Australian Government

Department of Agriculture, Fisheries and Forestry
Bureau of Rural Sciences

MURRAY-
DARLING
B A S I N
COMMISSION

Towards Whole of Community Engagement:

A PRACTICAL TOOLKIT

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FOREWORD

The Commission's Integrated Catchment Management (ICM) Policy proposes a stronger government and community partnership, and the need to involve all relevant people in natural resource management decision-making for Basin and catchment scale. Inclusive engagement processes by governments and communities are essential to achieve this. With strong support from the Community Advisory Committee, a set of good practice engagement processes has been included in this 'tool kit'. This self-help manual has been field-tested to ensure it provides a practical 'set of tools' that can be used by government and communities to implement engagement processes that are appropriate and effective.

Enduring long-term decision-making for natural resource management depends on reliable collective decision-making processes. Robust decisions result from involving those who need to be there.

The toolkit is designed in three parts. Part 1 establishes the principles for good community engagement and discusses how they can be applied using the twelve tools. Part 2 covers the value and uses for each of the twelve 'tools' and how to choose which is most appropriate in a given situation. The third part provides an annotated bibliography of more detailed reading or helpful websites.

Production of this engagement toolkit has been the result of careful thinking and work from the authors, commitment and experience from community and government stakeholders and a desire by the Murray-Darling Basin Commission to support capacity building in a practical way. I would like to ackowledge the collaborative approach used by the Bureau of Rural Sciences while conducting this research. If this toolkit proves itself as a manual for community engagement, then future editions will be aimed at wider audiences for an improved approach to natural resource management.

I commend this toolkit to all those who strive to involve people in making the best decisions possible today and aim to improve on that tomorrow.

Warwick McDonald
Director, ICM Business
Murray-Darling Basin Commission

ABOUT THE AUTHORS

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ACKNOWLEDGMENTS

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HOW TO USE THIS TOOLKIT

This toolkit is designed to help anyone who wants to develop, design or conduct community engagement processes, or to be part of them. It has a particular focus on engaging communities in natural resource management issues in Australia's Murray-Darling Basin, but much of the material is applicable to almost any kind of community engagement, anywhere. The toolkit has been written for the Murray-Darling Basin Commission, but we hope it will help a range of stakeholders – in fact all those people who have an interest in a more sustainable future. It is particularly relevant to you if you are responsible for making decisions about community engagement processes. You could be a staff member or volunteer from a government, non-government, industry or private sector organisation. You could be a member of a catchment management organisation or other regional group involved in natural resource management.

The diagram on the next page shows how you can find your way around this toolkit and use it to help answer your questions about engaging communities.

Part 1 Starting up: what makes for good community engagement?

Part 1 outlines the approach and framework we have used for the toolkit and provides some definitions. It has been developed from reviews of previous work, interviews with Murray-Darling Basin stakeholders, and from observing stakeholder events. The approach and framework have been tested at a workshop and we have incorporated comments from workshop participants. Read this part if you would like to understand what good community engagement is all about, and how we have organised the tools and related them to the stages of decision-making.

Part 2 Choosing: which tools and techniques should I use?

Part 2 describes the tools; discusses their strengths and weaknesses; and rates each according to how likely it is to foster engagement, involve different numbers of people, and how difficult it is to apply. This is the part you should consult to identify good tools to use in particular situations. Part 2 also has checklists to quickly scan the range of tools and help identify useful ones for particular purposes. Each tool has been numbered and given a symbol that is used in the checklists and in describing each tool. Each tool has also been related to the stage of decision-making to which it may be most suited.

Part 3 Resourcing: where can I find out more?

Part 3 provides further resources about community engagement: an annotated bibliography and relevant websites. You should consult this part if you would like to find out more about any of the tools or locate detailed instructions on how, when, where and why to use them.

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PART 1 STARTING UP:

What makes for good community engagement?

'We are making the right noises but we need the kitchen table stuff, the on-the-ground outcomes. We are dealing with specific issues. We need to resolve property rights issues to some natural resource management problems. The process can become the outcome. Individual stakeholders are too far removed from processes, they need to feel ownership …'
(Industry member)

'We need a proper debate about revenue generation and transfer of revenue from rural to urban, there needs to be a groundswell from the community …'
(Catchment Management Organisation member)

'We need to get resources into bigger buckets, with more integration and flexibility. There is a big communication challenge in this. We have to close the loop between plans and projects. We have to make decisions at the right level. We need better engagement from Local Government. Government is not just about re-distributing resources, it has a powerful role in institutional re-design …'
(State Government agency representative)

'Local Government can do it, working with the community. We need to engage the local community [where] everyone knows everyone else.'
(Local Government representative)

There is no question in the speakers' minds that the issues are people issues, and that people are the solution as well as the problem. Once you focus on people, the ways, means or tools for engaging people and encouraging them to accept responsibility for solving problems become key issues.

PART I STARTING UP: WHAT MAKES FOR GOOD COMMUNITY ENGAGEMENT?

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WHAT DOES GOOD COMMUNITY ENGAGEMENT MEAN?

Good community engagement, as used in this toolkit, refers to engagement processes and practices in which a wide range of people work together to achieve a shared goal guided by a commitment to a common set of values, principles and criteria. It doesn't necessarily mean that everyone in the community can or should be involved, but that we are making efforts to be as inclusive as possible and to offer everyone a chance to be engaged if they wish to be. Good community engagement can be achieved by using a wide range of tools and techniques, not by applying a simple recipe or prescription applicable to all situations.

Community engagement is about understanding all the processes that are involved. These processes may have a number of stages and may last some time. They shouldn't be seen as involving only one step, one decision, one event or one tool. Thinking about community engagement is thinking about how these processes fit together. It is about engaging the community to take action. The engagement process is part of furthering another process: decision-making for a particular purpose – for example engaging with communities to address an issue like dryland salinity in your area.

WHO IS INVOLVED? STAKEHOLDERS, COMMUNITIES AND WIDER INTERESTS

For organisations charged with natural resource management engagement responsibilities, the question 'who are the stakeholders and communities?' is important. In an engagement process, involving stakeholders and communities is essential to success.

A *stakeholder* is anyone who has an interest in an issue, whether that interest is financial, moral, legal, personal, community-based, direct or indirect. 'Stakeholder' is a very inclusive term. Any citizen or member of the public can be a stakeholder if they have an interest in the subject being discussed. Recognising that a wide range of stakeholders exists means facing the likelihood that local and more distant interests may be in conflict, as local communities often have to bear the personal and immediate consequences of decisions being made in the long-term national interest.

A *community* is usually thought of as all the people living in one specific area. But it can also mean a 'community of interests' where members may not live near each other, but will all have something in common about which they respond as a group.

It is important to recognise that not everyone has to agree, but it does mean finding a way for everyone to work together and acknowledge and respect other people's views.

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WHAT'S THE DIFFERENCE BETWEEN ENGAGEMENT AND CONSULTATION?

Many terms are used to describe public involvement in policies, programs and decision-making processes. This involvement may relate to planning new developments, designing new policies, or responding to government's proposed laws or regulations. Some of the terms that come up here are *consultation, participation, involvement* and *engagement*.

Consultation occurs when an agency, group, community or individual goes out to seek advice from someone else. It implies a purpose-driven process in which someone takes the initiative to seek advice. It does not necessarily imply anything about what will be done with that advice when and if it is received.

Participation simply means the act of participating, in whatever form. People can participate by writing letters, ringing up, attending events, sending e-mails or using a host of other forms of communication. Participation is very similar to **involvement** – the act or process of being involved.

Engagement goes further than participation and involvement. It involves capturing people's attention and focusing their efforts on the matter at hand – the subject means something personally to someone who is engaged and is sufficiently important to demand their attention. Engagement implies commitment to a process which has decisions and resulting actions. So it is possible that people may be consulted, participate and even be involved, but not be **engaged**.

ENGAGEMENT

Becoming engaged

Becoming involved/ participating

Being consulted

Being informed

People feel increasing commitment to and ownership of process and outcomes

People increasingly recognise their interests are involved, and they need to ensure their interests are taken into account
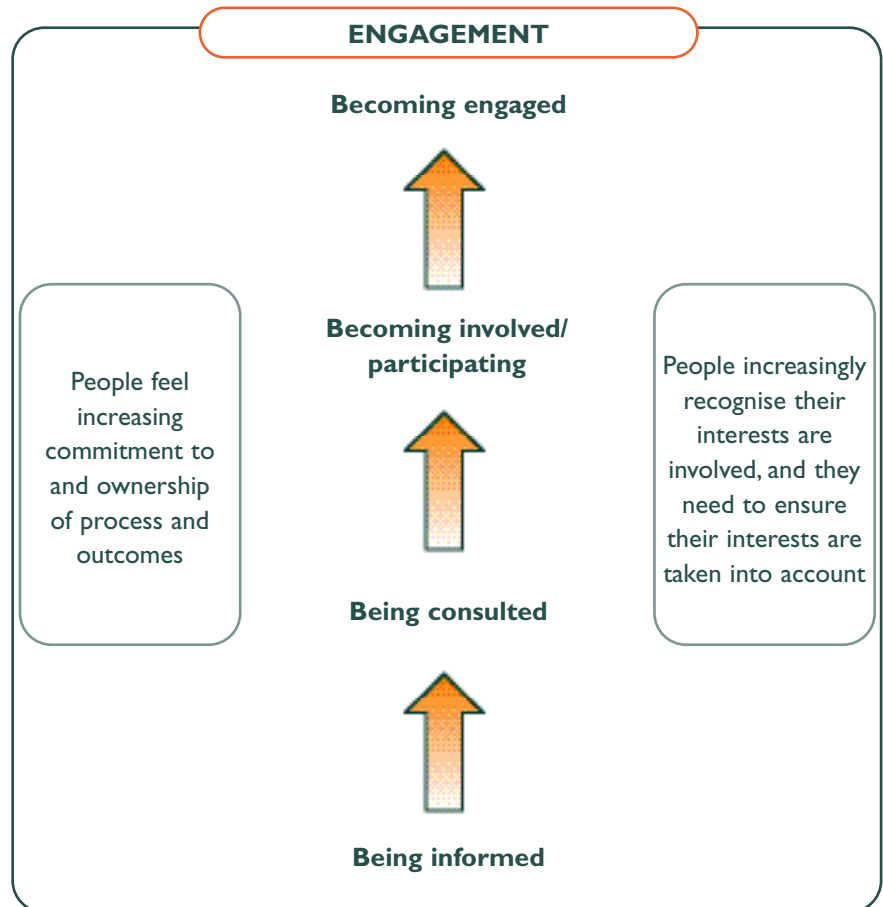
KNOWLEDGE SYSTEMS AND COMMUNICATION STRATEGIES

In preparing this toolkit, we found that different groups tend to use a different language to describe engagement, consider different issues important, and hold different priorities for action. The differences are so significant that they could be said to amount to different 'realities' in terms of what is needed for good community engagement and action. As an example, these were some different views from four typical groups about two topics:

Indicators of success in community engagement:
- for local community members: improved project outcomes
- for specialist advisers: validity, accuracy, and reliability of the information
- for government agencies: degree of clarification of project aims and objectives
- for coordinators: flexibility, diversity, and inclusiveness of the engagement process.

Experience of impediments to good practice community engagement:
- for local community members: no history of formal negotiation
- for specialist advisers: gap between different knowledge systems and perspectives
- for government agencies: people not taking responsibility for their decisions
- for coordinators: lack of long-term, stable, and continuing communication channels.

The solution? Take all four realities seriously and ensure that the engagement process takes account of the knowledge, experiences and expectations of people who are aligned with each kind of reality. This combination of knowledge, experiences and expectations can be thought of as a knowledge system.

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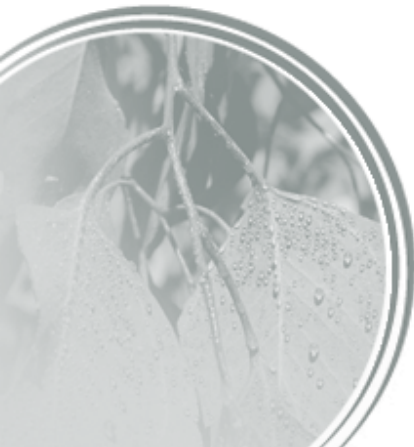
These knowledge systems can be described as:

- **local knowledge:** the local reality based on lived experience in the region, built through shared stories, memories of shared events and locally-specific relationships between people and places
- **specialised knowledge:** the collected advice from a wide range of experts, including geologists, ecologists, economists, engineers, sociologists etc., each constructed within a particular knowledge framework or paradigm
- **strategic knowledge:** the tactical positioning of people and resources for future action within given political and administrative systems
- **integrative knowledge:** the mutual acceptance of an overarching framework, direction or purpose, derived from a shared interpretation of the issues.

It is vital to be constantly aware of the need to adjust to, and compensate for, the fact that people belonging to a particular knowledge system often tend to reject the others. They may dismiss information from local knowledge systems as 'gossip'; specialist as 'jargon'; strategic as a pre-set 'done deal'; and integrative as 'impracticable'. Unless we try to give equal respect to information from each of the knowledge cultures, we have little hope of achieving better community engagement.

(After Aslin, H.J. & Brown, V.A. 2002. *Research report for good practice community engagement for the Murray-Darling Basin*. Canberra: Bureau of Rural Sciences.)

KNOWLEDGE SYSTEMS AND COMMUNICATION

Knowledge systems	Knowledge structures*	Approach to solutions

LOCAL KNOWLEDGE
Who: local community residents and interests
How: sharing local experience
Channels: place-related events, stories, memories

Local knowledge

Based on 'common sense'

SPECIALISED KNOWLEDGE
Who: expert disciplines, professions
How: separate specialised reports
Channels: as defined by each specialist framework

Specialist knowledge

Dependent on specialisation e.g. engineering design, community development, economic instruments

STRATEGIC KNOWLEDGE
Who: administrators, elected representatives
How: agendas, assessment of feasibility,
Channels: plans, reports, regulations

Strategic knowledge

Based on implementing social, financial and environment plans, catchment management plans etc.

INTEGRATIVE KNOWLEDGE
Who: coordinators, designers, facilitators
How: focus, patterns, connections
Channels: pictures, parables, diagrams

Integrative knowledge

Based on working towards whole-of-community solutions

*The shapes of the knowledge diagrams represent the different structures of the knowledge systems:
Local knowledge: diverse and loosely connected
Specialist knowledge: tightly specified within the different frameworks
Strategic knowledge: organised and directional
Integrative knowledge: core focus

After Brown, V.A. *et al.* 2001

PART I STARTING UP: WHAT MAKES FOR GOOD COMMUNITY ENGAGEMENT?

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COMMUNITY DECISION–MAKERS AND STAKEHOLDERS

So there are many stakeholders and communities, all with their own knowledges and realities, who can be involved in an engagement process.   Some of the groups of stakeholders who could be involved are listed here as a guide to help you think about who might need to be involved in your engagement process.

Policy makers:
  Change agents
  Voters
  Non-Government
    Organisations
  Specialist advisers
  Government
  Opinion leaders

People and place:
  Residents
  Visitors
  Industry
  Young and old
  High and low income
  Friends and relations

Practitioners:
  Farmers
  Educators
  Government
    agencies
  Coordinators
  Facilitators
  Researchers

Potential:
  Innovators
  Social planners
  Economic planners
  Environmental
    planners
  Advocates
  Lobbyists

THE COMMUNITY ENGAGEMENT PROCESS

A decision-making framework is used in this toolkit. It matches engagement tools and techniques to a practical decision-making process. The diagram opposite illustrates the decision-making cycle. At each stage of the cycle, choose from the tools in order to:

- engage the various stakeholders;
- acknowledge the knowledge system they come from; and
- use the 'language' they typically speak.

The process follows everyday decision-making with an emphasis on the place for which decisions are being made. You will be familiar with other variants of this cycle such as the planning cycle, the project management cycle or the policy-making cycle. Ask yourself:

- what **principles** am I using to guide this process?
- what do I know about this **place** and its people?
- what is the **potential** for improvement or change?
- what can I realistically do in **practice** here and now?

The engagement tools and techniques in Part 2 can be applied for a range of purposes and to achieve varied aims. To achieve successful community engagement in particular circumstances, you need to work around the whole decision-making cycle, choosing tools as you go. You should take into account:

- the situation;
- the specific aims and objectives of your process; and
- meeting general aims.

Murray-Darling Basin stakeholders identified some particular problems with current engagement practices in the Basin. So we have developed a checklist (p.30) which relates the main types of problems to tools which can help solve them. We have also indicated which tools and techniques may be particularly useful to foster engagement, provide information or increase opportunities for people to be involved.

We have avoided long and detailed descriptions of particular tools and techniques as there are many sources describing these already. A list of key references is on p.33, and a detailed bibliography and list of web sites is in **Part 3 Resourcing: where can I find out more?** (pp.72-136).

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THE DECISION-MAKING CYCLE

DESCRIBE:
Principles in relation to the particular place

Principles
What should be

Place
What is

Good community engagement practices

DEVELOP:
Effectiveness of practice in the light of principles

DESIGN:
Criteria for potential best practice in resolving issues for the particular place

Practice
What can be

Potential
What could be

DO:
Testing the potential in practice

Action:	Develop	Describe	Design	Do
Knowledge base:	Principles	Place	Potential	Practice

VALUES, PRINCIPLES AND CRITERIA

Values, principles and criteria are abstract ideals or standards of judgement. Sometimes it is not easy to apply them to real-world situations, and practical constraints work against being able to achieve ideal outcomes. Compromise is nearly always necessary. Short time frames and lack of resources are often major barriers to running the engagement processes we would like to run, and often make it difficult for stakeholders to be engaged in the way they would like.

Agreement on the values, principles and criteria to be applied to an engagement process is needed to make that process work. It also makes it possible to evaluate the process. You will need to work with your community to achieve this agreement. Once agreed, values, principles and criteria should be applied right around the decision-making cycle.

The table following shows principles and criteria we developed, from the Murray-Darling Basin Commission Values (see p.17 and inside front cover), in the research that led to this toolkit. We also give some interpretations of how to apply them. You may want to do the same kind of interpretation for your shared principles and criteria.

PART I STARTING UP: WHAT MAKES FOR GOOD COMMUNITY ENGAGEMENT?

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APPLYING THE PRINCIPLES

1. Act for change	Accept that aim of engagement process is not to maintain the status quo or accept the 'lowest common denominator' but to make a difference in the right direction. Base processes on accepting that things need to change and that old ways of doing things can't continue.
2. Agree on values	'Walk the talk'. Try to apply the values yourself and set an example to others.
3. Effective communication	Try to open up communication and talk to others outside the 'club' and the 'circle'. Try to engage a wider group of people and move away from relying on the same group of people you know (the 'usual suspects').
4. Develop and commit to a shared vision	Establish common ground in the form of a shared vision to guide engagement processes and help ensure they are working towards an agreed goal. Make a commitment to achieve that vision yourself, and try to get others to make a commitment as well.
5. Representativeness	When selecting people from interest groups, try to get people who are not just representing personal views but who will try to represent a wider constituency. Where possible, try to get people elected to represent interest groups and who will report back to their groups and seek their views, not those who are self-nominated or 'tall poppies'.
6. Accept that mutual learning is needed	Accept that no-one has all the answers and everyone has something to learn, including you. Be prepared to step back from your position and listen to others.
7. Work towards long-term goals	Accept that it may take a long time to achieve goals and try not to get discouraged by slow progress. Bear in mind that we have to work from the here and now, and we can only act in the present even if the goal is a long way in the future.
8. Base processes on negotiation, cooperation and collaboration	Don't come in with prescribed answers and outcomes, be prepared to negotiate and work with others towards mutually agreeable solutions.

USING THE CRITERIA

Ownership of process, commitment and involvement throughout	Involve people as early as possible and keep them involved throughout the decision-making process. Build commitment and engagement by running good processes. Apply the values and principles throughout. See that participants are heard and have real decision-making responsibility wherever possible. Give them feedback about outcomes and keep them in the loop.
Equity, equality and trust	Treat people fairly and without discrimination. Try to build trust by behaving in an ethical and respectful way, and sticking to the values and principles.
Include many interests	Include as many interests as possible. Do a proper stakeholder analysis and ask around for contacts. Don't leave out important interests e.g. Indigenous, non-English-speaking, because you don't know them or think they may be difficult to deal with.
Focus on strategic outcomes	Work to an agreed vision and clear goals and objectives. Try to keep the process on track and don't go off on too many side issues. Work to agendas, task lists and timetables. See that everyone understands his or her role and responsibilities. Regularly review progress against objectives.
Wide representation	Don't just rely on self-nominations and group leaders. Try to work outside organisational hierarchies where possible. Try to get people who really represent the views of their constituency or interest group. Ask participants to formally seek views from constituents.
Openness and transparency	Get things out in the open. Don't have any hidden agendas. See that any up-front constraints to process and outcomes are understood, and that decisions are agreed as much as possible.
Appropriate scale and scope	Think things through in terms of those who need to act on outcomes to make a difference. Don't leave out important interests either by sector or geography. Try to take a systems approach to both community and environmental aspects.

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	USING THE CRITERIA, continued
Personal contact	Use face-to-face processes where possible. Don't rely on indirect communication or just on the written word. Try to tailor communication to suit different people and knowledge cultures.
Sufficient time and resources	Scope time and resources needed realistically. Be clear about purposes and what is needed to achieve them. Negotiate for resources needed to run good processes. Don't try to cut corners or rush things through. Take account of time and resource constraints faced by other participants and respond to them. See that there is a common basis of knowledge and understanding. Identify and make new information available where needed. Provide information early and see that it is accurate. Be aware of different knowledge cultures and communication preferences and tailor information to suit. Don't talk over people's heads. Check to see information is received in time and understood.

COMMUNITY ENGAGEMENT PROCESSES IN ACTION
A decision–making workshop: Principles, Place, Potential, Practice

Project workshop

As part of the study that led to this toolkit, a workshop was held with 30 participants drawn from a range of stakeholders in the Murray-Darling Basin: local community, specialist advisers, government agencies, and program coordinators. The workshop aimed to test the format of this toolkit beginning with the Murray-Darling Basin Commission Values.

Workshop design

The one-day workshop was designed to follow the decision-making stages: developing principles, describing people and place, designing potential, and doing in practice. While a community engagement process is required at every stage, different tools and different community sectors may be involved at different stages. The following pages show the concept of Principles, Place, Potential and Practice developed by this workshop. You can use these ones, modify them to suit your particular requirements, or use others which you already have.

Values and principles

The Murray-Darling Basin Commission, for example, has worked hard to develop a set of shared values to guide all its activities. The values are:

- **courage** to provide leadership
- **inclusiveness** in developing Basin user relationships based on trust and sharing
- **commitment** to a long-term Basin perspective
- **respect and honesty** for the diversity of views among stakeholders
- **flexibility** and openness to learning and adapting to change
- **practicability** to choose practicable, long-term outcomes and ensure that all partners have the capacity to play their agreed part
- **mutual obligation** for responsibility and accountability among the different levels of government, and between governments and the community.

Many organisations have similar sets of values that are intended to guide their actions, and of course many individual professions have codes of ethics and professional practice that express underlying value commitments. These kinds of general values can and should guide community engagement practices. If all stakeholders can reach agreement on values this makes for a shared bond. In turn, this leads to principles of engagement that a wide range of community members can support.

