



TRAINING CURRICULUM ON SMART UGS GOVERNANCE FOR PUBLIC AUTHORITIES

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REGIONAL ENVIRONMENTAL CENTER

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1 Background

1.1 Project context

Urban green spaces (UGSs) provide multiple environmental, social and economic benefits to cities and their populations. UGSs play a fundamental role in making residential and working environments more liveable, while improving environmental performance (e.g. filtering pollutants and CO₂ from air) and strengthening climate resilience.

However, because of ongoing urbanisation—and suburbanisation—processes, natural and semi-natural environments face increasing levels of pressure, which in turn leads to ecosystem fragmentation and biodiversity loss.

As the thoughtful development and management of green spaces can assist in tackling many harmful environmental impacts and climate change-related risks, there is growing demand for good operational models for UGS governance.

The Urban Green Belts (UGB) project is financed by the Interreg Central Europe cohesion policy programme and implemented by: the Municipality of District XII (Hegyvidék) in Budapest (Hungary); the Małopolska Region (Poland); the Regional Environmental Center for Central and Easter Europe (REC) (Hungary); the Municipality of Padua (Italy); Research Studios Austria – Studio Ispace; the Municipal District of Prague 6 (Czech Republic); the Research Centre of the Slovenian Academy of Sciences and Arts; the Zadar County Development Agency Zadra Nova (Croatia); the Maribor Development Agency (Slovenia); and the Municipality of Krakow (Poland).

The main objective of the UGB project is to improve planning, management and decision-making capacities of the public sector related to urban green spaces, thus creating integrated sustainable UGS planning and management systems.

In the project, following a comparative situation analysis, partners jointly elaborate innovative methods and tools aimed at sustainable UGS management. These methods and tools focus on the following considerations:

1. ‘Green infrastructure’ (GI) as a smart tool for providing ecological, economic and social benefits through natural solutions that are unfamiliar to most local decision makers. Therefore, a Geographical Information System-based (GIS-based) spatial planning decision-support tool will be elaborated for assessing and evaluating existing green spaces, and for facilitating the application of the GI approach in strategic planning.
2. Community involvement in planning and implementation processes are still quite rare in the region, but are crucial for ensuring the social and economic sustainability of UGS management. Smart techniques for awareness raising and for activating civil society organisations (CSOs) and citizens through community building will be elaborated.
3. Multi-stakeholder governance is an inevitable but underexploited tool for effectively managing UGS.

These solutions, methods and tools are compiled into three UGB Smart Models that are to be tested through pilot actions during the project:

- Model 1: GIS-based solutions
- Model 2: Community involvement
- Model 3: Multi-stakeholder governance

1.2 Multi-stakeholder governance

Smart solutions promoting cooperation of different governance levels, sectors and internally across various departments of authorities are being developed under the project, together with a training



curriculum for municipalities on application of integrated UGS planning and management in the context of multi-stakeholder governance.

The multi-stakeholder governance approach is mostly understood as a process that aims to involve all relevant stakeholders (i.e. those who are impacted by the planned decisions) into decision making through a dialogue process. *Figure 1* shows the conceptual basis used in the UGB project for understanding multi-stakeholder approaches.

As planning and running a multi-level governance process is a complex task, clear instructions and a proper training is necessary. This training curriculum is an integral part of the model on Multi-stakeholder governance (Deliverable D.T1.5.2) developed under the UGB project.

This document aims to serve as a conceptual basis for the design and delivery of a training for Budapest's District XII, thus complementing the development of UGB Smart Models together with a draft model that will be tested through pilot actions.

Furthermore, the training curriculum will be an integral part of the "Smart UGS Governance Manual", one of the main outputs of the UGB project.

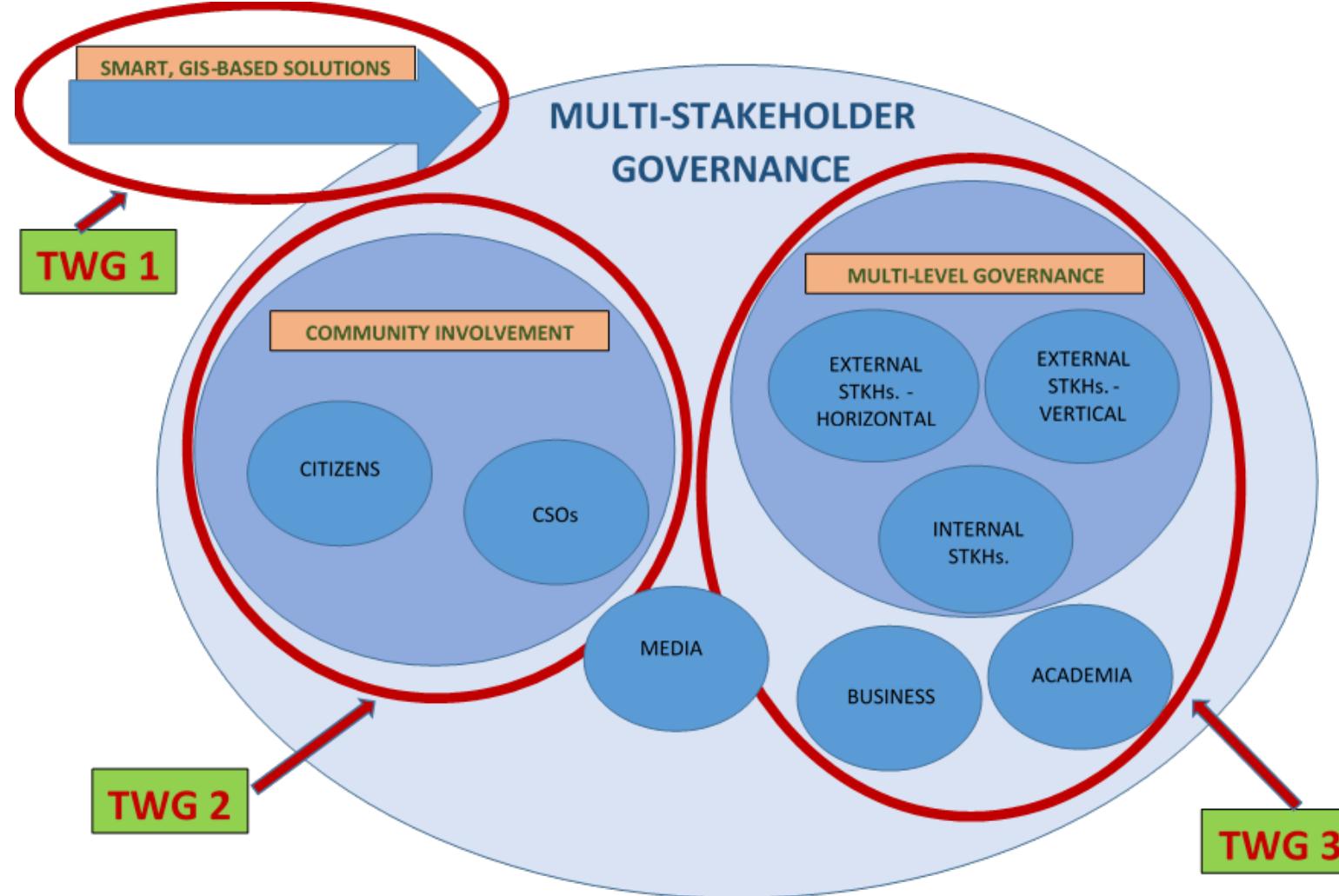


Figure 1. Conceptual basis and connections of the three models under the UGB project



