applications for authorisation of electricity generating facilities in the territorial sea.

ADMINISTRATION	COMPETENCES
MINISTERY FOR INDUSTR, TOURISM AND TRADE (Directorate General for Energy Policy and Mines)	Administrative authorisation for building, extending, modifying and closing facilities.
MINISTERY OF THE ENVIRONMENT (Directorate General for Coasts)	Authorisations and concession of occupation of maritime and land public domain required for the construction of a marine electricity generating plant. Environmental organisation in environmental assessments.
MINISTERY OF PUBLIC WORKS (Directorate General for the Merchant Navy)	Authorise activities required for implementation when maritime security, navigation and human life at sea are affected.
COMPETENT PORT AUTHORITY	Authorisation or concession in cases of occupancy of port and harbour public domain.
MINISTERY OF AGRICULTURE, FISHERIES AND FOOD	Fishery resource protection and regeneration measures, without detriment to any that might already be legally attributed to other administrative bodies (e.g. Department of Agriculture and Fisheries of the *Junta de Andalucía* (regional government)

Source: BOE (Official State Gazette) no. 183, Wednesday 1st August, 2007 33171

Table 10. Distribution of powers and responsibilities for the Spanish marine and coastal environment.

STATE=S
AUTONÓMOUS=A
MUNICIPAL= M
SHARED=SH

		Land-maritime area				Inland waters				Territorial sea				Exclusive economic zone			
	ACTIVITIES	S	A	M	SH	S	A	M	SH	S	A	M	SH	S	A	M	SH
MARITIME AND LAND PUBLIC DOMAIN																	
	Owner	X				X				X				X			
	Management	X				X				X				X			
	Concessions	X				X				X				X			
MINERAL AND ENERGY RESOURCES																	
	Wind turbines	X				X				X				X			
	Dredging	X				X				X				X			
	Coral extraction	X				X				X				X			
	Sand extraction	X				X				X				X			
	OIL PIPELINE					X				X							
RESEARCH																	
	Ocean research	X	X		S/SH	X	X		S/SH	X	X		S/SH	X	X		S/SH
UNDERWATER HERITAGE		X	X		S/SH	X	X		S/SH	X	X		S/SH	X	X		S/SH
PROTECTED MARINE AREAS																	
	National park				S/SH				S/SH	X				X			
	Natural park		X				X			X				X			
	Biosphere reserves																
	Other		X			X				X				X			
EXPLORATION AND EXPLOITATION OF THE CONTINENTAL SHELF																	

	Exploration																
	Exploitation																
	Oil rigs	X	X		S/SH	X	X		S/SH	X	X		S/SH	X	X		S/SH
DEFENCE						X				X				X			
	Mine laying					X				X							
	Underwater exercises	X				X				X				X			
	Coastal RESCUE		X				X										
	Sea RESCUE	X				X				X				X			
	Health and hygiene			X			X			X				X			
WASTE AND POLLUTION																	
	Waste water originating from the land		X				X				X				X		
	Water quality		X				X			X				X			
	Outfalls					X	X		S/SH	X	X		S/SH				
	Fight against pollution	X				X	X		S/SH	X	X		S/SH	X			
	DREDGE DUMPING	X				X				X				X			
	WASTE DISPOSAL (sea)	X				X				X				X			
	WASTE DISPOSAL (land)		X				X				X				X		
WATER FRAMEWORK COASTAL WATERS DIRECTIVE					S/SH				S/SH				S/SH				S/SH
BIOLOGICAL RESOURCES																	
	Sea fishing		X				X			X				X			
	Angling		X				X			X	X		S/SH	X	X		S/SH
	Aquaculture		X				X				X				X		
	Shell-fishing		X				X				X				X		
	Reefs			X (AUTHORISATION)			X										
	protection																
	productive																
LEISURE/RECREATION																	
	Water-skiing / Windsurfing					X				X							
	Motor-boating	X				X				X				X			
	Swimming / Scuba diving																

	Recreational boating					x				x				x			
	Thalassotherapy																
	Sunbathing			x				x				x				x	
NAVIGATION AND COMMUNICATION																	
	CABLES					x				x				x			
	ANCHORAGE					x				x							
	NAVIGATION	x				x				x				x			
	PORTS and HARBOURS commercial																
	general interest	x				x				x				x			
	all other		x				x				x				x		
	OIL TRANSPORT	x				x				x				x			
	MARKING WITH BUOYS		x			x				x				x			
	MARINAS		x				x										

Source: compiled by authors:

http://www.defensor-and.es/legislacion/xley_e01.htm
http://www.mma.es/costas/htm/dominio/comenta/tabla1.htm

