



MIDIR PROJECT

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WP 2:

Integration of concept in real risk management settings in various cultures

Del. 2.3:

Necessary changes to risk governance concept in light of experiences in test cases

Reference code: MIDIR – Del. 2.3

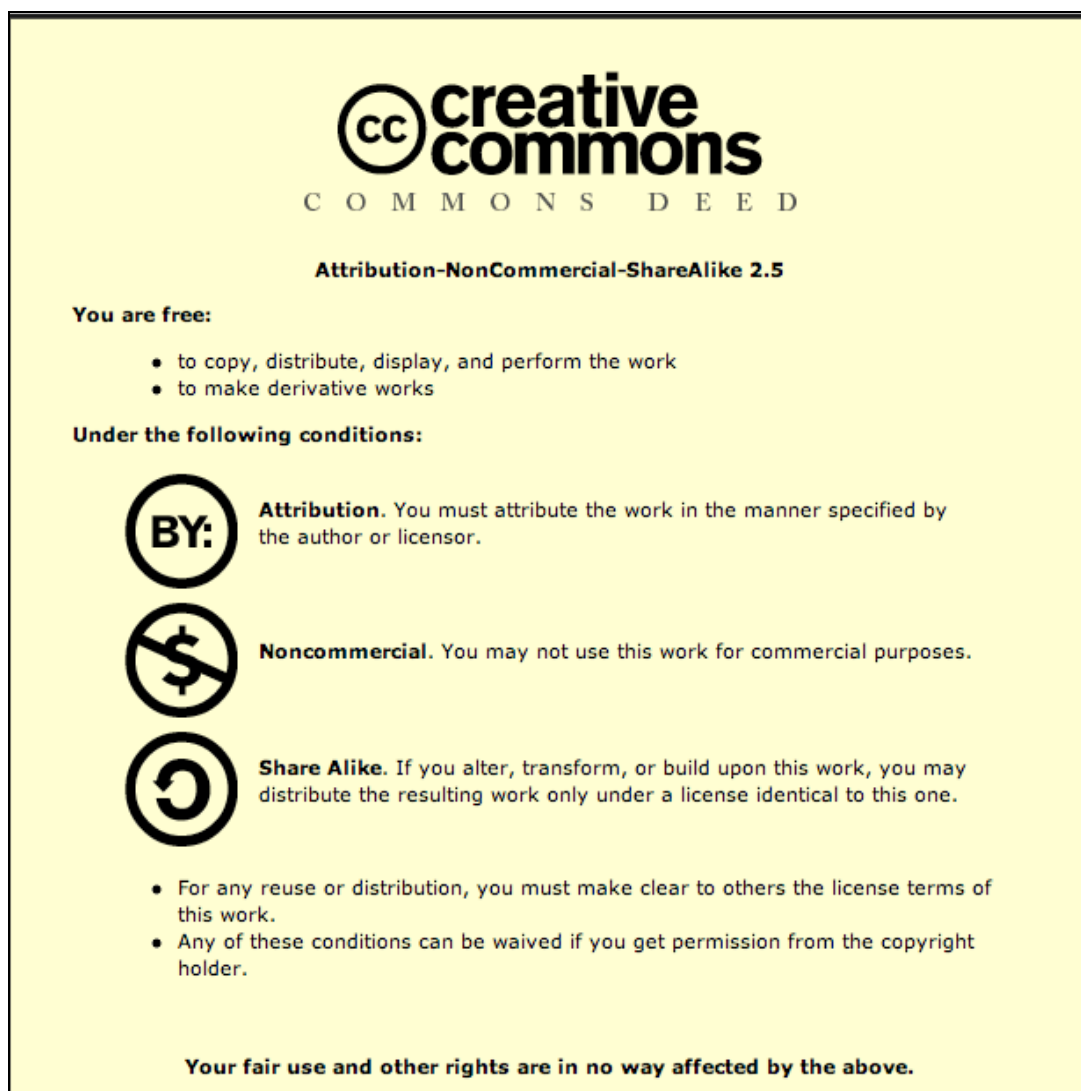


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Short Description:

Deliverable 2.3 presents an overview of changes/amendments/adjustments to the MIDIR risk governance methodology in light of experiences in German and Italian test cases, in transferability to Poland, Europe and other risk settings, and in the final event of the project.

