

Recommendations on Public Participation in Decision-making in Environmental Matters

These Recommendations have been prepared under the auspices of the Task Force on Public Participation in Decision-making of the Aarhus Convention. They have been developed at the request of the Meeting of the Parties to the Aarhus Convention following calls over several years from officials and stakeholders at the ground level for more practical guidance on how to implement the Convention's provisions on public participation in decision-making.¹

The Recommendations set out in this document are non-binding, non-exhaustive and are not the only means of complying with the Convention.

The Recommendations may assist some Parties in considering how they may implement the provisions of the Convention. Given the wide range of circumstances in different Parties' territories, specific recommendations may not be appropriate in every case; adherence to any or all of the recommendations is not a necessary condition for compliance with the Convention.

The Recommendations are intended as a practical, user-friendly tool to improve the implementation of the Convention's provisions on public participation in decision-making in two key ways:

- (i) To assist Parties when designing their legal framework on public participation in environmental decision-making under the Convention.
- (ii) To assist public officials on a day-to-day basis when designing and carrying out public participation procedures on environmental decision-making under the Convention.

The Recommendations provide helpful guidance on all elements of articles 6, 7 and 8 of the Convention and especially how to address a number of key challenges identified to date including by the Aarhus Convention Compliance Committee concerning those articles' implementation. They are not primarily intended as an aid to interpretation of the Convention,² but rather as a tool through which to share expertise and good practice thereby helping Parties to implement the Convention on the ground.

In addition to providing assistance to Parties to the Aarhus Convention and their officials, it is hoped that the Recommendations may also be of value to nongovernmental organizations and international forums involved in decision-making in environmental matters. They may also be of interest to Signatories and other interested States not party to the Convention as well as officials and stakeholders engaged in public participation in decision-making under the scope of other multilateral environmental agreements.

¹ Decision EMP II/1, paragraph 2(c); Activity III of the Workplan 2012-2014 adopted through decision IV/6.

² For guidance on interpreting the Convention's obligations, see the Aarhus Convention Implementation Guide (ECE/CEP/72), second edition forthcoming.

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I. General recommendations

Definitions

1. The usage of the terms “public authority”, “environmental information”, “the public” and “the public concerned” in these Recommendations accords with their respective definitions in article 2 of the Convention.
2. For the avoidance of doubt:
 - (a) “public authorities” includes all persons coming within the definition of article 2, paragraph 2, of the Convention, including persons or bodies, other than the authority competent to take the decision, to which some tasks related to a public participation procedure are delegated;
 - (b) “the public” includes, as well as natural or legal persons, their associations, organizations or groups in accordance with national legislation or practice. The most inclusive definition of “the public” would be that based on the “every person” principle. Under the “every person” principle, any natural or legal person and any association, organization or group, regardless of its status in national law, is to be considered amongst “the public” for the purposes of article 2, paragraph 4 of the Convention. If it is not intended that every association, organization or group of natural or legal persons regardless of its status in national law, is to be included as “the public”, those that are to be considered as coming within that definition should be clearly specified in national law.
 - (c) “the public concerned” includes non-governmental organizations promoting environmental protection and meeting any requirements under national law. To ensure the framework for public participation is as transparent, clear and consistent as possible, the following should be clearly specified in national law:
 - (i) What constitutes “having an interest in” environmental decision-making
 - (ii) The requirements, if any, which NGOs promoting environmental protection must meet in order to be deemed to have an interest. In keeping with the objectives of the Convention, such requirements, if any, should not be too restrictive.³

Designing a public participation procedure

3. Public participation in environmental decision-making enhances the quality and the implementation of decisions. Through granting the public the opportunity to express its concerns and requiring public authorities to take due account of those concerns, it furthers the accountability and transparency of environmental decision-making and strengthens public

³ Preambular paragraph 15 of the Convention

support for the decisions taken. In the process, it contributes to greater awareness amongst both the public and public authorities of environmental issues.

4. For the above reasons, public participation should be seen by all parties as a prerequisite of effective action, not merely as a formal procedural requirement. To this end, public participation should be fully incorporated into the decision-making process on all decisions subject to the Convention.
5. When designing the legal framework for decision-making for a decision or activity subject to the Convention, the framework should be:
 - (a) Based on the principles of partnership, non-discrimination, equity and good faith;
 - (b) Ensure the most comprehensive, broad and effective public participation possible in light of the:
 - (i) Nature of the decision or activity;
 - (ii) Number and characteristics of the public concerned;
 - (c) Allow for revision to reconsider past conclusions on the basis of new information.
 - (d) Designed bearing in mind that any reduction from existing rights of public participation may be perceived as not in line with the objectives of the Convention.⁴
6. In order to establish and maintain a clear, transparent and consistent framework to implement the provisions of the Convention, the public participation procedure for a decision subject to the Convention should be designed in such a way that both public authorities and the public know precisely:
 - (a) The decisions to be taken at each stage and who is competent to take them;
 - (b) The procedures to be used at each stage;
 - (c) The range of options to be discussed and decided at each stage, bearing in mind that the process should also be open enough to accommodate any new options introduced as a result of the public participation;
 - (d) The underlying assumptions and uncertainties in the decision-making procedure;
 - (e) The possibilities for the public to participate in decision-making at each stage;⁵
 - (f) The time-frames for each task/stage, the extent they can reasonably be predicted in advance;
 - (g) The roles of the different persons/entities involved in the decision-making, including who is responsible for the various tasks and stages (for example, notifying the public, making information available, organising hearings, organising the collection and collation of comments, considering all comments received, making the decision in light of the comments received, preparing the response document and the statement of reasons etc.) and their contact details;
 - (h) The costs, if any, for the public to participate. To ensure effective public participation, the general rule should be that there will be no fees or charges on the public seeking to participate.
 - (i) How a review of a decision once made may be sought, including a review of the final decision.⁶
7. There is no specific set of tools or techniques that constitute “best practices” for all contexts. Rather, the most appropriate techniques will be situation-dependent, and practices may need to be adapted to changes that occur during the process. To this end, public authorities should, as a matter of course:
 - (a) Monitor the process to evaluate how well it is working. Public authorities should, in a transparent manner, establish criteria to aid them in their monitoring. The outcomes of the monitoring should be made available to the public;

⁴ ECE/MP.PP/C.1/2005/2/Add.4, para. 18; ECE/MP.PP/C.1/2012/7, para. 46.

⁵ ECE/MP.PP/2008/5/Add.6; ECE/MP.PP/2008/5/Add.10; ECE/MP.PP/2011/11/Add.3.

⁶ ECE/MP.PP/2008/5/Add.6; ECE/MP.PP/2008/5/Add.10; ECE/MP.PP/2011/11/Add.3

- (b) In the light of the above monitoring, revise or adapt the procedure, including the choice of tools and techniques, if needed to address deficiencies in the public participation process. In that case, the public concerned should be notified of any significant changes to the public participation process.
 - (c) As an additional good practice, after the decision-making process is concluded, evaluate the public participation procedure to identify what might be done to ensure more effective public participation in such processes in the future.
8. In addition to the public participation procedures specified in the Convention, public authorities may find it useful to involve NGOs or other members of the public with relevant expertise in advisory or decision-making bodies related to the decision-making procedure. To this end:
- (a) Such persons may serve in their personal capacity or as representatives of the public concerned or relevant stakeholders. In the latter case, those persons should be selected through a transparent, democratic and representative procedure ensuring that they are accountable to their constituencies and fully transparent about the constituency they represent. Persons with financial interests in the possible outcome of the decision-making should not be permitted to play this role.
 - (b) Any involvement of NGOs or other members of public in such bodies must be effective rather than formal, i.e. they should have a real possibility to influence the decisions of such bodies.
 - (c) The involvement of NGOs or other members of the public should not exempt them from voicing their opinion in later stages of decision making.
 - (d) The involvement of NGOs or other members of the public in advisory or decision-making bodies cannot be a substitute for the participation of the wider public.
9. When designing a public participation process the name or label given to a decision in domestic law is not decisive in determining how that decision should be categorized under the Convention. Rather, such categorizing should be determined by the decision's legal functions and effects.⁷

As both public authorities and the public have limited time and resources, tailoring the tools and techniques to the nature of the decision and its context will help to ensure that public authorities and the public are able to dedicate more attention to those decisions with more significant environmental impacts or affecting a greater number of people while at the same time avoiding so-called "participation fatigue".

With respect to the selection of the most appropriate tools and techniques for public participation:

- For activities of high environmental significance or affecting a large number of people, more formalised and elaborated procedures may be most appropriate to ensure effective public participation. For example, in addition to opportunities for the public to submit written comments, public enquiries (more formal), public debates or public hearings (less formal) with submission of formal evidence and possibility for cross-examination, may be held.
- For activities with less significant environmental effects or affecting only a small number of people, access to all relevant information and the opportunity to submit written comments and to have due account taken of these may be sufficient.

With respect to the legal effects of the public participation process, this may range from a requirement on the competent public authority to take into account the outcomes of a consultation process to a right for the public to make the decision itself:

- Depending on the nature of the decision and its surrounding circumstances, consultation with the public coupled with taking due account of the outcomes of that consultation, may be sufficient.

⁷ ECE/MP.PP/C.1/2006/4/Add.2, para. 29.

