

European Union Network for
the Implementation and Enforcement
of Environmental Law

Development of

**Concise step-by-step instructions for the promotion of the use of
neighbourhood dialogues**

Phase IV of the project

“Resolution of environmental conflicts by neighbourhood dialogue”

final report

18 January 2011

Introduction to IMPEL

The European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL) is an international non-profit association of the environmental authorities of the EU Member States, acceding and candidate countries of the European Union and EEA countries. The association is registered in Belgium and its legal seat is in Bruxelles, Belgium.

IMPEL was set up in 1992 as an informal Network of European regulators and authorities concerned with the implementation and enforcement of environmental law. The Network's objective is to create the necessary impetus in the European Community to make progress on ensuring a more effective application of environmental legislation. The core of the IMPEL activities concerns awareness raising, capacity building and exchange of information and experiences on implementation, enforcement and international enforcement collaboration as well as promoting and supporting the practicability and enforceability of European environmental legislation.

During the previous years IMPEL has developed into a considerable, widely known organisation, being mentioned in a number of EU legislative and policy documents, e.g. the 6th Environment Action Programme and the Recommendation on Minimum Criteria for Environmental Inspections.

The expertise and experience of the participants within IMPEL make the network uniquely qualified to work on both technical and regulatory aspects of EU environmental legislation.

Information on the IMPEL Network is also available through its website at:
www.impel.eu

<p><i>Resolution of environmental conflicts by neighbourhood dialogue</i> <i>Promotion of the use of neighbourhood dialogues through creation of concise step-by-step instructions on the basis of</i></p>	<p>Number report: 2010/x Step-by-step instructions</p>
<p>Project Manager/Authors: Gisela Holzgraefe, Ministry for Agriculture, the Environment and Rural Areas of Schleswig-Holstein email: Gisela.Holzgraefe@mlur.landsh.de; Tel.: +49431-9887133, Ulrike Struck, (State Agency for Agriculture, the Environment and Rural Areas, Lübeck), Bernd Reese (Gewerbeaufsichtsamt Hannover), Andreas Aplowski (Staatliches Gewerbeaufsichtsamt Braunschweig), Kristina Rabe (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety), Irmela Feige (consultant)</p>	<p>Report adopted at IMPEL General assembly: 18.11.-19.11.2010, Brussels</p> <p>Number of pages Report: 25 Annexes: ND an instrument to prevent and solve conflicts between companies and their neighbours (basic version); Example 1: Application of the step-by-step instructions in an authority Example 2: Specific conflict situation – presentation for a company</p>
<p><i>Executive Summary</i></p> <p>Continuing the IMPEL project “Informal resolution of environmental conflicts by neighbourhood dialogue” of 2004/2005 (Exchange of experience), the first follow-up project of 2006/2007 (Development of a toolkit “Establishing neighbourhood dialogue”), and the second follow-up project of 2008/2009 (Development of a guideline for self evaluation) the current project started in February 2010. The main objective of this project was to develop concise step-by-step instructions for authorities and companies to promote the use of neighbourhood dialogues.</p> <p>A neighbourhood dialogue is a voluntary communication instrument to solve environmental problems and conflicts between industrial sites and their neighbours. It is either established by a company concerned or by authorities. Experiences in the whole project showed that for both of them there are barriers against starting a neighbourhood dialogue. The step-by-step instructions provide supporting material for those who want to start the discussion of the instrument in their authority / company or with the parties involved in a conflict. The main outcome of the project are the “Step-by-step instructions on how to carry out a neighbourhood dialogue”. They are embedded in a power-point presentation with more detailed explanations on the notes pages. The applicability and adaptability of the basic version “Neighbourhood dialogue an instrument to prevent and solve conflicts between companies and their neighbours – procedures - steps – evaluation” was tested on two real cases/situations during the working group meeting in Berlin.</p> <p>Example 1: power-point presentation and instructions for an authority – promotion of the instrument, Example 2: power-point presentation and instructions for a specific conflict situation – presentation for a company.</p> <p>The target groups of the step-by-step instructions are the management and employees of</p> <ul style="list-style-type: none"> • inspection and permitting authorities, • other authorities or public bodies competent for the enforcement of environmental law or dealing with complaints from neighbours and communities of industrial sites as well as • companies with neighbourhood complaints about environmental nuisances - such as odour, noise, air pollution, vibrations – and hazardous risks, or sites applying for a permit with public involvement. <p>Final recommendations</p> <p>The participants recommend that IMPEL supports the further application of dialogue processes as voluntary instruments in the implementation and enforcement of environmental law. In particular they recommend</p> <ul style="list-style-type: none"> – disseminating the toolkit, the guideline and the step-by-step instructions within authorities, industry associations and companies. – encouraging national administrations to use dialogue processes to manage complaints and conflicts related to the operating of industrial and other sites. – establishment of a platform/network for exchange of experiences in the field of neighbourhood dialogue 	
<p>Disclaimer</p> <p>This report is the result of a project within the IMPEL Network. The content does not necessarily represent the view of the national administrations or the Commission.</p>	

TABLE OF CONTENTS

	Page
0 EXECUTIVE SUMMARY	5
1 INTRODUCTION AND APPROACH	8
1.1 Project background and history	8
1.2. Project aims and objectives	8
1.3 Project activities and products	9
1.4 Aim and structure of this report	10
2 PROMOTING NEIGHBOURHOOD DIALOGUE AS AN INSTRUMENT FOR RESOLUTION OF ENVIRONMENTAL CONFLICTS THROUGH A POWER-PONT PRESENTATION AND CONCISE STEP-BY-STEP INSTRUCTIONS	10
2.1 Experiences with dialogue approaches and their promotion	11
2.2 Developing the PowerPoint presentation “Neighbourhood Dialogue, an instrument to prevent and solve conflicts between companies and their neighbours – Procedures – Steps - Evaluation”	11
3 Conclusions and recommendations to IMPEL and its Member States	13
3.1 Conclusions and final recommendations	13
3.2 Dissemination of project results	13
4 Literature and references	15
5. TERMS OF REFERENCE	16
ANNEXES	23
1 Project Team and Editor	23
2 Participants	24
Extra Documents	
3 the basic version “Neighbourhood dialogue an instrument to prevent and solve conflicts between companies and their neighbours – procedures - steps – evaluation”	
4 Example 1: PowerPoint presentation and instructions for an authority – promotion of the instrument	
5 Example 2: PowerPoint presentation and instructions for a specific conflict situation – presentation for a company.	

1 – INTRODUCTION AND APPROACH

1.1 Project background and history

A first IMPEL project “Informal resolution of environmental conflicts by neighbourhood dialogue” on voluntary dialogue processes as complementary means to address environmental problems and to improve enforcement was carried out in 2004 and 2005.

Project objective was to share experiences on dialogue instruments. Products were a final report (presented at the IMPEL Plenary in Cardiff, 30th November to 2nd December 2005) and a brochure (available on the IMPEL website). Participants in the first project recommended supporting the further application of dialogues as voluntary instruments.

A follow-up in two steps was proposed: at first a **toolkit** for inspection authorities on the initiation and support of specific types of voluntary neighbourhood dialogue was worked out (2006/2007). The toolkit was adopted by the IMPEL plenary in Lisbon (28th – 30th November 2007). It is available on the IMPEL website.

Secondly, a **self-evaluation guideline** was developed to assess the quality of dialogues (during and at the end of the process). This was accompanied by an instrument for authorities to roughly estimate in advance their prospective workload related to the neighbourhood dialogue (to compare it with the expected workload of a traditional approach without neighbourhood dialogue). This project was carried out in 2008/2009; its results were adopted by the IMPEL General Assembly in Prague (3rd – 5th June 2009).

The exchange of experiences during the whole project showed that for authorities and companies there are barriers against starting a neighbourhood dialogue. In particular they fear that they have to make long and time-consuming theoretical studies before being able to start a neighbourhood dialogue and they feel reluctant to communicate openly the possibilities and limits of administrative measures. On top of that there is the prejudice that neighbourhood dialogue always takes more time than the common complaint procedure (or permit procedure without direct dialogue during public involvement).

That is why the participants of the last follow-up project again recommended that IMPEL supports the further application of dialogue processes as voluntary instruments in the implementation and enforcement of environmental law. In particular they recommended the compilation of a short set of instructions, derived from the toolkit and the guidelines, on how to carry out a neighbourhood dialogue, testing these instructions on real cases and improving them.

The instructions now presented are the result of a project based on the ToR (terms of references)-Sheet “Resolution of environmental conflicts by neighbourhood dialogue [Promotion of the use of neighbourhood dialogues through creation of **concise step-by-step instructions on the basis of the “Toolkit“ and the ”Self Evaluation Guidelines”** and probably its testing on a real case]”

This project should provide support to overcome reservations against and to strengthen the trust in the reliability and efficiency of the instrument.

1.2 Project aims and objectives

The focus of the project was to promote the use of neighbourhood dialogues as an instrument for the solution of environmental conflicts by developing concise step-by-step instructions based on the “Toolkit” and the “Self-Evaluation Guidelines” and testing them on real cases.

The project was aimed at

- Developing a PowerPoint presentation of ca. 25 slides and instructions which may be used for promotion of and training on neighbourhood dialogue,

- Carrying out a test of the material on real cases by participants during the project time and possibly improving the concise step-by-step instructions.

The project objectives were met as documented in this final report and the PowerPoint presentation “Neighbourhood Dialogues – an instrument to prevent and solve conflicts between companies and their neighbours” (Procedures – Steps – Evaluation)” (see annex 3).

On top of that the material was tested on two real situations:

- a) “Convincing permit writers and inspectors to use neighbourhood dialogue as an additional tool for conflict management” (see annex 4), and
- b) “Odour problems in village X” – convincing representatives of a company to start a dialogue” (see annex 5).

1.3 Project activities and products

Main project activities and products were:

- a. **Invitation and registration** of 6 participants from IMPEL member states (preferably participants of the former project steps) – and two participants from Germany (March 2010)
- b. Collecting existing presentations and developing a **first draft of the PowerPoint presentation “Neighbourhood Dialogues – an instrument to prevent and solve conflicts between companies and their neighbours” (Procedures – Steps – Evaluation)”. Concise step-by-step instructions** are contained in the notes pages (March 2010).
- c. Sending out the first draft of the documents to all participants to prepare the working group meeting and collecting comments, suitable pictures and further material (March/April 2010).
- d. Integrating the **feedback of participants** into a **second draft of the PowerPoint presentation and the instructions**. Developing an agenda to present and discuss the **presentation** and the instructions. Preparing the test of the material on real cases during the meeting.
- e. **The working group meeting planned for April 20th to 21st, 2010** in Berlin, Germany had to be cancelled because of the flight problems after the eruption of the volcano in Island. It took place from **June 28th to 29th 2010** in Berlin. Participants gave feedback and recommendations to the presentation’s content and structure and to the instructions as well. In plenary they discussed key questions and the draft presentation in detail. In working groups they tested the material on two real cases in practice. The project team collected the examples and the suggestions on how to improve the material .
- f. Integrating the recommendations of the project participants into a **third draft of the basic version and completing the examples for the authority and the companies** and sending it out to all participants (July / beginning of August 2010)
- g. **Integrating participants’ feedback** and agreeing on a **draft final version of the presentation “Neighbourhood Dialogues – an instrument to prevent and solve conflicts between companies and their neighbours” (Procedures – Steps – Evaluation)”** (July – August 2010) as well as **the draft of the two examples**.

- h. **Drafting the Final Report** for Cluster 1 and the Brussels General Assembly (August 2010).

The key results are documented in the PowerPoint presentation “**Neighbourhood Dialogues – an instrument to prevent and solve conflicts between companies and their neighbours**” (**Procedures – Steps – Evaluation**)” and in the examples “Resolution of environmental conflicts by neighbourhood dialogue – application of the step-by-step instructions in an authority” and “Odour problems in (village ...)” (see annexes 3, 4, 5).

1.4 Aim and structure of this report

As the main findings of the project are integrated and documented in the annexed PowerPoint presentation and the step-by-step instructions this report primarily gives some background information about the project.

The main outcome of this project is the PowerPoint presentation “**Neighbourhood Dialogues – an instrument to prevent and solve conflicts between companies and their neighbours**” (**Procedures – Steps – Evaluation**)” with its

- Part A:
 - What is a neighbourhood dialogue?
 - 6 steps to good neighbourhood and
- the optional Part B:
 - Self-evaluation of neighbourhood dialogue – why?
 - Tools for self-evaluation – to ensure the quality and evaluate success.
- Step-by-step instructions on the notes pages giving brief information and advice to the user.
- Example 1: using the presentation and the step-by-step instructions to promote the instrument in an environmental authority
- Example 2: using the presentation and the step-by-step instructions for convincing the management of companies to start a dialogue with the neighbours.

2 – PROMOTING NEIGHBOURHOOD DIALOGUE AS AN INSTRUMENT FOR RESOLUTION OF ENVIRONMENTAL CONFLICTS THROUGH A POWER-PONT PRESENTATION AND CONCISE STEP-BY-STEP INSTRUCTIONS

2.1 Experiences with dialogue approaches and their promotion

Neighbourhood dialogues are structured, in many cases long-term communication processes in which companies, neighbours and the competent authorities meet face-to-face. Their aim is to resolve environmental conflicts by balancing interests and by improving the environmental performance of industrial sites.

Using a dialogue approach to handle neighbourhood conflicts and complaints is not a common proceeding in all IMPEL member states. However, proactive information, direct

involvement of and dialogue with residents, the community and the media is becoming more and more common and all project participants brought along a certain dialogue experience. Discussions during the previous project parts showed that for authorities and companies there are barriers against starting a neighbourhood dialogue as for example:

- The fear that they have to make long and time-consuming theoretical studies before being able to start a neighbourhood dialogue,
- the fear to communicate openly the possibilities and limits of administrative measures,
- the prejudice that neighbourhood dialogue always takes more time than the common complaint procedure (or permit procedure without direct dialogue during public involvement) and
- the fact that engineers normally deal with technical problems and not with psychological and emotional problems (uncertain territory).

The PowerPoint presentation with its concise step-by-step instruction offers a tool and advice to members of environmental authorities and companies through which they get a good overview on the instrument of neighbourhood dialogue. The presentation or parts of it can be adjusted and used in different situations for the promotion of a dialogue process:

- in the phase before starting a neighbourhood dialogue to inform about the purpose and the possible benefits of a neighbourhood dialogue (Part A)
- in the phase of implementation of the neighbourhood dialogue to present selected instruments to assure the quality of a dialogue process and to assess success and results (Part B).

2.2 Developing the PowerPoint presentation “Neighbourhood Dialogue, an instrument to prevent and solve conflicts between companies and their neighbours – Procedures – Steps - Evaluation”

The aims and objectives when developing the presentations and the instructions were

1. to address authorities and companies:

Normally authorities will convince and support companies in establishing a neighbourhood dialogue to find sustainable solutions for conflicts which cannot be settled only by administrative measures. However authorities may also take the lead and conduct a neighbourhood dialogue. Main target groups for which the slides can be used are staff members and decision makers in authorities. But they can be used for and by companies as well.

2. to facilitate application

The presentation and their appropriate notes contain the basic information on neighbourhood dialogue as recommended by the project participants. Their application is demonstrated on two different cases (1. convince authority staff, 2. convince representatives of companies) as examples how the presentation is meant to be applied. It should facilitate work for those who want to start a neighbourhood dialogue or convince others of the benefit of the instrument.

3. to give practical advice

The slides provide basic facts about neighbourhood dialogue as such. In the instructions in the notes pages and the examples the reader will find additional information on neighbourhood dialogue and practical advice on how to work with the presentation. The presentation is an offer. Everybody can make his choice according to the target audience or the cause for the presentation.

4. to be adaptable to individual and national needs

Everybody is free to adapt the presentation to his own needs, leaving out slides or adding others. The slides can be put into another order, part A (neighbourhood dialogue) and B (evaluation) can be used separately or together etc. For initiators installing their first dialogue process, the slides of part A would probably suffice.

IMPEL member states are welcome to translate the presentation and to add and highlight specific information to make it more suitable for their national needs. A reference to the original text should be given.

The feedback of participants on the drafts and during the project meeting was very positive concerning the presentation and the instructions. The Spanish colleague had already translated the presentation before the working group meeting took place. During the working group meeting participants' feedback helped especially to

- improve the structure and make it more reader friendly
- integrate more practical aspects, explain the applicability (opportunities, risks and boundaries)
- identify possible misunderstandings and clarify the meaning.

These recommendations were discussed and integrated into the next draft.

The presentation is documented as annex 3.

3 – CONCLUSIONS AND RECOMMENDATIONS TO IMPEL AND ITS MEMBER STATES

3.1 *Conclusions and final recommendations*

The participants of the project recommend IMPEL supporting the further application of dialogue processes and their promotion as voluntary instruments in the implementation and enforcement of environmental law. In particular they recommend

- dissemination of the PowerPoint presentation “Neighbourhood Dialogue, an instrument to prevent and solve conflicts between companies and their neighbours – Procedures – Steps-Evaluation” based on the toolkit and the guideline for self-evaluation and encouragement for the implementation of dialogue processes for environmental and neighbourhood conflicts
- to emphasise the possibilities to use dialogue before permit applications (e.g. within IPPC permits)
- encouragement of companies to establish neighbourhood dialogues (and self-evaluation) as part of their site operation.

Participants were interested in continuing the exchange of experiences on neighbourhood dialogues and the use of the toolkit and the guideline for self-evaluation. They gave examples of the inspector training in their countries and recommended to establish a sort of network for this purpose.

3.2 Dissemination of project results

To disseminate the project results the participants recommended

- disseminating the presentation “Neighbourhood Dialogue, an instrument to prevent and solve conflicts between companies and their neighbours – Procedures – Steps-Evaluation” to authorities, companies and further stakeholders
 1. at the European level with the aid of the IMPEL secretariat (DG Enterprises, DG Environment, IMPEL website...) and
 2. at national and regional levels with the aid of the national IMPEL coordinators
 - national administrative structures and websites (Internet, Intranet, presentations to colleagues and communications units, ...)
 - using the presentation based on the toolkit and the guideline for self-evaluation on professional events, e.g. inspectors conferences
 - inform key stakeholders in business (e.g. industrial associations, chamber of commerce, ...)
 - inform key stakeholders of environmental organisations (e.g. using the presentation for the information of environmental organisations or other non-governmental associations)
 - hand out to companies in case of conflict.
- promoting dialogue within the member states by
 - encouraging translation of the English version of the presentation and the instructions into the national languages of the member states: Member states may add and highlight information to adapt the text to their national needs by giving reference to the original text

- establishing training and learning opportunities (e-learning, training sessions, trainee programmes).

4 – Literature and References

- Department of Labour and Environmental Inspection Hanover – “Enterprises and their neighbours: building confidence to solve conflict. 12 steps towards a good neighbourhood” – Hanover, Lower Saxony, Germany, October 2003. Download: www.gewerbeaufsicht.niedersachsen.de
- Department of Labour and Environmental Inspection Hanover (Editor) - Brochure « Solving environmental conflicts by dialogue » available in nine languages, see IMPEL website www.impel.eu
- French regulation on the Local Committees for Information covers three areas: nuclear energy sites (CLI), waste management sites (CLIS) and industrial risk (Seveso II) sites (CLIC). Download of the CLIC decree “Information et concertation du public : Les comités locaux d’information et de concertation CLIC” : www.ecologie.gouv.fr/article.php3?id_article=2396
- Final reports of the project series “Informal resolution of environmental conflicts by neighbourhood dialogue”,
2004/2005: part I final report and brochure
2006/2007: part II Development of a toolkit “Establishing neighbourhood dialogue”
2008/2009: part III Development of a guideline for self evaluation
available on the IMPEL Website www.impel.eu
- Brochure with the concept of mediation in the province of Overijssel, The Netherlands: A.M. de Koning and J. Brouwer, Methode Overijssel: bouwen aan vertrouwen. De inzet van mediation-vaardigheden en mediation door overheden, Nederlands Mediation Instituut NMI, 2008.
- Brochure with the results of the evaluation of the mediation in the province of Overijssel, The Netherlands: Projekt Mediation, Eindevaluatie en onderzoeksresultaten, Projekt Alternative Geschillenbeschlechting, januari 2003
- Empfehlungen zur Anwendung der Standards für Evaluation im Handlungsfeld der Selbstevaluation, Deutsche Gesellschaft für Evaluation – German Evaluation Society, Geschäftsstelle DeGEval, Bücheler Weg 27, 53347 Alfter, www.degeval.de
- Zöller, Katharina, Stakeholder-Dialoge zur Sicherung des neuen Standortfaktors „Akzeptanz“ bei deutschen und amerikanischen Chemieunternehmen, Eine wirtschaftsgeografische Untersuchung, Inaugural-Dissertation Universität Köln 2004.
- Meuer, Dirk und Troja, Markus, 2004: Mediation im öffentlichen Bereich – Status und Erfahrungen in Deutschland 1996 – 2002. Abschlußbericht eines Forschungsprojektes im Rahmen des DFG-Schwerpunktprogramms „Mensch und globale Umweltveränderungen“

5.

TERMS OF REFERENCE FOR IMPEL PROJECT

Revised Version, 2009-11-5

No	Name of project
2010/	<p data-bbox="467 434 1302 528"><i>Resolution of environmental conflicts by neighbourhood dialogue (part 4)</i></p> <p data-bbox="467 562 1366 674">Promotion of the use of neighbourhood dialogues through creation of concise step-by-step instructions on the basis of the “Toolkit“ and the ”Self Evaluation Guidelines” and probably its testing on a real case.</p>

1. Scope

1.1. Background	<p data-bbox="456 763 683 797">Project History:</p> <p data-bbox="456 797 1262 976">A first IMPEL project “Informal resolution of environmental conflicts by neighbourhood dialogue” on voluntary dialogue processes as complementary means to address environmental problems and to improve enforcement was carried out in 2004 and 2005.</p> <p data-bbox="456 976 1275 1200">Project objective was to share experiences on dialogue instruments. Products were a final report (presented at the IMPEL Plenary Cardiff, 30th November to 2nd December 2005) and a brochure (available on the IMPEL website). Participants in the first project recommended supporting the further application of dialogues as voluntary instruments.</p> <p data-bbox="456 1223 1275 1435">A follow-up in two steps was proposed: at first a toolkit for inspection authorities on the initiation and support of specific types of voluntary neighbourhood dialogue was worked out (2006/2007). The toolkit was adopted by the IMPEL plenary in Lisbon (28th – 30th November 2007). It is available on the IMPEL website.</p> <p data-bbox="456 1458 1278 1783">Secondly, a self-evaluation guideline was developed to assess the quality of dialogues (during and at the end of the process). This was accompanied by an instrument for authorities to roughly estimate in advance their possible workload related to the neighbourhood dialogue (to compare it with the expected workload of a traditional approach without neighbourhood dialogue). This project was carried out in 2008/2009; its results were adopted by the IMPEL General Assembly in Prague (3rd – 5th June 2009).</p> <p data-bbox="456 1805 1270 1906">The exchange of experiences in the whole project showed that for authorities and companies there are barriers against starting a neighbourhood dialogue as for example:</p> <ul data-bbox="507 1928 1270 2029" style="list-style-type: none"> - The fear that they have to make long and time-consuming theoretical studies before being able to start a neighbourhood dialogue.
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	<ul style="list-style-type: none"> - the fear to communicate openly the possibilities and limits of administrative measures, - the prejudice that neighbourhood dialogue always takes more time than the common complaint procedure (or permit procedure without direct dialogue during public involvement) - the fact that engineers normally deal with technical problems and not with psychological and emotional problems (uncertain territory) <p>The participants of the last follow-up project again recommended that IMPEL supports the further application of dialogue processes as voluntary instruments in the implementation and enforcement of environmental law. In particular they recommended</p> <ul style="list-style-type: none"> – disseminating the toolkit and the guideline within authorities, industry associations and companies. – encouraging national administrations to use dialogue processes to manage complaints and conflicts related to the operating of industrial and other sites by providing further support. – Compiling a short set of instructions, derived from the toolkit and the guidelines, on how to carry out a neighbourhood dialogue, testing and improving these instructions in a workshop with some simulation on neighbourhood dialogue and deepening experiences and encouraging the application of dialogue processes. <p>This project should provide support to overcome reservations against and to strengthen the trust in the reliability and efficiency of the instrument.</p>
<p>1.2. Link to MAWP and IMPEL’s role and scope</p>	<p>Legal Background: The Sixth Community Environment Action Programme calls for the encouragement of more effective implementation and enforcement of Community legislation on the environment, among other things through the promotion of improved standards of permitting, inspection, monitoring and enforcement by Member States and through improved exchange of information on best practice on implementation. Article III, Para. 4 of Recommendation 2001/331/EC providing for Minimum Criteria for Environmental Inspections in the Member States pursues the same objectives. Dialogues of good quality can further the achievement of those goals.</p>
<p>1.3. Objective (s)</p>	<p>The main objectives are:</p> <ul style="list-style-type: none"> - to develop concise and integrated step-by-step instructions derived from the toolkit and the guidelines (embedded in a power-point presentation of 20 - 25 slides and max. 10 pages of instructions which may be used for promotion of and training on neighbourhood dialogue),

