Inclusive Management in Action:
An International Study of Public Engagement

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ABSTRACT

The purpose of this study is to define and apply an engagement framework built upon
Inclusive Management theory to examine the practice of participation as understood by
administrators, elected officials, NGO leaders and public participation practitioners
across multiple countries and to illustrate the framework through three case studies.
Specifically, it asks **how does Inclusive Management guide us in understanding
participation as practiced by managers/leaders with responsibility for this work?** It
also considers **the potential connections between management and participation as
demonstrated in the data,** and further, **it seeks to identify how IM as a theory may be
enriched or empirically elaborated as a result of this examination.** This research
examines the observation of phenomena identified by study participants ordinarily not
considered a consequence of efforts that engage the public. Using inclusive management
theory, the resulting engagement framework includes clusters of outcomes, continuous
events and capacity-building as its core elements. The framework shows inclusive
management in action and offers a different way of knowing (Feldman, Khademian,
Ingram, & Schneider, 2006; Gomez, Bouty, & Drucker-Godard, 2003; Nicolini,
Gherardi, & Yanow, 2003) participation in government decision making than generally is
depicted in the public participation literature or characterized anecdotally. The
engagement framework also corresponds in several ways to the techniques of dialogue,
deliberation and appreciative inquiry. As the data will demonstrate in this dissertation,
the engagement framework may draw upon these techniques, and moreover, that the
relational, informational and stewardship dimensions of engagement reinforce one
another. This dissertation also addresses a longstanding gap in the participation
literature, in that it provides strategies that connect management theory and practice with
participatory principles.

Dedication

This dissertation is dedicated to my parents, Kay and Allan Offenbacker, who taught me the value of education and knowledge.

Acknowledgements

There are many people who made this dissertation possible. First, I want to thank my husband, Paul Coelus, for his unfailing support over several years as I pursued this lifelong dream. He read my papers, listened to me talk about theory (sometimes just to let me think out loud) and engaged with me in thoughtful, insightful discussions about government, politics, organizations and society. I am grateful for his limitless patience, kindness, support and love.

My parents, as I noted in the Dedication, also had a significant influence on this dissertation. While we rarely talked about the substance of what I have written and studied, their interest, support and love have also played a significant role in encouraging me throughout my academic pursuits. The emphasis they have consistently placed on education and knowledge cannot be overstated in leading me toward a life of scholarship and research that matters. My sisters Gail, Pam and Robin and their families, my grandmother Marguerite and my husband's family also have demonstrated tremendous patience as I droned on at family gatherings over several years when someone asked how my studies were progressing.

I extend heartfelt thanks to my Dissertation Committee Chair Anne Khademian. I have learned so much, personally and professionally, from working with her as a graduate assistant and also a researcher over the past four years. In every way she exemplifies the kind of leader and public manager, scholar and researcher, colleague and friend, that I aspire to be. The influence of her impressive work in inclusive management (with Martha Feldman) is a major part of this dissertation, and Anne's mentorship over the years is a treasured part of my CPAP experience.

Dissertation Committee members Jim Wolf, Tom Sanchez and Larkin Dudley each have made immeasurable contributions to this dissertation as well. Each has taught me much about theory, practice and scholarship, and I am deeply grateful for their patience and thoughtful comments as this dissertation has progressed. I am particularly thankful to Larkin Dudley for encouraging me to use the data from the International Association for Public Participation-Kettering Foundation study for this dissertation.

I also appreciate the encouragement and support of the CPAP community, particularly CPAP faculty members Matt Dull, Colleen Woodard and Tom Hickok and CPAP staff member Irene Jung. Rich Taylor, Kathy Webb Farley, John O'Brien and Christy McLaughlin also have been valued colleagues on the path towards this dissertation.

I also would like to acknowledge the long-term support and encouragement of many colleagues and associates who are part of the International Association for Public Participation and the Charles F. Kettering Foundation. Most of these individuals had a direct or indirect role in the collection of the data upon which this dissertation is based, without which it would not have been possible. They include Gustave Aboua, Dina Alenzi-Storz, Katherine Beavis, Jacqueline Berman, Roberta Bourne, Bea Briggs,

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Chapter 1:
Introduction

"Proverbios y Cantares XXIX

Traveler, the road is but your footsteps,
and nothing more
Traveler, there is no road,
You make the road by walking
By walking, you make the road
And in turning to look back
You see a path that will never be trod again
Traveler, there is no road, only wakes upon the sea."

- *Antonia Machado (1875-1939)*

Machado's poem emphasizes the interdependent, ongoing relationship between the walker,

the act of walking and the path that's created (Dallas, 2007). Similarly, this dissertation will

highlight how the leader/manager can play a vital role in facilitating ongoing, collaborative

participatory processes that continually "make" and "re-make" the road in the face of common

challenges, while at the same time spurring a variety of outcomes and cultivating a range of

capacities across individuals, groups and organizations.

As such, this study uses Inclusive Management (IM) theory as the basis for developing an

engagement framework that reflects these core attributes of participation, as understood by

administrators, elected officials, NGO leaders and practitioners across multiple countries and

illustrated in three indepth interviews. Specifically, it asks **how does Inclusive Management**

guide us in understanding participation as practiced by managers/leaders with

responsibility for this work? It also considers **the potential connections between**

management and participation as demonstrated by the data, and further, **it seeks to identify**

how IM as a theory can be enriched or empirically elaborated as a result of this

examination.

Statement of the Problem

This research began with the observation of outcomes identified by international study participants ordinarily not considered a consequence of efforts that engage the public. Some of these outcomes fell outside the organization's purview. For example, suspicion of public participation was an outcome in Cambodia, or in Côte d' Ivoire, one outcome was the provision of benefits and services to people.

This discovery then led to a further exploration of the data, as the Appendices indicate, and a realization that there were two additional dimensions of the data that could not easily be explained from the public participation literature. One of these dimensions reflected the ongoing nature of participation over time. For instance, as one of the indepth interviews used in this dissertation demonstrates, continual engagement was a part of one Scottish NGO manager's day-to-day duties; this was a theme that came up in other interviews as well. In varying interviews, some participatory efforts started and stopped, although they were pursued within the larger context of ongoing engagement activities over time.

The third unexplained dimension of the data demonstrated the creation of capacity among people who participated. For example, a Brazilian public participation practitioner noted how training has facilitated autonomy on the part of civil society. Similarly, a Chinese NGO leader described how an emphasis on public participation has resulted in the capacity of individuals to focus on compensation for negative impacts from a proposed project.

Further, there were some overlaps between these three dimensions in the data. For example, there was an understanding among some interviewees about the role of outcomes in developing

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broader participatory capacity. It should also be noted that this dissertation addresses a

longstanding gap in the participation literature in that it generally does not provide strategies that

connect management theory and practice with participatory principles; likewise, the participation

literature on the whole places greater emphasis on short-term rather than long-term, ongoing

engagement in support of democratic aims.

Following initial data coding and further analysis (see Chapter 3: "Methodology" and the

Appendices) as part of a mixed methodological approach, the engagement framework was

developed as a means for explaining the empirical gap in the data and for responding to the gap

in the literature as well. Inclusive management theory was selected as the foundational theory

for this dissertation because of both its strong theoretical basis in practice theory and its

pragmatic principles and strategies; together these attributes have been instrumental in

explaining the phenomena shown in the data. IM also is valuable in that it provides another way

of considering what participation is, what it means in a societal, organizational and individual

context and how it can enhance democratic governance.

The goal in this dissertation, therefore, is to examine the interview data using the IM-based

engagement framework as a means for illustrating another way of "seeing" and understanding

how participation occurs—specifically the outcomes, continuous events and capacity-building

that have been previously noted.

Because it takes a broader and more long-term view of engagement than most participatory

processes, this IM-based engagement framework offers a different way of understanding or

knowing participation (Feldman, Khademian, Ingram, & Schneider, 2006; Gomez, Bouty, &

Drucker-Godard, 2003; Nicolini, Gherardi, & Yanow, 2003) than generally is known in the

public participation literature. It also varies in many ways from what is characterized anecdotally as participation.

Many existing approaches to and explanations of participation are characterized by defined start/stop points; they emphasize the degree of participation (which is understandably important in a democracy); finally, they usually do not explicitly seek to build a collective capacity for participation. This study proposes the engagement framework as a complement or expansion of the many existing approaches to and explanations for participation. It offers a means for ongoing engagement through continuous events and purposely focuses on developing capacity in support of democratic governance.
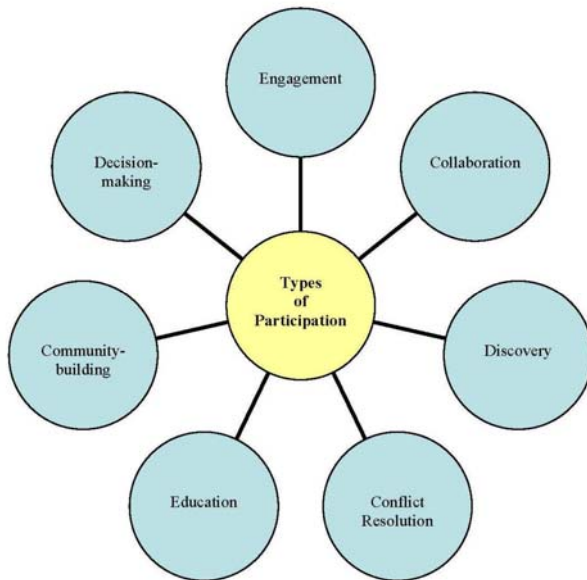
Figure 1: Types of Participation

The many approaches and explanations contained in the literature have been categorized into six types of participation and are detailed further in Chapter 2: "Literature Review." These six types include collaboration, discovery, conflict resolution, education, community-building and decision-making. See Figure 1.

Each type represents a particular goal for participation. For example, education is pursued in order to create understanding or appreciation of alternative viewpoints or policy options, whereas collaboration is used for leveraging relationships in support of enhanced outcomes. Depending on the issue at hand, different types of participation may be combined in support of problem-solving.

Inclusive Management and the Engagement Framework

The engagement framework that this dissertation presents has three components. As Figure 2 depicts, there is an interdependent relationship between them and each corresponds to a specific aspect of IM.

First, engagement is *ongoing* (Feldman, Khademian, Ingram, & Schneider, 2006) over time. Not only are activities, events, strategies and tools influenced by various internal and external constraints, incentives and opportunities, their meaning and significance may change by virtue of their enactment itself (Feldman, Khademian, Ingram, & Schneider, 2006). Figure 2 includes one potential representation of the temporal aspect of engagement, with the long arrow at the bottom of the section "Ongoing Engagement" depicting the continual nature of engagement and the short, start/stop arrows representing more short-term, periodic engagement over time. It is important to note that the short- and long-term coexist, which reinforces the complementary relationship between other, more short-term types of participation and the longer-term emphasis of engagement.

Further, because the engagement framework is "made by walking," as Machado's poem suggests (Dallas, 2007), engaging people represents a panoply of complex, ongoing and continually shifting knowledges and relationships (Abers, 2003; Epstein, Coates, Wray, & Swain, 2006; Roberts, 1997). There may be instances where participants arrive—individually or collectively—at new levels or "platforms" of understanding about common problems or issues that build on past understandings or knowledge.

Ongoing engagement reflects the informational dimension of IM, and provides a means for disseminating information and creating common understanding of important policy issues (Feldman & Khademian, 2004, 2007). Such "informed deliberative processes are fundamental to

democracy" (Feldman & Khademian, 2007, p. 306). An individual practicing inclusive management "facilitates the practice of democracy by creating a community of participation where people can share information from different perspectives and work together on problems" (p. 306).

This IM practice also honors and builds upon the distinctive experiences and knowledges embedded in each person in support of effective management (Weber & Khademian, 2008), community problem-solving and democratic practice. It is "an inclusive and flexible concept that embraces many alternative formulations of political motivations and analysis styles" (Schneider & Ingram, 2007, p. 1).
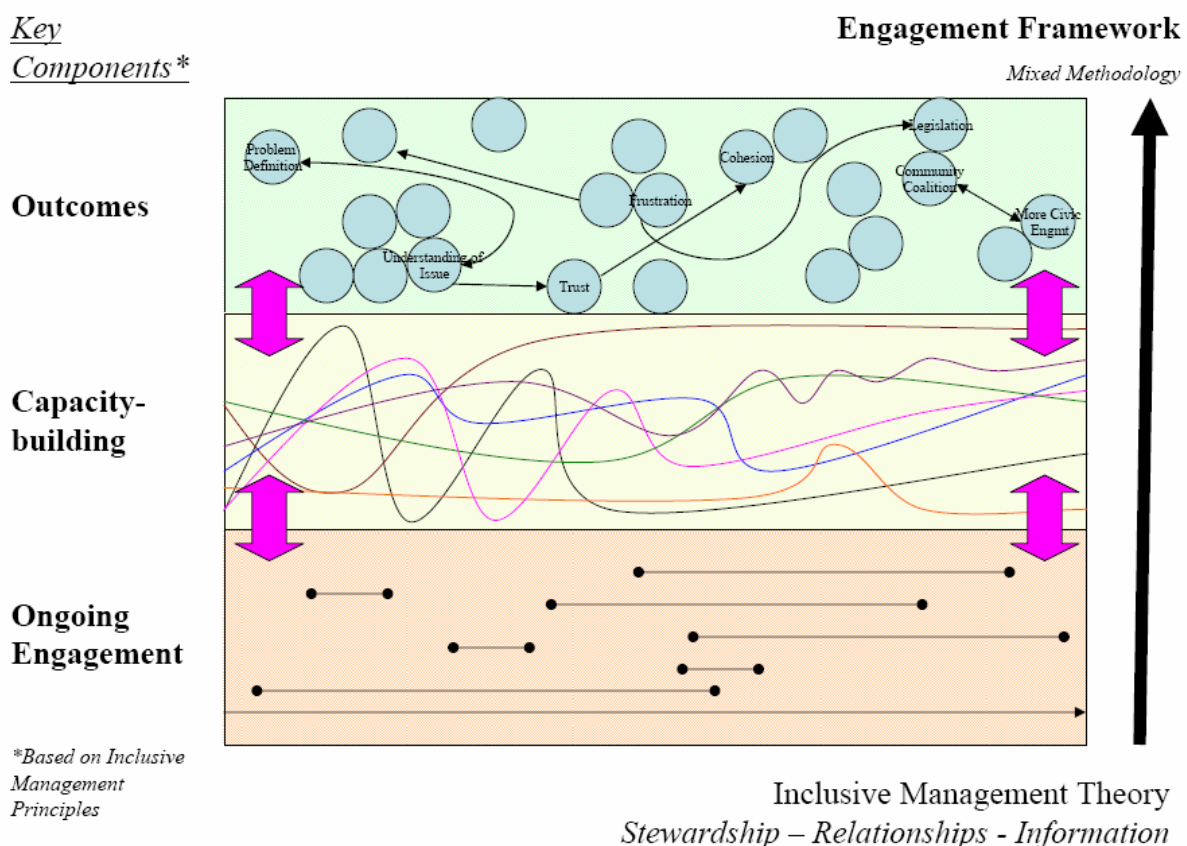
Figure 2: The Engagement Framework

Second, the engagement framework identifies *outcome clusters*. As the data demonstrate and is shown in Figure 2, primary outcomes can include policy, program or service outcomes. There also may be secondary outcomes that cascade from engagement activities at the community level. Outcomes may result from other outcomes, as the notional arrows included in Figure 2 show. Notably, engagement may transcend the organization's own goals for participation, and as such it places more emphasis on democratic outcomes at the community level than the goals of the organization alone (Perrow, 1986; Selznick, 1949).

Outcomes correspond to the relational aspect of IM, seeking to go beyond discovery and to share knowledge across and within communal boundaries (Osterlund & Carlile, 2005). This learning or knowledge that accrues to participants—public managers as well as others—is an essential byproduct of inclusive management (Feldman, Khademian, and Quick, 2009). IM as a practice "speaks to public managers' creative roles in not just facilitating but being part of and positively affecting dynamic, emergent policy processes that produce options and changes in policies and channels for action" (Feldman, Khademian, & Quick, 2009, p. 124).

In this way, IM provides a means of learning or collecting specific knowledge in support of efforts to achieve common goals. It seeks to reconcile competing expectations through generative learning, which in turn "develops people's capacity to create new solutions to old problems" instead of settling for adaptation or coping mechanisms (Roberts, 1997, p. 213).

The third aspect of the engagement framework is *capacity-building*. Here, the public manager is a facilitator or steward of the community's capacity to enact or solve problems themselves, both within, adjacent to and outside of government. Figure 2 provides a notional visual representation of the potential for capacities to change over time; each line represents a different individual, group or organization. In this figure, the lines are shown going up and

down, in order to indicate that over time there potentially may be increases or decreases in capacity or that it could remain at stasis.

Capacity-building relates to the stewardship (Dicke, 2002) aspect of IM; in doing so the locus of control becomes localized and dispersed, rather than centralized with the manager (Feldman & Khademian, 2004). However, it important to note that by expanding the locus of control under IM, the manager does not give up statutory or regulatory responsibility for the issue at hand. Instead the manager provides oversight and guidance to insure the quality and appropriateness of participation (Feldman & Khademian, 2004).

Finally, as Figure 2 demonstrates, the data suggest that some interdependence appears to exist between the three aspects of the IM-based engagement framework. The arrows on Figure 2 that correspond between the three sections are meant to indicate this potential influence.

While the framework has the potential for using many kinds of participatory techniques, it employs three techniques in particular that are embedded in inclusive management. These techniques are dialogue, deliberation and appreciative inquiry. Chapter 2: "Literature Review" discusses each technique in more detail.

Dialogue involves relationship-building, listening and encouraging new insights (NCDD, 2008), and in some instances, such as race relations, it may involve confronting "differences in experiences and perspectives, requiring as much emotional as intellectual labor" (Gastil & Keith, 2008; p. 8). Dialogue is more long-form and relational. As Chapter 6: "Three Indepth Interviews" demonstrates, dialogue is a tool that inclusive leaders and managers use regularly. It can serve as a type of glue that is instrumental in facilitating longer-term relationships.

Deliberation (often referred to as deliberative democracy or public deliberation) reflects what Gastil and Keith term "real methods for public discussion and self-government" (p. 3) around

key issues or concerns. It involves making "decisions after a period of reasoned discussion" (Gastil & Keith, 2008, p. 6) and seeks to accomplish a broad understanding of the issues and associated tradeoffs and limitations they entail among citizens so that informed choices may be made about common problems (Belcher, Kingston, Knighton, McKenzie, Thomas, Wilder, and Arnone, 2002).

The engagement framework also uses appreciative inquiry. Cooperrider and Whitney (2001) described appreciative inquiry as beginning with the positive presumption of organizations, which serve as "centers of human relatedness," that are "'alive' with infinite constructive capacity" (p. 2). The goal is to work with people to assist them in discovering, dreaming, designing and transforming the present in service to the greater good, while inquiring into the organization's current form in ways that are humanly, ecologically and economically significant (Cooperrider & Whitney, 2001). Generative engagement of this kind is critically important because it can open the door to capacity building.

Research Question and Theoretical Foundations

This study is significant in that it draws on the conclusion that the participation literature is not monolithic; it also acknowledges the unique contributions of different participatory approaches. As the literature review and indepth interviews reveal, there are variations in how participation is understood and practiced. For example, some understand participation as a nexus to decision-making, and their practice is based on a model that proceeds towards that decision, while others may consider participation as a means for collaboration in support of common challenges and may pursue partnership opportunities in service to that desired outcome. By exploring the nature and characteristics of engagement, this dissertation proposes another way of

conceptualizing and understanding engagement that complements existing participation-based scholarship and practice.

Participation is an organizational activity that is pursued in support of a variety of goals and takes many different forms. This dissertation also contributes to scholarship by explicitly noting that how participation is practiced is based on the influence of a broad range of social and political movements over time, including such movements as scientific management and New Public Management, among others. In ways both large and small, these movements affect on how we understand and practice participation as we do today.

Moreover, because the participation literature is sizable, there are many theories that underpin it. This study further draws the distinction that the particular theories we apply to participation each bring with them discrete lenses that color how we understand, interpret and enact participatory efforts. It suggests that the use of inclusive management theory provides a robust basis for "seeing" alternative elements that more broadly connect institutions to democratic principles.

Further, how we understand participation influences what people may seek to accomplish through it. If it is understood that additional resources can be brought to bear on community challenges as a potential result from ongoing engagement—including those challenges that fall within the purview of an organization's mission—more organizations may wish to engage in the kind of participation represented by the engagement framework. There also are benefits to creating generative capacities that can accrue at the individual level (Leibler & Ferri, 2004).

Finally, this study also seeks to expand existing theoretical models by identifying and describing a range of activities and outcomes that may interact to sustain—or not—the capacity for participation. It will provide a basis for future research focusing on the dynamics and the

challenges of participation, including an emphasis on capacity-building which generally has not been explored in the participation literature. How is capacity defined in terms of democratic governance? In what ways can its many dimensions be mapped?

Therefore, this study poses the research question,

> How does Inclusive Management guide us in understanding participation as practiced by managers/leaders with responsibility for this work? What are the potential connections between management and participation as demonstrated by the data? How can IM as a theory be enriched or empirically elaborated as a result of this examination?

Why the Framework is Germane

There are three reasons why the focus of this dissertation is particularly germane to the field of public administration. All three reasons have implications for public management and participatory efforts in a democracy.

Provides an alternative conception of how problems are solved and reconsiders accountability relationships

First, in providing an alternative conception of how problems are solved through collective capacity, this dissertation poses another way of considering the accountability relationships between people in a democratic society. Often, accountability is considered as a hierarchical process; the people are at the top of the pyramid, and government exists to serve their needs and interests; alternatively, some see it as a bottom-up process, where people express their interests and needs and government responds. This dissertation does not dispute the idea of a democracy based on legitimacy that is derived from the people who formed the government, no matter which approach to accountability is most appealing. Rather, it seeks to broaden the perspective of what accountability means and suggests that there are simultaneously horizontal, vertical and diagonal types of accountability, or as Behn (2001) terms it, 360-degree accountability.

If a problem is truly one that affects the community in many ways, it only makes sense that the duty for responding to and addressing that need is distributed. This contrasts with the view of self-government as service-provider to people who pay taxes and instead places emphasis on the equivalent relationship between we the people who comprise "the government." This is a very republican-based orientation (Sandel, 1996) that seeks to change how we think about to whom we are responsible in a democratic form of government.

Emphasizes the interdependent nature of social systems

Second, the engagement framework is germane because it emphasizes the interdependent nature of social systems, at the societal as well as at the community level. Chapter 2: "Literature Review" details, for example, the different tides of 20th century reform (Light, 1997, 2006) and their effects on public administration and participation. While not discussed in the literature review, the most recent tide is one that emphasizes this exact point, that government in recent years has become more collaborative and interdependent, reflecting a model of shared governance (Offenbacker, 2008). It also reinforces a notion of problem-solving that is more unitary in nature (Weber & Khademian, 2008) rather than that which occurs in a principal-agent environment.

In part, what this dissertation seeks to establish is groundwork for an old idea in new clothing; that organizations alone cannot be called upon to solve difficult challenges in a democracy. There is evidence that organizations understand the value that others outside its formal perimeter can bring to such situations and yet some are stymied in how to go about generating and sustaining such capacity. For example, an initial review and analysis of data collected for the International Association for Public Participation/Kettering Foundation project

report[1] suggested a gap in some instances between a desire for capacity building and the ability of organizations to deliver on it (Offenbacker & Sprain, 2008). This study demonstrates that successive outcomes from ongoing engagement have an additive nature that contribute to collective capacity and that must be continually enacted and tended by leaders/managers in order to address common problems.

Provides specific and pragmatic strategies that explain participatory efforts in the data and further inform practice

Third, this dissertation is germane to public administration because it provides specific and pragmatic strategies for implementing the engagement framework. Theory itself is valuable in providing plausible reasons for why a problem exists, or why it was successfully resolved. In many ways, the scholarly literature places less emphasis on offering pragmatic steps that operationalize theories than most practitioners prefer.

This study is different in that it accomplishes both ends. It provides an overarching explanation for what the theory is (in this case, inclusive management) and why it matters. It highlights the principles that underpin inclusive management theory, and then provides concrete strategies and examples for how it is enacted.

The goal is to structure an alternative and complementary way of thinking about and practicing participation on a strategic as well as a practical level. In order for this dissertation to achieve this goal, it must do more than simply describe the theory, it must demonstrate how and why it applies. This applied theoretical approach is a central ingredient of this study.

Organization

This dissertation now continues with the six following chapters. Chapter 2 provides an overview of the scholarly literature in inclusive management and public participation. Chapter 3

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[1] The IAP2-KF data referenced here is the secondary data used as the basis for this dissertation.

follows with the methodology used for this study, and Chapter 4 provides a review and discussion of outcomes, as they represent a central element of the engagement framework.

Chapter 5 discusses the framework in detail and relates it to inclusive management theory, principles and practices. Three indepth interviews are then used to illustrate the framework in Chapter 6, based on interviews with a South African state administrator, a Canadian local elected official and a Scottish NGO/nonprofit leader. Finally, Chapter 7 reflects on the findings that result from this study and their potential implications for theory and practice.

Chapter 2:
Literature Review

The theoretical framework for this paper is based on two streams of the scholarly literature: public participation and inclusive management. These two streams have been selected because of their relevance to engagement.

The public participation section includes a taxonomy of participatory practice and it describes how participation has evolved over the past century in response to political and social movements. It notes the role and growing use of dialogue, deliberation and appreciative inquiry as participatory mechanisms that also provide a vital foundation for the applied practice of inclusive management.

The inclusive management literature provides an overview of inclusive management theory and strategies. It highlights its pragmatic and iterative nature and the role experts and managers play in facilitating engagement efforts that effectively address public challenges. As this chapter will show, the public participation and inclusive management literatures are complementary in nature.

Overview of Public Participation

There are many approaches and reasons why public participation is constructed—and practiced—as it is today. This portion of the literature review will first discuss why and how participation is used before highlighting its historic origins. It will then turn to a brief review of the institutional theories that underpin how we understand and enact participation, and it will conclude with a review of the elements that characterize it.

This dissertation uses the term "participation" rather than public participation in order to characterize a range of approaches for engaging people.

Generally, there are six types of participatory practices. Participation may be part of (1) a decision-making process, where information is collected/disseminated with the goal of demonstrating compliance with regulation or law, facilitating fairness and/or justice, negotiating between interests or arriving at better decisions (Coelus, Khademian, Kikuchi, Offenbacker, & Sanchez, 2009; Gastil & Keith, 2008; Laurian & Shaw, 2008; Twyford, Waters, Hardy, & Dengate, 2006; LCC, 2004; NCDD, 2008; Offenbacker, 2004; Scardina, Mortimer, & Dudley, 2007; UN/ECE, 1998; Wood, 2005; Zavestocki, Shulman, & Schlosberg, 2006) or (2) it may represent a community-building orientation for the purpose of spurring individual or collective action or for building or sustaining democracy (Brudney, 1993; KF, 2007; Lappe, 2007; Morse, Dudley, & Armstrong, 2005; NCOC, 2009; Peters, Abud, McNutt, & McKay, 2009; Pruitt & Thomas, 2007; Zacharchenko & Holder, n.d.) and that may involve a redistribution of political power (Anonymous, 2006; EC, 2009; Jensen, 2007; Riedel, 1972).

Participation can be a form of (3) education, using deliberative and dialogic techniques in order to create understanding or appreciation for alternate views or varying policy options (Abelson, Forest, Eyles, Smith, Martin, & Gauvin, 2003; Beierle & Cayford, 2002; EIPP, 2009; Gastil & Keith, 2008; MacKinnon, 2006; McCoy & Scully, 2002; Morse, Dudley, & Armstrong, 2005; PCP, 2002; Torres, Gunn, Bernier, & Leighninger, 2004). In this form, it can seek public judgment (Anonymous, 2010; Pratt, 2001; Yankelovich, 1991) in support of action at individual, community and/or government levels (KF, 2002; Offenbacker & Corbett, 2007; Sokoloff, n.d.). Participation also may (4) seek to resolve conflicts about competing views, goals and perspectives (Adler, Brewer, & McGee, 2007; Beierle & Cayford, 2002; EOP/OMB, 2005; Herzig, 2001; NCDD, 2008).

Table 2.1: A Taxonomy of Participation[2]		
Participation as	**Goal**	**Examples of Techniques**
Decision-making	Compliance with laws and regulations; fairness and/or justice; negotiation; arriving at better decisions	Advisory Committees
Community-building	Building or sustaining democratic society through individual and/or collective action	Grassroots Efforts
Education	Creating understanding and/or appreciation for alternate views or varying policy options through the use of deliberation or dialogue, may or may not be in support of action	Community Deliberative Forums
Conflict resolution	Resolving conflicts about competing views, goals, perspectives; establishing relationships	Study Circles
Collaboration	Leveraging formal and informal relationships or networks for mutual gain	Public-Private Partnerships
Discovery	Sharing insights, learning collectively or thinking creatively about common problems or challenges	World Café

The literature shows that participation may be (5) a means of collaboration, leveraging formal and informal relationships or networks for mutual gain (Eldenbos & Kliijn, 2005; FOCPS/HIPI, n.d.; Ho, 2007; IAP2, 2007; Innes & Booher, 2004; Jackson, 2001; Leighninger, 2009; Morse & Dudley, 2002; NCDD, 2008; NCI, 2004) or for more "horizontal" policymaking (MacKinnon, 2006). There also is evidence of participation as (6) discovery, where stakeholders share insights, learn collectively or think creatively about common problems or challenges facing them (Cooperrider & Whitney, 2001; KF, 2007; Maurer & Sachs, 2005; Roberts, 1997; SGN, 2002).

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[2] Abelson, Forest, Eyles, Smith, Martin, & Gauvin, 2003; Ackerman, 2005; Adler, Brewer, & McGee, 2007; Anonymous, n.d.-c , 2006, 2010; Beierle & Cayford, 2002; Brudney, 1993; Coelus, Khademian, Kikuchi, Offenbacker, & Sanchez, 2009; Cooperrider & Whitney, 2001; Corbett & Offenbacker, 2008; EC, 2009; EIPP, 2009; EOP/OMB, 2005; Eldenbos & Kliijn, 2005; FOCPS/HIPI, n.d.; Gastil & Keith, 2008; Herzig, 2001; Ho, 2007; IAP2, 2007; Innes & Booher, 2004; Jackson, 2001; Jensen, 2007; KF, 2002, 2007; Lappe, 2007; LCC, 2004; Laurian & Shaw, 2008; Leighninger, 2009; MacKinnon, 2006; Maurer & Sachs, 2005; McCoy & Scully, 2002; Morse & Dudley, 2002; Morse, Dudley, & Armstrong, 2005; NCDD, 2008; NCI, 2004; NCOC, 2009; Offenbacker, 2004; PCP, 2002; Peters, Abud, McNutt, & McKay, 2009; Pratt, 2001; Pruitt & Thomas, 2007; Riedel, 1972; Roberts, 1997; Scardina, Mortimer, & Dudley, 2007; SGN, 2002; Sokoloff, n.d.; Torres, Gunn, Bernier, & Leighninger, 2004; Twyford, Waters, Hardy, & Dengate, 2006; UN/ECE, 1998; Wood, 2005; Zacharchenko & Holder, n.d.; Zavestocki, Shulman, & Schlosberg, 2006; Yankelovich, 1991.

It should be noted that there is often some overlap in techniques used to support these types of participation listed in Table 2.1. For example, the World Cafe is a technique that supports "discovery," and it also is a technique that can be used in decision-making. Wolf (2005) suggests that public administrators attain an institutional literacy that enables them to discern diverse situations as part of their day-to-day work; a similar literacy may be necessary to navigate the many varieties of participation that exist and the myriad techniques that may be used in support of them.

From the standpoint of a public agency, the literature presents participation generally as conducted for three reasons. These reasons further stipulate the purpose for participation at the agency level, expanding on what Twyford, Waters, Hardy and Dengate have described as either the strategic or operational focus of public participation (2006). These reasons also collapse many of the categories defined by Lukensmeyer and Torres (2006), where they suggest agencies engage in participation for the purposes of agenda setting, analysis, design of policies, implementation or evaluation.

First, participation is used in public agencies to establish, revise or reform policies, programs or services. As a result, this aspect of participation frequently focuses on engaging people in support of open and informed decision-making. Often it is employed when a problem is politically difficult to navigate, allowing officials and staff members to better understand the public's needs, concerns and values so that they may make a more informed and potentially acceptable decision. Rabe's work on the public's participation in hazardous waste siting in the U.S. and Canada is one example that emphasizes the value of engagement as part of decision-making (1994).

Sometimes participation in support of decision-making is required. In policy areas such as the environment or transportation, there may be specific laws and/or regulations that guide the type of participation or when it is conducted by the sponsoring organization in advance of a decision. For example, the U.S. National Environmental Protection Act (NEPA) defines specific public participation activities (FHWA, 2010) as part of the decision process for potential projects. Yet in other instances compliance is more normative in nature. For instance, the UN/ECE Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (known as the Aarhus Convention) establishes a nonbinding requirement for participation in environmental projects. The harshest penalties for noncompliance with the agreement include the potential suspension of privileges and rights afforded to signatory countries under the Convention, to the extent possible under international law (UN/ECE, 2008).

Second, participation can be a means for managing agency program or service delivery. McGrath, for example, described how citizens in Worcester, Massachusetts are using handheld computers equipped with digital cameras to record neighborhood problems (2009). This information is uploaded to the local government's database for later response. "The system has become both a form of civic engagement and a means for understanding the challenges facing an aging, former rust belt manufacturing town," McGrath noted (p. 26).

Third, participation is a means for collaboration at the agency level, by bringing people together to address common or sticky problems that government agencies may not be able to solve on their own. Reality Check Plus is one example; three Maryland organizations (the University of Maryland's National Center for Smart Growth Research and Education, the Urban Land Institute's Baltimore Council and the nonprofit 1,000 Friends of Maryland) came together

during 2006 to examine regional and statewide growth issues (Frece, 2006). The project included extensive steering committees at the statewide and regional levels to drive its work, and it engaged diverse stakeholders across the state, including the support and involvement of dozens of public, private and nonprofit organizations and the participation of local citizens as well.

Some Confusion Around Terms

As the taxonomy noted in Table 2.1 indicates, there generally is a panoply of interchangeable terms that characterize what is known as participation, as the IAP2-Kettering Foundation Research Project (Offenbacker, Springer, & Sprain, 2010) and others have stated. Leighninger (2009) points to several simultaneous terms that are used, terming them "civic synonyms," including active citizenship, citizen-centered work, citizen involvement, citizen participation, collaborative governance, deliberation, deliberative democracy, democratic governance, public deliberation, public dialogue and public engagement (p. 5).

A typology suggested by Rowe and Frewer (2005) may be useful. They distinguished between public communication, which is one way and flows from an organization to representatives from the public; public consultation, which is one way from the public to the sponsoring organization; and public participation, which is two way and flows between the public and the sponsoring organization.

Historic Origins Influence Participation Today

With these common uses and terms for participation as a backdrop, this section of the literature review reaches back in time to explain why participation exists as it does today. It is important to establish that the practice of participation has been significantly influenced by three overlapping political and social movements over the past century. See Table 2.2.

First, the influence by scientific management in government, with its emphasis on outputs and expertise, can clearly be discerned in how participation has been practiced in recent years. Scientific management encourages a top-down, linear and quantitative dimension of management. The manager directs the participatory process in support of organization's mission. People are invited in at points when it is deemed necessary or appropriate in the name of efficiency. Scientific management also has encouraged the practice of assessing the success of participation by how many people attended a public meeting, or the percentage of people who sent in (or didn't send in) comments, and so on. It generally uses an economic lens to view participation.

Table 2.2: Epochs of Public Administration and Relationship to Participation			
Epoch	Scientific Management	Watchful Eye	Liberation Management / New Public Management
Goal	Efficiency	Fairness, Responsibility	Higher Performance
Key Influences	Progressive era	Civil rights, "Great Society" movements	Pure participation, deliberative democracy movements
General Contribution to Public Management	Structure, rules	Rights, ethics	Outcomes, results
Impact on Public Participation	Emphasis on outputs, expert viewpoint	Emphasis on equal access to participation, opened the door to environmental justice	Emphasis on patronage, evaluation, outcomes
Sources: Light, 1997, 2006			

Participation also has roots in the Progressive Era of the late 19th and early 20th centuries (Knott & Miller, 1987). Gastil and Keith (2008), for example, described the move towards deliberative practices during this era, giving birth to the open forum where the general public could ask questions of a speaker and engage in discussion that reflected a larger democratic spirit

within the community. Some participatory processes pre-date this era. The New England town meeting, for example, is a longstanding deliberative tradition that is well-known in the United States (Gastil & Keith, 2008).

Of particular historical note are the contributions to participatory theory and practice by Progressive era scholar Mary Parker Follett (Morse, 2006; Wolf, 1989). Two of these ideas are especially germane given the focus of this dissertation. Morse (2006) described Follett's concepts of circular response, where we make our environment, respond to it and simultaneously recreate it over and over, as an integral part of democratic practice. Further, this notion emphasizes how individuals and groups unify around differences; rather than being separate entities, there is an established interrelationship that facilitates a continual converging and reconverging of energies, ideas and experiences. Building on this premise, Follett also proposed the concept of integration, which represents reciprocal processes that are focused on discovery, synthesis and creativity in support of mutual problem-solving.

In addition to these two core concepts, Morse (2006, pp. 25-26) highlighted six specific ways that Follett influenced public participation and public administration. Several of these themes are echoed later in this chapter when inclusive management is reviewed and discussed. They include:

> 1. Seeing a role for public administration in building community through coproduction and other means of engaging citizens in public work.
> 2. Reconceptualizing participation as an ongoing process and the need to tap in to the ongoing avenues of participation rather than set up artificial, ad-hoc mechanisms. Administrators can think beyond formal meetings and engage citizens in a variety of ways.
> 3. The need for administrators to stimulate interest and engagement rather than simply expect citizens to know how issues relate to them.
> 4. The "experience meeting" as a model for formal participation and the subsequent need to develop skills in facilitating deliberative dialogue.
> 5. The neighborhood model of governance as a holistic approach to structuring participation for local self-governance. In neighborhood organization citizens have

opportunities for ongoing participation and public work....[In this way the neighborhood organization serves as an] ongoing mechanism of participation.

6. Administrators as experts must rethink their relationship with citizens as one of power-with as opposed to power-over. This again emphasizes a facilitative role for administration that needs further development in theory and practice.

Given the international focus of the dataset used for this dissertation, it is also valuable to identify similar traditions in a global context. For example, Fisher and Marin go beyond recent history to discuss examples of centuries-old deliberative decision-making practices in Russian peasant villages and their tribal or regional veches (in existence in some areas until 1917) and in Albania, which practiced deliberation since the 8th century (and which only ended relatively recently) (Fisher & Marin, 2006). Colombian artisanal communities also embraced deliberative decision processes from 1830-1870 (Arreaza & Murrillo, 2006). In addition, deliberative techniques as a means for addressing community issues remains a longstanding practice today in New Zealand and in Fiji, and among the Baka people in Cameroon (Fisher & Marin, 2006) and in Romania at the village level (Petre, 2006).

Following the scientific management movement and the Progressive era, the subsequent public-spirited movement towards a more watchful eye over government emphasized rights and ethics, with goals of fairness and responsibility (Light, 1997, 2006). The period from the 1950s into the mid-1970s, were marked by significant social movements focused on civil rights and equivalent access to the social, political and economic fruits of democracy; certainly many of these struggles continue today across nations and globally, among women, minority groups and others (Della Porta & Tarrow, 2004; West & Blumberg, 1990). Byproducts of these movements, in the United States and other countries, have been the adoption of laws and regulations designed to inure people from such restrictions or abuses and ensure equal access to participation

(Anonymous, n.d.-b; Glover, Keeley, Newell, McGee, Da Costa, Romo, Loureiro, & Lin, n.d.; Offenbacker, 2004; UN/ECE, 1998).

Perhaps as a result of the watchful eye emphasis on openness or "sunshine" in government, the idea of places—literally and figuratively—where common concerns could be deliberated experienced somewhat of a rebirth in the 1970s and 1980s. Habermas' idea (1974, p. 49) of the "public sphere" (Habermas, 1974, 1989) drew attention to the need for places where public problems can be aired, discussed and assessed (Amenta, Olasky, & Caren, 2005), a concept considered "central to vibrant democracies" (Baocchi, 2003, p. 54). However, such places where political talk took place as a republican ideal are distinct from those forums where managers engage in such dialogue for the purposes of management. As King, Feltey, and Susel (1998, p. 319) state

> Although many public administrators view close relationships with citizens as both necessary and desirable most of them do not actively seek public involvement. If they do seek it, they do not use public input in making administrative decisions…[and] believe that the greater citizen participation increases inefficiency, …delays, and red tape.

Finally, the third epoch of public administration reform that has markedly influenced participation is liberation management/New Public Management. With its emphasis on markets, customer service and evaluation in service to the goal of higher performance, this wave of reform embraced a more active role for citizens in administration, albeit with the manager in control. Vigoda and Golembiewski (2001) observed that New Public Management, noting Pollitt's work (1988), called for enhanced channels of communication with citizens, "but only as passive clients" (p. 278). NPM

> also views rulers and administrators as the major agents of managerial change. In this view, public administration adopts a 'patronage' position toward citizens who are left only with minor responsibilities, such as becoming good customers or sensible clients. It does not, however, encourage more voluntary active effort and participation by citizens in the administrative process. (p. 278)

In so doing, the movement towards market-based reforms in government affected the

practice of participation by diminishing its relative value. Indeed, Haque (1999) remarks that

because of "the growing alliance between the state and the market, there has emerged a more

collaborative relationship between public bureaucracy and private firms while the

administration's relationship with the ordinary citizen has weakened" (p. 309). Such a

> scenario of displacing or marginalizing established public service ethics (e.g.,
> accountability, representation, equality, justice) with market values (e.g., productivity,
> efficiency, competition, profitability) may have considerable implications for the overall
> administrative culture in relation to citizens. More specifically, public servants are likely
> to be more concerned for the organizational standards of efficiency, productivity and
> value-for-money while being relatively indifferent towards citizens' demands for
> representation, equality, impartiality, fairness and justice. In addition, the normative
> criteria or rationales for public policies and administrative decisions are likely to be based
> on market-driven principles rather than the opinions and expectations of citizens. (p. 315)

From an economic standpoint, Haque's point is a hurdle that agencies must overcome when

weighing the costs vs. benefits of public participation. On the plus side, as a result of an

emphasis on outcomes instead of outputs, liberation management has helped shepherd in a quest

in recent years for newer understandings of how to more effectively harness the knowledge and

learning that results from engaging people.

These three reform eras in public administration have contributed much to the practice of

participation by facilitating new ways of understanding and practicing participation as part of

public administration. Indeed, as Frederickson (1991) stated, a theory of the public necessitates

> the development and maintenance of systems and procedures for hearing and responding
> to the interests of both the collective public and the inchoate public. However, in its
> concern for efficiency, timeliness and order, public administration tends to avoid
> mechanisms for the expression of interests. Just the reverse should be true. Hearings,
> deliberations, grievance procedures, ombudsmen, sunshine laws, and the like are all
> friendly to a general theory of the public for public administration. (p. 410)

Key Elements of Participation

This dissertation now turns to the key elements that generally characterize participation. "Elements" are defined in this dissertation as descriptive conceptualizations of how an activity takes place.

First, participation usually consists of discrete events. There are distinct stages of the participatory process. Such time-defined processes may make participation seem inauthentic to people; in some instances, the public manager may appear to be 'going through the motions' for the sake of the process itself. However, having set, time-defined processes are especially valuable when an organization faces financial, political and other pressures that are leading them to engage people in the first place. Linear or sequential participation has its basis in rational choice and seeks to obtain input in the most efficient, effective manner possible.

Secondly, the organization usually sets the agenda for participation (EOP/OMB, 2005; ILG, n.d.; Lukensmeyer & Torres, 2006; Pruitt & Thomas, 2007). It establishes the terms for engagement and defines the stages and timing for participation (Anonymous, n.d.-d; Baker, Coaffee, & Sherriff, 2006; GAO, 2009; OECD, 2009, Sheedy, 2008; Sterne & Zagon, 1997). Because it considers participation as a corollary to its mission—often rightly so, because of statutory or regulatory requirements (Coelus, Khademian, Kikuchi, Offenbacker, & Sanchez, 2009; ILG, n.d.; NAPA, 2000; Offenbacker, 2004)—the organization's needs or interests normally have primacy.

As such, the participation expert or manager plays a leadership role in the participation process. This individual implements the flow and form of participation that has been established (Arnstein, 1969; Bramson, 2005; Dryzek & Torgerson, 1993; Fung & Wright, 2003; King, Feltey, & Susel, 1998; Roberts, 1997; Selznick, 1949; Vigoda & Golembiewski, 2001) and seeks

to focus the process on those decisions and resulting actions that the organization itself can undertake. Here is where the organization as political broker particularly can be seen, such as when the manager seeks to facilitate conflict resolution on key points of contention or to promote cooperative relationships among competing interests.

