Consent building in strategic delta planning: the role of actor coalitions, planning tools and innovative solutions.

Chris Seijger[a] (c.seijger@unesco-ihe.org), Jaap Evers[a] and Wim Douven[a]
[a]*UNESCO-IHE, Department of Integrated Water Systems and Governance*

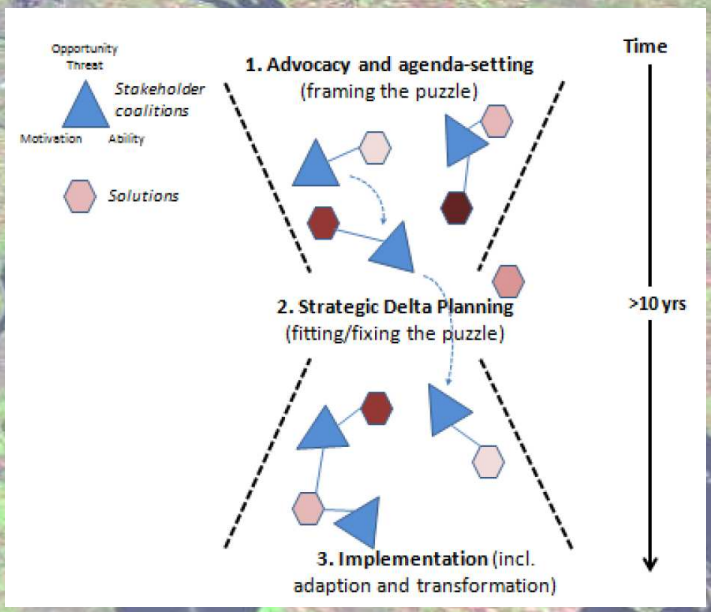
1. Problem statement

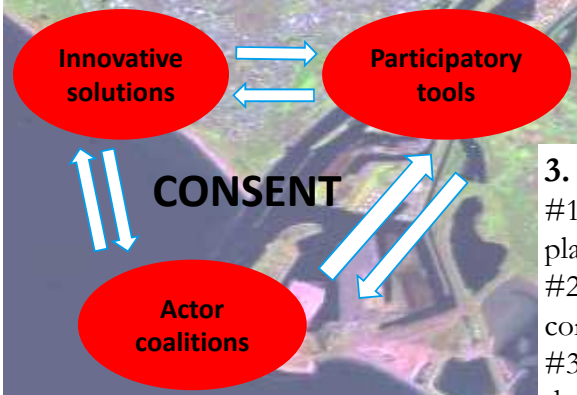
Strategic delta planning (SDP) is an approach to come to a sustained development of a delta. It differs from 'normal' delta planning in various ways. Delta planners, policy makers and other stakeholders are in a SDP process confronted with enormous challenges. How to decide on which issues to address and in what way? How to develop a strategic delta plan that is broadly supported by a range of actors (consent)? This research focuses on SDP processes in Vietnam, Bangladesh and the Netherlands.

	Strategic delta planning (SDP)	'Normal' delta planning
Time horizon	50-100 years	5-10 years
Type of plan	Vision, strategic delta plan	Detailed plan
Scope	Sustainable delta development, across policy domains	One policy domain i.e. water, agriculture
Planning	Adaptive	Fixed

2. Conceptual framework

Consent building is the connecting element between planning and implementation in SDP. The term consent emphasises that agreement is only reached among a limited group of actors. The strength and duration of the forged consent are a key feature to determine the success of the SDP. The consent creation is analysed in three different phases (agenda setting, SDP, implementation) by focusing on the role of actor coalitions, participatory planning tools and innovative solutions .





3. Working hypotheses

#1. Forging consent results in convergence and divergence from planning to implementation within shared bounds.
#2. For consent, actor coalitions should be flexible to do concessions, connect to novel ideas and return to their own agenda.
#3. Innovative solutions can contribute to consent creation when they are multipurpose and serve interests of multiple coalitons.
#4. Participatory planning tools can contribute to consent when tailored to the required accuracy of actors in a specific SDP phase.

