GUIDE TO **PUBLIC PARTICIPATION** AND FACILITATION

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Lisode is a cooperative consultancy firm that specialises in public participation. Since 2008, we have been working with public sector organisations, designing, facilitating and assessing all types of project that involve public participation, including land management, natural resource management and organisational development projects. Our expertise is fuelled by our research work, which enables us to constantly improve, adapt and update our public participation processes.

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Foreword

The involvement of civil society is increasingly being sought for activities such as urban planning, the protection of sensitive natural areas, natural resource management, and the construction of large-scale infrastructure, to name just a few. This involvement can be: regulatory, as legislation tends to foster this involvement; instrumental, so as to improve the effectiveness of the projects concerned; social and political, when civil society takes on projects in order to be involved in decision-making; and, finally, tactically and strategically, so as to gain support.

Consequently, it is no longer a matter of proposing the best technical solution agreed behind closed doors by the usual decision-makers – politicians and experts – but of building a project that best satisfies all stakeholders. One way of achieving this is by building the project together. This is the aim of public participation: to open up the usual decision-making process to new stakeholders, and to guide these stakeholders in exploring complex situations in which often opposing viewpoints and uncertainties make scientific expertise inconclusive.

However, these participation processes challenge the roles and objectives of managers and decision-makers by redefining their interactions with civil society. These processes also ask questions of those tasked with implementing them:

- *How to move from analysing a problem to strategically planning a participation process?*
- *How to mobilise participants and foster their accountability?*
- *How to work with participants with diverging interests within a constructive and motivating setting?*
- *How to move from representing individual interests to building collective agreements?*
- *What approach should be adopted to successfully carry out a public participation process?*
- *What can be the knock-on effects of these arrangements?*

While public participation seeks to find generic answers to these questions, these responses also depend on the context. This guide does not therefore offer a 'turnkey' solution. It instead provides areas for consideration and advice to accompany you through each phase of a public participation process: assessing the context, planning the process, selecting tools and methods, facilitating workshops and evaluating the public participation. It also sets out 'ethics' for public participation, formalised through principles to be respected, which also safeguard against the manipulation of participants and against the implementation superficial participation processes.

The participation process that we describe in this guide is, above all, inspired by our involvement in public participations both in France and abroad; however, it is also based on our literature reviews and research work. Finally, it draws on the highly fruitful discussions we have been able to hold with the large community of researchers and practitioners working in the field of public participation.

We hope you find this guide useful and informative.

The Lisode Team

The Foundations of Public Participation

Definition of public participation

There is a wide range of definitions for the term public participation; however, we have drawn on the work of Arnstein (1969), who places participation on a citizen decision-making ladder (Figure 1). Under this definition, participation means involving a certain number of stakeholders in collectively developing proposals for a project.

Participation differs from consultation in that it goes beyond simply asking for opinions. A public participation process requires a collaborative effort, which involves discussing different viewpoints, defining shared objectives and generating new ideas, etc.

Thus, public participation is distinct from co-decision-making as it does not culminate directly in a decision, but lays the groundwork for a decision to be made. As part of a public participation process, the final decision is taken by the people legally responsible for this task, such as elected officials, government agencies, etc. However, although decision-making authority formally remains in their hands, these decision-makers are nonetheless required to examine the proposals made during the public participation process and provide feedback to the participants explaining which proposals were or were not selected and why (cf. the principles, page 8).

In conjunction with its instrumental aims, public participation also has social, democratic and political objectives.

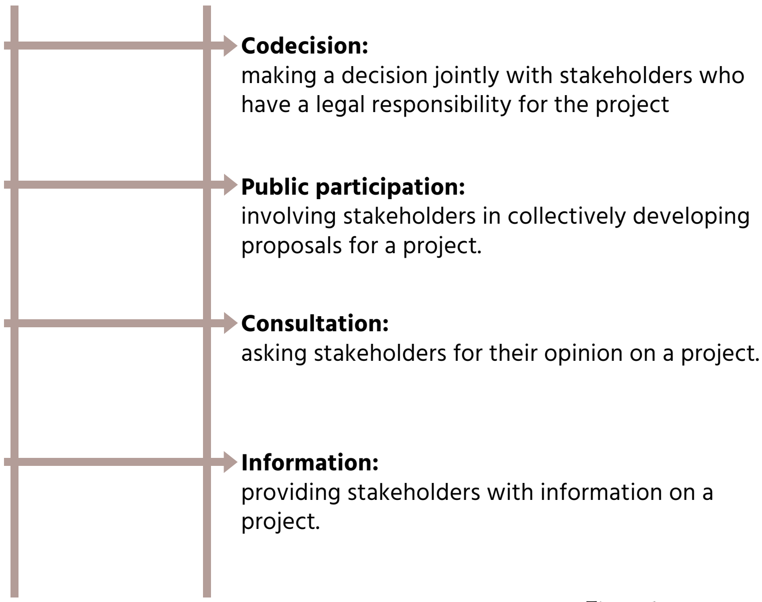


Figure 1: Simplified decision-making process participation ladder

Public participation objectives

Within the ambiguity of this term (local democracy), there are generally three analytically distinct issues that are often more or less confused in stakeholders' minds: that of incorporating the energies of 'simple' citizens into local management, that of (re) constituting the 'social bond', and that of participatory democracy in the strictest sense, which enables the politicisation of ordinary citizens and their involvement in decision-making. (Yves Sintomer in Haegel et al, 2000)

Public participation dictionary: http://www.dicopart.fr (available in French only)

Using this analytical framework, it is possible to discern three main types of public participation-related objectives.

Objectives for the promoter

Instrumental objectives that seek to increase the effectiveness of a project or decision:

- Find a consensus in order to foster stakeholders' buy-in to the project or decision;
- Develop more appropriate and operational solutions to a problem by drawing

on the knowledge of the people involved;
- Anticipate or identify bottlenecks (diverging objectives of the people involved) and overcome these;
- Improve the management of institutions and public resources by enabling a form of citizen oversight.

Social objectives that seek to bring about social change:

- Create a social bond between different stakeholders;
- Create a learning process (on the specific topic, on how to work together, on how to resolve conflicts);
- Create empowerment among stakeholders.

Democratic objectives that seek to bring about political change:

- Create a political and social culture of dialogue and mutual respect;
- Give the people affected by an issue a voice and thereby improve the quality of democracy in decision-making;
- Bring together decision-makers and other stakeholders and thus build trust between politicians and the public.

It goes without saying that these objectives vary widely from one public participation to the next and can even compete with each other within the same participation process. They can also be supplemented by policymakers' strategic objectives, such as more clearly identifying the local population's expectations, needs or motivations, in order to tailor the set-up of their political project in the hope of being re-elected.

Objectives for the participants

By considering what motivates participants to become involved in public participation, we can identify three types of objective:

- The idea of «being part of ...», which encompasses the satisfaction of getting involved in collective action;
- The idea of «contributing to ...», which encompasses the satisfaction of passing on knowledge, ideas and experience to the rest of the group;
- The idea of «benefiting from...», which involves seeking out individual or collective benefits relating to the problem being addressed.

During the public participation planning phase, it is vital to review these objectives in order to clarify exactly what each stakeholder (decision-makers, organisers and participants) is expecting and can gain from the process. Anticipating their expectations will make it easier to design a more tailored and effective public participation.

Public participation workshop to formulate an Agenda 21

Public participation principles

Below is a list of principles that we believe need to be respected in order to ensure the public participation process is successful, both from an instrumental viewpoint (the public participation achieves its initial objectives) and from a social and democratic perspective (it adheres to certain ethical guidelines). These principles are a way of reminding decision-makers that, although organising a public participation provides a tremendous opportunity for achieving ambitious objectives, there are also certain standards that need to be met.

Simulation of a public participation process during a training session

Public participation has an impact on the decision

For there to be proper public participation, the work carried out by the participants must necessarily have an impact on the decision-making process. The exact arrangements for this (for instance, taking the proposals into consideration and providing explanations of why proposals were selected or rejected) should be defined beforehand.

Public participation has precise objectives but should remain open to a variety of proposals

If we want public participation to have an impact, it is essential that we define on what. Thus, the objectives of the public participation should be defined upfront and widely disseminated to potential participants. These could be technical, social or democratic objectives, for instance:
develop a consensual decision, strengthen the social bond between participants, create a more legitimate decision, etc. A public participation process addresses an issue that has no predefined solution. Decision-makers should thus be ready and willing to consider all of the stakeholders' proposals for resolving this issue, even if these run counter to their own expectations.

The willingness of participants to take part

Participants are free to decide whether or not to take part in the public participation process. This means that they cannot be forced to participate through any type of subordination relationship and must agree to be involved of their own volition and based on an informed decision.

All stakeholders are represented in a public participation

All stakeholders, or their representatives, concerned by the matter being addressed are legitimate and should be invited to take part in the public participation so as to ensure that all viewpoints are represented in the discussions. Involving these stakeholders from the very start of the process will help significantly improve the quality of subsequent interactions.

The public participation process should be transparent on three levels

1. **With regard to the final decision**
In any public participation, there is always

For more information...

Certain public sector organisations have defined their own principles, set out in charters. Below is a list of interesting examples that have been developed using a participatory approach:

The Conseil Général du Gard public participation charter, co-produced by a citizen panel

The public participation charter for the French Ministry of the Environment, Energy and the Sea, jointly developed with stakeholders

The Paris City Council Parisian participation charter

at least one final decision-maker with ultimate responsibility for the decision. The different levels of dialogue that take place during a public participation help inform the decision through the proposals produced. However, it is the elected officials (or their representatives) that retain decision-making authority. Nevertheless, the participants should be kept informed as to how their contributions will be taken into account when determining and implementing the final decision.

2. **With regard to implementing the process and the participants' role within this process**

The participants should be provided with information on how the public participation process will be conducted and on what is expected of their participation. They should thus have a clear understanding of who does what and when, and how decisions relating to the process will be made.

3. **With regard to uncertainties**

Participants should be clearly informed if there are any uncertainties relating to the project or its underlying data. In addition, should any information be missing, the public participation should enable stakeholders to develop shared assumptions so that they can move forward with the decision-making process.

The public participation process recognises the diverse range of views

The public participation accepts that the various (technical and practical) knowledge-holders can have different perceptions. The participation process does not seek to pit these views against each other but to highlight their similarities. However, to achieve this, impartial and high quality facilitation is required.

The success of any public participation is determined by the impartiality and quality of the facilitation

Facilitation skills provide the neutral space for discussion that is essential to the success of a participation process. It aims to place all participants, and their contributions to discussions, on an equal footing. Facilitation not only provides participants with the opportunity to speak, it should also ensure that all participants have been able to express their views during the process. Finally, it seeks to build consensus among participants. However, while facilitation can provide the necessary means (quality of the interactions between participants), it cannot guarantee the outcome (level of consensus achieved following these interactions), as this is impossible to predict (see the chapter on facilitation, p. 41).

Public participation is an iterative and adaptative process

A public participation process is built up step-by-step. In practice, this means that the planned phases of the process can change as new needs (including those of the participants) come to the fore. The approach remains open to incorporating feedback from the participants.

Public participation requires stakeholders to be given access to resources

All participants should be guaranteed access to the various resources available as part of the public participation (information, time and/or material resources) to enable them to participate effectively in the process.
The resources available should be relevant and aligned to the matter being addressed.

A public participation process should be tailored to its environment, and the resources made available should be designed to meet the values outlined above.

The historical and regulatory environment in France

"La Liberté guidant le peuple" [Liberty guiding the people] by Eugène Delacroix (1830)

The origins

From the French Revolution onward, the practice of public participation struggled to gain formal recognition, and this despite the French Declaration of the Rights of Man and of the Citizen stipulating that «society has the right to require any public official to account for his or her administration». The first public enquiries were held in 1807, for urban planning, but there was no new regulatory progress made until the 1980s, nearly 180 years later. (Figure 2).

However, outside of the regulatory framework, from the 1960s onwards, local initiatives gradually started to appear: rural councils developing (collaborative) local projects to stem rural exodus; urban movements campaigning for the right to take action through better civic education.

The 1980s and the focus on the environment

In 1983, public enquiries became standard for all projects that potentially had an impact on the environment. In 1995, the national public debate commission (CNDP: Commission Nationale du Débat Public) was created. It became mandatory to refer all development projects (impacting on the environment) of over 300 million euros to the CNDP. Other projects could also be voluntarily referred to the CNDP, such as those that deal with social issues: nanotechnologies, end of life debates, etc.

The National public debate commission website (Commission nationale du débat public): www.debatpublic.fr (available in French only)

However, the procedure is more akin to consultation than public participation, as it takes place over a short time period (4 months) and very early in the project (Figure 3). The aim of the public debate (see page 20) is therefore to grant an agreement in principle to continue the project on the condition that (most often) a public participation process is held in the future. However, the subsequent public participation is not regulated.