- In some other cases (for example those with the potential for very significant environmental effects or affecting a large number of people), it may be useful to provide the public with a co-decision power (for example by delegating the competence to conduct the relevant decision-making procedure) or even with the exclusive decision-making power (by way of deciding upon certain activities by referendum at national, regional or local level as appropriate).

Carrying out a public participation procedure

10. When carrying out a public participation procedure, public authorities should do so with:
 - (a) Clarity of purpose. Both the competent public officials and the public should know the goal of the process. They should also be aware of the framework conditions and parameters for the public participation process, including which decisions, if any, have already been taken and which facts (technical requirements or legal provisions) are unchangeable;
 - (b) An appropriately high level commitment, made publicly, to use the process to guide their actions;
 - (c) Adequate funding and staff;
 - (d) Sufficient time-frames for all stages of the public participation procedure, including for taking due account of the outcomes of the public participation;
 - (e) Due consideration for the needs and abilities of the members of the public concerned in the decision-making;
 - (f) A commitment to accountability, self-assessment and learning from experience.
11. If in the course of the decision-making process, significant new information comes to light or circumstances change in some significant way, the public concerned should have a further opportunity to participate before the decision is taken. Depending on the new information or circumstances, this may require the decision-making process to be “rewound” to re-open options already closed, and in particular if necessary for the protection of the environment. For the avoidance of doubt, the submission of revised EIA or SEA documentation is one example of a circumstance requiring the public concerned to be provided with a further opportunity to participate, unless the revisions are of a very minor procedural nature only or their revision is the reason for the public participation in the first place.
12. Notwithstanding paragraph 9 above, in order to establish and maintain a clear, transparent and consistent framework, care should be taken to ensure that the name or label used for each decision subject to article 6, 7 or 8 accords with the legal nature of that decision in the applicable legal framework.⁸

Public participation on the “zero option”

13. The public should have a possibility to provide input/comments and have due account taken of them, at an early stage of decision-making when all options are open, on whether the proposed activity should go ahead at all (the so-called “zero option”). Failing to do so would not be compatible with the Convention’s requirement for the public to have an opportunity to participate when all options are open.⁹ This recommendation has special significance if the proposed activity is a technology not previously undertaken in the country and which is of high

⁸ ECE/MP.PP/C.1/2006/4/Add.2, para. 29

⁹ ECE/MP.PP/2008/5/Add.6; ECE/MP.PP/2008/5/Add.10; ECE/MP.PP/2011/11/Add.3.

risk and/or unknown potential environmental impact. If the only opportunity for the public to provide input into the decision-making on whether to commence use of the technology is at a stage when there is no realistic possibility for the country not to proceed, then this would not be compatible with the Convention.¹⁰

14. With respect to decision-making subject to the Convention, steps should be taken to ensure public authorities do not enter agreements and/or take regulatory or non-regulatory decisions, e.g. issue any preliminary or partial consents or permits, that would practically foreclose certain options without providing for public participation in accordance with the Convention.¹¹

Complex decision-making

15. The framework for public participation should correspond to the framework for decision-making which may involve various consecutive strategic decisions under article 7 or 8 of the Convention (policies, plans, programmes, legislation/regulations) and various individual decisions under article 6 of the Convention (for example authorizing the basic parameters and location of a specific activity, its technical design, mitigation measures and finally its technological details related to specific environmental standards as applicable to the activity in the selected location). While the competent authority may have certain discretion as to the range of options to be addressed at each stage of the decision-making, at each stage where public participation is required, it should be provided early in the procedure, when all such options are open and effective public participation can take place.
16. The framework for public participation in complex decision-making may reflect the concept of tiered decision-making whereby at each stage of the decision-making certain options are discussed and selected with the participation of the public, and each consecutive stage of decision-making addresses only the issues within the option already selected at the preceding stage. However, irrespective of how the framework for decision-making is structured, the public should have a possibility to discuss, at an early stage of the entire decision-making, the nature of and need for the proposed activity at all (the so called “zero option”).
17. When determining which of the multiple decisions in a complex decision-making process should be subject to public participation under the Convention, the following criteria may be taken into account. The extent to which:
 - (a) The decision in question “permits” the activity in question;
 - (b) The parameters for the proposed activity set by the decision are environmentally relevant and significant;
 - (c) The parameters of the proposed activity set by the decision foreclose the options to be considered at later stages;
 - (d) The decision may change environmentally significant parameters set by a preceding decision which required public participation;¹²
 - (e) The activity, by virtue of its nature, size or location may affect or be of interest to a significant number of people;
 - (f) The proposed activity will require a large commitment of public funds (e.g. medium to large infrastructure projects);
 - (g) The implementation of the activity, plan, programme, policy or legal instrument requires the decision to be taken in cooperation with those affected and interested;
 - (h) The decision, in order to be effective, requires particularly broad comprehension and acceptance;
 - (i) High quality results are sought.

¹⁰ ECE/MP.PP/2008/5/Add.6, para 74

¹¹ ECE/MP.PP/C.1/2009/4/Add.1, ECE/MP.PP/C.1/2010/4/Add.2

¹² ECE/MP.PP/2008/5/Add.10

Delegating responsibility for public participation

18. While the responsibility for carrying out public participation should in general be assigned to the public authority which is competent to take the respective decisions, in certain situations this may not provide for the most effective public participation, for example:
- (a) Where the competent public authority is a central body located far away from the intended location of the proposed activity and this may hinder the public concerned from effectively participating, for example, from inspecting all relevant documentation and/or attending hearings;
 - (b) Where the competent public authority has an interest in the outcome of the decision, including where it acts (either itself or through an entity under its control) as a promoter (developer) of the project. In cases where the competent authority is also the promoter, it is recommended that responsibility for carrying out the public participation is always delegated to another impartial body;
 - (c) Where the proposed activity is so controversial and/or so complicated that the public participation should be carried out by an impartial body highly experienced in carrying out such processes.
19. If, in situations such as those set out in paragraph 18 above, the legal framework seeks to delegate any administrative tasks related to a public participation procedure, to persons or bodies other than the competent authority, it should borne in mind that:
- (a) The ultimate responsibility for ensuring the public participation process complies with the requirements of the Convention will still rest with the competent authority;
 - (b) If delegating tasks related to a public participation procedure, the legal framework should clearly specify:
 - (i) the distribution of tasks between the various entities;
 - (ii) the obligation of the entity being delegated to report to the competent authority with respect to the completion of the delegated tasks;
 - (c) While developers (project proponents) may hire consultants specializing in public participation, neither the developers themselves nor the consultants hired by them can ensure the degree of impartiality necessary to guarantee proper conduct of the public participation procedure in compliance with the Convention. Therefore, giving the developers (project proponents) sole responsibility for organizing the public participation, including for making available the relevant information to the public and for collecting comments, would not be compatible with the Convention. This should not be read as entirely excluding the involvement of developers, overseen by the competent public authority, in the organization of the public participation procedure. For example, the developer may be required to:
 - (i) Notify the public in line with article 6, paragraph 2, or at least to pay for some of the costs of such notification (e.g. notices in the press or on television); or
 - (ii) Assist in the organization of public hearings; or
 - (iii) Pay a special fee or fees to cover the costs related to public participation; or¹³
 - (iv) Provide relevant information to the public regarding the proposed activity and respond to questions from the public about the public participation process, e.g. regarding preparations for the public hearing;
 - (d) Arrangements requiring or encouraging developers to enter into public discussions before applying for a permit are in accordance with article 6, paragraph 5, provided that such arrangements are in addition to a mandatory public participation procedure meeting the requirements of article 6.
20. If the legal framework seeks to delegate administrative functions other than those set out in paragraph 19 (c) (i)-(iv) above, it should ensure that the persons or entities it seeks to delegate to

¹³ ECE/MP.PP/2011/11, para. 85.

are impartial and do not represent any interests related to the proposed activity subject to the decision-making. Such entities might include:

- (a) Other public authorities, for example a central authority may delegate such tasks to the local authority in the location of the proposed activity; or
 - (b) Bodies or persons, whether public or private, specialising in the organization of public participation, for example planning inspectors or commissions d'enquête publique, or specialising in mediation.
21. Alternatively, responsibility for organising public participation may in part be delegated or commissioned to members of the public concerned themselves (including NGOs promoting environment protection) provided:
- (a) Those members of the public are widely considered to act in the public interest and are able to carry out the tasks delegated to them in a equitable and non-discriminatory manner, paying heed to issues of gender, faith, age, disability, poverty, etc;
 - (b) Those members of the public voluntarily consent to undertake the tasks proposed to be delegated to them. This does not exclude the possibility that those person's may receive remuneration for performing those tasks; and
 - (c) The public participation procedure is carried out in a manner that fully meets the requirements of article 6 and the public concerned has access to a review procedure to challenge the substantive or procedural legality of those persons decisions, acts and omissions in accordance with article 9, paragraph 2; and
 - (d) A lack of members of the public volunteering to undertake the tasks proposed to be delegated to them does not release the competent public authorities from their obligation to organize the public participation procedure in accordance with article 6 of the Convention;
22. Possible tasks that might be delegated to members of the public concerned might include:
- (a) Notifying the public (article 6, paragraph 2),
 - (b) Making all relevant information accessible (article 6, paragraph 4),
 - (c) Organizing public hearings (article 6, paragraph 7),
 - (d) Collecting and collating comments (article 6, paragraph 7).
23. Legal provisions allowing the public to organise the public participation process (for example the possibility in some countries of the Eastern Europe, the Caucasus and Central Asian region for the public to undertake so-called "public expertiza") should be considered as supplementary measures and not as the only measure to implement the requirements of the Convention.¹⁴

