

Participatory processes in the real world

Matt Hare, Independent Consultant, Mexico
hare@gmx.de

Conjugation of "to participate"

I participate

You participate

He participates

We participate

They profit

From Arnstein (1969)

Participatory Processes in Practice

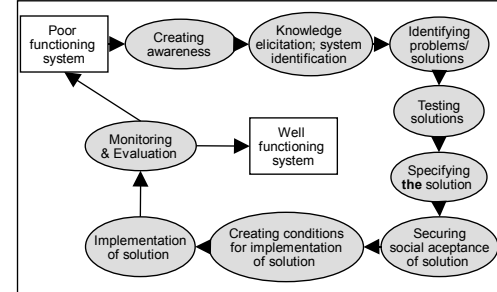
Long-term planning for change

“PartizipA“

Local level measures assessment for the Water Framework Directive (Newig et al 2008)



Kick-off meeting



Forum 1
15.9.04

Administration

- Landkreis Osnabrück
 - FD Planen u. Bauen
 - FD Umwelt
- Samtgemeinde Bersenbrück

Agriculture & Forestry

- Landwirtschaftsamt Osnabrück
- Hauptverband des Osnabrücker Landvolkes
- Gartenbaubetrieb
- Maschinenring und Betriebs-hilfedienst Artland e.V
- Forstamt Osnabrück
- Kreisforstverband

Environmental Organisation

- Naturschutzbund Osnabrück e.V.

Water administration

- Bezirksregierung Weser-Ems (bis 12/04)
- Nds. Landesbetrieb für Wasserwirtschaft, Küsten- und Naturschutz (NLWKN)
- Wasserversorger
 - Stadtwerke Osnabrück
 - Wasserverband Bersenbrück
- Unterhaltungsverband 97 - Mittlere Hase

Lectures - Creating awareness

Forum 1
15.9.04

Forum 2
3.11.04

Reg
im

A
”