There are some new initiatives that have been developed outside of the regulatory framework, such as the initial citizen juries (see page 20). This tool uses a jury-style approach to restrict public participation to a panel of citizens who receive training and

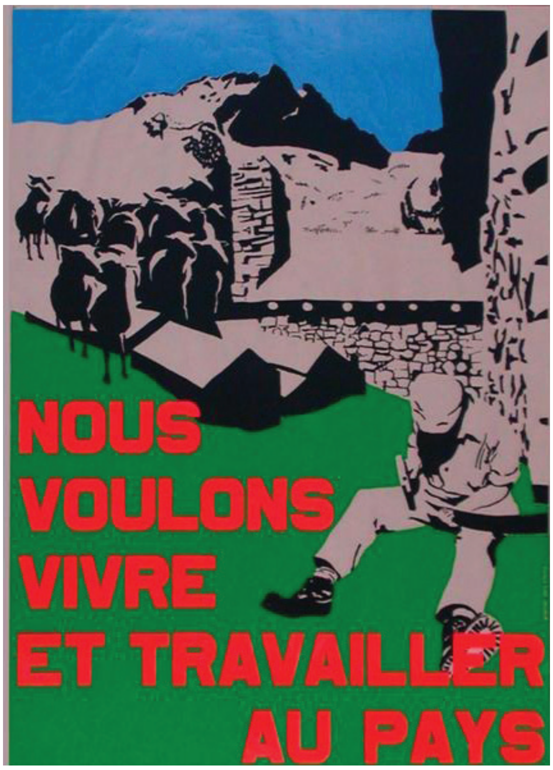
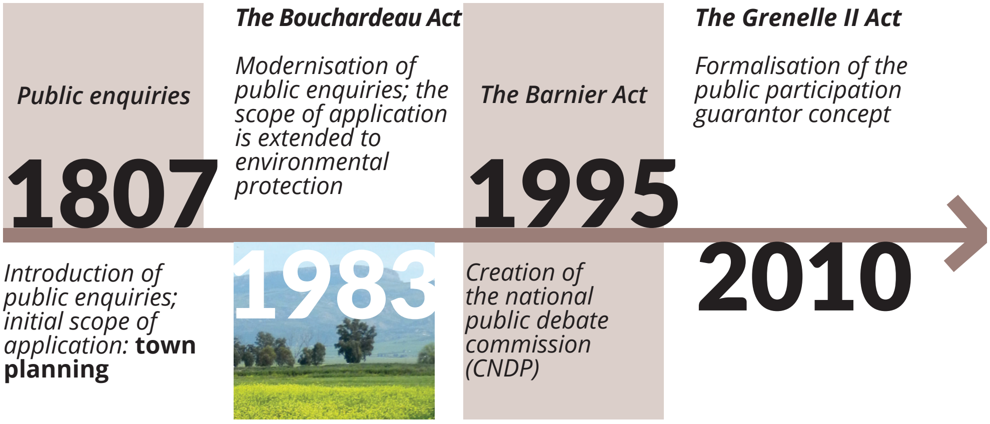


Figure 2:
The history of public participation in France



For more information...

Outside of the regulatory framework, the role of public participation facilitator is becoming increasingly developed and officially recognised, as is public participation research. For more information, please visit the following websites:

Community of practice for designers of participatory approaches (www.particip.fr) – available in French only

The French public participation practitioners network, Institut de la concertation (www.institutdelaconcertation.org) – available in French only

The French National Research Group on Participatory Democracy and Public Participation in Decision-Making (www.participation-et-democratie.fr) – available in both French and English

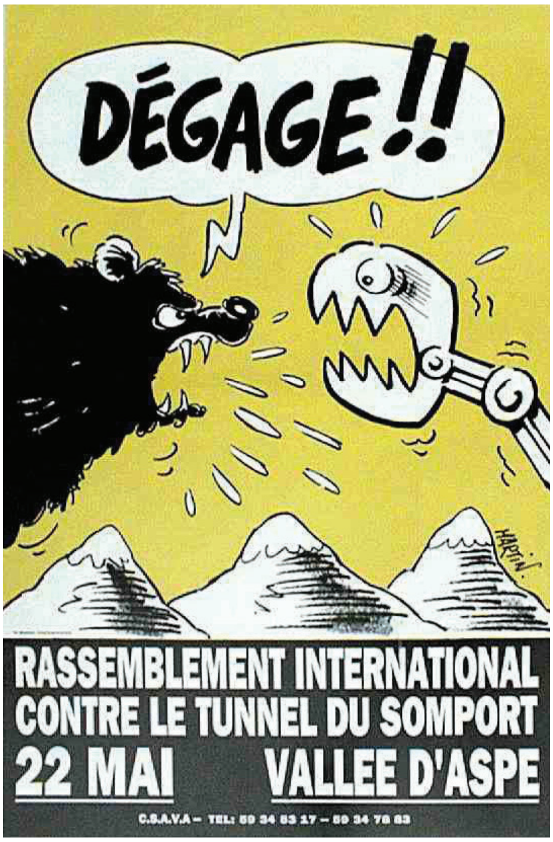
The ALLISS platform (www.alliss.org) - available in French only

who can conduct hearings prior to issuing their joint opinion on a project.

Today

To address the need to more effectively manage public participation over time (cf. the limitations of public debate highlighted above), the 2010 Grenelle II Act requires the project manager to inform the CNDP, both during the phase following the public debate and up to the public enquiry, of the public participation procedures put in place. The legislation stipulates that a public participation guarantor can be appointed to fulfil this role. Formalising this guarantor role is currently one of the CNDP's main focus areas.

It is also to be noted that each sector has developed its own public participation regulations and practices. For the environment, the water management sector is pioneering public participation efforts. Elsewhere, there are also extremely interesting initiatives being implemented in the urban policy and health sectors.



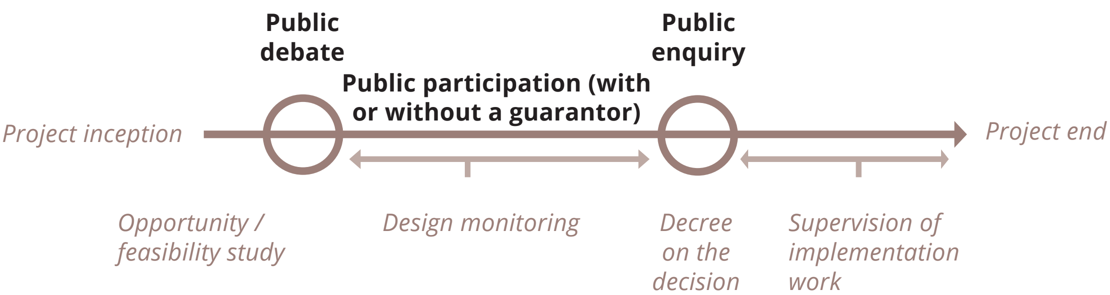


Figure 3:
Public debate throughout a project's lifecycle.


PRIORISATION
DES OBJECTIFS
Construire une vision commune sur ~~la gestion de~~ l'avenir la nappe
Décliner cette vision en actions/ solutions
BRAINSTORMING
ARBRE

2

Strategically Planning a Public Participation Process

Public participation takes place over a period of time and involves a series of steps, each of which has clear objectives and uses specific methods and tools. This is referred to as a process, which differs from a procedure as it is both adaptable and flexible. Due to the complex nature of the issues addressed, coupled with the wide variety of stakeholder objectives and uncertainty over how these stakeholders will react, planning a public participation process is no easy task. To facilitate this planning, we have set out a three-stage strategic approach: (1) context assessment; (2) assessment of stakeholders' power relations; (3) participatory planning of the process. This approach should ideally be implemented by several people at the outset of the project.

Set up a team to support you with this strategic planning. This involves bringing together a group of people who are directly responsible for final decision-making on the project. This group will often contain elected officials and, sometimes, the technical staff leading the project. The team can also consist of stakeholders or external consultants if deemed useful for subsequent stages. This team (which is often similar to a technical committee or steering committee) should clarify any questions regarding the place of public participation in the project.

As public participation is an evolving process, it is a good idea to adopt an iterative approach and repeatedly return to each stage to adapt the process as you go along. The methods to be used often emerge as new needs arise.

Our strategic planning approach should help guide your development of the process and your choice of suitable methods and tools. We also provide a checklist of the questions you need to ask yourself prior to embarking on a public participation process (see page 17).

Context assessment

This involves gaining an insight into the circumstances that led to the public participation being requested. This stage should enable you to check that public participation is relevant for this project (rather than information or consultation) and that the appropriate resources for implementing the process have been put in place. In all cases, large-scale stakeholder involvement must be avoided if there is insufficient political will to take the stakeholders' contributions into account as this can cause widespread disappointment and disillusionment with the public participation process. Thus, if the decision-makers want only to provide stakeholders with information, go no further with the process and be very clear about what you believe is realistic (also see the section on principles, page 8). At this stage, it can also be useful to review your own legitimacy for facilitating this public participation (am I the right person for this project?).

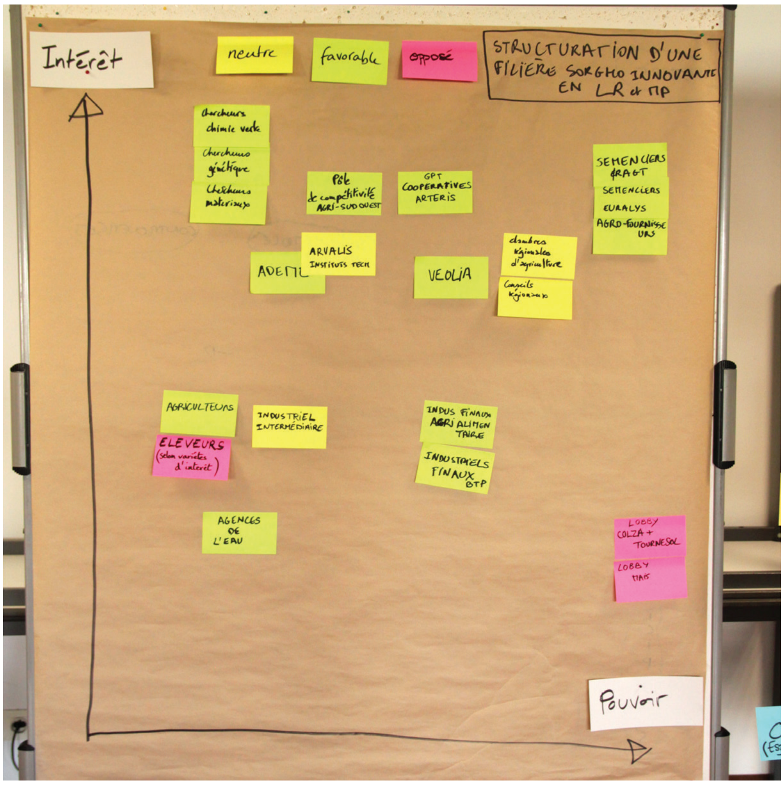
We have summarised this context assessment in six key questions that you can discuss with your team:

Example of a context assessment conducted in a training session using a participant case study

1. **Overall approach:** Does the public participation form part of a longer approach? If so, which one?
2. **Promoter/objectives:** Who decided to hold the public participation? Why?
3. **Space/time:** What is the geographical scope of the public participation? What is the timeframe?
4. **Participants/expectations:** Who are the participants? What are their expectations likely to be?
5. **Obstacles:** Is it possible to foresee any potential conflicts?
6. **Impacts:** What will become of the public participation outcomes?

This team-based context assessment is often supplemented with interviews (the people to be interviewed can be selected based on the assessment of stakeholders' power relations, see below). It is also often supplemented by a literature review of studies and recent regulation relating to the issue to be addressed by the public participation (it is not necessary to become a subject matter expert, but it is also important not to be completely ignorant of the topic at hand).

Example of an assessment of stakeholders' power relations conducted in a training session using a participant case study



Assessment of stakeholders' power relations

The second stage seeks to understand and assess the power relations (or influence) between the stakeholders involved in the public participation. It should help you to define your strategy (see pages 24-25), as well as the dialogue platforms and their relationships (who will participate in what? Do you need a technical committee, a steering committee, a committee for each topic or type of stakeholder? What objectives will each of these committees have?). This stage should also help to identify potentially obstructive stakeholders and to determine how best to involve them in the public participation process.

Method

In the first instance, note down the stakeholders concerned on different coloured Post-its based on their opinion of public participation:

- Green for stakeholders open to the process;
- Yellow for stakeholders who are impartial;
- Red for stakeholders opposed to the process.

Secondly, place the stakeholders on an 'Interest – Power' matrix:

- Their position on the 'Interest' axis shows the importance the stakeholder affords to the issue;
- Their position on the 'Power' axis denotes their capacity to influence the decision-making process.

Note: it is up to the participants themselves to decide how much detail is required for the stakeholder descriptions (for example, in certain instances, it will be enough to differentiate between staff and elected officials from within the same institution while, in others, individual names may be required, etc.).

For more detail: you can also use arrows to further clarify stakeholders' influence over each other, or describe this influence (using symbols or words).

Reading the results

The results should be read in conjunction with the context assessment described above. The two assessments should thus be carried out together. However, it is possible to highlight some general points:

- There can be doubts over the spontaneous involvement of the stakeholders located in the lower left of the matrix (with low power and low interest). If these stakeholders are important to you, you will no doubt need to make a specific effort to foster their participation.
- It can be tempting to overlook the stakeholders located in the lower right of the matrix (with considerable power but little interest) as they are not closely involved in the issue being addressed. The 'state' is usually part of this category. While it is not always relevant to invite them to all the meetings, it is worth keeping them regularly informed of any progress made in discussions so as to avoid any surprises at the end of the process.
- The stakeholders in the top half of the matrix are, by definition, easier to mobilise as they are motivated by their interest. However, as they do not all have the same level of power, it can be useful to ensure that the 'weakest' are able to participate effectively (have sufficient information, able to express themselves orally, etc.). For instance, it is sometimes necessary to organise specific discussion forums for certain user groups to help them articulate what they want to say before joining a larger arena.
- Finally, it can often be useful to meet with the stakeholders identified as opposing public participation in order to understand their concerns and determine their requirements (conditions) for participating.

Participatory planning of the process

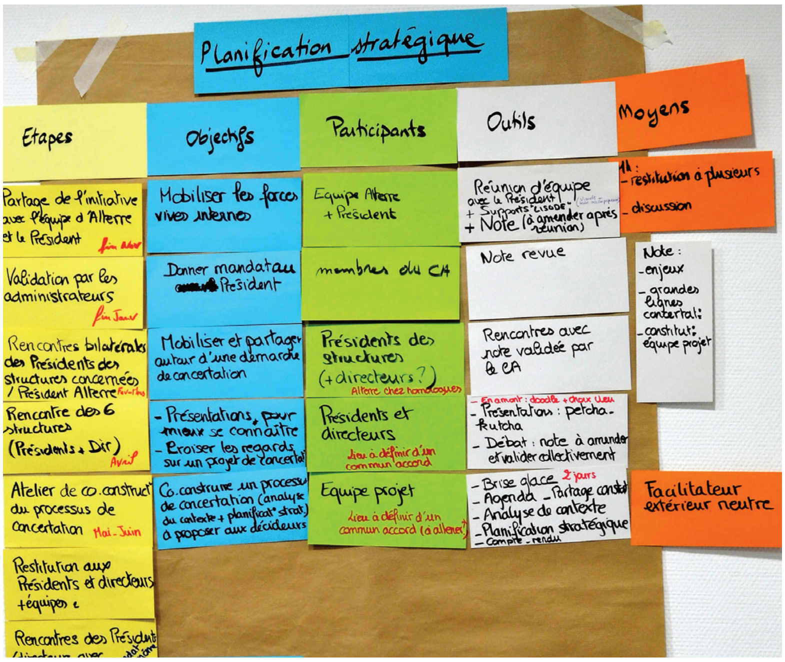
The third stage helps you to set out the various elements of the public participation process in a strategic plan. We recommend setting out the process in a table containing the following five columns:

- Steps
- Objectives
- Tools
- Participants
- Resources

The 'resources' column should be used to note any preparation required and the number of facilitators, etc. A timetable can be added that contains deadlines.

