



Project N° : 036992



ACRONYM: Science and Policy Integration for Coastal System Assessment

DELIVERABLE D1.7V0

The SPICOSA Stakeholder-Policy Mapping Users' Manual, complete version with worked examples (final)

WORK PACKAGE: WP1 Policy Interface

REPORTING PERIOD :	From : Month 24	To: Month 36
PROJECT START DATE:	1st February 2007	DURATION: 48 Months
Date of Issue of this report :	February 2010	
Document prepared by :	Coordination: J.-P. Vanderlinden. With the key contributions of T. Stojanovic, D. Schmuëli, S. Bremer, C. Kostrzewa, L; McFadden and the WP1 core group members + review group members	

Integrated Project funded by The European Community
Under the Sixth Framework Programme
Priority 1.1.6.3
Global Change and Ecosystems

Warning

The text that follows is provided as a guideline. It must not be construed as “instructions” to be respected. ICZM and its processes belong to the stakeholder community. External agents such as ourselves are there to provide tools but NOT to give definite answer as how ICZM takes place in a specific location with its specific characteristics.

We will try as much as possible to be available for questions that this document and the process may raise locally. All questions may be sent to Jean-Paul Vanderlinden, SPICOSA’s WT1.1 leader (jean-paul.vanderlinden@c3ed.uvsq.fr).

Objective of WP1.1: « Proposes and methods for Stakeholder Policy Mapping and for the identification of issues/concerns that should be criteria for any policy scenario or project appraisal in ICZM (e.g., societal and political considerations as criteria for or limits on “acceptability” of different ICZM options). »

Description of D1.6: The SPICOSA Stakeholder-Policy Mapping Users’ Manual, complete version with worked examples. The manual should be designed for the purpose of implementation by end-users and should contain examples from its application in the SSAs.

IDEALLY this document is to be used in conjunction with SPICOSA-WP3’s System design manual. It is strongly recommended to combine the reading of D16 with the reading of at least Chapters 3 and 4 of the System design manual.

CONTENTS

DELIVERABLE D1.6V0.....	1
To: Month 24.....	1
DURATION: 48 Months	1
GENERAL INTRODUCTION.....	5
1. The manual.....	5
2. Introduction	5
2.1 Structure of the manual	7
3. What is Stakeholder-Issue Mapping?	7
4. Process outline	9
4.1 Ethical considerations.....	9
4.2 Practical considerations.....	9
4.3 The stakeholder-issue mapping process in a nutshell	9
SECTION 1 METHOD FOR ENGAGING STAKEHOLDERS	10
5. Introductions to step 1	10
5.1 Appoint a facilitator.....	10
5.2 Identify the stakeholders.....	11
5.3 Invite the stakeholders.....	12
6. Step 2: information gathering.....	12
6.1 Desktop study.....	12
6.2 Interview/focus group preparation	13
6.3 Taking the interview/focus group.....	14
7. Step 3 : Analysis of information	15
7.1 Summarising the findings	15
8. Step 4: Report writing, Feedback and Distribution.....	16

8.1 Report writing	16
8.2 Feedback.....	17
SECTION 2: CREATING MAPS TO PLAN FOR, AND INFORM, LATER COLLABORATIVE PROCESS	19
9. Methods for preparing the maps	19
10. Map A1: a classified table of all coastal and marine stakeholders in an area	20
10.1 Description of Map A.....	20
10.2 Benefits of using Map A:.....	21
11. Map X – a map of the ‘big issues’ within a coastal and marine setting	22
11.1 Description of Map X	22
12. Map B – a map of stakeholder interactions relevant to a ‘key issue’	24
12.1 Description of Map B	24
12.2 Benefits of using Map B.....	26
13. Map C – the interacting dimensions of a ‘key issue’	26
13.1 Description of Map C.....	26
13.2 Benefits of using Map C	28
14. Map D – a table demonstrating the position of each stakeholder cluster relative to each issue dimension	28
14.1 Description of Map D.....	28
14.2 Reasons for using Map D	29
SECTION 3 LESSONS LEARNT	31
15. Lessons learnt from Stakeholder-Issue Mapping within the SPICOSA Project.....	31
Example 20 : Lessons learnt from the Pertuis Charentais Study Site	40
Appendix A: Links to sources on running a mapping exercise	42
Appendix B: Interview guidelines and protocol.....	44
Interview guidelines	44
Interview protocol.....	49

Appendix C: Focus group guidelines and protocol	52
Focus group guidelines.....	52
Focus group protocol.....	57

GENERAL INTRODUCTION

1. The manual

This manual details a method called ‘Stakeholder-Issue Mapping,’ to inform and plan any collaborative process in the promotion of Integrated Coastal Zone Management. It engages stakeholders to help answer three key questions:

- 1) Who should participate in coastal governance?
- 2) What are the policy issues that need to be considered?
- 3) How do stakeholders in the coastal zone relate to each other and relate to the policy issues under consideration?

The manual leads users through methods to map all stakeholders and their ‘big issues’ within a coastal context, before zooming in and mapping one ‘key issue’ in detail.

This manual purposefully does not detail the following collaborative processes. Each collaborative process is constructed according to the needs brought to light by the Stakeholder-Issue Mapping process and the design is usually suggested by the assessor/facilitator, together with the stakeholders.

The method will be illustrated using examples of Stakeholder-Issue Mapping from two particular case studies part of the ‘SPICOSA Project.’

2. Introduction

Matters of coastal zone management almost always involve numerous parties and issues. The issues are often scientifically complex and accompanied by risk and /or uncertainty. Thus, obtaining good decisions about coastal zone management is often difficult. Scientists, policy-makers and political leaders time and again find themselves unable to take action, even when everyone agrees that something needs to be done. In these cases, collaborative decision-making approaches have been developed and tested over the past two decades and the results have been impressive. They have worked in a wide range of difficult and politically charged situations. As such, collaborative approaches are seen as fundamental to Integrated Coastal Zone Management (ICZM). Collaborative approaches involve face-to-face interaction among chosen representatives of all “stakeholding” groups (people with

an interest in the issues); a voluntary effort to seek solutions which benefit all, often with the assistance of a neutral facilitator or mediator.

This said, initiating collaborative processes can be an intimidating task, especially when there are many people involved with multiple concerns. A poorly planned or informed deliberation between stakeholders may be worse than useless; it may be counter-productive. A successful collaborative process should both aim to achieve the objectives of a decision-making process (improved water quality for example) and aim to build support from participants to continue participating in future decision-making processes. Any collaborative process needs to be preceded by a 'mapping' of the answers to three classic ICZM questions:

A) *Who should participate in coastal governance?*

Which are the relevant stakeholders and what roles do they play in coastal governance? This is a critical question in terms of process legitimacy (i.e. those who have a say in coastal zone related decisions are identified and have a chance to participate in the process), in terms of process efficiency (i.e. all those with information on the coastal zone are in a position to share it) and in terms of transparency (i.e. those who are able to relay and publicise the information participate). Of course the answer to this question is constantly evolving, with some stakeholders being active at some times for some issues whilst others are involved at other times for other issues.

B) *What are the policy issues that need to be considered?*

All policy issues should be thoroughly and systematically identified both in terms of their varying relevance and importance to the different stakeholders and to ICZM. This works towards achieving process legitimacy (i.e. all stakeholder concerns are taken into account), process efficiency (i.e. leaving out a key issue may endanger the process later on) and transparency (i.e. no policy issue is hidden). Again, as for stakeholder identification, any issue mapping must be understood as a starting point, because the issues themselves will evolve and change.

C) *How do stakeholders in the coastal zone relate to each other and relate to the policy issues under consideration?*

The main output vital to inform a collaborative process lies in the identification of (a) the relationships between and among stakeholders, and (b) stakeholder relationships to the policy issues which they identify. These two activities may be seen as two sides of the same coin, and together can be called 'Stakeholder-Issue Mapping.'

This manual provides a method called ‘Stakeholder-Issue Mapping’ for engaging stakeholders to answer the above three questions, which are vital to inform any later collaborative process. The manual hopes to lead users through methods to map all stakeholders and their ‘big issues’ within a coastal context, before zooming in and mapping one ‘key issue’ in detail. In this way it is a ‘social mapping’ exercise mainly concerned with mapping stakeholder’s perceptions, as a starting point for more detailed discussion and investigation in a later deliberation. It does NOT detail methods for mapping the economic or the legislative/institutional context.

2.1 Structure of the manual

The manual is written in three sections:

- 1) The first section details a method for learning from stakeholders through interviews or focus groups.
- 2) The second section details maps for organising and analysing stakeholder information to best plan and inform a collaborative process.
- 3) The third section presents lessons learnt from case studies where Stakeholder-Issue Mapping has been used, in many different forms, as part of the ‘SPICOSA Project.’ The third section in particular is intended to grow as new examples are added.

This manual is formatted so that readers can go through the text easily, and read the rectangular boxes for more detailed information, generic examples of tools and reference to other information sources.

3. What is Stakeholder-Issue Mapping?

‘Stakeholder-Issue Mapping’ is a method for understanding a ‘system’ by identifying the key stakeholders in the system, and assessing their interests in that system. It emphasises that coastal issues and stakeholders interactions are best viewed like a system; a complex whole comprised of parts that are individually irrelevant, but which combine and interact to give expression to the meaningful whole. Stakeholder-issue mapping is the first step in a collaborative process, because it mirrors the system to provide an understanding of the context to coastal issues, and inform later deliberation.

Mapping in a practical sense means a convener (that group or person which is organising a stakeholder-issue mapping exercise or collaborative process – often a government agency) arranging for a facilitator/assessor (the neutral party who runs the process – independent from the convener) to identify those stakeholders who are affected by or care about the key issues, interviewing them, and analysing the results.

Box 1: The dangers of proceeding without Stakeholder-Issue Mapping:

- leaving out key stakeholders who might later undermine the legitimacy of the effort,
- designing a process which does not address the right issues, or
- later collaboration processes are poorly informed, and therefore less effective

Mapping is the essential first stage in the process of designing a successful collaborative process. A primary goal of such mapping is for all stakeholders to gain a deeper understanding of their inter-relationships and concerns; an impartial mapping of what needs to be addressed. This understanding not only clarifies their own interests and positions, but allows them to understand the interests and positions held by others, and therefore promotes reflection by the stakeholders and 'social learning.' When stakeholders see their interests and issues in print, it often helps them feel heard and understood, and reading about other stakeholders interests provides everyone with an accurate picture of opposing views. In this way, the assessment maps the conflict, and then uses it as an evaluation tool to determine whether or not there is a reasonable possibility for initiating a collaborative process to resolve the dispute. Often, the assessment can be helpful in building relationships among stakeholders as well as between the stakeholders and the assessor, and encourages stakeholder participation in managing and resolving the dispute.

It may be that stakeholders have not come together as a group previously, and therefore there may not be a common information base. This mapping therefore presents the opportunity to build a shared body of information and knowledge, before any group interaction commences. As an evaluation tool, assessment has inherent advantages. It offers insights into the type of collaboration most likely to succeed, and provides input into designing a work plan for later collaboration.

There are therefore four reasons for Stakeholder-Issue Mapping:

- i) To understand the complex system of coastal issues and stakeholder relationships.
- ii) To better understand how any policy would spread costs and benefits over the different stakeholders, and any flow-on effects.
- iii) To 'manage' stakeholders by preparing policy that best meets their conflicting interests.
- iv) As a tool to predict conflict, and design a collaboration process that avoids this conflict.