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PRINCIPLES
'What should be'

MDBC values	Principles of engagement
COURAGE	MANDATE FOR CHANGE: recognise and act on a mandate for change – involvement in transformations not just transactions
	AGREED VALUES: apply Murray-Darling Basin Commission values in all internal and external engagement – 'walk the talk'
INCLUSIVENESS	EFFECTIVE COMMUNICATION: recognise that communication patterns need to take the form of a network or web – neither top-down nor bottom up, nor within closed circles, but to and from many sources within a system
COMMITMENT	SHARED VISION: shared commitment to a vision for a more sustainable Basin made explicit in each engagement process – reality, as well as rhetoric
RESPECT & HONESTY	REPRESENTATIVENESS: as many interests as possible given respect and acknowledgement, and represented appropriately –- whole system approaches, not fragmentation and division
FLEXIBILITY	MUTUAL LEARNING: generate fresh ideas and solutions through mutual exchange of ideas –- dialogue as well as discussion and debate
PRACTICABILITY	LONG-TERM GOALS: accept that engagement goals are both here-and-now and future-oriented – they have both 'roots' and 'wings'
MUTUAL OBLIGATION	NEGOTIATION, COLLABORATION AND COOPERATION: engagement processes based on partners' shared responsibility and accountability – collaboration and cooperation, not competition and division

QUESTIONS
**What do you think of these principles?
Are they relevant and useful?
How would you modify them?**

PLACE
'What is'

Issues for community engagement in the Basin

- changing habits and attitudes
- representativeness and getting the 'right' people
- inclusiveness and power-sharing
- resources and timeframes
- communication/information/knowledge
- institutional and organisational issues

QUESTION
Do your issues fit under these issue headings?
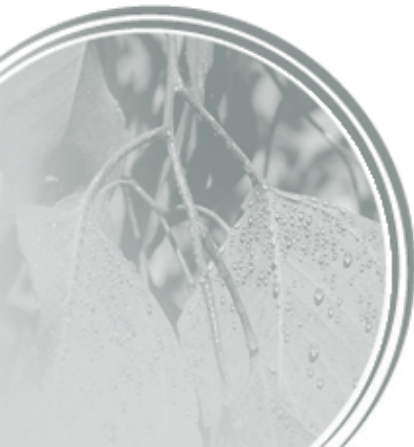
POTENTIAL
'What might be'

Criteria for engagement

- specify place, region or scale
- be transparent in stating goals, methods and outcomes
- ensure comprehensive representation according to topic
- match processes to membership and outcomes
- negotiate on power and resource differences
- recognise jurisdictional, professional, and constitutional responsibilities of government, professions and communities

QUESTIONS
What do you think of the criteria?
Are they relevant and useful?
How would you modify them?

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POTENTIAL, *continued*
'What might be'

Tools for best practice community engagement

- information, education and extension tools
- survey and interview tools
- stakeholder analysis and social profiling tools
- classic public involvement and participation tools
- negotiation and conflict resolution tools
- Participatory Action Research tools
- Rapid and Participatory Rural Appraisal tools
- planning and visioning tools
- lobbying and campaigning tools
- Participatory Monitoring and Evaluation tools

QUESTIONS
Are these tools ones you would like to use?
Which ones?
Are there others that should be included?

Comments about tools from workshop participants

- people use tools/techniques they're familiar with – they need to develop their skills before trying new ones
- need to add **change management**
- specialists don't consider community engagement tools as their core business – they need resources and professional assistance
- tools used depend on gender mix & cultural mixture
- presentation of tool kit: 'lessons learnt', & how effective tool was. Need to keep note of corporate knowledge
- using tools strategically & as appropriate to the specific circumstances
- want 2 extras (these became: deliberative democracy, and team building and leadership tools)
- kitchen table tools (as technique to update extension as well as participation tools)
  – go to paddocks rather than public halls
  – peer support as a strategic tool

PRACTICE
'What can be'

Techniques for implementing the tools

There are many generic and specific techniques that can be used as part of applying the tools. Consider which tools and techniques are of most interest to you and which are the ones you need information or training on? (comments from workshop participants shown in *italics*).

Tool	Technique	Information or skills I need

Information, education and extension	*Low cost fact sheets*
	  • *include kitchen table solutions*
	  • *GIS/PP*
		Training essential

Survey and interview	*When phoning ask when best time to call*	*Need to know the right questions to ask* *Need to know who are the most appropriate people* *Training, access to competent consultants* *Written surveys – 'kiss' principle – short and sweet*
Stakeholder analysis and social profiling		*Ditto*
Classic public involvement and participation	*Female chair (competent)* *Include kitchen table solutions* *Discussion groups – sitting on hay bales* *See 4 Murray L & W management plans for examples, effective CE*	*Media training* *Training in effective meeting techniques*
Negotiation and conflict resolution	*Care with language – 'we' vs 'I'*	*Appropriate authority, language skills, simulations*

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PRACTICE, *continued*
'What can be'

Tool	Technique	Information or skills I need
Participatory Action Research		
Rapid and Participatory Rural Appraisal	*There are some reservations re the term 'rapid' being included in same process as 'engagement'* *Quick and dirty!!!*	
Planning and Visioning	*'Back-casting'* *Taking photos of issues; discussion of photos*	
Deliberative Democracy	*Citizens' juries* *Representation is a difficult issue – needs balance*	*Needs a lot of skill* *May need capacity building* *Needs good briefings* *Possibly coming from low knowledge* *Timing critical (late in process when community feel ready to make a decision)*
Lobbying and Campaigning	*Campaign matrices, work plan*	*Basic training in campaign planning, simulations*
Participatory Monitoring and Evaluation		

QUESTIONS
What technical information or skills do you need to use the tools?
Do you have any information or lessons about these tools or techniques to share with others?

DESIG

DEVELO

PART 2 CHOOSING:

Which tools and techniques should I use?

ARE THERE TOOLS AND TECHNIQUES FOR ME TO USE?

Part 2 – Choosing: which tools and techniques should I use? lists and describes a range of tools and techniques that can be used to work towards whole of community engagement. These tools and techniques come from previous writing on the subject, the tools and techniques mentioned by people we interviewed, and from considering what is needed at different stages of decision-making. In most engagement processes you need to apply a number of tools and techniques, not just one.

There are many manuals, guides and toolkits describing these tools and techniques already, and they often use different names for them. Please consult this part for detailed information about tools and how to apply them. There is also a list of resources noted at the end of each tool description. At the end of this part we have provided four examples of how the tools could be used as you progress around the decision-making cycle.

These are the tools with the numbers and symbols we use for them in this toolkit:

ENGAGEMENT TOOLS

1 **General public involvement and participation tools**

2 **Negotiation and conflict resolution tools**

3 **Information, education and extension tools**

4 **Rapid and Participatory Rural Appraisal tools**

ENGAGEMENT TOOLS, continued

5   Stakeholder analysis and social profiling tools

6   Survey and interview tools

7   Planning and visioning tools

8   Team building and leadership tools

9   Participatory Action Research tools

10 Deliberative democracy tools

11 Lobbying and campaigning tools

12 Participatory Monitoring and Evaluation tools

While we use the term 'tools' for them, each tool should be seen as a general category of approaches to community engagement, which involves using a range of more specific techniques and methods in particular ways. In fact, each 'tool' is a mini-toolkit in itself!

HOW CAN I SELECT THE RIGHT TOOL FOR THE RIGHT JOB?

Which tools you may be able to use depends on a number of factors related to the people sharing the process and its purpose, including:

- the purpose of the engagement process e.g. do you want to build capacity or knowledge among stakeholders, resolve a one-off conflict, or develop a continuing relationship?
- the nature of the people you want to engage, how much you already know about them, whether you know them personally;
- the constraints you face e.g. budget, timelines, legal requirements, the skills you have or can buy in;
- the history of the issues you are dealing with, people's past reactions to these issues and current attitudes;
- who has decision-making power or responsibility and how much they can devolve or assign to others.

Engagement processes have general purposes as well as specific ones. Sometimes these general purposes are made explicit, while sometimes they are implicit. Some general purposes are given in the checklist on pp.30-32. You need to select tools to match purposes, while bearing in mind that most tools can serve many purposes.

After you have clarified your shared purposes in consultation with the community, you need to go on to think about decision-making stages.

Engagement processes, like other projects or plans, need to be matched to each stage of decision-making. Different tools are suited to different stages. The diagram on the next page shows the decision-making cycle, which tools we suggest are most suited to the different stages of the cycle, and in what order these tools should be used. But this shouldn't be seen as being too hard and fast. You can come into the cycle at any stage, and some tools are multi-purpose ones that can be used at any stage.

THE DECISION-MAKING CYCLE AND ENGAGEMENT TOOLS

DESCRIBE
4, 5, 6

Principles
What should be
1, 2, 3

Place
What is
1, 2, 3

DEVELOP
11, 12

Good community engagement practices

DESIGN
7, 8

Practice
What can be
1, 2, 3

Potential
What could be
1, 2, 3

DO
9, 10
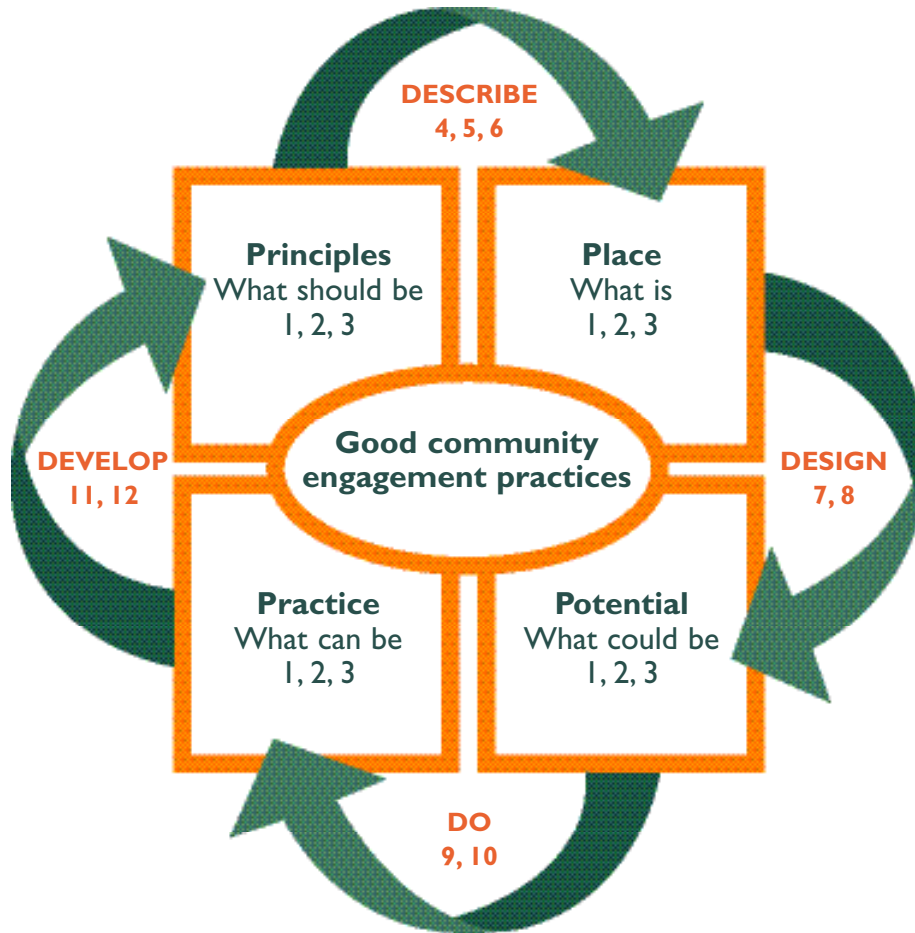
Key to tools

Generic tools

1 General public involvement and participation tools

2 Negotiation and conflict resolution tools

3 Information, education and extension tools

Descriptive tools

4 Rapid and Participatory Rural Appraisal tools

5 Stakeholder analysis and social profiling tools

6 Survey and interview tools

Designing tools

7 Planning and visioning tools

8 Team building and leadership tools

Doing tools

9 Participatory Action Research tools

10 Deliberative democracy tools

Developing tools

11 Lobbying and campaigning tools

12 Participatory Monitoring and Evaluation tools

KEY TO TOOLS

1   General public involvement and participation tools

2   Negotiation and conflict resolution tools

3   Information, education and extension tools

4   Rapid and Participatory Rural Appraisal tools

5   Stakeholder analysis and social profiling tools

6   Survey and interview tools

7   Planning and visioning tools

8   Team building and leadership tools

9   Participatory Action Research tools

10   Deliberative democracy tools

11   Lobbying and campaigning tools

12   Participatory Monitoring and Evaluation tools

RATING SCALES FOR TOOLS

To rate and compare tools and techniques, these scales have been used:

Likelihood of achieving engagement

☆ LOW

☆ ☆ MEDIUM

☆ ☆ ☆ HIGH

Potential numbers of people involved or engaged

🯅 FEW

🯅 🯅 SOME

🯅 🯅 🯅 MANY

Difficulty of applying

❗ EASY

❗ ❗ NOT-SO-EASY

❗ ❗ ❗ DIFFICULT

Some tools, if used by themselves, have little chance of engaging stakeholders. However, we have included them because sometimes, due to circumstances, they may be the only ones you can apply. Also, they have a place in the toolkit because they can be used in combination with other tools as part of overall strategies designed to engage stakeholders, and used together with other tools around the decision-making cycle. At the end of this part, we have included four examples of how the tools can be used separately and together in a variety of circumstances to help people engage with each other and resolve their issues.

CHECKLIST OF TOOLS AND TECHNIQUES
against general aims and purposes of engagement processes

Aim	Purpose	Particularly suitable tools to use	Techniques to use
1. Public information/education/ awareness raising on pre-determined issues, policies, processes or programs	Public better-informed about issues, policies, processes or programs		Displays and shows Advertisements and posters Open days/field days Mass media – radio and television programs, media releases, newspaper articles Brochures, fact sheets, newsletters etc. Public lectures, talks or seminars Web-sites Telephone information lines Videos CD-ROMs Consensus conferences, citizens' juries, expert or lay panels, judicial processes (as an awareness-raising technique)
2. Obtaining information from community or community stakeholders, seeking community input and opinions on pre-determined issues, policies or programs	Agency better-informed about public's views, better under-standing of diverse perspectives		All of the above Structured surveys and survey techniques (including voting and ballot processes) Document analysis Calls for public submissions Display of draft documents and models Public meetings (and group techniques) Workshops (and group techniques) Focus groups (and group techniques) Phone messaging services Radio talk-back and chat shows E-mail list servers and chat rooms Delphi groups (see p.34)

Aim	Purpose	Particularly suitable tools to use	Techniques to use
3. Two-way interaction between agency and community to scope issues, establish or shape frameworks for processes, establish shared goals, visions etc.	Shared frameworks, agendas, goals, visions, processes etc., community ownership of outcomes		All of the above Meetings and group techniques including scoping and visioning exercises, futures and scenario building exercises, brainstorming Scoping, steering, reference and advisory groups or panels, and group techniques Leadership training
4. Developing natural resource management arrangements with community members or stakeholder groups	Sustainable natural resource management, effective partnerships		As for 3 above Establishing long-term management committees with decision-making responsibilities Leadership training and team building
5. Participatory monitoring and evaluation of natural resources, plans, projects or programs	More sustainable resource use Community engagement and empowerment Community ownership of outcomes		As for 4 above
6. Resolving conflicts between agency and community, or between stakeholder groups	Conflict resolution Compromise or consensus Improved relationships between parties Trust-building		Meetings and group techniques Leadership and team building techniques Consensus conferences, citizens' juries, expert or lay panels, judicial processes

SOME TIPS ON TOOLS TO APPLY TO ENGAGEMENT ISSUES

Your issue	Then try this tool
Changing habits and attitudes	
Getting the 'right' people	
Being inclusive and sharing power	
Deciding on resources and timeframes	
Communicating, informing and sharing knowledge	
Facing institutional and organisational issues	

SUMMING UP

For good community engagement practices you need to:

      Apply shared values, principles and criteria throughout

  and **Clarify shared purposes**

  and **Match tools to decision-making stages**

  and **Work around the decision-making cycle**

GENERAL ENGAGEMENT RESOURCES AND WEBSITES

Brown, V.A. (ed.) 1996. *Landcare languages: talking to each other about living with the land. A communication manual for Landcare.* Canberra: Commonwealth of Australia.

Carman, K. & Keith, K. 1994. *Community consultation techniques: purposes, processes and pitfalls.* Brisbane: Dept Primary Industries.

Connor Development Services Ltd. 2001. *Constructive citizen participation: a resource book.* Eighth Ed. Victoria, BC: Connor Development Services Ltd.
http://www.connor.bc.ca/connor/resource_index.html

Hemmati, M. 2001. *Multi-stakeholder processes for governance and sustainability: beyond deadlock and conflict.* London: Earthscan.
http://www.earthsummit2002.org/msp/book.htm

Land and Water Australia. 2001. *Natural resource management: people and policy.* Canberra: Land and Water Australia. (see also Research Projects Nos ANU21, CAG2, SYN1 and ANU11)
http://www.lwa.gov.au

Nicholson, R., Stephenson, P., Brown, V.A. & Mitchell, K. (eds.). 2002. *Common ground and common sense: community-based environmental planning – an action handbook.* Canberra: Dept of Health and Ageing.

Woodhill, J. & Robins, L. 1998. *Participatory evaluation for Landcare and catchment groups: a guide for facilitators*. Canberra: Greening Australia.

In the following section, each tool is cross-referenced with the numbers of more specifically relevant resources and websites as listed in **Part 3 Resourcing: where can I find out more?**

1 GENERAL PUBLIC INVOLVEMENT AND PARTICIPATION TOOLS
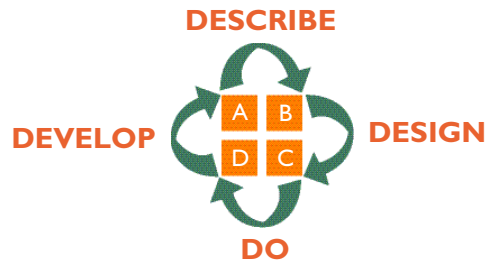
DESCRIBE

DEVELOP **DESIGN**

DO

Help provide knowlege base for shared decision-making on:

A. Principles
B. Place
C. Potential
D. Practice

General public involvement and participation tolls include: public meetings and workshops; establishing formal advisory, steering, consultative or reference groups/committees; task forces; and the standard meeting procedures used within these groups. These procedures include meeting chairing, ensuring fair processes within meetings, working through agendas, recording minutes and action items, and getting feedback about these at subsequent meetings. Meetings can be face-to-face or virtual meetings by tele-conference or video-conference. These tools are tried and tested ways of involving the public and can work well. They can be combined with some innovative group techniques. Long-term groups can be used, for example where joint arrangements are in place for natural resource management ('co-management'). Choice of stakeholder interests to involve, and how these interests are actually represented on groups, are critical to success and whether outcomes are accepted.

Another perhaps less well-known but classic group is the Delphi group. This is a selected group of nominated 'expert' people who are asked to provide successive rounds of comments on a document or list in an iterative or cyclical process. The group does not meet face-to-face, but provides written input. (Delphi is also used to describe a listing and prioritising process for use within actual groups.) After each round of comments, the document is modified, and the modified version serves as the basis for the next round of comments until the process is completed. This can be done quickly via e-mail if everyone is connected, or could be done by fax to avoid mailing delays.

Some informants in this study described what they saw as being the standard government way of seeking public input – this was to circulate a draft discussion paper, plan or proposal; provide a public comment period; compile comments; have public meetings or public hearings; and then finalise the document incorporating comments. This process involves depositing copies of documents on which comment is being sought in place like libraries, council offices, shops, halls and other public places so people have ready access to them.

There are many techniques that can be used within groups that meet face-to-face (and some could be modified to use with 'virtual' groups). Examples are:
- SWOT (strengths, weaknesses, opportunities, threats) or SWOL (limitations) analysis
- brainstorming
- nominal groups
- mental mapping (see example over the page)
- mobility mapping
- historical analysis
- voting and ballots
- card sorting
- action planning
- visioning and scenario planning, futures exercises
- open space technology
- flow and systems diagrams.

For details on how to apply these techniques, please refer to the sources at the end of this part. Planning and visioning techniques (see Tool 7, Planning and Visioning tools) are ones that may have special relevance to natural resource management, so they are discussed in more detail.

Remember that using these tools is only one step in the engagement process.

Tools/techniques	Skills needed	Strengths	Weaknesses
Advisory, steering and reference groups or committees, task forces	Organising and meeting procedural skills	Relatively easy to convene, familiar procedures	Meetings often infrequent, stakeholders may not be engaged or engaged only intermittently
Public meetings and workshops	Organising and meeting procedural skills, facilitation skills	Relatively easy to convene, familiar procedures, can involve a wide range of stakeholders	Often one-off, little opportunity for individual input, discourage those not used to speaking in larger groups, can be difficult to control
Co-management groups, management boards etc	Organising and meeting procedural skills	Relatively easy to convene, familiar procedures. Stakeholders have real decision-making ability, are not just advisory	Relatively small numbers of people involved, often 'elite', care needed to ensure representativeness, can only be used in special circumstances
Delphi groups	Knowledge of process and subject matter, mutual access to computers (if done via e-mail)	Quick and relatively easy	Only small numbers of people involved, may be 'elite', short-term

See Part 3 Resourcing: where can I find out more?
Resources: 11, 18, 20, 24, 25, 55, 82, 88, 89
Websites: 4, 7, 10, 17

EXAMPLE OF A MENTAL MAP PRODUCED BY WORKSHOP PARTICIPANTS
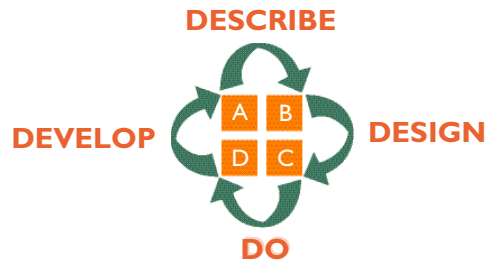
Challenges

negotiated power sharing

distribution of power

ownership

for particular interest

power building

comfortable environments for people

dollars

sharing responsibility and pain

Inclusiveness and power sharing

asking people how they want to be included

tokenism

appropriate language

maintenance and continuity

empowering those without any power

include at right scale

change organisation culture–expertism

2 NEGOTIATION AND CONFLICT RESOLUTION TOOLS

DESCRIBE

DEVELOP — **DESIGN**

A B
D C

DO

Help provide knowlege base for shared decision-making on:

A. Principles
B. Place
C. Potential
D. Practice

This is a class of tools and techniques that can be used as needed jointly with many others. It often requires specialised skills and careful choice of people to run processes, particularly when highly controversial issues are involved with direct consequences for participants. This is also referred to as 'conflict management'.

Finding common ground and mutual interests is a key to successful negotiation and conflict resolution. But we want to avoid the 'lowest common denominator' decision-making referred to by some of our interviewees, and also the 'consensus decision-making on the club principle'. Common ground in terms of a long-term, shared vision may help move beyond these approaches.

One of the best-known guides to negotiation is *Getting to yes* by Roger Fisher and William Ury (Resource 44). It outlines a method that relies on:
- separating the PEOPLE from the problem
- focusing on INTERESTS, not positions
- inventing OPTIONS for mutual gain
- insisting on objective CRITERIA.

Negotiation and conflict resolution may need to draw on a range of other tools outlined in this toolkit – including stakeholder analysis; information, education and extension techniques; traditional participation techniques; planning and visioning; surveys and interviews. One technique particularly applied to help with negotiation is *role-playing* exercises where parties are asked to act out the roles of other players and represent other players' interests. This can help people see things from where others sit. Another possibility is applying specialised techniques

designed to allow detailed consideration and deliberation on issues. Examples are debates and hypotheticals, expert panels, and citizens' juries and other deliberative process discussed under *Tool 10 Deliberative democracy tools* (p.58). They can foster better understanding of issues and help develop options.

There are community people and agency staff who specialise in conflict resolution and negotiation, although their skills are not often applied to natural resource management issues, and are more often applied to disputes between individuals, within families, or between workplace unions and management. These people include facilitators, counsellors, negotiators, mediators, arbitrators and trainers. It may be well worthwhile to consider involving people with these skills. There is always hope for voluntary solutions that are mutually agreeable – through 'moral suasion' or use of incentives and disincentives for example ('carrots and sticks'). The last course of action is recourse to mandatory solutions – for example in the form of court proceedings and legal judgements, or new laws and regulations.

