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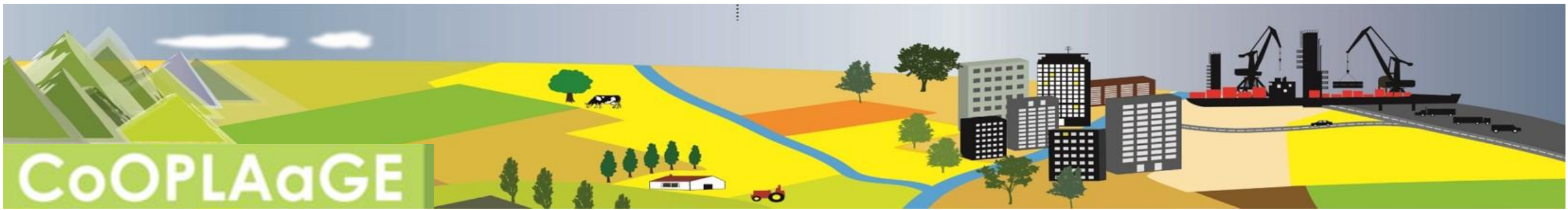
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Exploring the design of participatory and transformative research, and research on participatory transformation



Workshop

Nils Ferrand^{ab}, Wanda Aqua-Gaudi^c

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

*c. **Wanda aka.** Emeline Hassenforder, Patrice Garin, Géraldine Abrami, Bruno Bonté, Raphaele Ducrot, Sylvie Morardet, Benjamin Noury, Julie Latune, Eva Perrier, Sarah Loudin, Patrice Robin, Laura Seguin, Julien Burte, Rémi Lombard-Latune, Caroline Lejars, Olivier Barreteau, Méline Aucante,*

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



- 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

PREPARE PARTICIPATION

DIAGNOSIS

SCENARIO EXPLORATION

DEFINITION OF OBJECTIVES AND PREFERENCES

IDENTIFICATION OF ACTIONS AND PLANS

CHOICE, PRIORISATION AND VOTE

IMPLEMENTATION

MONITORING AND EVALUATION

Citizen's perspective



We will respect our own rules

We know what is happening around us



Now we understand the big picture

We know what we want



We, too, have good proposals to make

In democracy, our voice count



Let's do it!

Are we getting there?



Participatory tools

PrePar
Preparing design of the decision process



Rock
Observing the river



Smag
Establishing a territorial diagnosis

Wat-A-Game
Modeling & role-playing-games



Just-A-Grid
Discussing justice principles



Cooplan
Building action plans



Encore-Me
Evaluating impacts



Ex. in Uganda (2012-2014)



COOPPLAAGE

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 Afrumaison 2011-2014)

Fogera (Ethiopia) *Agriculture intensification and soil degradation in uncertain land tenure context*

Procedural agreement Focal issue Actions identification Planning Role-playing game Implementation plan

Rwenzori (Uganda) *Proposal and validation of INRM plan in context of overexploitation of land and resources*

Source: E. Hassenforder, 2015

Co-design the process itself
Share equity preferences

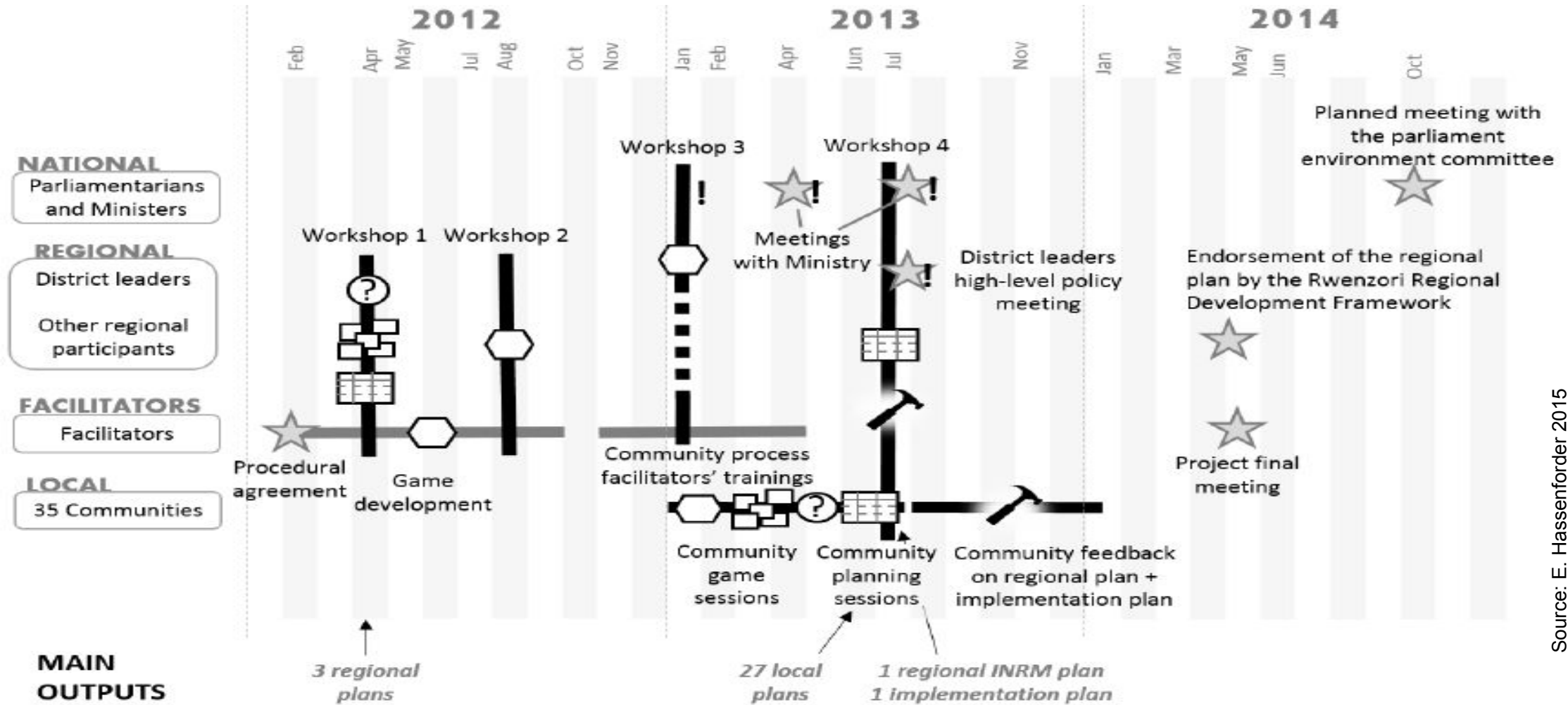


Propose actions
Build and assess integrated strategies



Build own model
Simulate new actions and norms

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



Source: E. Hassenforder 2015

CAPTION



Discussion, meeting (including Procedural agreement Phase 1)