Project partners
UNESCO-IHE Institute for Water Education
IUCN
WACC
VIETNAM NATIONAL UNIVERSITY - HO CHI MINH CITY CENTER OF WATER MANAGEMENT AND CLIMATE CHANGE
bosch stabbers
WAGENINGEN UNIVERSITY WAGENINGEN UR
Planbureau voor de Leefomgeving
TU Delft
Deltares Enabling Delta Life
CGIS
বাংলাদেশ প্রকৌশল বিশ্ববিদ্যালয় Bangladesh University of Engineering and Technology
Funded by
NWO Netherlands Organisation for Scientific Research

The influence of interdisciplinary collaboration on decision making

A framework to analyse stakeholder coalitions, evolution and learning in strategic delta planning - the case of the Dutch Southwest Delta

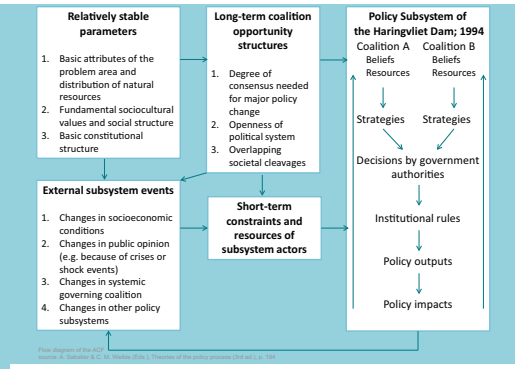
Research description

Case: Haringvliet Dam, Dutch Southwest Delta

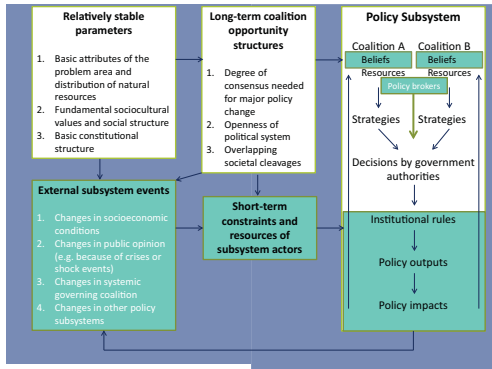
To illustrate the influence of interdisciplinary collaboration on decision-making in strategic delta planning, and to test the framework to analyse stakeholder coalitions, evolution and learning, the case of the Haringvliet Dam in the Dutch Southwest Delta has been explored. The past three decennia, roughly from the moment that the Dutch Southwest Delta has been declared "safe" after the flood of 1953 and completing the Delta Project, can be divided in three decision rounds, evolving around the *"Kierbesluit"*. This is the decision to leave the sluices in the Haringvliet open at high water so that migratory fish such as salmon and sea trout can swim upstream past the sluices to their spawning grounds. A lot of parties, national and international, pro fresh water or pro salt water, and so on, have had an interest and an influence on this, but also exogenous forces have impacted the decision-making process.

Strategic Delta Planning, stakeholder coalitions and the Advocacy Coalition Framework

The strategic delta planning process typically has three stages, spread over a long term of more than 10 years; [1] advocacy and agenda-setting, [2] strategic delta planning, and [3] implementation. Agreeing on strategic choices is difficult and implementation of agreed plans may lead to unanticipated and unintended outcomes. For individual disciplinary perspectives to come together and establish a broadly-supported and well-informed plan, the implementation of which contributes to sustainable delta development, interdisciplinary collaboration is essential. This starts already in the first phase of advocacy and agenda-setting, when the problem is framed, and coalitions are formed. During the whole process, these coalitions might change. To analyse this process, and to see which factors - endogenous or exogenous to the policy subsystem - have an impact, the Advocacy Coalition Framework by Sabatier, Weible and Jenkins-Smith was used as a starting point. Further elaborations have been made to really touch upon interdisciplinary collaboration.



Flow diagram of the ACF
source: A. Sabatier & C. M. Weible (Eds.). Theories of the policy process (3rd ed.). p. 194



Elements of the ACF that explain the decision making process around the policy subsystem of the Haringvliet, Dutch Southwest Delta

1994: draft integrated policy plan (Dutch: *ontwerp-integraal beleidsplan*) Haringvliet, Hollands Diep, Biesbosch

Outside the policy subsystem: Short-term constraints and resources of subsystem actors: *Rijkswaterstaat (RWS), Direction South-Holland (ZH)* was cut in their budget for the project *'Afgaging van het beheer van de Haringvlietsluizen'* by the Dutch Ministry of Transport and Public Works. This had an impact on the step from institutional rules to Policy outputs (which was delayed, until a next decision was made).
Coalitions: The coalitions involved all agreed, or at least didn't disagree, on the need for soil remediation. However, the sticking point was the salinization actors (from the agriculture and water board coalition) feared, when the Haringvliet sluices would be opened.
Decision by sovereign: Despite the budget cuts, RWS ZH executed an Environmental Impact Assessment (EIA; 1994-1998).
Policy Output: Advise from the EIA was to open the sluices gradually, "learning while implementing". However, implementation was delayed until a next decision was made in 2000.

