

Participation Training Course

Training of Trainers



31 October – 3 November 2011

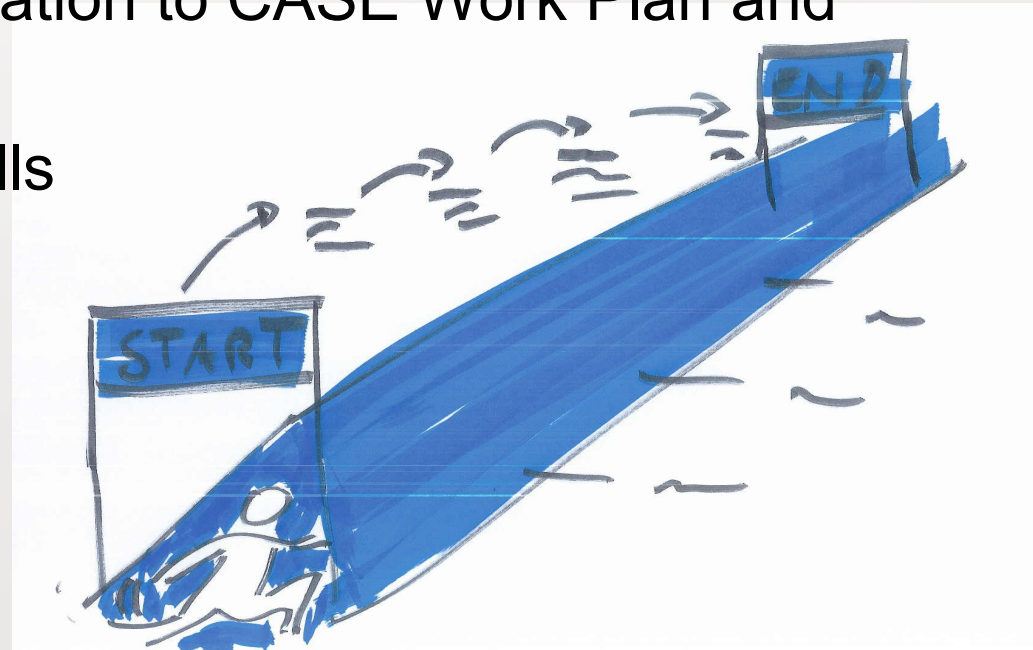
PEGASO TC

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Training Objectives

- To prepare participatory facilitators to apply participatory approaches within their CASE
- To understand principles and tools for dealing with stakeholders (stakeholder management)
- To know how to prepare, conduct and follow-up on participatory events (in relation to CASE Work Plan and stakeholder analysis)
- To practice facilitation skills
- To contribute to capacity building for realisation of participatory approaches



Definition of Participation

Participation can be defined as a process where individuals, groups and organisations choose to take an active role in making decisions that affect them (Reed *et al*, 2009).

Protocol on ICZM (§14):

“... appropriate involvement in the phases of the formulation and implementation of coastal and marine strategies, plans and programmes or projects, ..., of the various stakeholders ...”

Typology of Participation

ARNSTEIN'S LADDER OF CITIZENS PARTICIPATION

Level 1	Manipulation	Assume a passive audience, which is given information that
Level 2	Education	May be partial or constructed
Level 3	Information	Tell people what is going to happen, is happening, or has happened
Level 4	Consultation	People are given a voice, but no power to ensure their views are heeded
Level 5	Involvement	People's voice has some influence, but institutional power holders still make decisions
Level 6	Partnership	People negotiate with institutional power holders over agreed roles, responsibilities, and levels of control
Level 7	Delegated power	Some power is delegated
Level 8	Citizens control	Full delegation of all decision-making and actions

Definition of Interactive Participation

The term “Interactive Participation” describes a process of learning and action among target groups and development agents during which target groups take the leading role to analyse the current situation and to plan, implement and evaluate development activities. It is understood as a two way learning process of dialogue, negotiation and decision making between target groups and development agents to elaborate a common agenda for future activities. This agenda is not completely open: Both parties already have their own agendas, mandates and responsibilities.

(modified after Pretty et al. 1995)

Implications of Interactive Participation

- It needs time.
- It is very demanding.
- It needs flexibility and adaptation to the local context.
- It needs institutional support.
- It needs readiness for open discussion.

Principal Definition

- A stake is an interest or a share in an undertaking while a stakeholder is an individual with a stake
- Fundamentally, stakeholders affect and are affected by an organisation and its activities
- In effect, stakeholders have power to be either a threat or a benefit to an undertaking or project

Examples of Stakeholder Groups

- The territorial communities and public entities concerned
- Economic operators
- Non-governmental organisations
- Social actors
- The public concerned

(ICZM Protocol, § 14)

Types of Stakeholders (1)

- Internal stakeholders (i.e. members of the project coalition or who provide finance) vs. External stakeholders (i.e. those affected by the project in a significant way)
- Similar classification: inside vs. outside, direct vs. indirect

Further possibilities:

- Critical vs. Less critical
- Contracted to provide services vs. No contracted responsibility
- Social vs. Non-social
- Core/strategic vs. Environmental

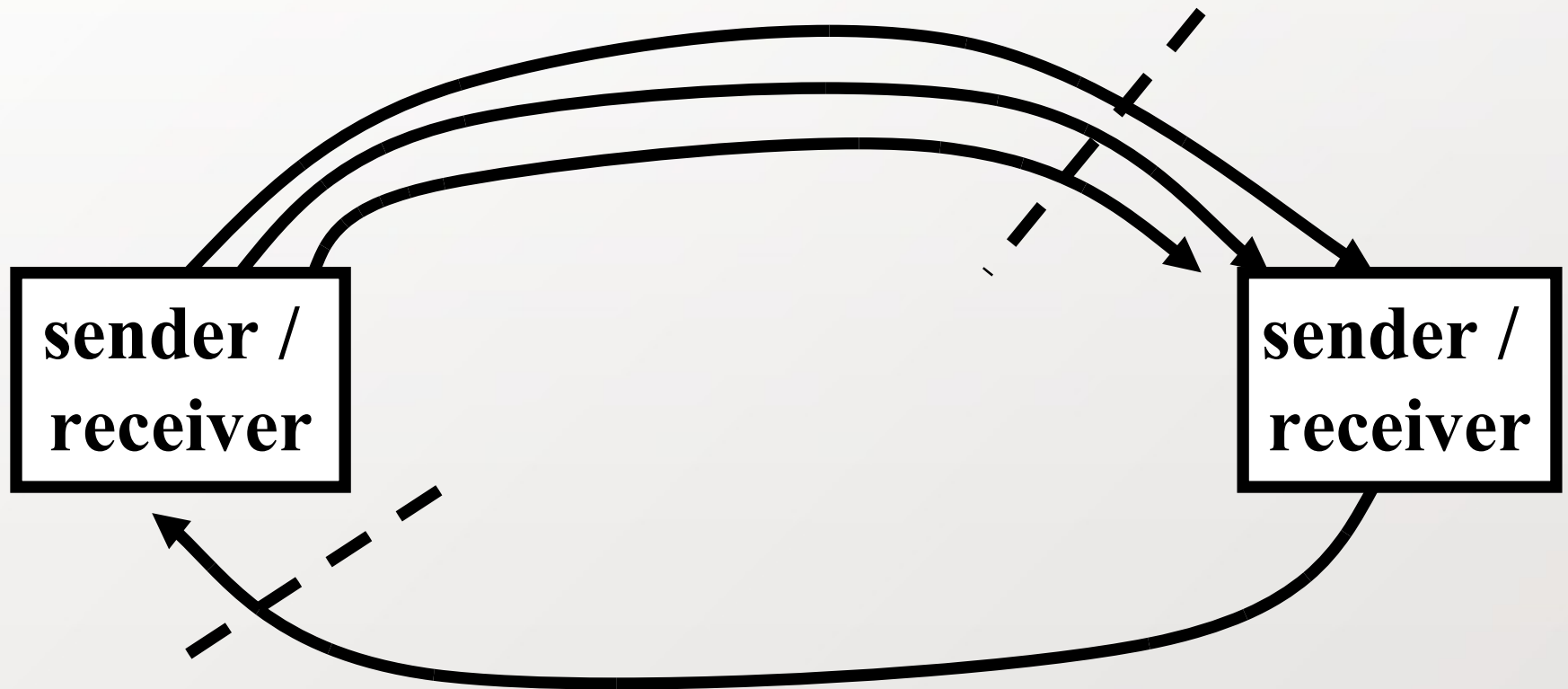
Types of Stakeholders (2)

- In terms of decision-making, it is worthwhile to consider stakeholders as being
 - Supportive
 - Neutral, or
 - Anti
- The anti's are often in the minority but can be very vocal
- The idea of stakeholder management is then often to endeavour to shift stakeholders from the neutral and especially anti side to the supportive side

What is good communication?

*Please note down a few ideas on
moderation cards!*

Introduction to communication theory



Non-verbal Communication

Non-verbal signals:

- Facial expression, gaze, eye contact
- Gestures and bodily contact
- Posture and spatial behaviour
- Clothes and appearance
- Nonverbal vocalisations
- Smell

The message is influenced to

- 8 % by the words alone
 - 34 % by the tone of voice
 - 58 % by the body language
-
- Thus, body language and tone of voice are heavily influencing the impact and credibility of a message

Effective listening

- Being receptive to the other person
- Maintaining attention
- Removing distractions
- Delaying evaluation of what you have heard until you fully understand it

Types of questions

- **Close end questions** limit the answer to yes or no
- **Open end questions** allow the responder total freedom in answering
- **Direct questions** ask for specific information and limit answers to brief fact statements
- **Probing questions** follow up other questions to solicit additional information
- **Hypothetical questions** present a theoretical situation to which receiver responds

Basic Communication Rules

- “A reaction, please!”
- Say “I” and not “You”
- Verify your comprehension
- Say the essential!
- Say “Thank you”!



Ideas to walk away with ...