Defining and identifying the public which may participate

24. To ensure that the legal framework for public participation in environmental decision-making is implemented in a transparent, clear and consistent manner, guidance should be provided to public authorities to assist them to identify the public which may be affected by, or may otherwise have an interest in, a given decision-making procedure. To this end, when identifying the public concerned with respect to a proposed activity, the competent public authority should ensure that:
- (a) The various groups of stakeholders to be considered, as a minimum, among the public concerned with respect to the proposed activity are clearly specified. This is a key issue to ensure effective public participation in accordance with the Convention;
 - (b) The public concerned includes a wide range of interests, ensuring a well-balanced and inclusive involvement of the public. Many decisions with an environmental dimension also involve social and economic interests, and the corresponding interest groups should be included in the public participation in an equitable way;

¹⁴ ECE/MP.PP/2011/11/Add.2

- (c) Efforts are made to include critical voices, as far as they contribute constructively, because they will voice their opinion anyway and it will make for a more efficient and effective procedure to include them in the discussion at an early stage;
- (d) Special care is paid to identifying those who could potentially hinder the transparency and balanced nature of the decision-making process, for example strong lobby groups or those with a special relationship to the decision-makers;
- (e) Special attention is also paid to identifying groups that are hard to reach for different reasons:
 - (i) Some members of the public can be willing but unable to participate (e.g. vulnerable and/or marginalized groups such as children, older people, women in some societies, migrants, people with disabilities, those with low literacy, language barriers, economically disadvantaged groups, those without access to internet, television or radio, etc.);
 - (ii) Others may be able to participate but unwilling (e.g. people with previous bad experiences, lack of time, see no benefits in participating, etc.);
 - (iii) At a minimum, efforts should be made to involve organizations representing such groups.
- (f) The list of possible public concerned is not a closed one. Other members of the public with an interest in the decision-making may put themselves forward to participate and should be able to do so.

Participation of the public concerned from other countries

25. The environmental impacts of activities subject to the Convention may occur across national borders. In accordance with the requirement in article 3, para. 9, of the Convention, the public must have the possibility to participate in decision-making under the Convention without discrimination as to citizenship, nationality or domicile.¹⁵ To this end:
- (a) The legal framework should not contain anything that discriminates against the public from other countries participating in decision-making in the country of origin that may affect them;
 - (b) Steps should be taken to put in place arrangements with other countries, in particular with neighbouring or downstream countries or those with shared natural resources (whether within existing agreements on transboundary cooperation or on transboundary impact assessment or otherwise) to facilitate the reciprocal participation of those countries' public in decision-making under the Convention that may affect them. This could use existing systems of transboundary consultation or not. It may be on an ad hoc basis or in the form of a permanent mechanism or mechanisms to facilitate the participation of the foreign public concerned in environmental decision-making. Such arrangements may cover:
 - (i) Time-frames for public participation. The time-frames for public participation that involves a transboundary element should be at least as long as those that do not involve a transboundary element, to account for cultural and communication problems. The timescale for public participation should begin when the relevant documents become available to the public concerned in the affected country, not when they are made available by the country of origin to the affected country;
 - (ii) Mechanisms for notifying the public about the commencement of the decision-making procedure, their possibilities to participate, and in due course, about the decision taken and their possibilities to have access to review procedures;
 - (iii) The translation of documents and interpretation during meetings. While it may not be possible to translate all relevant documents at once, the timescale for the public to examine the documentation and submit their comments should start afresh each time that a newly translated document becomes available.
 - (c) Regional and/or local authorities should be encouraged to make similar arrangements with their counterparts in neighbouring or downstream countries or countries with shared natural resources.

¹⁵ See also article 3, para. 7, of the Protocol on Strategic Environmental Assessment.

- (d) In addition and without prejudice to the above arrangements, internal arrangements should be put in place to facilitate the participation, without discrimination, of the foreign public in public participation procedures under the Convention. Such arrangements may include:
- (i) Making accessible on the internet as much information as possible in the main language(s) used by the public concerned in those countries potentially affected (e.g. neighbouring or downstream country/countries).
 - (ii) Waiving visa fees and expediting visa processes to enable the public concerned from the neighbouring or downstream country to enter the country of origin to examine all information relevant to the decision-making and to take part in any hearings that may be held.
 - (iii) Using video- or tele-conferencing to enable the foreign public to participate.
26. In determining whether the foreign public, including NGOs promoting environmental protection, have an interest in a particular environmental decision-making procedure, the public should be treated at least as favourably as the public from the country of origin.¹⁶ Similarly, the public concerned from an affected country should have access to a review procedure under article 9 on the same footing as the the public from the country of origin.
27. If either the competent public authority or the public from an affected country consider that that public has an interest in a particular environmental decision-making procedure, but the public authorities of the affected country refuse to participate in the decision-making process, the country of origin may nevertheless provide opportunities for the public of the affected country to participate, using means that will not constitute an interference with domestic affairs of the affected country. For example, through those means set out in paragraph 25(d)(i)-(iii) above.

Individual notification

28. To ensure adequate and effective notification of the public concerned, public authorities may wish to establish mechanisms whereby members of the public interested in a particular decision-making process or in all decision-making processes of a particular type may request to receive timely individual notification of a decision-making procedure. This may include, at their request, members of the public or NGOs promoting environmental protection (whether from the country of origin or a potentially affected country) including those not necessarily located in the geographical area of the decision-making. Such mechanisms might include electronic mailing lists and automatic notifications connected to electronic databases.

Practical arrangements to support public participation

29. Practical arrangements to facilitate effective public participation should be put in place where appropriate. For example:
- (a) Local public authorities and/or public institutions (e.g. schools or public libraries) may be required to assist regional and/or central authorities in carrying out, with due compensation where appropriate, certain functions related to public participation (for example making available documentation for inspection; assisting in organising public hearings or providing the venue);
 - (b) Measures may be taken to facilitate the public's access to information relevant to the decision-making (for example, by providing the public with access to information for the least possible cost, such as by making copies of requested documents available free of charge, and by expediting time-frames for accessing information);

¹⁶ Article 2, para. 6 of the Espoo Convention

- (c) Schemes may be established to support, financially or otherwise, the public to participate (for example, to assist with travel costs or arrangements for the public concerned to prepare for and attend public hearings; to provide technical or legal support to assist the public to engage effectively with the participation process).

Evaluation and research on public participation practices

- 30. Public authorities designing and carrying out public participation procedures should, to the extent feasible and appropriate, invest in social science research to inform their practice and build broader knowledge about public participation. Routine, well-designed evaluation of public participation efforts can make an important contribution to ensuring more effective public participation processes in the future.

II. Public participation in decision-making on specific activities (article 6)

Applying article 6, paragraph 1 (a)

- 31. In applying article 6, paragraph 1 (a) of the Convention, the following is recommended that:
 - (a) Where one operator carries out several activities falling under the same subheading of annex I in the same installation or on the same site, the production capacities or outputs of those activities be added together;¹⁷
 - (b) References to threshold values “per day” in annex I be read as per twenty-four hour period beginning and ending at midnight;
 - (c) Capacities or outputs indicated in annex I be read as capacities or outputs technically possible and/or legally permitted and not capacities or outputs planned to be achieved;¹⁸
 - (d) Paragraph 20 of annex I to the Convention be read to encompass any activity subject to an environmental impact assessment procedure (EIA) requiring mandatory public participation under national legislation by reason of international law (e.g. activities covered by annex I to the Espoo Convention), supranational law (e.g. annex I projects and those annex II projects included by way of categorical screening under the EU EIA Directive) or an independent national determination;
 - (e) If domestic legislation requires the carrying out of a procedure that includes all the basic elements of an EIA procedure, without it being named as such, the de facto EIA process be considered an EIA for the purposes of paragraph 20 of annex I;¹⁹
 - (f) Those activities listed in annex I of the Convention for which no thresholds are set (e.g. nuclear power stations, chemical installations, installations for incineration or landfill of hazardous waste, etc.) be subject to article 6, paragraph 1 (a), regardless of their size;²⁰
 - (g) By virtue of the first sentence of paragraph 22 of annex I, any change to or extension of an activity listed in annex I of the Convention for which no threshold is set be likewise subject to the requirements of article 6, para. (1)(a), regardless of their size.