2 Training curriculum

2.1 Module 1: Stakeholder management

Stakeholder management involves identifying the people, groups and organisations that could affect or be affected by the project. It also includes analysing stakeholder expectations and their impact on the project, and developing appropriate strategies and tactics for effectively engaging stakeholders in a manner appropriate to the stakeholders' interest and involvement in the project.

A Stakeholder Management Plan helps ensure that stakeholders are effectively involved in decision-making processes throughout the project lifecycle, and assists in anticipating and resolving conflicts.

A Stakeholder Management Plan includes the following phases:

- Identify, map and categorise stakeholders: Identify by name and title those people, groups, and organisations that can have a significant influence on the project, as well as those that are likely to be significantly impacted by the project.
- Plan stakeholder management: Identify strategies and mechanisms that can be used to attract high levels of stakeholder support.
- Manage stakeholder engagement: Outline the processes and steps that will be undertaken to carry out the planned strategies.
- Monitor stakeholder engagement: Assess the overall relationships between project stakeholders, and adjust strategies and plans for stakeholder engagement accordingly.

2.1.1 Stakeholder identification, categorising and mapping

A stakeholder is a person, group or institution that is interested in or will be affected by a project. A stakeholder may not necessarily be involved or included in the decision-making process.

Stakeholders are typically divided into two groups:

- primary stakeholders: those affected directly by the policy, either positively or negatively; and
- secondary stakeholders: those with an intermediary role (e.g. delivery agencies, supporting agencies, or policy makers).

2.1.1.1 Stakeholder analysis

Stakeholder analysis is used to identify the interests and motivations of stakeholders, as well as possible actions to address these various interests.

There are eight major steps in the process:¹

1. Planning the process
2. Selecting and defining a policy
3. Identifying key stakeholders
4. Adapting the tools
5. Collecting and recording information

¹ Source: <http://www.who.int/workforcealliance/knowledge/toolkit/33.pdf>



6. Filling in the stakeholder table
7. Analysing the stakeholder table
8. Using the information

A stakeholder interest analysis carried out by collecting all the possible stakeholders, identifying the priority stakeholders, and then grouping stakeholders according to their various interests.

Stakeholder roles can be mapped to show: how each stakeholder is affected by the problem to be addressed; their potential role and desire to bring about change; and how the project can meet their demands (see *Table 1*).

Table 1. Stakeholder analysis table

Stakeholder identity	Project priority for stakeholder (from low to high)	Stakeholder perspective	Action
A			
B			

Once the scheme in *Table 1* is completed, reflect carefully on what can be done to best meet stakeholder interests. Think about what can be done to maximise the engagement of those who are likely to support the plan, and to minimise or understand the resistance of those who may be more likely to block it. It is also important to assess and, if necessary, develop or adapt the capacity of different stakeholders to fully engage in the process.

Together with stakeholder analysis, another helpful tool you might want to use is the “stakeholder grid” or “Mendelow Matrix”, presented in *Figure 3*. This tool assists in prioritising stakeholders and identifying the best ways to approach them.

The matrix is useful for determining the potential influence of an organisation’s stakeholder groups. It looks at two aspects: the level of interest the group has in the organisation, and the level of power or influence they have over the organisation. An organisation might look at ‘power’ in any number of ways — from expertise in an area that fits with the organisation’s needs to having a strong network of connections to which the organisation would like to gain access.

The organisation can use the matrix to plot stakeholder groups regularly to highlight potential threats or to identify areas where a group may be able to assist. It is a particularly useful tool during times of strategic change, such as the introduction of a new strategy or the modification of an existing one.

A stakeholder group can occupy one of four positions in the matrix (see *Figure 3 below*), based on their level of interest and power or influence:



- LOW POWER, LOW INTEREST: With low levels of interest and power, such a stakeholder group requires “minimal effort” from the organisation, and is unlikely to resist any change.²
- LOW POWER, HIGH INTEREST: The organisation should keep such a stakeholder group “informed”, as it can have a high level of interest but little power or influence. Keeping such groups informed can prevent them from joining forces with other stakeholder groups and perhaps increasing their power.
- HIGH POWER, LOW INTEREST: The important thing for these group is to keep them “satisfied”. This will prevent them from gaining more interest and evolving into a “key player” (see below).
- HIGH POWER, HIGH INTEREST: “Key players” are strong entities that can oppose new strategy effectively if they so wish. It is up to the organisation to invest in establishing good relationships with these stakeholder groups, to clearly communicate motives and intentions, and to win their support through frequent consultation.

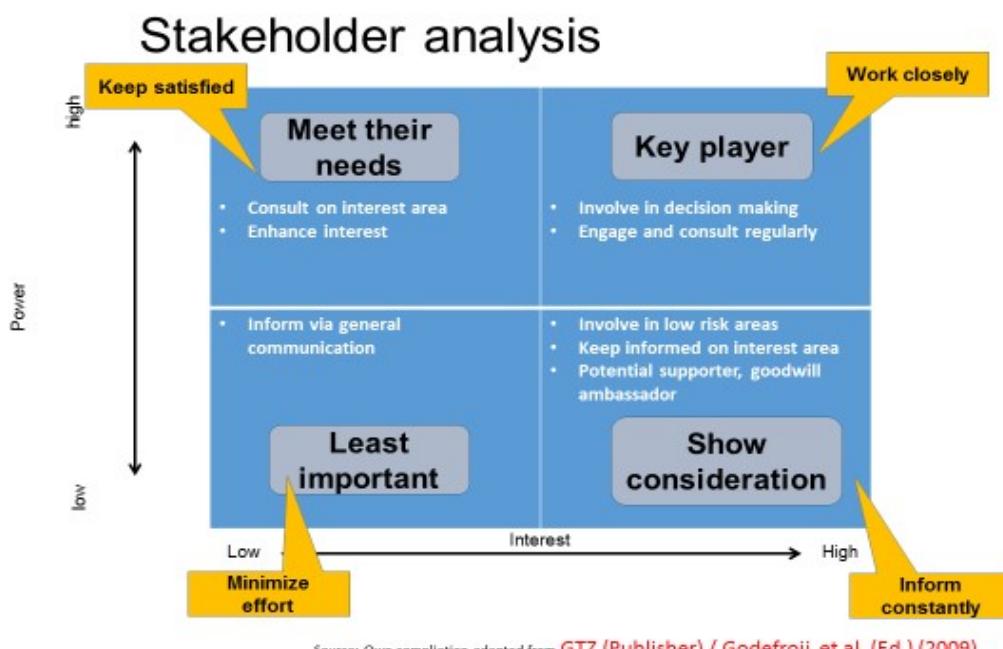


Figure 2. Mendelow Matrix for stakeholders, based on level of interest, power and influence.