Elements of the ACF that explain the decision making process around the policy subsystem of the Haringvliet, Dutch Southwest Delta

2000: Decision on the Management of the Haringvliet sluices (Dutch: *Besluit Beheer Haringvlietsluizen*, also known as "*kierbesluit*")

Coalitions, Decisions by Sovereigns and Policy Outputs: In 2003, the Dutch government decided to open the sluices to a limited extend, on a trial basis. As a result, a transition area would emerge from fresh to salt water. However, interest groups want the State to compensate for changes in the freshwater infrastructure on the lands of Voorne-Putten and Goeree-Overflakkee. Another wish is compensation for the limited return of the tide. End of 2004 the Administrative Agreement on the Management of the Haringvliet sluices was made between the province of Zuid-Holland, and the ministries of Transport and Agriculture (VenW and LNV). It was decided that the Kierbesluit would only be implemented in 2008, because of required additional studies on the consequences. In the years following the signing of the administrative agreement, the Province of Zuid-Holland and RWS mainly work independently on the implementation of the projects that fall under their responsibility. In 2007, governmental consultation takes place. When 2008 didn't prove to be feasible, the date was set to 2010, and also 2010 did not last. The decision was even removed from the national government coalition agreement in 2010 (changes in systemic governing coalition), due to lack of support in the region, increasing costs, and delays.

Conclusion

How can individual disciplinary perspectives come together and establish a broadly-supported and well-informed plan, the implementation of which contributes to sustainable delta development?

To answer this question, we took a closer look at a specific case of strategic delta planning, namely the decision around the opening of the Haringvliet sluices in the Dutch Southwest Delta. Here we see that past decades, the policy domains of water management and spatial planning have come together in Dutch strategic delta planning. Different explanations have been given for this in various literature, which can be explained by using the Advocacy Coalition Framework (ACF).

The main elements we found in the Haringvliet case that explain stakeholder coalitions and learning, and the move from advocacy and political processes to bureaucratic planning processes and implementation, are present in the ACF. However, not always explicitly. This is made more difficult by the fact that this ACF is static, while coalitions are dynamic; what are the factors that explain coalitions from different disciplines to come together? To analyze this, the ACF has to be elaborated, for instance by adding "policy brokers"(again; previous versions of the ACF from the 1980s have had policy brokers as an element). The way coalitions try to influence decisions by sovereigns, who in turn make institutional rules, and how that eventually leads to policy outputs and outcomes, needs more detailing, if you want to say something about the third phase of implementation.
Often while applying the ACF, other frameworks, such as the Multiple Streams framework, or the Epistemic Communities framework are added. So one theoretical framework for analysing interdisciplinary stakeholder coalitions, evolution and learning in strategic delta planning needs to incorporate these elements and elaborate on them. These will be the next steps in our research.

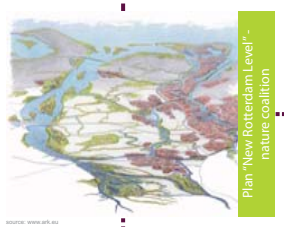
Timeline

Plans and coalitions

source: www.deltawerken.com

source: www.streekarchiefvpr.nl

source: www.deltawerken.com



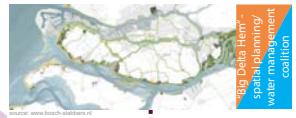
source: www.wk.eu

Protest by agriculture/ fresh water coalition

source: H. Meyer, A. Bregt, E. Dammers & J. Edelenbos (Eds.) (2014). Nieuwe perspectieven voor een verstedelijkte delta. p. 143

source: H. Meyer, A. Bregt, E. Dammers & J. Edelenbos (Eds.) (2014). Nieuwe perspectieven voor een verstedelijkte delta. p. 143

source: H. Meyer, A. Bregt, E. Dammers & J. Edelenbos (Eds.) (2014). Nieuwe perspectieven voor een verstedelijkte delta. p. 143



source: www.bosch-slabbers.nl

Elements of the ACF that explain the decision making process around the policy subsystem of the Haringvliet

