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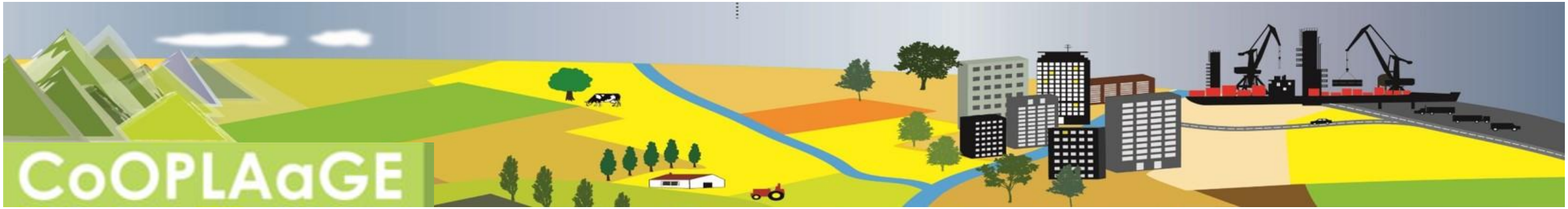

Exploring the design of participatory and transformative research, and research on participatory transformation

Workshop

Nils Ferrand[ab], Wanda Aqua-Gaudi[c]

a. INRAe, UMR GEAU; b. INRIA, STEEP; c. UMR/JRU G-EAU

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Agenda

- Introduction Lorenn / Ned (5 mins)
- Framing questions & sharing them (15 mins)
- Key issues / pathways & ENCORE evaluative framework (10 mins)
- Self-assessment on ENCORE targets (10 mins)
- PrePar protocol on developing a transformative research for your case studies (1h10)
- Mutual feedback of small groups and mutual evaluation discussion with ENCORE (15 mins)
- Final discussion and open time afterwards for going further

Initial questions + sharing answers (15 mins)

a. How does / can citizens' participation contribute to your research ? What would you expect from it ?

b. How does / can your research contribute to citizens' engagement in decision, action, transformation in favor of better futures ?

c. Quote 2 or 3 (max) strong challenges or issues to be addressed for participation & research.

d. Do you have a specific application case study you'd like to see discussed ?

Background & design context

- French public research unit (Montpellier), multi-disciplinary, specialized in water management & governance, working internationally (20 years + AU ties!)
  - Focus on engineering participatory methods
- Supporting public action with governments, NGOs, CBOs, agencies
- A 25y action-research on complex systems management (origin in A.I. 90s' multi-agent models) with / by / for their stakeholders, incl. citizens, through participatory modeling
- A focus on autonomous adaptation and reflexive steering
- Combining physical and digital methods
- An ethical perspective on tools & intervention

Rationales

→ Supporting **all** stakeholders, from communities' members (smallholders) to the "top" policy makers in discussing and engaging together into change strategies

→ Improving sustainability of the change pathway (decision and action) by reducing external interventions and incentives, and fostering self-conduct, social norming and local institutionalization → Autonomy

→ Developing a science, engineering capacity and a toolkit for "recoupling" levels, stakes, sectors, actors, methods

→ Monitoring and evaluating processes and socio-political impacts

http://cp.Watagame.info

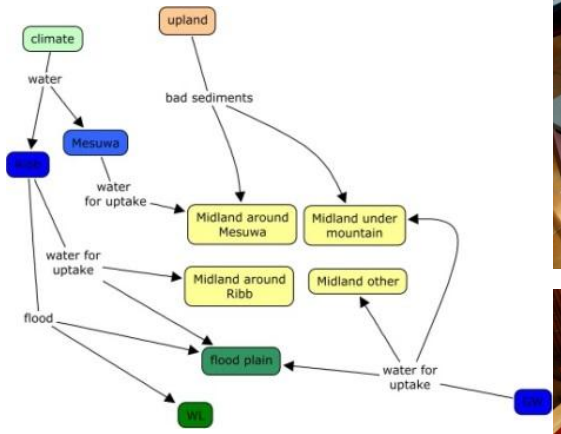
Our approach

Decision-making steps	Citizen's perspective	Participatory tools	Ex. in Uganda (2012-2014)
PREPARE PARTICIPATION	*We will respect our own rules*	**PrePar** Preparing design of the decision process	
DIAGNOSIS	*We know what is happening around us*	**Rock** Observing the river **Smag** Establishing a territorial diagnosis	
SCENARIO EXPLORATION	*Now we understand the big picture*	**Wat-A-Game** Modeling & role-playing-games	
DEFINITION OF OBJECTIVES AND PREFERENCES	*We know what we want*	**Just-A-Grid** Discussing justice principles	
IDENTIFICATION OF ACTIONS AND PLANS	*We, too, have good proposals to make*	**Cooplan** Building action plans	
CHOICE, PRIORISATION AND VOTE	*In democracy, our voice count*		
IMPLEMENTATION	*Let's do it!*		
MONITORING AND EVALUATION	*Are we getting there?*	**Encore-Me** Evaluating impacts	

COOPLAGE

Help modeling… whatever is worth representing, discussing and changing for / by participants

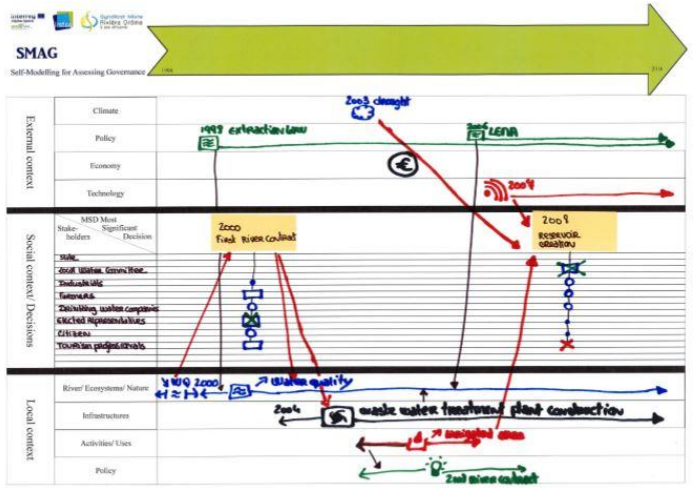
Historically: Socio-ecological systems (> 180 case studies !)



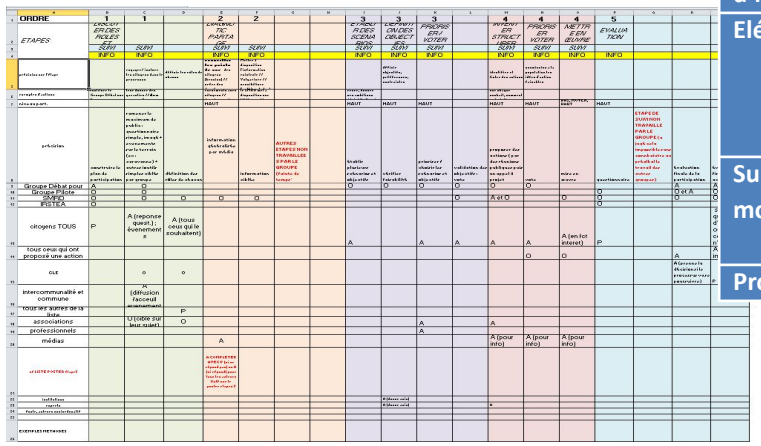
Since 2006:

Integrated management plans (2006)

(past) Governance (2017)



(target) Participatory Governance (2016)



Critical design of participatory research vs. research on participatory transition methods

Both are designed and steered by researchers, but…

- Who / what initiates the research?
- What is the expected outcome or impact by the researchers?
  - New knowledge about an existing system engaging the participants
  - New knowledge about a process induced by the researcher her-him-self
    - Target an impact and evaluate its reaching
- What is the perceived goal of the process by the participants?
  - Satisfy the (scientific) needs of the researchers, and of “The Science”
  - Explore alternative social and technical settings as possible solutions
  - Obtain a personal or collective or social benefit (incl. socialization)
- How is it monitored and evaluated?

