

# Understanding how change is motivated

## Workshop for Water Management Decision Makers

September 2016

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# Understanding how change is motivated: Workshop for Water Management Decision Makers

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Slide 1



# 1. Introduction – the workshop

[Slides 1-4]

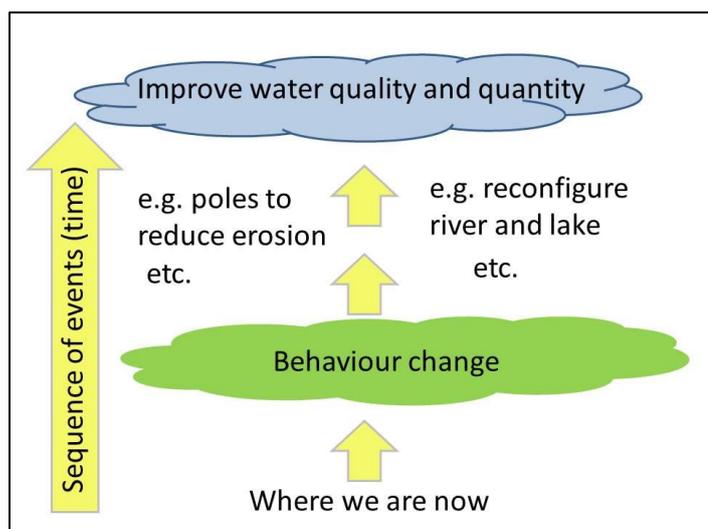
This is a summary of a workshop held in September 2016 with the community based catchment management group – the Ruamāhanga Whaitua Committee (RWC). The topic was ‘understanding what motivates change’ This summary report collates the principle overhead presentation material and accompanying notes.

## The Ruamāhanga Whaitua Committee

The RWC was established as part of efforts by Greater Wellington Regional Council to provide for greater inclusion of the knowledge, aspirations, unique values and views of the communities of the Wairarapa regarding the management of the region’s water resources (<http://www.gw.govt.nz/using-knowledge-to-make-sound-decisions>)

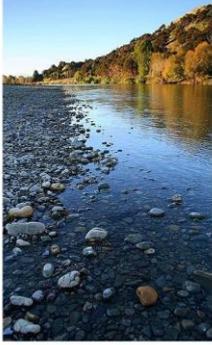
The RWC provides guidance and direction on what will be included in the Whaitua implementation plan (WIP). This will be ultimately used to develop new provisions in the Greater Wellington Regional Council Natural Resources Plan.

Slide 2



An important part of this work is to make recommendations for policies (both regulatory and non-regulatory) that will support the achievement of goals and targets (such as limits on water abstraction, river levels, and water quality). Inevitably meeting these goals and targets will involve some changes of practice for different sectors of the Ruamāhanga catchment community. Designing realistic goals and targets and successful policies to achieve them consequently relies on some understanding of how much change is required and how the costs and benefits of change are likely to be distributed. It also requires some understanding of how likely it is that different policies and approaches will achieve the desired shifts in practice and behaviour and what else may be needed to support that change.

### Slide 3



**Understanding what motivates change**

Agenda

1. Motivating change and achieving outcomes – implications for policy
2. Understanding how change is motivated
3. Tools & techniques for exploring what this means for the Ruamāhanga
4. Identifying further information needs

Understanding what motivates change: Workshop for Ruamāhanga Whaitua Committee 20 Sept 2016, Kilvington, Allen & Sinner

### Slide 4



Today is about being collective

*All the brains in the room!*

### Slide 5

*Influencing landholders to adopt more sustainable natural resource management measures is complex. This is partly because adopting natural resource management measures is not one decision (as, for example, deciding to give up smoking is one decision, albeit a difficult one). Adopting new management measures requires a large number of different decisions—both big and little, easy and complex—every week....It requires ongoing commitment and considerable knowledge and skill and at times considerable investment in capital equipment and other inputs.*

Australian public service commission: Changing behaviour a public policy perspective

Greater Wellington Regional Council supports the work of the RWC in a number of ways including funding a collaborative modelling consortium which brings together the expertise of independent specialists with expertise in hydrology, chemistry, social science, economics and mātauranga Māori. This workshop is one of the contributions from this collaborative modelling work.

## Workshop aims & outline

The aim of the “Understanding how change is motivated workshop” was to introduce committee members to some of the existing science around supporting and motivating change as it applies to their work. The workshop was run by Margaret Kilvington & Will Allen with supporting contribution by Jim Sinner. Margaret, Will & Jim are part of the team of people providing social research input into the collaborative modelling work and in support of the Ruamāhanga whaitua committee process.