2011: Dutch national government has decided to still carry out the so-called *Kierbesluit*

Outside the policy subsystem: The decision of 2000 never made it through, and was even removed from the national government coalition agreement in 2010 (changes in systemic governing coalition), due to lack of support in the region, increasing costs, and delays. However, due to pressure from Europe and previously made agreements, the government not only ran a legal risk, but also especially a significantly financial risk, if they would carry out this part of the coalition agreement. The issue regarding the Harinvliet dam has then moved from soil remediation and improving the overall ecological quality, to fish migration and transboundary agreements. The fresh water issue became less important at the location of the Haringvliet to agriculture and water board coalitions, because of alternative measures elsewhere, as discussed in the Delta Program.
Coalitions: By dropping the tidal marsh restoration as part of the plan, a solution which led to the greatest resistance from other coalitions (*perceptions*), the support base was increased.
Decision made by sovereign: The Dutch national government decided in 2011 to still carry out the so-called *Kierbesluit*.
Policy outputs: In 2013, the principle decision was made to slightly open the Haringvliet sluices in 2018.
Policy outcomes: Yet to be known.

Exogenous forces

source: adapted from www.entoen.nu

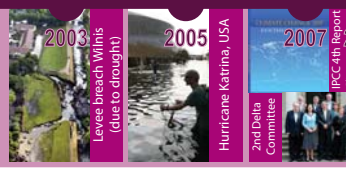
1958 - 1971 Ecological turn in Dutch WRM

source: https://beeldbank.rws.nl/
source: [left] www.clubofrome.org; [right] picture by author

source: http://nl.wikipedia.org/wiki/Evacuatie_van_het_Rivierenland

1997

source: Directive 2000/60/EC, p.90



source: hansmiddendorp.nl
source: galleryhip.com

source: [top] www.ipcc.ch
[bottom] www.deltacommissie.com

source: www.knowe.nl
source: adapted from Delta Program, 2012: 14

source: candysdailydandy.blogspot.com

Legend:
- Turning point in decision rounds, decision-making
- Important moment for plan making/ coalition formation
- Nature coalition
- Spatial planning (design) and urban pattern coalition
- Civil engineering/ water management coalition
- Agriculture coalition
- Ports and industry coalition
- Landscape (design) coalition
- Important moment for exogenous forces

TU Delft Delft University of Technology

Authors: **Myrthe S. Vermoolen** and Leon M. Hermans | Delft University of Technology | Faculty of Technology, Policy and Management | Policy Analysis section | contact: m.s.vermoolen@tudelft.nl
project website: http://www.nwo.nl/en/research-and-results/research-projects/75/2300181475.html

INCORPORATING MANGROVE ECOSYSTEM SERVICES AS INNOVATIVE SOLUTION FOR STRATEGIC DELTA PLANNING – CASE STUDY IN KIEN GIANG PROVINCE, VIETNAM

Vo, Thi Minh Hoang, Gerardo. E. van Halsema, Petra Hellegers, Ho Long Phi

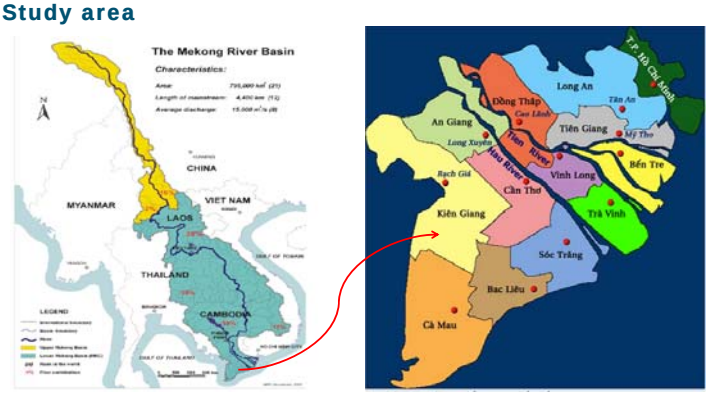
Introduction

Mekong delta has a strategic position and plays an important role in the nation's socio-economic development. Over the past years, under the increasing climate change impacts, since 2001, the authorities have being faced many water management and control problems. The innovation of an appropriate strategy and policy to mitigate and adapt to these processes has become crucial for future generations in the Mekong Delta.