At this stage, you should already start thinking about how to evaluate your process in order to plan ahead for this (see the section on evaluation, page 57).

At the end of this stage, you can draft a scoping note to document the process.



Example of a process designed in a training session using a participant case study

Questions to ask yourself prior to embarking on public participation

Below is a list of questions to guide you in your strategic planning.

What 'subject' is being addressed and what is the context?

- Do you know enough about the issue on which the public participation will focus?
- What is the political context? Is it conducive to public participation or not? Will policy-makers (or others) take the outcomes of the public participation into consideration? If so, how?
- How much conflict is there around the issue?

What are the relevant obligations and practices?

- Have you fully considered the regulatory aspects? Are there any specific forms of public participation that are imposed, proposed or excluded?
- Are there any similar cases and, if so, have you drawn on these?

What are the objectives of the process?

- Have you sufficiently clarified the technical, democratic or social objectives of the public participation process, both for the various people involved and for the different project phases?
- Have you properly taken the potential opinions of stakeholders into account when formulating the issue to be addressed?
- Are the various stakeholders' needs and interests with regard to the process and topic sufficiently clear?
- Is there a clear (geographic, timebound, decision-making) process scope?

Who will be the participants?

- Have you sufficiently clarified your role in the process: impartial, supporting participants, stakeholders?
- Who will be involved in managing the process, both within and outside of your organisation?
- Who will be the participants? Are the reasons for selecting these participants clear (representativeness, legitimacy, motivation, etc.)?

How will they participate?

- Have you clarified how the participants will be involved, at what step and in which way?
- Have you defined what support the participants will need to contribute to the process (additional information, funding, experienced facilitators)? Can you provide this?
- Have you prepared a transparent work plan for the process that sets out the decision to be made, key points in the decision-making process and public participation events, the format to be used for these events (public meeting, participatory assessment, consensus conference, etc.), who will be involved in these events and what influence will they have, etc.?

What are the risks and constraints?

- What and where are the potential bottlenecks in the process and what mechanisms can you use to overcome these?
- Have you identified the risks should the process fail and what alternative processes could be implemented?

Using the answers obtained, and referring to the public participation principles, you can then: adapt, correct, rearrange, update, etc. your process.


compléter par la connaissance locale
des secteurs
Prise en compte des remarques formalisées par les institutionnels qui ont suivis l'étude et lors des 1ères assises (le 29/11/2013)
Objectifs: Proposer une synthèse de l'état des lieux : Partager le diagnostic
Agenda
Lac
Savines
siècle XX
ITEC
au patrimoine du XX

3

Examples of Processes

Below, we outline three distinct methodologies that can be used to structure public participation processes. The first is regulated by the law (public debate), the second is used around the world (citizen jury) and the third comes from the academic world (companion modelling). All three are formally set out and described through objectives, a specific process, special tools and rules.

Public debate

As seen in the Historical and Regulatory Environment in France section (page 10), public debate is a formal process managed by the CNDP.

Process

- Refer to the French national public debate commission (CNDP). The CNDP has two months to decide whether or not to initiate a public debate; it appoints a special public debate commission and its chairperson.
- The project manager then has six months to compile a project management report (the DMO) that should provide the public with sufficient information on the project and its features to enable them to determine whether it is appropriate.
- The special commission approves the report and defines the timetable, the communication methods and public participation.
- The special commission facilitates the debates that take place over a period of 4 months:
    - The commission must ensure that no question remains unanswered;
    - The stakeholders are able to submit well-argued 'contributions' to the commission, who will ensure they are put forward for debate;
    - The commission can opt to formalise and disseminate certain contributions in the form of 'stakeholder specifications' (the aim is to provide stakeholders with the same means of expression as the project manager).
- Two months after the debate, the commission's chairperson publishes both a detailed report and short review. They should be impartial and not offer an opinion.
- The project manager then has 3 months to publish information on the action they wish to take on their project, how they plan to continue the public participation and whether or not they want to appoint a 'guarantor'. These documents will ultimately form part of the public enquiry.

For more information, please see: www.debatpublic.fr/comment-ca-marche (available in French only)

Citizen jury

The citizen jury approach can be used to involve a small group of citizens in political decision-making. Citizen juries are particularly useful for addressing controversial public policy issues on which opinions are divided.

This approach involves establishing a panel of 12 to 24 citizens, who are selected at random but in such a way as to ensure all socio-professional criteria (age, profession, gender, etc.) are met. This group will be tasked with fully examining a controversial issue and formulating a 'verdict' on this issue: a view or recommendations. Unlike many other formats (e.g. the 21st Century Town Meeting), the controversial issue is recorded and participants are given the time and resources they need to make an 'informed' opinion.

Process

A citizen jury usually takes place over the course of three weekends. To help them reach a verdict, the citizens are trained (usually by universities) on the issue being addressed (first weekend). They then have the option of interviewing 'opinion-holders' who hold different opinions or views (second weekend). The citizens are then finally encouraged to jointly consider and debate the values that best reflect the public inte-

For more information...

The first citizen jury to be held in France was the national citizen jury on GM crops (1999). More recently, a citizen jury has been held to address the following question: What health system do we want and how should we use and fund this system to ensure it is sustainable? www.conferencedecitoyens.fr/la-thematique/

First weekend of a citizen jury where a researcher trains the panel of citizens on urban water supply services

rest. They produce their recommendations (in a citizen report) and present them to the decision-makers (third weekend). The promoter undertakes to respond to this report, either by accepting the decision recommended by the jury or by explaining their reasons for rejecting it.

Companion modelling (ComMod)

Companion modelling (ComMod) combines modelling and participation with the aim of improving knowledge and/or aiding decision-making. The public participation tools used in this methodology include participatory modelling and role playing games (see page 32). The ComMod approach first seeks to model a system by encouraging experts and local stakeholders to work together; then, role plays are produced to simulate different scenarios in order to inform the participation process. Companion modelling is particularly useful for working on natural resource management issues, particularly when these resources are under threat and there is uncertainty over their direction.

One of ComMod's unique features is that it incorporates technical expertise and user experience in a much more structured way than other methodologies. It does this by producing a model and then collectively examining this model through role play.

This approach is based on a clearly defined posture (www.commod.org/en/who-are-we/posture), which notably involves:

- Recognising that local knowledge is just as valuable as academic knowledge;
- Using the ideas put forward by local stakeholders;
- Ensuring the impartiality of the facilitator.

Initially adopted for research projects, use of this approach has now been expanded to professional stakeholders such as consultancy firms and managers. A group of ComMod users has created an association to help further develop this approach: the ComMod network.

The formalisation of this approach has also led to the development of a participatory modelling method known as ARDI (Actors/Resources/Dynamics/Interactions), which is particularly useful for addressing social ecosystem issues, and of the Cormas computational modelling platform.

Step	Tool
Conduct an assessment of stakeholders' perceptions of the project	Surveys, context assessment and assessment of stakeholders' power relations
Agree on a review of the current situation	Develop a model: create a tool to map and clarify key aspects of the local area (natural resources, stakeholders, dynamics and interactions). This step helps to build a picture of the system in which the stakeholders live based on their descriptions (cognitive mapping, participatory modelling, etc.) and thus enables an initial exchange of information
Hold discussions during concerted foresight exercises	Dynamic application of the model: explore scenarios by running the model on IT software and/or through role play. By taking known scientific data and stakeholders' descriptions of the environment into account, role play helps to create a discussion instrument that can link these two levels of knowledge together
Formulate collective commitments	Hold a debriefing session on the simulations/role play to define areas for improving management of the natural resource concerned

"Typical" steps and tools used in companion modelling

The ComMod association website: www.commod.org

Online ARDI guide: cormas.cirad.fr/pdf/guideARDI.pdf (available in French only)

Online Cormas platform: cormas.cirad.fr (available in French only)

For more information, please see Etienne (et.) 2010

Process

The more closely stakeholders are involved in developing the model and role play scenarios, the greater their ownership of the process. This sense of ownership will have a significant influence on the collective engagements that result from this approach.

In an exercise such as this, it is not the actual science of the model that is important but its strength as an instrument of dialogue as it will bring together all diverging views by focusing people's minds on the future. However, companion modelling needs to be seen as a flexible approach, one where the model developed can change in line with the discussions it sparks. It is thus possible to switch frequently back and forth between the different stages as the approach ensures that the lessons learned at the key stages are built upon to move the project forward.

Companion modelling with elected officials on flood risk management in the Cévennes

4

Mobilising Stakeholders

Mobilisation spans all steps of a public participation process and is therefore critical to its success. A public participation process requires the involvement of all stakeholders (decision-makers and users). It is thus important to particularly focus on ensuring stakeholder mobilisation.

Key reference points

Mobilisation is closely linked to motivation. Mobilising local stakeholders against their will is not permitted. This means being aware of both participants' individual interests - which foster their motivation – and of the collective interest that gives meaning to the public participation. While it is impossible to anticipate the individual interests of each participant, there are some general questions about the group(s) to be mobilised that you can seek to answer:

- Can the participants be considered to form a single interest group? If not, what different interest groups are there?
- Do the groups have priorities that are different to those proposed in the public participation?
- Do the groups have a rightful place in the process?
- Have the groups been mobilised before?
- Do the groups have a positive view of this type of approach?
- Is there any tension within or between any of the groups?

When mobilising stakeholders, it is also important to ensure that the participants have a positive view of the group's ability to effect change. This can be achieved by raising collective awareness of the fact that, together, they have the special expertise required to find solutions to their problems. It is not easy to achieve this understanding as, outside of their own needs, participants often believe that they lack the knowledge required to hold their own against people more used to taking part in debates.

A further aspect of mobilisation is the participants' ability to take part. The following questions can be used to help determine this:

- Are the participants available and willing to commit through to the end of the process?
- Do the participants have the resources they need to take part?

A false fountain and a false facade are used to encourage passers-by to stop and think about a future development / project that could include public participation

How to mobilise stakeholders?

Mobilisation should have a specific, clear and transparent objective to avoid creating a sense of danger, uncertainty or mistrust that could adversely impact or discourage participants. In addition to the traditional information channels (local media, email, telephone, etc.), there are several ways of talking directly with the people to be mobilised. By way of example, and depending on the public participation context and the time and resources available, you could organise a market stall during town or village festivals, set up a travelling caravan, create a competition, put on a play, or hold a video screening or conference, etc.

The public participation meetings should be held in a congenial and neutral venue that is local to the participants and contains the necessary amenities (refreshments, toilets, etc.). It is also important to select the right moment in which to mobilise the participants by assessing each participant's availability and their willingness to take part. Furthermore, it will be necessary to ensure that the opinion leader and influencers do not oppose the project. Mobilisation must take into account all one-off events that could impact on the participants' availability (for instance, a football match or social or political event, etc.).

Who to mobilise?

This aspect relates to the notion of ensuring the representativeness of participants, which is a delicate exercise. It is often difficult to obtain a statistically representative sample of participants. At best, it is possible to demonstrate a certain variety or range of interests. If the project requires a high level of representativeness, you will need to use a survey company. Otherwise, you will have to settle for partial representativeness, which could perhaps reflect the fact that not all stakeholders are ready or willing to be involved at this stage. By respecting this, you are respecting one of the ethical principles of participation: participation is on a voluntary basis and cannot be imposed. In all cases, it is important to clarify who was involved in the public participation and the criteria used to invite the participants. Lastly, the representativeness of these participants in the process does not necessarily mean that they will all be mobilised at the same time or in the same way.

Information stall on a forthcoming local public participation


Capacidad
máxima
14
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8

5

Participatory **Methods and Tools**

The following section of this guide describes a number of tools and methods that can be used as part of a public participation process. The tools used in the different phases of a public participation are presented first, followed by examples of formats for managing large groups. The final part of this section sets out some public participation process methodologies (regulatory or otherwise).

How to react to a formal presentation

A public participation process is commonly launched at a meeting through a formal presentation. This presentation is usually followed by a succession of question and answer sessions, which are often monopolised by those people used to speaking in public. If the presentation is being given to a large group but you wish to ensure that everybody has the opportunity to speak, we recommend that you adopt a more participatory and interactive approach. This method can also be used later in the public participation process should you wish to obtain the participants' feedback on a formal presentation (e.g. during the presentation of the findings of a technical study).

Method
To ensure everybody is able to participate, participants are placed into small groups of twelve with a facilitator on each table. Prior to beginning the presentation, explain the following rules:

«We are going to give you a 30-minute presentation of the project. To facilitate the post-presentation discussion, on the cards in front of you, could you please write:
1. The points raised in the presentation that you consider to be most important;
2. Your reactions/questions/needs in relation to these points with regard to the remainder of the process.»

The objective is to:
- Firstly, determine what the participants have retained/understood from the presentation. By pooling individual understandings, you can ensure all the key points of the presentation are covered. It is often difficult to follow a long technical presentation without forgetting certain parts.
- Secondly, identify the participants' key issues in relation to the project and thus help the team to prepare the next stage of the process. This can also help to clear up any misunderstandings.

During the presentation, the participants write down their comments on two sets of different coloured card – the first set is for noting down the most important points and the second is for listing their reactions/questions/needs.

At the end of the presentation, instead of holding a plenary discussion, invite the participants to work in small groups. The facilitator at each table collects the cards, clarifies them if necessary, and puts them up on a board. The participants then rank the reactions/questions/needs by voting for the ones they consider most important. Each participant is given two small stickers (two votes), which they are to place next to one or two of the cards.