Bezirksregierung
Weser-Ems
Dezernat 502
Dipl.-Ing. Michael Klaus
November 2004



UNIV
OSNABRÜCK



Umsetzungsstand zur EG - Wasserrahmenrichtlinie in Niedersachsen

Ergebnisse B - Bericht Grundwasser



izipA

ie

Group Model Building - Identify Problems & Measures

Forum 1
15.9.04

Forum 2
3.11.04

Interviews
Jan/Feb 05

Forum 3
12.04.05



Simulation Models

Testing Solutions

Forum 1
15.9.04

Forum 2
3.11.04

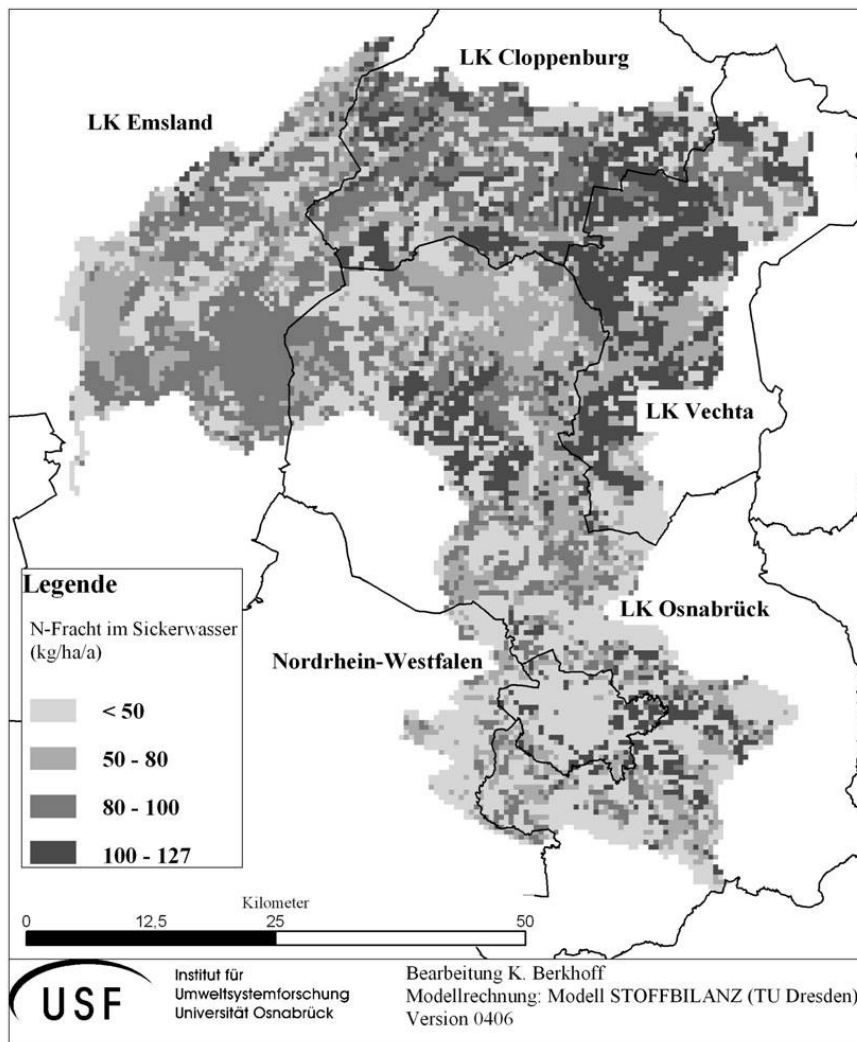
Interviews
Jan/Feb 05

Forum 3
12.04.05

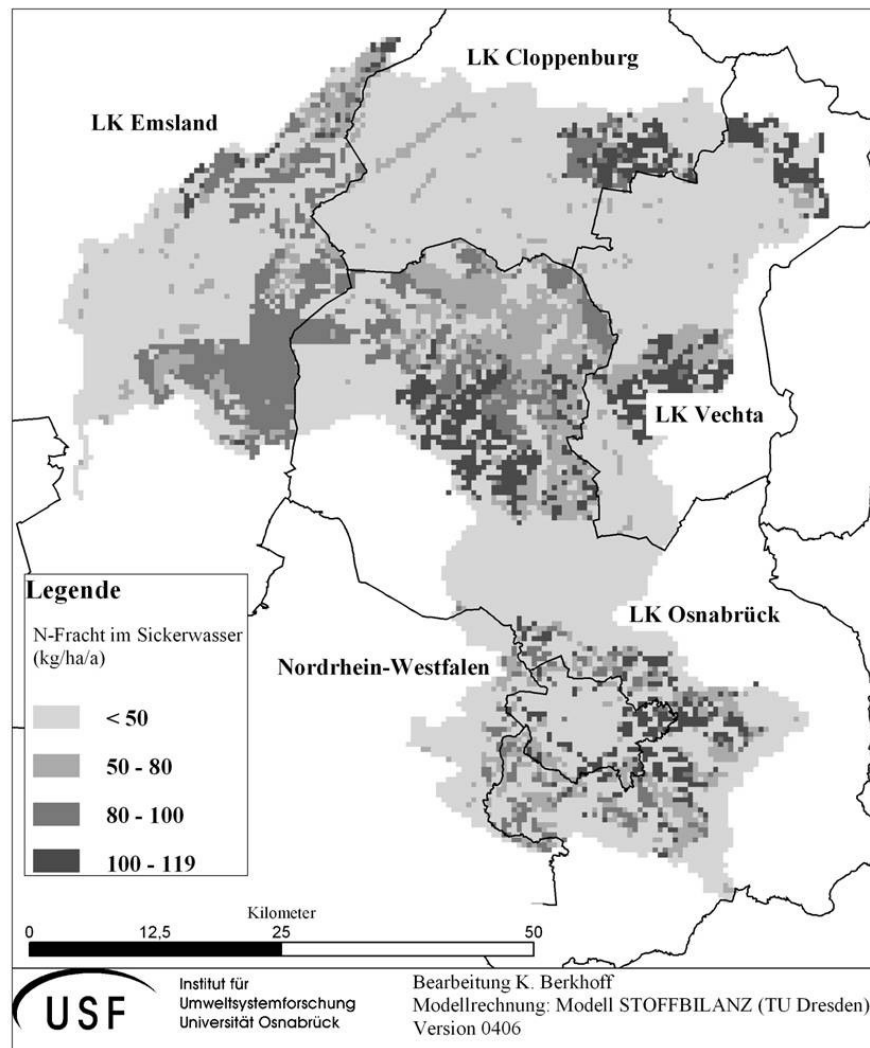
Forum 4
15.06.05

Forum 5
07.09.05

Referenzszenario Aktuelle Landnutzung



Maßnahme Aufforstung beispielhaft umgewandelte Fläche: 1.100 km²