The report is divided in three main parts:

- Lessons learnt from German case study and its transferability;
- Lessons learnt from Italian case study and its transferability;
- Changes/amendments/adjustments to the MIDIR methodology.

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1 General introduction

The MIDIR project aims at improving the effectiveness of risk related policy decisions and a better acceptance by involved or affected stakeholders. The material goal "resiliency" and the more procedural approach to risk governance were combined through an interdisciplinary approach that defined a reasonable path (risk governance) towards the material goal of creating resilient communities. To achieve this goal, a dialogue-oriented philosophy has been followed in order to involve experts, stakeholders and decision-makers into the risk governance process.

The study carried out during the first stage of the project led to the development of a new overall framework for risk governance as well as resilience measurement and monitoring based on a review of current standards and state of the art.

The new framework was tested in the real decision-making settings of existing risk management systems by the example of two emerging risks with a high degree of uncertainty and ambiguity: risks related to criminals under hospital treatment order (German case study) and risks related to health due to e-commerce (Italian case study).

The German case study tested and complemented the MIDIR approach to implement/ promote risk governance for hospital order treatment in the Federal Ministry of Health of Rhineland-Palatinate (MASGFF), Germany, partner in the MIDIR project. The Ministry, together with the hospitals and the responsible regional administration (steering group) decided to apply the MIDIR approach for the following two across-clinic topics (project groups) with interfaces to the public:

1. Forensic aftercare (including partial release and discharge management);
2. Information policy and stakeholder dialogue.

The Italian case study was implemented by the Region of Lazio, Italy, with support of LAit, in order to test the MIDIR Approach on a new and emerging risk with minimal information and low awareness but potentially a high risk. The concept has been tested in risk screening/ problem framing and assessment.

A structured communication and dialogue process was fundamental during the case studies, meetings, conferences and workshops to meet the requirements of an effective, knowledge-based, fair, consultative and cost-effective risk governance process.

The dialogue-oriented decision process combined with the intensive and active participation and information were the key aspects of the German and Italian case study and their transferability in Poland and Europe, respectively. Stakeholders involved both in case studies and transferability suggested several changes and improvements to the MIDIR methodology that are summarized in the first sections of the deliverable, whereas in the final section how to implement these amendments into the methodology is discussed.

2 Lessons learnt from the German case study

The German case study tested the application of conceptual elements using the example of risks related to forensic patients under hospital treatment order in the federal state of Rhineland-Palatinate.

The two project groups ("Therapy" and "Information Policy") that worked on exemplary risk governance topics using the Indicators System, gave feedback to the practicability and usability of the MIDIR concept.

The Indicators were described as useful especially:

1. to draw a picture of the current state, to measure progress of a process, to visualise and to promote benchmarking between competing clinics and federal states;
2. as starting point and basis for decisions on appropriate measures;
3. as communication instrument, to ask the right "questions".

Using the Indicators in a real setting, difficulties were seen in the following areas:

1. wide interpretation scope for the definition of some Indicators (e.g. "relevant stakeholder");
2. difficult definition of qualitative Indicators (e.g. "trust");
3. high demand of resources (time and personnel) for the definition of Indicators (is additional personnel support needed?);
4. lack of links to existing Electronic Data Processing solutions (e.g. existing risk and quality management systems and audits schemes in the clinics).

The steering committee put forward the idea that external auditors should be involved to standardise the stages of maturity with the "external view". Before using the Indicators the reference level has to be defined, i.e. hospital order treatment with the perspective of one clinic (local level) or the ministry (federal state level).

