

Principles for Stakeholder Engagement in Marine Planning

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Principles for Stakeholder Engagement in Marine Planning

Technical Issues?

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Objectives

- ❖ Develop an awareness of the principles and best practices for stakeholder engagement
- ❖ Highlight the importance of public and stakeholder engagement in the National Ocean Policy
- ❖ Examine the benefits and challenges of public and stakeholder engagement
- ❖ Establish an understanding of the tools and techniques available to enable stakeholder and public engagement for marine planning
- ❖ Explore a stakeholder engagement planning process

Our Agenda

Stakeholder Engagement and the
National Ocean Policy

Principles for Stakeholder Engagement

Stakeholder Engagement Planning

Et Cetera

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National Ocean Policy

Final Recommendations of Interagency Ocean Policy Task Force (CMSP Executive Summary):

- ❖ Coastal and Marine Spatial Planning (CMSP), commonly known as Marine Planning, is one of nine priority objectives
- ❖ CMSP is a comprehensive, adaptive, integrated, ecosystem-based, and transparent spatial planning process, based on sound science, for analyzing current and anticipated uses of ocean, coastal, and Great Lake areas (pg. 41)

National Ocean Policy

Final Recommendations of Interagency Ocean Policy Task Force (CMSP Executive Summary, pg. 8):

The recommendations emphasize the **importance of frequent and robust stakeholder, scientific, and public engagement** throughout the planning process



Stakeholder Engagement in NOP Implementation Plan

- ❖ Robust stakeholder engagement and public participation are essential to ensure that actions are based on a full understanding of the range of interests and interactions (pg. 23)

Consultation with scientists, technical experts, the business community, and those with traditional knowledge is a foundation of marine planning (pg. 23)



Stakeholder Engagement in the Marine Planning Handbook

- ❖ To develop marine plans, representatives from all levels of government work together, publicly and transparently, as a regional planning body. Their work is informed by the expertise and perspective of stakeholders (pg. 1)
- ❖ Each regional planning body will create participation and outreach practices, appropriate to its needs and capacity, which engage stakeholders, scientific/technical experts, and the public as participants in the process. (pg. 8)
- ❖ To do so, regional planning bodies' interactions with stakeholders and the public should be based on the seven principles in this presentation (pg. 9)



Stakeholder Engagement in the Marine Planning Handbook

...a wide range of mechanisms and processes available for engaging the public and stakeholders throughout the planning process. Options for engaging and informing stakeholders and the public include public meetings, project websites, webinars, public comment periods, surveys, focus groups, roundtable discussions, and teleconferences.

In addition, ...tools include, but are not limited to:

- Memorandum of Understanding
- Workshops and Conferences
- Regional Committees
(Stakeholder Advisory groups)



Benefits of Effective Stakeholder Engagement

- ❖ Improved and sustainable outcomes
 - Builds on local capacity and knowledge
 - Addresses local and regional needs
- ❖ Shared understanding of perspectives, issues, challenges, alternatives, and outcomes
- ❖ Transparency and ownership in outcomes
- ❖ Strengthened relationships
- ❖ Can improve cost effectiveness
 - ❖ Reduced or managed conflict/contention
 - ❖ Better informed decisions

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Principles for Stakeholder Involvement in CMSP

- ❖ Based on a white paper developed in August 2011 by Udall Foundation
- ❖ Available at <http://www.ecr.gov/pdf/StakeholderPrinciplesCMSP.pdf>
- ❖ Incorporated in the Marine Planning Handbook produced by the National Ocean Council

What is a Stakeholder?