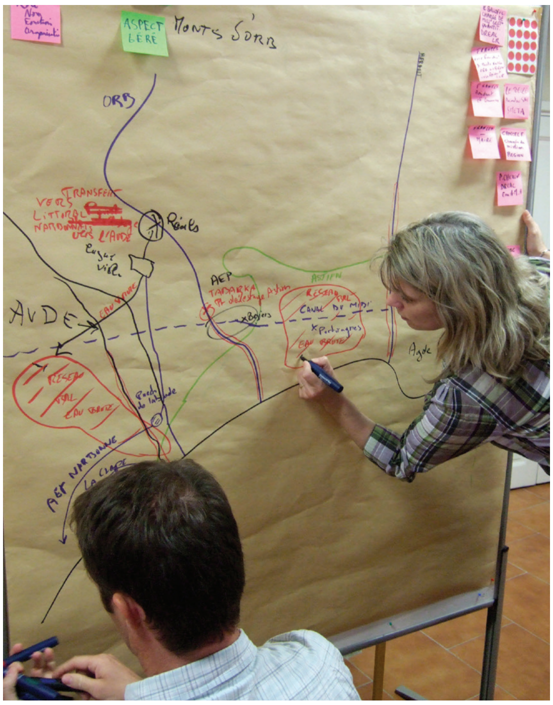
At the end of the workshop, the group facilitator presents the outcomes of the group work to all of the other participants. All of the most important reactions are then discussed in a plenary session. The project promoter is there to answer any initial questions and provide any explanations required, particularly with regard to the next steps in the process (principle of transparency).

How to assess the current situation

A public participation process generally includes an assessment phase. We have divided this phase into two stages. The first consists of assessing the current situation by describing the facts as objectively and impartially as possible. The aim is to steer participants towards a shared description of reality. This involves reaching an agreement on what everyone has observed without interpreting this observation and by avoiding value judgements at all costs. The second stage of the assessment involves analysing the issues raised. Below are two tools that can be used to impartially assess the current situation.

Participatory mapping of the local area

Participatory mapping is a method used to build a graphical representation of an area with local stakeholders. This tool has a number of advantages: (1) a collectively developed map provides a highly tangible reality for participants and can thus be used as a basis for conducting a specific and illustrated participatory assessment (thereby avoiding generalities); (2) this method makes it possible to collect very useful information in a short amount of time; (3) the output can be easily incorporated into a report.



Participatory modelling workshop on water management with water catchment managers

This method can be implemented using an actual map (in A0 format) or a large blank piece of paper. The maps can be used at various points of a participatory process: as an icebreaker, during a review of the current situation, for an assessment, when identifying solutions, for reporting on findings. These different uses are covered later in this guide.

Note: mapping pertains to the world of geopolitics. Maps have always been objects of power and, as such, it is important not to under-estimate the potential social and political implications of using maps.

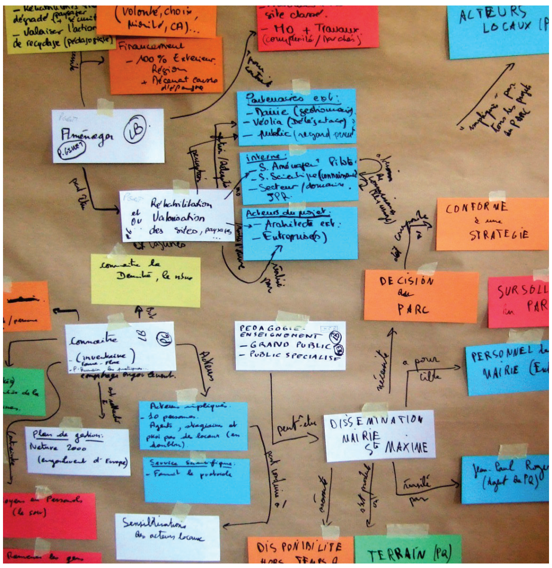
Method
The participants begin by drawing the boundaries of the geographic area concerned. They then add the main landmarks and features (for instance: towns, roads, rivers, property lines, etc.).

Once the map outline has been completed, the participants write down on this map all the information they have on the public participation topic (for example: farming practices, access to services, the water supply network, etc.). The participants note what is most important to them on the map and then discuss this to reach a consensus on the depiction of their area.

Participatory modelling

Instead of entering directly into potentially contentious debates (with many implicit arguments, misunderstandings and omissions, etc.), this method involves working with the participants to create a 'neutral' shared vision by focusing only on simple and objective (factual) items. Thus, the participants are encouraged to build a common foundation of knowledge, which they can then use to substantiate their positions. To achieve this, the participants are asked to describe the world that they want to talk about using a predefined ontology (a knowledge representation system).
Note: it is vital to ensure that the ontology selected is consistent with the way in which the participants see their world.

Method
There are several ways of displaying these models (and facilitating their construction), including: ARDI diagrams (also see the section on companion modelling, p. 21); schematic diagrams; flowcharts, etc. Generally speaking, you should select the option best suited to displaying what is to be depicted in the model.



How to assess the issues

Once the current situation has been reviewed, the second stage of the assessment process involves collectively establishing an interpretation of the facts described during the first stage in order to identify the issues (what issues are there, for whom and why, etc.). At this stage, various interpretations may arise and it is important not to attempt to conceal any differences of opinion. The aim initially is to ensure all points of view are expressed, even if these contradict each other. Only once this step has been completed will it be possible to develop a shared discourse by collectively prioritising the issues.

Issues mapping

Participatory mapping can also be used to identify and prioritise local issues or problematic situations.
Note: for this method, a discussion paper needs to be disseminated beforehand, and care should be taken to ensure this paper is in no way contentious.

Method
The participants are divided into groups of 10-15 people around large tables at which they work on large-scale maps (A0) of their area (or on the maps created during a previous phase). They are assisted by one facilitator per table. The participants identify strengths and areas for improvement on these maps by circling them in green and red. They then determine the local issues, which the facilitators write on cards that they display on a board. At the end of the workshop, the participants prioritise the various issue by placing small stickers next to them. The exact procedure and questions used can be tailored to the workshop's objectives

On the left:
Building a model

An issues mapping exercise, adapted for a large group, where participants all work on the same oversize map of the area

Problem tree

Problem tree analysis is a simple and robust method of collectively assessing and structuring problems that stem from a variety of reasons and of identifying the main causes of these problems in order to outline the tangible action to be taken.
Note: it is difficult to build a problem tree with a large group.

Method
The participants start by identifying the core problem (issue to be analysed). They then brainstorm the causes of this problem. They determine the main causes and place them (with assistance from a facilitator) underneath the core problem to create the tree 'roots'. They identify the causes of each of these main causes and place them below the lower 'roots', repeating this by drilling down as far as possible until the root causes of the problem have been identified.

During the brainstorming session, participants usually identify both the main and secondary causes at the same time. The facilitator should thus help the group to structure the tree roots, being ready to modify the layout at any time if a new and important cause is identified.

Desirable/undesirable visions for the local area

Method
Prior to the meeting, participants are asked to submit two pictures that reflect their views of the topic to be addressed. The first picture (a photo they themselves have taken or an image taken from the internet) should show something that the participant considers positive and desirable (an amenity, a resource, a landscape, stakeholders, etc.). In contrast, the second picture should show a negative and undesirable vision (damage, losses, pollution, etc.). The two visions are, of course, subjective and reflect the views of the individual participant only. Once all of the pictures have been collated and printed, they are put together to create a photo wall that will form the main focus of the workshop. The participants will all take turns to explain why they chose their pictures prior to taking part in a plenary discussion.

On the right: Citizens' visions of their municipality illustrated with pictures. Working with pictures to explore desirable future scenarios helps to visualise participants' expectations and concerns

How to make forecasts

Before agreeing on short-term objectives, it is often necessary to take a great leap forward and imagine the future. Our experience shows that it is easier to agree on long-term objectives (e.g. there must still be fish in the river in 50 years time) than short-term objectives (e.g. we must immediately reduce water withdrawals from the river by 30%). Forecasting tools generally involve developing, testing and assessing scenarios. Set out below are two types of tool that, unlike 'traditional' tools that propose images of the future based on external expertise, enable participants to explore their own scenarios so that they can anticipate a future in which they are fully involved.

Role-play session on water management with managers

Role playing games

Definition according to Mucchielli (1995): «Role play is a construction of a problematic situation in which people are acting given parts». There are many different types of role playing games that can be used for a variety of purposes, such as educational games, Psychodrama and Sociodrama, Business Games, policy simulation exercises, experimental social sciences or ComMod (see pages 21-22). Our experience of using role playing games in public participation processes is described below.
Note: specific skills and investment are required to develop a role playing game. Please ensure that you have all resources required before you embark on creating a role play.

Why use role playing games in a public participation? Role playing can help demonstrate and bring to life a problematic situation involving multiple stakeholders. The collective assessment of this problem is facilitated through the observation and discussion of tangible facts (what the role-players did during the game), rather than of the real situation, which is far more complex and controversial.

The game also enables the role-players to test certain actions or decisions and immediately assess their implications. This stimulates far more individual and collective learning through experimentation than any other form of approach.

The distance between the role play scenario and reality then enables the participants to take a step back and look beyond their daily routines. This gap between the role play and the actual situation also makes it possible to address sensitive questions and test more creative options as there are fewer constraints. In addition, it provides participants with the opportunity to put themselves in other stakeholders' shoes (by reversing roles). This helps people to see the situation from an opposite viewpoint by enabling them to 'experience' the constraints and needs of other participants and thus creates mutual empathy.
Role playing encourages new forms of interaction between the participants (especially when working towards a common objective). These interactions are conducted within a 'demilitarised' world in which all the participants are able to speak, ensure mutual understanding or create a link between different types of knowledge (e.g. experts and users).

Developing scenarios helps participants to look ahead into the future, which opens

For more information, a summary of role playing in the water management sector is available at: www.lisode.com/wp-content/uploads/2014/05/Dionnet-2008-Les-jeux-de-roles-concepts-cles.pdf up new realms of possibility and enables them to agree on long-term objectives before they seek to resolve their short-term differences. The participants then have the opportunity to assess alternative solutions and, perhaps, work towards reaching a consensus.

Method
A role play can take a wide variety of forms. The user interface, for example, can range from a simple blackboard to a complex digital format. Role play is suitable for anywhere between two and several dozen participants. At least half-a-day should be allocated to conducting a role play session.

In general, a role play session consists of two parts, the role play and a debriefing.

The session begins with the organiser explaining the rules and is followed by the role play itself. An observation plan (observers or audio-visual equipment) is usually used to collate information on the role-players and the role playing session.

The debriefing is just as important as the role play. It enables the participants and organisers to review the role-play, discuss the outcomes and compare all this with the actual situation.

Forum theatre

The forum theatre is an approach taken from the Theatre of the Oppressed developed in Brazil during the 1960s by Augusto Boal (Boal et al. 1978). This type of theatre is used to assess social problems through the prism of the ‘oppressed and oppressor’. What we describe below is a slightly different type of forum theatre that can be used to simulate a problematic situation between participants in a public participation. We often employ this method to simulate a participatory workshop whose outcomes are difficult to predict. Used in this way, the forum theatre becomes a forecasting tool that helps anticipate potential stumbling blocks so that ways can be found to avoid them.

Procedure
The first step consists of preparing the scene to be performed. This involves pre-

Role-play session on flood management with managers and users

Workshop simulation with farmers and government officials on managing an irrigated area in Tunisia. The participants at the front are analysing the scenario.

senting the background to the simulation (what scene we are going to perform and why), listing the stakeholders represented in the scene, defining their strategy and position with respect to the problem, and allocating roles to the participants who will be performing. Those participants not involved in the performance will adopt the role of observers.

The second step involves acting out the scene. The unique feature of the forum theatre is the emphasis placed on improvisation (nobody knows upfront how the scene will play out) and on the role of the audience who, if they so wish, can interrupt the simulation and change the performance by getting up on stage.

After several run-throughs, the participants end the simulation and review it together. What problems and stumbling blocks were encountered? What solutions or responses were put in place? How could the situation have been improved? Relating this back to the actual situation can help to improve the planning of a participatory workshop.

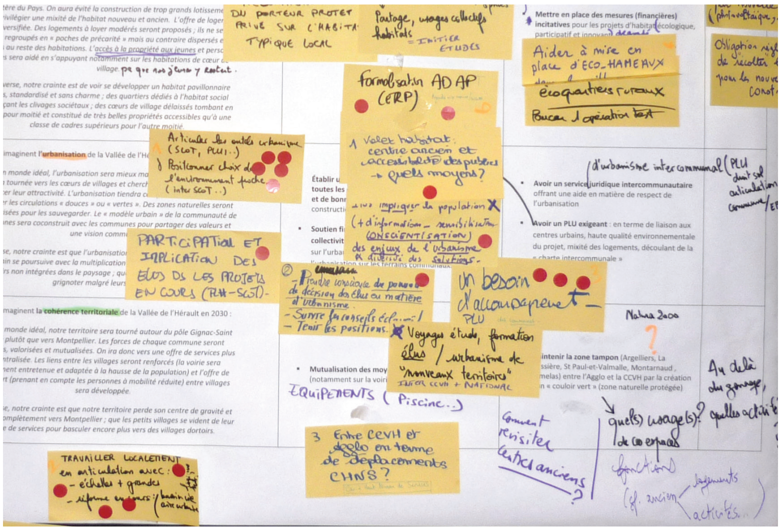
How to make and formalise decisions

At the end of a public participation process, it is essential to make and formalise decisions. Here again, there are a number of different tools that can be used. Three complementary approaches are described below.

Participatory writing

Often during a public participation, several different working groups are set up, either at the same time or in succession. In order to link these groups' work together, it can be useful to task them with progressively enhancing the same text, which is passed back and forth between groups.

In addition, the output at the end of many projects usually takes the form of a report of around ten (or even a hundred) pages. There is a major risk that the public participation participants fail to find their ideas reflected in this report, either because



Participatory drafting of an inter-local authority-level project

they have not actually been included or because they have been reworded and buried among various additions. Participatory writing can be an extremely useful way of avoiding this pitfall.

Method

At the end of a workshop, take the time to document the group's output (which generally consists of notes written on cards, Post-its and stickers, etc.). During the next workshop, ask the group to validate what you have documented. Then present this working base in your other discussion forums (thematic groups, steering committee meetings, etc.) and ask those present to respond. After each workshop, incorporate the proposed additions/corrections in a different coloured text so that these can be tracked. Do not forget to highlight the areas of agreement, as well as the additions/corrections. The final document will include all contributions.

Consensus scale

The consensus scale is a tool that helps determine whether or not there is consensus on a proposal, idea or action within a group. This tool is particularly suited to more closely assessing a working group's proposals on which there appears to be a consensus. A public participation process can easily generate ideas that are supported by the majority (they are a priority for a large number of people) yet which a minority find totally unacceptable.