⇒ ***Evaluative / reflexive steering of the process***

e.g. Natural Resource Management in Africa (FP7 Afromaison 2011-2014)

Source: E. Hassenforder, 2015

Co-design the process itself
Share equity preferences

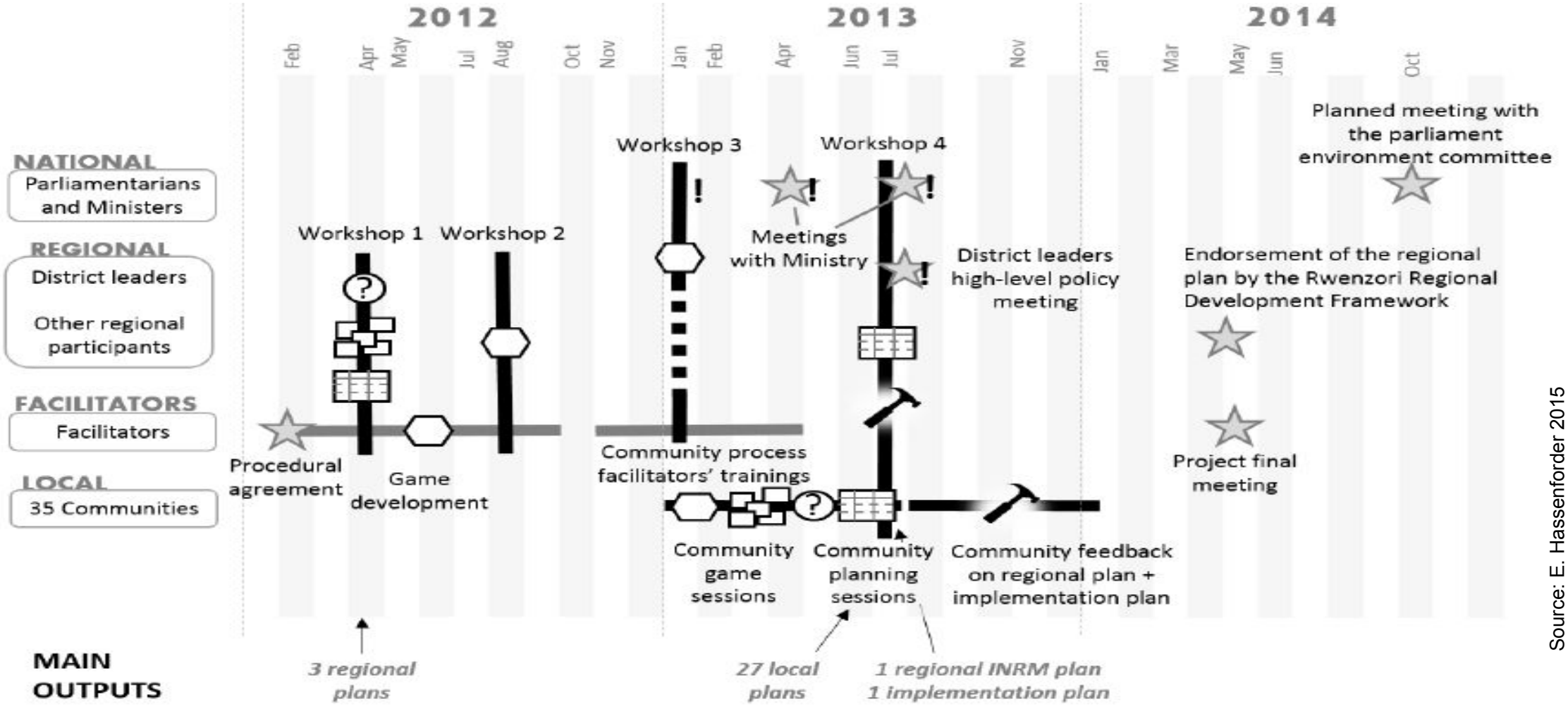
→

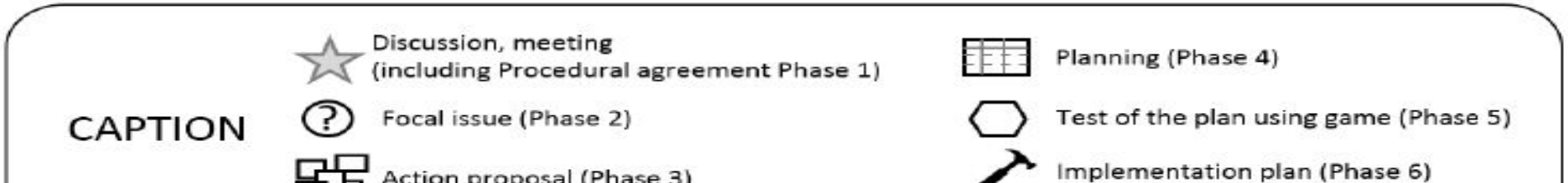
Propose actions
Build and assess integrated strategies

↔

Build own model
Simulate new actions and norms

Multi-stakeholders process, coupling levels, tools (Uganda)



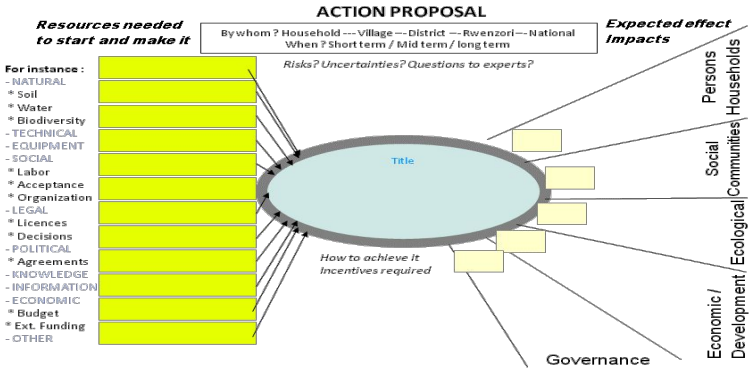


Source: E. Hassenforder 2015

Cooplan

Building action plans

COOPLAN: confronting heterogenous actions and strategies at all levels



Uganda– 2013

27 communities strategies

+

3 meso-level strategies

Proposed regional INRM strategy

Final draft INRM strategy (soft version)

E = Energy
A = Agriculture
C = Conservation
P = Policy
W = Water
I = Infrastructure
L = livelihood
M = Market / Economic
H = Health
T = Tourism