- ❖ In general, stakeholders may include:
 - Obviously affected governmental and non-governmental economic, cultural and environmental interests with **motivation and resources to participate at a high level**
 - Loosely organized or non-organized affected interests with an **interest in participating in limited areas** that affect them
 - Members of the public who may or may not participate, but **need to be informed** along with other stakeholders



Stakeholders – Our Definition

Organized and less organized entities and interests that are affected by and/or can contribute information and support to the marine planning process



Stakeholders – Other Considerations

- ❖ Stakeholder interests vary, and may include:
 - Fishers (commercial and recreational),
 - Environmental advocacy groups,
 - Industry/Business (shipping, tourism, recreation, etc.),
 - Recreational groups,
 - Homeland security agencies, and many others
- ❖ Native American Tribes are unique
 - Sovereign Governments
 - The same engagement principles may apply
 - Specific separate processes and procedures may also be required

Stakeholder – Other Considerations

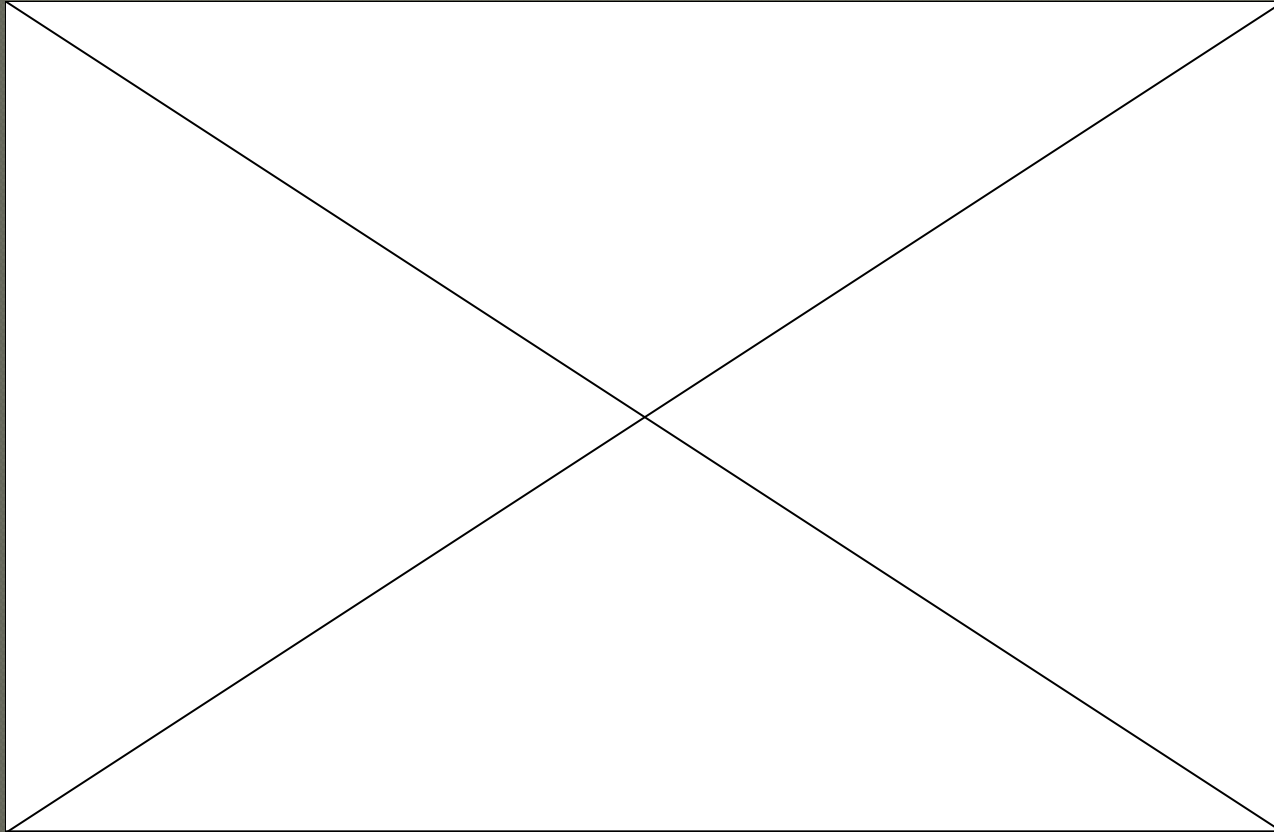
- ❖ In theory, all citizens are stakeholders, but not all have the resources or interest to participate in all activities
- ❖ Public participation goes beyond stakeholder engagement, and often uses mass communication to inform citizens



