

PARTICIPATORY SOCIAL CAPACITY BUILDING FOR FLOOD RISK MANAGEMENT



PRACTICAL GUIDELINES

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December 2017

ISBN: 978-84-697-8971-1

About these Practical Guidelines

Flood risk can be expressed as the concurrence of the flood hazard's characteristics (its “dangerousness”) and the vulnerability of the potentially affected human communities.

For decades, Flood Risk Management's (FRM) prevailing approach has been focused almost entirely on reducing the dangerousness of flood events, mainly by means of infrastructures such as dikes, levees and embankments, among others. The limitations of an engineering-focused approach became apparent, along with the recognition of the importance of reducing individual and collective vulnerability. This vulnerability is directly related to specific Social Capacities (SCs) that exist or are lacking in communities affected by floods.

The change of focus concerning FRM in Europe has been accompanied by a paradigm shift towards shared responsibility between government and citizens, with the latter required to be prepared to face unavoidable flood events. In this vein, the European Floods Directive (FD)¹ encourages stakeholders' and citizens' involvement in FRM through public participation.

Beyond the “top down” public participation demanded by the FD, the European funded CAPFLO project has explored “bottom up” approaches to develop SCs for FRM. These practical guidelines are the result of such investigation and aim to encourage and support communities to design and implement their own participatory SC building process, in order to reduce their flood vulnerability.

The guidelines offer stakeholders and public authority officials a conceptual framework and practical information (including a “step-by-step guide”) to improve their local FRM by means of public involvement in SC building. Throughout this document, the learnings from practical experience are presented with QR links that bring the reader closer to more detailed information, and all background information and results of the research that was used to develop these guidelines can be found on the CAPFLO website: www.capflo.net.

¹ Directive 2007/60/EC of the European Parliament and of the Council of 23 October 2007 on the assessment and management of flood risks (<https://goo.gl/gN33VL>).





TABLE OF CONTENTS

1. What do we mean by Social Capacities and how are they related to Flood Risk Management?	9
2. What kind of Social Capacities are useful in Flood Risk Management?	11
2.1 The knowledge dimension.....	12
2.2 The motivation dimension.....	13
2.3 The networks dimension.....	13
2.4 The participation dimension.....	14
2.5 The financing dimension	15
3. Why and how do we measure Social Capacities for Flood Risk Management?	17
4. How can we develop participatory social capacity building for Flood Risk Management?	27
4.1 Participatory Mechanisms for building Social Capacities	28
4.2 Participatory Actions for building Social Capacities.....	30
5. Step by step guide for participatory social capacity building	38



1. What do we mean by Social Capacities and how are they related to Flood Risk Management?

Within the CAPFLO project, Social Capacities (SCs) are considered as a wide variety of skills which enable a higher degree of self-management in relation to communities' challenges. Their presence in a community depends both on the possibility of accessing certain resources and the existence, within the community members, of the abilities to use them.

In the field of Flood Risk Management (FRM), SCs are directly related to vulnerability. Communities with adequate social capacities are better prepared and organised before, during and after a flood event, and the probability of losses in such cases is smaller, which means risks can be significantly reduced by social capacities. The CAPFLO project has used prior research and expert advice to identify a comprehensive list of relevant SCs regarding FRM in a European context.

Some of the selected capacities are not exclusively related to FRM, such as having a proactive attitude for the protection of environmental values or entrepreneurial capacity, while others are more specific to FRM, such as being aware of one's own flood risk. Most of the SCs for FRM, such as understanding the causes of flood risk, are individual capacities that are considered to be community capacities if the majority of individuals in a community possess them. Other capacities are more related to groups of people, such as network capacities.

Factors influencing the degree of presence of SCs for FRM in a community include the community social structure and cultural background, as well as the experience and recurrence of flood events. In addition, the institutional and governmental context of an affected community plays a major role in the development of SCs for FRM as many resources enabling them are made available by public authorities.



2. What kind of Social Capacities are useful in Flood Risk Management?

Based on prior research², Social Capacities (SCs) for the management of natural hazards can be grouped into five dimensions: Knowledge, Motivation, Networks, Participation and Financing. The CAPFLO project has identified different SCs specifically related to Flood Risk Management (FRM) within each of those dimensions.