Multi-Criteria Eval. Testing Solutions

Forum 1
15.9.04

Forum 2
3.11.04

Interviews
Jan/Feb 05

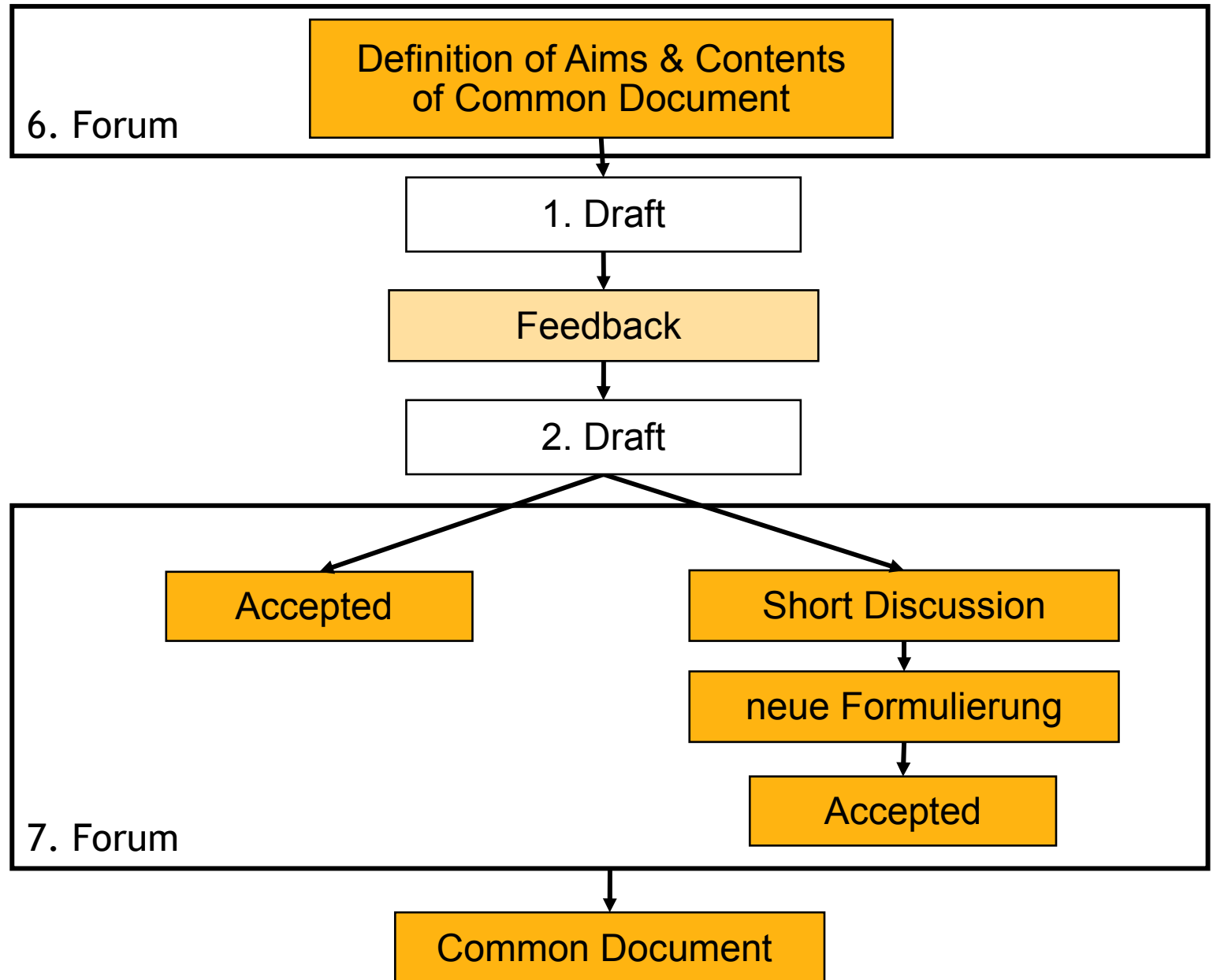
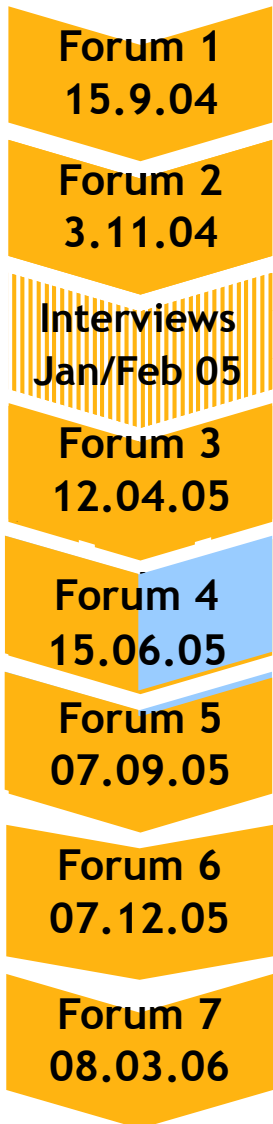
Forum 3
12.04.05

Forum 4
15.06.05

Forum 5
07.09.05

Measures	Costs	Ecological Efficiency	Acceptance	Needed control	Further Effects
1....	Expert Stakeholders	Computer model	All stakeholders - Discussions based on Group model		
2...					
...

Reporting: Cooperative Writing



Delivering the results: Bringing in other stakeholders

Information provision and fun days

Creating awareness

EG-Wasserrahmenrichtlinie
und zukunftsfähige Landwirtschaft
im Landkreis Osnabrück