Tools/techniques	Skills needed	Strengths	Weaknesses
Negotiation and conflict resolution	Organising and meeting procedural skills	Can resolve issues without recourse to legal solutions, can build understanding of other positions, can build collaborative relationships, can help with systemic approach	Need very specialised skills, may take a long time and are not assured of success Can polarise interests if not done well

See Part 3 Resourcing: where can I find out more?
Resources: 44, 47, 61, 82
Websites: 11, 17, 30

3 INFORMATION, EDUCATION AND EXTENSION TOOLS
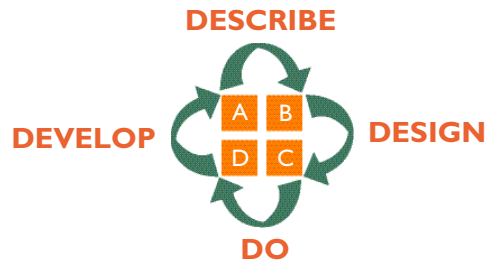
DESCRIBE

DEVELOP | A B D C | **DESIGN**

DO

Help provide knowlege base for shared decision-making on:

A. Principles
B. Place
C. Potential
D. Practice

This is the very general set of tools and techniques designed to provide information, educate, and raise awareness or understanding of issues. In the Basin context, many of these are discussed in the *Murray-Darling Basin Initiative Communication Strategy (Resource 64)*. Using these tools is often seen as being 'top-down' and non-consultative, but it doesn't have to be like this. They are mainly used as an essential part of engagement processes rather than as processes in their own right. Simply providing information without reference to stakeholder needs or interests is unlikely to achieve any objectives. But if information products and services are tailored to suit audiences, based on research into audience needs, use media that audiences already attend to, and are in 'user-friendly' form, they are much more likely to succeed. Market research may be the key to success.

Personalised and interactive approaches using information, education and extension officers, or people specifically assigned to coordinating, facilitating and 'information brokering' roles, are more likely engage people than impersonal ones. Notable examples are the networks of Landcare Co-ordinators and Indigenous Land Management Facilitators funded by the Natural Heritage Trust.

The reverse of providing information, education and extension products or services to others is actively seeking them out yourself – to fill your own needs. Real communication requires at least two parties. Improving engagement practices in the Basin may require stakeholders to identify skills and knowledge they need, as well as those that others need, and find out how to get them.

Tools/techniques	Skills needed	Strengths	Weaknesses
Print and film material – brochures, fact sheets, fliers, newsletters, books, manuals, films, documentaries	Writing, editing, photographic and graphic design, computer and publishing	Relatively simple and easy to produce and use, familiar	Not interactive or personalised. Suffer from a high level of competition for attention, require literacy skills
Electronic and communication technology products – floppy disks, CD-ROMs, websites, videos, software packages	Writing, editing, graphics, computer and information technology, web-publishing	Relatively simple and easy to produce with access to necessary skills and equipment. Some can be made more interactive than conventionally published material	Not personalised. Require literacy and computer skills, and access to computers so less accessible than printed material. Also suffer from high levels of competition
Displays, shows and field days, posters	Graphics and design, writing and editing, access to computer technology (usually)	Can be personalised and interactive, people can attend in social groups, can be readily accessible	Brief attention spans limit amount of information that can be conveyed, competition for attention at events

Tools/techniques	Skills needed	Strengths	Weaknesses
Shopfronts, information centres, regional offices Information and extension officers, facilitators and coordinators Open days/open houses	Shop, office or venue set-up abilities, display and design skills, communications technology, appropriately trained staff	Can be personalised and interactive, people can be involved in social groups, can be readily accessible	Relatively costly, locations critical, can be much competition for attention
Public lectures, talks, seminars, conferences, workshops, meetings, forums, formal education and training courses, open space events	Public speaking and communication skills, event organising, facilitation, meeting and teaching skills, computer skills, display and design, advertising and marketing	Can be personalised and interactive, people can attend in social groups, can be readily accessible	Tend to attract elite audiences, people who already have identified their needs or have a special interest
E-mail list servers and chat rooms	Computer skills, literacy	Personalised and interactive to some degree	Access limited to computer literate and those already with an interest\n\nIn some areas, limited capacity and reliability of connections
Telephone information lines, 'hotlines', toll-free numbers	Information technology skills	Familiar and accessible technology, cost-effective	Only accessed by those already with an interest, limited information can be provided

Tools/techniques	Skills needed	Strengths	Weaknesses	
Field trips and study tours	Tour organising abilities, logistics and coordination, advertising and marketing	Can be highly inter-active and person-alised, novel and interesting, social groups can attend together	Often limited to elite audiences, can be costly and time-consuming	☆☆ 👤 ❗❗
Mass media – radio and television programs, chat shows, media releases, briefings, newspaper articles, paid advertising	Writing, editing and design skills, photo-graphic skills, com-munication and marketing	Can reach very large audiences, can be interactive to some degree, highly accessible	Often very costly, can be difficult to attract attention of media 'gate-keepers', high level of compe-tition for audience attention	☆ 👤👤👤 ❗❗

See Part 3 Resourcing: where can I find out more?
Resources: 14, 41, 47, 61, 64, 65, 75, 76
Websites: 4, 18

4 RAPID AND PARTICIPATORY RURAL APPRAISAL TOOLS

DESCRIBE

DEVELOP   **DESIGN**

DO
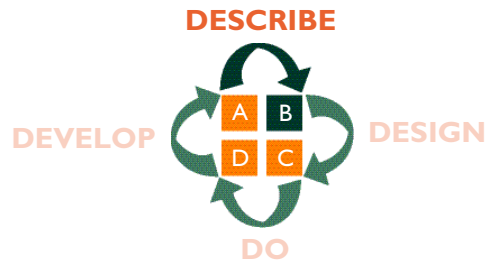
A. Principles
B. Place
C. Potential
D. Practice

Rapid Rural Appraisal (RRA) is a general term for a set of methods or approaches designed to provide a quick overview of rural communities and rural situations. Although designed partly for developing countries and used by the World Bank to assess a range of issues, these tools can be used for a variety of purposes. When locals conduct RRAs, they become Participatory Rural Appraisals (PRAs). RRAs are used by 'outsiders' to gather information about rural communities of interest, for example in relation to planning engagement processes, while PRAs are used by locals to gather information to inform others about the conditions and issues they face. PRAs can also be part of local capacity building. Both tools require a multidisciplinary approach and incorporate a range of other tools and techniques, possibly including secondary sources, interviews and surveys, mapping techniques and field visits.

Like *Stakeholder analysis and social profiling* (which are allied methods) (see *Tool 5 p.46*), RRA and PRA can be very useful in the early stage of planning consultation and engagement processes. They help develop understanding of stakeholder situations and issues, and help tailor processes to suit.

Tools/techniques	Skills needed	Strengths	Weaknesses
Rapid Rural Appraisal and Participatory Rural Appraisal	Wide range of social science skills relevant, needs multi-disciplinary teams, requires adaptability and flexibility	Quick and efficient, PRA engages those likely to be affected by change and can build capacity	Short-term nature means engagement opportunities limited, can be superficial

See Part 3 Resourcing: where can I find out more?
Resources: 4, 22, 23, 91
Websites: 28

5 STAKEHOLDER ANALYSIS AND SOCIAL PROFILING TOOLS

DESCRIBE

DEVELOP   **DESIGN**

DO
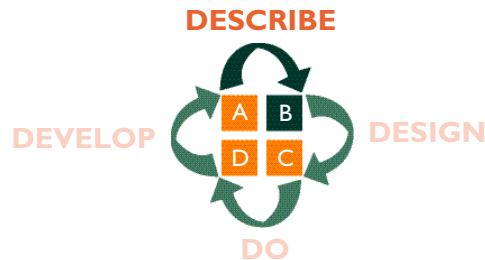
A. Principles
B. Place
C. Potential
D. Practice

These are much-neglected tools, at least in terms of being formally recognised as tools. They can help to identify and describe:
- which stakeholder groups need to be involved and who the key people are
- what are stakeholder characteristics and circumstances
- which issues concern different stakeholders
- previous stakeholder responses to the subject matter of the engagement process.

Stakeholder analysis simply refers to an organised way of identifying the range of particular groups and interests who may have concerns about issues, and examining the power relationships between them, rather than relying on pre-conceived notions about who should be involved, or on previous habits of only contacting certain groups. It can help break out of the 'club' and the 'circle'. You need to take a system-wide approach to identifying stakeholders when issues are involved that may have widespread implications for communities, well beyond the immediate groups affected. The relative power and influence of different stakeholders is often neglected but can be the single most important factor in deciding outcomes.

Social profiling refers to developing detailed descriptions of communities and groups of interest, using either *secondary data* (data already collected for other purposes), or data from purpose-designed surveys *(primary data)*. Changes in policies, programs and proposals have specific effects on particular communities, regions, or groups of people within these areas. An important part of improving engagement processes is starting off with a better understanding of the characteristics of the people likely to be affected.

Headings for social profiles can include:
- details of local populations – size, age profiles, education levels, employment, ethnic origin, average incomes
- local history
- local industries and occupations
- local issues and responses
- organisations and key players
- local communication channels (papers, radio, television, Internet sites, newsletters etc.)
- community services and facilities (schools and colleges; health centres; libraries; meeting halls; water, rubbish disposal and sewerage services for townships etc.).

Developing social profiles often involves interviewing community members, organisation staff, or group leaders, in which case there is an element of participation and first-hand information collecting.

A major source of information for social profiles is the five-yearly Census of Population and Housing conducted by the Australian Bureau of Statistics, which collects and analyses information about a wide range of topics from all Australian households. Information from the Census is available at a range of scales, from the national downwards (in some cases) to very small Census Collector Districts. Other sources of information for social profiles include State and Local Government reports, local histories, and surveys done for local or regional organisations. You can get useful information about controversial issues, who the players are, and positions taken in the past, from newspapers and other local media.

*See Part 3 Resourcing:
where can I find
out more?*
Resources: 25
Websites: 2, 7, 16

Tools/techniques	Skills needed	Strengths	Weaknesses
Stakeholder analysis and social profiling	Research skills, data analysis skills, computer skills	Relatively easy and cheap to do, can provide a very useful basis for 'scoping' issues and tailoring other techniques to suit circumstances	Not engagement tools as such, provide background information for applying other tools better. May need computer and Internet access

6 SURVEY AND INTERVIEW TOOLS

DESCRIBE

DEVELOP

DESIGN

DO

A. Principles
B. Place
C. Potential
D. Practice

Surveys and interviews are a very general class of tools that can be used as background to applying many other engagement tools. They are mainly about obtaining information **from** stakeholders, not providing information **to** them. A major factor in interviews and surveys is whether they are structured (have fixed questions in a set order, with fixed reply categories), or unstructured (have a more open content with perhaps only general topic guidelines and no fixed categories for replies). The second kind require some kind of content analysis done after the survey or interviews are completed, and based on the types of replies to questions.

This class of tools has an important place in gathering information to guide engagement processes. It can give background on stakeholder knowledge on topics and positions on issues (some of the best known surveys are the opinion polls done before elections). Surveys and interviews also have a major role in evaluating processes – feedback forms are a type of survey *(see Tool 12 Participatory Monitoring and Evaluation*, p.62). However, you should seek expert advice, and do trials or pilots before going ahead with any major survey or interview studies. You need to be familiar with relevant codes of ethics for social research, and Australian information privacy principles. Unfortunately surveys, particularly door-to-door ones, have a rather bad image and can turn people off rather than engage them.

Surveys can be done face-to-face, via e-mail, mail, telephone or using the Internet. Interviews can be face-to-face or by telephone, or possibly by video-conferencing. Interviews can also be one-to-one or group interviews. Interview techniques are widely used by journalists, social historians, anthropologists, and other social and political scientists. There is a wide range of different kinds of group interviews but perhaps the best known is the *focus group*, much used

by market researchers. A typical focus group is 7–10 participants, often with specified characteristics (age range, occupation, place of residence etc.), who do not know one another before the group convenes. They are brought together to discuss a pre-set topic, usually for several hours.

Surveys and interviews can be combined with techniques like participant observation, keeping diaries, and collecting documents; and used together with social profiling and stakeholder analysis. To conduct surveys, you often need to find sources of names and addresses or phone numbers, although people can also be surveyed at events or in public places (subject to appropriate permissions). Survey and interview findings can be fed back to participants for comment and checking (*participant validation*).

Tools/techniques	Skills needed	Strengths	Weaknesses
Surveys and interviews, structured or unstructured (one-to-one, group, in person, by mail or e-mail, post, telephone, Internet)	Social science skills; survey and interview design, conduct and interpretation; data analysis skills; may require computer literacy and knowledge of information technology	Relatively easy and cheap to do, can provide a very useful basis for 'scoping' issues and tailoring other techniques to suit circumstances	Not engagement tools as such, provide background information for applying other tools better.

Usually need computer and Internet access |

See Part 3 Resourcing: where can I find out more?
Resources: 18, 39, 52, 62, 85
Websites: 2, 20

7 PLANNING AND VISIONING TOOLS

DESCRIBE

DEVELOP   DESIGN

DO
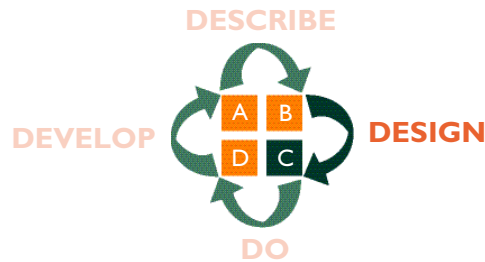
A. Principles
B. Place
C. Potential
D. Practice

These are tools with a strong forward orientation and are useful in encouraging people to visualise options for the future and develop shared plans or visions. They have attracted a good deal of attention over the last decade.

Planners have a strong focus on visual techniques involving models (real and computer-based), maps and graphics. These visual techniques often involve using Geographical Information Systems (GIS) and specialised computer software for map-making, design and modelling. Techniques like these can help engage people's interest and encourage them to provide input to processes. An interesting United Kingdom example of using planning techniques is *Planning for Real (Resource 22)*, which involves using a physical model that is interactive and adaptable, and which is passed around the community to encourage comment.

Visioning tools include *scenario building* in which the implications of various options are explored and detailed alternative future scenarios built up. These scenarios may involve large numbers of people and large geographical areas. Visioning and scenario-building can be the focus for a range of different types of engagement processes, and can involve conferences, workshops and public meetings. A specific example is a 'future search' conference. This is a structured event held over several days with a number of stages, and participants are organised into workshop groups.

Tools/techniques	Skills needed	Strengths	Weaknesses
Planning and visioning	Wide range of social science skills relevant; planning, design and model-ling skills; possibly GIS skills; computer skills	Can be interesting and engaging, highly visual, encourage whole systems approaches	Time consuming and often expen-sive, may require specialised computer software, can be difficult to keep realistic
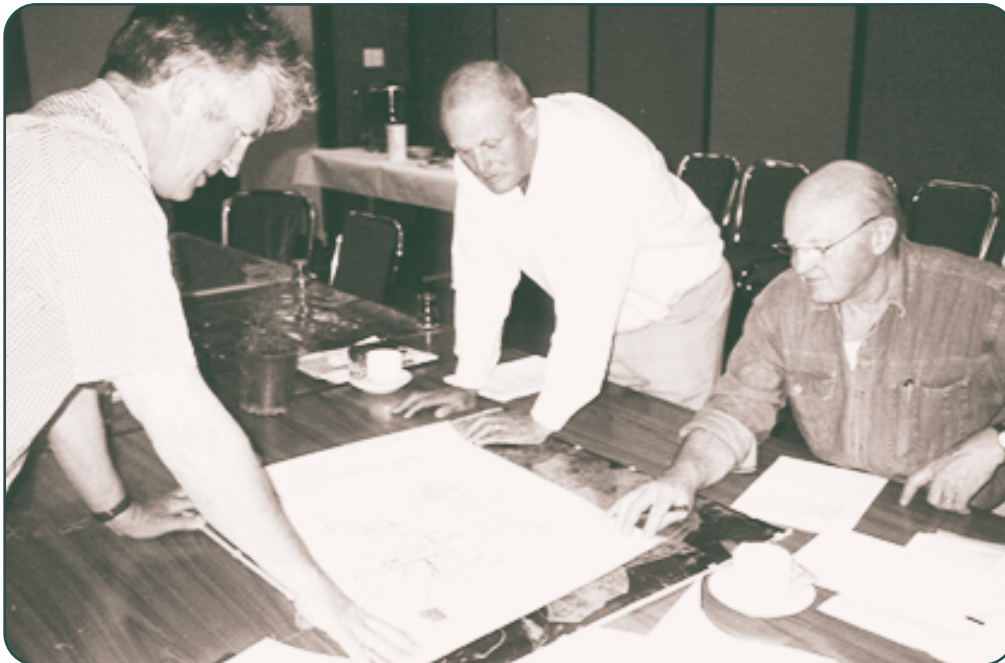
See Part 3 Resourcing: where can I find out more?

Resources: 12, 22, 26, 35, 46, 69, 70, 71, 73, 90

Websites: 17

8 TEAM BUILDING AND LEADERSHIP TOOLS

DESCRIBE

DEVELOP   **DESIGN**

DO

A. Principles
B. Place
C. Potential
D. Practice

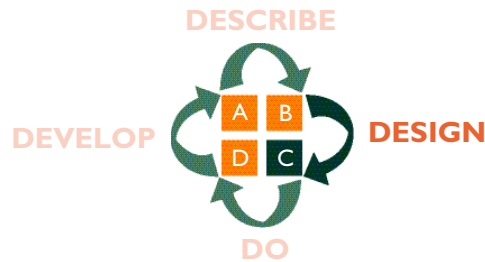Team-building and leadership are central to collaboration and partnership. Many of the groups and committees that are involved in community engagement need enhanced team-building and leadership skills to be able to function more effectively. Leadership training is often a part of learning and development activities offered by government and non-government organisations. Also there are many awards and prizes offered to encourage people to take on and succeed in leadership roles. The Australian Rural Leadership Awards and the Eureka Science Prizes are Australian examples from two different arenas. Leadership is often rewarded by status and public recognition, as in politics and sport, but can also provide psychological rewards for individuals and teams. Most importantly, it can help people to reach important personal or shared visions and goals.

These tools are particularly suited to the DESIGN phase of the decision-making cycle because they are important in planning and designing engagement processes – the formative phases of the cycle. But they are also essential in the DOING phase if collaborative action is needed, as it is on natural resource management issues like changing land and water uses in the Murray-Darling Basin. Leadership is essential in creating major change and so is particularly relevant to implementing Principle 1, *Act for change*. Fostering new leaders is a need that has specifically been addressed by the Murray-Darling Basin Commission, which offers a specialised leadership training program. It may also be important to identify or develop leaders who can identify with under-represented groups or cultures, for example Indigenous leaders or leaders from non-English-speaking backgrounds. These leaders can raise the profile of issues within their groups and encourage other group members to join. They provide role models.

Recognised leaders are also important because they can 'champion' issues and, because they have status, can help raise community awareness of issues and get them into the media and onto the political agenda. This can be a successful lobbying and campaigning tactic if you can find an acknowledged leader who will take on this role for you (see *Tool 11 Lobbying and campaigning* p.60).

Leaders are essential in groups as they provide guidance, direction, motivation and encouragement to other group members to help them work collaboratively towards a shared goal or vision (even if it is only making it through the agenda on the day!).

There are many books, guides and training courses about leadership and leadership training. If you aspire to leadership yourself, you may want to look these up. But even if you don't see yourself as a leader, it is very useful to have some training and awareness of these resources, as we are nearly all called upon to be leaders in some situation or other.

Team-building involves not only leaders but all team members. Many of the group techniques described under *Tool 1 General public involvement and participation tools* (p.34), can help with group bonding, as can *Tool 7 Planning and visioning tools* (p.50). Developing a common purpose or vision is an essential part of building successful teams.

Tools/techniques	Skills needed	Strengths	Weaknesses
Leadership training	Experienced and accredited instructors	Acknowledges and validates leadership aspirations Can empower and build capacity if done well Can be highly personalised and adapted to the needs of different groups	May be costly and time-consuming May be difficult for participants to implement learning back in their workplaces Tends to reach only the elite unless carefully targeted and marketed
Leadership awards and prizes	Organising skills Appropriate and competent judges with credibility Communication and marketing skills	Acknowledges and validates leadership aspirations Can empower and build status and self-esteem Can motivate others	May be costly and time-consuming to organise and administer Tend to reach elite audiences and may distance/dis-engage others May focus on the individual at the expense of the team May focus on highly visible/high profile individuals and activities

| Tools/techniques	Skills needed	Strengths	Weaknesses
Training in team building	Experienced and accredited instructors	Acknowledges and validates desires to work in teams Can empower and build capacity Can be flexible and adapted to different contexts	May be costly and time-consuming Tends to reach only the elite unless carefully targeted and marketed
Team awards and prizes	Organising skills Appropriate and competent judges with credibility Communication and marketing skills	Acknowledge and validate teamwork and achieving cooperative outcomes	May be costly and time-consuming to organise and administer Tend to reach elite audiences and may distance/dis-engage others May focus on high profile activities and outcomes

See Part 3 Resourcing: where can I find out more?
Resources: 32, 54, 56, 58, 79, 81

9 PARTICIPATORY ACTION RESEARCH TOOLS

DESCRIBE

DEVELOP A B D C **DESIGN**

DO
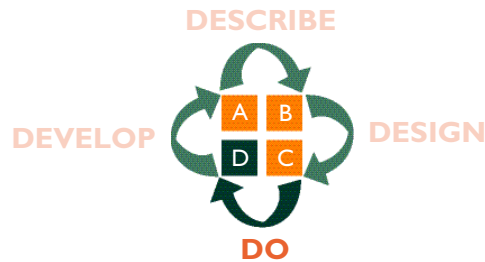
A. Principles
B. Place
C. Potential
D. Practice

Participatory Action Research (PAR) is a set of tools or a research approach in which communities and groups themselves take on the role of researchers or co-researchers, own the research, and are responsible for putting its results into action. PAR is particularly used in rural development, organisational learning and change, and is related to *Participatory Monitoring and Evaluation (Tool 12)*. PAR participants need to:

- recognise the value of local knowledge (including within-organisation knowledge)
- accept and own the research
- be willing to be involved at all stages of the research
- be willing to include a wide range of other participants (including perhaps some that are often left out)
- choose research methods to fit the situation, and learn how to apply these methods so that they can continue the research without outside help.

PAR is designed to break down the barriers between researchers and research 'subjects', and ensure that research is immediately relevant and applicable to local situations. It is particularly suitable when you want to ensure that research continues in the long-term and leads to progressive change and improvements for communities or organisations. The idea is to integrate research into everyday practice and ensure continuing feedback loops.

PAR is particularly suitable for working with local interests and Indigenous communities – it allows people to capitalise on their local knowledge and put it into practice.

| Tools/techniques	Skills needed	Strengths	Weaknesses
Participatory Action Research	Wide range of social science skills relevant, requires adaptability and flexibility	Ensures relevance of research, engages those likely to be affected by change, builds capacity and independance	Difficult to fit into standard research or project management models, may be difficult to obtain resources, requires long-term commitment

See Part 3 Resourcing: where can I find out more?
Resources: 5, 8, 12, 14, 45, 79, 84, 92
Websites: 1, 11, 19, 28

10 DELIBERATIVE DEMOCRACY TOOLS

DESCRIBE

DEVELOP

DESIGN

DO
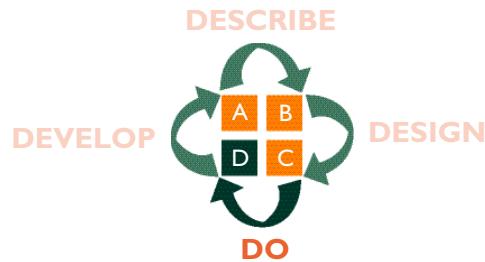
A. Principles
B. Place
C. Potential
D. Practice

These tools are perhaps at the 'cutting edge' of consultation and engagement processes, and some have been used much more widely in Europe and the United States than they have been in Australia. 'Deliberative processes' have been defined as those that are free, reasoned, equal and consensus-based. They are modelled on jury and court-room processes where citizens sit in judgement, and democratic processes where citizens vote at elections. Deliberative democracy tools can be time consuming and expensive to use, but represent some real attempts to open up processes to a wider range of citizens. They can break away from what is often domination by experts, politicians, government and peak interest groups. These tools can provide an alternative to interest group representatives 'standing in' for the general public in engagement processes. But depending on how participants are selected or nominated, they may still not represent the general public very well.