Triangle of Satisfaction



A Picture of Stakeholder Engagement in Marine Planning



Severn Estuary Partnership, UK

Principles for Stakeholder Engagement in CMSP



Clear Goals and Avenues for Stakeholder and Public Participation

Desired Outcome:

- ❖ A well planned engagement effort that **supports and complements the overall planning process**
- ❖ Well **informed stakeholders and citizens** who understand the process and can capitalize on opportunities for their involvement

Clear Goals and Avenues for Stakeholder and Public Participation

Guidance:

- ❖ **Identify and communicate:**
 - Goals and schedule of the planning process
 - Opportunities for engagement
 - Roles and responsibilities (stakeholders & decision makers)
 - Types of input and how it will be utilized
- ❖ **Engage stakeholders in the engagement planning process**
- ❖ **Institutionalize stakeholder engagement**

Clear Goals and Avenues for Stakeholder and Public Participation

Best Practices, Tools, Techniques:

- ❖ Develop goals relating to stakeholder/public engagement
- ❖ Develop engagement approach at the outset, and update periodically
- ❖ Develop and share a process map
- ❖ Establish an informational/educational effort at the outset
- ❖ Treat stakeholder engagement the same as any other planning component
 - ❖ Funding, staffing, and scheduled milestones

Principles for Stakeholder Engagement in CMSP



Inclusiveness and Accessibility

Desired Outcome:

- ❖ Adequate and appropriate opportunities for interested parties to participate
- ❖ Inclusion of diverse voices, ideas and information, to achieve sustainable decisions.

Inclusiveness and Accessibility

Guidance:

- ❖ Ensure participation by all interests
- ❖ Identify and address barriers to participation
 - Funding, timing, capacity, accessibility, info
- ❖ Be sensitive to the needs, interest, and resource levels of stakeholders/public

Inclusiveness and Accessibility

Best Practices, Tools, Techniques:

- ❖ Conduct a stakeholder analysis
- ❖ Consider a balanced stakeholder advisory group
- ❖ Identify approaches to overcome barriers to participation, including:
 - Travel support
 - Regional and sub-regional engagement
 - Collaborative technologies (e.g. web streaming meetings, online forums, etc.)

Principles for Stakeholder Engagement in CMSP



Transparency and Openness

Desired Outcome:

- ❖ Adequate information about planning and decision making is communicated
- ❖ Mutual understanding of and support for the process, including demonstrated interest in soliciting feedback and openness to learn from stakeholders

Transparency and Openness

Guidance:

- ❖ Establish clear and consistent communication channels
- ❖ Disseminate information about the planning processes for review and feedback
- ❖ Demonstrate openness to learning from stakeholders

Transparency and Openness

Best Practices, Tools, Techniques:

- ❖ Implement a broad suite of communication tools and techniques
- ❖ Promote a common understanding of key processes, terminology, and technical info
- ❖ Inform stakeholders how to provide input, and how it will be used
- ❖ Provide periodic reports on how stakeholder/public input impacted products
- ❖ Produce and share meeting summaries

Principles for Stakeholder Engagement



Informed Engagement

Desired Outcome:

- ❖ **A shared understanding of the issues, challenges, and the planning process among decision makers, stakeholders, and the public**

Informed Engagement

Guidance:

- ❖ Encourage quality, informed, and interactive dialogue
- ❖ Engage in mutual education
- ❖ Identify opportunities for the inclusion of stakeholder knowledge and data
- ❖ Provide technical information in an appropriate format for stakeholder and public use
 - Encourage interaction between technical experts and stakeholders

Informed Engagement

Best Practices, Tools, Techniques:

- ❖ Provide impartial facilitation
- ❖ Develop unbiased technical tools to share information (e.g. GIS)
- ❖ Tailor presentations to non-technical audiences
- ❖ Conduct stakeholder workshops to discuss technical issues
- ❖ Establish mechanisms to collect input
 - Workshops/meetings, comment forms, surveys, interviews