Table 2.3: Elements of Participation
1. Discrete events
▪ Focus on information collection ▪ Based on sequential stages or phases
2. Focused on the organization
▪ Organization's needs normally have primacy ▪ Often based in law, regulation
3. Emphasis on access and information necessary to participate
▪ Reducing barriers or constraints to access ▪ Information about subjects and/or the process ▪ Greater participation or representativeness = greater credibility or legitimacy

Third, participation usually seeks to create meaningful access for people to participate and the information needed to effectively do so. Dahinden (2001) proposes two different views of participation that are instructive. Under what he terms the "democracy view," there is a necessity to involve more people (p. 2). As Peters and Abud noted, some see it from a political perspective as "a gap between the preferences of a population and the action taken," although the literature about democratic deficit generally "focuses on the decline in attitudes, action, engagement and civic literacy relative to previous eras" (2009, p. 3). The influence of neo-institutionalism is evident in this aspect of participation, in that the organization explicitly understands that the breadth—and often the depth—of participation can play an essential role in legitimizing the decision or actions the organization takes as a result, and that Sheedy (2008) noted may accrue to the organization itself.

Access to participate is key in a democracy (OECD, 2009; Rai, 2008; Sheedy, 2008), and the intentional and unintentional effects of past exclusion today lead organizations to actively seek out participatory approaches that are as open and inclusive or representative as possible. In the

instance of those who were excluded in the past, the goal is to remove those barriers to participation (Offenbacker, 2004).

Dahinden's second "view" of participation (2001), that education is required in order for the public/stakeholders to participate effectively (RGDSSG, 2009; Sheedy, 2008), is the other important aspect of access to participate. Under this view, there is a "lack of understanding" about a particular topic or issue on the part of the public (p. 2). People must learn about the subject or the process to participate in order to do so in a meaningful way.

Generally all participation processes reflect educational components, from informational handouts to interactive websites, to community meetings and field trips, that seek to broaden participants' level of knowledge about the challenge or situation at hand. However, this view contrasts with scholars such as Mathews (2004) and Bittle, Haller and Kadlec (2009), who have argued that the public possesses a plethora of knowledge based on their own life experiences and that this knowledge naturally equips them for such efforts.

This dissertation acknowledges the importance of discrete events, the organization's needs and an emphasis on access and information as essential elements of participation. It seeks to complement participation as it is known, understood and practiced through the development of the engagement framework, which is further examined in Chapter 5: "Engagement Framework."

What Happens Next?

While organizational activity may result from participation, community action as a byproduct of participation does not always occur. For example, as Arnstein's ladder of participation (1969) and the IAP2 Spectrum (2007) demonstrate, sometimes participation is conducted in order to inform people in a democratic polity about what is occurring. At the other end of the continuum, participation may take the form of empowering people to work together (IAP2 Spectrum, 2007).

For example, Warringah Council in Australia sets forth four levels of participation for engaging residents, including informing, seeking information, involving and partnership (Anonymous, n.d.-d).[3] and it bases the selection of the level on the impact of a potential project or decision. As tends to be the case with most participatory efforts, generally more than one level of participation will be required for each particular consultation in Warringah, and there may need to be several consecutive activities at differing levels as part of the consultation. Partnership may or may not be part of the consultation effort.

Not everyone desires action as a result of participation. Data from Sumi's survey of California stakeholders supports a basis for more passive engagement in some instances; findings show three kinds of stakeholder preferences for engagement, those being passive, active and deliberative (2009). Under passive participation, the stakeholder places "emphasis on customer service and accessibility"; here the onus is on the agency to respond, with the implication being "that these people may be primarily interested in receiving attention and service as individuals, rather than as a public body at large" (Sumi, 2009, pp. 41-42). As Sumi notes, "None of this suggests that the person actually wants to commit to becoming engaged in a public decision-making process." By comparison, active public participation values outreach and communication

> because it relates to interest in the staff communication skills and outreach activities of the agency (such as holding hearings and public workshops) and implies an interest having opportunities for wider involvement in a public space. This is distinguished from "Passive Public Participation" because interest in public space opportunities suggests that these people may want to attend these meetings and become engaged and interact with agency staff in a public setting. (p. 42)

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[3] MacKinnon (2006) similarly sets forth three conditions for when to engage with people. They include "On issues of importance to communities"; "Where there is an opportunity to influence/inform the policy outcome" and "When there is a need for new directions, make value-based tradeoffs, or find common ground" (p. 13).

At the organizational level, the intentionality reflected in Sumi's findings (pointing out that the desire for action varies among participants) square with an empirical study by Corbett and Offenbacker (2008). This study explored the degree to which action occurred as a result of deliberative forums hosted by "neutral" organizations (such as universities), resulting in three key findings.

First, "that a relationship exists between the 'safe' place that deliberative forums provide and the spurring of community action" (p. 4). Having a place where people could say what they needed to say and explore various options was consistently important across the data sample. However, "the respective convening and moderating/facilitating skills of the organization and individuals matter" (p. 4). Secondly, "forums that are likely to challenge powerful local interests, to include business, cultural and political authorities, are exceptional," meaning that even with the neutrality of the convening body in place, deliberations that 'rock the boat' were rare among the data sample (p. 4). As the final report noted:

> The oral interviewees generally considered no issue to be off-limits to deliberation, but they varied greatly in their ambitions and experience regarding deliberative forums as means to community action. The norm for topic selection among most PPIs [National Issues Forum Public Policy Institutes, which were the focus of the study] tends to reflect "high priority, high visibility issues," as one interviewee described it, vice those that are considered controversial or "hot" and that might challenge powerful local interests. Exceptions to that were several interviewees whose profession is community action; they indicated they would be uninterested in deliberation if it did not bring about community action. (p. 4)

Third, findings stated that "the role of the action and process champion or facilitator (vice that of the moderator or process champion only) in purposively spurring community action as a result of deliberative forums is critical" (p. 5). This means that there must be a specific intent to take action when embarking on deliberation in order to spur it on as a result of deliberative processes.

Finally, Sterne and Zagon (1997) also bring the importance of organizational culture into this equation. "There is often a relationship between the culture of an organization, the consultation design it favours, and how it defines consultation," they noted (p. 10). For example, under this rubric an organization that has an empowerment-based culture may be more included to sponsor consultation processes that are focused on mutual problem-solving, as compared to a communications-based culture that promotes informing or educating people.

The degree to which action is sought within as well as outside of the agency at the community level is an important question in considering the complementary relationship that exists between participation and inclusive management. This dissertation now turns to a review and discussion of inclusive management as a means for drawing out this relationship.

Overview of Inclusive Management

Inclusive management makes many valuable contributions at both the organizational/agency and community levels. It is both a theoretical lens for explaining the ways in which management is practiced and its implications, and a pragmatic guide for managing. Most notably, it expands the skillsets that managers can use in support of participatory decision-making, program/service delivery and common problem-solving by providing a means for ongoing discovery, learning and collaboration and by doing so complements other kinds of participatory processes. IM has three main components.

First, IM is *informational*, as "informed deliberative processes are fundamental to democracy" (Feldman & Khademian, 2007, p. 306). An individual practicing inclusive management "facilitates the practice of democracy by creating a community of participation where people can share information from different perspectives and work together on problems" (p. 306). It also honors and builds upon the distinctive experiences and knowledges embedded in

each person in support of effective management (Weber & Khademian, 2008), community problem-solving and democratic practice. It is "an inclusive and flexible concept that embraces many alternative formulations of political motivations and analysis styles" (Schneider & Ingram, 2007, p. 1).

As Feldman and Khademian (2005) note, "The public manager is potentially in a position to know both the information and the perspectives that politicians, experts and members of the public bring to bear on the policy issue at hand" (p. 23). Further, "in this informational domain, public managers can design and implement processes that help others to deliberate together" for the purpose of arriving at potential solutions. This requires public managers to continually engage in such work as part of their duties, as well as during formally prescribed processes.

IM also is *relational*; the design and implementation of policies, programs and services are enhanced by "bringing people together from different perspectives in ways that allow them to appreciate one another's perspectives" (Feldman & Khademian, 2007, p. 306). In this way, participation or engagement is emergent and continuous (Feldman, Khademian, & Quick, 2009). It seeks to reconcile competing expectations through generative learning, which in turn "develops people's capacity to create new solutions to old problems" instead of settling for adaptation or coping mechanisms (Roberts, 1997, p. 213).

IM seeks to go beyond discovery and to share knowledge across and within communal boundaries (Osterlund & Carlile, 2005). This learning or knowledge that accrues to participants—public managers as well as others—is an essential byproduct of inclusive management (Feldman, Khademian, & Quick, 2009). In fact, IM as a practice "speaks to public managers' creative roles in not just facilitating but being part of and positively affecting

dynamic, emergent policy processes that produce options and changes in policies and channels for action" (Feldman, Khademian, & Quick, 2009, p. 124).

In this way, IM provides a means of learning or collecting specific knowledge in support of efforts to achieve common goals. For example, Bryson, Crosby and Bryson identify how strategic planning provides a specific way of knowing that is useful to decision makers (2009). As Weber and Khademian (2008) noted in their work on the role of collaboration in solving wicked problems, such sharing of knowledge "and integration are key to building collaborative capacity" (p. 335).

The emergent and ongoing aspect of IM is a critical dimension that differentiates it from types of participation that have defined beginnings and end points. In fact, Orlokowski described how knowing in organizations is "not a static, embedded capability or stable disposition of actors, rather an ongoing social accomplishment, constituted and reconstituted as actors engage the world in practice" (2002, p. 249). Empirical work by Orlikowski also demonstrates how organizational actors innovate, improvise and adjust work routines over time (1996). Through such temporal structuring, "actors produce and reproduce a variety of temporal structures which in turn shape the temporal rhythm and form of their ongoing practices" (Orlikowksi & Yates, 2002, p. 684).[4] Certainly knowledge is a byproduct of all kinds of participation, whether based on IM theory or other theories; the difference here is that under IM such knowledge creation is continual. It establishes an ongoing reservoir that can be drawn upon over time by participants – public managers as well as others.

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[4] In addition, research by Yates and Orlikowski shows how six dimension of communicative interactions (known as "genre systems") may be used habitually or deliberatively to structure collaboration. These six dimensions are "purpose (why), content (what), participants (who/m), form (how), time (when), and place (where)" (Yates & Orlikowski, 2002, p. 13).

IM also emphasizes *stewardship* (Dicke, 2002), with the inclusive manager serving as a facilitator who seeks to cultivate outcomes within as well as outside the organizational perimeter. It emphasizes building the capacity of the public to participate; in doing so the locus of control becomes localized and dispersed, rather than centralized with the manager (Feldman & Khademian, 2004). However, it important to note that by expanding the locus of control under IM, the manager does not give up statutory or regulatory responsibility for the issue at hand. Rather, the manager provides oversight and guidance to insure the quality and appropriateness of participation (Feldman & Khademian, 2004).

Stewardship theory contrasts with a more traditional principal-agent approach to management that is based on an "economic man" model (p. 37) where people are opportunistic, individualistic and self-serving (Davis, Schoorman, & Donaldson, 1997). Instead, Davis, Schoorman and Donaldson emphasize that stewardship provides a psychological and sociological approach to governance in that it considers people as collectivists who are trustworthy, and in an internal organizational context, pro-organizational – and in the context of engagement, potentially pro-community. As Donaldson and Davis note, perhaps there has been too ready an acceptance of agency theory and its benefits to governance (1991). However, others note a closer relationship between agency theory and stewardship (Caers, Du Bois, Jegers, De Gieter, Schepers, & Pepermans, 2006; Saltman & Ferroussier-Davis, 2000), viewing it instead as an "effective trusteeship" (WHO, 2000, as cited by Saltman & Ferroussier-Davis, 2000, p. 733), where stewardship is instead "a particular type of governance linked with agency theory and the concomitant role of the state as an agent for its citizens" (Saltman & Ferroussier-Davis, 2000, p. 733). A basic definition of stewardship in this manner is "the disinterested

performance of a duty by government and/or its agents on behalf of a superior" (Shafriz, 1998, as cited by Saltman & Ferroussier-Davis, 2000, p. 733).

In fact, empirical work by Van Slyke suggests that in the case of social service agencies, contractual relationships with nonprofit providers may "evolve over time from a principal-agent relationship to a principal-steward" one, albeit with less variance from theories than one would expect (2006, p. 157). His work also proposes that this evolution is influenced by contextual conditions such as the lack of market competitiveness, the type of service involved and constraints on management capacity.

Perhaps precisely because it involves public managers, the public, technical experts and politicians, IM "can be confused with civic participation," Feldman, Khademian and Quick (2009, p. 128) noted. "Participation is often a valuable means of producing inclusion, but there are important distinctions between management that is participatory and management that is inclusive" (p. 128), Feldman, Khademian and Quick (2009) also observed. It is important, therefore, to explain that IM is not, as some suggest, a style of management (O'Donohue & Wickham, 2008) or a means of achieving diversity (Wooten, 2009), although that may be one result of IM. It could be best characterized as an applied practice based on key theoretical principles that can guide a manager in understanding and more broadly fulfilling one's duties in a democratic polity.

IM Underpinned by Dialogic, Deliberative, Appreciative Inquiry Techniques

Dialogue, deliberation (sometimes called deliberative democracy or public deliberation) and appreciative inquiry as participatory techniques each provide a valuable basis for the informational, relational and stewardship elements of IM.

Dialogue involves relationship-building, listening and encouraging new insights (NCDD, 2008), and in some instances, such as race relations, it may involve confronting "differences in experiences and perspectives, requiring as much emotional as intellectual labor" (Gastil & Keith, 2008, p. 8). As noted in Chapter 1: "Introduction," dialogue is an essential skill for anyone seeking to practice inclusive management. It is more long-form and relational, and as such can serve as a type of glue that is instrumental in facilitating longer-term relationships.

Deliberation involves making "decisions after a period of reasoned discussion" (Gastil & Keith, 2008, p. 6). It seeks to accomplish a broad understanding of the issues and associated tradeoffs and limitations they entail among citizens so that informed choices may be made about common problems (Belcher et al., 2002). Deliberation emphasizes empowerment, deliberativeness, impartiality and representativeness (Sumi, 2009); further, it "implies an interest in the authenticity, equity, and process-related aspects of how the government works with the citizenry, with respect to public-at-large as well as with any particular interest group" (Sumi, 2009, p. 43). One conception involves "non-adversarial, results-oriented, community-wide decision-making on large issues" (Torres, Gunn, Bernier, & Leighninger, 2004, p. 2). As Gastil and Keith note:

> Advocates of deliberation presume that it is worthwhile for diverse groups of citizens—not just experts and professional politicians—to discuss public issues. Civic discussions, moreover, should have an impact on something important—usually law or public policy but sometimes mass behavior, public knowledge and attitudes, or cultural practices. Even in a representative democracy, direct, participatory democracy plays an important role in emphasizing and furthering public discussion, dialogue, or deliberation and thereby addressing public problems in ways that respect diverse interests and values. (p. 3)

Notably, there is the potential for transformative learning through inclusive deliberation that provides "a new world view and a new view of the self as political actor" (Stein & Patton, 2008, p. 2). The less hierarchical nature of governance today (Hill & Lynn, 2005; Hird, 2008) is an

opportunity for reframing democracy, where citizens are known as co-creators of public goods and problem-solvers, where public leaders are considered "partners, educators and organizers of citizen action" and where democracy as elections gives way to democratic society (Boyte, 2005, p. 536). The relationships that may be developed through deliberative efforts are an integral part of accomplishing this vision.

Appreciative inquiry as a practice also is a valuable aspect of inclusive management. As Cooperrider and Whitney noted, appreciative inquiry starts with the positive presumption of organizations, which serve as "centers of human relatedness," that are "'alive' with infinite constructive capacity" (2001, p. 2). Here the goal is to work with people to assist them in discovering, dreaming, designing and transforming the present in service to the greater good, while inquiring into the organization's current form in ways that are humanly, ecologically and economically significant (Cooperrider & Whitney, 2001).

The generative aspect of appreciative inquiry is critically important because it can open the door to capacity building. For example, Leibler and Ferri (2004) describe how generative capacities can accrue among nonprofit/NGO networks, including such capacities as learning how to learn, leading in new ways, managing competition and cooperation, working across boundaries. At a community level vice an organizational one alone, Mitchell and Sackney (2001, n.p.) have noted the value of creating what they term 'learning communities' that are generative in nature and involve teachers, parents, school administrators, students and community leaders as a means for school improvement.

As a result, this dissertation takes a broader view of generative capacity by acknowledging the role that communities themselves play as "centers of human relatedness," (Cooperrider and Whitney, 2001, p. 2). It also draws out how organizational leaders and managers—particularly

those with responsibility for engaging others—play a key role in facilitating conversations that recognize and build on these constructive capacities in a generative fashion (after Roberts, 1997).

Beginning with an assets-based approach to engagement provides a way for all involved to discover what is working at the community level as a means for understanding what is further needed (Kretzmann & McKnight, 1993). In this way it can facilitate relationship building as well as the sharing of information in support of common goals, and in so doing it may also support a more stewardship-based approach to mutual challenges.

Inclusive Management Strategies

The specific strategies that are used to enact inclusive management do not fall neatly into one category, rather they are overlapping and complementary in nature. Here the strategies used are loosely grouped with the practice that generally represents its dominant feature. See Table 2.4.

IM's relational work establishes connections with citizens (Feldman & Khademian, 2004, 2007) by drawing on interpersonal communication, the sociological core of deliberation (Escobar, 2009) and cultivating trust in those relationships (Feldman & Khademian, 2004, 2007). This aspect of IM is not on the whole different than the participation literature, where it highlights participation as a means to "foster social trust, capital and cohesion" (MacKinnon, 2006, p. 11).

There are efforts to manage expectations as part of these relational activities in order to limit disappointment and establish common goals (Feldman & Khademian, 2004). Open channels of communication also provide a means for people to be heard and for the transmittal of information that makes decision-making transparent. Further, as Feldman and Khademian note, the sharing of common experiences are valuable for bridging the gap between different kinds of identities that exist among participants.

Another strategy involves boundary objects, experiences and organizations. Boundary objects (such as images), boundary experiences (such as a community site tour) and boundary organizations (such as a Neighborhood Technical Assistance Center) are all mechanisms through which people can translate varying information, ideas and experiences in order to solve problems (Carlile, 2002; Feldman, Khademian, Ingram, & Schneider, 2006; Star & Griesemer, 1989).

Through customary ways of doing things, known as practices, individuals can jointly demonstrate, acquire or possess a level of understanding or knowledge (Bryson, Crosby, & Bryson, 2009; Jarzabkowski, 2005; Reckwitz, 2002; Schatzki, Knorr-Cetina, & Savigny, 2001); such practices also may be manifested through "a dynamic network of heterogeneous objects" (Feldman, Khademian, Ingram, & Schneider, 2006, p. 90) consisting of human and non-human ideas and actors, and that allow actors to transform—and not just transport—such objects and ideas as they move across space and through time (*American Heritage Dictionary*, 2000; Bryson, Crosby, & Bryson, 2009; Feldman, Khademian, Ingram, & Schneider, 2006; LaTour, 2005).

Bryson, Crosby and Bryson, for example, demonstrate how the development of strategy maps and business plans can serve as objects that interact with people and in turn have a transformational effect on organizations and individual alike. Bechky (2003) also has written about how engineering drawings and machines can serve as "problem solving across boundaries" (p. 720) among technicians, engineers and assemblers in a manufacturing company.

Finally, as has been noted previously in this chapter, formal/informal dialogue, deliberation and appreciative inquiry may be used as inclusive strategies. Such efforts may develop participant understanding and awareness of mutual opportunities and challenges (Feldman & Khademian, 2004), benefits and tradeoffs of possible options (Abelson, Forest, Eyles, Smith, Martin, & Gauvin, 2003; Beierle & Cayford, 2002; EIPP, 2009; Gastil & Keith, 2008;

MacKinnon, 2006; McCoy & Scully, 2002; Morse, Dudley, & Armstrong, 2005; PCP, 2002;

Torres, Gunn, Bernier, & Leighninger, 2004). At the same time, they may cultivate a broader,

Table 2.4: Inclusive Management Strategies		
Strategy	**Purpose**	**IM Practice**
Management tool for making connections and creating identity-based trust	Ways connections are made and identity-based trust is created	Relational
Managing expectations	Give focus and boundaries to public participation to limit disappointment and to create a common goal	Informational, Relational
Opening channels of communications	Allow people to be heard and to transmit information that makes the processes—how decisions are made—transparent	Relational, Informational
Common experiences	Bridge the gap between different kinds of identity	Relational, Informational
Boundary objects	Bridge the gap between different kinds of knowledge	Relational, Informational
Formal and informal dialogue, deliberation, appreciative inquiry	Develops awareness and understanding of mutual challenges, opportunities, benefits and tradeoffs; create appreciation of common assets in support of capacity-building	Stewardship
Based on Cooperrider and Whitney, 2001; Dicke, 2002; Feldman and Khademian, 2004; NCDD, 2008; Gastil and Keith, 2008		

more altruistic (Dicke, 2002) appreciation for collaboration in support of interests that go beyond

the individual or the organization alone.

Benefits of Inclusive Management

There are several benefits to inclusive management. First, there are political benefits to IM;

for example, inclusive deliberation can result in community-wide understanding of the tradeoffs

and limitations that surround decisions. While IM-based exchanges may not make it easier for

agencies to make tough decisions, it can create a climate where there is greater appreciation for

the complexities and hard choices that must be made.

Second, inclusive management adds value when problems and policy options may be

controversial (Weber & Khademian, 2008) because people are involved continually and not at

specific points in time. Specifically, there can be challenges to achieving public support for

options when people have not been involved in formulation of those choices, as Rabe's work in

hazardous waste siting emphasizes (1994). In this way, IM offers a possibility for "more

effective mechanisms for avoiding, transcending or bridging disagreements that threaten gridlock

or that produce ineffective or damaging policies (Schneider & Ingram, 2007, p. 1).

Third, IM's reliance on more "local" or individual knowledge shortens the gulf between

public managers and members of the public. Such distance can result in greater value being

placed on an expert view (Anonymous, 2006; Lemmie, 2008) on the part of government officials

and in so doing may reinforce the value of expertise at the cost of individual information that

could improve decision-making, program/service delivery or collaboration, were it known.

Other tradeoffs may be a diminished level of active involvement of the public in self-governance

and a lack of understanding of the nuances, complexities and challenges that underpin day-to-day

agency management.

Finally, the fourth benefit of IM is its values-based approach to accomplishing democratic

aims, and as such it is not based in rationality alone (Schneider & Ingram, 1997). This

observation underscores the point that the organization/agency is part of a larger, societal

democratic fabric and that the concept of governing may go beyond the organization/agency's

rational choice-based tendencies (Schneider & Ingram, 1997), instead reflecting a concept of

governance that focuses on a common "ability for leadership and consensus to mobilize the

public and private resources available to a society and thus meet social needs" (Mendoza &

Vernis, 2008, p. 392). For example, Schneider and Ingram described four types of target

audiences often reflected in policymaking—the advantaged, the contenders, the dependent and

the deviants—and also note a corresponding continuum of inclusion, from active outreach to the

advantaged to avoidance of the deviants (Schneider & Ingram, 1993). By comparison, IM's focus is on effective problem-solving that addresses the needs of a range of individuals who are representative of many different kinds of knowledge and experiences, in service to better outcomes community-wide as well as inside the organization/agency proper.

Key Elements of IM Theory

There are three elements of IM theory (Feldman, Khademian, & Quick, 2009).[5] First, actions are important, in that they represent the enacted, emergent nature of managing while at the same time focusing attention on the reciprocity that exists between structures and actions. They create and recreate the potential for inclusion by virtue of its iterative nature, and by doing so establish the potential for empathic connections among stakeholders. As a result of these factors, actions also emphasize the responsibilities that an inclusive manager carries for outcomes as well as for relationships.

Table 2.5: Elements of IM
1. Actions are Important   ▪ Emergent, enacted nature   ▪ Reciprocity of actions   ▪ Relational and informational dimensions   ▪ Emphasis on responsibility, appropriateness
2. Dichotomies are False   ▪ Opens up new possibilities for problem-solving
3. Dynamics of Inclusion are Continuous   ▪ Generative in nature   ▪ Exposure to multiple perspectives   ▪ Communities of participation
Sources: Feldman & Khademian, 2007; Feldman, Khademian, & Quick, 2009; Feldman & Quick, 2009

Here the process has primacy in inclusive management. Outcomes may be the ultimate goal, albeit focusing "on the process of arriving at the solution" is essential (Feldman & Khademian, 2001, p. 350). This is not referring to process for process' sake, rather it focuses on processes that build or generate capacity on the part of participants with different perspectives who are working together. This "ability to work together is fundamental and is more important than the outcome in most specific situations" (p. 350). In so doing, it draws attention to how actions

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[5] As noted previously, "elements" are defined in this dissertation as descriptive conceptualizations of how an activity takes place.

affect structures and provides managers with increased flexibility for working across political or organizational boundaries. It also draws the manager's and participants' own foci towards "who needs to be involved or served by public efforts and to the structures that enable or inhibit those efforts" (p. 352).

A second principle of IM is that dichotomies often present in thinking about management are drawn to be false; these age-old assumptions can get "in the way of recognizing the potential for addressing problems and taking sensible actions" (Feldman, Khademian, & Quick, 2009, p. 127). Instead, questioning dichotomies that exist about participation and management control, as well as other dichotomies that may exist, can open up new possibilities for problem-solving (Feldman, Khademian, & Quick, 2009).

More specifically, Feldman and Khademian discuss how such dichotomies force false choices between necessary measures of accountability and the flexibility needed to effectively govern in a world that is radically changed from the past few decades (Feldman & Khademian, 2001); instead they are seen as interdependent concepts under IM. As a result, IM provides an alternate way of addressing this "modern management dilemma" (Feldman & Khademian, 2001, p. 340), as Behn described it (1998); through the practice of inclusion, managers are able to grapple with both issues "as coequal parts of a system" (Feldman & Khademian, 2001, p. 346). Questioning dichotomies also provides a means for understanding nonlinear interactions in public management, "in which actions impact structures and vice versa to create systems" (p. 356).

Third, IM theory recognizes that the dynamics of inclusion are generative or continuous in nature. Whereas diverse inclusion is "rarely sufficient to enact inclusion," inclusion that also seeks out multiple perspectives grows the capacity of both the inclusive manager and members

of the broader "community" (Feldman, Khademian, & Quick, 2009, p. 127). This generative

nature of IM is based on what Schön terms reflection-in-action (Lichtenstein, 2000).

In this way, inclusive managers are continually challenged by new information and

experiences through relationships with stakeholders, technical experts, politicians and peers.

Lichtenstein explains that when new information and experiences are encountered, the reflection-

in-action that takes place leads the inclusive manager to question prior understandings and in

turn "generate both a new understanding of the phenomena and a change in the situation"

(Schön, 1983, p. 68).

The importance of action and its interaction with structure, weaving back and forth, cannot

be emphasized enough here. As Feldman and Khademian noted (2001), inclusive managers

necessarily see and use actions as a means for creating and recreating governance structures and

those governance structures in turn "enable and constrain those actions" (p. 343). Moreover,

inclusive managers are not the only ones to change. Communities themselves change over time,

and an ongoing interweaving of experiences and perspectives can provide valuable insights that

guide ongoing, coordinated action (Feldman & Khademian, 2007; Feldman, Khademian, &

Quick, 2009; Feldman & Quick, 2009). Inclusive management provides a more seamless

connection between knowledges, experiences and perspectives than may be the case for more

static processes.

Basis in Practice Theory

Given its emphasis on knowing and practice, IM is largely based on practice theory

(Feldman, Khademian, Ingram, & Schneider, 2006; Gomez, Bouty, & Drucker-Godard, 2003;

Nicolini, Gherardi, & Yanow, 2003). Practice theory includes two key elements, structure and

agency. The structure that underpins practice theory both includes people and the activities,

events, strategies and tools they employ in their work (Feldman, Khademian, Ingram, & Schneider, 2006). What the structure 'looks like' continually changes over time as a result of the influence of constraints, incentives and opportunities. The impetus for enacting these constraints, incentives and opportunities may be 'soft' (as in the case of norms, for example), or 'hard' (as in the case of laws or regulations). As people and activities, events and other elements change through enactment, so too does the structure change.

Further, Nicolini, Gherardi and Yanow (2003) noted that such a practice-based approach is an active and not a passive one:

> From a practice perspective, the world appears to be relationally constituted, a seamless web of heterogeneous elements kept together and perpetuated by active processes of ordering and sense making. Practices—including discursive practices—are a *bricolage* of material, mental, social, and cultural resources. Not only are people active *bricoleurs*, but the world is not docile or passive. To know is to keep all these elements in alignment, given that order is not given but is always an emergent process. (p. 27)

Perhaps most importantly for engaging others in a democracy, participants themselves constantly recreate the structure and its meaning together. This means that the locus of control is distributed or shared—rather than concentrated, given or granted—as an essential dimension of the engagement framework.

Under agency, public managers continuously alter practice (Feldman, Khademian, Ingram, & Schneider, 2006). In this way, public managers are facilitating change through actions and their many kinds of associations (with people and with activities, events, etc.). They are able to continuously 'translate' these experiences through the use of a variety of tools, processes, events and activities. Significantly, public managers also are able to play an essential role in translating these experiences, in that they possess specific social expertise (Nicolini, Gherardi, & Yanow, 2003) as a result of "knowledge in action" that results from the specific social, cultural and historical contexts surrounding that action (p. 3).

Types of Knowledge

This section discusses the three kinds of knowledge that inclusive managers use, among those needed in order to achieve public value and for purposes of governance (Thacher, 2001). They are political, expert and local knowledge. See Table 2.6.

Feldman and Khademian (2004, 2007) identify knowledge based on three different perspectives: the political, the scientific or technical, and the local or experienced-based perspective, which are brought by those who are engaged. All three types are "important in the formulation, adoption, and implementation of plans and programs" since inclusive management "requires attention to all three perspectives in the production of effective programs and policies" (2007, p. 306).

Yanow described expert knowledge oriented around technical and professional expertise, and local knowledge based on lived experiences (2004). Similarly, Bozeman honors the value of "ordinary knowledge," (*c.f.*, Kennedy, 1983), as well as that of "wisdom

Table 2.6: Three Types of Knowledge		
Political	**Expert**	**Local**
Synthesis	Theory-based	Practice-based
Systematically reported by constituents	Abstracted, generalized, academy-based	Context-specific, lived experience-based, "a feel for the whole"[6]
Formally and informally communicated	Scientifically constructed	Interactively derived
Fluid	Explicit	Tacit
Composite	Scholarly	Everyday
Sources: Bozeman, 1993; Schmidt, 1993; Yanow, 2004; Feldman and Khademian, 2004, 2007		

literature" based on synthesis and systematically reported personal experience and the more scientifically-based theory-seeking literature (1993, p. 29).

Schmidt (1993), for example, noted the existence of four types of more local knowledge that often are overlooked. They include "a feel for the hole," "passive/critical knowledge," "intimate

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[6] Schmidt, 1993, p. 525.

knowledge" and "a feel for the whole" (p. 525). Her work is based in part on examples from the 1975 collapse of an earthen dam on the Teton River in Idaho. The type of knowledge termed "a feel for the hole" is based on the gradual development of a repertoire of strategies built up over time by grouters on the project, and that leads to the acquisition of "a general kind of knowledge"(p. 526). Because each situation, each hole, even each stage of the grouting differs, the grouter cannot rely on rules of thumb, formal models or recipes or "they will jeopardize the quality of the work" (p. 526). Instead, the grouter must pay constant attention to the "back talk" of the situation at hand (p. 526).

"Passive/critical knowledge" (Schmidt, 1993) points to the dangers of discounting passive knowledge possessed by individuals with the lowest status and who occupy the lowest rung in a professional hierarchy (in this case, the field of engineering). This knowledge may not be formally gained, although it may be just as valuable. "Intimate knowledge" is knowledge that is gained over time; it is as likely to be knowledge gathered by people who live near the dam and hike near it regularly, as it is by professional dam inspectors after years of regular weekly inspections.

Knowledge characterized as "a feel for the whole" is knowledge inchoate within individuals; it can only be known collectively through individual contributions (Schmidt, 1993). No one person possesses "all" of the knowledge. It is perhaps this last aspect of this locally-derived kind of knowledge that best characterizes the kind of knowledge or information that inclusive management seeks.

Chapter 3:
Methodology

This dissertation reflects a mixed methods approach to data collection and analysis. It uses

secondary qualitative data from a project conducted by the International Association for Public

Participation (IAP2) and the Charles F. Kettering Foundation from 2005-2010 with analysis

using grounded theory and an

application of inclusive

management theory. See Table 3.1

for the three stages of this

methodology.

Table 3.1: Three Stages of Methodology, Based on Mixed Methods	
Stage 1	IAP2-KF Data Collection and Analysis
Stage 2	Grounded Theory
Stage 3	Qualitative Survey Using Inclusive Management Theory

Stage 1: Collecting the Original Data

The underlying dataset consists of secondary data originally collected for a research project

conducted by the International Association for Public Participation (IAP2) and the Charles F.

Kettering Foundation from 2005-2010. This study was designed to serve as "a cross-cultural

exploration of public-government decision making" (Offenbacker, 2008b, p. 94) and it had three

purposes. First, it provided a comparative examination of participatory practices and cultural

context across political, geographic and social boundaries. Second, it catalogued an array of

participatory tactics and strategies, such as the impact (or lack of impact) that public input has on

decisions and who is included and excluded, among others. Third, it offered a possible

framework for practitioners to use in identifying/understanding when, how and why the public is

engaged (p. 95).

I served as the project coordinator for the original data collection. The IAP2-KF study

consisted of 66 interviews with local, state and federal administrators and elected officials, NGO

leaders and public participation practitioners in 12 countries,[7] all with some degree of responsibility for carrying out this kind of work. See Table 3.2 for a review of the methodology for the original data collection.

Countries were selected for the project based on the interest they posed to the project subcommittee members; they also were countries for which interviewees had familiarity and existing relationships with public participation practices and processes (Offenbacker, Springer, & Sprain, 2010; Offenbacker, 2008b). Effort was made to include a geographic, cultural and political cross-section of countries to the degree possible given budget limitations.

Interviewees were selected for the IAP2-KF project based on the criteria listed in Table 3.2. Each country had an overall coordinator (country/region coordinator), who in most cases supervised the collection of data in more than one country in that particular region (exceptions were in Brazil and Mexico, which were grouped as "Latin America" and each had its own country/region coordinator). In Brazil, the regional coordinator also served as the sole interviewer for that country. I did not conduct any project interviews.

A criterion for selecting project interviewers was their awareness of potential interview candidates within their own respective country. (Other criteria included awareness of the practice of public participation and experience/familiarity with established qualitative research methods.) Interviewers proposed interview candidates that met the established criteria and as project coordinator I worked with the country/region coordinators to evaluate and prioritize potential interviewees. Efforts were made to ensure diversity of candidates to the degree possible. For example, if all 10 proposed interviewees in a country were male, I would suggest that one or more women from the candidate pool be selected for an interview. Similarly, if a

[7]The 12 countries were: Australia, Brazil, Cambodia, Canada, China, Côte d' Ivoire, Mexico, New Zealand, Scotland, South Africa, Sweden, United States. Two countries originally selected and subsequently removed from the project were Botswana and Thailand; Botswana was removed due to difficulty reaching the interviewer resident in that country and Thailand experienced a military coup in 2007 that led the team to remove it from the project sample (Offenbacker, Springer, & Sprain, 2010; Offenbacker, 2008b).

country had a significant indigenous or ethnic population, effort was made to identify potential

qualified interviewees with this kind of cultural heritage as part of encouraging alternative

viewpoints or experiences in the dataset. Some proposed interviewees were not available or did

not consent to the interview, and replacement candidates from the list were then chosen. In

certain cases, I researched potential participants through web searches or referrals from others.

These interviews were conducted from 2005-2007 under the supervision of the Virginia Tech

Institutional Review Board. It should be noted that the interviews contained in the dataset are

not representative.

Table 3.2: Methodology for IAP2-KF Data Collection[8]	
Study Design	Descriptive in nature Qualitative – Semi-structured interviews using a Strategic Questioning Framework
Study Population	▪ Public sector decision makers (elected or appointed) and employees on the federal, state and local levels ▪ Public participation practitioners ▪ Non-government sources – may be a multilateral organization (*e.g.*, World Bank) or a third-sector/NGO organization
Inclusion Criteria	Operational or leadership positions in governmental organizations; public participation practitioners; nongovernmental observers of democratic/participative systems or practices
Exclusion Criteria	Staff support positions in public sector organizations; citizens at large
Study Procedures	The interview protocol was pre-tested
Sample Size	66 interviews (Approx. 10 per country/region)

The interview protocol developed for the study (see Appendix A) by the project

subcommittee was pre-tested and interviewers participated in a training session in order to ensure

reliability across the data sample. All interviews were recorded and these recordings were

transcribed by a transcription service. Most interviews were conducted in English, although in a

small number of cases translators were used to transcribe and translate the interviews.

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[8] Based on M. Boulvain, 2008.

Translated interviews subsequently were sent to the corresponding interviewer in order to confirm that the translation accurately captured the interview and in order to correct any translation or other content errors (Offenbacker, Springer, & Sprain, 2010; Offenbacker, 2008b).

Because the confidential nature of the interviews, I scrubbed all identifying data from each transcript in accordance with IRB requirements following transcription. Each interviewer also subsequently destroyed their copies of the interview recordings and any notes that had been retained to protect interviewee confidentiality. (Copies of the interview recordings were retained by me as the project coordinator under IRB guidelines until 2012, when they must be destroyed; copies of interviewer notes also are on file with me.) Each scrubbed interview was assigned a number that corresponded to the interviewee's role. The scrubbed transcripts were then uploaded into an NVIVO qualitative analysis database by researchers at the University of Strathclyde for coding and data analysis.

The research methodology and analysis for the IAP2-KF study used a Strategic Questioning Framework approach, which "seeks to capture what is known while also prompting the interview subject to reflect on how the work they do could be enhanced and what role they could play in furthering that vision" (Offenbacker, 2008b, p. 99). This method is reflected in the semi-structured interview protocol contained in Appendix A; a literature review conducted for the purposes of this research project was also instrumental in developing the protocol.

For each interview conducted, interviewers prepared a one-page interview report. The report described the interviewer's own experience overall, as well as any specific themes and issues that arose from the interview itself. Interviewers were asked to a) relate the interview to the status of participation in that particular country or region, b) relate the interview to participation practice and theory, c) capture the anthropological perspective in that country/region, d) identify

the country/region's own values, norms and practices, and e) provide commentaries that promoted the sensemaking of the data collected and assist the project team with understanding the views that the data represented (Offenbacker, Springer, & Sprain, 2010; Offenbacker, 2008b).

Each country/regional coordinator also prepared two reports. The first report detailed reflections and reactions on the research process. For example, this report addressed the potential "implications of choosing this particular set of interviewees, how the results might have differed if another group had been selected, what surprises there were, and what did not go according to plan" (Offenbacker, 2008b, p. 102).

The second coordinator report provided a larger, comprehensive report of the findings for that country/region. It "reflected what they believed their region's interviews revealed on the whole. Subjects this report addressed included (a) recurring themes that emerged when the interviews were considered as a total package for each respective region, (b) similarities and differences across interviews conducted, and (c) other points the regional coordinator deemed valuable" (Offenbacker, 2008b, p. 102).

A Data Interpretation Working Group prepared an approach for the data interpretation and analysis. This "group considered the data analysis, discussed and conducted a review of a sample of the data" (Offenbacker, 2008b, p. 102). It also reviewed Categories for Analysis created by University of Strathclyde researchers "based on data contained in the literature review and the semi-structured interview instrument" (p. 102). The finalized categories (see Table 3.3) were then used by the University of Strathclyde researchers to code the interview data using NVIVO. Each element described previously (coded data by country, interviewer reports and the

country/region coordinators reports) were used to triangulate the findings for the purposes of preparing the final project report.

Table 3.3: Research Questions and Categories for Analysis for IAP2-KF Study	
Research Questions	Categories for Analysis
1. What is the nature of the public's participation in government decision-making processes across different cultures?	Contextual Organizational
2. How do different cultures facilitate/support the public's participation in government decision-making processes?	Process Equity Public Participation Implementation
3. What are the positive and negative outcomes that occur as a result of the public's participation?	Personal Public Participation Implementation Ethical
Source: Offenbacker, Springer, & Sprain, 2010; Offenbacker, 2008b	

The dataset from the IAP2-KF research project consists of qualitative data from 66 interviews with individuals who have responsibility for public participation activities in 12 countries. The coded data from this study is stored in an NVIVO qualitative database. This dataset is applicable to this dissertation because it provides indepth interviews with individuals who are deeply familiar with current participatory practices in differing countries, political systems and organizational environments.

As such, the dataset reflects five key subject areas that are germain to the problem statement and research question for my particular study that were detailed in Chapter 1. These include: 1) the interviewee's own views on participation/deliberation, 2) the processes and specific steps in participation/deliberation, 3) the interviewee's own role in these processes, 4) how differing interests are balanced with the public's responsibility/role and 5) how input is tied to decisions or outcomes. (See Appendix A for the complete interview protocol.)

The use of this secondary data required IRB approval in addition to the approval of the Kettering Foundation, which were both provided. The International Association for Public Participation in 2006 authorized first access to the data, prior to other researchers, for my use in this dissertation. Limitations of this study's use of secondary data include that it was collected for another purpose and that the use of several interviewers (17 in all) may pose some challenge for reliability.

Stage 2: Exploring the Elements of Participation

The secondary data analysis began with an interest in the kinds of participatory processes in differing countries and a desire to understand the distinctive roles that leaders played in these processes. Specifically, I found the comprehensive breadth and depth of the IAP2-KF dataset appealing because it provided an excellent nexus for examining these phenomena in this way. I further sought to determine if inclusive management theory/practice could be identified among the study participants and if yes, it offered an opportunity to engage the question, "what does inclusive management look like in action?"

The initial review of the data indicated a prominent emphasis on a broad variety of outcomes from participatory processes as identified by project interviewees. Using grounded theory the analysis began with an examination of the outcomes coded in the NVIVO database. The prominence of outcomes in the dataset was intriguing, and as a result further analysis of these participatory outcomes, how they varied, and across what dimensions, was warranted. I reviewed and categorized a total of 39 outcomes from the 12 countries by "informal" and "formal" as well as a combined category that covered both. See Appendix B for how each of the items assigned to these categories are defined. These categories made sense because due to my familiarity with the data as a result of the IAP2-KF project, there were elements that fell within

the purview of the interviewee's own organization and those that might fall outside of it. Later I slightly revised the title for each category to reflect the internal or external nature of the outcome; namely, was the outcome internal or external to the organization to which the interviewee belonged? (Hence the categories named "informal/external" and "formal/internal.")

Formal/internal outcomes are defined as those that occur primarily inside formal government structures (for example, the Canadian government sponsors a panel hearing). The sponsoring organization generally has a direct impact on these outcomes. There were nine kinds of outcomes in this category:

1. Cost/structural issues
2. Political visibility
3. Funding
4. Legal
5. Mitigation of impacts
6. Action by government
7. Effectiveness
8. Increased participation
9. Impact on policy area

I defined the second category of informal/external outcomes as those that occur primarily outside of formal government structures, such as at the community level alone (for example, Swedish community members deciding to open their own school). The interviewee's own organization likely does not direct these outcomes, although they could influence them to varying degrees. Informal/external outcomes identified included 15 types:

1. Awareness by public
2. Lack of influence
3. Ownership of outcomes
4. Lack of participation
5. Social cohesion
6. Tolerance
7. Suspicion of public participation
8. Conflict resolution
9. Cynicism, frustration

10. Confidence
11. Action by community organizations
12. Actions by community
13. Self-organizing
14. Self-organizing and actions by community (both reflected in the outcome)
15. Influence

Some data fell into a combined category of both informal/external and formal/internal. In this instance, the outcomes may represent the influence of an interviewee's organization on the process as well as other factors external to it. This grouping reflected a total of 13 items, which include:

1. Relevance
2. Action by govt/organization
3. Discussion, deliberation
4. Social, political support for public participation
5. Action by government and community organizations
6. Managing expectations
7. People receive benefits, services
8. Accountability
9. Knowledge/learning/skills
10. Process effects
11. Public support/legitimacy
12. Problem-solving
13. Relationship building

This categorization exercise was valuable for identifying the differing types of outcomes within the dataset. The data by type of outcome subsequently was then used to create visual maps for each of the 12 countries, showing outcomes mapped according to formal participation and informal participation. Some countries clearly had more instances of outcomes that fell outside of the organizational perimeter. The process of preparing the maps also led me through the steps that interviewees described for engaging people, and this was particularly instrumental in drawing out the continuous aspect of engagement that is represented in the engagement

framework. Each node on the country visual maps was color coded by the category of respondent. See Appendix B for an example.