4. Process outline

4.1 Ethical considerations

The method proposed in this manual follows a fairly straightforward process. This should not hide key ethical choices that we believe are critical to the success of 'Stakeholder-Issue Mapping.' It is fundamental that the process designed be seen as LEGITIMATE, EFFICIENT AND TRANSPARENT. Our basic understanding is that the more COLLABORATIVE the process, the more implementable the outcomes. The ICZM should be structured, conducted, analysed, and validated by representatives of as diverse a cross-section of identified stakeholders as possible.

4.2 Practical considerations

The stakeholder and issue maps being developed will always be incomplete because the content of the maps will continually change during the process. Therefore, it is important to strike a balance between the completeness of the result and the time and resources dedicated to the mapping activity. However, while there is a cost these are anticipated to be well invested resources, because this step is a foundation block to science and policy integration within the context of coastal zone governance; done well it will save resources later. Finally, remember the maps may be more than a starting point to ICZM deliberation; the stakeholder maps building allows participants to learn from each other, even some times prior to launching any ICZM initiatives.

4.3 The stakeholder-issue mapping process in a nutshell

To reiterate, the GOAL of stakeholder mapping at the outset is a clearer understanding of the relationships between and amongst stakeholders, their interests and positions with regard to the various policy issues their coastal zone is facing and areas of agreement and disagreement. The mapping concludes with recommendations for process designed to arrive at a successful and implementable ICZM governance regime. In order to achieve this, the methodology that is proposed is divided into four stages:

1. Introductions: The mandate of the convener, the identification of stakeholders and protocol
2. Information gathering: Interviews, focus groups and/or desktop studies.
3. Analysis of findings: Presenting the information usefully to inform any deliberation
4. Report writing, Feedback and Distribution

SECTION 1 METHOD FOR ENGAGING STAKEHOLDERS

This section outlines the four different steps to engaging stakeholders to gather the information needed for successful Stakeholder-Issue Mapping. Emphasis is on the ‘interactiveness’ of these steps, as stakeholders clarify their positions or needs (**what** they want) and more importantly, their interests (**why** they want it). ‘Step 3: Analysis of findings,’ is covered in more detail in Section 2 of the report, where five different maps are proposed for the presentation of the mapping information.

Most guides stress open-ended, participant-based data as the path to designing collaborative processes. Processes such as that detailed below, are not new, and have been practiced for the past 20 years in a number of areas, not least ‘conflict assessment.’ Appendix A links to reference sources for tools useful in gathering such data.

Important: Remember, this is a method for gathering information on context and planning for later deliberation. It is not a method for deliberation between stakeholders itself. For example, when choosing stakeholders to participate in the mapping exercise, it is not necessary to include all those you feel should be included in a deliberation on coastal governance, but more important to choose a diverse range of knowledgeable stakeholders who can give a complete picture of the coastal context.

5. Introductions to step 1

5.1 Appoint a facilitator

The convener or initiator of the Stakeholder-Issue Mapping (a government agency responsible for preparing coastal policy for example) must first identify a facilitator or facilitation team to run the mapping exercise, who will be perceived by all stakeholders as impartial. The facilitator will usually be the same person responsible for assessing the information received as part of the mapping, and may also be the same facilitator that mediates any later collaborative process. They must have some knowledge in the field of coastal zone management although coastal expertise is not required. Experience with collaborative processes and conflict management is helpful. The assessor must have full autonomy – the convener must not try to influence the assessor’s recommendations. The assessor must be able to maintain confidentiality even from the convener. Some other useful assessor skills are listed in ‘Box 2’ below.

Box 2: Skills of Assessor:

- Elicit direct answers
- Request elaboration or clarification
- Read body language
- Actively listen and summarize comments
- Read facial expressions and body language
- Build trust with interviewees
- Don't challenge or confront
- A neutral or non-partisan assessor will sometimes point out inconsistencies in a stakeholder story in a non-confrontational way

(Moore, 1986, pp. 90-95)

5.2 Identify the stakeholders

The convener should identify as many stakeholders with an interest in coastal governance as possible. Remember, this list is only a starting point, as more stakeholders will be identified throughout the mapping exercise. From this list the facilitator can choose a 'short-list' of stakeholders for the first-round of interviews or focus groups. In preparing the short-list, the facilitator will focus on a diversity of stakeholders; attempting to include stakeholders from as many different activity and sectors as possible, and ensuring that as a **minimum** there are stakeholders representing (a) government agencies (ie. the Ministry of Fisheries), (b) private enterprise (ie. a commercial fisherman), and (c) public-interest groups representing 'civil society' (ie. fishing clubs). Since the object of the mapping exercise is to gather information on the social context, the other criteria is that stakeholders interviewed should be knowledgeable on the context (and can of course include the convener). Other key stakeholders may be identified throughout the first round of interviews which may require a second round of interviews.

Where an ICZM initiative already exists within an area, such as an established community forum, or a small council of 'experts,' it may be easier and more useful to utilise these groups for the mapping exercise.

In conjunction with the convener, the facilitator needs to decide whether it will be better engage to the stakeholders through interviews or focus groups, or a combination of the two. If an issue is especially volatile, having stakeholders around a table as part of a focus group might cause conflict, and interviews

might be a better option. The number of stakeholders engaged will depend on the resources available for a mapping exercise, but obviously increasing the numbers of stakeholders increases the quality of the information. Focus groups have the advantage of being a more efficient use of resources.

5.3 Invite the stakeholders

The convener must **draft a letter to the stakeholders** to request their participation:

- a) briefly describe the mapping project, the assessment process, and how the information will be used
- b) giving details of an interview or focus group – including its time, date, location, and duration. Perhaps also a list of the questions to be asked where they are available
- c) introducing the facilitator(s), describing their backgrounds and mandate
- d) promising confidentiality – this letter could double as an ‘informed consent form’

Invitations for stakeholder participation should be followed up with a phone-call from the facilitator, to confirm the interview or focus group schedule. Note that before collecting personal information or opinions from people for later use or publications, consent should ideally be obtained. Participants should understand the nature of the survey, and how any information associated with them will be reported. It is important to clearly convey terms of confidentiality regarding access to evaluation results. Participants should be informed they have the right to participate or not, and that they can withdrawal from the process at any time. Facilitators can also assure stakeholders that participating in the interview does not require them to participate in a subsequent collaborative process; that the ‘mapping’ is separate from any process which may follow.

6. Step 2: information gathering

6.1 Desktop study

Before beginning interviews or focus groups, the facilitator should collect background information on a coastal context (some of which can be provided by the convener), including anything from prepared reports on the issues, to meeting minutes, or news releases. This information should provide insights into the **history of the situation, the issues likely to be raised, relationships among stakeholders, and the language used by the different parties**, prior to beginning interviews or focus groups. Where existing ICZM initiatives are in place, they should provide much of this background information, and in

some cases may provide enough information to finish a desktop mapping exercise WITHOUT the need for interviews or focus groups. Even in such cases, it is recommended that any desktop mapping is validated by stakeholders, even as part of a focus group with a small collection of 'experts.'

6.2 Interview/focus group preparation

The facilitator must prepare a list of interview and/or focus group questions, called a semi-structured interview and focus group 'protocol.' These protocols must only be seen as a starting point, because the protocols will change over time as they are used in interviews/focus groups. In preparing these protocols the facilitator should keep in mind the three '**central research questions,**' and ensure the protocol answers all three questions:

- a) Who are the stakeholders with a stake in coastal governance in general?
- b) What are the policy issues to be considered? Is there one 'key issue' deemed more important than the others?
- c) For each policy issue, how do the stakeholders relate to each other and the issue?

As well as these three central research questions, there are a number of other possible objectives for the interviews and focus groups, as listed in 'Box 3' below.

The protocol should be guided by a small set of '**primary questions**' which are open-ended and designed to encourage interviewees to talk and tell their story about what they think is important. Such questions should be ordered logically so that the interview or focus group can flow. Under each open primary question will be a group of '**secondary questions**' designed to 'draw-out' more detail on the primary question; they also known as probing questions or prompts. All of these questions will fit within a basic structure:

- (i) Introduction/background question(s)
- (ii) The main body of questions
- (iii) Ending/sign-off question(s)

Suggested interview and focus group templates are displayed in Appendices B and C. While similar, the two question protocols are not the same. The one-on-one nature of interviews allows for more provocative questions to be asked, with the interviewee able to answer frankly in a safe 'no witness'

context. Alternatively, in a focus group, questions surrounding causes and conflict must be asked in a way that avoids sparking conflict within the focus group, and losing control of the mapping process.

Box 3: Summary of Interview/Focus Group Objectives

- Identify/clarify issues
- Improve communication
- Probe interests
- Provide venue for airing perspectives
- Identify others who should be contacted
- Describe proposed collaborative process
- Ascertain willingness to participate/buy-in
- Identify process participants
- Prepare for collaborative process (if deemed appropriate)
- Begin process of developing networks/trust
- Create momentum
- Identify potential problem issues and relationships

6.3 Taking the interview/focus group

Appendices B and C contain information on organising and taking interviews and focus groups. They are guidelines only, as there are many ways to run interviews and focus groups, with each facilitator preferring a different method.

Interviews should be undertaken in-person, and should last between one and a half and two hours, while a focus group necessarily requires a 'round table' discussion for one and a half to two and a half hours. Interviews should be taken at the interviewee's place of work/home, while focus groups need to be taken in a central and neutral location. In either case two assessors are optimal – one listens and interacts while the other takes notes – capturing the main points in the participants own language. Verbatim note-taking is unnecessary. If only one assessor is possible, they should concentrate on interacting and then type up detailed notes immediately after the close of the interview. In any case, a written summary of the highlights of the interview should be sent to each interviewee within a few days to ensure that nothing has been misunderstood. Tape recorders often make interviewees uneasy and transcribing recordings is also enormously time-consuming and costly, therefore tape recorders are not recommended.

If using interviews, key stakeholders should be interviewed last, allowing the assessor to gather more insight into the issues and dynamics at stake and gaining more experience with the interview protocol (they usually need to be edited and new questions added as the interviews proceed) and techniques.

The second round of stakeholder identification occurs during the interview/focus group when each participant is asked to suggest the names of additional people or groups with a stake in the key issue whom they felt should also be interviewed (this technique is called 'snowballing' and is often used as a technique to build on the initial diverse sample chosen by the facilitator). If a stakeholder mentions an organisation without a contact name, the assessor should contact someone at the top of the organisation and let them decide who should be interviewed. The most difficult identification is of those groups of individuals unaware of the situation at the time of the mapping but who will most likely be affected in the future.

7. Step 3 : Analysis of information

7.1 Summarising the findings

After the facilitator(s) have gathered the information through the interviews and focus groups, the next step is to **summarise the findings** by first reading through the notes and grouping responses into categories according to interest (termed 'coding' or 'triangulation'). Notes might be categorised according to the activities stakeholders are engaged in, or their sector; government, private enterprise or civil society, or both. By **reporting by category**, confidentiality of the interviewees is preserved. No ideas or opinions are attributed to specific individuals or organisations. Instead, interview findings are paraphrased and opinions and ideas are simply reported and the reasons for these opinions and ideas are captured. No indication should be made as to which opinions represent a majority or minority view – the purpose is to simply set forth the range of ideas without polarizing the debate further by reporting whose views are dominant.