1. **KNOWLEDGE DIMENSION:** Generating, acquiring and sharing knowledge about FRM helps to build a comprehensive perception of the problem and therefore improve our approaches to its solutions.
2. **MOTIVATION DIMENSION:** Assuming responsibility in reducing one's own vulnerability, both personally and collectively, is a crucial condition for public involvement in FRM.
3. **NETWORKS DIMENSION:** This dimension includes the ability to create and strengthen networks of people involved in FRM and affected by flood risk. This type of SCs is a tool for fostering other capacities, such as knowledge sharing and dissemination, or the facilitation of participatory processes.
4. **PARTICIPATION DIMENSION:** This includes abilities and resources that enable the general public's and stakeholders' collaboration in FRM.
5. **FINANCING DIMENSION:** From purchasing adequate insurances to accessing European funding, this type of SCs is related to access to all kinds of economic resources for FRM.

² Kuhlicke, C. and Steinführer, A. (2010). Social capacity building for natural hazards: A conceptual frame. CapHaz-Net WP1 Report. Helmholtz Centre for Environmental Research – UFZ and Johann Heinrich von Thunen Institute: Leipzig and Braunschweig.



2.1 The knowledge dimension

- **Capacity for flood risk awareness:** Without awareness, communities will not be involved in any kind of FRM strategy.
- **Capacity of understanding the natural phenomenon, the causes of its related risk, and the characteristics of the existing FRM system:** A basic but solid technical (including legal) background is needed to avoid frequent and severe misconceptions and to establish the common foundations and debate limits for FRM actions and strategies.
- **Capacity for operating within the administrative structure of local FRM:** Correctly identifying roles and responsibilities of the different administrations with powers in FRM. It allows the community FRM demands to be correctly addressed, avoiding conflicts and promoting public authorities' accountability.
- **A capacity for disseminating knowledge about FRM:** Knowledge about FRM is usually unevenly distributed within the members of a community. This capacity fosters a more universal and common understanding of FRM issues.
- **A capacity for exchanging knowledge between different stakeholders:** Knowledge about FRM tends to be compartmentalised between the different stakeholders developing or holding it. This capacity is needed to achieve a shared and more complete understanding of FRM among all of them.
- **A capacity for investigating and developing FRM measures and policies:** FRM has unique and distinctive local features that can only be understood through locally focused studies. The design of socially viable proposals to cope with local FRM may need innovative approaches developed by enabled communities.

2.2 The motivation dimension

- **A proactive attitude for self-protection:** Assuming one's own responsibility for self-protection from Flood Risk (and realising the opportunities to do so) is a very important step for public engagement in FRM, and fosters the development of many other SCs.
- **A proactive attitude for group protection:** The collective search for solutions for a shared FRM widens the possible actions to be implemented, and fosters social dynamics and synergies, including Participatory Social Capacity building.
- **A proactive attitude for the protection of environmental values of rivers:** This capacity allows FRM actions to be implemented which are compatible with the improvement or preservation of fluvial ecosystems, and therefore are coherent with EU legislation.
- **A capacity of generating social commitment in FRM:** This capacity allows motivated individuals to spread their commitment within their communities, therefore multiplying the possibilities of action and also the energies invested in participatory FRM.



2.3 The networks dimension

- **A capacity for using networks for FRM:** As highly sophisticated social structures, networks are always present (to a greater or lesser extent and with different characteristics) in human communities and can be a powerful multi-purpose tool for their members. This capacity allows the use of those existing social networks for FRM.
- **A capacity for creating specific networks for FRM:** Tasks, debates or proposals related to FRM are ideally supported by specific social networks, both face-to-face and online. The capacity of generating these specific networks can be improved by best practices shared from other communities.



2.4 The participation dimension

- **A capacity for accessing information about FRM projects and public policies:** The traditional top-down approach in FRM has not favoured access to information in affected communities, which is essential when implementing the basic environmental governance legislation.
- **A capacity for providing one's own FRM perceptions and proposals:** This enables contributions to an FRM administrative public consultation process. An effective contribution requires knowledge about the protocols of the consultation process and also being able to develop that contribution in an adequate format.
- **A capacity for deliberation about FRM actions and policies:** This capacity allows participants in FRM decision-making processes to discuss, share, debate, and exchange opinions with different actors. Depending on the culture of debate and habits of the different communities, this capacity will be present to varying degrees. Given the relevance of deliberative processes in the new FRM governance approach, this capacity should seriously be taken into account.
- **A capacity for proactive participation in FRM actions and policies:** Citizens' initiatives can deliver very effective actions for FRM. To develop this complex capacity, one can rely on examples of other practices implemented by other communities.



