

Participatory methods and processes for adaptive management



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About myself ...

- Bachelor in artificial intelligence (88-92)
- PhD environmental modelling in knowledge and data-poor domains (95-99)
- Co-founder of Seeconsult GmbH (03-onwards)
– www.seeconsult.org
- UN–Water (water-related adaptation) (08-10)
- Participatory & adaptive water resources management (99-onwards)

Session Goals

- **Knowledge**
 - the enormous breadth of participatory methods
 - participatory process design principles
- **Understanding**
 - How to select methods for participatory processes
 - The traps that can lead to participation being an enormous waste of resources
- **Skills**
 - How to do cognitive mapping/group model building
 - How to design a process
- **Attitude**
 - Develop a constructively critical attitude to participatory methods and management

Monday Schedule

- Definitions
- Important criteria by which to select participatory methods
- Some frank realities about participation
- Exercise: Cognitive mapping / Group model building
 - What are drivers and barriers to sustainable adaptation to increases in urban flooding risk in the Horsens case study
 - What are the drivers and barriers to sustainable adaptation to increased risk in agriculture systems in the Horsens case study

What is a participatory management process?

- A process that allows the participation of stakeholders *who would not normally be part of a management process*,
- ... to take part *to some level* in that management process.
- Participatory management is realised through participatory methods
- **Note:** Definition of stakeholder – those who are directly or indirectly affecting or being affected by a management decision (Glicken 2000)

Criteria for selecting methods

- Methods can be selected according to
 - ... desired **level** of participation wanted and corresponding class of method
 - ... the desired **class** of participatory method
 - ... participatory **goal** to be achieved
 - ... **stage** of adaptive management cycle
 - ... **types** and **number** of stakeholder to be involved
 - ... **resources** and **skills** of competent authority
- Methods are combined in processes according to a logical framework

Levels of Participation

(Evolving from Arnstein 1969, Mostert, 2003, Drafting Group 2002)

- **Information provision**
 - stakeholders are informed about management plans
- **Consultation**
 - stakeholders are asked their opinion
 - stakeholders provide data/knowledge
- **Active involvement**
 - stakeholders share responsibility and activities in creating possible plans, implementation and/or maintenance
- **Decision making**
 - stakeholders participate in final decision making

Classes of participatory methods

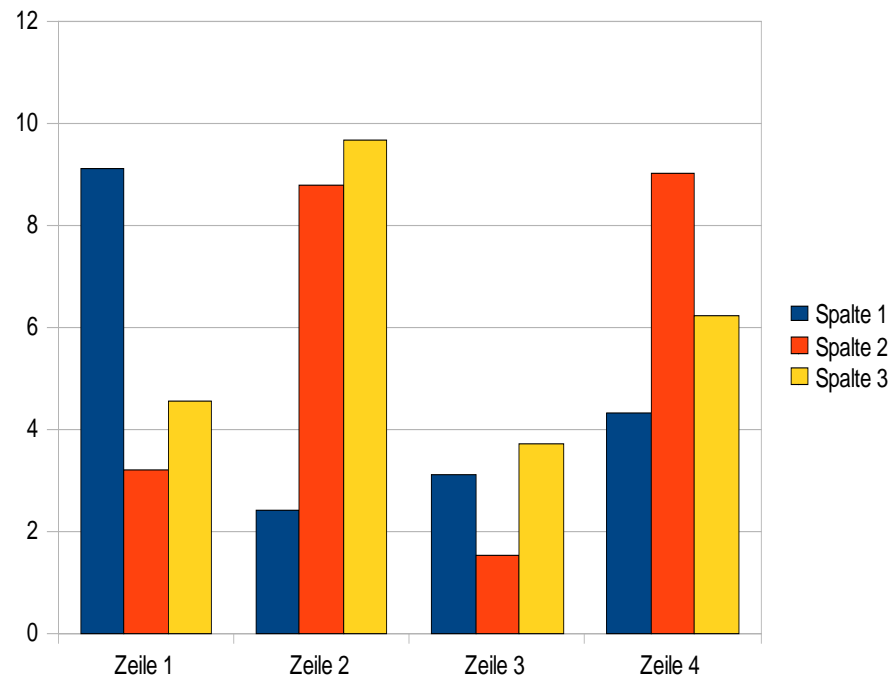
Interviews / knowledge elicitation

- Interviews to elicit knowledge about a management system from individuals. Particularly different perspectives...
 - » *Structured interviews, cognitive mapping*