Not all stakeholders in the same category will agree with each other. They may offer perspectives that, (1) reflect different points of view on the same issue, or (2) emphasise unrelated aspects of a question. Keeping this diversity in mind will allow you to, (a) capture the variety of opinion (full spectrum), and (b) capture the reasons given for an opinion (make the interests and positions understandable).

In summarising the notes it is important to arrange them in terms of how they answer the three key questions:

- a) Who are the stakeholders with a stake in coastal governance in general?

- b) What are the policy issues to be considered? Is there one 'key issue' deemed more important than the others?
- c) For each policy issue, how do the stakeholders relate to each other and the issue?

Other topics that it will be interesting to summarise notes on may include:

- d) Important issues for future discussion
- e) Information source that are used in order to formulate a judgment on the issues that are identified
- f) Development of the issues from the viewpoint of stakeholders in that category, including the historical chain of events that have led to any conflict.
- g) Proposed solutions
- h) Stakeholder amenability to compromise, or non-compromise
- i) Perceptions and reactions to the decision-making process
- j) Barriers to negotiation, mediation and consensus-based, deliberative decision-making approaches.

8. Step 4: Report writing, Feedback and Distribution

8.1 Report writing

The results of Stakeholder-Issue Mapping will mostly be used to feed and partially structure the deliberation that will take place regarding policy issues as part of a collaborative process. Nevertheless, to maximise the use of the stakeholder mapping process, it is recommended to report on the stakeholder maps. Such a report could follow the following structure:

1. Introduction
 - a. Initiation and purpose of assessment
 - b. Names of convener and assessor
 - c. How assessment was conducted
 - d. Number of people interviewed/focus group participants
 - e. Short summary of points of agreement and disagreement among parties
2. Findings
 - a. Summary of interests and concerns

3. Analysis:

- a. Map A1: Stakeholders within a specific coastal context
- b. Map X: The big issues perceived for a specific coastal context
- c. Map B: For one 'key issue,' a map of clusters of stakeholders with a stake in the issue and their interactions.
- d. Map C: A map of the inter-related dimensions and policy scenarios within one 'key issue.'
- e. Map D: Map demonstrating the position of each stakeholder cluster relative to each issue dimension, within one 'key issue.'

4. Appendices:

- a. Interview protocol

8.2 Feedback

Feedback is important to verify accuracy, fill in important gaps and hold up a mirror to extreme positions. It also acts as part of the learning process, with interviewees able to read and reflect on their own responses. It is formally requested three times during the Stakeholder-Issue Mapping process:

After each interview, a written summary of the highlights of the interview/focus group should be sent to each interviewee/participant within a week to ensure that nothing has been misunderstood

Once completed, the findings for each category of stakeholders should be sent to all interviewees/participants in that category to make sure that they see their own interests, opinions, ideas and priorities reflected in the section. Given that not all stakeholders in the same category will agree with each other on every point, the interviewees/participants should be asked to ensure that they identify their own input has been captured.

After ensuring that interviewees/participants feel that the findings accurately reflect their opinions and ideas, a DRAFT of the whole report is distributed to all interviewees/participants. The word "DRAFT" should be stamped on every page. Devise a telephone mini-interview protocol to ask for feedback (see Box 4 for a generic example) and incorporate feedback into the final draft of the Assessment. The final Assessment should be distributed to all interviewees and a wider audience if appropriate.

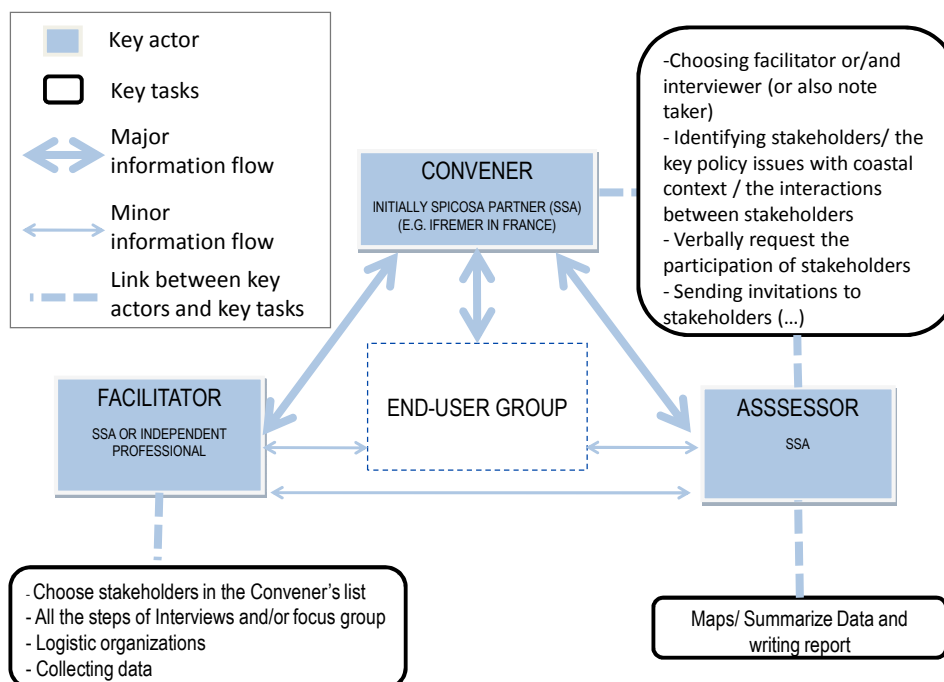
Box 4: Generic Telephone Mini-Interview Protocol: to solicit feedback on Stakeholder-Issue Mapping

We'd appreciate a few minutes of your time to hear your thoughts about the draft assessment. Before we issue a final report, we want to ensure that it accurately captures the concerns and opinions of those we interviewed. We'd also like to hear your thoughts about our recommendations.

- (1) Did the assessment accurately reflect your view of the issues surrounding the coastal zone _____?
- (2) Did we miss anything, either concerns of yours or other concerns you have heard in the debate?
- (3) What did you think about the Recommendations (can refer them to specific sections of the recommendations separately, for instance:)?
- (4) Are the issues listed those you think should be on the agenda?
- (5) Does the stakeholder representation we suggest for participation in the collaborative decision-making process reflect those who you consider to be key stakeholders?
- (6) Do you have any other comments or thoughts you would like to add?

We plan to consider your comments, along with others we receive from people we interviewed, to complete the final version of this assessment. The final version will be produced by DATE. Thanks again for your time and assistance.

The process in a nutshell:



SECTION 2: CREATING MAPS TO PLAN FOR, AND INFORM, LATER COLLABORATIVE PROCESS

Section 2 of this report contains advice on the preparation of five different ‘maps’ using the information taken from desktop studies, interviews and focus groups. These maps are just five possible ways of presenting the information to help plan and inform a later collaborative process.

This section outlines five different ‘maps’ that can be used to present the information collected as part of the ‘Stakeholder-Issue Mapping.’ These maps are just five examples of how information CAN be presented, though there are many others and ultimately it falls on the assessor of the mapping exercise to decide on the best way of displaying the information for the context, and how they plan on running any collaborative process.

This section will describe each of the maps in turn, and give a list of reasons why each of them may be a useful way of displaying the data.

9. Methods for preparing the maps

In keeping with the broad method outlined within ‘Section 1’ of this manual, there are three different options for preparing the maps detailed in ‘Section 2.’ The option chosen will depend on (a) the history of participation within the coastal context, and (b) the time and resources available for the mapping exercise. The three options include:

1. Where participation has been widespread in the past, and/or there exists an ICZM initiative, there is likely to be a significant amount of information for a stakeholder mapping, and reluctance for more participation – termed ‘consultation fatigue.’ In these cases, the maps can be prepared from a desktop study, and changed or validated within a small focus group of local experts, who are knowledgeable but not necessarily from a hugely diverse sample of stakeholders.
2. Where participation has NOT been widespread before, there will be a need to collect primary information directly from stakeholders either through focus groups or interviews, as detailed in ‘Section 1’ of this manual. Information gathered can then be used to create the maps. Where appropriate, the maps can be presented to stakeholders after the focus groups and interviews to change or validate.
3. A third option may be to organise focus groups and interviews through the method prescribed in ‘Section 1,’ though instead of asking stakeholders questions from a semi-structured protocol, the facilitator can directly lead them in the drawing of these maps. This has the advantage of

knowing that sufficient information has been collected to draw these maps, but also the disadvantage that ONLY the information needed for these maps is collected, and other useful information may be missed out because it doesn't fit into one of the maps. Semi-structured interviews and focus groups with open questions have the advantage of 'unlocking' much broader information, and as we know there are many other methods for displaying stakeholder mapping information.

10. Map A1: a classified table of all coastal and marine stakeholders in an area

10.1 Description of Map A

Map A is a matrix classifying all stakeholders according to the activity they are associated with (rows), and the sector they represent, or their role (four columns); do they represent the government, a private interest, civil society or the disorganised masses? The fourth column of 'Unorganised interests' are included for completeness, so that decision-makers remember there are a great number of stakeholders outside of organised groups. In practice, 'Unorganised groups' can be treated synonymous with 'Civil society' groups. A draft example of Map A is shown below from the SPICOSA Firth of Clyde Study Site (though only 2 of 12 activities are shown):

Sector	Public	Private	Civil Society/Community	Unorganised interests
Navigation and Communication	Ayrshire Joint Structure Plan & Transportation Committee British Waterways Crown Estate Deputy Queens Harbourmaster Lighthouse of Scotland Tarbert (Loch Fyne) Harbour Authority Strathclyde Passenger Transport Executive	Clydeport Operations Ltd Clyde Shipping Company Clydefast	British Maritime Industries Federation - Scotland	-
Living Resources	Loch Fyne District Salmon Fishery Board Forest Enterprise Scottish Executive Environment Group	Dunoon & District Angling Club Loch Fyne Oysters Ltd Loch Fyne Marine Trust Les Oman Associates Tilhill Economic Forestry	Association of Scottish Shellfish Growers Clyde Fishermans Association Federation of Sea Anglers River Clyde Fisheries Management Trust Seafish Industry Authority	Individual fishers not represented by a club

Map A: Prepared for the SPICOSA Study Site at the Firth of Clyde. Only 2 of 12 activities are shown, and the 'unorganised interests' column has been added subsequently.

While the table is fairly self-explanatory, the most unfixed aspect is the typology that is used to classify the different activities. There are a number of different typologies,, however ultimately it will be decided by the specific context of an area, and it may be that the convener invents their own typology. A rule of thumb, however, cautions against creating too many activities, because the more specific they are, the more difficult it can be to distinguish between sectors when ‘placing’ stakeholders. Related to this, the titles given to each activity row are equally unfixed.