2.1.1.2 Why use stakeholder analysis?

Getting to know your stakeholders and becoming familiar with their needs will make your job a lot easier. You need to identify the most suitable way to interact with stakeholders to obtain the best

² Sources: <https://www.linkedin.com/pulse/20141209102103-26759263-stakeholders-analysis-power-influence-interest-matrix>

www.oxcomlearning.com/pluginfile.php/.../Mendelow%20Matrix.pdf



results from consultation. Remember that projects are bound to change over time, and that your stakeholder analysis will require regular updating. From the first day of the project to the last, continually review your stakeholders' needs and evaluate how well they are being met. Do not be afraid to change your approach if you discover a more effective one.

In short, stakeholder analysis:

- draws out the interests of stakeholders relative to the problems your project seeks to address;
- facilitates stakeholder acceptance;
- identifies potential conflicts of interest and other sources of trouble;
- details project viability (in both economic and social terms);
- helps provide an overall picture of project efforts and likely outcomes; and
- delineates existing and possible relationships between different stakeholders.

2.1.1.3 Conditions of stakeholder analysis

Updating your stakeholder analysis requires an investment of time and resources, so bear in mind the following considerations:

- Stakeholder analysis works best when carried out on a continual basis.
- Some methods and results of assessment or analysis can be subjective.
- It might not be possible to meet all stakeholder interests simultaneously.
- Focus on most important stakeholder(s).
- Balance and reconcile all interests according to importance or urgency.

2.1.1.4 Group exercise

Identify stakeholders for the Urban Green Spaces (see *Figure 2*) and place them in the matrix.

2.1.2 Stakeholder planning

Stakeholder planning is a process for developing management strategies to effectively engage stakeholders, and is based on an analysis of needs, interests and potential impacts on project success. The key benefit of this process is that it provides a clear, actionable plan for interacting with project stakeholders to support project objectives.

Based on the information gathered in the stakeholder analysis, the level of engagement required for each stakeholder can vary over the course of the project.



Table 2. Considerations for stakeholder planning

Stakeholder Planning

Example

Stakeholder group	Goals, motivation, interest	Influence	Interest	Actions	Win/win strategies

Source: <https://www.stakeholdermap.com/stakeholder-planning.html>

2.1.3 Stakeholder engagement

An organisation uses stakeholder engagement to engage relevant stakeholders in achieving accepted outcomes. Each approach is a valid method of stakeholder engagement, but the kind of approach used depends on the type of stakeholder. A communication-heavy approach requires that the stakeholder has good access to information, while partnership engagement approaches offer shared accountability, decision-making opportunities and joint learning.³

A good stakeholder engagement plan should:

- describe regulatory, organisational or other requirements for consultation;
- identify and prioritise key stakeholder groups;
- provide a strategy and timetable for sharing information and consulting with each group;
- describe resources and responsibilities for implementing stakeholder engagement activities; and
- describe how stakeholder engagement activities will be incorporated into any given management system.

Stakeholder involvement relies on a good communication strategy that includes the following steps:

- Inform
- Consult
- Involve
- Collaborate

³ Engaging Stakeholders: A strategy for Stakeholder Engagement <https://www.stakeholdermap.com/stakeholder-engagement.html>

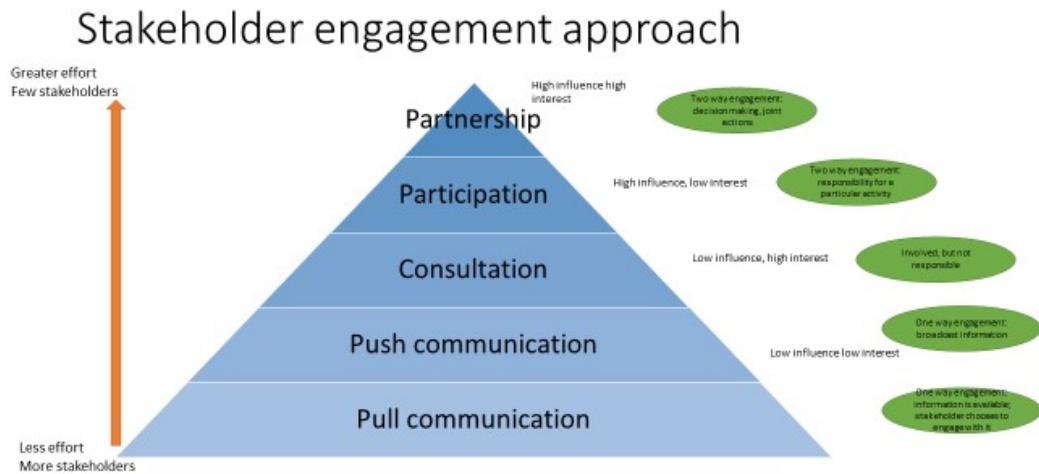


Figure 3. Stakeholder engagement approach.

Stakeholder engagement is about building and maintaining constructive relationships over time. It is an ongoing process between an organisation and its project stakeholders that extends throughout the life of the project and encompasses a range of activities and approaches — from information sharing and consultation, to participation, negotiation, and partnerships.

The purpose of a stakeholder engagement plan is to describe an organisation's strategy and programme for engaging with stakeholders in an appropriate manner. The goal is to ensure the timely provision of relevant and understandable information, as well as to provide opportunities for stakeholders to express their views and concerns.