The workshop had three parts:

1. Motivating change and achieving outcomes –the implications for policy
2. Understanding how change is motivated
3. Tools and techniques for designing policy for change

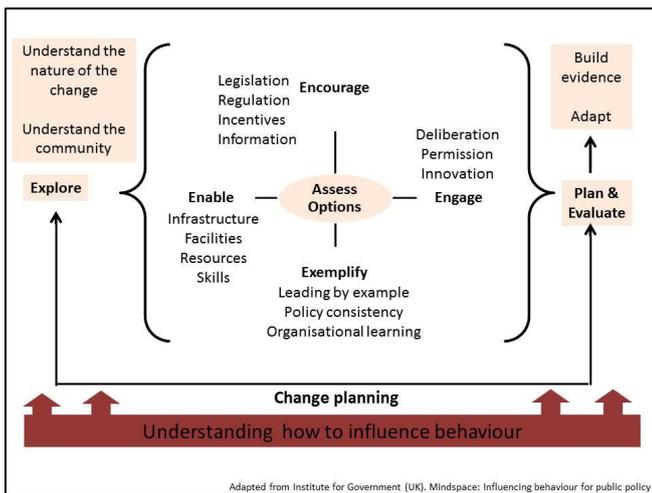
A lot of material was presented to the RWC participants but the workshop was also highly interactive and had brainstorming exercises and group discussions.

## 2. Freshwater Management & Motivating Change

[Slides 5 -12]

Freshwater management is an example of the growing number of complex policy problems where behaviours of many different groups and sectors act together to influence the current situation. No one individual, sector or part of the community alone can be held accountable for all the problems in our freshwater systems. Similarly no one group, acting alone, can influence the future.

Slide 6



Slide 7

### Wairarapa – Where Water Glistens

The future is engaged communities proactive in the long term sustainability of the catchment as a whole. A place where:

- We are all connected to the water so we are all equally responsible for creating a more natural state;
- Holistic land and water management creates resilience;
- Recreational and cultural opportunities are enhanced;
- There is a sustainable economic future;
- Water quality is improving;
- Ecological enhancement is sustainable;
- Ko wai, Mo wai, No wai: waterways connect communities, there is a sense of identity for people and water;
- There is safety and security of (drinking) water supply.

Slide 8

1. Motivating change and achieving outcomes – implications for policy

Some thought needs to be given to the practicalities of motivating change amongst many people.

Achieving sustained behaviour change is difficult. We all recognise this in our own lives when we see how we struggle to drop unhelpful habits and pick up new and better ones. Change is hard even when we have good information, positive role models and the incentive of knowing we are doing something that will benefit us in the long run. Consequently policy makers and programme designers working with complex problems increasingly recognise the need for a sophisticated understanding of the factors influencing human behaviour at the individual, interpersonal and community levels. Understanding better how to effect change through the judicious use of various policy interventions can result in better delivery of desired outcomes, potentially for less cost.<sup>i</sup>

Questions for consideration include:

- How complex would this change be and how much education and information would be required to help people transition to a new behaviour?
- Are there significant barriers to taking action?
- What is achievable through voluntary action and how can a regulatory framework support voluntary change?
- Will steps be needed from other parts of regional government or local and district agencies – in order to ensure this change is not undermined by actions happening elsewhere?

Slide 7

## Wairarapa – Where Water Glistens

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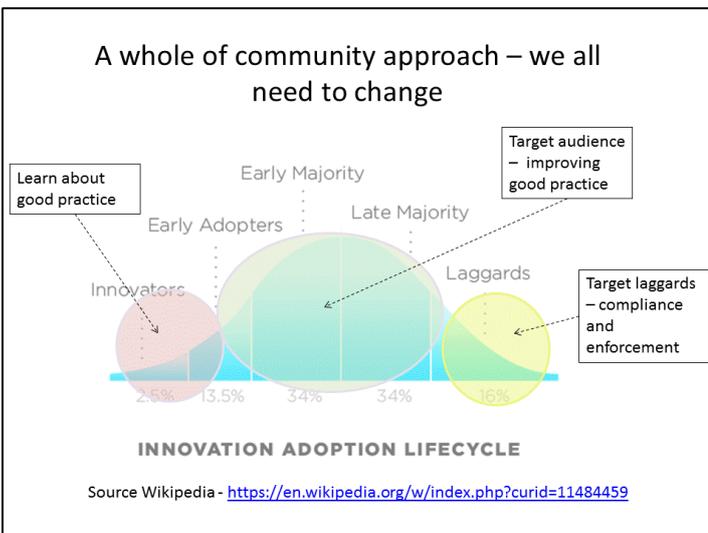
Slide 8

## Wairewa ZIP Addendum

To provide guidance to Ecan as it develops its work programme .... e.g.

- Catchment streams ➔ flourishing ecosystems
- Lake ➔ annual average TLI=4 by 2035
- Develop external funding
- Provide for awareness, education, and farm environment plans
- Encourage environmental technologies uptake

Slide 9



## Motivating change & achieving outcomes – implications for policy

Over the last 18 months the RWC have already identified a number of high level goals for the future of the Wairarapa. The GWRC freshwater management strategy and the WIP is one of the means by which these goals can be supported and achieved. The WIP in this way plays a similar role to the Zone implementation plan (ZIP) used by the Environment Canterbury (ECAN) water management process. <http://ecan.govt.nz/get-involved/canterburywater/committees>.