Schlussdokument

zum PartizipA-Akteursforum
September 2004 – März 2006



Forum 1
15.9.04

Forum 2
3.11.04

Interviews
Jan/Feb 05

KG
Feb/March 05

Forum 3
12.04.05

Forum 4
15.06.05

Forum 5
07.09.05

Forum 6
07.12.05

Forum 7
08.03.06

EV 1
02.11.05

EV 2
12.01.06

EV 3
22.02.06

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



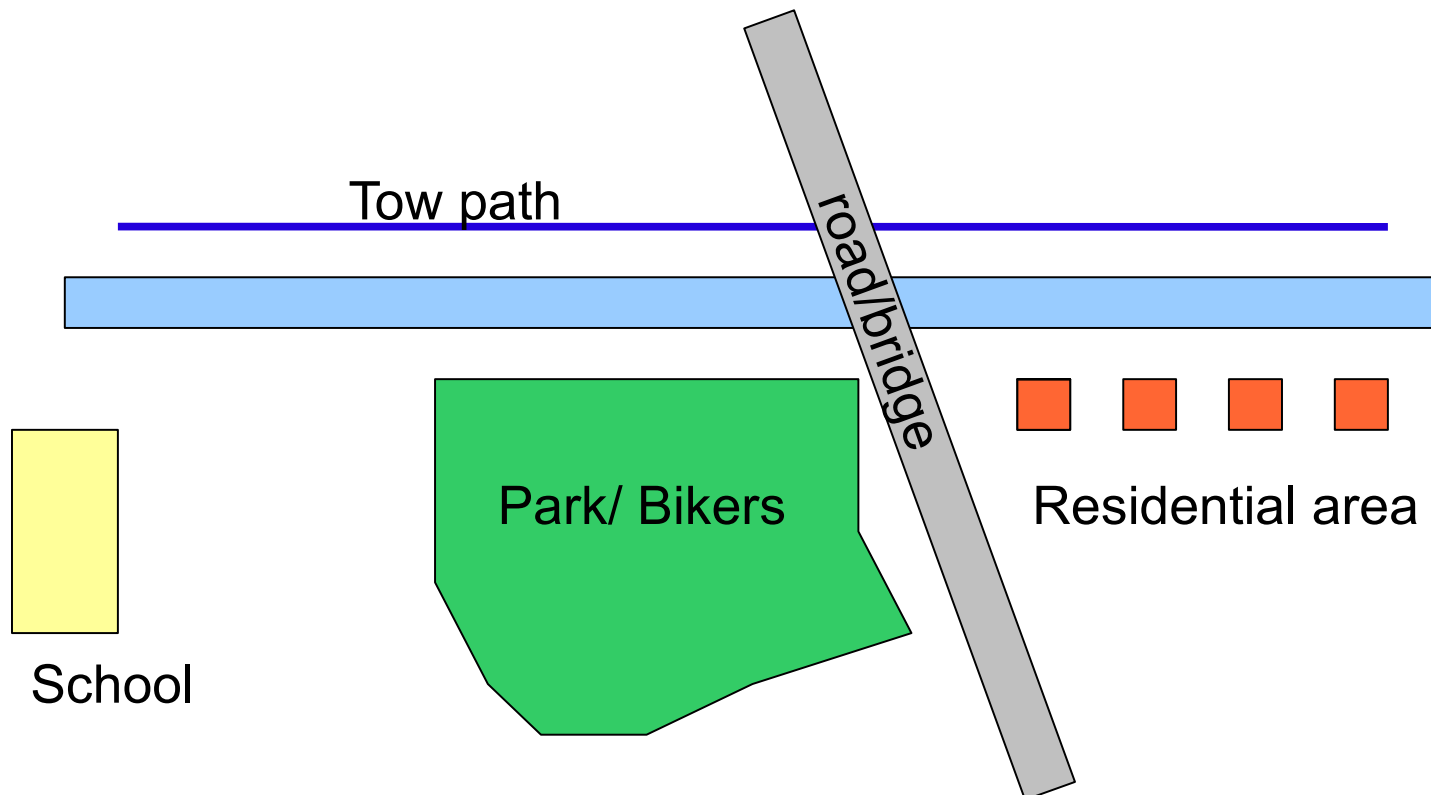
Bulgarian flood and drought management multi-level process (Daniell et al, 2010)

Participatory Processes in Practice

Infrastructure Initiatives

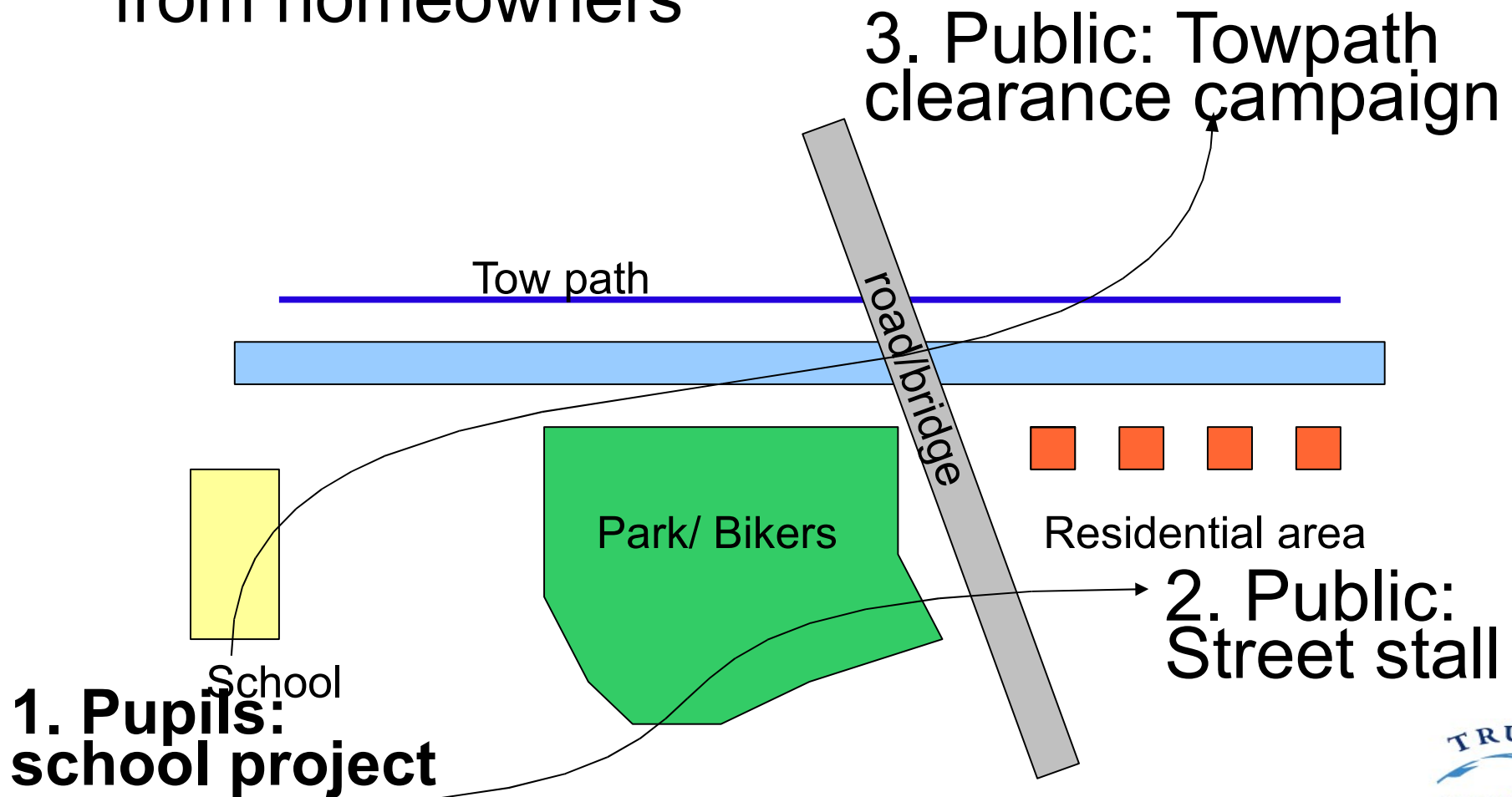
UK: Canal restoration

- Participatory Goals:
 - increase use of towpath;
 - reduction of vandalism;
 - support for and acceptance of canal restoration from homeowners