Applying article 6, paragraph 1 (b)

¹⁷ Guidance on Interpretation and Implementation of the IPPC Directive, http://ec.europa.eu/environment/air/pollutants/stationary/ippc/general_guidance.htm

¹⁸ Guidance on Interpretation and Implementation of the IPPC Directive, http://ec.europa.eu/environment/air/pollutants/stationary/ippc/general_guidance.htm

¹⁹ ECE/MP.PP/C.1/2010/4/Add.1

²⁰ ECE/MP.PP/2011/11/Add.3

32. Article 6, paragraph 1 (b), of the Convention requires a mechanism to be established within the legal framework to determine whether a decision on a proposed activity which is not listed in annex I may yet have a significant effect on the environment and thus require public participation in accordance with the requirements of article 6. The mechanism for such a determination may be related to the system of EIA or may be independent from it, or a mixture of both approaches may be applied.
33. Irrespective of whether the above determination is related to the EIA procedure or not, the recommended first step is to identify all activities which potentially may have an effect on the environment. Such activities may include:
- (a) Any activity which under national legislation requires an environmental permit or licence (such as noise permits, waste permits, permits for logging, authorisations for culling or disturbing animals, water permit for discharge of water or for water intake, fishing permits, export or import permits for endangered species, etc.);
 - (b) Any other activity subject to an individual screening under national law. For example:
 - (i) Changes to or extensions of activities within the scope of the second sentence of paragraph 22 of annex I to the Convention;
 - (ii) Activities subject to individual screening for environmental assessment (for example, annex II activities under the EIA Directive) or biodiversity assessment (for example, activities subject to article 6.3 of the Habitat Directive) ;
34. Following the identification of all activities that potentially may have an effect on the environment, a determination must then be made as to which of those may have a “significant effect” and therefore require public participation in accordance with article 6, paragraph 1(b). The mechanism for this determination may take the form of:
- (a) Deeming particular types of decisions concerning certain types of activities to be subject to public participation in accordance with the provisions of article 6 (the “list” approach, as used in annex I of the Convention); or
 - (b) Requiring public authorities to make such a determination through a case-by-case examination (the “case-by-case” approach); or
 - (c) A mixture of both above procedures.
35. If the legal framework requires public authorities to make the determination under article 6, paragraph 1 (b) through a case-by-case examination:
- (a) The legal framework should establish a list of clear criteria against which such a determination should be made;
 - (b) These criteria should include the criteria used in the legal framework:
 - (i) To test for significance in environmental assessment (for example, the criteria listed in annex 3 to the Espoo Convention); and
 - (ii) To decide which of the multiple decisions of a complex decision-making process require public participation (see paragraph 17 above).
36. The determination should be subject to review under article 9 at the request of the public concerned.²¹

Applying article 6, paragraph 1(c)

37. Article 6, paragraph 1(c), is not a mandatory provision. Public authorities that seek to use this provision should bear in mind that the provision requires a determination that a proposed activity both:
- (a) Serves national defence purposes; and
 - (b) The application of the provisions of article 6 would have an adverse effect on these purposes.

²¹ UN document reference forthcoming (ACCC/C/2010/50 (Czech Republic))

38. Such a determination should be made within a clear, transparent and consistent framework, either through establishing and maintaining:
- (a) A list of activities and criteria that if a public authority determines in a particular case are met may be deemed to fulfil the above requirements;
 - (b) A legal mechanism for a case-by-case determination of whether the above requirements are met based on criteria set by law;
- It is recommended that in either case, the grounds for exemption in article 6, paragraph 1(c) should be interpreted in a restrictive way, taking into account the public interest in ensuring effective public participation in decisions affecting the environment.

Adequate, timely and effective notification (article 6, paragraph 2)

39. The legal framework should expressly stipulate that the public concerned be informed in an adequate, timely and effective manner, so that public authorities have clear guidance as to the timing, content and quality of notification, in particular when they have certain discretion as to how notification is to be carried out.²²

Adequate notification

40. The notification of the public should adequately address all matters listed in article 6, paragraph 2, (a) to (e) accurately, in sufficient detail and in clear language. In particular:
- (a) With respect to article 6, paragraph 2 (d) (ii):
 - (i) The opportunities for the public to participate and the time-frames regarding those opportunities;
 - (ii) As a good practice, an overview of the public participation process could be prepared and attached to the invitation for public participation. It is recommended that the overview:
 - (1) Provide information about the opportunities for the public to submit comments and the method(s) by which they can be submitted (orally or in writing, electronically, etc);
 - (2) Include a summary of the most important information relevant to the decision-making (e.g. the EIA);
 - (3) Be coordinated with all public authorities involved in the public participation process so as to ensure that those aspects under the competence of other authorities are included also;
 - (b) With respect to article 6, paragraph 2 (d) (iv), the precise contact details of the body or person(s) from whom relevant information can be obtained and precise information about where and when it is available for examination;
 - (c) With respect to article 6, paragraph 2 (d) (v):
 - (i) The precise contact details of the body or person(s) to which comments or questions can be submitted;
 - (ii) The time schedule for transmittal of comments or questions, recalling that the time schedule should, in accordance with article 6, paragraph 3, provide a reasonable time-frame, inter alia taking into account that the means of notification used may have an impact on the timing for the notification effectively to reach the public concerned (for example, publication in the government's official notification database, though the database is publicly accessible, may not constitute effective notification for most members of the public who do not check such databases on a daily basis);

²²ECE/MP.PP/2008/5/Add.10; ECE/MP.PP/2008/5/Add.6, para. 91.

- (d) With respect to article 6, paragraph 2 (vi), the notice should indicate which particular information will be made available in accordance with article 6, paragraph 6. It should also make clear that access to this information will be available for examination free of charge. While not all information must necessarily be detailed in the notification, as a minimum it should include the application to permit the proposed activity and its main attachments, including EIA documentation if any, and should also briefly outline the other types of information to be made available;
- (e) With respect to article 6, paragraph 2(e), a good practice for those activities subject to article 6 that are not subject to any national or transboundary EIA procedure, is to inform the public concerned in a timely and effective manner either of the results of the EIA screening or - if the activity was not subject to such a screening – of the nature and results of any other procedure applicable to the activity.
41. To assist the public concerned identify notices that may be relevant to them, it is recommended that the title of any written notice state the proposed activity, the nature of the proposed decision, and the proposed geographical location(s).
42. More generally, to ensure that the public concerned is informed in an adequate manner, and recalling article 3, para. 2 of the Convention, public authorities should ensure that officials have the knowledge and ability to deliver effective outreach to the public concerned.
43. If the legal framework delegates the task of notification to a third party, for example, the developer, it should require the third party to report on a timely basis to the competent public authority regarding who was notified, regarding what, when and how.

Timely notification

44. The requirement for informing the public in a “timely” manner should be seen in the context of the obligation to provide “reasonable time-frames” (article 6, para. 3) and “early public participation, when all options are open and effective public participation can take place” (article 6, paragraph 4).
45. The various forms of written notification should be disseminated to the public concerned on the same date. If this is not feasible, the time-frames for the public to participate should be calculated from the latest date that written notification is disseminated and would effectively reach the public concerned.

Effective notification

46. The requirement for the public to be informed in an “effective manner” means that public authorities should seek to provide a means of informing the public which ensures that all those who potentially could be concerned have a reasonable chance to learn about the proposed activity and their possibilities to participate.²³ What will constitute “effective notification” must therefore be determined on a case-by-case basis, taking into account the particular situation in each case.
47. Public authorities should ensure that the notification and all accompanying information remains available to the public throughout the entire public participation procedure so that members of

²³ ECE/MP.PP/2008/5/Add.6

the public learning of the procedure later in the process still have access to all relevant information in order to participate effectively.²⁴

48. Care should be taken to ensure that, where more than one means of notification is used, the information provided in the various forms of notification is consistent.
49. In order to ensure adequate and effective notification, the legal framework should provide the possibility for repeated notifications, for example:
 - (a) When there is some doubt that the public concerned has been notified effectively, e.g. if there are complaints from the public concerned to that effect;
 - (b) When the proposed activity will entail more than one decision that requires public participation under article 6 (see also paras 15-17 above);
 - (c) When significant new information comes to light or the circumstances change in some significant way necessitating the public to be provided with a further opportunity to participate. This includes significant new information of a procedural nature, for example, the time and venue of the public hearing, if the public has not previously been informed of this;
 - (d) When there is additional information which could not be provided with the original notification regarding the commencement of the procedure and which, in accordance with article 6, paragraph 2 (d), should be provided as and when it can be.

Methods of notifying the public

50. When designing obligations concerning methods of informing the public, it should be ensured that:
 - (a) The methods chosen are tailored to reach as many as possible of the public concerned, in particular as many as possible of those in the immediate vicinity of the proposed activity or its environmental effects;
 - (b) As a good practice, at least three different means of notifying the public are used;
 - (c) Language issues are addressed;
 - (d) Members of the public, including environmental NGOs, who have requested in advance to be notified are so notified and distribution lists are kept up to date.
51. As a minimum, public notice should be placed (i) in a public place in the immediate vicinity of the proposed activity (e.g. on a prominent fence or sign-post on each road leading to the site of the proposed activity, etc.) and (ii) on a public notice-board and website homepage of the public authority competent to take the decision. It is recommended to supplement this notice with at least two other forms of notification, including as appropriate:
 - (a) Public notice in the mass-media (radio, television and newspapers corresponding to the geographical scope of proposed activity (national, regional and local));
 - (b) Public notice in places highly frequented by the public concerned and customarily used for the purpose (e.g. notice-boards in community halls, bus stops, post offices, commercial centres, local parishes, schools, kindergartens, sport halls, sport fields, meeting places for marginalised groups, etc.);
 - (c) Public notice on the notice boards and websites of all local authorities in the area potentially affected;
 - (d) Public notice through social media (e.g. Facebook, Twitter, blogs). This is particularly useful for notifying younger members of the public who may not be reached by more traditional forms of media.
52. If one of the chosen ways of informing the public about its possibilities to participate is via the local press, effective notification would be more likely met by choosing the newspaper with the

²⁴ ECE/MP.PP/C.1/2009/8/Add.1

largest circulation.²⁵ It will also likely be more effective to publish notification in a popular daily local newspaper rather than in a weekly official journal.²⁶

53. It should be recalled that some sections of the population, for example rural populations in some areas, cannot read or write or may not have regular access to the Internet.²⁷
54. Notification through the notice-boards or website of the project proponents (whether a private or public entity) should be considered only as a supplementary means. For the avoidance of doubt, such notification can not substitute for notification on the notice-board and website of the public authority competent to take the decision.
55. Journalists' articles commenting on a project in the press, internet or television, may be very useful as a supplementary means of informing the public. However, they do not in themselves constitute public notice for the purposes article 6, paragraph 2, of the Convention and cannot replace it.²⁸
56. In addition to members of the public who have requested in advance to be notified of the decision-making procedure, individual notification may be useful for those members of the public who are identified as having special interests (e.g. those known to have legal interests or those living in the immediate vicinity).