Surveys

- to elicit opinions or data from often large groups of individuals.
 - » *Questionnaires, focus groups ...*



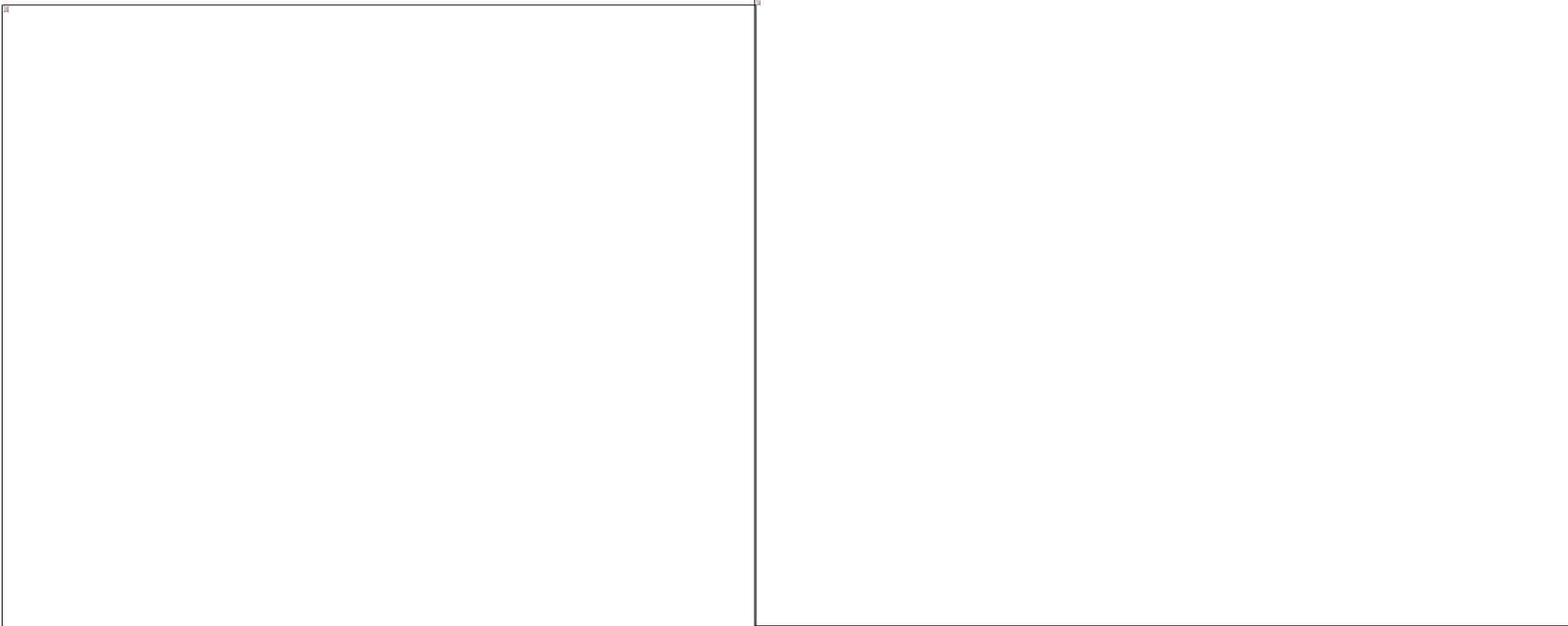
Public meetings

- moderated large group meetings to gather feedback on a range of topics in a short space of time.
 - » *Large group response exercise, open space meetings...*