Focal issue (Phase 2)



Action proposal (Phase 3)



Planning (Phase 4)



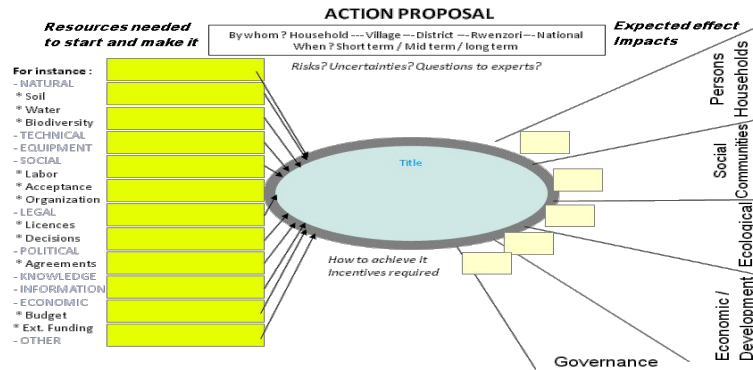
Test of the plan using game (Phase 5)



Implementation plan (Phase 6)



COOPLAN: confronting heterogenous actions and strategies at all levels



Example : outcoming strategy And.. YES ! It's implemented.

Strategy Household Short Term (ordered)

- Energy saving stoves
- Adopt energy saving technology at HH level (solar & biogas)
- Tree planting
- Tree nursery beds
- Education
- Conservation methods of farming + organic farming / Better methods of agriculture
- Control pollution of soil/water/air
- Mutual Information sharing and documentation
- Family planning

Uganda– 2013

27 communities strategies

+

3 meso-level strategies




Proposed regional INRM strategy



Final draft INRM strategy (soft version)

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

Scale	Category	Household	Scale	Category	Community	Scale	Category	Regional / national
m+u	E	Energy saving stoves	d	P	Information sharing and doc	u+d+	P	Enforcement of laws and policies
i+m	E	Adopt energy saving technology at HH level (solar & biogas)	m+d	P	Education	m		
u+m+	AC	Tree planting	+u			u	P	Put means of preventing animals destroying crops
d+i			u+d	AC	Tree planting		i	P Harmonise working relationship between gazetted areas and the community
u	A	Tree nursery beds	i+m	AC	Tree nursery beds		m	P A sense of ownership by policy makers about NRM
m	P	Education	u	P	Reporting environmental encroachers to relevant authorities		m+d	P Environmental Monitoring, reports + independent body at regional level to look into environmental and natural resource mgt issues
m+d+	A	Conservation methods of farming + organic farming / Better methods of agriculture	m+i	P	Establishment of Environmental committees		+i	
u			i+m+	P	Community bye-laws on sustainable NRM (formulation & Enforcement)		d+i	P Mass sensitization about NRM
d	P	Control pollution of soil/water/air	u+d	P	Sensitization about NRM + extension of the game		m+d	P education
W			u+m	PA	Demonstration centres and plots		i+m	P Policies on family planning - population growth control
C			d	A	Vegetable growing		u	I Construction of feeder roads
d	P	Mutual Information sharing and documentation	u+m	MP	Collective marketing and establishing markets		m	P Protection of wild life
m+d	PL	Family planning	u	A	Zero grazing		m	T Promotion of tourism in Rwenzori region
m+d	A	Food crop / vegetable growing	i	P	Proper land use planning		d	TC Non polluting hotels
m	A	fruit growing	d	CP	Demarkation of wetlands		u	M Lowest price for agricultural products - no access to good prices
m	W	Water harvesting	m	A	Making fish ponds		u	M Value addition to maize and millet
u+d	A	Piggery	d	A	Fishing with authorized net		d	H Herbal medicine clinic & training centre block
m+d	A	Bee keeping	m+d	L	Sanitation		u	H Construction of health centres
u	A	Community members to construct terraces	m	AH	Herbal medicine clinic and training centre block		m	P Policies on non-Biodegradable materials
u	A	Coffe growing	d	W	Borehole		m	W Bore hole
m	A	Kitchen gardens	d	W	Pump		u+d	P Environmental monitoring for the whole of Rwenzori region + Feed back from forums/ platforms
u+m	L	Sensitization on and proper disposal of non Biodegradable materials	d	T	Promotion of tourism in the Rwenzori region		i	P Translate available policies on NRM into local language
			d+m	T	Camping site		i	M Subsidies for tree seedlings
			d	LC	Non-polluting washing bay		i	P Government should work with corporate bodies which cause pollution for contribution
			d	C	Authorized sand mining		u+i	I Rural electrification
d	A	Nursary beds	i	PC	Educate school children on envt		m	P Sensitization on environmental conservation
u	AC	Agroforestry	i	MP	Mobilise the community to initiate income generating activities		m	C Restoration of degraded river banks
m	A	Eucalyptus growing	i	P	Use media to sensitize community		u	M Loaning farmers at a minimum percentage rate
m	A	Tea growing	d	AC	Exposure visits			
d	C	Proper soil and water conservation	d	P	Feed back from forums & platforms			
W			d	P	Making environmental reports			
d+u	P	Family planning	i	WP	Stringent laws on water usage			
u	W	Rain water harvesting for domestic use	m	W	Building of small reservoirs			
u+d	E	Biogas	m	LC	Non-polluting washing bay			
m	E	Energy saving stoves	m	L	Ecosan toilets			
u	EC	Authorised charcoal burning	d	A	Promotion of floriculture			
d	L	Proper waste management	d	A	Tea growing			
m	L	Ecosan toilets	u	A	Organic farming			
d	H	Family medicine plant gardens	u	T	Campsite			
			m	T	Tour guiding			
			u	A	Rear animal according to land capacity			