Nevertheless the following typology may be use as a starting point:

A potential typology of activities fond in coastal areas.	
Navigation and Communication	Conservation
Strategic (in the military or geopolitical sense)	Archaeology and Cultural Heritage
Minerals and Energy	And 3 use fields related to the landward element of the coastal zone:
Living Resources	
Waste Disposal and Pollution Control	Settlement
Leisure and Recreation	Coastal Engineering
Education and Research	Manufacturing and Services

10.2 Benefits of using Map A:

- a) It provides a methodology for ‘drawing out’ the full range of stakeholders. When asking an individual (such as the convener) to list stakeholders in coastal governance, it may be more effective to systematically structure their thinking according to the table methodology
- b) It has in the past provided a more useful alternative to simply listing what may be hundreds of stakeholders in alphabetic order for example
- c) It begins to make explicit those stakeholders likely to have close ties and similar objectives for an issue

- d) It provides a systematic check to ensure there is a fully diverse and representative range of participants in a deliberative initiative, or a stakeholder mapping exercise. The convener can use a table like Map A to list ALL stakeholders, then choose diverse participants from different cells of the table for a stakeholder mapping exercise
- e) Similar to (d) above, many examples of participation processes have failed because of ill-feeling due to a failure to invite ALL stakeholders. Map A ensures all stakeholders are appropriately classified to ensure all stakeholders of a certain type (government fisheries agencies) are involved

11. Map X – a map of the ‘big issues’ within a coastal and marine setting

11.1 Description of Map X

Map X maps the interacting ‘big issues’ on the agenda in a coastal and marine setting. Big issues are those broad issue headings that summarise the main problems perceived for a particular stretch of coastline and the associated marine waters. Big issues stay at the ‘subject’ level and are not focussed on specifics. For example, one big issue in a coastal and marine setting might be ‘coastal water quality,’ but would probably not be more specifically ‘the chlorine-dosing regime of a particular factory which discharges into the coastal marine area.’ ‘Water quality’ is the big issue, that may be made up of many different dimensions, which may include the chlorine-dosing of individual discharges contributing to ‘water quality.’

Preparing Map X begins as a simple case of listing the big issues. This map, more than others, can probably be prepared quite well through a desktop study of existing material, particularly those issues that have attracted media attention. Otherwise issues can be taken from interviews or focus groups, though it is important to remember that big issues are broad headings, and be aware that stakeholders will likely list multiple different definitions for the same big issue. The skill lies in determining whether a suggested issue is indeed a new ‘big issue’ or just a dimension within a larger big issue already listed.

Having identified the big issues, there a number of different ways to use this information. Specifically:

- 1) It may be interesting for a facilitator/assessor to rank the big issues in order of importance, either collectively (from a focus group or desktop study), or more likely individually for each stakeholder. If one big issue is clearly viewed as the most important by stakeholders, it may be a good ‘key issue’ to explore with Maps B, C and D. Otherwise, the key issue will likely be chosen by the convener.

- 2) It may be interesting to map where the big issues impact on each other. This can be as simple as drawing a table with the big issues listed down the rows and along the columns. An assessor can then choose a big issue, and go along the row corresponding to that issue ticking where that issue impacts on the other big issues in some way. Following a column shows the issues impacting on a big issue. This table will help show those issues which are most 'central' to a coastal context; these are the issues which are most linked to other big issues. For example, a big issue like 'water quality' may be linked to the majority of other big issues in an area such as 'declining fish numbers,' 'habitat loss' and 'reduced coastal access.' It makes sense then that improving a central issue like 'water quality' would have positive (or possibly negative?) flow-on effects for other issues, and could be a good 'key issue' to explore.

	Water quality	Declining fish #	Habitat loss	Reduced access
Water quality	X	X	X	
Declining fish #		X	X	
Habitat loss		X	X	
Reduced access				X

Map X 'centrality table' demonstrating 'water quality' as the most central issue which impacts on other issues.

12. Map B – a map of stakeholder interactions relevant to a ‘key issue’

12.1 Description of Map B

Having identified all of the stakeholders and big issues within a certain coastal context, it is now possible to identify those stakeholders relevant to a specific ‘key issue,’ and how they interact relevant to the issue. In doing this, it is very important to have a clear statement of the key issue so that the assessor can draw clear boundaries around the issue; both spatially and in terms of the stakeholder interests affected for example. It is worthwhile spending time on drafting an ‘issue statement’ that all stakeholders agree on.

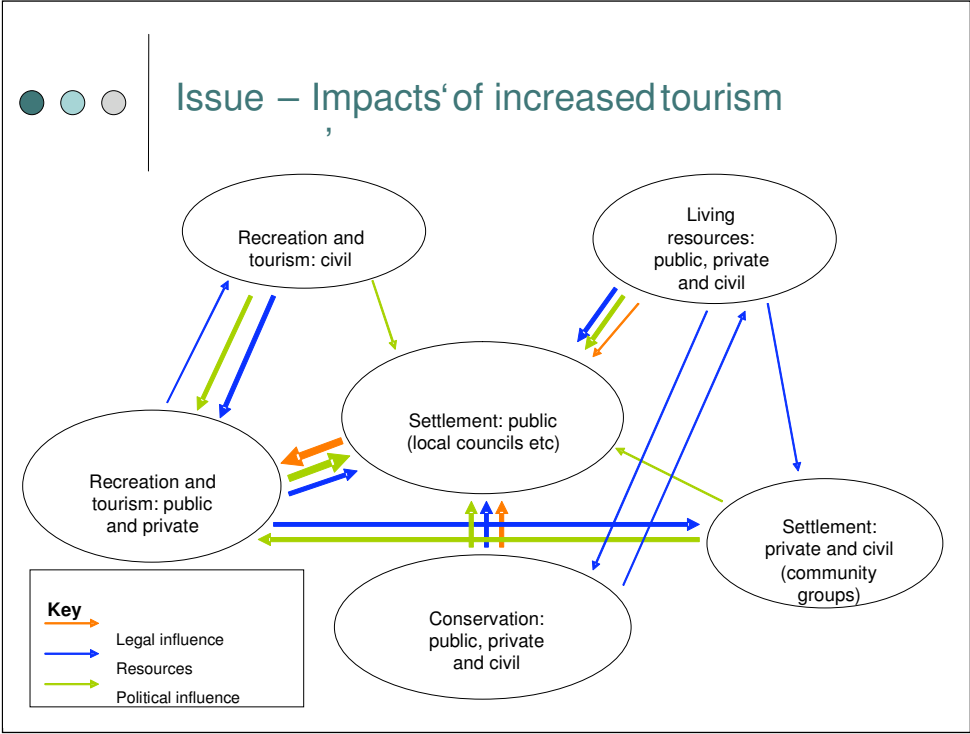
Creating Map B starts with an analysis of Map A, which classifies all stakeholders into groups according to their activity and their ‘sector.’ For the purposes of creating Map B, the stakeholders in the forth ‘Unorganised interests’ column are treated as having interests synonymous with the Civil Society column. From Map A, an assessor can define which activities are relevant to a ‘key issue,’ and therefore which rows are relevant. Therefore, if an issue affects five activities, there may be a total of 15 potential stakeholder groups (five activities x three stakeholder sectors). Please remember that Map A is just a starting point, and that a specific issue might make it necessary to split broad activity rows into smaller activities.

At this point, assessors, or the participants in a stakeholder mapping exercise, need to decide if these stakeholder groups can be clustered any further given their general views on the issue. This will be a ‘craft’ exercise, which will be specific to each issue, and much easier to those closely acquainted with the issue. It may be, for example, that all stakeholders (government, private and civil) related to a certain activity such as aquaculture or conservation, have a common view on a particular issue and can be clustered together as an entire row. Or, it may be that government fisheries agencies have a very different view on an issue than private enterprise and civil society stakeholders in fisheries. In this case a row will be split, with one stakeholder cluster of ‘government fisheries agencies’ and another cluster of ‘private and civil society fisheries groups.’

Users may cluster as they see fit, but one suggestion may be to first split stakeholder groups according to those affected by an issue (called customers for example), and those who have the authority and wherewithal to change an issue (called actors). ‘Customers’ can further be split into clusters depending on whether they ‘win or loose’ as a result of the issue.

By classifying stakeholders according to their activity, as customers and actors, and as winners and loser, an analyst is left with ‘clusters’ or groups of stakeholders that are likely to have a common

interest in an issue, and who will likely work together towards the same ends. These clusters are the first step in drawing 'Map B,' and a user might wish to stop at this point with a useful map of clusters.



Imaginary example of Map B

Having identified the clusters, it is possible to map the interactions between them, regarding the key issue only. To do this, arrows are drawn (maximum of 35 as a rule of thumb) between the clusters, coloured differently according to the different types of interaction. Any interactions that are interesting to the assessor can be mapped, but we recommend mapping three different types of interaction:

- a) Legal influence (a legal mandate to govern – laws and rules)
- b) Political influence (lobbying)
- c) Resources (ranging from information, to funds, to goods and services)

These arrows can be weighted to show the significance of any interaction; a simple scale could be used with three types of arrow of increasing fatness related to low, medium or high significance for example. Again a user may wish to stop at this point with a map of interacting clusters.

Finally, clusters themselves can be weighted according to the 'power' held by the individual clusters, with more powerful groups designated by thicker borders for example; again a scale of three increasingly fat borders could be used. Power can come from many sources, including those clusters that command a significant legal mandate, have a significant amount of information, or wield significant financial resources for example. Experience has found this 'power weighting' to be the most difficult task, and potentially the cause of conflict if the map is presented to a group of stakeholders. While making power explicit is an important and useful task, users should think about the intended use of the maps before they complete this last step.

12.2 Benefits of using Map B

- a) first and foremost, to give TRANSPARENCY to the issue
- b) to ensure that any collaborative process or deliberation has a representative membership by involving at least one stakeholder from each cluster
- c) to provide a robust defence for any agency organising a deliberative process, against any charges that they were frivolous in choosing participants
- d) to help design any focus groups or other collaborative process by recognising the interactions between clusters
- e) to inform a deliberation by allowing stakeholders to view their own interactions within the context of other interactions and power imbalances
- f) to help pinpoint possible causes of issues, or identify points for intervention. For example, some particular interactions may be seen as causes of an issue

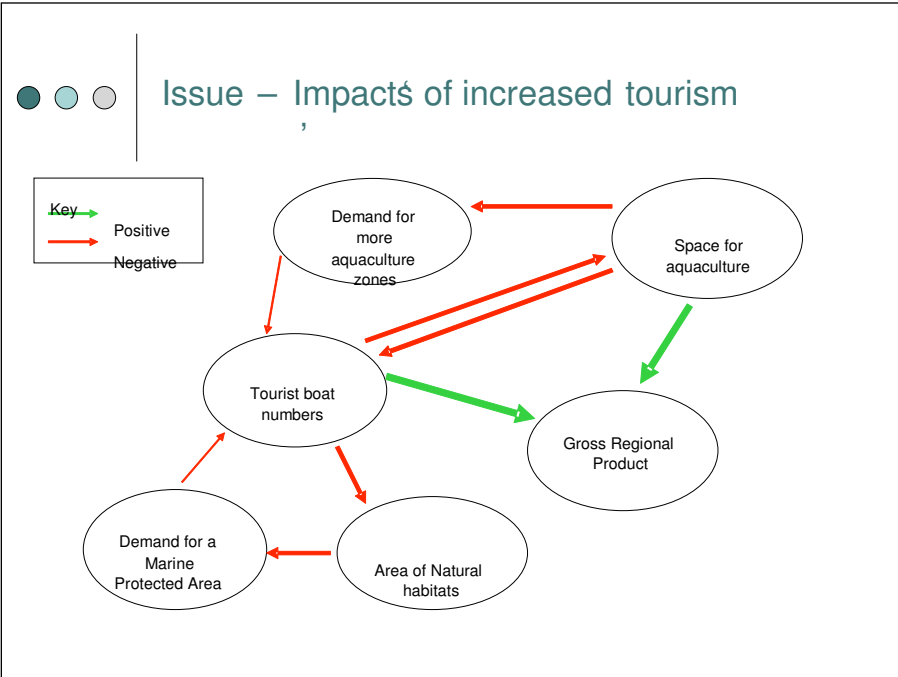
13. Map C – the interacting dimensions of a 'key issue'

13.1 Description of Map C

Map C attempts to unpack the perceived dimensions of an issue, and the policy options tied up with an issue. It is important to recognise that there will often be a multitude of different inter-related facets (here termed dimensions) and policy options to an issue, which will be more or less important depending on the viewpoint of the different stakeholders. Map C goes beyond simply identifying these different dimensions and policy options, and shows that they are in fact linked by both negative and positive relationships. It is through these relationships that stakeholders make sense of the wider issue.