In order to overcome these difficulties members of the project groups suggested some improvement such as:

- to give more assistance for defining qualitative indicators like "trust" (e.g. a (scientific) definition of "trust" or a questionnaire to analyse different aspects of "trust");
- to get additional resources (e.g. external assistance, much time for discussion) for the definition of the indicators;
- to highlight associations between the indicator system and existing management and risk analysis tools.

The suggested improvements above highlight the necessity to involve a pool of multidisciplinary experts for the training of the MIDIR methodology. Experts' knowledge combined with an intensive and active participation of working groups can guarantee an effective understanding and implementation of the MIDIR indicator system.

3 Results of transferability to Poland

The transferability to Poland was characterized by several problems which have led to the failure of the aimed implementation of this case study. Although some contacts to several Polish institutions and/or "forensic" clinics like Regional forensic psychiatry centre in Starogard Gdański (contact: Leszek Ciszewski), Clinic for forensic psychiatry of the School of Medicine in Lublin (contact: Prof. Marek Masiak) and Clinic for forensic psychiatry in Pruszków / Warsaw (contact: Bartosz _oza) were built up during the duration of the project, no one of them led to the possibility of transfer concerning the elaborated concept.

The reasons for this were the following:

It is problematic to involve (especially a public authority) to a project, where no financial resources are allocated for this public authority. This lead to additional work for the already overloaded (concerning the work, that has to be done) staff. For this reason the institutions concentrate on projects/work that is/are worthwhile and provide the institution with money. So, it is not enough to support public authorities with a new concept, which is auspicious and can help them concerning a long-distance-view if there is no financial supporting that allows e.g. to employ additional staff which is responsible for and/or support the project.

Furthermore, the administration – not only of Polish institutions – is a labyrinth of multitude regulations, laws, procedures and responsibilities. It was visible that this anticipates or even avoids decision and cooperation with institutions, if the supervisor (and his/her supervisor etc.) doesn't agree to cooperate or participate in the project. This not given accordance is bound to a lot of reasons. For example concerning the new challenges the project is providing. Here, the challenges are not meant in the positive sense: there exist a lot of uncertainties and ambiguities (new project – new procedures – new regulations – a lot of questions like: "How should it be done?" "What should be taken into account?" "Who is responsible" "Should we make it?" "What is our profit?" etc.). To work with something new, needs time; and time needs money. So, this problem is closely bound to the problem mentioned before.

However, even if there was no transferability to a Polish example the project transferred the concept to other risk settings and risk cultures (e.g. Mountain Risks Project, as described in section 5 "Results of transferability to other risk settings")

4 Lessons learnt from the Italian case study

The Italian case study tested the application of the Indicator System using the case of risks related to on-line selling of drugs in Italy.

The steering committee composed of Italian experts of pharmaceutical field, emphasized the following relevant aspects:

1. Lack of stakeholders' objectiveness in evaluating different indicators;
2. Assignment of different weights to stakeholders;

3. Need of dialogue among involved actors.

1. Depending on the role that stakeholders have in the risk governance process and the kind of risk under consideration, some indicators (and this can happen also for both PART A and PART B indicators) can turn out to be self-referential. In fact, stakeholders, as potential actors in the risk governance process, can have a subjective view of some indicators. In other words, a conflict of interest may occur between stakeholders and some indicators. In fact, if a stakeholder is involved in the risk governance activities monitored by the indicator he will tend to give a positive evaluation for that indicator. For instance, if the stakeholder is involved in an awareness campaign about the seriousness of the health problems linked to the administration of drugs purchased via the non-authorized web distribution channels, he will tend to give a positive value to the indicators which measure the stakeholder involvement in the risk governance process.

2. The risk analysed in the Italian case study involved a widespread number of parties and groups of interest, ranging from authorities of the pharmaceutical and health fields that have a regulatory and active role in the governance process, to associations for the protection of consumers' interests.