- People communicate always
- The meaning intended by the sender is never exactly the message gotten by the receiver
- We can help to overcome barriers to communication by being aware of them
- Verbal and non-verbal communication is important in sending our messages

Principles of Adult Learning

- Adults are voluntarily learners. They perform best when they have decided to attend the training for a particular reason. They have a right to know why a topic or session is important to them.
- Adults have usually come with an intention to learn. If this motivation is not supported, they will switch off or stop coming.
- Adults have experience and can help each other to learn. Encourage the sharing of that experience and your sessions will become more effective.
- Adults learn best in an atmosphere of active involvement and participation.
- Adults learn best when it is clear that the context of the training is close to their own tasks or jobs. Adults are best taught with a real-world approach.

Elements of successful adult learning



Self-directed working during training events	Group working	Exchange of ideas
Identification with learning objectives and learning contents	Practical activities	Combining learning with working
Possibility of individual ways of learning	Clear but flexible structure	Repetition
Visualisation	Examples, examples, examples ...	Mixture of methods



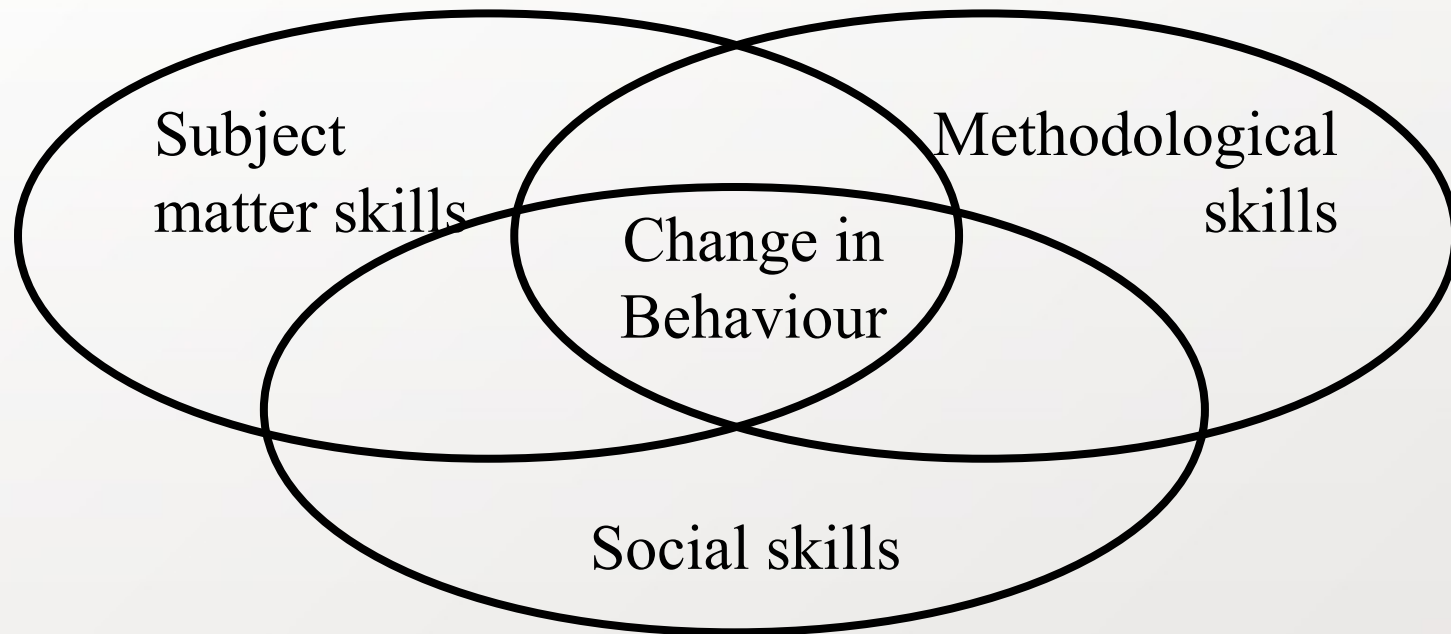
Training success

- **For successful and effective training, this means:**
 - *to ensure active participation in the determination of learning objectives and contents*
 - *to allow for individual variation of learning contents*
 - *to promote social learning and communication*
 - *to integrate learning and working (transfer of learning results to work reality)*
 - *to relate to concrete experiences*

The 7 Questions for Planning of Training

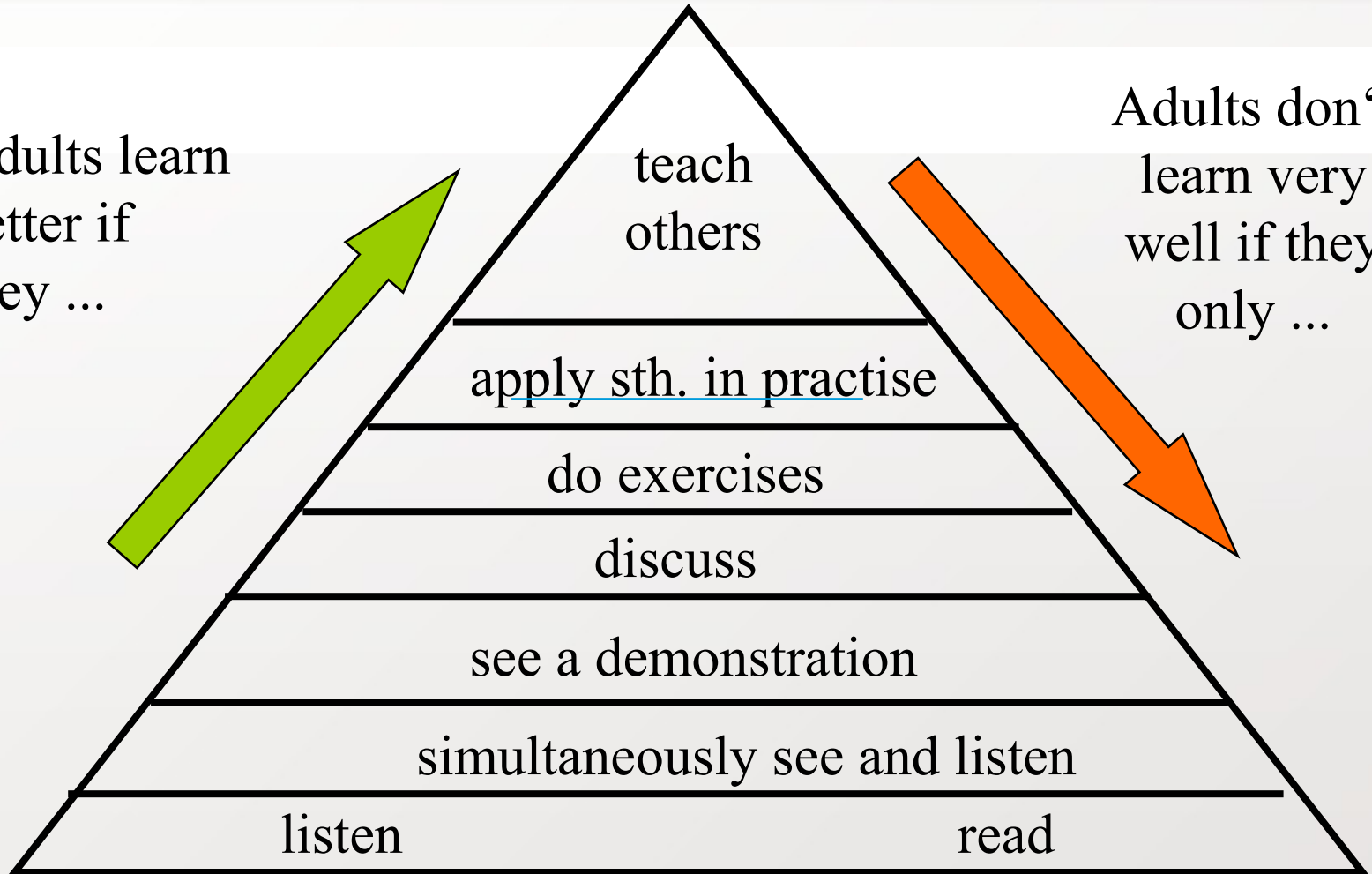
Who	Profile of participants (roles, jobs, age, needs)
Why	Purpose / Objectives; Needs assessment
Where	Location, environment, arrangements at training site, room setting, logistics
When	Timing and its adequacy, duration of event and sessions
What	Contents and sequence, building up of skills (based on existing skills and knowledge)
How	Steps, tasks, activities, exercises
How evaluated	Measurement of training progress, evaluation arrangements

