IPPA

Deliverable 1.2

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Development of the Knowledge Base
and its Review By IPPA Project Partners

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RE	Restricted to a group specified by the partners of the IPPA project	
CO	Confidential, only for partners of the IPPA project	

Foreword

The core aim of the IPPA project is the establishment of arenas where stakeholders can join together to increase their understanding of the issues involved in radioactive waste disposal and of their respective views. The project is not limited to national programmes; it also includes the multi-national context, because issues such as Environmental Impact Assessment and the Espoo Convention, the regional repository option and implementation of the Aarhus Convention will be examined. The project also investigates how negotiations on compensation and added value can be implemented at the local level.

The IPPA project is structured in six work packages dedicated to specific areas of research and implementation. Work Package 1 ("Taking stock of research results - Mapping prerequisites for implementation") provides participants with information and overview of theoretical achievements and practical experiences, from research and national programmes, which should be valuable when organizing activities and arenas for participation and transparency. It has developed a Knowledge Base of approaches for the involvement of stakeholders in dialogue on contentious issues, based initially on international experience and subsequently on learning from the IPPA project itself. Due to unavoidable delays in progressing participation activities in WP2 of the project, WP1 was extended into Year 3 (it was originally planned to be completed at the end of Year 2) in order to be able to include feedback on these activities. WP1 effort was combined with that of WP5.3.

This Deliverable combines the originally proposed D1.2 and D1.3 and is a brief account of the further development and use of the Knowledge Base, together with a review of the in-project workshop that was held in Ljubljana, Slovenia, on 19th March 2013 to review its usefulness as the key component of the Participation Toolbox to be developed in WP5.3.

IPPA is a project under the European Atomic Energy Community's Seventh Framework Programme FP7/2007-2011. Its objectives, work programme and results are presented, and all open deliverables made available for downloading, on the dedicated project website www.ippaproject.eu. The project website and the Participation Toolbox will remain available after the end of the project for at least five years.

CONTENTS

1 Introduction

The core aim of the IPPA Project is to establish arenas where stakeholders can meet to increase their understanding of the issues involved in radioactive waste disposal and to understand their respective views on these issues. The overall structure of the project is both to take stock of existing research results about public participation processes and other experiences of the implementation of such processes, and to evaluate and provide feedback from the implementation activities in IPPA in relation to the existing knowledge and research. In IPPA the development of the "Knowledge Base" has being undertaken in WP1 whereas the final evaluation and feedback will be undertaken in WP5 along with development of a Participation Toolkit.

Whilst recognizing that individual participation processes need to develop their own evaluation criteria based on process specific aims and objectives, the previous ARGONA project, and general academic research, have concluded that there is a need for a knowledge base which a "customer agency" could consult to identify possible approaches and techniques that would be suitable for use with any necessary adaptation to national and local circumstances. As outlined in IPPA Deliverable 1.1 [Richardson *et al.*, 2011], it is this need that the IPPA Knowledge Base, and the Participation Toolbox to be developed from it, is designed to address.

The aim of this second WP1 Deliverable is to briefly describe how the original version of the Knowledge Base has been further developed since the publication of Deliverable 1.1 and to discuss how it has been informed by activities within WP2. It also discusses how it has been used by some IPPA project participants and concludes with a brief report on the outcome of the review workshop that was held in Ljubljana, Slovenia, as part of the Project Meeting held on 18-19th March 2013.

Chapter 2 provides an account of how the initial Knowledge Base was further developed and expanded, with inclusion of additional information, Case Studies and Tool descriptions.

Chapter 3 presents a short discussion of how the Knowledge Base has been used during the project and reports on the feedback received from demonstration of the final version as it was presented at the project meeting in Slovenia in March 2013.

Chapter 4 briefly introduces the planned next steps in development of the Participation Toolbox.

2 Further Development of the Knowledge Base

2.1 Improvement of the content and presentation

Following submission of the initial version of the Knowledge Base as part of Deliverable 1.1 in July 2011 [Richardson *et al.*, 2011], a process of improvement was initiated in order to ensure that the data contained in the developing spreadsheet was both factually correct and presented in an easily understandable and useable form.

In order to carry this out, considerable effort was expended by the Work Package participants (Galson Sciences Ltd, Öko Institute and Karita Research) on correcting the text already in the spreadsheet, and on obtaining relevant references and on-line links, in order to build up the resources that would be used subsequently in the development of the Participation Toolbox in WP5.3. This involved a series of teleconferences and repeated iteration of relevant texts.