I next grouped the outcomes by the category of respondent across all interviews in the dataset. This grouping of outcomes was categorized by the type of interviewee and resulted in a total of eight categories: local, state / provincial and federal elected officials (each in their own category), local, state / provincial and federal administrators (each in their own category), public participation practitioners and non-governmental organization leaders. If only one individual cited an outcome, it was not included in this comparison since I was looking for linkages or possible outcome patterns among interviewees.

Because of a general similarity in focus between local administrators & elected officials, public participation practitioners and NGO/nonprofit leaders, these four kinds of interviewees were analyzed together in this particular part of this research. Interestingly, the only type of outcome in common among these types of respondents was *influence*.

State/provincial-level administrators and elected officials also were analyzed together and the one similar outcome in this instance was *accountability*. At the federal level, administrators and elected officials did not reflect any commonalities in this subset, although *action by government* and *impact on policy area* were the most frequently cited.

Across these three groups, interviewees shared an emphasis on *impact on policy area*, *knowledge/learning/skills* and *influence* as outcomes from participation. It is fascinating to consider what each of these groups see as being most important as demonstrated by the responses in common across these three subgroups. See Appendix C, which includes observations and notes from the initial analysis.

Following this analysis, I also prepared smaller groupings of outcomes; specifically, those outcomes shared by two of the three groups included. Here the outcomes are listed, with the type of subgroup that cited each kind of outcome. There were no instances in this part of the coding where federal and state/provincial respondents cited the same outcomes:

- Public support/legitimacy (local and federal)
- Action by govt (local and federal)
- Accountability (local and state)
- Action by community orgs (local and state)
- Effectiveness (local and state)
- Self-organizing, actions by community (local and state)
- Problem-solving (local and state)
- Relationship building (local and state)

Further, some outcomes were *only* indicated within a particular group and as such they did not cross categories. None of these reflect responses solely from federal interviewees, rather only at the local and state/provincial level did outcomes overlap among subgroups. This may speak to the particular needs or interests of respective organizations or communities, culture or other factors. These responses included:

- Awareness by public (state)
- Confidence (state)
- Discussion, deliberation (local)
- Increased participation (local)
- Funding (local)
- Action by govt (local)
- Action by govt and community orgs (local)
- Self-organizing (local)
- Conflict resolution (local)
- Confidence (local)
- Public support/legitimacy (local)
- Legal (local)
- Social/political support for public participation (local)
- Managing expectations (local)

Some interesting findings resulted from this analysis. For example, at the local level (local administrators & elected officials, NGO/nonprofit leaders and public participation practitioners in five countries), the most commonly cited outcomes were *self-organizing and actions by community*, *accountability* and *impact on policy area* (3 each). The least commonly cited were *discussion/deliberation*, *knowledge/learning/skills*, *relationship building* and *influence* (2 each).[9] State level data, which represented two countries, had only two kinds of outcomes in common: *accountability* and *influence*, as did federal level respondents (2 countries), which cited the outcomes of *ownership of outcomes* and *public support/legitimacy*.

I also considered the outcomes by specific interviewee type; for example, local administrators alone. This kind of analysis was valuable for trying to understand the outcomes that people in a particular role might share across the dataset. It is fascinating to note that all subgroups of interviewees cited "Influence," except for federally elected officials (at least two interviewees had to cite the outcome in order to be captured in this chart, since it sought to establish potential patterns). Appendix C has additional details on this aspect of the analysis. See also Table 3.4.

Next, I grouped like outcomes into conceptual categories across all interviews in the dataset. This grouping is based on the country represented by each interviewee. For example, all Brazilian interviewees are categorized under "Brazil." This was valuable for identifying possible trends or degrees of prevalence for outcomes at the country level. See Appendix D for more detail on this portion of the analysis.

This analysis revealed that there are fewer internal outcomes that countries across the sample have in common. The country with the highest number of internal outcomes is Brazil (four) and

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[9] Both most common and least common descriptions in this section exclude those outcomes with just one response.

the countries with the lowest number are New Zealand and South Africa, with one each. The

case generally is the same for external outcomes; Scotland has the highest number with seven

and Sweden, Côte d' Ivoire and Brazil each have four.

Table 3.4: Common Outcomes by Type of Interviewee		
Type of Interviewee	**Common Outcomes (cited by at least 2 respondents)**	
Locally elected officials	Discussion/Deliberation Knowledge/Learning/Skills	Relationship Building Influence
State elected officials	Accountability	Influence
Federally elected officials	Outcomes	Public Support/Legitimacy
Local administrators	Funding Action By Government Action By Government & Community Organizations Effectiveness Self-Organizing	Increased Participation Accountability Problem-Solving Impact On Policy Area Influence
State Administrator	Awareness By Public Action By Community Organizations Effectiveness Self-Organizing & Actions By Community	Accountability Knowledge/Learning/Skills Problem-Solving Relationship Building Impact On Policy Area Influence
Federal Administrator	Action By Government Knowledge/Learning/Skills	Impact On Policy Area Influence
NGO/Nonprofit Leader	Legal Social/Political Support For Public Participation Action By Government Actions By Community Effectiveness Managing Expectations	Self-Organizing Self-Organizing & Actions By Community Increased Participation Process Effects Impact On Policy Area Influence
Public Participation Practitioners	Conflict Resolution Confidence Action By Government Effectiveness Accountability	Knowledge/Learning/Skills Public Support/Legitimacy Relationship Building Impact On Policy Area Influence

For outcomes that are both internal and external, the mode is split between two countries with five (Australia and Brazil), two countries with four (Canada and Mexico) and two countries with one (China and New Zealand). The country with the highest number is Scotland, with 10 internal/external outcomes.

The exploration of the data in this second stage led to several discussions with my academic advisor, Anne Khademian, about potential explanations for these findings. Some of these discussions overlapped with the coding and analysis of the data, as is sometimes the case when using grounded theory. We discussed the degree to which the outcomes could not be explained by the participation literature as it presently is known. We also discussed how some of the findings reflected a more iterative approach to engagement than the literature demonstrates, as shown by the visual maps for each country and evidenced by that coding process, and further that many interviews demonstrated instances where stakeholder capacity was being developed.

Following the outcome analysis, I began to consider the potential implications of the patterns and categories. It initially appeared to me that there were four kinds of outcomes shown in the data. Based on this observation, I combined types of outcomes and distilled them yet again into meta-categories. Types of outcomes included knowledge, impacts or influence (which could be direct or indirect), actions that result from those impacts or influences (which also could be direct or indirect) and processes that facilitate knowledge, impacts or influence and/or actions.

I also saw several different realms of outcomes in the data as a result of the visual map exercise. These include outcomes that corresponded to social or civil society and those that were respectively administrative or political in nature. The administrative I characterized as generally being within government, whereas the social/civil society was outside of government. Political outcomes could bridge between the two realms.

Finally, I interpreted four purposes or applications for the outcomes in the dataset. These included policymaking, problem-solving, program management and implementation. The latter three may also involve social capacity-building. See Appendix E for more detail.

This led to several diagrams and additional discussions about potential explanations for all three phenomena. As the capacity and iterative dimensions of the data emerged, we also discussed the potential for inclusive management theory to explain what was occurring in the data.

Stage 3: Application of Inclusive Management Theory

I now turned to a direct consideration of inclusive management theory as a potential means for understanding and explaining the patterns in the data—both the outcome patterns, and the behavioral patterns of the various interviewees. IM also has the benefit of proposing pragmatic strategies in support of management, which appealed to me given the applied nature of participatory governance.

Several discussions ensued about how IM theory and practice might match the phenomena seen in the data. I identified and used the key characteristics of inclusive management as a guide in further reviewing the data. Specifically, the action orientation of IM was used to examine the emergent, enacted nature of activities in the dataset, as well as the value of information and relationships as part of participatory efforts that interviewees indicated. IM's second principle, that dichotomies are false and instead open up new possibilities for problemsolving, pointed me toward an examination of capacity-building and outcome clusters in the data. Further, IM's third principle that inclusion is dynamic and continuous provided a means for considering how engagement over time is generative in nature, how it brings forward differing perspectives and

contributes to a community of practice among participants. Together, these factors were instrumental in identifying inclusive management in action in this dataset.

Charts with characteristics were prepared and refined several times in order to scope out an outline for the engagement framework that reflected IM theory, as well as to begin work on the prospectus for this dissertation. The continued refinement of the charts and drawings and discussions in preparation for the prospectus defense played a valuable role in developing and honing the engagement framework that is described in this study.

Indepth Interview Selection

These stages of the methodology then led to the selection of three indepth interviews for use in this study. These interviews were selected based on several key characteristics, including variations across countries and specifically cases that

a.) highlight clusters of outcomes, particularly those that provide a foundation for outcomes in the future

b.) emphasize the development of capacity, and

c.) demonstrate engagement activities that are continuous and iterative in nature.

I specifically considered countries with higher instances of outcomes, as identified in the second stage of my analysis, as a good pool from which to select the interviews. Effort also was made to select different kinds of interviewee roles in order to further examine differences and similarities among them. The interviews chosen to excerpt in this study include those with a Scottish NGO/nonprofit leader, a Canadian local elected official and a South African state administrator. The goal was to select interviews that could further illustrate IM in action.

Collectively, the three stages of this project's methodology provided a structured and well-defined process for responding to the problem statement and research question identified in this dissertation. The first stage focused on data collection as a means for understanding the cultural context of public participation in support of government decisionmaking, among 66 interviewees in 12 countries each with responsibility for participatory activities. The second stage used grounded theory to understand the phenomena seen in the dataset and identify patterns that could further explain them, through a combination of discussion, written analysis and the creation of explanatory diagrams. The third stage engaged inclusive management theory as a guide in further reviewing the data and providing the elements that are reflected in the engagement framework.

Chapter 4:
Outcomes

One important element of this dissertation is its focus on the outcomes that result from engagement, as a key dimension of the engagement framework. This chapter will begin with an overview of the relationship between public value, participation and accountability, goals and outcomes. It will then review various types of goals associated with deliberation, participation and engagement and conclude by discussing what is necessary for a shift in how we think about and work with others to address common challenges.

The Role of Participation in Establishing Public Value

Participation plays a valuable role in establishing public value specifically because it creates a mechanism for shared meaning across individual or organizational boundaries. Establishing public value is a critical aspect of democratic governance and the public's participation is an accepted part of establishing it (Callahan, 2007).

"Public value is what the public values, and it is the role of public managers to help determine through the democratic processes of deliberation and public engagement what social outcomes are desirable," states a report released by The Work Foundation. As the report noted, "It is through such processes that public managers can help to articulate collective citizens' preferences and thereby redress the 'democratic deficit' between public services and citizens" (Horner, Lekhi, & Blaug, 2006, p. 6) while also guiding public managers in identifying core elements of public value (Moore, 1995). Significantly, the result may also serve democratic aims by elevating "community well-being as an organizational priority" (Glaser, Jacob, & Lank, 2005, p. 21) over individual interests alone (Horner et al., 2006; Glaser et al., 2005).

An emphasis on measuring impacts or outcomes from engagement has emerged only in recent years (Erickson & Page, 1999; OECD, 2009; Rowe & Frewer, 2000) as part of determining public value. As Moore (1995) states:

> ...managers need an account of the value their organizations produce. Each day, their organization's operations consume public resources. Each day, these operations produce real consequences for society—intended or not. If the managers cannot account for the value of these efforts both with a story and demonstrated accomplishments, then the legitimacy of their enterprise is undermined and with that, their capacity to lead. (p. 57)

Challenges Associated with Participation

Several administrative challenges emphasize the need for public managers to demonstrate efficient and effective delivery of programs or services as part of establishing public value. There has traditionally been emphasis on outputs as a measure of accountability and as a way of demonstrating public value. Collecting routine data such as counting the number of comments received is easier than an assessment to determine outcomes using both routine and complex data (Hart, Northmore, & Gerhardt, n.d.). As mechanistic entities oriented towards production, such a tendency is only natural for bureaucracies (Waddell, 2005).

The prevalence of efficiency and effectiveness as administrative goals is a result of the advent of specialization in public administration advocated by Wilson (Grosenick, 1984). This emphasis subsequently is reflected in the work of management and administration scholars such as Taylor (1911) and Gulick (Gulick & Urwick, 1937), and in Progressive era reforms focusing on professionalism, neutrality and the use of objective data (Knott & Miller, 1987). More recently, the emergence of New Public Management in the 1990s has generated a rebirth in emphasis on measures of efficiency and effectiveness, as Chapter 2 noted.

Managers seek to deliver programs that are both efficient and effective for purposes of democratic accountability (Feldman & Khademian, 2004, 2005; Roberts, 1997), since these

efforts in public agencies are funded with tax dollars. However, the considerable costs and time required for participation are common arguments against such processes. In addition to the need for such substantial investments, it often is difficult for public managers to see potential efficient or effective outcomes that could result from such processes. They often are willing to suffer the tradeoff of diminished public support or understanding for the sake of achieving administrative goals. It also is important to note that organizations that sponsor participatory processes generally are not held accountable for outcomes that extend beyond their mission-defined boundaries, making it hard to make the case for resources that support broader engagement efforts beyond the organization alone.

Inclusive managers use informational strategies to work within time and cost constraints. In this way they are able to gather information from the public and likewise share it with them as well as a means for achieving better outcomes, through their roles as synthesizers, translators (Feldman & Khademian, 2007) and facilitators. As Feldman and Khademian (2005) note, "The public manager is potentially in a position to know both the information and the perspectives that politicians, experts and members of the public bring to bear on the policy issue at hand" (p. 23). Further, "in this informational domain, public managers can design and implement processes that help others to deliberate together" for the purpose of arriving at potential solutions (pp. 21-22). This requires public managers to continually engage in such work as part of their duties, as well as during formally prescribed participation processes. Here we can identify a need for striking "an appropriate balance" between goals that on their face compete with one another, such as fairness and efficiency (Vlavianos, 2007, p. 205).

Table 4.1: Challenges Associated with Participation			
	Administrative	**Political**	**Professional/Technical**
Measure	Efficiency, Effectiveness	Responsiveness	Professionalism
Drivers	Performance	Accountability	Expertise / Professional Identity
Costs Without	Lack of or Diminished Public Support / Understanding	▪ Reduced Efficiency of Process ▪ Reduced Effectiveness of Outcomes	▪ Reinforces Hierarchy / Keeping Citizens at a Distance from Government ▪ Reinforces Expert Mentality
Common Arguments Against	Time, Cost	Risk of Interest Group Capture	▪ Inability or Limited Ability to Gain from Public ▪ Risk of Being Held Accountable for Undesirable Outcomes
Benefits With	Ability to Craft More Efficient, Effective Outcomes	Community-wide Learning, Understanding of Choices, Tradeoffs, Limitations	Internal and External Capacity Building, Innovation
Common Arguments For	Problem / Situation Necessitates Investment	Political Risk if Public, Interest Groups are Not Engaged	▪ Public Can Enhance Our Knowledge About Problem / Situation ▪ Better Outcomes May Result
Key Inclusive Strategy	Informational	Relational	Stewardship
Based on Roberts, 1997; Dicke, 2002; Yanow, 2004; Feldman and Khademian, 2004, 2007; Vlavianos, 2007			

There may also be political challenges to enabling the public's participation. Public managers are sensitive to the pressures of political leaders who seek to engage constituents and respond to their needs, which may occur through discretionary or mandated processes (Feldman & Khademian, 2005); however, the risk of interest group capture through a convened process is a

challenge to inclusiveness. Likewise, there also are potential political risks to public managers and elected officials if the public and interest groups are not engaged in community problem-solving efforts. Both of these risks are continually present, but they are most acute in discretionary processes.

Countering this challenge requires public managers and political leaders to be comfortable with the inclusion of citizens who share different, conflicting or even controversial perspectives on common problems. Most importantly, they must trust the public's ability to arrive at appropriate outcomes on their own, outcomes that may not reflect their own preferences. Here, relational work can be key, for public managers as well as political leaders (Saunders, 2005); Saunders, for example, describes five elements of relationships at the group level for solving public problems including identity, interests, power, perceptions / misperceptions / stereotypes and ways of relating. He describes how such an approach was valuable in efforts leading to the Israeli-Palestinian Peace Process in 1999.

Thirdly, there are professional challenges based on the public's involvement. The professional view of public management considers technical or expert knowledge as preferable to and more valuable than local or political knowledge. This view is reinforced by New Public Management's neo-managerialism, which Terry worries may lead to "a certain view of administrative leadership" that emphasizes self-interest, with the resulting risk-taking and opportunistic innovation in turn undermining democratic governance by disregarding the public interest (1998, p. 194). These concerns about the risks of professionalism certainly are not new (Cooper, 1991; Green, Keller, & Wamsley, 1993; Mosher, 1968, 1978) but they raise important questions about the effects of professionalism on democratic governance and the relationship between managers and the public/stakeholders.

Engaging in participatory activities can expose public managers to professional risk, and negative experiences can reinforce this perspective. This counters the more exploratory perspective that Behn describes where the manager never precisely knows how to realize their agency mission and experimentation is used to determine what works and what does not (1988). The difference here is that the public manager retains control, even through the process of experimentation, whereas control is diminished when the public is involved.

Rather, stewardship as an inclusive strategy is recommended here, which uses generative learning as a basis for encouraging "a deeper understanding of a system and its underlying dynamics" (Roberts, 1997, p. 213). Such an approach recognizes "the possibility of motivational altruism", which is aimed at appealing to or heightening public managers "sense of personal responsibility and the shared value sets of parties" as part of their professional identity (Dicke, 2002, p. 457). In this way, public managers as professionals view themselves as accountable for cultivating democratic capacity through the public/stakeholders as co-producers as well as for guiding processes that potentially result in innovative or particularly prized outcomes. Respect for local knowledge as well as the use of boundary tools, such as was demonstrated in East St. Louis neighborhood planning (Reardon, 1998), are essential elements of such an approach.

It is important to note that there are political benefits to citizens as well as government as a result of inclusion, including community-wide understanding of the tradeoffs and limitations that surround policy choices. In addition, inclusive management acknowledges that public problems cannot be solved by government alone (Boyte, 2005; Weber & Khademian, 2008) but in active partnership with citizens and civil society holding collective responsibility (Boyte, 2005; Lemmie, 2008; Stivers, 1990). As Mendoza and Vernis (2008, p. 393) observe, "The legitimacy of the relational state stems from its capacity for dialogue and openness towards different social

actors, its ability to foster social inclusion as well as to assume leadership and obtain results

through partnerships and interorganizational networks."

While acknowledging the primacy of policy impacts, Andersson and Gavelin (2009)

distinguish between first- and second-order benefits from participation in support of scientific

policymaking. The authors describe benefits that include impacts on individuals, changing of

specific cultures, new skills and knowledge and community relations. They emphasize that

improved "recognition of second-order impacts could help scientists and policy makers

appreciate the indirect and long-term benefits of their public engagement activities" (p. 29).

Additional benefits include improved governance; greater social cohesion; improved quality of

services, programs and projects; and greater capacity building and learning (INVOLVE, n.d.).

Goals and Outcomes

This dissertation now turns to a discussion of goals and outcomes in the context of public

value. Goals are significant in that they give purpose to participation. As Andersson and

Gavelin (2009) have indirectly noted, there is a connection between goals and outcomes. Behn

(2001) also makes this tie, explaining that goals essentially serve as mirrors that are held up to

agencies when performance is evaluated. People engage with others and with organizations for

these purposes, in support of desired personal, community or institutional goals that in turn may

drive outcomes.

Carcasson (2009) identified three kinds of organizational goals for deliberation: first-order,

second-order and third-order goals. First-order goals include issue learning, improved

democratic attitudes and improved democratic skills. Second-order goals include individual /

community action, and improved institutional decision-making. Third-order goals are improved

community problem solving. Depending on the goals that are achieved, some or all of these could be understood as outcomes.

There are other reasons why organizations may seek out the public's participation. Understandably, one common goal is demonstrated compliance with established laws and regulations. Examples of other potential goals include a desire to retain a good organizational reputation (Offenbacker, 2009; Suchman, 1995), or a desire to be responsive to stakeholder concerns. The organization also may be interested in learning about the issue at hand or improving how it carries out participation.

This dissertation proposes that under an engagement framework, there may be many kinds of goals for participation. Supporting the organization's mission is one of these goals. Moreover, the manager cannot set aside legal or regulatory requirements that bind the organization, as noted previously. However, the emphasis here, even under legal or regulatory requirements, is on engagement as part of a larger view towards addressing common challenges that may be internal as well as external to the organization.

Engagement also values information, relationships and stewardship as goals. It seeks to create and use information that reflects many kinds of knowledges, not just those that are expert in nature. Relationships further facilitate boundary-spanning activities and experiences that nurture an environment where knowledges can be openly shared, considered and understood. Stewardship and the capacity-building that flows from it are by-products of the informational and relational dimensions of engagement.

Goals are important drivers of outcomes, because they provide a means for assessing effectiveness (Daft, 2001; Hall, 2002) and can guide assessments of public value. For public organizations in particular, the process of assessing effectiveness can be murky. As previously

noted, public organizations usually are held formally accountable for outcomes by law, regulations or standards measures of effectiveness. Where this becomes sticky is when measures of accountability are more subjective (Behn, 1998). For example, it is easy to establish if an agency held a public hearing as required by law as part a decision-making process. However, it is more difficult to establish if the organization learned anything that substantively improved the decision that was made at the conclusion of the process. As Wilson (1989) stated, sometimes it is easier to demonstrate outputs than outcomes.

This dissertation takes some of the focus off of the sponsoring organization by broadening how outcomes are considered. While the formal and informal or more subjective dimensions of engagement always will be of importance, especially for public agencies that are funded with tax dollars, the data in this study demonstrate that outcomes outside of the realm of the sponsoring organization can be just as valuable, if not more so, than those within the organization itself.

In this way, the lens through which we consider the outcomes of engagement is opened up akin to a telephoto camera lens. We see more outcomes because we are not only focusing on those within the sponsoring organization. In fact, while we are developing relationships and collecting various kinds of knowledge for use in addressing common problems, including for application within the sponsoring organization, the process of doing so simultaneously stimulates others to be similarly involved in their own environs. The co-production or co-creation that inclusiveness engenders results in these other kinds of outcomes that normally are not "seen" under many types of participation, although at least one study shows they may periodically may be seen as a result of community-based deliberations (Corbett & Offenbacker, 2008) if they are looked for.

One important aspect of outcomes relates to the building of capacity. Carcasson, for example, contends that the building of such capacity "serves well as the ultimate goal of deliberative practice" (2009, p. 4). At the crux of this issue, however, is the question of who is responsible or who takes on a commitment to doing this work. Specifically, if no one organization is tasked as part of its mission—directly or indirectly—to fulfill this purpose, it is left for "others" to do.

A Shift of Thinking

The use of inclusive management theory—with its emphasis on stewardship, relationships and information—requires a shift of thinking about how we think about working with others in addressing common challenges. Strohe (2003), as cited in personal correspondence by Waddell (2005), described the three orders of change that must occur for such a shift. First-level changes consider how much or the degree of change, second-level changes ask what systems and processes we must change, and third-level changes require us to change our mental models or our beliefs and assumptions.

At this third, deeper level, we must change what we believe and assume about accountability if we are to change the kinds of goals and outcomes we pursue through engaging people. Behn (2001) cogently captures the conceptual transition we must make in terms of accountability. He calls for "*a compact of mutual, collective responsibility*" (italics in original, p. 125). This compact consists of four key elements:

- A "compact" is not a legal document but an ethical commitment.
- "Responsibility" involves obligations willingly accepted, not punishment imposed.
- A "mutual" commitment entails a personal sense of duty to others, not a detached debt to some abstract rule.
- A "collective" duty dramatizes that the members of the compact are accepting responsibility as a team and abandoning the search for individual scapegoats. (p. 125)

It also requires an expansion of our understanding of participation, introducing a new way of thinking about and knowing about problem-solving. The organization is propelled away from outputs towards outcomes that respond to larger community challenges and not only those connected to organizational mission. At Strohe's first and second levels, this shift likely also requires a change in the existing systems and processes we use.

There are three ways that inclusive management theory contributes to this shift of paradigm. First, IM views people as vital connections who bring their own resources within our individual universes. They are partners or co-creators in problem-solving, rather than customers or clients (Wood, 2005). As Feldman and Khademian (2007) note, inclusive management provides a means for "bringing people together from different perspectives in ways that allow them to appreciate one another's perspectives will enhance the design as well as implementation of policies"; in addition, by creating a community of participation, "people can share information from different perspectives and work together on problems (p. 306).

Accordingly, IM explicitly acknowledges that organizations cannot solve problems on their own. For example, as Weber noted in his study of the Blackfoot watershed in Montana, agency representatives and community members recognized that common problems in the watershed and its associated communities could not be solved without working together towards the common good (2009). Other work by Weber and Khademian highlight how knowledge-sharing across networks can be instrumental for addressing "wicked problems" (Weber & Khademian, 2008). However, "wicked problems" or difficult issues are not the exceptions that drive the engagement framework; rather, IM-based engagement is appropriate and effective for a wide range of situations, subjects and scenarios.

Second, IM realizes the value of the engagement manager as steward of the public's wellbeing. This is particularly the case when this person is a public employee. Stewardship (Dicke, 2002; Roberts, 1997) provides a means for engagement experts to look beyond organizational goals and toward facilitating the development of capacity that can contribute to improved community problem-solving, either with or apart from the sponsoring organization. The concept of stewardship is a broader view of duty and responsibility than generally is captured in the participation literature, although it is relatively more explicit in the dialogue/deliberation literature because of its emphasis on community-level knowledge and action (Carcasson, 2009; Corbett & Offenbacker, 2008). IM in many connects the sponsoring organization and its individuals more directly to democratic principles. This may not reinforce organizational legitimacy, of course, although it does serve as a conduit to information that otherwise may be useful in carrying out its organizational mission.

Third, IM recognizes the value of information exchange based on relationships as a critical means for bridging between differences among people. These may be differences in knowledge or experiences. As previously noted, boundary objects and boundary experiences are two means by which people can be brought together in this way.

Chapter 5:
The Engagement Framework

This chapter describes the three elements of the engagement framework and how it supports the performance, accountability and knowledge-based drivers of engagement. It then elucidates the key elements that drive this framework, which are derived from inclusive management theory as detailed in Chapter 2.

What the Engagement Framework is Not

First, this dissertation details what engagement is not. It is not a technique, although several techniques (dialogue, deliberation and appreciative inquiry) have been cited as examples of those that can support engagement.

Engagement is not organization centric. Rather, it goes beyond organizational goals in the search for solutions that value and acknowledge the contributions of many kinds of actors, groups and organizations, including that of the organization which ordinarily would sponsor participation. The engagement framework acknowledges both the organization's own goals and those of others as equally valid.

It does not have defined stages. It is akin to a wave on a beach; certainly it may change in intensity or height but it has no defined official beginning or end. Because it is based on a continual flow of information and the cultivation of mutually beneficial relationships, it is ongoing.

Engagement does not seek representativeness or to create equivalent access to participate. However, it does not discourage these aspects of participation, which are important on many levels. Engagement instead takes the stance that everyone in a democracy is automatically at the table.

Because of its macro view, it sees people participating at different times, places and on varying topics that are important to them. Some may participate more than others, and others may engage minimally or not at all; some may participate sporadically or periodically. However, this weaving in-and-out (or opting out) by participants does not absolve the engagement manager from efforts to develop relationships, share information, and develop capacities that can contribute to problem-solving in the common interest.

Finally, under some views of participation (Dahinden, 2001), people are thought not to know enough in order to effectively participate, necessitating education about an issue or the process itself. The engagement framework does not dispute the value of education as a means for grounding decisions to be made or problems to be solved, however it places more emphasis on recognizing and honoring the individual insights and experiences that people naturally bring to any conversation (Mathews, 2004; Bittle, Haller, & Kadlec, 2009), vice those of technical experts. As the literature review noted, such knowledge is practice-based, context-specific and based on lived experience-based. It is interactively derived, tacit and experienced everyday (Bozeman, 1993; Feldman & Khademian, 2004, 2007; Yanow, 2004).

What is The Engagement Framework?

I now turn to a discussion of what comprises the engagement framework and how it supports the performance, accountability and locally-based knowledge-based drivers of engagement. As Chapter 1 indicated, engagement is a type of participation. It expands on the many kinds of participation described in Chapter 2. Simply stated, the goal or purpose of engagement is to build and sustain the knowledge and ongoing capacity of individuals, groups and organizations to respond to common problems or challenges.

Engagement is a valuable approach because it provides room for the simultaneous pursuit of individual/group/organizational goals and those that serve the greater good (Feldman & Quick, 2009). It also has the potential for providing objective and subjective measures of accountability (after Behn, 1988, 1998) in support of public value. For example, an engagement effort seeking to address disparities in community health care service provision may also result in a fewer Medicaid-funded emergency room visits (both objective measures), leading to a healthier community overall (a subjective measure).

Our evolving understanding suggests engagement as ongoing, where engagement is "made by walking," as Machado's poem suggests (Dallas, 2007).

Table 5.1: The Engagement Framework
1. Continuous activities, events, strategies and tools
▪ Simultaneous "waves" of activities, events, strategies and tools that are circular, overlapping, continuously enacted
▪ Flow of information may be partially defined and continues to emerge/change over time
▪ Community-centric, representing a broad, inclusive "community" of participation, not geographic per se
2. Clustered around particular outcomes
▪ Outcomes-based, enhances accountability
▪ Emphasis on appropriateness, concerns
▪ Meaningfully engages affected and potentially affected people for the sake of effective, efficient, responsive public management
3. Builds capacity for community problem-solving
▪ Expands democratic practices, builds capacity/skills for engagement across the democratic polity
▪ Engaging people who (by virtue of core democratic principles) always have an equal place at the table with administrators and politicians, for a particular policy, program or service and beyond
▪ Shared responsibility, with manager as facilitator or steward

Given this, engagement represents a panoply of complex, ongoing and continually shifting knowledges and relationships (Abers, 2003; Epstein, Coates, Wray, & Swain, 2006; Roberts, 1997), that occur through ongoing activities, events, strategies and tools (Feldman, Khademian, Ingram, & Schneider, 2006) and which represent the informational dimension of IM theory. See Table 5.1.

Not only are these activities influenced by various internal and external constraints, incentives and opportunities, their meaning and significance may change by virtue of their enactment itself (Feldman, Khademian, Ingram, & Schneider, 2006). Perhaps most importantly, engaging people is part of an ever-unfolding stream of exploration, understanding and experiences, instead of discrete events or discussions (Feldman & Quick, 2009). It is community-centric, in that it represents a broad, inclusive "community" of participation. This community of participation is not geographic per se, instead it may consist of people who are geographically dispersed who care deeply about a common issue and have a desire to work together to address it. Because the flow of information is ongoing, engagement presents an opportunity to craft more efficient and effective outcomes that can enhance performance.

Second, engagement emphasizes distinct clusters of outcomes from participation that in turn provide a basis for the creation of additional outcomes. The outcomes identified by interviewees in this research are not discreet endpoints, but rather a scaffolding that is continually being constructed (and deconstructed) in an iterative fashion, around which the public is engaged in varying degrees to address key public challenges or problems. This represents the relational aspect of IM theory. Through this diverse engagement, new understandings of common challenges as well as new opportunities for action may arise, in addition to the emergence of the common good (Feldman & Quick, 2009).

In addition to guiding engagement that seeks to address public challenges, the public manager and other experts who carry out engagement work also serve as facilitators or stewards of the community's capacity to enact or solve problems themselves, both within, adjacent to and outside of government. This means that outcome clusters under engagement may include community-level outcomes, such as the creation of committees or other joint initiatives in

support of community problem-solving and that may not necessarily revolve around government. Such secondary outcomes may be even more significant than the primary outcomes.

Because outcomes are a measure of accountability, engagement provides a valuable link to the political aspect of participation. The benefits of engagement in support of community politics include community-wide learning and an understanding of the choices, tradeoffs and limitations available based on options or differing solutions.

Engagement also involves developing "the ability of persons, organizations, and institutions to deal with collective problems" (van Buuren, 2009, p. 213), issues or concerns. Data collected for this study that is grounded in the literature and data analysis suggests compliance-based participation or education-focused deliberative or discursive efforts (Laurian & Shaw, 2008; Leighninger, 2009; McGrath, 2009) are milestones in engagement. In this way such efforts may serve as starting points or touchstones for ongoing engagement in support of future activity and as a means for cultivating the knowledge and skills necessary for constructing the capacity for community problem-solving, as a result of working together to define the problem, determining how it will be addressed and the deciding the outcomes (Feldman & Quick, 2009).

Often termed "capacity," these skills or abilities may be developed or cultivated at the personal or individual level, the social or relational level (mutual trust, social capital and collaborative relationships between people) or at the institutional level (facilitating cooperation, interactions and coordination at the organization level itself) (Healey, de Magelhaes, Madanipour, & Pendlebury, 2003; Innes & Booher, 2003). Likewise, such skills or abilities also may be developed within a governance framework, supporting collaboration as necessary for the purposes of joint decision-making (van Buuren, 2009). This aspect of the engagement framework corresponds to the stewardship aspect of IM theory. Notably it supports awareness of

different kinds of knowledge, particularly local-based expertise, that in turn build internal and external capacity and stimulate innovation.

Elements of the Engagement Framework

This chapter now turns to a discussion of the elements that correspond to the framework.[10] See Table 5.2.

The first element of the engagement framework is its emphasis at the macro level. Outcomes are primary, although outputs too are important, and as noted the organization's immediate goals are equally important as those of the "community" at large. Here the framework recognizes the importance of the organization as responsive to external pressures, per Selznick and other institutional theorists (Perrow, 1986), and argues that in order for the organization to retain institutional legitimacy it must to some degree be responsive to the community it serves (Offenbacker, 2009; Suchman, 1995).

Table 5.2: Key Elements of the Engagement Framework
1. Macro level orientation
▪ Greater emphasis on outcomes as primary ▪ The organization's goals are as important as those of the "community" at large
2. Focused on individual generative capacity
▪ Emphasis on using IM strategies in support of continually developing/honing skills and abilities ▪ Capacity building may or may not directly contribute to an organization's own mission
3. Explicitly acknowledges a broader commitment to ongoing dialogue
▪ Engagement is continual, simultaneously flowing back and forth ▪ Both developing/cultivating relationships and the ongoing flow of information are key

With the second element, the focal point of engagement is redirected away from the sponsoring organization and towards those who participate. There is emphasis on using inclusive management strategies as the basis for continually developing and honing skills and abilities among these individuals. Notably, this capacity-building may or may not directly

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[10] As noted in Chapter 2, "elements" are defined in this dissertation as descriptive conceptualizations of how an activity takes place.

contribute to an organization's own mission; for example, a manager who employs engagement as part of her professional duties may or may not see outcomes that support the organizations' own goals. This is where the stewardship dimension of inclusive management theory is particularly important because it brings to bear a sense of responsibility that may transcend one's professional or organizational commitments.

Because organizations have limited resources (time, money, people), however, this element may at times make it difficult for the manager to continue capacity-building efforts at the risk of other projects that have organizational priority. Here the relational and informational aspects of IM are particularly important to note; even if resource constraints prevent the manager from actively building capacity, the informational component provides a means for keeping the relationship going, since most organizations have formal and informal needs for keeping community members informed.

Third, the engagement framework explicitly acknowledges a broader commitment to ongoing dialogue. It views engagement opportunities as part of an ongoing flow of interactions that weave back and forth and in many instances may overlap with one another. This element reflects the iterative, emergent nature of engagement; it is never static or really ever concluded. It emphasizes the importance of developing and cultivating relationships and of sharing information in the spirit of addressing common challenges. The "wall of separation" that sometimes exists between managers as agents of their organizations and community members is soft and porous. Moreover, as the second element has alluded, there is emphasis on "power with" (per Follett) versus "power over" (Briskin, Erickson, Ott, & Callanan, 2009; Morse, 2006) that characterizes this kind of dialogue as collaborative in nature.

These informational, relational and capacity-building activities are part of the larger array of events that occur on an ongoing basis, in order to enact the goals and aspirations of a democratic polity. They are part of a larger tapestry of engagement instead of being seen as stand-alone activities.

Engagement Framework Strategies and Practices

Chapter 2 noted the six inclusive management strategies and their corresponding practices (Dicke, 2002; Feldman & Khademian, 2004). This section will highlight and relate these strategies to the engagement framework. These strategies have been regrouped by practices; see Table 5.3. The pragmatic aspect of inclusive management theory, as demonstrated by these strategies, underscores once again the ease with which managers can deploy inclusive management in practice.

Making connections and creating identity-based trust is a valuable strategy in a democratic polity. These relationships provide a basis for short- and long-term exchanges of information and they also build trust within organizations as well as in the individual manager. Under the engagement framework, this strategy is vital for facilitating continuous engagement. The manager must know—have connections with—and be trusted by people in order to be effective in collaborating with them.

The second strategy, open channels of communication, is essential for building relationships and allowing for the flow of information back and forth between people, making the process more transparent. It is critical that people continually feel comfortable with beginning a conversation or sharing an important piece of information that can contribute to common needs

or interests. In this way, this strategy encourages constant, mutual exploration and active

listening.

Table 5.3: Inclusive Management Practices and Relationship to Engagement Framework			
IM Practice	**Strategy**	**Purpose**	**Corresponds to Engagement Framework**
Relational	Management tool for making connections and creating identity-based trust	Ways connections are made and identity-based trust is created	Continuous engagement
Relational, Informational	Opening channels of communications	Allow people to be heard and to transmit information that makes the processes—how decisions are made—transparent	Continuous engagement, Emphasis on outcomes
Relational, Informational	Common experiences	Bridge the gap between different kinds of identity	Continuous engagement, Emphasis on outcomes
Relational, Informational	Boundary objects	Bridge the gap between different kinds of knowledge	Continuous engagement, Emphasis on outcomes
Informational, Relational	Managing expectations	Give focus and boundaries to public participation to limit disappointment and to create a common goal	Emphasis on outcomes, Continuous engagement
Stewardship	Formal and informal dialogue, deliberation, appreciative inquiry	Develops awareness and understanding of mutual challenges and opportunities	Capacity-building
Based on Cooperrider and Whitney, 2001; Dicke, 2002; Feldman and Khademian, 2004; NCDD, 2008; Gastil and Keith, 2008			

The third IM strategy is that of common experiences, which bridge the gap between different

kinds of identities, whether background, experiences, education, etc. It also is valuable for

knitting oft-disparate interests and viewpoints together. Similarly, boundary objects bridge the

gap between different kinds of knowledge. Both are valuable for creating shared meaning among disparate individuals, groups or organizations.

Managing expectations provides a means for the manager to give focus to the boundaries often that communities, organizations and/or individuals face when addressing a challenge. The intent is to limit disappointment while at the same time creating the basis for a common goal. This strategy supports both continuous engagement and emphasizes outcomes, particularly in how it draws attention to concerns or challenges that link participants together.

However, here I distinguish between the manager and the functional expert in the organization as it relates to this strategy. Often in participation the person with responsibility for carrying out the day-to-day stages of participation is not the functional expert. This means the process of managing expectations can be disjointed; the person interfacing with the public is not the engineer, for example, and there is much back and forth between the person with the authority to establish boundaries and the person who is communicating the organization's expectations. This dynamic must be considered as the engagement framework is implemented and it emphasizes the importance of an IM-based lens that is pervasive to the organization.

Finally, formal/informal dialogue, deliberation and appreciative inquiry are critical strategies for developing awareness and understanding of mutual challenges and opportunities. As this dissertation has discussed previously in several instances, formal and informal dialogue are perhaps the most critical skill that an individual who practices engagement can possess. All three have the potential for opening the door to the development of relationships and further, their continued practice can sustain that relationship.

Conclusion

Together, these key dimensions represent the engagement framework as developed based on grounded theory and reflecting inclusive management theory, its elements and practice. The purpose of this chapter was to provide a detailed exploration of the framework in order to set the stage for a more detailed consideration of it in the chapter that follows, Chapter 6: "Three Mini-cases."

Chapter 6:
Three Indepth Interviews

As Chapter 3 noted, this dissertation uses three indepth interviews to illustrate the

engagement

framework. The

Table 6.1: Research Design	
Selection Factors	**Countries, Level of Government and Roles for Interviews Used**
1. Clusters of outcomes 2. Development of capacity 3. Engagement activities that are continuous and iterative in nature	Scottish NGO/nonprofit Leader Canadian Local Elected Official South African State Administrator

interviews have

been selected from

the dataset based

on several key characteristics, including variations across countries and specifically interviews

that

d.) highlight clusters of outcomes, particularly those that provide a foundation for outcomes

in the future

e.) emphasize the development of capacity, and

f.) demonstrate engagement activities that are continuous and iterative in nature.

The three indepth interviews include a state administrator from South Africa, a local elected

official from Canada and an NGO/nonprofit leader from Scotland. See Table 6.1.

These countries were selected from which to choose the indepth interviews because of they

are among the top five countries in the dataset demonstrating evidence of the engagement

framework. These three specific interviews were chosen because of the dynamic nature in which

each of the interviewees, in their own ways, demonstrated the engagement framework at work.

Different types of organizations also were chosen in order to show how the engagement

framework may be operationalized in varying kinds of institutional settings. Each shows a

progression and a transformation in how we understand and practice participation.

The capacity building efforts, outcomes and continuous events for each interview were coded from the scrubbed transcript, as IRB requirements necessitate the shielding of interviewee identities. A list of each respective element of the engagement framework was compiled and then used to create side-by-side tables comparing responses from each interview. See Appendix F for the interview transcripts and Appendix G for the lists and the side-by-side tables previously referenced. Further analysis of the results from this review will be discussed in this chapter.

I now turn to an examination of the indepth interviews by each of the dimensions noted in Table 6.1: the development of capacity, clusters of outcomes and engagement activities that are continuous and iterative in nature.

Capacity-building

The nature of working with people to solve common problems extends beyond the understanding of capacity that is normally considered at an institutional level. That is to say, for the purpose of this study the organization's own capacity is equally as important as the ability of individuals and other groups or organizations to achieve change or resolve problems with community impacts. This section of Chapter 6 highlights and discusses four types of capacity identified in the three interviews: organizational, organizational/individual, stakeholder and both.

The literature generally defines organizational capacity as the potential of the organization "to perform—its ability to successfully apply its skills and resources to accomplish its goals and satisfy its stakeholders' expectations" (IDRC, 2010, p. 1). The reason why organizations seek to develop capacity "is to improve the potential performance of the organization as reflected in its resources and its management" (p. 1). From a rational perspective, organizations that perform better or satisfy stakeholders expectations are more legitimate bodies and are likely to receive added resources (Suchman, 1995). Further, as Adrien and Lusthaus (1997) state, "Performance

is defined in terms of mission fulfilment, efficiency, and ongoing relevance (the extent to which the organization adapts to changing conditions in its environment)" (p. 2).

The organization's relationship with its external world therefore is a critical piece of ensuring its longevity. IRDC and Universalia Management Group developed this graphic representation to depict the connection between capacity and the organization's performance (IDRC, 2010); it also demonstrates the influence that the external world has on the internal environs of the institution. See Figure 3.

Performance by the organization is driven by its capacity or capacities (Adrien & Lusthaus, 1997). There are six kinds of capacities organizations possess: strategic leadership, core resources, human resources, process management and programming and inter-institutional linkages. Adrien and Lusthaus expand on this classification by noting the effect that capacity, organizational motivation and environment exert on organizational performance. Internal motivations influence the organization and its performance in that they "affect the quality of work, the nature of how the organization competes, and the degree of involvement of institutional stakeholders in decision-making processes" (p. 2). See Figure 4.
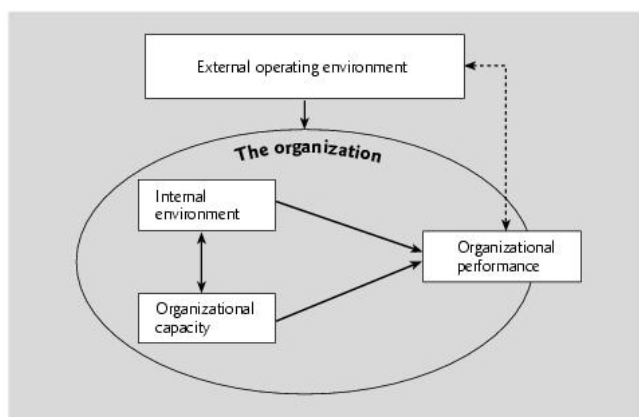
**Figure 3: Organizational Capacity and
Internal/External Environment**
Source: IRDC, 2010
(Used with Permission of IRDC)

Moreover, the performance of an organization is a critical factor in governance activities, and the stakeholder element of the external environment is particularly important given the focus of

this dissertation. The organization's capacity—as well as the work it does and how it carries it

out—can be affected by the regulatory or policy environment and by its political, economic,

technological, socio-cultural and technological contexts (Adrien & Lusthaus, 1997).

These kinds of capacities are distinguished for voluntary service organizations and NGO/nonprofit bodies, where capacity building often is associated with empowering individuals and grassroots groups (Eade, 1997; Fals-Borda & Rahman, 1991; Horton, 2002) and which clearly is demonstrated in the NGO/nonprofit interview selected as one of our interviews. Horton, for example, proposes 'capacity development' rather than capacity building as the preferred term in order to reflect this distinction, as 'capacity development'

Figure 4: Organizational Capacity and Performance
Source: Adrien and Lusthaus, 1997
(Used with Permission of Authors)

"implies an organic process of growth and development" (p. 1). This term is defined by Morgan

as the process or means by which individuals, organizations and groups enhance their abilities to

carry out their functions and arrive at desired results over time (Horton, 2002; Morgan, 1997).