Principles for Stakeholder Engagement



Timeliness

Desired Outcome:

- ❖ Stakeholders and the public are engaged with **sufficient notice, and an adequate amount of time to respond**

Timeliness

Guidance:

- ❖ Coordinate planning process and engagement activities to include stakeholder input in decisions and products
- ❖ Provide sufficient notice of meetings and outcomes
 - Distribute broadly via diverse communication methods
 - Provide advance materials

Timeliness

Best Practices, Tools, Techniques:

- ❖ Disseminate a project timeline with engagement opportunities
- ❖ Establish a schedule for meeting notices and advance materials
 - 3 weeks for meetings
 - 1 week for advance materials
- ❖ Produce a website to disseminate schedules and materials
- ❖ Disseminate meeting notices through a variety of mechanisms (e.g. website, social media, newspaper, etc.)

Principles for Stakeholder Engagement



Process Integrity

Desired Outcome:

- ❖ A trustworthy and credible planning process, established through equitable and reliable action

Process Integrity

Guidance:

- ❖ Take actions that create stakeholder confidence
 - Schedule predictability and reliability
 - Balanced participation
 - Opportunities for engagement
 - Input is accepted, considered, addressed
 - Needs and concerns are heard and addressed
 - Stakeholders treated with equal concern and responsiveness
 - Products reflect various interests and needs
- ❖ Make a commitment to meaningful stakeholder participation – and follow through!

Process Integrity

Best Practices, Tools, Techniques:

- ❖ Establish participatory ground rules
 - MOU, Charter, Operating Procedures, meeting ground rules
- ❖ Develop realistic agendas and impartial meeting summaries
- ❖ Encourage inclusive and balanced dialogue
 - Consider a stakeholder advisory committee
- ❖ Reflect on stakeholder input, and communicate how input is utilized

Principles for Stakeholder Engagement



Adaptability and Flexibility

Desired Outcome:

- ❖ A flexible and resilient stakeholder engagement effort that **adapts to changing information and circumstances**

Adaptability and Flexibility

Guidance:

- ❖ Monitor, evaluate, and modify stakeholder processes as needed
- ❖ Develop engagement methods that match regional/local issues, cultures and relationships

Adaptability and Flexibility

Best Practices, Tools, Techniques:

- ❖ Establish engagement goals and performance measures
- ❖ Employ measurement tools for progress checks
 - surveys, comments forms, etc.
- ❖ Reassess and modify the engagement process periodically
- ❖ Conduct an impartial assessment

Tools and Techniques

- ❖ Situation Assessment
- ❖ Stakeholder Analysis
- ❖ Neutral third-party Facilitation
- ❖ Outreach/Communications
- ❖ Process Documentation
- ❖ Stakeholder Advisory Groups
- ❖ Stakeholder/Public Engagement Planning
- ❖ Collaborative Technologies