Creating competence for action



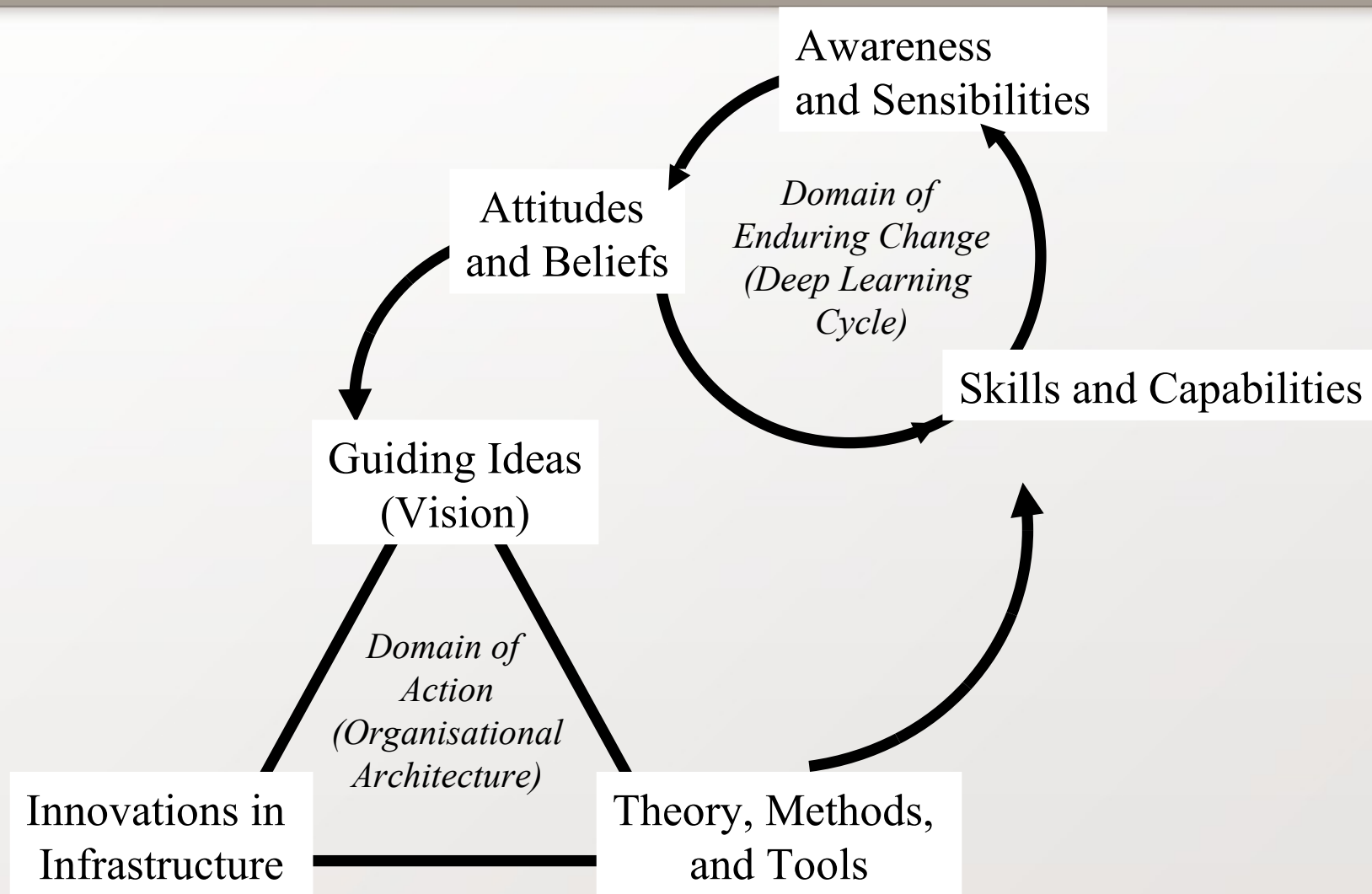
The Learning Pyramid

Adults learn
better if
they ...



Adults don't
learn very
well if they
only ...

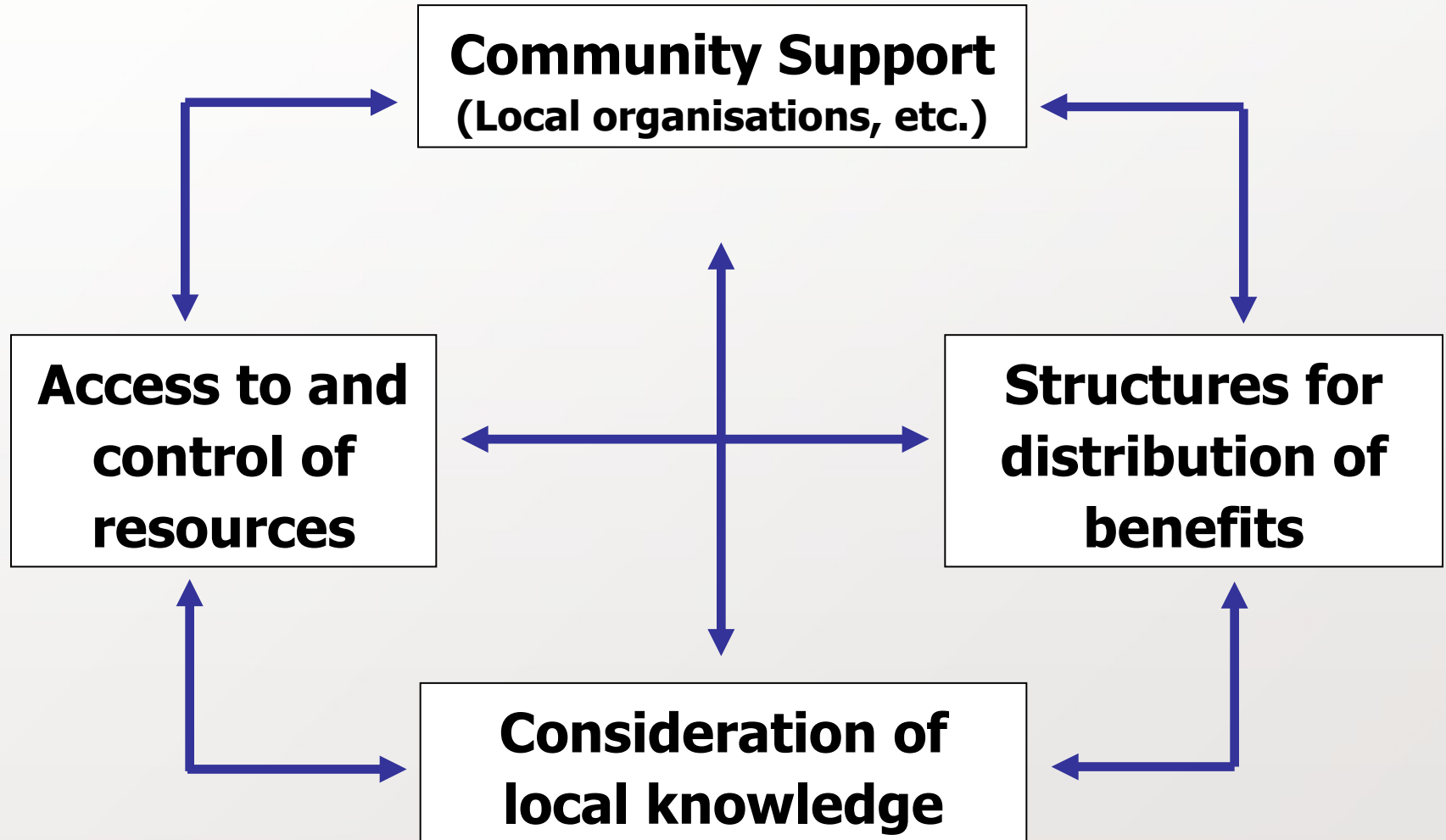
Organisational learning



Principles of Participatory Action and Learning

- Stakeholder dialogue (also: facilitation of communication between experts and stakeholders)
- Systematic group learning and consensus building
- Acknowledgement of multiple perspectives
- Mutual respect and the principle of partnership
- Recognition of local knowledge
- Principle of delegation of decision-making to the appropriate level
- Recognition of the uniqueness of a specific context
- Leading to integration and change (including capacity building)

Consideration of Local Conditions (1)

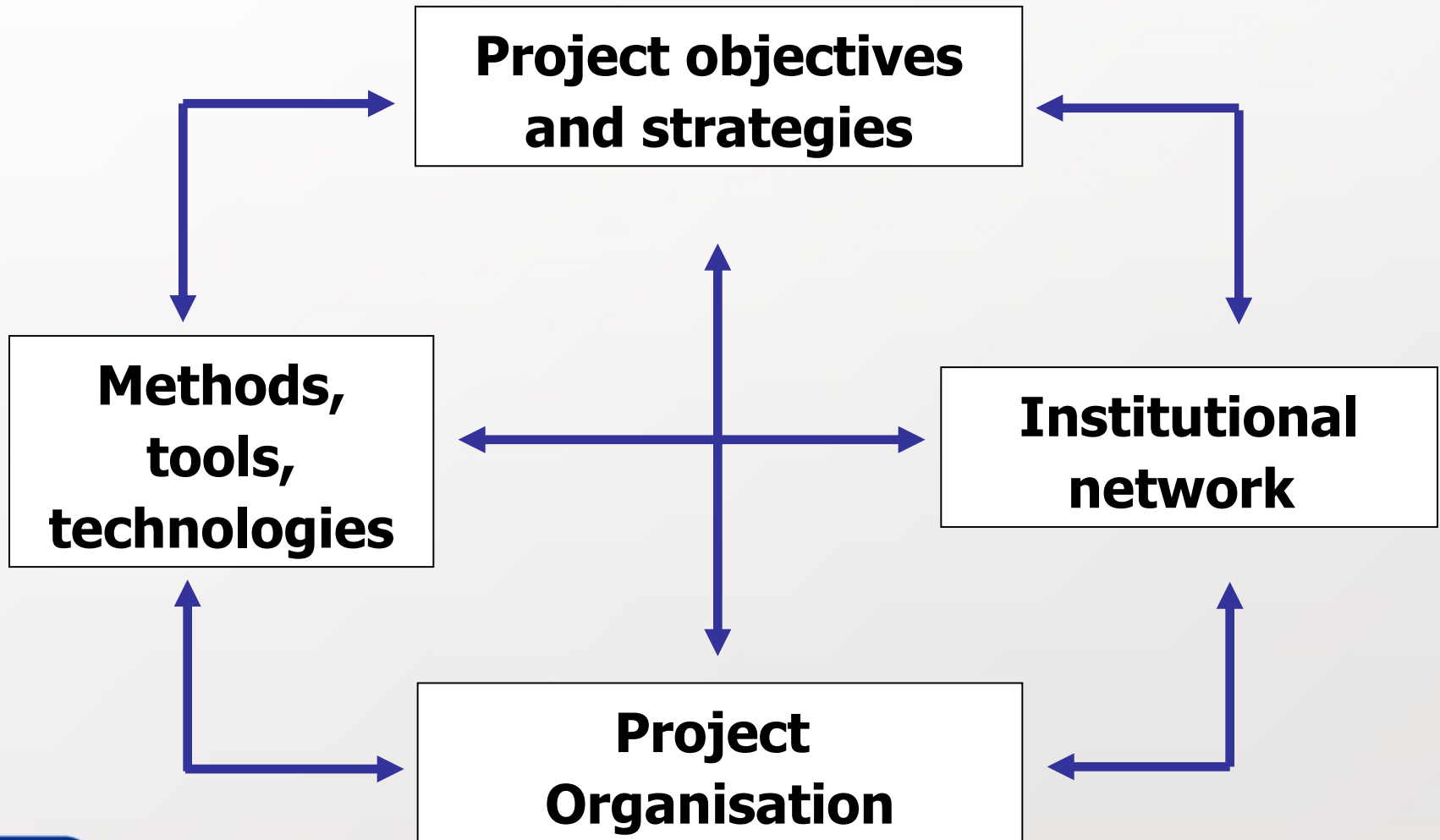


Consideration of Local Conditions (2)