Method

On a large board or flipchart, the facilitator writes down the proposals on which consensus appears to have been reached. Each participant then votes for their preferred option. After reviewing the results, the facilitator then asks the various participants whose votes place them on the right of the scale (near or on the veto) what would be required for them to change their position (towards an agreement in principle).

On the right: Using a consensus scale to review proposals during a public participation on local urban development

Proposal	I am ready to promote	I support	I can live with (indifferent)	I need more information in order to decide	Veto (strong opposition)
1. ABC	(write initials)				
2. XYZ					
3. Etc.					

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Action plan designed during an inter-institutional public participation on integrated water management

Action plan

Once you have ensured an agreement has been reached using the consensus scale, it is then much easier to formulate action plans.
Note: an action plan is only useful if responsibilities have been clearly defined. Ensure you have the 'correct' participants (those who can make a formal commitment) prior to embarking on an action plan.

Method
The facilitator draws a table with the following headings onto a large board or flipchart:

Task / Who / When / Where / How / Logistics

The participants discuss the actions required to implement each agreed proposal. You can either list all the actions (or tasks) first then fill in the remaining columns (who, when, where, etc.) or complete the table line by line until all possible actions have been put forward.

How to manage large groups

Different formats can be used for working with a large group. Three facilitation formats, each of which can be used to work with a group of between 40 and 5,000 people, are described below.

World café

The World Café method can be employed to discuss several topics at once with a large number of participants (between 20 and 100 people) in a relaxed and friendly atmosphere. The World Café can be used without the need for multiple facilitators as discussions are jointly facilitated by the participants themselves.

Method
Tables are set up within the room to accommodate either the number of topics

to be discussed or the number of participants (ideally 5 – 10 participants per table). One participant is selected for each table. This participant will remain at their table throughout the session and act as rapporteur. The participants share their ideas about a given topic (or question). The rapporteurs keep a written record of the ideas discussed. At the end of a set time period (between 15 and 30 minutes), all the participants change tables, with the exception of the rapporteur who remains to welcome the new group and briefly review the previous discussions held at their table. The new participants supplement and develop the previous group's ideas, enriching the discussion. The participants continue to swap tables until the end of the allotted time (generally changing tables 2 to 3 times). At the end, all the participants are brought together and the rapporteurs present a summary of the discussions held at each table.

Tips and advice

- To help participants note down ideas, cover the tables with large paper tablecloths.
- At the end of the last table change, schedule in time for the rapporteurs to prepare their presentations.
- Serving drinks or snacks to the participants can further create the impression that they are sitting talking in a café.

World café attended by citizens from different neighbourhood councils

Open forum

The open forum is a method that can be used to bring together a large number of participants (between 30 and 150) to generate creative solutions on a given topic. In an open forum, it is the participants who create and manage the agenda, which involves parallel working sessions.

This method primarily enables participants to address what they consider to be the most pressing questions or issues. It also empowers participants as it is they who propose the specific topics, lead the discussions and produce the outcomes. Finally, it enables the remaining participants to choose the working session that interests them the most.

The discussions, recommendations, most important findings, questions to be reviewed and the immediate action plans are documented in a report that is distributed to the participants before they leave the workshop.

Example of a half-day open forum

The participants are given a blank agenda, which they are asked to complete. Each participant is free to propose a topic that interests them and on which they want to work with other participants. Each person who proposes a topic then becomes responsible for:

- facilitating a small group that will discuss this topic;
- presenting the findings of this group's discussions using the predefined format;
- taking action outside of the forum – with other interested persons – to achieve the defined objectives and implement the solutions put forward by this group.

Those participants who do not want to 'lead' on a particular topic select the topics that interest them the most from those proposed and join the relevant small groups. The topics that fail to attract enough participants are discarded.

Each group then gathers in their discussion area, ideally each in a specific room or together in a room that is large enough to ensure that the groups do not disturb each other. During the working session, participants are free to change groups should they so wish. This is an extremely important rule that ensures participants' motivation and helps spread ideas between groups.

Once the discussion time has elapsed, the findings and outcomes are presented using a predefined format, an example of which is provided in the table opposite.

The findings can be presented to the entire group and followed by a debate.

Title of the action			
Person responsible			
Other participants			
Strategic orientation into which the action fits			
Objective of the action			
Additional ideas discussed during the open forum			
Steps to implement the action and deadlines	Name of the step	Completion date	Person responsible

Agenda developed collectively during an open forum

The 21st century town meeting

For more information on open forums: www.openspace.world.org

The 21st Century Town Meeting is a working method that combines technology (electronic voting system, networked computers, large-screen projections, teleconferences, etc.) and interpersonal dialogue in a one-day meeting of between 500 and 5,000 participants (all in one place or in different locations).

The aim is to enable a large number of citizens to participate in resolving disputes or discussing social problems on which the public authorities need to adopt a position. The objective is to involve a mix of citizens that are as statistically representative of society as possible in order to ensure the opinions expressed reflect the public interest.

Note: the 21st Century Town Meeting is the culmination of a process that, in reality, takes several months to complete.

21st Century Town Meeting organised in a city in the USA (photo: AmericaSpeaks)

If you would like to test your participatory tools and methods before taking them into the field, you can do so within a community of practice based in Montpellier. You can find examples of tests and registration information on the community website: www.particip.fr (available in French only)

Method

The participants are divided into groups of ten. Each group works at a table with a facilitator. Each table is connected to the coordinators, who consolidate the discussions and coordinate the workshop using one or more electronic monitors (one per table or per participant). The coordinators transmit the questions to be discussed in the subgroups and the responses are sent back to the central database and displayed in real-time on a giant screen. This sequence can be repeated for several questions or topics.

The forum generally consists of four steps:

1. Setting the context;
2. Discussing the values;
3. Drawing up recommendations;
4. Producing the minutes.

Ultimately, this process helps to articulate the collective views of a demographically representative sample of the general public. The participants are given a report summarising their work as they leave the forum.

Pitfalls to be avoided

- Believing that the tool will resolve all problems relating to the political environment, the process put in place or the choice of participants. A participatory tool will only work if the context lends itself to it.
- Extracting information that can later be used against the participants (e.g. the location of illegal boreholes, etc.).
- Requesting information that is easily available elsewhere or not relevant (do not feel pressured into using participation and conducting a pointless exercise).
- Confining the debate to a scale that is not relevant (with a risk of restricting discussions to routine rather than strategic management, treating participants as ‘complainants’ instead of stakeholders).
- Transcribing the participants’ contributions by focusing on generalities and distorting ideas: ensure you always properly describe the outcomes of the various workshops in the final reports (be wary of any reworked, problem-based, themed diagrams, etc.).
- Not making the effort to correct your reports following amendments from the participants.
- Not properly labelling your diagrams.
- Not placing your work within the context in which it was produced.
- Not taking the outputs of the workshops seriously on the grounds that they do not always meet all the codes of your graphic charters. If a specifictool is required (e.g. GIS, etc.), it may be necessary to provide training to the participants.
- Not preparing the facilitation of your tools: a participatory tool requires specific facilitation (see the section on group facilitation, page 41) that needs to be prepared in advance.


Qualité du bâti (Rénovation energetique)
Diversité Population
Pop jeune Dynamique
MIXITE SOCIALE Peu présente (milieu rural)
MAL LOGEMENT
Population Pauvre
Population + Patrimoine Vieillissant(e)
Déséquilibre Répartition population

6

Group
Facilitation

This section focuses on the techniques that can be used for facilitating a working session. Facilitation is required throughout the public participation process to ensure that the participatory workshops run smoothly and that the tools selected effectively fulfil their aim.

The foundations

Definition of facilitation

Facilitation consists of a range of skills (attitudes, values and techniques) that combine to build group momentum and ensure the group actively and dynamically interacts in order to generate:

- Team spirit;
- Collective learning;
- Results that are useful to all;
- The individual development of each participant.

Facilitation differs from coordination and mediation in both its role and its purpose. Unlike a coordinator, a facilitator is not central to the approach and seeks to leave the group to work without their input once they have created a sufficiently robust and autonomous group structure (Figure 4). Meanwhile, the mediator uses other skills to recreate a link between two conflicting parties. The mediator's role ends if and once this link has been re-established.

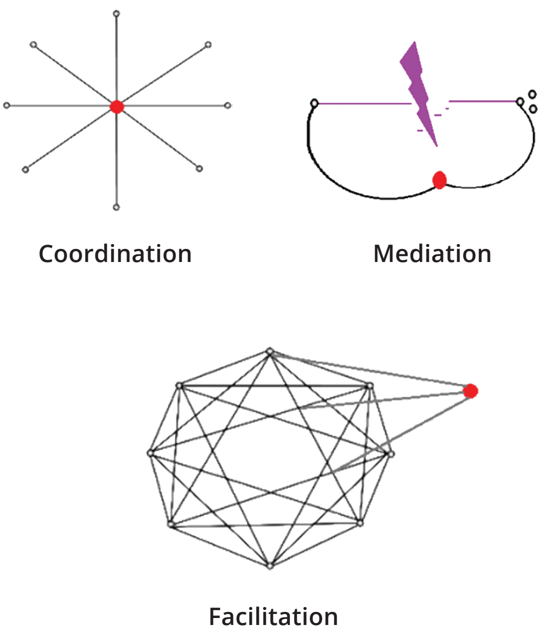


Figure 4 (on the left): Schematic illustration of the differences between coordination, mediation and facilitation

The role of facilitation

Ensure everyone is able to participate
Make sure that everybody can take part in the meeting by giving their opinion. The aim is not to compel members of the group to participate but to create an environment that facilitates participation.

Encourage mutual understanding
Rephrase what a participant has said if some people in the group appear not to have understood.

Facilitate the development of shared solutions
At the start of the meeting, propose that seeking shared solutions be considered as a value for guiding discussions: «We are here to see if we can align our objectives. I will assist you with finding sound agreements, that is agreements that each of you can approve or at least accept».

Encourage participants to take on responsibilities
This involves helping the group to jointly construct work plans and define each person's role within a given timeframe.

Facilitation values

Be impartial

- The facilitator must be impartial and not take sides or a position with regard to the topic being discussed and the participants' comments. This determines the facilitator's credibility.

Listen with empathy

- Actively listen to be able to rephrase what a participant is trying to say; the facilitator should not hesitate to say that they have not understood.

Trust the group

- Let the group develop its own solutions: the facilitator must remain neutral on the content of the discussions.
- Give serious consideration to the group's proposals, including those on the process being followed: this is the only way to ensure that the group will take ownership of the project.

Encourage and accept 'the unknown'

- Create and allow open situations.
- Clarify with the promoter whether or not they have already come up with a solution (if so, they do not need you).

Be honest with yourself and with others

- Be capable of assessing what you are thinking and feeling and able to communicate this.

For more information, please consult the work of Carl Rogers (1961, 1978), and Rogers and Freiberg (1994).

Format of a 'typical' workshop

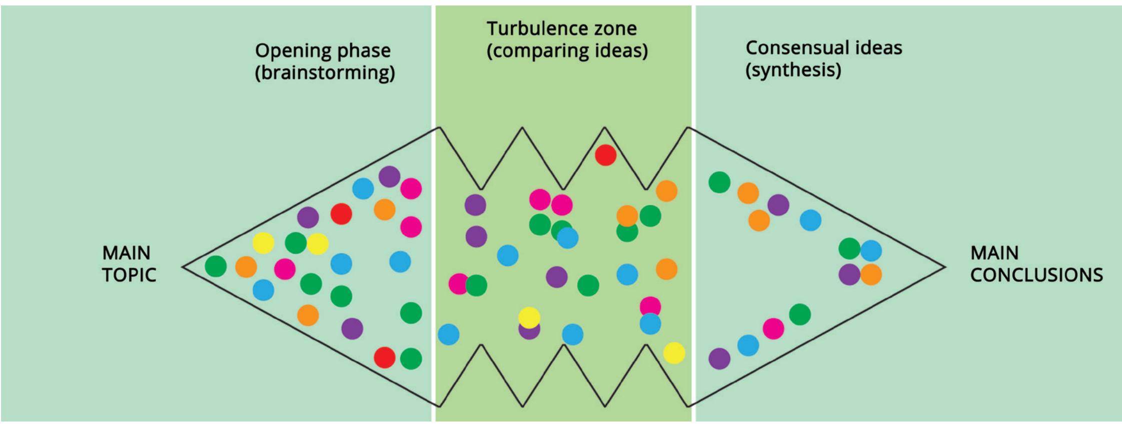
Regardless of how long it lasts (half a day, a full day or several days), a workshop should always consist of three phases that are more or less equal in length (Figure 5).

An opening phase in which everyone is able to share their point of view (all ideas are welcome, regardless of how 'strange' they seem). The facilitator encourages the participants, collates the ideas and groups them into topics (there is no open discussion at this stage).

A discussion phase where participants are invited to debate and defend their views while remaining aware of the opinions of others. This may give rise to tension, which it is up to the facilitator to manage (cf. the section on managing difficult situations). It is essential not to end the workshop during this second phase (which often happens in workshops with no facilitator, leading to frustration and disappointment), hence the importance of the third phase.

A summary and conclusion phase. The aim of this phase is to acknowledge areas of disagreement, focus on the main areas on which agreement has been reached and plan the subsequent activities, clearly defining the division of roles and responsibilities among participants.

Figure 5
The 3 stages of a typical workshop



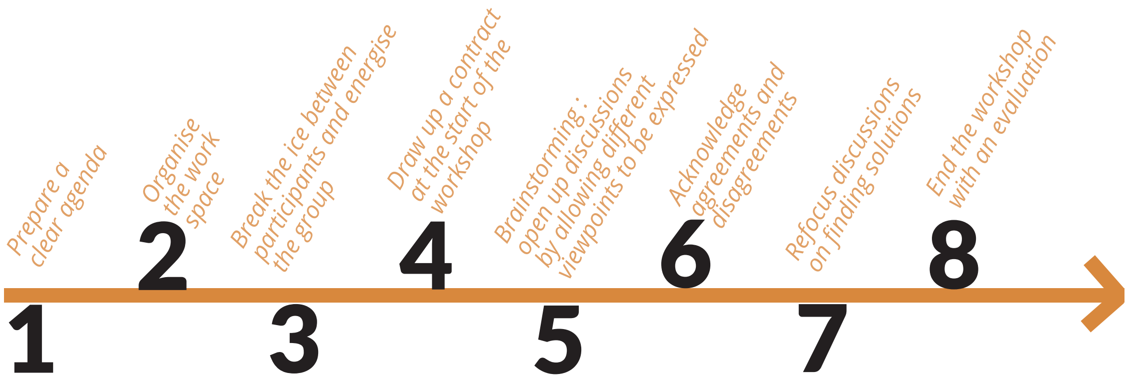


Figure 6: Stages of the facilitation process in a participatory workshop

Eight essential steps for facilitating a workshop

In the same way as a public participation process follows a certain method, a workshop must be meticulously planned (Figure 6).