Capacity development as a term makes two important distinctions, according to Horton: first that

it is an internal process of development and growth, and that such efforts should be oriented

towards achieving results.

With this discussion of capacity as a backdrop, there are four kinds of capacity-building this

study proposes, as Table 6.2 demonstrates. Select examples of organizational capacities

identified in the three indepth interviews represent a variety of the factors described here. See the complete list in Appendix G.

The first kind of capacity is *organizational*; this kind of capacity is used to accomplish organizational goals. For example, the ability of a staff member to internally create, print, assemble and mail a stakeholder letter is an organizational capacity. This supports the organization's goal of keeping stakeholders informed about a project's status. Almost anyone internally could perform the task of preparing and mailing the letter.

At the Scottish NGO/nonprofit, organizational capacity included strategic leadership, program management and linkage/network initiatives, including efforts to support children's involvement in community development and regeneration projects; developing the ability for the organization to work with social inclusion partnerships; partnership agreements themselves; meetings with key stakeholder organizations as part of facilitating children's involvement in planning processes; and impact assessments, among others. Each effort could be completed with resources that were internal to the NGO.

According to the Canadian local government interviewee, organizational capacity was much more circumscribed at the organizational level and generally represents the more strategic nature of this community's capacity. For example, the interviewee made note of the constraints placed on the local council by law and by practice, under a majority/minority voting model. Select examples of organizational capacity in this community included the ability of the local council to make decisions regardless of public comments provided and a limited ability by staff to acknowledge or track input received from the public. This suggests an environment surrounding the organization that is more legal/administrative in nature than stakeholder-oriented. However,

this interviewee also noted a motivation by elected officials to make people or interest groups

"happy" as one byproduct of the existing political institution.

Table 6.2 Capacity Building by Type of Capacity[11]				
	Scotland	**Canada**	**South Africa**	*Totals*
Organizational: generally focused internally on organizational goals	9	5	7	21
Organizational/Individual: generally focused on the organization's capacity, however with particular emphasis on the individual's own capacity as a significant actor	0	8	0	8
Stakeholder: generally focused externally on creating stakeholder capacity	43	7	14	64
Both: generally equal emphasis on internal and external capacity	4	6	10	20
	56	25	31	113

The South African state administrator described instances of organizational capacity for this

particular agency. Select examples include an ability on the part of the organization to "take care

of…the interests of the people" and the ability of the organization to informally assess the

effectiveness of participatory efforts. This excerpt from the interview is particularly pertinent

because it describes how the interviewee sees his/her role in relationship to the people the

organization serves vis a vis engagement.

> [We are able] to identify ourselves with them because we were born and raised there. We
> know their needs and we know their frustrations and we know the other side of the coin. To
> say previously water allocation was one sided and it is high time that the water reform
> allocation process is about to unfold and what it means to them; that is the thing. And the
> other thing is that it is until you speak the people's language, understand exactly things from
> their own perspective, not from your own comfortable side of the situation, it is then that you

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[11] Numbers contained in Tables 6.2, 6.4 and 6.5 reflect instances in each indepth interview where I coded and counted that differing types of capacity, outcome or continuous events had occurred.

would have a true perspective of what they want and what you should be doing. And to be consistent with what you promise to them or what you could be calling the deliverables. If you fail to deliver that in good time, let them know that they will have a challenge on this because of one, two, three, four. And what will be the next steps?

Of things that you cannot deliver or have no answer, you call the relevant department or section of a particular municipality or department to come and talk to them about.

There also were capabilities identified in this interview that could be defined as less than ideal, such as the inability of the organization to maintain a site once it has been cleaned up of trash; this comment in particular emphasized the fourth category of capacity, one that reflects capacities that are both internal to the organization and external to it, since under this scenario (unless the land was the responsibility of the agency), maintaining this site would likely require shared capacity between the agency and its stakeholders.

The second type is *organizational/individual*. This type is generally focused on the organization, however the individual is understood as a significant actor in their own capacity as a contributor the organization's success.

As such, this dissertation suggests that capacity building is affected by the individual motivations of people on the inside of organizations. Specifically, one of our three selected interviewees spoke at length about individual, organizational motivations s/he had within the confines of the local government for which s/he is an elected official. For example, this individual expressed frustration with efforts to make local government decisionmaking processes more participatory and deliberative. This individual had mixed success in implementing such efforts due to longstanding, formal structures of authority embedded in law and practice at the local level. This interviewee described this experience in the following manner:

So, when I did go into office, instead of willingly entering into a system that I felt was fairly deeply flawed, it was with the intention of trying to open up public participation in decision-making processes in a meaningful way, in a way that did not go through the motion but actually took on or asked the public to serve with whatever processes they would feel comfortable engaging in. And so even with our first council meeting, it was highly

participatory. We had note-takers or independent note-takers and a lot of commentary from the people who attended, looking at and working through what they felt council should be looking at, what the priority or where the objective should be aimed at. That was the start of it, and I have to say that was really an ambitious start because I think it caught people off guard and very quickly the ranks were closed and it was to be yanked back into a more formal structure, a more traditional structure.

The third type is *stakeholder* capacity. Here the stakeholder is the beneficiary of the skill or knowledge that is developed; it is externally oriented and focuses on building the stakeholder's ability to meaningfully participate by means of providing information or by developing skills or abilities.

Evidence of this kind of capacity was strongest in the Scottish NGO/nonprofit interview, with a total of 43 instances. This interview was noteworthy in that it stressed the use of participation that was developmental in nature, specifically seeking to engender participation with young people that cultivated self-esteem, developed life skills and personal skills, and provided a sense of achievement. Other select examples of the external capacity that this organization sought to establish included developing competencies related to particular kinds of projects, such as creating videos, report writing and production, designing questionnaires and conducting research, presenting reports and other skills-based efforts.

The NGO leader described one effort that involved working with at-risk teenage males. One of many projects they worked on was a sculpture that was to become a piece of public art, and the interviewee here detailed the kind of skill-building that characterized the work this organization does:

> [Over time there was] A complete change of their behavior. They said, we're not going to go and trash people's cars anymore, because that's not on. Because we did things like we talked about car insurance. They're like, the car's insured. When I explained to them the whole business about actual car insurance, they weren't aware. So if a little old lady's car got wrecked and they couldn't get the culprit, she would have to pay. The insurance would pay but then her insurance would go up. What would happen when she didn't have the car, getting it repaired? Ah, she wouldn't have the car. Wouldn't they give her a car? Only if –

once again, that would have to be special to her insurance.

You go into all these little details and they start to realize the ramifications. We would give it back to them. What if it were your grandparent? It still didn't quite cut right home to them until they really got involved in building the sculpture. Because when we said about the public display, the first thing is they wanted it encased in a metal casing – because it will get trashed! The colleague and I from [organization name] looked at one another and went, they're getting it. Empathy workshops next. That was the thing. That was good.

In South Africa, there were several instances of capacity building with an external focus. For example, the interviewee described information sharing and capacity building as essential tools for facilitating participation by stakeholders. The agency focuses on such efforts as creating awareness of laws governing water resource protection, working with a variety of types of media to communicate effectively with stakeholders and the use of awareness campaigns and workshops that seek to change people's behaviors about water quality and protection issues. The Canadian interviewee provided some examples as well, including the ability of residents to participate at committee meetings and on task forces and in some instances also being able to create their own vision for the future of the community. However, this interviewee also noted other capacities or behaviors that have developed as a result of an emphasis on voting without many opportunities for participation:

There has [sic] been some really nasty, ugly scenes that have erupted. One particularly, people were actually imported on buses. This was with regards to the golf course, and they were heckling and shouting down people who were trying to speak and I just had to stop the meeting essentially. This was just awful. And so, there can really be really bad behavior at that, and all it has to do is happen once and if somebody experiences it that once, they do not even have enough to experience it personally just to witness it, and they do not want to be in that position ever.

Finally, the fourth kind of capacity is one that is *both internal and external*; it emphasizes the creation of capacity both on the organizational level (internally) and on the community level (externally). For example, the Scottish interviewee described how children and young people

served on a hiring panel that evaluated potential employees; this was important to the organization as one that focuses on serving youth and it also provided a valuable opportunity to develop the skills and abilities of the youth themselves. The South African administrator spoke about the ability of the organization to discuss issues or concerns that affect people directly about water through a two-way process, and this interviewee also noted several other kinds of internal and external capacity development, such as creating the ability of participants to "own that outcome" as a result of engagement and creating opportunities for everyone to have a say, especially people in South Africa who are known as Previously Disadvantaged Individuals.

Some of the reflections included in these three interviews are forward thinking although could still be categorized as representing both kinds of capacity because they demonstrate a vision or intention to co-create a different reality in conjunction with the public. According to the Canadian elected official,

> What we need is essentially a huge process shift that balances the power around better, so that people who are acting not out of self interest but of collective interest have as much or greater voice than those who do have the wealth to create the capacity to make those very poor decisions. So, I think it is really important right now because unless we can do that, I just see more of the same. And we cannot afford that.

The examples that have been described in this section also highlight the significance of a stewardship mentality as part of an engagement framework based on inclusive management theory. Several examples noted here draw our attention to the necessity of thinking beyond the organizational or individual interest alone and towards building skills and abilities that support problem resolution at a more macro level in the community.

Outcomes

Chapter 4 focused on placing outcomes in a broader accountability context. Building on this

chapter, this section reviews several

kinds of outcomes from the data used

for this dissertation that are not

ordinarily seen as part of participation.

These outcomes can be classified into

four general categories. See Table 6.3.

Table 6.3: Four Types of Outcomes	
Community outcomes	Broadly serve the needs / interests of the "community" at large
Organizational outcomes	Serve the organization's mission
Group- or interest-based outcomes	Serve the needs / interests of a particular segment of the community
Individual outcomes	Serve the needs / interests of individuals

These outcomes are evident without any explicit knowledge or practice of inclusive management

theory on the part of study participants. That is, some individuals naturally or as a result of their

own leadership/management styles or skills have adopted strategies that correspond to inclusive

management practices.

Types of outcomes include *community outcomes* (such as in Sweden, where community

members joined together to establish a school); *organizational outcome*s (such as in Mexico,

where the agency counted the number of grants given as a measure of public participation); and

group- or interest-based outcomes (such as in Brazil where professional groups and unions often

advocate for change).

The fourth category is that of *individual outcomes*, and it is somewhat remarkable to discuss

this kind of outcome. In many instances the literature does not emphasize individual outcomes

(APA, 2006; Carcasson, 2009; Corbett & Offenbacker, 2008; Inagaki, 2007; LCC, 2004;

Lukensmeyer & Torres, 2006; OECD, 2009; Offenbacker, 2009), except where they serve

organizational, community needs or interest group needs. In fact, in some instances there is a

view that people who pursue individual goals through direct participation are "selfish" (Callahan,

2007), whereas when they are pursued in the interest of community they are not. The exception, of course, is the emphasis on voting as a legitimate means of "selfish" individual behavior (CPRN & Ascentum, 2005; Offenbacker & Sprain, 2008) in a democratic polity.

For example, the existence of a category known as "the professional citizen" is commonly understood to represent non-legitimate or less legitimate selfishness (McGrath, 2009). In this kind of über participation, a citizen of this type is an elite (after Gastil & Keith, 2008). The professional citizen crowds out others by virtue of their explicit skill in mastering the participation system (hence the "professional" label). This individual does not participate only to provide input or advocate for a cause per se, rather also as a counter to the power exercised by local government. In fact, Gastil and Keith (2008) describe the emergence of professional lobbyists as proxies for the public in the post-World War era, with these professionals depending on the public "for legitimation and labor rather than leadership" (p. 14).

By contrast, much of the literature does place value on the role of the individual citizen as participant. This is where the deliberation stream of the literature is particularly instructive as it emphasizes, as Carcasson has done, such results as issue learning, improved democratic attitudes and improved democratic skills (2009). Some authors emphasize the value of individual participation (Andersson & Gavelin, 2009; CPRN & Ascentum, 2005; Lappe, 2007; MacKinnon, 2006), especially in disciplines such as health where individual action is a primary driver for outcomes (ZSA, 2003). The data for this dissertation affirms the value of the individual's own contributions and as well the cultivation of individual outcomes in the form of the development of skills or abilities, otherwise referred to as "capacity building."

Table 6.4 highlights different kinds of organizational type by interviewee. Individual, group and organizational outcomes were similarly evident in the three indepth interviews, with

community outcomes significantly trailing these categories. This study surmises that the reason why the Scottish NGO has the fewest number of outcomes at the community level is precisely because of its focus on individual development as a primary focus of its mission. The Canadian local government and the South African state agency, as public bodies, naturally are more oriented towards community outcomes since they are sources of legitimacy for these types of organizations.

The outcomes reflected in the interviews also are important in that they reflect outcomes that exist outside the organization, although relating to the organization's purpose, interests and relevance. The organization often affects these outcomes, either directly or indirectly. Based on these specific types of outcomes, this dissertation proposes the existence of another kind of capacity that is itself an outcome and that is termed 'transorganizational.' This kind of outcome is interdependent and may relate to the organization's involvement in governance networks that support collaboration and coordination (Offenbacker, 2008, 2009).

Table 6.4: Outcomes by Type				
	Scotland	**Canada**	**South Africa**	*Totals*
Community: Broadly serve the needs / interests of the "community" at large	9	27	25	61
Organizational: Serve the organization's mission	25	39	41	105
Group- or Interest-Based: Serve the needs / interests of a particular segment of the community	50	25	26	101
Individual: Serve the needs / interests of individuals	54	29	25	108
	138	90	117	375

In the Canadian municipality where the elected official interviewed serves and for the South African administrator, by contrast there are many more instances of community-level outcomes. In fact, most of the outcomes listed cross all categories, albeit there are data points that capture organizational outcomes only.

For example, the South African state administrator described the value that this agency placed on accommodating the public in how they would like the organization to interact with them. This demonstrates an outcome that both the organization and its stakeholders "own"; both gain from such an outcome. By comparison, a less positive example is noted by the Canadian local elected official. This person expressed how frustrated community members become, which in turn manifests itself as anger, when they cannot contribute to council discussions about issues that are important to them.

Significantly, this transorganizational outcome may correspond to one or more types of outcomes as shown in Table 6.4. In this way it is cross-functional; not only does it cultivate skills and abilities on the part of one or more actors as reflected in the table above, it may become subject to a multiplier effect as a result. That is to say, a transorganizational outcome is potentially stronger and more durable than capacity that is not transorganizational or confined to one category alone (such as community only).

Interestingly, the outcomes identified in these three interviews rarely reflect outcomes that are community-only. However, in the Scottish NGO interview, most of the outcomes simultaneously fall into organizational, individual and group categories, with only a few references to community-type outcomes. This is understood to be the case because of the organization's mission, serving youth, and its emphasis on individual and group capacity-building. The community is in many instances a secondary or tertiary focus for the organization.

Select examples of community outcomes that correspond to other outcome categories include a visioning project by youth for a city park project that proposed the creation of a wildlife garden, pursued at the request of city management (individual, group and community) and a "pushing back" by community members on traditional rules of participation (e.g., Robert's Rules of Order) in support of opening up decisionmaking processes so that people can participate (all categories). The South African state administrator described an initiative that is particularly demonstrative of this cross-functional kind of outcome (across all categories):

> Like I said if we are to identify and develop individuals as champions of environment or water champions and things like that, they will eventually come up with other supporting structures which, if our education is anything to go by, they will be empowered to understand that it needs us and nobody else to take care of our environment.

Organizational outcomes generally seem to reflect the legal or administrative functions that organizations must carry out. For example, in the Canadian local elected official interview, majority voting is an organizational outcome. Likewise, the Scottish NGO describes impact monitoring conducted by the organization as a measure of effectiveness, and the South African state administrator notes that that the organization must comply with the National Water Act. These are largely organizational outcomes that generally are not the purview of stakeholders. Certainly stakeholders care that these organizations comply with the law, assess performance and make decisions by accepted legal or regulatory standards. However, this analysis distinguishes between outcomes that are primarily organizational, individual, group or community-oriented and those transorganizational outcomes that cross several categories.

Group- or interest-based outcomes serve the needs or interests of a particular segment of the community. Again, because of the mission of the Scottish NGO, this interview heavily emphasized individual or group outcomes in the ongoing work this individual does with children
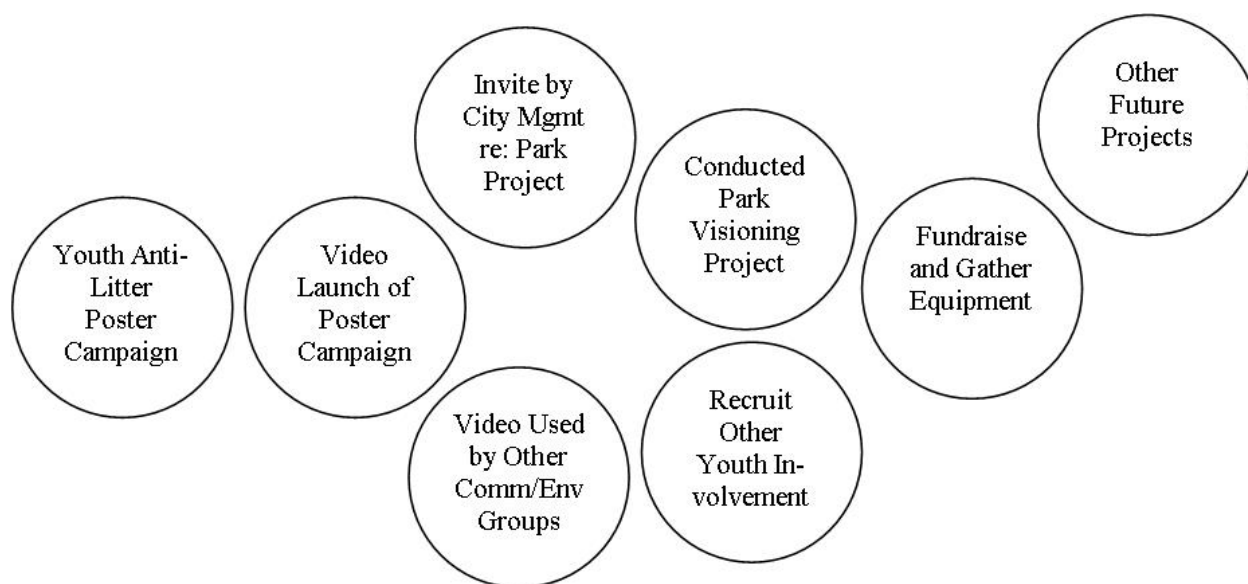
Figure 5: Clusters of Outcomes from Scottish NGO Interview

and young people. Here I make particular note of outcomes that are cascading or that cluster together. These outcomes do stand alone as outcomes, however their real power comes from seeing and understanding them as a series of interdependent actions, where one builds on the previous outcome or is a byproduct of that earlier outcome.

In this instance, the Scottish NGO leader described a series of events that built on one another as part of an effort to engage children and young people in community planning and regeneration projects. See Figure 5. This point is a critical finding in this dissertation in that it both acknowledges the value of capacity as an outcome and its ability in turn to generate other outcomes. Similar to the accumulation of earnings in the stock market, investments into capacity building at individual, group, community and organizational—or transorganizational—levels can lead to benefits that are distributed across the community at large. This point about social capital is not a new discovery, as Putnam's seminal work (2000) and many others (Burogohain, 2009;

Crawford, Kotval, Rauhe, & Kotval, 2008; Sprain, 2007; Yang & Callahan, 2007) have discussed.

Rather, what distinguishes this finding is its emphasis on the role that inclusive management theory plays in facilitating such outcomes. Without knowing it, the Scottish NGO leader discussed in the interview the application of inclusive strategies (sharing information, building relationships and establishing stewardship) that combine to spur these outcomes. In this way the manager serves as what Bennis (1997) terms a "catalytic completer"; here it is defined it as someone who plays a valuable role in facilitating outcomes that matter.

Here a portion of the interview is excerpted to illustrate this finding in its full glory. Note that the interviewee also described activities that occurred prior to these particular outcomes, specifically conversations and activities with socially excluded children about what it's like to live in their communities and which in turn built the children's capacity to carry out the later efforts noted in this vignette.

> An example would be one group of young people were involved – they did this project simply entitled "Littering is Wrong." They made these amazing posters – I've got artwork, because it draws people into working with them. But they produced these amazing posters, absolutely amazing. I'm biased, but they are amazing posters. The local authority in [community name] was so taken by them, they said we want to incorporate that as part of our Keep [community name] Clean campaign. But because they had their campaign citywide, what they then did, and the project was in [community name], they used it and distributed it throughout [community name].
> So all the posters were distributed to the various places and et cetera. But in addition to that, I said to the young people, we're going to have a launch of the posters. We're working towards that. I said the people we're going to invite – they said, who should be invited? Because they were involved in all aspects of the work. The posters is like the end product, as it were, but even that it's – I want to hear how it came about, what you did, I wanted them to stand up in front of all those people (but they wouldn't want to so , instead …) we'll make a video. So they made a video which is absolutely brilliant. I'm biased again, but it is. Our last program director described it as the best video that a Scotland program had ever produced. It was funny, it was informative, it was all what it needed to be. It captured people, whether you were old, young, it didn't matter. Once again, the local authority, the people and places officer, got hold of copies and he used that to take to groups, to environmental groups – because it was very much about the local environment and what you can do, cleaning up your

environment, etc.

At the launch, managers from the city turned up. They said, oh, you've got a group of young people. It was like, we've been knocking away on your door. Then to cut a long story short, got them involved in a project to bring new initiatives to this area called the [community name] park project, which was a new park area being developed in [community name]. These young people got other young people involved. In fact, a coach and a minibus load. Once again, this is about consultations. If you're consulting with children and young people, they can only give you information back from what's within their frames of reference. So if you're consulting children on what they want in a play park, they will only give you what they know to be in a play park. Unless you take them and broaden their horizons and experiences.

So with that in mind, that's what we did. We took them into adventure playgrounds and to crafts centers and ecology centers and big open park areas like 'voggerie' and all sorts of places. What they wanted for the [community name] park open area, what all the kids come back with, the big idea that came out when it was all disseminated, was a wildlife garden. It wasn't play structures because they saw their environment as their play environment. They wanted a wildlife garden because this was ideas they'd seen and they wanted to attract wildlife to the area. Birds and beasties and things. Then they also wanted the equipment, the wherewithal, so they could investigate the beasties. They got that together. They got 1,000 pounds, they gathered up all this equipment.

So all these things, it all came out of that initial little consultation about what is it like to live here. All this stuff came out from that. That was replicated in [community name] and the other areas I mentioned. They had various projects.

This powerful story about the outcomes that result from engaging youth by this individual and his/her organization makes several key points. First, that there are other outcomes that continue the trajectory depicted in Figure 5 beyond what is shown and also described in this interview excerpt. Moreover, it emphasizes for us that while outcomes are often considered "snapshots in time," they actually are complex networks of activities that overlap and create other outcomes, almost like a virus. There is simultaneously an end-on-end, overlapping effect that does not stop even though we may consider each outcome to be discrete unto itself.

Second, that young people become co-creators of these outcomes in conjunction with the Scottish NGO leader. This removes the primary emphasis from the engagement expert or the public manager and broadens our focus outside the organization per se, especially since the

outcomes that result matter beyond the organization itself. This underscores the point made earlier about the transorganizational nature of outcomes.

Finally, this vignette highlights the ability of outcomes to spur the development of capacity among people who are not directly involved or not directly the focus of capacity-building from the sponsoring organization's purview. For example, the NGO leader describes how city managers became aware of the potential contributions that young people could make as a result of the anti-littering poster campaign and video. As the interviewee described it and as is subtly noted in other parts of the interview, certainly creating this kind of awareness is important to this leader's organization; however, it was not one of the explicit goals of the project. Rather, it's a great example of "spontaneous combustion" outside of the organization's primary focal area that in turn can be brought in to positively reinforce what the organization is seeking to accomplish.

Figure 6: Clusters of Outcomes from South African State Administrator

Figure 6 depicts an outcome cluster from the interview with the South African state administrator. This outcome cluster contrasts with Figure 5 in two ways. First, it is more explicitly oriented towards the organization's goals than that of the Scottish NGO. The different

way both interviewees think about outcomes has been discussed previously in this chapter.

Second and more notably, it focuses less on activities per se than the Scottish NGO and more on

results. For example, the state administrator places greater emphasis on awareness and

understanding, by the public and/or by the agency about water quality issues:

> In fact, we run awareness campaigns and workshops. We even post questions and give them
> flip charts to say, "List all known pollutants of water." And they list them and describe them
> and we ask them, "What do you think you can do to do away with all of those things because
> these are not -- these are environment-unfriendly? What is it that we can do? What effect do
> all of these things have in our water system?"

Again, as with the Scottish NGO interview, some outcomes listed in Figure 6 are byproducts

of other outcomes. Reporting of leaks and public complaints about pollution are the results of

creating awareness of water quality management issues and raising the public's expectations for

it. This interviewee also gave another example of the end-on-end or overlapping nature of

outcomes:

> Like if you target a school on environmental pollution, which eventually ends up impacting
> on marine or water pollution, and we you talk to the students in schools and say, "Look at
> your environment. It is littered all over." And we have a competition, say, want to engage in
> the cleanest community or the cleanest school in the catchment. The minute you see a
> change in the cleanliness of the environment and then all of those things and we give
> incentives to people to become -- to be environmental conscious. Like the cleaning
> campaign - you buy T-shirts, you give them and take refuse bags and they have gloves and
> target a particular area and you do that, so much the better. And also in punishing
> institutions and shops -- bottle store owners who do not implement environment-friendly
> policies.

Figure 7 considers a different perspective on outcomes by comparison. Here, several

outcomes have been clustered that are described by the Canadian local elected official. They

show how participation increases and decreases continually over time and also demonstrate the

breadth of possible outcomes. As with the outcomes discussed for Figures 5 and 6, these

outcomes are mutually reinforcing. They point to systemic conditions at the local level that

create conditions that are not conducive to stakeholder engagement. This interviewee expresses the quandary that s/he faces:

> You can see the frustration and the frustration manifests as anger, and that sort of sets the cycle because once they are in an angry mode, there is no rationality. And I think that you have to engage your rational mind in order to -- and access your compassion, and I just really do believe that compassion and empathy are two components of decision-making where you are balancing interest that are so difficult to grasp when you are stuck in this model of governance.

This interviewee later also commented:

> I just think that under the terms of what a municipality can and cannot do in decision-making, we are essentially constrained to long distance decision-making. But there is also, if you step back, the way it is established and the rules under which we have to operate are binary; it is yes-no. But it is also a process defined as democratic; that is, it really relies on a certain amount of bullying and pushing around to get that majority vote. And so you get horse trading, you get a compromise this is not necessarily based on moving to consensus, and maybe that the compromise is because you have been pushed and brutalized. And so you step back because you just cannot take it anymore.

Figure 7: Clusters of Outcomes from Canadian Locally Elected Official

This cluster of outcomes also is included to make the point that outcomes vary in the values assigned to them. For example, the South African state administrator explained frustration with

the failure to maintain community sites that have been cleaned up over a longer term. This

person interprets it as a less than positive outcome, for the organization and for the community.

The Scottish NGO described being less than successful with developing relationships with local

social inclusion partnerships; this was a less positive organizational outcome according to this

interviewee.

As noted earlier, it is important to acknowledge in discussing Figure 7 the many positive

strategies the Canadian local elected official personally was deploying in response to the

environment within which this person served in this community. Examples of outcomes noted in

the data from this interviewee included deep listening skills as part of facilitating community

capacity, informal conversations as part of information gathering that could impact formal

decisionmaking and efforts to create a climate where people feel comfortable to speak. This

interviewee also talked about what I term 'pockets of promise' in this community, meaning

specific periodic efforts that hint at movement towards making stakeholder engagement more

widespread, inclusive and responsive to community needs, interests and concerns. Here the

interviewee described one such example:

> The living room, or else my dinning room table, a big round table that [indiscernible]
> founded on Mountain Week. We had these talks, just an evening over tea and cookies talks
> around what we want our community to look like. And that was certainly like a precursor to
> the invitation that you [referring to the interviewer] put out. It was really good because you
> get -- there is a sense of community-building through sharing of all those findings of those
> commonalities first of all, and then the sharing and elaborating those things, and that was
> great.

Across all of the interviews, the informational practice of inclusive management can be seen.

Rarely is there an instance in considering these outcomes where there is not information given or

received or both. Further, each interviewee—in their own individual way, whether acting

"officially" or personally—demonstrated how they are able to connect people and activities over

time in this way. The Scottish NGO leader used art projects in working with youth as a means for learning what is important to them and for likewise sharing information. The Canadian councilor drew on informal interactions at the community store and at the mailbox to inform decisions made formally. The South African state administrator provided and received information through interactive learning opportunities known as workshops.

Continuous Events

Continuous events are the third element of the engagement framework. As Chapter 5: "The Engagement Framework" notes, they are simultaneous "waves" of activities, events, strategies and tools that are circular, overlapping, continuously enacted. They are community-centric, in that they represent a broad, inclusive "community" of participation, not geographic per se. Finally, the specific flow of information may be partially defined and may continue to emerge/change over time. Here the term "events" is used loosely, sometimes also referring to them as "activities." The unifying dimension is that they represent action on the part of an individual or an organizational actor.

Table 6.5: Continuous Events by Type				
	Scotland	**Canada**	**South Africa**	*Totals*
Programmatic: Support a particular program or initiative	11	0	0	11
Organizational: Supports the organization's mission	18	19	18	55
Individual: Supports individual needs / interests of the interviewee	0	2	0	2
	29	21	18	68

Table 6.5 provides an overall categorization of three kinds of continuous events as detailed in the interviews. Programmatic events are those that support a particular program or initiative of the organization, such as the NGO leader described in working with youth as part of community planning and regeneration efforts. Organizational events are those that support the organization's mission; for example, using community radio to educate or inform stakeholders about water quality issues. Individual events are those that support the needs or interests of the interviewee. In this instance, the Canadian local elected official described informal conversations at the mailbox used as a means for gathering information that would be used in this councilor's official decisionmaking capacity.

To no surprise, the NGO has more of a programmatic focus as compared to the other two interviewees. It takes on specific work projects in defined

Table 6.6: Examples of Continuous Events at the Organizational Level by Scottish NGO
1. Highlighting the positions and situations of children and young people as part of policy work
2. Asking what children and youth want the organization to do/take on
3. Discussions with program director of organization about the issues of poverty and its effects on children and young people
4. Supporting research used in lobbying with qualitative and quantitative data
5. Working in alliance with other organizations for a compilation of information that will be submitted to the government
6. Involvement of children and young people on selection panels for hiring staff
7. Outreach to other organizations to make contact with hard-to-reach youth
8. Asking young people what they think and then disseminating that to adults; dispelling myths about children and young people
9. Impact monitoring by the organization that is assessed against five dimensions of change, through meetings of children and youth in groups
10. Stakeholder meetings with children and youth as part of the organizational review
11. Demonstrations outside parliament

subject areas for set time periods; for example, the NGO leader talked about the youth involvement in community planning and regeneration as a five-year initiative. Efforts in the

Canadian community and those by the South African water authority are more open-ended and ongoing by comparison.

It is important to note that there is a continual interweaving between these kinds of activities. No one activity "stands alone," rather, as the interviews demonstrate and has been previously discussed in the Outcomes section of this chapter, there is a domino effect at play. Each of the interviews in their own way capture this point; the Scottish NGO leader's description of efforts with youth shown in Figure 5, the South African state administrator's more elongated work in building awareness and capacity about water quality issues, and the Canadian local elected official's characterization of the nature of council decisionmaking. See Table 6.6 for an example of some of the continuous activities undertaken by the Scottish NGO.

Further, the interviews draw out the value of considering the conditions around which these activities occur as critical influences on these events and the degree to which they contribute to capacity-building and outcomes; these conditions may exert positive, negative or neutral influence. Specifically, based on the IRDC model of internal and external influence on organizational capacity (Figure 3) and Adrien and Lusthaus' model of organizational capacity and performance (Figure 4), there is the potential for these factors to affect organizational performance. More so, they may also affect outcomes that are external to the organization. Here, I have noted in italics the influencing factors at play in this one scenario the Canadian local elected official presented when detailing who is excluded from participating in events as a way of making this point:

> Well, there is a sort of *physical exclusion by way of holding these meetings and wherever that is that you meet.* Our municipal hall is a little bit difficult to get to. It is *up a steep hill* and *requires a car.* The bus does not run down there but you could take the bus, *dart it from [indiscernible] is a quarter of a kilometer away.* The meetings are often *held at night* and for some people it is just really difficult. Some *people work* evening shift, some people *have children*, especially young children and they *cannot leave them or they may not able to afford*

child care. The *meeting scenarios* –- they are just really not conducive to having children in the room, although I really have tried to encourage people to bring kids and I think the more that show up, the better we will start setting things up to accommodate people bringing children. My kids used to sleep in the back row seats. But that is sort of on the physical side, and elderly people - did I mention them - a lot of them just feel that it is *just too late*. They do not have to wait till 11 o'clock at night to be heard. So that is a problem. There is also *the psychological obstacle* of putting yourself out there in front of all these people sitting behind tables. Even physically, I try to move us into the semi-circle on the inside to be with each other, to be with the community, not *separated by the table*. That was an amusing public experiment. Anyway, the whole idea of getting up on your hind legs and speaking your mind is terrifying for some people as I'm sure you know as a facilitator. And so, in that respect, all that I found I could do as the chair and the facilitator of these things is create a climate, generally, where people would feel comfortable that they will be protected from [laughs, indiscernible] or whatever can happen, and it does happen….And then there are other people who just may disagree with their neighbors but *do not want to publicly admit that or articulate that because you have to live with your neighbors*. And in *this process where my interest versus your interest*, which is what it always tend to boil down to - well, it does not always tend to but it always does - in this majority rule process, it is always going to be that approach that I have to convince the council to do this thing that I believe is in my interest and not do this other thing which will adversely affect my interest, but it may be in the interest of my neighbor. So you are always *put into this position of as having to stand up for yourself because no one else will*, and that is really a shame. I think structurally that is a big problem.

This excerpt highlights the fact that activities themselves do not stand alone; just as organizations are influenced, so too are conceptual structures that enable us to participate, collaborate and co-produce together. Influencing factors may be physical or logistical, such as the location, how to access it or the time of the meeting; family or personal based, such as work demands or the need for child care; or psychological, such as a desire not to go against your neighbor when advocating for yourself. Together they comprise a system or structure of participation that may potentially deter people from engaging; alternatively these structures may facilitate engagement or somewhere in between. This realization is particularly critical given the interdependent nature of outcomes, events and capacity-building that this dissertation establishes. Under the engagement framework, the emphasis is on enactment of behaviors in support of

information sharing, relationship development and cultivation and stewardship in service to solving common challenges, governance needs and public value.

From a larger view, what is particularly impressive about the Canadian interview noted above is that it demonstrates the engagement framework at play despite difficult circumstances. Specifically, the councilor described using relational inclusive management practices as part of circumventing what this interviewee considered the municipality's flawed system of participation. For example, this person engaged people informally in the community about the issues that concern them; practiced deep listening with people; and relied on compassion and empathy in understanding other's needs and interests—all at the same time while advocating change to the system of participation in this particular community.

The Scottish NGO leader also used relational strategies as an inclusive engagement expert. For example, this interviewee began a public art project with at-risk males as a means for developing and cultivating a relationship with them, and that provided a means for having important discussions that connect behaviors with consequences. Similarly, the South African state administrator discussed plans for a water champion program as a means for ensuring representation to individuals previously excluded, with the goal of having these relationships contribute positively to water quality management efforts.

Table 6.7: Select Examples of Boundary Experiences and Objects	
Boundary Experiences	**Boundary Objects**
Creating a public art sculpture	Video created to tell the story of an anti-littering campaign
Hosting/attending a water quality workshop	Report produced by youth
Convening/attending a local government council meeting	Research questionnaire
Informal conversations at the mailbox with stakeholders	Agency vision statement and policies

The continuous events as part of the engagement framework use boundary objects and experiences, as previously detailed in Chapter 5: "The Engagement Framework," as a means for further establishing or cultivating relationships among stakeholders. See Table 6.7 for select examples of boundary experiences and objects from the three indepth interviews. Both experiences, such as convening/attending a local government council meeting, and boundary objects—for example, a research questionnaire—are valuable mechanisms for co-production. Both also provide a way to create shared meaning among participants, which is especially vital when we seek to embrace an inclusive management approach to problem-solving.

Chapter 7:
Findings and Implications

This chapter of the dissertation provides an overview of the key contributions made by this study. Specifically, it highlights five distinctive contributions to the field of public administration and policy, in particular to streams in the literature that include inclusive management, management and public participation.

1. Proposes an Engagement Framework

This dissertation reflects a mixed methods approach to data collection and analysis as a means for examining and understanding an alternative way of "seeing" participation than generally is written about in the literature or discussed in practitioner circles, and in so doing it extends the existing participation literature. Chapter 2: "Literature Review" highlighted several key elements of public participation as shown by the literature and identified six types. The engagement framework is proposed as the seventh. See Table 7.1.

Using the elements and strategies of inclusive management theory, the engagement framework draws upon the techniques of dialogue, deliberation and appreciative inquiry in support of ongoing communication, collaboration and problem-solving, among many other inclusive strategies that were noted in Chapter 2: "Literature Review."

Dialogue and deliberation create opportunities to develop or cultivate relationships through deep listening and conversations. These inclusive strategies frequently seek to understand the benefits and tradeoffs associated with different policy options or courses of action at the community level and as such also may serve an educational purpose.

Table 7.1: A Taxonomy of Participation[12]		
Participation as	**Goal**	**Examples of Techniques**
Decision-making	Compliance with laws and regulations; fairness and/or justice; negotiation; arriving at better decisions	Advisory Committees
Community-building	Building or sustaining democratic society through individual and/or collective action	Grassroots Efforts
Education	Creating understanding and/or appreciation for alternate views or varying policy options through the use of deliberation or dialogue, may or may not be in support of action	Community Deliberative Forums
Conflict resolution	Resolving conflicts about competing views, goals, perspectives; establishing relationships	Study Circles
Collaboration	Leveraging formal and informal relationships or networks for mutual gain	Public-Private Partnerships
Discovery	Sharing insights, learning collectively or thinking creatively about common problems or challenges	World Café
Engagement	Building and sustaining the ongoing capacity of individuals, groups and organizations to respond to common problems or challenges based on informational, relational and stewardship strategies	Appreciative Inquiry

Cooperrider and Whitney (2001) described appreciative inquiry as beginning with the positive presumption of organizations, which serve as "centers of human relatedness," that are "'alive' with infinite constructive capacity" (p. 2). Under appreciative inquiry, the goal is to work with people to assist them in discovering, dreaming, designing and transforming the present in service to the greater good, while inquiring into the organization's current form in

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[12] Abelson, Forest, Eyles, Smith, Martin, & Gauvin, 2003; Ackerman, 2005; Adler, Brewer, & McGee, 2007; Anonymous, n.d.-c , 2006, 2010; Beierle & Cayford, 2002; Brudney, 1993; Coelus, Khademian, Kikuchi, Offenbacker, & Sanchez, 2009; Cooperrider & Whitney, 2001; Corbett & Offenbacker, 2008; EC, 2009; EIPP, 2009; EOP/OMB, 2005; Eldenbos & Kliijn, 2005; Feldman & Khademian, 2004, 2005, 2007; Feldman, Khademian, Ingram & Schneider, 2006; Feldman, Khademian, & Quick, 2009; Feldman & Quick, 2009; FOCPS/HIPI, n.d.; Gastil & Keith, 2008; Herzig, 2001; Ho, 2007; IAP2, 2007; Innes & Booher, 2004; Jackson, 2001; Jensen, 2007; KF, 2002, 2007; Lappe, 2007; LCC, 2004; Laurian & Shaw, 2008; Leighninger, 2009; MacKinnon, 2006; Maurer & Sachs, 2005; McCoy & Scully, 2002; Morse & Dudley, 2002; Morse, Dudley, & Armstrong, 2005; NCDD, 2008; NCI, 2004; NCOC, 2009; Offenbacker, 2004; PCP, 2002; Peters, Abud, McNutt, & McKay, 2009; Pratt, 2001; Pruitt & Thomas, 2007; Riedel, 1972; Roberts, 1997; Scardina, Mortimer, & Dudley, 2007; SGN, 2002; Sokoloff, n.d.; Torres, Gunn, Bernier, & Leighninger, 2004; Twyford, Waters, Hardy, & Dengate, 2006; UN/ECE, 1998; Wood, 2005; Zacharchenko & Holder, n.d.; Zavestocki, Shulman, & Schlosberg, 2006; Yankelovich, 1991.

ways that are humanly, ecologically and economically significant (Cooperrider & Whitney, 2001). The generative aspect of appreciative inquiry is critically important because it can set the stage for the creation of different kinds of capacities by honoring existing assets, knowledge and skills, that in turn can be brought to bear upon mutual challenges

The engagement framework involves three key elements that distinguish it from other types of participation. First, it is based on the development of different kinds of capacities, some of which may fall outside the purview of the sponsoring organization. Second, it reflects and respects many kinds of outcomes. As with capacities, some of these are co-produced with stakeholders. Others occur completely outside the control of the sponsoring organization or are byproducts of other outcomes. Finally, it acknowledges the presence of continuous events, activities, tools and strategies that unfold over time. These activities, like outcomes, may take place in a domino effect, while others overlap, are end-to-end or demonstrate 'spontaneous combustion.' Together, the engagement framework allows us to 'see' aspects of engagement that otherwise generally may not be seen in other kinds of participation.

2. Adds Stewardship as Third Aspect of Inclusive Management Theory

The engagement framework discussed in Chapter 5 (and also discussed in Chapter 1: "Introduction" and Chapter 2: "Literature Review") reflects the addition of stewardship to inclusive management theory. Inclusive management is a way of thinking, knowing and practicing engagement that is different from many aspects of participation in that it actively creates and seeks out opportunities to reify information, relationships and a larger responsibility to one another, in service to better problem-solving, governance and public value.

Drawing on the work of Wamsley, Goodsell, Rohr, Stivers, White and Wolf (1987), Dicke (2002) and others, stewardship enhances inclusive management theory by providing further

emphasis on the collective responsibility we have to one another and the community at large, and not only as organizational representatives. In this way it particularly underscores the importance of building skills and abilities, both inside and outside the organization, for the sake of addressing common challenges and highlights the value of a higher-order compact (*c.f.*, Behn, 2002; Waddell, 2005) of performance in support of the common good.

Stewardship as a third element of inclusive management also points to the valuable role played by people who facilitate engagement. Specifically, it draws our attention to several kinds of activities that enable the facilitator to develop and cultivate relationships as part of painting a larger picture of the problem and explore ways that challenge can be collaboratively resolved. Conducting these activities necessitate that the facilitator live with "one foot in" and "one foot out" of the organizational environment within which s/he works. This boundary-spanning role is not a new contribution to the literature, however it does emphasize for us the importance of the facilitator as someone who weaves relationships, information and awareness of the larger problem context across both internal and external environs. This means that while the problem to be addressed is shared across the community, someone must take on the responsibility for beginning the dialogue that leads to mutual collaboration and problem resolution.

The role that the facilitator plays also is critical in that it requires this person to also create awareness and understanding of the problem and its larger context within the organization itself. This places on the facilitator the need to create and sustain internal capacity, internal relationships and internal outcomes that serve diverse or often divergent purposes within the organization. It is perhaps this aspect of the engagement framework that requires the greatest leap for organizations and their leaders, since organizations generally are rational entities and it may be difficult to support external goals unless they are mission-relative. This means that the

facilitator cannot just select "any" challenge to address, but that s/he must think carefully about why a challenge is of interest to the strategic focus of the organization of which they are part.

3. Identifies Four Kinds of Outcomes

Using mixed methodology, this study has identified four kinds of outcomes as part of the engagement framework: individual, group, organizational and community. It has discussed the dynamics of these kinds of outcomes, and reviewed several kinds of governance challenges related to them. This study also has distinguished between goals for participation, as complements to Carcasson's goals for deliberation (2009), and outcomes for participation.

Particularly of note is how the engagement framework begins with an assumption that the people who are interested or affected by problem are already and always involved. Certainly, it is up to people who are involved always to ask the question, who is not here who is affected/potentially affected by this problem and should be participating? In this way the duty to invite people into the conversation is distributed and not concentrated on one person or organization. It broadens the value that the quantity of participation is a legitimating factor of public problem-solving processes, to also consider the quality of participation.

This dissertation also has drawn on the work of scholars such as Behn's 360-degree accountability (2001) in order to provide a more expansive, management-based context for the engagement framework. In this way, inclusive management theory (Feldman & Khademian, 2004, 2005, 2007; Feldman, Khademian, Ingram, & Schneider, 2006; Feldman, Khademian, & Quick, 2009; Feldman & Quick, 2009) is operationalized in a pragmatic discussion of why information, relational activities and stewardship are valuable mechanisms for facilitating outcomes, capacity-building and continuous events in support of enhanced problem-solving.