Points which need special attention:

- Local knowledge
- Decision-making procedures
- Systems and structures of communication

Consideration of Project Conditions



Introduction to Stakeholder Management

- Stakeholder Management is important to forecast stakeholders' behaviour and understanding their power and interests
- Conflicts with and between stakeholders may result in dissatisfaction with project outcomes and negative consequences on budget and schedule
- Finding the best way for effective stakeholder relationships remains a major challenge – there are two common situations:
 - Harmonious situations = stakeholders share enough consensuses around an issue to collaborate
 - Stressful situations = stakeholders may be in conflict
- Active and structured communication is needed (based on stakeholder analysis and related, communication plans)

Stakeholder management

- Involves identifying different categories of stakeholders
- Gathering information about them
- Identifying their missions in a project
- Determining their strengths and weaknesses
- Identifying their strategies
- Predicting their behaviour
- Developing and implementing a strategy for managing these stakeholders

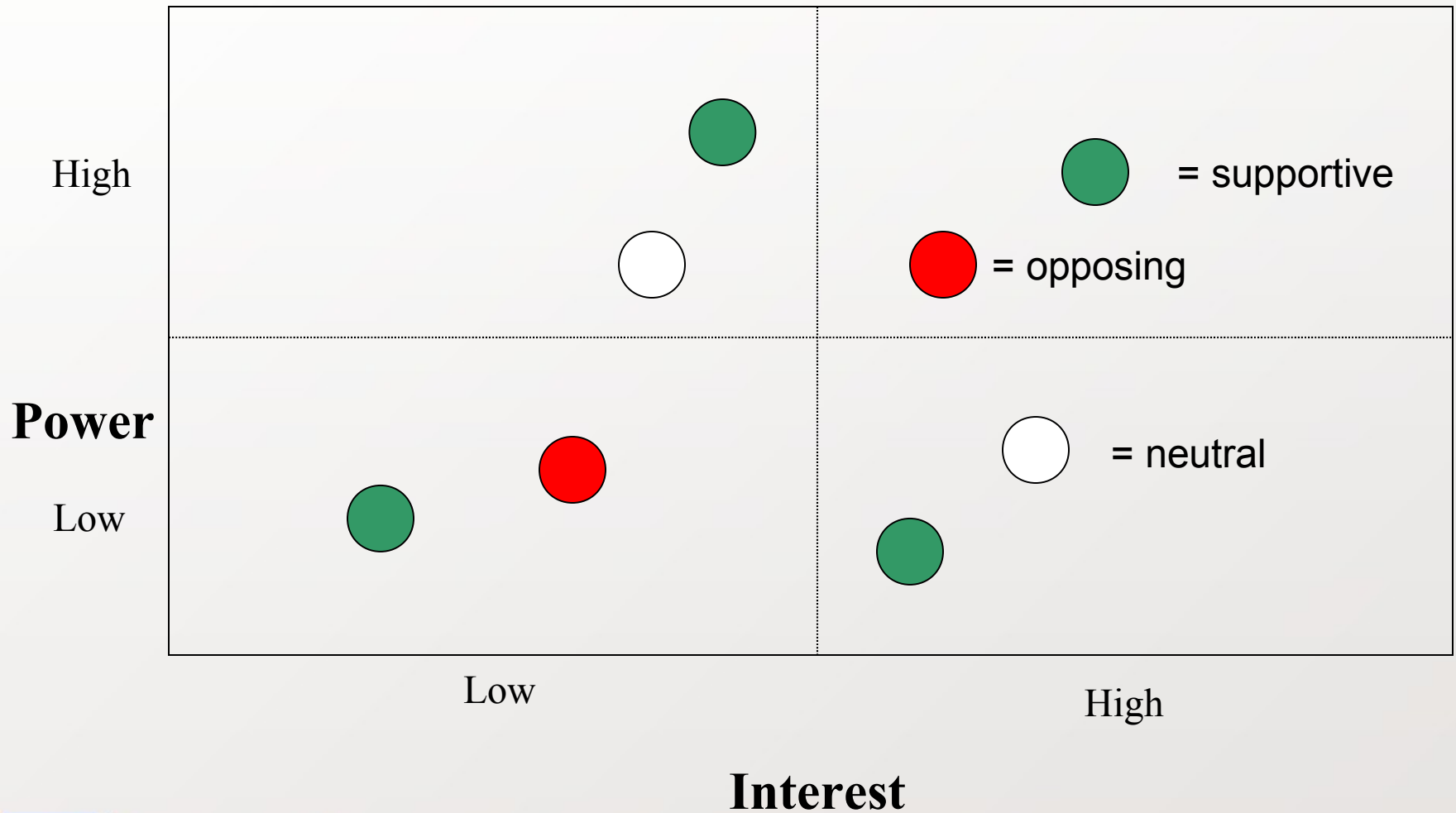
Level of stakeholder participation in the CASES

- Information: e.g. presentation of results during final workshops)
- Consultation: e.g. giving feedback to the CASES Workplan
- Involvement: e.g. work on tools during local workshops
- Collaboration: e.g. key partners for realisation of the CASE

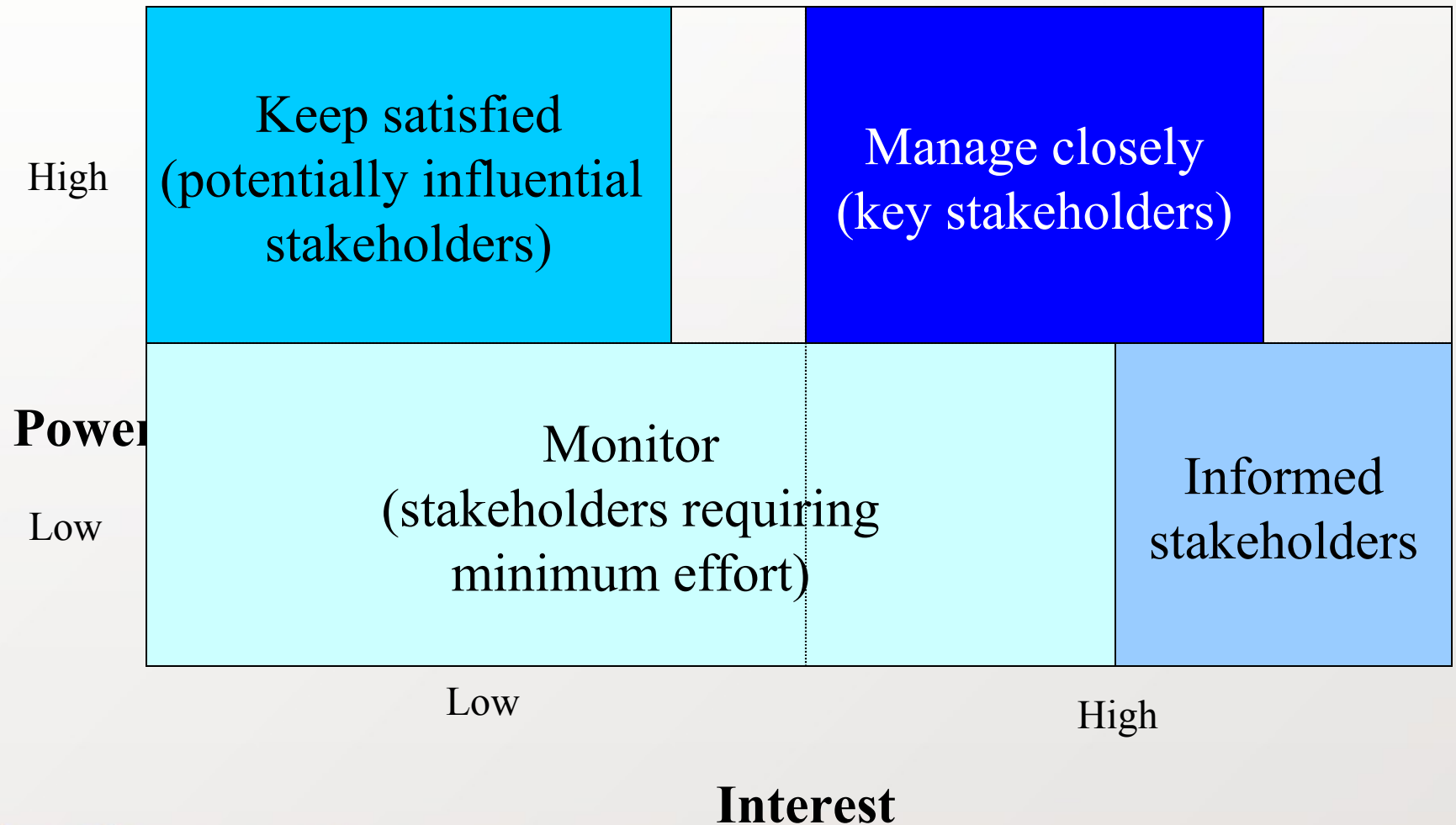
Stakeholder Mapping

- A dynamic mapping of stakeholders helps to
 - Bring order to a very complex situation
 - Bring collective understanding if compiled by a group
 - Suggest up-to-date strategies for management and communication between the various groups
 - Manage resources and time; and use them in the most beneficial way

The Power and Interest Map



The Power and Interest Map



Stakeholder Management Objectives

- Formalise stakeholder analysis
- Strengthen stakeholders' relationships
- Sustain stakeholders' commitment
- Increase stakeholders' satisfaction