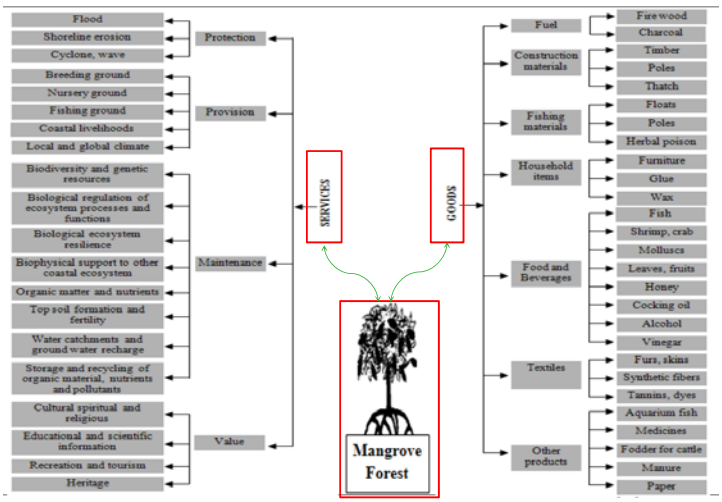
Objective

To understand the dynamics of delta planning process in Mekong delta as a whole (Kien Giang province as a case study), in terms of the level of involvement of various stakeholders and obtain a better understanding on the interaction between the role of multiple-functions of mangrove in consent building over three stages of policy making process (problem orientation, policy making, implementation) in securing stakeholders 'alliances

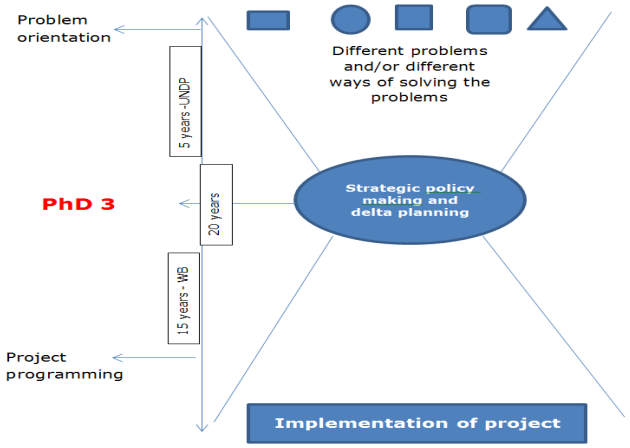
Study area



Why mangrove is selected to be an innovation?

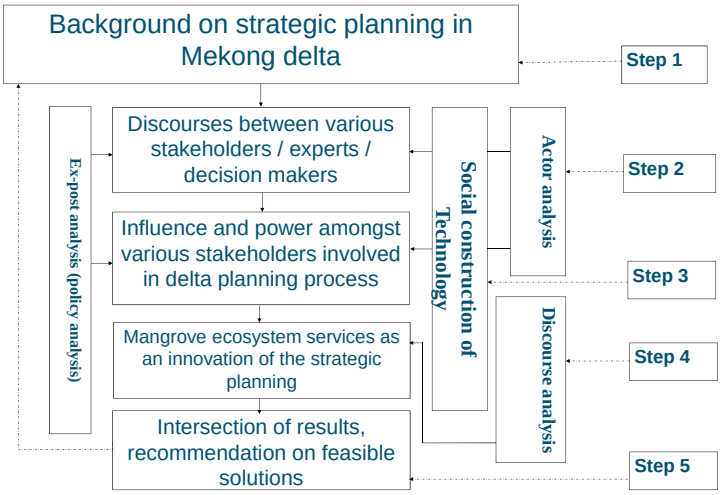


Project Framework



Methodology

The qualitative research will be conducted through a set of analysis methods. The three case-studies will be in Vietnam, Bangladesh and the Netherlands in order to compare the successful level of ecosystem-based decision as an innovation.



Time line

1st year (March 2015 - Nov 2015)	Literature review, proposal, Following courses at WUR
2nd year (Dec 2015 - Feb 2017)	Data collection, Processing collected data, Data analysis, Conference participation, Writing articles
3rd year (March 2017 – Jan 2018)	Conference participation, Writing articles, Result interpretations, Writing thesis
4rd year (Feb 2018 – March 2019)	Finishing PhD thesis

Water Resources Management Group
P.O. Box 47, 6700 AA Wageningen
Contact: vo.thiminhhoang@wur.nl
T + 31 317483446, M +31 657907413
www.wageningenUR.nl/wrm