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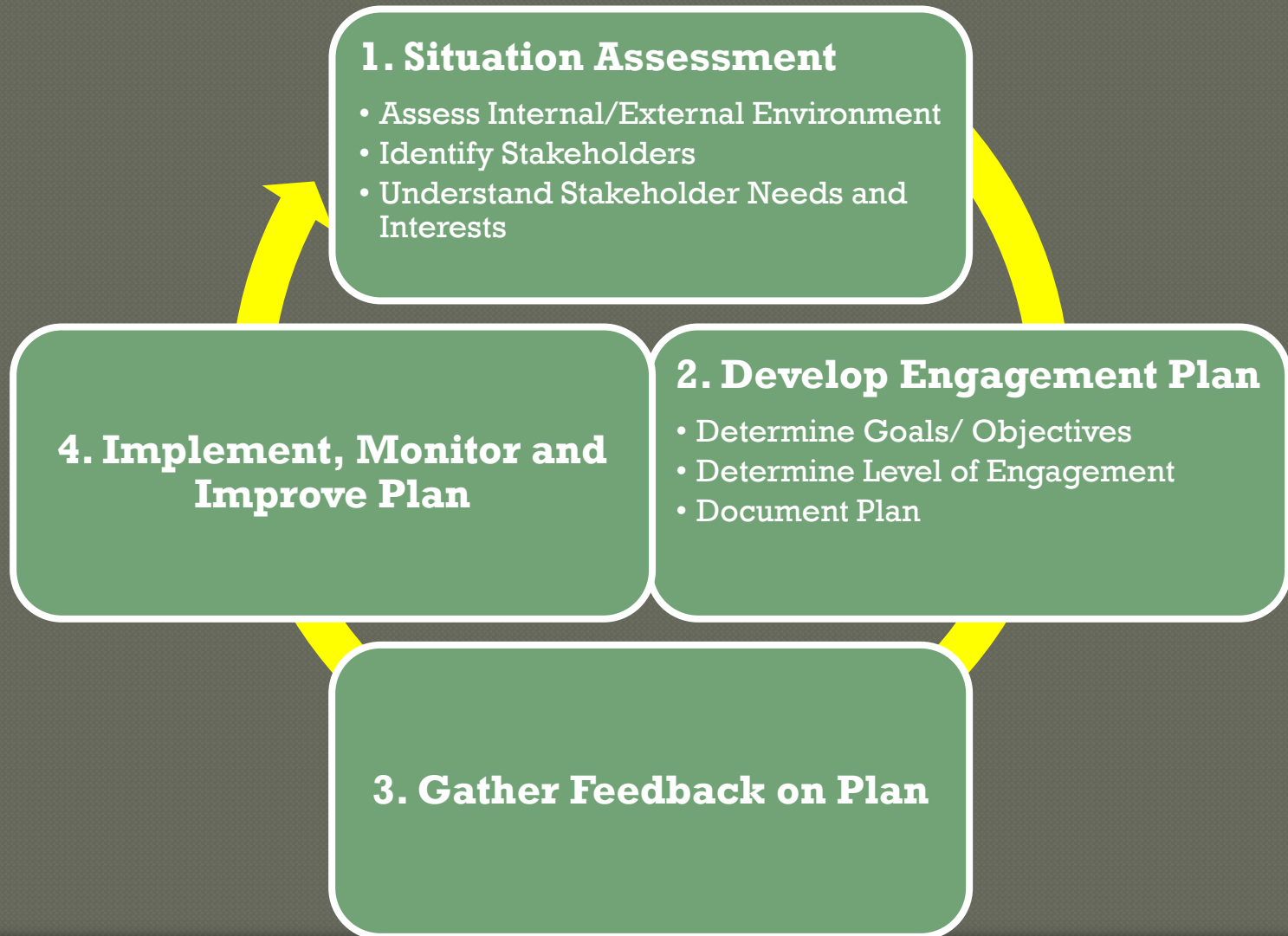
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Stakeholder Engagement Planning



1. Situation Assessment:

Assess Internal/External Environment

- ❖ Identify the following:
 - Key engagement opportunities, issues, challenges, and barriers
 - Available and potential resources
 - Uncertainties
 - Project needs and milestones

1. Situation Assessment: Identify Stakeholders

❖ Identify groups and individuals:

- Who can make valuable contributions (e.g. info, understanding, etc.)
- Who might be interested or impacted
- Who are leaders from different interest groups
- Who are difficult to reach

❖ Stakeholder Research

- Start with who you know, and widen the circle
- Conduct formal and informal outreach
- Ask other stakeholders
- Post public meeting notices

❖ Strive for inclusion

1. Situation Assessment:

Understand Stakeholder Needs and Interests

❖ Stakeholder assessment

- What issues are important to identified stakeholders?
- Why are the issues important?
- What are incentives (existing and potential) for participating?
- What level of participation would stakeholders prefer?
- Are there barriers to participation (e.g. institutional, financial, travel, others)?
- What are feasible options for working with key stakeholders?