The selection of stakeholders and their involvement in the implementation of the MIDIR methodology have to take into account the role of each stakeholder, assigning him a different weight. The steering committee suggested to define some parties "stakeholders", because they regulate the market, while others need to be considered "observers".

3. Stakeholders suggested the confrontation and dialogue among involved actors as a chance to front the illegal online selling of drug items. They suggested the involvement of multidisciplinary experts and an awareness campaign about risk gravity, communication by brochure, poster, Tv and radio spot, school information and a specific communication for different targets.

5 Results of transferability to European level

The transferability to European level involved several European institutions and/or associations in pharmaceutical and health field, like Association of Hospital Pharmacist in Germany (contact: Roberto Frontini), National Association for Studies on Pharmacy in France (contact: Hervé de la Bardonnie), Ministry of Health in Poland (contact: Nikoleta Chojnacka) and Company Chemists' Association in United Kingdom (contact: Rob Darracott).

These organizations, which take part in the steering committee, contributed to test and assess the MIDIR indicator system for the management of risk due to illegal e commerce of drugs, and to develop ideas to improve the MIDIR methodology in the specific risk setting.

In particular, the results of the evaluation of the MIDIR methodology, applied to the case study on risks due to illegal e-commerce of drugs, highlighted the adequateness and relevance of the proposed PART A and B

indicators and related key questions, objectives and possible measuring values.

European stakeholders identified two more relevant indicators Among PART A indicators, that are *Principle* and *Accountability principle* (for more details see Del. 2.2).

Finally, they focussed on the importance of exactly defining the rules of actions and to give clearly defined responsibilities to the actors involved in the governance process.

6 Results of transferability to other risk settings

Beside the transferability to the European level, there are some other possibilities, how the MIDIR concept can be used, transferred and implemented. Here, the aim was to prove, if the approach is also applicable to other risk settings than the already elaborated in context of the MIDIR project. This was aimed due to the overall character of the elaborated approach. Accordingly, the following explanations are the result of this transferability. In the focus are risks concerning natural hazards like floods, avalanches, landslides etc.

One of these transfer-possibilities is the 4-year "**Mountain Risks Project**", a Marie Curie Research Training Network in the 6th Framework Program of the European Commission (started on 1st January 2007). Its focus is research and training in all aspects of mountains hazards and risks assessment and management. This European network intends to develop an advanced understanding of how mountain hydro-geomorphological processes behave and to apply this understanding to living with the hazards in the long-term. This project is characterised by a multitude of participants and partners: it involves 16 partners' institutes throughout Europe, including 10 universities. Moreover, 18 students (PhD and post-doc) are financed by the project.

It is interesting to transfer the MIDIR approach to the case of natural hazards in mountain areas (torrential floods, avalanches, landslides, rockfalls, debris flows) because the actual risk management policies (or even the lack of them) are not adapted to this particular risk setting. Due to the specificities of the environment, it is not possible to apply classical risk management policies in mountainous areas. First, the natural milieu is a significant constraint, pressing on human activities. More than anywhere else, the population has to adapt to its environment. Moreover, a consequent part of the economy is linked with tourism and winter sports. Thenceforth, the question of natural hazards is highly contentious.

The case of natural hazards in mountain areas presents a high degree of ambiguity. The risks are not visible. Experts know there is a risk of landslide, rockfalls, or mudflow, but for the population it is not so evident. Therefore, the strong measures taken against those hazards are not always understood: it is hard to accept constraining decisions when their justification is not clearly visible. Second specificity, most of those hazards are not predictable. Scientists can say when the risk exists, but there is no possibility to know precisely when it will come out. This uncertainty hinders

the decision-making process: decision makers need clear and precise information. This information cannot be provided by science.