UK: Canal restoration

- Participatory Goals:
 - increase use of towpath;
 - reduction of vandalism;
 - support for and acceptance of canal restoration from homeowners



NL: Flood water storage infrastructure

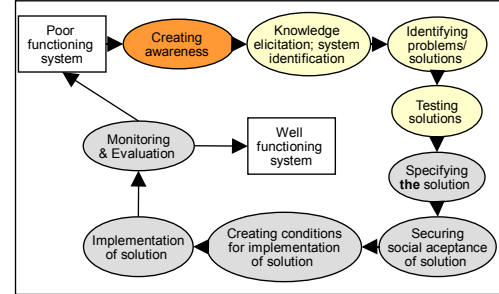
- Participatory goals:
 - social acceptance of plans;
 - increase use of recreation area
 - knowledge elicitation
- Public: brochures
 - providing detailed public information about plans for recreation area to all households
- Public: newsletter
 - providing a forum for allowing readers to express their concerns
- Org. stakeholders: workshops
 - consultation
 - answering stakeholder questions and concerns



Bringing in other stakeholders

Information provision and fun days

Creating awareness



EG-Wasserrahmenrichtlinie
und zukunftsfähige Landwirtschaft
im Landkreis Osnabrück

Schlussdokument

zum PartizipA-Akteursforum
September 2004 – März 2006



- Forum 1
15.9.04
- Forum 2
3.11.04
- Interviews
Jan/Feb 05
- KG
Feb/March 05
- Forum 3
12.04.05
- Forum 4
15.06.05

- Forum 5
07.09.05
- Forum 6
07.12.05
- Forum 7
08.03.06

- EV 1
02.11.05
- EV 2
12.01.06
- EV 3
22.02.06

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

Barriers to uptake of (effective) participatory management and its results

Policy makers and scientists may agree that its great, but at the operational management level there are problems

Sources: personal experience, Borowski and Hare (2007), Hare (2011), others

1. Competent authorities' reluctance

- Lack of knowledge about Participatory Management
 - Participation = information provision
 - Participation undertaken by PR department
- Fear of high costs of participatory management
 - lack of time, human and financial resources

1. Competent authorities' reluctance

- Perceived **high risk** associated with carrying out participatory management - and few **counter-facts to encourage it**

Doing Participation

- Waking sleeping dogs
- Process gets delayed powerful stakeholder
- Process gets hijacked
- Failure to live up to stakeholder expectations

VS.

Not Doing It

- Planning permission rejected
- Infrastructure built in the wrong place
- Time spent talking to angry stakeholders
- = Financial losses

Need to quantify and compare risks of doing and not doing participation

2. Competent Authorities' Organisational barriers

- Departments not communicating, not participating with each other
- Planning departments work quicker than participation

3. Competent Authorities' Institutional barriers

- Construction and participation obey different institutional contexts
- Institutional stability and historical success
- Existing laws “We can always compulsorily purchase the land, at end of the day”
- The institutional requirements for participation may be set too low
- Managers are legally responsible for decisions

4. The society we live in

- **Representative democracy**
 - managers, politicians obliged NOT to give power and responsibility away
 - Just giving power to stakeholders without giving responsibility is not going to work
 - Adaptive participatory management - Revolutionary thoughts?
- **New Capitalism** (Sennett, 2007 - Die Kultur des neuen Kapitalismus)
 - Social capital poor, Time poor, Short term contracts
 - people do not participate
 - people and groups come and go from processes (how do you keep them turning up year after year?)
- **Participatory burn-out**
 - legislators want it everywhere
 - too often with not enough results

5. Overselling of participation

the tyranny of participation?

Cooke & Kothari (2000)

- Experiences in Cooperation and Development projects
 - Ignorance of existing power structures in local communities
 - Which either may not be used
 - OR which are simply reinforced through the participatory process
 - Local knowledge may not be as good as it's made out to be
 - Participatory dependency

As a result, mistakes can be made

- Where's my building gone?
- Your friend is a friend of the Boss?
- The need for a good view...
- What, the minister has already made a decision?

How do you design long,
meaningful and effective
processes?

One answer...

not by being technique driven...

Another answer...

not by being primarily research
led ...

(see also Daniell et al 2010) & her PhD)

Another answer...

Find out about existing participatory (stakeholder analysis) and power structures (decision analysis; political analysis)

See also von Korff et al (2010)

A further answer...

By considering the needs and expectations of the stakeholders who might be involved, at every stage of their involvement

More answers...

By managing the flow of
information well between
participatory process stages
and between stakeholder
groups

More answers...

By clearly communicating to the stakeholders the process and its goals before they commit to the process

(see Barreteau et al. 2010 for a method)

More answers...

By providing something useful
for the stakeholders at each
stage of their involvement

More answers...

By doing good stakeholder
analysis beforehand and using
it to select the right
stakeholders

More answers...

By choosing a very good
facilitator

See also Hemati...

More answers...

By securing long term
resources

(one PhD student and a
Master's helper are not quite
enough)

More answers...