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

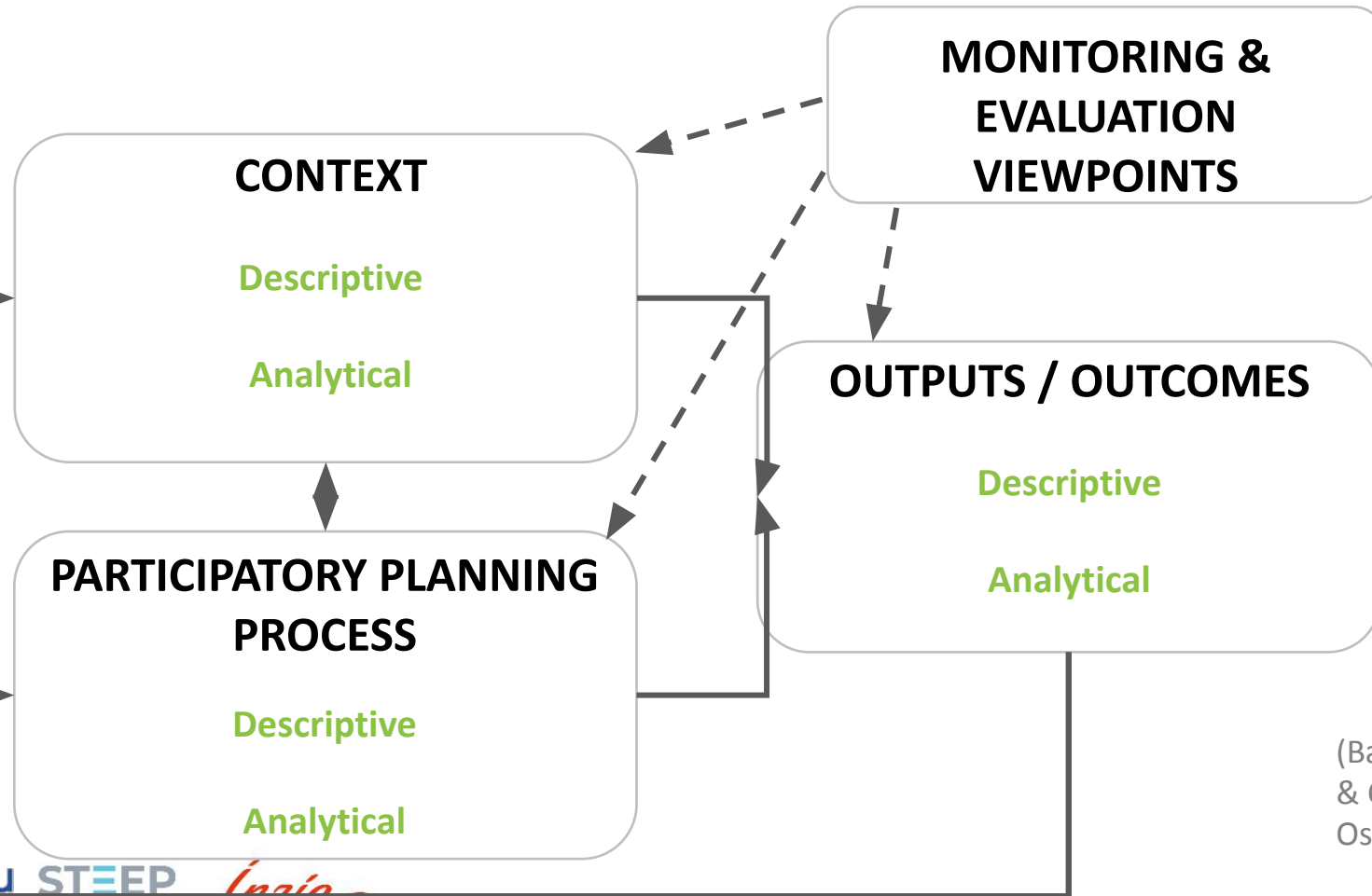


E.N.C.O.R.E. : coupled dimensions of change for a target group *(Ferrand, le Bars, 2004)*

- 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 observe and describe multi-dimensional change, but not to prescribe (non normative)*

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

ANALYTICAL FRAMEWORK

MEPPP = M&E of Participatory Planning 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)