	<ul style="list-style-type: none"> - to discuss the draft documents with a small group of experts of IMPEL member states - to try to carry out a test of the material on a real case by participants during the project time and possibly improving the concise step-by-step instructions - to take into account relevant results of the conference for Implementation and Enforcement of Environmental Law “Working Together for a Better Environment” (Sibiu 2009)
1.4. Definition	<p>The project will help to promote the application of voluntary neighbourhood dialogues as a complementary instrument to solve environmental conflicts.</p> <p>It will be carried out by a project team and a small working group consisting of max. 6 participants from IMPEL member states plus two experienced participants from Germany. The project team will</p> <ul style="list-style-type: none"> - prepare draft concise step-by-step instructions of the toolkit and the guidelines - prepare the meetings of the working group - incorporating participants’ recommendations into the concise step-by-step instructions <p>The project working group will meet once in 2010 to discuss and possibly improve the draft of concise instructions and the power point presentation as a whole. It is planned that at least one member of the working group will test the material on a real case and give feedback.</p> <p>A final report will be written which will cover the findings of part 4 of the project.</p>
1.5. Product(s)	<ul style="list-style-type: none"> - concise step-by-step instructions (max. 10 pages) integrating the main practical recommendations of the toolkit, the guidelines and its instruments and embedded in a power-point presentation of 20 - 25 slides which may be used to present the ideas of neighbourhood dialogue, to provide a first training on how to bring it into action and to overcome reservations against this instrument, - a final report. <p>The power-point presentation including the concise step by step instructions will be written in English. With its limited size and accessible language, it will be particularly apt to be translated and adapted to national needs by the IMPEL member states.</p>

2. Structure of the project

2.1. Participants	<ul style="list-style-type: none"> ▪ Inspectors preferably participants of the last project part with experience in dialogue processes will be invited as participants from IMPEL member states, ▪ IMPEL secretariat and Commission are invited to participate
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2.2. Project team	<p>Project team:</p> <ul style="list-style-type: none"> - Gisela Holzgraefe (Ministry for Agriculture, the Environment and Rural Areas Schleswig-Holstein) and - Ulrike Struck (State Agency for Agriculture, the Environment and Rural Areas Schleswig-Holstein), - Bernd Reese (State Authority for Labour and Environmental Inspection Hanover (Gewerbeaufsichtsamt Hannover), - Andreas Aplowski, (State authority for Labour and Environmental Inspection Celle (Gewerbeaufsichtsamt Celle), - Kristina Rabe (German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety, Berlin) <p>Project bearer: <i>Ministry for Agriculture, the Environment and Rural Areas Schleswig-Holstein, Germany</i></p>
2.3. Manager Executor	<i>Ministry for Agriculture, the Environment and Rural Areas Schleswig-Holstein</i>
2.4. Reporting arrangements	<p>The project progress will be reported to Cluster “Improving permitting, inspection and enforcement” (Cluster 1, first interim report in autumn 2010), to the participants and to possible observers. The Cluster will submit progress reporting to the IMPEL General Assembly and the IMPEL secretariat. In autumn 2010 an interim report will be submitted to the IMPEL secretariat. The final report of the project is expected to be submitted to the IMPEL General Assembly in 2011</p> <p>Interim Report: autumn 2010 Final Report: 2011</p>
2.5 Dissemination of results/main target groups	<p>After adoption by the IMPEL General Assembly, final report and presentation/concise step-by-step instructions of the toolkit and the guidelines (both in English) will be disseminated through IMPEL (website, contact person for the project: Gisela Holzgraefe). The presentation/instructions will be sent to the IMPEL national coordinators. Interested IMPEL member states may then translate and adapt the concise step-by-step instructions according to specific national needs.</p> <ul style="list-style-type: none"> ⇒ The products will also be sent to other target groups (via IMPEL secretariat at the European level, via national coordinators at the national level), i.e. ⇒ - Environmental inspectorates ⇒ - Key business organisations and companies ⇒ - environmental and consumer organisations representing neighbourhood interests (where existing)

3.4. Human from MS	Meeting preparation and participation: 42 days (based on 14 participants)
3.5 Human from Host country	Meeting preparation and support: 20 days Meeting participation: 16 days (based on 8 participants) Project management support: 10 days

4. *Quality review mechanisms*

The quality of the project will be reviewed by the project participants and appraised by the Cluster “Improving permitting, inspection and enforcement” (Cluster 1). It will then be submitted to the IMPEL General Assembly for appraisal and adoption.

5. *Legal base*

5.1. Directive/Regulation/Decision	Recommendation 2001/331/EC providing for Minimum Criteria for Environmental Inspections in the Member States
5.2. Article and description	Article 3, Para. 4: establishment of a scheme, under which Member States report and offer advice on inspectorates and inspection procedures in Member States
5.3 Link to the 6th EAP	Article 3. Strategic approaches to meeting environmental objectives. Para. 2: “ Encouraging more effective implementation and enforcement of Community legislation on the environment [...] – promotion of improved standards of permitting, inspection, monitoring and enforcement by Member States; [...] improved exchange of information on best practice on implementation including by the European network for the Implementation and Enforcement of Environmental Law (IMPEL network) within the framework of its competencies”.

6. *Project planning*

6.1. Approval	The project was presented to Cluster “Improving permitting, inspection and enforcement” (former Cluster 1) at the Cluster meeting in Brussels 14./15. September 2009 and adopted at the Extraordinary General Assembly 16 October 2009.
(6.2. Fin. Contributions)	The project is supported by the IMPEL , the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety, the Ministry for Environment of Schleswig-Holstein and Lower Saxony and participating IMPEL Member States
6.3. Start	The project start is scheduled for 03/2010
6.4 Milestones	Milestones: <ul style="list-style-type: none"> - From end of March 2010 onward: request for input to first draft of the concise step by step instructions and its accompanying text/power point presentation - May 2010: dissemination of the first draft to participants - June 2010: working group meeting

	<ul style="list-style-type: none"> - autumn 2010: adaptation of guideline to meeting results and interim report - 2011: final project report
6.5 Product	Final project report , concise step-by-step instructions of the toolkit and the guidelines embedded in a power point presentation containing further explanations, questionnaire to check on project product use
6.6 Adoption	Presentation of the final report to the IMPEL Plenary is planned for 2011.

ANNEXES

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Extra documents

3. the basic version “Neighbourhood dialogue an instrument to prevent and solve conflicts between companies and their neighbours – procedures - steps – evaluation”
4. Example 1: PowerPoint presentation and instructions for an authority – promotion of the instrument
5. Example 2: PowerPoint presentation and instructions for a specific conflict situation – presentation for a company.

Explanation and background information to the slides



Neighbourhood-Dialogue
an instrument to prevent and solve conflicts
between companies and their neighbours

Procedures - Steps - Evaluation



The order and selection of slides can be adjusted to the needs and the target audience.

You are invited to translate the presentation into your own language and adapt it to the special situation in your country.

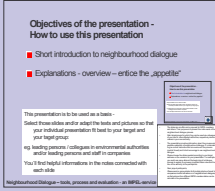
IMPEL would be glad if translations into other languages could be made available for other interested colleagues on the IMPEL website.
(www.impel.eu)

Explanation and background information to the slides

**Objectives of the presentation -
How to use this presentation**

- Short introduction to neighbourhood dialogue
- Explanations - overview – entice the „appetite“

This presentation is to be used as a basis -
Select your slides and/or adapt the texts and pictures so that
your individual presentation fits best to your objectives
and your target group:
eg. first presentation of the instrument, convince leading
persons / colleagues in environmental authorities and/or
leading persons and staff in companies
You find helpful information in the notes connected with each
slide



**Objectives of the presentation -
How to use this presentation**

- Short introduction to neighbourhood dialogue
- Explanations - overview – entice the „appetite“

This presentation is to be used as a basis -
Select your slides and/or adapt the texts and pictures so that
your individual presentation fits best to your objectives
and your target group:
eg. leading persons / colleagues in environmental authorities
and/or leading persons and staff in companies
You find helpful information in the notes connected with
each slide

Neighbourhood Dialogue – tools, process and evaluation – at IMPEL website

- The slides are an offer and a proposal for IMPEL-members and others. Their purpose is to present the instruments of the neighbourhood dialogue process.
- Main target groups for which they can be used are colleagues of your own or other affected authorities, respectively decision makers in your own authority.
- The presentation provides information about the process and possible evaluation of neighbourhood dialogue. It is intended to give a short instruction and an overview of the process and it shall encourage to use neighbourhood dialogue.
- Please choose the slides needed according to your target audience or the occasion for your presentation. For example you could use some slides at the beginning of a dialogue process to explain the process, important basic rules and the role of the authority to the participants.
- Please choose the slides needed according to your target audience or the occasion for your presentation and adjust them to your needs. For example you could use some slides at the beginning of a dialogue process to explain the process, important basic rules.
- and the role of the authority to the participants. How this can be done is demonstrated by two examples.

Neighbourhood Dialogue – tools, process and evaluation 2

The slides are an offer and a proposal for IMPEL-members and others. Their purpose is to present the instruments of the neighbourhood dialogue process.

Main target groups for which they can be used are colleagues of your own or other affected authorities, respectively decision makers in your own authority.

The presentation provides information about the process and possible evaluation of neighbourhood dialogue. It is intended to give a short instruction and an overview of the process (central thread) and it shall encourage to use neighbourhood dialogue.

Please choose the slides needed according to your target audience or the cause for your presentation and adjust them to your needs. For example you could use some slides at the beginning of a dialogue process to explain the process, important basic rules and the role of the authority to the participants.

How this can be done is demonstrated by two examples:

- Example 1: convince authority staff

- Example 2: convince representatives of company(ies)

You find them as separate presentations on the IMPEL homepage.

Explanation and background information to the slides

Content

Part A


- ❖ What is neighbourhood dialogue?
- ❖ 6 steps to a good neighbourhood

Part B - Optional

- ❖ Self evaluation of neighbourhood dialogue – why?
- ❖ Tools for self evaluation – to ensure the quality and evaluate successes

Information about references

Neighbourhood Dialogue – tools, process and evaluation 3



The presentation is divided into two parts that can be used separately or together. If necessary you can select or adjust the slides to your individual main targets and your target groups.

- **(A)** The first part informs about the purpose and the possible benefits of a neighbourhood dialogue. This part ends with some information about the six steps of the process and the role of authorities in neighbourhood dialogues.
- **(B)** The second part presents selected instruments to assure the quality of a dialogue process and to assess success and results. The instruments enable authorities and companies to carry out a self-evaluation. You are free to choose the appropriate instrument that fits most to your case or to adjust it to your own needs.

The content is based on two publications - products of the IMPEL-project on neighbourhood dialogue, which you can download from the IMPEL-homepage:

„Toolkit – Establishing Neighbourhood Dialogue“

(http://impel.eu/categories/228/search_type/and)

„Guideline and excel table for self evaluation of neighbourhood dialogue“

(http://impel.eu/categories/228/search_type/and)

Explanation and background information to the slides

Companies and their neighbours may get into conflict about

	odour noise dust radiation light pollution development of site traffic vibration air pollutants health risk etc ...	  
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Neighbourhood Dialogue – tools, process and evaluation 4



Reasons for neighbourhood complaints and conflicts are manifold and are not always connected to rational causes / scientifically established risks or measurable emissions. These are only examples, the list is not completed.

Other reasons for conflicts may be risk of accidents and incidents because of explosive or harmful chemicals, etc.

Other causes such as mistrust and other concerns are often hidden behind apparently rational conflict reasons such as noise or dust.

Explanation and background information to the slides



Authorities control that the sites and activities under their responsibility are operated /carried out in compliance with the legal requirements. If conflicts arise, it is important for them to find sustainable solutions in accordance with the law. Such solutions will as a rule reduce incoming complaints and decrease unproductive work for the authorities, especially if after some time, the involved parties can solve their problems bilaterally. In a dialogue process companies and neighbours can make agreements beyond the required BAT level. Thus they can achieve more than is required by the law.

For companies safety of the site and legal security are important. Using direct dialogue with neighbours and authorities they can develop creative solutions beyond normal enforcement measures of authorities. The scope for negotiations is potentially wider (example: agreement on certain opening or production hours, route of approach, removal of the entrance of a chemical plant. ...)

Residents are in case of (subjectively perceived or objectively measurable) effects concerned about loss in value of their estates, peace, air quality, free (good) sight, optical aspects, health or they fear dangers like fire or explosion ...

Prevention: In this area of conflict neighbourhood dialogue can be used as means for conflict prevention instead of conflict solution. Noticing that there are conflict situations ahead authorities can recommend companies to start dialogue in good time to prevent conflicts or to minimise severeness of conflicts (e.g. during permit procedures)

Seveso II installations: In the permit procedure dialogue may be implemented as a standard instrument for a proactive, trustful and transparent communication and information policy.

Dialogue about permits: For a permit of high public interest, dialogue can be used to start developing proactive, trustful and transparent relationships between the operator, the authority and the local residents.

Explanation and background information to the slides



This slide shows the possible parties in the dialogue. Normally the main parties are:

- a company / several companies / site management
- the residents / complainants
- other groups involved in the case
- the authority
- a facilitator (from the authority or external) who is accepted by all parties

It is necessary to reflect carefully, which groups or persons should participate in the individual dialogue.

Neighbourhood dialogue cannot replace measures of the authority, but it may allow for a wider range of action, that might comprise other and partly wider options...

... especially if there is more than one problem to be solved and the situation is very complex concerning well-foundedness of complaints and the legal basis; if complaints increase and / or not only rational but also special subjective aspects play a part.

... especially if there is a complex structure of complainants, more than one affected authority and/or several contact persons in the company and it is difficult to develop a clear and transparent solution the best thing to do is to invite the central parties and potentially supporting persons.

Attention, be aware of notorious complainants/malcontents.

Hints, HOW to be aware of / to handle them: It is important, to pay adequate attention to them – adequate little or big – so that they disturb the dialogue as little as possible. So they can be included in the process or kept outside. Maybe it makes sense to negotiate with them separately. Guiding principle for difficult partners: Do not spend too much energy, which is needed to reach success with other (many / important) participants.

Explanation and background information to the slides

Neighbourhood dialogue ...

- is a structured process where everybody has the chance to be heard.
- is an effective communication platform for conflict prevention.
- aims at finding understanding and solutions in case of severe or recurring conflicts between companies and their neighbours.
- can be used systematically to maintain good neighbourhood relations.
- is not a substitute but a complement to authorities' necessary conventional actions



The dialogue process can be supported by consequent use of one moderating technique (e.g. Metaplan-technique). The facilitator is impartial and stimulates the process of neighbourhood dialogue. If the authority prefers to use internal facilitators, their role must be accepted and agreed by the whole group. The agreement on rules for the discussion is helpful.

When participants feel that they are being heard and their problems are being taken seriously, the dialogue process can help develop trusting relationship between all parties.

After the solution of the first problems neighbourhood dialogue may develop into a forum for conflict prevention.


If neighbourhood dialogue is perceived and used as a process the sustainability of its effect and its solutions may be assured.

Neighbourhood dialogues may not substitute necessary actions of an authority but they provide for a broadening of the scope of tools for conflict resolution.

Explanation and background information to the slides

Neighbourhood dialogues are especially useful if...

- ✓ the legal situation is not easy to assess.
- ✓ sustainable conflict resolution requires additional options to complement the classical catalogue of authorities' actions.
- ✓ there is distrust in the company and/or the authority to take appropriate action.



Neighbourhood Dialogue – tools, process and evaluation 8

Neighbourhood dialogue may not substitute the regulatory actions of an authority, but they provide a broader range of tools for conflict resolution.

Neighbourhood dialogues are especially useful if

- there are several issues to address
- it is difficult to assess the relevant facts, the justification of complaints and/or the exact consequences of the applicable legal rules.
- complaints or the number of conflict issues increase
- it becomes apparent that distrust and other deficits in information and communication perceived in the neighbourhood of a site as well as presumed negative effects on health and environment which are not scientifically proven aggravate the conflict and create mistrust. The resulting concern in the neighbourhood often plays an important – if not decisive - role.

Another reason to get the main stakeholders together to talk, could be when there's a diverse mix of complainants, several responsible authorities involved and / or diverse relevant contacts in the management of the site / enterprise. These factors can all make it difficult to reach a solution. Other potentially helpful persons could be asked to get involved in dialogues.

Explanation and background information to the slides

Benefits of a professional dialogue procedure

- ✓ Workable solutions are created
- ✓ Citizens recognise the performance of authority
- ✓ Resistance and administrative appeals against permissions or decisions decline, procedures shorten
- ✓ Number of complaints decreases, less bad press
- ✓ Workload of the authority is relieved sustainably
- ✓ Companies / sites improve their public image
- ✓ Companies gain security for their site
- ✓ Citizens are empowered and better informed
- ✓ ...

Neighbourhood Dialogue – tools, process and evaluation 9



This slide shows primarily advantages for authorities, but as well some advantages for the other parties in a dialogue. In the individual dialogue process occur totally different benefits.

If the presentation is used for other target groups it make sense to adapt the list of benefits to the audience.

For all participants:

- Workable solutions, solutions better adapted to the interests of the different parties.

For the authority: (some are benefits even for the **company**)

- Citizens recognise the performance of the authority – they understand the scope of action and their trust in authorities actions increases
- Resistance and administrative appeals against permissions or decisions decline, procedures shorten, through early involvement of citizens
- Number of complaints decreases, less bad press
- Workload of the authority is relieved sustainably

For the company:

- Companies / sites improve their public image by more contact and open discussions
- Companies gain security for their site (development) when there are less problems with the neighbourhood

For the citizens:

- Citizens are empowered and better informed if they are provided with understandable informations and if they get answers to their questions

Explanation and background information to the slides

Risks of a dialogue procedure

- ❖ Agreements as such are not legally binding
- ❖ Participants cannot push through with maximum demands
- ❖ Participants give up their distance to each other – “loose their enemies” or “moral upper ground”
- ❖ The neighbourhood may split up into different groups.

Pro and Cons: Conclusion

Neighbourhood dialogue is an important option for the authority !



Disadvantages: neighbourhood dialogues may also have unwelcome side effects and shortcomings – which should be clear for all participants from the beginning:

- Agreements are not legally binding as long as they are not integrated into binding decisions of the authority (which may not always be possible) or into a valid civil law contract or a settlement under public law.
- Participants wanting to push through with maximum demands will probably refuse dialogue participation as solutions agreed upon will usually represent a compromise.
- „Concepts of the enemy“ cannot be maintained in a successful dialogue process.
- Participants give up their distance to each other – which is not always regarded as a gain.
- The neighbourhood may split up into different groups – the chances and risks of which should be evaluated with care.

Summing up: weighing the pros and cons of neighbourhood dialogue

1. Reaching a sustainable and mostly peaceful co-existence between industrial/commercial and private neighbours through neighbourhood dialogue is possible.
2. All participants may profit from this.
3. Reductions of regulation and control require new strategies.
4. As a rule, the advantages of neighbourhood dialogue prevail clearly over its disadvantages. (*)

(*) In spite of this, in special cases it may not make sense to start a dialogue. But the neighbourhood dialogue as an instrument still remains an important additional option for an authority.

Explanation and background information to the slides



Neighbourhood dialogue can only be successful if there is a plan to manage the process, and help participants understand how the process will work towards developing a solution. Single engagement actions might be good but their effects quickly fall flat or don't work at all if there's no follow up.

Initiators must know the goals they want to achieve and agree on them with all participants at the first meeting.

The process and the steps to achieve the goals must be made clear to all involved.

The process is made up of a series of steps (see slide). The steps build up, one upon the other, and form the basis of a well planned dialogue process. Before the first meeting the participants are informed about the neighbourhood dialogue process.

Tip: Remember your dialogue plan is flexible, and can be changed at any stage if local circumstances or issues change.

You will find detailed information about the steps in the „Toolkit – Establishing neighbourhood dialogue (page 12 – 43), in the appendix you find a short version (page 45 – 47) and further useful supporting material for neighbourhood dialogues (page 48 – 66) (http://impel.eu/categories/228/search_type/and)

Explanation and background information to the slides

step 1 Initiating and preparing the dialogue

- Analyse the conflict
- Examine the legal background / the scope of action of the authority
- Convince the key people in the company to get involved
- Explore interests and expectations of all parties
- Decide on the role of the authority / think about an accepted facilitator

Authorities may initiate the dialogue



Neighbourhood Dialogue – tools, process and evaluation 12

Legal framework: the legal situation must be clear – dialogue cannot replace implementation or enforcement measures of authorities – illegal situations cannot be tolerated in exchange for the initiation of a dialogue. Only after thorough examination of the case and in case of good prospect for a successful dialogue and achievement of the legally required standards, a defined period of time may be conceded for compliance to be achieved.

Role of the authority: The authority provides support for the parties involved and gives advice, checks up the legal framework, explores the scope of action.

Involvement of the company: sometimes it is useful to develop a provisional concept on structure and procedure of the dialogue, that company representatives get an idea of what is ahead and which advantages the dialogue will bring for the company including the longterm perspective. Sustainable solutions are worked out / opposition and objections against permits will decrease / frequency of complaints will decrease too. (You can find further supporting arguments for authorities dealing with companies in part B of this presentation).

Potential for conflicts: The authority may recommend neighbourhood dialogue to the company as a preventive measure or in a permit procedure.

Key persons in the authority / company / important active parties that have to be involved to assure the success of the dialogue. Be aware that some of the key people become evident only during your work on step 1 and 2.

Analysis of interests: first identification – basis for the following dialogue concept.

Facilitator accepted by all parties: usually you need a facilitator, the person may come from the authority, it may be a professional external facilitator or a person with profound foundation of trust (mayor / pastor / vicar ...).

Explanation and background information to the slides

Step 2 Developing and designing the concept

- Assess opportunities and risks of the dialogue
- Contact representatives
- Identify representatives' willingness to negotiate and their scope for action
- Define participants in the dialogue
- Define date, place, form of dialogue
- Reach agreement on dialogue concept as first step of cooperation

Authorities can act as representatives or facilitators



Neighbourhood Dialogue – tools, process and evaluation 13

step 1 + 2 are closely linked in the dialogue, they often overlap.

In this step several questions are solved:

For example:

- Is there a great need for information exchange between the parties?
- Is there any scope of action?
- Are the relations between the acting parties favourable for a dialogue or not?
- Which is the legal situation?
- Does the authority have any scope for action regarding its measures?
- Which are the chances of success if only the authority takes measures?
- Which chances of success are there for a dialogue of the involved parties?
- Who should be involved in the dialogue?

The authority as facilitator: the authority can take over this role only if all parties involved accept it (= enough trust in the authority). Alternatively a representative from another department / another office can moderate the discussions. If both options are not possible an external (impartial) facilitator should be engaged.

(Further questions can be found in the „Guideline for self evaluation“, resource see slide 28)

Explanation and background information to the slides

Step 3 Starting neighbourhood dialogue

- Send out invitations / prepare the first meeting
- Plan well the agenda, methods and structure for the first meeting
- Plan sufficient time for initial discussion about the main issue
- Encourage participants to involve and build trust
- Make agreements about rules of dialogue, including communicating with the media

Authorities act impartially



Starting neighbourhood dialogue is a very important step. Here the representatives involved check whether it is possible and worthwhile to build up trust. Therefore a carefully reflected structure is needed.

The invitation and preparation of the first meeting should be planned carefully: who invites – to which place – when – how long – what is the issue – which are the objectives ...

The development of the structure of the items and the dialogue uses a clear structure of the dialogue steps including a „warm-up phase“ for participants, the agreement on common ground rules ... Techniques of moderation and visualisation provide support for an effective discussion.

Experience shows that there should be enough time for an initial discussion about the main issue. Participants must experience that they are heard and that there is room for their emotions.

Role of the authority: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic. In any case authority members have to be strictly impartial even with little signs and gestures.

Explanation and background information to the slides

Step 4 Making progress

- Supply comprehensive information that is understandable for all participants
- Being clear and open with facts and uncertainties, encourage adoption of different perspective and careful listening, solve and prevent misunderstandings ...
- Build up an objective basis for agreements: analysis of interests, development of options
- Develop agreements with mutual obligations that are acceptable for all parties

Authorities control the compliance with legal requirements



Neighbourhood Dialogue – tools, process and evaluation 15

Initiate openness while dealing with facts, uncertainties, fears and concerns, limitations, obstacles and responsibilities – this needs a good plan for the discussion and a professional moderation of the meeting. Explore the conflict behind the conflict.

Bases for an agreement: thorough analysis of interests, development of options / often also compilation of criteria for objective decisions

Development of agreements with mutual obligations, that all parties can accept. It must be clear who has got which task and which responsibility, how the result can be checked. Attention: agreements below legal requirements are not acceptable!

Role of the authority is like in the step before: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic, concerning the scope of action of the authority.

Explanation and background information to the slides

Step 5 Getting results and celebrating success

- Each meeting should be followed up by documenting and translating agreements into action, communicating performance to participants
- Get regular feedback about work style and results, evaluate the dialogue process
- Share the results with participants and celebrate success
- Communicate the results to the media together

Authorities integrate dialogue results into their decisions where possible



Neighbourhood Dialogue – tools, process and evaluation 16

Within their legal framework, authorities align their decisions with the results of the dialogue as far as possible and practicable. The basis of authority's action is the legal framework. Within this framework, dialogue results may be integrated.

It is therefore important for the authority to repeatedly describe and clarify its scope for action and its discretionary powers. The success of this and of other dialogues also depends on authorities alignment to (and perhaps active support of) the dialogue results.

It is important to talk about the decision making process in the dialogue and within the groups, represented by the participants in the dialogue (e.g. action groups, authorities, ...) If necessary give support to the representatives for the information of their groups.

Explanation and background information to the slides

Step 6 Maintaining good neighbourhood relations

- Contacts to and relations with the neighbourhood should be purposefully maintained and developed
- Continue reciprocal information exchange and solidify trust and confidence
- Keep up regular but less frequent meetings
- React to changes in the neighbourhood – adapt or expand contacts
- Maintain contacts for immediate communication in case of crisis

Usually, authorities withdraw from dialogue now



Neighbourhood Dialogue – tools, process and evaluation 17

In this step, contacts with and relations to the neighbourhood are solidified and put on a sustainable foundation. This requires that the informational exchange and the building of trust is continued as an ongoing process.