Remarks for Stakeholder Management

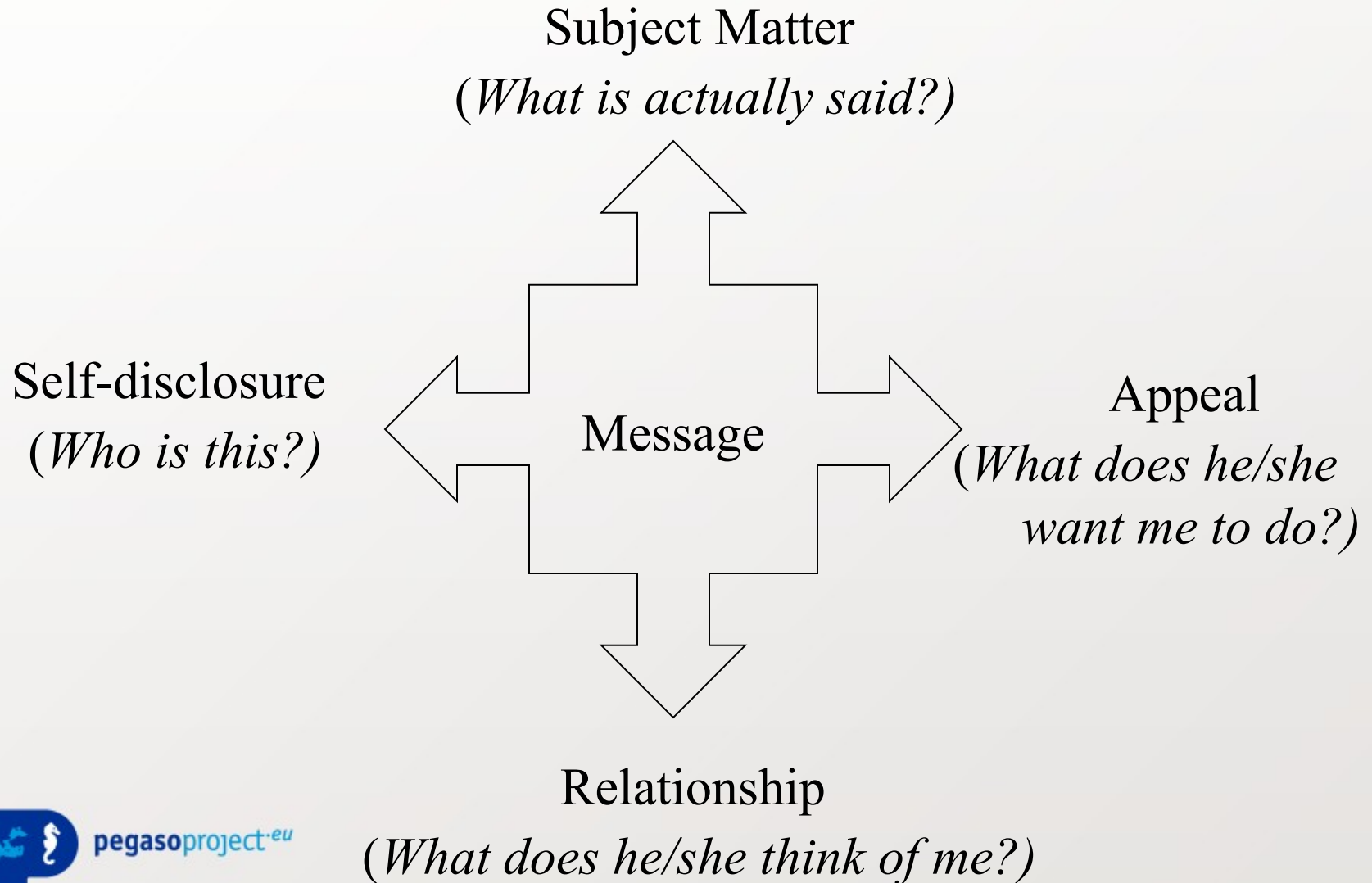
Strategies / tactics developed to cope with stakeholders include:

- Approach each stakeholder directly or indirectly
- Do nothing, monitor, take offensive or defensive position with certain stakeholders
- Determine whether to accommodate, negotiate, manipulate, resist, avoid or wait and see with specific stakeholders

Remarks:

- Stakeholders with strong influence and interests need more delicate attention
- Pressure by one stakeholder group may be avoided by reducing power of that group, e.g. by
 - forming alliances of other groups
 - diversifying stakeholder representation
 - concealing relevant information

The 4 Aspects of 1 Message



Feedback should be:

- Descriptive
- Related to concrete situations
- Appropriate to the person and applicable
- Driven by demand
- Timely
- Clear and precise
- Honest

STATE feedback – a model

- **S**tate the constructive purpose of your feedback
- **T**ell specifically what you have observed
- **A**ddress and describe your reactions
- **T**ender specific suggestions for improvement
- **E**xpress your support and respect for the person

When receiving feedback ...

- Listen carefully
- Paraphrase in order to check if you have understood the messages of the other person in the right way
- Stay friendly
- Be encouraging
- Express your thanks

Participation and ICZM

- Active public participation is an essential requirement for the ICZM process
- It should have first priority in the planning and in the review of coastal zone management decisions and actions
 - Valuable inputs from those who rely on the coast (local knowledge)
 - Inputs from various sectors and fields (integrated view)
 - Stakeholder acceptance and support is crucial for successful interventions
 - Public-Private partnership for financing

ICZM Phases



Note: ICZM is an iterative, continuous, proactive and flexible process

Implications of Participation

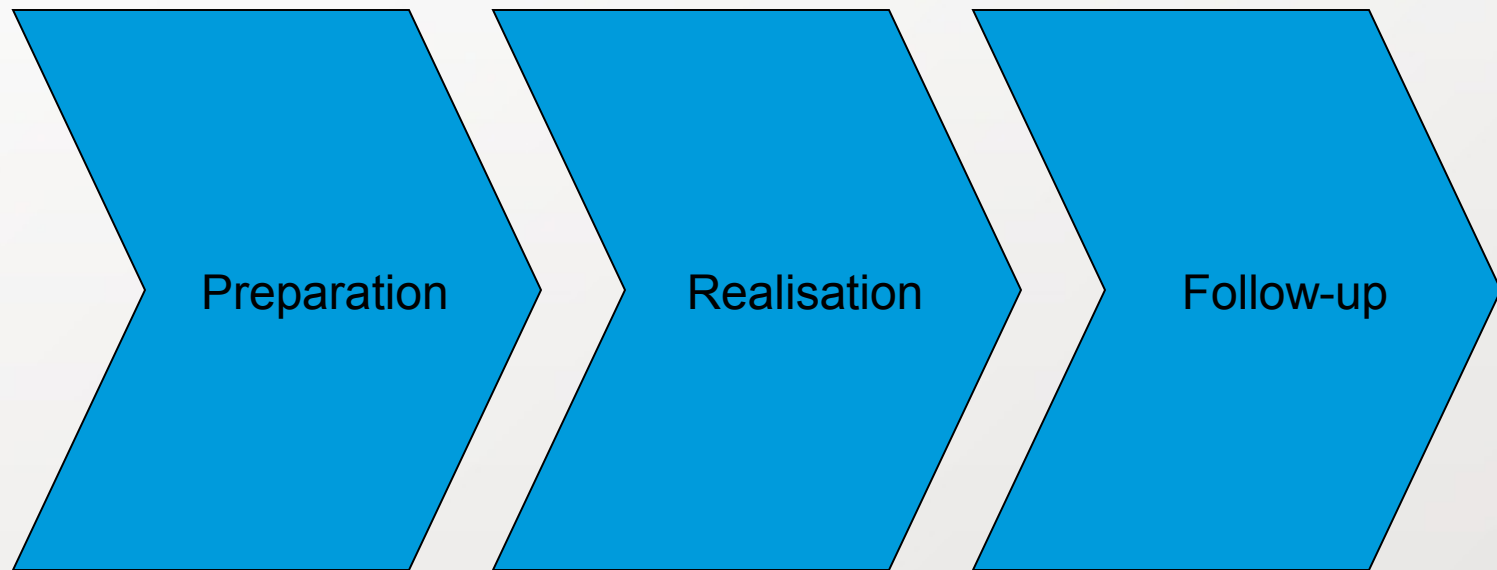
- Participation causes expectations
- The need to adapt project activities
- Participatory methods and the loss of control
- Trust between target groups and development agents
- Dealing with complexity

Challenges

- Involvement of different levels (local, national, international)
- Scope and diversity of coastal sectors
- Trust and cooperation
- Heterogeneous stakeholder groups
- Conflicts, divisions, inequalities
- How to give everyone the floor to contribute and express themselves

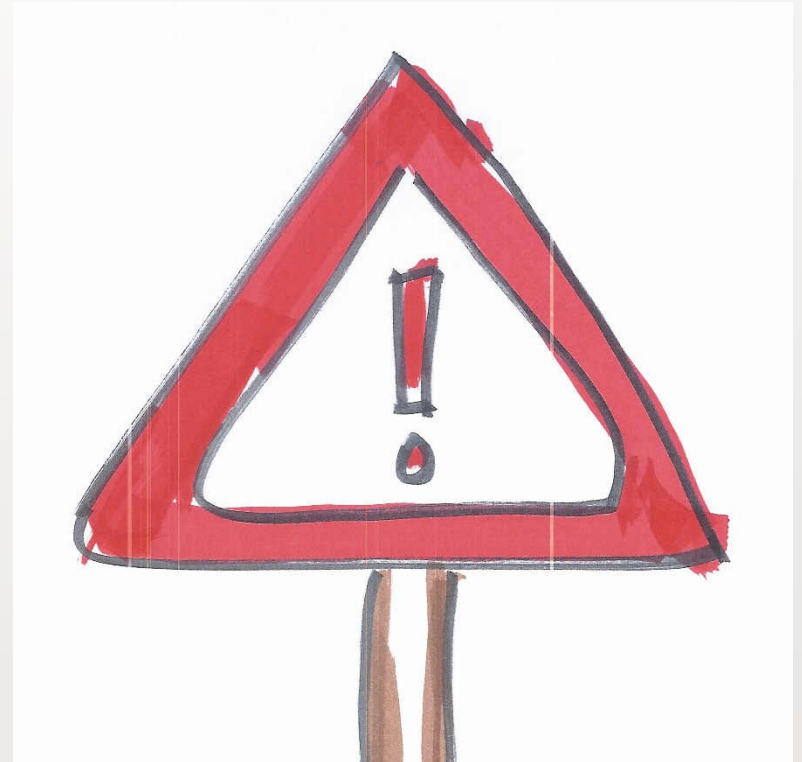
Participatory process

Simplest model:



To conduct effective stakeholder meetings ...