Scale	category	Household
m+u	E	Energy saving stoves
i+m	E	Adopt energy saving technology at HH level (solar & biogas)
u+m+d+i	AC	Tree planting
u	A	Tree nursary beds
m	P	Education
m+d+u	A	Conservation methods of farming + organic farming / Better methods of agriculture
d	P W C	Control pollution of soil/water/air
d	P	Mutual Information sharing and documentation
m+d	PL	Family planning
m+d	A	Food crop / vegetable growing
m	A	fruit growing
m	W	Water harvesting
u+d	A	Piggery
m+d	A	Bee keeping
u	A	Community members to construct terraces
u	A	Coffe growing
m	A	Kitchen gardens
u+m	L	Sensitization on and proper disposal of non Biodegradable materials
d	A	Nursary beds
u	AC	Agroforestry
m	A	Eucalyptus growing
m	A	Tea growing
d	C W	Proper soil and water conservation
d+u	P	Family planning
u	W	Rain water harvesting for domestic use
u+d	E	Biogas
m	E	Energy saving stoves
u	EC	Authorised charcoal burning
d	L	Proper waste management
m	L	Ecosan toilets
d	H	Family medicine plant gardens

Scale	Category	Community
d	P	Information sharing and doc
m+d+u	P	Education
u+d	AC	Tree planting
i+m	AC	Tree nursary beds
u	P	Reporting environmental encroachers to relevant authorities
m + i	P	Establishment of Environmental committees
i+m+d	P	Community bye-laws on sustainable NRM (formulation & Enforcement)
u+d	P	Sensitization about NRM + extension of the game
u+m	PA	Demonstration centres and plots
d	A	Vegetable growing
u+m	MP	Collective marketing and establishing markets
u	A	Zero grazing
i	P	Proper land use planning
d	CP	Demarkation of wetlands
m	A	Making fish ponds
d	A	Fishing with authorized net
m+d	L	Sanitation
m	AH	Herbal medicine clinic and training centre block
d	W	Borehole
d	W	Pump
d	T	Promotion of tourism in the Rwenzori region
d+m	T	Camping site
d	LC	Non-polluting washing bay
d	C	Authorized sand mining
i	PC	Educate school children on envt
i	MP	Mobilise the community to initiate income generating activities
i	P	Use media to sensitize community
d	AC	Exposure visits
d	P	Feed back from forums & platforms
d	P	Making environmental reports
i	WP	Stringent laws on water usage
m	W	Building of small reservoirs
m	LC	Non-polluting washing bay
m	L	Ecosan toilets
d	A	Promotion of floriculture
d	A	Tea growing
u	A	Organic farming
u	T	Campsite
m	T	Tour guiding
u	A	Rear animal according to land capacity

Scale	Category	Regional / national
u+d+m	P	Enforcement of laws and policies
u	P	Put means of preventing animals destroying crops
i	P	Harmonise working relationship between gazetted areas and the community
m	P	A sense of ownership by policy makers about NRM
m+d+i	P	Environmental Monitoring, reports + independent body at regional level to look into environmental and natural resource mgt issues
d+i	P	Mass sensitization about NRM
m+d	P	education
i+m	P	Policies on family planning - population growth control
u	I	Construction of feeder roads
m	P	Protection of wild life
m	T	Promotion of tourism in Rwenzori region
d	TC	Non polluting hotels
u	M	Lowest price for agricultural products - no access to good prices
u	M	Value addition to maize and millet
d	H	Herbal medicine clinic & training centre block
u	H	Construction of health centres
m	P	Policies on non-Biodegradable materials
m	W	Bore hole
u+d	P	Environmental monitoring for the whole of Rwenzori region + Feed back from forums/ platforms
i	P	Translate available policies on NRM into local language
i	M	Subsidies for tree seedlings
i	P	Government should work with corporate bodies which cause pollution for contribution
u+i	I	Rural electrification
m	P	Sensitization on environmental conservation
m	C	Restoration of degraded river banks
u	M	Loaning farmers at a minimum percentage rate

Are on the final picture of the regional strategy (meaning the "action implementation sheets" have been made)

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E.N.C.O.R.E. : coupled dimensions of change for a target group *(Ferrand, le Bars, 2004)*

- External: external (to the group) change in sustainability
  - *Environmental / Political / Economical*
- Normative: changing participants' values and preferences
- Cognitive: changing participants' representations and beliefs
- Operational: changing participants' practices and actions, within and outside the group and process
- Relational: changing participants' social relationships
- Equity: changing the social justice' regime (distribution of resources, equity) among participants and outside

 A generic framework to <u>observe and describe</u> multi-dimensional change, but not to prescribe (non normative)

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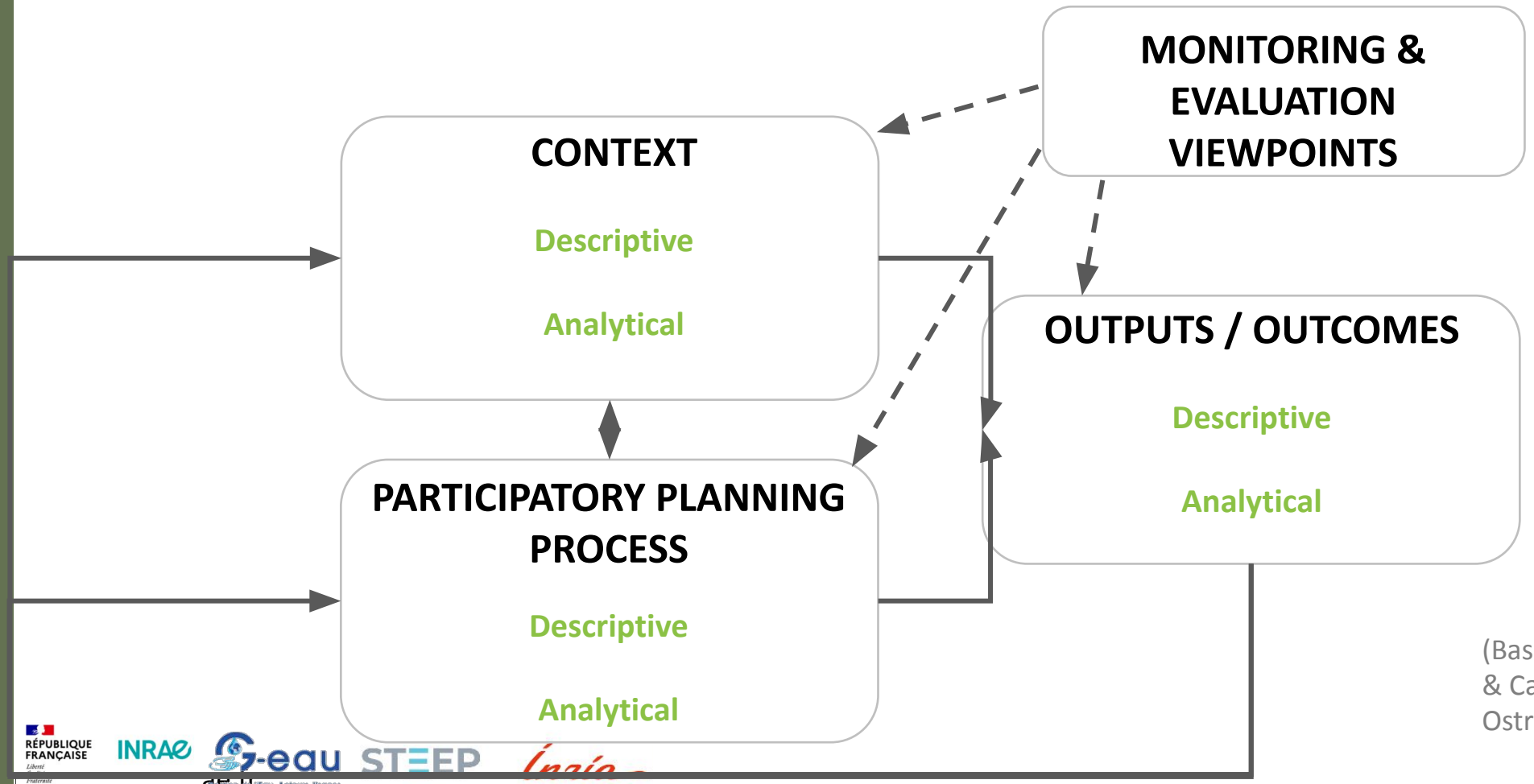
An overall approach of M&E (Hassenforder, 2015)