1. Prepare a clear agenda

The first step involves clarifying and defining the objectives. You should then define the format you wish the workshop to take by specifying the activities, tools and methods you want to use. Then, you need to draw up a detailed agenda, which could look something like this:

Time	Topic	Activities	Preparation
9 :00	Participants' arrival	Offering coffee, distributing badges to be completed with the participants' names	Coffee, fruit juice, paper discs, markers, etc.
9 :15		"2 part" icebreaker (describe the activity)	Prepared pin board, coloured sticker dots, etc.
...			

When preparing your workshop, consider the group dynamic and include both plenary sessions and discussions in sub-groups.

Small group work is often recommended after a brainstorming session as it can lead to more in-depth discussions of the topics raised, ensure attentiveness and improve the quality of the work produced. Place topics or headings on flipcharts or wall space on which the group can work.

The work conducted in small groups can be shared by:

- A gallery walk, whereby the groups visit each other's stations and write comments on their completed flipcharts/walls;
- The groups taking turns to present their findings for a given topic before moving onto the next topic and repeating the process;

For more information, please see Schein, 1987

Working on large pin boards, without PowerPoint

Example of a circle set-up, without tables

- A 'traditional' presentation of findings whereby each group presents all of their work in one go. Examples must be given each time to explain the different points, otherwise the message being conveyed may get lost.

2. Organise the work space

There are numerous ways of organising the work space and the layout selected will have a decisive impact on the atmosphere, discussions and general group behaviour. If you can do without tables, do not use them. Removing physical barriers often improves communication and leads to better learning. It also naturally reduces aggression between participants. If you have to use tables, try to arrange them in circles or semi-circles. Whatever you do, avoid the traditional 'stage/audience' set-up, which polarises the room and creates distinctions between participants.

Facilitation stationery and materials

3. Break the ice between participants and energise the group

Icebreakers are short, fun exercises used to help participants get to know each other in a slightly informal and less serious way. An icebreaker helps participants to recognise things they have in common and creates an openness to dialogue. When a person arrives at a meeting where they do not know anybody, they can often feel anxious: «who are these other people, will they understand me, accept me, what am I going to get out of this workshop or meeting?» Icebreakers serve to address these questions.

Four examples of icebreakers:

Answering written questions
Objectives: create a friendly atmosphere; make participants accountable for what they are doing.
Materials: paper and pens.
Time: two minutes per participant (plus a few minutes to think of what questions to write).
Procedure: each participant writes a ques-

tion down on a piece of paper and folds it. The pieces of paper are placed in the centre of the group. Each participant takes a piece of paper, reads out the question and answers it. These can be either personal or professional questions and the participants should be made aware of the fact that they could draw their own question.

Meeting three participants
Objectives: meet new people in a large group; build positive energy within the group from the very outset.
Materials: none.
Time: 5-10 minutes.
Procedure: ask all the participants to stand up and go and introduce themselves to a total of three people they do not know. Give a time limit (for instance, 2 minutes per pair) and signal when it is time to change partners.

Using the room as a perceptual map
Objectives: provide guidance on a relevant question; indicate the workshop or meeting topic from the very outset; encourage participants to move around straightaway.
Materials: none.
Time: this depends on whether you ask the same question to all participants or just a select few (5-30 minutes).
Procedure: ask a question related to the workshop topic and which can be answered using scaled responses (many, enough, a little, none, etc.). Based on their responses, participants then go and stand in different parts of the room. This method is commonly used to gauge participants' knowledge. A question on facilitation, for example, could ask: «How much experience of group facilitation do you consider yourself to have? If you consider yourself a 'professional', move to the left side of the room. If this is completely new to you, move to the right. If you are somewhere in the middle, stand in the centre of the room.
Notes: a variation of this icebreaker involves drawing one or two axis on a flipchart to identify where participants stand in relation to questions relevant to the session. For instance, for a project kick-off meeting, you could draw an axis entitled: «I have understood the project» (with a scale running from 'not at all' to 'completely'); or «I know what I will be doing on the project» (also with a scale running from 'not at all' to 'completely'). The participants place their stickers on the graph (see photo) and introduce themselves to the group. At the end of the session, they can repeat the exercise, using stickers of a different colour, to determine whether their understanding has improved.

For more information, please consult the following references: Hunter and al. (1995), PinPoint (2002), and Pretty and al. (1995)

Using a map of the region
Objectives: enable the participants to find out where the other participants come from; encourage participants to move around from the very outset.
Materials: a large map of the region and Post-its (A6 or slightly smaller), marker pens.
Time: 30 seconds per participant.
Procedure: the participants write their name, their job title or organisation on Post-its. They then take turns to introduce themselves and stick their Post-it on the map to locate their place of work.
Notes: this icebreaker works well with large groups that come from different areas. It is even better if geography plays a role in the topic to be addressed.

A participant marking where they come from on a regional map

The knot in practice

Energisers, like icebreakers, are informal exercises used to create team spirit and physically 'energise' the group, particularly at the start of the session after lunch. Laughter helps put the participants in a positive frame of mind, which can facilitate the smooth running of the workshop.

For more icebreaker and energiser ideas, please see:

www.minotstateu.edu/cetl.pdf/IdeasforIcebreakersandTeambuilders.pdf

Inclusiveschools.org/wp-content/uploads/2015/09/Student_Connection_Activities_and_Icebreakers.pdf

Two examples of energisers:

The knot
Objectives: relax the participants; make them aware of one of the purposes of the session (the need to listen, for instance); take a break between two activities.
Materials: none.
Time: 5-10 minutes.
Procedure: ask the participants to form a circle, raise and cross their arms and to take hold of the hands of two other participants chosen at random. Each participant should hold the hands of two different people. The aim of the exercise is then to untie the knots this has formed, and recreate the initial circle, without letting go of each other's hands.
Notes: pay attention to the cultural setting and do not force participants into making physical contact with each other if they are unwilling.

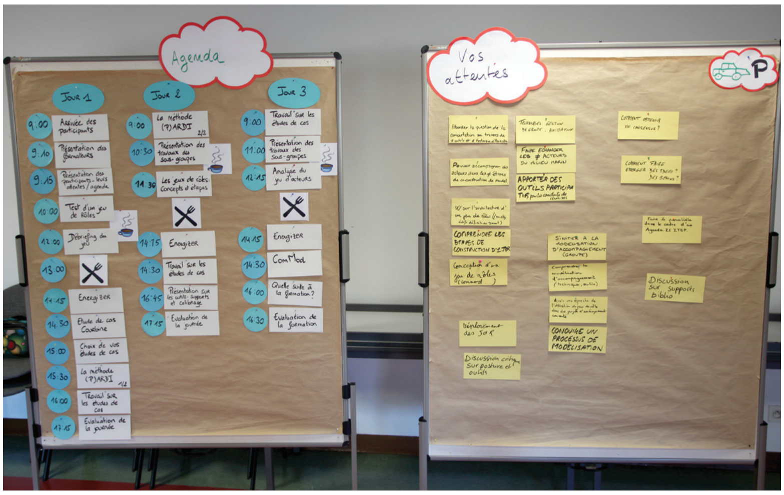
The floating stick

The floating stick
Objectives: relax participants; energise the group; take a break between two activities.
Materials: sticks.
Time: 5-10 minutes.
Procedure: the stick is placed on the participants' outstretched fingers, so that it is balanced in a straight line. The stick must remain in contact with each person's fingers at all times. The aim of the exercise is to work together to all lower the stick to the ground at the same time.

Do not hesitate to create your own icebreakers and energisers that are tailored to your objectives.

4. Draw up a contract at the start of the workshop

At the beginning of the workshop, it can be useful to ask participants questions on their expectations and potential concerns relating to the workshop topic and methodology. These questions are often asked after the facilitator has given an overview of the workshop objectives and agenda (to provide a general idea of the framework to be followed, but without going into too much detail so as not to influence participants' expectations). Once the participants' expectations and concerns have been noted, the objectives and agenda are reviewed again, but this time in detail, in order to determine whether they meet the participants' expectations or not. If it is possible to incorporate new expectations into the agenda, by all means do so. If not, explain why and ask the participants if they are still prepared to take part in the workshop anyway, under the conditions you have set out. This



Comparing a workshop agenda and participants' expectations

comparison between what the participants expect and what you have planned to do (agenda) can inform a 'contract' between the facilitator and the participants and help prevent the creation of false expectations and needless frustration.

Activity for clarifying expectations and concerns at the beginning of the workshop

Objectives: determine participants' needs in relation to the workshop/meeting; help the participants to get to know each other; reach an agreement on the workshop objectives, process and ground rules and thus create a (moral) 'contract' with the participants.
Materials: a flipchart containing the headings 'expectations' and 'concerns'. Cards, marker pens.
Time: 10 minutes for brainstorming needs (expectations and concerns) and 20 minutes to list and clarify them and include them in the agenda (if possible).
Procedure: the participants are divided into groups of three (or slightly larger small groups). Dividing participants into groups of three is easier and more effective when they are sitting in a circle or semi-circle as the participants can form into small groups without moving seats (interacting with the people next to them). The facilitator asks them to discuss their expectations and concerns relating to the workshop objectives and process. They write these onto a maximum of between three and five cards. After each small group has taken turns to state one of their expectations/concerns, they can then go round a second time, writing down other expectations and concerns that were not mentioned first time round, repeating this process until all expectations/concerns have been noted.

After the first round of writing, the facilitator reads and puts up the cards, grouping them under headings agreed by the participants (see brainstorming rules below).

Lastly, the facilitator explains how they will incorporate the various points raised into the agenda (which also provides an opportunity to clarify the agenda should the participants prove to have different perceptions).
Notes: this can be used to mix up the participants to ensure they work with people they do not yet know.

5. Brainstorming: open up discussions by allowing different viewpoints to be expressed

Prior to reaching agreement on the topics to be discussed, it is important to open up the range of possibilities to enable each participant to express their opinion. This does not mean addressing all themes; however, raising different topics (even those that are irrelevant) helps facilitate consensual decision-making while ensuring all viewpoints are heard. This step is illustrated through the brainstorming method. This traditional method is used to generate a wide range of ideas in a short space of time while involving all participants.

Some key principles

Although there are several ways of facilitating a brainstorming session, there are certain general principles that should be followed to gain time and foster the generation of ideas:

- Write the brainstorming ground rules down on cards (one ground rule per card) and display them:
  - All ideas are welcome (even the most 'off-the-wall' ideas);
  - One idea per card;
  - Write in large letters;
  - Use a symbol to note points of disagreement (a lightning bolt, for instance);
  - The person that came up with the idea has the final say as to which category their idea should be placed under. A second copy of the card can be produced if this is contested, so that it can also be placed in a different category;
- Explain what you are going to do, why and how. Introduce the question and ensure that everybody has understood it;
- Formulate a clear and open question: the question should be phrased in a way that generates a large number of responses;
- Display the question: it is important that there is a visual reminder of the question to avoid digression;
- Give the participants time to consider the question: to ensure full participation and self-expression, participants should be given time to clearly set out their ideas prior to sharing them;
- Do not ignore ideas that may appear 'hare-brained' and 'off-the-wall': the facilitator is to consider each idea as being potentially of interest and thus listing all the ideas mentioned is not only desirable but strongly recommended. Those ideas that make no sense to the group will be naturally eliminated without making the people who proposed them feel excluded.

Creating groups of ideas during a brainstorming session

Different ways of facilitating a brainstorming session

- **Large pieces of paper or small pieces of card:** there are two possible ways of writing down the participants' ideas. To save time, the facilitator writes them, noting down the ideas in real-time on a board or flipchart. However, to ensure more active participation, it is recommended that the participants write their own ideas down on small cards, which the facilitator collects and displays as the session progresses.

- **In small groups or individually:** during a brainstorming session, you can either divide the participants up into small groups (groups of three, for instance, to foster interactions, consensus and mutual understanding between group members) or ask them to work individually (to ensure each person actively participates). Regardless of the option chosen, you must always start by allowing the participants individual thinking time.

- **With categories defined either by you or by the participants:** after a brainstorming session, it can be useful to group the ideas into categories or themes. You can either prepare these categories/themes in advance (which is quicker) or let the participants come up with them themselves (which is slightly longer, but ensures that the outcome will be more easily accepted by the participants).

- **With or without prioritisation:** at the end of a brainstorming session, should you so wish you can rank the ideas in order of priority: the most important, the most urgent, those that need to be examined further, etc. To do this, you can ask the participants to vote, either using the criteria you have provided or leaving them to define their own criteria. However, you should always exercise caution when conducting this prioritisation as it can sometimes give rise to misunderstandings (the ideas not selected can be seen as being unimportant). Therefore, careful consideration should be given to the number of votes you are going to allocate to each participant and to properly explaining the activity and its outcomes.

6. Acknowledge agreements and disagreements

It is just as important to highlight the areas of common ground as it is the areas of disagreement. It can be reassuring for a participant to see that their viewpoint has been raised, even if this differs from and conflicts with other participants' views. The facilitator's role is not to ensure the participants agree on everything but to point out that, despite their differences, it is possible to collectively move towards a consensus by focusing on common ground (in the first instance). At this stage of the workshop, use supported dialogue techniques (see page 28).