Further, the perception of risk is really influenced by cultural aspects (see Del. 1.1). But not only this. It is similar to the case of floods, where the administrative boundaries are not crucial for delineation of the risk. So, a cooperation and coordination of different regions or even countries increasingly grows. Here, a further problem is seen: A lack of trust in decision-makers impedes the acceptance of those policies by the public. But this – as mentioned before – is the prerequisite for a successful dealing with (mountain) risks. However, it is difficult to handle, especially because the assessment of risk is also hindered by the different perceptions of risk among society: scientists, decision-makers or affected population have a completely different understanding of a risk situation. How to manage it? This is a difficult question which should be answered. Concerning the management, there exist a further problem: the unbalanced communication between stakeholders, as already mentioned in previous deliverables (e.g. Del. 1.1). Public authorities have a moral (and in some cases legal) obligation to inform about the existing risks and the current related decisions. But there is no guideline about what information they should offer. Most of the population is not interested in the technical aspects of risk-related decision, they want concrete and plain answers to their concerns: “how can this risk influence my daily life?”, “what can or shall be done to facilitate “living with risk”?”. And here the “trust” plays a crucial role.

Moreover, the “communication” between scientists and population is suffering from deep misunderstandings. Indeed, the precise and sharp language of scientists is a source of ambiguity¹. For instance, what scientists regard as “acceptable risk” can be perceived by the population as intolerable by the population. It has been proved that the data provided by experts as percentage or probability of occurrence were not understood correctly. This problem in communication leads to a distrust in risk management. People won’t accept decisions related with a risk they don’t understand, they don’t want to endure strong measures taken against a risk they don’t see.

One aspect is – in regard to this – clear: risk management policies could be better accepted and less criticised if people felt involved in the decision-making process. This question is addressed by the MIDIR approach, therefore it was decided to transfer to the Mountain Risks project, because – as already mentioned – this problem is also visible in the case of risks in the mountain areas. The approach is used for a sub-project entitled “Embedding risk governance principles in assessment and management of mountain risks” and is applied to assess the “level of governance” in the different processes, from risk assessment to decision making and application of decided measures.

¹ as explained in “Analyse de la transmission au public des connaissances sur les risques sanitaires liés au traitement des déchets. Propositions d’améliorations, D. Forestier, 2004, not published (available at Ecole Nationale de la Santé Publique, Rennes, France)

For that purpose three case study areas have been chosen in France, Germany and Switzerland. They have been selected in order to allow a comparison between different political systems and different management policies. The scale chosen is equivalent of the European NUTS² 3 level: "département" in France, "Kreis" in Germany, and "canton" in Switzerland. Due to the low amount of persons willing to get involved in the study, it has been decided to extend the areas in France and in Switzerland to two "départements" and two "cantons". So, finally, the case studies are:

- "départements" Alpes-de-Haute-Provence and Hautes-Alpes, in France ;
- "Kreis" Oberallgäu, in Germany;
- "cantons" Vaud and Valais, in Switzerland.

The structure of the case study is as such:

- identify relevant stakeholders, come into contact with them, present the project;
- pass a first series of questionnaire about governance in the daily practices of risk-related activities;
- analyse the results of the questionnaires and point out good and weak points;
- think with stakeholders about possible ways to improve weak points, and implement related actions;
- pass a second series of questionnaire, assessing evolution of the situation.

For each case, relevant stakeholders have already been identified (geological survey, administration) and contacted.

The implementation of the MIDIR concept is currently suffering of a significant delay. The main reason is the difficulty to find motivated partners when there is no material gain to offer.