Work on Map C begins by identifying all of the different dimensions to an issue, and the related policy options. This can be done through a desktop study of the issue, or more effectively through a brainstorming exercise as part of an interview or focus group, making note of as many ideas as possible. Often this will result in a huge list of variables, which needs to be condensed down to a more manageable list, preferably of less than 20 as a rule of thumb. It is important that dimensions and policy options are written so that it makes sense that they can increase and decrease.

Relationships between dimensions are either defined as positive or negative, in the graphical sense. Therefore, if when one variable increases so does another, or if they both decrease together, then this is a positive relationship. Alternatively, if when one variable increases another decreases, and vice versa, then this is a negative relationship. Distinction between the relationships can be indicated by different coloured arrows, or different styled arrows (positive relationships a solid arrow, and negative relationships a dashed arrow for example). As for Map B, the significance of the relationship can be indicated by the thickness of the arrow. As a rule of thumb a diagram should aim to identify only the 35 most important relationships, to avoid them becoming too cluttered and complicated.



Imaginary example of Map C

Maps should be drawn in a form that represents the information in the clearest manner (with closely linked dimensions and policy scenarios clustered together on the page for example).

13.2 Benefits of using Map C

- a) It allows an appreciation for the larger issue in its entirety. All dimensions and policy options, and their interactions, are summarised in one place and in a uniform manner. Incommensurable dimensions and relationships are able to be shown on the same map. It needs to be emphasised that the map provides a summary-only coverage of the perceived issue as a basis to spur more in-depth discussion on individual dimensions or relationships
- b) Positive AND negative relationships are identified; it is not solely a focus on negatives
- c) Stakeholders are able to understand the issue from alternative viewpoints
- d) Interactions with significant uncertainty are identified which can then be the focus of a scientific enquiry
- e) Organisers can design a collaborative process which focuses on certain dimensions or interactions
- f) Causality within the issue is made clear. A change in one dimension of the issue is shown to impact on other dimensions, which in turn have impacts on other variables, and so on. This allows a holistic focus
- g) By analysing maps created by different stakeholder clusters, assessors can appreciate the different perceived relationships and dimensions and any conflict that this may show

14. Map D – a table demonstrating the position of each stakeholder cluster relative to each issue dimension

14.1 Description of Map D

The fourth map is another table, which ties together Maps B and C. It is table that demonstrates the views of stakeholder clusters from Map B (columns) relative to the dimensions and policy options of an issue from Map C (rows). Opinions of stakeholders are registered as whole numbers on a scale of -2 to +2, with negative numbers indicating disagreement, positive numbers agreement, and 0 being absolute indifference. By comparing stakeholder clusters opinions for each dimension and policy option, stakeholders are able to clearly see the areas of potential conflict and agreement within a deliberation, and perhaps more pertinently, conveners of a later deliberation are able to design the collaborative processes to avoid conflict. Therefore Map D makes explicit the conflict that is more implicit in the previous two maps. Another complimentary method for identifying conflicting views of an issue would be

to compare the different Map C created by different stakeholder clusters to see where they have different opinions on the dimensions, policy options and relationships of the key issue.

While Map D is fairly self explanatory, one point does need to be noted. Most dimensions and policy options as they appear on Map C may not make sense in terms of stakeholders registering an opinion or viewpoint. For example, for a dimension like ‘water quality,’ it is hard to understand what someone may mean by ‘I strongly agree with water quality.’ It will therefore be necessary to first turn dimensions into normative or moral statements before they are added to the table. To use the ‘water quality’ example, a statement could be crafted such as “It is important to improve water quality.”

D) Example - ‘Impacts of increased tourism’

Stakeholders Dimensions	Rec and tourism: public and private	Rec and tourism: civil	Settlement: public	Living resources: public, private, civil	Conservation: public, private, civil	Settlement private and civil
Increased tourism can only be good for the region	+2	-1	0	-1	-1	+2
Habitats should be left pristine from human effects	-1	-1	-1	-2	+2	-1
The harbour should be covered by increased aquaculture zones	-2	-1	0	+2	+1	-1
The most important concern is to increase regional income, and the flow-on effects.	+1	-1	+1	+2	-1	+1

Example of Map D – from the power-point presentation to Firth of Clyde stakeholders

14.2 Reasons for using Map D

There are a number of reasons for Map D, though the underlying reason is to make explicit any conflict within an issue. While comparing the different Map C’s, an assessor might be able to look at conflict over the relationships, Map D shows conflict surrounding the dimensions and policy scenarios. Map D is also:

- a) a useful conflict resolution tool by making conflict explicit so that it can be addressed

- b) useful in the design of a collaboration process to ensure focus groups are designed to encourage deliberation rather than outright conflict. Where views are completely contrasting, deliberation might not be inappropriate.
- c) useful to find areas of agreement between certain stakeholders, or all stakeholders as a group. Areas of agreement can be used as a common ground to start a deliberation.

SECTION 3 LESSONS LEARNT

Section 3, more than the rest of the manual, is a living document. It discusses some of the different uses of Stakeholder-Issue Mapping at the many study sites within the SPICOSA Project, and the lessons that were taken from these case studies. The section will be up-datable as more case studies come to light, with each case study split into different boxes representing each study site.

15. Lessons learnt from Stakeholder-Issue Mapping within the SPICOSA Project

Example 1: What is SPICOSA?

The SPICOSA project is an EU Integrated Project to 'create a self-evolving, operational framework for delivering prognostic assessments of policy options for the sustainable management of coastal zones.' To this end, 54 partners from 21 countries have combined to produce a Systems Approach Framework (SAF), and other tools, to apply a 'systems approach' to coastal zone science. In this way, the SAF will guide European coastal policy-makers by providing them with means to understand the effects of their policies.

Effectively, the focus is on informing policy with science for the promotion of Integrated Coastal Zone Management. Key to this science-policy interface is improving the ability for stakeholders to talk to each other, and deliberate over the issues. Stakeholder-Issue Mapping is a vital part to planning and informing any deliberation.

The tools developed by SPICOSA are tested at 18 different Study Sites across Europe, each with their own identified 'key issue.'

Example 2: Firth of Clyde Study Site

The Firth of Clyde is located on the west coast of Scotland, seaward of Glasgow. The Firth extends from the upper tidal limit of the River Clyde, in Glasgow city centre, to the outer Firth in Argyll and Ayrshire, and includes a number of deep sea lochs.

The Firth thus supports a wide range of habitats, and two Special Protected Areas. While traditionally the focus of heavy industry, the Firth today focuses more on fisheries, aquaculture and tourism/leisure activities.

Effective spatial planning for these conflicting activities has been an objective of two existing ICZM projects in the Clyde: (a) The SSMEI Clyde Pilot and (b) The Firth of Clyde Forum.

To this end, the Study Site's 'key issue' was; "A 50% increase in marine leisure activities within the Firth of Clyde by 2013"

Example 3: Pertuis Charentais Study Site

The Pertuis Charentais is located to the north of the Gironde estuary half-way along the French Atlantic coast between the Brittany and Basque countries in the region of Poitou-Charentes. This region contains four departments : Charente, Charente-Maritime, Deux-Sèvres, Vienne. Just the department Charente-Maritime is located on the coast.

The Pertuis Charentais Sea includes the Bay of Marennes –Oleron, the main shell-fish area of France, the Aiguillon Cove, known to be the birthplace of modern mussel farming, and the three islands of Re, Oleron and Aix. The Pertuis Charentais Sea is delimited by the Charente Estuary on its eastern side and by the Ile de Re and the Ile de Oleron and on the Western side. These two islands protect all eastern continental shores from the direct influence of the open ocean, which is connected to the Pertuis Charentais Sea by three narrow sounds; termed 'pertuis.' These geographical features explain the diversity of marine habitats.

These include intertidal bare mudflats, sandy mudflats with *Zostera noltii* beds, exposed sandy beach, exposed rocky shores to typical cultivated oyster bed or mussel pools locally called " bouchot ". (Ifremer, April 2008).

The economic activities in Charente-Maritime are founded on several areas of which tourism, maritime activities, agriculture and viticulture (Cognac, Pineau des Charentes) are the most important.

In consultation with the stakeholders the key issue that was facing the Pertuis Charentais was found to be particularly : "Sharing the water of the Charente and its impact on the littoral zone of Pertuis Charentais."

Example 4: Conveners, end-users, assessors and facilitators

The SPICOSA partners responsible for each Study Site were initially the '**conveners.**' However, the SPICOSA project required that each study site identified 6-12 core '**end-users**' (those stakeholders with an interest in ICZM, which would use the SPICOSA tools once the project was finished) to follow the project through each of its steps to fruition. Ideally, the end-user groups became the conveners, and were guided in this duty by the SPICOSA Study Site partners. It was strongly recommended that each study site invest in hiring a professional '**facilitator**' but SPICOSA Study Site partners retained the role of '**assessor.**'

Example 5: Identifying stakeholders

The SPICOSA project advocated a systematic identification of stakeholders according to a table of activities and sectors stakeholders represent (government, private sector or civil society)(see Section 2: Map A). Systematic methods like these make it easier for conveners and other stakeholders to list the many stakeholders with an interest in coastal issues, and begin grouping stakeholders likely to have common goals. Diversity is ensured by taking stakeholders from a range of different cells on the table.

Example 6: Using established ICZM initiatives

The Firth of Clyde Study Site is the focus of the Firth of Clyde Forum. The Forum is a voluntary partnership established to promote integrated approaches to sustainably managing resources, and has a broad and diverse membership of stakeholders. The Firth of Clyde Forum was founded in 1994, as a non-statutory initiative, and has the objective of producing a Clyde Management Strategy. In identifying stakeholders for the purposes of Stakeholder-Issue Mapping (and particularly Map A – see Section 2), the Study Site used the Forum membership. Given the ‘consultation fatigue’ felt by Clyde stakeholders, a focus group with experts knowledgeable of the issues under the existing ICZM initiatives was chosen as an alternative to interviews. Experts were ‘chosen’ according to those willing to participate.

Example 7: Interviews or focus group?

Why interviews instead a focus group? It depends on the local context and the history of ICZM. For instance, in the context of the Pertuis Charentais Study Site, the conveners thought that it was too early to have stakeholders around a table as part of a focus group. The better choice was here to lead interviews. Finally, the conveners and end users group decided to select fifteen institutional actors to interview individually.