Some deliberative democracy terms and techniques are citizens' juries, electronic consensus building systems, deliberative opinion polls, electronic voting, deliberative forums, direct democracy (locals involved directly in project management), and stakeholder democracy. There are already many programs being run by State and Commonwealth Government that could claim to have some elements of direct democracy because local groups and community members manage government-funded projects.

An example of a deliberative process is the first Australian consensus conference, which was about genetically modified foods and was held in March 1999 in Canberra. Another is the Constitutional Convention on the question of whether or not Australia should become a republic, held in February 1998. These attracted a good deal of media coverage and raised the profile of these issues.

Tools/techniques	Skills needed	Strengths	Weaknesses	
Citizens' juries	Facilitation and chairing skills, negotiation and conflict resolution skills, may need expert witnesses	Can be interesting and engaging, often attract media attention	Time consuming, no guarantee that decisions will be taken into account, links to current interest groups and policy makers may be unclear	☆☆☆ 👤👤 ❗❗
Consensus conferences	Event organising and logistics, facilitation and chairing skills, negotiation and conflict resolution skills, may need expert witnesses	As above – have considerable potential for media coverage, particularly if high profile players are involved	As above – likely to be very costly	☆☆ 👤👤👤 ❗❗❗

11 LOBBYING AND CAMPAIGNING TOOLS

DESCRIBE

DEVELOP   DESIGN

DO
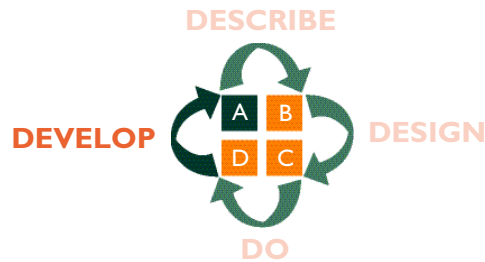
A. Principles

B. Place

C. Potential

D. Practice

'Lobbying' is usually used to mean working to influence the outcomes of government decisions. 'Campaigning' is often used in the same way, although neither is necessarily restricted to influencing government. Both can apply to influencing decisions of any groups with power over a particular issue. They can also be applied to activities within organisations, in which case they are similar to Participatory Action Research. Lobbying and campaigning are often done by staff of special interest groups working on behalf of their members. For example, one of our interviewees commented on the 'excellent lobbying power' of the irrigation industry. Special interest group lobbying and campaigning efforts are based on the belief that political decisions and actions are influenced by the quality and persuasiveness of arguments put forward by competing interests.

Campaigning may include preparing a variety of different types of information products (leaflets, posters, websites etc.), organising events (meetings, displays, workshops, field inspections etc.), and using a wide range of communications technology. So communication and information technology skills are essential these days.

If you wish to be a lobbyist or campaigner, other skills you may need include:
- 'having the right contacts in the right place at the right time'
- knowing how decision-makers operate and who wields the power
- research skills to find out more about issues and be able to communicate credibly.

Campaigning also requires strategic planning ability. Goals, objectives, timetables, and resources all need to be considered. Fund-raising activities may be needed. The timing of campaign activities in relation to other key events can be critical.

It is important to be aware of any windows of opportunity to get the message out to the right people. These windows could be crucial meetings or events, or up-coming elections. It is often essential to engage the media. This means skills in preparing media releases or having contacts within the media who may be interested in covering the campaign and its issues. Arranging meetings with decision makers to brief them about issues is also a useful tactic.

There are many possible ways things can go wrong ('Beware – the blancmange bites', says Mark Ricketts, *Resource 14*), so involving people with experience and learning from them is an important safeguard and may help ensure success or at least prevent disaster! Some campaigns take a long time to achieve their goals, so people may need to be in it for the long haul.

| Tools/techniques	Skills needed	Strengths	Weaknesses
Lobbying and campaigning	Communication and computer skills, design and graphics ability, media skills, fund-raising, planning and organising skills	Direct tactics that explicitly address the need for change and target decision-makers; can also raise awareness of others and help build coalitions for change	Often much competition for decision-maker and media attention; can polarise issues and make enemies; positions can be mis-represented and damage credibility

See Part 3 Resourcing: where can I find out more?
Resources: 14, 34, 64, 77, 87
Websites: 15

12 PARTICIPATORY MONITORING AND EVALUATION TOOLS

DESCRIBE

DEVELOP

A B
D C

DESIGN

DO
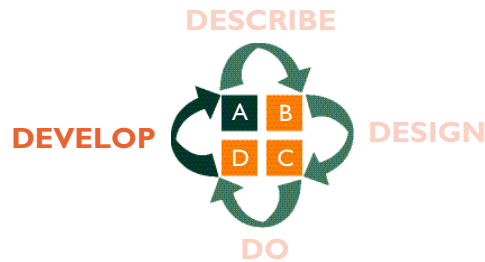
A. **Principles**
B. **Place**
C. **Potential**
D. **Practice**

Participatory Monitoring and Evaluation (PM & E) refers to processes where participants themselves monitor the effects of their actions and make appropriate adjustments. The idea is learning by doing, and obtaining direct feedback. PM & E is related to *Participatory Action Research* (see *PAR Tool 9,* p.56). It is an alternative to a more 'top-down' evaluation approach in which others (perhaps scientists or government staff) are responsible for monitoring out-comes. It can help empower and engage community groups. PM & E encourages participants to take responsibility for outcomes rather than relying on others to do so.

The basic elements of participatory evaluation are directly related to project planning and depend on having a vision, goals, objectives and actions. Sets of evaluation questions can be developed based on these elements. The next step is to identify indicators or measures to help answer the questions. *Performance* or *outcome indicators* measure whether outcomes satisfy objectives. *Input* indicators measure resources applied to the project (money, time, materials). *Output* indicators measure some immediate product of a project. Outputs are not the same as outcomes, although output measures can sometimes serve as an indicator of out-comes. The sources given below provide some detailed examples of measures and indicators for different types of projects and purposes.

PM & E requires project team meetings, and coordination and collaboration among team members. This means meeting and facilitation skills are needed. Many different group techniques like SWOT analyses, brainstorming, visioning and action planning can be applied to help engage team members. Surveys and interviews, including feedback forms, can be part of evaluations together with many of the other tools included in this toolkit.

Tools/techniques	Skills needed	Strengths	Weaknesses
Participatory Monitoring and Evaluation	Communication skills, meeting and facilitation skills, planning and organising skills	Direct engagement processes help to involve people in all phases of a project cycle; contribute to adaptive management and mutual learning	Usually involve only a limited number of people, related to scope and scale of project; sometimes require long time frames to evaluate outcomes; may require long-term involvement

See Part 3 Resourcing: where can I find out more?

Resources: 19, 37, 48, 69, 84, 86, 90

Websites: 1, 30

Example of the toolkit in action: LOCAL COMMUNITY MEMBERS

The Country Women's Association had long held its monthly meeting in the local town hall which was located on the banks of a creek that ran through a number of dairy properties before winding its way through the town. Over the years, the creek had become smellier and smellier but the low flows experienced during the drought made the smell unbearable. They decided that this was a whole-of community concern. Members of the CWA contacted the local Landcare group wanting to know what could be done about the smell. In coordination with the local Landcare group, the CWA alerted the community to the need to do something about the creek through *Information, Evaluation and Extension* (Tool 3) (Step 1 – Developing).

There seemed to be strong local interest so the local Landcare Co-ordinator undertook *Stakeholder Analysis and Social Profiling* (Tool 5) which revealed some interesting information:
- dairy farmers had retention ponds on their properties which had cost them quite a lot of money. However some of them did not know how to manage the ponds sustainably and were disappointed that the money they had spent seemed wasted;
- traditional Indigenous owners said that the creek had once been home to many species of fish but that de-snagging the creek to allow for water skiing (which no-one did any-more) caused the fish population to decline (Step 2 – Describing).

The Landcare coordinator called another public meeting on the banks of the creek and specifically invited Indigenous owners. Through *Deliberative Democracy* techniques (Tool 10) the community agreed upon a shared vision for the creek (Step 3 – Designing). The Landcare coordinator applied for funding to assist the dairy farmers to improve management of their retention ponds and to re-snag the river using *Lobbying and Campaigning* (Tool 11) (Step 4 – Doing). After a considerable length of time, funding was approved and the management plan put into effect. The community is hopeful that in a few years the condition of the creek will be improved, the fish might one day return and the principles of conservation be adopted by the whole community (Step 1 – Developing).

SUMMARY OF APPROPRIATE TOOLS

Task: Local community members establish whole-of-community involvement

DESCRIBE
TOOL **5**

DEVELOP
TOOL **3**

Tool 1

Tool 1

Tool 1

Tool 1

DESIGN
TOOL **10**

DO
TOOL **11**
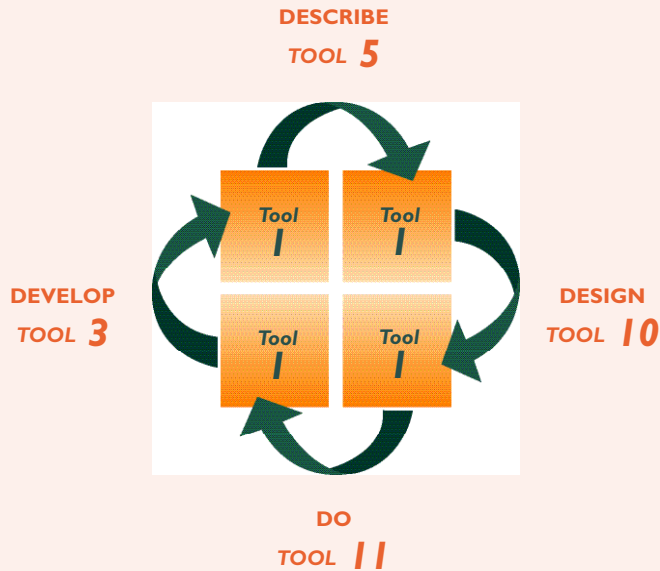
If you work in the **community**, you will need to engage the whole community, including land managers, industry, specialist advisors and government.

Step 1 – Developing principles: Principles and Tool 3

Step 2 – Describing people and place: Tool 5

Step 3 – Designing potential: Tool 10

Step 4 – Doing in action: Tool 11

Example of the toolkit in action: TECHNICAL SPECIALISTS

A Local Government engineer was allocated a budget for a program of upgrading a number of local roads which ran over the floodplain of one of the main regional rivers. Before drawing up his detailed works program, the engineer took a drive over the roads. They had been built some 30 years previously and had been used to provide access to the grazing properties that had been established on the floodplain. At the time they were constructed no thought had been given to the implications for the floodplain. As a result, the roads blocked off the flow of water to parts of the floodplain.
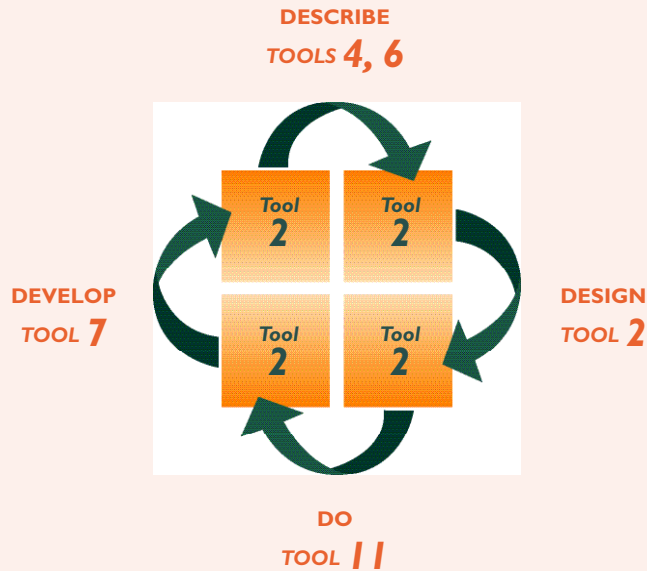
The engineer was a keen birdwatcher and knew from the experience of older members of the local birdwatching group that waterbird numbers had declined severely over the last 30 years. He and other Local Government staff decided it was time something should be done (*Planning and Visioning,* Tool 7) (Step 1 – Developing).

The engineer undertook a *Rapid and Participatory Appraisal* (Tool 4) with members of his own birdwatching group. They attributed the decline in numbers to the fact that many parts of the floodplain were rarely flooded and when they were flooded it took a long time for them to drain. The roads were one of the main features blocking the flooding and draining patterns. The Local Government then *interviewed* (Tool 6) local graziers who wanted access to their properties and did not want any of the roads removed (Step 2 – Describing).

The engineer then employed *Negotiation and Conflict Resolution* tools (Tool 2) by bringing both the bird watchers and the graziers together in a meeting. It was chaired by a farmer from out-side the area who was an avid birdwatcher and had been putting in culverts under the roads on his property to improve flooding and drainage (Step 3 – Designing). As it turned out, the graziers and their families missed the birds as well and were happy to make a contribution toward re-designing the roads to allow water to flow in and out of the floodplain. Re-designing and re-building the roads to include culverts would cost the Local Government more. Both the graziers and birdwatchers had friends in Local Government and by using *Lobbying and Campaigning* tools (Tool 11) they were able to persuade the Local Government to increase the budget (Step 4 – Doing).

SUMMARY OF APPROPRIATE TOOLS

Task: Technical specialist applies negotiation in wide public involvement

DESCRIBE
TOOLS **4, 6**

DEVELOP
TOOL **7**

Tool **2**   Tool **2**

Tool **2**   Tool **2**

DESIGN
TOOL **2**

DO
TOOL **11**

If you are a **technical specialist**, you will need to engage government agencies, land managers, specialist advisors and the community.

Step 1 – Developing principles: Principles and Tool 7

Step 2 – Describing people and place: Tool 4, 6

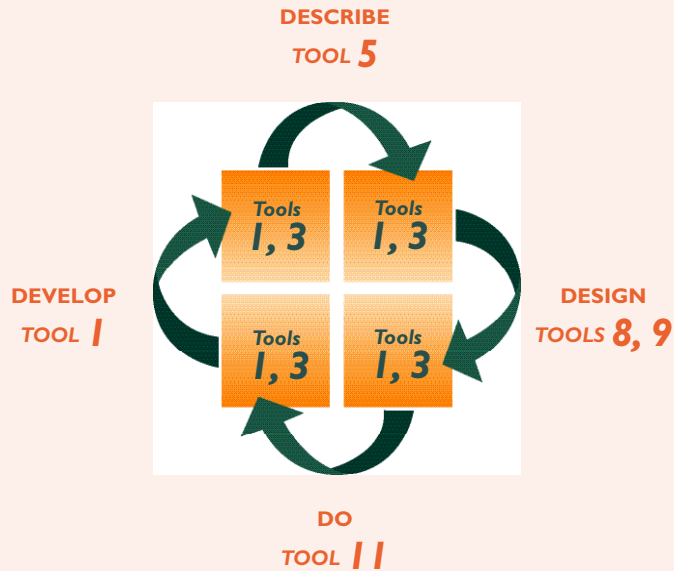**Step 3 – Designing potential: Tool 2**

Step 4 – Doing in action: Tool 11

Example of the toolkit in action: GOVERNMENT AGENCY STAFF

A river in the Murray-Darling Basin was in a severely degraded condition, the magnificent red gums that had lined its channels were dying and fish and bird populations had declined. Staff within the State environment department were instructed to 'do something'. But what should that 'something' be? They decided what was needed was a whole-of-community plan of action (*General Public Involvement and Participation*, Tool 1) (Step 1 – Developing). To find out who else could be interested, they conducted a *Stakeholder Analysis* (Tool 5) (Step 2 – Describing). Using *Team Building and Leadership* (Tool 8) a River Recovery Team was established which comprised technical specialists, community and State agency representatives. The first step of the River Recovery Team was to undertake *Participatory Action Research* (Tool 9) (Step 3 – Designing) which made recommendations on priorities for action and ways for the community and the agencies to work together, leading to Step 4 – Doing.

A local politician got wind of the plan and decided that things were going too slowly (he was coming up for re-election within six months). He employed *Lobbying and Campaigning Tools* (Tool 11) to divert attention to a well known wetland. The Government promised funds to rehabilitate the wetland if re-elected. The River Recovery Team was left to try to sell the one-wetland idea to the community who had rather hoped there would be a much more integrated approach. They consoled themselves by thinking that at least one wetland saved was better than none (*Information, Education and Extension*, Tool 3) (Step 4 – Doing) and they could come back to the river rehabilitation later (Step 1 – Developing).

During community engagement processes, challenges like this can easily arise. The decision-making cycle and its tools are designed with this in mind and are flexible enough to allow the community engagement process to continue, while adapting to the changed circumstances.

SUMMARY OF APPROPRIATE TOOLS

Task: Government agency initiates whole-of-community plan of action

DESCRIBE
TOOL **5**

DEVELOP
TOOL **1**

Tools
1, 3

Tools
1, 3

Tools
1, 3

Tools
1, 3

DESIGN
TOOLS **8, 9**

DO
TOOL **11**

If you work in a **government agency**, you will need to engage specialists, land managers, community members and other government agencies and their staff.

Step 1 – Developing principles: Principles and Tool 1

Step 2 – Describing people and place: Tool 5

Step 3 – Designing potential: Tool 8, 9

Step 4 – Doing in action: Tools 3, 11

See p. 27 for the Decision-Making Cycle and Engagement Tools

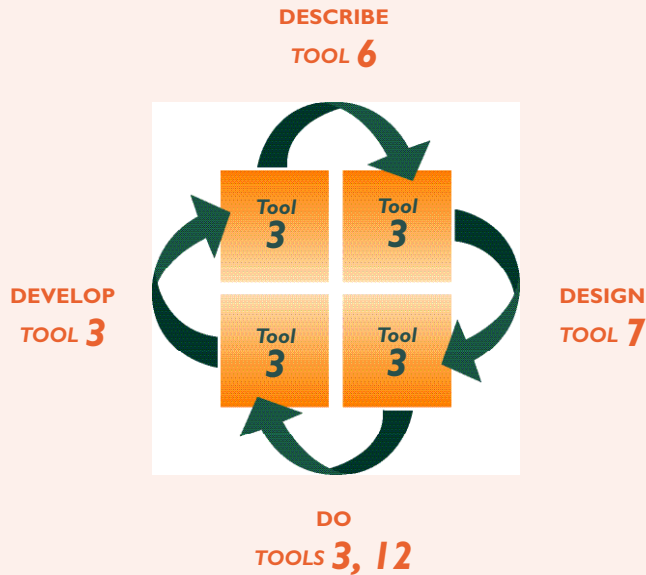## Example of the toolkit in action: LAND MANAGERS

Landholders at the bottom of the valley in a small catchment began to experience salt scalds in their paddocks. They contacted their local State agency and a Salinity Officer visited the properties. It was likely, the Salinity Officer said, that the problem was the result of more water entering the local groundwater system. The landholder at the top of the valley had cleared his land for cropping some years ago, he did not have minimum tillage equipment and left his land bare when resting his paddocks. As a result there was considerable groundwater recharge from his property which was discharging further down the valley. Confronting the landholder at the top of the valley was not going to help, he had always farmed this way and did not seem keen on change.

The landholders at the bottom of the valley contacted their local Landcare group and asked the group to organise an information evening for all of the landholders in the valley. Using *Information, Education and Extension* methods (Tool 3), the Landcare group put on a barbeque and asked local technical experts to make some presentations (Step 1 – Developing). The group then used *Survey and Interview Techniques* (Tool 6) to obtain the relevant information (Step 2 – Describing), followed by a *Planning and Visioning Workshop* (Tool 7) (Step 3 – Designing) on the future of their valley (and another barbeque). Surprisingly, the landholder at the top of the valley agreed with the landholders at the bottom of the valley. He wanted to improve his practices but had no money to do so. Using *Information, Education and Extension* methods (Tool 3), representatives from the local Landcare group helped him write a proposal to access government funds. Using these funds he could convert his equipment to minimum tillage and attend a grazing course so that he could move into perennial pastures which would reduce groundwater recharge.

With the support of all landholders in the valley, the local Landcare group put in place a *Participatory Monitoring and Evaluation* scheme (Tool 12) to track their progress (Step 4 – Doing). Within two years the level of scalding at the bottom of the valley had substantially reduced.

SUMMARY OF APPROPRIATE TOOLS

Task: Land managers initiate whole-of-community education and change

DESCRIBE
TOOL **6**

DEVELOP
TOOL **3**

Tool **3**   Tool **3**

Tool **3**   Tool **3**

DESIGN
TOOL **7**

DO
TOOLS **3, 12**

If you are a **land manager**, you will need to engage other land managers, community members, specialists and the relevant government agencies.

Step 1 – Developing principles: Principles and Tool 3

Step 2 – Describing people and place: Tool 6

Step 3 – Designing potential: Tool 7

Step 4 – Doing in action: Tools 3, 12

DESIG

DEVELO

PART 3 RESOURCING:

Where can I find out more?

OVERVIEW

This part of the toolkit provides a resource list covering publications dealing with community engagement tools and related topics. The list entries are cross-referenced with the numbers of the tools to which they relate best, and also to the decision-making cycle (p.11) and the knowledge systems framework (p.8) where appropriate. However, many are general references that deal with a range of tools and techniques, the decision-making cycle, and the values, principles and criteria that make for good community engagement.

Following the resource list are some websites we have found useful. You should remember that while we have done our best to check that these web addresses are up to date, websites tend to change frequently and you may have to do some searching around to find relevant material if the site has been re-configured since we looked it up for this list.

RESOURCES

1. Aitken, L. 2001. Social and community dimensions of natural resource management: a review of issues and related research. Report on a position paper prepared for partners in the Consortium for Integrated Resource Management (CIRM). Brisbane: Qld Dept of Natural Resources and Mines.

Reviews key issues in relation to social dimensions of natural resource management, provides an overview of existing research, provides a framework for addressing issues and identifies areas for further research. Provides an overview of several other reviews, including one done for Land and Water Australia. Suggests a 'social and community 6-pack' as a CIRM framework:
- understanding communities as the basis for achieving sustainable natural resource management
- structuring and supporting partnerships
- institutional arrangements for natural resource management
- supporting community and institutional capacity for natural resource management
- addressing the social impacts of resource use and change
- awareness and action to facilitate social change.

Tools: Systemic background and review, research-focused

2. Allen, W., Bosch, O.J.H., Gibson, R.G. & Jopp, A.J. 1998. Co-learning our way to sustainability: an integrated and community-based research approach to support natural resource management decision-making. In *Multiple objective decision making for land, water and environmental management*. Ed. S.A. El-Swaify and D.S. Yakowitz. Boston: Lewis. Pp. 51-59.

Points out that many sustainable development and environmental initiatives have failed to secure the support of those they are supposed to serve, leading to a need to re-think approaches. Suggests need to build on principles of experiential learning and systems thinking. Proposes an Integrated Systems for Knowledge Management (ISKM) approach to support an ongoing iterative process of constructive community dialogue.

Tools: All, systemic background, particularly relates to decision-making framework

3. Allen, W. & Kilvington, M. (accessed 2003). Why involving people is important: the forgotten part of environmental information system management. Proceedings 2nd International Conference on Multiple Objective Decision Support Systems for Land, Water and Environmental Management, Brisbane, August 1999.

Stresses need to develop information systems in social context, which requires paying attention to how these systems support learning. Outlines requirements for collaborative learning in which perspectives of multiple stakeholders are coordinated to solve complex environmental problems. Outlines a process for a collaborative learning approach.

Phase 1 stresses the need to build relationships and for stakeholders to develop a common understanding of the issue, collectively decide on goals and roles. Gives examples of processes and issues from New Zealand resource management and environmental contexts.