2.5 The financing dimension

- **A capacity for accessing general financing resources for FRM purposes:** This capacity requires both knowledge about the general financial products, and the ability to adapt and select the adequate ones for financing FRM actions or projects.
- **A capacity for accessing specific financing for projects related to FRM:** In an EU context, this capacity is strongly linked to knowledge on environmental financing programmes and to the ability of developing and applying for an eligible FRM project. Other specific financing sources include innovative social funds (e.g. crowdfunding).
- **A capacity for entrepreneurship in activities linked to FRM:** This capacity is influenced by the general entrepreneurial culture of communities. Traditional actions to support entrepreneurialism, as well as fostering and sharing best practices among communities, can help to develop this capacity.



3. Why and how do we measure Social Capacities for Flood Risk Management?

The first step in any Social Capacity (SC) building process is evaluating which SCs are present in the community, allowing efforts to be focused on the missing SCs. This assessment requires the establishment of easily measurable “indicators” for each one of the SCs.

For all the listed SCs related to Flood Risk Management (FRM), the CAPFLO project has established two types of indicators: Resources and Abilities. One single FRM SC can be associated with a variable number of both types of indicators.

Abilities refer to skills held by individuals and groups, such as “using a flood risk map” or “deliberating about complex issues”. Resources include a variety of items needed to actually develop and profit from the related abilities, such as “local flood risk maps” or “ongoing deliberative participation processes”. Abilities depend greatly on the community members’ background and experiences, while resources are usually provided by public and private institutions in specific context conditions.

The existence of resources can therefore be determined through the study of the context (e.g. revision of official websites or bulletins, analysis of legislation, interviews with FRM officials, etc.), while abilities can be determined by inquiring about the community (e.g. interviews to stakeholders, focus groups, surveys, etc.).

When both the resources and the abilities of a specific social capacity are adequately present in a community, we can affirm that the related social capacity is held by that community.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
KNOWLEDGE	Awareness of flood risk.	Publicly accessible flood risk maps.	Consult and interpret flood risk maps.
		Evacuation plans.	Know and be able to follow the municipal evacuation plan.
		Local knowledge and experiences generated by historical floods.	Evaluate, gather, and spread knowledge about local experiences in managing the risk of flooding.
	Understanding of the causes, characteristics, and existing FRM system.	Good quality information about FRM in the formal education system.	Include quality information about local FRM in formal education.
		Publicly accessible scientific-technical information about FRM.	Provide access to, and understanding of, scientific-technical information about FRM.
		Information about infrastructures and strategies for mitigating the risk of local flooding.	Find out about the current model for handling risk of flooding in your surroundings.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
KNOWLEDGE	Operating in the administrative structure of FRM.	Informational material about FRM policies and legislation.	Identify the powers of different public administrations involved in the FRM.
		Information centres on legislation about FRM and local FRM policies.	Find out about the preferable lines of action established by the European Directive of Floods and national regulations about FRM and regional FRM plans.
	Disseminating knowledge about FRM.	Local FRM informational materials (flyers, multimedia).	Produce and distribute local informational materials about FRM.
		Informational activities (field trips, etc.) about local FRM.	Promote and organize informational activities about local FRM (field trips, workshops, etc.).
		General or specific networks about FRM.	Use general or specific networks about FRM to spread information.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
KNOWLEDGE	Exchange of knowledge between different stakeholders.	Participatory and deliberative decision making processes across sectors about FRM.	Participate in processes of deliberation about FRM among a variety of sectors.
		Networks related to FRM.	Communication between diverse stakeholders.
	Investigation and development of FRM measures and policies	FRM research centers in the country.	Research and innovation in aspects of local FRM, and dissemination of the results.
MOTIVATION	Proactive attitude for self-protection.	Real time information about incumbent floods.	Find and understand information about floods in real time.
		Flood insurance against floods.	Purchase appropriate flood insurance.
		Protective measures against floods in buildings (housing).	Adapt private infrastructures exposed to flooding.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
MOTIVATION	Proactive attitude for group protection.	Informational materials that promote social commitment in FRM.	Commit to the collective search for solutions to flood risk.
		Networks related to the FRM.	Participate actively in networks linked to the FRM.
	Proactive attitude of protection of the environmental values of the rivers.	Local activities that use the environmental services of rivers (canoeing, fishing, hiking, etc.).	Evaluate the condition of the river ecosystem.
	Generation of social commitment in the FRM.	Public events related to the FRM (flood drills, thematic events, exhibitions, etc.).	Organise and promote public events related to the FRM.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
NETWORKS	Use of non specific social networks for the FRM.	Online social networks.	Exchange, spread knowledge, and/or discuss about FRM in digital media.
		Spaces where people come together to meet and debate.	Meet in person to exchange and share information, and/or discuss FRM
		Legally established NGO's.	Propose, finance, and collectively develop measures related to FRM.
	Creation of specific networks for the FRM.	Online social communication media (Facebook, Twitter, Whatsapp..).	Create and promote online networks about FRM using social media platforms.
		Legislation that gives legal coverage to associations and public policies aimed at promoting and strengthening them.	Create a NGO linked to the FRM with its own legal structure and financial means.

DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
PARTICIPATION	Access to information about FRM projects and public policies.	Section of public information on the websites of government bodies responsible for FRM.	Consult the websites of the responsible authorities to gather information about FRM projects and policies.
		Provision of FRM perceptions and proposals to Public Authorities.	Mandatory consultation processes in FRM legislation.
	Deliberative participation in the FRM.	Stable spaces for active participation (discussion forums, etc.)	Participate actively in permanent forums about FRM.
		Up-to-date map of stakeholders and interested parties	Participate in processes of deliberation that involve different interested parties.
	Proactive participation in the FRM.	Inventory of good practices in citizen initiatives linked to FRM.	Promote citizen initiatives in FRM.

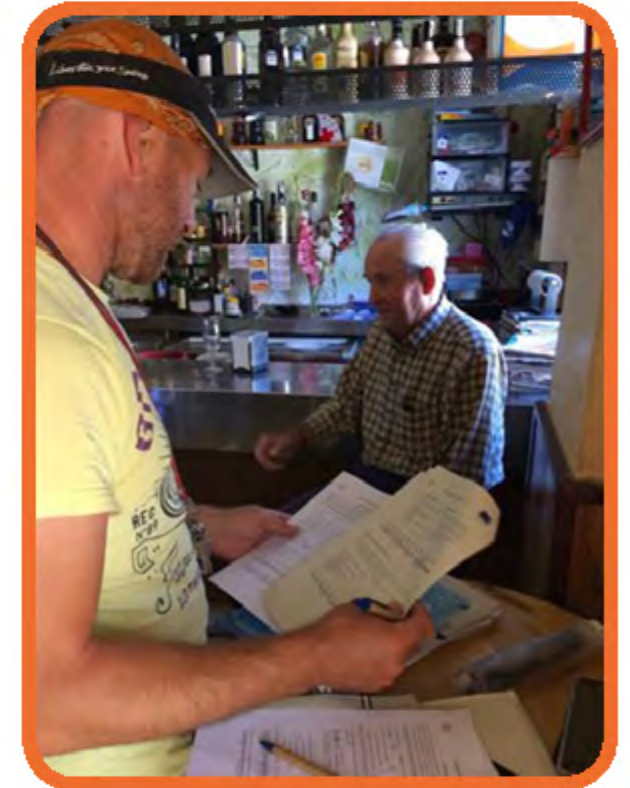
DIMENSIONS	CAPACITIES	INDICATORS	
		Resource	Ability
FINANCING	Access to general financing for projects and investments related to the FRM.	Private loans from banks.	Access financial loans for investments linked with the FRM (Adaptation of housing and infrastructures, purchase of civil protection equipment, etc.).
		Public funds of local, regional, or national administrations.	Access local or regional funds through direct public investment or grants/aids for investments linked to the FRM (Adaptation of housing and infrastructures, purchase of civil protection equipment, etc.)
	Access to specific financing for projects related to the FRM.	Programs of financing for environmental projects on the European, national, regional, or local level.	Access specific public funds for FRM projects.
		Innovative social funds (crowdfunding, time banks, etc.).	Access innovative social funds for environmental projects linked to FRM.
Entrepreneurship in activities linked to the FRM.	List of other practices in entrepreneurship linked to FRM.	Create a local entrepreneurial project linked to the FRM.	