Finally, this study also discusses how inclusive management contributes to a shift of thinking towards a stewardship mentality and away from one that is organization-centric per se.

4. Defines, Identifies Four Types of Capacity-Building

A fourth significant contribution made by this dissertation is its focus on capacity-building through engagement. This subject is often discussed in participation circles and yet organizations seem to struggle with what it is, what it means and how to accomplish it. This study provides a preliminary road map for beginning to answer many of these questions. It suggests possible ways for building capacity, using concrete and pragmatic examples involving three kinds of organization types: an NGO, a local government and a state agency.

By contrast with much of the existing literature, this study instead found that capacity is created regularly, if only one knows where to look for it! The interviews selected demonstrate four overall kinds of capacity (organizational, organizational/individual, stakeholder and both), with "both" representing a transorganizational type of capacity. Expanding the interviews included potentially would increase the number and variety of types of capacities.

The capacities that are developed in this study recognize and honor the inherent knowledge and unique experiences that each person possesses. This means that expert knowledge does not provide the driving force for conversations or connections with stakeholders.

Moreover, this dissertation has provided examples of clusters of outcomes. This finding also contrasts greatly with most of the literature, in that it proposes that outcomes do not stand-alone, rather that there is a secondary, tertiary, and subsequent effects, even beyond those of which we are aware, and it is perhaps its most significant contribution in that it opens us to the potential of first-, second- and third-order effects as a result of engagement. It used examples of a range of

outcomes to discuss and reflect on the close coupling and distant coupling between outcomes, and it noted the potential effects of internal and external factors on outcomes.

This emphasis on clusters of outcomes may cause organizations to rethink how they perceive and understand outcomes. In so doing, community stakeholders also must be prepared to think broadly about outcomes. Under the engagement framework, outcomes are no longer defined by the structural, intellectual or mission-based boundaries of the organization. Rather, they are holistic in a community sense. Organizations involved may wish to own part or parts of the problem and may only be able to contribute some to its resolution. As a result the engagement framework sees the solving of that collective problem as a collective process itself, as Weber and Khademian (2008) have discussed, where different stakeholder each 'take a bite' of the problem. Doing so means the issue may or may not be completely resolved, but the larger point here is the problem is mutually owned and there are collaborative efforts to address it. Giving up organizational ownership of a problem to the community at large, originally seen as the organization's own issue, is an exchange that may free up greater resources and knowledge that can be brought to bear on it.

5. Three Kinds of Continuous Activities

Finally, this dissertation has identified three kinds of continuous events: programmatic, organizational and individual. These activities facilitate the development and cultivation of relationships between people. They may include boundary experiences, such as field trips, or boundary objects, such as a report. Events that create or use boundary objects and experiences provide another means for establishing shared meaning among stakeholders.

The engagement perspective on continuous events also represents a contribution to theory in that this aspect of the framework stands on its end the way that events generally are

conceptualized. That is, it suggests that events are ongoing, ever unfolding. There may be specific discrete events at any one particular time, but they are always considered in the larger context of this continual cascade of actions.

This finding also recognizes that organizations themselves may or may not convene such activities, rather one outcome of an inclusive management-based approach to engagement may be to build the capacity of stakeholders to convene their own activities that support community problem-solving. The result is that organizations under an engagement framework give up a control view of engaging people in favor of both establishing collective responsibility and supporting individual or group contributions in support of shared problem solving.

Theoretical Implications

There are several theoretical implications of the findings contained in this dissertation, which this section will address. These include theoretical implications for inclusive management, management and public participation. See Table 7.2 for a synopsis of these contributions.

As noted previously, the study expands on IM theory and the range of practices to include stewardship. It also ties IM theory to the practice of appreciative inquiry, as Chapters 1 and 2 noted. Notably, this dissertation provides several examples of inclusive management theory in action, further underscoring the value that IM provides as both a theory and a pragmatic way of managing.

This dissertation also breaks new ground in that it explicitly connects management theory with participation theory and practice through the use of inclusive management. In so doing, IM provides a way by which managers can fulfill the democratic values that infuse participation theory and practice with those values embodied in management theory, such as outcomes and accountability.

Perhaps most significantly, this study proposes a dramatic realignment of how we envision, understand and know ourselves as administrators, NGO leaders and elected officials through inclusive management theory and its applied practice. This approach honors the contributions that various kinds of knowledge and experiences can provide and opens the door to new, creative possibilities for addressing common issues. In addition, the opening of this door produces an environment where capacity can be developed and cultivated, not only among stakeholders but also for the NGO leader, elected official or administrator who seeks to resolve a community challenge. In so doing it emphasizes an interdependent way of working together.

Table 7.2: Contributions to Theory	
Type of Theory	**Contribution to Specific Theories**
Inclusive Management Theory	- Expands IM theory and the range of practices to include stewardship - Ties IM theory to appreciative inquiry - Demonstrates IM theory in action
Management Theory	- Explicitly connects management theory literature and participation literature - Creates an alternative way of knowing common problems and addressing them through engaging people in support of democratic self-governance
Public Participation Theory	- Extends the current literature by proposing that participation also can be ongoing, build capacity and result in outcomes - Provides a mechanism for longer-term planning rather than short-term alone

Taken collectively, the core contributions of this study are noteworthy in that they point us toward a different means for participatory management in a democratic polity. Behn (2002), for example, provided an alternative framework for thinking about and knowing accountability that was discussed in Chapter 4: "Outcomes." This study offers a similar reorientation, instead towards participation and governance, in that it suggests that we have been limited by current conceptual frameworks that narrowly "see" only the organization and its needs or interests. This

is not to say that this lens is not valuable. Rather, this dissertation has sought to open up this lens so that we can see needs and interests that transcend the organization alone in the name of democratic governance.

Moreover, this study has sought to identify another means through which longer-term, ongoing planning can be conceptualized and practiced. As has been noted previously, the participation literature on the whole places greater emphasis on short-term rather than long-term engagement in support of democratic aims. For example, regional long-term urban planning usually is hobbled by an emphasis on parochial or shorter-term interests rather than on stewarding collective best interests in the longer run. The IM-based engagement framework offers a theoretical and practical basis for bridging this gap through its continuous, evolutionary orientation; it can incorporate both short- and long-term visioning in the same way it can simultaneously attend to individual/group/organizational and collective best interests at the regional level. This study extends the current participation literature in this way and at the same time proposes a different way of thinking about, knowing and practicing how we collectively and collaboratively address common challenges.

Future Research

This dissertation, with its use of three indepth interviews, poses an exciting possibility for future research on inclusive management theory and practice in the context of problem-solving that involves policymaking, service delivery and program management. It also offers an opportunity to capture new dimensions and nuances of capacity-building, outcomes and activities. Among the many questions this study has raised include:

1. To what degree do internal and external organizational factors influence the engagement framework?

2. What additional knowledge and/or complementary practices could expand on currently known inclusive management strategies? Does it matter if the problem is "wicked" or not?

3. What role does problem definition play in determining the success of outcomes? When do stakeholders begin to "burn out" of participating, and why?

4. What defines "capacity" and what are its many variations in the context of participation?

Other uses of this dataset could include expanding on the number of interviews explored as a means for establishing a more robust engagement framework based on grounded theory. Interviews could be selected across several countries, or a slice of the data based on the kind of organization could be pursued. Similarly, future research using this dataset could explore the engagement framework considering the perspectives of particular types of roles; for example, administrators only, or NGO leaders only.

New original research could address particular dimensions of the engagement framework. For example, an experimental design using a multivariate cluster analysis could examine outcomes. This could be a broad-level analysis, looking across a large data sample or a focused, segmented study, such as by organization type. Alternatively, a time series study could research outcomes across a particular time period for a specific community or a particular type of problem across several communities, such as community regeneration projects. Another option might be to conduct qualitative or quantitative time series research about capacity-building in order to gain a more thorough understanding of the antecedent conditions necessary for capacity to take root and flourish, or an indepth study that tracks a variety of continuous events or activities over time or by community.

The analysis portion of this dissertation in Chapter 6: "Three Indepth Interviews" briefly

noted the role that factors play in engagement efforts, and further data collection could include a

survey that identifies such factors. This type of study could use a multivariate factor analysis as

a means of considering the patterns or relationships that exist in communities and organizations

relative to the engagement framework. Such a study could also collect similar data on factors

related to other kinds of participation efforts, and compare and contrast the patterns across the

three portions of the dataset.

Other potential research could examine the theoretical bases for this dissertation. For

inclusive management theory and management theory in general, future work could compare and

examine how the perspectives, experiences and training of organizational leaders influence

inclusive practices. In terms of governance theory, a long-term quantitative and qualitative study

could provide a baseline for understanding how over time governance is understood and

practiced, particularly as it relates to performance and accountability.

Conclusion

This chapter of this dissertation has highlighted the many contributions that this work has

contributed, both theoretically and pragmatically, to how we know and understand problem-

solving on a community or societal level. In so doing, it has presented a distinctive new

framework—an engagement framework—that fills an existing gap in the management and public

participation literatures.

This chapter also has discussed several potential new avenues for research that will build

upon the contributions from this study. My future work in this area is intended to largely focus

on applications of the framework and securing a more detailed understanding of the framework

as an applied organizational and management strategy in support of enhanced outcomes in a democratic polity.

Further, this study has demonstrated that the public participation literature is not monolithic; rather, it notes how variation exists in how participation is understood and practiced. It has introduced and defined an alternative way of conceptualizing and understanding participation. The engagement framework focuses on the use of information, relationships and an iterative approach to problem-solving that has the potential for building capacity, supporting enhanced outcomes and facilitating dialogues that matter through continuous events unfolding over time.

This dissertation also has highlighted that how leaders themselves conceptualize and understand participation exhibits great variance, and as well in what they are trying to achieve. In so doing, it has provided another way of knowing about how pressing, shared problems are solved in a collaborative and interdependent fashion.

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Painting the Landscape: A Cross-Cultural Exploration of Public-Government Decision Making
An IAP2-KF Research Project

Interview Protocol

Section 1: Your perspective on public participation/deliberation

1. Tell me about your work with (*P2/equivalent term*).
   a. For whom do you work?
   b. In which types of activities do you engage?
   c. With what groups or types of people do you talk/work? (general public, citizen activists, government employees, elected officials, consultants/professionals)

2. What does the term "public participation" mean to you and to the people with whom you talk/work?

3. What other term/s would be used by the people you talk/work with when they speak of public participation (P2/equivalent term)?

4. Tell me about each of the terms you've mentioned to help me understand and record them accurately.

Section 2: How public participation/deliberation actually takes place – the processes and specific steps involved

5. What are some of the baseline reasons why your institution conducts (*P2/equivalent term*)?

6. What kinds of procedures does your institution/society have for facilitating (*P2/equivalent term*)?
   a. Who initiates the process? Is there a legal requirement?
   b. Who is typically involved?
   c. How do people typically come together?
   d. Where do people typically come together?
   e. What kinds of things do they talk about?
   f. Who typically arranges and facilitates the interactions?
   g. How often does it happen?
   h. Is the process standardized or informal?
   i. What types of technology are used in your (*country, region, city, culture*) to facilitate and increase (*P2/equivalent term*)?
   j. What affect do you think these interactions have on government decision making?
   k. In which policy areas are the public allowed to participate in decision-making processes?

l. What other policy areas should the public be allowed to participate in decision-making processes?

m. Does P2 in one issue transfer to other areas? (increased trust and respect, better accountability, a better feeling about their government)

7. How easy or difficult is it for average citizens to have access to these institutions and procedures?

8. Do you think these P2 institutions and processes include all people/groups/interests in the government decisions, institutions, or processes that affect them?
   a. If not, which people/groups/interests are typically left out?
   b. What attempts have you or others made to better include those people/groups/interests?

Section 3: Your specific role in public participation/deliberation processes

9. In your position as a P2 practitioner/decision maker/government staff member, to whom do you feel you are accountable – to whom you feel responsible for achieving your institution's goals?

10. What do you think is the unique role your position plays in the (*P2/equivalent term*) process?

11. What affect do you feel your role has on (*P2/equivalent term*) activities?

Section 4: Balancing differing interests and the public's role/responsibility

12. What challenges have you faced in addressing/balancing the needs/concerns of the different kinds of people with whom you work?

13. How have you worked with these challenges?

14. What impediments do you see to the public's ability to convene itself and take responsibility for its own decisions?

15. In your experience as a P2 practitioner/decision maker/government staff member, what practices, methods, or processes do you think best facilitate the public's involvement in decision making and why?

16. What steps could be taken to increase the public's level of influence in government decision making, if at all possible?

17. What types of activities need to be done to build the capacity for people to participate?

Section 5: Tying input to outcomes/decisions

18. In your opinion, does the public's involvement result in better decisions that increase sustainable economic, environmental, social and cultural benefits? Please give some examples.
    a. Is the P2 meaningful? Tell us how you determine this.

19. Once decisions are reached, is the public involved in updates, reviews, analysis and adjustments?

20. Is there a single step you, as a P2 practitioner/decision maker/government staff member, could take to enable the public to have greater influence?

21. What institutional expectations are there for the outcomes from a (P2/equivalent term) process?

22. To what degree does your institution quantitatively and qualitatively measure outcomes from a (P2/equivalent term) process?

23. What direct, specific actions on the part of the government can you name that have resulted from the public's involvement in a (P2/equivalent term) process?

24. To what degree do you see any connection between the involvement of the public through a (P2/equivalent term) process in making a government decision and the long-term or ongoing public support for the implementation of that government decision? Please give a specific example or two.

25. Does your institution provide any reporting or account of the (P2/equivalent term) process to those who participated after final decisions are made?

26. Are there any general comments you'd like to add before we finish?

Appendix B: Outcome Map of Canada (*Zoom in to see detail*)
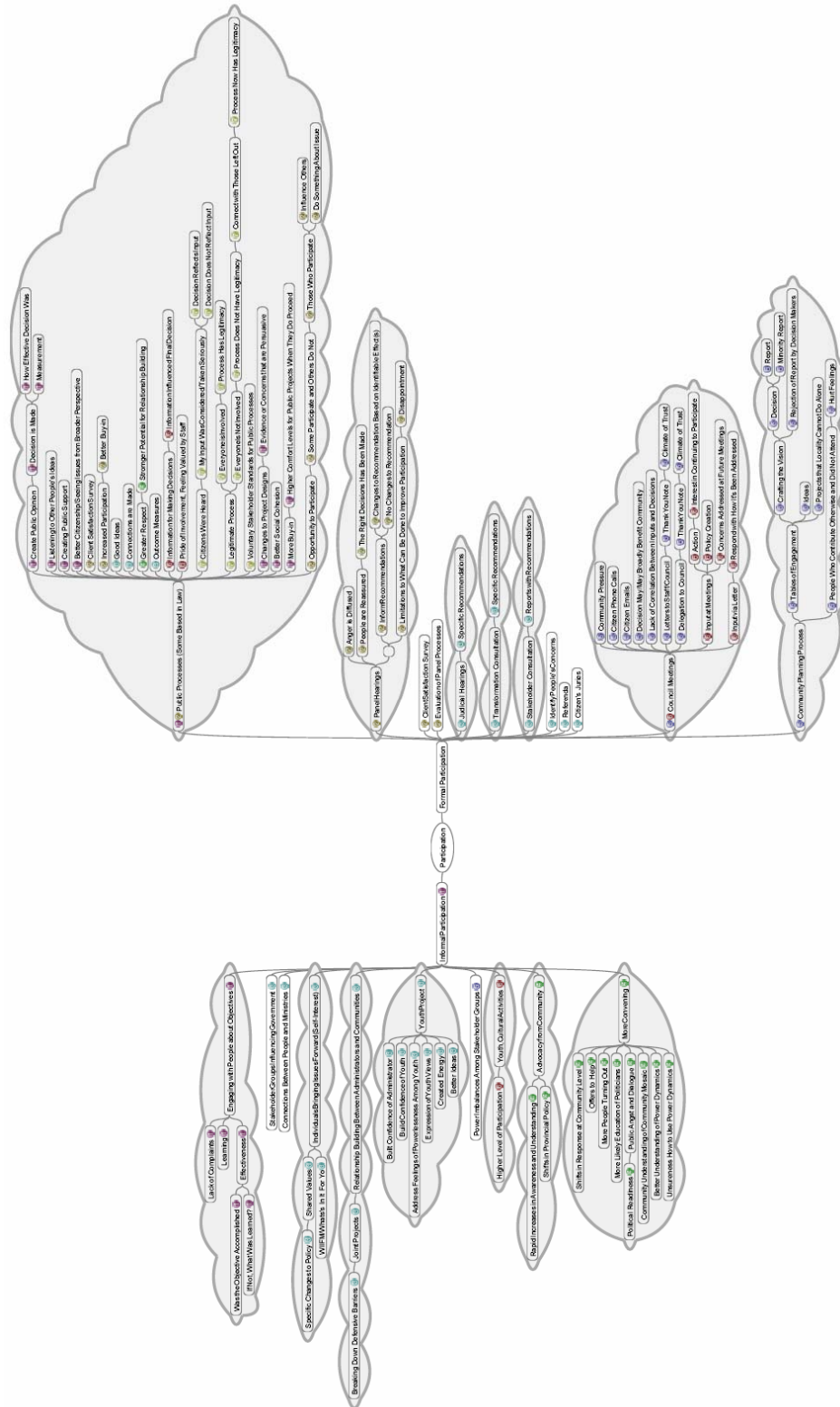
<u>Definitions for outcome coding</u>

Internal/Formal

- Cost, structural issues. These are issues related to conducting the process or the difficulties with conducting participation associated with organizational frameworks or organizing schema.
- Political visibility. The degree to which elected or appointed officials seek to be seen or viewed by the public carrying out their responsibilities.
- Funding. The use of p2 processes to secure funding for programs or policies.
- Legal. The use of p2 processes to fulfill legal mandates.
- Mitigation of impacts. The use of p2 processes to hear and consider potential positive or negative impacts from proposed changes to programs or policies.
- Action by government. Actions taken by government as a result of p2 input.
- Effectiveness. Changes made to programs or policies as a result of p2 input in order to improve their effectiveness.
- Increased participation. More people participate in the process as a result of holding the process.
- Impact on policy area. P2 input is used by the government to change programs or policies.

Informal/External

- Awareness by public. The public is aware of potential changes to or new possible programs/activities by government.
- Lack of influence. P2 input does not influence the decisions or changes to programs or policies taken by government.
- Ownership of outcomes. Members of the public who participate in p2 processes feel a close connection to the programs and policies that result the engagement with them. In some instances, the programs/policies may reflect their needs, interests or concerns or there is demonstration that such needs, interests and concerns have at least been considered by government.
- Lack of participation. There is a lack of participation by stakeholders.
- Social cohesion. Members of the public strengthen their ties with one another in a community as a result of engagement in p2 processes.
- Tolerance. Participants in p2 processes have a greater appreciation for different points of view as a result of engagement in p2 processes.
- Suspicion of P2. Members of the public do not trust p2 processes.
- Conflict resolution. Conflicts at the community level are resolved as a result of engagement in p2 processes.
- Cynicism, frustration. Members of the public feel stymied in their efforts to participate, lack trust in p2 processes and/or government and/or government officials. Members of the public do not believe their participation will be listened to or have an impact on decisions made by government.
- Confidence. Members of the public are more self-assured about themselves, their community and the ability to solve problems.
- Action by community organizations. Community organizations take action independent of government.

- Actions by community. Members of the public take action independent of government.
- Self-organizing. Members of the public organize themselves to address issues or challenges independent from government.
- Self-organizing, actions by community. Members of the public take action independent of government and self-organize themselves to do so.
- Influence. Members of the public hold a level of sway over decisions that are made by government.

Both formal/informal
- Relevance. Members of the public or community organizations establish a meaningful connection with the mission of government or vice versa.
- Action by govt/organization. The sponsor of the p2 process takes action independent of community members or community organizations.
- Discussion, deliberation. Members of the public discuss and deliberate about trade-offs, benefits and drawbacks associated with policy/program options during the p2 process. Individuals share and learn about alternative view points from others who participate.
- Social, political support for p2. There is societal (community) and political (government) support for the value of conducting p2 processes.
- Action by government and community organizations. Government and community organizations work together to solve a common problem.
- Managing expectations. Participants in p2 processes learn about the limitations of policy/program options and their relationship/potential impact on outcomes.
- People receive benefits, services. Members of the public receive government program benefits or services in response to needs, interests or concerns.
- Accountability. Government elected/appointed officials and staff are answerable to the needs, interests and concerns of those they serve. This may be demonstrated through elections, responses to inquiries or other mechanisms.
- Knowledge/learning/skills. Individuals who participate in the p2 process – both on the part of the public and the government – gain knowledge; learn about needs, interests and concerns; and/or develop skills.
- Process effects. Changes are made to the p2 process – present and/or future – based on input received.
- Public support/legitimacy. The proposed policies, programs or actions by government are approved by members of the public who participate in the p2 process.
- Problem-solving. Community problems are addressed as a result of the p2 process.
- Relationship building. Relationships are developed or further enhanced between government and members of the community, or between members of the community themselves, as a result of the p2 process.

Appendix C: Grouping of Outcomes by Category of Respondent

	Locally elected	Local admin	P2P	NGO	*Totals*
Self-organizing, actions by community	3			5	8
Discussion, deliberation	2				2
Accountability	3	3	4		10
Knowledge/learning/skills	2		5		7
Relationship building	2		2		4
Impact on policy area	3	6		5	14
Influence	2	2	3	4	11
Funding		2			2
Action by govt		4		2	6
Action by govt & comm orgs		2			2
Effectiveness		3			3
Self-organizing		2		3	5
Increased participation	2	2		2	6
Problem-solving		2			2
Conflict resolution			2		2
Confidence			2		2
Public support/legitimacy			2		2
Legal				2	2
Social/Political Support for P2				2	2
Actions by comm.				3	3
Managing expectations				2	2

The only category all roles had in common was *influence*. The top 5 responses are highlighted.

For state officials, the commonalities were as follows,

	State elected	State admin	*Totals*
Accountability	2	2	4
Influence	2		2

Awareness by public		2	2
Action by comm orgs		2	2
Confidence		2	2
Effectiveness		2	2
Self-organizing, actions by community		2	2
Knowledge/learning/skills		2	2
Problem-solving		2	2
Relationship building		4	4
Impact on policy area		5	5
Influence		4	4

Interestingly, the only majority comments in either column that the interviewees had in common was *accountability*. However, please also note that these categories represent those outcomes that were in common among each type of role. For example, one state administrator who responded "social cohesion" would not be on this chart, although if two administrators said this, it would appear. The top 4 comments are highlighted.

At the federal level, here are the commonalities,

	Federally elected	Federal admin	*Totals*
Ownership of outcomes	2		2
Public support/legitimacy	2		2
Action by govt		3	3
Knowledge/learning/skills		2	2
Impact on policy area		5	5
Influence		2	2

There are not any majority comments in either column that the interviewees had in common. The top 2 comments are highlighted.

Among all the respondents, the commonalities among those that were across all three groups were

All 3 groups
- Impact on policy area
- Knowledge/learning/skills
- Influence

2 groups
- Public support/legitimacy (local and federal)
- Action by govt (local and federal)
- Accountability (local and state)
- Action by comm orgs (local and state)
- Effectiveness (local and state)
- Self-organizing, actions by community (local and state)

- Problem-solving (local and state)
- Relationship building (local and state)

1 group only
- Awareness by public (state)
- Confidence (state)
- Discussion, deliberation (local)
- Increased participation (local)
- Funding (local)
- Action by govt (local)
- Action by govt and comm orgs (local)
- Self-organizing (local)
- Conflict resolution (local)
- Confidence (local)
- Public support/legitimacy (local)
- Legal (local)
- Social/Political support for p2 (local)
- Managing expectations (local)

Other observations by category

Locally elected officials
- The countries in this sample are from Canada, Ivory Coast, Mexico, Sweden and the United States (5).
- Common categories are discussion/deliberation, self-organizing and actions by community, increased participation, accountability, knowledge/learning/skills, relationship building, impact on policy area and influence (8).
- The most commonly cited were self-organizing and actions by community, accountability and impact on policy area (3 each).
- The least commonly cited were discussion/deliberation, knowledge/learning/skills, relationship building and influence (2 each). *See the chart for responses with one response only.*

State elected officials
- The data for these participants was from the US and Australia (2).
- The two categories in common were accountability and influence. *See the chart for responses with one response only.*

Federally elected officials
- The countries in this sample are Canada and Scotland (2).
- The two categories in common are ownership of outcomes and public support/legitimacy. *See the chart for responses with one response only.*

Local administrators

- Countries are Australia, Brazil, Cambodia, Canada, Scotland, South Africa, Sweden and the United States (8).
- Common categories are funding, action by government, action by government and community organizations, effectiveness, self-organizing, increased participation, accountability, problem-solving, impact on policy area and influence (10).
- The most commonly cited category was impact on policy area (6).
- The least commonly cited categories were funding, action by government and community organizations, self-organizing, increased participation, problem-solving and influence (2 each). *See the chart for responses with one response only.*

State administrator
- Countries in this sample are Australia, Canada, Ivory Coast, Mexico, South Africa, Sweden and the United States.
- Common categories are awareness by public, action by community organizations, effectiveness, self-organizing and actions by community, accountability, knowledge/learning/skills, problem-solving, relationship building, impact on policy area and influence.
- The most commonly cited category is impact on policy area (5).
- The least commonly cited categories were awareness by public, action by community organizations, confidence, effectiveness, self-organizing and actions by community, knowledge/learning/skills and problem-solving (2 each).

Federal administrators
- The countries in this sample are Cambodia, Canada, China, Ivory Coast, Mexico, New Zealand, South Africa and the United States.
- I was surprised to see that for federal administrators, they did not cite any informal outcomes.
- Common categories are action by government, knowledge/learning/skills, impact on policy area and influence.

NGO leaders
- The countries in this sample are Brazil, Cambodia, China, Ivory Coast, Mexico, Scotland, Sweden and the United States.
- Categories in common are legal, social/political support for p2, action by government, actions by community, effectiveness, managing expectations, self-organizing, self-organizing and actions by community, increased participation, process effects, impact on policy area and influence.
- The most commonly cited categories are self-organizing and actions by community and impact on policy area (5 each).
- The least commonly cited categories are legal, social/political support for p2, action by government, effectiveness, managing expectations, increased participation and process effects (2 each).

Public Participation Practitioners
- Countries are Brazil, Canada, Ivory Coast, Mexico, New Zealand, Scotland, South Africa, Sweden and the United States.

- Common categories are conflict resolution, confidence, action by government, effectiveness, accountability, knowledge/learning/skills, public support/legitimacy, relationship building, impact on policy area and influence.
- The most commonly cited category is knowledge/learning/skills (5).
- The least commonly cited categories are conflict resolution, confidence, effectiveness, public support/legitimacy, relationship building and impact on policy area (2 each).

Appendix D: Grouping of Outcomes by Country

Internal

Country		AUS	BRAZIL	CAM	CAN	CHINA	IC	MEX	NZ	SCOT	SA	SW	US
Cost, Structural Issues	1												
Political Visibility	1												
Funding	2							1		1			
Legal	2			1		1							
Mitigation of Impacts	2		1							1			
Action by Govt	4		1				1			1			1
Effectiveness	4	1			1					1		1	1
Increased Participation	5		1				1	1	1			1	1
Impact on Policy Area	9	1	1	1	1	1		1	1	1	1	1	
		2	**4**	**2**	**2**	**2**	**2**	**3**		**5**	**1**	**4**	**2**

External

Country		AUS	BRAZIL	CAM	CAN	CHINA	IC	MEX	NZ	SCOT	SA	SW	US
Awareness by Public	1							1					
Lack of Influence	1									1			
Ownership of Outcomes	1										1		
Lack of Participation	1									1			
Social Cohesion	1									1			
Tolerance	1											1	
Suspicion of P2	1		1	1									
Conflict Resolution	2							1		1			
Cynicism, Frustration	2									1			1
Confidence	3				1		1					1	
Action by Comm Orgs	3	1			1								1
Actions by Community	4	1					1				1	1	
Self-Organizing	4		1				1		1	1			
Self-Organizing, Actions by Community	4		1			1				1			1
Influence	9	1	1	1	1	1	1		1	1	1	1	
		3	**4**	**2**	**3**	**2**	**4**	**2**	**2**	**7**	**2**	**4**	**3**

Both

Country		AUS	BRAZIL	CAM	CAN	CHINA	IC	MEX	NZ	SCOT	SA	SW	US
Relevance	1		1										
Action by Govt / Org	2	1											1
Discussion, Deliberation	2									1		1	
Social/Political Support for P2	2		1	1						1		1	
Action by Govt & Comm Orgs	4				1					1	1	1	1
Managing Expectations	4	1					1			1	1		
People Receive Benefits, Svcs	5		1				1	1		1	1	1	
Accountability	6						1	1		1	1		1
Knowledge/ Learning/Skills	6		1		1		1	1	1	1	1	1	1
Process Effects	6	1	1				1	1		1	1	1	1
Public Support/ Legitimacy	7			1	1		1	1		1	1	1	1
Problem Solving	8	1	1	1		1	1			1	1	1	1
Relationship Building	8	1	1		1		1			1	1	1	1
		5	**5**	**3**	**4**	**1**	**7**	**4**	**1**	**10**	**8**	**7**	**6**

Observations about the chart depicting internal, external and internal/external outcomes

1. There are fewer internal outcomes that countries across the sample have in common. Two is the mode (most commonly cited) number of outcomes in this category that six of the countries have in common (Australia, Cambodia, Canada, China, Ivory Coast, US). The country with the highest number is Brazil (4) and the countries with the lowest number are NZ and South Africa, with one each. The range for internal outcomes is from 1 to 5 and the mean is 2.5.

2. It is the same case with external outcomes. Two is the mode for this category as well among five countries (Cambodia, China, Mexico, NZ, South Africa), followed by three countries with four (Brazil, Ivory Coast and Sweden). The country with the highest number is Scotland. The range for external outcomes is from 2 to 7 and the mean is 3.

3. For outcomes that are both internal and external, the mode is split between two countries with 5 (Australia and Brazil), two countries with four (Canada and Mexico) and two countries with 1 (China and NZ). The country with the highest number is Scotland, with 10 internal/external outcomes. The range for internal/external outcomes is 1 to 10 and the mean is 5.

4. There are 9 internal outcomes, 15 external and 13 internal/external outcomes.

5. In terms of total outcomes, meaning that all types are grouped together by country, the range is from 4 to 22. The mode is 13 (Brazil) and the median number is 10.75.

Appendix E: Meta Categories of Outcomes

Outcome types
1. Knowledge
2. Impacts or influence
   ▪ Direct
   ▪ Indirect
3. Actions that result from impacts or influence
   ▪ Direct
   ▪ Indirect
4. Processes that facilitate knowledge, impacts or influences and/or actions
   ▪ Mechanisms

Realms of outcomes
1. Social or civil society
   a. Outside of govt
2. Administrative
   a. Within govt
   b. May also include economic
3. Political
   a. Bridging social and administrative

Four purposes or applications
1. Policymaking
2. Problem solving
   a. May also involve social capacity building
3. Program management
   a. May also involve social capacity building
4. Implementation
   a. May also involve social capacity building

Scottish NGO/Nonprofit Leader
Transcript 751

Interviewer: The key to this is this is a confidential study. So the next stage after we've had this discussion is for me to send my notes to Beth Offenbacker, based in the States, and to send her digitally these files. She'll get these transcribed and then any identifier – your position, your name, any demographic details – will be removed. Other people will be able to view the script, as part of the research.

This study has quite a fast turnaround. By the end of the year probably we'll have a paper on it. It will be used in academic journals and for IAPP, and for building this further study. Of course you can get a copy of it.

Interviewee: Right, that's what I was going to ask.

Interviewer: I'll destroy all my copies and everything will be destroyed by 2012. There's no compensation unfortunately for this study, so your participation is voluntary. Therefore if you choose not to participate or there are questions you don't want to answer –

Interviewee: You're not going to slip me a fiver? Goodness.

Interviewer: It's your prerogative.

Interviewee: That's fine.

Interviewer: There's no right or wrong answer to these questions. It's very much your experience. But we do ask you to respond as truthfully as you can. The questions, as I mentioned, do you understand the conditions of this project?

Interviewee: Yes, I fully understand them.

Interviewer: Have all your questions been answered about this project?

Interviewee: To be honest, I didn't really have many questions. I'd got stuff from you on the email, so I was quite happy for it to take place. As a professional, it's not inquiring into my personal life, so I don't have any real problems there. Obviously there's nothing going to be untowards to the organization I work for, so no problem, that's fine.

Interviewer: Very good. Do you hereby give your voluntary consent?

Interviewee: I certainly do.

Interviewer: I mentioned Beth Offenbacker, she's the project director. She also has a manager called Dr. David Moore, based at the Virginia Polytechnic Institute and State University. So if you have any issues concerning this interview, you can either contact Beth or Dr. Moore. Okay, good.

Can you tell me about the work you do?

Interviewee: Right. The work I have been doing certainly for the last five or six years – I could go back further, but I would suggest the last five or six years – has been very much about supporting children's involvement in community development and regeneration. That has been very much hands-on, working directly with children, young people, in a number of areas. Specifically in four areas in Scotland – [community name], [community name], [community name] and [community name].

This was a five-year program of work which we started in [year]. It was about starting from where children were. It was about addressing their social exclusion through their participation in community development and regeneration, because we were of the view that if we gave children and young people the support and the wherewithal to engage effectively in community planning, they would be up for it basically. That was our view. It would be quite surprising some of the things that might come out from that.

We weren't wrong. We started off by consulting with children and young people about their local communities. We asked them, what is it like for you to live here? We did that in a number of ways. We used various methods. For example, I come up through the play-work field. So I used a lot of play, a lot of leisure activities, arts and crafts and various things like that, to work with children and young people. These were ages 9-15, by the way. Got them to create a pictorial focus, a collage basically, made up of photographs and drawings and statements, about where they live. On that collage they had highlighted all the issues for them, what they disliked about where they lived as well as lots of the issues about what they liked about where they lived.

The majority of things about what they liked about where they lived was very much linked to family and friends. The various things they disliked ranged enormously, from school, the attitude of teachers toward them. Not their words, but things like self-fulfilling prophecy, being put down by teachers. A whole range of things like that came out. Having no choice, lack of choice was one. Also how that affected their educational attainment, because they just didn't want to school basically.

Other things that came out was their local environment, although they didn't use the term poverty, but it was like the poverty of their environment, the look of their environment. How they were embarrassed about other people coming into where we live, looking where we live and thinking we're all like that. These were the kinds of things that were coming out. Because these were social inclusion partnership areas, which are now, as you probably know, community planning have now taken over. So they weren't a bed of roses.

So what we got them to do then is look at all these issues that were coming out through this focus and prioritize one or two issues that they felt they would like to work on as a project.

We're working with quite a broad age as well, and these could be broken up into groups, four or five groups that we were running a week. There would be a meeting on a regular basis. But even within the groups, for example, they would be ages from 12, 13, 14, 15, some as old as 16, or they could be ages from 8, 9, 10, 11.

So there was a lot of team-building, because traditionally they didn't really mix, those ages. So there was a lot of work to do with them other than just consulting them. It was a whole raft of work you would do. That, we found, is really important. If we want to engage successfully with children and young people, we want to really involve them in a meaningful way, we have to look at the whole view. I suppose you can use the term holistically, as it were. It wasn't just about going in and asking them questions and then setting up a project. There were lots of other things that we brought to that, that they could, as time flew, you could celebrate what you achieved, etc. By that we actually maintained their involvement.

When we had our final conference, we had young people there who were 15 involved. They were 10 when they started with the project. That's because it did a number of things. It met their needs, obviously. They weren't coming because, oh, let's go and do good things for the community. They were coming for various reasons -- some, because there was nothing else to do on a Tuesday evening or whatever it was, or for that matter, most evenings. But once they were there, they really got into it.

So for us, consultation. Certainly for me and for the organization, consultation was very much about them participating fully. Their participation also needed to be developmental. They had to get something out of participating in this initiative. It had to help to support their self-esteem, life skills, personal skills. They had to have a sense of achievement. Although some of these projects were quite long-term, it would be broken up into milestones of achievements.

Some of the things would be writing a letter. They didn't know how to write a letter, didn't know how to use the telephone directory. Once you do a little project around writing a letter, and once you've done that and written a letter and have sent it to the leader of the council, then you would celebrate that by an activity of their choosing.

By working in this way, the other thing we wanted to do was to highlight the social inclusion partnerships, a methodology of work with children and young people that would support their involvement in the planning process, within social inclusion partnerships. That, to be honest, wasn't so successful. We didn't have workers placed in the social inclusion partnership offices so we were kind of knocking on the door, as it were. On occasions they would open the door. When they did, activities worked really well and children benefited from it immensely and the community benefited from it as well.

Quite interesting things would come out from that. An example would be one group of young people were involved – they did this project simply entitled "Littering is Wrong." They made these amazing posters – I've got artwork, because it draws people into working with them. But they produced these amazing posters, absolutely amazing. I'm biased, but they are amazing posters. The local authority in [community name] was so taken by them, they said we want to incorporate that as part of our Keep [community name] Clean campaign. But because they had their campaign citywide, what they then did, and the project was in [community name], they used it and distributed it throughout [community name].

So all the posters were distributed to the various places and et cetera. But in addition to that, I said to the young people, we're going to have a launch of the posters. We're working towards that. I said the people we're going to invite – they said, who should be invited? Because they were involved in all aspects of the work. The posters is like the end product, as it were, but

even that it's – I want to hear how it came about, what you did, I wanted them to stand up in front of all those people (but they wouldn't want to so , instead …)we'll make a video. So they made a video which is absolutely brilliant. I'm biased again, but it is. Our last program director described it as the best video that a Scotland program had ever produced. It was funny, it was informative, it was all what it needed to be. It captured people, whether you were old, young, it didn't matter. Once again, the local authority, the people and places officer, got hold of copies and he used that to take to groups, to environmental groups – because it was very much about the local environment and what you can do, cleaning up your environment, etc.

At the launch, managers from the city turned up. They said, oh, you've got a group of young people. It was like, we've been knocking away on your door. Then to cut a long story short, got them involved in a project to bring new initiatives to this area called the [community name]park project, which was a new park area being developed in [community name]. These young people got other young people involved. In fact, a coach and a minibus load.

Once again, this is about consultations. If you're consulting with children and young people, they can only give you information back from what's within their frames of reference. So if you're consulting children on what they want in a play park, they will only give you what they know to be in a play park. Unless you take them and broaden their horizons and experiences.

So with that in mind, that's what we did. We took them into adventure playgrounds and to crafts centers and ecology centers and big open park areas like 'voggerie' and all sorts of places. What they wanted for the [community name] park open area, what all the kids come back with, the big idea that came out when it was all disseminated, was a wildlife garden. It wasn't play structures because they saw their environment as their play environment. They

wanted a wildlife garden because this was ideas they'd seen and they wanted to attract wildlife to the area. Birds and beasties and things. Then they also wanted the equipment, the wherewithal, so they could investigate the beasties. They got that together. They got 1,000 pounds, they gathered up all this equipment.

So all these things, it all came out of that initial little consultation about what is it like to live here. All this stuff came out from that. That was replicated in [community name] and the other areas I mentioned. They had various projects. So for me, that's what consultation is about. It's very much about making sure that you're able to – one of the problems we have with consultation is that for a lot of people, and young people as well, they're consulted out. What happens is there's lots of consultations and then – but yeah, what happens? What happens with all this information we've given you?

Then in addition to that, once again, they're consulted on things – like I said, we're looking to build a leisure center. What would you like to see in your leisure center? If they've never been to a leisure center, there's not – but if they have to leisure centers, all they can do is come up with the same old stuff. So once again, what do you want to see in your area? A swimming pool. Well, you can't have a swimming pool, it's too expensive. There's all these consultations but there's nothing actually comes out from it. They're all lauded as these amazing breakthrough consultation projects, and we're going to engage with X amount of children – and they do, but what happens with the information? Very, very little.

What we see is if we're going to consult with young people, we're going to be involved with young people, there needs to be an end, something they're going to get out of it. They might work through that whole process and not get that play park or whatever it might be, but what they have is they've gained a lot through the process. And they know why they haven't

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achieved. It's not because nobody could be bothered. They haven't achieved whatever it was not because of their own efforts, and they've actually learned from that as well.

What we were very fortunate in, in the work that we're doing, the other thing of course is that it's actually quite realistic. So one of the groups of young people were aware that – they said quite clearly, because obviously for a lot of young people play is a huge issue for children. It's their work. Their play environment was very important to them. Then we reinforced that by introducing them to the UN Convention on the Rights of the Child.

So part of the consultation was, what is it like to live here, and by the way, have you heard of this thing called the UN Convention on the Rights of the Child? More often than not, it was no. Then we would tell them about why [organization name] was set up. The UN Convention on the Rights of the Child comes from [organization name]. So obviously it's something we want to disseminate.

But by doing that, children then looked at their communities in a critical way. They would say, actually, I used to put up with what our environment or our community looked like. I used to put up with broken equipment but now I'm realizing I shouldn't have to put up with that, because I have a right. Article 31 says that I've got the right to play. If I've got the right to play, then adults, the local authority, etc., have the responsibility to ensure that I have a quality play environment, etc.

So it starts making them make demands. That's also where you come up against – because nobody likes children making demands. There's that old adage, if you ask, you don't get. I'm sorry, if you don't ask, you certainly don't get. You don't demand, you don't get anything. So that was something we introduced as well into the whole consultation process. It's also about letting children know, you have a right to a decent standard of living. You have a

right to a clean environment. You have a right to live in an area that is free of crime and violence. So that was all part of it. As I said, this was all part of that whole development of participation. This is how we see the consultations and that kind of involvement with children and young people is very important.

So that was very much the work that had been done. From that there was many outcomes, actual concrete outcomes. Literally concrete outcomes as well, for young people in various communities. Also there was a legacy of this work being left behind, because part of our exit strategy was working with local organizations in support of this work, so that when we withdrew from our five-year program this work then carried on. The consequence of that is you have organizations that have changed their constitution, that we worked with, to enable children and young people to be involved in it. We've been able to develop other projects from it. That once again is carrying on consulting, developing, with children and young people.

Another thing we were able to do through all that work was produce – because obviously we did this five-year program of work. Everything we do had to be written up before – I wrote up the framework for the work to be introduced, but everything that was done had to be written up before, during and after. We would report on the work using case studies. These would be long and short-term case studies. We did that on a four-monthly basis. Then we were able after five years to draw from all those reports.

We produced this thing called "[name of guide]," which is the methodology we developed for working with children and young people and the methods I've just described. It's full of case studies and activities you can do with children. It's aimed at those people who would like to work with young children but perhaps don't have the experience, and experienced practitioners. It's a toolkit.

Interviewer: Have you done quantitative or qualitative research to assess the outcomes?

Interviewee: Of the?

Interviewer: Of this study.

Interviewer: Right. The first thing we did, we're actually in the process of doing that. The first thing we've done was to deliver training on it. So the first thing we got back was the evaluations from the training and from the guide itself. Which was incredibly positive, actually. I delivered the training along with my colleague. Although we're not trainers, we certainly know the material. So I was quite happy that we did the day's training. So this was a national training program. We were up in [community name], we were in [community name], [community name]. We were in [community name] ,[community name] and [community name].

Interviewer: This is all with the community planning partnerships?

Interviewee: It was with – some of it was with voluntary organizations, some within community planning. But at that time, the community planning partnership was still kind of a new concept that was taken over from the SIPs (social inclusion partnerships). We delivered to on the best part of a couple hundred people. The evaluation from the training was very positive.

What we're looking to do now is go back to these people and say, you had the training a year or so ago, you've had the DIY guide. How have you used it? Already in some meetings that I've had – I've gone to meetings about developing this methodology within community planning as it is now – I've gone to meetings and people have turned up with the DIY guide - because I brought them one. Oh yes, in [community name], for example, they're very much informed, the work that they were doing. They said they made sure all the departments have a copy, etc. Which was really positive. I need to get back and write all this up.

So we've had some very, very good feedback, because it is, it's a really good –

Interviewer: it's very releavant to our work actually.

Interviewee: I think I could let you have a copy. It does actually cost 30 pounds now.

Interviewer: Can you get a PDF?

Interviewee: Yeah, it is online.

Interviewer: If Beth when she hears this, she wants to see it, she can access it?

Interviewee: All she has to do is go on our website. In fact, if you Google "[program name]," it's quicker than going through our website actually. It pops up straightaway. Type in "[program name]," because that's what the program was called, and the DIY guide comes up. The report of the five-year program of work comes up as well, and other things.

Interviewer: So whilst you're talking about this, what I'm trying to get as well is a picture of who you've worked with. So you've obviously worked with the young people. You've worked with trainers.

Interviewee: Yes.

Interviewer: You've worked with other professionals and council-based local authorities.