Concluding comments provide crucial factors for a successful collaborative learning approach:
- effective processes for building and maintaining trust
- ability to communicate clearly and place problems in wider context
- time to develop a common context or language
- appreciation of the difficulty of learning
- infrastructure and tools to support information sharing
- need to balance technological sophistication with social processes that ensure effective information sharing and use.

Tools: All, systemic, particularly relates to decision-making framework

4. Allan, C. & Curtis, A. 2002. Participatory rural appraisal: using it to understand rural communities. *Natural Resource Management* **5(1): 28-34.**

Discusses Participatory Rural Appraisal (PRA) and an application to an early stage of the community-government partnership for the Heartlands project in the Billabong Catchment of the Murray-Darling Basin. The PRA is said to have identified stakeholder perspectives on resource management and social issues; increased landholder involvement with Heartlands; formally recognised local knowledge; enhanced personal networks of participants; led to a greater appreciation of social research by project managers; and helped develop a social research agenda. Limitations of time and the risks involved are considered to be possible negatives, but greater use of PRA is advocated.

Tools: 4

5. Allan, C. & Curtis, A. 2003. Learning to implement adaptive management. *Natural Resources Journal* **6(1): 25-29.**

Discusses concept of adaptive management as applied to a national workshop held in Albury in 2002, which aimed to address lack of information available to managers from a range of natural resource management areas. The workshop also aimed to foster communication between managers and academics. Participants reflected on their experiences with adaptive management; concluded that cultural and institutional change was needed to make it a genuinely useful approach; and that information and support was needed for managers to understand and incorporate the approach.

Tools: 9

6. Argyris, C. 1999. *On organizational learning.* **2ⁿᵈ Ed. Malden, Mass.: Blackwell Business.**

Updated application of action research, as originally put forward by Argyris and Schon and developed over many years. Argyris has been writing about organisational learning, and the systemic obstacles to it, for more than twenty years. This revision of an earlier book updates his thinking about the topic, and about the research and intervention methodology he now describes as 'action science'. Action research is based on the simple concept that there is a natural cycle in which we as individuals do something and then we check if it worked as expected. If it didn't, we analyse what happened and what we might do differently. If necessary we repeat the process. Achieving change requires both action and critical reflection on that action, repeated through time. For organisations to learn, they too must institutionalise this learning spiral.

Tools: 9

7. Arnstein, S.R. 1969. A ladder of citizen participation. *Journal of the American Institute of Planners* **35: 216-224.**

The classic reference on community participation that develops a 'ladder' of citizen participation that has been widely used in the literature ever since.

Tools: All, systemic

8. Bawden, R.J. 1991. Towards action researching systems. In Zuber-Skerritt, O. (ed.). *Action research for change and development.* **Brisbane: Griffith University Centre for the Advancement of Learning and Teaching. Pp.21-51.**

Based on a paper presented at the International Symposium on Action Research in Higher Education, Government and Industry, 20-23 Mar. 1989, Brisbane. A personal account of developing action research systems and concepts based on experiential and critical learning processes designed to address complex problems. Develops models of learning and knowing that are very widely applicable. The author cites Kolb's (1984) remark that 'Learning is the fundamental process of human adaptation'. Bawden points out that we each have our own value-laden, psycho-cultural, experience-modified knowledge or beliefs or assumptions that shape our world view. He also discusses 'double loop' models of learning and analyses the different kinds of stances taken by researchers.

Tools: All, systemic, but particularly relevant to tool 9

9. Bellamy, J. & Dale, A.P. 1998. Evaluating the impact of regional planning for sustainable and equitable resource use: establishing effective evaluation criteria. Paper presented at the International Association for Impact Assessment 98 Conference, 21-24 April 1998, Christchurch, New Zealand.

Considers that the essential ingredient in successful regional resource use planning is building the vitality of the regional planning system by improving the ability of groups with interests in natural resource management to plan and interact with one another. Considers there are three primary elements to this:
  • facilitating understanding and learning
  • facilitating negotiation
  • groups establishing and maintaining a mandate.

Considers how a systemic framework of evaluation measures for regional resource use planning might be formulated, and suggests two general headings for measures of effectiveness of the collaborative and participatory processes in regional planning:

- participation – improvement in and satisfaction with stakeholder involvement in regional decision-making
- collaboration – improvement in stakeholder capacity to collaborate and opportunities for future collaboration.

Tools: All, systemic

10. Bellamy, J., Ross, H., Ewing, S., & Meppem, T. 2001. *Integrated catchment management: learning from the Australian experience for the Murray-Darling Basin. Overview Report. Canberra: Murray-Darling Basin Commission.*

Report commissioned by the Murray-Darling Basin Commission to provide an integrated overview of State reviews of integrated catchment management from across Australia. Objectives were to identify key characteristics of integrated catchment management in each State and their effectiveness; identify social and institutional arrangements, trends or issues relevant to further development of integrated catchment management; identify core characteristics of best practice integrated catchment management for the Basin; and to identify implications and potential opportunities for integrated catchment management implementation in the Basin. Found that historical resource use contexts shape State approaches to integrated catchment management as well as the nature of the players in each State. Integrated catchment management is promoted as a community-based collaborative model of governance to address natural resource management issues in a holistic way. There are problems with lack of coordination within and between agencies. 'Whole of government' approaches remain a challenge. There is a wide range of bodies with roles in natural resource management within the States, among which catchment management bodies are one type. They are often inadequately resourced and depend heavily on volunteers, together with some funding from State governments. Their activities are often poorly integrated with other natural resource management bodies and agencies. Effective engagement of Local Government is a 'vexed issue'. There is little evidence of any systematic monitoring of impacts of integrated catchment management or the effectiveness of different approaches. Integrated catchment management needs to shift to a more performance-based approach.

Tools: All, systemic, particularly relevant to Murray-Darling Basin Commission PLACE context

11. Bollens, S. 2000. Community development in democratic South Africa. *Community Development Journal* **35(2): 167-180.**

Describes outcomes of interviews with community leaders and government officials in Johannesburg in 1995. Suggests the community sector ('civics' or community-based organisations) in post-Apartheid South Africa is faced with three challenges: independence from government; funding and technical support; and local representativeness. Concludes that many civics are weak in terms of organisation, levels of consciousness of issues among members, strength and cohesion of leadership, and accountability to their membership. Indicates that one opinion holds that elected local officials are the proper conduits for community needs, and thus the civics have a limited role. An alternative view is that a strong civil society, including community-based organisations, is essential to a democratic culture. Suggests that a marked shift from a top-down State apparatus to an intensely consultative environment has taken place in South Africa over the past five years. Mentions use of social compacts, community and local development forums. Points out that wide citizen consultation can be at odds with a government's desire to move rapidly to address the unmet basic needs of its citizens. There is a need for governments to avoid 'delivery paralysis'. Highlights a role for new mediating institutions and community facilitators with appropriate interpersonal skills. Concludes there must be a moderate middle course in consultation, avoiding the extremes of an unfettered 'people's democracy' and reactionary authoritarianism.

Tools: All, systemic, particularly relevant to tools 1 and 2

12. Borrini-Fyerabend, G., Farvar, M.T., Nguingiri, J.C. & Ndangang, V.A. 2000. *Co-management of natural resources: organizing, negotiating, learning-by-doing.* **Heidelberg: GTZ IUCN, Kasparek Verlag.**

http://nrm.massey.ac.nz/changelinks/cmnr.html

Extensive guide to co-management processes. Discusses concepts and approaches in co-management of natural resources, giving a typology of concepts and processes contributing to co-management under the headings:
  • adaptive management
  • pluralism
  • governance
  • patrimony
  • conflict management
  • social communication
  • taking account of concepts, approaches and values.

Considers co-management processes by two broad phases, preparatory and learning by doing (implementing and revising). Includes ideas for developing evaluation schemes and process indicators. Stresses need for a pluralist approach that recognises, acknowledges and involves the various actors, interests, concerns and values. Section on methods for promoting fairness and equity in co-management (principles?). Useful lessons and tips in Section 6.

Annex 1 describes a range of participatory methods and tools, and gives a SWOT analysis of each. Techniques included are: street or village theatre, community radio programs, land-use mapping, historical mapping, transect walks and diagrams, trend analysis, brainstorming, structured brainstorming, guided visioning, problem-cause-effects trees, and SWOT analysis.

Tools: All, systemic

13. Botterill, L. 2001. Stocktake of Commonwealth consultations with rural and regional communities. Canberra: School of Social Sciences, The Australian National University.

Reports results of a review of a range of consultation exercises with rural and regional communities conducted by Commonwealth agencies and Parliamentary committees. Reports of consultations examined were those of the Regional Australia Summit (held in October 1999 and December 2000); *Time running out: shaping regional Australia's future* (the report of the inquiry into infrastructure and development of Australia's regional areas, held by the House of Representatives Standing Committee on Primary Industries and Regional Services); *Bush talks* (a series of consultation exercises conducted by the Human Rights and Equal Opportunity Commission in 1998 and 1999); and the impact of competition policy reforms on rural and regional Australia (conducted by the Productivity Commission in 1998 and 1999).

Major themes identified in these consultation exercises are:
- concern about improving the image of rural and regional Australia
- the need to address skills shortages
- leadership and community empowerment
- production and marketing skills development
- appropriate delivery of education and training.

Tools: All, systemic, particularly relevant to rural Australia as PLACE

14. Brown, V.A. (ed.) 1996. *Landcare languages: talking to each other about living with the land.* **A communication manual for Landcare. Canberra: Commonwealth of Australia.**

Considers the range of players in Landcare, including farmers (of different ages), Aboriginal landholders, administrators, politicians, economists, environmental scientists, media and educators, and their perspectives or positions on issues. Points out the need to find common languages shared by all the various players in order to make communication effective and resolve land management issues. Points out the difficulty of practitioners (land managers and their agencies) having to speak a whole series of different languages, often without much help. Part 1 describes a Landcare communication study which provides information about how Landcare communicates at present and how players want to change; Part 2 provides tools for translating the key Landcare messages into 'Landcare languages'; and Part 3 deals with communication skills required by the players.

Part 1 is based on an interview study that asked players five questions about their interpretation of Landcare, their relationship to it, what messages it should be sending now, how they obtained information about it, and where they thought it would be in the future. Figure 1.3 shows a Landcare communication framework. Interviewees indicated that personal networking is the mainstay of communication, but the study found that there was no coherent system of communication channels to support this networking. Suggested communication support needed is:
- independent channels for community Landcare voices
- self-sustaining regionally based information exchange
- education strategy supporting Landcare's role as a change agency
- Landcare based economic and financial planning.

Points out the difficulties associated with developing this communication support system. Using a bicycle metaphor, proposes the following parts for the system:
- regional Landcare information resource centres – could be based in local Landcare groups
- national Landcare community forum
- Landcare education and training strategy – to be provided at all educational levels by existing training providers
- Landcare institute for research and development
- Landcare sustainability index based on community State of the Environment monitoring.

Includes advice to Landcare workers about activities they can conduct to involve others, including designing the future, developing action learning programs, offering prizes, funding training activities, soliciting personal stories, and setting up project-focused learning teams (including monitoring teams). Many techniques that can be used within groups are described (for example SWOT analysis, force fields, work experience simulations, hypotheticals, preparing media releases or funding applications, and brainstorming). One section deals with action research processes. A floppy disk with an extensive bibliography is included, each reference coded under the headings Policy, Place, Practice and Problem-solving.

Tools: All, systemic, particularly relevant to tools 3 and 9, knowledge systems and decision-making cycle

15. Brown, V.A. 1997. *Managing for local sustainability: policy, problem-solving, practice and place.* **Canberra: National Office of Local Government.**

Describes the development of the decision-making cycle and applies it to Local Government's situation in developing more sustainable practices at the local level.

ACTION:	DECIDE	DESCRIBE	DESIGN	DO
KNOWLEDGE:	PRINCIPLES	PLACE	POTENTIAL	PRACTICE

Tools: All, systemic, particularly relevant to decision-making framework and to DESIGN

16. Brown, V.A., Nicholson, R., Stephenson, P., Bennett, K-J. & Smith, J. 2001. *Grass roots and common ground: guidelines for community-based environmental health action. A discussion paper.* **Sydney: Regional Integrated Monitoring Centre, University of Western Sydney.**

Discusses stakeholders as comprising a 'policy community' which in the context of environmental health includes interest groups such as:
- rural or urban, small or large communities
- lifespan groupings (children, youth, citizenship, aged)
- local small business and industry, communications media
- health and environmental local action groups
- professional groups, education and research
- government administrative departments and agencies
- elected representatives, Indigenous communities
- speakers of languages other than English
- health and environmental local area researchers.

The correspondence between four knowledge bases and stakeholder groups is proposed to be as follows:

- general community members with lived experience in local area (community) – local knowledge
- specialists and professional practitioners with detailed understanding of particular aspects (specialists) – specialised knowledge
- politicians and administrators responsible for strategic planning and goal-setting (strategists) – strategic knowledge
- holistic thinkers and change agents from any groups (holists, integrators) – holistic knowledge.

Discusses a community action scale with varying degrees of involvement and 'insiderness' versus 'outsiderness' (from Brown 1995). Reviews findings of a key informant study that involved in-depth interviews with 36 practitioners in the environmental health field, categorised into the four groups, including issues of concern to practitioners in each of the groups. Proposes ways of finding common ground among the groups.

Tools: All, systemic, particularly relevant to tool 3 and to knowledge systems

17. Buchy, M. & Hoverman, S. 1999. Understanding public participation in forest planning in Australia: how can we learn from each other? Australian National University Forestry Occasional Paper 99.2, Australian National University, Canberra.

Reports on findings of semi-structured interviews with Australian State forest agencies (Vic., Q., Tas. and WA) on their experiences with public participation in forestry planning. Develops an analytical framework, analyses the processes used in these States and makes recommendations for further consultation processes. Suggests literature on participatory processes stems mainly from political science (democracy and citizenship), and from development theory, especially in the context of sustainable land use. Makes the distinction between participation as an approach (an end in itself, also described as an 'instrumental' approach) and participation as method (a means to an end, also described as a 'transformative' approach). Figure 1 shows Creighton's (1986) attempt at matching techniques to levels of participation (somewhat similar to Arnstein's ladder).

Mentions review by Warburton (1997) that lists about 150 techniques and approaches that can be applied. This review provides **principles** and **key attributes** for good practice in public involvement:

Principles	Attributes
1. Commitment and clarity	Disclosure of interests Agreed objectives and expectations Transparency of process
2. Time and group dynamics	Time Continuity and follow up
3. Representativity	Representativity Equity
4. Transfer of skills	Resourcing the process Quality of information

Considers measures of success for participatory processes, suggesting use of Warburton's criteria of *efficiency, effectiveness* and *equity*. Includes substantial discussion of barriers to Aboriginal involvement in forest planning processes (also applicable in other natural resource management contexts). Examines a number of case studies of State processes and evaluates them against the principles and attributes shown above. Discusses some of the benefits of improved processes, including improved understanding of issues and improved relationships between stakeholders and agencies.

Tools: All, systemic, particularly relevant to PRINCIPLES

18. Burdge, R.J. 1994. Getting and staying in touch: sociological techniques for evaluation of range management decision alternatives. Chapter 17 in *A conceptual approach to Social Impact Assessment*, ed. R. Burdge. Middleton, Wisconsin: Social Ecology Press. Pp. 213-225.

Reviews the utility of various approaches to obtaining public input to the planning process, using the example of the US Bureau of Land Management's (BLM) resource management plans and environmental impact statements. These activities are conducted against a situation of controversy over development versus conservation/preservation. Constraints include limited agency budgets for social survey activities.

Six ways of obtaining public input to a management plan are discussed and their typical strengths and weaknesses:
- general population surveys (e.g. mailed questionnaires, telephone surveys, interviews), improvements therein, and criticisms of use of surveys
- expert input
- community forums
- letters from the public
- interest group viewpoints
- seeking input from community organisations (e.g. service and business).

Summarises main methods used by the BLM – advisory panels, inter-agency coordination, views of special interest groups, public hearings, expert panels, face-to-face interviews. Makes suggestions for how BLM could improve public involvement and evaluation of policy alternatives by:
- developing in-service training programs
- widen use of structured questionnaires
- develop an interdisciplinary longitudinal study
- encourage use of the 'CODINVOLVE' system for monitoring letters and messages
- explore ways of using data from permits and other registration sources
- develop in-house publications and newsletters for disseminating information from data monitoring systems
- review the public involvement programs of other government agencies
- continue use of in-service training on public involvement within SIA
- co-locate offices of different Federal agencies to allow 'one-stop' shopping
- use evaluation research procedures to determine what public involvement techniques work best in which settings.

Tools: Particularly relevant to tools 1, 3 and 6

19. Butler, M.J., Steele, L.L. & Robertson, R.A. 2001. Adaptive resource management in the New England groundfish fishery: implications for public participation and impact assessment. *Society and Natural Resources* **14: 791-801.**

Examines the activities of a Fishery Management Council in a multi-species fishery of northeast USA, and the 'framework adjustment process' it has been using as the main means of modifying the Fishery Management Plan since 1996. Examines implications of the public participation process and the cumulative effects of short-term incremental outcomes from adaptive management techniques. Points out that there is no requirement for a social impact

assessment of the adjustment process itself as a management tool. An implicit assumption is often that any short-term negative impacts from management action will be offset by long-term positive social impacts resulting from more sustainable resource use. Argues that effective public participation needs to be built into the framework adjustment process, and that this may be a deficiency in adaptive management processes that can allow elite groups with a substantial stake in the resource to pursue their self-interest relatively unfettered. Also argues for better assessment of impacts of adaptive management through use of formal impact assessments, otherwise cumulative impacts over time may be obscured.

Tools: All, systemic, particularly relevant to tool 12

20. Carman, K. & Keith, K. 1994. *Community consultation techniques: purposes, processes and pitfalls: a guide for planners and facilitators.* **Brisbane: Department of Primary industries.**

Part A suggests some principles for deciding when public participation is needed (from Dugdale 1989):
  • the issue is of significance to the community
  • the issue is about future planning
  • the decision-making process allows choice.

Public participation may not be appropriate if the issue is well-defined and already accepted, involves little community conflict, or has reached such a stage that public involvement is unlikely to influence outcomes. Sets out a rationale for consultation, showing the types of questions that need to be asked:
  • questions about beneficiaries (who)
  • questions about issues (what)
  • questions about participants (who)
  • questions about structure (whose, when, where)
  • questions about process (how)
  • questions about outcomes (so what).

Gives an extensive checklist of consultation techniques under the headings:
  • information dissemination
  • information collection and issue definition
  • community-based planning
  • reactive planning
  • decision making
  • evaluation
  • participation process support.

Part B describes all the techniques grouped under the headings, and considers their advantages, disadvantages and costs, followed by reference to sources of information about them.

Useful glossary of terms used in community consultation provided.

Tools: All, systemic, particularly relevant to DESIGN phase

21. Carson, L. & Gelber, K. 2001. *Ideas for community consultation: a discussion on principles and procedures for making consultation work.* Sydney: NSW Dept of Urban Affairs and Planning.

Part 1 of the report identifies challenges for plan makers in integrating public input into planning processes. It offers three key ideas:
- principles for effective community consultation (Make it timely, Make it inclusive, Make it community focussed, Make it interactive and deliberative, Make it effective, Make it matter, Make it well-facilitated, Make it open, fair and subject to evaluation, Make it cost effective, Make it flexible)
- collaboration (respectful discussion)
- basing consultation methods on a four-step model – Step 1 Visioning, Step 2 Operationalising, Step 3 Testing, and Step 4 Evaluation.

The four-step model also uses three groups of 'actors' representing three forms of knowledge.

Part 2 describes a range of consultative methods and indicates the relative advantages and disadvantages of each.

Tools: All systemic, particularly relevant to DESIGN

22. Centre for Environment and Society, University of Essex. 2001. Eight learning and democracy methodologies in use in Britain. Essex: University of Essex.

http://www2.essex.ac.uk/ces/ResearchProgrammes/8partic.htm

Reviews the following eight methods for involving communities:
- village and parish appraisals – surveys carried out by and for local communities to identify local characteristics, problems, needs, threats and opportunities
- participatory appraisals (also called participatory rural appraisal and participatory learning and action) – process in which people participate in joint analysis, development of action plans, and formation or strengthening of local groups
- future search – structured visioning events held over two and a half days and involving 64 people organised into eight stakeholder groups, with four stages

- community audits – rapid rural appraisals followed by stakeholder meetings, community questionnaires and visioning meetings, all used as the basis for an action plan
- parish maps – producing a map reflecting as many points of view from local communities as possible
- action planning – multi-disciplinary teams work with local people to produce an action plan which is then presented to the public
- 'Planning for Real' – use of a physical model that is interactive and adaptable, and which is passed around the community
- citizens' juries– small groups of 12 to 25 people (chosen to represent a cross-section of society), brought together for 3–5 days to consider an issues of public policy and present a report to the commissioning body.

Tools: All, systemic, particularly relevant to tools 4 and 10

23. Chambers, R. 1998. Us and them: finding a new paradigm for professionals in sustainable development. In Chambers, D. (ed.), *Community and sustainable development: participation in the future.* London: Earthscan. Pp. 117-147.

Discusses the concept of 'putting people first' and a shift from things and infrastructure to people and capabilities, and the contrast between approaches that focus on bottom-up processes of learning rather than top-down blue-prints. Suggests that basic to a new professionalism is the primacy of the personal and the power of personal choice. Points out that realities are multiple and we tend to choose answers that fit our constructs and pre-dispositions, and 'it is with ourselves that we have to start' (p.128). Power then becomes the 'right to have your definition of reality prevail over other people's definition of reality' (Rowe 1989). Provides a table (p.129) showing comparisons between the 'things-focused' and the 'people-focused' approaches.

Discusses details of Participatory Rural Appraisal as a growing family of approaches designed to enable local people to share, enhance and analyse their knowledge, and to plan, act, monitor and evaluate.

Tools: All, systemic, particularly relevant to tool 4

24. Cleaver, F. 2000. Analysing gender roles in community natural resource management: negotiation, lifecourses and social inclusion. *IDS Bulletin* 31(2): 60-67.

Draws attention to the gender dimension in natural resource management and community involvement, with particular emphasis on water resources. Argues the need for gender analyses of involvement, including both men and women. Points out that conceptualisations

of gender roles are often over-simplified, that there are great differences between individuals, and that marked changes take place over individual lifecourses. Relates social capital to social inclusion.

Tools: All, systemic, particularly relevant to tool 1

25. Coakes, S. 1999. *Consulting communities: a policy maker's guide to consulting with communities and interest groups.* **Canberra: Bureau of Rural Sciences.**

Briefly reviews a range of types of consultation methods and outlines their strengths and weaknesses. Rates each method on cost-effectiveness, breadth of involvement, timeliness, and nature of approach (according to Arnstein's 'ladder' of citizen participation). Methods discussed are:
- newsletters
- brochures
- open houses/open days
- shop fronts
- telephone access/information hotlines
- public meetings
- community group presentations
- displays
- advertisements
- press releases and feature articles
- media interviews
- workshops (including techniques within workshops)
- semi-structured interviews
- focus groups
- surveys
- community liaison groups/consultative committees
- diary techniques
- participant observation
- futures exercises/SWOL analysis
- participatory and mobility analysis
- social profiles.

Tools: All, systemic, particularly relevant to DESIGN

26. Cocks, D. 1999. *Future makers, future takers*. Sydney: University of NSW Press.

Examines broad socio-political views and policies affecting Australia and develops three major strategic scenarios for Australia's future: Conservative Development, Economic Growth, and Post-Materialism. The author outlines these in detail, compares them, and considers the lessons learned from building them. He also outlines what he considers to be the value of scenario building as a learning process, and as input to the policy agenda.

Tools: 7

27. Co-intelligence Institute. (accessed 2003). *Principles of public participation.* Eugene, Oregon: Co-intelligence Institute.

http://www.co-intelligence.org/CIPol_publicparticipation.html

Summarises participation principles expounded by other organisations and sets out six principles of the organisation's own to nurture the 'co-intelligence of public participation'.