7. Refocus discussions on finding solutions

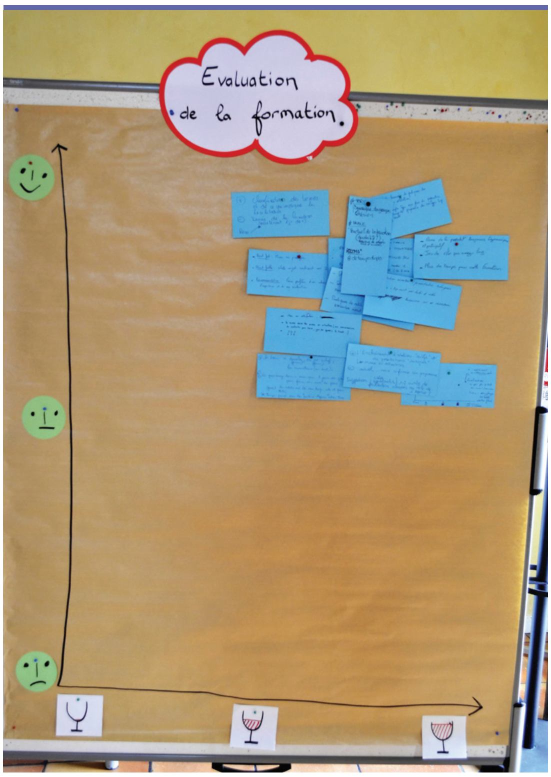
After having opened up discussions and taking the diverse range of viewpoints into account, it is important to help the group to refocus and make a choice, most often on what has already been agreed, in order to make as much progress as possible and come up with ideas for solutions and/or working together. At this stage of the workshop, you could use a consensus scale or action plan, for example (see pages 35-36).

8. End the workshop with an evaluation

At the end of a meeting or workshop, it is essential to assess the progress that has been made, as well as gauge the participants' mindset, in order to plan for the subsequent phases; an exercise known as a debriefing. This is an effective way of reviewing the lessons learned during the workshop (both for the participants and the facilitator).

Two simple and effective on-the-spot evaluation techniques

Two-part on-the-spot evaluation
Objectives: anonymously evaluate the content and format of the workshop; keep



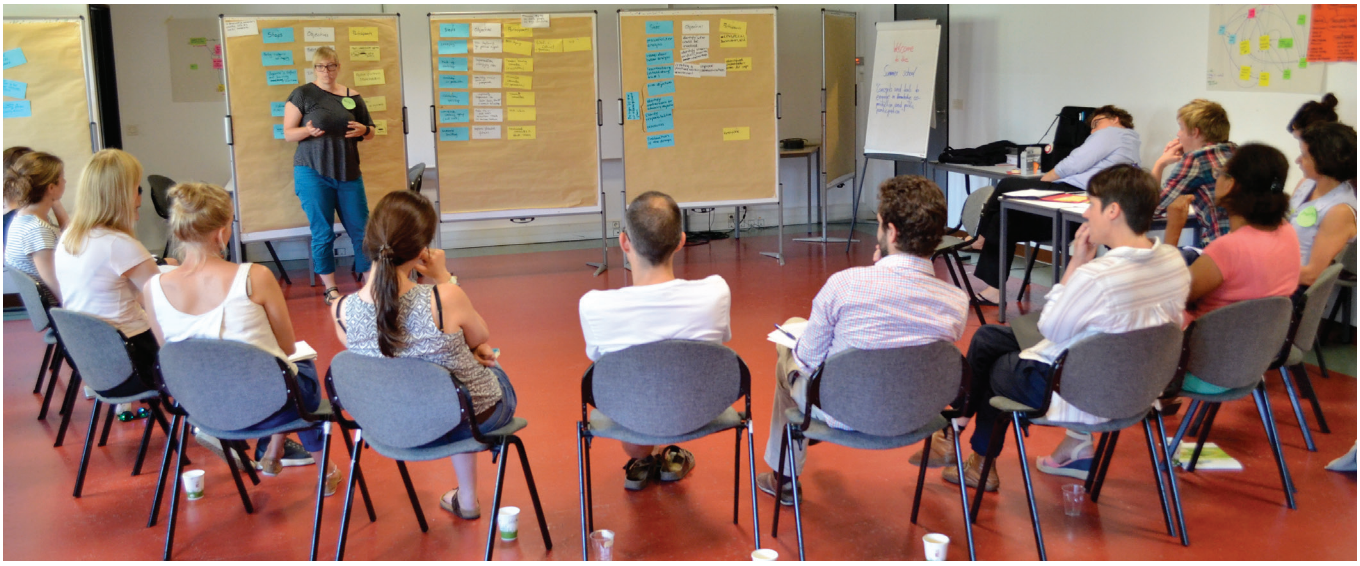
An end-of-workshop two-axis evaluation

The circle, here being used to evaluate a training session

a written record of participants' feedback; enable participants to give feedback on whatever they want; obtain a snapshot of participants' overall impressions by looking at where they have placed their cards.
Materials: a board, cards, pens.
Time: 10 to 20 minutes, depending on the size of the group.
Procedure: draw a table with two lines, one for feedback on the workshop format (satisfied, neutral, and dissatisfied) and the other for the workshop content (full glass, half-full glass, empty glass). Ask the participants to write their feedback on a card and to place it anonymously on the board, without anybody seeing.

The circle
Objectives: end the workshop by enhancing feelings of mutual respect and listening to each other; foster group cohesion.
Materials: none.
Time: 5 to 20 minutes, depending on the size of the group.
Procedure: seat the participants in a circle and ask for their feedback on the workshop. For instance, you could ask them:
How do you feel at the end of this workshop?
What are the strengths and weaknesses of this workshop?
What recommendations can you give us for future workshops of this type?

Notes: above all, do not discuss the points raised. Listen to each idea without debating it. The only drawback of this method is that it is not anonymous.



Facilitating a plenary debate

Group facilitation techniques

Facilitate a plenary debate: supported dialogue

Conversations within groups can very often go off on tangents. In some cases, participants can also stop listening or start talking aggressively to get their point across. This can fracture team spirit and lead to a significant drop in motivation within the group. The facilitator thus finds themselves faced with two issues that need managing at the same time: making sure everyone has the chance to speak and refocusing the discussion on a specific topic. The techniques outlined below will help you facilitate good and effective dialogue between members of a group.

Establish the ground rules
«We are going to have one hour of discussions. I would like to explain how this is going to work. I see this discussion as an opportunity for you to share your points of view but also to gain an understanding of other people's views. If more than one person wants to speak at the same time, I will ask you to raise your hands and I will turn to each of you in the order in which your hands were raised. For greater flexibility, if there are strong immediate reactions to something that is said, I will allow the participants concerned to finish speaking before returning to the initial discussion. I will also summarise the conversation from time to time and if I haven't understood what you said, I will ask you to clarify. Does anyone have any questions or comments?»

Arrange for people to take turns to speak based on the order in which they raised their hands

- Ask the participants to raise their hands.
- Assign numbers.
- Ask the participants to remember this numerical order and let each person speak in turn.
- If there is a strong reaction, allow the participants concerned to finish speaking before returning to the initial discussion.

Encourage everyone to participate by asking:

- «Does anyone else have an idea on this?»
- «Has this discussion raised any other questions?»
- «Are there any other possibilities that have not yet been covered?"

Ensure there is a diverse range of opinions expressed on the topics covered by asking:
- «Now we have three opinions – does anyone have a different view?»
- «What do the rest of you think?»
- «And the rest of the group, do you agree with that?»

Open up the conversation to the shyer members of the group or to those struggling to keep up with the discussion:
- Look at the people who have not yet said anything: look for changes in their body language that indicate that they want to speak.
- Invite them to speak: «Is there anything you would like to say/add?»
- Do not force them to speak if they are unwilling.

Use time constraints to give the floor to those who have not yet spoken:
- «We only have 5 minutes left. I would like to hear from those of you who have not yet spoken.»
- «We don't have much time left, just enough to hear from perhaps two or three other people, ideally those who have not yet spoken (and look at them).»

Paraphrase to show the participants that at least one person in the room is listening to them (you). This reassures them and builds mutual understanding:
- Use their own words to reiterate what the person has said.
- Give brief summaries.
- Start with: «If I have understood you correctly…», or «Let's see if I have properly understood…»
- End with: «Is that what you wanted to say?»

Ask for clarification or more detail, for instance by asking:
- «Could you elaborate slightly on that?»
- «What do you mean exactly?»

Note: You could be seen as taking a non-neutral position if you repeatedly ask these questions to the same person.

Listen to highlight areas of common ground:
- Recap the areas of agreement and disagreement in order to remind people that they share common views, without overlooking their differences: «To recap: I have heard a lot of differences but also that there is common ground.»
- Ask: «Have I understood correctly?»

Separate two topics that have become intermingled:
- Establish the two topics: «There are two conversations here, one on X and one on Y»
- Propose spending time discussing X first, then Y.

Summarise several conversations:
- The facilitator indicates that they will summarise what is being discussed: «There appears to be three conversations taking place at the same time and I want to make sure I understand them all.»
- «One conversation seems to be on X, the second on Y and the third on Z. Is this correct?»
- Stop there and, whatever you do, do not ask: «What do you want to talk about now?» The aim of this intervention is to help the group to see things from all viewpoints, not to choose between them. Let the group then continue with their conversation.

Ask for answers in order to keep the focus on the same topic:
- «Does anyone have anything to add in response to what X has just said?»
- «After having heard what these participants have said, does anyone have any questions they would like to ask them?»

Deliberately redirect the discussion:
- «You have spent the last X minutes discussing 'ABC'. Some people have also indicated that they would like to talk about 'DEF'. Would now be a good time to discuss this?»
- «A while ago, Mr. X said ABC. Nobody has responded to this yet. Before

his point of view gets lost, I would just like to see if anyone has anything they would like to say in response to Mr. X?»

Refocus :

- Summarise the conversations.
- Remind participants of the initial aim of the discussion: «We are here today to...»
- Say: «The discussion has now split into several different topics. Which topics do you think we should address now and which should we park for later?»
- Make a note of the topics.
- Restart the discussion.
- Note down the off-topic ideas on pieces of card and display them in a space marked 'parked' so they can be covered later

Managing difficult situations

People are not usually 'difficult' intentionally. The facilitator's role involves seeking to determine the reasons behind a 'difficult' person's behaviour in order to gain their trust and reassure them. Below, we set out two specific methods for refocusing the discussion: taking a step back from the discussion to talk about the process and addressing sensitive issues. We then set out the principles of nonviolent communication. Lastly, the table at the end of this section lists issues commonly encountered during workshop facilitation, along with typical mistakes to avoid and examples of 'appropriate' responses.

Taking a step back from the discussion to talk about the process

The discussion can sometimes reach an impasse for no obviously apparent reason. For instance, certain participants perhaps continually return to a topic on which a decision has already been reached earlier in the workshop. In this situation, the facilitator can be tempted to simply ask: «What's going on? We seem to have got a bit stuck. Does anyone know why we've come back to this point?» This may well be enough for some of the participants to put forward an explanation; however, most people would not naturally think to analyse the situation to work out what is happening and this question could just make the situation worse. We therefore recommend that you use the following strategy:

- Describe the situation. Use facts to support your description. «We're moving away from topic X, despite the fact that the majority of the group wanted to discuss it. Several participants have gone back to talking about topic Z, which we have already dealt with.»
- Ask permission to provisionally suspend the discussion to talk about the process: «It is important that we adjourn the discussion and, together, work out why the conversation keeps returning to topic Z. I suggest a very simple way of doing this. Is this OK with everyone?»
- Once you have obtained their agreement, ask a question on the process regarding the previous discussion: «Does anyone have any feedback they would like to give on the way we are working together?» «Is there anything you would like us to change?»
- Once you have received a few responses, ask a more specific question: «What do you think is stopping us from moving forward?» «What do we need to do to overcome this?»
- When the participants seem ready to return to the initial discussion, prepare them by asking a further question: «Before getting back to the topic at hand, does anyone have anything else they would like to add?»

For more information, please see Kaner 2014

Addressing sensitive issues

In some cases, participants will need to address sensitive issues that you suspect will be difficult for them to talk about in a plenary session. In this situation, we recommend that you divide them up into small groups (pairs or slightly larger) to facilitate discussions and overcome any hesitations:

- Describe the situation. Use facts to support your description: «It appears to me that point X needs clarifying as it has not been made sufficiently clear to everyone.»
- Ask permission to provisionally suspend the discussion to hold side discussions before resuming the plenary session: «I suggest that we stop the plenary discussion for a while to examine topic X in more detail in sub-groups. Is this OK with everyone?»
- Ask the participants to work in pairs or small groups. Ask each person to answer the following question: «Have we covered everything relating to point X or is there anything else that needs to be highlighted?» Reassure the participants that nobody will be forced into saying anything they do not want.
- Then, in order to determine what can be more widely shared, ask each person (still in their sub-groups) to answer the following question: «Could the rest of the group benefit from your discussion?»
- Return to the plenary discussion and ask if anyone would like to volunteer to share their ideas with the rest of the group.

For more information, see the Rosenberg method (2003) on giving and receiving feedback.

Training participants employing non-violent communication.

Nonviolent communication

Nonviolent communication is a technique that consists of communicating an idea without causing harm to the person to whom you are speaking. It is based on compassion and helps to create empathy, even in tense and difficult situations. The aim is to replace our judgements or criticisms of other people by becoming more aware of ourselves, our emotions and our needs to avoid the common reactions people have when they feel challenged.

It is a technique that has 4 components, illustrated below using the example of a workshop where participants go beyond their allotted speaking time:

- Objectively describe the situation, without judging or analysing it: «I see that it is now 11:30.»
- Communicate your (positive or negative) feelings on this situation: «I am afraid we will not be able to finish the workshop on time and with all the participants present.»
- Express your needs with regard to this situation: «And I would like to finish on time after having given everyone an equal opportunity to speak.»
- Make an acceptable request so that the other person can meet your need: «Could you summarise your idea in just a few words, please?»