EVERYTHING READY: GO AHEAD AND ASSESS YOUR COMMUNITIES' SOCIAL CAPACITIES FOR FLOOD RISK MANAGEMENT!

A table linked in the QR below will help you to check the list of resources by marking which ones are present or missing in your context. Consulting available FRM experts may also help you in this task, both through separate interviews or by means of a “focus group”, a workshop in which all of them can discuss the presence of certain resources in case there is no agreement.

QR also provides the questionnaire to be used with a statistically representative group of your community in order to assess the presence of FRM-related abilities. You may adapt or improve this list of questions, but keeping the questionnaire as similar to the original as possible will allow you and other stakeholders and researchers to better compare data between communities across Europe.

Please do contact the CAPFLO project coordinator with your doubts or suggestions, we will be very happy to hear from you and we are willing to provide free technical advice.



<https://goo.gl/2Mse2e>



4. How can we develop Participatory Social Capacity building for Flood Risk Management?

According to the bottom-up approach of the CAPFLO project, 8 types of Participatory Mechanisms (PMs) have been identified. These PMs describe the general design, structure and set-up of a participatory event.

For each PM, we propose a list of potential Participatory Actions (PAs) that are linked to the abilities which were previously identified as indicators of the SCs related with Flood Risk Management (FRM). The reason to target “abilities” and not “resources” for the participatory actions is that, although some of the latter could be produced by the community, the development of FRM resources is in many cases the legal responsibility of the competent authorities.

The assessment of the implementation within the CAPFLO project of some of the proposed participatory actions in 5 different countries has produced significant learnings that are addressed at the end of this section.



4.1 Participatory Mechanisms for building Social Capacities

The following participatory mechanisms (PMs) have been identified by the CAPFLO project as suitable for building SCs for FRM. These eight PMs are related to different “levels of participation” and describe general set-ups of participatory events.

- **Broadcast/distribution:** This PM comprises information supply efforts by the SC building process organisers. They provide information addressing other actors and stakeholders, using leaflets, digital documents, mass media and additional non-face-to-face means.
- **Public meetings:** Public meetings are also information supply events, but the difference is that participants have to come to a certain location on a certain date in order to be informed. The advantage is the information supply being face-to-face. In most cases, participants can ask questions, but such Question & Answer sessions mainly serve the goal of providing them with additional and satisfactory information, rather than giving people the opportunity to ask critical thought-provoking questions that could change the opinions held by the process organisers.
- **Field trips and visits:** Generally intended to get to know the territory, the floodplain and its features. They can be unidirectional (process organisers or hired experts guide the field trip) or bidirectional (the field trip's guide foresees stakeholders' significant contributions). It also includes visits to other FRM related regions or experiences in order to gather best practices.
- **Public event:** Participation of citizens in broad public events related to FRM. These events can include the exchange of experiences, training and simulations, among others. It is mainly unidirectional but can be bidirectional, and is typically an evacuation drill, among other public events.
- **Public consultation:** Consultation on a specific topic, in order to gather the opinion of the participants (stakeholders or general public). It can be a formal or informal process, and developed through different online or face-to-face forms/techniques of gathering opinions (i.e. citizen polling, expert or citizens advising, etc.).
- **Deliberative workshops:** Deliberative workshops present facilitated opportunities for both the participants and SC building process organisers (and potentially other stakeholders) to openly discuss the subject. Deliberation comprises “rational discussions” that move beyond the personal interests of the participants to find solutions to FRM issues. From a SC building point of view, these activities are mostly aimed at knowledge creation and sharing, allowing participants to learn from each other. Additional objectives of these workshops can be to reach consensus or to generate recommendations for FRM authorities.



- **Citizen science:** Citizen science refers to actions taken by members of a community to assist researchers or higher levels of government by providing data collected by themselves. The data can include different information or categories, ranging from river water levels to demographic information about the community. For technical data, participants may be provided with scientific tools that are easy to use. The initiative usually comes from citizens or communities, although citizen science can also be top-down incentivised.
- **Volunteering:** A wide variety of actions related with FRM that imply a high degree of commitment and time investment by citizens, usually collaborating with FRM competent authorities (i.e. citizen brigades monitoring water levels during a flood event and providing data to the local or river basin administration). Although citizens themselves usually initiate those actions, such initiatives can be diverse in origin (i.e. public authorities, companies, organisations...).