Regular but less frequent meetings: adequate structures should be developed for preventive dialogue – which differ in frequency as well as in participants from the „acute“ dialogue phase for resolving a conflict. E.g. a smaller group may meet and then report regularly to the other interested stakeholders, or different small groups may meet on different topics (politicians, cross-regional citizens' initiatives, direct neighbours, ...) so that they can work on their respective special issues in the different meetings.

Changes/ departures / loss of key contacts should be compensated, generational change, new stakeholders, changes in interests require an active stakeholder management (absolute necessity!)

Site managements which developed solid communication channels in „peaceful“ times have a chance to use these in times of crisis for a timely and trust-engendering information of the neighbourhood.

Representatives of the authority participate in the meetings upon invitation only; as a rule the authority withdraws from regular dialogue in this phase.


Explanation and background information to the slides

Part B - Optional

Self-evaluation of one or more dialogue procedures

- **Why?** The benefit of self-evaluation
- **How?** Overview of the tools and
- **Here:** Cutouts of selected tools

Neighbourhood Dialogue – tools, process and evaluation 18



In part B of this presentation an authority/ a company/ a facilitator may find information about specific measures to ensure the quality and evaluate the success of one or several dialogues.

If an authority has made neighbourhood dialogue one of its instruments it may evaluate (and prove) the results and successes of one or more dialogue processes. This will provide more facts, with which colleagues or leading persons can be convinced in their own authority, in other units and/or even the key persons in a company.

You can use the following slides as an option in the following manner:

- Use them in combination with part A
- Or use them separately – only part B
- Or chose those slides, which give a first idea, what self evaluation can mean to your audience

For initiators installing their first neighbourhood dialogue, the slides of part A would probably suffice. The first slides of part B give a short overview of the tools and what their individual focus is, while the last slides contain more detailed information about the most important tools for quality assurance and evaluation of results.

The following slides consequently present tools for quality assurance and assessment of success in neighbourhood dialogues.

Again: please use and combine the slides individually according to the aims of your presentation.

Explanation and background information to the slides



A self evaluation is done, when projects or institutions assess their action on their own and analyse and evaluate the results.

To find out, if a dialogue procedure provided the expected benefit, all involved groups should be interviewed:

- Companies: Do they feel more acceptance? Do they see more safety of the site?
- Citizens: Do they have more confidence in the company / the authority? Do they feel better informed?
- Authorities: Are there less complaints? Is the workload decreasing? Did they achieve more sustainable results?

Therefore authorities (and companies / or the facilitator) may use several tools for self evaluation. The results, the success and the contentness of the participants can be evaluated.


For more information see the document in the library on the IMPEL-Homepage „Guideline for self evaluation of neighbourhood dialogue“ that can be downloaded. (http://impel.eu/categories/228/search_type/and)

Explanation and background information to the slides

Self-evaluation of neighbourhood dialogue(s) during and at the end of the process

<p>Quality assurance How to know,</p> <ul style="list-style-type: none">■ whether a dialogue may be successful?■ whether to recommend dialogue or not?■ whether dialogue is carried out professionally?	<p>Evaluation of success How to find out,</p> <ul style="list-style-type: none">■ which results have been achieved by the dialogue?■ if the participants see the dialogue as successful?■ which was the workload of the dialogue?
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Neighbourhood Dialogue – tools, process and evaluation 20



Self evaluation means: The facilitator, the authority or the company itself may use the evaluation instruments as such (or adapt them to their individual needs).

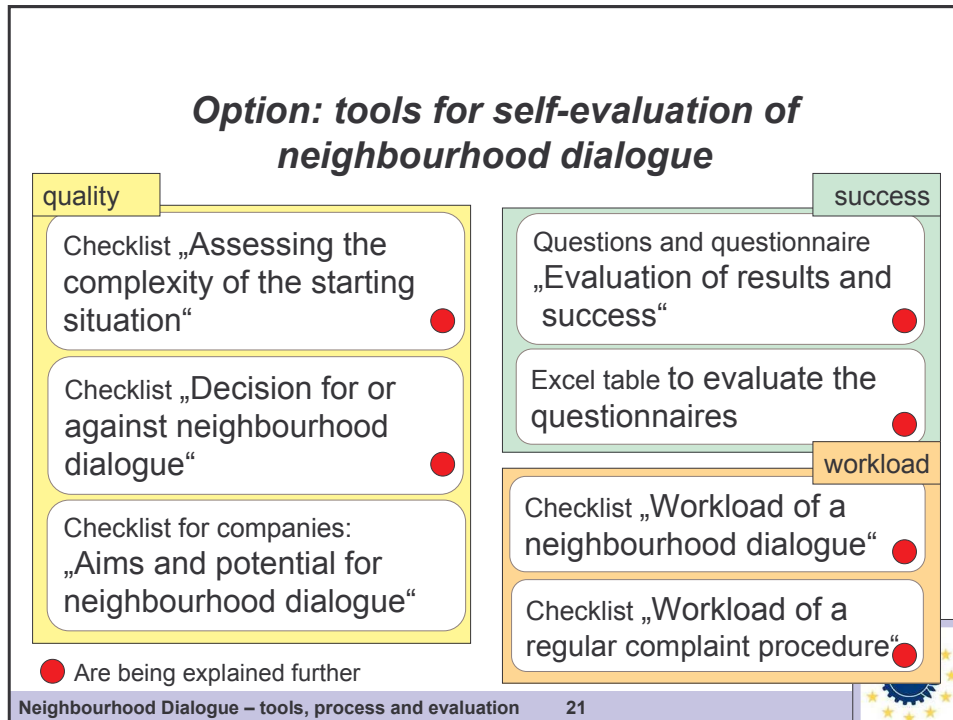
Self-evaluation should be integrated in each dialogue procedure at the beginning, during and at the end of the process:

At the beginning and during the process you may use self-evaluation, to come to a well founded decision to start a dialogue or not, to assure the quality and to make necessary corrections.

During and at the end of a dialogue procedure you may use self-evaluation for quality assurance, as a basis for necessary corrections in the procedure and to find out if the process was successful (in the eyes of all participants) and which results have been achieved. You may document the resources needed and compare the latter to the resources needed for dealing with complaints in a regular administrative procedure.

If you plan to present single tools it might be very helpful to look first for deeper information into the „Guideline and excel table for self evaluation of neighbourhood dialogue“ (http://impel.eu/categories/228/search_type/and)

Explanation and background information to the slides



Slides 22 to 27 contain more detailed information about the most important tools for quality assurance and evaluation of results. The tools marked with a red dot will be explained further in the subsequent slides.

The checklist Assessing the complexity of the starting situation already provides clues for the estimation of resources necessary for the handling of the matter (in terms of time and staff). With the completion of this analysis it will become clearer, whether the installation of a neighbourhood dialogue remains a promising option for the individual case.

The checklist Decision for or against neighbourhood dialogue contains criteria for a systematic reasoning or a well founded recommendation (be it within the own office or towards site managements or other stakeholders). Its treatment also helps to recognise aims and topics for the dialogue.

The questions for evaluation give a basic structure for a round table discussion with all dialogue participants and help to estimate whether the dialogue is promising enough for all to be continued.

The questionnaire is meant for (written) interviews of the participants in the course of and at the (provisional) end of a neighbourhood dialogue, so that necessary corrections / improvements within the process may be recognised and success may be documented.

The checklist : „Aims and potential for neighbourhood dialogue“ can be used in the discussions with companies.


The checklists on Workload of a neighbourhood dialogue and Regular complaint procedure help towards the rough estimation in advance as well as the documentation at the end of the process and - on the long run – make comparisons between procedures possible.

You can find even more tools (as well as several examples of application) in the „Guideline for self evaluation“ (see description on p. 7 to 11, main example p. 12 to 31, further examples p.77 ff.)

Explanation and background information to the slides

Checklist „Complexity of the starting situation“			
complexity	simple	medium	difficult/high
characteristics		↓ Partly complex structure of complainant groups, more than one authority affected, several company representatives involved More than one issue, difficult to assess which complaint issues are justified and to what extent Increasing number of complaints, problems „behind the complaint“	
Complainants	Some individual issue / several		Several groups / issues
Starting (topics / conflicts)	Single issue / project with potential		Multiple / difficult to measure
Type of conflict	Complaints central problem		Multiple / difficult to measure
Number of affected stakeholders	Low < 15, neighbours		High, many 10, several
Public awareness	Low, only neighbours		High, articles in newspapers, media awareness, politicians and key persons
.... Etc.			

Neighbourhood Dialogue – tools, process and evaluation 22



In Step 1 of a neighbourhood dialogue (see slide 11) this checklist helps assessing the complexity of the starting position. The tool can be used in the beginning or before the beginning of a neighbourhood dialogue and will give good advice even later in the dialogue process or complaint procedure.

Nearly all neighbourhood dialogues are implemented because there are many and/or serious complaints. To come to a well-founded estimation of whether having a neighbourhood dialogue makes sense it is useful to precisely describe the starting situation. The tool “assessing the complexity” leads you to a description concerning the structure of affected stakeholder groups, conflicts and topics, public awareness and other characteristics of the situation. Using this tool leads to an improved insight into whether a neighbourhood dialogue should be considered as an option or not.

Assessing the complexity will give you a first and rough estimation of how difficult the situation will be. You can use this as a first indicator for the estimation of workload connected with this case. Assessing the complexity will give you a systematic overview of the case and may be helpful for handling the complaint(s) as well as to establish a special neighbourhood dialogue.

See Guideline for self evaluation: Schematic to assess the complexity, p. 39 to 41 and examples on page 81 to 94

Explanation and background information to the slides

Checklist „Decision for or against a neighbourhood dialogue“	
Question 8: Why do you recommend a neighbourhood dialogue?	
<input type="checkbox"/> There is an urgent need to systematically give comprehensive information and explanations to the neighbours of the company!	
<input type="checkbox"/> There is a need for exchange between the company and its neighbours.	
<input type="checkbox"/> There is room for negotiations / decisions / working out a solution together.	
<input type="checkbox"/> The parties have and will have ongoing relations.	
<input type="checkbox"/> Emotional aspects make a reasonable complaint procedure more difficult.	
<input type="checkbox"/> The parties have difficulties, starting the conversation themselves.	<input type="checkbox"/> The parties are aware of the existence of a conflict and are interested in a quick solution.
<input type="checkbox"/> The parties are aware of the existence of a conflict and are interested in a quick solution..	
<input type="checkbox"/> The parties (including the authority) assume, that going in front of a judge will not yield a solution or will be more expensive or time-consuming.	

Neighbourhood Dialogue – tools, process and evaluation 23

Using this checklist in Step 1 of a neighbourhood dialogue helps to systematically argue for or against the installation of a neighbourhood dialogue within your own sphere of work as well as towards management representatives of a concerned site or enterprise or towards any other potential participants of a neighbourhood dialogue.

Additionally, it also hints at the goals at which the individual dialogue should aim.

At the end, a clear decision in favour of or against a dialogue should be possible – or at least the questions which remain to be answered for this decision should be clear. The same is true for a first assessment of the necessary resources.

After questions concerning general information and date (1-5) the checklist offers :

6. What may possibly be the main reasons for a neighbourhood dialogue?
7. Where did you get the main impulse/ idea to consider a neighbourhood dialogue?
8. **Why do you recommend a neighbourhood dialogue?**
9. Are the following aspects adequately assured?
10. How do you assess the starting position of the neighbourhood dialogue?
11. How much time will the dialogue process require the special assistance of the authority?
12. How much time ...?
13. Do you have any other comments or suggestions or are there any relevant matters?
14. Given the results of this checklist: do you recommend a neighbourhood dialogue?

See **Guideline for self evaluation: Checklist to assess the chances of a neighbourhood dialogue (p. 42) and examples for application (p. 94 and further, Guideline. Tool II)**

Explanation and background information to the slides

Questionnaire „Evaluation of results and successes“

Part A - for all parties						
10/1. What results and successes have been achieved through neighbourhood dialogue until now?						
1 = agreeing absolutely/ 6 = not agreeing at all	1	2	3	4	5	6
concrete results, comments (optional)						
Consensus about previously controversial issues is reached.	Fill in the sum of the answers of the different participants accordingly.					
Citizens/ NGO's	3	4				
Company representatives		4	5			
Involved authority	4	4				
Others	1					
A solution to the original problem/ complaint could be found.						
Citizens/ NGO's	2	2	3			
Company representatives		5	3	1		
Involved authority		4	4			
Others		1				
There is now more contact between the neighbours and the company.						
Citizens/ NGO's		3	4			
Company representatives	5	4				
Involved authority		4	4			
Others			1			
There is now greater trust between the neighbours and the company.						
Citizens/ NGO's		2	1	2		
Company representatives	3	4				
Involved authority		2	6			
Others			1			

A solution for the original problem could be found.

Citizens/NGO's
Company representatives
Involved Authority
Others

Neighbourhood Dialogue – tools, process and evaluation
24

This questionnaire serves (in steps 3 to 6 of a neighbourhood dialogue) as a written interview of the participants in the course of a neighbourhood dialogue, so that necessary corrections in the dialogue process may be recognised and implemented and/or first achievements may be documented.

It may be of assistance in deciding about the continuation or the termination of the dialogue.

At the (provisional) end of a dialogue, it shows all participants the results and the success of the individual dialogue and asks about the invested resources at the authority and at the participating site management(s)/enterprises.

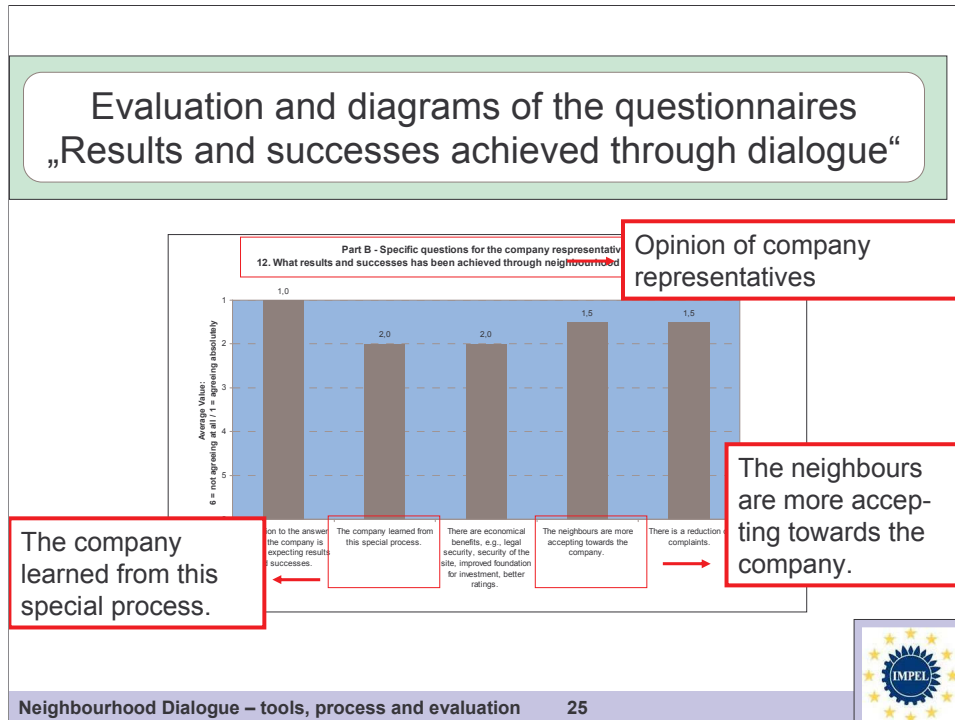
The questionnaire differs constantly between the various parties in the dialogues: authorities, enterprises/site managements, citizens, NGOS, neighbours and others.

You may change or add to the questionnaire according to your individual needs as a user.

The interrogation touches results and success (consensus / solutions / contacts established / gain in information and understanding / trust / possibilities for influence / satisfaction / estimations of cost effectiveness / invested resources / readiness to participate)

See Guideline for self evaluation: Questionnaires at the end of a ND (p. 51 ff) and Questions for a group discussion during (or at the end of) a dialogue process (p. 48 ff)

Explanation and background information to the slides



To analyse the results of the questionnaire, there is an Excel table available at the IMPEL-website (free download). It may be used for the analysis of one or several dialogues. (in steps 3 to 6 of a neighbourhood dialogue)

When the results of the questionnaires are entered in the table, they can be displayed in 13 different diagrams, which indicate:

- the composition of participants
- the duration of their participation
- the satisfaction of the different participant group (individually and in comparison to each others)
- the effects of one or several dialogues (as well in the ranking of the different participant groups as in comparison to each other)
- the learning experience of the different groups
- the resource investments of representatives of the authority and the enterprise in terms of work time (individually as well as in comparison)
- different dialogues may be compared with a view to invested time and to the satisfaction of the different participant groups

See **Guideline for self evaluation: Estimating the workload of a neighbourhood dialogue** (p. 61 ff), and the description of the **Excel table to evaluate the questionnaires** (S.70)

See **separate documents in Excel format** (free download from the IMPEL-Homepage “Excel table to analyse the questionnaires” as well as an example of application “Evaluation of a specific process),

Explanation and background information to the slides

Checklist „Estimating the workload of a neighbourhood dialogue “			
Complexity of the situation	simple	medium	high/difficult
Step 1 Initiating and preparing neighbourhood dialogue			
1.1 Draft the provisional goal	(example 1) noise from a laundry: authority 1day company ½ day	(example 2) smell emission from cereal production company: authority 1 day company ½ day	The workload may differ to a high degree. The more documentations you have, the better you can estimate the workload.
1.2 Engage the company (and the authority) in dialogue.			
1.3 Find an adequate impartial facilitator.			
1.4 Examine, what scope of action the company has and what kind of involvement the dialogue can offer.			
1.5 Convince the company of the provisional concept and ensure the company is committed to the neighbourhood dialogue.			
1.6 Contact neighbourhood representatives and clarify interests and expectations (stakeholder analysis)			
Neighbourhood Dialogue – tools, process and evaluation 26			

This checklist follows the structure of the „6 steps“ - with some subdivisions - (slide 11) in the course of a neighbourhood dialogue as well as in the assessment of complexity and provides for clues regarding the probable work load for the prospective dialogue. The indicated data is founded on experiences with neighbourhood dialogues carried out so far and may vary in detail.

As every case is different and its development is not exactly predictable, it is worth documenting everyone's own experiences during and at the end of the dialogue process. This is easily done using this tool.

Without experience in dialogue processes a realistic estimation in advance of the workload which will be caused by a dialogue process is rarely possible. Experience shows that a dialogue does not take more time than a regular complaint procedure. In addition to that often there is no real alternative to a dialogue, if there is a conflict between the company and its neighbours. In many cases the regular complaint procedure brings less results and success and doesn't stop the influx of new complaints sustainably.

See Guideline for self evaluation: Schematic with the main steps of a neighbourhood dialogue (p. 62 to 65) and examples (p. 26 to 28 and 114 to 127)

Explanation and background information to the slides

Checklist „ Estimation of the workload of a regular complaint procedure“			
Complexity of situation	simple	middle	high/difficult
(Five) Steps of the regular complaint procedure			
(1) Receipt of the complaint	(example 1) noise from a laundry: workload of authority: 2 days within 1 week		(example 2) increasing traffic noise in mixed-use area: workload of authority: continuous
(2) Checking the circumstances of the case			
(3) Defining intermediate results / documentation			
(4) Realisation of official acts, measures, sanctions, etc.			
(5) Bringing complaint procedure to an official end			
		The workload may differ to a high degree. The more documentations you have, the better you can estimate the workload.	
Neighbourhood Dialogue – tools, process and evaluation 27			

This checklist provides for clues about the workload connected to processing administrative complaints while differing between the handling of simple, medium complex and complex conditions. The indicated data is based on experiences and should be understood as a rough estimation, from which the individual case may deviate.

Based on this estimation, an authority may judge whether a neighbourhood dialogue will be a useful long term investment. The workload of both the dialogue and the (presumably recurring) complaint procedures may be compared to each other in a prognosis. A direct comparison would not be possible as an individual conflict or procedure can either be handled with or without a dialogue.

See Guideline for self evaluation: Schematic with the main steps of a regular complaint process (p. 66-67) and examples (p. 29-30 and 122-126)

Explanation and background information to the slides

Further Information / Resources

Products of the IMPEL-Project

„Informal resolution of environmental conflicts by dialogue“
2004 - 2010

process: brochure „Solving environmental conflicts by Dialogue“
(http://impel.eu/categories/228/search_type/and)

procedure, methods and steps: „Toolkit – Establishing
Neighbourhood Dialogue“ (
(http://impel.eu/categories/228/search_type/and)

quality assurance and evaluation: „Guideline and excel table for
self evaluation of neighbourhood dialogue“
(http://impel.eu/categories/228/search_type/and)

You find annotations on the slides on the notes pages

Neighbourhood Dialogue – tools, process and evaluation 28



Other Resources (english language):

Germany

Brochure „Enterprises and their neighbours: Building confidence to solve conflicts. 12 Steps towards a good neighbourhood“ www.Gewerbeaufsicht.niedersachsen.de

UK

The Environment Agency: Building trust with communities. A toolkit for staff. Bristol, 2004

The Environment Agency: Working with others. Building trust with communities. A guide for staff. Bristol, 2006

The Environment Agency: Training manual: Engaging stakeholders in permitted sites of high public interest; M 77 course for staff, Bristol 2010.

Explanation and background information to the slides

This presentation is a product of the IMPEL-project
“Resolution of environmental conflicts by
neighbourhood dialogue (project part 4 in 2010)”
with participants from the European member states
France, UK, Spain, The Netherlands, Austria, Bulgaria, Slovenia, Germany

We wish you success and many
good experiences with your
neighbourhood dialogues!



Neighbourhood Dialogue – tools, process and evaluation 29

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Erläuterungen und Hintergrundinformationen zu den Folien



Nachbarschaftsdialog

**Das Instrument „Nachbarschafts-Dialog“
zur Prävention und Lösung von Konflikten
zwischen Unternehmen und ihren Nachbarn**

Verfahren - Schritte - Evaluation



Foto kleines Unternehmen
(Imbiss, Bäckerei, Wäscherei,)

Die Reihenfolge und Auswahl der Folien kann nach Bedarf und Zielgruppe zusammen gestellt werden.

Diese Präsentation ist auf der IMPEL-Homepage in mehreren europäischen Sprachen zu finden.

(http://impel.eu/categories/228/search_type/and

oder über <http://impel.eu/> unter “Projects”;

alternativ können Sie auf der Homepage über die Suchfunktion “Search” nach Eingabe von “Neighbourhood Dialogue” die Projektberichte und Produkte erhalten)

Erläuterungen und Hintergrundinformationen zu den Folien

Zielsetzung der Präsentation – Hinweise zur Nutzung

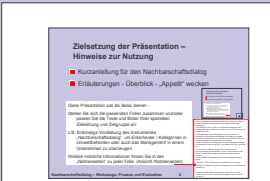
- Kurzanleitung für den Nachbarschaftsdialog
- Erläuterungen - Überblick - „Appetit“ wecken

Diese Präsentation soll als Basis dienen -

Stellen Sie sich die passenden Folien zusammen und/oder passen Sie die Texte und Bilder Ihrer speziellen Zielsetzung und Zielgruppe an:

z.B: Erstmalige Vorstellung des Instrumentes „Nachbarschaftsdialog“, um Entscheider / KollegInnen in Umweltbehörden oder auch das Management in einem Unternehmen zu überzeugen.

Weitere nützliche Informationen finden Sie in den „Notizenseiten“ zu jeder Folie (Ansicht /Notizenseiten)



Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 2

Die vorliegenden Folien sind als Vorschlag zu sehen. Sie können genutzt werden, um das Instrument „Nachbarschaftsdialog“ vorzustellen.

- Die Zielgruppe sind in erster Linie Kollegen aus eigenen oder weiteren beteiligten Behörden zu sehen, bzw. die Entscheider in der eigenen Behörde.
- Die Präsentation vermittelt Informationen über Ablauf und Evaluation von Nachbarschaftsdialogen. Sie bietet eine knappe Anleitung und Übersicht zum Verfahren (roten Faden) und soll zur Anwendung eines Dialogverfahrens Mut machen.
- Stellen Sie sich für Ihre Zielgruppe und Ihren Präsentationsanlass die passenden Folien zusammen, bzw. passen Sie Texte und Bilder an.
- So können zum Beispiel einige Folien zu Beginn eines Dialogverfahrens genutzt werden, um den TeilnehmerInnen den Ablauf, wichtige Grundregeln und die Rolle der Behörde zu erläutern.
- Auf der IMPEL-Homepage sind zwei Anwendungsbeispiele zu finden:
 - Beispiel 1: Einen Kollegenkreis einer Behörde überzeugen
 - Beispiel 2: Mitglieder aus dem Management eines Unternehmens überzeugen
- Sie können diese Notizen ausdrucken, wenn Sie im Fenster

Die vorliegenden Folien sind als Vorschlag zu sehen. Sie können genutzt werden, um das Instrument „Nachbarschaftsdialog“ vorzustellen.

Als Zielgruppe sind in erster Linie Kollegen aus eigenen oder weiteren beteiligten Behörden zu sehen, bzw. die Entscheidungsträger in der eigenen Behörde.