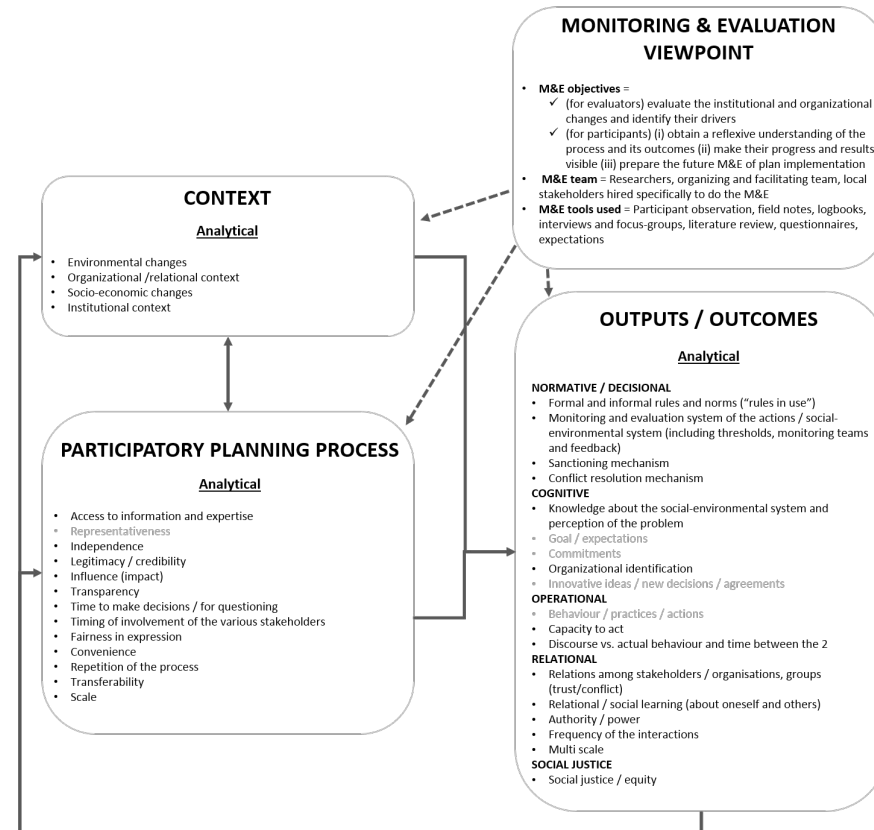
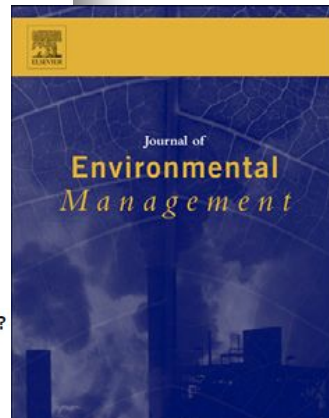
- Macro (national or larger)
- Meso (subnational)
- Micro (village or group of villages)

A3 Have there been *previous intervention attempts* aiming to influence the selected target system elements?

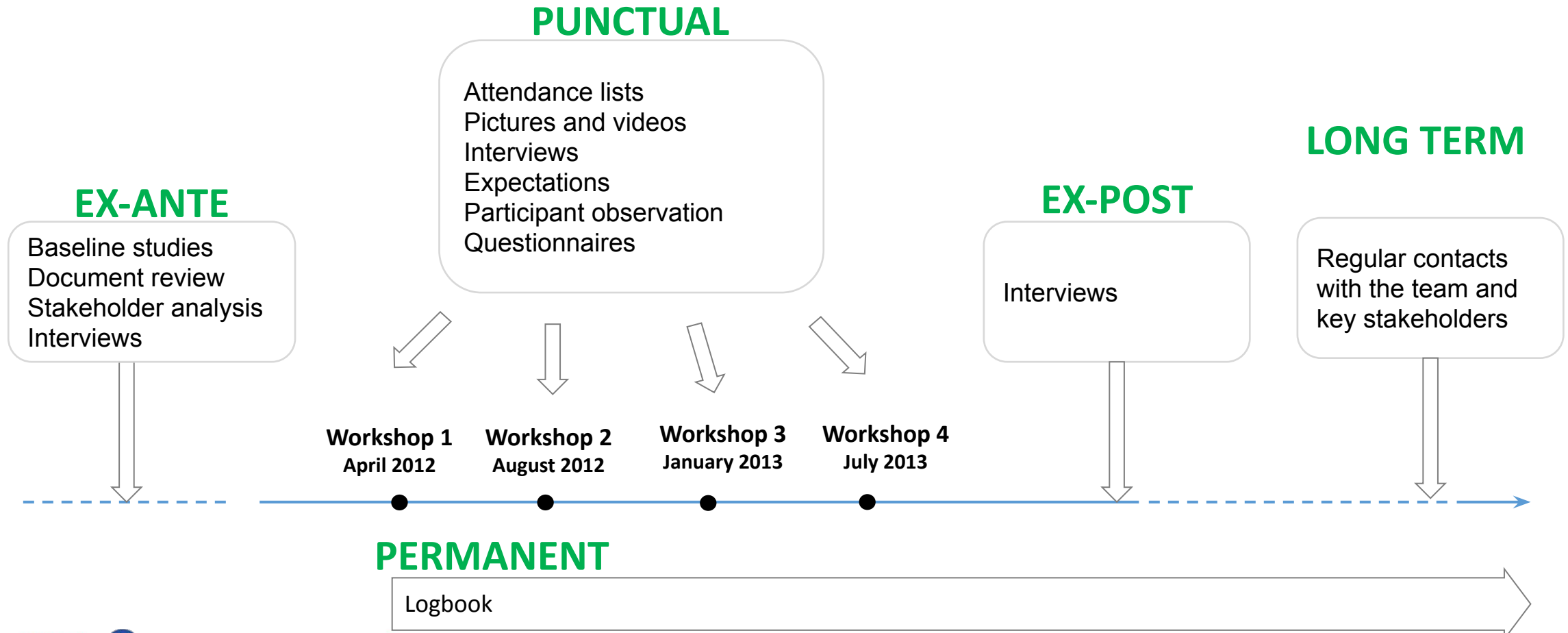
- Many
- Few
- None

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



M&E methods



A global M&E approach

18



PERMANENT (everyday)

Logbook 1: Overall process

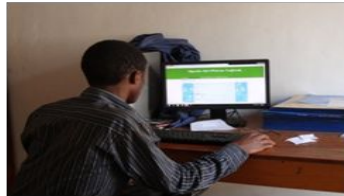
Tracking all stakeholders interventions, sessions, interactions, events, operational change, and other external or contextual factors

Events' file



3 forms/files:

- Events
- Participants
- Participants/Events



Events' form

Date	Time	Location	Participants	Facilitator	Activities	Observations	Remarks
10/10/2011	14h00	Centre de formation	10 personnes	M. M.	Formation
11/10/2011	14h00	Centre de formation	10 personnes	M. M.	Formation

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

Pictures and videos

Attendance list



Monitoring tables

LIP STREAM	Monitoring table		Activities played
	Presence	Presence in trouble	
Initial situation	17	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