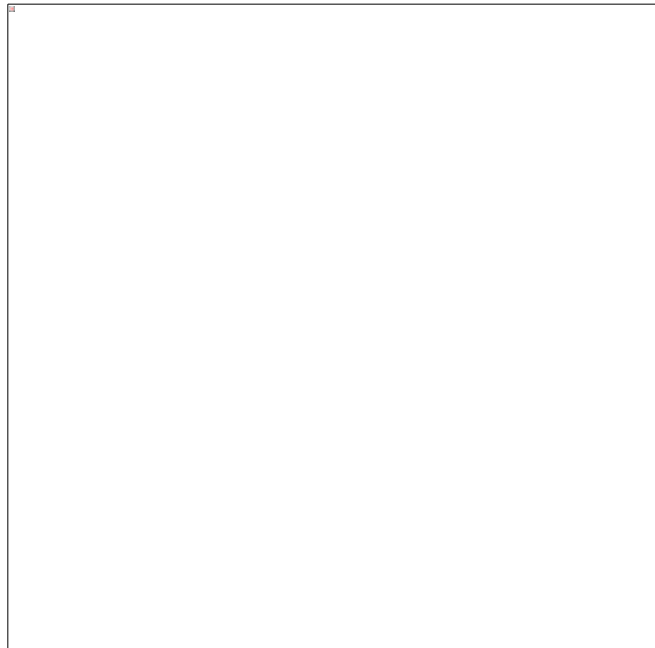
Public information provision

- Making information available publicly to communicate information to a wide group of people
 - » *Newsletters, street stalls ...*



Education

- methods that provide intensive opportunities for the provision of very specific didactic information from experts to stakeholders
 - » *Lectures, school project work ...*



Events

- One-off group events that can bring a wide range of people together to inform them of a project in an entertaining manner.
- » *Fun days, open days*
- ...



Ein Sonntag im Osnabrücker Land

11. Juni 2006 von 11 bis 18 Uhr

Erlebnistag am Alfsee mit Spiel, Spaß und Schmaus für Groß und Klein.

Erlebe Natur, Wasser und Landwirtschaft aus einer Hand



NLWKN Betriebshof, Westerfelder Str. 76, Rieste,
Ausschilderung Alfsee folgen, Parkplatz an der Landesstr. Alfhausen-Neuenkirchen

NLWKN **USF** Institut für Umweltfortentwicklung Universität Osnabrück **TEARRA vita** **GLL** Osnabrück **Wasserverband Bersenbrück**
Samtgemeinde Bersenbrück **HOL** **Landwirtschaftskammer Niedersachsen** **Stadtwerke Osnabrück**
Immer für Sie da.

Public involvement campaigns

- public is invited to get physically or financially involved in management
 - » *Activity days (adopt-a-pig),*