The development of the initial Knowledge Base, as explained in Deliverable 1.1 [Richardson *et al.*, 2011] was based on experiences gained in a number of Case Studies in which a range of participatory tools have been used in situations where contentious issues have been addressed. It was undertaken in a step-wise process, namely:

- Identification of suitable case studies.
- Selection of tools from the Case Studies.
- Description of the properties of the tools used.
- Development of the Knowledge Base and presentation of the results in a spreadsheet format.

The Case Studies (and tools employed) that were used in the development of the initial Knowledge Base were as follows:

- The enlargement of Frankfurt Airport in Germany (#1).
- Closure of the former Asse LLW repository in Germany (#2) (2 tools).
- The enlargement of Vienna Airport in Austria (#3).
- Site selection for final disposal of LLW and ILW in Belgium (#4).
- The expansion of the Tauern highway in Austria (#5).
- The UK CoRWM Public and Stakeholder Engagement Process (#6) (2 tools).
- The GM Nation Consultation in the United Kingdom (#7) (3 tools).
- The UK Citizens Panel and Consensus Conference on Radioactive Waste (#8).
- The mobile phone project of the Swedish Radiation Protection Authority (SSI)) (#9).
- Application of the RISCOM Model in the Czech Republic (#10).

In order to carry out the evaluation of the tools, an Assessment Template was developed which contained a range of information describing the tool, its context within the overall process represented by the Case Study, other information which assessed its usefulness against a range of issues and criteria and identification of the source of the information (see Richardson *et al.*, 2011 for further details of the Case Studies and the tools used).

Following development of this initial version of the Knowledge Base, work continued to improve the content and approach. Information was re-ordered to concentrate on the tools used as opposed to the Case Studies examined, and there was development of a set of screening criteria that would subsequently be suitable for use as search criteria in the subsequent Participation Toolbox.

These criteria included:

- ***Level of Decision Making***
    - National
    - Regional
    - Local

- ***Frequency of meetings***
    - One time event (many iterations)
    - Few meetings over a short period (a few weeks, months)
    - Few or regular meetings over a longer period (several months, a few years)
    - Regular meetings (e.g. monthly) over a long period (some years)
    - Continuous

- ***Total Number of Stakeholders Involved***
    - <10
    - 10-30
    - 30-100
    - >100

- ***Phase of the Process (as per Aarhus Convention)***
    - Plans/programmes
    - Project level
    - Any phase

- ***Combination of Stakeholders***
    - Scientific Experts
    - Public
    - Decision makers
    - Programme managers
    - Combinations of above

- ***Tool (Method or Process) Properties***
    - Assists in production of acceptable/tolerable outcomes
    - Provides a clear definition of the issue
    - The results feed into or can be incorporated in a formally prescribed decision-making process
    - Enhances the quality of decision-making
    - Transparency
    - Legitimacy
    - Encourages the presence of a deliberative environment
    - Equality of access
    - Ability and freedom to speak

- Inclusiveness
- Improves trust and understanding between participants/reduction of conflicts
- There is development of a sense of shared responsibility and common good
- The tool assists in capacity building/learning

- *Level of Participation*
  - Inform
  - Listen
  - Consult/Exchange
  - Collaborate
  - Joint Decision Making

- *Implementer of the Tool*
  - Government
  - Relevant Authority(ies)
  - NGO
  - Implementer/Operator
  - Any
  - Other

2.2 Incorporation of WP2 activities

As explained in the IPPA Project Description of Work, in order to develop the Knowledge Base in an iterative manner, it was planned to incorporate feedback from the WP2 participant countries (Czech Republic, Poland, Romania, Slovakia and Slovenia) and to add in their activities as additional Case Studies. Unfortunately, due to slow initial progress in WP2 because of numerous unavoidable factors (political and organisational), it was not possible to accomplish this within the time initially allocated. It was therefore agreed, and approved by the co-ordinator, to continue WP1 activities into Year 3 of the project.

Those activities that did take place in WP2 were investigated by means of a revised reporting template, based on that described in D1.1 for gathering data on the initial Case Studies. The template was circulated to WP2 participants with a request that it be completed and returned to Galson Sciences and Öko-Institut. In the event it took several attempts to gain sufficient information, due in part to the slow progress (little had happened so there was little to report).