Reasonable time-frames to inform the public and for the public to prepare and participate effectively (article 6, paragraph 3)

57. When designing the legal framework for public participation, it should be recalled that as a general principle that the requirement to provide "reasonable time-frames" in article 6, paragraph 3:
 - (a) Means "reasonable" from the point of view of the public seeking to prepare for and participate effectively in the public participation procedure;
 - (b) Should take into account, inter alia, the nature, complexity, size and potential environmental effects of the proposed activity.²⁹ Thus, a time-frame which may be reasonable with respect to a small simple project may well not be reasonable in the case of a major complex project or one with potentially very significant environmental impacts;
 - (c) Should take into account generally applicable administrative time-frames in the country (e.g. time-frames for making an information request and appealing a refusal).
58. The different phases of a public participation procedure for which reasonable time-frames are required include:
 - (a) Informing the public concerned about the commencement of the procedure (article 6, para. 2);
 - (b) Enabling the public concerned to become acquainted with the documentation (article 6, para 6). This period should be long enough to allow the public to request additional information in accordance with article 4, paragraph 1 and paragraph 2 that it considers may be relevant to the decision-making on the proposed activity;
 - (c) Enabling the public to submit any comments, information, analyses or opinions that it considers relevant (article 6, para 7). In setting this time-frame, the way in which comments may be submitted should also be borne in mind. For example, if comments are to be submitted

²⁵ ECE/MP.PP/2008/5/Add.6

²⁶ ECE/MP.PP/2011/11/Add.1, para.70

²⁷ ECE/MP.PP/2011/11/Add.1, para.70

²⁸ ECE/MP.PP/2011/11/Add.2

²⁹ ECE/MP.PP/2008/5/Add.6, para. 69.

- by post in writing, the effective deadline will be several days earlier than the end of the time-frame to allow for delivery;
- (d) Considering the comments, information, analyses or opinions submitted by the public (article 6, para. 8);
 - (e) Taking the final decision, taking due account of the outcome of public participation (article 6, para 8):
 - (i) Preparing the statement of reasons and considerations on which the decision is based;
 - (ii) Preparing the text of the decision;
 - (f) Notifying the public of the decision, together with how the public may access the text of the decision and the statement of reasons and considerations on which it is based (article 6, para 9).
59. With respect to the setting of time-frames for the various phases of public participation procedures, the legal framework may:
- (a) Set fixed time-frames for each phase; or
 - (b) Set minimum time-frames; or
 - (c) Adopt a flexible approach whereby the public authorities responsible for a particular public participation procedure are responsible for setting time-frames appropriate to the circumstances of that case.
60. A flexible approach has the advantage of enabling public authorities to set time-frames for the public participation procedure that take into account factors such as the nature, complexity, size and potential environmental effects of the proposed activity. However, it potentially leaves public authorities with absolute discretion in setting time-frames, which could result in uncertainty and inconsistency. Thus, if the flexible approach is to be used, the applicable legal framework should specify, for each phase of the public participation procedure, either a maximum or minimum time-frame depending on which will better facilitate public participation in that phase. For example:
- (a) The setting of a minimum time period is generally more suited to the phases of the public participation procedure that the public performs (for example preparing and submitting comments);
 - (b) Conversely, the setting of a maximum time period is generally more suited to the phases of the public participation procedure which the public authority must perform (for example the consideration by public authorities of comments submitted by the public). The setting of a maximum time-frame for the public to submit comments, regardless of how long the maximum time-frame is, runs the risk that, in individual cases, time-frames might be set which are not reasonable;
61. If the legal framework specifies fixed time-frames, it should, as a minimum, set two scales of time-frames: one scale for proposed activities subject to mandatory EIA procedure (i.e. those deemed to have significant environmental impact) and a shorter scale for proposed activities whose environmental impact is identified by screening.
62. If the legal framework specifies minimum time-frames, the legal framework or accompanying guidance should make clear that they are genuinely minimum time-frames from which the setting of longer time-frames is not only possible but in fact recommended for proposed activities with more significant environmental impacts (e.g. those subject to mandatory EIA procedure) or those affecting a large number of people.
63. The legal framework should provide clarity as to the calculation of the various time-frames, which should be expressed in clear terms. For example:
- (a) Wherever possible, the terms used to express time-frames should be in keeping with those customarily used in national legislation;
 - (b) If time-frames are expressed in days, it should be clear whether those are calendar days or working days, and the approach adopted should be consistent throughout the legal framework;

- (c) The beginning and end date of time-frames should be calculated with care, taking into account public holidays. For example, if the end date of a given time-frame would fall on a public holiday, the following working day should be used;
- (d) While “days” are most suitable to express shorter time-frames, longer time-frames may be expressed in “weeks” or “months”;
- (e) Wherever possible, the main holiday seasons (e.g. mid-summer, late December) should be avoided as times for holding public participation procedures.

Some examples of good and bad practice with respect to the time-frames for the different phases of public participation procedures include:

- A period of ten working days for the public to inspect the documentation, including the EIA report, and to prepare to participate in the decision-making process concerning a major landfill, does not meet article 6, paragraph 3’s requirement for reasonable time-frames.³⁰
- A period of 20 days for the public to prepare and participate effectively cannot be considered reasonable if the period includes days of general celebration in the country.³¹
- In contrast, a period of approximately six weeks for the public to inspect the documentation and prepare itself for the public inquiry and a further 45 days for the public to submit comments, information, analyses or opinions relevant to the proposed activity (the construction of a waste incinerator) would meet the requirements of the Convention.³²
- A legal framework that provides for a minimum of 30 days between the public notice of the decision-making procedure and the start of public consultations is a reasonable time-frame, so long as the minimum period is extended as necessary taking into account, inter alia, the nature, complexity and size of the proposed activity.³³

Early public participation when all options are open (article 6, paragraph 4)

64. In the case of complex decisions, if a tiered decision-making approach is used (see para 16 above), in order to ensure early and effective public participation when all options are open:
- (a) There must be at least one stage in the decision-making process when the public has the opportunity to participate effectively on whether the proposed activity should go ahead at all (the so-called “zero option”) (see also para 13 above); and
 - (b) In addition, at each stage of a tiered decision-making process, the public should have the opportunity to participate in an early and effective manner on the full range of options under consideration at that stage.
65. A good practice in applying the requirement for early public participation when all options are open is to provide the public the opportunity to participate in both the screening and scoping stages of the EIA procedure, when those issues to be considered as important for further examination are being identified.

³⁰ ECE/MP.PP/2008/5/Add.6, paras. 69-70.

³¹ ECE/MP.PP/C.1/2009/8/Add.1, para. 90

³² ECE/MP.PP/C.1/2009/4/Add.1

³³ ECE/MP.PP/2011/11/Add.2, para. 89.

66. “When all options are open” may be read as “when any option could still be chosen as the preferred option”. Some examples of when all options could no longer be considered open include:
- (1) When funding has been provided for a component of some options but not others (e.g. funding for a road that would facilitate development in a particular area);
 - (2) When a higher-level decision effectively precludes some options or identifies a preferred option (e.g. a national policy to promote a form of development that is in some options but not others);
 - (3) When a public announcement of a preferred option has been made even though the plan or programme has not yet been adopted; or
 - (4) When a key politician has promised to constituents that they will pursue or avoid particular options;
 - (5) When a public authority has concluded contracts or agreements with private parties related to a decision subject to the Convention which would have the effect of foreclosing options without providing for public participation.³⁴
67. While providing public participation at the very early stages of the procedure (for example at the screening and scoping stages in the EIA procedure or, in a number of countries of Eastern Europe, the Caucasus and Central Asia, at the stage of the OVOS procedure (during which the public participate in the process of developing the project documentation by the developer) is to be welcomed as a good practice, it should be recalled that such an opportunity for the public to participate must be supplemented with opportunities to participate also at the later stage when all the relevant information/documentation has been gathered/prepared and the public authorities are in a position to take the final decision.

Encouraging prospective applicants to engage with the public concerned (article 6, paragraph 5)

68. Guidance to assist prospective applicants to identify the public concerned, to enter into discussions and to provide information regarding the objectives of their application before applying for a permit, should be incorporated into the legal framework.
69. While legal provisions requiring prospective applicants to enter into dialogue with the public concerned before applying for a permit are to be encouraged, they are supplementary to the public participation procedure to be carried out by the competent public authority.
70. Measures should be taken to ensure that such dialogue provides accurate and reliable information and does not amount to manipulation or coercion.