Key principles of effective engagement include:

- providing meaningful information in a format and language that is readily understandable and tailored to the needs of targeted stakeholders;
- providing information in advance of consultation activities and decision making;
- disseminating information that stakeholders can access easily;
- respecting traditions, patterns, languages, timeframes, and decision-making processes;
- offering two-way dialogue that gives both sides the opportunity to exchange views and information, to listen, and to have their issues heard and addressed;
- establishing clear mechanisms for responding to communicated concerns and suggestions; and
- incorporating feedback into project or programme design and implementation, as well as reporting back to stakeholders.⁴

⁴ Source: https://www.ifc.org/wps/wcm/connect/938f1a0048855805beacfe6a6515bb18/IFC_StakeholderEngagement.pdf?MOD=AJPERES



2.2 Module 2: Multi-level governance models

2.2.1 Background

According to Hooghe and Marks (2001a)⁵, to understand the scheme of multi-level governance (MLG), one must first grasp the many policy variations that exist across a broad and diverse territorial reach. That is, one needs to identify needs and actions to be taken in their specific context. Governing bodies, on the other hand, must operate at multiple levels to handle multiple variations of policy externalities (i.e. as externalities that result from the provision of public goods can vary greatly, the scale of governance should vary accordingly). Not only is MLG needed to internalise externalities: its ‘decentralised’ orientation better reflects wide-ranging citizen preferences, which strengthens the credibility of government roles and policy while also facilitating experimentation and innovative approaches towards addressing needs (Hooghe and Marks 2001a).

It is important to understand that MLG in no way undermines or invalidates government and national institutions, but is based rather on the recognition that the state no longer monopolises European-level policy or complex aggregations of domestic focus areas (Hooghe and Marks 2001b)⁶. MLG brings together actors with different roles and competencies, and connects people from different political arenas, rather than sub-national and subsidiary actors nested within the national arena and built-in preferences (Hooghe and Marks 2001b). In other words, the MLG model focuses on the interaction between actors within diverse levels of governance.

For this matter, the concepts of co-production and co-creation of value are required to be understood as a base supporting MLG. Co-production, on the one hand, represents the involvement of individual citizens and groups in public service delivery (Verschueren et al. 2012)⁷. Thus, it can be defined as the combination of activities that link public service actors with the general citizenship, and which therefore contributes to the provision of public services taking into consideration the vision and needs of the latter along with the understanding of the capacities of the former (Verschueren et al. 2012). According to Osborne et al. (2016), co-production can be “articulated as a valuable route to public service reform and to the planning and delivery of effective public services, a response to the democratic deficit and a route to active citizenship and active communities, and as a means by which to lever in additional resources to public service delivery.”

In this line, co-production is therefore directly linked to the co-creation of value for both service users and society (Osborne et al. 2016)⁸. The system allows for individuals to not only co-create the value of their own service, but to also contribute to a more collective level of co-creation of value for other

⁵ Hooghe, L. and Marks, G. 2001a. *Multi-Level Governance and European Integration*. Oxford: Rowman & Littlefield Publishers. In:

https://books.google.hu/books?id=xZmMb5EJni8C&pg=PA1&source=gb_toc_r&cad=4#v=onepage&q&f=true

⁶ Hooghe, L. and Marks, G. 2001b. *Types of Multi-Level Governance*. European Integration Online Papers (EIoP), Vol. 5, N° 11. In: <http://eiop.or.at/eiop/texte/2001-011a.htm>

⁷ Verschueren, B.; Brandsen, T. and Pestoff, V. 2012. Co-production: The State of the Art in Research and the Future Agenda. International Society for Third-Sector Research and The Johns Hopkins University.

⁸ Osborne, S.P.; Radnor, Z. and Strokosch, K. 2016. Co-production and the co-creation of value in public services. A suitable case for treatment? In: *Public Management Review*, Vol. 18, No. 5. Pp. 639-653.
<http://dx.doi.org/10.1080/14719037.2015.1111927>



service users, while public services also perform their contribution by co-creating ‘public value,’ meeting societal objectives and contributing to social cohesion and well-being (Osborne et al. 2016). More specifically:

“This co-creation of value is fundamental to public services that are capable of not only addressing individual, social, health and economic needs in the present but also producing a broader, viable and effective contribution to society now and in the future. It is at the heart of the development of sustainable public services in the twenty-first Century.” (Osborne et al. 2016)

Having defined the basis of MLG, Littoz-Monnet (2010)⁹ specifies that actions performed by a group of actors can generate an action or reaction from a different, previously passive set of actors. This kind of interaction clearly reflects the socio-cultural patterns of integration within a ‘dynamic multi-level system’, in which ‘dynamic’ refers to “the permanent process of institutional change, and ‘multi-level system’ to the multi-actorness nature of the EU decision-making process” (Littoz-Monnet 2010). Moreover, the MLG model recognises the ever-present possibility of overlapping roles and functions among multiple levels of governments and the interaction of political actors across those levels — thus creating conditions for overarching, multi-level policy networks (Littoz-Monnet 2010).

Finally, Hooghe and Marks (2001b), recognise two types of MLG:

- Type I governance: Transnational movements, public-private partnerships and corporations play important roles, but the nation state apparatus features most prominently.
- Type II governance: Collective decisions are possible and operative in the long term, and involve a wide variety of actors.

Type II governance represents a dispersion (presumably voluntary) of groups of actors with a self-ruling capacity, thus resulting in distinct groups from different areas that work collectively and interrelatedly to address shared problems (Hooghe and Marks 2001b). This type of governance allows for different governance systems in accordance with distinct policies in diverse contexts.

2.2.2 Principles of good governance

According to the European Commission, five principles form the basis of good governance:

- Openness: Transparency and communication are to be attached to every decision-making process to achieve better and easier access to information for every stakeholder. This requires not only the capacity of any citizen to participate in the public debate, but the encouragement to do so.
- Participation: Citizens must be more systematically involved in the drafting and implementation of policies — from the design phase through the implementation phase. Local-government associations should also participate more actively to increase their involvement, while policies should address contextual territorial impacts to achieve sustainable and balanced development.
- Accountability: Roles for each party in the decision-making process need to be clarified, and every involved actor must assume responsibility for the role or roles they are given.

⁹ Littoz-Monnet, A. 2010. *Dynamic Multi-Level Governance – Bringing the Study of Multi-level Interactions into the Theorising of European Integration*. European Integration Online Papers (EIoP), Vol. 14, Article 01. In: <http://eiop.or.at/eiop/texte/2010-001a.htm>.



- Effectiveness: Decisions need to be taken at the appropriate level and time, and must deliver what is needed.
- Coherence: Diverse policies and consequent actions need to be pursued coherently.

2.2.3 Dimensions

According to the OECD, there are at least two dimensions of action and influence within an MLG framework: the vertical dimension and the horizontal dimension.

The vertical dimension — which involves close cooperation between national governments and regional and local governments to effectively implement strategies — logically presupposes that isolated operations (e.g. municipal authorities only) are neither effective nor attainable. A vertical approach requires some local authority to be ‘nested’ in higher-scale legal and institutional frameworks, which can help forge institutional, financial and informational links between higher and lower levels of government.