Planning tools and approaches to facilitate stakeholder engagement in strategic delta planning programmes

Shahnoor Hasan (s.hasan@unesco-ihe.org) and Jaap Evers
UNESCO-IHE Institute for Water Education

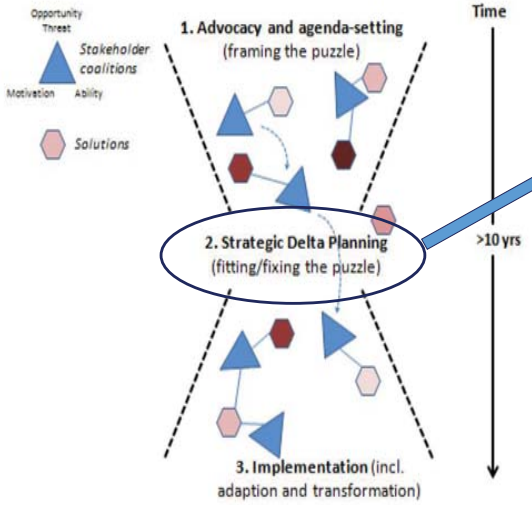
Problem statement

- Agreeing on strategic choices in delta planning programmes is challenging due to stakeholder divergence, communication gap, technical complexity and knowledge limitations.

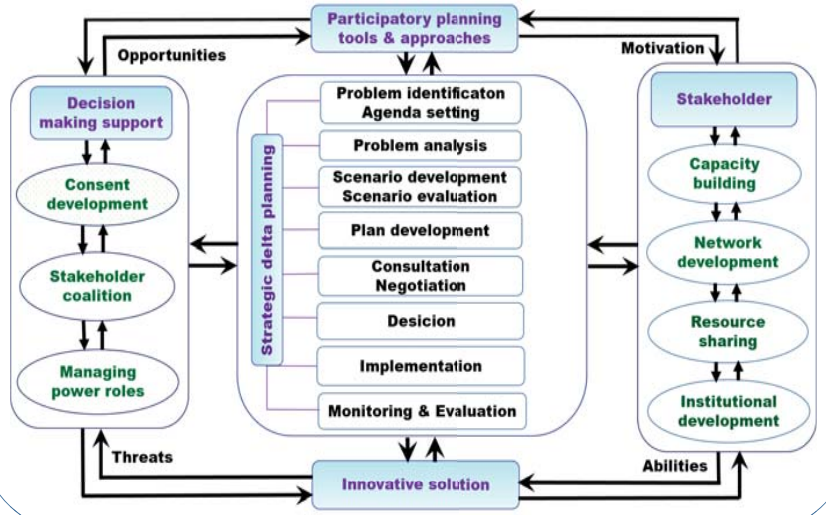
Research objective

To assess the roles of participatory planning tools and approaches in facilitating stakeholder engagement in strategic delta planning.

Conceptual framework



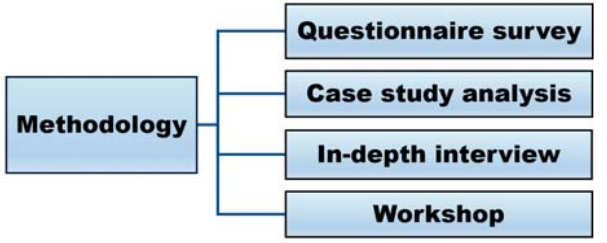
Research framework



Research question

- In the context of strategic delta planning:
  - How does participatory tool and approach could develop stakeholder consent through motivation, perceived ability, opportunity, and threat?
  - How does participatory tool and approach could facilitate stakeholder coalition?
  - How does participatory tool and approach could contribute to develop innovative solutions?

Research methodology



Target tools
- Touchtable
- Charette
- DENVIS

Target group: planners, policymakers, personnel from sector organizations, municipalities, NGOs, academics, researchers.

Funded by: NWO

Reference:
1. Pela B., J. V. Popering-Verkerkb, A. an Buurenb, J. Edelenbosb (2014). Intersections in delta development; analyzing actors for complexity-sensitive spatial concepts, Complexity, Governance & Networks, 79–98.
2. Vonk G., S. Geertman, P. Schot (2007). A SWOT analysis of planning support systems, Environment and Planning A, 39: 1699-1714.
3. Phi H. L. MOTA approach: introduction and application. Presented at; 2013; Workshop on Delta Planning and Management, Yangon.

UNESCO-IHE Institute for Water Education