Access to all relevant information (article 6, paragraph 6)

71. Access to all relevant information is a prerequisite for effective public participation.
72. The information provided should be balanced. It should present different aspects of the topic and avoid any manipulation. Subject to article 4, paragraphs 3 and 4, access should be provided to all expert opinions relevant to the decision-making.
73. Barrier-free access to information should be provided. Potential barriers that should be avoided include:
- (a) The information is too complicated or too technical;

³⁴ ECE/MP.PP/C.1/2009/8/Add.1, para.119

- (b) It is not in a language that the public concerned (including where relevant ethnic minorities or migrants) can understand;
 - (c) The presentation of the information is of poor quality (i.e. difficult to read or hear);
 - (d) It is not located in convenient locations or available at convenient times or for a long enough period;
 - (e) There is too much redundant information making it difficult for the public promptly to access the relevant information; or
 - (f) The information is not accurate or reliable (e.g. it contains inconsistencies).
74. Both the information provided and the means of communication should be tailored to the target groups. In addition to the full original documentation, non-technical summaries of, as a minimum, the EIA documentation and permit documentation should be made available to the public.
75. Practical measures to facilitate effective public participation should be considered, e.g. the use of electronic tools. For example, public authorities may wish to establish and maintain user-friendly websites where the public can find information about the proposed activity, access relevant documents online and submit electronic comments about the proposed activity. Such websites may also, inter alia, include a list of environmental organizations recognized as parties in a procedure according to the relevant legislation.

Access for examination

76. In order to facilitate effective examination by the public concerned of all information relevant to the decision-making the information should at a minimum be accessible for examination:
- (a) In the seat of the competent public authority;
 - (b) If feasible, electronically, e.g. via a publicly accessible register with a user-friendly search function and an accessible archive for the most important documents from past processes;
 - (c) If the seat of the competent authority is located far away from the place of activity (e.g. more than two hours away by public transport), the information should in addition be made available at a suitable easily accessible location(s) in the vicinity of the proposed activity;
 - (d) During usual working hours on all working days throughout the entire period of the public participation procedure. In addition, the competent public authority should consider how to make the information available to members of the public who cannot access it during usual working hours (e.g. due to their own working hours).
- The various locations and as a good practice, their opening hours, for the public to access the information should be specified in the notification under article 6, paragraph 2 (d) (iv).

77. In accordance with article 3, paragraph 2, measures should be taken to ensure that officials and authorities assist and provide impartial guidance to the public in examining the information relevant to the decision-making, for example explaining the information and its relevance to the decision-making. Public authorities may request the applicant and/or consultants hired by them (for example EIA consultants) to assist with this task.

Access free of charge

78. There should be no charge for the public to have access to examine the information relevant to the decision-making and in particular, no charges for requesting or conducting a search.

Copies at no more than a reasonable charge

79. In accordance with article 4, paragraph 8, the public should be able to receive copies of information upon request, at no more than a reasonable charge or for no charge at all.³⁵ Public authorities intending to make a charge for copying information should make available, in advance and in a prominent place, a schedule of charges which may be levied.
80. Public authorities may wish to consider providing copies of documents free of charge in cases where it is justified by the nature of the documentation (e.g if it is voluminous), the activity in question (e.g particularly sensitive issues), or the public concerned (e.g. members of the public for whom attending the location where the information is available free of charge would be difficult).
81. In accordance with article 4, paragraph 1(b), the public should be able to receive copies of the information in the form requested (e.g. in digital or paper form), unless it is reasonable for the public authority to make it available in another form or the information is already publicly available in another form.
82. The public should be allowed to make copies onsite using their own means of copying, free of charge, including taking digital photographs of relevant documentation.

As soon as it becomes available

83. All information relevant to the decision-making should be made available for examination by the public concerned:
 - (a) As soon as it becomes available to the public authorities, at whatever stage in the decision-making procedure that may be, and
 - (b) Should remain available for examination by the public concerned throughout the entire public participation procedure (see para **Error! Reference source not found.** above).
84. As a good practice, all information relevant to the decision-making should be held by the competent public authority prior to the commencement of the public participation procedure. This is to ensure that members of the public participating early in the procedure are able to participate on a fully informed basis. If further information becomes available during the public participation procedure, this fact should be clearly flagged in all places where the information is accessible to the public (e.g. on the website, electronic database or paper file). In accordance with article 6, para. 7, members of the public who may have already participated prior to the additional information becoming available, may of course submit further comments etc. in light of the new information.
85. The legal framework may envisage that certain information relevant to the decision-making may be made available directly by the applicants and/or consultants hired by them (for example EIA consultants). However, this should be considered as a supplementary arrangement and does not displace the requirement on the competent public authorities to provide the public concerned with access to all the information relevant to the decision-making.³⁶

All information relevant to the decision-making

86. All information relevant to the decision-making that is available to the public authorities (save for information exempted from public disclosure in accordance with article 4, paragraphs 3 and

³⁵ ECE/MP.PP/C.1/2009/8/Add.1

³⁶ ECE/MP.PP/2011/11/Add.2

- 4) should be made available to the public concerned regardless of its quality and regardless of whether it is considered to be accurate, comprehensive and up-to date.³⁷
87. This includes raw data from monitoring stations, even if not yet validated or made available in its final form.³⁸ Should the authority have any concerns about disclosing the data, they should provide the raw data and advise that they have not been processed in accordance with the official procedure for processing raw environmental data. The same applies for processed data, in which case the authorities should advise on how the data was processed and what it represents.³⁹
88. Public authorities should consider establishing a set of minimum information which is to be considered to be relevant to all decision-making under article 6, para. 6, and to which the public should have access for examination as a matter of course. For example:
- (a) The full application for the decision to permit the proposed activity;
 - (b) All attachments to the application required by law. For example:
 - (i) The full EIA report;
 - (ii) All relevant maps;
 - (iii) All relevant certificates;
 - (iv) All opinions issued by other public authorities or other statutory consultees.
 - (v) Previous permits for the same activity;
 - (vi) Previous decisions on fines, obligations, suspensions, refusals of permit application with respect to the project applicant;
 - (vii) All comments, information, analyses or opinions submitted by the public in written form or submitted orally and recorded by public authorities.
89. In addition, without prejudice to the exemptions from disclosure contained in article 4, paragraphs 3 and 4, the minutes, transcripts or recordings from any public hearings held with respect to a decision to permit an activity covered by article 6 should be considered as information relevant to the decision-making.

Without prejudice to the right to refuse to disclose certain information

90. While article 6, paragraph 6, expressly permits the exemptions from disclosure provided in article 4, paragraphs 3 and 4, of the Convention, when designing and implementing the legal framework for article 6 decisions, the following should be taken into account:
- (a) If information is relevant to decision-making, then there is a strong presumption that it is also in the interest of the public seeking to participate in that decision-making to have access to that information. Thus, the grounds for refusal set out in article 4, should be interpreted in a restrictive way, taking this public interest into account;
 - (b) Any decisions to exempt certain information from disclosure should themselves be clear and transparent and give reasons for non-disclosure;⁴⁰
 - (c) In accordance with article 4, paragraph 6, if information exempted from disclosure under article 4 can be separated out without prejudice to the confidentiality of the information exempted, public authorities should make available the remainder of the information relevant to the decision-making;

³⁷ ECE/MP.PP/2008/5/Add.6

³⁸ UN document reference forthcoming (!! HYPERLINK
["http://www.unece.org/env/pp/compliance/Compliancecommittee/53TableUK.html"](http://www.unece.org/env/pp/compliance/Compliancecommittee/53TableUK.html) ¶ ACCE/C/2010/53[±]
 (United Kingdom))

³⁹ UN document reference forthcoming (!! HYPERLINK
["http://www.unece.org/env/pp/compliance/Compliancecommittee/53TableUK.html"](http://www.unece.org/env/pp/compliance/Compliancecommittee/53TableUK.html) ¶ ACCE/C/2010/53[±]
 (United Kingdom))

⁴⁰ ECE/MP.PP/2008/5/Add.7.

- (d) If circumstances change over time, so that the exemption from disclosure would no longer apply, the information should be made available to the public as soon as it is no longer confidential;
- (e) Disclosure of documents prepared especially for the decision-making procedure, including in particular EIA reports, in their entirety should be considered as a general rule;
- (f) For the avoidance of doubt, as a minimum, the public shall have access to all the information listed in article 6, paragraph 6 (a)-(f).

Procedures for the public to submit any comments, information, analyses or options that it considers relevant (article 6, paragraph 7)

91. The right to submit comments, information, analyses and opinions in article 6 paragraph 7 of the Convention is granted to ‘the public’ and not to the ‘public concerned’, which means that any public hearing or enquiry held under article 6, paragraph 7, should also be open to the public generally; the public is entitled to submit any comments, information, analyses or opinions that it considers relevant to the proposed activity:
- (a) Free of charge;
 - (b) Without undue formalities.
- For the avoidance of doubt, it is for the member of the public to decide whether those comments, etc. are relevant to the proposed activity.

92. The public is not required to provide:
- (a) Proof of residence, citizenship, or domicile;
 - (b) Any evidence as to its sources of information or any justifications or reasoning for its views. However, although there is no legal requirement for the public to provide evidence or reasons for its views, public authorities may consider encouraging members of the public to do so on a voluntary basis, explaining that reasons may assist the public authority to gain a deeper understanding of the comments or opinions submitted.