Die Präsentation vermittelt Informationen über Ablauf und Evaluation von Nachbarschaftsdialogen. Sie bietet eine knappe Anleitung und Übersicht zum Verfahren (roten Faden) und soll zur Anwendung eines Dialogverfahrens Mut machen.

Stellen Sie sich für Ihre Zielgruppe und Ihren Präsentationsanlass die passenden Folien zusammen, bzw. passen Sie Texte und Bilder an.

So können zum Beispiel einige Folien zu Beginn eines Dialogverfahrens genutzt werden, um den TeilnehmerInnen den Ablauf, wichtige Grundregeln und die Rolle der Behörde zu erläutern.

Auf der IMPEL-Homepage sind zwei Anwendungsbeispiele für angepasste Präsentationen zu finden:

- Beispiel 1: Einen Kollegenkreis einer Behörde überzeugen
- Beispiel 2: Mitglieder aus dem Management eines Unternehmens überzeugen

Sie können diese Notizen ausdrucken, wenn Sie im Fenster „Drucken“ statt „Folien“ „Notizenseiten“ wählen. (siehe „Datei“ / „Drucken“)

Erläuterungen und Hintergrundinformationen zu den Folien

Inhalt

Teil A


- ❖ Was ist ein Nachbarschaftsdialog?
- ❖ In 6 Schritten zu guter Nachbarschaft

Teil B - Optional

- ❖ Selbst-Evaluation von Nachbarschaftsdialogen – warum?
- ❖ Werkzeuge für die Selbstevaluation - Qualität sichern, Erfolge messen, Aufwand schätzen

Information zu Quellen

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 3



Die Präsentation gliedert sich in zwei Teile, die einzeln oder in Kombination genutzt werden können. Ggf. müssen die Folien auf den gewählten Schwerpunkt angepasst werden.

(A) Im ersten Teil wird erläutert, was ein Nachbarschaftsdialog ist und welche möglichen Vorteile ein Dialog mit sich bringt. Informationen über die sechs Schritte des Verfahrens sowie die Rolle der Behörde runden den ersten Teil ab.

(B) Im zweiten Teil werden ausgewählte Instrumente zur Qualitätssicherung eines Dialoges vorgestellt sowie zur Erfolgs- bzw. Ergebnis-Feststellung. Die Instrumente dienen der Selbst-Evaluation. Auch hier ist es jedem Nutzer freigestellt, sich das jeweils passende Instrumentarium auszuwählen oder auch an die eigenen Bedürfnisse anzupassen.

Die Inhalte basieren auf zwei Veröffentlichungen aus einem mehrteiligen IMPEL-Projekt, die zum download auf der IMPEL-Homepage zu finden sind:

„Toolkit – Establishing Neighbourhood Dialogue“
(http://impel.eu/categories/228/search_type/and)

„Guideline and excel table for self evaluation of neighbourhood dialogue“
(http://impel.eu/categories/228/search_type/and)

Erläuterungen und Hintergrundinformationen zu den Folien

Unternehmen und ihre Nachbarn können in Konflikte geraten über

	Geruch	
	Lärm	
	Stäube	
	Strahlung	
	Licht	
	Verkehr	
	Schwingungen	
	Luftschadstoffe	
	Gesundheitsrisiken	
	etc.	

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 4

Die Ursachen von Nachbarschaftskonflikten sind vielfältig und hängen nicht immer von harten Fakten/etablierten/wissenschaftlich anerkannten Risiken bzw. messbaren Emissionen ab. Die genannten Auslöser sind damit nur Beispiele.

Andere Konfliktauslöser wie „Mißtrauen“ oder Befürchtungen verbergen sich häufig hinter den scheinbar rationalen Konfliktgründen wie Lärm oder Stäube.

Weitere Konfliktfelder können sein: (Aufzählung nicht vollständig)

Heranrückende Wohnbebauung oder Entwicklung von Industriestandorten

Risiken für Störfälle und Ereignisse infolge explosiver oder gefährlicher Chemikalien

Etc.

Erläuterungen und Hintergrundinformationen zu den Folien



Behörden ist wichtig, nachhaltige Lösungen zu erarbeiten, Rechtssicherheit und Befriedung des Konflikts zu erlangen. Wenn sie Entlastung finden und die Akteure ihre Probleme selber lösen können, reduziert sich die Zahl der Beschwerden. In einem Dialog können Unternehmen und Bürger Vereinbarungen über den Stand der Technik hinaus vereinbaren und damit mehr erreichen, als durch behördliches Handeln allein möglich ist.

Unternehmen ist Standortsicherheit / Rechtsicherheit wichtig. Sie können im direkten Dialog mit Bürgern und Behörde gemeinsam kreative Lösungen entwickeln, die im klassischen Behördenhandeln nicht möglich wären und so den Verhandlungsspielraum vergrößern. Beispiel für Kompromisse: Vereinbarung über bestimmte Öffnungs- oder Produktionszeiten, veränderte Anlieferungswege, Verlegung der Einfahrt einer Chemieanlage, etc.

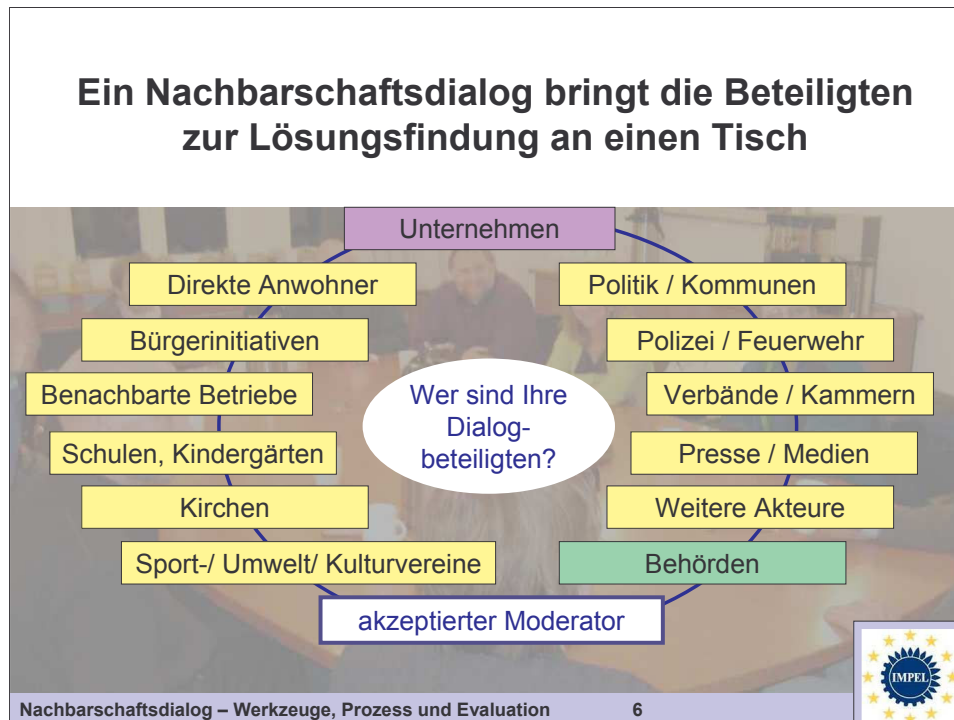
Bürger: haben bei (subjektiv wahrgenommen oder objektiv messbaren) Beeinträchtigungen Sorge um Grundstückswerte, Ruhe, Luft, freie (gute) Sicht, optische Aspekte, Sorge um die Gesundheit, Angst vor Gefahren wie Brand und Explosion .

Prävention: In diesem Spannungsfeld kann ein Nachbarschaftsdialog auch zur Konfliktprävention genutzt werden, nicht nur zur Konfliktlösung. Behörden können, wenn sie „Streitpunkte“ in der Luft liegen sehen, Unternehmen empfehlen, rechtzeitig den Dialog aufzubauen, um Konflikte frühzeitig zu vermeiden oder Konfliktpotential in ihrer Brisanz zu entschärfen. (z.B. in Genehmigungsverfahren)

Anlagensicherheit: Im Verfahren den Dialog als „Standard“ Instrument implementieren – für eine aktive und vertrauensvolle, transparente Kommunikations- und Informationspolitik“

Dialoge in Genehmigungsverfahren mit hohem öffentlichem Interesse können dazu dienen, um von Anfang an eine vertrauensvolle und transparente Beziehung zwischen Betreiber, Behörde und Nachbarschaft zu entwickeln.

Erläuterungen und Hintergrundinformationen zu den Folien



Diese Folie zeigt die möglichen Dialog-Beteiligten. Normalerweise sind die hauptsächlichen Parteien:

- Unternehmen / Unternehmensvertreter / Management
- Anwohner / Beschwerdeführer
- Andere involvierte Gruppierungen
- Behörde(n)
- ModeratorIn (aus der Behörde oder extern), welche(r) von allen Parteien akzeptiert wird

Es ist wichtig, für jeden Prozess genau zu überlegen, welche Gruppierungen / Personen in den Prozess einbezogen werden sollen.

Nachbarschaftsdialoge ersetzen kein behördliches Handeln, sondern bieten einen erweiterten Handlungsrahmen mit anderen/ teilweise erweiterten Optionen ...

... Insbesondere, wenn mehr als ein Thema zu bearbeiten ist, und die Sachlage dazu noch schwer einzuschätzen ist, hinsichtlich Berechtigung der Beschwerde und juristisch-fachliche Grundlagen. Auch wenn die Konfliktpunkte und Beschwerden zunehmen und/oder nicht nur rationale sondern auch subjektive Aspekte eine Rolle spielen.

... Vor allem, wenn es aufgrund einer komplexen Struktur der Beschwerdeführer, mehr als einer betroffenen Behörde und/oder etlichen Ansprechpartnern in der Firma schwierig ist, eine klare Lösung zu entwickeln. Dann bietet es sich an, die zentralen Akteure plus weitere, potentiell hilfreiche Personen an einen Tisch zu holen.

Exkurs „Schwierige Partner“: Es ist wichtig, Ihnen einen angemessen (kleinen oder großen) Raum einzuräumen, damit sie die Verhandlungen nicht gefährden - weder als Teilnehmer in den Dialoggesprächen noch als „Ausgeschlossene“. Diese ggfls. einzeln ansprechen.
Leitsatz: Nicht zu viel Energie investieren, die sie aufwertet und an anderer Stelle mehr Erfolge bringt.

Erläuterungen und Hintergrundinformationen zu den Folien

Ein Nachbarschaftsdialog ...

- ist ein strukturierter Prozess, in dem jeder gehört wird.
- ist eine wirksame Kommunikationsplattform zur Prävention von Konflikten.
- dient der Konfliktlösung bei bedeutenden oder wiederkehrenden Konflikten zwischen Unternehmen und ihren Nachbarn.
- wird zur systematischen Pflege guter nachbarschaftlicher Beziehungen genutzt.
- ist nicht Ersatz, sondern Ergänzung zum klassischen behördlichen Handeln.



Das Dialogverfahren wird erfolgreicher durch die konsequente Anwendung einer Moderationsmethode (z.B. Metaplan-Technik). Der Moderator ist neutral und fördert den Gesprächsprozess im Nachbarschaftsdialog. Wenn sich die Behörde entschließt einen internen Moderator einzusetzen, sollte er von allen Parteien akzeptiert sein. Die Vereinbarung von Diskussionsregeln zu Beginn des Verfahrens ist eine wichtige Grundvoraussetzung.

Wenn die Teilnehmer erleben, dass sie wahrgenommen und ihre Probleme ernsthaft behandelt werden, lassen sie sich i.d.R. auf den Dialog ein und gewinnen gegenseitig Vertrauen.

Sind erste Probleme gelöst, reift der Nachbarschaftsdialog zum Forum für die Prävention von Konflikten.

Wird der Nachbarschaftsdialog als Prozess verstanden und praktiziert, ist die nachhaltige Wirkung des Dialoges und seiner Lösungen gesichert.

Nachbarschaftsdialoge ersetzen kein behördliches Handeln, sondern stellen einen erweiterten Handlungsrahmen dar, der andere und teilweise erweiterte Optionen beinhaltet.

Nachbarschafts-Dialoge sind besonders geeignet, wenn...

- ✓ ... die Rechtslage nicht leicht / schnell festzustellen ist.
- ✓ ... für eine dauerhafte Konfliktlösung neben dem klassischen behördlichen Instrumentarium zusätzliche Optionen benötigt werden.
- ✓ ... Misstrauen gegenüber der Konfliktlösungskompetenz von Unternehmen und/oder Behörde vorherrscht.



Nachbarschaftsdialoge ersetzen kein behördliches Handeln, sondern stellen einen erweiterten Handlungsrahmen dar, der andere und teilweise erweiterte Optionen beinhaltet.

Nachbarschaftsdialoge sind von besonderem Nutzen, insbesondere wenn

- mehr als ein Thema zu bearbeiten ist und
- die Sachlage schwer einzuschätzen ist hinsichtlich Berechtigung der Beschwerde und/oder juristisch-fachlicher Grundlagen
- die Konfliktpunkte und Beschwerden zunehmen und/oder
- emotionale bzw. nicht nur rationale Aspekte eine Rolle spielen und Mißtrauen den Konflikt anheizt. Denn die „nicht rationalen Aspekte“, also das gefühlte Unbehagen, spielen eine wichtige, wenn nicht sogar die entscheidende Rolle in der Praxis.

Vor allem, wenn es aufgrund einer komplexen Struktur der Beschwerdeführer, mehr als einer betroffenen Behörde und/oder etlichen Ansprechpartnern in der Firma schwierig ist, eine klare Lösung zu entwickeln, bietet es sich an, die zentralen Akteure plus weitere, potentiell hilfreiche Personen an einen Tisch zu holen.

Erläuterungen und Hintergrundinformationen zu den Folien

Nutzen eines professionellen Dialogverfahrens

- ✓ Tragfähige Lösungen werden erarbeitet
- ✓ Bürger erkennen die Leistung der Behörden
- ✓ Widerstände und Widersprüche gegen Genehmigungen oder Entscheidungen sinken, kürzere Verfahrensdauer
- ✓ Häufigkeit der Beschwerden sinkt, weniger negative Presse
- ✓ Aufwand der Behörden reduziert sich langfristig
- ✓ Unternehmen verbessern ihr Image
- ✓ Unternehmen gewinnen Standortsicherheit
- ✓ besserer Informationsfluss und zufriedenerer Nachbarn
- ✓ ...



Diese Folie zeigt insbesondere Vorteile für Behörden, aber einige der Vorteile sind für alle teilnehmenden Gruppen relevant. Im Einzelfall können allerdings noch ganz andere Vorteile entstehen. Wenn diese Präsentation für andere Zielgruppen eingesetzt werden soll, lohnt es sich, die aufgezählten Vorteile an diese Zielgruppe(n) anzupassen.

Für alle teilnehmenden Gruppen

- ✓ Tragfähige Lösungen, die die Interessen möglichst vieler Parteien aufgreifen, werden erarbeitet

Für die Behörde (einige dieser Vorteile sind auch für Unternehmen relevant)

- ✓ die Leistung der Behörden wird für die Bürger transparent und erkennbarer – sie erkennen den Handlungsrahmen der Behörde und ihr Vertrauen in Behördenhandeln wächst
- ✓ Widerstände und Widersprüche gegen Genehmigungen oder Entscheidungen sinken, die Dauer der Verfahren sinken, wenn die Betroffenen frühzeitig eingebunden werden
- ✓ Häufigkeit der Beschwerden sinkt, weniger negative Presse
- ✓ Aufwand der Behörden reduziert sich langfristig

Für Unternehmen

- ✓ Unternehmen verbessern ihr Image
- ✓ Unternehmen gewinnen Standortsicherheit

Für die Nachbarn / Bürger

- ✓ besserer Informationsfluss und zufriedenerer Nachbarn, wenn sie mit verständlichen Informationen versorgt werden und Antworten auf ihre Fragen erhalten

Erläuterungen und Hintergrundinformationen zu den Folien

Risiken des Dialoges

- ❖ Vereinbarungen als solche sind nicht rechtsverbindlich.
- ❖ Teilnehmer können keine Maximalforderungen durchsetzen.
- ❖ Teilnehmer müssen Distanz aufgeben – “klare Fronten” und gefühlte “moralische Überlegenheit” sind nicht mehr haltbar.
- ❖ Die Nachbarschaft könnte sich in verschiedene Lager aufspalten.

Pro und Contra: Fazit

Der Nachbarschaftsdialog ist für die Behörde eine gute Ergänzung ihres Instrumentariums.



Nachteile: Neben den Vorteilen können Nachbarschaftsdialoge auch Nachteile bringen – darüber sollten sich die Beteiligten ebenfalls im Klaren sein:

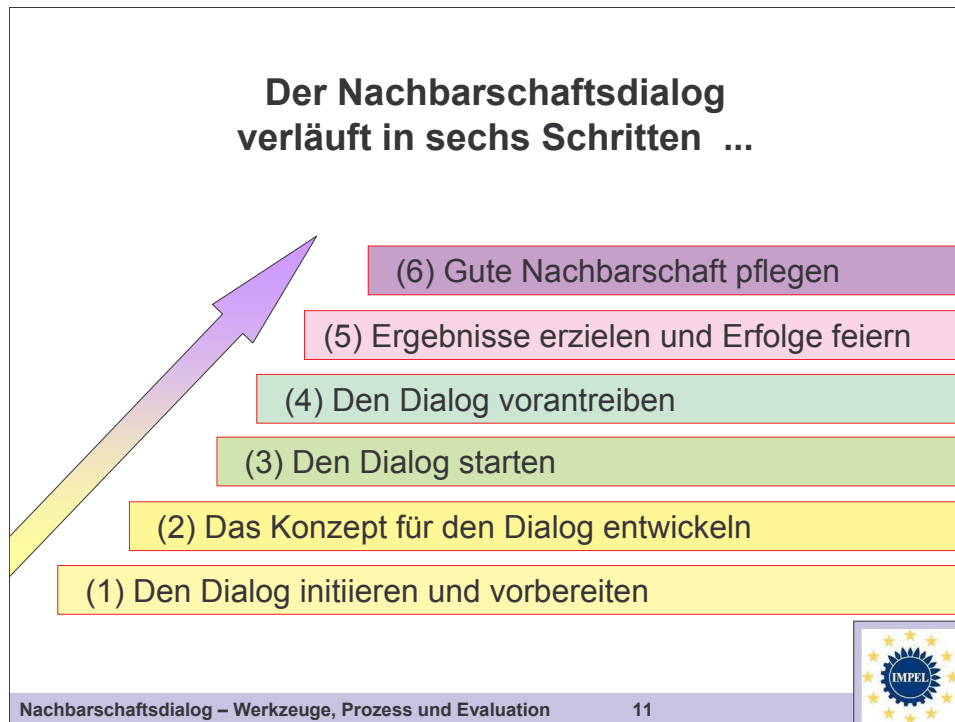
- Die Vereinbarungen sind rechtlich nicht verbindlich, solange sie nicht in behördliche Entscheidungen einfließen oder in zivilrechtlicher Weise festgehalten werden.
- Parteien, die ihre Maximalpositionen durchsetzen wollen, werden einen Dialog eher ablehnen. Am Ende eines Dialoges steht meist ein Kompromiss.
- Auch Feindbilder und „klare Fronten“ lassen sich in einem (erfolgreichen) Dialogverfahren nicht mehr aufrecht erhalten.
- Die Beteiligten geben ihre Distanz zu einander auf – das ist nicht für alle Parteien ein Gewinn.
- Die Nachbarschaft kann sich aufspalten – hier sollten die Chancen und Risiken, die Vor- und Nachteile gut abgewogen werden.

Fazit: Abwägung der Risiken und Chancen eines Nachbarschaftsdialoges

1. Eine weitgehend friedliche Co-Existenz von gewerblichen/ industriellen und privaten Nachbarn ist durch Nachbarschaftsdialog dauerhaft möglich
2. Alle Beteiligten können hiervon profitieren
3. Abbau staatlicher Regulierung und Überwachungsichte erfordern neue Strategien
4. Die Vorteile des Dialogs überwiegen die Nachteile (*)

(*) Dennoch kann man in einer konkreten Ausgangssituation zum Schluss kommen, dass hier ein Dialogverfahren nicht geeignet ist. Jedoch bleibt das Instrument Nachbarschaftsdialog ein wichtiges ergänzendes Instrument behördlichen Handelns.

Erläuterungen und Hintergrundinformationen zu den Folien



Ein Nachbarschaftsdialog kann nur gelingen, wenn er konzeptionell angelegt ist und den Teilnehmenden einleuchtet, dass der Prozess zur Konfliktlösung beiträgt. Einzelaktionen mögen kurzfristig sinnvoll erscheinen, aber ihre Wirkung verpufft oder entfaltet sich erst gar nicht.

Die Initiatoren müssen das Ziel kennen, das sie erreichen wollen und mit allen Beteiligten einvernehmlich abstimmen.

Der Prozess besteht aus aufeinander aufbauenden Schritten, die die Basis für die konkrete Detailplanung bilden. Vom ersten Treffen an muss diese Konzeption allen Beteiligten wiederholt vermittelt werden (transparent sein). Zu jedem Zeitpunkt sollte die Konzeption angepasst werden, wenn sich die örtlichen Umstände oder die Schwerpunkte verändern.

Detaillierte Hinweise zu den Schritten sind im „Toolkit – Establishing neighbourhood dialogue“ (Seiten 12-43) zu finden, eine Kurzversion im Anhang dort (Seiten 45-47) sowie weitere nützliche Hinweise zum Nachbarschaftsdialog (Seiten 48-66) (http://impel.eu/categories/228/search_type/and)

Erläuterungen und Hintergrundinformationen zu den Folien

Schritt 1 Den Dialog initiieren und vorbereiten

- Konfliktpotenzial analysieren
- Gesetzlichen Rahmen / Handlungsspielräume der Behörde ausloten
- Schlüsselpersonen im Unternehmen gewinnen und einbinden
- Interessen und Erwartungen auf allen Seiten erkunden
- Rolle der Behörde festlegen / Moderator hinzuziehen, der von allen Parteien akzeptiert wird

Behörden können den Dialog initiieren



Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation

12

Gesetzlicher Rahmen: Rechtlich einwandfreie Situation muss vorliegen – Dialog ist kein Ersatz für behördliches Handeln – ungesetzliche Situation kann von der Behörde grundsätzlich nicht zugelassen werden, im Ausnahmefall nach sorgfältiger Prüfung und bei guten Erfolgsaussichten eines Dialoges kann eine Frist zur Erreichung der Rechtskonformität eingeräumt werden ((Die Möglichkeit der zeitweiligen Duldung besteht, da durch den Dialog eine Beendigung des nicht rechtskonformen Zustands absehbar ist)."

Rolle der Behörde: Die Behörde unterstützt die Beteiligten praktisch und beratend, prüft den gesetzlichen Rahmen, ermittelt Handlungsspielräume.

Unternehmen gewinnen: Manchmal ist es hilfreich, für das Unternehmen ein vorläufiges Konzept zur Struktur und zum Ablauf des Dialoges zu erarbeiten. Auf diese Weise erhalten Unternehmens-Vertreter eine Vorstellung davon, was auf sie zukommt. Auch die Vorteile eines Dialoges sollten für das Unternehmen mit langfristiger Perspektive benannt werden: Tragfähige Lösungen werden erarbeitet / Widerstände und Widersprüche gegen Genehmigungen oder Entscheidungen sinken / Häufigkeit der Beschwerden sinkt. (Mehr Argumentationshilfen - siehe Teil B dieser Präsentation)

Konfliktpotential: Die Behörde kann einem Unternehmen einen Nachbarschaftsdialog auch als präventive Maßnahme oder in Zusammenhang mit einem Genehmigungsverfahren empfehlen.

Schlüsselpersonen in Behörde / Unternehmen / zentralen Akteursgruppen dürfen nicht übergangen werden, um den Erfolg des Dialoges nicht zu gefährden. Allerdings werden die Schlüsselpersonen erst bei Bearbeitung von Schritt 1 + 2 erkennbar.

Interessensanalyse: erste Vorklärung – Basis für nachfolgendes Dialog-Konzept

Akzeptierte Moderation – üblicherweise ist eine Moderation erforderlich. Die Person kann aus der Behörde sein, aber auch ein professioneller externer Moderator bzw. eine andere Person mit breiter Vertrauensbasis (Bürgermeister/Pastor/unbeteiligte Behörde...)

Erläuterungen und Hintergrundinformationen zu den Folien

Schritt 2 Das Konzept für den Dialog entwickeln

- Chancen und Risiken des Dialogs analysieren
- Kontakt mit Akteuren aufnehmen
- Verhandlungsbereitschaft der Akteure und ihre Handlungsspielräume ausloten
- Teilnehmer am Dialog definieren
- Zeit, Ort, Form für die Dialogangebote definieren
- Einigung über den Dialograhmen erzielen, als ersten Schritt zur Kooperation

**Behörden können als Behördenvertreter
oder allparteilicher Moderator agieren**



Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation

13

Schritt 1 + 2 sind im Dialog eng verbunden, häufig gehen sie ineinander über.

In diesem Schritt werden vielfältige Fragen geklärt: Zum Beispiel

- wie hoch ist der Bedarf nach Informationsaustausch zwischen den Parteien,
- wie groß ist der Verhandlungsspielraum,
- inwieweit legen die Beziehungen der Parteien einen Dialog nahe oder stehen dem entgegen,
- wie sieht die rechtliche Situation aus, welche Handlungsspielräume hat die Behörde,
- welche Erfolgsaussichten hat alleiniges Handeln der Behörde,
- welche Erfolgsaussichten liegen im Dialog der Beteiligten,
- wie kann am besten die Kontaktaufnahme mit den Beteiligten erfolgen,
- wer sollte am Dialog teilnehmen, ...