By situating the process
correctly with respect to the
policy making process
(thus making sure your results
have somewhere to go...)

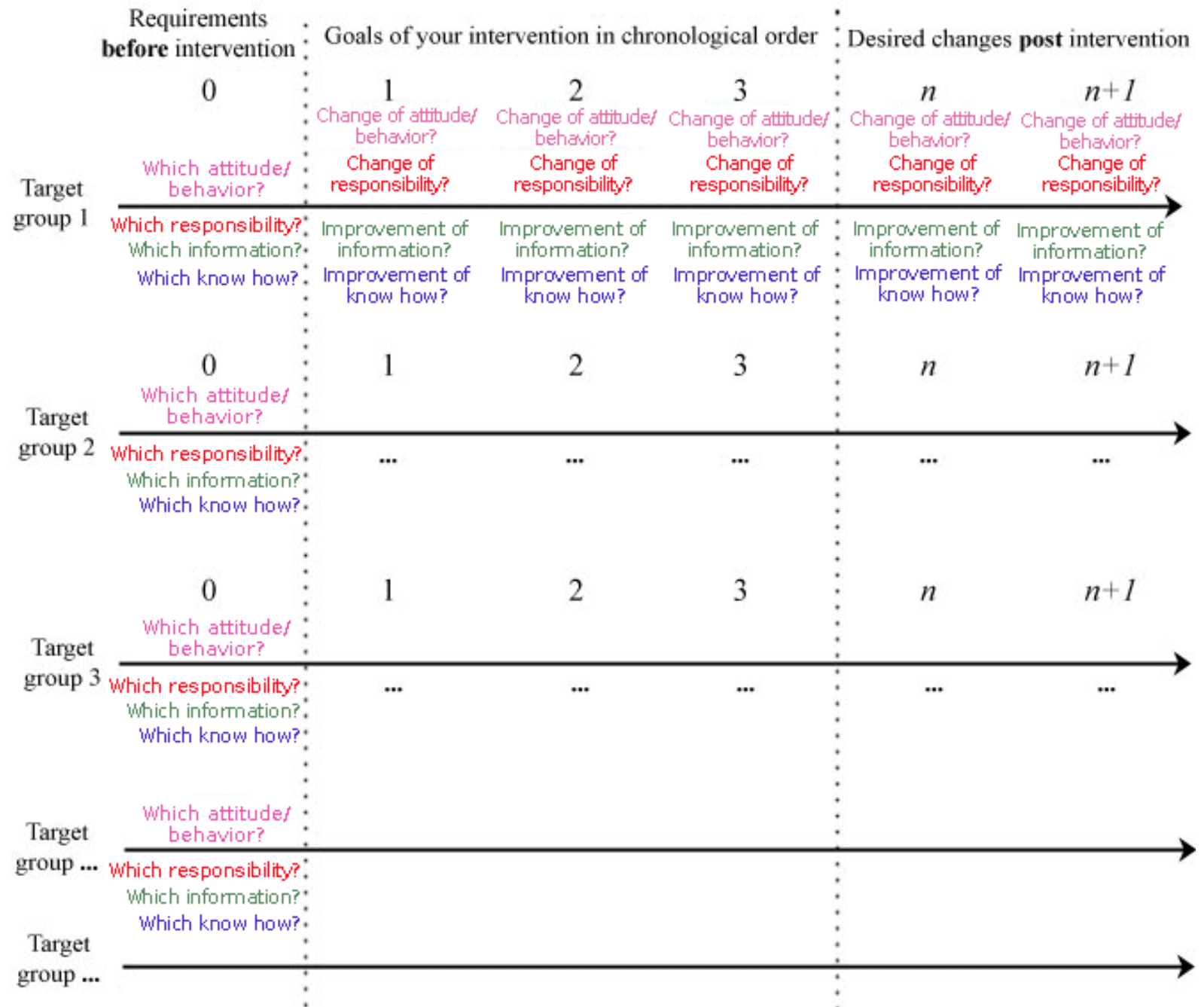
More answers...