The information received from WP2 participants was collated and incorporated in the developing Knowledge Base, which was now in the form of an enlarged Excel spreadsheet. Five new Case Studies were added to the spreadsheet based on this feedback, including details of the tools used. These were:

- *Czech Republic IPPA Activities*
  - The Working Group for Dialogue
  - Public Debates
  - Seminar for parliamentarians

- *Licencing of a LILW Repository at the Saligny Site, Romania*
  - Focus Groups

- *The RISCOM Reference Group in Poland*

- *The RISCOM Reference Group in Slovakia*

- *Construction of a LILW repository at Krsko, Slovenia*
  - Workshops

2.3 Addition of New Tools

In addition to the development of additional Case Studies by incorporation of information and feedback from the developing WP2 activities, the Knowledge Base was also continually expanded by incorporation of a number of further tools/methods/processes that had either been used in these, or which it was agreed should be included in order to ensure comprehensive coverage in the final Participation Toolbox. These were identified through internal discussions and details obtained from academic and internet research.

By the end of the expansion process some 34 separate tools, methods or processes were included in the Knowledge Base:

Articles
Citizen Advisory Groups
Citizens' Panels
Consensus Groups/Conferences
Delphi Surveys
Discussion Meetings
Expert Groups
Field Offices
Focus Groups
Future Search
Interviews
Local Partnerships
Media Releases
Mediation Forums
Mobile Displays
Newsletters
Newspaper inserts
Open Houses
Open Space Workshops

Opinion Polls
Press conferences
Press Releases
Printed Information
Public Debates and meetings
Public hearings
Regional Forums
Riscom Process
Roundtables
Scenario Workshops
Seminars
Surveys
Websites
Working Groups
Workshops

2.4 The Knowledge Base as a Database

As more information was added to the Knowledge Base, it became clear that it would be helpful to be able to search more easily using the terms described above if the data were presented in the form of a database. This could then act as a 'stepping-stone' towards the Participation Toolbox, and enable a smooth transition between WP1 and WP5.3.

When it was agreed to continue WP1 activities into Year 3 of the project, the two work areas were merged. Development of the database was carried out primarily by Galson Sciences in conjunction with Öko Institute and Karita Research and involved numerous iterations and review during late 2012 and early 2013. Figure 2.1 below is a screenshot of a representative page from the database. It was however recognised that the contents were still incomplete and would require additional input going forward.
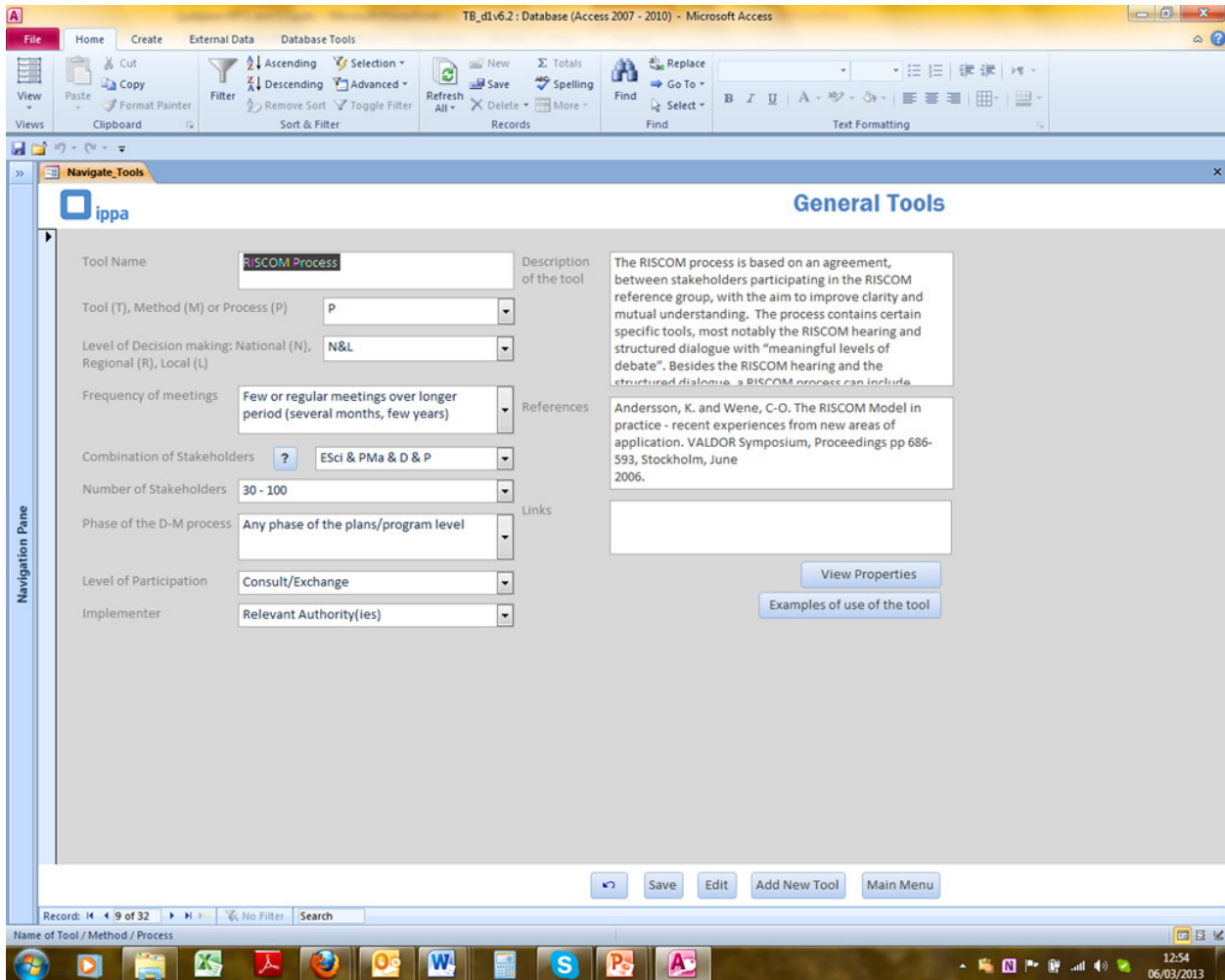