(Based on Ferrand & Daniell, 2006; Beierle & Cayford, 2002; Midgley et al., 2013; Ostrom, 2005; Sabatier, 1988)

M&E Frameworks
(Hassenforder, 2015)

DESCRIPTIVE FRAMEWORK
COPP = Comparison of Participatory Processes

ANNEX 1: Framework application template

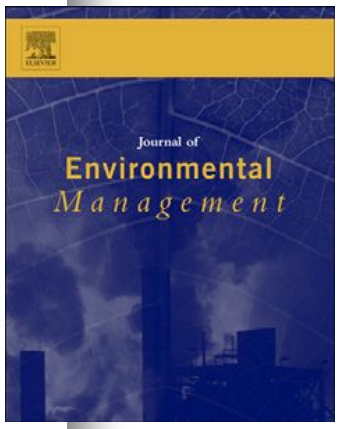
A. Context-related characteristics

A1 What are the *system elements* the participatory process targets to improve?
(Multiple options can be chosen ☑)
- ☐ Natural / Environmental: e.g. water, forests, wetlands
- ☐ Economic: e.g. labor, import-export
- ☐ Social: e.g. livelihoods, migration
- ☐ Political: e.g. votes, policies
- ☐ Urban: e.g. infrastructures, housing
- ☐ Health: e.g. facilities, equipment
- ☐ Technological: e.g. internet
- ☐ Educational: e.g. curriculum, classes

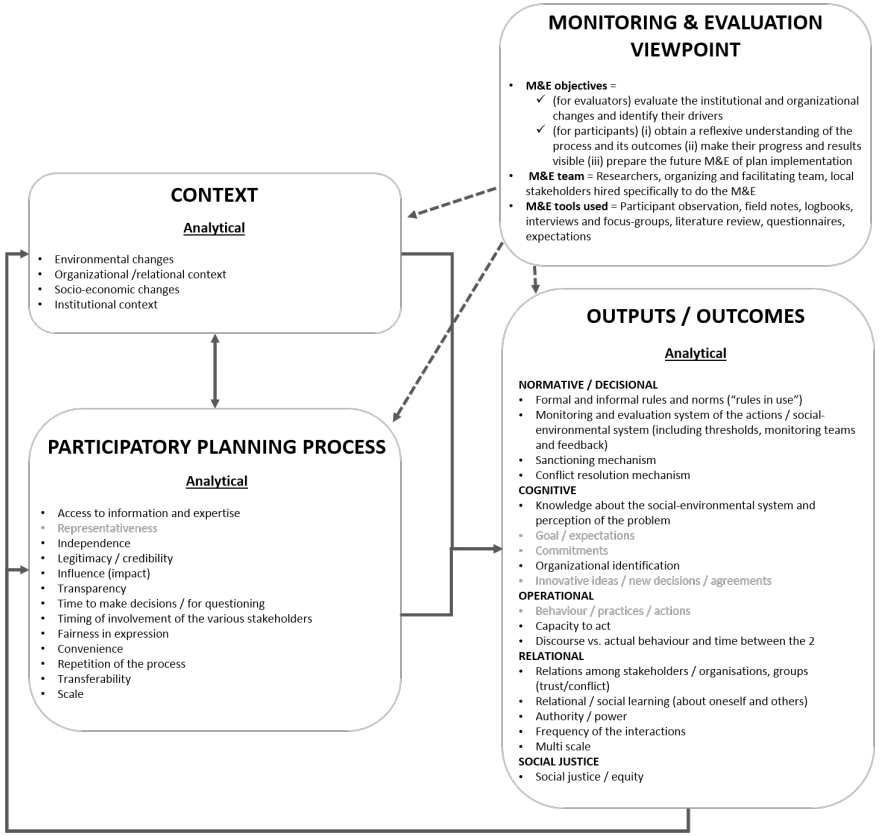
A2 Which *levels of governance* are critical influencers of the target system elements?
(Multiple options can be chosen ☑)
- ☐ Macro (national or larger)
- ☐ Meso (subnational)
- ☐ Micro (village or group of villages)

A3 Have there been *previous intervention attempts* aiming to influence the selected target system elements?
- ☐ Many
- ☐ Few
- ☐ None

A4 What *relationships existed between participants* before the participatory process started?
- ☐ No pre-existing relationship
- ☐ High degree of mistrust / conflict
- ☐ Moderate trust and conflict
- ☐ Good pre-existing relationships and trust



ANALYTICAL FRAMEWORK
MEPPP = M&E of Participatory Planning Processes



M&E methods

PUNCTUAL

Attendance lists
Pictures and videos
Interviews
Expectations
Participant observation
Questionnaires

EX-ANTE

Baseline studies
Document review
Stakeholder analysis
Interviews

EX-POST

Interviews

LONG TERM

Regular contacts with the team and key stakeholders

Workshop 1 April 2012

Workshop 2 August 2012

Workshop 3 January 2013

Workshop 4 July 2013

PERMANENT

Logbook

A global M&E approach

Encore-Me
Evaluating impacts

PERMANENT (everyday)

Logbook 1: Overall process

Tracking all stakeholders interventions, sessions, interactions, events, operational change, and other external or contextual factors

Events' file

3 forms/files:
-Events
-Participants
-Participants/Events

Events' form

Logbook 2: Local scale process

For entering all the M&E documents related to the local sessions

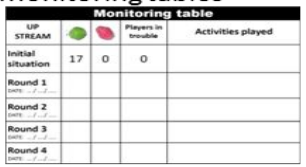
4 forms/files:
-Monitoring tables
-Rapporteur debriefing sheet
-Facilitator debriefing sheet
-Simple questionnaire

PUNCTUAL MESO & LOCAL scales

Attendance list

Pictures and videos

Monitoring tables



Monitoring table

UP STREAM			Players in trouble	Activities played
Initial situation	17	0	0	
Round 1				
Round 2				
Round 3				
Round 4				