Tools: Particularly relevant to PRINCIPLES

28. Co-intelligence Institute. (accessed 2003). *A toolbox of processes for community work.* Eugene, Oregon: Co-intelligence Institute.

http://www.co-intelligence.org/CIPol_ComunityProcesses.html

Written mainly for community groups and from their perspective. Suggests three factors that are important to conducting public participation processes:
- servant leadership – if communities initiate processes, they need to involve government and the media, and processes need to empower
- regularity – processes done continually or regularly over time tend to generate much greater positive effects
- complementarity – need to see how processes can complement one another and be synergistic.

Sorts methods into categories as follows and describes each category as well as specific methods, giving references for many (uses many idiosyncratic descriptions of processes):
- for public education – videos, media, internet services, parades, fairs, conferences, essay contests, fliers etc.
- for national, state or large community citizen deliberation and policy guidance (citizen consensus panels – consensus conferences, citizen juries, civil grand juries)
- for community self-organisation
- open space technology – self-organised conference on topic of common interest to attendees (can involve workshops, discussion groups, task groups etc.)
- multi-sector collaborations – variety of stakeholders come together to work on a shared problem (can use future search conferences, official sector round tables)
- listening projects – citizens go door-to-door asking questions about issues of concern, with the aim of consciousness raising, relationship building and engagement
- Asset-Based Community Development (ABCD) – citizens discover, map and mobilise existing assets in communities
- for group/community reflection and 'issue exploration'
  - Listening circles
  - Dialogue
  - The 'world café'
  - Study circles
- for group decision-making – holistic management, consensus, strong majority
- for conflict work/exploration of differences – dynamic dialogue, widening circles, process worldwork, conflict exploration circles, dynamic facilitation, fishbowl, values barometer, mediated dialogue, non-violent communication, alternative dispute resolution and negotiation.
- for emotional processing/sharing – open sentences practice, despair and empowerment, story sharing
- meeting techniques – reverse agenda, dynamic facilitation, brainstorming, de Bono techniques, 'chime and stone', gestures of conversational presence
- community resilience, economic and material methods – local complementarity currencies etc.
- miscellaneous – commitment chunks etc.

Provides a useful bibliography.

Tools: All, systemic

29. Commonwealth Foundation. (1999, accessed 2003). *Civil Society in the new millennium project: findings outline a new consensus.* **London: Commonwealth Foundation.**

http://www.commonwealthfoundation.com/news/news79.html

Reports on the findings of project that concluded in 1999, involving reports and regional workshops with a wide range of Commonwealth nations. Suggests that there is a new consensus among Commonwealth citizens that has three key features:
- a strong state and a strong civil society
- a deepened democracy and democratic culture
- an enlarged role for citizens.

Reports expectations of a multiple role for governments – of provider, facilitator and promoter – and a need for a strong civil society where citizens, among other things, engage and connect with public institutions, officials and leaders on public concerns. Citizens want to be involved in public arenas and included in deliberations on public issues. Concludes that the 'new democracy' is about the participation of citizens.

Tools: All, systemic, particularly relevant to tool 10

30. Connor Development Services Ltd. 2001. *Constructive citizen participation: a resource book.* **Eighth Ed. Victoria, BC: Connor Development Services Ltd.**

http://www.connor.bc.ca/connor/resource_index.html

Extensive handbook on community consultation including many examples, mainly from Canada, but also considers international applications and issues of adapting public consultation to different cultural contexts. Considers links between public consultation and restorative justice. Reviews the following operational techniques:
- social profiles
- organisational social profiles
- responsive publications
- reference centres
- advertisements
- open houses
- planning workshops
- citizen and public advisory committees
- public participation matrix

- community informational representative
- media relations
- news conferences
- telephone surveys
- public conversations and public meetings
- informal participation
- value orientation method.

Includes a generic design for public involvement programs and a section on evaluating public participation. Also gives guidelines for social impact assessment and reports a series of case studies. Bibliography of articles from the *Constructive Citizen Participation Newsletter* is on the associated website under 'Library'.

Tools: All, systemic, particularly relevant to DESIGN and DEVELOP

31. Corbett, T., Lane, M. & Clifford, C. 1998. Achieving Indigenous involvement in management of protected areas: lessons from recent Australian experience. Aboriginal Politics and Public Sector Management Research Paper No. 5. Brisbane: Griffith University Centre for Australian Public Sector Management.

Discusses lessons learnt from previous exercises trying to involve Aboriginal people in protected area co-management. Main lessons are summarised under:
- learning about co-management and developing a consensus
- developing a representative group to pursue Indigenous interests
- agreeing on the values to be managed
- getting to co-management takes time
- some factors are beyond the control of Aboriginal participants
- need for a framework for consultation
- process can be as important as outcome
- co-management means collaboration
- developing a regional approach
- getting to co-management by bargaining.

Tools: All, systemic but particularly relevant to PRINCIPLES and DESIGN

32. Covey, S. 1990. *Seven habits of highly effective people: restoring the character ethic.* **Melbourne: Business Library.**

Best-selling book by leadership guru, Stephen Covey. Based on the view that true success encompasses a balance of personal and professional effectiveness, so this book is a manual for performing better in both arenas. Before you can adopt the seven habits, you need to accomplish what Covey calls a 'paradigm shift' – a change in perception and interpretation of how the world works. Covey takes you through this change, which affects how you perceive and act in relation to productivity, time management, positive thinking, initiative, and more.

The seven habits are:
1. Be proactive
2. Begin with the end in mind
3. Put first things first
4. Think win-win
5. Seek first to understand and then be understood
6. Synergise
7. Sharpen the saw.

The author organises these into a conceptual model that relates the habits to a transition from dependence to independence to interdependence, and from private victory to public victory.

Tools: 8

33. Creighton, J.L. (n.d.) *How to design a public participation program.* **Washington DC: Office of Intergovernmental and Public Accountability, US Dept of Energy.**

Useful step-wise guide that identifies three stages of public participation planning:
- decision analysis – clarify the decision being made, specify the steps and schedule, decide what participation is needed and why
- public participation planning – specify what needs to be done at each stage, identify stakeholders, identify techniques, link techniques into an integrated plan
- implementation planning – plan the implementation of individual activities.

Uses four categories for participation – public information, procedural public participation, consensus-seeking public participation, and negotiation/alternative dispute resolution – and relates them to goals of participation. Concludes that there is no 'cookie-cutter' public

participation plan that fits all decisions or issues. Considers that successful programs are ones where techniques matched purposes, interested stakeholders were reached, and there was a clear link between the participation process and the decision-making process.

Tools: All, particularly relevant to DESIGN and DO

34. Cullen, P. 1991. *No is not an answer: lobbying for success* (with an introduction by Clem Lloyd). North Sydney: Allen & Unwin.

Entertaining guide to lobbying government and understanding government decision-making processes. Analyses the role and impacts of special interest groups. Author provides a range of case studies where government decisions have either been initiated or overturned by well-planned and well-run lobbying campaigns. Chapters include 'Sisterhood is powerful', 'Opening a closed shop', and 'Bringing home the bacon' (a real case in which an Australian canned ham manufacturer fought an international trader importing low-priced canned ham, and lobbied government about trade-related decisions).

Tools: 11

35. Dale, A. & Bellamy, J. 1998. *Regional resource use planning in rangelands: an Australian review*. Occasional Paper No. 06/98. Canberra: Land and Water Resources Research and Development Corporation.

Reviews approaches to regional resource use planning in Australia and overseas with the aim of suggesting more effective planning in Australian rangelands. Concludes that regional resource use planning must encourage and facilitate approaches that facilitate equitable negotiations among regional stakeholders. This requires:
- applying sound and innovative social, environmental and economic assessment methods to underpin negotiations
- establishing and maintaining appropriate institutional and support arrangements to facilitate negotiation
- clear mechanisms to enhance participation in negotiations by as many stakeholders as possible in the regional planning area.

Table 2 summarises current approaches to regionalisation in Australia and the kinds of boundaries used for each.

Section 3.4 deals with participation by regional groups under the headings: establishing and maintaining a stakeholder group mandate, equity within stakeholder groups, empowering constituents within groups, equitable resourcing within groups, appropriate administrative

structures and executive membership. Section 3.5 (pp. 43-44) suggests principles for regional resource use planning (some of which might equally well relate to community engagement practices):

- sustainability
- equity
- accountability
- integration
- adequacy
- effectiveness
- efficiency
- adaptiveness.

Section 6 explores some of the more innovative techniques and procedures that can be used to improve planning outcomes, including innovative information technology techniques (explanation or argumentation schema, data and knowledge analysis tools, user-oriented toolkit approaches, and integrated systems approach, approaches to information and delivery of research and development); innovative environmental assessment and management methods and techniques (bioregional planning, sustainability indicators, strategic environ-mental assessment, assessing land capability and suitability), innovative regional social planning and assessment techniques (social impact assessment, Indigenous land interest models); inno-vative economic assessment techniques (property adjustment pressure/viability, regional/industry adjustment pressure/viability, natural resource economic theory and practice, cost-benefit analysis, valuation of environmental values and impacts, multi-sectoral economic models applied at the regional level, land and water resource degradation, restoration tech-nology economics, wildlife/feral pests/biodiversity, recreational use of natural resources, sustainable resource management/ecological economics, economic impact assessment models).

Considers ways of improving planning negotiation and procedures (conflict prediction or prevention, techniques to assist structuring negotiation processes, strategic perspectives analysis, regional plan evaluation and impact assessment methods, implementing regional plan outcomes). Also considers improving stakeholder group facilitation methods (mapping actors and arenas, resourcing for equitable participation, community-based training and personal development, community-based monitoring).

Tools: All, systemic, particularly relevant to DESIGN

36. Dames & Moore – NRM. 1999. Mid-term review of the Natural Heritage Trust: integrated regional summary. Final report overarching recommendations. Canberra: Dames & Moore.

Presents summary recommendations from six regional reports arising from the mid-term review of the Natural Heritage Trust. The recommendations are:

- refocus the Natural Heritage Trust as an investment, and work with 'mature' groups to develop and commit a share of investment to developing regional natural resource management prospectuses
- recognise community diversity and commit Natural Heritage Trust funds to supporting capacity building among regional communities
- achieve institutional integration by fostering development and implementation of integrated projects
- develop and adopt a certification process for regional plans
- streamline responsibilities of groups through targeted investment and work through established regional organisations
- empower regional organisations and local groups through devolved grants
- work towards effective cost-sharing arrangements
- assess the practicality of an output-based contracting approach
- specifically address northern Australia
- promote the need for natural resource management professionals to support the Natural Heritage Trust
- re-engage Local Government - Local Government is consistently perceived as a weakness in regional natural resource planning
- re-design the project validation process to take account of lessons learnt
- use Logical Framework as a foundation for Natural Heritage Trust evaluation - go back to basics and use a series of logical frameworks designed for national, state, regional and local project scales
- re-design the Natural Heritage Trust evaluation process to link goals, objectives and indicators.

Tools: All, systemic, particularly relevant to program DESIGN

37. Daniels, S.E. & Walker, G.B. 1996. Collaborative learning: improving public deliberation in ecosystem-based management. *EIA Review* 16(2): 71-102.

Discusses collaborative learning, claimed to be an innovation in public participation theory and practice 'designed to address the complexity and controversy inherent in public land management'. It is designed to combine elements of soft systems methods and mediation/dispute management. Claims it puts more emphasis on experiential learning theory, systemic improvement and constructive discourse than usual public participation methods. Collaborative learning is illustrated in a series of public meetings held to develop a management plan for the Oregon Dunes National Recreation Area in the USA. A follow-up survey produced a favourable evaluation of the process used.

Key learning assumptions underlying the process are:
- learning is more likely in active rather than passive situations
- learning involves several distinct modes of thinking
- learning styles vary
- learning is improved by systems thinking.

Tools: All, systemic, particularly relevant to tools 3 and 12, and to knowledges framework

38. Davison, A. & Schibeci, R. 2000. The consensus conference as a mechanism for community responsive technology policy. *Science and the Citizen* 42(2): 47-59.

Discusses consensus conferences as an example of a set of 'dialogical models' being used particularly in the European science and technology policy-making community. Other examples of approaches cited are scenario workshops, citizens' juries, electronic consensus building systems and deliberative opinion polls. The paper presents an analysis of the first Australian consensus conference, which was on the topic of genetically modified foods and was held in March 1999 in Canberra. It was convened by the Australian Museum. Reviews the other 39 consensus conferences that had been held around the world at the time of writing, most of which were also about genetically modified foods. The Australian conference produced a Lay Panel report, which is evaluated and comments on it discussed. Concludes that the overview of the conference raises important questions including what the conference's value was to the broader community. Suggests there are strengths to the conference process in enabling a small group of people to develop enough scientific and technical proficiency to enter into discussion with experts, and in providing a context for a wider section of the public to develop their thinking on the topic. The conference also provides an opportunity for experts and policy-makers to better understand community

concerns. However, there are problems with the small sample of views represented and how the sample is chosen. Suggests that these conferences may offer more potential at the State or local level than at the national level, as logistical barriers to government taking account of the outcomes may be less at the former two levels.

Tools: 10

39. Dillman, D.A. 1978. *Mail and telephone surveys: the Total Design Method*. New York: Wiley.

Classic 'how-to-do it' reference for conducting mail and telephone surveys, and working to ensure that response rates are maximised. Discusses many of the detailed factors that can influence people's responses to these surveys and provides practical guidance for those who want to conduct them or organise someone else to do so.

Tools: 6

40. Doak, J. 1998. Implementation pathways for best management practice: a project for the Land and Water Resources R & D Corporation. Canberra: Land and Water Resources Research and Development Corporation.

Describes results of a project that involved interviews with people involved with best management practice in Australian agriculture and associated issues, and a review of the literature. Proposes models for best practice adoption generally, and discusses their strengths and weaknesses. The models discussed are:
- self-regulation
- external regulation
- partnership
- audit and accreditation (a proactive model).

Discusses factors to consider in selecting the most appropriate model for particular circumstances or issues, using the examples of productivity, quality assurance, sustainabililty and environmental protection. Considers that the characteristics of a successful implemen-tation pathway involve considering:
- the quality of the best practice manual
- the effectiveness of the compliance auditing system
- the driving forces (power) of contingent rewards and sanctions.

Tools: Particularly relevant to tool 3 and to DESIGN phase

41. Dukes, E.F., & Firehock, K. 2001. *Collaboration: a guide for environmental advocates.* **Charlottesville, Virginia: University of Virginia.**

Provides a comprehensive discussion of collaboration, arguments for and against, and grounds for deciding whether or not to participate, mainly from the perspective of environmental organisations. Section 5 discusses how to design a principled and effective collaborative process. Suggests common problems are:

- insufficient representation of key interests
- inadequate communication between representatives and the groups they represent
- lack of agreement about group membership
- inadequate funding
- lack of preparation and/or process knowledge
- lack of clarity or agreement over purpose and goals
- failure to clarify what constitutes agreement
- poor or inconsistent meeting management or facilitation
- lack of means for providing additional information/expertise as needed
- insufficient negotiation experience or preparation by participants
- ambiguous commitment from authorities
- inadequate attention to logistics
- failure to consider need for monitoring and evaluation.

Considers issues of representation under the headings legitimacy, equity, diversity, account-ability, and group dynamics. Types of roles in groups include full or voting member, resource member, convenor, alternate member, facilitator, and observer. Provides a checklist of duties, expectations and advice for representatives. Discusses best practice in a collaborative process, including the role of a facilitator or mediator and how to select one. P.32 gives a list of do's and don'ts for facilitators. Considers consensus decision processes and how to achieve best practice in these. Other types of groups and processes considered include expert panels, technical working groups and adaptive management. Section 8 discusses how to put agreements into effect and monitor and evaluate their success or failure. Appendix B provides information on seven core values to guide public involvement processes (can be found at www.iap2.org):

1. People should have a say in decisions about actions that affect their lives
2. Public participation includes the promise that the public's contribution will influence the decision
3. The public participation process communicates the interests and meets the process needs of all participants

4. The public participation process seeks out and facilitates the involvement of those potentially affected
5. The public participation process involves participants in defining how they participate
6. The public participation process communicates to participants how their input was, or was not, utilised
7. The public participation process provides participants with the information needed to participate in a meaningful way.

Appendix C gives a checklist for determining whether or not a collaborative process is appropriate, and a scorecard for determining the extent of caution needed according to the dimensions of scope, size of constituency, nature of resources, term of impact, nature of policy/regulatory environment, whether or not precedents are being set, extent of authority, whether mandatory or voluntary, power disparities, whether fundamental values are at stake, extent of conflict, nature of outcome sought. Appendix D is a set of recommendations for agency members from *Best practices for government agencies: guidelines for using collaborative agreement-seeking processes* (Society of Professional in Dispute Resolution, 1997). Appendix F is a set of outcomes for evaluating success for collaborative groups from Innes (1999), and Appendix G is an example set of criteria for measuring the success of a collaborative initiative. Useful list of mainly US references on collaborative processes.

Tools: All, systemic

42. Econnect Communication Pty Ltd. 2001. *Report of the engagement debriefing and survey project*. South Brisbane: Econnect Communication Pty Ltd.

Report prepared for the Murray-Darling Basin Commission on methods for ensuring more effective engagement and consultation processes. Particularly aimed to learn from consultation process used with the draft integrated catchment management policy statement and the Basin Salinity Management Strategy. Based on a workshop with State contacts, web-based survey, focus groups and telephone interviews. Finds most participants were aware of the Murray-Darling Basin Commission's activities and were involved to some degree.

Issues raised include:
• insufficient time and resources
• lack of true representation/involvement from regional communities/groups
• insufficient lead time for consultation activities
• concerns that agenda had been set before consultation.

Needs include:
- more directly relevant information and opportunities to be involved
- more two-way communication
- earlier involvement and more notice of opportunities for involvement
- wider consultation with regional communities
- focus on clearer outcomes.

The preferred involvement method is electronic communication (e-mail, website). Other methods identified include briefings, newsletters, issue papers, brochures, direct mail, fact sheets, focus groups, workshops, discussion sessions, and written feedback.

Recommendations for the Murray-Darling Basin Commission:
- focus communication activities around priority issues
- make greater effort to engage more comprehensively
- use web-based surveys to identify current awareness and preferred consultation methods
- make more use of priority partner organisations and networks
- agree on a process that ensures commitment and involvement from State agencies
- take involvement needs into account
- consider preferred consultation methods by group and region.

Tools: All, systemic, particularly relevant to DESIGN and PLACE

43. Edgerton, J., McClean, K., Robb, C., Shah, P. & Tikare, S. (2000, accessed 2003). Participatory strategies in the poverty reduction strategy. Draft for comment. World Bank Group.

http://worldbank.org/participation/partchapter.doc

Written in the context of developing and implementing participatory strategies to reduce poverty in countries around the world. Provides definitions of participatory processes, discusses types and dimensions of processes, and a rationale for participation. Uses categories of:
- information sharing – one-way flows of information to the public (documents, newspapers, magazines, pamphlets, television or radio broadcasts, posters)
- consultation – two-way flow of information between public and coordinators of processes (participatory assessments, beneficiary assessments, consultative meetings, field visits, interviews)

- collaboration – shared control over decision-making (planning workshops, joint committees, working groups, task forces, public reviews)
- empowerment – transfer of control over decision-making to all stakeholders.

Rationale includes that participatory processes can:
- help develop more effective, better-targeted policies
- allow a diversity of views to be incorporated and for views to be better understood
- help build partnerships and foster ownership and empowerment of stakeholders
- help clarify trade-offs with other priorities and decide which delivery mechanisms and partnerships are most effective
- enhance transparency and accountability in decision-making and increase sustainability of efforts.

Gives a set of guiding principles for participation in poverty reduction strategies and a framework for participation in government processes (see below). Also considers constraints on participation. In taking stock of the current situation, considers that participation has four main dimensions: scope (diversity of processes in which stakeholders are involved), extent (diversity of stakeholder groups), level (local, national, international), quality (depth and diversity of views, extent of incorporation of views, building of partnerships, information sharing). Also considers purposes of participation (or 'civic engagement'). Gives tips for effective consultations.

Tools: All, systemic

44. Fisher, R. & Ury, W. 1981. *Getting to yes: negotiating agreement without giving in*. London: Arrow Books.

Widely read and timeless classic of the conflict resolution field. Outlines the authors' basic principles for conflict resolution:
- Separating the PEOPLE from the problem
- Focusing on INTERESTS, not positions
- Inventing OPTIONS for mutual gain
- Insisting on objective CRITERIA.

Also discusses what to do when others have more power than you do in the negotiating process, if they won't play, and if they use 'dirty tricks'. Concludes with a statement of the 'win-win' principle.

Tools: 2

45. Freire, P. 1990. *Pedagogy of the oppressed.* **Continuum: New York.**

Very influential view of education and literacy as a weapon for social change, written by a Brazilian educator and philosopher. Freire speaks from and for the third world and under-privileged or disempowered people worldwide. He challenges the 'culture of silence' that can suppress creative and critical citizen comment. The book deals with the process of 'conscientisation' in which people learn to perceive social, political and economic contradictions or inequities, and take action to address them.

Tools: Particularly relevant to tools 1, 2, 3 and 9

46. Hamblin, A. (ed.) 2000. *Visions of future landscapes. 1999 Fenner Conference on the Environment.* **Canberra: Bureau of Rural Sciences.**

Conference proceedings volume including a wide range of views and options for Australia's landscapes of the future. Contributions from social scientists, artists, historians, philoso-phers, biophysical scientists, conservationists, economists and policy makers. Develops a set of recommendations dealing with matters like the need for shared cultural visions, public debate about quality of life and future goals, the central role of Ecologically Sustainable Development principles, and the need for environmental responsibility to be seen as a civic duty. Interesting contributions from New Zealanders as well as Australian contributors.

Tools: Particularly relevant to tool 7

47. Hemmati, M. 2001. *Multi-stakeholder processes for governance and sustainability: beyond deadlock and conflict.* **London: Earthscan.**

http://www.earthsummit2002.org/msp/book.htm

Very extensive and detailed reference guide, including discussion of terms, processes and goals of processes, followed by detailed discussion of Multi-Stakeholder Processes (MSPs) in the context of global issues and sustainable development. Points out that the relationship between participation and decision-making is often unclear. Part 1 outlines underlying concepts, values and ideologies; and discusses effective communication and decision-making in groups. Asserts that influence and right to be heard should be based on the value of each stakeholder's unique perspective and expertise. Key values and ideologies are suggested to be:
• sustainable development
• good governance
• democracy

- participation
- equity and justice
- unity in diversity
- leadership
- credibility and public opinion.

Considers concepts derived from these values and discusses ground rules for MSPs based on considering Habermas's ideal conditions for communication. Gives examples of processes to illustrate points. Discusses MSPs in relation to issues, objectives/goals, participants, scope, timelines and linkage to official decision-making.

Part II is a detailed guide to designing MSPs, while Part III discusses 'what next', and gives an extensive reference list. Chapter 8 gives examples of MSPs. Chapter 9 provides a set of principles and a checklist for designing MSPs. Principles for stakeholder participation and partnership are accountability, effectiveness, equity, flexibility, good governance, inclusiveness, learning, legitimacy, ownership, participation and engagement, partnership/ cooperative management, societal gains, strengthening of governmental institutions, transparency, voices not votes. Extensive reference list with particular strength in international governance initiatives and activities of the United Nations.

Tools: All, systemic, particularly relevant to PRINCIPLES

48. Hunt, L. & Haider, W. 2001. Fair and effective decision making in forest management planning. *Society and Natural Resources* 14: 873-887.

Examines the usefulness of applying the social psychological concept of procedural fairness to decision-making processes in forest management planning in Canada, focusing on involvement by resource-based tourism operators. Discusses link between public involvement and sustainable development. Makes distinction between procedural fairness (fairness of decision-making processes) and distributive fairness (fairness of decisions themselves). Research typically finds that perceived procedural fairness positively affects reactions to outcomes – the 'fair process effect'. Reports results of questionnaire study of tourism operators examining their involvement in forest management planning and perceptions of the planning process. Identifies eight different forms of involvement in this context (shown in Table 1). Overall results show little support for the fair process effect as measured in this study.