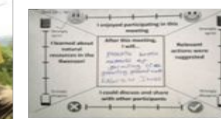


By Facilitators

Facilitator debriefing sheet



Simple Questionnaires



Pictures and videos of the documents



Transfer to researchers via logbook 2



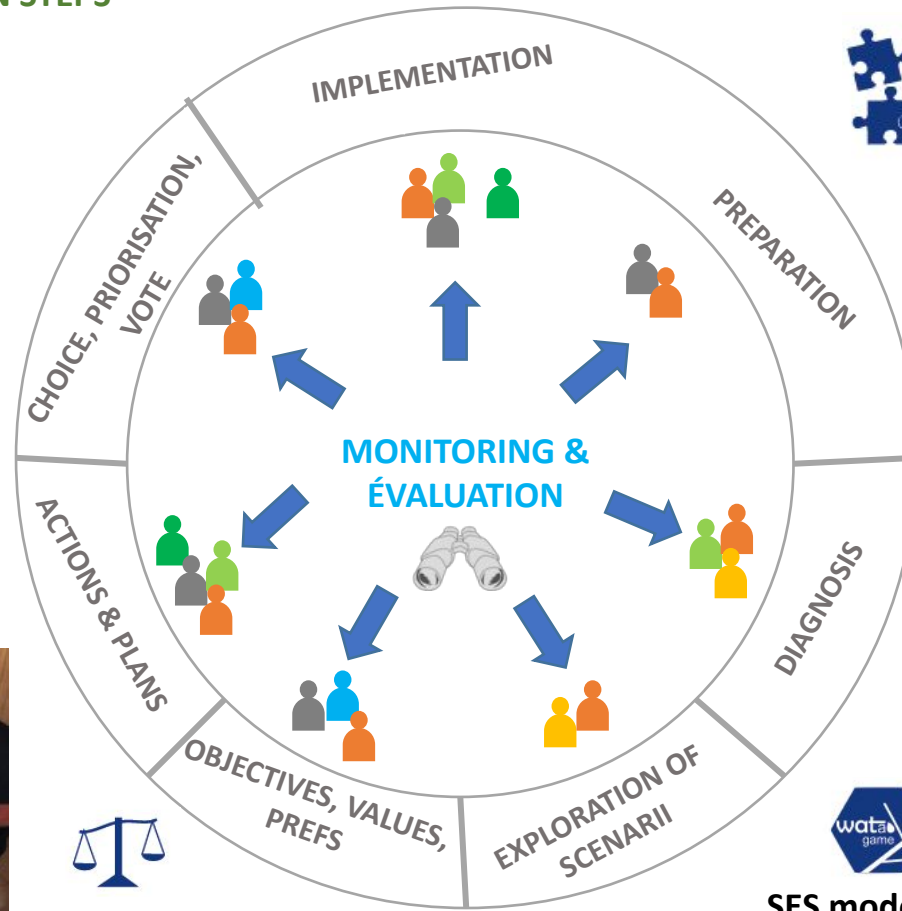
Self-Assessment with ENCORE framework

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

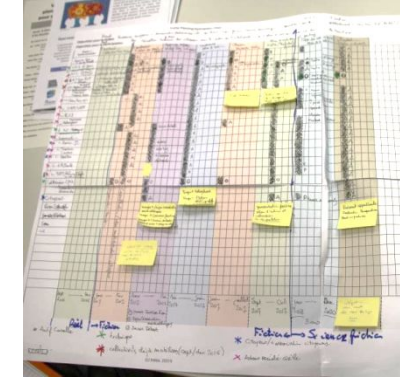
7 DECISION STEPS



Strategic planning



Values ad distributive justice



Participatory process planning



Gouvernance diagnosis



SES models and simulation





Pre-Participation

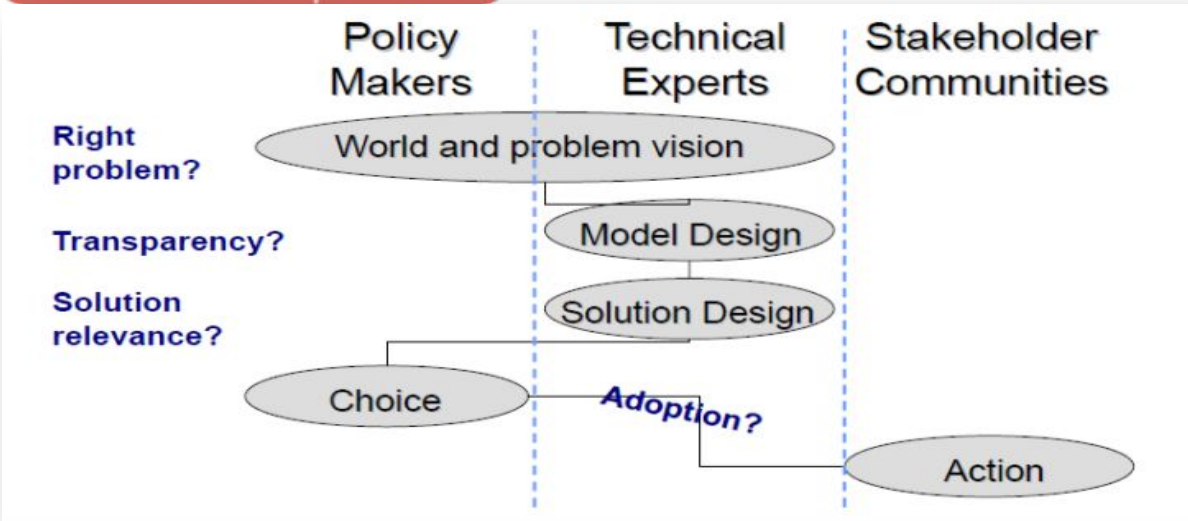
Let-them decide their own participation' program and rules

- *Participation / decision procedures are usually decided « from the top » and imposed (tentatively) to participants*
- A deliberation on decision process, roles and rules