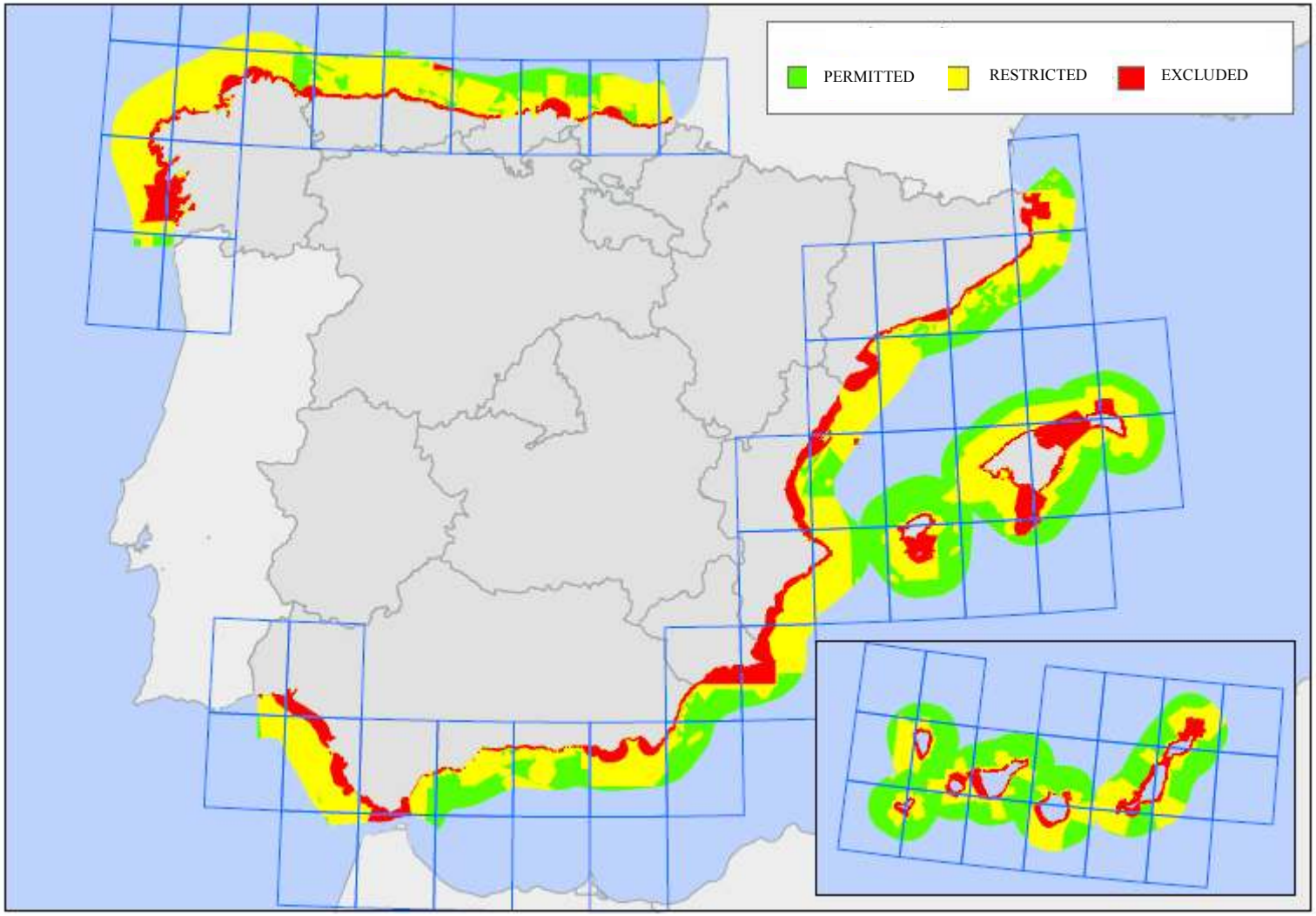
ANNEX II. ASSESSMENT TOOLS

Table 10.: Assessment tools. Summary

	CRITERION	ASSESSMENT SYSTEM	Assessment methodologies						
			Registers	Project analysis	Informant interviews	Sociogram	Internal groups	Participant questionnaire	Participant Assessment
COORDINATION	Consensus	Political acceptance			X	X			X
		Social acceptance				X			X
		Technical acceptance				X	X		
	Transversality	Degree involvement of different areas			X		X		
		Areas of transversality		X			X		
	Initiative and leadership	Initiative							
		Leadership							
		Plural developing group		X			X		
	System integration	Relationship with other processes		X	X		X		X
		Use of existing organisations		X	X		X		X
	Clarity of objectives	Analysis of objectives	X	X					X
		Achieving of objectives	X				X		X
	Planning and resources	Planning and keeping to planning	X	X			X		
		Funding	X	X					
		Staff	X	X					
WHO PARTICIPATES	Number of participants	Percentage of participants	X						
		Percentage of organised actors	X			X			
		Those present in selection		X				X	
	Diversity of participants	Percentage of different groups							
		Diversity index		X	X				
		Profiles of organisations							
		Relevant actors							
	Representativity	Ease of communication							
		Election of representatives							
		Representatives' discourse							

Source: ROWE G AND FREWER L.J, 2005.

ANNEX III. SPAIN: OFFSHORE WINDFARM ZONING



Source: Ministerio de Medio Ambiente y Medio Rural y Marino (Translated by authors).