Tools: All, systemic, particularly relevant to tool 12 and to PRINCIPLES

49. James, R.F. & Blamey, R.K. 1999. Public participation in environmental decision-making – rhetoric to reality? Paper presented to the International Symposium on Society and Resource Management, Brisbane, 7-10 July 1999.

Considers role of public participation and provides overview of participatory democracy. Provides typology of participation adapted from Pimbert & Pretty (1997), and compares it with Arnstein (1969). Defines deliberative processes as those that are free, reasoned, equal and consensual. Reviews nature of public participation in NSW park planning. Considers deliberative forms of participation with a particular emphasis on citizens' juries, how they are conducted and examples of their application.

Tools: Systemic but particularly relevant to tool 10

50. James, R.F. & Blamey, R.K. 1999. Citizen participation – some recent Australian developments. Paper presented at the Pacific Science Congress, Sydney, 4-9 July 1999.

In reviewing types of public participation focuses on two key descriptive elements, the stage of the process at which participation occurs, and the method of participation employed. Reviews the Pimbert & Pretty (1997) framework as above. Describes two 'alternative approaches', consensus conferences and citizens' juries, and compares their features. Proposes modifications to the citizens' jury protocol for a NSW national parks application.

Tools: Systemic but particularly relevant to tool 10

51. Jefferson Center for New Democratic Processes. 1998. *The citizens jury: effective public participation*. Minneapolis: Jefferson Center.

http://www.jefferson-center.org/citizens_jury.htm

Describes the citizens' jury process and its key elements, and suggests how to evaluate these juries. Provides a list of citizens' jury processes conducted in the US to 2001. Suggests that the great advantage of citizens' juries is that they yield citizen input from a group that is both informed and representative of the public.

Tools: 10

52. Kellehear, A. 1993. *The unobtrusive researcher: a guide to methods*. Sydney: Allen & Unwin.

Useful methodological reference covering basics of research design and dealing with under-used social research methods like analysis of physical records including material culture and

audio-visual records, and simple observational techniques. Also deals with hardware and software relevant to these methods. These methods can complement more commonly-used survey and interview techniques and have the particular advantage of being 'non-reactive'.

Tools: Particularly relevant to DESIGN, and to tools 4 and 5

53. Kelly, D. 2000. *Community participation in rangeland management*. Canberra: Rural Industries Research and Development Corporation.

Discusses differences in approach to participation by landholders and government staff. Suggests that institutional arrangements hinder participation. Stresses need for clarity about reasons for participation, longer funding cycles, need for stability in government staff. Advocates use of representative models at the regional scale and participatory learning models at the local scale. Provides recommendations for organisations on design and imple-mentation of participation.

Tools: Especially relevant to DESIGN and DO

54. Kinnear, A., Lord, L., Haslam Mackenzie, F. & Pike, L. (eds). 1999. *Vision in leadership: women re-defining power*. Proceedings of the Sixth International Women in Leadership Conference. Perth: Edith Cowan University.

Edited work with chapters covering a wide range of areas where women are in leadership roles – law, architecture, universities, politics, art, health, sport, the public service, and small business. Guided by a women in leadership model called 'Dimensions of leadership', which espouses four critical capacities: having a public voice, being a creator of environments, acknowledging one's own work identity and management competencies, and utilising strategic skills and knowledge.

Tools: Particularly relevant to tools 7 and 8

55. Konisky, D.M. & Beierle, T.C. 2001. Innovations in public participation and environmental decision making: examples from the Great Lakes Region. *Society and Natural Resources* 14: 815-826.

Describes a set of 'innovative' public participation processes – study circles, citizens' juries, round tables and collaborative watershed management efforts, and examples from the Great Lakes region – and considers their strengths and weaknesses by applying a common comparative framework (shown in Table 1, reproduced below). Discusses the problems of interest group representatives serving as surrogates for the general public. In these

approaches, the agency serves as a broker or arbiter of the multiple interests on problems within its jurisdiction. Also considers the aim of processes and the extent of decision-making authority participants have.

Process	Participants	Intended outcomes	Decision-making authority
Study circles	Open access	Education, civic engagement	Usually none
Citizen's juries	Participants selected on socio-economic criteria	Decision or set of recommendations	Sometimes advisory
Round tables	Stakeholders	Decision or set of recommendations	Advisory
Collaborative watershed management	Stakeholders	Decision and implementation	Replace or share government authority

Concludes that a key strength of these processes is that they tend to emphasise communication and consensus decision-making, and are typically forward thinking rather than reactive. They are subject to the question of who is participating and the need to consider who is left out. Considers that these processes may be useful as part of a larger, multi-phased participatory effort, and could be followed by more traditional processes.

Tools: Particularly relevant to tools 1 and 10

56. Kotter, J.P. 1996. *Leading change*. Boston: Harvard Business School Press.

Develops an eight-stage process for successful change, with particular application to organisational change. The eight stages are:
- establishing a sense of urgency
- creating the guiding coalition
- developing a vision and strategy
- communicating the change vision
- empowering employees for broad-based action
- generating short-term wins
- consolidating gains and producing more change
- anchoring new approaches in the culture.

Analyses economic and social forces driving the need for change, and makes distinctions between management and leadership. Leadership is characterised by the ability to establish direction, align people, and to motivate and inspire. Vision is a key element of leadership.

Tools: Particularly relevant to tools 7 and 8

57. Lawrence, R.L. & Deagen, D.A. 2001. Choosing public participation methods for natural resources: a context-specific guide. *Society and Natural Resources* 14: 857-872.

Discusses the Vroom-Yetton model developed in 1973 to help managers in private businesses to determine the level of involvement employees should have in workplace decision-making, and suggests modifications to the model to make it more suited to the public arena. The Vroom-Yetton model is a decision tree model requiring a series of yes/no questions about the problem and decisions on it to be answered before a consultation decision is reached. The questions are based on criteria applicable to decision-making in general:
  • quality of decisions
  • commitment to decisions
  • development of human capital
  • time
  • worker satisfaction.

The paper discusses each of these criteria as applied to public participation in natural resource management decisions, and proposes a natural resource-adapted model. The revised model is then applied to a US forestry decision and a national parks issue in order to recommend a method of public participation for each.

Tools: Systemic but particularly relevant to the decision-making cycle and to DESIGN

58. Lipman-Blumen, J. 1999. *The connective edge*. San Francisco: Jossey-Bass.

Interesting work based on analysing the leadership styles of more than 5,000 managers and leaders worldwide. Develops a new model for 'connective leaders' in politics, government, business and industry, education and religion; a model which the author suggests will allow them to move beyond competition. She claims that making this move beyond competition is essential to balance the antithetical forces of interdependence and diversity that increasingly characterise our age. Connective leaders are ones who maximise interaction, master their own tasks and contribute to others' tasks.

Tools: 8

59. Local Sustainability Project, Centre for Resource and Environmental Studies & Deni Greene Consulting Services. 1996. *Getting ahead of the game: an anticipatory approach to environmental management.* **Local Sustainability Project, Centre for Resource and Environmental Studies, The Australian National University, Canberra.**

Section 5 discusses the meaning of 'public consultation', noting that there are five ways the term is used, related to the extent of consultation:

- a means of convincing the public of the value of decisions already taken – more like *public education*
- an activity undertaken at the discretion of decision-makers if warranted and resources are available – *public contribution*
- a contribution to project management in which public opinion is canvassed as certain stages of the process – *public consultation*
- a method of conflict management where there are conflicting views, as in reviews and *public enquiries*
- an integral part of the decision-making process, where members of the public are regarded as partners – *public partnership*.

Summarises public consultation methods as follows:

Formal
- legislative requirements in statutes
- constitutional, as in elections
- commissions of enquiry
- negotiation, as in round table discussions and arbitration
- open public forums, widely advertised
- joint data collection, as in local SOE reporting
- strategic planning processes
- local or regional conservation strategies
- regional development corporations
- Local Agenda 21 partnerships

Informal
- networking, person to person
- teleconferencing, by phone or e-mail
- key informant interviews
- phone-ins and write-ins
- vision workshops

- focus groups
- public rallies
- festivals, social gatherings.

Suggests use of three-way stakeholder analysis for consultation purposes. This involves identifying principal community groups and conducting three-way interviews with the elected head of the group, a focus group of rank and file members, and a natural change agent in the group.

Tools: All, systemic

60. Martin, A. & Lemon, M. 2001. Challenges for participatory institutions: the case of village forest committees in Karnataka, South India. *Society and Natural Resources* **14: 585-597.**

Discusses the role of new participatory institutions (as in rules and legal arrangements) for resource management, involving a management partnership between the state and local communities, and the issues confronting them. Suggests that there are two key obstacles to the effectiveness of this kind of participatory resource management:
- new institutional arrangements often reproduce the social relationships that have marginalised certain groups (the issue of gender and the marginalisation of women is examined in this context) – *old inequalities*
- new participatory institutions are often embedded within wider legal and policy frame-works that make it difficult for them to develop self-management capacity – *structural constraints*.

Discusses a study of joint forest planning and management in the Western Ghats of India, concluding that local contexts require better understanding and that policies and legal frameworks need to be more receptive to local negotiation.

Tools: Systemic, particularly relevant to DESIGN and PLACE

61. Metcalfe, J. & Wolfenden, D. 1994. *A natural resources communication workbook* **(adapted from 'Planning dialogue with communities: a risk communication work-book' by C. Chess, B.J. Hance & P.M. Sandman). Occasional Paper No. 14/94. Canberra: Land and Water Resources Research and Development Corporation.**

Covers risk communication and natural resource issues, the planning process and developing communication plans. Appendices include evaluation strategies and meeting preparation.

Includes seven rules for risk communication:
- accept and involve the public as a legitimate partner
- plan carefully and evaluate efforts
- listen to public's specific concerns
- be honest, frank and open
- coordinate and collaborate with other credible sources
- meet the needs of the media
- speak clearly and with compassion (from the US Environment Protection Authority).

Identifies planning stages for communication. Includes a checklist for identifying key clients and their concerns, for determining goals, designing messages, overcoming communication barriers, and communication methods to use. Divides methods into four categories and gives extensive range of types under each:
- written or audio-visual
- person to person
- mass media
- approaches for eliciting input.

Also discusses evaluation methods and developing timelines.

Tools: Systemic but particularly relevant to tools 1 and 2, and to DESIGN

62. Minichiello, V., Aroni, R., Timewell, E. & Alexander, L. 1995. *In-depth interviewing: researching people*. Melbourne: Longman Cheshire. Second Ed.

Revised version of a widely used methodological text first published in 1990. Has useful discussion of differences between qualitative and quantitative research methods and their conceptual underpinnings. Includes detailed discussion of types of interviews and interview structures, with examples of their application. Good reference lists and chapter glossaries are included.

Tools: Particularly relevant to DESIGN and to tools 4, 5 and 6

63. Moore, S.A., Jennings, S. & Tacey, W.H. 2001. Achieving sustainable natural resource management outcomes on the ground: the key elements of stakeholder involvement. *Australian Journal of Environmental Management* 8: 91-98.

Examines the activities of three advisory/consultative groups from the protected area, agricultural and mining sectors as case studies of stakeholder involvement in natural resource management, with a focus on trying to identify what elements contribute to on the ground

outcomes. Discusses the case studies under what are considered to be key elements of stakeholder involvement that contribute to commitment:
- perceptions of fairness
- establishing the planning process as 'the place to be'
- realising mutual benefits.

Suggests that ways of ensuring these key elements are realised include building partnerships, impression management, and allowing sufficient time.

Tools: Particularly relevant to PRINCIPLES

64. Murray-Darling Basin Commission. 2000. *Murray-Darling Basin* Initiative *communication strategy*. Canberra: Murray-Darling Basin Commission.

To coordinate the communication activities of the Murray-Darling Basin *Initiative*, a comprehensive Communication Strategy has been developed. It was developed over a ten month period in 1999 using a wide range of consultation and participation techniques. It was developed with close involvement of the Initiative partners, and sought to directly reflect the issues and needs of key stakeholders in the Basin. The strategy highlights relationship-building as the foundation to successful communication. It also includes an emphasis on 'best-practice' principles for natural resource communication and provides an agreed framework and consistent approach for the planning of communication activities for Murray-Darling Basin Commission funded activities. The process identified in the strategy has been widely used at a project, State and inter-State level in the Basin and also in two overseas catchment projects.

Outlines the basics of the Murray-Darling Basin Commission *Initiative*, established by the Murray-Darling Basin Agreement. Sets out a communication strategy based on 'best practice' principles for communication, established through consultation with natural resource professionals and Murray-Darling Basin Commission partners. Partners are categorised as follows:
- Basin resource managers and users
- Basin resource use regulators or policy makers
- Basin resource use advisers and funders
- broader Australian community.

Suggests communication strategies/methods appropriate for these different categories of partners. The strategies considered are:

- integrated partnerships
- network management
- network support
- strategic alliances
- natural resource communicators' network
- awareness raising/media
- message design and delivery
- coordination of information
- publications
- personal information sharing
- education
- consultation and feedback
- liaison strategy
- lobbying
- communication skills training.

Also discusses how communication strategies can be evaluated and reviewed.

Available free of charge by contacting the Murray-Darling Basin Commission office or through the Murray-Darling Basin Commission website www.mdbc.gov.au.

Tools: Systemic but particularly relevant to tool 3 and DESIGN for PLACE

65. Murray-Darling Basin Commission. 2000. Murray-Darling Basin *Initiative* Communication Strategy Guide 2000-2002. Canberra: Murray-Darling Basin Commission.

A companion to the last reference developed to assist the formal *Initiative* partners, catchment groups and others in developing a communication strategy or communication plan. One particular strategy highlighted within this guide is engagement. This guide for community engagement provides specific information to assist people in undertaking effective engagement as a specific activity within an overall communication strategy or plan.

Available free of charge through the Murray-Darling Basin Commission web site www.mdbc.gov.au or by contacting the Murray-Darling Basin Commission office.

Tools: Systemic but particularly relevant to tool 3 and DESIGN for PLACE

66. Murray-Darling Basin Commission. 2001. Communications and community involvement: discussion and options. Murray-Darling Basin Commission River Murray Environmental Flows and Water Quality Project. Canberra: Murray-Darling Basin Commission.

Discusses previous community involvement in the project and the use of a Community Reference Panel. Reviews the results of stakeholder survey commissioned by the Project Board, which involved 38 initial scoping interviews and 321 completed questionnaires covering a range of relevant topics. Stakeholders are assigned to the following categories:
- agriculture
- tourism/recreation
- environmentalist
- urban resident
- youth
- State Government
- Local Government.

Suggests these could also be split into 'public good' and 'private good' categories. Briefly examines personal preferences for methods of involvement in the project. Considers details of the community involvement plan for the project covering primary community stakeholders and 'general interest' stakeholders. Suggests the following procedural principles for processes:
- decision-making process is clearly defined and easily understood
- process follows a logical sequence with identifiable milestones
- process is transparent and open
- information used is timely and relevant
- outcomes are recorded and communicated
- process should help resolve conflict not contribute to it
- process should maximise opportunity to be involved, not limit it.

Suggests that a test of the application of these principles is that all stakeholders should be able to say that the process was fair even if they don't agree with the decision, and that all stakeholders feel confident that their efforts are recognised. Reviews six principles for evaluating community involvement programs suggested by Syme & Sadler (1994):
- objectives of program are agreed by stakeholders
- criteria for showing objectives have been achieved are agreed by stakeholders
- evaluation influences planning on an ongoing basis

- those responsible for carrying out the evaluation are identified when objectives are set
- resources for evaluation are allocated at the beginning of the program
- evaluation methodology is ideally chosen in partnership.

Discusses meanings of 'information', 'consultation' and 'involvement' as three options for communication approaches:

- information – community stakeholders are *informed* of the project and decision
- consultation – community stakeholders *views* are sought and reflected in the decision
- involvement – community stakeholders help shape the process and *collaboratively* arrive at a decision/outcome (used synonymously with 'engagement' and 'consensus-building').

In tabular and graphical forms links levels of shared responsibility (between stakeholders and Ministerial Council) with communication approaches and scope of intended changes, and links impacts and approaches with stakeholder desires to influence outcomes. Discusses the three options in detail and appropriate techniques for implementing them as well as their resource requirements (staff, money, timeframes). Points out that implementation of an effective community involvement plan depends on commitment to a set of values and procedural principles, and articulates those developed by the Murray-Darling Basin Commission. Suggests guiding principles for community involvement in the environmental flows project and describes their application:

- transparent
- inclusive
- commitment
- purposeful
- accountable
- responsive
- equal opportunity
- flexible
- timely.

Provides a flow diagram for designing a community involvement process.

Tools: Systemic but particularly relevant to DESIGN for PLACE and PRINCIPLES
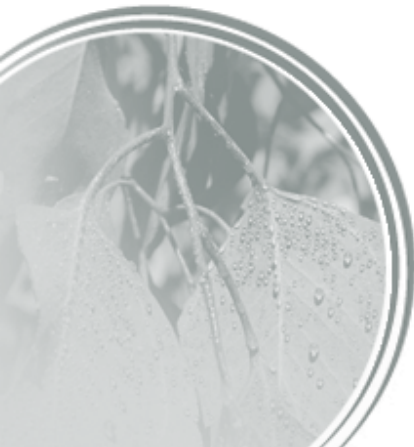
67. Murray-Darling Basin Commission. 2001. *Seeking knowledge gaps for sustainable communities, landscapes, rivers*. Murray-Darling Basin Commission Forum 2001. Canberra: Murray-Darling Basin Commission.

Proceedings of the *Murray-Darling Basin Commission Forum 2001,* which aimed to: forge new associations; spark new ideas; and pool information. Three themes were presented: sustainable communities; sustainable landscapes; and sustainable rivers. Keynote presentations and panel discussions raised issues to do with:

- categories of relevant knowledge
- drivers of change
- factors inhibiting change
- opportunities for change
- key challenges.

Most groups and theme areas were concerned about the need for better communication and provision of information. Key questions for the Basin for which knowledge is required include:

- what is meant by healthy river systems and what can be done with environmental flows?
- how can we develop a common vision for catchment health owned by communities of interest?
- what policy instruments are needed to drive land use change?
- how can monitoring against objectives and targets be improved?
- how can the Human Dimension Program build capacity for communities to change
- how can capacity for effective communication be built?
- how can urban communities be engaged?

Synthesis (p.48) includes points about need:

- for a common language
- to recognise and overcome reluctance to deal with things that are larger than human scale
- to package and deliver knowledge in ways appropriate for users
- for better understanding of how to change behaviour
- for education for change
- to know how to reach the 'unwilling learner'
- to recognise that consulting a community is not the same as engaging that community, there needs to be a shift of power towards the community.

Keynote papers by Roy Green, Ian Lowe, Steve Morton and Peter Cullen are included.

Tools: Systemic but particularly relevant to tool 3, DESIGN for PLACE and PRINCIPLES

68. Murray-Darling Basin Commission Ministerial Council. 2001. *Integrated catchment management in the Murray-Darling Basin 2001-2010: delivering a sustainable future.* **Canberra: Murray-Darling Basin Commission Ministerial Council.**

Sets out goals, values, principles and outcomes for the Murray-Darling Basin *Initiative*. Acknowledges that change requires knowledge, and that increased knowledge is needed in relation to such things as how to engage partners and share knowledge. Also acknowledges need to build capacity in communities and institutions. Sets out a framework for timetables and targets for water quality, water sharing, riverine ecosystem health, terrestrial biodiversity, and catchment health. Outlines roles and responsibilities of major partners involved in the *Initiative*, divided as follows:
  • Murray-Darling Basin Commission Ministerial Council
  • Community Advisory Committee
  • State and Territory Governments
  • Local Governments
  • Catchment Management Organisations and other regional organisations
  • community groups
  • industry groups
  • landholders and land managers.

Lists a range of related government initiatives (legislation, strategies, partnerships, reports and targets) by State/Territory.

Tools: Systemic but particularly relevant to DESIGN for PLACE

69. Nicholson, R., Brown, V.A. & Mitchell, K. (eds.). 2002. *Common ground and common sense: community-based environmental health action. Part A. Making a difference.* **Sydney: Integrated Monitoring Centre, University of Western Sydney.**

Reports results of interviews with community members and interviews with people involved in community-based environmental health action. Applies the categories of community (local interests), specialised (professions, sciences), strategic (policy development, planning), and integrative (working to link the previous three groups) in the environmental health context. Discusses issues on the basis of a web of community-based action for environ- mental health, under six headings: People caring for place, Communities in action, Community as partners, Long-term alliances, Integrated place-based planning, and Future-directed action. Provides local examples and case studies. Provides information for community members on

communication and resources for action. Stresses that early engagement is the key to partnership. Discusses different types of communities and their characteristics. Suggests indicators of success for sustainable (within) community partnerships:
  • community stakeholders identified and involved at an early stage
  • strong community networks
  • mutual trust and respect
  • open communication
  • a shared long-term vision
  • empowerment.

Also suggests indicators for success of long-term alliances (e.g. between community and government):
  • do the organisations involved have a common goal?
  • are the organisations communicating productively?
  • does the process allow for debate and accommodate conflict?
  • is the communication/cooperation responsive to changing local needs?
  • is a complaints system in place?

Part B of this project is a resource file containing materials on a wide range of community involvement techniques and training activities including stakeholder analysis, writing community stories, public speaking, writing media releases and grant applications, conducting meetings, doing community research, negotiation skills, conflict management, risk evaluation, integrated local area planning, and visioning.

Tools: Systemic but particularly relevant to tool 12, DEVELOP and PRINCIPLES

70. O'Brien, P. 2001. *Scenario planning: a strategic tool.* Canberra: Bureau of Rural Sciences.

User-friendly booklet describing the basics of scenario planning and examples of how scenario planning has been applied. These examples include the original application by the Royal Dutch Shell Company, the Institute for Prospective Technological Studies of the European Commission Directorate-General, and scenario planning in Singapore. Analyses the strengths and weaknesses of the tool and considers future directions and possible applications in the Australian context.

Tools: 7

71. Ohlin, J., Brown, V.A. & Appleton, N. 1996. *Reasons for regions: long-term sustainability from the ground up*. **Canberra: Local Sustainability Project, Centre for Resource and Environmental Studies, The Australian National University.**

Reviews findings about sources of information relied upon by coastal managers from six stakeholder groups, based on a 1995 survey by the Local Sustainability Project. Highest average scores were for personal communication in the workplace, followed by government and then non-government (community) channels (from Brown 1995). Figure 3 diagrams a networked system for sustainability from the local to the national. Gives a communications checklist for enhancing informal communications (p.18). Provides an exercise to help establish who are stakeholders in a selected issue, using the following categories:

- technical/scientific
- administrative/bureaucratic
- economic/financial
- policy/technical
- regulatory/legal
- community interests.

Also gives a detailed description of a role playing exercise and a community visioning exercise, and provides a list of resources to assist local communities.

Tools: Systemic but particularly relevant to tool 3 and to knowledge cultures

72. Petts, J. & Leach, B. 2000. Evaluating methods for public participation: a literature review. Bristol: Environment Agency.

Extensive review of public participation literature with a focus on performance of public agencies. Includes principles for good practice that include:

- Set clear objectives
- Identify and target all the relevant stakeholders
- Tailor the process to stakeholder needs and objectives
- Set out process clearly and honestly
- Ensure participation is timely and allow sufficient time
- Ensure the process is credible
- Ensure the process is interactive
- Ensure that the process generates a response
- Only make commitments that you can keep.

Suggest evaluation criteria that focus on: inclusivity, timeliness, focus, open-ness, resourcing, responsiveness, and appropriateness.

Tools: All, systemic, particularly relevant to PRINCIPLES and to DESIGN

73. Phillips, E. 2001. Trip to England, July 2001, meeting notes (unpublished notes supplied by Emily Phillips, Dept of Natural Resources and Environment, Melbourne).