By good process design
following a logical, information
preserving, framework

Process design frameworks

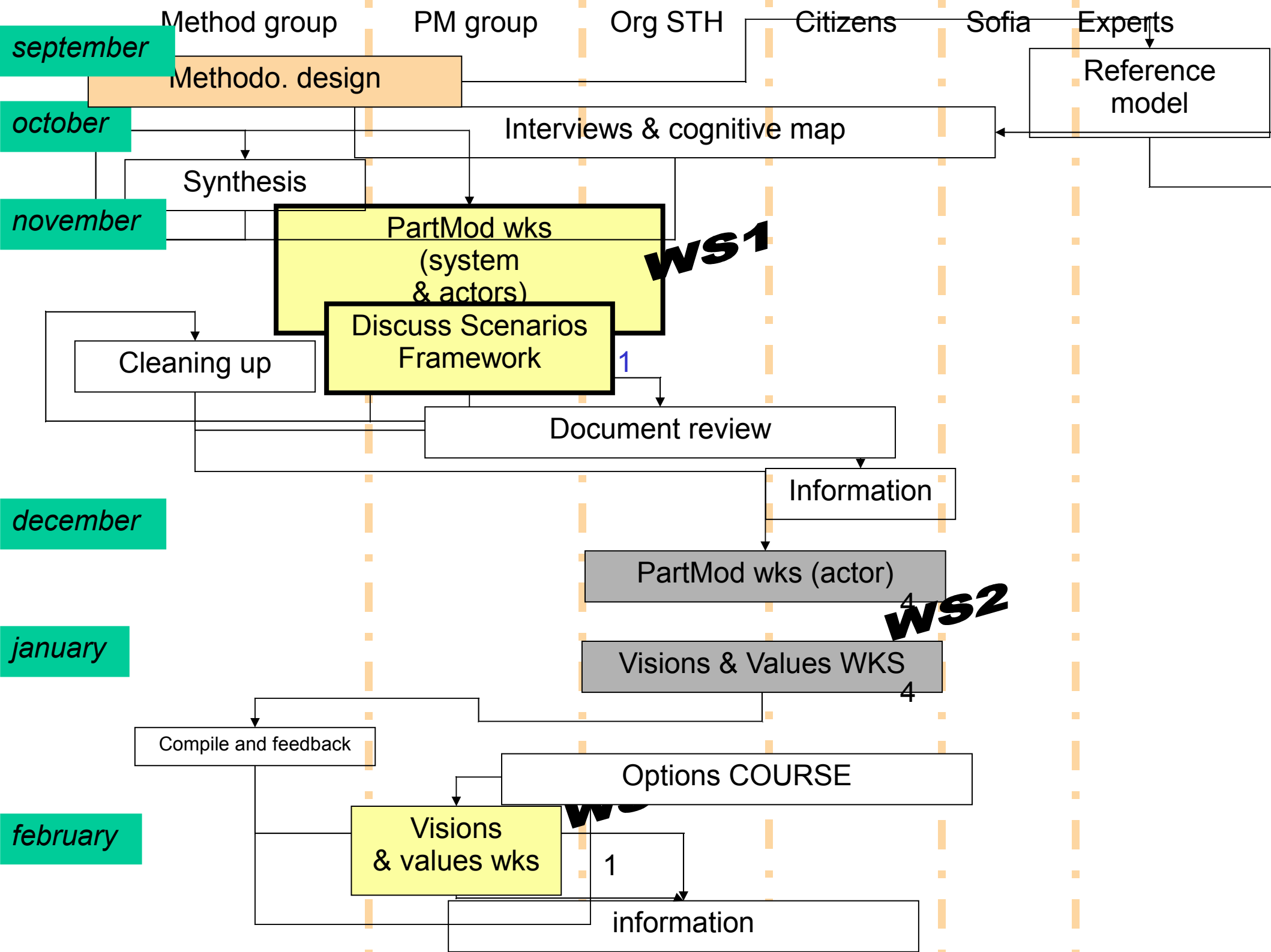
Chronological developments of capacities that you think necessary to meet objectives

Magenta : attitude/behavior, Green : information, Blue : know-how, Red : responsibilities



Von Korff et al. 2010

Nils Ferrand's stakeholder interaction diagrams



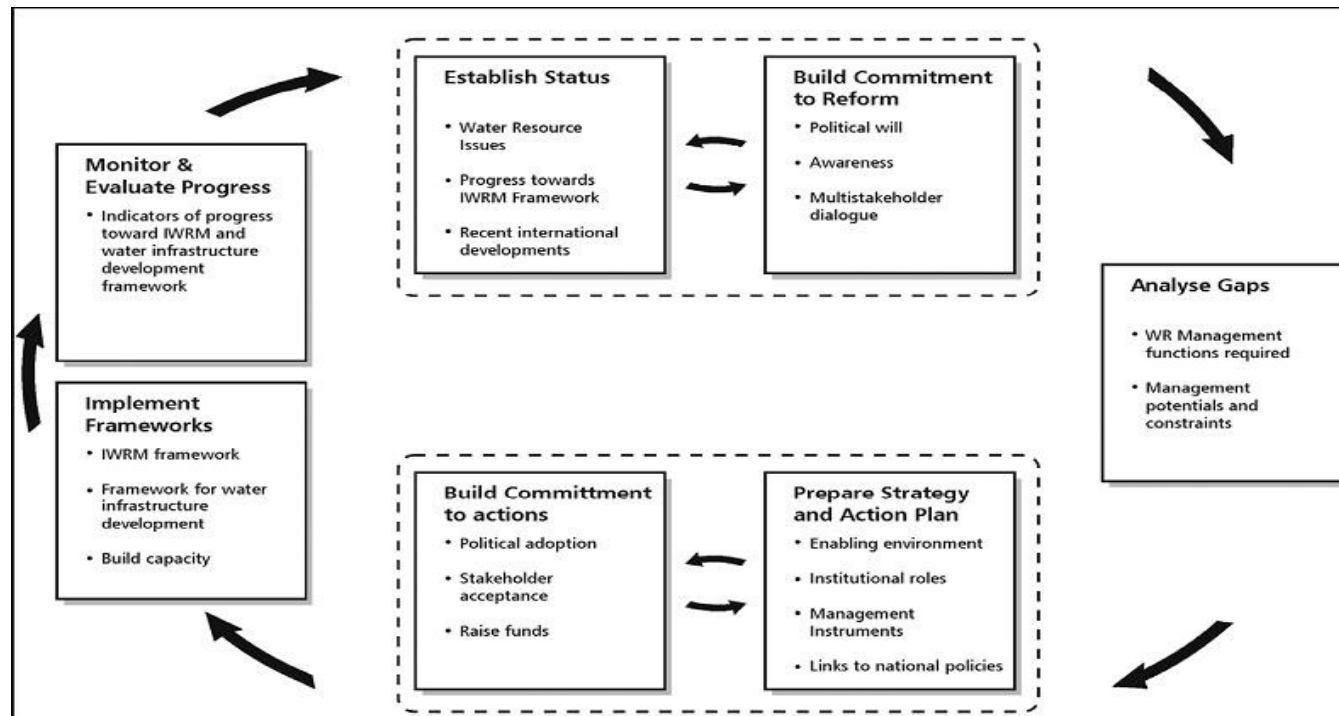
Process-oriented, input/output
approach

Steps

- Identify a logical series of stages as a framework
- Ask yourself at each stage
 - What are the participatory goals?
 - What stakeholders and how many of them (participation mode – Bots & van Daalen, 2008))
- Identify activities & select methods
- Identify possible inputs and outputs of each part and make sure no outputs go missing
- Simulate the process together
 - what will happen at each stage?
 - what will the results be?
- Adapt, time and resource plan