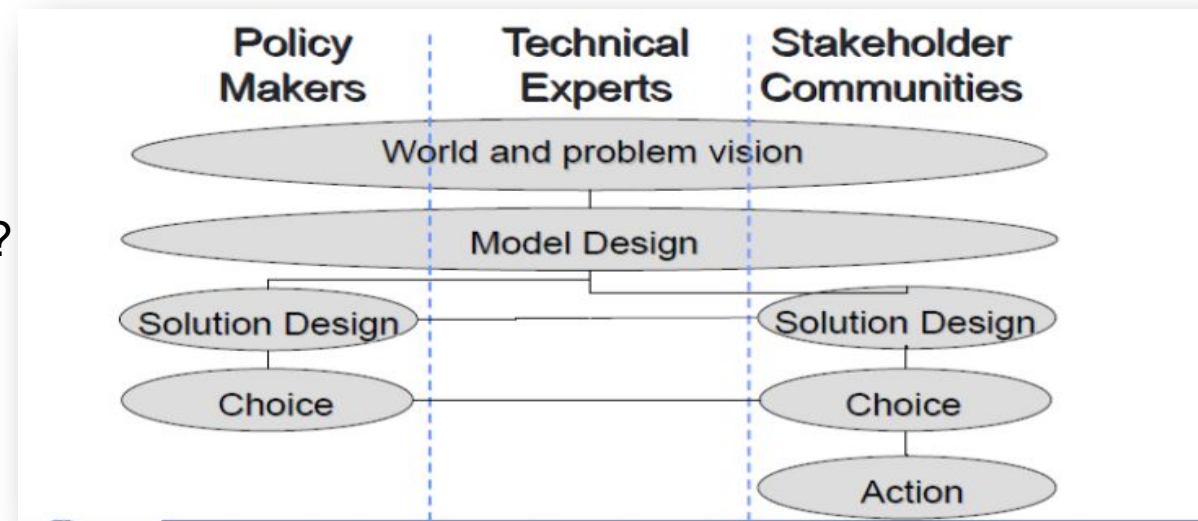




Deciding roles and methods for participatory transition processes



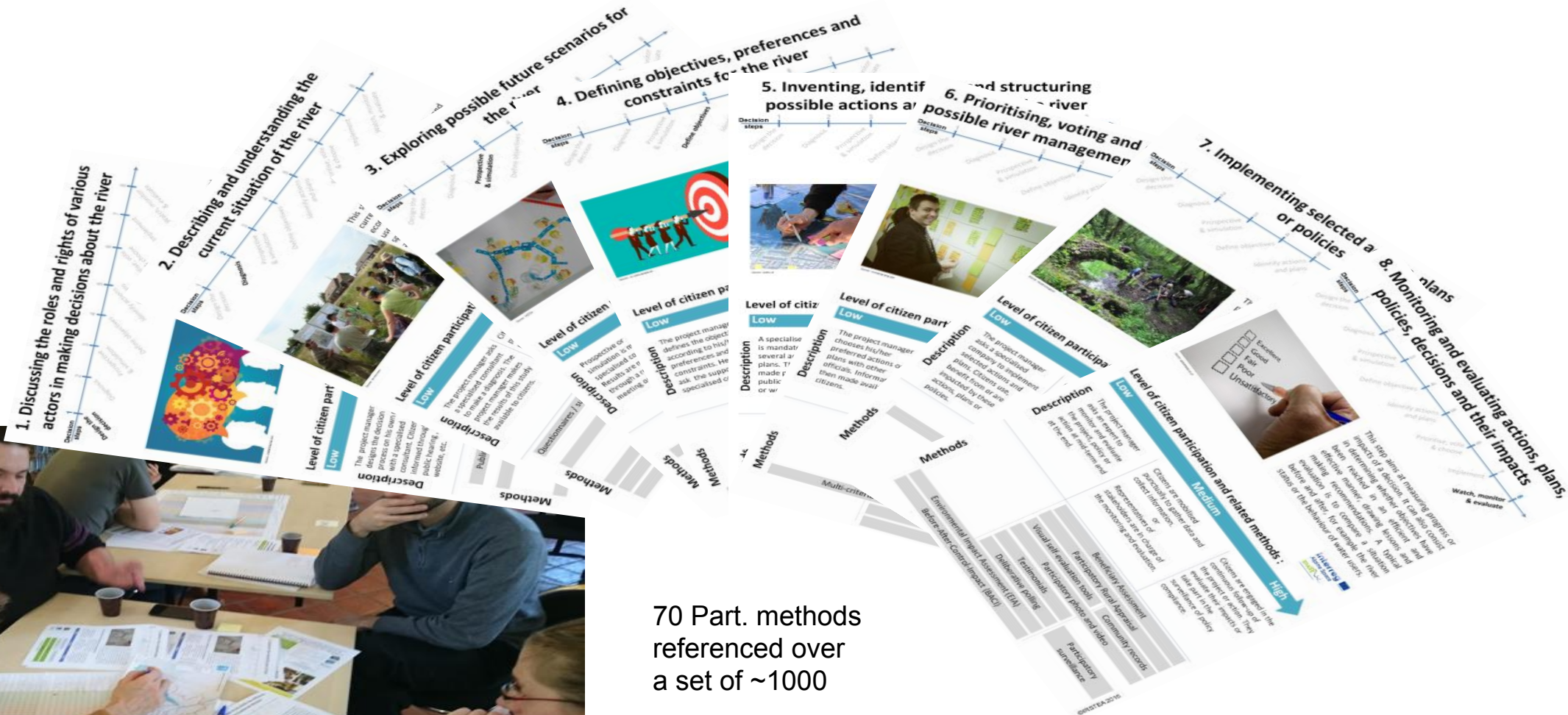
Or ?