- Plan
- Inform
- Prepare
- Structure and control
- Summarise and record



10 Rules of Meeting Preparation

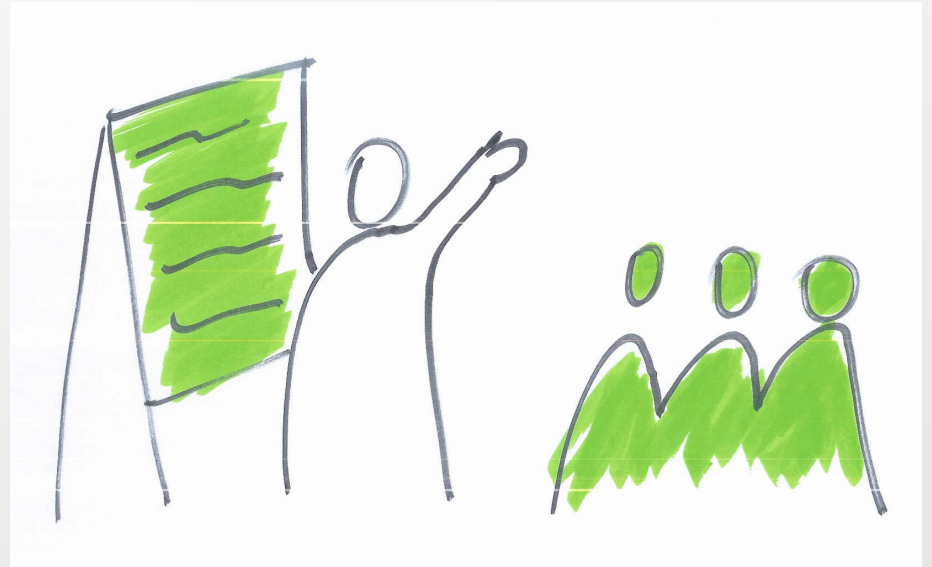
- Schedule the meeting at least 3-5 weeks in advance
- Send invitation again 3-5 days before
- Clearly state the purpose (also meeting type!) and name the participants
- State the objectives
- Clarify the agenda and responsibilities
- Define the time available (for every item on the agenda)
- Express expectations
- Define and communicate individual preparatory work
- Prepare the room

Purposes of meetings

- plan (strategy / action / project / budget)
- brainstorm / share ideas
- present or exchange information
- make a decision
- solve a problem
- negotiate
- review progress

Facilitation Tasks

- Prepare the environment
- Unit the group
- Focus the group
- Mobilise the group

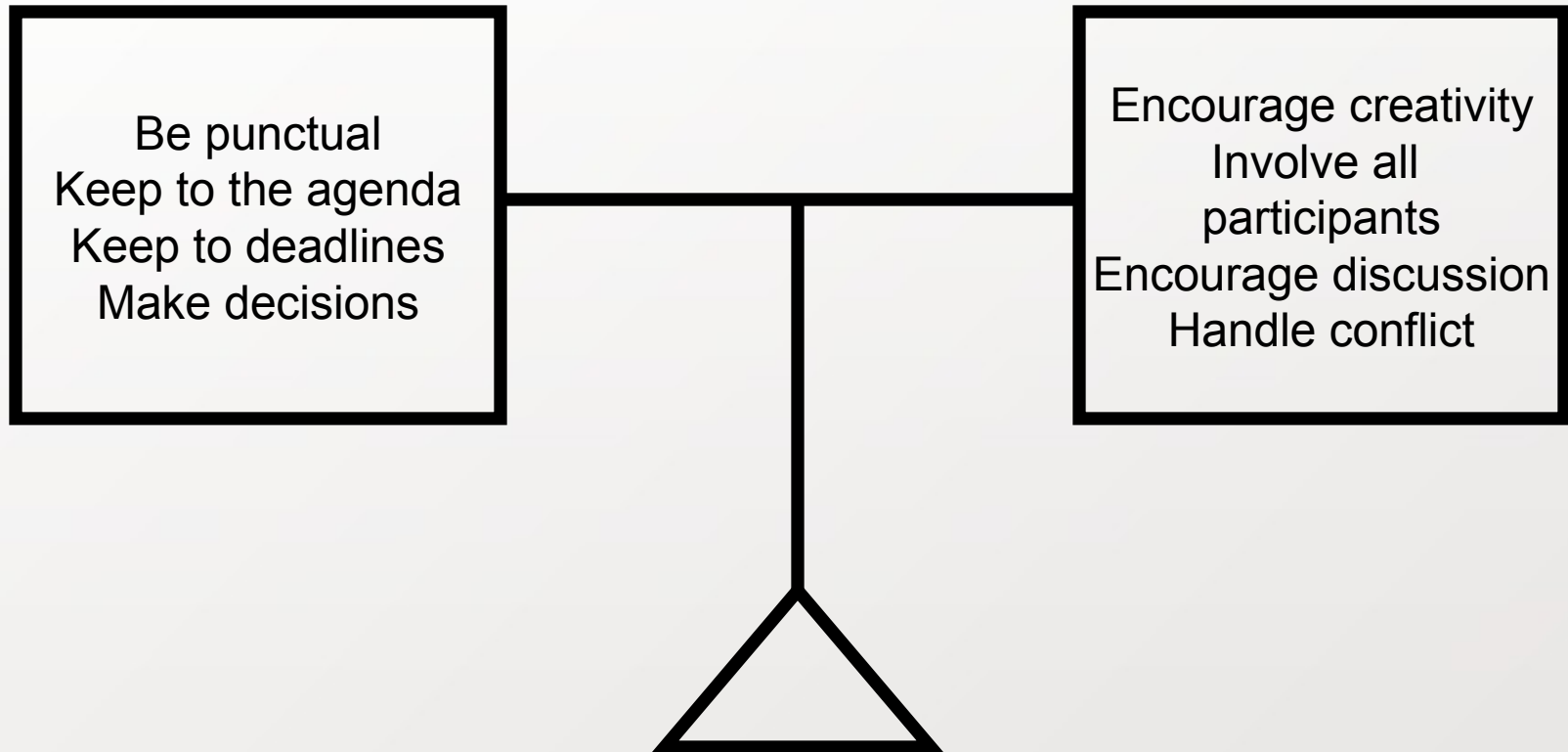


Meeting tasks

- Chairing
- Presenting
- Facilitating
- Visualising
- Documenting
- Summarising



Maintaining Balance



Keeping to the agenda

The chairperson ensures that the agenda is followed by:

- Introducing topics
- Indicating the end of a topic
- Changing topic
- Making sure participants keep to the point
- Postponing topics
- Returning to earlier topics
- Ensuring that the meeting keeps to time

Controlling the meeting

- Maintaining balance
- Making sure that the agenda is followed
- Ensuring fairness and inviting contributions
- Dealing with conflicts and handle any problems that arise
- Making sure everything is clear
- Ensuring that agreement has been reached
- Concluding the meeting

Chairperson's Checklist

- Open the meeting
- Refer to agenda
- Change topic
- Ask someone to speak
- Ensure that people keep to the point
- Ask for clarification
- Clarify something you have just said
- Stop a participant from interrupting
- Summarise the agreement
- Refer to future action
- Ask for any other business
- Set the date of the next meeting
- Conclude the meeting

FOCUS – a model

- **F**ocus the discussion on the specific information you need
- **O**pen-end question to expand the discussion
- **C**lose-end question to get specifics
- **U**se active listening skills to understand what you are hearing
- **S**ummarise and close the discussion

SHARE your ideas – a model

- **State the main point of your message**
- **Highlight other important points**
- **Assure the receiver's understanding**
- **React to how the receiver responds**
- **Emphasise / summarise your main ideas**

Meeting follow-up

- Producing and distributing minutes
- Monitoring action plans
- Evaluating the meeting
- Reflecting on your own performance (see checklist)

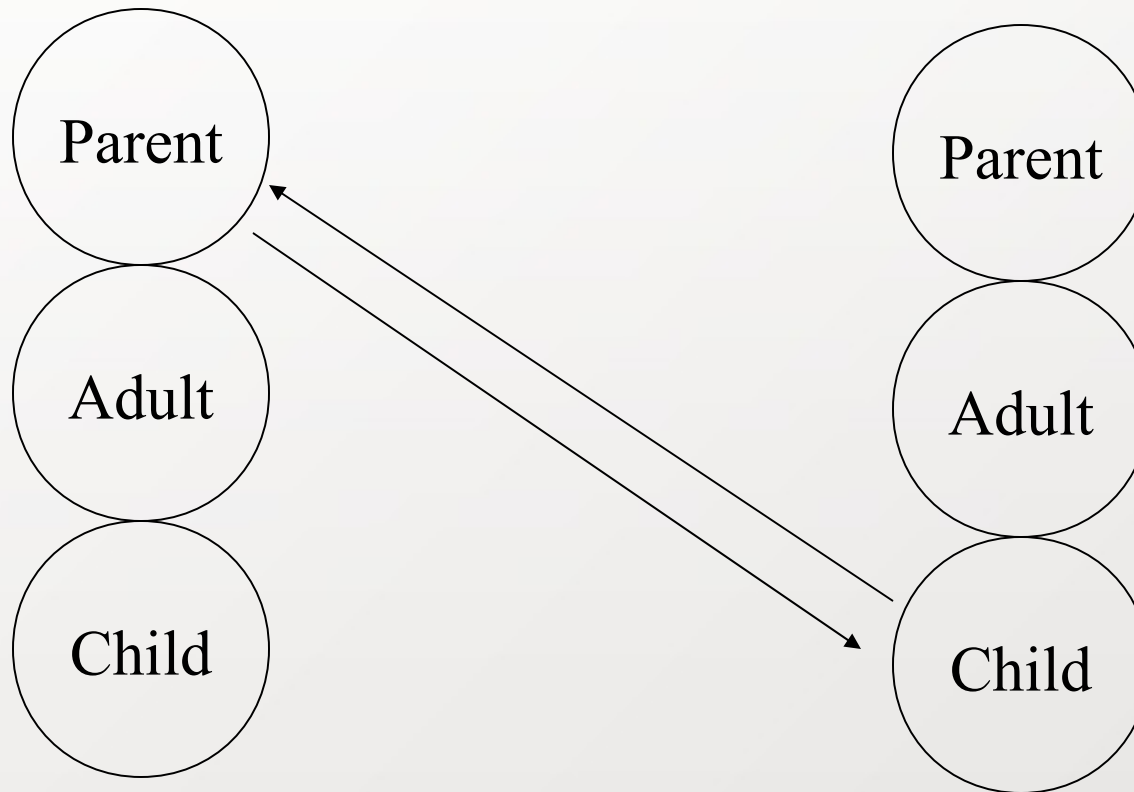
Transaction Analysis (1)

Each person is made up of three ego states:

- **Parent** (our “taught” concept of life)
- **Adult** (our “thought” concept of life)
- **Child** (our “felt” concept of life)

Transaction Analysis (2)

A transaction consists of a single stimulus and a single response.