4.2 Participatory Actions for building social capacities

Participatory Actions (PAs) can be designed by defining concrete goals and contents to the general set-up of Participatory Mechanisms. PAs should be adapted to each affected community's circumstances (financial possibilities, social composition, FRM motivation...). Context may strongly influence the effectiveness of a particular PA: The following PA example list offers you the possibility to select and add PA proposals according to your community context. More detailed information and tips derived from implementation experiences can be found on the CAPFLO website or through the links in the references column of the table.

During the participatory process, PAs from different PMs can be combined in many different ways. One example would be financing a social capacity building event that includes an informative session on potential funds, an exchange of experiences with people of other regions with broader experience, and a deliberative workshop on drafting a proposal for a project designed for obtaining funds.

PMs	Participatory Actions	References
Public Meetings	Conference on flood risk and hazard maps.	http://capflo.net/france/ http://capflo.net/the-netherlands/
	Presentation of evacuation plans.	https://goo.gl/7Bvygy
	Conference about effectiveness of the measures traditionally implemented and/or recently proposed.	https://goo.gl/ad3tzX
	Technical conference about local FRM.	http://capflo.net/italy/ http://capflo.net/spain/
	Informative session about prevailing legislation in floods and its application.	http://capflo.net/spain/
	Presentation of active forums and other ongoing participatory processes on FRM.	https://goo.gl/1xLgkS
	Conference about insurance (urban and/or agricultural) for FRM.	http://capflo.net/spain/
	Informative session about the opening of bidding for possible grants (local, regional, national, European, etc.) related to the FRM.	http://capflo.net/spain/
	Presentation of other practices on financing.	http://capflo.net/spain/
	Write your own proposals...	

PMs	Participatory Actions	References
Broadcast/ distribution	Disseminate multimedia, including flood-related experiences through publicity in social media.	https://goo.gl/p27J3r
	Publish a website summarizing knowledge resources accessible to the public and relevant for the local FRM.	http://capflo.net/germany/
	Promote Existing networks related to FRM and of local relevance through publicity in social media.	https://goo.gl/8xwaWg
	Provide participants in a FRM event with a document about instruments, powers and responsibilities regarding FRM.	http://capflo.net/spain/
	An FRM-related movie screening for university students.	http://capflo.net/germany/
	Write your own proposals...	

PMs	Participatory Actions	References
Field Trips and Visits	Field trip across floodplain visiting actual infrastructures for local FRM.	http://capflo.net/spain/ http://capflo.net/the-netherlands/ http://capflo.net/italy/
	Navigated interpretative descent in river(s) involved in local FRM.	http://capflo.net/germany/ http://capflo.net/spain/
	River walk with pupils.	http://capflo.net/germany/
	Write your own proposals...	
Public event	Evacuation drill	http://repo.floodalliance.net/jspui/handle/44111/1199
	Exhibition of old local pictures related to FRM.	https://goo.gl/ZwMSzj http://capflo.net/the-netherlands/
	Write your own proposals...	

PMs	Participatory Actions	References
Consultation	Online poll on a projected measure for FRM.	https://goo.gl/zciMAo
	Public consultation on the programme of measures of the FRM prevailing plan.	https://goo.gl/ad3tzX http://capflo.net/italy/
	Write your own proposals...	
Deliberative workshop	An FRM deliberative workshop at schools. Flood modelling.	http://capflo.net/spain/
	A stakeholders, FRM technicians and divulgation professionals workshop for the creation of materials for disseminating local FRM.	http://www.imra.cnr.it/
	Creation and management of local networks linked to the FRM.	http://capflo.net/france/
	Diagnosis workshop with stakeholders and technicians about FRM insurances (limitations and opportunities).	http://capflo.net/spain/