Die Behörde als Moderator: Diese Rolle kann die Behörde nur dann übernehmen, wenn sie ausreichend Akzeptanz (=Vertrauen) bei allen Parteien findet. Alternativ kann ein Behördenmitarbeiter aus anderer Abteilung / anderem Standort die Gespräche moderieren. Wenn beide Optionen nicht akzeptabel sind, wird eine externe (neutrale) Moderation erforderlich.

Weitere Fragen sind zu finden im „Guideline for self evaluation“, Quelle siehe Folie 28

Erläuterungen und Hintergrundinformationen zu den Folien

Schritt 3 Den Dialog starten

- Teilnehmer einladen / Starttreffen vorbereiten
- Themen- und Dialogstruktur für das Starttreffen gut überlegen
- Ausreichend Zeit für Einstiegs-Diskussion zum Kernthema einplanen
- Die Teilnehmer ermutigen, sich zu beteiligen und Vertrauen zu wagen
- Spielregeln vereinbaren, inklusive der Kommunikation mit den Medien

Behörden agieren als Experten und unparteilich



Der Start in den Dialog ist ein sehr wichtiger Schritt. Die Beteiligten überprüfen, ob es sich lohnt, Vertrauen zu entwickeln und brauchen demnach eine gut überlegte Struktur, die ihnen dies ermöglicht.

Die Einladung und die Vorbereitung des Starttreffens sollte gut überlegt werden: wer lädt ein – wohin – wann – wie lange – worum geht es – was ist das Ziel ?

Die Themen- und Dialogstruktur wird entwickelt mit Methoden zum „Anwärmen“ der Teilnehmer, klarer Struktur für die Dialogschritte, und Verabredung von Spielregeln. Moderations- und Visualisierungsmethoden unterstützen einen effektiven Gesprächsverlauf.

Erfahrungsgemäß benötigt gerade die erste, die „Initial“-Diskussion zum zentralen Thema ausreichend Zeit. Hier müssen die Beteiligten erleben, dass sie gehört werden bzw. auch ihre Emotionen Platz finden.

Die Rolle der Behörde: Die Behörde unterstützt die Beteiligten praktisch und beratend. Sie achtet auf Einhaltung der gesetzlichen Grundlagen und darauf, dass die Erwartungen der Beteiligten hinsichtlich des Handlungsspielraumes der Behörde nicht überzogen werden. Auf jeden Fall sollte die Behörde strikt unparteilich auftreten und besonders vertraulichen Verhaltensweisen mit einer der Parteien vermeiden.

Erläuterungen und Hintergrundinformationen zu den Folien

Schritt 4 Den Dialog vorantreiben

- Gut aufbereitete Informationen anbieten, die für alle Teilnehmer verständlich sind
- Offenheit im Umgang mit Fakten und Befürchtungen, Perspektivwechsel und Zuhören fordern und fördern, Missverständnisse klären, ...
- Grundlagen für Vereinbarungen erarbeiten: Analyse der Interessen, Entwicklung von Optionen
- Vereinbarungen mit wechselseitigen Verpflichtungen erarbeiten, die für alle akzeptabel sind

Behörden überwachen die Einhaltung rechtlicher Anforderungen

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation

15



Offenheit initiieren: im Umgang mit Fakten, Unsicherheiten, Befürchtungen, Begrenzungen, Hindernissen und Verantwortlichkeiten – das erfordert einen geschickten Gesprächsaufbau und eine professionelle Moderation des Gesprächsverlaufes, Erkunden des Konflikts hinter dem Konflikt.

Grundlagen für Vereinbarung: sorgfältige Analyse der Interessen, Entwicklung von Optionen/ oftmals auch Erarbeitung von Entscheidungskriterien

Vereinbarungen mit wechselseitigen Verpflichtungen erarbeiten, die für alle akzeptabel sind. Es muss klar sein, wer welchen Auftrag, welche Verantwortung hat und wie das Ergebnis überprüft werden kann. - Achtung, keine Vereinbarungen unterhalb von Rechtspflichten !! Vereinbarungen zu Lasten (unbeteiligter) Dritter sind nicht erlaubt.

Die Rolle der Behörde entspricht der im vorherigen Schritt beschriebenen: Die Behörde unterstützt die Beteiligten praktisch und beratend. Sie achtet auf Einhaltung der gesetzlichen Grundlagen und darauf, dass die Erwartungen der Beteiligten hinsichtlich des Handlungsspielraumes der Akteure nicht überzogen werden. Wenn sie als Moderator den Dialog leitet, muss sie darüber hinaus weiter auf Überparteilichkeit achten.

Schritt 5 Ergebnisse erzielen und Erfolge feiern

- Jede Sitzung nachbereiten / Verabredungen dokumentieren und einhalten / Umsetzung rückmelden
- Regelmäßig Feedback über Arbeitsform und Ergebnisse einholen und Prozess evaluieren
- Gemeinsam Ergebnisse feststellen und Erfolge feiern
- Gemeinsame Presserklärung zu Ergebnissen

Behörden beziehen die Dialog-Ergebnisse in ihre Entscheidungen ein – wo immer möglich



Behörden orientieren ihre Entscheidungen im gesetzlich vorgegebenen Rahmen an den rechtlichen und den Dialog-Ergebnissen. Grundlage des behördlichen Handelns ist das gesetzlich Notwendige. Im Rahmen dessen können die Dialog-Ergebnisse einbezogen werden.

Daher ist es wichtig, dass die Behörden im laufenden Prozess immer wieder deutlich machen, was in ihrem Handlungs- und Ermessens-Spielraum liegt. Denn der Erfolg für diesen und weitere Dialoge hängt davon ab, dass die Dialog-Ergebnisse sich auch anschließend in den Behörden-Entscheidungen wiederfinden.

Es ist wichtig über die Entscheidungsfindungsprozesse im Dialog und innerhalb der Gruppierungen zu sprechen, die ihre Repräsentanten in den Dialog entsenden (z.B. Bürgerinitiativen, Behörden, Unternehmen, ...). Es kann auch Sinn machen, die Repräsentanten bei der Information ihrer Stammgruppen zu unterstützen.

Erläuterungen und Hintergrundinformationen zu den Folien

Schritt 6 Gute Nachbarschaft pflegen

- Nachbarschaftliche Kontakte und Beziehungen gezielt pflegen und entwickeln
- Gegenseitigen Informationsaustausch fortsetzen und die Vertrauensbasis ausbauen
- Regelmäßige Treffen mit reduzierter Frequenz
- Auf Veränderungen im nachbarschaftlichen Umfeld reagieren – Kontakte anpassen oder ausbauen
- Schnelle Kommunikationswege für Krisen pflegen

Behörden ziehen sich in der Regel zurück



Nachbarschaftliche Kontakte und Beziehungen werden bei diesem Schritt langfristig auf eine tragfähige Basis gestellt. Wichtig ist dabei, dass der Informationsaustausch weiterhin fortgesetzt und die Vertrauensbasis in einem kontinuierlichen Prozess ausgebaut wird.

Regelmäßige Treffen mit reduzierter Frequenz: Angemessene Kommunikationsstruktur für den präventiven Dialog entwickeln – der in Frequenz und Zusammensetzung von der akuten Phase unterscheidet. evtl. in kleinen Gruppen, die der Gesamtheit regelmäßig berichten. Evtl. auch in unterschiedlichen Gruppierungen (Politik, überregionale Bürgerinitiativen, direkte Nachbarn, ...) die in den Treffen ihre jeweiligen Fragen, Interessen und Perspektiven bearbeiten können.

Veränderungen / Wegzüge / Wegfall von Schlüsselpersonen kompensieren, Generationenwechsel, neue Akteursgruppen, veränderte Interessenlagen, = aktives Umfeldmanagement unbedingt berücksichtigen

Unternehmen, die in ruhigen Zeiten Kommunikationswege entwickelt haben, auf die sie in Krisen zurückgreifen können, haben die Chance ihre Nachbarschaft rechtzeitig zu informieren und damit die Vertrauensbasis gerade in Krisen zu stärken.

Behördenvertreter nehmen auf Einladung teil. In der Regel ziehen sie sich in dieser Phase zurück.


Erläuterungen und Hintergrundinformationen zu den Folien

Teil B - Optionen

Einen oder mehrere Dialogverfahren evaluieren -

- **Warum?** Der Nutzen einer Selbst-Evaluation
- **Wie?** Übersicht über die Werkzeuge
- **Hier:** Ausschnitte ausgewählter Werkzeuge

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 18



In Teil B dieser Präsentation findet eine Behörde/ ein Unternehmen/ ein Moderator Informationen über spezielle Instrumentarien, mit denen die Qualität eines Dialoges gesichert sowie die Erfolge eines oder mehrerer Dialoge evaluiert werden können.

Wenn eine Behörde den Nachbarschaftsdialog als eines ihrer Standard-Verfahren installiert hat, kann sie auf diese Weise die Ergebnisse und Erfolge eines oder mehrerer Dialoge evaluieren (und nachweisen). Somit gewinnt sie Daten und Fakten, mit denen Kollegen und Entscheider im eigenen Haus oder an anderen Standorten aber auch Schlüsselpersonen in Unternehmen von den Chancen eines Dialoges überzeugt werden können.

Die nachfolgenden Folien können folgendermaßen genutzt werden:

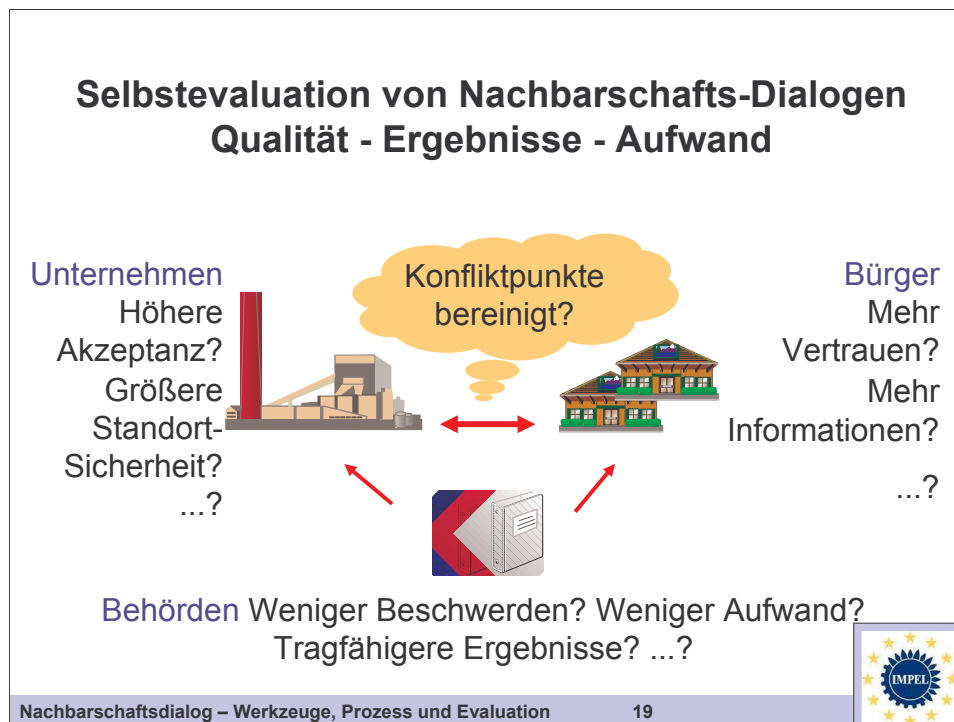
- Zusammen mit Teil A dieser Präsentation bieten sie einen differenzierten Überblick über Durchführung, Qualitätssicherung und Ergebnisevaluation von Nachbarschaftsdialogen.
- Teil B kann auch für sich alleine stehen.
- Aus Teil B können die Folien ausgewählt werden, die dem Zuhörerkreis einen ersten, groben Überblick vermitteln, welche Optionen eine systematische Selbstevaluation bietet. (Folien 18 – 22)

Wenn Sie das Instrument Nachbarschaftsdialog gerade erstmalig einführen (möchten) werden in der Regel die Folien von Teil A im Zentrum stehen.

Die ersten Folien von Teil B (18 –22) geben einen kurzen Überblick über die Instrumente und ihren jeweiligen Fokus, während die Folien 23-28 etwas detailliertere Informationen über die wichtigsten Instrumente zur Qualitätssicherung und Ergebnisevaluation bieten.

Bitte auch hier wieder die Folien passend zum Präsentationsziel zusammen stellen.

Erläuterungen und Hintergrundinformationen zu den Folien



Eine Selbstevaluation wird von denjenigen durchgeführt, die systematisch ihre eigenen Aktivitäten analysieren und evaluieren möchten.

Um heraus zu finden, ob ein Dialogverfahren die erwarteten Erfolge gebracht hat, sollten alle involvierten Gruppierungen interviewt werden:

- Unternehmen: Erleben sie eine höhere Akzeptanz? Sehen sie ihre Standortsicherheit besser gewährleistet?
- Bürger / Nachbarn / Anwohner: Haben sie mehr Vertrauen in das Unternehmen / die Behörde? Fühlen sie sich besser informiert?
- Behörden: Ist die Zahl der Beschwerden gesunken? Ist der Arbeitsaufwand für Beschwerden gesunken? Wurden nachhaltige Ergebnisse erreicht?

Für diese Selbstevaluation können Behörden (Unternehmen / oder der Moderator) verschiedene Instrumente nutzen. Es können die Ergebnisse, die Erfolge und die Zufriedenheit der Beteiligten evaluiert werden.

Tieferegehende Informationen können dem „Leitfaden für die Selbstevaluation von Nachbarschaftsdialogen“ entnommen werden, die auf der IMPEL-Homepage “ zum download zur Verfügung stehen:


„Guideline and excel table for self evaluation of neighbourhood dialogue“
(http://impel.eu/categories/228/search_type/and)

Erläuterungen und Hintergrundinformationen zu den Folien

Selbstevaluation von Nachbarschafts-Dialogen prozessbegleitend und am Ende

<p>Qualität sichern - Wie finde ich heraus,</p> <ul style="list-style-type: none">■ ob ein Dialog Erfolg verspricht?■ ob ich als Behörde (k)einen Dialog empfehlen soll?■ ob der Dialog professionell geführt wird?	<p>Ergebnisse evaluieren - Wie finde ich heraus,</p> <ul style="list-style-type: none">■ welche Ergebnisse der Dialog erzielt hat ?■ ob die Beteiligten den Dialog als Erfolg sehen?■ wie hoch mein Aufwand für den Dialog war?
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Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 20



Definition Selbstevaluation: Wenn Projekte oder Institutionen ihr Handeln selber überprüfen und die Ergebnisse auswerten, dann spricht man von Selbst-Evaluation.

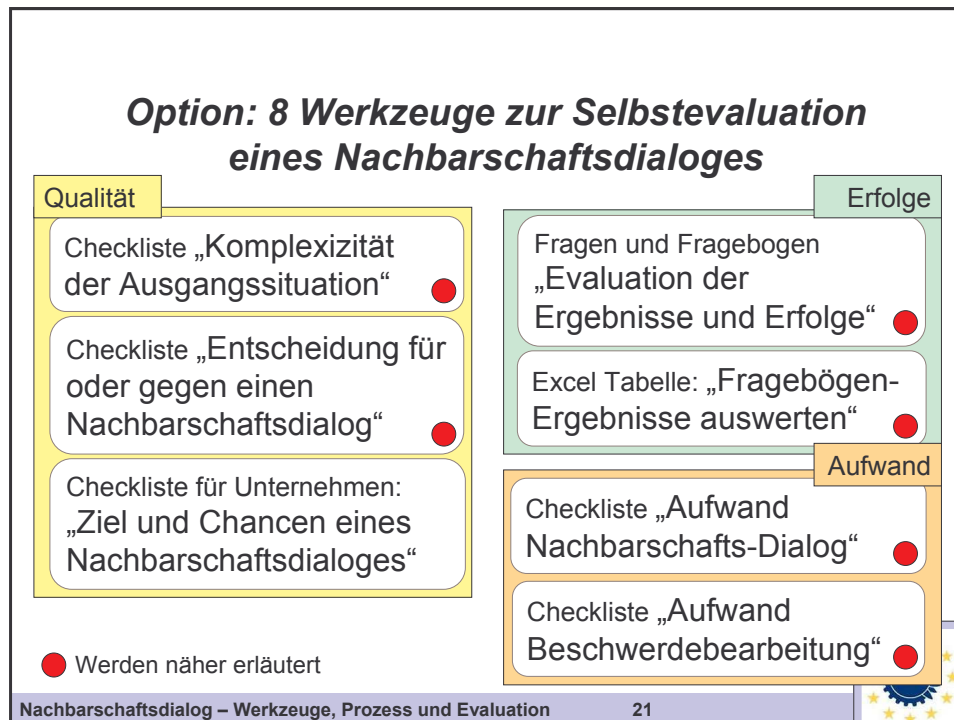
Selbstevaluation sollte selbstverständlicher Bestandteil jedes Dialogverfahrens zu Beginn, im Verlauf und zum Abschluss bilden:

Zu Beginn und im Verlauf dienen die Evaluationsinstrumente einer gut durchdachten Entscheidungsfindung für oder gegen einen Dialog, sichern die Qualität des Dialoges und bilden die Basis für notwendige Korrekturen.

Während und am Ende eines Dialogverfahrens dient die Selbstevaluation der Qualitätssicherung, sowie als Basis für notwendige Korrekturen im Prozessverlauf und um herauszufinden, ob der Prozess (in den Augen der Beteiligten) erfolgreich war und welche Ergebnisse erreicht werden konnten. Es können darüber hinaus die investierten (zeitlichen) Ressourcen dokumentiert werden, um sie mit denen einer regulären Beschwerdebearbeitung zu vergleichen.

Wenn Sie die folgenden Instrumente der Selbstevaluation vorstellen möchten, empfiehlt sich vorher eine tiefgehende Beschäftigung mit dem „Guideline for self evaluation of neighbourhood dialogue“ sowie „excel table for self-evaluation“ (http://impel.eu/categories/228/search_type/and)

Erläuterungen und Hintergrundinformationen zu den Folien



Die Folien 22 – 27 enthalten Detailinfos zu den wichtigsten Instrumenten der Qualitätssicherung und Ergebnisevaluation. Die roten Punkte kennzeichnen Instrumente, die im Folgenden etwas genauer dargestellt werden.

Checkliste Komplexität einer Ausgangssituation bietet bereits einen Hinweis darauf, wie arbeitsintensiv die Bearbeitung werden kann. Am Ende dieser Analyse wird deutlich, ob es sich lohnt, einen Nachbarschaftsdialog als Option weiter zu verfolgen.

Checkliste Entscheidung für oder gegen einen Nachbarschaftsdialog ermöglicht eine systematische Begründung, bzw. fundierte Empfehlung (im eigenen Haus, bei beteiligten Unternehmen, gegenüber potentiellen Beteiligten). Durch die Bearbeitung der Checkliste zeichnen sich Ziele und offene Fragen für das Dialogverfahren ab.

Die Evaluations-Fragen bilden das Grundgerüst einer Diskussionsrunde mit den Beteiligten, um abzuschätzen, ob der Dialog aus Sicht aller ausreichend Chancen auf Erfolg hat und weitergeführt werden soll.

Der Fragebogen dient zur (schriftlichen) Befragung der Beteiligten im Verlauf oder zum (vorläufigen) Abschluß eines Nachbarschaftsdialoges, so dass notwendige Korrekturen im Prozess erkennbar werden bzw. Erfolge dokumentiert werden.

Die Checklisten für den Aufwand von Nachbarschaftsdialogen bzw. regulärer Beschwerdebearbeitung dienen der groben Schätzung, der Dokumentation aber und damit langfristig dem Vergleich der Verfahren.

Die Checkliste „Ziel und Chancen eines Nachbarschaftsdialoges“ bietet nützliche Anregungen für Gespräche mit Unternehmen.

Im „Guideline for self evaluation“ sind noch weitere Instrumente zu finden, die hier nicht aufgeführt sind. (Beschreibung Seite 7-11) sowie ein zentrales Anwendungsbeispiel (S. 12-31) sowie weitere Beispiele (ab Seite 77)

Erläuterungen und Hintergrundinformationen zu den Folien

Checkliste „Komplexität der Ausgangssituation“			
Komplexität	einfach	mittel	hoch/schwierig
Merkmale		↓ Teilweise komplexe Struktur der Beschwerdeführer, mehr als eine betroffene Behörde, etliche Ansprechpartner in der Firma Zunehmende Anzahl von Konfliktpunkten und Beschwerden Mehr als ein Thema, schwer einschätzbar in Bezug auf Berechtigung der Beschwerde und juristisch-fachliche Grundlagen	
Beschwerdeführer	übersichtlich		
Ausgangssituation (Themen / Konflikte)	Beteiligung direkten A wenigen A Behörden		ndeträgern , ehörden
Konflikttyp	Ein oder w geringer K		erlich en, starker nden en)
Anzahl Betroffene in Behörden/ Firmen	mit klaren Handlungs		eresse e, dort in
Öffentliches Interesse	Geringes kein öffent		n, schwierig
.... Etc.			n
			(Messdaten nahe an Grenzwerten)

In Schritt 1 eines Nachbarschaftsdialoges (siehe Folie 11) kann mit Hilfe dieser Checkliste die Komplexität der Ausgangssituation beschrieben und eingeschätzt werden. Dieses Instrument bietet sich in der Startphase eines Dialogverfahrens an, bietet aber auch später im laufenden Dialog sowie bei der regulären Beschwerdebearbeitung wertvolle Hinweise.

Nahezu alle Nachbarschaftsdialoge haben viele oder schwerwiegende Beschwerden als Ausgangspunkt. Um zu einer gut begründeten Einschätzung zu kommen, ob ein Dialogverfahren Sinn macht, sollte die Ausgangssituation genau beschrieben werden. Das Instrument „Die Komplexität feststellen“ führt zu einer Beschreibung der Struktur der betroffenen Gruppierungen, der Konflikte und Themen, der öffentlichen Wahrnehmung und anderer Charakteristika der Situation. Wenn dieses Tool genutzt wird, führt es zu einer verbesserten Übersicht darüber, ob ein Nachbarschaftsdialog eine geeignete Option sein kann oder nicht.

Die Komplexität zu bewerten, vermittelt eine erste und grobe Einschätzung wie schwierig der Prozess werden wird. Man kann sie als ersten Indikator nutzen, um den kommenden Arbeitsaufwand einzuschätzen. Die Bewertung der Komplexität liefert einen systematischen Überblick über den Fall, kann hilfreich sein mit den Beschwerden umzugehen und um den Dialog zu etablieren.

Siehe Guideline for self-evaluation: Schematic to assess the complexity, Seite 39 - 41 und Beispiele dazu Seite 81-94

Erläuterungen und Hintergrundinformationen zu den Folien

Checkliste „Entscheidung für oder gegen einen Nachbarschaftsdialog“	
Frage 8: Was spricht für einen Nachbarschaftsdialog?	
<input type="checkbox"/> Es ist dringend notwendig, dass systematisch verständliche In	Es ist dringend notwendig, dass Unternehmen und Nachbarn systematisch verständliche Informationen und Sichtweisen austauschen und darüber diskutieren!
<input type="checkbox"/> Es ist notwendig, dass Unterr Informationsaustausch und S	
<input type="checkbox"/> Es existiert Verhandlungs- und gemeinsame Entwicklung von kreativen Lösungen.	
<input type="checkbox"/> Die Parteien haben und werden in Zukunft miteinander zu tun haben.	
<input type="checkbox"/> Emotionale Aspekte erschweren die rationale/sachliche Bearbeitung der Beschwerde.	
<input type="checkbox"/> Die Parteien haben Schwierigkeiten, die Kon Unterstützung zu starten.	Den Parteien sind sich klar, dass ein Konflikt existiert und sie sind an einer schnellen Lösung interessiert.
<input type="checkbox"/> Die Parteien sind sich klar, dass ein Konflikt e schnellen Lösung interessiert.	
<input type="checkbox"/> Die Parteien (einschließlich der Behörde) vermuten, dass ein Gerichts-verfahren keine befriedigende Lösung bringen und mehr Zeit und Geld erfordert.	

Auf Basis dieser Checkliste lässt sich (in Schritt 1 eines Nachbarschaftsdialoges) die Entscheidung für oder gegen einen Nachbarschaftsdialog systematisch begründen, sowohl im eigenen Haus, als auch um eine fundierte Empfehlung für einen Nachbarschaftsdialog bei dem beteiligten Unternehmen sowie auch gegenüber den übrigen potentiellen Beteiligten eines Nachbarschaftsdialoges.

Es zeichnen sich durch die Bearbeitung der Checkliste auch Ziele für das Dialogverfahren ab.

Am Ende sollte eine klare Entscheidung für/gegen ein Dialogverfahren möglich sein, bzw. sind die noch zu klärenden Fragen deutlich geworden, wie auch eine erste Grobabschätzung des Aufwandes.

Die Checkliste bietet nach einigen generellen Fragen (1-5) folgende weitere Fragen:

6. Was könnten die wichtigsten Gründe für einen Nachbarschaftsdialog sein?
7. Woher kamen die wichtigsten Impulse, einen Dialog in Betracht zu ziehen?
- 8. Warum empfehlen Sie einen Dialog als geeignetes Verfahren?**
9. Sind folgende Aspekte ausreichend gesichert?
10. Wie schätzen sie die Komplexität der Ausgangssituation ein?
11. Für wie lange wird voraussichtlich die spezielle Unterstützung der Behörde im Dialog erforderlich sein?
12. Wie viel Zeit ...?
13. Haben Sie andere Kommentare oder Empfehlungen oder gibt es andere Aspekte?
14. Bei Berücksichtigung der Ergebnisse dieser Checkliste- empfehlen Sie einen Dialog?