Figure 2.1   A Representative Screenshot of the Database Showing Data Associated with the RISCOM Process

In much the same way as was done with the initial activity templates, overviews of the relevant WP2 Case Studies were developed and circulated to WP2 participants for correction and addition. This was completed in early 2013, prior to the Project Meeting in Slovenia in March.

3 Feedback on the Knowledge Base

During the period of database development described in Section 2 above, WP2 participants were starting to design activities to be carried out by their respective Reference Groups. Whilst several of these plans only involved members of the Reference Groups, others were intended to involve a wider circle of stakeholders.

3.1 *Example of Use by WP2 in Romania*

As explained in Deliverable 2.14 [Constantin *et al.*, 2012], the Romanian WP2 participants wanted to explore whether an open and transparent dialogue could help to develop a change in perception amongst the Romanian public in the future decision-making process for geological disposal. It was also recognised that there would be benefit in engaging with the local stakeholders around the proposed LLW repository at Saligny, close to the Cernavoda NPP, where concerns remain regarding the licencing process, and where Local Partnerships and stakeholder groups had been developed as part of previous EU-supported projects (COWAM and COWAM in Practice).

In order to identify suitable methods, processes or tools for use in the local engagement around Saligny, a review of the tools and methods in the Knowledge Base was performed in relation to the amended Arnstein Participation Ladder that was presented in Deliverable 1.1. 15 participatory methods were examined in order to select the most appropriate ones for use. Deliverable 2.14 [Constantin *et al*, 2012] outlines in detail the process by which these methods were screened, using a number of criteria developed that were specific to the Saligny locality and situation, but based on the Instrumental, Procedural and Constitutive properties presented in Deliverable 1.1 [Richardson *et al.*, 2011].

The Romanian Reference Group concluded that they would begin a process of engagement involving the use of web sites, open days, questionnaires, public presentations and leaflets etc. Recognising that these are all non-interactive methods, it was also decided to hold a series of focus groups to explore stakeholder views and concerns through interactive discussions.

In the event, the engagement programme was delayed by local political developments, and the first focus group did not take place until October 2012, with subsequent events in 2013. The experiences reported to date have been incorporated into a Case Study which was added to the Knowledge Base during 2012 and early 2013 (as described in Section 2).

This screening and selection process is seen as a good example of how the developing Knowledge Base has been used within the IPPA project, and has demonstrated the applicability of the classification system used.

3.2 The Ljubljana Workshop (March 2013)

The original IPPA Description of Work proposed that an internal WP1 project workshop would be held towards the end of Year 2 in order to obtain feedback from WP2 participants on their use of the Knowledge Base. It was intended that this would inform the subsequent development of the Toolbox in WP5.3 in Year 3 of the project.