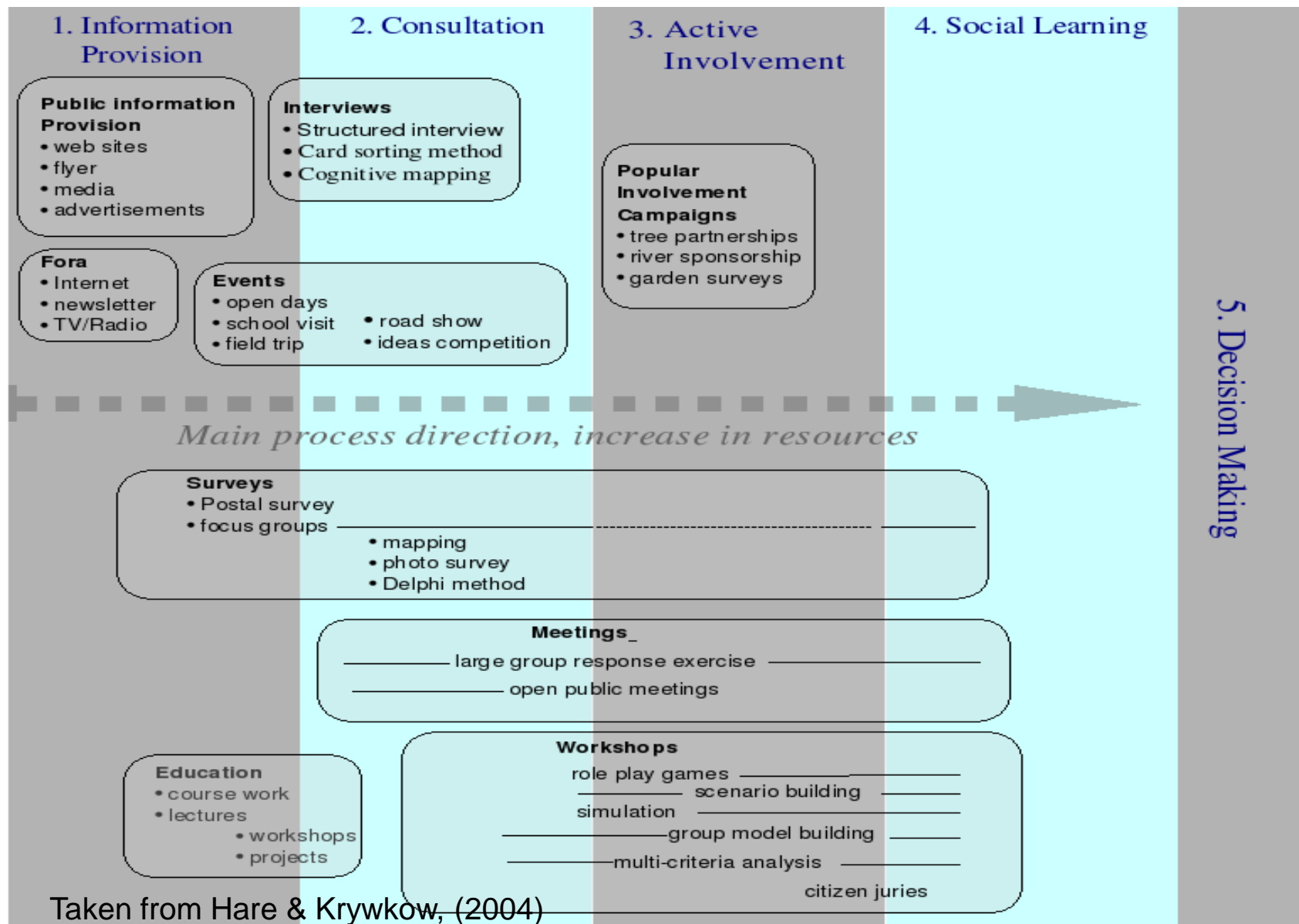
Participatory monitoring

Workshops / Collaboration

- moderated activity with a limited number of participants in which participants work together to carry out a common task
 - » *Nominal Group Technique, Participatory modelling (e.g. group model building), Role playing games, Scenario building, Forum theatre, Participatory budgeting....*



Matching classes to levels



Taken from Hare & Krywkow, (2004)

Goals of participation

For planning

- additional sources of knowledge and data
- additional sources of opinion
- development of win-win plans
- increase time and cost saving
- ...better, efficient decisions.

For plan implementation

- increased public awareness
- increased support for plans
- increased involvement in maintenance, implementation and evaluation
- increased use of site
- increased monitoring

For society

- increased democracy
- Increased understanding between stakeholders
- better management of resources
- greater social capital

For adaptive management

- improved social learning
- increased information
- supports polycentric governance
- increased adaptive capacity
- ...