On the other hand, horizontal dimension actors influence outcomes by working across organisational boundaries. This type of interaction facilitates learning, knowledge-sharing and cooperation between cities, regions and national governments. It also furthers the capacity of sub-national level actors to create coalitions and formalised information networks on a national, or even international, scale. Such arrangements are increasingly deployed as a means of improving the effectiveness of local public service delivery and of implementing development strategies.

Climate change issues pose unique challenges and opportunities for cities and local governments, giving them the potential to work directly with local constituencies to address specific needs and develop a vision for a sustainable future.

Moreover, horizontal governance can and may include regional councils or boards, tax-base sharing, redistributive grants, and informal cooperative mechanisms, among others, while including the business community, research institutes and environmental NGOs in the policy dialogue process. Positive local-scale action involves the inclusion of expert voices and the accommodation of the needs of local stakeholders. For this to happen, however, the following preconditions are necessary, according to the OECD (2010): a degree of autonomy in regional strategic planning; and a formal process of civil dialogue between citizens, firms, associations and other local stakeholders.

2.2.4 Collaboration: the MLG approach

The MLG approach could become an effective way to improve the planning process, as it allows regional authorities to liaise with national authorities (providing technical and financial support, and acting as coordinators for the planning process), and for local authorities to liaise with local communities (providing local knowledge to determine the level of achievability of the plans being developed (Coopenergy Consortium 2015)¹⁰.

¹⁰ Coopenergy Consortium. 2015. *A guide to multi-level governance for local and regional public authorities*. In: <http://localizingthesdgs.org/library/210/A-Guide-to-Multi-level-Governance-For-Local-and-Regional-Public-Authorities.pdf>



An MLG approach can, first, set the ground for a collaborative process that can help integrate plans and policies at regional and local levels, while ensuring their coherency and efficiency for implementation.

Second, the sharing of knowledge, ideas and vision between authorities results in a more realistic assessment of which steps need to be taken. More attention is given to local realities, relevant contexts and strategic ends, making targeted objectives easier to reach.

Third, MLG can allow for the establishment of more favourable financing mechanisms, since partnering with diverse authorities can create more secure and stable conditions to attract investment.

Fourth, messages can be harmonised between stakeholders through a collaborative approach, making communication more efficient, and participation more effective.

Fifth, expertise, skills and knowledge will be shared, helping to fill crucial gaps in the planning process. At the same time, the pooling of resources, skills and techniques creates a new capacity for getting the most out of limited resources.

Finally, an MLG approach facilitates collaborative work that helps to create links between spatial and sustainable energy planning processes, which in turn can support the development of climate-friendly spatial planning procedures.

The objectives of a collaborative MLG approach to planning are:

- Identify the needs and complexities of the stakeholders to be involved (including the needs of the authority itself).
- Involve multiple players at different levels. This will help stakeholders to develop a common vision of objectives and expected results. It will also improve the quality of decisions taken, which in turn will: reduce the risk of civilian or institutional opposition at later stages; reduce delays and costs in the implementation phase; and instil public confidence and trust.
- Involve the ‘right’ players. Identify the stakeholders who can make a value-added contribution to the decision-making process through their expertise, experience or commitment. This can be done by:
 - visualising roles and missions;
 - identifying their competencies and how they will bring value-added assistance (e.g. expertise, financial capacities, communication between target groups, support to the target groups);
 - testing their capacities as opinion leaders to influence target groups;
 - perceiving their level of commitment (i.e. availability, involvement, participatory willingness); and
 - analysing their expectations and requirements regarding the project.
- Use knowledge-sharing to fill crucial skill gaps required for any planning process.
- Harmonise messages to communicate more effectively between stakeholders. This will require a consultation phase involving other administrative levels — including local authorities. Information may be conveyed through the following channels:



- the authority's website;
- partner institution websites;
- a dedicated site;
- press releases;
- mailings;
- videos;
- social media; and
- events
- Resolve conflicts through better management.
- Create voluntary partnerships with different modalities.
- Establish and maintain practices of good governance.

2.2.5 Developing an MLG model

The Coopenergy Consortium (2015) lays out four steps for developing an MLG model:

2.2.5.1 Define coordination and governance processes

An MLG mechanism needs to be adapted to the local context, and based on the previous involvement of multiple players at different levels. The mechanism should also take into consideration both the project scope and stakeholder expectations.

Authorities are responsible for:

- supervision and coordination of the process (through the formation of a steering committee or similar dedicated agency);
- ensuring that the government model follows clear objectives;
- coordination of the interaction between distinct governance levels (e.g. facilitating meetings, proposing working methodology, ensuring frequent communication);
- ensuring accountability (e.g. through a reporting structure, agreeing on roles and responsibilities, identifying how decisions are to be made).

It will be the role of the steering committee or designated agency to determine the most appropriate governance structure to use — the MLG model, for example. Operational components, such as the following, must be clearly defined and explained to the stakeholders:

- project timeline and objectives;
- framework for discussion (e.g., meetings, networks, formalised partnerships);
- duration and frequency of meetings (a tentative timeline can be presented);
- available information (data, working papers etc.); and
- delivery of expected results.

2.2.5.2 Develop an engagement strategy

The diverse range of stakeholders in a non-self-regulating multi-level cooperation do not share equal responsibilities. For this reason, their contributions (and limitations) must be strategically determined to shape the governance and stakeholder consultation processes.



Within this step, stakeholders further removed from those involved (e.g. additional local authorities, spatial planners, data providers, financial partners, citizens) should be invited to contribute to the development of a common vision and shared objectives.

According to the Coopenergy Consortium (2015), a stakeholder engagement strategy should answer the following questions:

- Who should get involved, and why?
- When should they get involved?
- What will be their level of engagement?
- What will their roles and responsibilities be throughout the entire process?
- What will the schedule and budget look like?

2.2.5.3 Define responsibilities in the decision-making process

The third step involves defining responsibilities for each participating party during the decision-making process. Who will be responsible for making decisions, and how will they be taken? This is a condition for effective governance.

Along these lines, the regional authority is the entity responsible for providing clear, concise information on the intended project and the governance agreement. A set of specific rules must be defined for each stakeholder concerning their role, capacities, responsibilities and level of participation in the decision-making process. This can be done by determining both a general governance framework and a reporting structure between the different groups, and by informing intervening parties and the public on the steps leading to any decision.

Accountability is a key issue in terms of building trust and support of the governance process. This requires that stakeholders clearly comprehend their roles and comply with their objectives. The following criteria will assist in this objective:

- transparency of information;
- clearly stated rules on the relationships between different groups of actors and their responsibilities; and
- an independent review of results (or, in the absence of such, an establishment of controls).