Expectations

Interviews

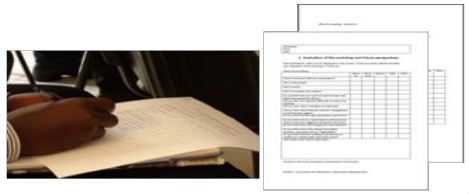
PUNCTUAL MESO scale

Participant observation

By researcher

By Facilitators

Thorough Questionnaires



PUNCTUAL LOCAL scale

Participant observation

By rapporteurs (local observers)

Rapporteur debriefing sheet

By Facilitators

Facilitator debriefing sheet

Simple Questionnaires

Pictures and videos of the documents

Transfer to researchers via logbook 2

Self-Assessment with ENCORE framework

For your preferred case study / research situation with participation:

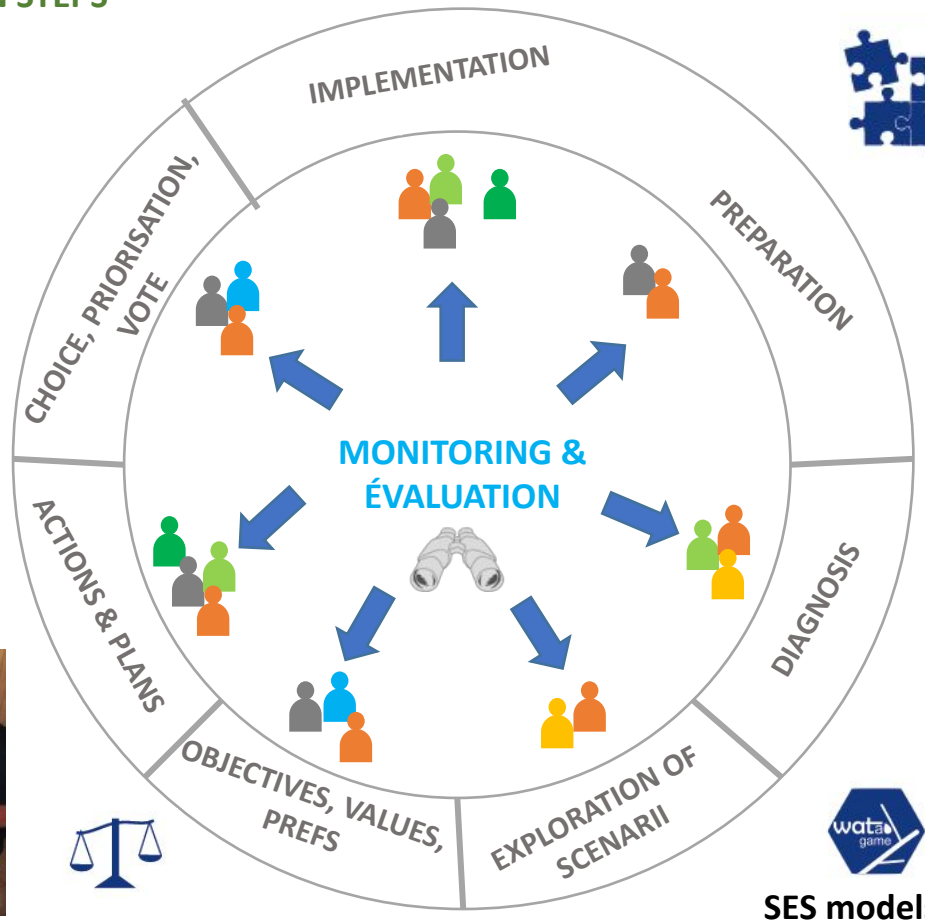
- What are the anticipated / possible changes throughout the process ?
  - in External / Normative / Cognitive / Operational / Relational / Equity terms
    - Please include also “negative” changes / risks

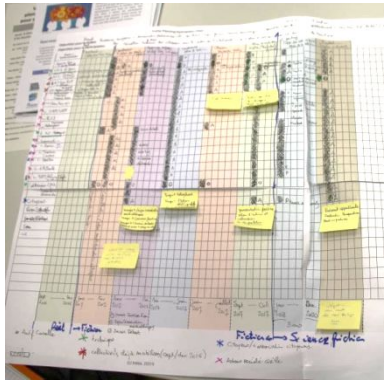
- Among them, which ones are expected vs. feared, by:
  - the researcher(s) (you & others)?
  - the participants?

- Can you qualify these changes as research topic, goal or side effect ?

CoOPLAaGE decision steps & tools

7 DECISION STEPS





Participatory process planning

Strategic planning

Gouvernance diagnosis

Values ad distributive justice

SES models and simulation

© emeline.hassenforder@cirad.fr, 2019

CoOPLAdGE

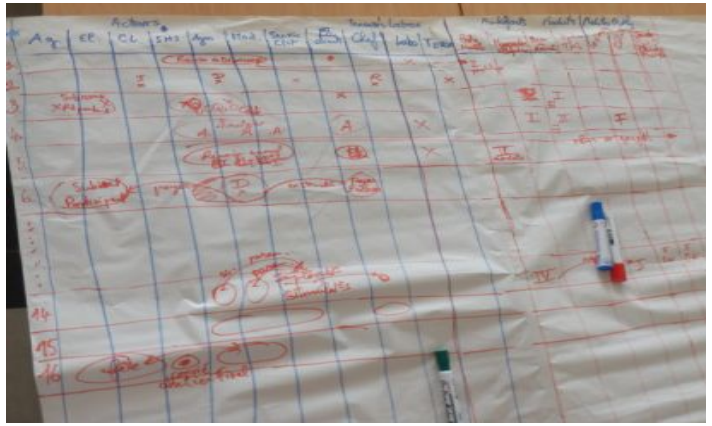
PrePar

Preparing design of the decision process

Pre-Participation
Let-them decide their own participation' program and rules

- *Participation / decision procedures are usually decided « from the top » and imposed (tentatively) to participants*

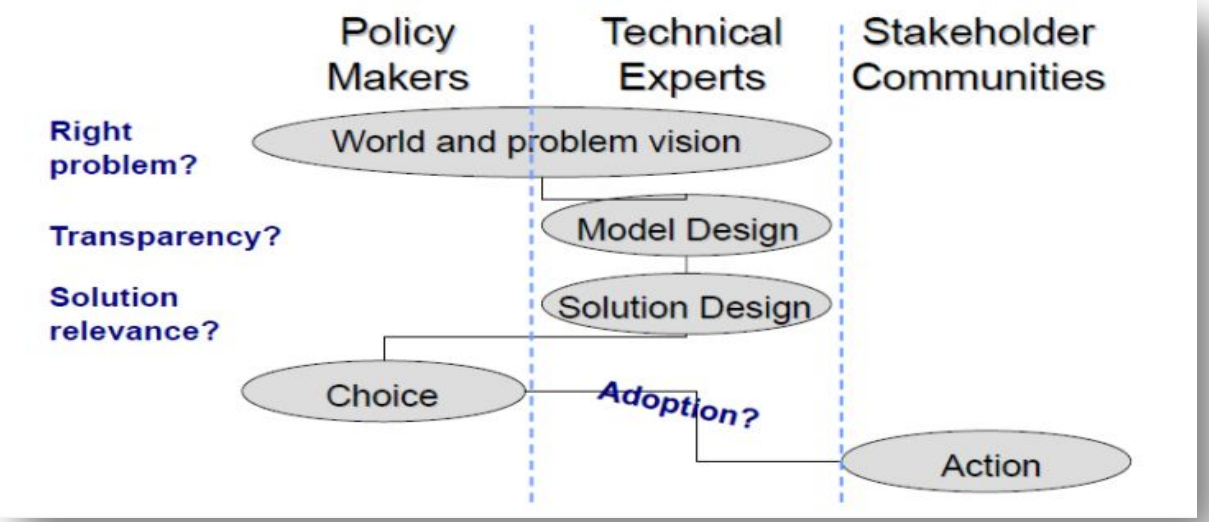
→ A deliberation on decision process, roles and rules