Example 8: Confidentiality and the independence of the facilitator/assessor

Confidentiality and independence are very important because it is one of the keys of success to maintain a relationship of trust with the interviewees. For instance, in the Pertuis Charentais Study Site, during the phase of data validation, an actor threatened to compromise the project because they doubted the interview's confidentiality and particularly the confidentiality with the convener. This case shows that the interview protocol must be described in terms of a legal framework to strengthen the robustness of the process and to clarify for the interviewee that the whole interview process "is affected by a seal of confidentiality". It was important for the Study Sites to have an ethics protocol allowing enough time to avoid a political crisis.

Example 9: Stakeholder-Issue Mapping via Desktop Study

The Firth of Clyde Study Site is already the focus of two extensive ICZM initiatives which have involved wide-ranging stakeholder participation, and furnished significant information on the 'big issues' facing the Clyde. Using this information, the Study Site partners were able to assemble a significant amount of the information needed for Stakeholder-Issue Mapping, as an alternative to engaging stakeholders in interviews. Information was built into maps for the 'key issue' (as prescribed in Section 2 of this manual).

The Study Site used a small group of experts/coastal managers familiar with the issue through the existing ICZM initiatives to validate the maps. First the expert group was given a short (45 minute) presentation on the 'mapping techniques.' They were then individually emailed the maps to change as they saw fit, and validate. The participants emailed back the amended maps within two weeks and reported spending between 45 - 120 minutes reviewing the maps.

Example 10: When significant ICZM knowledge loses potency

In some cases it may be that there is a significant pool of ICZM knowledge in an area, but that it is not accessible to stakeholders. For the Pertuis Charentais Study Site, there are many different environmental organisations but unfortunately they are not known by stakeholders. For instance, the O.R.E. (Regional Environmental Observatory) Poitou-Charentes was created at the initiative of the State Council and Regional Associations of environmental protection to ensure general interest missions related to public information and assistance to environmental decision-making. It is an organisation in Poitou-Charentes which manages, centralises and streams information about the environment in Poitou-Charentes. This example highlighted a lack of information sharing. This point was raised by the stakeholders themselves during interviews.

Example 11: Pertuis Charentais Interview Protocol outline

- 1) Presentation of the SPICOSA Project
- 2) The goals of the interview including the collection of relevant information for creating the maps in Section 2 of this manual.
- 3) Recall the protocol ethic
- 4)
 - A) Presentation of the actor and their role
 - B) Identification of the 'key issue'
 - C) Dimensions and scenarios for the key issue
 - D) Relationships between actors within the key issue relevant to legal influence, political influence or resources.

It was at times difficult to collect information for section 4(D).

Example 12: Reporting back to interviewees

For the Pertuis Charentais Study Site interviewers forecast a half-day to a day to prepare a transcript of the interview and a half-day to read over it. It is best to space these two tasks in order to have the necessary proofing for the results. Transcripts will then be sent by email to the interviewees in order to validate the data from the interview. If possible, it would be best to have the transcript text read by another member of the facilitation team before sending to the actors. In this case, it was not possible to send for the first interviews.

Example 13: Understanding the timeframes for interviews

Interviews for the Pertuis Charentais Study Site were timed and designed in order to meet deadlines set by the convener for Pertuis Charentais. Therefore, in this case a few key actors (actors identified as being "charismatic", with experience in the field, important politicians...) were encountered for the first interviews. Indeed, at the beginning, the complete list of stakeholders to interview hadn't yet been completely validated by the Convener. French municipal elections (9 and 16 March 2008) also had to be taken into account because some people didn't seem able to express themselves during this period. However, this element was not a significant problem to leading the interviews during this period.

Example 14 – Preparing the maps for SPICOSA Study Sites

Maps were created for the Firth of Clyde Study Site exactly in accordance with the 'first option,' given the ample information available for a desktop study and the 'consultation fatigue' felt there.

Maps were created for the Pertuis Charentais Study Site in accordance with the second option, because there was not a history of participation in that region. Information was collected through semi-structured interview protocols, and converted into maps.

Example 15: Creating Map A (see Appendix 4)

Map A was initially created for the Firth of Clyde Study Site using the list of members within the Firth of Clyde Forum. This list was further added-to and validated by a small group of experts, who ensured that while the list may have omitted a few stakeholders overall, all stakeholders associated with the 'key issue' were listed. The comment was made that tables like Map A were 'living documents' as "such lists continuously grow and is very much dependant upon what you are doing" (the issue addressed). The stakeholders (experts) were satisfied Map A would be of use to planning collaborative processes and generally agreed with the activity typology used.

One key lesson was to classify stakeholders according to their function, rather than their legal status (many organisations representing the public are registered as limited liability companies).

Example 16: 'Big Issues' from SPICOSA Study Sites reporting (SPICOSA Description of Work document)

Nutrient reduction

Water quality

Pollution and impacts

Impacts of land activities

Urban development

Flooding

Employment

Impacts of harbor expansion, dredging

Waste site location

Spatial planning including siting of military, fin-fisheries, shellfisheries, tourism and recreation uses in estuary

Tourism management

Impacts of upstream activities

Erosion

Loss of habitats

6 of the study sites listed 'conflict resolution' as their issue focus

As the SPICOSA Study Sites had already defined their 'key issues,' there was no need to build a Map X.

Example 18: Creating Map C (see Appendix F)

To create Map C for the Firth of Clyde Study Site, a small group of experts were given a short presentation on the mapping technique then individually emailed a completed Map C to change and validate.

Map C was drawn both according to information collected from a desktop study, and from dimensions listed in a quick brainstorming session with the experts. A condensed list of 15 dimensions and policy scenarios were drawn in a circle and the 33 most important relationships added, as determined by the desktop analyst. All participants' responses were mapped on an aggregate Map C, though there were just three relationships added. Finally, the aggregate map was re-drawn to be more 'user-friendly' and show more clearly the patterns and relationships. Drawing a more user-friendly map was not an easy task, and involved a number of iterations.

Stakeholders felt Map C had potential to greatly aid a collaborative process, but thought that weighting the arrows was too contentious and subjective, and that Map C would be just as useful 'unweighted.'

Finally, Map C will necessarily always appear quite complex. While mapped on a large whiteboard in a focus group it may appear clear, it can lose clarity when recorded on a computer screen. It might be necessary to use software specific to such exercises to create clear electronic Map C.

Example 17: Creating Map B (see Appendix E)

To create Map B for the Firth of Clyde Study Site, a small group of experts were given a short presentation on the mapping technique then individually emailed a partially completed Map B to finish.

A desktop analysis identified eight relevant stakeholder clusters. The analysis determined which activities were relevant from Map A; though split living resources into fishers and aquaculturalists given their differing views on the key issue. The desktop analysis also classified clusters according to 'customers' who stood to lose and gain, and 'actors' who had responsibility for implementing policy actions. These clusters occasionally split activity rows. The clusters were drawn in a circle with only two or three indicatory arrows, and an aggregate map drawn, also in a circular fashion, using the responses of all three participants. One cluster split and a total of 36 interactions were suggested, which were all added on the aggregate map. Finally, the map was re-drawn to more clearly illustrate the data. One stakeholder suggested including examples of those within clusters on the map, to remind users who clusters represent, or adding the ability to 'unpack' clusters.

Stakeholders felt Map B had more potential for planning a collaborative exercise, and may be too inflammatory to display in front of stakeholders. It was likewise felt that weighting clusters or interactions was too subjective and for their exercise they would stop at identifying clusters and their interactions.

Example 19: Lessons learnt from the Firth of Clyde Study Site

The process used in the Firth of Clyde was confirmed as an efficient and effective method of Stakeholder-Issue Mapping where information and existing participation is bountiful.

The most significant criticism of the Firth of Clyde process was the 'homework' approach of individually sending maps to stakeholders to change and validate. While an efficient method in terms of time and resources, it did not allow stakeholders to (a) interact, share information and debate, and (b) was confusing viewing the complex maps for the first time on a computer screen. All stakeholders reported that they would have preferred to review the maps as a group, with the maps drawn large on a whiteboard for example. By filling out the maps individually, stakeholders; were less likely to understand their role in changing the maps, took longer to understand the maps presented to them, were less likely to spend as much time on the maps, and were thus more likely to simply agree with the draft map presented.

A second criticism may be of having stakeholders change/validate pre-drawn maps. There is a tendency for stakeholders to view a pre-drawn diagram as complete and, unless it is grossly false, simply accept it rather than change it. This can be seen in the Clyde where Map C was 'completed' beforehand and barely changed, whereas Map B was only half completed and attracted significant changes. The skill is finding a balance between a blank piece of paper which may cause equally blank looks from stakeholders, or over-completing the maps so they are simply accepted.

Lastly, there was found a need to use software designed specifically for maps like Map B and C. This software does exist in different forms

Example 20 : Lessons learnt from the Pertuis Charentais Study Site

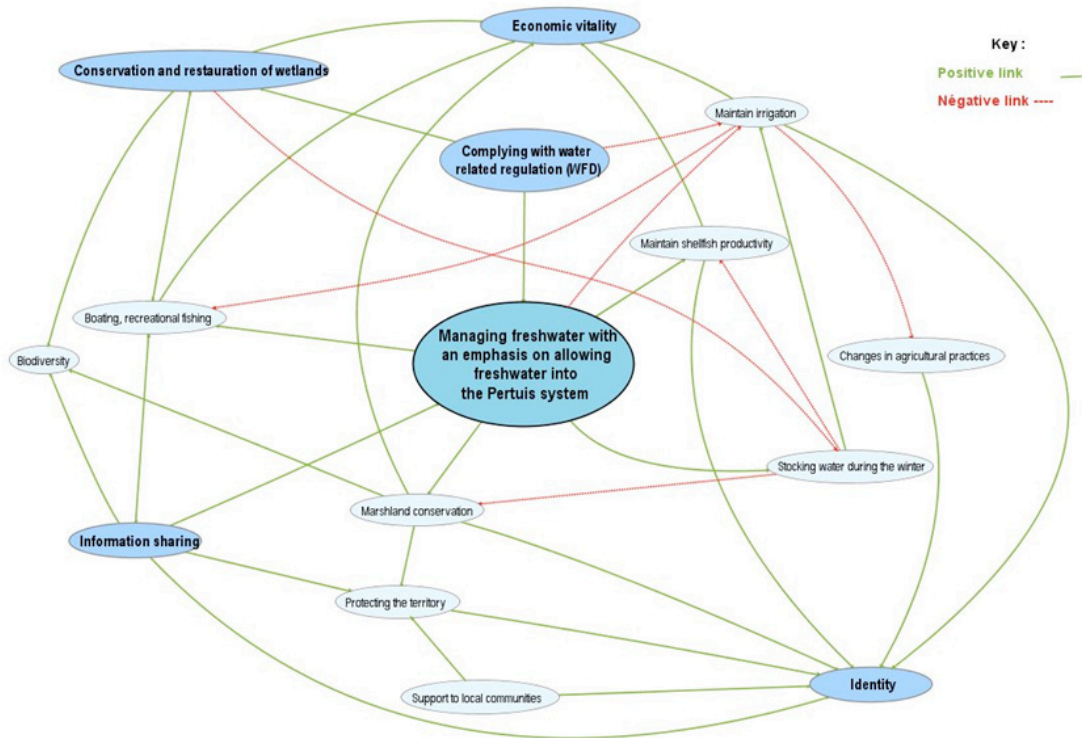
The process used in the Pertuis Charentais Study Site turned out to be quite challenging. High political stakes around the key issue and the extremely busy schedule of the end-user group members caused quite important delays.