The issue	Typical mistake	Appropriate response
One participant monopolises the conversation	"Excuse me Mr. X, would you mind if we moved on to let someone else speak?" Or worse: "I'm sorry Mrs. X, but you have been talking for a long time, you must give the others a chance to speak…"	If one person is participating too much, the others are not participating enough. Thus, focus your efforts on the people who are quiet. Encourage them (without compelling them) to contribute while remaining attentive to the dominant participant. Asking the participants to work in smaller groups can also help.
A number of participants become distracted during a discussion	Reprimand them, like a teacher: "Let's focus on the work at hand, please." This can sometimes work, but it depends on the group and the reasons behind the distraction.	Seek to identify the reasons for the distraction. Perhaps the participants are feeling tired or overwhelmed, in which case suggest taking a break. When there is no clear reason, use nonviolent communication.
There is very little participation among the group as a whole	Assume that everyone agrees with what is being said and that everybody is happy with the working method being used.	This low level of participation is most likely due to high levels of anxiety among participants, which is preventing them from expressing themselves freely. You need to find a way of relieving the tension. Small group work can often help with this.
Two participants continually clash and take over the discussion	Try to 'resolve the conflict'. It is possible that one of the pair is not interested in coming to a consensus. Perhaps they just want a good old-fashioned debate to show everybody that they are "in the right".	Focus your attention on the others. Ask: "Who else has an opinion on this?" or: "Are there any other topics that need to be discussed?"
One or two participants remain silent in a group where everyone else is actively participating	"Mr. X, you haven't said anything yet. Would you like to add anything?" This can work if the participant has indicated (e.g. non-verbally) that they would like to contribute. However, if the person is shy, they will not usually appreciate this type of approach and may feel forced into speaking.	"I would like to get the opinions of those who have not yet spoken." Use small group work. Use individual pieces of card.
Private jokes	Ignore whisperings in the hope that these will peter out on their own. This approach can sometimes work, but often makes things worse.	In a warm and friendly way, say to the person being told the joke: "I would like to hear that too." If the problem persists, see if the group needs a break or whether there is another underlying reason.
There is very little participation from some of the people present, who seem uninterested in the discussion	Treat their silence as agreement with all that is being said. Ignore these participants and feel happy that they are not causing any problems.	Normally, you avoid this type of issue by setting out the participants' expectations at the start of each session and incorporating them into the topics under discussion.
Not starting and ending at the scheduled times	Always wait until everyone has arrived before starting. If you do this, the session will always start late. Go over the scheduled end time without asking the participants if this is OK. People can always leave quietly if they wish…	Begin at the scheduled time (some flexibility can be scheduled into the very first session by including an introductory coffee, for instance). Agree with the participants how the time is to be managed: "Is everyone OK with the time of the restart?" And restart the session at that time. At the end: if you need to go on for longer than planned, first ask the participants' for their opinion and come to an arrangement with them if necessary.
The participants insist on discussing certain topics (that are of little relevance)	Consider that, at the end of the day, this is their workshop and so they can do what they want…	Ask the group to take a step back from the discussion to find out what is happening with regard to the process. Ask: "What is going on?"
Someone becomes insistent and continually repeats their idea	Ignore them. Tell them to be quiet.	Participants in a group often become insistent because they think that nobody has understood them. That is your job! So, seek to understand them – including by 'reading between the lines' - and paraphrase what they have said.

7

Evaluation

Why evaluate a public participation process

The evaluation of a public participation process can provide the answers to many of the questions that we may legitimately ask ourselves. We can firstly seek to determine whether or not the set objectives have been achieved (cf. public participation objectives, p.6). This can be useful for establishing if the resources invested have been used effectively or not. We can then look to identify how the outcomes obtained were achieved; in other words, how the public participation was implemented. This is particularly useful if we want to know whether or not the process has met the desired quality and ethical criteria (cf. public participation principles, p.8). We than further evaluate a public participation to find out whether the collective process has produced other outcomes that we had not initially anticipated.

In all three cases, evaluation can be used for different purposes: to legitimise the outcomes of the public participation; to convey how these outcomes were obtained; and to monitor and verify the implementation of an ongoing public participation process.

A public participation evaluation framework

A generic evaluation framework is provided below, which illustrates the range of possibilities available (Figure 7).

It is firstly possible to evaluate the various activities that punctuate the public participation process (a). The aim of this evaluation is to establish the quality of the process being used, notably the way in which the workshops are conducted. This ongoing evaluation seeks to determine whether or not the process is being implemented in line with the principles defined prior to the public participation. It also enables you to change course if the indicators are red (project monitoring). Examples of indicators that can be used for this type of evaluation are provided on page 61.

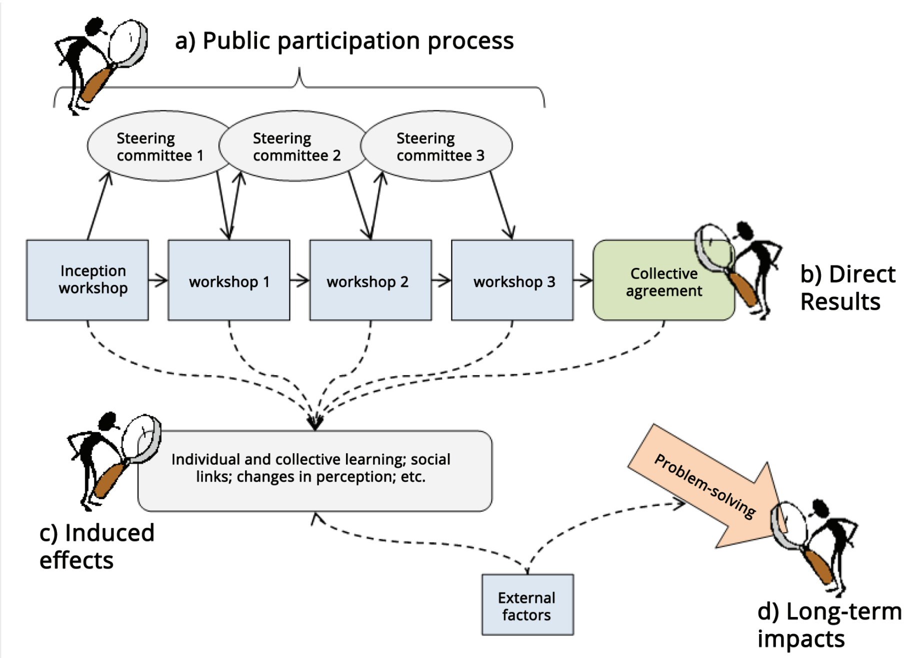


Figure 7: Generic overview of the different aspects of public participation that can be evaluated

It is then possible to evaluate the direct outcomes of the process (b), such as the reports produced, the agreements reached or the decisions made. This evaluation is carried out at the end of the project, but it is important to keep a record of all the intermediate outcomes produced during the process (through systematic documentation).

An evaluation can also focus on the effects produced by the process (c), such as the lessons learned or changes in perceptions (e.g. relating to participants' self-esteem, their ability to take part in problem-solving, their perception of other stakeholders, etc.). This type of evaluation is more complicated as, not only can these effects be triggered by factors outside the project, but they also cover cognitive and social issues for which specific skills are required. We have nevertheless included some of the most easily observable criteria in the list of indicators below. This type of evaluation should be conducted both during and at the end of the process.

Lastly, it is possible to evaluate the impacts of the process (d), which result from the combination of the factors described above, plus external factors, and which remain visible over the longer-term. In order to evaluate these impacts, it is therefore necessary to return to the field after the project has been completed.

Expert or participatory evaluation

Depending on the objectives of the evaluation and the resources available, there are four main types of evaluation that can be used (Figure 8). These different types are characterised in accordance with the approach used for:

1. How the evaluation criteria are defined (participatory = by the participants in the public participation process; expert = by the evaluators themselves).
2. How the evaluation criteria are informed (participatory = during one or more participatory workshops with the participants; expert = by the evaluators based on their observations or individual surveys).

These different types of evaluation are described below.

Participants evaluating a training session using a matrix they developed themselves

Expert evaluation

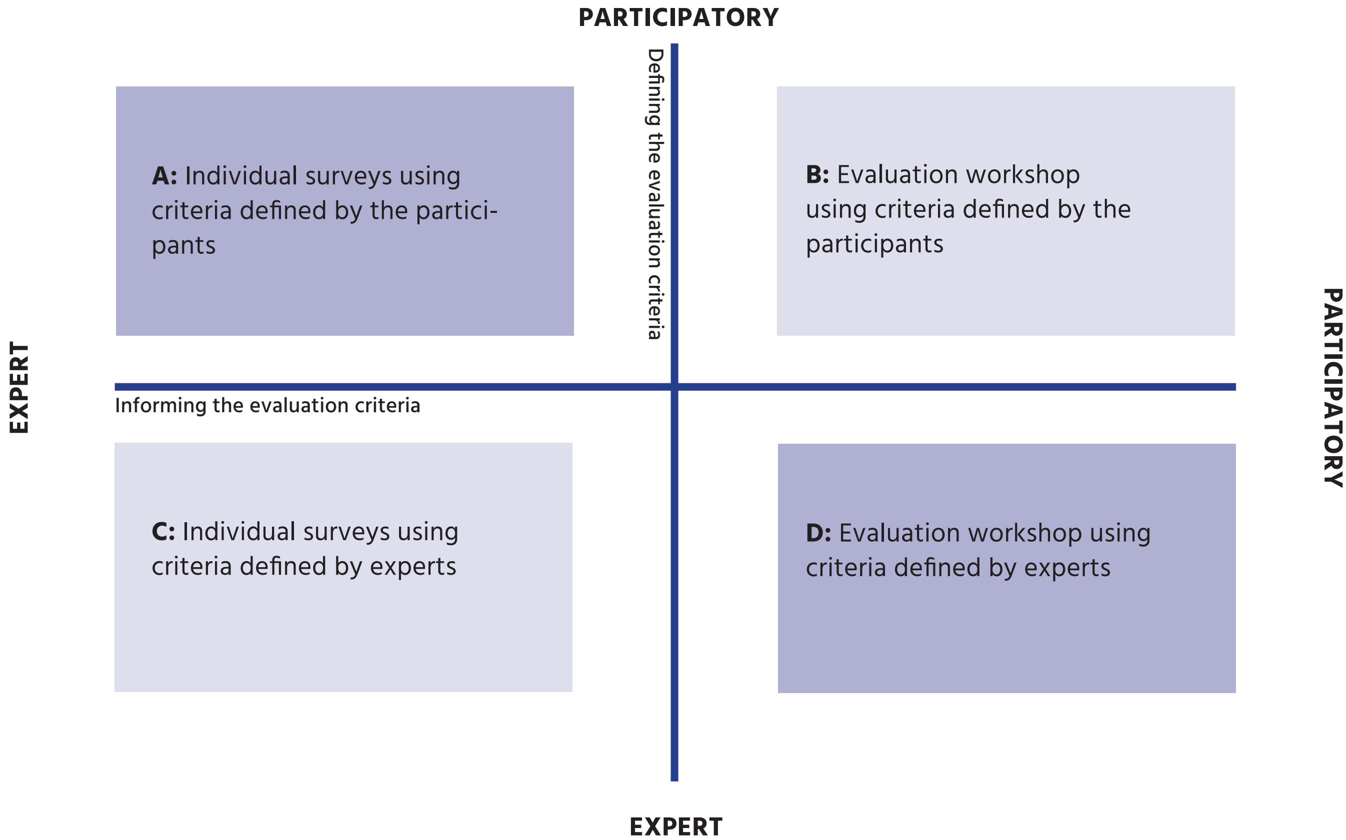
Evaluation process - type C: This process corresponds to a 'traditional' evaluation where the expert evaluators define which criteria the evaluation will cover and conduct the evaluation themselves (by reviewing the documents produced and carrying out targeted surveys with the public participation participants, for example).

Additional evaluation - type D: this expert evaluation can be supplemented by a participatory evaluation workshop held at the end of the public participation process to enable participants to collectively evaluate the process in which they have taken part. The criteria used are those defined by the expert evaluators.

Participatory evaluation

Evaluation process – type A and B: This is a process that uses a participatory approach to define the evaluation criteria and conduct the evaluation itself (type B). In addition to incorporating criteria that are important to the participants, this evaluation has the further advantage of more closely involving the participants in monitoring and managing the process. When using this methodology, a workshop needs to be organised at the start of the process to define the evaluation criteria to be used to assess the public participation. For type A, the evaluation will be conducted by an expert evaluator, who will use these criteria. For type B, the participants will conduct the evaluation themselves during a participatory evaluation workshop held at the end of the public participation process.

Figure 8: Different types of public participation evaluation



Indicators

A list of sample indicators that can be used to evaluate certain aspects of a public participation (during or at the end of the process) is provided below, alongside questions/statements to be evaluated by the participants (see the table below).

Note: it is difficult to evaluate a large number of indicators at the same time. We recommend that you focus on just a few indicators, but update these on a regular basis.

Examples of indicators that can be used for evaluating a public participation.

Aspect evaluated	Indicators	Questions / statements to be evaluated by the participants
The project		
Public participation process	Transparency	I believe that I have been properly informed of the project objectives and process
		I understand the implications of my involvement in this project
	Participants' interest in the project	The project is useful
	Engagement	I am ready to continue to personally invest in this project
The workshop		
Public participation process	Quality of the facilitation	The way of working was effective (it produced good results in a short space of time)
		The way of working was motivating
		The facilitator was neutral
	Representativeness	All interests were well-represented for the topic covered
	Quality of the interactions between participants	I was able to speak as much as I wished
		I understood the view of the other participants
	Balance between participants' expectations and the workshop outcomes	What were your expectations of the workshop?
		The workshop outcomes meet my expectations
Effects produced	Unforeseen effects or effects not evaluated elsewhere	The workshop was useful in other ways that I had not anticipated (please provide more detail)
		Are you pleased that you came and why?
	Individual learning; acquisition of new knowledge; information-sharing between stakeholders	I have improved my knowledge of (specify the aspects linked to the workshop objectives)
	Social learning	This workshop has enabled me to work constructively with other participants
		I have changed my opinion of the other participants


Laura

Conclusion

Implementing a public participation process is a real challenge. Its success depends on a combination of factors. The first step is to clearly define why you want to take this course of action. You then need to develop a strategy that is aligned to the reality of the environment in which the public participation is to take place. It is also necessary to choose the 'correct' participatory methods and tools and know how to use them. In addition, you need to clarify your position and respect certain ethical rules. Finally, it is important to mobilise sufficient resources to meet the set objectives.

Unlike more technical approaches, the public participation approach cannot predict with any certainty what outcome will be produced by a given process, tool or method. It does, however, make it possible to ask the right questions and adopt a reflective stance in order to avoid the pitfalls inherent in participatory methods. We hope that this guide has provided you with valuable information that you can use to (re)develop your own public participation practices and we wish you every success in your projects.

The Lisode Team

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