	Popular Involvement Campaigns (\$5.9)	Public Information Provision (\$5.2)	Education (\$5.3)	Interviews (\$5.4)	Surveys (\$5.5)	Events (\$5.8)	Fora (\$5.6)	Meetings (\$5.7)	Workshops (\$5.10)
Additional sources of knowledge				<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Additional sources of data/monitoring	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>				
Additional sources of opinions				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Development of win-win plans							<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Increased public awareness	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Increased support for plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Increased involvement in implementation	<input checked="" type="checkbox"/>								
Increase involvement in maintenance of site	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>			
Increase involvement in evaluation of site	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Increased sense of ownership	<input checked="" type="checkbox"/>					<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>
Increased use of site	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Increased co-financing	<input checked="" type="checkbox"/>					<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Increased monitoring	<input checked="" type="checkbox"/>								
Improved democracy							<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Empowerment	<input checked="" type="checkbox"/>						<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Equitable resource sharing									
Greater social learning							<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Matching desired benefits to classes of methods...

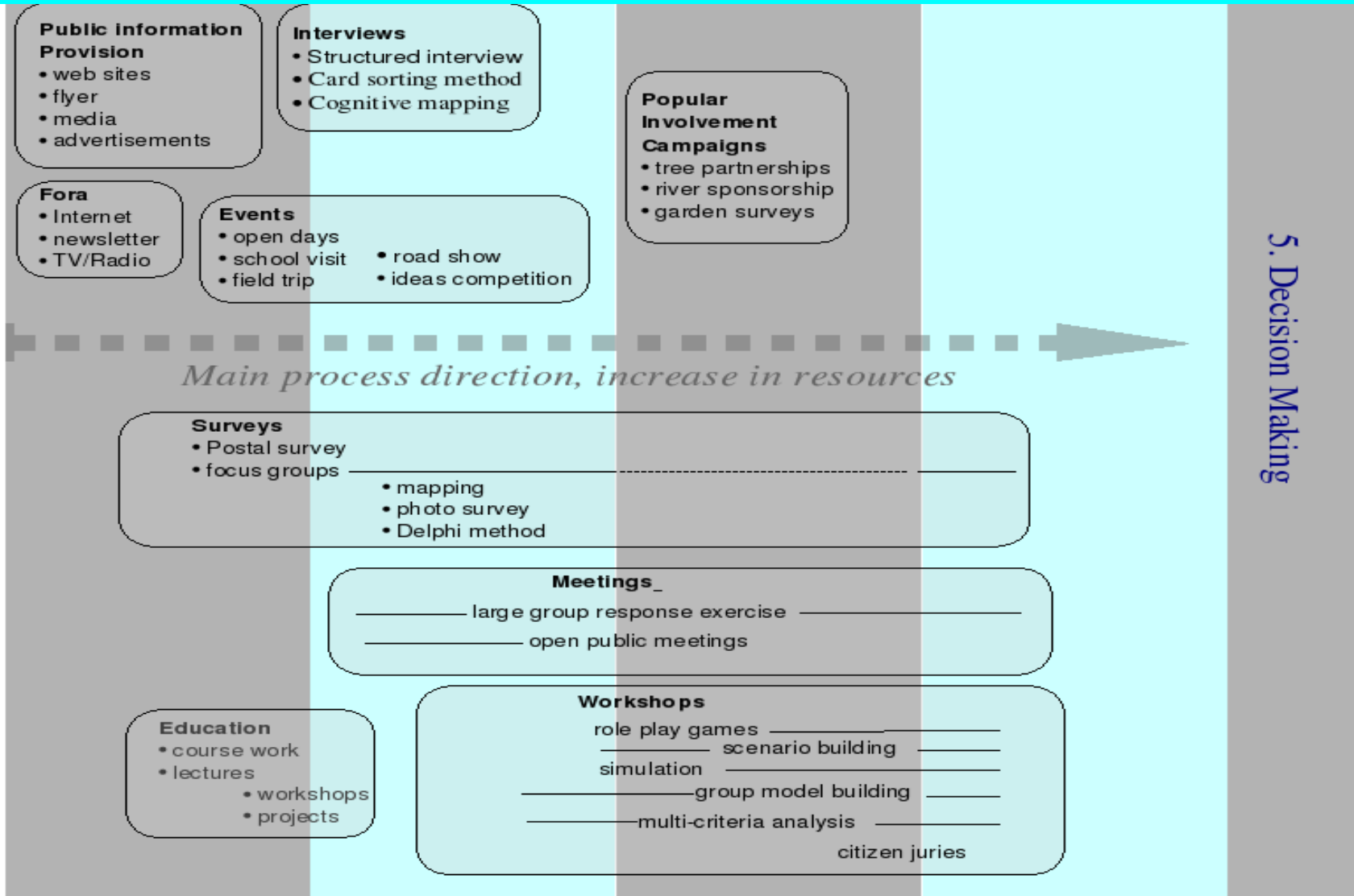
Supporting adaptive management

Types of participants

- Organised stakeholders - “*Stakeholder participation*”
 - authorities, organisations and their representatives,
- Public - “*Public participation*”
 - general public
- Competent authority
 - organisation who is responsible for management and implementation of the participatory process

Number of people to involve/ Type of participant	Large 50 +	Mid-size 20 -50	Small 1-20
Organised Stakeholder	Internet forum (§5.6.1) large group response exercises/open space (§5.7.2/3) newsletters (§5.6.2) open days (§5.8.1) partnership, sponsorship (§5.9.1) telephone/postal surveys (§5.5.1) web sites (§5.2.1)	field trips (§5.8.1) focus groups (§5.5.3) multi-criteria analysis (MCA) (§5.10.6) scenario building (§5.10.4) simulation (§5.10.5)	card sorting method (§5.4.2) cognitive mapping (§5.4.3) delphi method (§5.5.2) group model building (§5.10.7) interviews (§5.4.1) role playing games (§5.10.2) lectures, seminars and project work (§5.3.1)