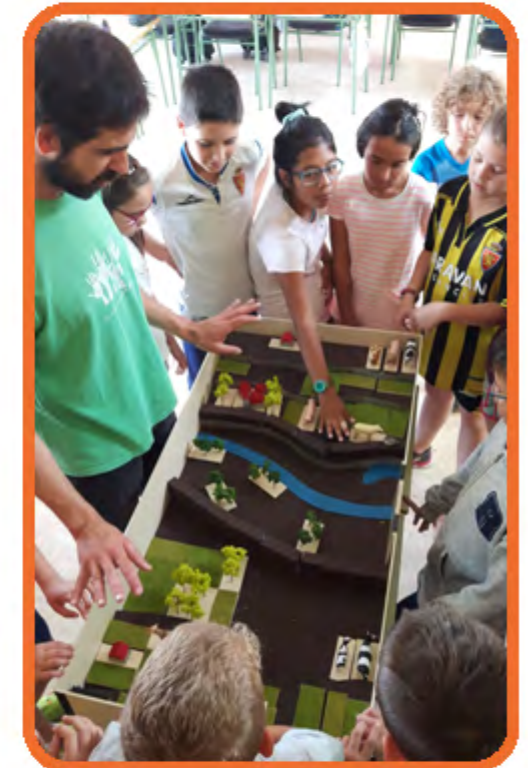
PMs	Participatory Actions	References
Deliberative workshop	Experts and community leaders workshop for the identification and design of activities for the promotion of social involvement in local FRM	http://capflo.net/france/ http://www.imra.cnr.it/
	An FRM technicians, media representatives and local interested parties workshop for a deliberative elaboration of a communication plan regarding FRM.	http://capflo.net/spain/
	Stakeholders workshop for the proposal of consensus measures to be included in the FRM prevailing Plan.	https://goo.gl/ad3tzX https://goo.gl/a8NrPV
	Practitioners and interested parties workshop to access to specific financing for environmental projects linked to FRM	http://capflo.net/spain/
	Practitioners, businesses and entrepreneurs workshop for the promotion of local FRM entrepreneurialism.	http://capflo.net/spain/
Write your own proposals...		

PMs	Participatory Actions	References
Citizen science	Creation of an App for gathering citizens' data on local FRM (water level, damaged infrastructures...).	https://goo.gl/wJJoZv
	Creation of a Research and Development group for promoting citizen science linked to local FRM	https://goo.gl/BxZsNz
	Write your own proposals...	
Volunteering	Creation of citizen brigades (lookouts, conservation flows, defense, etc.)	https://goo.gl/kAyU7E https://goo.gl/6Ee77L https://goo.gl/tr1kyU
	Creation of permanent local forums for decision-making on FRM.	
	Write your own proposals...	

MISSING AN ABILITY? LET US SUGGEST YOU SOME ACTIONS... AND THE OTHER WAY ROUND!

Actions for participative FRM SC building have been related within the CAPFLO project to the abilities previously proposed as indicators. Therefore, a community's SCs assessment results can be translated into a preliminary list of Participatory Actions (PAs) that can improve the missing abilities. The table linked to this QR can be used for this purpose, as well as for deciding which of those possible actions to undertake, based on their potential to influence various abilities and SCs.

Although not all of the listed PAs have been tested within the project, the good results yielded by the ones actually tested have been encouraging. Sharing your own results with the project coordinator will contribute to improving our participatory SC building tool... Be part of the crew and help us sail towards reduced social vulnerability to floods!



<https://goo.gl/4wjDaT>

5. Step by step guide for participatory social capacity building

This step-by-step guide is an adaptable handhold. Note that not all the proposed steps may be necessary in your particular context.

Planning stage

1. Personal and collective commitment and leadership
Who is going to organise the participative SC building? How will leadership be shared? How are tasks going to be distributed? Is an administration going to oversee the process?
2. Problem analysis and definition
What is the problem that requires a participatory social capacity building process? This process is related to FRM SC assessment: which social capacities are lacking and need improvement or development?
3. Goal definition
Identify the goal of the participatory process: What does the participation contribute to and how? Which capacities are to be built?
4. Scope definition
Identify the scope of the participation, both geographically (spatial scale) and politically (which levels of government to involve).
5. Context analysis
Identify the political, legal, and social context of the case. Also, identify potential (contextual) barriers for participation.
6. Stakeholder analysis
Identify the actors that have a stake in the case and that need to enhance social and civic capacity. Also, describe the network connections among these actors (who knows who, collaborations in place, etc.).
7. Stakeholder selection for participatory planning
Select which FRM stakeholders should be necessarily involved in the design of participatory SC building and explain why.
8. Resources and time analysis
How many financial resources are/can be made available? What is the timescale in which the participatory process has to take place? What expertise is required to design and implement the participatory process?
9. Potential Participatory Actions list
For the implementation stage, think of Participatory Actions that could contribute to building the social and civic capacity that is lacking in your case.