Finally, it is of utmost importance to clearly state when the work of consultation groups will end, and to identify the decision makers and the people responsible. This must be clarified at the start; for example, by defining the general governance framework and the reporting structure (hierarchy) between different groups participating in the process, and by informing the intervening parties and the general public on the different steps leading to the decision. (Coopenergy Consortium 2015)

2.2.5.4 Define an evaluation process

The final step involves conducting an evaluation to ensure that the collaborative approach has been successful, allowing for necessary improvements to be pursued. To facilitate the process, a list of indicators should be created for the sake of comparison with previously defined objectives. As an



accompanying exercise, data should be collected that can be evaluated within these indicators. The frequency of such evaluations should also be defined (e.g. annually).

An evaluation can help to clarify the following:

- achievement of objectives and expected results;
- comparison of a governance agreement to existing models or traditional collaborations;
- effectiveness of allocated resources and means (e.g. budget and expertise); and
- internal and external acceptance of outcomes.

The evaluation should be a collaborative endeavour that involves all stakeholders.

2.2.5.5 Guiding principles for multi-stakeholder partnerships

There are several guiding principles that should accompany the activities described above, namely:

- Define the cross-cutting issues, and address the needs and complexities of the various stakeholders that are or will be involved.
- Pursue the inclusion, engagement and commitment of all relevant stakeholders from the very beginning, and ensure the involvement as well of further stakeholders (e.g. additional local authorities, spatial planners, data providers, financial partners, citizens).
- Ensure that the process is recognised as legitimate and credible.
- Build trust among the stakeholders through procedural transparency and clearly defined roles and terms of accountability.
- Communicate clearly and frequently.
- Gain political support for the diverse stakeholders within the established hierarchy.
- Establish a monitoring and evaluation scheme to be carried out by a predetermined, established and accepted body.
- Obtain a clear picture of funding resources to ensure that stakeholders will be able to carry out their activities.
- Define the governance structure (i.e. how decisions will be taken and who will be responsible) with the participation and acceptance of stakeholders.
- Establish a work plan with defined timeframes and responsibilities.
- Ensure transparency throughout the process by being open and accessible.

2.2.6 MLG in practice: Case studies from REC experience

The REC, through its portfolio of projects, has extensive experience in developing and facilitating different participatory schemes. Among the cases the institution has done, the following one could be replicated or taken as a base to establish participatory schemes:

2.2.6.1 Establishment of networks or partnerships

The Themis network is an example of a project that uses an informal cooperation mechanism. The network is an informal regional network of national authorities responsible for natural resources management and protection, and for the development, implementation and enforcement of



environmental laws — in particular, on nature conservation — in EU candidate countries, potential candidates and countries with EU Association Agreements.

The network's mission is to protect the environment by improving the capacities of its members to implement and enforce legislation on natural resources and forestry, and to combat environmental crimes.

The Themis Network was established in November 2010. Its official launch in Budapest was marked by the issuing of a joint declaration by the participating countries and the approval of the first multi-annual work programme (MAP) in the context of a conference on illegal logging and environmental crimes. Project activities, implemented in the framework of work programmes for 2012-2014 and 2014-2017, have been funded through the Austrian Development Cooperation.

The structure of how the network was composed is seen in *Figure 4*.

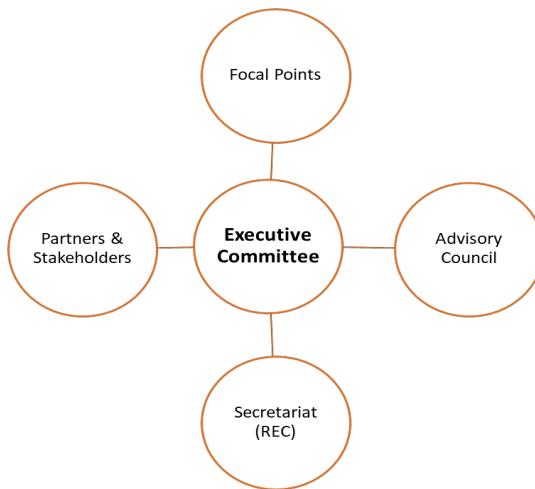


Figure 4. Structure of the Themis network, with stakeholders divided into groups interrelated and responded to a predefined Executive Committee.

The Themis network success was based by following defined principles of operation among the stakeholders, namely:

- commitment among stakeholders;
- focused objectives (i.e. a defined work programme) and output;
- definition of partners;
- clear structure and operating procedures (e.g. terms of reference, national focal points, annual forums);
- clear, frequent communication channels;
- logistical and administrative support (performed by the Themis Secretariat);
- secured funding (committed by the Austrian Development Agency); and
- a constant, pre-accepted monitoring scheme.



Following this pattern, one of the workshop exercises for UGB comprises the establishment of a network for urban green spaces management in Budapest's District XII. The exercise involves:

- identifying potential stakeholders (i.e. members) to create a district network for urban green space management;
- proposing a network structure (i.e. steering committee, secretariat, meeting agenda etc.)
- identifying stakeholder capacities;
- defining roles and responsibilities, and allocating them;
- defining how actions will be communicated to stakeholders; and
- defining how monitoring and evaluation of activities will be performed.

2.2.6.2 Standard operating procedures

Another participatory technique is to create 'standard operating procedures' (SOPs), which involves the following:

- providing details of regular work processes followed within an organisation and/or between organisations;
- facilitating conformity and compliance with technical and quality system requirements; and
- minimising variation and promoting quality through the consistent implementation of processes and procedures within an organisation.

A valid SOP should present a recognisable structure. To accomplish this, observe the following steps:

1. Introduction: define the scope, legislative background and institutions involved.
2. General standard operating procedure: this step is required to achieve a common goal (e.g. performing inspections, implementing joint actions).
3. Sector-specific SOP: define specific actions and tasks.
4. Establish a support mechanism: determine how to pursue internal and external coordination.

A valid SOP requires a designated task force, the benefits of which are: reduced workloads, clarity, credibility, legal defensibility, and improved inter-institutional cooperation.

2.2.6.3 Stakeholder meetings and workshops

The most common participatory technique is the organisation of meetings and workshops for a diverse range of stakeholders on such topics as: capacity building, stakeholder roles, information on MLB models and how they work, problem solving, etc.



2.2.7 Group Exercise

Using the schemes offered above, reflect on the best way to develop a network for Budapest's District XII. Try to identify the possible members of the network in relation to the Urban Green Spaces management in accordance to their capacities and expertise.