Also the Project "*Raumentwicklungsstrategien zum Klimawandel*"³ (duration: 2008- 2009) on behalf of the BMVBS⁴/BBR⁵ is an opportunity to test and transfer the MIDIR approach. The project focuses on climate change and its effects to almost all political, economic and social areas; but also concerning spatial planning (especially adaptations of spatial planning to the new challenges). It is obvious, that climate change (adherent with an expected increase of extreme events) is a risk, that is characterised by a high uncertainty. The uncertainty is seen in the problems to define the impacts of climate change, because these effects differ according to the regions. This means, that some regions bear more (serious) consequences than other due to hazards like floods, mass movements but also (economic) consequences due to the resulted changes in e.g. agriculture, energy industry, tourism and mobility. These are reasons why an adaptation and limitation of the consequences are needed. A possibility for this is the

² Nomenclature des unités territoriales statistiques, Nomenclature of Territorial Units for Statistics

³ Spatial development strategies concerning climate change

⁴ Bundesministerium für Verkehr, Bau und Stadtentwicklung

⁵ Bundesamt für Bauwesen und Raumordnung

development of medium- and long-term concepts, which include (preventative) measures. But this is not enough. A tool is needed to measure the performance concerning this topic. And here, the MIDIR approach can be applied.

Another possibility to transfer the MIDIR approach is a proposal under evaluation in DG Environment dealing with linking civil protection and planning by agreement on objectives (involved countries Germany, Greece and Italy). It is visible, that current prevention of risks caused by natural hazards is fragmented – among others – between civil protection and spatial planning. But response to hazards influenced by climate change has to adapt to new challenges of uncertainty on an expected increase of extreme events. This calls for more flexibility and better coordination of response strategies by integrating the response-preparedness-prevention-remediation (RPPR-) chain. The aim of the project is to bridge spatial, functional as well as operational gaps and divergence in approach, competence and perspective between civil protection, spatial planning and other administrations in charge of prevention by a collaborative process with concrete results to make measures and actions of risk prevention and mitigation efficient, effective, strategically aligned and sustainable. Here, the MIDIR approach can support the measurement of the performance in the field of cooperation between different sectors and sectoral planning.

7 Changes/amendments/adjustments to the MIDIR risk governance methodology

The experiences made during the runtime of the project supported the idea of the used methodology. But not only the support was visible, also the proof for the elaborated concept was evident. The transferability of the concept into different risk settings – as already mentioned, the concept was not only transferred to the asked risks “forensic” and “e-commerce” but also to other risk settings (as described before) – as well the multitude of discussions with audience (during meetings, conferences, round tables etc.) leads to the conclusion, that the results of the project are able to be used in different risk settings as well as different risk cultures, after some small adjustments of the indicators/measuring values as well as classifications. These will shortly be presented in the following chapter after some summing-up of the lessons learnt through the runtime of the project.

Especially some comments should be done, which were highlighted during the work on the Multidimensional Integrated Risk Governance Concept?

Stakeholders are the key-actors in dealing with risks, so a proper attention has to be paid to the selection and involvement of them. This – beside the inclusion of decision makers – and/or the multitude of the involved stakeholders was seen by the German and Italy case study stakeholders as a prerequisite for an effective work as well as trust building concerning the risk process. But it is not easy to handle this involvement (due to e.g. multitude of actors/interests, conflicts etc.). For this purpose regulations or guidelines should be elaborated. These guidelines should take into account the role of each stakeholder into the risk governance process, allowing to distinguish between “stakeholders”, that regulate the risk governance

process actively, and “observers”, that have a more passive role. Such a method – not as a guideline in narrow sense – was offered by the elaborated concept: the MIDIR approach provides strategies to manage risks, to improve risk governance and support stakeholders collaboration, i.e. to build a “risk community”.

Further: the experiences in the Italian and German case studies highlight the necessity to involve a pool of multidisciplinary experts with a deep scientific and practitioner knowledge in risk, dialogue, community participation, resilience, public management and governance, that assist the risk governance managers during the implementation of the MIDIR methodology, in particular for the definition of qualitative indicators.

Nevertheless, a collaboration and collective learning led to essential work to effective results as well as effective risk governance. Here, the importance of the communication between scientific community, public and policy makers – as a two way dialogue – was visible.