❖ Open dialogue is the best way to learn

2. Develop Engagement Plan:

Determine Engagement Goals/Objectives

- ❖ Reconcile engagement goals/objectives with overarching marine planning process
- ❖ Integrate goals/objectives with assessment findings
- ❖ Define engagement objectives for each step in the overall decision making process:
 - Provide info regarding...
 - Get feedback on...
 - Build relationships with...
 - Engage in dialogue...
 - Provide feedback...

2. Develop Engagement Plan: Determine Level(s) of Participation

- ❖ Assess Planner/Decision Maker and Stakeholder expectations (based on assessment findings)
- ❖ Determine level of engagement for each stakeholder type at each step of the process
- ❖ Not every stakeholder desires the same level of participation
- ❖ Assess need for stakeholder advisory group
 - ❖ Logistically feasible?
 - ❖ Do the resources exist to support it (financial, human, etc.)?
 - ❖ Can it be balanced?
 - ❖ Is it valuable to the process? In what ways?
 - ❖ What would be the roles/responsibilities of the group?

Degrees of Collaboration

Increasing Degree of Influence 

One-way
Communication

Two-way Communication

Inform	Low	Medium	High
Provides others with information to assist them in understanding the problem being addressed, the alternatives considered, and the final decision made.	Inform others about decision-making process and also seeks their feedback on analysis, options, and proposed actions.	Work directly with others to ensure their issues and concerns are understood, considered, and directly reflected in the options developed and decisions made. Feedback is provided on how their input influenced the final decision.	Work directly with others to share information, explore options and potential solutions, and to seek agreement where possible on decisions and actions. Legal and policy constraints must be considered and addressed in the agreement-seeking process.
Agency retains authority for final decisions in all degrees of collaboration.			

2. Develop Engagement Plan: Document Plan

- ❖ Develop engagement process to overlap with marine planning process
- ❖ Outline key milestones and decision points for stakeholder input
- ❖ Identify tools/techniques that support stakeholder engagement objectives
- ❖ Integrate monitoring and evaluation of stakeholder engagement process

3. Gather Feedback on the Plan

- ❖ Vet the draft plan with stakeholders

- Distribute widely (e-mail, website, etc.)
- Provide opportunity for review and input

- ❖ Use the opportunity to:

- Validate assessment findings
- Refine engagement goals/objectives
- Validate interest in participation

- ❖ Finalize plan and distribute

4. Implement, Monitor, and Improve Plan

- ❖ Conduct review and update plan as needed
- ❖ Check-in with stakeholders
 - Periodically and during annual review
 - Formal and informal feedback
 - Utilize tools (comment forms, surveys, facilitated dialogue, etc.)
- ❖ Revisit situation assessment
- ❖ Adapt to circumstances

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Challenges to Successful Stakeholder Engagement

- ❖ Resource constraints
- ❖ Schedule constraints
- ❖ Non-collaborative culture
- ❖ “Check-box” mentality
- ❖ “Business as usual” perspective
- ❖ Reluctance to participate
- ❖ Conflicting interests
- ❖ Lack of common understanding of the issues



Possible Pitfalls

- ❖ Exclusion of key groups
- ❖ Inadequate planning and forethought
- ❖ Unclear goals and objectives
- ❖ Unclear roles and responsibilities
- ❖ Non-responsiveness to changing needs
- ❖ Stakeholder exhaustion due to too much engagement
- ❖ Stakeholder dissent due to process, substance, or psychological dissatisfaction

Done Right, Engagement...

- ❖ Welcomes diversity
- ❖ Enhances communication
- ❖ Builds relationships
- ❖ Provides opportunities for constructive dialogue, debate & deliberation
- ❖ Promotes joint problem solving & creative solutions
- ❖ Promotes effective & efficient implementation
- ❖ Promotes continuous improvement



Five Key Trends in Collaboration

- ❖ **Economic** – Limited budgets; Value of participation to project outcome, or cost of not engaging stakeholders
- ❖ **Cultural** – Expectation to play a role; expectation of immediacy
- ❖ **Technical** – Internet & convergence of voice, data and video technology; proliferation of devices
- ❖ **Regulatory** – Compliance requirements; need for shared information
- ❖ **Scale** – Leveraging tools to engage stakeholders at a regional/national level