Following this, propose and discuss a functional structure for the network, in which different responsibilities will be assigned based on previous identification of potential members or partners and their capacities (e.g. a secretariat, focal points, executive committee), as well as the governing principles for successful operation (e.g. commitment, objectives and work programme, and a focused output, communication channels, funding, monitoring, scheduled meetings). Follow up by allocating capacities within the partnership according to these criteria. *Table 2* lists characteristics that can be considered for this exercise.

Standard operating procedures can help provide details of regular work flows to be processed within the organisation, and they facilitate conformity with technical and system requirements. They also help to minimise variation and promote quality throughout the implementation process. In addition, SOPS reduce workloads, and bring clarity, credibility, legal defensibility and improved inter-institutional cooperation.

Table 3. Characteristics of multi-stakeholders' platforms.

Characteristics	Networks	Multi-Stakeholder Partnerships
Membership	Institutions with core objectives and agendas; shared interest in exchanging ideas and mobilising capacities	Institutions that may have with different agendas but with a perceived common purpose
Area of focus	Implementation of strategies, information sharing	Advocacy, policy making and implementation
Management and governance	Network manager or secretariat; self-governing, self-regulating, informal leadership	Organisations that play a facilitating role; typically have a name and identity; presence of a secretariat to facilitate partnership functions
Purpose	Joint value creation; identification of strategies to engage with decision makers	Advocacy for change
Duration	Medium to long term	Short to medium term

Source: Guide for national ICT policy animators, 2007.



2.3 Module 3: Organisational management

Organisational management refers to the process of organising, planning, leading and controlling resources to make decisions and achieve group objectives. The overall focus is on internal management needs when encountering economic, social and political turmoil, along with falling budgets and changing demands.

Figure 5 provides steps to follow to achieve adequate organisational management.

Steps for taking proper action include:

- put a strategy or plan in place to achieve organisational goals;
- re-evaluate the organisational structure to ensure that the right people are in the right positions to get the job done;
- focus on leading and motivating your staff; and
- establish accountability systems to help meet the goals.

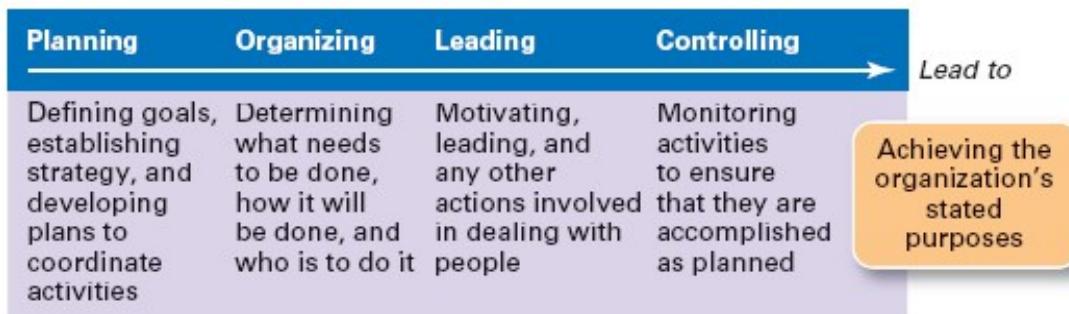


Figure 5. Scheme of management functions steps

2.3.1 SWOT analysis

SWOT analysis is an assessment technique that can be a valuable tool for project management. Ideally, a SWOT analysis can serve as a foundation for developing a sound organisational strategy. The elements of analysis for the SWOT methodology can be seen in *Table 4*, while a typical SWOT analytic structure is shown in *Figure 6*.



Table 4. Elements of a SWOT analysis

Strengths/Weaknesses	Opportunities/Threats
Internal factors	External factors
<ul style="list-style-type: none"> • Financial resources (funding) • Physical resources • Human resources (employees and stakeholders) • Current processes • Organisation structure 	<ul style="list-style-type: none"> • New technologies • Economic trends • Environmental threats • Legislation • Demographics • Politics

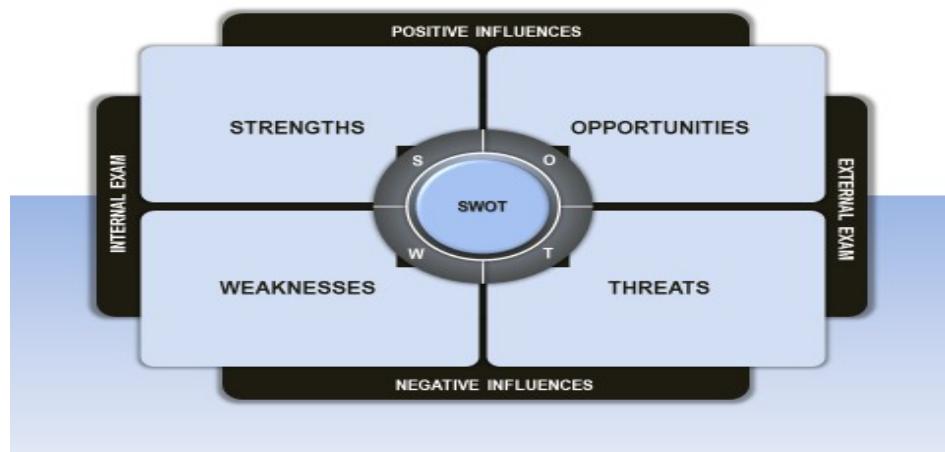


Figure 6. SWOT analytical structure

Overall, the purpose of performing a SWOT analysis is to create a solid action plan for addressing weaknesses and potential threats, while also highlighting strengths and opportunities. The SWOT analysis is an excellent tool for organising information, presenting solutions, identifying challenges and emphasising opportunities. SWOT analysis is generally used as the first step in developing a strategic plan, while some organisations do a SWOT analysis on a quarterly basis.

To adequately perform a SWOT analysis, the organisation needs to:

- train staff in the process of conducting a SWOT analysis;
- conduct an organisational SWOT analysis as a team;
- use the results of the analysis in the organisational planning process.



2.3.2 Conflicts and conflict management

Conflict management is the practice of recognising and dealing with disputes in a rational, balanced and effective way. Conflict management involves effective communication, problem-solving abilities and negotiating skills.

When attempting to resolve a conflict, it helps to identify the origin of the problem, to uncover the underlying causes of the conflict and to identify the appropriate style to use to resolve the situation.

Conflict within an organisation can come from a wide range of sources, including: organisational change, differing sets of values, contrasting perceptions, ‘turf’ battles, personality clashes, threats to status, lack of trust, job-related issues, of competing agendas.