Public	events (§5.7.1) flyers (§5.2.1) Internet forum (§5.5.1) large group response exercises/open space (§5.6.2/3) media advertisements (§5.2.1) newsletters (§5.5.2) open days (§5.7.1) open public meetings (§5.6.1) partnership, sponsorship (§5.8.1) participatory monitoring & evaluation (§5.8.2) photo survey (§5.8.2) telephone/postal surveys web sites (§5.2.1)	field trips (§5.8.1) focus groups (§5.5.3) multi-criteria analysis (MCA) (§5.10.6) scenario building (§5.10.4) simulation (§5.10.5) lectures, seminars and project work (§5.3.1)	citizen juries (§5.10.1) interviews (§5.4.1) role playing games (§5.10.2)

Resources for participation



Taken from Hare & Krywkow, 2004)

Some frank realities about participatory management processes

It can go wrong

- No concrete results
- Delayed management process
- Results not taken up by decision maker
- Process gets hijacked
- Creation of resource black holes
- Organisation of opposition to change plans
- Participatory burn-out

Non-altruistic reasons for adopting participation...

- to influence public opinion
- to get other people to do your work for free
- improve public image
- you are given money to do it
- to meet legal requirements
- because it is fashionable

Participation is very fashionable

- Water: EU Water Framework Directive art. 14
- Politics: EU citizens' visions
- Why?
 - Fits the modern zeitgeist
 - post-modern relativism
 - loss of trust in formal institutions: political & scientific
 - the erosion of the nation state (see Rifkin, 2004)
 - the decentralising requirements of „new capitalism“ (see Sennett, 2007)
 - stakeholding society (Hutton 1999)
 - Because it works? We will see...

Rephrase: Participatory management process

- Extends the range of people and organisations involved in management to those who would not normally be involved ...
- ... in order to achieve a specific set of goals
 - For better or for worse
 - For good or for bad reasons
- If you want to make participation a positive
 - A serious business carried out with serious people
 - You have to plan a very, very good process

What participatory management is **not**, despite what you might read in the literature

NOT Just about creating plans

NOT Just about informing the public

NOT Just about organising workshops

NOT About spreading democracy

- sometimes reinforces existing power structures

NOT About creating a warm feeling among participants

NOT About pleasing everyone

NOT A “good” instrument in itself