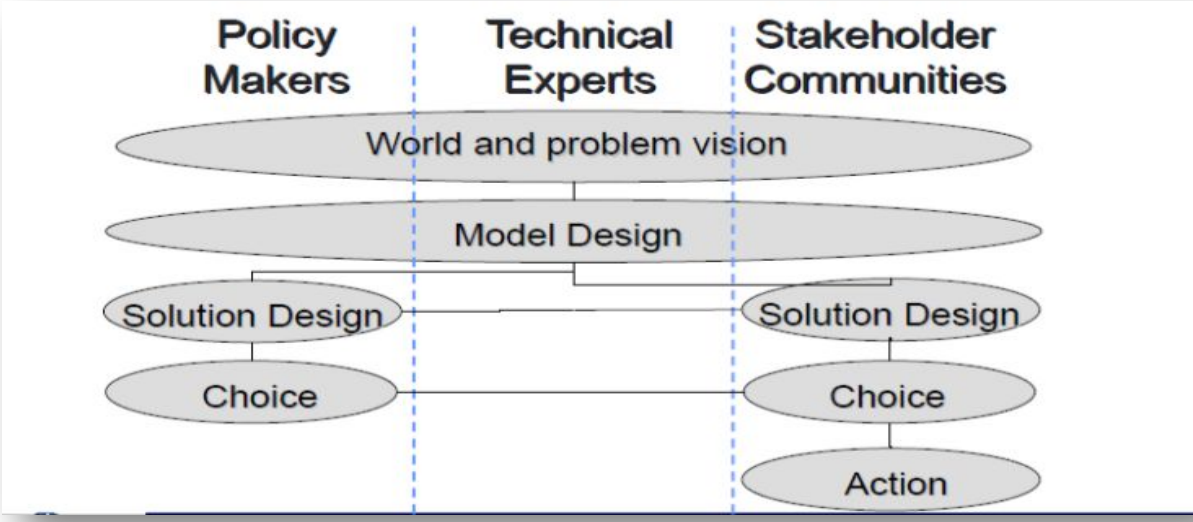
PrePar

Preparing design of the decision process

Deciding roles and methods for participatory transition processes



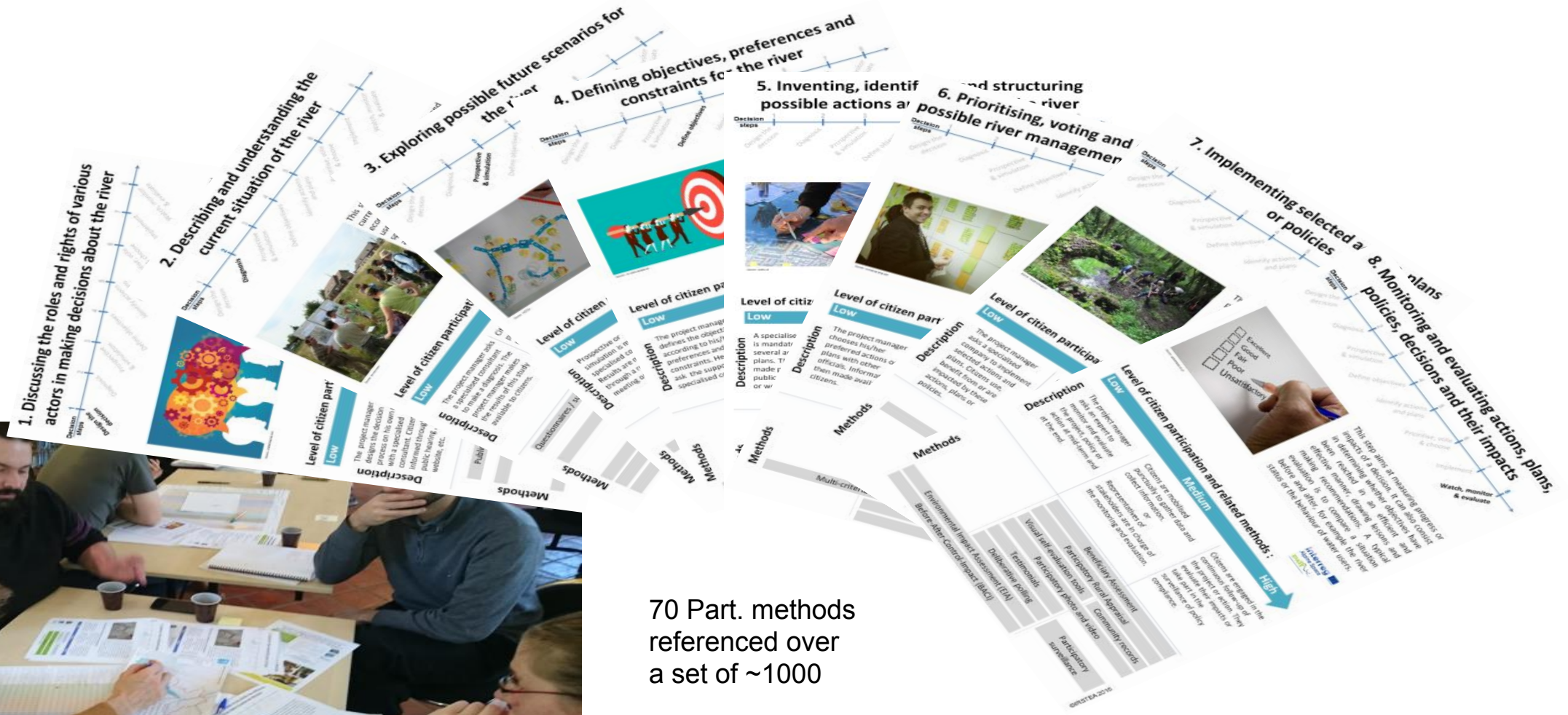
Or ?