Interviewee: A range of them, ranging from teachers, head teachers, nurses, other voluntary organizations, youth justice, police. Gosh, a whole raft of individuals, yes. What we were about doing was to disseminate this methodology to them. Saying this is a really effective way of working with children and young people. If you're really serious about their involvement in various processes, then this is a way you can go about it.

It's not cheap though. This is the other thing. All too often it's all about cheap fixes. Local authorities and central government are not prepared to spend the money. Because that's one of the things that irks me most seriously, is that I have been working with children and young people since the 1970s. Since 1979 when Margaret Thatcher got in, there's been a steady

decrease in services for children and young people. You wouldn't believe what they used to be compared to what there is now.

You have to be my age to actually appreciate – because I've been in the business so long – to actually appreciate what has been lost over the years. That's where I get really concerned, when I do hear ministers and various people who really should know better, who talk about, we'll be consulting with young people and we'll be doing this and that and we'll be bringing on board trainers. It's pure lip service.

Interviewer: Talking about this project was great, it's very interesting. Please continue with it. But it's more – why [organization name]? This section anyway is more, why [organization name] actually conducts public participation with children.

Interviewee: Yes, it's very much – we're a child rights organization. First and foremost, that's what we are. We are a child rights organization. Because we are a child rights organization, we feel that children and young people need to be seen as full participatory members of any community, with all the rights that that bestows. Unfortunately, adults – there are laws to cover indiscriminate violence against adults, but for some reason children seem to always be the brunt of indiscriminate violence. A whole range of things.

We're about saying that the reason we have this thing called the UN Convention on the Rights of the Child is that children need special rights. Children get kidnapped. Children get abused. There's a whole range of things. Their ability to speak out – it's down to us. We have the responsibility as adults to ensure that we can speak out, we can support, we can protect.

With that in mind, we feel that children and young people are not involved by any means as well as they should. In schools, for example. Yes, there are some really good examples, of pupil councils. There are some. There are a few good examples but they are a few. By far the

majority, if they do have pupil councils, once again, it's lip service. I've been to pupil councils that's run by two teachers, as an example. I've heard teachers say, when one young person said about children's rights and why weren't they consulted on the school uniform that the school wanted – they had a dress code but the school decided that wasn't good enough, they wanted to introduce school uniform. They were doing a consultation with parents. They consulted physically, actually went and consulted with five parents. That's all that turned up. I know this for fact.

Then when the child said, why aren't we being consulted, and all this stuff about [community name] youth council on all the walls in the school, why aren't we being consulted? He was told, you can't have everything. That was by a guidance teacher.

Interviewer: Wow.

Interviewee: Yes. So it's about seeing that children have a part to play. They should be seen as solutions to problems. That's the other thing, all too often children are seen as the cause of problems and not seen as the solution. By far the children, in my experience, the children that engage in what's described as anti-social behavior or criminal or very risky behavior, themselves have had poor life experiences. It makes sense, but for some reason children do seem to get tarred with this brush. They're either seen as these amazing little angels or they're little devils. There seems to be no in between for children.

As an organization, we want to say children can't sort things out for themselves. They can be part of that. But as adults we need to work with children. And we do it in their best interest, but that doesn't mean we know what's best for you. It's about asking them, you tell us, what do you think is best for you? And we will work accordingly.

An example would be overseas. I know we're talking about Scotland, but it's the same

thing here. But overseas, [organization name] supports – obviously there are caveats in place –
but we support children working overseas in factories, for example, because we are aware that if
they're not working there's no money being brought into the family. But while they're working,
what we then would do, we'd be working with those factories and saying, how about providing
them with better conditions? How about providing them with educational opportunities? How
about doing this? Although people don't use the term socialist, it is a social –

Interviewer: it's about the reality of the situation.

Interviewee: Yes.

Interviewer: In order to access young people, you mentioned that you use existing
voluntary organizations.

Interviewee: Yes. What we've done, certainly with the [program name], is we went into
areas where we didn't have any work going on. We didn't want to just parachute in. We also
wanted to leave a legacy. So what we did is we investigated what other organizations are in this
area that would like to work with us in partnership. We would create partnership agreements and
that would be drawn up and we would work according to whatever it is we said we would do.
That's the way we're looking to do this next phase, community planning.

But what we've learned from the first phase is we really need to try to situate the work far
more strategically. I'm making overtures and meeting with key stakeholder organizations within
community planning, for example, the [formal organization name]., meeting with them to see
how we perhaps could introduce some training and work. There are a number of ways we could
work within the community planning. So we then start to create these continuing mechanisms
for young people's involvement in the planning process, not just one-off and ad hoc affairs.

Other ways that we work, obviously very much in policy, highlighting the positions,

situation of children and young people. To give an example of that, what I've been doing lately

is twofold really. One, it's to inform our own work, because if we say we're a child rights

organization, it needs to be informed by children and young people. We can't just say we'll pick

on this theme and this is what we're going to do. We need to see, is that what children want us to

do?

So we have what we call thematic program themes. In the UK, we have thematic

program themes. One of the specific themes we were looking at was poverty. Obviously for a

lot of people, poverty doesn't exist in the UK. As far as they're concerned, it just doesn't exist.

We know from our research, the work we do, that obviously, if we look at absolute poverty, then

no, it's very limited. But if we look at relative poverty, then my goodness, yes. There are

significant amounts of people. What's quite good now is even the government have gone away

from this term of life social exclusion and social inclusion and actually talking about poverty

now. They're actually using the word poverty and actually saying about raising children out of

poverty by 2020.

So what we're looking to do is monitor that. Monitor the Scottish executive, the Scottish

parliament and the UK government in what they are doing to raise children out of poverty. But

also we want to look to introduce activities and methodologies that we can work with

communities, using this kind of a methodology, to say okay, if your area, if this is the issue, how

might we address that?

So to kick it off, what I've been doing is some consultations with children and young

people in focus groups set up. So I've done focus groups with young people in [community

name] and in [community name]. I've done focus groups with young care leaders, young

parents. Eight children, primary school-age children. Young teenagers. To get their views on

this thing called poverty. Basically the way I've held the consultations, it's Article 27, child's

right to a decent standard of living. That's why I'm saying, it's introduced in the UN Convention

on Rights, Article 27 says you have the right to a decent standard of living.

I'm not saying – obviously we do it sensitively. We're not picking kids and saying you're

in poverty. What we want to do is we do the consultations in an area where you're more likely to

– and obviously, once again, this is through partnership with other organizations. I'll get in

contact with them and say look, this is what I want to do. I'll provide them with a lot of material

on what it is I'm looking to carry out, as you have done with me about this interview.

So we've consulted them. We use participatory appraisal methods, mapping and stuff

like that.

Interviewer: You've gone and organized this?

Interviewee: Yes. So what we got back from this is a whole range of issues related to

young care leaders specifically. Then the consequence of that is we will be looking at some of

these issues and seeing, who is addressing some of these? Because there are other organizations

obviously – 'Who Cares? Scotland,' for example. But are there some of these issues that we

should be flagging up within our thematic program plan? So it's not just about what are the

issues for children and young people and what's their view, but also what strategies might they

see in place?

So for example, for children and young people in [community name], isolation was a big

issue. Not so much for the younger ones, but certainly for the older ones. The cost of transport,

the cost of buses. The fact that the bus stops by eight o'clock in the evening, they can't get

anywhere. Then the knock-on consequences of that is things like their employability. If you

can't rely on decent public transport, how are you going to get to a job and how are you going to

get back? How do you go to interviews?

Also it limits the distance that you can travel for work. So they were saying things like maybe there should be some kind of scheme where they get grants to learn to drive a car. A whole range of various things like that. Bus passes for teenagers. A whole range of various things. Not having to travel 220-mile round trip to [community name] to access training. Those kinds of things.

You can expect that from children and young people in [community name] but for some reason if you mention that to kids in [community name], inevitably they'll tell you to get on your bike (i.e. that it's not possible). You expect me to do 220 miles to access training? No, no.

So those are some of the things that are coming out. Also things like children saying – and we do it so it's not a third party. Quite often you can see they are probably speaking from some of their own experiences, but we do it in such a way it's like they're talking about a third party. So they will say things like the consequences of being on low pay, and they're all very much aware and okay with some of this language as well, is not being able to afford to go swimming. Not being able to afford to go on school trips. Not being able to afford a school uniform. So your parent might have got you a school uniform the first year you started high school, for example, but by year two or three it's the same school uniform and the sleeves are up here. How it embarrasses them. So all these are the issues that are coming out.

What I've said to them is we want to look at all these issues and we're going to pull all this together and see how we're going to address this. So one of the things we are looking to do is have a poverty campaign. At the moment we've entitled it ' [campaign name].' That is about highlighting to the British public that there are children who don't have a warm coat. Also to try to get away from this thing that quite often families are seen as, well, the reason they're poor is

because families don't know how to spend the money. That's the classic thing.

Or, if they didn't smoke and drink – those kinds of things. Oh, they're supposed to be poor – well, I see them wearing Reebok or I saw them with a DVD. We had these conversations years and years ago, where people were saying, they're in poverty – they've got television. If you're poor you shouldn't – you think, it's all, what goes around, comes around.

What these children are saying is even if you're on low income – because a lot of this is work poverty. A bunch of young people I consulted with all were from a child care initiative. They know about low income. They know the hours their parents are putting in. If you work hard, you're not in poverty – no, people work very hard, but if you're on the minimum wage, you don't have a lot of money at the end of it. They were saying things like just because people are on benefits or on low income, they should still be able to have basic things that other people have, like a TV and a Playstation. Even a mobile phone. They said, mobile phone, it's like having a phone now. It means it might reduce people's isolation. They can keep in contact with peers. Also it means if you are out of an evening, you can keep contact with home. There is this fear factor going on nowadays.

So those are the kinds of things. So what we're looking to do at the moment, the various other bits of work, as I've said, about developing this, but the other branch is about a campaign that will highlight to the public that there are children in this country that go without. They go without some basic things. You can't blame the parents. It's not because they have their own priorities over and above their children. So a warm coat, a hot meal – those kinds of things are what we're looking to highlight.

Interviewer: This is really great. This is the effect that some of these interactions have on the public and the lobbying. What about the effects it has on the government?

Interviewee: [organization name] have not just throughout Scotland – in the Scotland program, we are actually really fortunate. Scotland's a wee country. We have our Scottish parliament. We made sure we're in there right at the very beginning. We have really good contacts with MSPs. So [name] and various other ministers, and even local authority figures like – I know he's just resigned now, but [name], who's the leader of a council, very supportive of the [program name]. We make sure we have these. That hopefully gets our agenda onto the table.

Now the discussions are being held – [name], for example, has had meetings with our program director about the issue of poverty and poverty-related issues and the effects on children. So we do lobby government quite seriously.

Then of course we've got [organization name] UK, which has a strong lobbying power with the UK government. What we are able to do as well is we can support our research, our findings, with what young people are saying. We have masses of quotes and actual real qualitative information.

Obviously quantitative is important. But we are finding more and more ministers are looking for – what are people saying? I would say that politicians and ministers are more open now to that than they ever were in the past. That's obviously a benefit to us. It enables us to get our message across.

We also work in alliance as well with other organizations. So for example, when I'm doing this [program name] consultation on poverty, a lot of this information I'm gaining and pulling together will also inform the [government project], which is being carried out by [organization name], which we are a part of. The findings from that [government project] will be submitted to the Scottish executive and the UK government.

Interviewer: Do you think that children, the main public you work with –

Interviewee: And families. You can't discount families of course, but yes.

Interviewer: That they should be allowed to participate in all areas of policy?

Interviewee: Yes. We try and make sure that they're in – with us at an organizational level. So for example, when we are recruiting staff, children and young people are involved in that process. We've actually produced a pack for other organizations to use so that they can introduce that methodology as well, so that children and young people are involved in the recruitment and selection.

Interviewer: That's very interesting.

Interviewee: Yes. It's actually something I introduced into the program in England, when I first started working. That's been developed and we carried on with that here in the Scotland program. So for example, Douglas, who is our policy officer, who's an assistant to the program director, he was interviewed by children and young people. It wasn't just a little token group. They had a serious amount of sway, as it were.

Also when I was running the project, [program name], the staff that we employed, the assistants, those people, they were interviewed. We had a panel, it was me, there were others, but also children were involved in that panel as well because [organization name] have a really neat recruitment and selection policy and procedure. The consequence of that is that it's as easy to train children and young people in doing it as it is adults. I'm really pleased with it actually, yes. It is a good equal opportunities recruitment, selection process that we have.

Interviewer: Do you think that there are people who are excluded from the processes?

Interviewee: Yes. Of course there are young people who are excluded from the process. That's one of the issues that we're very much about trying to address. Young people, some of them have turned hard to reach. By that very nature, they don't present themselves at centers,

youth clubs. They don't get involved in that. So it's very much about working with organizations to try to make contact with these kind of young people. But there are areas that we do work – for example, historically we've worked with gypsy and traveler young people. We have done for many years, to make sure that they are represented in the organization but also in parliament, Scottish parliament. Their representation is made very strongly by [organization name].

When we develop our projects, quite often we try and make sure where a group has been run, obviously it will be open access and accessible to all. An example would be that when I set up a project with a child care organization, I had it written in and they were in agreement that it wasn't just those children that were accessing the child care through their parents that were open to that project, but on that Wednesday evening it was open to other children that could come along. So that was ways of trying to make sure we weren't just limiting the young people's involvement. Other things of trying to make sure is not making charges, of course. Also making it so that when they come they've got something to eat. It's always a major thing, that they actually have something to eat.

But all too often though, when you find the consultations, what will happen – I'm not saying through [organization name], but you will have a community planning, for example, will say they've consulted with children and young people. What they did was they hired a venue on a particular day, maybe a Saturday morning, and then wrote out to various youth organizations advertising this, and then the youth organizations would either be involved, as the case might be, and if they are they would take their selected young people. Who would, once again, tend to be the ones who are a little bit more articulate, etc. In that way, of course, you're not reaching the children that you really need to reach.

So once again, through the [program name], one of the things that we did there was to work with an organization called [organization name]. They've now been taken over by, and positively done so as well, by [organization name]. [Oganization name] worked with young people who were – I would describe as fragile. It might be because they were bullied or they were bullying. There was a whole range of issues. But by far the majority of reasons why they were manifesting the behavior that they were was through serious abuse in their early childhood.

We decided that we were wanting to introduce this methodology with a [organization name] project, with a group of young people, and they were all males. These were kids who were certainly on the edges of – they were involved with youth justice and they were certainly on the way to getting into serious problems. Behaving in some serious risky behavior, not just to themselves, that's for sure, but to other members of the public.

We introduced this model of working to them just as the [program name]. I came along once a week and introduced this model of working, same way as I described earlier with the consultations, etc., the straw that broke the camel's back. But to cut a long story short, we worked with these young people. Through the way we were working with them – and these are the hard to reach – they identified the major issues of concern for them and their community, themselves.

They had never done that before. They'd been involved in youth justice. In fact, we had one of the youth justice workers with them. He ended up leaving. He said, I can't do anything with these kids. He ended up not bothering to turn up, he just packed it in and off he went. He couldn't get them to listen to him and stuff like this. There was ways you do it. But anyway.

Through their artwork and a whole range, they started showing for the very first time the behavior that they were engaging in. To cut a long story short, what they then did is they got

involved in a project entitled "[project name]," a project to tell others not to do what we have done. This resulted in this amazing sculpture out of metal. We got an arts worker who was skilled in that way of working. He was able to bring some funding with him and he was then able to show them. They had hands-on experience with acetylene torches and welding. They had all the gear, all the stuff. This was the thing.

We'd only ever do things – ten minutes was the max. If we were doing something, it would only ever last for ten minutes. Then they would do something completely different. We knew we couldn't hold them for much longer than that. When they're engaged in this, my goodness, they just got fully involved. When they listened to the health and safety talk, which they got every session, they stood and listened. They were really enjoying what they were doing and they felt they were accomplishing something. At the end of it, they had made this amazing sculpture, which was then positioned in the [community name] house, in the [community name] valley park area, as a public sculpture.

Interviewer: That's great.

Interviewee: So those kinds of ways that we – so once again, it wasn't about labeling these children. It's all about starting from where they are and not bringing any baggage, not pre-judging these children. You go and say, what is it like for you? Tell me, what is it like? You defer back to them. You leave your ego at home as well.

Interviewer: This is really interesting. So one of our areas is how some of the effects of public participation transfer to other areas. Increased trust?

Interviewee: Absolutely, yes.

Interviewer: And respect.

Interviewee: Yes, definitely. A complete change of their behavior. They said, we're not

going to go and trash people's cars anymore, because that's not on. Because we did things like we talked about car insurance. They're like, the car's insured. When I explained to them the whole business about actual car insurance, they weren't aware. So if a little old lady's car got wrecked and they couldn't get the culprit, she would have to pay. The insurance would pay but then her insurance would go up. What would happen when she didn't have the car, getting it repaired? Ah, she wouldn't have the car. Wouldn't they give her a car? Only if – once again, that would have to be special to her insurance.

You go into all these little details and they start to realize the ramifications. We would give it back to them. What if it were your grandparent? It still didn't quite cut right home to them until they really got involved in building the sculpture. Because when we said about the public display, the first thing is they wanted it encased in a metal casing – because it will get trashed! The colleague and I from [organization name] looked at one another and went, they're getting it. Empathy workshops next. That was the thing. That was good.

Interviewer: Did you think then – there's various channels open to children. It is about connecting with government and decision-making then, with organizations like yourself in between and allowing that channel. Do you think it results in a better feeling about government?

Interviewee: I'm not sure really, to be honest. One of the feedbacks we've gotten from consultations with young people was, what's the point? I've got a quote, it will be in my report. They doubted the effectiveness of it. That's because, once again, it's happened all too often and they don't see anything coming out of it. We're just an organization. Yes, the young people we work with have seen the benefits to working, but there's lots and lots that we aren't working with that haven't of course, because we can't work with all children.

That's what this is about, spreading out and disseminating our methodology so more and

more organizations will work in a particular kind of model, methodology of inclusion for children and young people. It's kind of like the gospel according to [organization name]. It's not just us, we have developed historically really neat ways of working with children and young people. The community partners program has shown to practitioners that there are serious methodologies -- because they aren't out there. They weren't out there when we – you couldn't pick up tool kits or regeneration packs for working with children and young people. They were very few and far between. So we had to dip here, dip there, and a lot of it develop ourselves.

Also though, we did use methods from overseas, like the participatory appraisal methodologies that we've used overseas. The way they use with prioritizing so you're making sure that those children who have limited numeracy and literary skills are fully taking part, because of these methods that they've used overseas for engaging communities and villages. We've used them here. So it's making sure we're not putting kids on the spot – I can't write or I can't count.

Interviewer: That's interesting.

Interviewee: So for example, what I said about prioritizing the issues. That would be in a way, once again an overseas methodology, where you wouldn't count, or if you did you might use the tally gates system – one, two, three, four, five – because you could see that. Even a child would see that that is more than that. Even though they might not be able to go one, two, or one, two, three, they can see that that is more than that. So there's that system.

But the other one we used was giving them a pile of stuff. It could be anything, piles of paper clips. All the issues are laid out on the table and they put the paper clips on the issues that they feel are most important. The issue with the biggest pile of paper clips is the number one issue. It's as simple as that. They don't need to count. So they're engaged in that. Of course

because they're all engaged in that, they feel that they've come to a consensus. There isn't that, I wanted this, I wanted that. They've gone through a process.

Interviewer: Do you mean this for working with very young children, or these issues of literacy and numeracy with older children?

Interviewee: Older children, yeah. You could use it with young, you can use it with adults. It's a fun way. Another way is stickers, the colored dots. You put little dots on them and things like that. But the piles is good. With the colored dots, it gets to a point sometimes you actually do then have to start counting them. Whereas piles – number one is you use dried beans or dried peas. Just buy a two pound bag of peas and you can actually see them, so you don't need to count. I've used it with all ages. Apart from the fact, it's a fun thing to do.

Interviewer: Absolutely. Perhaps at the other end of spectrum, using technologies to engage with young people –

Interviewee: Definitely, yeah. That has been more or less successful according to where one has been. So for example, the work that I was doing in [community name]. That wasn't as open to us until they got an IT library in the local community center and had a really good relationship with one of the workers there. So we were able to kind of get in there after hours and had a really good relationship with the caretaker. Really important, the caretakers. My goodness, they're the people with the power. So he would be quite happy for us to come, because he would then come later and lock up. Whereas before it was, no, it closes at such a time, because I'm finished. Whereas he would say, I'll go off, because I only live just over there, and I'll come back later and lock up.

So we were able to use the library and the kids produced publishing stuff to do a report. A bunch of kids did a report on the condition of play and play sites in [community name].

Interviewer: Was it a newsletter or –

Interviewee: No, they actually produced a report, which they then presented to the council. They did it in a very active way as well. A real good day actually. The way they presented it to them was a really good day. But once again, they went out and did research.

From their research they then produced a bunch of research questions. They then produced a questionnaire. They identified – we talked about, what's the best way to get your response? They said, let's send it to the schools. Let's get the teachers to get them to fill the questionnaire in the classroom, that way we'll get the best response back. They weren't daft, they worked all this out. These were primary school-age children. We sent out 350, because we just worked out on average so many children for each class, so we sent out an average of two to each school.

It was four schools in the area. It was something like 350. We got 240 back, which is an excellent response of course. Then they sat every Wednesday evening tallying up, doing the tally gate. Once again, I showed them the tally gate, doing the tally. So many kids said this. They did all this and I bribed them with chocolate and stuff like this.

At the conference, one of the girls said, they were talking about this. She was fifteen. She said, oh yes, we had to tally up all the responses and we were doing this every Wednesday evening, or whenever it was. She said, if we wouldn't do it, [name] would lock us in the cupboard under the stairs. But that was so brilliant that she could say that. She wasn't telling the truth obviously. But she felt so comfortable and she knew people – yes. Whereas kids would go, oh no, I couldn't say that. I wouldn't make a joke like that, that's terrible. But she felt so comfortable.

So then all the information they got back, they then used to produce this report, when

they did the desktop publishing and produced the report. Then we got it printed and that was then presented to the council. They were involved in all that. They got the names. It was brilliant, they said, we've got your names and addresses. We're going to be writing to you in a few weeks to find out what you've done with our report.

The follow up to that was the technical manager for the play sites for [community name] came and met with them, and thanked them for the report. He said, thank you for this report, I've been able to go to the contractors and said to them, you're not doing your job. Two hundred and forty children are telling you you're not doing your job. They reported things like bins overflowing, not being emptied, broken glass on a regular basis. Stuff like 75 percent of the children who lived really near a playground don't use it.

That must tell you something. So that had a really nice knock-on effect. That's all the kids wanted to do, they just wanted to highlight. They said they were realistic. They knew they weren't going to get a new playground out of it. What they wanted to do is highlight the condition of the play and get the voices of other children as well. So that was really good, that they were able to do that.

Following on from that, there were all sorts of things where they did their own graffiti cleanups and a whole range of stuff. As I say, I'll give you this so you can have a little look through this.

Interviewer: I'd really like to, I'll make a note of it. So can I ask, there's a few questions yet, but you've certainly touched on a lot of these so it just needs some expansion. Who do you feel accountable to in your position?

Interviewee: Children and young people. Obviously I've got a boss, but I feel that I'm accountable to the young people. That's what keeps me – that's why I've been with [organization

name] since 1993.

Interviewer: Would you say that [organization name] plays a unique role in public participation?

Interviewee: Yes, I would do. Because it's very much about – it's seeing young people as rights holders. We see children as rights holders. It's like having a bank account. You would go to the bank and draw your money out. If they're not going to give it, you demand it. That's what we want to say to children. This rights thing is like having a bank account, it's yours. If you're not getting them, then we should be demanding it, because it's your right. Because you're a rights holder. So we're kind of unique in that respect, yes.

Interviewer: You've certainly touched on this, but what effect do you feel your role has on public participation?

Interviewee: My role really is about raising the awareness of children and young people to the fact that they shouldn't have to put up with what they're putting up with. My role is to provide them with information on what else is out there. It's about providing them with support when they have initiatives that they want to put in place, or providing staff that will do that. It's done in various ways. Sometimes it's hands on, direct, sometimes it's indirect.

But the last piece of work, a lot of it was direct. It's about finding from young people the way they think, the way they – and then saying to adults, actually, I work with a bunch of young people and I know this. This is their response. It's not what you think. It's actually disseminating out to adults and then trying to dispel the myths about children and young people. It's quite curious there are adults who for some reason completely forget that they were ever children and what they ever did as children.

I find that most peculiar. So I have to remind them, I think, that they were children once.

That's one of the things I do. I do remind adults that – I do this silly thing where I take them back in time. Yes, kids can do some awful things and daft things and all the rest of it, but haven't we all at some point, when we were children? Does that mean we all turn out to be homicidal maniacs? No, I don't think so. They turn out to be prime ministers and doctors and lawyers and all the rest of it.

I see my role really as saying that we have inequalities in the UK and we need to address those inequalities. We have inequalities in where children live. We have inequalities in where children go to school. We have inequalities in the income that children have to live within. These need to be addressed. If we're talking about an education system that's the envy of the world, how are we going to achieve that when we have two systems of education? How are we going to achieve these kinds of things?

So those are the kinds of things. But as I say, it's about raising children's awareness to their rights. It's enabling them to act on those rights and support them. And also protect. If they wanted to do something like go and have a demonstration outside a drug dealer's house, I would say, that's kind of a bit dodgy, because I might be putting you in a position of – you see what I mean? Explaining why or why you wouldn't do something. It's about, if you're going to consult with them, then they need to know what they're being consulted with. They need to know what other information is out there. It's about broadening their horizons and developing their self-esteem.

What I really love, and I've got it on video, I've got kids saying, before I came to this project, I was quiet, I was this, I was that – now listen to me. That is not just my work, that's the work we've done throughout the community partners program. That's what a lot of children will be telling you from the [project name], which is one of our projects in [community name].

Before I came to the [project name], I was this and that, now I'm a lot more confident. I can do this, I can do that. I'm volunteering for things. Children do not like to stick their head above the parapet. Certainly the children we've been working with.

More and more they're starting to volunteer for things. That is really amazing because it's their peers they're worried about. Don't want to be looking out of place. So it's developing self-esteem, confidence, etc.

Interviewer: Those are some of the social benefits.

Interviewee: Absolutely. If you're doing that, then you're developing their personal skills, their life skills, all those kind of things. So it means as young adults and then as adults, they will be thinking about how they will interact with others. The fact that, yes, I've got rights but others have got rights and therefore my responsibility is not to abuse the rights of others. The children quickly work that one out when they realize this thing about rights. I don't hold with the fact that with rights comes responsibility. You have rights. In fact, we can be quite irresponsible. You can murder somebody, some of your rights are taken away because you're incarcerated. But you still have the right to be treated fairly in prison, etc. You wouldn't suggest that a six-month-old baby has responsibilities.

Interviewer: That's very true. You mentioned this document several times, so this is sort of a report.

Interviewee: This is the DIY guide. The report is a different document. This is the DIY guide. This is a tool kit.

Interviewer: Can young people access this?

Interviewee: Yeah, they can access it from the website or through their centers. We've done, as I said, a lot of training. Part of the training was I actually then took up 50 or 60 copies.

So for example, went to [organization name] and they organized the training, I just went up and did it. We didn't charge them for it either because we got funding for it.

I brought along with me something like 50 copies, because they said they would then place these in various centers and various places so others can have access to them as well as – not just staff but children as well. Although it's not written for children – what we really did want to do was write one that was really specifically aimed at children. But we did think in the first instance the practitioners – because it's about disseminating the how.

Interviewer: What about the reports you've mentioned? Is that written in a way that children could read it as well?

Interviewee: No, I didn't write the report, and no, it's not. It is a neat, clear report, I must admit. But I wouldn't suggest it was written for children, no. Once again, what we were hoping to get was monies to do a children's version and we couldn't get that. We got the monies that we did but we couldn't get the money. Because we're a voluntary organization, we can only operate on monies we raise through, for example, [through, for example, lottery funds and various things like that, as well as what we call free monies. But no, that was certainly something that we wanted to do.

What we did do is we produced, right at the very beginning, a document to organizations to say, five years ago, this is a [program name] and this is what we're looking to do. We produced this document. I then took that document and went to a bunch of young people who had been working with when I was a project manager, showed it to them, and said, could you do something better? They did. They produced this comic. The comic then – you read the comic and basically it said what the [program name] was, how it was looking to engage with children and young people, and what they would get out of it. So they did that, yes. So we produced that

kind of stuff. We've still got copies of that as well.

Interviewer: Specifically for [organization name], once decisions are reached within house – you said you very much involve children in various processes. So would children and young people be involved in any reviews or adjustments or things?

Interviewee: Yeah. What we have, we have this thing called [name of evaluation tool]. All our work has to be set against what we call the five dimensions of change. What changes have there been for children and young people through this work? Like with the [program name], we can't say the change has been that we set up four groups in [community name] and five in [community name]and 600-odd children came over the year. Yeah, they would. What have these 600-odd young kids got out of it? That's the important – and what have they gone on to do. What changes have you made in the local community, like with other organizations, with social inclusion partnerships? How have they changed because of your work? That's the impact. So it's what we call impact monitoring.

Part of that, we have what we call stakeholder meetings. Children and young people are part of that stakeholder. So for the [program name], they were very much involved in that. Obviously not all the children, but we did take 52 children away for a long residential at [location], up past [description of infrastructure]. That was part of that whole review.

Interviewer: So that's sort of in-house strategy and policy they're involved in.

Interviewee: Yeah.

Interviewer: Very interesting.

Interviewee: So there were representatives from all the groups that were involved in the [program name]. It was fun. I loved it.

Interviewer: Do you think there need to be more steps or types of activities done to build

the capacity of children?

Interviewee: Yes. This is the problem, I think. Going back to what I said earlier, local authorities, other organizations perhaps, but particularly community planning as well, they're all in their little silos, of course. They just see a consultation. They don't actually see what really needs to be done before that and then afterwards, as well as the during. They don't actually appreciate all the work you need to do beforehand and how that would really benefit the quality then of the consultation. You get so much more out of it.

As I was saying, just as a simple thing, if you're consulting children on play, if their play is limited and quite often poor play experience, they can only then respond to that. But if you say, we want to consult children on play and we want to consult with a bunch of young people, what we'll do is we'll meet with them and take them to all these various play sites and then they can compare what you've experienced with what you have been experiencing on a daily basis. Make comparisons and start to critically analyze then the quality.

Interviewer: This is the idea that they have the capacity for critical analysis and expanding knowledge and understanding?

Interviewee: Yes, absolutely. One of the things that children said which was really good – if the council was to consult us on things, it might actually mean we could save them money. It might mean we would save them buying things that we don't actually want. It's very sensible. The classic thing was the [name], the wildlife garden initiative. If they hadn't consulted with children, they would have said, what children want is a playground in this area. That's not what the kids wanted.

Interviewer: Returning back to this idea about children's inputs in government decision-making, how do you think that could be improved then?

Interviewee: One of the ways we obviously try and do it is through our policy work and our reports and our lobbying of government. We do that very much because it's very much informed by children, children's voices. On some occasions, children actually take some direct action. In [community name], they have had demonstrations outside parliament. . But they have actually had demonstrations that's been supported by [organization name]. But it's come from the children. The kids have said, this is what we want to do, and we've supported that. We do risk assessments, etc., and you conduct accordingly.

Interviewer: So more things like that.

Interviewee: Yeah, more things. Another thing is, how do you present – like for example, when the children did the reports on the condition of play, they obviously wanted to make sure that [community name] City Council got that report. So how do we make sure they get that report and it's effective? This is another thing. I use my knowledge as well. It's not that if you don't think of it, it doesn't happen. I will then say, I've heard of this. What do you fancy?

To give you an example, because we talk to other projects and organizations, [name], a young man called [name], has produced this amazing snakes and ladders. It was a giant snakes and ladders that you were the piece, you walked on it, you threw the dice and you moved yourself around the board. He used it as training initially for people in youth justice to raise their awareness of youth issues. It was a classic. You had cards and you would put them on squares as well as the snakes and ladders. You had these cards that would tell you things or make you do things. I saw the benefit of this in many ways. So I went to the training with him, because I saw him at a conference and I picked up on it.

To cut a long story short, I got the pack with the giant snakes and ladders. I said to the kids, I've got this snakes and ladders. What about we use the snakes and ladders as a way of

presenting the report? So I brought the snakes and ladders to them. They used it, they played it. They said, what we'll do then is things that are in our report, like the broken glass, we'll write them up in certain ways and we'll put them on the snakes and ladders so they'll actually experience the report as well as having to read it. Because they are canny people, so they said, we'll invite the leader of the council, who's [name] at the time.

At that time as well, it was a few years ago now, the justice minister – no longer, he's gone. Anyway. Was it [name] who was justice minister? Anyway. The justice minister came. Various dignitaries, head of teachers. A whole bunch of people came. We organized a whole hall down in [community name] and they came. The children were involved in writing, getting the names, all the rest of it. The snakes and ladders. So they said, right, we want you to play snakes and ladders. We're not going to give you the report, you can really experience it and then you can have the report to read.

So they got them with their shoes off, playing snakes and ladders, and at the same time the kids controlled it. They moved the goalposts, they did various things. They had them sent off. Like, you stood on broken glass, you have to go and – so they had to go to a corner and wait until they got told to join the game again. They were all really competitive - wanting people going to win. They had to write down how they felt about waiting in the corner. It was this whole experience, and then they had to evaluate it. But they broke them into groups and got them to evaluate the whole process.

So that was a way for the young people to feel in control but also to make sure that they're getting their message over to the powers that be.

Interviewer: So it's an innovative and alternative methodology.

Interviewee: Yeah. Admittedly, that wouldn't have happened if I hadn't seen the snakes

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and ladders and then had it and brought it to them. But that was my role as well. There are certain models of working with young people which I don't go with. If they don't do it, it doesn't happen. For example, like writing a letter. If the children say, actually I really don't want to write the letter, we'll say, what do you want in the letter? Then we'll go through and just pick out all the stuff they want in the letter. Then I'll go and write the letter and I'll bring it back.

Once you've done that, they then go – hang on, now give it to me. Whereas some train of thoughts will say, no, if they don't want to write the letter, then it doesn't get written. I don't work that way. I consider the alternative ways of working. They learn and they benefit from it.

So that's a way that we can – and we do that quite often. We've had a number of events like that in the Scottish parliament, where it's been quite active and they've presented issues in an active way. Gypsy travelers have done that. We set up a project which is now an independent project called [project name]. [Project name] is the child's right to an opinion and for that opinion to be taken and respected, obviously as long as it doesn't affect the rights of others. [Project name] used that model of being very active.

What they've gone on to do is get involved in young people in Poland and Sweden and various things, and learn from them what does participation mean in Sweden, what does it mean in Poland. I'm still in contact with one of the young men from Poland now.

So that's the way [organization name] have also worked, through support as well.

Interviewer: You mentioned something earlier - The question here, is there a single step you as a public participation practitioner can take to improve this connection that you're describing, to enable people to have a greater influence on government? You said using your own knowledge that you've built on, you've managed to offer a few innovative ideas. Is there anything else you would like to comment on that?

Interviewee: What's his surname, [name] – he's an MSP, Green MSP. [Name] is his name. Yeah, it's about making the best of the contacts you have as well, and knowing what you can bring to that. How can I put it? I suppose it's like anything else. You have skills. You're sitting there using your personal skills and various things to make me feel comfortable, etc. That's what you use. I will do the same.

So I will do that when I'm talking with [name]. I will do that with [name]. I will go out of my way. For example, with the [program name], because some of the work was in his ward, the first thing I did was have a meeting with [name] and said, this is what I'm looking to set up. At some point in the future, I know a whole bunch of young people wouldn't mind coming and interviewing you. Would you be up for that? It's about setting the scene, as it were, and looking in advance.

The only reason I could do that was my own experience, that I knew from my experience with working with young people and having developed a relationship. What that meant was that he was very supportive of the work that we did. It's the same with other politicians as well. We are fortunate in Scotland because we have quite close – in the England program it's a lot more difficult. Westminster, there's a lot more demarcation, as it were, but not in Scotland. Especially in [community name]. Village [community name] is a tiny, wee place. You'd lose [community name] in [location].

Interviewer: We've just come up to the very last part, unless you have anything else, but we'll return to the anything else after.

Interviewee: The other thing I would add is obviously the knowledge that I have from my other colleagues. So using the research that we have. So I know I can speak with confidence. So I know that I can say and give statistics and I'm confident with that. That makes

a big difference. Quite often when you're using this, they don't know this anyway. You could be …[?] but you wouldn't do that.

So for example, I'm feeding back the public advice, the advice note for community planning. I've kind of looked through it – hmm, have a meeting with one of my colleagues. Tell me what you think I should be looking at here. We have a nice meeting like that. I get some really good ideas from her and then that helps me. Then when I write the feedback to the advice note, I will then share that with her. We will tweak it accordingly and then we'll send it back. So it's using the resources of the organization and then bringing that to bear on the Scottish executive or whatever it is.

Interviewer: I believe we've adequately defined what public participation is.

Interviewee: Certainly as far as I'm concerned. And I think as far as [organization name] is concerned. Certainly us here.

Interviewer: We're talking about very different cultural nuances, but any other descriptions you would use? Any other phrases you would use for public participation? You talked a lot about consultation, for example.

Interviewee: Yeah, as I say, it's a well-used word, isn't it?

Interviewer: Any other expressions you would use instead of public participation?

Interviewee: I like the word participating. Young people participating in. But we have a quite clear definition – we have a reasonably clear definition of what we mean by participation though. That sometimes can be a problem for other organizations. For some organizations, participation means coming along. Coming along and taking part. Whereas our definition of participation is developmental, as I said earlier. It's developmental. The children gain something from that whole experience and they go away from that experience of participating knowing

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something more, feeling a bit better, whatever, than when they first started. Even when I do the consultations. So when the children leave the consultations, they know this thing called the UN Convention on the Rights of the Child.

As one child said to me, I've got the right to education? I said, yeah. They said, so if they're sending me to the library because [inaudible], that's not wrong? I said, no, this is right, we'll have a word about this. So those are the kind of things, so they're actually gaining something. They're not coming along and answering questions and then going off. They have to get something out of it.

So participation needs to be developmental, as far as we're concerned, for those taking part. Consultation is well used and the consequence of that is you use that word and it turns people off. Creating a focus with something is what I used. We said, creating a focus – that was the collage, for example. But it could equally be a film they could make, and you use that then as a way of consulting with children and young people.

An example will be I was involved in an initiative in [year] where I consulted with children and young people on poverty and social exclusion. It was 27 young people from [community name] and [community name]. I went and talked to them about what I want, but I said, what I want you to do is for you to create your focus, wherever that be, and once you create that, I can see it. We can all see it. Then I can ask you questions on that. So it's not me coming with pre-designed questions. So for one group, they were young carers. They did a video, a drama. Then having done the drama, it's brilliant, because it lured me into false perceptions. Then I asked questions and had them answer and it was really good.

Another group did a big piece of artwork. Once again I was able to – so it wasn't going in with questions. I had no questions for them apart from the initial things – I want to talk to you

about this thing called poverty and social exclusion. I then went in and they created that focus, and I asked them questions. Was that a child getting out of bed? No, that was my father getting out of bed and that was the child looking after the father. So all this starts to come up and you get these ideas about, actually for young carers, it's more than making a cup of tea, that's for sure. The children who did this big artwork showed me through the artwork and then we went and visited where they played, a very isolated little area. And the fears they had, because it's a new road that's gone right through where they live- I put [community name].

So once I got the drawings, all right, why is that gray? I remember one young child, I said about the drawings, why are these all gray? She said, open your eyes, [name]. Look around. I looked and all the buildings are gray and drab. That's why there was no color in her drawings. That was far better than me coming in with questions.

Interviewer: Coming from the child?

Interviewee: Yeah, because it's starting from where they are. That's the important thing.

Interviewer: This has been excellent today for this study, but it's been very interesting for me as well, as a professional working with children and studies too obviously. It's been very informative. So the key thing we're trying to do is paint a picture of what public participation means in different cultural contexts, and with children and with different ages within it. So I feel we've really captured that today. Are there any things you think we haven't included in this that you would like to discuss, on the topic of public participation in Scotland with children?

This next part is more chit-chat and less relevant to the study

Interviewee: It's kind of interesting, actually. One of the things, it's actually a use of public space. That I think is a really interesting area to look at. How is public space used? Who

owns public space? Whose legitimate arena is that? Because we have conflicts now between private and public space. An example will be shopping centers banning children from going in if they're wearing their hoods up. Yet it's a shopping center, is it not a public space? No, actually, because they've got security guards and it's owned by a company that owns the shopping center and then rents out the spaces. So it's not a public space. Or is it?

So that's something I'd really like because I think that has a huge impact on how people see how other people should use public space. One of the things that's coming up for me as well – as you know, the introduction of the banning cigarette smoking in pubs. Which I am actually in favor of, because I feel that if I can work in a smoke-free environment, then people who work in pubs should be able to work in a smoke-free environment. It is unfortunate for those people who traditionally – but that's my bottom line. Why should I and they not?

But the consequence of that is you have large groups of people standing out using public space. If you're using that public space but they're using it in a private way, all depending where you are, it can be quite off-putting or not to those other people who are using that space. So that would be an interesting thing for me. I'm not sure I'm answering your question properly. But it's how we use public space.

Traditionally, public space was public. Before the meteoric rise of the motor car, you did play on the street. You played cricket, you did those kind of things. Parents would probably sit on the doorstep or even take a chair out if the weather was decent, and sit outside. There was that use of public space. That's been taken over by the motor car. What was a community space is now a parking space. That has a huge impact on how people use their space but also interact with one another as well.

I know there was some work done in Australia a long while ago on the use of public

space. I've got some information on that. It was only a piece of an academic study. But that's something.

Interviewer: That's quite a fascinating topic. I know as well, previously there was more common good land.

Interviewee: But also the thing about – because I see the street as the legitimate place for children to be. I see that as a seriously legitimate place for children to be. Whereas lots of people, and even children now, they don't use – they're in their bedroom.

Interviewer: Unless you're wealthy enough to afford a big garden.

Interviewee: But then you're even still confined within that space as well. It's funny, where I've noticed where children are more out in the street is actually in the areas in the housing schemes, where it's predominantly working or non-working class. I lived in an area in [community name] and it wasn't housing scheme, it was rows and rows of back-to-backs. They didn't have back gardens, they were literally back to back. They just had the street. But also the thing that lends itself to the use of that street was the fact that the area was so poor, there wasn't many cars. So people would bring out paddling pools and various things like that.

Interviewer: Was it a tighter community in those circumstances as well? That's an interesting study as well. Because maybe they had to rely on one another a little bit more and therefore there's more of a community sense. So they don't mind their children being out either and there's less of a sense of fear because there's other community people looking at their children.

Interviewee: That's why they're looking at these – they're using the term [inaudible] home zones here. But in Germany and Holland you've got the [inaudible] and the [inaudible]. It's about reclaiming the street for the community. It's not saying cars can't use it but they are

limited in their speed and there's street furniture they have to negotiate which would keep their speed down, etc. And the public have the right of way, so if somebody's crossing the road, the car has to stop. That also has clamped down on speed, because obviously you can't legislate for idiots. But on the whole it works. But that once again, that's about reclaiming. Making quite clear that that's not at the expense of organized initiatives for children and young people as well, because they still need this. It's not and/or.

I find that interesting, because I really do see – for me, as a child living in [community name] when I was a small child in [neighborhood], and then living in [community name] in an area off [inaudible] Road, near [location], we used the street. We used all sorts of stuff. It was legitimate for you to do that. Whereas nowadays, young people are seen as if they're in groups, they're a gang and they're up to no good.

Interviewer: There's a fear of the children.

Interviewee: Yes. Not actually, one of the reasons you're in a group is you feel safer in the group. That's the reason they're in groups.

Interviewer: It's a very natural thing to do for children.

Interviewee: Absolutely, but then others see that as – but I would like to see that kind of debate going.

Interviewer: I read an interesting thing in the train on the way over actually.

Interviewer: I'm probably not answering your question.

Interviewer: No, it was interesting. The interesting thing on the train was that – it was about these new schools where children – citizenship was at the core, the ethos of the school was all about. Therefore the children are encouraged to challenge teachers on their decisions.

Interviewee: Excellent. Where was it in?

Interviewer: The Independent.

Interviewee: I wonder if the Guardian – because [name] gets the Guardian. It's quite interesting actually. There was a head teacher that –

Interviewer: Teach pupils to challenge authority.

Interviewee: Critical democracy, absolutely. That's really good. I delivered training on the guide to a whole school staff team in [community name]. It was from the head teacher right down. The only person that didn't take part, I don't know why, was the school caretaker. But everybody else, even the school secretary, took part. At the end of the training, what he said, one excellent way to introduce citizenship – he said, it's on our curriculum, but you talk with the kids and they're basically saying, does that mean you want us to do things for nothing?

That's the kind of – we've got to be these goodie-goodies or something. What that showed is it's about looking at critical awareness, looking at your community which the school is part of, looking at what strategies can we put in place to make things better and address issues. So I'm sure he would be quite into that.