As has been explained above, progress in WP2 was slower than planned, due to various factors, not least political delays and programme-related issues in the various participant countries. As also explained, this led to continuation of WP1 into Year 3. It also resulted in a delay in holding the planned workshop. It was therefore agreed with the project co-ordinator that the opportunity afforded by the Ljubljana Project meeting in March 2013 should be used for this purpose. Consequently a special session was arranged on the second day of the meeting for small group discussion of the Knowledge Base and the developing Participation Toolbox, in terms of content and suitability, and to identify whether additional information might be available that could also be incorporated.

The discussions in the workshop were split into two parts:
1. Feedback on the Knowledge Base/Toolbox
2. Feedback on the suitability of the Case Studies.

Responses were stimulated by a number of questions presented to two working groups, following a demonstration of an initial draft version of the Toolbox that had been developed by Öko Institute. Figure 3.1 presents screenshots of the draft Participation Toolbox 'Welcome' and 'Search' pages.

1. Feedback on the Knowledge Base/Toolbox
   - *Is the structure of the Knowledge Base/Toolbox understandable?*
   - *Does it reflect the way in which a potential user might search for participatory tools?*
   - *Does the Knowledge Base/Toolbox comprise all of the important points for selecting a tool?*
   - *Who could be potential users of the Knowledge Base/Toolbox*
     - *in your organisation?*
     - *in your country?*

2. Feedback on the Case Studies
   a) Feedback on their use:
   - *Do you think the Case Studies are an appropriate means*
     - *to illustrate the tools?*
     - *to support the selection of a tool on the basis of this experience?*
   - *What is the most important point you would expect to find in a Case Study?*

   b) Tools and Case Study update from WP2 experience:
   - *Are there any further tools (e.g. that have been used in your country in the past or in contexts other than RWM) which should be added to the Knowledge Base/Toolbox?*
   - *Do you have any further experience with the tools mentioned that should be included in an existing or new Case Study?*
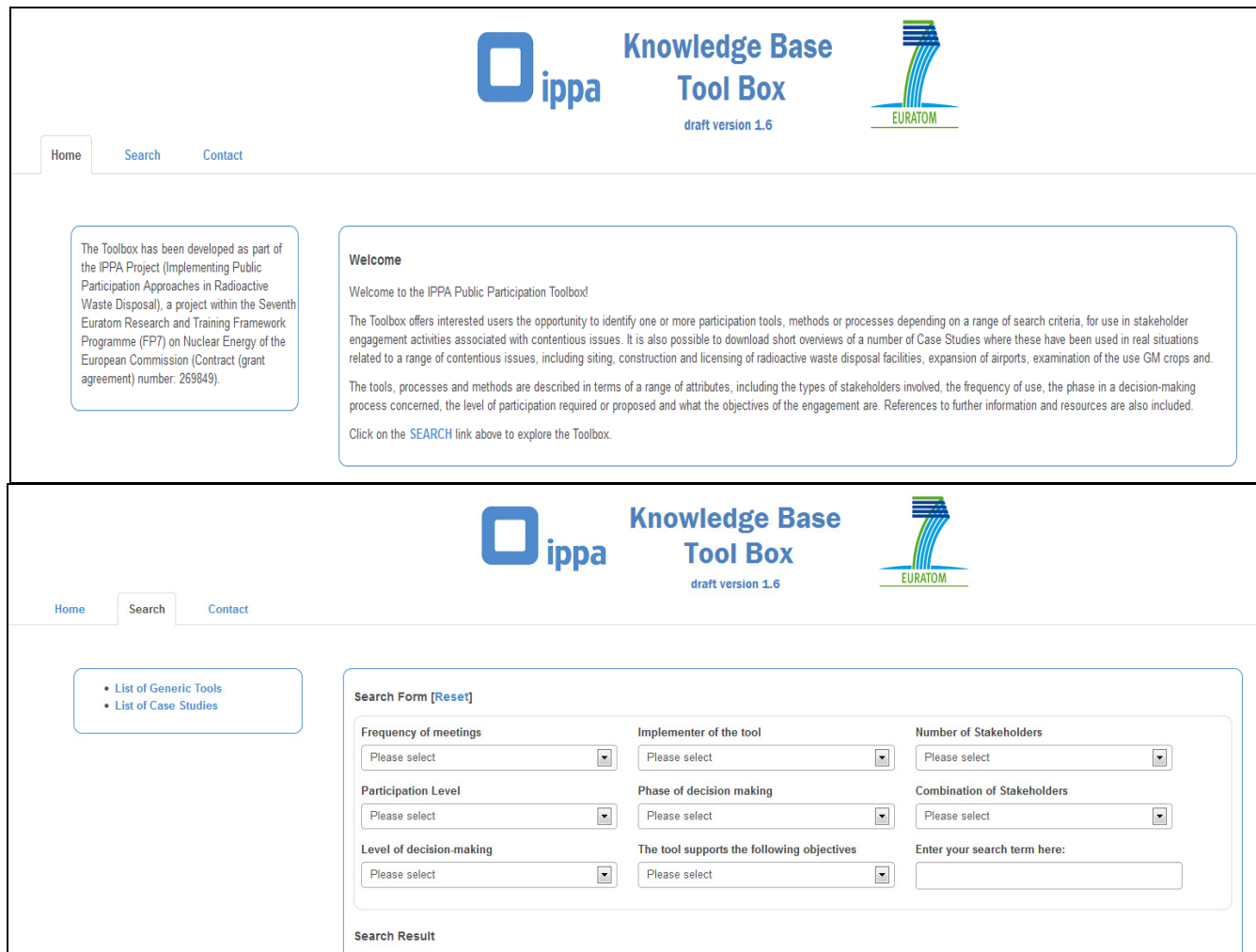
Figure 3.1 Screenshots of the Draft Participation Toolbox, showing the 'Welcome' page and the 'Search' page