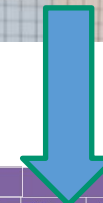
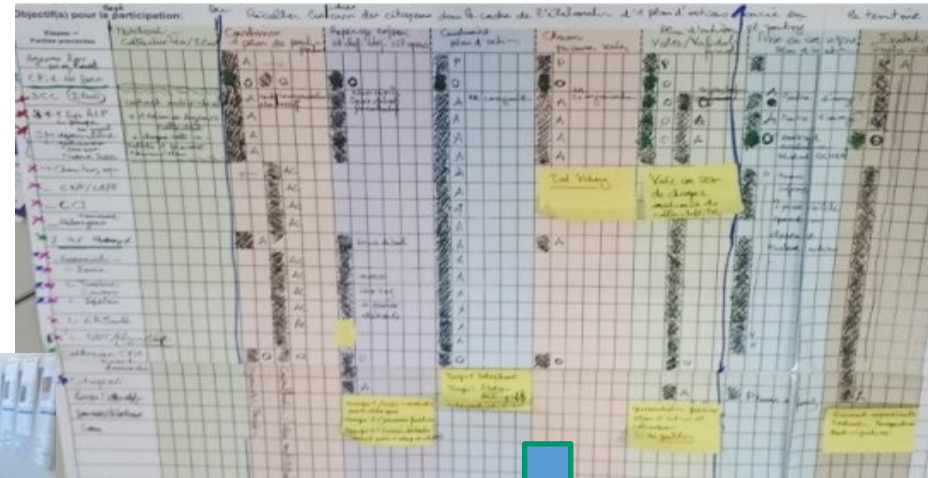
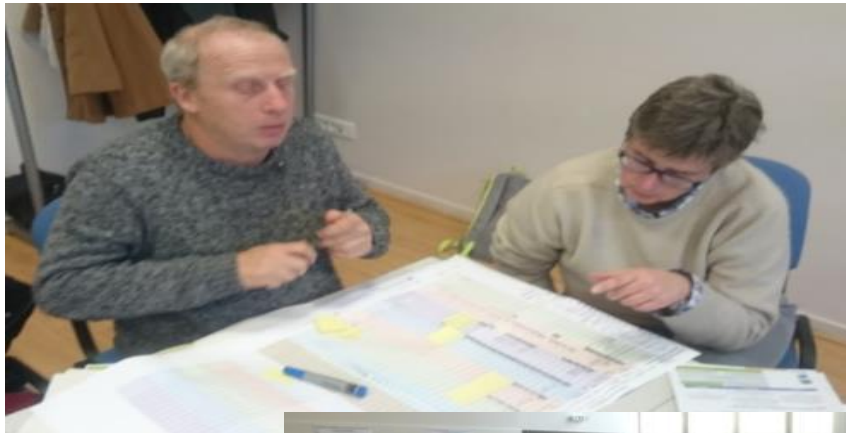
1. (participatory) stakeholders analysis : who ?
2. Deciding procedural needs (steps, stages, ...)
3. Discussing roles and engagement
4. Choosing (participatory) methods for each step : how ?
5. Discussing regulation, litigation, risks
6. Commitment

Pre-requirement : addressing decision steps

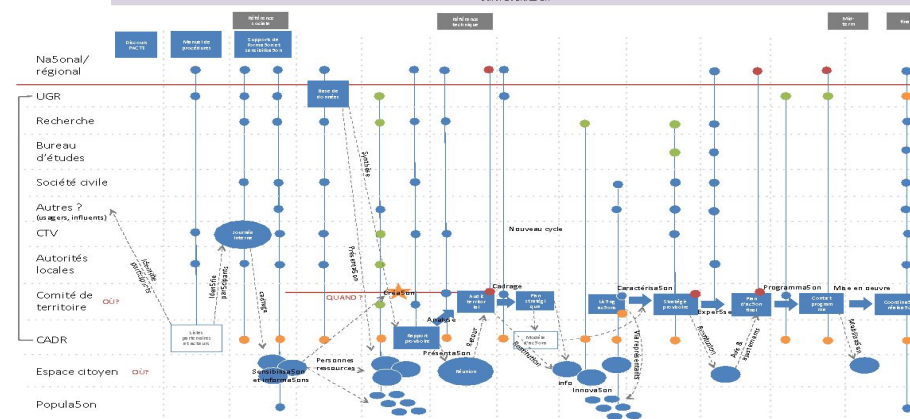
- PrePar phase 1 → participants discuss Decision Steps and assess the required « intensity » of participation



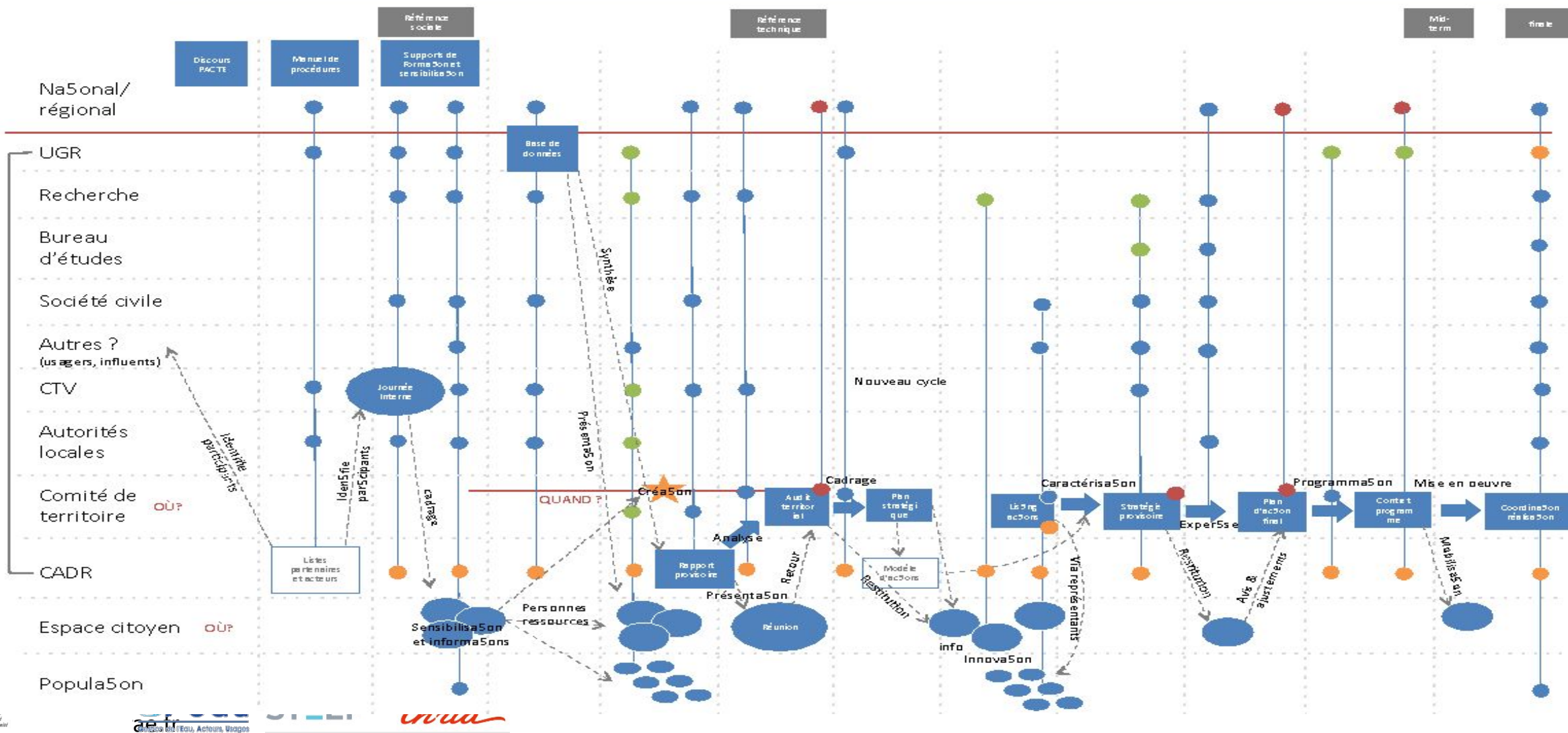
PrePar phase 2: co-designing participation plan