It's funny, there was a school in England and it was categorized as a failing school. It was a few years ago now. They put a new head teacher in and probably some different staff. The school completely changed, completely changed the school around. I can't remember the name of the school or the head teacher, but I remember reading this. It was in the Guardian education supplement, that kind of thing. She said quite simply, I asked the children. I talked to the children. I asked them what they wanted to see in their school. That's how it's changed.

Interviewer: It's amazing the things that still break through for newspapers.

Interviewee: It doesn't break through for many schools though, unfortunately. We had a big meeting, this is when I worked for [organization name] in England, with head teachers. It

was about this thing called the UN Convention on the Rights of the Child, because I'd made this big banner and on it I said [inaudible] – because I worked in [inaudible] metropolitan borough council – basically I signed up – that's right, [inaudible] signed up to the UN Convention on the Rights of the Child. I had councilors coming up to me and saying, have we? I said, yeah. I just did this.

From all that, there was this thing, what is this thing? Because this was back in [year]. What is this thing? So we organized a meeting for schools, specifically for the head teachers. We had it on a Saturday. They always complained we had meetings when they're at school and can't do it. So we had it on a Saturday. We provided breakfast and we provided lunch, there was no excuse. By far the majority of them were talking about loss of power. Giving children rights would mean loss of power. I said, you're a big man with a huge amount of position power. You're the head teacher of a school and you're worried about loss of power from an eight-year-old?

Interviewer: Such an old-fashioned view isn't it?

Interviewee: Absolutely. If anything – no, it's not power you want. They'll give you respect. That's what it will give you. It's interesting to see that.

Interviewer: Thank you very much.

[cross-talking]

Interviewee: I'll get to have a look at it when it's all done, will I?

Interviewer: You will. I think I mentioned this to you. The idea at first was Western Europe, obviously a huge terrain. The central belt of Scotland and northern Sweden were the areas we ended up looking at. Next stage is to pass this over and it actually comes back to our organization to analyze [inaudible] as they come in. Then it's passed back to the States for the

report to be written, and it's a fast turnaround. So yes, it's the States and Australia, New Zealand and Canada. Thailand, very interestingly, China, Latin America, Southeast Asia, Africa. So snippets of what public participation means there as well. So it should be very interesting.

Interviewee: I suppose the People's Congress will be [inaudible] in China. It's quite amazing how some people are completely compliant within that but then others are really sticking their head on the block and really talking out. I don't know if you've seen some really brilliant programs – I was amazed how he was allowed to do them – on China.

Interviewer: Yeah, there was that series, wasn't there? I was particularly interested in the sort of anthropological aspects of it.

Interviewee: It was really amazing. Very – yes.

Interviewer: [inaudible] She's a good woman of China, she's written. I don't know if you've read a few of her novels. It's an account of life for women during the Cultural Revolution and since.

Interviewee: Mind you, the lot for women isn't great in any country. Certainly in some it's worse than others. In China, unfortunately. Not unless you're members of the party and you're apparatchiks, as it were.

[End of transcript]

Canadian Local Elected Official
Transcript 502

Chris: Hey, [name].

Interviewee: Hi there, Chris. Sorry.

Chris: How are you?

Interviewee: I'm okay. I got a little bit of a problem going on with Air Canada and

WCB and stuff like that, so I have been on the phone. So sorry about that.

Chris: That is okay. Are you free now?

Interviewee: Yes.

Chris: That is cool.

Interviewee: I have tea in hand to calm me down.

Chris: Lovely. This would not be painful and it would not take that long, I think. Can

you hear me okay?

Interviewee: I'm just going to turn you up. Just a second.

Chris: Okay.

Interviewee: All right. Now, am I too loud for you?

Chris: No. You are not too loud for me at all.

Interviewee: Okay good. Now, I can hear you better.

Chris: Okay, cool. So, because this is an academic survey, there is a preliminary thing

I'm going to read, but I'll just let you know because I'm going to read. You can think about the

questions, too. But basically, I'm just going to be looking for your perspective on public

participation, looking at how it actually takes place, so your experience of it, your specific role

and how you balance different interests, and how you tie input to outcomes. So, those are the

main [audio glitch].

Interviewee: Sure.

Chris: So I got to read this stuff out so you have it on record. Let's see, I have to read it

so -– here. The International Association of Public Participation (IAP2) and Kettering

Foundation [audio glitch] arts for international organization interested in the different ways of

public participation throughout the world. IAP2 has approximately a thousand members in 16 countries around the world, with six organizations conducting public deliberation processes. But IAP2 is a work-related foundation for future research initiatives in behalf of our members. It will also be a resource for many other national and international organizations that are interested in the subject. Projects funded Kettering Foundation, a non-profit organization that conducts research with the administrators and public officials around the world. The foundation believes our democratic practices can bridge the gap between public and formal institutions of government. Together, IAP2 and the Kettering Foundation [indiscernible] study note 70 people are being interviewed in seven different regions. Some people interviewed are government staff members, some are decision-makers, some are [audio glitch] from non-government organizations. Some people professionally hold participation. The interview was designed to learn more about how citizens view [indiscernible] on [community name] I guess, communicate with government officials to develop the policy decisions that govern your community. So, I would like to spend the next hour and a half or so asking you a few questions and this will be tape recorded and transcribed. So for you as an elected official, we are asking you to speak broadly about your experience working with the [community name] municipality on decisions and processes that involve the public. As you know, we are recording the interview. So the recording of our discussion is required in order to participate to ensure the final report accurately represents the information you provide. The participation is confidential. Your identity will not be identified or for any [audio glitch] the research team. As such the researchers promise not to divulge that information. Once our interview is complete, the recording will be [audio glitch]. The project director, Beth Offenbacker, once she confirms receipt of the recording, will delete all copies of this recording from all [audio skips] my computer. I will also send her any written

notes that I have taken. Once she confirms receipt of these notes, I will shred my copy. These

are additional guards Beth will take to ensure your confidentiality. Beth will electronically

transcribe the interview or if quality is poor or the transcription software cannot read it, she will

use a transcription service to transcribe the interview. Beth will code the transcript so your

identity remains confidential. The fact will not reflect your name or any identifying

characteristics such as your position, title, organization, sex, location, or specific project names

that you might identify. Once the transcript has been prepared, it will be reviewed against the

initial recording to ensure accuracy. The data from this study will be used for all reports to be

published by IAP2 and the Kettering Foundation slated to be released in November 2007. The

report will likely be published in an academic or professional journal. The final document will

be available in IAAP2's website after the project is completed and a copy will be sent to you if

you would like to receive one. Subsequently, other researchers may have access to the broad

data minus the study ID codes. The recording from this interview will be erased or destroyed by

2012. There is no consultation fee for your participation in this study. Your participation is

voluntary. Sorry, this goes on for a bit. You may choose not to participate at all, or you may

refuse to answer certain questions or discontinue your participation at any time without any

problem. I want to emphasize that there are no right or wrong answers to these questions. By

voluntarily agreeing to participate in this study, we ask you to answer these questions with

responses that are true for you or for your organization. So, in the next section I'm asking for

your permission to conduct this interview. Please respond to the following questions. Do you

understand the conditions of the project?

 Interviewee: Yes, I do.

 Chris: Thank you. If yes or so, have all your questions been answered about the project?

Interviewee: No, they have not.

Chris: No? Do you have any questions in your mind?

Interviewee: [Indiscernible, laughing] -- this far, yes.

Chris: Wonderful. Do you acknowledge that you understand the conditions of the project and that all of your questions have been answered and hereby give your voluntary consent?

Interviewee: Yes, I do.

Chris: Thank you.

Interviewee: Too bad you just could not just sum that up with a little blue "I agree" button at the bottom.

Chris: I know. You got to read it. So, one more piece. In my invitation letter asking to be interviewed, I sent you contact information for the office in charge of the protection of human research participants at Virginia Polytechnic Institute and State University. These officers review the study in order to ensure that the study is done fairly, respectfully and honestly. Please contact Beth Offenbacker, the project director, if you have any questions or concerns about how the information is being gathered with this research project, how it is being recorded, and how it will be used, or David Morton of the Virginia Polytechnic Institute and State University can answer any questions or respond to any concern. Are you ready to begin?

Interviewee: Yes. Are you? [Cross-talking]

Chris: I have been speaking with my friends about [audio glitch] a public participation research study that begins without an introduction because that is really not the kind of stuff that I know you do. So, anyway --

Interviewee: Well, sometimes I have to for things like new public hearings, those statutory requirements for certain long preambular bullshit. Oh, is this all being recorded, too?

Chris: It is all being recorded, yes. So this is all ethical [audio glitch] and stuff do. So, let's talk a bit about [community name] municipality and your work. I'm interested just to get your perspective, kind of your own personal take on public participation and deliberation. So can you just give -- just tell me about what kind of activities you work on related to public participation, any inclusion? You can talk about the [organization acronym] as well, which is [organization name for which immediately previous acronym was used], which is another body you are involved into.

Interviewee: Yes. I think that what prompted me when I first came into office was experiencing some very poorly-run public participation event so that the public participation was minimized or the potential effect of the public participation was carefully crafted to be eliminated essentially. And sort of there is a sense of people were being co-opted into attending an event or a process that really did not have any kind of intention of having an outcome that would reflect that public participation. It was just more of going through the motion. So, when I did go into office, instead of willingly entering into a system that I felt was fairly deeply flawed, it was with the intention of trying to open up public participation in decision-making processes in a meaningful way, in a way that did not go through the motion but actually took on or asked the public to serve with whatever processes they would feel comfortable engaging in. And so even with our first council meeting, it was highly participatory. We had note-takers or independent note-takers and a lot of commentary from the people who attended, looking at and working through what they felt council should be looking at, what the priority or where the objective should be aimed at. That was the start of it, and I have to say that was really an ambitious start

because I think it caught people off guard and very quickly the ranks were closed and it was to be yanked back into a more formal structure, a more traditional structure. So, yes I guess that is how I started out and then from there, it was constantly a push back, trying to push back those ordered municipal structures, the processes, and the standard on Robert's rules way of running meetings and public information sessions, that sort of thing. It still is a constant pushing on of those walls and trying to open up the doors and let people in.

Chris: Is public participation, do you think, means having a veneer strength, that it means something different to you than it does to your political colleagues or the community members?

Interviewee: I think it is a pliable concept. They have something that there is some plasticity to it, and I think that is a function sometimes of expediency, sometimes of convenience. I can give an example. In our budget discussions just last week, talking about community grants, there is an impulse from one of the members of council to not deal with those as a council having heard the public submissions from not-for-profit organizations seeking funding, that it will be better for council just to hand it off to some place like the community foundation to make these decisions. And I think that comes more from a fear really of coming out and making these hard decisions and providing a rationale for them. My sense of it is that we do not have a fully participatory [audio glitch] right now, though it has an opportunity to move to participatory budgeting and there are a number of examples around the world where participatory democracy is practiced especially in budget process, which is really the next level [audio glitch] when it comes right down to it. You can have all the best ideas in the world and the best strategies and the best planning, but if you are not going to fund the implementation of that then it goes nowhere, so it really does not move. So the budget process is really important, and we do not have a participatory budget process apart from people showing up at meetings,

open meetings, and occasionally they might be invited to pipe up, but there is no commitment on the part of the council to actually consider [audio glitch] comments. So, the idea of it going to another body is one thing, but it is removed from the accountability process by sending it off to another agent's affiliate, the foundation. And so as long as we are representative government in the form of delegated authority from the community, I do think that we have an obligation to seek out that information that would be informing our decisions as the community's representative. So it is a tough thing; it really is a tough thing. So when we are talking about public participation, does that mean that we really do want to hear what people have to say, or are we are afraid to hear that because it could move us from what we have already decided we were going to do, or it could create a real problem where the public has expectations that may not be equally met, and so that requires much more thorough and rigorous deliberative process.

Chris: I'm really actually struck by what I felt was something that always struck me about you personally in your work in our little municipality, is how much you take from other places. Like you have been to Sao Paolo, right?

Interviewee: Yes, I went through the process, physically went down through the processes. Now, is that something that you want to talk about in this?

Chris: Well, if you can mention it, I just wanted to kind of tag it for the study and we might come back to it as well, but just the idea that here we are roughly doing a global survey of 70 different practitioners looking at different kinds of public participation, and I think most -- there is a kind of an idea that in the West we kind of got democracy right in North America. What is interesting to me is you have gone to Italy, you have gone to Sao Paolo and looked at the ways that communities are organizing themselves in other places --

Interviewee: India.

Chris: -- and try to bring that information back to the democratic paragon of British Columbia, you know, I know it has not all been smooth.

Interviewee: Yes.

Chris: When you talk about participatory budgeting it is like, why should that be a trouble for us in that sense?

Interviewee: Yes, and that was something that came up when I was requesting that our council engage in a pilot project. We were seeking the [organization acronym] grant, a grant through the [organization name referred to in acronym immediately previously referred to], and that sculpting in the regional planning and that UBC was looking at sponsoring this with a number of other agencies. So the comment was that participatory – this came from a member of my council - budgets may work well for third world countries but we do not need them here. So that was an interesting take on it, but what I found in traveling and attending other decision-making processes, that -- and in India as well, I was quite struck by the community processes there and it varies. Of course, from town to town there are totally different approaches. But there are processes that are long established and are highly participatory and really represent democracy at its radical root basis and fundamental principles far better than the kind of more adversarial process that we engage in here.

Chris: Let us talk a little bit about, just to give some context, a little bit about the kinds of public participation that is required for the local government on [community name]. If you were to sort of just broadly speak the kinds of activities that you engage in as an elected official, what are the kinds of public participation generally you find yourself involved with?

Interviewee: Oh. Well, I found it informally in walking to the mailbox or down to the store to get my bread, just engaging in conversation with my neighbors, with people in my

community. Followed on -- before we incorporated as a municipality, before you guys were here, because otherwise I'm sure you would have been invited.

Chris: I think two years later.

Interviewee: Yes. The living room, or else my dinning room table, a big round table that [indiscernible] founded on Mountain Week. We had these talks, just an evening over tea and cookies talks around what we want our community to look like. And that was certainly like a precursor to the invitation that you put out. It was really good because you get -- there is a sense of community-building through sharing of all those findings of those commonalities first of all, and then the sharing and elaborating those things, and that was great. And that, I guess I have never been a chit-chatty person about the weather or whatever, and maybe [phrase that describes individuals residing in community name] are just like this. Maybe we do just sort of jump straight to the meat of the subject or whatever is on our mind. So the walk to the mailbox or down to the store takes three hours because you encounter five or six people and each one is a 20-minute conversation at least. These things, I think this is something that deeply informs me when I move to a formal or official decision making process. I cannot help but be informed by those conversations. In terms of public participation at a very informal level, that is a really important component of it because I feel an obligation to the members of my community to put a trust in me in my official capacity to reflect in what they are deeply feeling and what their anxieties are or what their hopes are and all of those things. Some of the great ideas, just to sort of throw them out there and see if we can just shift things in a positive way or pragmatic way or whatever. Somebody's got cooking on their back burner there. Those are the things that happened more frequently and it is sort of an ongoing participation process, I guess. Then, there are the council meetings, or the committee meetings, or the public hearings, or public

information sessions. Those things are -- it depends on who is running it. I think that it depends on what the tone is that is set, and it sure as heck depends on the outcome, how people see the process unfold after they have been invited to participate and what comes with that. But I think that was -- I'm jumping aren't I? That was sort of your last questioning? Or is that okay? Just start talking [indiscernible]

Chris: Still important actually is that seeing the informal work of being in community and being in conversation with the community is actually very important for you in terms of what will happen in the formal kind of hearings that go on.

Interviewee: Yes. I'm not alone in that one. I was in Sao Paolo going around in some of the municipality of Santo Andre. And we went to these [indiscernible] and actually saw the *teatros*, the *opremado*, the theater of the oppressed, community bands playing. The theaters, they are much like our Headlines Theatre and the discussions that were going on in this improv production where members of the audience could jump in and talk about issues and change things around; it was very intense. The council members of the municipality of Santo Andre who were there, you could see that this is what they do. And it was not just a field trip; it was sort of a parachute in, we have never seen this place before and will never see it again. They knew the people in this little ghetto and you could tell that there was ongoing communication and respect. And there is some reciprocity there that was really deep and rooted in culture. So some people do it way better than I do it. It was just like really interesting to see, very interesting to see, one lady dancing lambada with this young guy. This lady, a council member must have been 69, 70 years old and the local bands are playing and this guy just came in and grabbed her and, man, could she move those hips. Oh great!

Chris: Ah, yes. In terms of the council because this kind of puts it into a nice contrast, can you describe some of the key types of formal procedural public [indiscernible], sort of mandated public participation that as a municipal council you have to engage in?

Interviewee: Starting at the -- I guess if we are going to place it in a hierarchy, the public hearings I would say are the most formal processes for public participation. And though they are required statutorially [sounds like] and there is a set line, so we have to do that preamble saying this is the opportunity for the public to speak. We may have received documents, written documents or other input from the public up to that date of the public hearing, but at the close of the public hearing, by the close of that public hearing, after calling for three times for any more submissions, the council cannot, may not receive any further input and will make their decisions based on the input up to that second when the gate closes. So that is very formal and sort of goes on as long as it has to go on. But, at the same time, there is no obligation for the council to take anything that they hear into account.

Chris: Right.

Interviewee: So you could sit there for 12 hours as they do at [indiscernible], the [organization acronym], and hear all sorts of submissions. They may all be in absolute consensus, and the decision-making body can make a decision completely contrary to that. So there is that really formalized process wherein you have to sit there and listen but you do not have to necessarily take it into account. Then there is the committee of the whole meetings that we have -- well, no, I will go to that regular council meetings, the decision-making meetings, regular council meetings. There is not an upfront opportunity for public to speak their mind at the beginning. There is an opportunity for delegations so that delegations can come and speak to an issue and generally those are just presentations; it is not sort of a conversation between

council and the delegate. But the delegate can answer questions the council may have or whatever. And the practice is that decisions are not necessarily or unlikely to be taken on the subject matter of the delegation at that meeting because the decisions are all ready before councils that have been considered at [indiscernible] the whole meetings, generally, or at committee meetings. So the body of the regular council meeting agenda is generally or predominantly consisting of decisions that have been forwarded from the committee of the whole meeting, and that meeting is a meeting of council and the community at that point. At least this has been our practice, or it was my practice and continues somewhat, that the community is encouraged to come to those meetings and participate to a certain degree. If they have some information or opinions on the matter that is being discussed at the community hall as part of the agenda, then they just raise their hand and take their turn on the speaker's list as the chair who goes through council and other members of the public or staff who wants to comment on the subject matter. And then there is committee meeting as well, where they generally counsel liaison with the committees at their meetings. They are open to the public as well. And also the committee is formed by members of the public, so there are members of the public contributing, others through formal committees such as the advisory planning committee on task forces so that it is an ad hoc approach. So if there is a problem that is set before the task force, that they are supposed to advise counsel on. And then, in those task forces there are set mandates and terms of reference where there will be opportunities for further public involvement in seeking information or information sharing.

[Cross-talking]

   Chris: To what extent do you think those –- because from the [indiscernible] it sounds like those –- I'm thinking [audio glitch] decision-making. Obviously at the end of the day, in this

public hearing, there is this, actually, it sounds like there is no accountability other than to [indiscernible] the accountability back to what people say in public hearings. So take the information that is being presented and you have no obligation to anybody [indiscernible] when you make the decision-making.

Interviewee: Yes.

Chris: But it seems to me that the other two that you have described, including those people sitting at the public at open council meetings and then also being, in terms of committee meetings -- but the public is more involved in decision-making then obviously, you are not making decisions because the council has to do that. But to what extent do you feel like those are more, are better or maybe more about decision-making as well as those being adviser in a public participation?

Interviewee: I do not know if they necessarily are. I think that when it comes back to the council, you are embedded in an institution that is majority-driven. It is a majority vote that wins and so, essentially, it is a debate. It is not deliberative necessarily because I do not even have to listen to what the council or next to me is saying. I just have to give him a chance to speak but I do not have to listen to their opinion or to be persuaded by their arguments. So I think, structurally, we have got essentially an adversarial process that is not really conducive to collaborative decision-making or participatory decision-making processes. So I have been stuck on that for quite a while and that was why in a move -- I moved to the committee the whole -- they have more of that opportunity for a meaningful, deliberative discussion that is going to encourage some sort of sense of eliciting whatever concerns. Let's get into more of the meat of this, dig a little deeper, find out what other people think about it, have an opportunity for staff

not to be in the hot seat but to think more deeply about things and more creatively so that we can bring ideas out into the light and sort of dance around them a little bit.

Chris: One more questions on different processes. Do you feel that there are people that are [indiscernible] from that, and who might those groups of people be? What are you interested in terms of how to include them more?

Interviewee: Back up a bit because I think I missed an important word that you said that was fuzzy. Can you say that again or in another way?

Chris: Yes. I'm just curious about who is excluded from those formal processes and what kinds of things have you done to make them more inclusive of those voices?

Interviewee: Well, there is a sort of physical exclusion by way of holding these meetings and wherever that is that you meet. Our municipal hall is a little bit difficult to get to. It is up a steep hill and requires a car. The bus does not run down there but you could take the bus, dart it from [indiscernible] is a quarter of a kilometer away. The meetings are often held at night and for some people it is just really difficult. Some people work evening shift, some people have children, especially young children and they cannot leave them or they may not able to afford child care. The meeting scenarios –- they are just really not conducive to having children in the room, although I really have tried to encourage people to bring kids and I think the more that show up, the better we will start setting things up to accommodate people bringing children. My kids used to sleep in the back row seats. But that is sort of on the physical side, and elderly people - did I mention them - a lot of them just feel that it is just too late. They do not have to wait till 11 o'clock at night to be heard. So that is a problem. There is also the psychological obstacle of putting yourself out there in front of all these people sitting behind tables. Even physically, I try to move us into the semi-circle on the inside to be with each other, to be with the

community, not separated by the table. That was an amusing public experiment. Anyway, the whole idea of getting up on your hind legs and speaking your mind is terrifying for some people as I'm sure you know as a facilitator. And so, in that respect, all that I found I could do as the chair and the facilitator of these things is create a climate, generally, where people would feel comfortable that they will be protected from [laughs, indiscernible] or whatever can happen, and it does happen. There has been some really nasty, ugly scenes that have erupted. One particularly, people were actually imported on buses. This was with regards to the golf course, and they were heckling and shouting down people who were trying to speak and I just had to stop the meeting essentially. This was just awful. And so, there can really be really bad behavior at that, and all it has to do is happen once and if somebody experiences it that once, they do not even have enough to experience it personally just to witness it, and they do not want to be in that position ever. And then there are other people who just may disagree with their neighbors but do not want to publicly admit that or articulate that because you have to live with your neighbors. And in this process where my interest versus your interest, which is what it always tend to boil down to - well, it does not always tend to but it always does - in this majority rule process, it is always going to be that approach that I have to convince the council to do this thing that I believe is in my interest and not do this other thing which will adversely affect my interest, but it may be in the interest of my neighbor. So you are always put into this position of as having to stand up for yourself because no one else will, and that is really a shame. I think structurally that is a big problem. Did I answer the question?

    Chris: Yes, yes.

    Interviewee: Okay.

Chris: There are no records [audio glitch]. But this is I mean actually describing that person. I have not gone to council meetings other than fishing for you guys.

Interviewee: Oh, we would love that.

Chris: So, but I have a question –- but the idea that the system is actually set up saying if the system is set up predominantly to be a place where interest is negotiated as opposed to a place of deliberation. And so, okay, I can understand that. So just working with that, given what it does and how it is, what challenges [audio glitch] decision maker [sounds like] balance different interests and the need for a different [audio glitch] that you hear from --

Interviewee: I missed a couple of words again, but I think what you are asking me is what are the challenges for the decision maker to balance those interests that they present us.

Chris: Yes.

Interviewee: Okay. I think first of all, it has to do with a limitation of information-sharing. I'm not [indiscernible] from that correctly. I think what I want to say is an underlying fundamental difficulty in moving to a more participatory and collective decision-making process is the examination and sharing of information in a broad and equitable way, that everybody is from the same page because they have all the same pages. In that way, if everyone can understand what is before them in terms of decision, the next problem is understanding each other's interests and that is very difficult because it requires a leap of the imagination. You have to engage in some empathy or compassionate consideration beyond your own interest, and the way that they do that in Santo Andre in their participatory budgetary process is the 19 very large neighborhoods that the municipality is divided into, each have committees that establish their budget committee. They elect them from members of the community. They came up with their list of priorities and attached budget figures; they do that. These all come together in a very

large draft proposed budget or whatever that is going to be a little down. And in order to do that, all 19 committees have to meet collectively all together with each other. So they all go in buses to each neighborhood to see physically what are their priorities, to talk to the people what are their priorities. They are required, in order to have their committee recommendation considered, to do this, to engage with the other interest groups essentially and to discover why is it that this neighborhood -- there were wealthy neighborhoods that prior to the participatory budgeting process never have to show up at the council meeting. Never. They knew that their elm trees will be well cared for all down their street, that everything would be lovely, that the sidewalks are always clean. They did not have to do a damn thing essentially; things just were running along fine. No one had to show up at the council meeting. But in the other areas, like the [indiscernible] I was describing, they have got sewage open -- sewage running down their streets. Their pipes are broken and roads washing out and gravel pouring down into somebody's back room. So by having the nice neighborhood people get on the bus and go and see what is going on here, suddenly pruning the elm trees twice a year does not seem as important as dealing with the rough woods. They cannot help but engage in a compassionate analysis of what are other people's needs in my city. So, it is very effective in terms of community building to do that, but where we are here in our process is a long way from that because we are not encouraging that kind of compassionate conversation. What we are doing is relying on competing interests to duke it down in the sidelines and then come to us, and that is a problem, and I'm seeing that right now. I could give you three examples of where is that happening, but one right now that is highly divisive and it is really a shame because people get angry and when they are angry they are not enjoying the place that they live. And the mandate of our council is to oversee essentially

the quality of life, the well-being of the members of our community. And we are supposed to do this [indiscernible].

Chris: It is not the right tool, is it? It is not the right tools -- I mean, it is like what you are describing to me is they try to squeeze -- people have a set of interest that is not that specific, and their interest are broad and holistic. [Sounds like]

Interviewee: Yes.

Chris: And these are people living their whole lives in there. So, they are trying to squeeze them into these tools and limit the ability for somebody to show up whole and contribute to the conversation and fund raise for their own interests.

Interviewee: And heard in that respect because so often they will be shut down. To say, "No, what you are talking about is not on our agenda." You go away.

Chris: Yes, it cannot possibly be real because it is not on the agenda.

Interviewee: That is right.

Chris: It is interesting, because it strikes me that that would probably provide a massive challenge in terms of balancing the interest when people are only allowed to show up their part of their life interest in the community on the table and they are not allowed to speak about the other stuff because it is not set on the agenda.

Interviewee: It is highly -- yes, it is so frustrating. You can see the frustration and the frustration manifests as anger, and that sort of sets the cycle because once they are in an angry mode, there is no rationality. And I think that you have to engage your rational mind in order to -- and access your compassion, and I just really do believe that compassion and empathy are two components of decision-making where you are balancing interest that are so difficult to grasp when you are stuck in this model of governance.

Chris: Do you still –-?

Interviewee: Even if you are –- sorry.

Chris: No, go ahead.

Interviewee: Well, I'm just thinking that even if that is your instinct, if instinctively that is what you want to do, the opportunity to do that and the means of expression of those things are constrained, horribly constrained.

Chris: I was going to say that it is just where your informal practice of -- I mean, the people at the store or at the mailbox, and that helps you to get a fuller picture of the depth of the interest that are around you.

Interviewee: Oh, definitely. In that respect, yes I can practice deep listening. Now, I can be compassionate and empathetic. And I find there is lot of reciprocity and that is low because people understand my frustration, that I hope it does not lead to anger because I have the opportunity to talk about those frustrations on the other side, and it is also very consistent. For me, I am lucky because this did not dawn on me as an epiphany; this is something that I have always known having engaged in political processes all my life and watched the [indiscernible] to zone council meeting when I was 14-15 years old for the little cable company. So I know what goes on and it has not changed. We have not changed at all; we have not improved the process.

Chris: I want to talk about how you, both personally and collectively, with your colleagues in council tie the input that you receive through other channels – formal and informal - into the outcomes and decisions that you make. So I was just wondering, what, as a kind of a starter question on this idea, what impact does public participation have? You have already

spoken about it being limited. But in sort of broad terms, what impact does public participation

have on decisions that you and the council make?

Interviewee: They can have a tremendous impact. I mean that in terms of the importance

of the input to the outcome of the decision. And so in cases where there is lot of interest in very

expensive real estate development, you may find that there are people showing up at every

council meeting, quite this interest [sounds like], pushing and pushing and pushing for these, and

that council must approve it, their concerns, even if staff is bringing forward concerns. There

can be a lot of pressure, and not just at the council meetings but also in the community - phone

calls at home, emails. Also, it is a heavy-duty pressure put on the council members, and as

decision-makers they are charged with acting in the best interest of the community, the general

well-being not in a specific interest necessarily. So, unless those specific interests are also not

going to either will broadly benefit the rest of the community or will not adversely affect their

[indiscernible]. That is sort of our mandate and of legislation. However, what comes out is you

have got seven people sitting around the table who are people, who are subjected to those same

pressures and fears that a member of the public who feared coming to speak at the council.

Those council members are also human beings who have a fear of a probation, or there is a sense

that -– or there is also a possibility that they have an interest, whether it is pecuniary or not, that

is aligned with where the pressure is coming from or not, and can be pushing for a decision of

council in order to meet those interests. So there are all these human foibles that are built into

this council who is making the decision, and there is also a power imbalance, sometimes in terms

of if they were looking at preserving a wetland where essentially nobody is going to make any

money, and actually the [indiscernible] may end up having to pay a bit of money to protect this

wetland, versus a real estate developer who is going to make a pile of money, and people will get

work, and people can buy their two million dollar homes, and there are powerful interests therein that are backed by some wealth that can afford to either wait it out or bring in their hired guns to put forward reports to compete with your staff reports to convince neighborhoods that their opposition is unfounded. So there is -- that power imbalance is not to be underestimated even on a very small community. And that is another central problem.

Chris: You are talking about the developers that have more capacity than the municipality itself?

Interviewee: They may. They very well may, and also more persuasive power in terms of writing letters to the newspaper or owning the newspaper. It happens. There is a lot of accepted practice in Western democracies. In any case, that this is just what goes on. It is normal and if we do not pay enough attention to the power imbalance of an average individual or interest collectively in the community that are silent, effectively silent because they do not have the access or the capacity to create an equal message that will be heard equally by the decision makers.

Chris: Here is a kind of a two-part question that is kind of an interesting one in light of what you have just said. The first part is, I'm wondering, does [community name] have any formal way of measuring the impact that the public has on decisions that the council makes?

Interviewee: Okay, I'm anticipating this. I'm quite [indiscernible].

Chris: Yes.

Interviewee: This is –- and actually that was where I was going to go much earlier. This is something that I think is really important because the decisions of council are recorded, as are the public delegations or comments made, whatever. Those are recorded. There is not any correlative tracking of the input connected to the decision. Now, the decisions are just

resolutions numbered 045 2006 and a little brief description of what that resolution was or [audio glitch]. So, when people have taken the time to engage in what they believe is an invitation to a vote [sounds like] process, there is not really anything formal that will say, "Thank you very much. This is what we heard you say. Here are your concerns. Here is where it is going in the process. Here is where our planner is taking this and investigating whether or not this road will impact the local wetland, or whether or not there is going to be more traffic down your road." Now whatever the comment may have been or the concern may have been, there is not any direct tracking. And I did try to institute that so that when people wrote letter to the staff or to council or came as a delegation or whatever, that there would be something issued back to them to say, "Thank you very much for taking the time to do this." We have these little cards made down to make it easier for the staff and, "This has been forwarded to [name], our planner, and he is going to look into it and we will get back to you." But you know, it is just in terms of capacity, I think we expect too much of ourselves so that that drops down to the bottom of the priority list, even though I think it should be very highly-valued because there is such enormous value in not only the public participation but the follow up to that that creates the climate of trust that their participation was valued and that there is a direct relationship between their involvement and an outcome. And it may not be the outcome they want, but they can track it and see that, yes, there was some serious consideration.

Chris: I'm thinking about on the other side of the -- if you -— some politicians have to declare, well, I think you all have to declare if you received a gift, for example.

Interviewee: Yes.

Chris: And I'm wondering if you are saying that so much of the influence that goes on in a smaller community where not as many resources are needed to manipulate decisions, whether

or not people should be unanimous [sounds like] at the [indiscernible] the scope of this research study, but whether you could track the invisible advice that comes in? In other words, sort of declaring, "Yes, we received." Publicly making it visible is if we received advice and input on this from all of these people and our mayor had a conversation with this developer on this day and this is what he learned there, so that when you see the decision at the end of the day you go, "Oh! They saw a lot of that happen in the bar," or "A lot of that happened in the mailbox" or whatever, right? That is impossible. That is why all the stuff that we heard about in a public hearing did not seem to show up in the decision.

Interviewee: Yes.

Chris: But I just wonder about a tracking process that makes visible all of the input and everybody received them, whether that --

Interviewee: I would love to see that, Chris. That would be fun actually. But as it is, we just say, "Well, we saw so-and-so talking to the other guy who was interested in extending his business and he was in a conversation in the parking lot of the Marina, and it went on and on and on. There was lots of gesticulating. It had nodding and [indiscernible]."

Chris: And then a new resolution appeared. And we do not know where it came from.

Interviewee: Yes. Where did that come from?

Chris: So in other words, it is quite a black box than between –- I mean, this is sort of interesting. What I'm getting from you is that there is quite a black box in terms of –- input goes into these decisions and decisions come out on the other side and it is a bit of a hot dog factory in the middle, if you know what I mean.

Interviewee: And go back to the whole process again and the whole institution. Consider the personality type likely to stand for office and given all of these things that we have just been

talking about. And all it does, it is so problematic. It takes a lot of work, a lot of time, and you are never going to make everybody happy, so you have to have a certain personality type just to be able survive in doing this kind of work, or you can thrive in it if you are inclined to make certain people happy. If that is sufficient for you, to be available to meet certain people's needs or certain interest group's needs and that is what you want to do, and this could be for good or ill, right? Then you are willing to go in there and do that, or you may happily go in and do that and just sort of crank out those decisions in a predictable way because you have closely aligned with those interests. But, that is only if you are in a majority. See, if you are in a minority and you are trying to crank out decisions, say, I want to crank out decisions in the interests of young children's needs on [community name]. Unless I have got three other people to create a majority who are willing to that, then I do not stand a single possible chance in hell. So, that is why you end up with slates [sounds like] running. That is why you end up with all of these ways to undermine a real democratic process. I should have rarely seen that happening in local government or anywhere else, really in our governmental structure. And that is why –-

Chris: All these transparency issue --

Interviewee: Yes. So, I guess that goes a lot deeper than the purpose of this interview, but I think that is something that is really important to consider, that there are certain personality types --

Chris: Well, for the purposes of the interview, it is an interesting thing – we are pushing a little bit on our assumptions about the transparency of North American democracy, which I think you can be under some illusions about it or not. Even at the local level, which to me, is always you would think because I run into you at the mailbox and we had tea together and stuff, we are really familiar with each other and we are all neighbors and it is kind of neighbors running our

own community kind of thing. But even at that level, the system structure is almost –- it is interesting. The natural default in a community of [number] people would tend be about openness and transparency. And gossip takes care of that more than anything else, right? But you are telling me that structurally, under the way the municipal act works in British Columbia, structurally municipalities are actually built and big gaps in transparency appear structurally, even among communities that are very close?

Interviewee: Yes, that is right. I just think that under the terms of what a municipality can and cannot do in decision-making, we are essentially constrained to long distance decision-making. But there is also, if you step back, the way it is established and the rules under which we have to operate are binary; it is yes-no. But it is also a process defined as democratic; that is, it really relies on a certain amount of bullying and pushing around to get that majority vote. And so you get horse trading, you get a compromise this is not necessarily based on moving to consensus, and maybe that the compromise is because you have been pushed and brutalized. And so you step back because you just cannot take it anymore.

Chris: Yes.

Interviewee: There are big problems here, big problems no doubt.

Chris: So, before we wrap up, what is the -- let's finish on a good note, too. Give me a story about some of the best examples you have seen of government decision on [community name] that resulted in significant public involvement that seemed to be fairly widely –- now just like a best practice or a story that you just love to tell about how well you did it.

Interviewee: Hmm, it has been awhile.

Chris: Well, I mean you can even -- the way that it came about, this kind of one thing as well.

[Cross-talking]

Interviewee: Even if you go back to that too, there is an information stuff there that was problematic, that we did not have enough information. But when –- Chris, think. Is that not terrible?

Chris: Hey, you have been a [title] for two terms and a [title] for one term. It was just something that happens and you are watched --

Interviewee: I know. Is that not awful? But three years ago, no three years ago -- six years ago, you know, when we were not really involved in the sustainability work and working on things like -- what I would say is I'll go back to that [geographic place] Planning Process, and there was a lot of resistance around using the Community Viz Program buying it to start with. Well, we did not really buy it; we sort of got if off but -- and using that [community name] Viz [indiscernible] planning process in that and that it was community driven. That we had community members plus we had outside expertise drawn in from the university, and there was an enthusiastic engagement and there was some reluctant engagement. But those people who are reluctant realized that they had to be a part of this process even if they were sort of digging in their heels during and complaining about it along the way, that there was the tracking done and that, I think, is very important. And that is still on -– do you have that? Do you have the [geographic place] Plan and the results from that? Because I can send it to you --

Chris: No.

Interviewee: --or send the link for you. It is on the [community name] [formal title for electronic information repository] I think. You have got --?

Chris: Oh yes –-

Interviewee: Yes. So check it out and look up -- it will link down under [geographic place] Plan. So that I thought was great, that there were all these tables of engagement and even when it started dropping of, the reason it started dropping off was because people felt that they had their input immediately assessed, and it was assessed in the context of the collective in the room, and so they could see where they stood amongst other people. And this was the beauty of using like this set of tool of workshopping, while at the same time collating the data and putting it before people. So it was sort of like me checking in to see if I have heard you correctly. Reflecting back what I have heard, this is reflected back to the collective who are there to help make these decisions and to craft the vision. And so, there is chafing, of course, but that is good because when you hear the chafing, the people who are feeling that they are in minority of the consideration still thought they were up there though. It was still –- there is still a minority report because it is still there saying not everybody agreed on this and here are the reasons why, here are some of the other suggestions or rather considerations. So as time went on and as the meetings progressed, fewer people were coming. But when I talked to the people who did not show up and asked them why - were they fed-up with it, what - they felt that they were hurt. They felt that their input had been sufficient. They did not feel they had to go back,; to put anything more. They felt they gave what they had to give and felt hurt. And then the report came out it was highly reflective of that process. And I went to all of the meetings and was very comfortable with the way that it was reported back. And I did not agree with everything that they came up with, but I was sure happy to see that this is what the community was coming up with, because they can make a decision better than I can because there is so much more information being –- it is a bit of we are all swimming in it and coming up with some ideas and encountering things that we could not do on our own. So that was like the best thing, yes. But

there are still counselors who objected to that and do not want to refer back to that document. So you can have the best of processes, the best of outcomes, the best public participation rate, and the best satisfaction rate from those people who participated in the public process, and still have the decision makers reject it. So it is the good news that it is --

Chris: Yes. Well, the good news is that we know we can do it.

Interviewee: Yes, exactly. And I think what I would love to see and still, I have to revive this, I was calling for it over and over again, so I think I'm just going to have to see if I can just start some workshops on my own when I get back from India, is train up the public and the community in this program, and there is a couple of workshops coming up at the Orton Foundation that I would like to participate in and see if I can get my skills up around that so that we can engage more and use that tool more.

Chris: Well, you should come to Vermont with us because I'm facilitating a conference and --

Interviewee: Oh, you are?

Chris: Yes.

Interviewee: I cannot afford it, unless the municipality pays for it.

Chris: We should get you there as a speaker or something.

Interviewee: Oh, the yapper. When is it? When is the –- and when?

Chris: It is like 21st or the 23rd or something

Interviewee: Of when?

Chris: On October.

Interviewee: October. Yes, well that would be good. Yes.

Chris: They are great. I mean, I was with them in Boulder [indiscernible] this year too, or Denver. We did that.

Interviewee: I wanted to do that one, and then I sent it off to [name] figuring he should do it, and he did not go. It is too bad. I was really hoping he would. I thought he would be a good -- especially with the people who were showing up for it. It looked like a really good crowd.

Chris: It was great. I mean, maybe you can come and do the open space with me.

Interviewee: That will be fabulous.

Interviewee: Oh yes. You know, it is just you want to be with these people because they are already there. You do not have to go back five miles and, "Show the way." Oh, that would be so much fun.

Chris: Yes, [indiscernible] these guys using Google SketchUp and stuff. I mean, they were just amazing.

Interviewee: Oh really?

Chris: Yes. I mean --

Interviewee: I really got to gear-up tech side and that is something I have neglected, so yes.

Chris: Well, we will talk when you get back from India.

Interviewee: Okay.

Chris: Anything else you want to add before we finish?

Interviewee: No –- well, yes, I do because I really think this is an important line of questioning to pursue. I think that authentic solicitation of public participation and decision-making is crucial right now. It is really crucial in terms of planetary survival. Because what I'm

seeing and what I'm experiencing is a greater collective understanding in the community of the need to change our processes and our behavior than I am in the decisions that are being made by elected officials. And there is a big problem there, because we do not have time for those elected officials to change those behavioral patterns of decision-making. What we need is essentially a huge process shift that balances the power around better, so that people who are acting not out of self interest but of collective interest have as much or greater voice than those who do have the wealth to create the capacity to make those very poor decisions. So, I think it is really important right now because unless we can do that, I just see more of the same. And we cannot afford that. I just sincerely believe that every level that push towards nuclear, that push towards coal and another fossil fuel growth in the economy, all of that stuff is just wrong, wrong, wrong. People know it is wrong but where are decisions going? So yes, I think, this is a way to empower people to do the right thing.

Chris: Well thanks, [name].

Interviewee: Thanks. Is it freezing back there?

Chris: It is pretty cold here in Ottawa. I love the fact that I'm talking to you from Ottawa and you are [number and distance measure] from my house and –-

Interviewee: Isn't that cool? Yes, it was snowing a bit this morning, too.

Chris: Well, was it?

Interviewee: Yes, It snowed last night. I was coming home late last night and it was snowing. It was really pretty and I was over in [community name] and had to stay overnight. My [community name] [sounds like] board meeting went on till like eleven thirty at night, so I missed the water taxi. Stayed at my mom's and woke up, opened her shutters, she looks right

across to [community name] and it was in sunlight, and there was mist still down by the water. And up on the top the trees were just brilliantly white.

Chris: Oh, I love that.

Interviewee: You know and it is like this -- a blue version of sepia. You know, it is a sort of monochromatic where there is all these brilliant blues and blacks and whites and grays. Oh, gorgeous.

Chris: Yes.

Interviewee: Anyway. So –-

[Cross-talking]

Interviewee: When are you back?

Chris: I'm coming back tomorrow.

Interviewee: Oh that is good. Okay.

Chris: So I will probably get to see it before it all melts. That will be great.

Interviewee: Well, apparently we are getting about two or three centimeters later on today.

Chris: Oh cool, all right, that will be a nice. Well, it will make my son happy because he has been sick with the flu and he can get out and roll up a few snowballs with his mom. That will probably –-

Interviewee: Oh, poor puppy.

[Cross-talking]

Interviewee: All right, well, you take care.

Chris: You take care and have a good trip in India.

Interviewee: Oh, thank you. Maybe we will see you before then, not until Tuesday.

Chris: Okay.

Interviewee: Take care. Bye, Chris.

Chris: Thanks a lot, [name]. Bye.

[End of File]

[End of Transcription]

South African State Administrator
Transcript 407

Interviewer [Female]: As I noted a few minutes ago, we will be recording this interview and that the recording of our discussion is required in order to participate in the study. The recording will help us ensure that the final report resulting from the study accurately represents the information you will provide. Once our interview is completed the recording will be emailed to the Project Director Beth Offenbacker. Beth will electronically transcribe the interview, or if the quality is poor and the transcription software cannot read it she will coordinate with a transcription service to transcribe the interview. If this interview is in a language other than English it will then be translated into English.

Beth will code the transcripts so that your identity remains confidential. Any subsequent review of the document will not reflect your name or any identifying characteristics, such as your position or title, organization, sex, age, or location or specific project names that you might identify. I will also email to Beth any interview notes ahead and then I will shred those written notes as a further safeguard to your confidentiality. Once the transcript has been prepared, it will be reviewed against the initial recording to ensure accuracy.

If this interview is in a language other than English, the transcript will be reviewed before it is translated into English in order to ensure accuracy. Participation is voluntary. You might choose not to participate at all or you may refuse to answer certain questions or discontinue your participation at any time.