10. PMs and PAs selection to improve social capacities
Based on the proposal of potential participatory actions, identify in dialogue with stakeholders the Participatory Actions and Mechanisms to implement to improve social capacities. Depending on resource availability, goals and types of action, some PMs are more suitable than others.
11. Participatory planning of Actions' implementation
Planning the selected PM: the output of this process is a number of selected Participatory Actions to implement in order to improve social capacities, including who to involve, and when to implement them.

Implementation stage

12. Invite/select and inform participants for implementation
Based on the stakeholder analysis and the form of PM and PA selected, select and invite the target group for participation. Inform the invitees on the subject and what their role is.
13. Promote the event
Promote the importance of the event among the potential participants, and inform external actors of what is going to happen. This event could, for instance, inspire other people to conduct similar processes.
14. Carry out Participatory Actions
Together with the participants, conduct Participatory Actions to build social and civic capacity.
15. Evaluate the results of the actions and the quality of their implementation.
Evaluate the participatory actions after their implementation. Prepare an evaluation considering the abilities' subject of development, and quality criteria of the participatory actions.
16. Evaluate the results of the participatory actions time after.
Evaluate the impact of the actions from one to three months after the implementation of participatory actions, via online surveys distributed to all participants, or interviews to stakeholders.
17. Give feedback about the results of the participatory process.
Finalise the participatory process with a reporting session or document about the results and, if any, discuss the next steps.
18. Maintain an information network within the community.
Build a communication strategy for maintaining the community informed on FRM-related issues (e.g. new infrastructures, revisions of FRM plans, etc.).

LESSONS LEARNT: FACTORS THAT FAVOUR/HINDER THE IMPLEMENTATION OF EFFECTIVE PARTICIPATORY SCs BUILDING PROCESSES.

The CAPFLO project has developed a systematised conceptual framework about Social Capacities (SCs) in the context of Flood Risk Management (FRM). This framework has allowed the project partners to create a methodology for both the assessment of FRM SCs present in a certain community, and the design of participatory FRM SC building processes.

Furthermore, these “assessment and participatory tools” have been implemented by the CAPFLO research teams in five different countries of the EU, covering different contexts and aiming at a variety of goals. The learnings from these experiences have been shared and discussed by the partners, producing a comparative analysis document that is linked to the QR code.

Do read the “Lessons learnt” and the “Conclusions and recommendations” sections of that document before you start planning your own process, as you will find very specific and practical findings such as the importance of expert facilitation during deliberative workshops, which SCs seem trickier to build, or a list of factors which have proved to contribute to greater participation in the implemented actions or to improve their effectiveness regarding SC building.

All of the learnings from CAPFLO’s experiences refer explicitly to specific contexts, which greatly vary in very determinant conditions, such as the initial motivation capacities of the five studied communities. Context has proved to be very important regarding the functioning of the implemented PAs, and should definitely be taken into account when designing future participatory SC building processes.

The linked document and the whole methodology should be enriched by future experiences: Please contact the CAPFLO coordinator to share the results and learnings from your community’s participatory FRM SC building process (and/or to obtain technical support to help you develop it).



“Before the flood” Film screening (Germany)



Interpretative Ebro river descent (Spain)



Fieldtrip to flood plain (The Netherlands)



Public event on floodable areas (France)



Public meeting at Rottofreno (Italy)



<https://goo.gl/JEP4WP>

PARTICIPATORY SOCIAL CAPACITY BUILDING CAN HELP US TO...

- Adapt land use planning to flood risk.
- Contract appropriate insurances.
- Finance FRM actions and infrastructures.
- Improve environmental quality.
- Share and learn from successful experiences in FRM.
- Establish FRM related social networks.



CAPFLO



Humanitarian Aid and
Civil Protection

The CAPFLO project is funded by the European Commission (DG European Civil Protection & Humanitarian Aid Operations, ECHO) and supported by five research teams from across Europe.

These practical guidelines are CAPFLO's contribution to communities aiming to reduce their vulnerability to floods, thereby increasing their own social capacities through a participatory approach. It includes examples from the implementation of the project's pilot actions, and a "step-by-step guide" to design and implement participatory social capacity building processes.

For more information about CAPFLO and contacts, please visit www.capflo.net

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