Author visited the UK and interviewed staff members in a number of government, educational and community agencies. UK Cabinet Office has codes of practice for consultation in the public service and is able to enforce them. Interviewees discuss use of 'People's Panel', suggesting it hasn't lived up to expectations due to costs and high turnover of members. Most successful current activities for the Cabinet Office are:

- enforceable codes of conduct and guidelines
- a consumer champion network
- government newsletters sharing learning and information
- customer satisfaction targets
- e-democracy, making all relevant government documents accessible on the web and establishing a website to showcase best practice and links, and allowing people to register interest in an area, or participate in on-line discussions
- citizens' juries.

Mentions use of focus groups made up of socially excluded groups to allow them to express their needs. Points out issues associated with levels of literacy and reading ages among the general public. Use of public involvement awards by the Institute for Public Policy Research mentioned. Other techniques discussed (and combinations are possible) include electronic voting, deliberative forums, public-private partnerships (as in stewardship agreements), direct democracy (locals involved directly in project management), stakeholder democracy, village appraisals, village design statements, new forms of public meetings using simulation pre-meetings, 'surgeries' for licensing processes, user-focused literature, exhibitions and open days, community advisory committees, focus group, visioning exercises, planning for real (http://www.nif.co.uk). Several interviewees highlight problems with professional divisions and secrecy among agencies, as well as difficult relationships between Local Governments and community representatives. Suggests need for a tiered approach, using different groups/methods at different points in the consultation process. The issues of 'innovations fatigue' and 'participation fatigue' are mentioned (analogous to burnout?). Some barriers to participation are discussed: issues of representativeness, power dynamics, historical ways of working within agencies, government responsibility for agenda and rule setting, and resource issues.

Tools: Systemic but particularly relevant to tool 10

74. Race, D. & Buchy, M. 1999. A role for community participation in Australian forest management? *Rural Society* **9(2): 405-419.**

Paper reviews some Australian and international experiences in community participation in forestry decision-making. Discusses a typology of participation (cooption, cooperation, consultation, collaboration, co-learning, collective action), based on Cornwall (1995). Experiences reviewed include the Canadian Model Forest program, Landcare, the Australian Regional Forest Agreement process, and regional plantation and farm forestry planning processes. Concludes that inclusiveness, adaptability and continuity are important factors in success of participatory processes. Suggests that stakeholder groups are likely to increase their demands for access to the developmental stages of these processes in the future.

Tools: All, systemic but particularly relevant to DESIGN

75. Rajasekaran, B. 1993. A framework for incorporating indigenous knowledge systems into agricultural research, extension and NGOs for sustainable agricultural development. Studies in Technology and Social Change 21. Ames, Iowa: Technology and Social Change Program, Iowa State University.

http://www.ciesin.org/docs/004-201/004-201.html

Discusses nature of indigenous knowledge held by farmers (here defined to cover local knowledge held by local people rather than indigenous in the sense of original inhabitants), its diversity and its value. Focus is on farming in India. Points out incompatibility of indigenous knowledge with reductionist technology transfer or top-down research and extension paradigms, and the way these paradigms typically neglect local classification systems and the findings of local farmers' experiments. Points out characteristics of indigenous knowledge that lead to it being neglected by outsiders: it is largely oral; not formally recorded and documented; each individual possesses only part of the community knowledge system; these systems may be implicit within local practices, actions and reactions, not a conscious resource; and farmers rarely recall information on relevant quantitative data. Advocates setting up indigenous knowledge resource centres and developing training programs on indigenous knowledge.

Discusses methods to record indigenous knowledge systems:
- participant observations
- unstructured interactions, including key informant interviews.

Maintains that understanding of indigenous knowledge systems provides a basis for developing research agendas that are not imposed as 'alien' packages contradicting existing practices.

These agendas can include conducting participatory research with farmers and developing extension programs based on indigenous knowledge. Communication channels are discussed and the value of using indigenous channels is pointed out. Extensive list of references provided.

Tools: All, systemic but particularly relevant to tool 3 and knowledge cultures

76. Ramirez, R. 1997. *Understanding farmers' communication networks: combining PRA with agricultural knowledge systems analysis*. London: International Institute for Environment and Development (IIED), Sustainable Agriculture Programme.

Discusses where farmers obtain their information, including other farmers, traders, input suppliers, extension workers, and formal research institutions. These form agricultural communication networks that are an integral part of farming systems. Work was conducted in the Philippines, Peru and Ethiopia to develop an approach to identify communication networks and assess their performance. Methods included mapping of actors and linkages, analysis of performance of links, and developing an action plan to modify roles and improve linkages.

Main issues highlighted are:
- farmers' primary source of information tends to be other farmers
- extension workers need to re-orient their activities to become information brokers and facilitators
- when farmers can influence the services in their area this is likely to improve their time-liness and relevance
- research and extension activities need to be better integrated to avoid duplication and improve relevance.

The approach should enable policy makers to make agricultural programs more pragmatic by re-designing the roles of extension workers and providing a framework for consultation between different actors.

Tools: All, systemic but particularly relevant to tool 3 and knowledge cultures

77. Richan, W.C. 1996. *Lobbying for social change*. 2nd ed. New York: Haworth Press.

Written by a US social policy leader. An in-depth discussion and practical advice about what it takes to successfully lobby and influence public policy with few resources. Has three parts: Part I 'The changing context of political action'; Part II 'Basic steps'; and Part III 'Practical applications'. Uses the examples of four cases of social policy advocacy covering diverse

issues at all levels of government and in the private sector. The cases are abortion, community mental health, welfare reform, and toxic waste. While the book deals with the US political scene, much of what it says is relevant to Australia.

Tools: 11

78. Scoones, I. & Thompson, J. 1993. Challenging the populist perspective: rural people's knowledge, agricultural research and extension practice. Discussion Paper 332. Brighton, England: Institute of Development Studies/International Institute for Environment and Development.

Examines and synthesises some of the major themes in analysing and drawing implications from rural people's knowledge systems for agricultural research, extension and community development. Draws on literature from:
- the nature of knowledge – anthropological, ethnographic and phenomenological analyses
- interactions of 'actors' – examination of interactions between researchers/extension workers and farmers, and ideas around adoption and diffusion of new ideas or innovations
- institutional context – analyses of organisational cultures for research, extension and development planning.

Concludes that interactions must be seen in terms of on-going patterns of struggle, negotiation, cooperation and compromise. Simple deterministic or Newtonian models of interactions are unable to account for the social and political forces at play. Values, ideas and motivations need attention and have real implications for action. In relation to local development activities, argues for development of flexible, general principles for action that farmers can adapt and modify.

Tools: All, systemic but particularly relevant to tool 3 and knowledge cultures

79. Senge, P.M. 1994. *The fifth discipline: the art and practice of the learning organization*. New York: Doubleday/Currency.

Widely-read book dealing with what characterises learning organisations and makes them different from traditional 'command and control' organisations. Senge identifies five 'competent technologies' that he considers provide the vital dimensions for organisations to learn. They are:
- systems thinking
- personal mastery

- mental models
- building shared vision
- team learning.

The fifth discipline of the title is systems thinking, as it integrates the other disciplines and makes them coherent. Well-illustrated with many examples, mainly drawn from the business world.

Tools: All, systemic, but particularly relevant to tools 7, 8 and 9

80. Seymour. N-K. 2001. Empowerment and public participation. *Constructive Citizen Participation* **29(2), 1-6.**

http://www.connor.bc.ca/connor/empowerment.html

Discusses empowerment as a concept. Gives the example of the Ottawa Process, reviewed by the Canadian Centre for Foreign Policy Development, as a key example of power-sharing between government and the civil sector (NGOs). Describes a 'self-empowerment cycle' under the headings of Powerlessness, Protesting, Proposing, and Partnering. Considers the implications of the cycle are that public participation practitioners can assess where groups are at in the cycle and identify appropriate interventions needed to reinforce the group's status or allow it to move on to the next stage. Asks the question 'what is the purpose of the participation process?', and suggests relationship to use of particular methods.

Tools: All, systemic but particularly relevant to DESIGN

81. Sinclair, A. 1998. *Doing leadership differently*. Melbourne: Melbourne University Press.

Author is a Professor at Melbourne Business School at the University of Melbourne. She offers an analysis of why she thinks the traditional style of leadership has failed, how both men and women can benefit from understanding how gender shapes leadership style, how to put power and sexuality at the heart of effective leadership, and ways of widening the pool of Australia leadership talent. Stresses the importance for women of paths of 'creative individuality' in which they have a strong sense of self rather than ones in which they conform to stereotypes.

Tools: Particularly relevant to tool 8

82. Singleton, S. 2000. Cooperation or capture? The paradox of co-management and community participation in natural resource management and environmental policy-making. *Environmental Politics* **9(2): 1-21.**

Deals with situations where government and private sector or non-government interests develop co-management regimes for direct management of natural resources, and considers the types of regimes that allow successful cooperative regimes in the public interest as opposed to those that lead to 'capture' of the situation by special interests. The author discusses the co-management regime for salmon fisheries in the Pacific Northwest of the US. She concludes that a combination of government agency autonomy and an effective, independent judiciary are important components of success. Emphasises the importance of the pre-existing history of government and community relations, and the need to develop social trust. Stresses that regulatory systems for accountability must be built in that apply to both parties, even in the face of scientific uncertainty.

Tools: All, systemic but particularly relevant to tools 1 and 2, and to DESIGN

83. United Kingdom Cabinet Office. 2000. The effectiveness of different mechanisms for spreading best practice. London: United Kingdom Cabinet Office.

Describes five categories of knowledge transfer methods (primarily focused on research outcomes), based on system developed by Dixon of the Harvard Business School. The categories are:
  • serial – a competent team transfers a task from one context to another
  • near – knowledge is transferred from one team to another doing the task in a similar context, task is routine but knowledge is explicit
  • far – knowledge about a non-routine task is transferred between two teams, knowledge is largely tacit and must be transferred by immersing those who know in the new situation
  • strategic – very complex knowledge is transferred between cross-functional teams that may be separated in time and space
  • expert – explicit knowledge is transferred in the form of a formula or procedure.

It is suggested that tacit knowledge is best transferred through people, while explicit knowledge can be transferred through machines.

Tools: All, systemic but particularly relevant to tool 3, and to knowledge cultures

84. United Nations Development Programme (UNDP). 1998 (accessed 2003). *Empowering people: a guide to participation.* **New York: Civil Society Organisations and Participation Programme, UNDP.**

http://www.undp.org/csopp/CSO/NewFiles/docemppeople.html

Extensive guidebook for community participation designed to brief and inform UNDP staff on promoting participation in UNDP programs. Chapters as follows:
1. The concept of participation in development
2. Strategies for participation
3. Methods of promoting participation
4. Monitoring and evaluation of participation
5. Institutional support for participation
6. Resources for promoting participation.

Chapter 1 considers the meaning of participation and its relationship to empowerment, partnership and stakeholders. Makes the distinction between participation as means (instrumental) and participation as end (transformative). Stresses importance of focus on structural relationships, negotiation, methods and techniques. Chapter 3 lists the methods by five broad categories:
1. Stakeholder analysis – including use of categories such as primary, secondary and external stakeholders, gender analysis
2. Local level information gathering and planning – focused primarily on local people's views – including use of Rapid Rural Appraisal, Participatory Rural Appraisal, Participatory Action Research
3. Project/program planning – more traditional planning methods focused on the log frame and project management tools
4. Multi-stakeholder collaboration – cross-section of stakeholders work together on a particular issue to identify common ground for action – including use of round tables and selection committees
5. Large group interventions – techniques that support organisational change and internal planning processes such as open space, future search, process consultation, technology of participation.

Chapter 2 suggests principles of participatory development:
1. The primacy of people
2. People's knowledge and skills must be seen as a potentially positive contribution to the project
3. People's participation must empower women
4. Autonomy as opposed to control
5. Local actions as opposed to local responses
6. Allow for some spontaneity in project direction.

Also considers stages of participation, and participation in relation to the project cycle. Uses the following sequence for participation in projects:

Passive participation

↓

Increasing involvement

↓

Active participation

↓

Ownership/empowerment
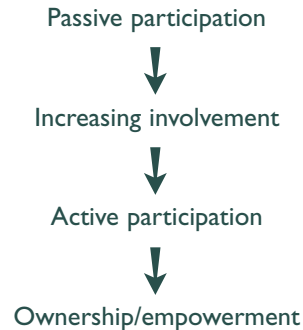
Chapter 4 suggests some examples of qualitative and quantitative indicators of participation for use in monitoring and evaluation, and also principles for selecting these indicators. Suggests domains of change are: changes in people's lives, changes in people's participation, and changes in the sustainability of people's institutions and their activities.

Chapter 6 gives lists of references under the following headings: general, participatory methods, gender, sectoral approaches, large group interventions, monitoring and evaluation. Also gives contact list of organisations worldwide.

Tools: All, systemic but particularly relevant to tool 12, DEVELOP and PRINCIPLES

85. Wadsworth, Y. 1984. *Do it yourself social research*. Melbourne: Victorian Council of Social Services.

Second edition of a best-selling introduction to social research. Cover quotes describe it as 'No jargon, no mystification … not patronising'. The book is aimed at a wide range of people doing social research 'without a capital "R"'. Chapter titles are: Chapter 1 'Who and what this book is for'; Chapter 2 'What is social research'; Chapter 3 'Why do you want to do it?'; Chapter 4 'Managing, timing, budget and some common mistakes to avoid'; Chapter 5 'How to go about "finding out"'; Chapter 6 'Other research around'; Chapter 7 'Interpretation and organising ideas'; and Chapter 8 'Ways of getting your findings across'. Covers research funding and budgeting. Has translations of common phrases used in 'Proper Research' like 'We chose to conduct a longitudinal study' = 'Our time got so out of hand it ended up being five years from start to finish'; and 'The study may be seen as a pilot' = 'Our funds were cut off'. Many cartoons and diagrams illustrate points in the text.

Tools: Particularly relevant to tool 6

86. Wadsworth, Y. 1989. *Everyday evaluation on the run*. Melbourne: Action Research Issues.

User-friendly and unpretentious guide to applying evaluation to everyday issues. Guided by an 'action evaluation' research cycle. Covers an eclectic mix of ways of obtaining information and processes that can be 'ways of finding out'. Chapter 1 is 'Introduction', Chapter 2 'Conceptual framework', Chapter 3 'Two approaches to evaluation', Chapter 4 'Doing evaluation', and Chapter 5 'The evaluation industry's toolbox'. Well-illustrated with charts, graphs and cartoons.

Tools: 12

87. Warburton, D. 1998. A passionate dialogue: communication and sustainable development. In Chambers, D. (ed.), *Community and sustainable development: participation in the future*. London: Earthscan. Pp.1-39.

Makes links with the Brundtland Report and Agenda 21 as sources of a focus on empowerment of local and community groups through the principle of delegated authority, accountability and resources. Reviews some examples of application of this principle in the UK. Discusses the concept of community and its persuasiveness. Points out that 'sustainability is most of all a social challenge' (pp.33-34).

Tools: All, systemic

88. Wolstenholme, R. 1995. *Consultations in small rural communities: a guide for government representatives and community groups.* **Armidale: The Rural Development Centre, University of New England.**

Discusses characteristics of rural towns and raises issues that need to be considered in planning consultations for these towns. Characteristics raised include those contributing to rural identity such as:

- resourcefulness, independence and pride
- physical and emotional toughness
- honesty
- loyalty
- friendliness
- country versus city differences, and dislike of authority
- egalitarianism
- gender relations and needs.

Also makes suggestions for taking 'belonging' and marginalisation into account:

- considering access to resources
- representation of community organisations
- paying attention to being known
- paying attention to longevity and local knowledge
- considering implications for community action
- including the excluded.

Discusses roles and constraints faced by government representatives. Outlines the elements of a basic consultation process. Discusses how to consult successfully with Aboriginal communities.

Gives suggestions for what makes a good consultation in a small rural town:

- there is a broad cross-section of the community represented
- each person participates fully or has the opportunity to do so
- the community is well-informed
- all issues are covered openly and honestly
- there is rapport between the consulting government representative and the participants
- all agenda items are covered as planned
- conclusions are reached and people leave feeling satisfied.

Includes a checklist for community groups on how to prepare for a consultation and guidelines on how to lobby.

Tools: All, systemic but particularly relevant to DO and to PRINCIPLES

89. Wolstenholme, R. 1995. *Understanding small rural communities and the consultation process.* **Armidale: The Rural Development Centre, University of New England.**

Examines characteristics of small rural communities and their implications for government representatives undertaking consultations with these communities. Information derived from data collected during interviews and discussions primarily in the human services area. Mentions characteristics such as identity, sense of belonging, marginalisation, and social relations. Rural people see themselves as honest, hardworking and strong, with a strong sense of community. Discusses changes in rural communities, particularly changing gender roles, problems with volunteers, and marriage breakdowns. Discusses ways of strengthening community. Puts forward the view that successful consultation practices can be explained in terms of rural community characteristics and in terms of two propositions:

- a good consultation is one is which there is a broad cross-section of the community – taking into account community characteristics
- those consulting understand the community and community needs.

Stresses the value of representatives working with communities and becoming 'honorary' community members.

Tools: All, systemic but particularly relevant to DESIGN and DO, and to rural Australia as PLACE

90. Woodhill, J. & Robins, L. 1998. *Participatory evaluation for Landcare and catchment groups: a guide for facilitators.* **Canberra: Greening Australia.**

Discusses monitoring and evaluation as applied to project management by community groups, particularly Landcare-related projects. Chapter 4 includes a discussion of how to involve people in projects and in project monitoring and evaluation. Table on p.24 lists stake-holder groups (committee members, group members, wider community, project beneficiaries, schools, universities, project antagonists, funders, media, naturalist groups, government staff, co-ordinators, consultants, professional facilitators), and considers appropriate ways of involving each group. P.27 relates 20 participatory techniques to three stages of the learning cycle (explore, analyse, decide). Chapter 6 includes a 'toolbox' for participatory evaluation, discussing roles within groups and how to conduct successful workshops or meetings, including the 20 participatory techniques:

- rich pictures
- brainstorming
- visioning
- questionnaires and surveys
- mind mapping

- cause and effect mapping
- historical analysis
- locality mapping
- focus groups
- semi-structured interviews
- flow diagrams
- SWOT analysis
- institutional linkage diagrams
- information tabulation and graphing
- matrix analysis
- issue analysis
- card techniques (Delphi)
- inter-relationship diagrams
- nominal groups
- action planning.

Each of these techniques is described and related to stages of the learning cycle.

Tools: All, systemic but particularly relevant to DESIGN, DO and DEVELOP

91. World Bank Group. (accessed 2003) *Participation. Methods and tools.* **World Bank Group. (see also Edgerton et al., 2002)**

http://www.worldbank.org/participation/methods1.htm

Gives a brief description of the following methods:
- Participatory Rural Appraisal (including set of overheads describing associated methods)
- stakeholder analysis
- SARAR (self-esteem, associative strength, resourcefulness, action planning, responsibility)
- beneficiary assessment
- Participatory Monitoring and Evaluation
- gender analysis
- systematic client consultation
- conflict resolution.

Tools: All, systemic

92. Zuber-Skerritt, O. 1996. *New directions in action research.* **London: Falmer Press.**

Edited book from an international symposium, with chapters by noted action research figures including Bawden, Kemmis and the author. Part I covers reflections on the foundations of action research; Part II covers methodology; and Part III is case studies from the areas of teacher education, Aboriginal education, medical education, and facilitating change in institutional practice. Aimed at anyone involved in promoting or facilitating change through participatory action learning, action research, process management, life-long education, and development of enterprise skills. Particular emphasis on higher education.

Tools: All, systemic, but particularly relevant to tool 9

USEFUL WEBSITES

1. **Action learning and action research (Australia)**

   http://www.scu.edu.au/schools/gcm/ar/arp/actlearn.html

2. **Australian Bureau of Statistics**

   http://www.abs.gov.au

3. **Australian Constitutional Convention**

   http://www.abc.net.au/concon/republic.htm

4. **Co-intelligence Institute (US)**

   A toolbox of processes for community work

   http://www.co-intelligence.org/CIPol_ComunityProcesses.html

5. **Community Development Foundation (UK)**

   (Produces a range of useful publications for community action)

   http://www.cdf.org.uk/html/menu.html

6. **Commonwealth Foundation**

   http://www.commonwealthfoundation.com

7. **Constructive citizen participation newsletter (available from Connor Development Services Ltd, Canada)**

   http://www.connor.bc.ca/connor/newsletter.html

8. **Council of Europe**

   http://www.coe.int/portalT.asp

9. **First Australian Consensus Conference**

   Waiter, there's a gene in my food!

   http://www.abc.net.au/science/slab/consconf/dinner.htm

10. **International Association for Public Participation**

    http://www.iap2.org

11. **International Institute for Environment and Development (UK)**

    Resource Centre for Participatory Learning and Action

    http://www.iied.org/resource/index.html

12. **Institute for Development Studies, University of Sussex (UK)**

    Participation Group

    http://www.ids.ac.uk/ids/particip/

13. **Jefferson Center for New Democratic Processes (US)**

    The citizens jury: effective public participation

    http://www.jefferson-center.org

14. **Land & Water Australia**

    Using citizens' juries for making decisions in natural resource management. Research Project No. ANU 11.

    http://www.lwa.gov.au

15. **Lobbying Australia**

   http://members.ozemail.com.au/~trc/

16. **National Land and Water Resources Audit (Australia)**

   http://www.nlwra.gov.au

17. **NRM Changelinks (NZ)**

   http://nrm.massey.ac.nz/changelinks/internet.html

18. **Open Space World**

   http://www.openspaceworld.org

19. **Participatory Approaches Network for London (UK)**

   http://www.participatory-london.org.uk

20. **Privacy Commission (Australia)**

   http://www.privacy.gov.au/

21. **The Earth Council (Costa Rica)**

   http://www.ecouncil.ac.cr

22. **The Environment Council (UK)**

   http://www.the-environment-council.org.uk

23. **Sustainable Communities Network (US)**

   http://www.sustainable.org/

24. **United Kingdom Audit Commission**

   Guidance on effective community consultation

   http://www.audit-commission.gov.uk

25. United Kingdom Cabinet Office

http://www.cabinet-office.gov.uk

26. United Kingdom Improvement and Development Agency

(Local Government body concerned with the promotion and development of good practice in Local Government and partner agencies)

http://www.idea.gov.uk/

27. United Nations Department on Economic and Social Affairs

Division for Sustainable Development

http://www.un.org/esa/sustdev

28. United Nations Development Program

http://www.undp.org

29. Warwick University (UK)

Report by Local Government Centre on best value pilot engagement studies in England and Wales

http://www.local.detr.gov.uk/research/bestva~1/paper8/index.htm

30. World Bank (US)

http://www.worldbank.org

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FEEDBACK ON USING Towards Whole of Community Engagement: A PRACTICAL TOOLKIT

The Murray-Darling Basin Commission is particularly interested in obtaining feedback from individuals or organisations that have used this toolkit.

1. How did you find/hear about the toolkit?

    _____

    _____

2. Purposes for which you are using the toolkit?

    _____

    _____

3. Who are you using it with?

    _____

    _____

4. Where are you using it?

    _____

    _____

5. Why are you using it?

    _____

    _____

6. Did the toolkit meet your needs?

    Yes ❏   No ❏   Partly ❏

    Comments

    _____

    _____

7. How do you think we could improve the toolkit?

    _____

    _____

8. Please tick the category that best describes your situation:

    ❏ community group organiser
    ❏ community group as a whole
    ❏ State government agency member
    ❏ Local Government officer
    ❏ consultant: to what kind of organisation?

    _____

    ❏ other: please specify

    _____

Thank you for your feedback and we look forward to future comments you may have.

Please photocopy and post or fax this feedback sheet to:
Basin Communities Program
Murray-Darling Basin Commission
GPO Box 409 Canberra ACT 2601
Fax: 02 6248 8053

NOTES