A first lesson that was learned from the Pertuis Charentais study site lies in the necessity to convey the usefulness of the stakeholder mapping exercise and of the interview based data collection mechanism. This was not sufficiently conveyed to the participants who therefore did not feel as compelled to participate actively as was hoped for. Solution to this issue may lie in an initial presentation of “straw-maps” either coming from other sites, or resulting from an initial desktop study.

Many interviewees felt that the interviewer should have been conducting field visits as part of the interview preparation process. They felt that this would have helped building the stakeholders’ trust in the process through the integration of the local context into the interview protocol (to understand the hidden interests and real interests of the research subjects).

Finally a key challenge, that may be culturally rooted in France, is that interviewees did not grasp the fact that the interview process was confidential. This led regularly to a “two level” conversation switching back and forth from the “official truth” to the “real truth” and subsequent requests to make the real truth disappear from the interview results. A greater emphasis on the ethics protocol that is recommended could have helped here.

Example 21 : Issue Map (Map C) for the Pertuis Charentais



Appendix A: Links to sources on running a mapping exercise

Sources of Additional, In-depth Information (Shmueli, 2003,
http://www.beyondintractability.org/m/conflict_assessment.jsp)

Additional Explanations and Tools for Mapping Conflict:

Online (Web) Sources

Solomon, Hussein. *Analysing Conflicts.*

Available at: [http://www.conflict-](http://www.conflict-prevention.net/page.php?id=45&formid=72&action=show&articleid=114)

[prevention.net/page.php?id=45&formid=72&action=show&articleid=114.](http://www.conflict-prevention.net/page.php?id=45&formid=72&action=show&articleid=114)

The purpose of this article is to provide a brief overview of steps towards effective conflict analysis. The author explains some aspects of the methodology employed by ACCORD's Early Warning System in its analysis of conflicts and potential conflicts.

Conflict Assessment.

Available at: [http://spot.colorado.edu/~wehr/40GD1.HTM.](http://spot.colorado.edu/~wehr/40GD1.HTM)

This page outlines two different models for conflict assessment in a step-by-step, how-to format. They are Wehr's Conflict Mapping technique and the Hocker-Wilmot Conflict Assessment Guide. Both models stress open-ended, participant-based data as the path to specifying and understanding conflict processes.

McKearnan, Sarah. *Conflict Assessment: A Preliminary Step That Enhances Chance of Success.*

Available at: [http://www.mediate.com/articles/assessment.cfm.](http://www.mediate.com/articles/assessment.cfm)

Whether it is called "conflict assessment," "situation assessment," or a "convening report," practitioners agree they should start work on a case by conducting a series of interviews with the parties, then preparing a recommendation about what kind of process, if any, should be undertaken. Doing an initial assessment dramatically increases the chances that a consensus-building process will succeed. Not doing one invites disaster. This article discusses the different methods used to conduct this initial assessment and why the process is so important.

Verstegen, Suzanne. *Conflict Prognostication: Towards a Tentative Framework for Conflict Assessment.*

Available at:

http://www.clingendael.nl/publications/1999/19990900_cru_paper_verstegen.pdf

"The objective of this study on conflict prognostication is the development of a framework for standardized early warning (conflict assessment) analysis to help structure the usual reporting from desk officers and field personnel, in order to enhance the capacity to identify and prioritize options for operational responses." - From Article

Convening Questions.

Available at: [http://www.resolv.org/articles/t_questions.htm.](http://www.resolv.org/articles/t_questions.htm)

This article discusses the feasibility assessment process that most neutrals employ before beginning a negotiation. This process helps the neutral structure of the negotiations in the most efficient, effective way.

Offline (Print) Sources (Shmueli, 2003,
http://www.beyondintractability.org/m/conflict_assessment.jsp)

Carpenter, Susan L. and W. J. D. Kennedy. 1988. *Analyzing the Conflict*. In Managing Public Disputes, John Wiley & Sons.

This chapter outlines the steps necessary to properly analyze a public policy dispute. The authors lay out three key steps: preliminary review, collecting information, and assessing information. All of these steps are aimed at gaining a thorough understanding of the conflict at hand.

Moore, Christopher W. 1986. *Collecting and Analyzing Background Information*. In The Mediation Process: Practical Strategies for Resolving Conflict, San Francisco: Jossey-Bass..

This chapter of *The Mediation Process*, discusses steps a mediator should take in order to get a strong handle on the conflict situation prior to developing a mediation plan and engaging the parties. The chapter focuses on the processes of data collection and analysis, or the integration and interpretation of data. [Click here for more info.](#)

Thomas-Larmer, Jennifer and Lawrence Susskind. 1999. *Conducting a Conflict Assessment*. In The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement. Edited by McKearnan, Sarah, Jennifer Thomas-Larmer and Lawrence Susskind, eds. Thousand Oaks, CA: Sage Publications.

This informative chapter provides a detailed discussion of what exactly is involved in the process of conflict assessment. Section one covers conflict assessments in general. The second section offers prescriptive advice on how to carry out assessments. Section three discusses some of the debates surrounding the practice of conflict assessment. Finally, the fourth section considers the likely future of conflict assessment and the field of dispute resolution.

Hocker, Joyce and William Wilmot, 1985. *Conflict Assessment*. In Interpersonal Conflict, 2nd Edition. Edited by Hocker, Joyce and William Wilmot, eds. Dubuque, Iowa: William C. Brown Publishers.

The authors describe ways of assessing conflict and identifying conflict patterns. A full assessment will describe the workings of the overall conflict system, identify recurring patterns within the conflict, and identify individuals' contributions to the conflict system. [Click here for more info.](#)

Wehr, Paul. Conflict Regulation. Westview Press: Boulder, CO, 1979.

This work presents a general framework for analyzing and understanding conflict. This early work in the field of conflict resolution explains the basics of conflict mapping at the micro and macro levels. It also includes case studies of "self-limiting" conflict and discusses the emergence of alternative dispute resolution processes in solving environmental conflicts in Colorado mountain communities.

McCreary, Scott, John Gammon, Bennett Brooks, Lisa Whitman, Rebecca Bryson, Boyd Fuller, Austin McInerney, Robin Glazer, 2001. "Applying a Mediated Negotiation Framework to Integrated Coastal Zone Management", *Coastal Management* 29(3): 183-216. The article examines how coastal managers apply conflict resolution processes in the coastal zone management context. A structured mediation model involving face-to-face negotiation with a broad range of stakeholders to build consensus-based agreements for integrated coastal zone management is presented. It demonstrates the various elements of a stepwise agreement model based on four principles: representation, participation, legitimacy, and accountability. Three tools used in this process are described: stakeholder analysis, joint factfinding, and single-text negotiation. Implementation in two of the San Francisco estuary and its tributaries is presented.

Appendix B: Interview guidelines and protocol

Interview guidelines

Interviews are a more conventional method of surveying participants on topics such as those covered by stakeholder mapping. They are the preferred option for relatively small scale case studies, with few stakeholders, and relatively small distances to travel. It necessarily involves one-on-one, face-to-face contact between an interviewer and an interviewee, and allows for an in-depth discussion of the interviewees opinions. While it is ideal to have both an interviewer AND a note-taker, an interview can be undertaken with just one neutral interviewer who meets with the stakeholders for between one and two hours. An interviewer can go into 'provocative questions in an interview, without fear of causing conflict and losing control, as may occur in a focus group.

It is important that the interview protocol is revised as interviews are undertaken, so as to edit and supplement questions to fill gaps in knowledge.

Advantages	Challenges
<ul style="list-style-type: none">• get full range and depth of information• develops relationship with interviewee, and can seek clarification• can be flexible with interviewee• sense of safety for the interviewee in a 'no witness' context.• openness of the process that allows for the collection of unexpected data	<ul style="list-style-type: none">• can take a long time• can be hard to analyse and compare• can be costly• interviewer can bias client's responses• interviewer can bias interviewees responses

Timeline to organise interviews (envisage around 6 weeks)

Activity	Content	Date
Identify the major objective of interview (Convener)	Define a clear objective and articulate it: Identify: a) the stakeholders within a coastal context b) the key policy issues within a coastal context c) the interactions between stakeholders, including the governance bodies, as they relate to each policy issue.	6 weeks before the meeting
Choose a facilitator/interviewer (and perhaps also a note-taker) (Convener)	The interviewer's role is to engage the interviewee in dialogue, taking care not to take a position. Their role is to ask questions, and prompt the interviewee to elicit as much information as possible for each question. They should be both perceived as completely neutral, and also knowledgeable of coastal issues. The choice of interviewer is closely linked with the choice of who will undertake the later analysis and stakeholder mapping. In an interview, the interviewer may also be the note-taker. However, it is also possible to use a note-taker, thereby freeing up the interviewer to concentrate on the dialogue. The note-taker is not actively involved in the dialogue. They are responsible for taking note of the responses from the participants. The note-taker should be knowledgeable of the coastal issues within the specific stretch of coastline, and briefed on which information to collect.	6 weeks before
Identify the interviewees (Facilitator)	According to their function, position in the structure, and in the society.	6 weeks before
Confirm the protocol of questions for the interviewee. (Facilitator)	A suggested protocol is listed below.	4 weeks before
Develop a plan for the conduct of interview (Facilitator)	Between one and a half and two hours	4 weeks before

	<p>Paper and a pen, for the interviewee to jot notes.</p> <p>Plan recommended</p> <ol style="list-style-type: none"> 1. Introduction : 5 mn (the background and objectives of the project SPICOSA, the conduct of the present interview. Explain the purpose of the interview. 2. Ask questions and the discussion: 40mn 3. Closing the interview : 5 mn (thank the interviewee, give them information on the use of data collected. Inform them you will send them a summary report of the focus group) <p>Make any notes on your written notes, e.g., to clarify any scratchings, ensure pages are numbered, fill out any notes that don't make sense.</p>	
Verbally request the participation of stakeholders (Convener)	Before posting invitations to stakeholders it may be a good idea for the convener to contact the stakeholders for an informal talk about the mapping exercise.	4 weeks before
Send invitations to the interviewees (Convener)	The invitation can double as the 'informed written consent' form. It should suggest a scheduled time, date and place for the interview. Interviews are usually held at the place of work, or home of the interviewee. The invitation should also introduce the facilitator/interviewer.	4 weeks before
Reminding interviewees over the phone or by direct contact – follow-up to the invitation. (Facilitator)	This may involve a re-schedule of the interview.	2 weeks before
Logistic organisation (Facilitator)	Paper board and felt pens, refreshments or beverages, paper and pens for the note-taker.	1 week

<p>Reminding interviewees (Facilitator)</p>		<p>2 days before</p>
<p>Run the interview (Facilitator)</p>	<p>The following communication strategy should be followed:</p> <ol style="list-style-type: none"> 1) Get the respondents involved in the interview as soon possible. 2) Before asking about controversial matters (such as feelings and conclusions), first ask about some facts. With this approach, respondents can more easily engage in the interview before warming up to more personal matters. 3) Intersperse fact-based questions throughout the interview to avoid long lists of fact-based questions, which tends to leave respondents disengaged. 4) Ask questions about the present before questions about the past or future. It's usually easier for them to talk about the present and then work into the past or future. 5) The last questions might be to allow respondents to provide any other information they prefer to add and their impressions of the interview. 6) Stick to the interview framework and cover all of the open questions, but don't miss important unanticipated information. 7) Repeat and summarise comments back to interviewees before noting them down. 8) Don't challenge or confront. 	