In my invitation letter asking you to be interviewed I sent you contact information for the names and the office at Virginia Polytechnic Institute and State University in order to ensure that this interview is done fairly, respectfully, and honestly. I encourage you to contact me or Beth Offenbacker, the Project Director, if you have any questions or concerns about this project. The Virginia Polytechnic Institute and State University can also answer any questions or respond to any concerns that you might have about how the information is being gathered for this research project, how it has been recorded and how it will be used.

Before we begin our interview, I want to ask you if the methods I will be using to collect this information and how it will be used is acceptable to you. Now you need to indicate whether it is acceptable to you.

Respondent [Male]: I think so.

Interviewer: Okay. Finally I want to emphasize that there are no right or wrong answers to these questions. Please answer them as a response that are true for you or of your organization. Do you have any questions before we begin?

Respondent: Yes. I am a little bit uncomfortable about the anonymity of the Respondent and also to where this information is sent because we are a parastatal.

Interviewer: Yes.

Respondent: And we are working for government and in terms of the principles of what you believe in government, everything that we should be doing should be transparent.

Interviewer: It should be transparent.

Respondent: Yes.

Interviewer: Okay.

Respondent: So that makes me uncomfortable.

Interviewer: What I will do is I will share this with Beth Offenbacker, the Project Director, and I will ask her if there is any way that they can recognize your contribution as part of this research project. Is that in order with you?

Respondent: Yes. I mean -- because there is no way in which you can give information to any institution that is coming to us in good spirit but in turn they make this information to be anonymous and we may not be very sure as to the intentions and inclinations of the interview thereafter.

Interviewer: I think --

Respondent: Somebody must be held accountable for whatever information that will be divulged. We have nothing to hide, hence, we do not expect anything to be hidden from us or to the public.

Interviewer: I understand.

Respondent: Hence, the process is for public consumption.

Interviewer: Oh yes. I fully understand what you say and I think being a South African and a fellow South African, what we do in everything we do is done in a spirit of transparency, openness, honesty, and that is also what public participation stands for. We do public participation because we want to share information with people. I think in this specific research instance, what they say is that they -- if people have certain positions and they want to speak out but they are not really allowed to, there is a measure to protect them because the study is done

worldwide, not only in South Africa. So I think in certain other countries there may be certain

sensitivities; for example in China, Hong Kong, those areas. And I think that is mainly why they

have included that as a protection. But I will definitely take that up with Beth and I will make a

note that you do not have any problem with being acknowledged as part of this research study.

Respondent: Yes, and for the sake of the credibility of the institution we need to take

care of that.

Interviewer: Okay.

Respondent: Because I am doing this on behalf of the institution, not for myself as an

individual.

Interviewer: Not for yourself, yes. I understand that. The first set of questions deals

with your perspective on public participation and or deliberation. Tell me about your work with

public participation? For whom do you work?

Respondent: I am working for the [organization name]. Like I said, this is a parastatal of

[agency].

Interviewer: In which types of activities do you engage?

Respondent: In almost all programs that attend to public participation in respect of our

co-functions as a water management institution.

Interviewer: With what groups or types of people do you work? And for example, you

can just specify general public citizen, activists, government employees.

Respondent: It is -- you see, in clients we have two types of clients - internal and

external clients. When I say internal, I am referring to employees of the institution and the

[agency]; those are internal clients. But then external clients are all these -- are the institutions

other than [agency] and ourselves - sector departments in government, provincial and the

national; and also structures in the community, most especially those dealing with water. All users of water, be it from the business sector or the general public as ordinary consumers and other NGOs and other structures, especially the farmers.

Interviewer: They are all big water users in this area.

Respondent: Yes. And mines and industries.

Interviewer: And mines -- okay, mines and industries.

Respondent: Yes.

Interviewer: What does the general public participation mean to you and to the people with whom you work?

Respondent: You see, to me who understands the term very well it would mean involvement of our pertinent stakeholders as alluded before. All those people who have a stake in saying something about the manner in which we manage water resources in the catchment management area - that is what it means to me. But then to the stakeholders, I suspect it should be meaning their stake in saying how they like us to manage the water resources as it affects them directly for them to benefit effectively equally and otherwise.

Interviewer: What other terms would be used by people you work with when they speak of public participation?

Respondent: They could be using the term public engagement, public involvement, consultation and all related synonyms of participation and involvement. It will differ from English to all other languages.

Interviewer: To all other languages. Okay. Tell me about each of the terms you have mentioned to help me understand and record them accurately.

Respondent: Repeat your question?

Interviewer: Tell me about each of the terms you have mentioned to help me understand and record them accurately. I think what I want to know here is what exactly do people mean when they talk of public engagement. What do they mean when they talk about consultation and involvement?

Respondent: Let me say engagement. When we were in [indiscernible] the process of developing [program name] the various stakeholders like the municipality which manages water supply and services to the community should be able to be a stakeholder and be involved exactly on how they would like us to develop this catchment management project. You know, participation -- for everybody to have a say as a stakeholder like the PDIs, the previously disadvantaged individuals. It is the way they should be able to engage and share their ideas on how they would love to get water for their daily needs or domestic or economic needs -- such things.

Interviewer: And consultation?

Respondent: It is to inform people and let them have -- get feedback from them as well. Eventually you notice that all of these terms that are referred to have what we call a subtle difference. There is thin line of difference; it depends on your choice of words and explanation that you use but eventually it comes to the same thing.

Interviewer: It comes together, yes. And involvement?

Respondent: This could be a part of what is happening. for example, the development of the [program name] strategy, taking decisions in terms of, let's say, talking about the [initiative name], you involve them in whatever deliberations you are engaging in so that at the end of the day they could be able to own the outcome of the deliberations -- just like that. So that nobody should be feeling like, "I have never been consulted. I was not part of that."

Interviewer: Yeah.

Respondent: Be able to own that outcome.

Interviewer: Okay. The next set of questions deals with how public participation actually takes place, the process and specific steps involved. What are some of the baseline reasons why your institution conducts public participation?

Respondent: Basic reason is that we are not working as a separate entity; we are not operating aloof. We are in the catchment, tasked with the responsibility of managing the water resources. Now, in a manner of dealing with this we should be able to identify our key stakeholders like, identify who are they. So in whatever activity that requires them especially in decisions of building dams, checking about the water quality, water reticulation, awareness campaigns, formation of forums, and committees and all like that, affected the people at a particular sub-catchment using a particular sub-catchment or a river or a dam or a particular resource should be able to know why we are doing that. And at the same time we have a database of these various stakeholders at different places. So we are not engaging people haphazardly; we target specifically people who belong to that particular area and talk to them. Like community consultation process. This is meant for the [name] sub-catchment. People who are benefiting directly --

Interviewer: From the [name] --

Respondent: From the [name] --

Interviewer: River.

Respondent: As a stressed river which can no longer afford to allocate anymore licenses because there are too many developments taking place adjacent to the river. So it is a highly stressed river and we have obligations with the international community, which is [country]

downstream, you know. Like we need to understand what it means to use water and leave enough in a good quality for the next people downstream to be able to use it. So the understanding is that everybody is living downstream. People in the catchment and up stream should take care of our interests downstream. We should in turn take care of our -- of the people -- of the interests of the people in [community name].

Interviewer: Yes, exactly.

Respondent: And [country] as well.

Interviewer: Because they share our water.

Respondent: Exactly.

Interviewer: What kinds of procedures does your institution have for facilitating public participation? Who initiates the process and is there a legal requirement for that?

Respondent: I should say there is a legal requirement because we are established in terms of –the National Water Act, Act No. 36 of 1998 of our Constitution. Obviously, that is a legal requirement and we are operating under certain parameters of the law. Now, ourselves as the office bearers and managers of the resource, we are duty-bound to comply by certain legislations that are working alternatively within the main Act. So myself as [title], as the [title], the [title], as the [title] of the institution and the rest of the other people down the line should be able to ensure that whatever we are doing it is acceptable by law. Not according to the way me and you run our families, and also be able to respect the rights and the integrity of the users.

Interviewer: Who is typically involved? I think you have already answered that question.

Respondent: The people who are involved in taking decisions, it is ourselves as the officers and also our client as the recipients of the service or the people should be informed about our services.

Interviewer: How do people typically come together?

Respondent: They only come together after when we invited them to this particular meeting, or come-together or congregation. Like the different groups of people we are in the chamber of the [community name]Local Municipality. We have a combination of people; all the clients across the land that I mentioned to you, all of them are there - emerging farmers, people from aid office in [community name], people from the regional office, ourselves, commercial farmers, emerging farmers, CDWs, representatives of the community from what level and certain departmental representatives, even consultants that assist in the development of the [program name] strategy.

Interviewer: And if you have meetings here in the area, where do people typically come together apart from the civic center?

Respondent: It depends on where we intend the meeting to be and which people are we targeting. For instance, yesterday because we are working at the [location], we went exactly to the communities where these people are staying, minding the fact that they have challenges in terms of transport. But then the bottom line of our way of doing things in the country is that must have the services to the people.

Interviewer: To the people.

Respondent: Yes. So we are down to the [location] next to the border gate to the border of [country], [country], and [country], at the [location].

Interviewer: Okay. What kinds of things do they talk about?

Respondent: We are talking about things that affect them directly, which is water demand management, water allocation, licensing, requirements, who should be receiving water and what are their challenges. And we will take it up like that and this is supposed to be a two-way process so that we are able to understand exactly what their needs are and what is it that needs us all. That means land affairs of the traditional authority or any other sector departments because we are not the only people who should take care of the issues of land. It's water, it's land --

Interviewer: It's a joint effort.

Respondent: Yes. It is the needs of the communities, the municipality, the community -- it is everybody else. So it is like integrated development.

Interviewer: Sure. Who typically arranges and facilitates these interactions?

Respondent: We start it and pass it over to our stakeholders at the area where we are going to -- our strategic partners, who will assist in disseminating information and will take care of the rest of the activity as intended.

Interviewer: How often does it happen?

Respondent: It depends on our program. We have had quite a number of programs. It depends on our targets per quarter. It depends on our plans per month, per week, per day; just like that. So it is an open-ended question. You cannot say every week, every month [cross-talking].

Interviewer: It happens as it is necessary.

Respondent: Yes. And sometimes we support [agency] programs. We support [department name] programs that relates to our work. It is a joint effort.

Interviewer: Is the process standardized or is it informal?

Respondent: It is both. It is both.

Interviewer: What types of technology are used in your community to facilitate and increase participation?

Respondent: We use telephones, letters, electronic media, and even print media.

Interviewer: So you use quite a variety.

Respondent: Yes, though there is challenge that -- some of our people cannot afford to buy newspapers. They still do not understand how valuable a newspaper is but they listen to the radio so much and we use a combination --

Interviewer: So it is actually vital to use the community radio station?

Respondent: Yes.

Interviewer: What effect do you think these interactions have on government decision-making?

Respondent: It does have a good impact because, I mean, the annual State of the Nation Address from the state president, our national minister, our premiere, the priorities of our local and district municipalities also impact to the same thing because the biggest challenge of South Africa in every corner of the community is water availability.

Interviewer: Water availability, absolutely.

Respondent: So access to water is key so we are addressing it in one way or another.

Interviewer: And you have to. You do not have a choice.

Respondent: Of course.

Interviewer: In which policy areas are the public allowed to participate in decision-making processes?

Respondent: It is quite a number of policies. For instance, like now, we will have the communication policy in the office and we must be able to make sure that we accommodated the community on how they would like us to interact with them.

Interviewer: Interact with them -- I see

Respondent: And then the rest of the other things which is when -- as and when there is [initiative], like now, busy with the visioning process, the [initiative]. The next round is in [month], they will discuss that and then policies will be developed and some would be updated, especially the municipality policies. We do not have so many policies to involve the public or the community but the municipality has policies on how to protect their resources like we do. So they will have quite a number of bylaws on how people should react and behave like in respect of protecting water resources.

Interviewer: What other policy areas should the public be allowed to participate in decision making processes? Do you think there is a gap at the moment?

Respondent: I think there is still a gap but there -- I think there was supposed to be the exact percentages in water allocation and water use. That should be because a lot of water is used by the [department name], about 80 -- about 50 something percent, and only two percent goes to the community. So that is what we know.

Interviewer: Does public participation in one issue transfer to other areas? For example, increase trust and respect, better accountability, better feeling about the government?

Respondent: Excuse me, repeat the question?

Interviewer: Does public participation in one issue transfer to other areas? For example increase trust and respect, better accountability, better feeling about the government?

Respondent: Exactly, exactly, exactly. It even opens avenues for continuous engagement.

Interviewer: How easy or difficult is it for average citizens to have access to these institutions and procedures?

Respondent: People who are located nearer to the offices of the particular institutions, it is easy for them. And people who have knowledge about the different institutions of water management, it is easy for them to engage with us. But those who are far away, especially in the most rural communities, people who can wait for about two to three hours for transport to travel a distance of more than 100 kilometers, obviously that will be very meaningless and less effective for them and they would entirely rely on public media to access information about water campaigns and other programs that affect them directly.

Interviewer: Do you think these public participation institutions and processes include all people in the government decisions, institutions or processes that affect them?

Respondent: Yes it does, it does. It only depends on the level of reception and perception.

Interviewer: Yes. What attempts have you or others made to better include those people?

Respondent: What, what?

Interviewer: What attempts have you or others made to better include those people who are difficult to reach?

Respondent: For now not too much has been done but we are trying our level best to develop and come up with what we would call water champions; for example, the community

development workers who are representatives of the wards and communities. Those are the only people for now that we think would be able to engage.

Interviewer: In your specific role in public participation, in your position as a public participation practitioner, to whom do you feel you are accountable and to whom do you feel responsible for achieving your institution's goals?

Respondent: It is two ways. I am accountable to the person I am reporting to, who is the [title]. In turn, myself and the [title], we owe total service delivery and institutional duty to the board. And as well, in turn, we owe our absolute services to the community, once again, to be fair and frank. And that should serve as an end product of our delivery moves.

Interviewer: What do you think is the unique role your position plays in the public participation process?

Respondent: It is to make sure that everybody is well informed of what we are doing and participates effectively and efficiently.

Interviewer: What effect do you feel your role has on public participation activities?

Respondent: I am tempted to say that it is exactly the same thing that I have just said.

Interviewer: The next set of questions deals with balancing differing interests and the public's role and responsibilities. What challenges have you faced in addressing or balancing the needs and or concerns of the different kinds of people with whom you work?

Respondent: The biggest challenge is the responsiveness of our clients. The other challenge, it is the dissemination of information. You are not very sure whether the very, very last people in the line of receiving information did receive information and interpret it accordingly. Hence, intended that our main worry is decoding of information, perception and understanding this.

Interviewer: How have you worked with these challenges?

Respondent: We are doing well for now. All we have realized is that if you invite people or make people aware of a particular activity or function or meeting, you must inform them well in advance - well in advance - especially when you are taking your meeting to the rural communities.

Interviewer: How long is that well in advance?

Respondent: More than a week, more than a week.

Interviewer: Okay, especially rural communities. What impediments do you see to the public's ability to convene itself and take responsibility for its own decisions?

Respondent: Not that much that I could have seen but except of people centralizing information to themselves, not sharing information properly. And also misconcepting the purpose of the meeting to which we are inviting them for, and also to fail to understand the difference between the municipality and ourselves.

Interviewer: Oh, I see.

Respondent: It is about lack of understanding our roles. You can tell them 20 times but as long as people do not have water to wash, to drink --

Interviewer: Then they do not understand --

Respondent: And all of these -- as long as you are said to be working with water, they will give you the same picture.

Interviewer: In your experience as a public participation practitioner what practices, methods or processes do you think best facilitate the public's involvement in decision making and why?

Respondent: It is our ability to identify ourselves with them because we were born and raised there. We know their needs and we know their frustrations and we know the other side of the coin. To say previously water allocation was one sided and it is high time that the water reform allocation process is about to unfold and what it means to them; that is the thing. And the other thing is that it is until you speak the people's language, understand exactly things from their own perspective, not from your own comfortable side of the situation, it is then that you would have a true perspective of what they want and what you should be doing. And to be consistent with what you promise to them or what you could be calling the deliverables. If you fail to deliver that in good time, let them know that they will have a challenge on this because of one, two, three, four. And what will be the next steps?

Of things that you cannot deliver or have no answer, you call the relevant department or section of a particular municipality or department to come and talk to them about. If it is the issue of land, there is nothing you can say about land; it needs the traditional authority. It needs Land Affairs. If it is the question of water quality, we are not doing anything about water quality for now, but the Water Quality Division from the regional office who can tell us the toxicity level of these substances that have been discharged into the river system. It needs that particular section to tell them that this water has so much content of manganese discharged into the river and what is it that needs to be done. And if we are not aware of that then our role becomes redundant because the management of the resource would be meaningless to us and to the public.

Interviewer: What steps could be taken to increase the public's level of influence in government decision making, if at all possible?

Interviewer: It is to engage the public in rigorous awareness campaigns so that they begin to be vigilant and aggressive towards water quality demand management. It is then that

they can talk to the respective municipality and the government about the level of water quality that they require.

Interviewer: What types of activities need to be done to build the capacity for people to participate?

Respondent: Once again, it must be awareness and the capacity building.

Interviewer: Programs that will deal with the two to not only inform people about something but actually adding value and tell them how they can contribute and helping them to understand what their roles and responsibilities are.

Respondent: In fact, we run awareness campaigns and workshops. We even post questions and give them flip charts to say, "List all known pollutants of water." And they list them and describe them and we ask them, "What do you think you can do to do away with all of those things because these are not -- these are environment-unfriendly? What is it that we can do? What effect do all of these things have in our water system?"

Interviewer: Do you actually facilitate those workshops?

Respondent: Yes

Interviewer: Okay that is wonderful, sure. And then the last set of questions is tying input to outcomes and decisions. In your opinion does the public's involvement result in better decisions that increase sustainable economic environmental, social, and cultural benefits? Please give us some examples.

Respondent: Okay. You see when -- I will give an example of our last campaign on pollution. We asked them about the type of pollution that they think is happening on water, the agents of pollution, the different types of pollutants, and if they ever knew that blocked sewage pipe actually pollute the river. Does it affect ourselves only as human beings or it also affects

the aquatic life in the river system? So they will talk about that. And we also ask them to say, "Are you aware that when you are drinking a can of cold drink or beer and you throw this can through the window, eventually through run-off and the floods it will end up in the river and it would affect what we call the water reserve?" So what is it that we can do? Recycling of these items and the strict laws and the policies on environmental pollution and the like.

So the list is endless but then there is still a very long way to go because of the people who necessarily never attended water meetings, who do not go there and they continue to do the don'ts against the dos.

Interviewer: I think that links with the next question, which asks whether the public participation is meaningful, and tell me how you determine that. But I think you have provided the answer in that we still have a long way to go in terms of building capacity.

Respondent: It is meaningful because you could see a change of behavior.

Interviewer: Okay.

Respondent: You could see a change of behavior.

Interviewer: That is important.

Respondent: Like if you target a school on environmental pollution, which eventually ends up impacting on marine or water pollution, and we you talk to the students in schools and say, "Look at your environment. It is littered all over." And we have a competition, say, want to engage in the cleanest community or the cleanest school in the catchment. The minute you see a change in the cleanliness of the environment and then all of those things and we give incentives to people to become -- to be environmental conscious. Like the cleaning campaign - you buy T-shirts, you give them and take refuse bags and they have gloves and target a particular area and

you do that, so much the better. And also in punishing institutions and shops -- bottle store

owners who do not implement environment-friendly policies.

Interviewer: Yes, that is important.

Respondent: Yes, because you would see people throwing bottles all over and cans all

over and all of that.

Interviewer: And I suppose that is where the co-operative governance comes in and the

people have to work together to make sure that they do not do that.

Respondent: Yes, that is the thing.

Interviewer: Once decisions are reached, is the public involved in updates, reviews,

analysis, and adjustments?

Respondent: Not for now, to be honest. Not for now. But, you know, in passing as you

give feedback to schools -- to say, "Your school is regarded as the best or the second best or the

third best," things like that, it is a way of a feedback. But on a large scale, broadly, I do not think

it is happening well because of these challenges. There was supposed to be some sort of your

job creation on environmental cleaning and things like that. That would mean, if a person is

given agenda to clean all of these things in a particular area, especially in spaza shops and in

shopping complexes and other places, and the dumping sites should be controlled and all of these

things, then we could be able to see the impact in the ecosystem.

Interviewer: But I think this is something a lot of people complain about. And I feel bad

when they say, "You inform us here in the course of a project but after the project we do not get

any more information." And it is a big gap, actually.

Respondent: And the very money you spent on a project to clean a particular portion of

land or the river or shopping complex and if you do not come up with a sustainability plan of

that, three months down the line you will find the place looking worse than what you did, meaning that your entire exercise was futile.

Interviewer: Was futile.

Respondent: But then you did not have a sustainability plan.

Interviewer: That is very important. Is there a single step you as a public participation practitioner could take to enable the public to have greater influence?

Respondent: Yes. Like I said if we are to identify and develop individuals as champions of environment or water champions and things like that, they will eventually come up with other supporting structures which, if our education is anything to go by, they will be empowered to understand that it needs us and nobody else to take care of our environment. Like if you drive around the towns you will see a dead dog in the street. Nobody bloody cares about a dead dog; even the owner does not care. So it dies today, it rots, it rains tomorrow, the dog goes to the river. A blocked sewage pipe goes to the river but starts from somewhere. The public engagement in respect of municipality IDPs on the different sections of these people that -- they will use more pipes and reticulation and proper functioning of the sewage system depends on the size of the pipe and the knowledge on what to use to make these things effective.

Interviewer: What institutional expectations are there for the outcomes from a public participation process?

Respondent: It is to have a cooperative stakeholder and also to achieve maximum results on the envisaged land programs and also to have customer satisfaction.

Interviewer: That is very important. To what degree does your institution quantitatively and qualitatively measure outcomes from a public participation process?

Respondent: We use the attendance register as a yardstick and also use the level of participation and understanding, and follow up on what we did as a yardstick for understanding what we are doing and also to come up with suggestions for the future plans or way forward long after the engagement.

Interviewer: Okay. What direct specific actions on the part of the government can you name that have resulted from the public's involvement in a public participation process?

Respondent: Though we are still very young as an institution, but I know for a fact that people do no longer waste water in general. If there is a leaking pipe, they will always report it, and the awareness of various aspects of water loss is being taken serious. Different aspects of pollution that compromises the water quality is being reported.

Interviewer: Okay, that is wonderful, sure. That is wonderful.

Respondent: Even people who intentionally do not follow prescriptions of the type of fertilizers -- I mean commercial farmers. And even the industries on the discharges that they discharge back to the river. You will see the public complaining about they saw dead fishes down the stream, the water does this and that, it is itching --

Interviewer: So they do record that.

Respondent: And all of these things. When you open a tap, instead, are worms, there is that and things like that. So that is some sort of awareness and the feedback --

Interviewer: That is very good, sure. To what degree of governmental decisions that have meaningfully involved the public sustained over a long period of time? Do you have an example?

Respondent: I think that is a difficult one for now because --

Interviewer: That is for everyone a difficult one.

Respondent: Yes, because of the level of capacity of our municipalities, you know. I could say things that I think should be but our municipalities are not up to that level for now, except in towns and the big towns where the people who are of high social class who knows exactly what to expect from the service provider or the municipalities, then that it could be anticipating such level of responses.

Interviewer: Does your institution provide any reporting or account of the public participation process to those who participated after final decisions are made?

Respondent: To a small scale when we engage with other stakeholders, of course, will reflect on the level of participation we got from different area but not as a formal report back to the participants per se. No.

Interviewer: Are there any general comments you would like to add before we finish?

Respondent: Yes. My general comments would be that our [organization type], we are still new. And I did not tell you that we are the very first [acronym of organization] in South Africa.

Interviewer: That is wonderful.

Respondent: And as a result we need absolute support from any sector department as long as it understands that ourselves as an institution we are like one of the fingers in an arm. You cannot deliver a good punch with two fingers being stretched and not folded to form a good solid punch. And we also need -- it is up to the -- in fact, it is not up to the sector department. It is their responsibility to understand exactly what our role is so that they should always be responsive to invitations or responsive to programs that they are running that affects us.

The municipalities should always make sure that as and when they review the IDPs we are also involved, and all the other structure the stakeholders are involved. It should be open for

scrutiny and for suggestions so that at the end of the day it is not my level or my vocabulary of criticism that I use. It is the quality of the document produced and the quality of the service or the output of the municipalities and the services that are delivered to the public.

Interviewer: Sure. It is quite a big role that you are playing. Thank you very much. These are all the questions that we normally ask. So once again, thank you very much for your time. I really appreciate that.

[End of file]

[End of transcript]

Appendix G: Side-by-Side Tables of Capacity-building, Outcomes and Continuous Events

Capacity-building

Scotland	Canada	South Africa
1. Supporting children's involvement in community development and regeneration	1. Intention of trying to open up public participation in decision making processes in a meaningful way	1. Creating an opportunity for stakeholders to say in how they would like the agency to manage the water resources as it affects them directly
2. Team building	2. An obligation to seek out information that informs decisions as the community's representative	2. Creating opportunities for everyone to have a say, including Previously Disadvantaged Individuals, to share ideas for how to access water for their daily needs
3. Focus and prioritize issues	3. Considering hearing what people want to say vs. fear that it could move us from a decision that is premade vs. not meeting the public's expectations and then requiring a more thorough and rigorous deliberative process	3. Create opportunities for feedback
4. Taking in the whole view on a topic	4. Informal interactions with constituents that "deeply inform" this person	4. Creating the ability for those who participate to "own that outcome"
5. Participation that is developmental, supports self-esteem, life skills, personal skills and provides a sense of achievement	5. Seeking further information or share information	5. Ability of people in a catchment area to know why the agency is taking certain steps
6. Developed ability for organization to work with social inclusion partnerships	6. Ability to participate on committees and task forces	6. Ability of the agency to "take care of…the interests of the people"
7. Poster launch, video production	7. Ability to participate in an adversarial process instead of a collaborative or participatory one	7. Demonstrating compliance with the National Water Act by ensuring what the agency does "is acceptable by law"
8. Broadening horizons and	8. Negative behaviors	8. Ability to discuss issues or

experiences	including the ability to heckle and shout down people who are trying to speak	concerns that affect people directly about water through a two-way process
9. Fundraising, securing equipment	9. Ability to move towards examining "and sharing information in a broad and equitable way"	9. Ability to collaborate with strategic partners (municipalities, other agencies)
10. Ability to work on other projects	10. Ability to discourage input because decisionmaking processes are narrowly defined: "No, what you are talking about is not on our agenda"	10. Ability to work with a variety of media to communicate with stakeholders
11. Gaining throughout/through the process – achievement and learning	11. Ability to apply compassion and empathy in order to balance interests that are difficult to navigate	11. Creating awareness of the challenges associated with water availability
12. Changed expectations	12. Ability to practice deep listening	12. Ability to accommodate "the community on how they would like us to interact with them"
13. Ability to start making demands for rights	13. "…acting in the best interest of the community, the general well-being not in a specific interest necessarily."	13. Creating awareness of laws governing water resource protection
14. Outcomes that were concrete and allowed the work to continue after the organization left	14. Reinforcing of power imbalances in Western democracies and the need to pay attention to them	14. Awareness of the limitations imposed by meeting location selection on the ability of individuals to participate in meetings
15. Training	15. Ability to make decisions by council regardless of public comments provided	15. Awareness of how the creation a water champion program may be able to be more representative of stakeholders that may not participate
16. Ability to use knowledge that was created	16. Limited ability to acknowledge comments received and how are being handled by staff, how it is being tracked, although a desire to see this happen	16. Awareness of the importance of engagement as a means of facilitating information flow and effective, efficient participation

	more often	
17. Asking children for their opinions	17. Majority rule emphasis draws people with certain personalities to elected office	17. Ensuring people can decode information provided, perception of that information and understanding it
18. Partnership agreements	18. Elected officials are motivated by a desire to make people happy, or interest groups happy	18. Awareness of people's needs and frustrations with water allocation, and the ability to empathize with them
19. Meeting with key stakeholder organizations for introductory training and work in support of young people's ongoing involvement in the planning process	19. Capacity for effectiveness limited by association with majority	19. Creating awareness of water quality awareness campaigns among the public as a means of stimulating them to be "vigilant and aggressive towards water quality demand management"
20. Organization's work being informed by children and young people; is this what they want us to do?	20. Municipality constrained to longer term decisionmaking, decisionmaking that is binary	20. Creating awareness among stakeholders that they can talk with the municipality and the government about the kind of water quality they require
21. Introduce activities and methodologies that can be used with communities	21. Ability of people to see where their opinions stand in relationship to others	21. Workshops that teach stakeholders about water quality issues and engages them in problem-solving
22. What are the issues for children and young people and what strategies might they want to see put in place?	22. Ability of people to reflect on their standing vs. majority/minority status	22. Ability to change people's behaviors as a result of campaigns and workshops; also the inability among those who do not attend these programs
23. Awareness of issues and consequences	23. Ability of people over time to distance themselves from participating since they felt marginalized	23. Competitions that draw attention to the cleanliness of a commuity, such as a school or catchment area
24. Ability to express their needs, concerns in a comfortable manner	24. Ability of people in the community to develop its own vision	24. Lack of creation of job with goal of environmental cleaning
25. Developing campaigns on topics of interest	25. Diminished capacity by virtue of rejection of vision by decisionmakers	25. Lack of the ability to maintain a site that is cleaned up

	after community's development of it	
26. Prospective staff interviews by children and young people on panel	26. Ability of individuals to see collective interest instead of self-interest	26. Ability to create awareness that water quality is a mutual or collective responsibility
27. Developing relationships with at-risk youth		27. Creating an expectation for participation
28. Awareness of consequences of behavior		28. Creating a level of participation and understanding about water quality issues
29. Desire for effectiveness on the part of children/young people		29. Reporting of problems
30. Methods for not putting kids on the spot		30. Public complaints about problems from industrial polluters
31. Using tally gates system		31. Differing levels of expectations for water service quality at the municipal level
32. Developing relationship skills		32. Organizational ability to reflect on the level of participation by area (informal evaluation)
33. Producing a report		33. An expectation on the part of the organization that it is up to the public to understand the agency's role "so that they should always be responsive to invitations or responsive to programs that they are running that affects us"
34. Presenting a report		
35. Research, including creating a questionnaire		
36. Knowledge of impacts resulting from engagement		
37. Ability to highlight issue, get voices of other children		
38. Graffiti cleanups		
39. Seeing children as rights		

holders		
40. Raising awareness of rights, expectations		
41. Dispelling myths, creating awareness, advocacy on the part of the organization		
42. Drawing attention to inequities		
43. Explaining impacts of potential behavior		
44. Developing confidence, self-esteem in children/young people		
45. Developing personal skills, life skills in children/young people		
46. Producing a comic book		
47. Dimensions of change; identifying the degree of impact the organization has had		
34. Work before, during and after consultation		
35. Make comparisons, critically analyze		
36. Awareness of financial savings, ability to craft an argument in support		
37. Demonstrations and lobbying of government		
38. How to present report		
39. New ways to present information, have an impact using innovative, alternative methodologies		
40. Facilitating involvement "where" the children and young people are		
41. Participation as developmental, where they gain from being engaged		
42. Creating a focus, instead of on the issue, developing a competency		

or an experience		

Outcomes

Scotland	Canada	South Africa
1. Focusing children on the issue of community development and regeneration from their perspective, using a pictorial collage	1. Ability of participants to consider and provide input on priorities/objectives of council	1. An understanding of how stakeholders would like the agency to manage water resources "as it affects them directly for them to benefit effectively equally and otherwise"
2. Ability to identify by children what they liked, did not like, and potential impacts of those positive and negative elements	2. Pushing back on traditional rules of participation (e.g., Robert's Rules) to open up decisionmaking so people can participate	2. Involvement of all people including Previously Disadvantaged Individuals
3. Awareness of negatives by children and how others view them and various aspects of their lives	3. Opinion by colleague on council that participatory budgets "may work well for third world countries but we do not need them here"	3. Feedback from people who participate
4. Conference of children who were continually involved over the five-year period	4. "…how people see the process unfold after they have been invited to participate and what comes from" it depends on the tone, who is running it	4. Ability for participants to own the outcome of participation
5. Emphasis on participation that is developmental, supports self-esteem, life skills, personal skills and provides a sense of achievement, each with a milestone	5. No obligation for council to consider any comments from the public	5. An understanding by stakeholders why the agency is taking a particular action
6. Less successful at	6. Presentations by	6. The agency taking care of

highlighting social inclusion partnerships; in instances where it was successful, it resulted in activities that worked well, children benefiting and community benefiting	delegations to council	the interests of the people in a particular community
7. Creation of a poster campaign by youth	7. Decisions about subjects of presentations are made in committees or committees of the whole meetings	7. Engagement of people in particular geographic areas or sub-catchment etc.
8. Video launch of poster campaign created with youth	8. Community member can comment at committees or committees of the whole meetings, although not at regular council meetings	8. Demonstrate compliance with the National Water Act
9. Success of poster campaign and video led to getting youth involved in a park project with the local city	9. Advisory planning committees	9. Holding meetings with discussion of water issues that affect stakeholders directly using a two-way process; at the meetings, sharing of the agenda with strategic partners
10. Information that is within the children's frame of reference	10. Task forces	10. Attending meetings of groups the agency belongs to, such as the Chamber
11. Ability to vision by youth and the vision itself, such as with determining they wanted a wildlife garden for the city park project	11. Majority voting	11. Publicly citing water availability as an issue by political and administrative leaders/organizations
12. Fundraising and gathering up of equipment by youth	12. Opportunities to hear other councilors speak at council meetings although no requirement to listen to or be	12. Accommodating the public in how they would like the agency to interact with them

	persuaded by what they say	
13. Other projects that resulted from wildlife garden project	13. Proposal that committee of the whole be more deliberative in discussions involving the community	13. Convening the visioning process
14. Outcome may not be goal that youth want although they have gained from the process	14. Creating a climate where people feel comfortable to speak	14. Ability of people geographically near to meeting locations to participate; ease of people with knowledge about water management to engage. Lesser ability of people to participate who are not geographically near to meeting locations.
15. Explicit recognition of what's important to children; in this case, play "…because obviously for a lot of young people play is a huge issue for children. It's their work."	15. Heckling and shouting down people who were trying to speak	15. Creation of water champions program as a means of ensuring representativeness
16. Creating awareness of UN Convention on the Rights of the Child	16. People who disagree with neighbors and who do not publicly want to admit it	16. Expectation that agency must be fair and frank in dealings with the public
17. Ability to use critical thinking skills	17. Not encouraging compassionate conversation	17. Expectation that board directs service delivery and provides institutional direction
18. Ability to make demands based on critical thinking skills	18. Encouraging people to "duke it out on the sidelines and them come to us"	18. Expectation "that everybody is well informed of what" the agency is "doing and participates effectively and efficiently"
19. Concrete outcomes that allowed this work	19. Shutting people down because their contribution "is not on	19. Lack of surety that "the very, very last people in the line of receiving

to continue after the sponsoring organization left the project	our agenda"	information did receive information and interpret it accordingly"
20. Other organizations who changed their constitutions as a result of being involved in this work, to enable children and young people to be involved	20. Frustration, which in turn manifests itself as anger when people cannot make their contribution	20. Knowledge that the agency must give plenty of advance notice to stakeholders to enable them to participate in meetings, especially in rural communities
21. Organization has developed other work based on the five-year program as a result	21. Deep listening skills	21. Knowledge that there is a tendency for people to centralize information and that they may misunderstand the meeting purpose and also be unable to differentiate between the agency and the municipality
22. Development of a framework for this work by the organization, including short- and long-term case studies, which were produced every four months	22. No improvement to process	22. Knowledge that there is a lack of understanding about the different roles the agency and municipality play
23. Framework as basis for project report (DIY guide)	23. Pressure that is "heavy duty" on councilors when decisions are to be made	23. Knowledge that understanding people's own language, perspective is necessary for understanding "what they want and what you should be doing"
24. Developed and delivered national training program based on project report, with positive	24. Power imbalances in the community at time of decisionmaking	24. Knowledge of the need for the agency to be an active steward of communicating about water quality and providing information,

evaluations from training and report		whether they have that information or it must be obtained from another organization and then communicated to people
25. Delivered training to "a couple hundred people"	25. No access or capacity to create an equal message by some "that will be heard equally by the decisionmakers"	25. Awareness campaigns about water quality demand management that facilitate the ability of stakeholders to "talk to the respective municipality and government about the level of water quality they require"
26. Meetings held about applying methodology within community planning	26. Recording of decisions made by council	26. Workshops that build capacity of stakeholders to understand water quality issues and actions that can be taken
27. Creation of partnership agreements with other organizations	27. Recording of public comments	27. Knowledge that such awareness and capacity cannot be built by people who do not attend water meetings
28. Creating continuing mechanisms through partnerships that facilitate young people's ongoing involvement in planning processes, "not just one-off and ad hoc affairs"	28. No tracking if input is connected to decision	28. Awareness that campaigns and capacity-building are effective because of behavioral change
29. Informing the organization's own work by children and young people, as part of understanding what they want the organization to	29. No or little acknowledgement of public input or how being handled by staff/tracking of it	29. Competitions that reward people for changing their behavior towards water quality

work on		
30. Introducing activities and methodologies that the organization can work on in communities	30. Making people or interest groups happy on the part of councilors	30. Feedback to schools or particular stakeholders about their progress on water quality improvements
31. Teaching children and young people how to speak from their own experiences in a comfortable manner and without shame	31. Effectiveness dependent on majority association, leading to election slates	31. Lack of an environmental cleaning "czar" being designated despite past discussion on this
32. Developing a campaign in conjunction with children and young people	32. "Horse trading", compromises that "is not necessarily based on moving to consensus"	32. Awareness of the challenge of maintaining environmental cleanup sites over the long term
33. Listening to the voices of children and young people on issues	33. Ability to participate in a community process that was community driven	33. Awareness that by creating water champions and like programs, that these efforts will facilitate the creation of "other supporting structures" that will support a stewardship approach to water quality management
34. Maintaining relationships between the organization and elected officials	34. Input was immediately assessed	34. Knowledge that the public must understand/know what makes local systems work effectively and what does not
35. Supporting the organization's research "with what young people are saying," including quotes and quantitative data	35. Ability of people to see where their opinions stand in relationship to others	35. Cooperative relationships with stakeholders
36. Findings from	36. Ability of people to	36. Achieving maximum

consultations that are submitted to government agencies	reflect on their standing vs. majority/minority status	results "on the envisaged land programs"
37. Creation of a training pack on how to involve children and young people on a panel for staff hiring, and also applying that same methodology by this organization	37. Ability of people over time to distance themselves from participating since they felt marginalized	37. Customer satisfaction
38. Working with other organizations to contact hard-to-reach youth	38. Ability of people in the community to develop its own vision	38. Meeting attendance registers as a yardstick of participation
39. Working with at-risk youth to identify issues of concern to them and their community	39. Diminished capacity by virtue of rejection of vision by decisionmakers after community's development of it	39. Level of participation and understanding, and following up on actions taken as a measure "for understanding what we are doing and also to come up with suggestions for the future plans or ways forward long after the engagement"
40. Demonstration project with at-risk youth "to tell others not to do what we have done"		40. Reporting of problems by people, such as a leaking pipe
41. At-risk youth enjoying themselves and attaining a feeling of accomplishment		41. Public complaints about water quality issues or problems
42. Creating an environment where at-risk youth are not prejudged, rather		42. Limited capacity for small towns to expect quality service, as compared to expectations for quality service from

starting from "where" they are		towns and big towns where there are people of high social class
43. Changes in behavior in at-risk youth resulting from awareness of potential consequences of behavior and development of empathy for others		43. An informal reflection by the organization on the level of participation as compared by area
44. Ability of at-risk youth to question critically the value of consultations		44. An expectation on the part of the organization that it is up to the public to understand the agency's role "so that they should always be responsive to invitations or responsive to programs that they are running that affects us"
45. Ability of youth to develop a consensus		
46. Ability of youth to positively develop relationships		
47. Ability to publish a report		
48. Ability to conduct research, including creation of a questionnaire		
49. Creating a comfortable environment where youth can express themselves freely		
50. Ability to present a report to elected officials		
51. Knowledge of the impact the report had		

52. Ability to set goals for projects and "get the voices of other children as well"		
53. Graffiti cleanups and other projects		
54. Awareness of one's own rights		
55. Awareness of expectations		
56. Asking young people what they think and then disseminating that to adults; dispelling myths about children and young people		
57. Creating the ability to address inequities in the UK		
58. Awareness of potential consequences of actions		
59. Broadening horizons of youth and developing self-esteem		
60. Ability of the youth to reflect on how they've grown and changed over time as a result of participating		
61. Awareness by youth of rights and responsibilities		
62. Ability to produce a comic book		
63. Impact monitoring by the		

organization that is assessed against five dimensions of change		
64. Participation by representatives from different groups in a particular program		
65. Ability by the organization to see what needs to be done before, during and after a consultation		
66. Creating the ability for youth to make comparisons and conduct a critical analysis		
67. Ability of the youth to identify financial savings and craft an argument in favor of their position		
68. Development by the organization of reports, policies and lobbying of government		
69. The ability of children to take direct action		
70. Creating knowledge among children and youth about creative and innovative ways to present reports		
71. Alternative ways of working that get children engaged		
72. Developmental gains from		

participating on the part of children and youth that include an area of focus		
73. Not coming in with predesigned questions, rather letting children and youth direct the focus		

Continuous Events

Scotland	Canada	South Africa
Five-year program of work	1. Council meetings	1. Specific efforts that target stakeholders in geographic areas or sub-catchments
1. A series of leisure activities, arts and crafts and other play-work approaches	2. Pushing back on traditional rules of participation (e.g., Robert's Rules) to open up decisionmaking so people can participate	2. Formal meetings with stakeholders
2. Meetings on a regular basis with children and youth	3. Budget processes	3. Attending meetings of groups the agency belongs to, such as the Chamber, where the agency can informally interact with stakeholders
3. Final conference of young people who participated over the five-year period	4. Informal conversations with neighbors, at the mailbox or the store	4. Visioning processes where the agency establishes or updates its policies, working in conjunction with municipalities who also establish or update their related policies
4. Periodic connection with social inclusion partnerships (was somewhat successful)	5. Informal talks over tea and cookies around what our community should look like	5. "Of the things you cannot deliver or have no answer," the agency calls "the relevant department or

		section of a particular municipality or department to come and talk to them about."
5. Invitation by city managers to youth to participate in park project	6. Committee hearings	6. Rigorous awareness campaigns that engage the public in becoming "vigilant and aggressive towards water quality demand management." E.g., recent campaign on pollution.
6. Legacy of work being left behind as a result of working with local organizations, when sponsoring organization concluded project, including changing of other organizations' constitutions and the development of additional work by the sponsoring organization that builds on this effort	7. Public hearings	7. Workshops on water quality management issues
7. Meetings where the project report (DIY guide) has been distributed	8. Public information sessions	8. Cleanup projects
8. Making overtures and meeting with key stakeholder organizations within community planning as part of situating the work more strategically	9. Written input	9. Talks at schools
Outside five-year plan of work	10. Testimony at public hearings	10. Water champions program and other like efforts that involves an educational component

9. Highlighting the positions and situations of children and young people as part of policy work	11. Delegations that speak at council meetings	11. Telephones
10. Asking what children and youth want the organization to do/take on	12. Committee of the whole meetings where the community can speak	12. Letters
11. Consultations with youth and young people in focus groups to gain their views on the theme of poverty	13. Committee meetings where the general counsel liaises with committees, that are open to the public and may include members of the public as members	13. Electronic media, such as radio
12. Developing a poverty campaign	14. Ad hoc task forces that provide opportunities for public involvement in information sharing or seeking information	14. Print media, such as newspapers
13. Discussions with program director of organization about the issues of poverty and its effects on children and young people	15. Nasty, ugly scenes at council meetings	15. Cooperative relationships with stakeholders
14. Supporting research used in lobbying with qualititative and quantitative data	16. Council meetings that limit subjects not on the agenda	16. Customer satisfaction
15. Working in alliance with other organizations for a compilation of information that will be submitted to the government	17. Phone calls, emails exerting pressure on council members outside of meetings	17. Reporting of problems by people, such as a leaking pipe
16. Involvement of children and young people on selection panels for hiring staff	18. No tracking if input is connected to decision	18. Public complaints about water quality issues or problems
17. Outreach to other organizations to make contact with hard-to-	19. No or little acknowledgement of public input or how	

reach youth	being handled by staff/tracking of it	
18. Short exercises with at-risk youth over a continued period of time	20. Community planning initiative driven by the community	
19. Discussions with at-risk youth about behaviors and consequences	21. Community planning initiative with engagement tables at meetings over time	
20. Empathy workshops with at-risk youth		
21. Creating reports		
22. Conducting research, including creating a questionnaire		
23. Meeting to present report		
24. Graffiti clean-ups and other projects		
25. Asking young people what they think and then disseminating that to adults; dispelling myths about children and young people		
26. Creating a video		
27. Impact monitoring by the organization that is assessed against five dimensions of change, through meetings of children and youth in groups		
28. Stakeholder meetings with children and youth as part of the organizational review		
29. Demonstrations outside parliament		