Results of the Discussions

The comments, suggestions and reflections from the two working groups can be summarised as follows:

1. Feedback on the Toolbox
   - The Toolbox is an important product and should be made available beyond the life of the IPPA project. This raises the question of how this should be done, where it should be hosted and how this can be supported.

   - Although there would appear to be benefit in making the Toolbox available in a range of languages, this cannot be accomplished within the IPPA project. It could however be possible to present a short introduction in the IPPA languages for inclusion on the 'Welcome' page.

   - There would be merit in developing a downloadable guide to use of the Toolbox as a downloadable PDF file. This would allow more explanation to be provided regarding its development and potential limitations, stressing the need for further research by a user into the tools identified.

   - There would be considerable benefit in arranging a short test period for the Toolbox, involving a small number of external stakeholders.

   - At the very least the Toolbox should include contact details for those involved in its development, so that users can provide feedback etc.

Comments were also made that there should be explanation that some tools were likely to be more suitable for different project stages, and that most processes will require the use of more than one tool or method. It was also pointed out that some explanation and refinement of the suggested search terms may still be required.

2. Feedback on the Case Studies
   - It was suggested that more information should be provided on what can go wrong during implementation of a tool, method or process.
   - The Case Studies provide valuable information about how political decisions can influence project development, enabling a user to undertake a simple risk analysis in order to assess the likelihood of successful implementation.
   - The Case Studies are valuable in that they show real-life use of the different tools and methods. It would be useful to add any lessons learnt in hindsight for those processes that have now ceased.
   - Use of the existing and additional Case Studies was seen as an essential part of the Toolbox, although the comment was made that there was a lack of some contextual information, especially cultural setting etc.

A number of other Case Studies were identified which might usefully be added to the Knowledge Base and incorporated in the Toolbox:

   - Poland: Review of the events related to the proposed new NPPs.

- Slovakia: Review of the initial activities attempting to develop a RISCOM Reference Group.
- Slovenia: activities in the former Local Partnerships and the new Focus Groups (described above).
- Sweden: A review of the development of the Oskarshamn model.

Other comments and suggestions were made regarding improvements to the appearance and ease of use of the Toolbox. These will be addressed in future work as described below.

4 Next Steps

Following the incorporation of the Knowledge Base into the developing Participation Toolbox, and the outcome of the discussions at the Ljubljana workshop, it is intended to continue development taking account of the comments and suggestions received. As the additional Case Studies are prepared and incorporated into the underlying Knowledge Base, a range of internal cross-checks will be undertaken to ensure consistency between the data.

A number of explanatory texts will be developed and made available through revised links in the Toolbox, in order to improve the user-friendliness and better explain its purpose.

As suggested at the workshop, a number of stakeholders will be invited to test the Toolkit and report on their experiences. This will allow continuous improvements to be made throughout the coming months. The revised Toolbox will be presented at the IPPA End-Users' Conference in Prague in early October, and final improvements and amendments made taking account of comments received.

5 References

P Richardson, E Michie, A Minhans, B Kallenbach-Herbert and K Andersson (2011). The IPPA Knowledge Base Version 1. IPPA Deliverable 1.1. July 2011

M Constantin, D Diaconu and A Constantin (2012). Methodology for Public Involvement in Local Decision Making Process Associated to Radioactive Waste Disposal. Case Study: Saligny Site. IPPA Deliverable 2.14. December 2012