The elaborated approach offers a new strategy of risk governance and ensures continuous risk governance. But it has to be asked, if it is useful for every day life practice? The problem was, that the approach is something new and the practitioners need time to learn how to deal with it. Some of the stakeholders underlined, that although the theory was well prepared, the practical realisation was problematic. The reason was the abstractness and the generality of the approach. Here should be added, that this generalization of this approach was necessary to manage it across different concepts. The work with indicators belongs not to the routine of a lot of stakeholders, so an explanation of indicators to a non-scientific public is difficult task but the use of a questionnaire – as elaborated for the Italian case study – can facilitate this risk. However a support (also in form of a “facilitator”) is needed for the stakeholders. Nevertheless: the experiences made through the runtime of the project approve it after some adjustments; e.g. simplifying the electronic collection of information, which was seen as too complicated to work with in daily practise. Further: although the concept is transferable, it is important to take the cultural background and ways into account (there are some differences in handling with risks provided by the cultural background); this is also valid for including stakeholders.

A further aspect is the time. Especially the discussion about values needs time and this is not always available; especially if the staff is overloaded with work and priority is given to other topic (seen in the problem of transferability to the Polish case study).

The most important observation for all participants (stakeholders, experts, scientists and practitioners) was, that safety needs systematic approach, time and dialogue.

However, as mentioned before, the concept is transferable. But: it is necessary to take some aspects into account, if an organisation or institution wants to implement this concept into the own system.

- The elaborated concept should be used only as a mask; the concrete animation of it is the responsibility of the adequate authority;

- The used indicators and measuring values as well as the classification have only an exemplary function; also here the concrete animation of it is the responsibility of the adequate authority; here, the indicators and measuring values should be filed with specific and case-related contents and its elaboration should be supported by discussions and dialogue with "appropriate" stakeholders;
- It is important to improve the dialogue through the whole process between the (responsible) stakeholder groups and community members about the given topic and the management of risks; a possible methodology to involve the stakeholders is the "interest analysis" described in the Del. 1.2; the aim is an active participation of all stakeholders;
- When working with stakeholders, it is a prerequisite to use the language of the stakeholders respectively the end-user, e.g. no scientific language; this will avoid misunderstanding and lost of trust. Very close to this topic is the use of examples. It should be tried to use an appropriate form of presentation. This will support the understanding of this what will be transmitted to the end-user. It should be kept in mind: if the concept will be adjusted and used (used and adjusted) as well the indicators should be elaborated/adapted, it is necessary to involve the public in an appropriate way;
- To make it clear, what the aim is, it should be tried to be as concrete as possible; a list of questions to every key-indicator makes it easy for the stakeholders to understand the topic.

For further information see MIDIR-Brochure "MIDIR – Multidimensional Integrated Risk Governance – A comprehensive and scalable approach to governance for: resilience, sustainability and performance monitoring of organisations and networks", available at www.midir.eu

8 Conclusion

Considering the results of case studies and transferability, described in the previous chapters, as well the discussions with audience (during meetings, conferences, round tables etc.), it can be summarized that the elaborated methodology is appropriate for a successful risk governance process.

The successfulness of the MIDIR methodology is supported by results of test cases, implemented during the project. But not only the support was visible, also the proof for the elaborated concept was evident. The transferability of the concept into different risk settings – as it becomes evident from the report the concept was not only transferred to the risks "forensic" and "e-commerce" but also to other risk settings – leads to the conclusion, that the results of the project are able to be used in different risk settings as well as different risk cultures, after some small adjustments of the indicators/measuring values as well as classifications.

However, the implementation of the methodology requires several guidelines to be followed in order to ensure a successful risk governance process.

First of all, a pool of “appropriate” stakeholders, that assist the risk governance managers in the elaboration of indicators and measuring values, is required.

Secondly, regulations for a proper selection and involvement of stakeholders are needed, taking into account the role that each of them have into the risk governance process.

Finally, it is necessary to involve community members by using a more common (non-scientific) language and more concrete examples in order to have an active participation of the public in the risk governance.