1. (participatory) stakeholders analysis : who ?
2. Deciding procedural needs (steps, stages, …)
3. Discussing roles and engagement
4. Choosing (participatory) methods for each step : how ?
5. Discussing regulation, litigation, risks
6. Commitment

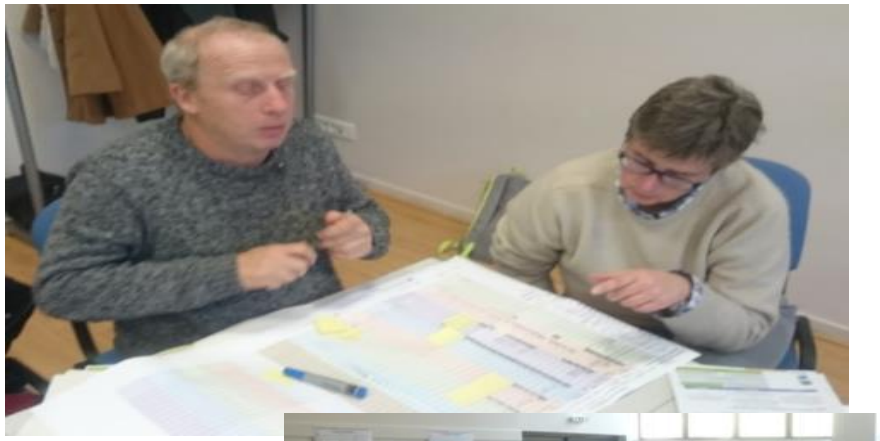
Pre-requirement : addressing decision steps

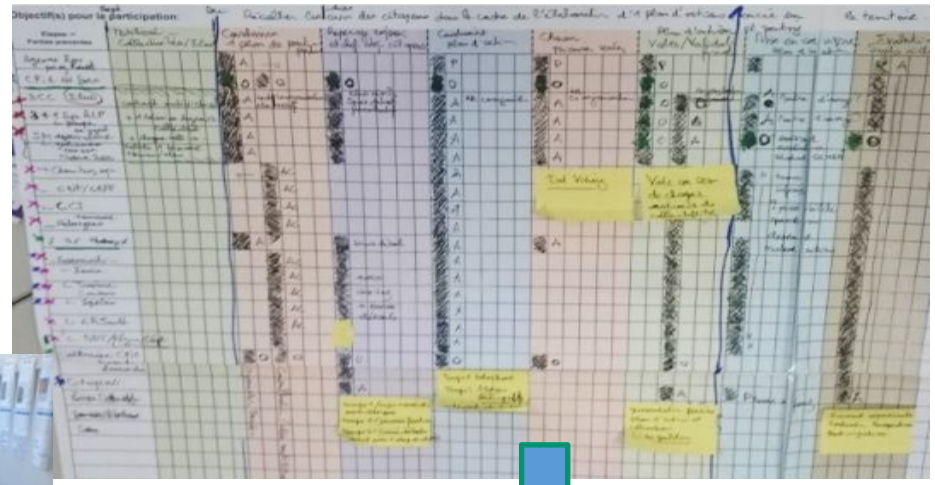
- PrePar phase 1 → participants discuss Decision Steps and assess the required « intensity » of participation

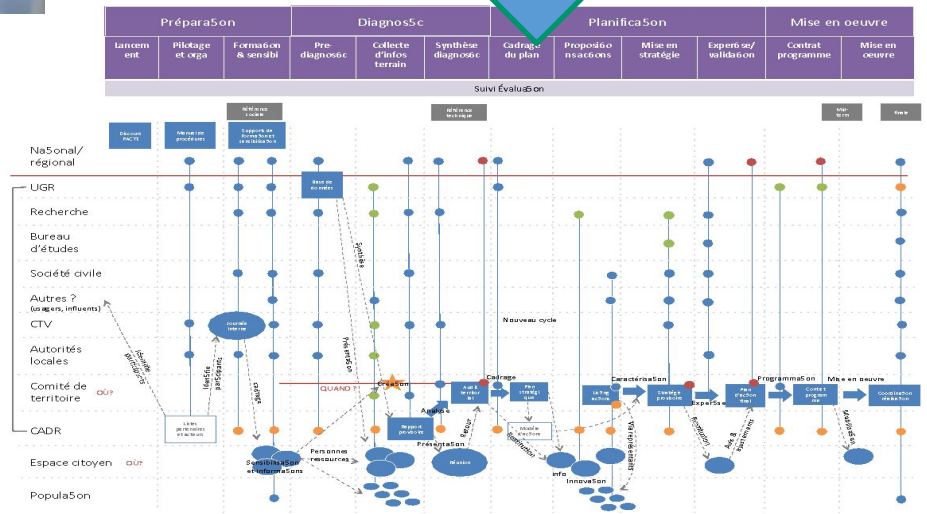


70 Part. methods referenced over a set of ~1000

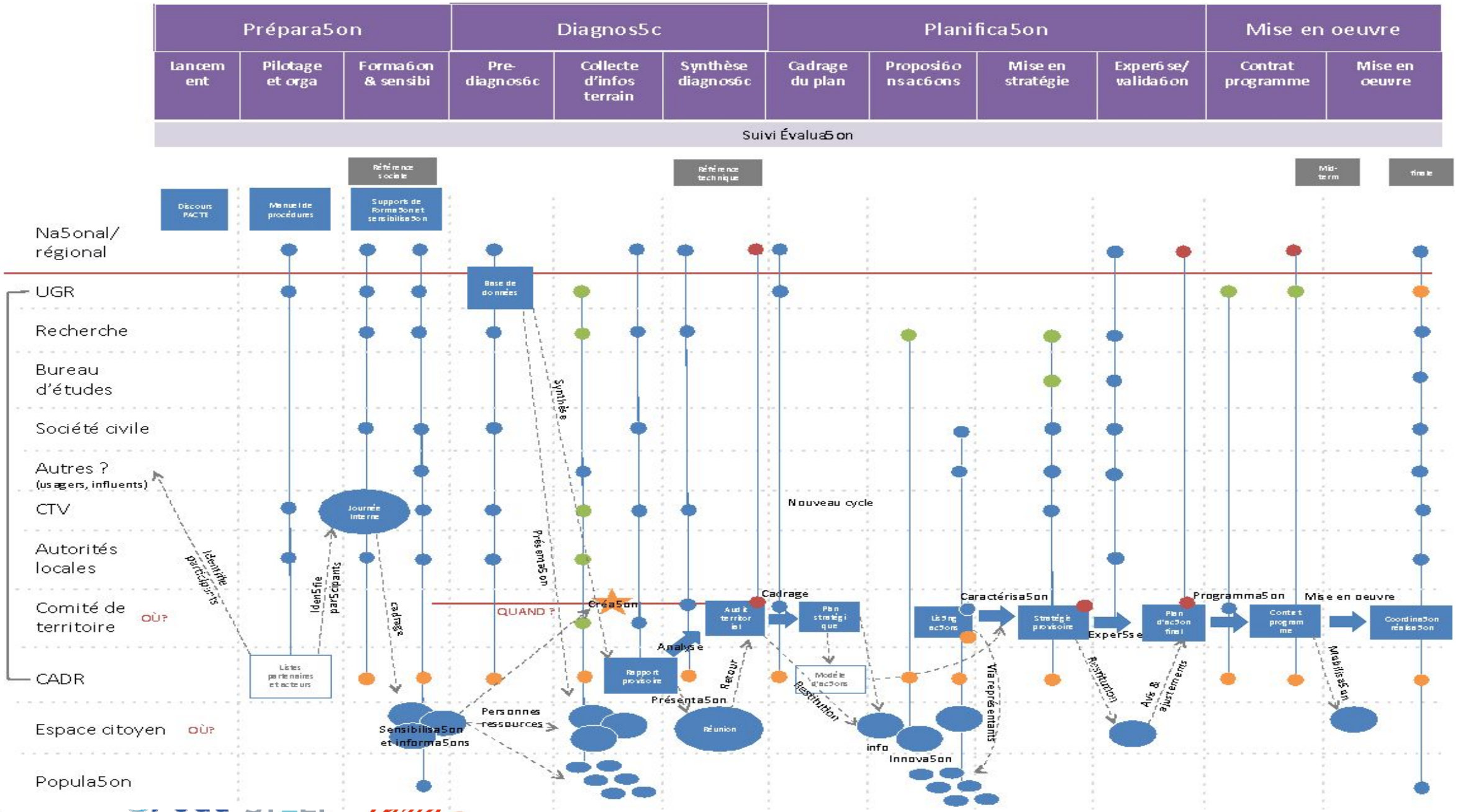
PrePar phase 2: co-designing participation plan