Siehe Guideline for self-evaluation: Checklist to assess the chances of a neighbourhood dialogue (S. 42) und Anwendungsbeispiel ab Seite 94 der Guideline. Tool II

Erläuterungen und Hintergrundinformationen zu den Folien

Fragebogen „Evaluation der Ergebnisse und Erfolge“

Part A - for all parties

10/1. Welche Ergebnisse und Erfolge wurde durch den Dialog bis heute erreicht?

1 = Ich stimme voll zu 6 = Ich stimme gar nicht zu

	1	2	3	4	5	6	concrete results, comments (optional)
<i>Fill in the sum of the answers of the different participants accordingly.</i>							
Eine Einigung über zu Beginn strittige Themen ist erreicht							
Bürger / NGOs	3	4					
Unternehmensvertreter		4	5				
Involvierte Behördenvertreter	4	4					
Andere	1						
Eine Lösung für das ursprüngliche Problem ist gefunden.							
Bürger / NGOs	2	2	3				
Unternehmensvertreter		5	3	1			
Involvierte Behördenvertreter		4	4				
Andere		1					
Der Kontakt zwischen Nachbarn und Unternehmen ist verbessert.							
Bürger / NGOs		3	4				
Unternehmensvertreter	5	4					
Involvierte Behördenvertreter		4	4				
Andere			1				
Das Vertrauen zwischen Nachbarn und Unternehmen ist gewachsen.							
Bürger / NGOs		2	1	2			
Unternehmensvertreter	3	4					
Involvierte Behördenvertreter		2	6				
Andere			1				

Eine Lösung für das ursprüngliche Problem ist gefunden.

Bürger/NGO's
Unternehmensvertreter
Involvierte Behördenvertreter
Andere

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation
24

Der Fragebogen dient (in Schritt 3 bis 6 eines Nachbarschaftsdialoges) zur (schriftlichen) Befragung der Beteiligten im Verlauf eines Nachbarschaftsdialoges, so dass notwendige Korrekturen im Prozess erkennbar werden bzw. erste Erfolge dokumentiert werden.

Auch damit ist eine Entscheidung über Fortführung oder ggf. Beendigung des Dialoges möglich.

Zum (vorläufigen) Abschluß eines Dialoges führt er allen Beteiligten den Erfolg und die Ergebnisse des aktuellen Verfahrens vor Augen und fragt nach dem Arbeitsaufwand von Behörden und den beteiligten Unternehmensmitgliedern.

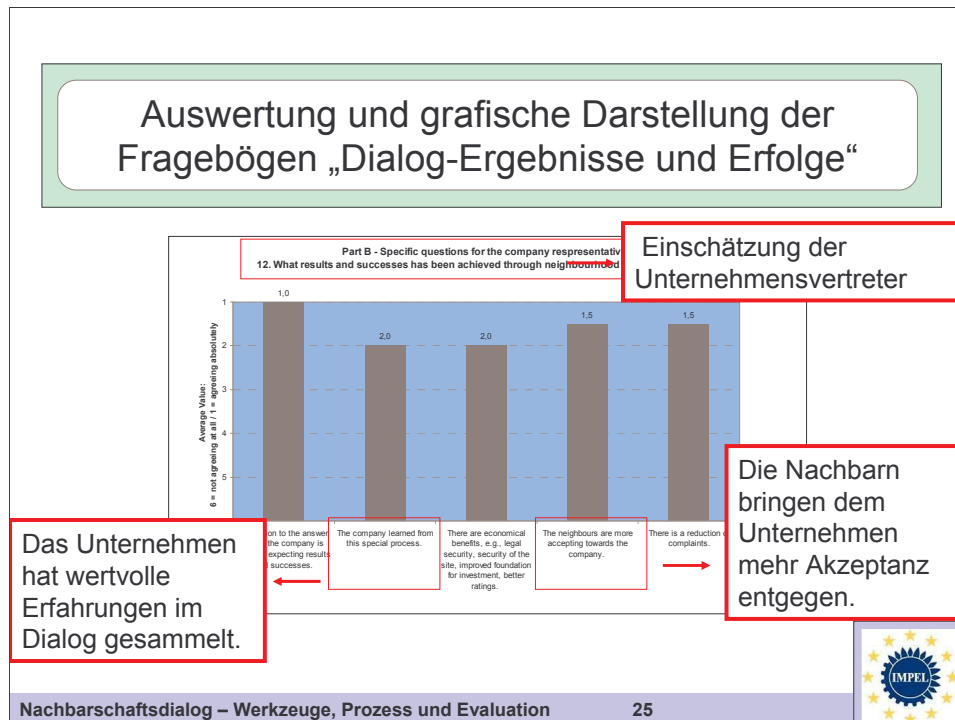
Der Fragebogen unterscheidet immer zwischen den unterschiedlichen Parteien im Dialog: Behörde(n), Unternehmen, Bürger/NGO's/Nachbarn/ und andere.

Der Fragebogen steht den Nutzern auch zur Änderung / Anpassung an eigene Bedingungen zur Verfügung.

Abgefragt werden die Erfolge und Ergebnisse (Konsens / Lösungen / Kontakt / Informations- und Lerngewinn / Vertrauen / Einflussmöglichkeiten / Zufriedenheit / Kosten-Nutzen-Einschätzung / Aufwand / Teilnahmebereitschaft)

Siehe Guideline for self evaluation: Questionnaires at the end of a ND (S. 51) und Questions for a group discussion during a dialogue process (S. 48 ff)

Erläuterungen und Hintergrundinformationen zu den Folien



Zur Auswertung der Fragebogen-Ergebnisse steht auf der IMPEL-Seite ebenfalls eine Excel-Tabelle zum download zur Verfügung. Sie kann genutzt werden, um einzelne, aber auch mehrere Dialogverfahren auszuwerten (in Schritt 3 bis 6 eines Nachbarschaftsdialoges) .

Werden die Ergebnisse der Fragebögen eingetragen, bilden sich diese in vielfältigen (13 verschiedenen) Diagrammen ab, aus denen abgelesen werden kann:

- Die Teilnehmer-Zusammensetzung
- Dauer der Teilnahme
- Die Zufriedenheit der TN-Gruppen im Vergleich zueinander und auch einzeln
- Die Wirkungen/Effekte eines oder mehrerer Dialogverfahren sowohl in der Bewertung der unterschiedlichen Parteien im Vergleich, als auch einzeln
- Die Lerngewinne der unterschiedlichen Parteien
- Der zeitliche Aufwand der Behörde(nvertreter) und Unternehmensvertreter (einzeln, sowie im Vergleich)
- Unterschiedliche Dialogverfahren können hinsichtlich ihres Aufwandes wie auch der Zufriedenheit der unterschiedlichen Parteien verglichen werden.

Siehe Guideline for self evaluation: Estimating the workload of a neighbourhood dialogue (S. 61), Excel table to evaluate the questionnaires (S.70)

und **Anwendungsbeispiele** (Separate Dokumente im Excel-Format zum download auf der IMPEL-Homepage “Exel table to analyse the questionnaires” sowie Anwendungsbeispiel “Evaluation of a specific process),

Erläuterungen und Hintergrundinformationen zu den Folien

Checkliste „Den Aufwand für Nachbarschafts-Dialoge schätzen, dokumentieren, vergleichen“			
Komplexität der Situation	einfach	mittel	hoch/schwierig
SCHRITT 1 Den Nachbarschaftsdialog initiieren und vorbereiten			
1.1 Das vorläufige Ziel skizzieren	(Beispiel 1) Lärm einer Wäscherei: Behörde 1Tag Firma ½ Tag	(Beispiel 2) Geruch aus Getreide-Flocken-Produktion: Behörde 1Tag Firma ½ Tag	
1.2 Das Unternehmen (und die Behörde) für den Dialog gewinnen.			
1.3 Einen passenden neutralen Moderator finden.			
1.4 Herausfinden, welche Handlungsspielräume das Unternehmen hat und welche Beteiligungsmöglichkeiten der Dialog bieten kann.			
1.5 Das Unternehmen vom vorläufigen Konzept überzeugen und eine verbindliche Zusage für ihre Beteiligung im Dialog sichern.			
1.6 Vertreter der Nachbarschaftsgruppen kontaktieren und Interessen sowie Erwartungen klären (Beteiligten Analyse)			
Der zeitliche Aufwand kann sehr schwanken. Je mehr Dokumentationen vorhanden sind, desto genauer kann der Aufwand abgeschätzt werden.			

Die Checkliste orientiert sich an den 6 Schritten mit Teilschritten im Ablauf eines Nachbarschaftsdialoges (Folie 11) wie auch an der Feststellung der Komplexität und gibt Orientierung über den geschätzten Aufwand, der vermutlich mit dem anstehenden Dialogverfahren verbunden sein wird. Diese Zahlen stammen aus den Erfahrung mit bisherigen Nachbarschaftsdialogen und können im Einzelnen variieren.

Da jeder Fall anders gelagert ist und sein Verlauf nicht genau vorhergesagt werden kann, ist eine Dokumentation der jeweiligen eigenen Erfahrungen im Verlauf des Prozesses von großer Bedeutung. Mit dem hier vorliegenden Instrument ist das einfach zu handhaben.

Ohne persönliche Erfahrungen aus Dialogprozessen ist eine realistische Einschätzung der Arbeitsbelastung durch einen Dialog vor Beginn eines Verfahrens kaum möglich. Erfahrungen zeigen, dass ein Dialogverfahren meist nicht mehr Zeit erfordert als eine reguläre Beschwerdebearbeitung. Oftmals allerdings gibt es zu einem Dialog auch keine gute Alternative, um den Konflikt zwischen den Nachbarn und dem Unternehmen zu befrieden. In vielen Fällen bringt eine reguläre Beschwerdebearbeitung geringere Ergebnisse und Erfolge und kann weitere Beschwerden nicht nachhaltig verhindern.

Siehe Guideline for self-evaluation: Schematic with the main steps of a neighbourhood dialogue S. 62 – 65) sowie Anwendungsbeispiel (Seite 26-28 und 114-127)

Erläuterungen und Hintergrundinformationen zu den Folien

Checkliste „Den Aufwand regulärer Beschwerde-Bearbeitung schätzen /dokumentieren/ vergleichen “			
Komplexität der Situation	einfach	mittel	hoch/schwierig
(Fünf) Schritte der Beschwerdebearbeitung			
(1) Beschwerdeeingang abwickeln	(Beispiel 1) Lärm einer Wäscherei: Aufwand der Behörde: 2 Tage innerhalb 1 Woche		(Beispiel 2) Verkehrslärm in Mischzone: Aufwand der Behörde: kontinuierlich
(2) Umstände der Falles analysieren			
(3) Zwischenergebnisse bestimmen / festhalten			
(4) Entscheidungen, Sanktionen, Messungen u.a. behördlich umsetzen			
(5) Beschwerdeverfahren abschließen			
Der zeitliche Aufwand kann sehr schwanken. Je mehr Dokumentationen vorhanden sind, desto genauer kann der Aufwand abgeschätzt werden.			

Die Checkliste bietet Anregungen für den Aufwand, der mit der Bearbeitung von einfachen, mittelkomplexen und großen/schwierigen Beschwerdeverfahren verbunden ist. Die hier aufgeführten Zahlen basieren auf Erfahrungen und stellen ein grob geschätztes Volumen dar, von dem der Einzelfall durchaus abweichen kann.

Erst auf der Basis dieser Abschätzung wird deutlich, ob ein Nachbarschaftsdialog auf lange Sicht eine sinnvolle (Zeit-) Investition der beteiligten Behörde darstellt. Der Aufwand für diese beiden Verfahren kann dann nebeneinander gestellt werden. Ein direkter Vergleich ist sicher kaum möglich, da ein einzelnes Verfahren immer entweder mit oder ohne einen Nachbarschaftsdialog durchgeführt werden kann.

Siehe Guideline for self evaluation: Schematic with the main steps of a regular complaint process (Seite 66-67) sowie Anwendungsbeispiele (Seite 29-30 und 122-126)

Erläuterungen und Hintergrundinformationen zu den Folien

Vertiefende Informationen / Quellenangabe

Produkte des IMPEL-Projekts

„Informal resolution of environmental conflicts by dialogue“
2004 - 2010

Zum Verfahren: Broschüre „Umweltkonflikte im Dialog lösen“
(<http://impel.eu/>)

Zu Verfahren, Methoden und Schritten: „Toolkit – Establishing
Neighbourhood Dialogue“
(<http://impel.eu/>)

Zur Qualitätssicherung und Evaluation: „Guideline and excel
table for self evaluation of neighbourhood dialogue“
(<http://impel.eu/>)

Erläuterungen zu den Folien sind in der Notizenansicht zu finden



Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation

28

Weitere Literaturquellen

Germany

Broschüre „Betriebe und ihre Nachbarn, www.Gewerbeaufsicht.niedersachsen.de)

UK

The Environment Agency: Building trust with communities. A toolkit for staff. Bristol, 2004

The Environment Agency: Working with others. Building trust with communities. A guide for staff. Bristol, 2006

The Environment Agency: Training manual: Engaging stakeholders in permitted sites of high public interest; M 77 course for staff, Bristol 2010.

Erläuterungen und Hintergrundinformationen zu den Folien


Diese Präsentation ist das Produkt eines Projektes
des IMPEL-Netzwerkes:

“Resolution of environmental conflicts by
neighbourhood dialogue (project part 4 in 2010)”
mit Projektbeteiligten aus den europäischen Mitglieds- Staaten

**Frankreich, Großbritannien, Spanien, Niederlande, Österreich, Bulgarien,
Slovenien, Deutschland**

Wir wünschen Ihnen viel Erfolg
und gute Erfahrungen mit Ihren
Nachbarschafts Dialogen!

Nachbarschaftsdialog – Werkzeuge, Prozess und Evaluation 29



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Explanation and background information to the slides

Resolution of environmental conflicts by neighbourhood dialogue – application of the step-by-step instructions

- this presentation is the result of a test of the step-by-step instructions on a real case
- objectives: - present the instrument of neighbourhood dialogue to permit writers and inspectors
- convince them to use it as an additional tool for conflict management



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 1

This draft presentation belongs to the project “Resolution of environmental conflicts by neighbourhood dialogue” (part 4) – creation of concise step-by-step instructions.

It was developed during the IMPEL working group meeting in Berlin 28/29 June 2010 as a test of the proposed material on a real case. It demonstrates how flexible the instruments are and how they may be adapted to the individual situation.

The basic version of this presentation is to be found on the IMPEL-homepage: (www.impel.eu)

Background situation:

The unit responsible for permitting and inspection and receives many complaints, for example, from residents about noise from public events, odour from waste treatment plants, etc. The head of the unit already knows neighbourhood dialogue and appreciates its potential.

Permit writers and inspectors are not yet convinced about the benefits of neighbourhood dialogue. This presentation will be used to demonstrate the benefits of neighbourhood dialogue in helping resolve conflicts, and to start a discussion about how the team use neighbourhood dialogue as a tool to help them manage conflicts.

Explanation and background information to the slides



Neighbourhood-Dialogue
**an instrument to prevent and solve
conflicts between companies and
their neighbours**

Procedures - Steps - Evaluation



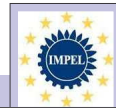
On the **slides master** the IMPEL logo may be replaced by the logo of the individual organisation.

Pictures from well known places in the region and individual situations may be integrated here. Name of the presenting person and date of the presentation may be added too.

Explanation and background information to the slides

The specific situation in our authority / unit ...

- Many complaints about noise from public events and odour from waste treatment plants
- Recurring complaints produce high workload
- The current way to handle complaints is to inspect and to go into an administrative procedure
- Are there any alternatives? Neighbourhood dialogue might be one of them.



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 3

The present situation in the unit should be described in an objective and neutral way. A current example causing high workload and for which a good solution is badly needed, could be mentioned here.

Explanation and background information to the slides

Content

- ❖ What is neighbourhood-dialogue?
- ❖ 6 steps to good neighbourhood

Information about sources

Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 4

The logo for IMPEL (Inter-Municipal Partnership for Europe) is located in the bottom right corner of the slide. It features a blue gear-like shape with the acronym 'IMPEL' in white capital letters inside. The gear is surrounded by twelve yellow stars, similar to the European Union flag.

It was decided not to use part B (see basic version of this presentation) at this stage. This could be too much information for the target group. Nevertheless the checklists for the assessment of the starting position or the overview of the supporting evaluation tools could be kept in the annex to be able to answer questions on a good bases.

Part B presents selected instruments to assure the quality of a dialogue process and to assess success and results. The instruments enable authorities and companies to carry out a self-evaluation. You are free to choose the appropriate instrument that fits most to your case or to adjust it to your own needs.

Explanation and background information to the slides

Companies and their neighbours may get into conflict about

	noise	
	odour	
	traffic	
	radiation	
	light pollution	
	development of site	
	dust	
	air pollutants	
	vibration	
	...	

Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 5

For the adjustment to the present situation some photos of well known cases should be put in and the main causes for complaints should be left in the middle.

Support for person who makes the presentation:

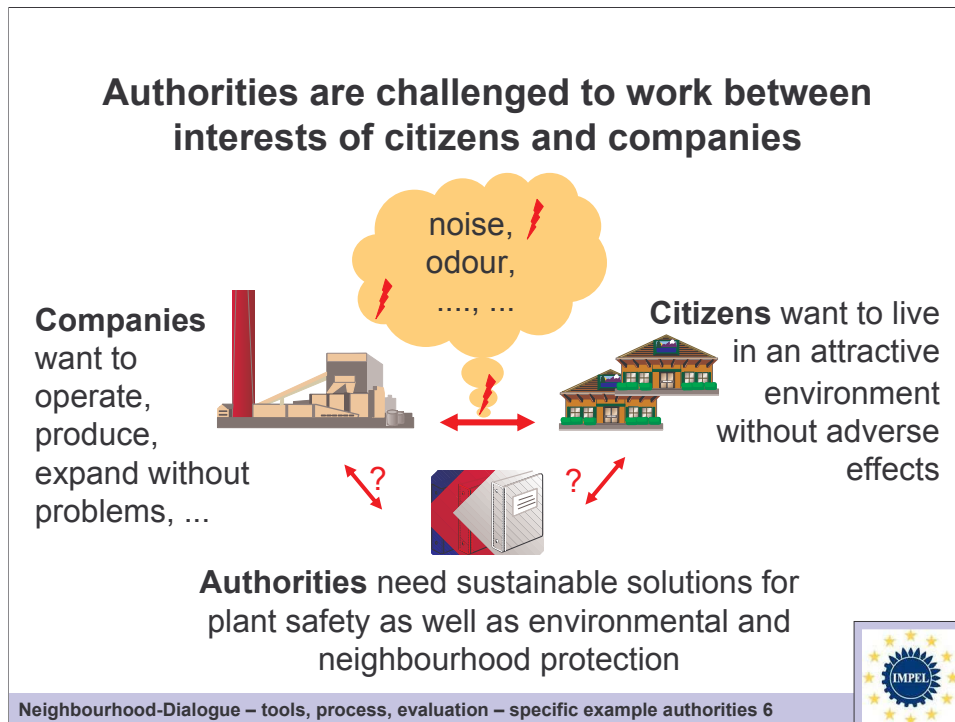
Reasons for neighbourhood complaints and conflicts are manifold and are not always connected to rational causes / scientifically established risks or measurable emissions. These are only examples, the list is not completed.

Other reasons for conflicts may be explosive substances (risk of explosions / accidents / ...) etc.

Please note that often other causes, such as mistrust of your authority or concerns about the negative impact of house prices etc., are hidden behind apparently rational complaints reasons such as noise or dust.

Please refer to the real situation in the authority/organisation and choose some good examples.

Explanation and background information to the slides



Authorities have to make sure that the sites and activities, under their responsibility, are operated /carried out in compliance with the legal requirements. If conflicts arise, it is important for them to find sustainable solutions in accordance with the law. Such solutions will as a rule reduce incoming complaints and decrease unproductive work for the authorities, especially if after some time, the involved parties can solve their problems bilaterally. In a dialogue process companies and neighbours can make agreements beyond the required BAT level. Thus they can achieve more than is required by the law.

Companies have to make a profit to keep operating, so their priority is being able to operate, and potentially expand in peace. Therefore the security of the site is important. Talking to neighbours and authorities can them develop creative solutions beyond normal enforcement measures of authorities. Regular dialogue helps widen the scope for negotiations, for example: agreement on certain opening or production hours, route of approach, removal of the entrance of a chemical plant etc.

Residents being negatively affected by sites (whether subjectively perceived or objectively measurable), are often concerned about the adverse environment impacts of the pollution. Concerns can include a reduction in house prices, disturbing the peace, poor air quality, negative health impacts or fear of accidents like fires or explosions etc.

Preventing conflict: Early and regular neighbourhood dialogue can be used as a tool to help prevent conflict, as well as being a means of resolving existing conflicts. By identifying that conflicts are developing early, authorities can encourage companies to start dialogue in good time to prevent conflicts escalating or to minimise the severeness of conflicts (e.g. during permit procedures for issues of high public interest).

Dialogue about permits: For a permit of high public interest, dialogue can be used to start developing proactive, trustful and transparent relationships between the operator, the authority and the local residents.

Explanation and background information to the slides



This slide shows the possible parties in the dialogue. Normally the main parties are:

- a company / several companies / site management
- the residents / complainants
- other groups involved in the case
- the authority
- a facilitator (from the authority or external) who is accepted by all parties

Neighbourhood dialogue cannot replace regulatory measures of the authority, but it may allow for a wider range of actions beyond BAT, that might comprise other and partly wider options especially if:

- there is more than one problem to be solved;
- complaints are increasing;
- it is not clear whether the complaints are well-founded or not, for example, this is often the case with odour complaints – it can take the inspector a long time to investigate and decide on the significance of the odour issue. Residents often get frustrated waiting for action to be taken and put more pressure on the authority to close the installation;
- the situation is very complex concerning the legal basis, for example, the inspector is not sure whether there are really harmful effects or significant nuisances on the neighbourhood, or the environment, because there are no defined emission limit values in the law. There are only indefinite legal terms.
- there is a complex structure of complainants;
- there is more than one affected authority;
- there are several different contacts in the company who need to be involved;
- it is difficult to develop a simple solution. In this situation, it is useful get the most important contacts in each organisation (and potentially some supporting contacts) to work together.

Explanation and background information to the slides

Neighbourhood dialogue ...

- is a structured process where everybody has the chance to be heard.
- is an effective communication platform for conflict prevention.
- aims at finding understanding and solutions in case of severe or recurring conflicts between companies and their neighbours.
- can be used systematically to maintain good neighbourhood relations.
- is not a substitute but a complement to authorities' actions.



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 8

The dialogue process can be supported by consequent use of a moderating technique (e.g. Metaplan-technique). The facilitator is impartial and stimulates the process of neighbourhood dialogue.

If the authority prefers to use an internal facilitator, their role must be accepted and agreed by the whole group. The agreement on rules for the discussion is helpful.

When participants feel that they are being heard and their problems are being taken seriously, the dialogue process can help develop trusting relationship between all parties.

Once the dialogue process has helped resolve the initial problems identified at the site, continuing the neighbourhood dialogue can be a useful way of preventing future conflicts by identifying issues early and dealing with them before they escalate.

Neighbourhood dialogue cannot replace measures of the authority, but it may allow for a wider range of action, that might comprise other and partly wider options.

Explanation and background information to the slides

Neighbourhood dialogues are especially useful if...

- ✓ the legal situation is not easy to assess.
- ✓ sustainable conflict resolution requires additional options to complement the classical catalogue of authorities' actions.
- ✓ there is distrust in the company and/or the authority to take appropriate action



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 9

Neighbourhood dialogue may not substitute the regulatory actions of an authority, but they provide a broader range of tools for conflict resolution.

Especially if:

- there are several issues to address
- it is difficult to assess the relevant facts, the justification of complaints and/or the exact consequences of the applicable legal rules
- complaints or the number of conflict issues increase
- there is a lack of trust in the evidence that has been used to decide whether or not there is a pollution problem. It is not always possible to use objective scientific evidence to decide whether there is a significant pollution issue, so defining the significance of some types of pollution will always be based on subjective evidence. For example, the evidence of an odour issue at a site is based on the judgement of an experienced regulatory officer.

Another reason to get the main stakeholders together to talk, could be when there's a diverse mix of complainants, several responsible authorities involved and / or diverse relevant contacts in the management of the site / enterprise. These factors can all make it difficult to reach a solution. Other potentially helpful persons could be asked to get involved in dialogues.

Explanation and background information to the slides



Neighbourhood dialogue can only be successful if there is a plan to manage the process, and help participants understand how the process will work towards developing a solution. Single engagement actions might be good but their effects quickly fall flat or don't work at all if there's no follow up.

Initiators must know the goals they want to achieve and agree on them with all participants at the first meeting.

The process and the steps to achieve the goals must be made clear to all involved.

The process is made up of a series of steps (see slide). The steps build up, one upon the other, and form the basis of a well planned dialogue process. Before the first meeting the participants are informed about the neighbourhood dialogue process.


Tip: Remember your dialogue plan is flexible, and can be changed at any stage if local circumstances or issues change.

You will find detailed information about the steps in the „Toolkit – Establishing neighbourhood dialogue (page 12 – 43), in the appendix you find a short version (page 45 – 47) and further useful supporting material for neighbourhood dialogues (page 48 – 66)

Explanation and background information to the slides

Good convincing example ...