Transaction Analysis (3)

Four basic attitudes:

- I am not okay – You are not okay
- I am not okay – You are okay
- I am okay – You are not okay
- **I am okay – You are okay**

Facilitation...

- ... is a systematic and objective-oriented interaction between a facilitator and a group and the group members
- ... which makes use of communication and visualisation techniques
- ... in order to realise and structure a learning and problem solving process.

The facilitator...

- ... is steering the group dynamics towards an agreed objective
- ... has the methodological responsibility for the achievement of the results
- ... is neutral towards the subject matter and the group members

Tasks of the facilitator

- Preparation of meetings
- Establishment of a structure for the group working process
- Activation of the group
- Surveillance and steering of the group dynamics
- Methodological assistance
- Action planning and arrangements for follow-up

The facilitator observes...

- ... the group structure (roles and norms)
- ... his own behaviour and the behaviour of others in the group
- ... the efficiency of communication
- ... the respect of agreed rules
- ... the rise of conflicts
- ... the quality of co-operation

The facilitation process

- Preparation

- organising the group
- setting the agenda
- agreeing ground rules

- Working with the group

- getting started
- encouraging participation
- basic brainstorming
- handling conflict and common problems
- evaluation and closure

- Follow-up

- keeping records
- agreeing action plans
- monitoring progress

Planning the facilitation

- desired outcome (objectives)
- participants
- formal vs. informal
- date / location / facilities / equipment
- timing / agenda
- papers
- potential problems

Key Facilitation Skills

- Listening skills
- Observation skills
- Questioning techniques
- Feedback skills
- Assertiveness

- Visualisation of results

Active Listening

- A**ppear interested
- C**reate a positive atmosphere
- T**ell people when you don't understand them
- I**nterrupt only if absolutely necessary
- V**alue others' contributions by making positive remarks
- E**xamine ways to solve problems if you disagree
- L**ook at the person who is speaking
- I**ndicate that you are listening by your body language
- S**mile occasionally
- T**est your understanding later
- E**valuate as you are listening
- N**ote important points
- I**nquire with open questions later
- N**eutralise feelings by keeping calm
- G**ive feedback on what you hear

Observation

- W**atch out for non-verbal responses
- A**ssess whether other people match their behaviour with their words
- T**ake notice of gestures
- C**heck degrees of formality
- H**ave awareness of your own body language and facial expression

Questioning techniques

- Open questions
- Probing
- Rhetorical questions

Feedback Skills

- Choose the right moment. Don't wait too long.
- Refer to real situations. Avoid general statements.
- Be clear and check if your message is understood in the way you want it to be understood.
- Be honest. Show respect.
- Describe your impressions. Don't express judgements.
- Be constructive. Make suggestions.

- Be ready to accept feedback.
- Listen !!! Don't defend yourself immediately.
- Try to understand what the other person is saying.

Assertiveness

- Show respect for different behaviour and procedures in other cultures.
- Clearly signal your intentions.
- Use positive language, don't be negative or sarcastic.
- Don't criticise others, but say how you feel („I“ - messages).
- Try not to sound too forceful.
- Keep calm even if you are challenged.
- Build bridges, make suggestions, be diplomatic.
- Spend time on building relationships (without losing your neutrality).

Visualisation of results

Basic rule: Do it !!!

Possibilities:

- Computer projection
- Flipchart
- Pinboard & Metaplan Cards
- Whiteboard / Blackboard
- Overhead projector
- Group interaction methods: Group sculptures, role plays, etc.

Approach, Method, Tool

- An **approach** can be considered as systematic combinations of tools and strategies / concepts, held together by a guiding principle, and serving the achievement of a certain goal
- A **method** can be considered as a structured way of realising a particular participatory intervention
- A **tool** can be defined as certain exercises to cultivate and implement collaborative research, analysis, planning and action. Typical tools in this sense are e.g. mapping, ranking, diagrams.

Choosing a particular participatory method

Choice will depend on:

- Local context, i.e. willingness of stakeholders to participate, socio-cultural aspects
- CASE context, i.e. workplan objectives and anticipated deliverables
- CASE parameters (including size of the study area, budget, timeline, resources)
- CASE team (skills and availability of team members)

PEGASO (Pre-)Selection of methods

Criteria:

- Applicability to PEGASO CASE work
 - Be easily applied in the CASE
 - Well-proven (already been successfully applied elsewhere)
 - Easy-to-learn (no need for extensive training)
- Diversity (at least 3 methods per phase)
- Specificity (describing a single and concrete intervention)

Methods in the PEGASO Guide

- For Beginners: Brainstorming, Expert Panel, Field Trips, Snowball Sampling
- For „Practitioners“: Citizens Monitoring, Focus Group, Key Stakeholder Interviews, Open Space Technology, Imagine Workshop 5
- For „Experts“: Backcasting, European Awareness Scenario Workshop (EASW), Future Search Conference (FSC), Logical Framework Matrix (Logframe), Mediation and Negotiation Principles, Scenario Testing, Sketch Match, Imagine Workshops 1 - 4

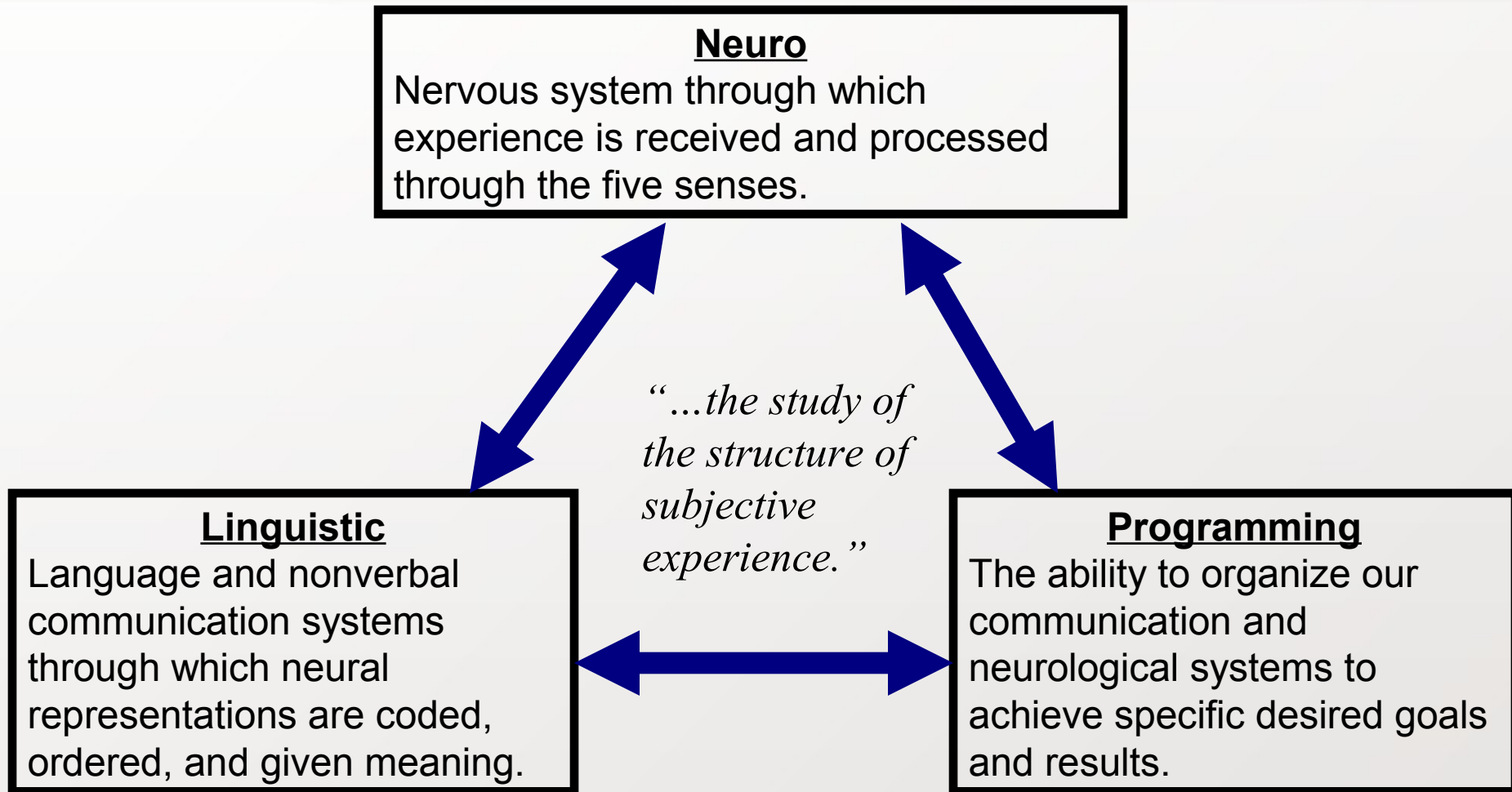
Methods and Tools

- Please note that you might still need to determine the tools for the methods in questions, i.e. determining the format and structure of
 - Drawings and models
 - Diagrams
 - Tables
 - Priorisation
- Visualisation in general

„Secrets“ of Successful Facilitation

- Spend enough time on preparation
- Take the responsibility for the process but let the group act (and trust the group)
- Visualise and structure the process
- Blame yourself first if something goes wrong
- Practice, Practice, Practice !!!