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



Prépara5on			Diagnos5c			Planifica5on				Mise en oeuvre	
Lancem ent	Pilotage et orga	Forma6on & sensibi	Pre-diagnos6c	Collecte d'infos terrain	Synthèse diagnos6c	Cadrage du plan	Propos6o nsac6ons	Mise en stratégie	Exper6se/valida6on	Contrat programme	Mise en oeuvre
Suivi Évalua6on											



e.g. Tunisian
governance
adaptation

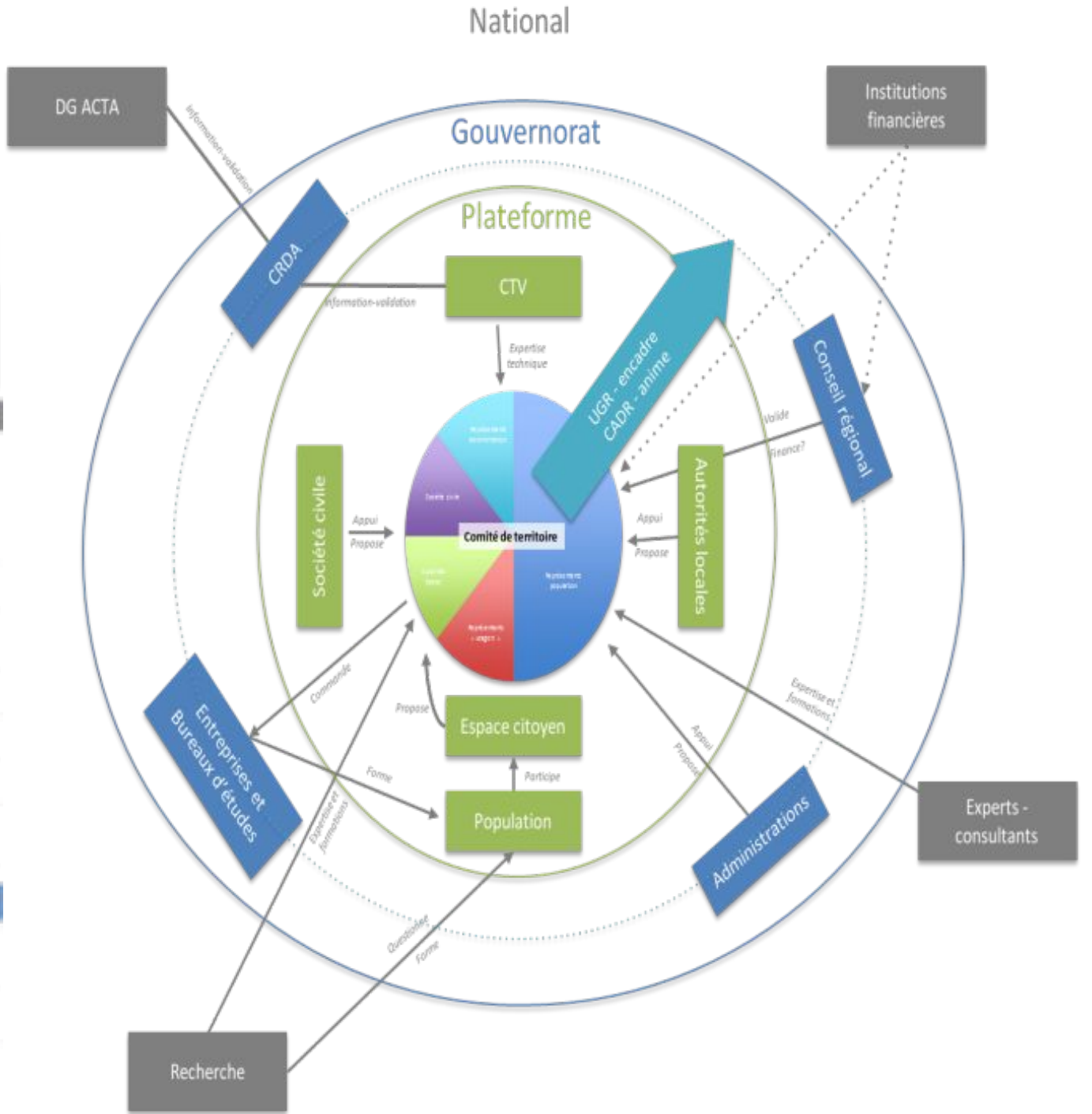


Supporting
multi-level participatory
process design in
Tunisia



Engineering governance : process & structure

Préparation			Diagnostic			Planification			Mise en œuvre		
Lancement	Choix de l'usage	Nominations à l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage	Choix de l'usage



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

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 !