- Situation
- Problem
- Handling the dialogue...
- Results/ successes of this dialogue ...



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 11

The success of neighbourhood dialogue can be demonstrated by presenting at least one good convincing example.

The best option would be to choose a case published in the media or somewhere else, from which involved persons are known and can be contacted afterwards.

If later on a training seminar would be carried out, participants in such a case may be invited to report their experiences.

If neighbourhood dialogue is perceived and used as a process the sustainability of its effect and its solutions may be assured.

Explanation and background information to the slides

Benefits of a professional dialogue procedure

- ✓ Workable solutions are created
- ✓ Citizens recognise the performances of authority
- ✓ Resistance and administrative appeals against permissions or decisions decline, procedures shorten
- ✓ Number of complaints decreases, less bad press
- ✓ Workload of the authority is relieved sustainably
- ✓ Enterprises / sites improve their public image
- ✓ Enterprises gain security for their site
- ✓ Better informed and empowered citizens
- ✓ ...

Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 12



Here you can refer to the good example that was presented before.

Explanation and background information to the slides

Risks of a neighbourhood dialogue

- ✓ Agreements are not legally binding
- ✓ Participants cannot push through with maximum demands, so some will refuse to join in
- ✓ Participants give up their distance to each other – may „lose their enemies“
- ✓ The neighbourhood may split up into different groups.

Pros and Cons: Conclusion

Neighbourhood dialogue is an important option for the authority !



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 13

Disadvantages: neighbourhood dialogues also have unwelcome side effects and shortcomings – which should be clear for all participants from the beginning:

- Agreements are not legally binding as long as they are not integrated into binding decisions of the authority (which may not always be possible) or in a valid civil law contract.
- Participants wanting to push through with maximum demands will probably refuse dialogue participation as solutions agreed upon will usually represent a compromise.
- „Concepts of the enemy“ cannot be maintained in a successful dialogue process.
- Participants give up their distance to each other – which is not always regarded as a gain.
- The neighbourhood may split up into different groups – the chances and risks of which should be evaluated with care.

Summing up: weighing the pros and cons of neighbourhood dialogue

1. reaching a sustainable and mostly peaceful co-existence between industrial/ commercial and private neighbours through neighbourhood dialogue is possible
2. all participants may profit from this
3. reductions of regulation and control require new strategies
4. as a rule, the advantages of neighbourhood dialogue prevail clearly over its disadvantages (*)

(*) In spite of this, in special cases it may not make sense to start a dialogue. But the neighbourhood dialogue as an instrument still remains an important additional option for an authority.

Explanation and background information to the slides

Risks of not doing a dialogue procedure

- ✓ Authority remains the scapegoat among the parties
- ✓ Number of complaints/court procedures will not reduce
- ✓ Demotivating situation remains as it is ...
- ✓
- ✓ ...



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 14


Description should reflect the real situation in a neutral way.

Explanation and background information to the slides

For all this

- ✓ My proposal for our authority.
- ✓ Let's try it ...

- ✓
- ✓ ...



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 15


The statement should be motivating and achievable but not exaggerated.

Explanation and background information to the slides

Questions and Answers

Discussion

- What do you want to know?
- What chances do you see?
- What do you think, is it worthwhile to invest more time in neighbourhood dialogue?



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 16

Proposal:

Prepare in advance your answers on critical questions.

Ask with the invitation for questions in advance.

Prepare in advance some questions to initiate a discussion.

... to invest more time in neighbourhood dialogue means:

- to inform about further literature
- to organise a training seminar

The discussion can be documented by consequent use of a moderating technique (e.g. Metaplan-technique).

An agreement on further usage of and dealing with neighbourhood dialogue would be the best result that could be achieved. A good option is to identify a real case that could be solved by neighbourhood dialogue and to find a volunteer for the facilitation.

If colleagues experience that they are heard and their problems are dealt with seriously for the most part they enter into the discussion. After the solution of the first problems by neighbourhood dialogue it may develop to a forum for conflict prevention.

If neighbourhood dialogue is perceived and used as a process the sustainability of its effect and its solutions may be assured.

Explanation and background information to the slides

Further Information / Resources

Products of the IMPEL-Project

„Informal resolution of environmental conflicts by dialogue“
2004 - 2010

process: brochure „Solving environmental conflicts by Dialogue“
(http://impel.eu/categories/228/search_type/and)

procedure, methods and steps: „Toolkit – Establishing
Neighbourhood Dialogue“ (

(http://impel.eu/categories/228/search_type/and)

quality assurance and evaluation: „Guideline and excel table for
self evaluation of neighbourhood dialogue“

(http://impel.eu/categories/228/search_type/and)

You find annotations on the slides on the notes pages



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 17

Other Resources: *Dear project participants, please update / complete this list by some important supporting publications*

Germany

Brochure „Betriebe und ihre Nachbarn, www.Gewerbeaufsicht.niedersachsen.de

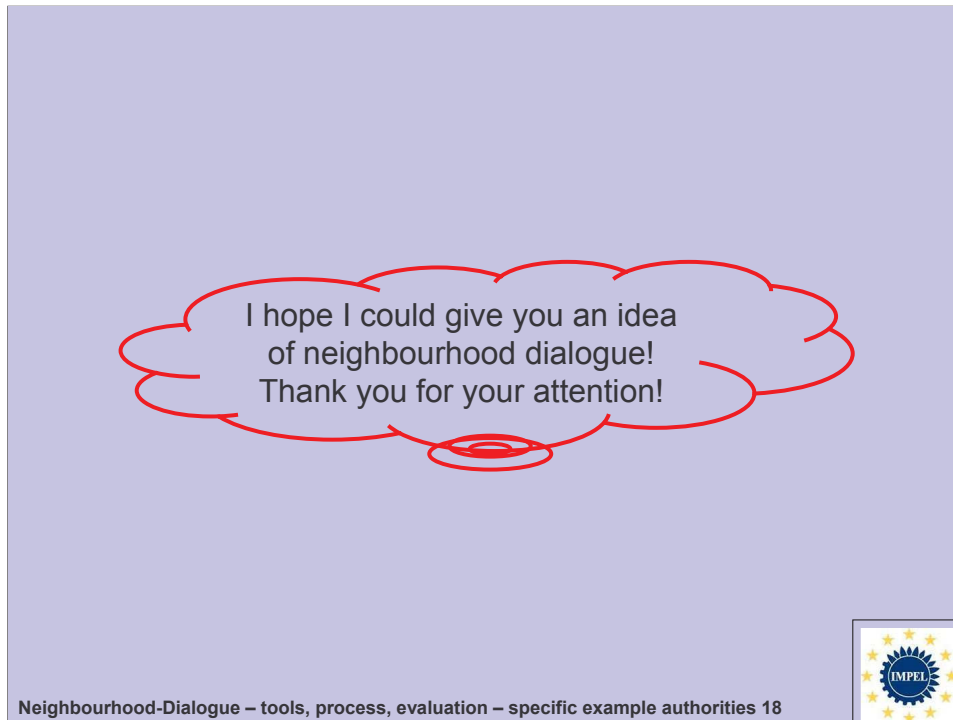
UK

The Environment Agency: Building trust with communities. A toolkit for staff. Bristol, 2004

The Environment Agency: Working with others. Building trust with communities. A guide for staff. Bristol, 2006

Here you may add further resources with examples from your own country and written in your own language.

Explanation and background information to the slides



Alternative:

I hope I could convince you that neighbourhood dialogue might be an option.

The next slides can be used if participants want more information about the structure of a dialogue, supporting checklists and evaluation tools. More information can be taken from the basic version of the step-by-step instructions.

Explanation and background information to the slides

step 1 Initiating and preparing the dialogue

- Analyse the conflict
- Examine the legal background / the scope of action of the authority
- Convince the key people in the company to get involved
- Explore interests and expectations of all parties
- Decide on the role of the authority / think about an accepted facilitator

Authorities may initiate the dialogue!



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 19

Legal framework: the legal situation must be clear – dialogue cannot replace implementation or enforcement measures of authorities – illegal situations cannot be tolerated in exchange for the initiation of a dialogue. Only after thorough examination of the case and in case of good prospect for a successful dialogue and achievement of the legally required standards, a defined period of time may be conceded for compliance to be achieved.

Role of the authority: The authority provides support for the parties involved and gives advice, checks up the legal framework, explores the scope of action.

Involvement of the company: sometimes it is useful to develop a provisional concept on structure and procedure of the dialogue, that company representatives get an idea of what is ahead and which advantages the dialogue will bring for the company including the longterm perspective. Sustainable solutions are worked out / opposition and objections against permits will decrease / frequency of complaints will decrease too. (You can find further supporting arguments for authorities dealing with companies in part B of this presentation).

Potential for conflicts: The authority may recommend neighbourhood dialogue to the company as a preventive measure or in a permit procedure.

Key persons in the authority / company / important active parties that have to be involved to assure the success of the dialogue. Be aware that some of the key people become evident only during your work on step 1 and 2.

Analysis of interests: first identification – basis for the following dialogue concept.

Facilitator accepted by all parties: usually you need a facilitator, the person may come from the authority, it may be a professional external facilitator or a person with profound foundation of trust (mayor / pastor / vicar ...).

Explanation and background information to the slides

Step 2 Developing and designing the concept

- Assess opportunities and risks of the dialogue
- Contact representatives
- Identify representatives' willingness to negotiate and scope for action
- Define participants in the dialogue
- Define date, place, form of dialogue
- Reach agreement on dialogue concept as first step of cooperation

Authorities can act as representatives or facilitators



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 20

step 1 + 2 are closely linked in the dialogue, they often overlap.

In this step several questions are solved:

For example:

- Is there a great need for information exchange between the parties?
- Is there any scope of action?
- Are the relations between the acting parties favourable for a dialogue or not?
- Which is the legal situation?
- Does the authority have any scope for action regarding its measures?
- Which are the chances of success if only the authority takes measures?
- Which chances of success are there for a dialogue of the involved parties?
- Who should be involved in the dialogue?

The authority as facilitator: the authority can take over this role only if all parties involved accept it (= enough trust in the authority). Alternatively a representative from another department / another office can moderate the discussions. If both options are not possible an external (impartial) facilitator should be engaged.

(Further questions can be found in the „Guideline for self evaluation“, resource see slide 28)

Explanation and background information to the slides

Step 3 Starting neighbourhood dialogue

- Send out invitations / prepare the first meeting
- Plan well the agenda, methods and structure for the first meeting
- Plan sufficient time for initial discussion about the main issue
- Encourage participants to involve and build trust
- Make agreements about rules of dialogue including communicating with the media

Authorities act impartially



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 21

Starting neighbourhood dialogue is a very important step. Here the representatives involved check whether it is possible and worthwhile to build up trust. Therefore a carefully reflected structure is needed.

The invitation and preparation of the first meeting should be planned carefully: who invites – to which place – when – how long – what is the issue – which are the objectives ...

The development of the structure of the items and the dialogue uses a clear structure of the dialogue steps including a „warm-up phase“ for participants, the agreement on common ground rules ... Techniques of moderation and visualisation provide support for an effective discussion.

Experience shows that there should be enough time for an initial discussion about the main issue. Participants must experience that they are heard and that there is room for their emotions.

Role of the authority: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic. In any case authority members have to be strictly impartial even with little signs and gestures.

Explanation and background information to the slides

Step 4 Making progress

- Supply comprehensive information, that is understandable for all participants
- Being clear and open with facts and uncertainties, encourage adoption of different perspective and careful listening, solve and prevent misunderstandings ...
- Build up an objective basis for agreements: analysis of interests, development of options
- Develop agreements with mutual obligations that are acceptable for all parties

Authorities control the compliance with legal requirements



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 22

Initiate openness while dealing with facts, uncertainties, fears and concerns, limitations, obstacles and responsibilities – this needs a good plan for the discussion and a professional moderation of the meeting. Explore the conflict behind the conflict.

Bases for an agreement: thorough analysis of interests, development of options / often also compilation of criteria for objective decisions

Development of agreements with mutual obligations, that all parties can accept. It must be clear who has got which task and which responsibility, how the result can be checked. Attention: agreements below legal requirements are not acceptable!

Role of the authority is like in the step before: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic, concerning the scope of action of the authority.

Explanation and background information to the slides

Step 5 Getting results and celebrating success

- Each meeting should be followed up by documenting and translating agreements into action, communicating performance to participants
- Get regular feedback about work style and results, evaluate the dialogue process
- Share the results with participants and celebrate success
- Communicate the results to the media together

Authorities integrate dialogue results into their decisions where possible.



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 23

Within their legal framework, authorities align their decisions with the results of the dialogue as far as possible and practicable. The basis of authority's action is the legal framework. Within this framework, dialogue results may be integrated.

It is therefore important for the authority to repeatedly describe and clarify its scope for action and its discretionary powers. The success of this and of other dialogues also depends on authorities alignment to (and perhaps active support of) the dialogue results.

It is important to talk about the decision making process in the dialogue and within the groups, represented by the participants in the dialogue (e.g. action groups, authorities, ...) If necessary give support to the representatives for the information of their groups.

Explanation and background information to the slides

Step 6 Maintaining good neighbourhood relations

- Contacts to and relations with the neighbourhood should be purposefully maintained and developed
- Continue reciprocal information exchange and solidify trust and confidence
- Keep up regular but less frequent meetings
- React to changes in the neighbourhood – adapt or expand contacts
- Maintain contacts for immediate communication in case of crisis

Usually, authorities withdraw from dialogue now



Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 24

In this step, contacts with and relations to the neighbourhood are solidified and put on a sustainable foundation. This requires that the informational exchange and the building of trust is continued as an ongoing process.

Regular but less frequent meetings: adequate structures should be developed for preventive dialogue – which differ in frequency as well as in participants from the „acute“ dialogue phase for resolving a conflict. E.g. a smaller group may meet and then report regularly to the other interested stakeholders, or different small groups may meet on different topics (politicians, cross-regional citizens' initiatives, direct neighbours, ...) so that they can work on their respective special issues in the different meetings.

Changes/ departures / loss of key contacts should be compensated, generational change, new stakeholders, changes in interests require an active stakeholder management (absolute necessity!)

Site managements which developed solid communication channels in „peaceful“ times have a chance to use these in times of crisis for a timely and trust-engendering information of the neighbourhood.


Representatives of the authority participate in the meetings upon invitation only; as a rule the authority withdraws from regular dialogue in this phase.

Explanation and background information to the slides

Self evaluation of neighbourhood dialogue(s) during and at the end of the process

<p>Quality assurance How to know,</p> <ul style="list-style-type: none">■ whether a dialogue may be successful?■ whether to recommend dialogue or not?■ whether dialogue is carried out professionally?	<p>Evaluation of success How to find out,</p> <ul style="list-style-type: none">■ which results have been achieved by the dialogue?■ if the participants see the dialogue as successful?■ which was the workload of the dialogue?
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Neighbourhood-Dialogue – tools, process, evaluation – specific example authorities 25



Self evaluation means: The facilitator, the authority or the company itself may use the evaluation instruments as such (or adapt them to their individual needs).

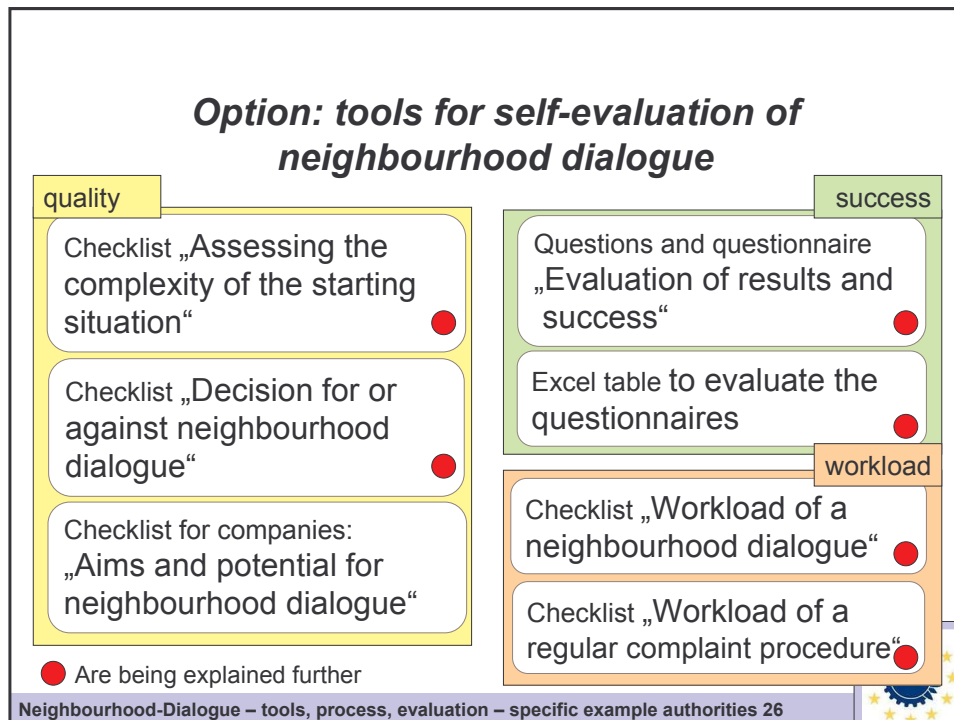
Self-evaluation should be integrated in each dialogue procedure at the beginning, during and at the end of the process:

At the beginning and during the process you may use self-evaluation, to come to a well founded decision to start a dialogue or not, to assure the quality and to make necessary corrections.

During and at the end of a dialogue procedure you may use self-evaluation for quality assurance, as a basis for necessary corrections in the procedure and to find out if the process was successful (in the eyes of all participants) and which results have been achieved. You may document the resources needed and compare the latter to the resources needed for dealing with complaints in a regular administrative procedure.

If you plan to present single tools it might be very helpful to look first for deeper information into the „Guideline and excel table for self evaluation of neighbourhood dialogue“ (http://impel.eu/categories/228/search_type/and)

Explanation and background information to the slides



Slides 22 to 27 contain more detailed information about the most important tools for quality assurance and evaluation of results. The tools marked with a red dot will be explained further in the subsequent slides.

The checklist Assessing the complexity of the starting situation already provides clues for the estimation of resources necessary for the handling of the matter (in terms of time and staff). With the completion of this analysis it will become clearer, whether the installation of a neighbourhood dialogue remains a promising option for the individual case.

The checklist Decision for or against neighbourhood dialogue contains criteria for a systematic reasoning or a well founded recommendation (be it within the own office or towards site managements or other stakeholders). Its treatment also helps to recognise aims and topics for the dialogue.

The questions for evaluation give a basic structure for a round table discussion with all dialogue participants and help to estimate whether the dialogue is promising enough for all to be continued.

The questionnaire is meant for (written) interviews of the participants in the course of and at the (provisional) end of a neighbourhood dialogue, so that necessary corrections / improvements within the process may be recognised and success may be documented.

The checklist : „Aims and potential for neighbourhood dialogue“ can be used in the discussions with companies.

The checklists on Workload of a neighbourhood dialogue and Regular complaint procedure help towards the rough estimation in advance as well as the documentation at the end of the process and - on the long run – make comparisons between procedures possible.

You can find even more tools (as well as several examples of application) in the „Guideline for self evaluation“ (see description on p. 7 to 11, main example p. 12 to 31, further examples p.77 ff.)

Example – Presentation for a company

Explanation and background information to the slides

Informations about this presentation

This presentation bases upon the basic version of the presentation „Neighbourhood dialogue – an instrument to prevent and solve conflicts between companies and their neighbours“. The selection of the following slides are to be seen as an example how to adapt the basic version to a specific situation, target group and objectives:

Target group: *Leading persons of two different companies, that both are in trouble with their neighbours because of odour problems.*

Problem: *The origin of the odour problems are not clear, measurements are to be started. The neighbours are split into three parties, that blame one of the companies or both. The companies are placed in a small village of 5000 inhabitants, which find work in the companies. The authority has not yet informations how long the problem lasts. Number of complaints against the companies are rising extremely.*

Objective for the presentation: *The authority wants to convince especially one of the companies to start a dialogue with the neighbours and discuss the options of the starting situation ??.*

Neighbourhood-Dialogue – tools, process, evaluation – specific example company 1



The basic presentation can be downloaded on the IMPEL homepage
(www.impel.eu)

The order and choice of slides can be adjusted to the individual needs and the target audience, as you can see in this example.

Example – Presentation for a company Explanation and background information to the slides

**„Odour problems in
(village)“**

**Name of presentator and adress of the
authority (contact-dates)**





Neighbourhood-Dialogue – tools, process, evaluation – specific example company 2

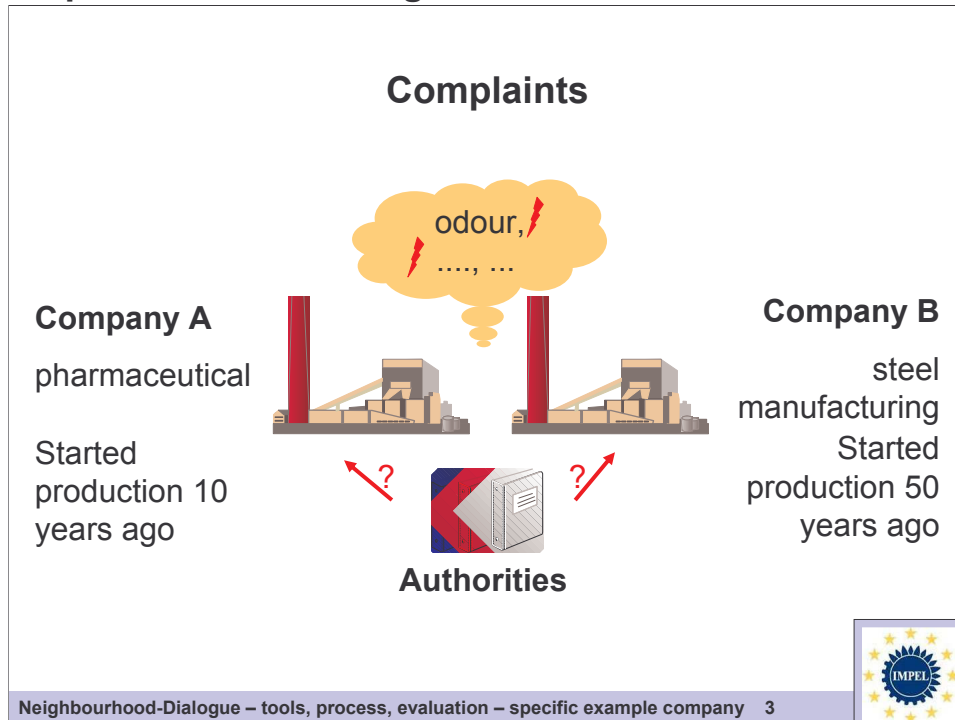
The texts and pictures of this and the following slides should be adjusted to the concrete situation, the needs and the target audience.

You are invited to translate the presentation into your own language.

IMPEL would be glad if translations into other languages or your specific examples could be made available for other interested colleagues on the IMPEL website.

Example – Presentation for a company

Explanation and background information to the slides



With this slide you can show the basic situation of the actual conflict.

Generally:

Authorities control that the sites and activities under their responsibility are operated /carried out in compliance with the legal requirements. If conflicts arise, it is important for them to find sustainable solutions in accordance with the law. Such solutions will as a rule reduce incoming complaints and decrease unproductive work for the authorities, especially if after some time, the involved parties can solve their problems bilaterally. In a dialogue process companies and neighbours can make agreements beyond the required BAT level. Thus they can achieve more than is required by the law.

For companies safety of the site and legal security are important. Using direct dialogue with neighbours and authorities they can develop creative solutions beyond normal enforcement measures of authorities. The scope for negotiations is potentially wider (*example: agreement on certain opening or production hours, route of approach, removal of the entrance of a chemical plant. ...*)

Prevention: In this area of conflict neighbourhood dialogue can be used as means for conflict prevention instead of conflict solution. Noticing that there are conflict situations ahead authorities can recommend companies to start dialogue in good time to prevent conflicts or to minimise severeness of conflicts (e.g. during permit procedures)

Residents are in case of (subjectively perceived or objectively measurable) effects concerned about loss in value of their estates, peace, air quality, free (good) sight, optical aspects, health or they fear dangers like fire or explosion ...

Example – Presentation for a company Explanation and background information to the slides

Graphs and facts about complaints in (village ...)

Numbers:

Situation:

Investigations of the authority:

...



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 4

Complete this slide with the facts (if possible with graphs) of the starting situation to convince the audience, that the situation affords an active way of coping with it.

During the presentation you can discuss with the audience, which facts they see.

Example – Presentation for a company

Explanation and background information to the slides

Risks and consequences of not talking with the community ...

- Eg. Negative press
- Immediate enforcement actions
- Financial risks of citizens actions
- ...

Neighbourhood-Dialogue – tools, process, evaluation – specific example company 5



Description should reflect the real situation in a neutral way.

During the presentation you can discuss with the audience, what risks and consequences they see.

Example – Presentation for a company

Explanation and background information to the slides

Benefits of a professional dialogue procedure

- ✓ Companies / sites improve their public image
- ✓ Companies gain opportunity for site-development
- ✓ Number of complaints will decrease
- ✓ Workable solutions will be created
- ✓ Resistance and administrative appeals against permissions or decisions decline
- ✓ ...

Neighbourhood-Dialogue – tools, process, evaluation – specific example company 6



If a discussion about possible disadvantages starts, talk openly about them:

- Agreements are not legally binding as long as they are not integrated into binding decisions of the authority (which may not always be possible) or in a valid civil law contract.
- Participants wanting to push through with maximum demands will probably refuse dialogue participation as solutions agreed upon will usually represent a compromise.
- „Concepts of the enemy“ cannot be maintained in a successful dialogue process.
- Participants give up their distance to each other – which is not always regarded as a gain.
- The neighbourhood may split up into different groups – the chances and risks of which should be evaluated with care.