Written submissions

93. Clear procedures should be established for the submission of written comments that enable such comments to be submitted:
- (a) Within the entire period of time envisaged for public participation, including before, at or after any public hearings that may be held;⁴¹
 - (b) In electronic form without undue formalities regarding electronic signature.
94. Comments, information, analyses or opinions submitted by the public may be submitted either to the public authority competent for the decision-making or to an appropriate impartial body acting under the direction of that authority. If the latter approach is used, that body should collate all comments, etc. received and deliver them in their entirety to the competent public authority, not only in an aggregated form.⁴² As a good practice, an acknowledgement should be promptly sent to each member of the public submitting comments etc. to confirm safe receipt.

Oral submissions

⁴¹ ECE/MP.PP/C.1/2011/6/Add.1

⁴² ECE/MP.PP/C.1/2011/6/Add.1

95. A public hearing or enquiry should be held when merited by:
- (a) The scale of the activity and/or its potential impact;
 - (b) The size of the affected population;
 - (c) The controversial or high profile nature of the activity, recognising however, that this often may not be known until the public has had an opportunity to present its views;
 - (d) A need to investigate witnesses;
 - (e) A need to provide cross-examination of conflicting views.
96. More than one public hearing or enquiry should be held when merited by:
- (a) The geographical scope of activity;
 - (b) The scope or location of the public concerned;
 - (c) New facts or evidence coming to light after the first hearing.
97. The procedures for the hearing or enquiry should:
- (a) Be clear, transparent and publicised sufficiently in advance to enable the public to prepare and participate effectively;
 - (b) Provide fair opportunities for all participants to be heard;
 - (c) Envisage sufficient time to hear from all major interests involved;
 - (d) Provide an appropriate balance between time devoted to the provision of necessary background information and time devoted to questions and discussion;
 - (e) Allow the public to express its views without having to have legal representation;
 - (f) Allow opportunities for the public to:
 - (i) Distribute written statements and corroborating evidence;
 - (ii) Present evidence through the testimony of witnesses.
 - (g) Require a register to be kept of all participants attending the hearing or enquiry.
98. The procedures for the hearing may envisage:
- (a) To enable public authorities to provide appropriate facilities, the pre-registration of participants wishing to:
 - (i) Speak;
 - (ii) Use technical means;
 - (iii) Distribute written materials;
 - (iv) Present evidence through witnesses;Care should however be taken to ensure that pre-registration does not present a barrier to participation (including if the registration form could present a barrier to those without literacy skills) and participants who have not pre-registered to speak should still be allowed to take the floor;
 - (b) Time-limits for taking the floor.
99. Public hearings or enquiries:
- (a) Should be notified sufficiently in advance so that the public is able to prepare to participate effectively;
 - (b) Should be organized in a convenient location for the public concerned to attend and in a venue that is suitable for the purpose;
 - (c) Should be organised at a time that is suitable for the public concerned to attend (e.g. after business hours, outside holiday season);
 - (d) May be recorded and, if appropriate in the light of the nature or significance of the proposed activity, transmitted live by television or internet.
 - (e) In addition to the physical hearing, may if feasible be supplemented by technologies such as audio or video-conferencing to enable members of the public who cannot physically attend the hearing to participate.
100. The minutes of the public hearing or enquiry:
- (a) Should be circulated to all those who made oral submissions for their review and comments regarding the accuracy of the recording of their submission within a reasonable specified time;

- (b) May be prepared on a rolling basis during the hearing and made available at the end of the hearing by using technical means.

101. In addition to public hearings or enquiries, other inter-active forms of public participation may be used (e.g. informal public discussions and seminars, bilateral consultations with NGOs and other experts, consensus conferences, round-table discussions, stakeholder dialogues and citizens' juries, multi-optional decision-making, expert environmental evaluation by the public, etc).

Taking due account of the outcome of public participation – scope of obligation (article 6, paragraph 8)

102. Legal frameworks for public participation in decision-making should take into account the following:

- (a) As the right to submit views is granted under article 6, paragraph 7, to “the public” therefore the obligation to take due account of the outcome of the public participation must be understood as covering equally the comments, etc. submitted by “the public” and those submitted by “the public concerned”;
- (b) The process for taking the comments, information, analyses or opinions of the public into account should be fair and not discriminatory.⁴³

103. So long as the comments, information, analyses or opinions submitted are within the ambit of the relevant decision and competence of the relevant public authority, that authority must seriously consider all such comments, etc. received, regardless of whether:

- (a) Their purpose is to protect private or public interest;
- (b) They relate to environmental concerns or not (e.g. economic analyses);
- (c) They are reasoned or not. Though there is no legal requirement for the public to provide reasons, members of the public should be encouraged to so do as reasons may assist the public authority to gain a deeper understanding of the comments or opinions submitted.

104. A legal framework which places the obligation to take due account of the outcomes of public participation on the project applicant and where relevant, its EIA/OVOS consultant, without envisaging similar obligations for the competent public authorities would not be in compliance with the Convention.⁴⁴

Some countries have developed guidance on what taking “due account” means in practice. For example:

- In 2008, Austria’s Council of Ministers adopted Standards on Public Participation to assist government officials, which inter alia state that “‘Take into account’ means that you review the different arguments brought forward in the consultation from the technical point of view, if necessary discuss them with the participants, evaluate them in a traceable way, and then let them become part of the considerations on the drafting of your policy, your plan, your programme, or your legal instrument.”⁴⁵

Evidence of taking due account of the outcome of public participation

⁴³ ECE/MP.PP/C.1/2005/2/Add.2.

⁴⁴ ECE/MP.PP/2008/5/Add.6, ECE/MP.PP/C.1/2011/6/Add.1.

⁴⁵ Standards of Public Participation (2008; adopted by the Austrian Council of Ministers on 2 July 2008), page 13, available at http://www.unep.org/env/pp/pppeg/Austria_pp_standards.pdf

105. With respect to evidence of taking due account of the outcome of the public participation, the obligation to take 'due account' under article 6, paragraph 8, should be seen in the light of the obligation in article 6, paragraph 9, to 'make accessible to the public the text of the decision along with the reasons and considerations on which the decision is based'. This means that the statement of reasons accompanying the decision should include a discussion of how the public participation was taken into account. The legal framework should therefore include a clear requirement that the statement of reasons include, as a minimum:
- (a) A description of the public participation procedure and its phases;
 - (b) All comments received, identifying clearly which comments have been accepted in the final decision and which not and why not;
 - (c) How the comments received have been incorporated into the decision.⁴⁶
106. The statement of reasons should be published together with the final decision.
107. To assist the preparation of the statement of reasons, it can be helpful to draw up a table where the comments received and the ways in which they have changed the draft are documented. If some comments were not taken on board, the reasons why they have been rejected should also be set out in the table. This is a good method when many comments are received, because similar arguments can be clustered in the table.
108. In addition to the discussion in the statement of reasons of how the views of the public were taken into account, as a good practice, the legal framework may include a requirement that public authorities reply to each submission individually, explaining how it was taken into account and if not why not.
109. A lack of adequate evidence demonstrating how the outcomes of the public participation have been taken into account may be treated as a significant violation of the legal requirement to take due account giving rise to the quashing of the respective decision.
110. In addition to the written documents demonstrating how comments were taken into account, in the case of decisions with particularly significant environmental impacts or affecting a large number of people, public authorities may wish to hold a meeting with those who submitted comments, to discuss the comments and to explain which arguments will be taken on board and which will not be included and why not. Minutes should be kept of the meeting and made publicly accessible.

Prompt notification and access to the decision (article 6, paragraph 9)

Scope of obligation

111. The legal framework should include clear obligations on the competent public authorities:
- (a) To inform the public promptly about:
 - (i) The decision that has been taken;
 - (ii) How to access the text of the decision together with the reasons and considerations on which it is based;
 - (b) To prepare a statement of reasons summarising the reasons and considerations on which the decision is based;
 - (c) To keep and make available for public inspection the text of the decision along with the statement of reasons and considerations on which it is based on a long term basis.
112. A lack of a clear requirement in the legal framework :
- (a) For the public to be informed promptly of the issuance of the decision; or

⁴⁶ ECE/MP.PP/C.1/2009/8/Add.1, para.100.

- (b) For the public to be informed promptly as to how they may have access to the text of the decision along with the reasons and considerations on which it is based; or
 - (c) For the competent public authority to prepare a statement of reasons; or
 - (d) For public authorities to keep the files of the decision, including statement of reasons, in a publicly accessible place;
- will amount to a failure to comply with the requirements of article 6, paragraph 9.⁴⁷

Public access to the text of the decision

113. The word “decision” in article 6, paragraph 9 means:
- (a) a decision to permit a proposed activity that was subject to public participation procedures under article 6 of the Convention;
 - (b) both the decision which is still subject to review procedures and any final decision which is not subject to review.
114. The requirement in article 6, paragraph 9, for the text of the decision to be made accessible to the public includes also all conditions included in or attached to the decision.
115. Article 6, paragraph 9, does not require the text of the decision itself to be published in the mass media. However, it requires that the public is promptly informed of the decision and how they may access the text of the decision together with the reasons and considerations on which it is based.⁴⁸

Informing the public “promptly”

116. Whatever time period for informing the public about the decision is specified in the applicable legal framework, it should be reasonable bearing in mind the relevant time-frames for initiating review procedures under article 9, paragraph 2.
117. The fact that the public may be able to access the decision on a proposed activity subject to article 6 through an electronic database does not satisfy the requirement of article 6, paragraph 9, of the Convention, if the public has not been promptly and effectively informed of that fact.⁴⁹

In accordance with “appropriate procedures”

118. While article 6, paragraph 9, leaves some discretion to those designing the applicable legal framework regarding the choice of “appropriate procedures” for promptly informing the public of the decision, the methods used to notify the public concerned under article 6, paragraph 2, may also be used here, bearing in mind, however, that under article 6, paragraph 9, the right to be informed is granted to “the public” and not to “the public concerned” only (see recommendations on article 6, paragraph 2 above).
119. As regards where the final decision may be accessed, a good practice would be to make it available at all locations where the public could have access to examine the information relevant to the decision-making could be made (see para 76 above). In addition, if feasible, the final decision may be made available electronically, for example via a publicly accessible register with a user-friendly search engine.