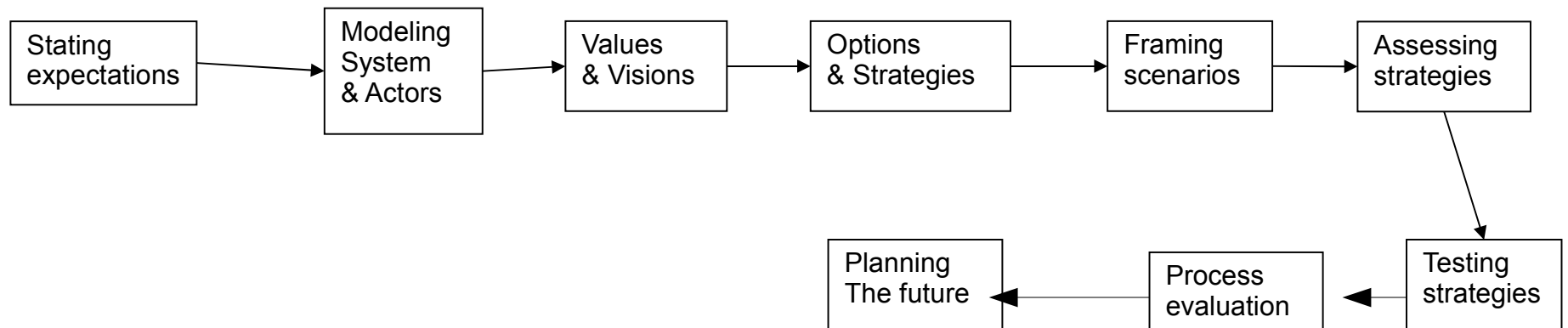
Cyclical frameworks

- Policy framework
- IWRM framework

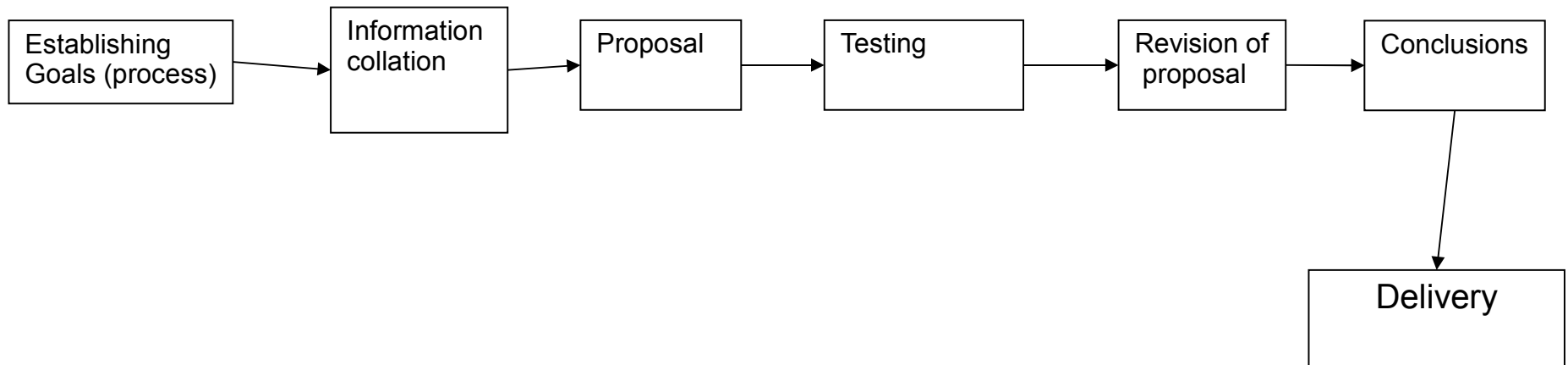


Linear Framework

Used in Bulgarian Flood and Drought Management case study in Daniell et al. (2010)



Simple Linear Framework



An Example - assessment of measures for local level implementation of WFD

Preparation is therefore **vital**

Preparation (see also Hemmati 2002)

- Specifying participatory and operational goals
 - Deciding on the link between process and actual decision-making processes
- Securing funding
- Stakeholder analysis and selection
- Specifying rules of stakeholder communication
- Getting stakeholder buy-in
- Identifying facilitator
- Process design

- Setting process in policy context

Locating the process with respect to
the policy-making process

Resources for supporting process design

- Von Korff et al (2010)
 - Stakeholder analysis, decision analysis
 - Framework for matching process objectives to stakeholders
- Daniell et al. (2010)
 - Dealing with process design by multiple parties
- Hemmati (2002,2010)
 - Checklists for when preparing participation
- Hare & Krywkow (2005)
 - Selecting methods for stakeholders participation, stakeholder analysis
- Barreteau et al (2010)
 - Framework for making processes clear to stakeholders

And now for participatory planning
of participatory processes...