Neuro Linguistic Programming



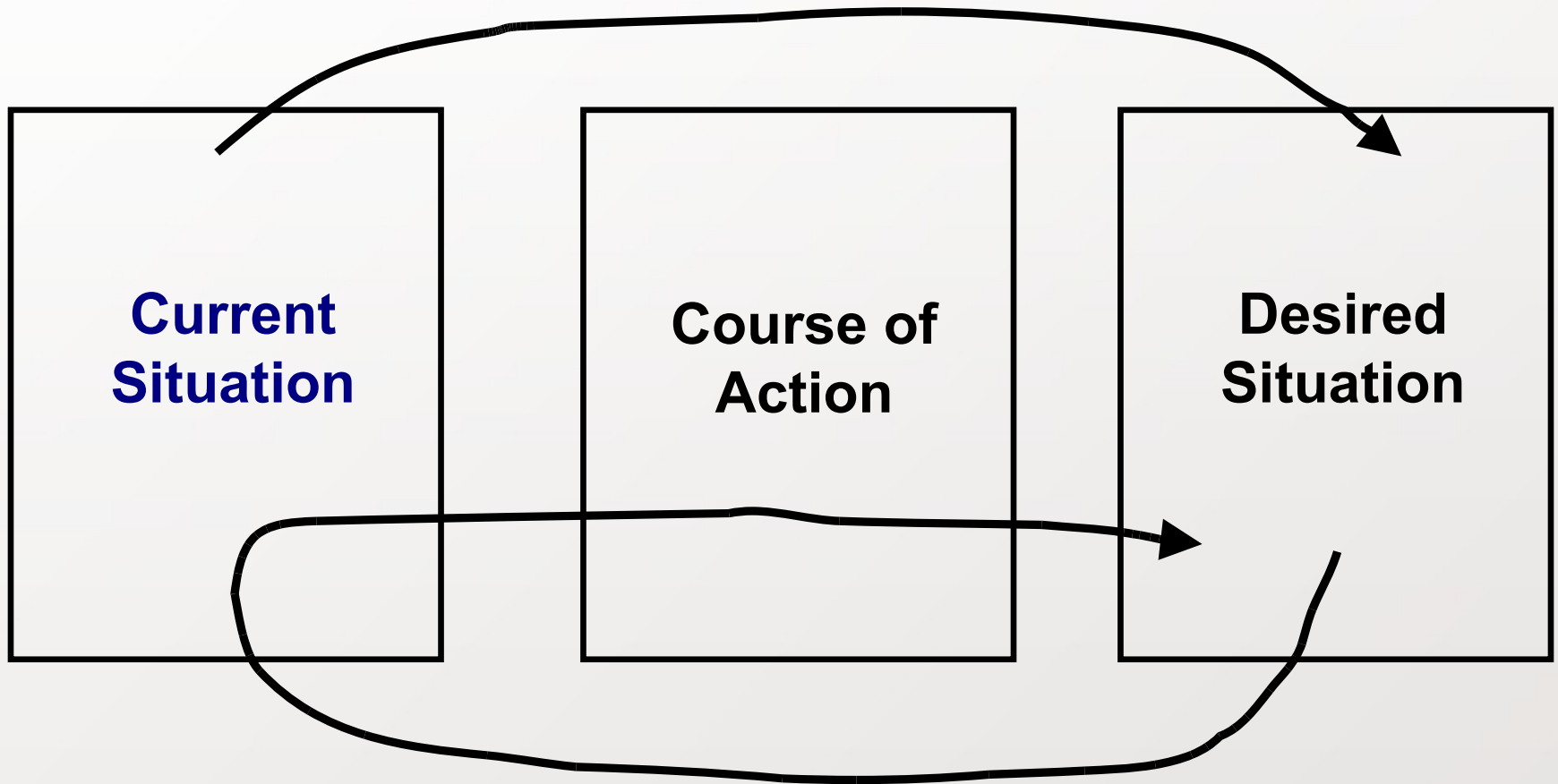
Representational systems

- Visual
- Auditory
- Kinesthetic

NLP Techniques

- Pacing
- Leading

The Problem Solving Process



The Phases of the Problem Solving Process

- Defining the problem
 - Analysis of current situation
 - Definition of the desired situation
 - The difference between current situation and desired situation is the problem
- Reaching a decision
 - Collection of ideas to overcome the problem
 - Development of alternative ways
 - Decision for one
- Planning for action
 - Analysis of potential problems
 - Action planning
 - Final check on results

Group Characters

- The Fighter
- The Positive
- The Know-all
- The Talkative
- The Shy
- The Refusing
- The Uninterested
- The Big Shot
- The Questioner



There is no change without resistance!

- Change presents unknown risks which cause anxiety
- Change that is imposed reduces on individuals their sense of autonomy or self-control
- Change may result in the loss of power and less successful ways for individuals to deal with their environment
- Change may be not in compliance with the true beliefs of individuals (ideological reasons)

Ways to deal with resistance to change

1. Identify and surface dissatisfaction with the current state
2. Build in participation in the change.
3. Build in rewards for desired behaviour (transition and future state)
4. Provide time and opportunity to disengage from the present state

Three rules of motivation (according to Vroom)

- People are not making efforts if the outcome of these efforts is considered being without value for them.
- People are not making efforts if they consider the proportion of their efforts and the respective recompense as not being comparative
- People are not making efforts for something they don't consider themselves capable to do.

Dealing with conflicts

- Uncover 'destructive' ways of dealing with conflict
- Address conflicts in a self-confident, attentive and solution-oriented manner
- Conflicts are normal!
- Human perception is selective
- Conflict stress distorts perception
- Understand 'flight or fight' reactions
- Become aware of acquired 'automatic danger programmes' in stress situations
- Avoid escalation: Defeating or harming vs. finding solutions
- See conflict as a chance
- Learn to live with dissent; tolerate disagreement

Solve conflicts constructively

- Stop! Gain distance! (if necessary: let anger out!)
- Involve a mediator
- Give signs for reconciliation
- Correct destructive behaviour! Apologise!
- Focus on the matter
- Listen actively
- Communicate clearly (e.g. ‘I need ..., I want ...’)
- Identify common interests
- Find creative solutions

Conflict Management in short

- Stop!
- Listen!
- Speak!
- Identify solutions!
- Make a decision!

Stakeholder Management Objectives

- Formalise stakeholder analysis
- Strengthen stakeholders' relationships
- Sustain stakeholders' commitment
- Increase stakeholders' satisfaction

Formalise stakeholder analysis

Stakeholders	Primary / internal	Secondary / external
Needs / expectations	Identified, classified and prioritised as key stakeholders	Be formally recognised by the project management
Strategies	Clear identification and classification of stakeholder potentials and expectations	Investigating stakeholders' perceptions, expectations, and their potentials for 'support' or 'opposition' to the project
Tactics	Use power/interest and influence/importance matrices	Use power/interest and influence/importance matrices
Tips	Do not exclude any stakeholders	Needs early recognition and attention

Strengthen stakeholders' relationships

Stakeholders	Primary / internal	Secondary / external
Needs / expectations	Relationships effectively managed	Formation of a network of relationships
Strategies	Building and maintaining good relationships through effective communication	Providing opportunity for two-way communication
Tactics	Face-to-face meetings	Employ public participation techniques at stages of project
Tips	Proactive relationship development uses relationship matrices with clear communication plans and channels	Mutual respect and trust are crucial

Sustain stakeholders' commitment

Stakeholders	Primary / internal	Secondary / external
Needs / expectations	Fully engaged and committed to project goals	Be concentrated for support at different stages of the project
Strategies	Attain high affective commitment for high performance	Attaining stakeholders' support to execute the project
Tactics	Use manager's social and political skills, create trust and creditability, provide active involvement, communicate early	Create sense of project ownership/partnership
Tips	Active response to stakeholders' requirement is essential	External feedback system is helpful

Increase stakeholders' satisfaction

Stakeholders	Primary / internal	Secondary / external
Needs / expectations	Successful project completion with achieved targets of time, cost, and quality	Interests and expectations are considered and incorporated into project's decision
Strategies	Assure maximum satisfaction with project management	Satisfying key external stakeholders according to their level of power/interest and importance/influence
Tactics	Identify factors critical to satisfaction with project management process	Integrating stakeholders' interests into project management and keep them informed of project information and decision-making
Tips	Satisfying one stakeholder may make others dissatisfied	Provide involvement programs at appropriate level throughout the project life cycle

Communication Plan

Target Audience (whom do you need to communicate with ?)	Objective (why communicate, what is the aim ?)	Communication tool e.g. report, seminar, meeting etc (how ?)	Person Responsible	Date/ Frequency (when ?)	Progress Report	Evaluation of success (Is it working or do you need to do something else ?)

Stakeholder Communication

- Stakeholder communication is critical to the success of every project
- A well-planned communication process helps maintain good relationships
- Although stakeholders may be both organisations and people, ultimately communication is between people
- Stakeholders can be grouped into the following categories:
 - Internal to the CASE
 - Internal to the organisation hosting the CASE
 - External to the organisation hosting the CASE

Stakeholder Management

- Bridges across divergent groups of stakeholders can be built assuring that each group is gaining through their agreement to go forward. The most important things to do are:
 - Proactively reach out to stakeholders
 - Actively create good relationships and mutual trust
 - Consistently keep stakeholders satisfactorily informed, involved , consulted and collaborated with
 - Informal networking and good interpersonal relationships
 - Deal with possible conflicts

Challenges of Applying Participation

- Long-term commitment
- Working at personal responsibilities
- Interaction with stakeholders
- Narrowing the gap between rhetoric and practice
- Quality of training
- Project design
- Self-critical documentation

***It is disturbing when
change is done to us
but exhilarating
when done by us!***

Thank you very much.

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Pegaso Project is founded by the European Union within FP7
ENV.2009.2.2.1.4 – Integrated Coastal Zone Management

Specific Programme FP7

Collaborative Projects – Large scale integrating project
Grant agreement n° 244170

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