⁴⁷ ECE/MP.PP/2011/11/Add.2, para.98.

⁴⁸ ECE/MP.PP/2008/5/Add.6, para. 81.

⁴⁹ ECE/MP.PP/C.1/2006/2/Add.1, para. 31

120. The term “appropriate” should be read in the light of the requirement to ensure access to justice under article 9, paragraph 2. To this end, it should be ensured that:
- (a) The public is informed in an adequate, timely and effective manner, bearing in mind the relevant time-frames and other requirements for initiating review procedures under article 9, paragraph 2, of the Convention;
 - (b) As a good practice, it is recommended that the content of the information for the public include also information regarding possibilities to appeal the respective decision.

Reconsideration and updating the operating conditions for an activity covered by article 6 (article 6, paragraph 10)

121. The clause “where appropriate” in article 6, paragraph 10, necessarily requires that when a public authority reconsiders or updates the operating conditions for an activity referred to in article 6, paragraph 1, it needs first to make a determination of whether it is appropriate to apply the provisions of article 6, paragraphs 2 to 9. In making this determination, criteria such as the nature and magnitude of the activity, the potential impact on the environment and the level of public concern should be taken into account.
122. The clause “where appropriate” is an objective criterion to be seen in the context of the goals of the Convention, recognizing that access to information and public participation in decision-making enhance the quality and the implementation of decisions, contribute to public awareness of environmental issues, give the public the opportunity to express its concerns, enable public authorities to take due account of such concerns, further the accountability of and transparency in decision-making and strengthen public support for decisions on the environment.⁵⁰

Public participation in decision-making regarding genetically modified organisms (GMOs) (article 6, paragraph 11 and article 6 bis)

123. The recommendations regarding article 6 should be applied mutatis mutandis and as appropriate to public participation in decision-making regarding GMOs under article 6, paragraph 11, and article 6 bis.
124. In order to ensure effective public participation, it is recommended that the provisions of article 6bis should be applied not only to decisions on whether to permit the deliberate release into the environment and placing on the market of GMOs but also to decisions regarding the contained use of GMOs where appropriate.⁵¹
125. When designing and implementing the regulatory framework to facilitate public participation in decision-making regarding GMOs, it should be recalled that the possibility for exemptions envisaged in annex I bis to the Convention are not mandatory and are to be applied on a discretionary basis.⁵²
126. The public may submit any comments, information, analyses or opinions that it considers relevant to the proposed deliberate release, including placing on the market, in any appropriate manner, i.e not only in writing or at a public hearing or enquiry as envisaged in article 6, paragraph 7 of the Convention.

⁵⁰ ECE/MP.PP/2011/11/Add.3, para. 56.

⁵¹ MP.PP/2003/3, para. 3.

⁵² Annex I bis, para. 2.

127. In order to improve public awareness and participation regarding GMOs, in addition to public hearings or public enquiries, other mechanisms that allow the public to be heard, for example consensus conferences, multi-optional decision-making, round-table discussions, stakeholder dialogues and citizens' juries amongst others, should be ~~explored~~considered. This could be in relation to general issues, for example, to obtain the public's views on whether GMOs should be placed on the market in the country, or on more specific issues, for example, risk assessment and risk management of GMOs.

128. Attention should be given to ensuring that measures to promote public participation in decision-making regarding GMOs within the context of article 6, paragraph 11, and article 6 bis complement and support relevant elements of the national biosafety framework and further the implementation of the Cartagena Protocol on Biosafety.

III Public participation concerning plans, programmes and policies (article 7)

129. Plans, programmes and policies have a different character to decisions on specific activities and this different character needs to be borne in mind when designing the related public participation procedures. For example:

- (a) It is often harder for members of the public to understand the relevance of a plan, programme or policy to their daily lives. It may thus be useful for public authorities to explain its practical relevance (e.g. through newspaper articles explaining the effects of the plan once implemented etc);
- (b) Plans, programmes and policies are meant to be in the public interest, which might mean that the competent public authorities should be even more responsive to public comments than in the case of specific activities;
- (c) There may be more uncertainty in the preparation of plans, programmes and policies than in an application for a specific activity. There may also be a wider range of alternatives. The uncertainty needs to be carefully conveyed to the public. There may be several stages of consideration of alternatives, all of which would benefit from public participation.
- (d) For larger scale plans, programmes or policies, the potential 'public' will be very large. The competent public authorities thus need to carefully consider how best to reach them.
- (e) For other plans, programmes or policies (e.g. those for rural or marine areas), the size of the public directly affected might be more limited, but the potential implications might be longer term, or there may be a distinct 'future public' (e.g. residents of a proposed new residential development) to consider. Public authorities may thus wish to consider forms of participation involving representatives of the 'public' that do not currently have a voice.

130. Bearing in mind the special character of plans, programmes and policies highlighted in the above paragraph, the recommendations regarding article 6 should be applied *mutatis mutandis* and as appropriate to public participation in the preparation of plans, programs and policies under article 7.

131. The legal framework concerning public participation in decision-making regarding plans, programs and policies should:

- (a) Establish a transparent and fair framework;
- (b) Establish clear procedures for public participation, including but not limited to:
 - (i) Developing mechanisms for notification under article 7.
 - (ii) Developing tools for the identification of the public concerned or interested in participating;
- (c) Allow for flexibility in the means and methods of participation under article 7;
- (d) Allow for flexibility in setting time-frames.

132. Public authorities should bear in mind that public participation is meaningless if decisions have already been taken – officially or unofficially. At the latest, the public should be involved when a draft of a plan, programme or policy has been elaborated. However, in practice this is often too late for effective participation, because:
- (a) Many smaller decisions have already been taken by that time;
 - (b) There is significant time pressure by that time and only minor changes are possible;
 - (c) The drafters of the draft plan, programme or policy are often convinced that they have already found the best solution and are no longer flexible or open to take new ideas on board.

Plans and programmes

133. While the Convention does not define “plans and programmes”, a broad interpretation should be taken, covering any type of strategic decision:
- (a) Having the legal nature of a general act required by legislative, regulatory or administrative provisions;
 - (b) Which is subject to preparation and/or adoption by an authority or prepared by an authority for adoption, through a formal procedure, by a parliament or a government;
 - (c) Which provides an organised and coordinated system that:
 - (i) Sets, often in a binding way, the framework for certain categories of specific activities (development projects);
 - (ii) Is usually not sufficient for any individual activity to be undertaken without an individual permitting decision.
134. The following types of plans and programmes should be considered as “relating to the environment”:
- (a) Those which “may have a significant effect on the environment” and require strategic environmental impact assessment (SEA), for example, national environmental policies, water management programmes, regional and local waste management plans;
 - (b) Those which “may have a significant effect on the environment” but do not require SEA, for example, those that do not set the framework for a development consent;
 - (c) Those which “may have effect on the environment” but the effect is not “significant”, for example, those that determine the use of small areas;
 - (d) Those intended to help to protect the environment, for example, national biosafety strategies, air management plans, nature conservation plans, emergency plans for hazardous activities/installations, anti-smog programmes.
 - (e) Financial plans affecting the environment.

Policies

135. While the Convention does not define “policies”, a broad interpretation should be taken, covering any strategic decisions other than plans and programmes:
- (a) Having the legal nature of a general act but not necessarily required by legislative, regulatory or administrative provisions;
 - (b) Subject to preparation and/or adoption by an authority or prepared by an authority for adoption, through a formal procedure or informal procedure;
 - (c) Not necessarily providing an organised and coordinated system;
 - (d) Which does not set in a binding way the framework for certain categories of specific activities (for example, development projects);
 - (e) Which is not sufficient for a specific activity to be undertaken without an individual permitting decision.

IV. Public participation during the preparation of executive regulations and laws (article 8)

136. The recommendations regarding article 6 should be applied mutatis mutandis and as appropriate to article 8.
137. The legal framework regarding the preparation of laws and regulations should:
- (a) Establish clear procedures for public participation during the preparation of laws and regulations, ensuring time-frames that are sufficient for effective participation, public access to the draft laws and regulations, opportunities for the public to submit comments in writing or at hearings, and to have the result of their participation taken into account as far as possible;
 - (b) Develop criteria for evaluating the significance of the effect on the environment of a proposed law or regulation;
 - (c) Establish a reliable and regular channel for publishing draft laws and regulations.
138. As the choice of wording may be of particular importance when preparing draft laws and regulations, when taking into account the result of the public participation, a useful method is to integrate the comments directly in the draft text itself, using track changes to make them visible.

(to be further developed in future drafts)