Summing up: weighing the pros and cons of neighbourhood dialogue

1. reaching a sustainable and mostly peaceful co-existence between industrial/ commercial and private neighbours through neighbourhood dialogue is possible
2. all participants may profit from this
3. reductions of regulation and control require new strategies
4. as a rule, the advantages of neighbourhood dialogue prevail clearly over its disadvantages (*)

In spite of this, in special cases it may not make sense to start a dialogue. But the neighbourhood dialogue as an instrument still remains an important additional option for an authority.

Example – Presentation for a company

Explanation and background information to the slides

Neighbourhood dialogue ...

- ... is not a substitute but a complement to authorities actions,
- is a structured, dialogue process supported by facilitation.
- is an effective communication platform for conflict prevention.
- aims at finding solutions in case of severe or recurring conflicts between companies and their neighbours.
- can be used systematically to maintain good neighbourhood relations.



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 7

Make sure, that you as the authority will not give up your actions, while starting a neighbourhood dialogue, but that you can connect your acting with the results of the dialogue.

Neighbourhood dialogue cannot replace measures of the authority, but it may allow for a wider range of action, that might comprise other and partly wider options.

Generally:

The dialogue process can be structured by consequent use of one moderating technique (e.g. Metaplan-technique). The facilitator is impartial and stimulates the process of neighbourhood dialogue. The agreement on rules for the discussion is helpful.

If participant experience that they are heard and their problems are dealt with seriously for the most part they enter into the dialogue and build up trust. After the solution of the first problems neighbourhood dialogue may develop to a forum for conflict prevention.

If neighbourhood dialogue is perceived and used as a process the sustainability of its effect and its solutions may be assured.

Example – Presentation for a company Explanation and background information to the slides



You can discuss with your audience, which could be the best participants in the group to work with on the actual odour problems in the concrete situation. The red lined participants should be involved in any case.

Maybe you will need an intensive (next) discussion, to analyse the situation of the involved groups and persons.

Generally a neighbourhood dialogue with a well composed group of participants is useful,

... especially if there is more than one problem to be solved and the situation is very complex concerning well-foundedness of complaints and the legal basis; if complaints increase and / or not only rational aspects play a part.

... especially if there is a complex structure of complainants, more than one affected authority and/or several contact persons in the company and it is difficult to develop a clear and transparent solution the best thing to do is to invite the central parties and potentially supporting persons.

Attention, be aware of notorious complainants/malcontents and find the best way to cope with them:

(Hints, HOW to be aware/ to handle them: (It is important, to pay adequate attention to them – adequate little or big – so that the risk, that they disturb the dialogue is as little as possible. So they can be included in the process or kept outside. Maybe it makes sense, to negotiate with them separately. Guiding principle for difficult partners: Do not spend too much energy, which is needed to reach success with other (many / important) participants.

Example – Presentation for a company Explanation and background information to the slides



Neighbourhood dialogue can only be successful if there is a plan to manage the process, and help participants understand how the process will work towards developing a solution. Single engagement actions might be good but their effects quickly fall flat or don't work at all if there's no follow up.

Initiators must know the goals they want to achieve and agree on them with all participants at the first meeting.

The process and the steps to achieve the goals must be made clear to all involved.

The process is made up of a series of steps (see slide). The steps build up, one upon the other, and form the basis of a well planned dialogue process. Before the first meeting the participants are informed about the neighbourhood dialogue process.

Tip: Remember your dialogue plan is flexible, and can be changed at any stage if local circumstances or issues change.

You will find detailed information about the steps in the „Toolkit – Establishing neighbourhood dialogue (page 12 – 43), in the appendix you find a short version (page 45 – 47) and further useful supporting material for neighbourhood dialogues (page 48 – 66) (http://impel.eu/categories/228/search_type/and)

Example – Presentation for a company

Explanation and background information to the slides

Good convincing example ...

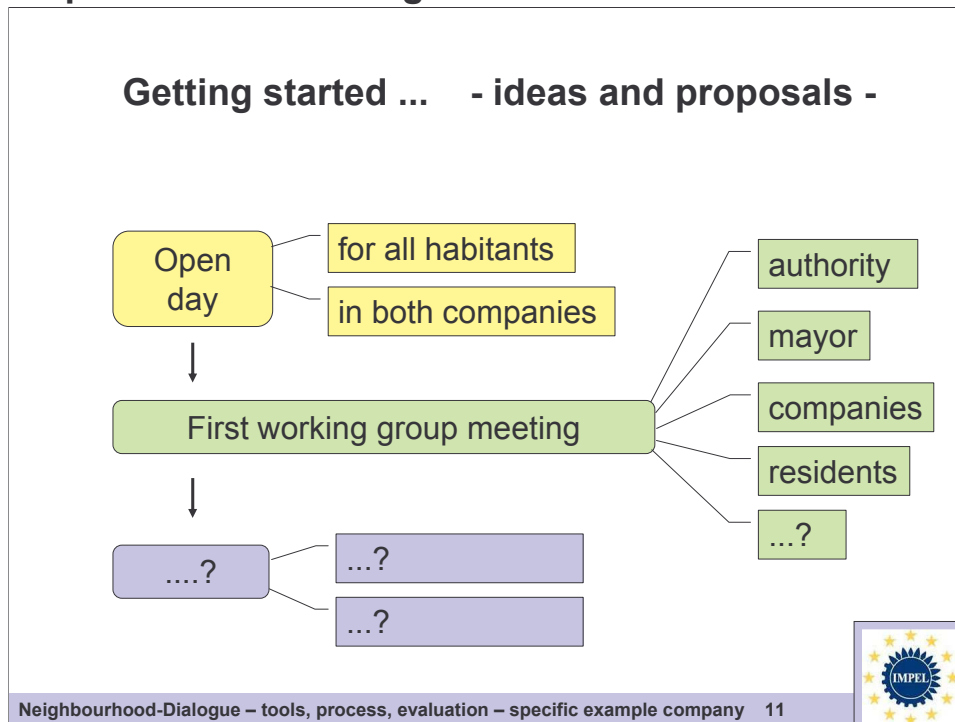
- Situation
- Problem
- Handling the dialogue...
- Results/ successes of this dialogue ...

Neighbourhood-Dialogue – tools, process, evaluation – specific example company 10



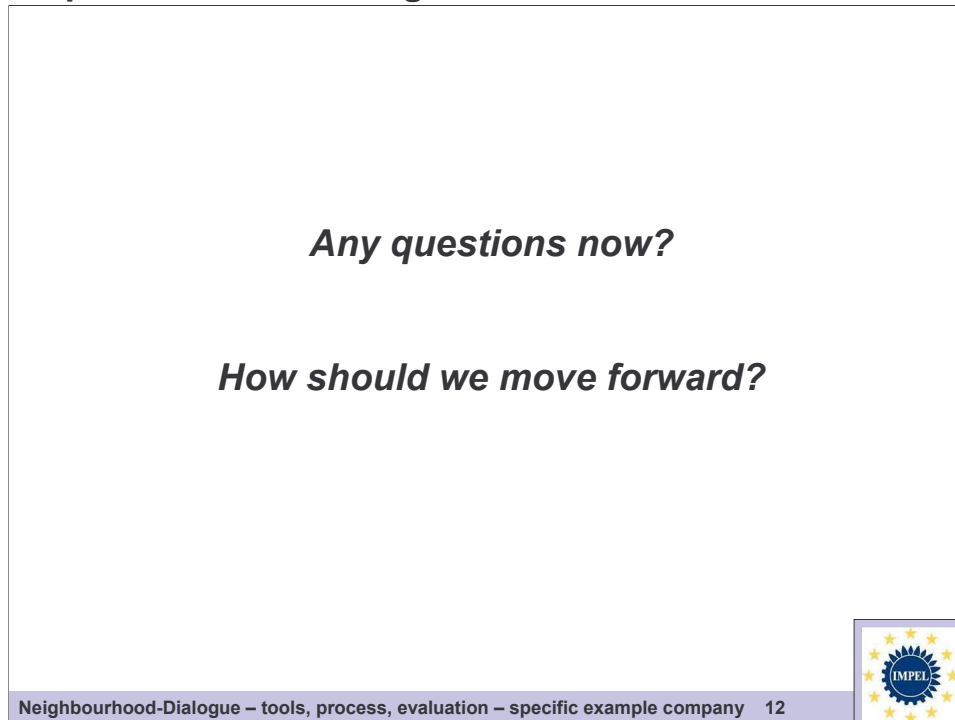
Here you could describe an example of a (successful) dialogue process, if possible one with a comparable situation and/or one which the presenting authority-staff knows by personal experience.

Example – Presentation for a company Explanation and background information to the slides



Here you can propose the first ideas for starting the process.

Example – Presentation for a company Explanation and background information to the slides



Proposal:

Prepare in advance your answers on critical questions.

Ask with the invitation for questions in advance.

Prepare in advance some questions to initiate a discussion.

... to invest more time in neighbourhood dialogue means:

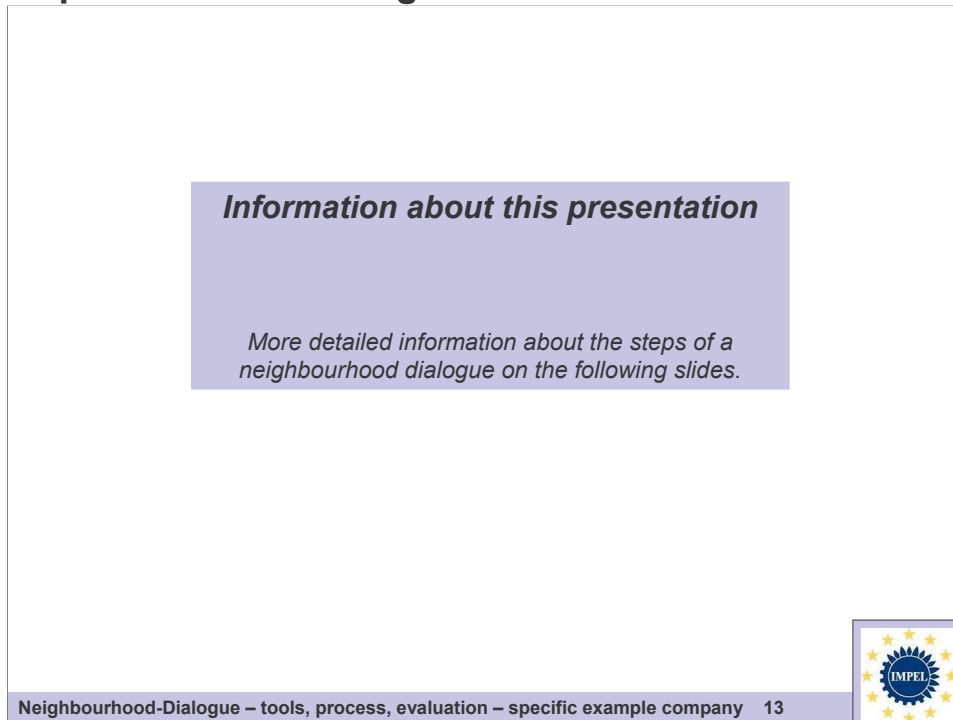
- to inform about further literature
- to organise a training seminar

The discussion can be documented by consequent use of a moderating technique (e.g. Metaplan-technique).

An agreement on further usage of and dealing with neighbourhood dialogue would be the best result that could be achieved.

Example – Presentation for a company

Explanation and background information to the slides



The following slides you can use, if there are detailed questions about the steps and details of a neighbourhood dialogue.

Example – Presentation for a company

Explanation and background information to the slides

step 1 Initiating and preparing the dialogue

- Analyse the conflict
- Examine the legal background / the scope of action of the authority
- Convince the key people in the company to get involved
- Explore interests and expectations of all parties
- Decide on the role of the authority / think about an accepted facilitator

Authorities may initiate the dialogue



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 14

Legal framework: the legal situation must be clear – dialogue cannot replace implementation or enforcement measures of authorities – illegal situations cannot be tolerated in exchange for the initiation of a dialogue. Only after thorough examination of the case and in case of good prospect for a successful dialogue and achievement of the legally required standards, a defined period of time may be conceded for compliance to be achieved.

Role of the authority: The authority provides support for the parties involved and gives advice, checks up the legal framework, explores the scope of action.

Involvement of the company: sometimes it is useful to develop a provisional concept on structure and procedure of the dialogue, that company representatives get an idea of what is ahead and which advantages the dialogue will bring for the company including the longterm perspective. Sustainable solutions are worked out / opposition and objections against permits will decrease / frequency of complaints will decrease too. (You can find further supporting arguments for authorities dealing with companies in part B of this presentation).

Potential for conflicts: The authority may recommend neighbourhood dialogue to the company as a preventive measure or in a permit procedure.

Key persons in the authority / company / important active parties that have to be involved to assure the success of the dialogue. Be aware that some of the key people become evident only during your work on step 1 and 2.

Analysis of interests: first identification – basis for the following dialogue concept.

Facilitator accepted by all parties: usually you need a facilitator, the person may come from the authority, it may be a professional external facilitator or a person with profound foundation of trust (mayor / pastor / vicar ...).

Example – Presentation for a company

Explanation and background information to the slides

Step 2 Developing and designing the concept

- Assess opportunities and risks of the dialogue
- Contact representatives
- Identify representatives' willingness to negotiate and scope for action
- Define participants in the dialogue
- Define date, place, form of dialogue
- Reach agreement on dialogue concept as first step of cooperation

Authorities can act as a representative or facilitator



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 15

step 1 + 2 are closely linked in the dialogue, they often overlap.

In this step several questions are solved:

For example:

- Is there a great need for information exchange between the parties?
- Is there any scope of action?
- Are the relations between the acting parties favourable for a dialogue or not?
- Which is the legal situation?
- Does the authority have any scope for action regarding its measures?
- Which are the chances of success if only the authority takes measures?
- Which chances of success are there for a dialogue of the involved parties?
- Who should be involved in the dialogue?

The authority as facilitator: the authority can take over this role only if all parties involved accept it (= enough trust in the authority). Alternatively a representative from another department / another office can moderate the discussions. If both options are not possible an external (impartial) facilitator should be engaged.

(Further questions can be found in the „Guideline for self evaluation“, resource see slide 28)

Example – Presentation for a company

Explanation and background information to the slides

Step 3 Starting neighbourhood dialogue

- Send out invitations / prepare the first meeting
- Plan well the agenda, methods and structure for the first meeting
- Plan sufficient time for initial discussion about the main issue
- Encourage participants to involve and build trust
- Make agreements about rules of dialogue, including communicating with the media

Authorities act as an impartial party



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 16

Starting neighbourhood dialogue is a very important step. Here the representatives involved check whether it is possible and worthwhile to build up trust. Therefore a sophisticated structure is needed.

The invitation and preparation of the first meeting should be planned carefully: who invites – to which place – when – how long – what is the issue – which are the objectives ...

The development of the structure of the items and the dialogue uses a clear structure of the dialogue steps including a „warm-up phase“ for participants, the agreement on common ground rules ... Techniques of moderation and visualisation provide support for an effective discussion.

Experience shows that there should be enough time for an initial discussion about the main issue. Participants must experience that they are heard and that there is room for their emotions.

Role of the authority: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and take care that expectations of participants stay realistic.

Example – Presentation for a company

Explanation and background information to the slides

Step 4 Making progress

- Supply comprehensive information, that is understandable for all participants
- Being clear and open with facts and uncertainties, encourage adoption of different perspective and careful listening, solve and prevent misunderstandings ...
- Build up an objective basis for agreements: analysis of interests, development of options
- Develop agreements with mutual obligations that are acceptable for all parties

Authorities inspect the compliance with legal requirements



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 17

Initiate openness while dealing with facts, uncertainties, fears and concerns, limitations, obstacles and responsibilities – this needs a good plan for the discussion and a professional moderation of the meeting. Explore the conflict behind the conflict.

Bases for an agreement: thorough analysis of interests, development of options / often also compilation of criteria for objective decisions

Development of agreements with mutual obligations, that all parties can accept. It must be clear who has got which task and which responsibility, how the result can be checked. Attention: agreements below legal requirements are not acceptable!

Example – Presentation for a company

Explanation and background information to the slides

Step 5 Getting results and celebrating success

- Each meeting should be followed up by documenting and translating agreements into action, communicating performance to participants
- Get regular feedback about work style and results, evaluate the dialogue process
- Share the results with participants and celebrate success
- Communicate the results to the media together

Authorities integrate dialogue results into their decisions where possible



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 18

Within their legal framework, authorities align their decisions with the results of the dialogue as far as possible and practicable. The basis of authority's action is the legal framework. Within this framework, dialogue results may be integrated.

It is therefore important for the authority to repeatedly describe and clarify its scope for action and its discretionary powers. The success of this and of other dialogues also depends on authorities alignment to (and perhaps active support of) the dialogue results.

Example – Presentation for a company

Explanation and background information to the slides

Step 6 Maintaining good neighbourhood relations

- Contacts to and relations with the neighbourhood should be purposefully maintained and developed
- Continue reciprocal information exchange and solidify trust and confidence
- Keep up regular but less frequent meetings
- React to changes in the neighbourhood – adapt or expand contacts
- Maintain contacts for immediate communication in case of crisis

Usually, authorities withdraw from dialogue now



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 19

In this step, contacts with and relations to the neighbourhood are solidified and put on a sustainable foundation. This requires that the informational exchange and the building of trust is continued as an ongoing process.

Regular but less frequent meetings: adequate structures should be developed for preventive dialogue – which differ in frequency as well as in participants from the „acute“ dialogue phase for resolving a conflict. E.g. a smaller group may meet and then report regularly to the other interested stakeholders, or different small groups may meet on different topics (politicians, cross-regional citizens' initiatives, direct neighbours, ...) so that they can work on their respective special issues in the different meetings.

Changes/ departures / loss of key contacts should be compensated, generational change, new stakeholders, changes in interests require an active stakeholder management (absolute necessity!)

Site managements which developed solid communication channels in „peaceful“ times have a chance to use these in times of crisis for a timely and trust-engendering information of the neighbourhood.

Representatives of the authority participate in the meetings upon invitation only; as a rule the authority withdraws from regular dialogue in this phase.

Example – Presentation for a company

Explanation and background information to the slides

step 1 Initiating and preparing the dialogue

- Analyse the conflict
- Examine the legal background / the scope of action of the authority
- Convince the key people in the company to get involved
- Explore interests and expectations of all parties
- Decide on the role of the authority / think about an accepted facilitator

Authorities may initiate the dialogue



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 20

Legal framework: the legal situation must be clear – dialogue cannot replace implementation or enforcement measures of authorities – illegal situations cannot be tolerated in exchange for the initiation of a dialogue. Only after thorough examination of the case and in case of good prospect for a successful dialogue and achievement of the legally required standards, a defined period of time may be conceded for compliance to be achieved.

Role of the authority: The authority provides support for the parties involved and gives advice, checks up the legal framework, explores the scope of action.

Involvement of the company: sometimes it is useful to develop a provisional concept on structure and procedure of the dialogue, that company representatives get an idea of what is ahead and which advantages the dialogue will bring for the company including the longterm perspective. Sustainable solutions are worked out / opposition and objections against permits will decrease / frequency of complaints will decrease too. (You can find further supporting arguments for authorities dealing with companies in part B of this presentation).

Potential for conflicts: The authority may recommend neighbourhood dialogue to the company as a preventive measure or in a permit procedure.

Key persons in the authority / company / important active parties that have to be involved to assure the success of the dialogue. Be aware that some of the key people become evident only during your work on step 1 and 2.

Analysis of interests: first identification – basis for the following dialogue concept.

Facilitator accepted by all parties: usually you need a facilitator, the person may come from the authority, it may be a professional external facilitator or a person with profound foundation of trust (mayor / pastor / vicar ...).

Example – Presentation for a company

Explanation and background information to the slides

Step 2 Developing and designing the concept

- Assess opportunities and risks of the dialogue
- Contact representatives
- Identify representatives' willingness to negotiate and their scope for action
- Define participants in the dialogue
- Define date, place, form of dialogue
- Reach agreement on dialogue concept as first step of cooperation

Authorities can act as representatives or facilitators



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 21

step 1 + 2 are closely linked in the dialogue, they often overlap.

In this step several questions are solved:

For example:

- Is there a great need for information exchange between the parties?
- Is there any scope of action?
- Are the relations between the acting parties favourable for a dialogue or not?
- Which is the legal situation?
- Does the authority have any scope for action regarding its measures?
- Which are the chances of success if only the authority takes measures?
- Which chances of success are there for a dialogue of the involved parties?
- Who should be involved in the dialogue?

The authority as facilitator: the authority can take over this role only if all parties involved accept it (= enough trust in the authority). Alternatively a representative from another department / another office can moderate the discussions. If both options are not possible an external (impartial) facilitator should be engaged.

(Further questions can be found in the „Guideline for self evaluation“, resource see slide 28 of the basic version)

Example – Presentation for a company

Explanation and background information to the slides

Step 3 Starting neighbourhood dialogue

- Send out invitations / prepare the first meeting
- Plan well the agenda, methods and structure for the first meeting
- Plan sufficient time for initial discussion about the main issue
- Encourage participants to involve and build trust
- Make agreements about rules of dialogue, including communicating with the media

Authorities act impartially



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 22

Starting neighbourhood dialogue is a very important step. Here the representatives involved check whether it is possible and worthwhile to build up trust. Therefore a carefully reflected structure is needed.

The invitation and preparation of the first meeting should be planned carefully: who invites – to which place – when – how long – what is the issue – which are the objectives ...

The development of the structure of the items and the dialogue uses a clear structure of the dialogue steps including a „warm-up phase“ for participants, the agreement on common ground rules ... Techniques of moderation and visualisation provide support for an effective discussion.

Experience shows that there should be enough time for an initial discussion about the main issue. Participants must experience that they are heard and that there is room for their emotions.

Role of the authority: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic. In any case authority members have to be strictly impartial even with little signs and gestures.

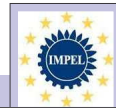
Example – Presentation for a company

Explanation and background information to the slides

Step 4 Making progress

- Supply comprehensive information that is understandable for all participants
- Being clear and open with facts and uncertainties, encourage adoption of different perspective and careful listening, solve and prevent misunderstandings ...
- Build up an objective basis for agreements: analysis of interests, development of options
- Develop agreements with mutual obligations that are acceptable for all parties

Authorities control the compliance with legal requirements



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 23

Initiate openness while dealing with facts, uncertainties, fears and concerns, limitations, obstacles and responsibilities – this needs a good plan for the discussion and a professional moderation of the meeting. Explore the conflict behind the conflict.

Bases for an agreement: thorough analysis of interests, development of options / often also compilation of criteria for objective decisions

Development of agreements with mutual obligations, that all parties can accept. It must be clear who has got which task and which responsibility, how the result can be checked. Attention: agreements below legal requirements are not acceptable!

Role of the authority is like in the step before: the authority gives support to those involved and gives advice. The authority ensures that legal requirements are met and takes care that expectations of participants stay realistic, concerning the scope of action of the authority.

Example – Presentation for a company

Explanation and background information to the slides

Step 5 Getting results and celebrating success

- Each meeting should be followed up by documenting and translating agreements into action, communicating performance to participants
- Get regular feedback about work style and results, evaluate the dialogue process
- Share the results with participants and celebrate success
- Communicate the results to the media together

Authorities integrate dialogue results into their decisions where possible



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 24

Within their legal framework, authorities align their decisions with the results of the dialogue as far as possible and practicable. The basis of authority's action is the legal framework. Within this framework, dialogue results may be integrated.

It is therefore important for the authority to repeatedly describe and clarify its scope for action and its discretionary powers. The success of this and of other dialogues also depends on authorities alignment to (and perhaps active support of) the dialogue results.

It is important to talk about the decision making process in the dialogue and within the groups, represented by the participants in the dialogue (e.g. action groups, authorities, ...) If necessary give support to the representatives for the information of their groups.

Example – Presentation for a company

Explanation and background information to the slides

Step 6 Maintaining good neighbourhood relations

- Contacts to and relations with the neighbourhood should be purposefully maintained and developed
- Continue reciprocal information exchange and solidify trust and confidence
- Keep up regular but less frequent meetings
- React to changes in the neighbourhood – adapt or expand contacts
- Maintain contacts for immediate communication in case of crisis

Usually, authorities withdraw from dialogue now



Neighbourhood-Dialogue – tools, process, evaluation – specific example company 25

In this step, contacts with and relations to the neighbourhood are solidified and put on a sustainable foundation. This requires that the informational exchange and the building of trust is continued as an ongoing process.

Regular but less frequent meetings: adequate structures should be developed for preventive dialogue – which differ in frequency as well as in participants from the „acute“ dialogue phase for resolving a conflict. E.g. a smaller group may meet and then report regularly to the other interested stakeholders, or different small groups may meet on different topics (politicians, cross-regional citizens' initiatives, direct neighbours, ...) so that they can work on their respective special issues in the different meetings.

Changes/ departures / loss of key contacts should be compensated, generational change, new stakeholders, changes in interests require an active stakeholder management (absolute necessity!)

Site managements which developed solid communication channels in „peaceful“ times have a chance to use these in times of crisis for a timely and trust-engendering information of the neighbourhood.

Representatives of the authority participate in the meetings upon invitation only; as a rule the authority withdraws from regular dialogue in this phase.

Example – Presentation for a company
Explanation and background information to the slides

End of presentation

**We hope,
we will work together successfully!**