	<p>Write down any observations made during the interview.</p> <p>For example, where did the interview occur and when, was the respondent particularly nervous at any time ?</p> <p>Were there any surprises during the interview ? Did the tape recorder break ?</p>	
<p>Transcribe the notes taken during the interview</p> <p>(Facilitator and/or note-taker)</p>		<p>Immediately after interview</p>
<p>Send a letter of thanks to interviewee</p> <p>(Facilitator)</p>		<p>2 days after</p>
<p>Making a summary record of the session and posting this to all participants.</p> <p>(Facilitator)</p>		<p>1 week after</p>
<p>Analyze the collected data and write the report</p> <p>(Assessor – usually the facilitator)</p>		<p>2 weeks after</p>

Interview protocol

I. INTRODUCTION/BACKGROUND

1) **Please tell me briefly about your position and role in your organisation.**

- What is your (your organisation's) primary interest in the _____ coast and marine area?
- What other interests do you (your organisation) have?

II. BODY OF QUESTIONS

THE DIMENSIONS OF THE KEY ISSUE

2) **What are the most significant 'broad' issues facing the _____ coast and marine area at the moment?**

- I mean 'big issues' like water quality, fish shortages or coastal erosion for example.
- Which of your listed big issues is the most important to you?

3) **I would like to speak now specifically about [key issue]. What have been the effects of this issue?**

- Environmental impacts? Social impacts? Economic impacts? Political impacts?
- Which effects do you feel are the most important or significant?
- In your opinion, if nothing is done to address this issue, what do you think the future of [key issue] will be in 20 years?

4) **What have been the causes of this issue and all of its different effects?**

- Which causes do you feel are the most important or significant?

THE STAKEHOLDER INTERACTIONS WITHIN THE KEY ISSUE

5) **What has been your involvement with this [key issue]?**

- What interactions do you have with other stakeholders?
 - do you exchange money or information? : other things issue-specific (*List these*)
 - is your role influenced by others?

- Are you happy with these interactions?

6) Please describe to me in detail your vision of the best outcome of the [key issue].

- What is your rationale behind that vision?
- If you had to make some hard choices and needed to prioritize your concerns, what part of your vision would you feel most strongly about?
- Where would you potentially see room for compromise on your vision?
- What options and avenues are you exploring (did you explore) to achieve your vision? How successful have you been?

7) Who are the other key stakeholders to the [key issue]?

- What is your relationship with them? What is their relationship to each other?
- Who among the other parties has played a constructive role in the dispute? How so?
- Who among them has made the issue more difficult to resolve? How so?

THE CURRENT DECISION-MAKING SYSTEM

8) What are your views about the current process for decision-making regarding the [key issue]?

- Can you give me a few concrete examples or illustrations of how the decision-making system now in place allows you - or does NOT allow you - to meet your interests?
- How well does the system represent the interests of other stakeholders?

III. ENDING/SIGN-OFF

9) What is your vision for the coastal environment in say, 20 years?

- What are your needs from the coastal environment over the next 20 years?

10) Is there anyone else that you feel it would be very important for me to talk to about coastal governance?

- Do you have their names and contact details?
- Can you think of any unorganised 'common interests' held by individuals that are not represented by a group or spokesperson?

11) Is there anything that we have not yet covered that you think is important to the issues we have been discussing?

- 12) If, as I am looking over my notes, I have additional questions for you, could I contact you again?

Appendix C: Focus group guidelines and protocol

Focus group guidelines

Focus groups are the preferred option when there are a large number of stakeholders to survey and where the study site covers a large geographical area, because they are a much quicker and less resource-intensive method. Facilitators can gain a great deal of information over a short period, during a focus group session. Their advantages and challenges are listed below.

Basically the structure of focus groups resembles that for interviews, but includes 6-12 people in the same group, engaged in discussion for between 1.5 and 2.5 hours. Such groups are characterized by a certain level of homogeneity, and in this case stakeholders can be grouped according to their principle area of activity, or their common interest in a specific issue.

A focus group requires both a facilitator and a note-taker. The facilitator should be perceived as neutral, and have knowledge of coastal zone issues. The note-taker should be knowledgeable of the particulars for the SSA, and needs to be briefed in order to note the relevant information. It is important that the focus group protocol is revised as focus groups are undertaken, so as to edit and supplement questions to fill gaps in knowledge.

Advantages	Challenges
<ul style="list-style-type: none">• view operations of a program as they are actually occurring• can adapt to events as they occur• quick method for collecting survey data• direct interaction between the facilitator and the participants allows for the clarification of concepts• openness of the process that allows for the collection of unexpected data• group dynamics allows participants to build upon the responses of other group	<ul style="list-style-type: none">• can be hard to analyze responses• need an effective facilitator for safety and closure• can be difficult to schedule 6-12 people together

<p>members</p> <ul style="list-style-type: none"> • group dynamics allows for the validation of participants responses 	
---	--

Timeline to organise focus groups (envisage around 6 weeks)

Activity	Content	Date
<p>Identify the major objectives of the focus group (Convener)</p>	<p>Define a clear objective and articulate it: Identify:</p> <ul style="list-style-type: none"> a) the stakeholders within a coastal context b) the key policy issues within a coastal context c) the interactions between stakeholders, including the governance bodies, as they relate to each policy issue. 	<p>6 weeks before the meeting</p>
<p>Choose a facilitator and an note-taker (Convener)</p>	<p>The facilitators role is to guide the discussion in the group taking care not to take a position. Their role is to re-launch the discussion, to ask questions, and organize the group. They should be both perceived as completely neutral, and also knowledgeable of coastal issues. The choice of facilitator is closely linked with the choice of who will undertake the later analysis and stakeholder mapping.</p> <p>The note-taker is not actively involved in the discussion. They are responsible for taking note of the responses from the participants, and may be called upon to summarise a discussion topic back to the participants. The note taker should be knowledgeable of the coastal issues within the specific stretch of coastline, and briefed on which information to collect.</p>	<p>6 weeks before</p>

<p>Identify the participants (Facilitator)</p>	<p>6 at least, 12 at the most</p> <p>The best is to have 7 or 8 participants.</p> <p>Participants should be grouped according to the same or similar activities</p>	<p>6 weeks before</p>
<p>Confirm the protocol of questions for the focus group. (Facilitator)</p>	<p>A question protocol is suggested below.</p>	<p>4 weeks before</p>
<p>Develop a plan for the conduct of focus group (Facilitator)</p>	<p>Duration Advised :</p> <p>Between one and a half, and two and a half hours.</p> <p>Aim to seat participants in a circle, and supply each participant with paper and a pen, for jotting notes.</p> <p>An option may be to supply refreshments, and invite the participants to have a drink before the focus group begins. This may allow the participants to mingle beforehand.</p> <p>Plan recommended :</p> <ol style="list-style-type: none"> 1. Welcome and Introduction : 15mn (the background and objectives of the focus group, the conduct of the present focus group) 2. Ask questions and the discussion as per the protocol : 60 – 120mn 3. Closing the session : 10mn (Thank the participants and give them information on the use of data collected. Inform them you will send them a summary report of the focus group). 	<p>4 weeks before</p>

	Make any notes on your written notes, e.g., to clarify any scratchings, ensure pages are numbered, fill out any notes that don't make sense.	
Reserve the venue (Facilitator – in conjunction with Convener)	A central location, comfortable and quiet.	4 weeks before
Verbally request the participation of stakeholders (Convener)	Before posting invitations to stakeholders it may be a good idea for the convener to contact the stakeholders for an informal talk about the mapping exercise.	4 weeks before
Send invitations to the stakeholders (Convener)	The invitation can double as the 'informed written consent' form. It should state the scheduled time, date and place for the interview – being a central venue. It should introduce the facilitator.	4 weeks before
Reminding participants over the phone or by direct contact (Facilitator)		2 weeks before
Logistic organization (Facilitator)	Paper board and felt pens, refreshments or beverages, list of participants, paper and pens for all participants and the note-taker, recorder and audio cassettes.	1 week before
Reminding participants (Facilitator)		2 days before
Lead the focus group (Facilitator)	The following communication strategy should be followed : <ol style="list-style-type: none"> 1) Elicit direct conversation on a well defined topic 2) Ask for elaboration from all focus group participants 3) Request clarification 4) Repeat and summarise comments back to participants, before noting them down. 5) Don't challenge or confront 6) When you fail to see the relationship between the 	

	<p>conversation, and the answer requested, ask for clarification, or request to stick to the focus group framework.</p> <p>7) It may be advisable to record the interview to augment any written notes afterwards.</p>	
<p>Send a letter of thanks to participants (Facilitator)</p>		2 days after
<p>Transcribe the notes taken during the focus group (Facilitator and note-taker)</p>		3 days after
<p>Making a summary record of the session and posting this to all participants. (Facilitator)</p>		1 week after
<p>Analyse the collected data and write the report (Assessor – usually the Facilitator)</p>		2 weeks after

Focus group protocol

I. INTRODUCTION/BACKGROUND

1) **Please tell me briefly about your position and role in your respective organisations.**

- What is your (your organisation's) primary interest in the _____ coast and marine area?
- What other interests do you (your organisation) have?

II. BODY OF QUESTIONS

THE DIMENSIONS OF THE KEY ISSUE

2) **What are the most significant 'broad' issues facing the _____ coast and marine area at the moment?**

- I mean 'big issues' like water quality, fish shortages or coastal erosion for example.
- Which of your listed big issues is the most important to each of you? Collectively?

3) **I would like to speak now specifically about [key issue]. What have been the effects of this issue?**

- Environmental impacts? Social impacts? Economic impacts? Political impacts?
- Can you individually or collectively rank these effects in order of the most important to the least important?
- In your collective opinion, if nothing is done to address this issue, what do you think the future of [key issue] will be in 20 years?

4) **What are the different things that have contributed to making this an issue?**

- Can you rank these different sources of the issue in order of the most important source, to the least important?

THE STAKEHOLDER INTERACTIONS WITHIN THE KEY ISSUE

5) **What has been each of your respective involvements with this [key issue]?**

- What interactions do you have with each other/other stakeholders not here?
 - do you exchange money or information? : other things issue-specific (*List these*)

- is your role influenced by others (by law for example)?

- 6) **Please individually describe to me in detail your organisation's vision of the best outcome of the [key issue].**
- What is your rationale behind that vision?
 - If you had to make some hard choices and needed to prioritize your concerns, what part of your vision would you feel most strongly about?
- 7) **Who are the other key stakeholders to the [key issue] (not at this table)?**
- What activities do they undertake?
 - What are their relationships with other stakeholders?

THE CURRENT DECISION-MAKING SYSTEM

- 8) **Can you each give me a few concrete examples or illustrations of how the decision-making system now in place for [key issue] allows you - or does NOT allow you - to meet your interests?**

III. ENDING/SIGN-OFF

- 9) **What is your vision for the coastal environment in say, 20 years?**
- What are your needs from the coastal environment over the next 20 years?
- 10) **Is there anyone else that you feel it would be very important for me to talk to about coastal governance?**
- Do you have their names and contact details?
 - Can you think of any unorganised 'common interests' held by individuals that are not represented by a group or spokesperson?
- 11) **Is there anything that we have not yet covered that you think is important to the issues we have been discussing?**
- 12) **If, as I am looking over my notes, I have additional questions for any of you, could I contact you again?**