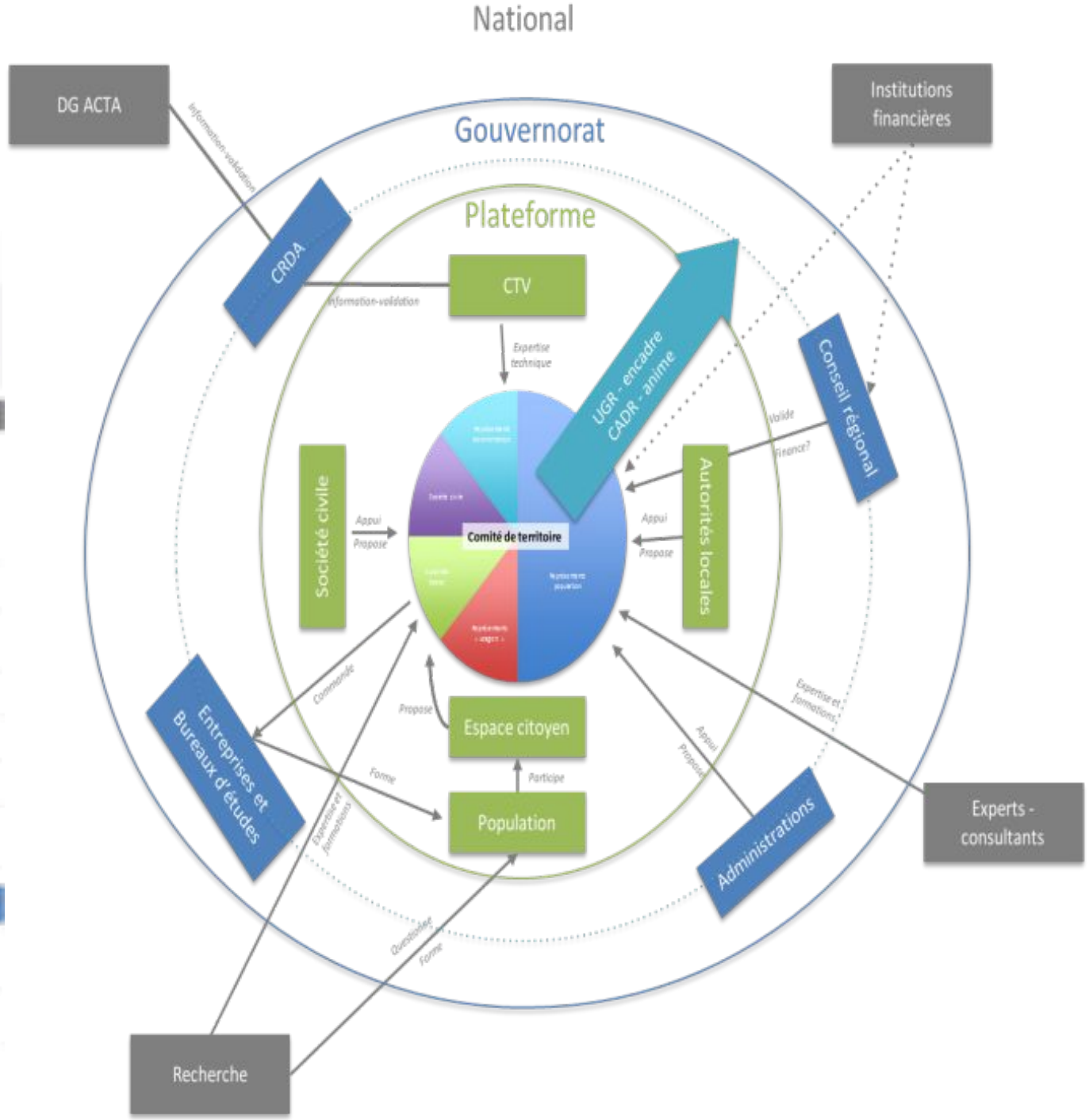
Deciding and organizing participatory activities to get a final engagement plan, with all roles and actions


Préparation
Diagnostic
Planification
Mise en oeuvre
Lancement
Pilotage et orga
Formation & sensibi
Pre-diagnostic
Collecte d'infos terrain
Synthèse diagnostic
Cadrage du plan
Propositions actions
Mise en stratégie
Expertise/ validation
Contrat programme
Mise en oeuvre
Suivi Évaluation
Référence sociale
Référence technique
Mid-term
finale
Discours PACTE
Manuel de procédures
Supports de Formation et sensibilisation
National/ régional
UGR
Recherche
Bureau d'études
Société civile
Autres ?
(usagers, influents)
CTV
Autorités locales
Comité de territoire
OÙ?
CADR
Espace citoyen
OÙ?
Population
Base de données
Journée interne
Identifie participants
Identifie participants
cadrage
Synthèse
Préparation
QUAND ?
Création
Analyse
Rapport provisoire
Présentation
Réunion
Personnes ressources
Sensibilisation et informations
Listes partenaires et acteurs
Retour
Cadrage
Nouveau cycle
Audit territorial
Plan stratégique
Modèle d'actions
Restitution
Listing actions
Caractérisation
Stratégie provisoire
Via repréentants
info
Innovation
Expertise
Restitution
Avis & ajustements
Plan d'action final
Programmation
Contrat programme
Mobilisation
Mise en oeuvre
Coordination réalisation

e.g. Tunisian governance adaptation

Supporting multi-level participatory process design in Tunisia

Engineering governance : process & structure



Your task with PrePar → design the actors' engagement procedure in the research

1. Choose (quickly) a shared case study by small groups
2. Remind & share the research question(s)
3. Read & share the ENCORE changes you worked out previously
4. List the actors' categories - max 8 (incl. e.g. researchers, facilitators, types of participants, policy makers, impacted but not included, etc)
5. List the sequence of needs or goals, step after step in the participatory process, starting from the design phase
6. Build a cross-table actors (vertical)-staged goals (as follows)
7. For each staged goal, propose one or more (participatory) action to achieve it
8. In column, for each action specify each actor's role or commitment:

Organizer, pilot / **A**ctive, primary contributor / **P**assive, follower, listener / (__) non present

9. Add at the bottom any product, outcome, artefact, result expected from action

PrePar Matrix

Staged goals / stages

Objectif(s) pour la rivière:

Objectif(s) pour la participation:

ACTORS

Outcomes

- ■ **O**rganizer, pilot
- ☒ **A**ctive, primary contributor
- ⊟ **P**assive, follower, listener
- □ **(empty)** = absent

Conclusion / discussion

Please discuss your analysis with another group and comment your analysis.

1. How would you now define participation in research and research on participation and transformation ?
2. What are the new questions emerging for you ?

And welcome for any other discussion.

Thank you !