Case Study: Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

- ❖ Canadian multi-stakeholder, collaborative ocean planning process
- ❖ Led by Oceans and Coastal Management Division, Ministry of Fisheries and Oceans Canada
- ❖ Initiated through 1997 Oceans Act
- ❖ Overall management of Eastern Scotian Shelf
- ❖ Integrated, ecosystems-based, and adaptive plan

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

Collaborative Planning Model

- ❖ ESSIM Planning Office
- ❖ Government Sector Structure
 - ❖ Regional Committee on Ocean Management (RCOM)
 - ❖ Federal-Provincial Working Group
- ❖ Stakeholder Advisory Council (SAC)
- ❖ ESSIM Forum

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

❖ ESSIM Planning Office

- ❖ Run by staff
- ❖ Provides leadership and coordination for plan
- ❖ Leads and facilitates SAC and Government Sector
- ❖ Provides substantive and process expertise
- ❖ Ensures appropriate stakeholder engagement
- ❖ Liaise with other integrated management processes

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

❖ Government Sector Structure

- Regional Committee on Ocean Management (RCOM)
 - Senior executive forum (federal and provincial)
 - Provides coordination on:
 - Planning, management, regulatory matters
 - Implementation, oversight and monitoring
 - Semi-annual meetings
 - Consensus based
- Federal-Provincial Working Group
 - Provides support to (RCOM)
 - Focus on policy, management, operations, and regulatory coordination
 - 4 to 5 Meetings a year
 - Consensus based
- Both groups work to coordinate and harmonize across government

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

❖ Stakeholder Advisory Council

- Functions:
 - Input on planning process
 - Leadership and guidance on plan development
 - Monitoring and evaluation for implementation
- Broadly representative of ocean sectors, ~30 members
- Consensus based
- Quarterly meetings

❖ ESSIM Forum

- Open to all stakeholders
- Info sharing and input on planning process/products
- No formal leadership
- No decision making
- Biennial meetings

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

2002	<ul style="list-style-type: none">• 1st ESSIM Forum – Beginning of dialogue on integrated ocean mgmt
2003	<ul style="list-style-type: none">• 2nd ESSIM Forum – To discuss elements of the plan and governance structure.• Stakeholder working group - develops human use objectives framework
2004	<ul style="list-style-type: none">• Community workshops – to identify areas of concern
2005	<ul style="list-style-type: none">• Stakeholder Advisory Council (SAC) established and advances draft plan• 3rd ESSIM Forum – To review and comment on draft plan
2006	<ul style="list-style-type: none">• Stakeholder Advisory Council issues final amendments to plan• ESSIM Plan release for broad consultation• ESSIM Plan approved by SAC and Gov't committee (RCOM)
2007 & 2008	<ul style="list-style-type: none">• ESSIM Plan is released• 4th ESSIM Forum

Eastern Scotian Shelf Integrated Ocean Management Plan (ESSIM)

Operating Principles for collaborative planning

- ❖ Jurisdiction
- ❖ Inclusion
- ❖ Consensus
- ❖ Accountability
- ❖ Evolution
- ❖ Networking
- ❖ Transparency
- ❖ Efficiency
- ❖ Knowledge-based

Questions and Answers

- ❖ Clarifying questions?
- ❖ How do you see these principles applying to your work?
- ❖ Do you have any of your own best practices, lessons learned, or experiences that you would like to share?

Raise your hand, or chat in your questions or thoughts

Next Steps and Upcoming Events

- ❖ We'll e-mail the presentation and white paper to participants
- ❖ Tribal Relations in Marine Planning Webinar
 - ❖ February 25th, 2:30-5 Eastern
 - ❖ Open enrollment
 - ❖ Send us an e-mail if interested (nutter@ecr.gov)
- ❖ Both Webinars available for RBP/ROPs, or marine planning audiences

Thank you!

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“Principles for Stakeholder Involvement in Coastal and
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