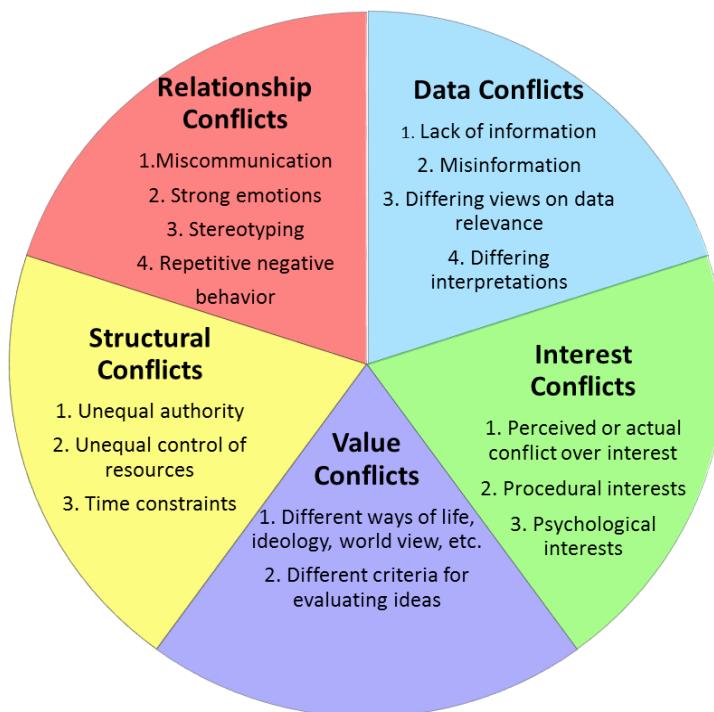


Figure 7. Circle of Conflict

The ‘Circle of Conflict’ (*presented in Figure 7*) comprises five wedges: data conflicts; interest conflicts; value conflicts; structural conflicts, and relationship conflicts. Each wedge can be the source of a problem, or multiple wedges can be involved in causing the problem.

To face these conflicts, it is vital to observe the following practices:

- **Anticipate:** Be on the lookout for, and collect relevant information on, a brewing conflict.
- **Prevent:** Try to take pre-emptive action before a conflict surfaces.



- **Identify:** Most conflict is either interpersonal or due to a breach of procedure. Try to move in quickly to limit the damage.
- **Manage:** Gauge the emotions involved in the conflict and tread with caution.
- **Resolve:** Respond without blaming any of the involved parties. Try to reach a resolution through constructive dialogue.

It is crucial to recognise and deal with disputes in a rational, balanced and effective way. Effective communication, problem-solving skills and negotiating abilities are needed to achieve this. Even more valuable is the capability to identify the origin of the conflict, uncover its underlying causes, and identify the most adequate style to be used to resolve a conflict situation.

2.3.3 Group exercise

The following group exercise aims to simulate the running of the stakeholder platform for the Urban Green Spaces (UGS) project. Start by identifying the District XII entities that will be involved, and follow up by defining an implementation structure for the stakeholder platform.

Define tasks for each stakeholder in accordance with their screened capacities and willingness to participate, and then allocate the resources necessary—or available — to accomplish these tasks.

For the following step, prepare a SWOT chart, defining the strengths, weaknesses, opportunities and threats that each stakeholder is likely to face while attempting to accomplish their tasks.

Finally, list three recommendations that the organisation should bear in mind while trying to achieve its objectives.

Case study: SWOT Analysis

The Ministry of the Environment of *Madisonia* (a fictitious country with a stable government) has the responsibility for environmental enforcement and compliance within the country. *Madisonia* is moderately advanced in the area of environmental protection, and has continued to adopt a number of important laws thereby advancing well in fulfilling the regional requirements. In this regard, further efforts are needed to build up administrative capacity. The institutional capacity and technical and human resources remain insufficient, especially at local level. Better coordination with the central level is needed and greater attention will have to be paid to enforcement. Work plans are still rudimentary and the monitoring system needs development.

Inspectors at all three levels, state, province and local, are authorized to enforce the same laws and regulations. The delimitation of responsibilities between the three levels is both geographical and by notification. Enforcement of the legislation needs to be improved at all levels.

Each site visit or inspection, or response to a complaint, results in a record on the premises' dossier; the dossier holds a record of all visits, inspections and any ensuing legal activity.

The Ministry of the Environment has 115 inspectors with 35 located in the capital city. The others are located around *Madisonia*. Ten inspectors are assigned to offices in the Provinces. In addition, there are approximately 215 inspectors at the municipal level where most towns have a single inspector.



These local inspectors often lack training, both in technical and legal knowledge and they also lack basic equipment to carry out their duties properly.

The available statistics show that inspectors, on average, made a visit a week of which one in eight resulted in enforcement proceedings; however, 47% of proceedings are not successful (rejected or not processed by court).

Last year, approximately 11% of inspections resulted in some form of enforcement action. There were nearly 1,800 enforcement decisions, of which 48% resulted in no further action, but 42% developed into cases that were heard at a magistrates' court for minor offences; and 8% and 2% of cases resulted in convictions for economic crimes and criminal offences respectively.

A detailed proposal has been developed for an enhanced inspection structure, operating procedures and resource allocation at all three inspection levels and that can meet the requirements set out under the new environmental legislation.

Madisonia plans to apply to the EU to become a candidate country and to begin the accession process. Before the European Commission begins the screening process, perform a SWOT analysis on the Environmental Inspectorate function in *Madisonia*.

INSTRUCTIONS

1. Read the case study.
2. Identify the Strengths, the Weaknesses, the Opportunities and the Threats.
3. Based on your SWOT analysis, list your 3 top recommendations for *Madisonia*.
4. Apply the same analysis to your own organization.

This can be easily adapted as a group exercise within your organization. Provide ample time for discussion between steps.

STRENGTHS	WEAKNESSES
OPPORTUNITIES	THREATS



SUGGESTED ANSWERS - Case Study: SWOT Analysis

(But there can be many other possible answers)

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> Moderately advanced in the area of environmental protection Continuing to adopt a number of important laws Fulfilling the regional requirements Inspectors at all levels are authorized to enforce the same laws and regulations Ministry of the Environment has 115 inspectors + 215 inspectors at the municipal level Other? 	<ul style="list-style-type: none"> Institutional capacity and technical and human resources remain insufficient, especially at local level Lack of administrative capacity Barriers to coordination with the central level Workplans are rudimentary Monitoring system needs development. Local inspectors lack training and basic equipment Less than half the enforcement proceedings were successful. Other?
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> A proposal has been developed for an enhanced inspection structure, operating procedures and resource allocation at all inspection levels The proposal can meet the requirements set out under the new environmental legislation. Other? 	<ul style="list-style-type: none"> Lack of an emphasis on enforcement <i>Madisonia</i> plans to apply to the EU to become a candidate country and to begin the accession process. The European Commission will institute an evaluation of the enforcement program Other?