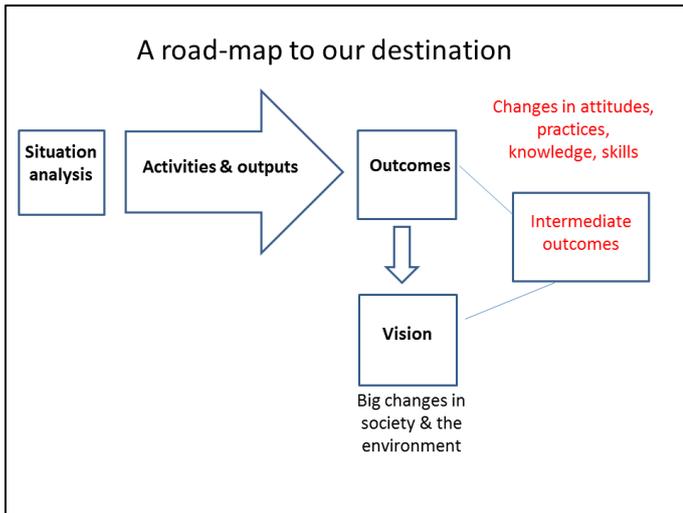
However, many of the goals, and aims of the RWC, and other such collaborative freshwater management initiatives, imply ambitious, ‘whole of community changes’ which reach beyond the usual remit of regional level resource management policy. Such policy has typically focussed largely on ensuring the compliance of those reluctant to adopt new practices already widely supported by others.

A ‘whole of community’ approach to change also

- encourages innovation and
- supports learning by those interested in normalising such practices.

Designing policy for such long term aims requires a road map. When planning for long term, wide impact change it becomes obvious that changes to significant social, cultural, economic and environmental goals will take a long time to appear. State of the Environment (SOE) monitoring is insufficient to ensure that the change process is on track. It is therefore useful to develop intermediate outcomes and measures– i.e. steps or preconditions that lead to the longer term outcomes. These intermediate outcomes typically involve changes in people’s knowledge, aspirations, skills and attitudes which result in changes in social norms, capacities and practices.

## Slide 10



## Workshop Exercise: brainstorming motivation for change in the Ruamāhanga

Participants at the workshop worked through the following questions and steps to ground-truth the ideas presented so far.

- Who are the stakeholders in the Ruamahanga (people/organisations) who you think will need to change what they do?
- Pick one
- If it was **your role** to change what these people do – how would you go about it?
  - What things would help them (enablers)?
  - What things would block them (barriers)?
  - What will be your biggest challenge?

## Slide 11

### Different outcome levels

**Longer-term outcomes**

- The state - or change in state - of a condition of significance (social, cultural, economic, health, environmental, etc.)
- Medium- to long-term time frame

**Intermediate outcomes**

- One or more steps or pre-conditions necessary to achieve the longer-term outcome
- Short- to medium-term time frame
- People change(knowledge, aspirations, skills and attitudes)
- Usually concerned with changes in social norms, capacities and practices

## Slide 12

### Brainstorm for Ruamāhanga

• Who are the stakeholders in the Ruamāhanga (people/organisations) who you think will need to change what they do?

• Pick one –

If it was **your role** to change what these people do – how would you go about it?

- What things will help them (enablers)?
- What will block them (barriers)?
- What will be your biggest challenge?

Understanding what motivates change: Workshop for Ruamāhanga Whaitua Committee 20 Sept 2016, Kilvington, Allen & Sinner

*It's a delusion we can change peoples' behaviours. Instead, people change their own behaviours. Our role is to create an enabling environment and provide opportunities for people to become inspired by what their peers have achieved. When we offer people a chance to take a step closer to the lives, businesses or farms they dream about (and we make that change feel safe) then they'll do the changing for us.*

Les Robinson *How the science of behaviour change can help with sustainability*, Guardian 18 January 2011

### 3. Understanding how change is motivated

[Slides 13- 23]

Motivating change is a wide area of research and practice in areas as diverse as human health, adoption of new technology and environmental management. A central tenet of those who work in support of society wide changes is that effort to support change is best directed at creating a suitable enabling environment within which change can occur rather than simply targeting individual behaviours.

Public policy contributions to societal change can take the form of regulation, providing financial incentives and disincentives, education, raising awareness, and promoting role models and voluntary efforts. All these can in one way or another contribute to the environment for change. No one approach is better than another and change is better supported by pursuing multiple avenues at various times – depending on what is known about the community and the situation. While ‘changing attitudes’ is often a popular component of behaviour intervention policies it is generally considered insufficient on its own to create lasting change.

#### Individual intention to act

Most approaches to understanding what motivates any one person use four basic building blocks

1. **Attitudes and Beliefs:** What the person knows or believes about the situation.
2. **Social norms and wider society influences:** the common behaviours of others in society – particularly their peers
3. **Personal habits and abilities:** What is a normal practice for the person and what is their capacity to take on new behaviours.
4. **External factors:** Conditions such as markets, financial factors, and policies such as regulations that can act on these.



- All about creating “environment for change”
- Regulation, education, incentives, disincentives, awareness, attitudes, role models,.....all contribute to the environment for change
- Need to use multiple avenues in combination – and over time

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#### Attitudes are not enough

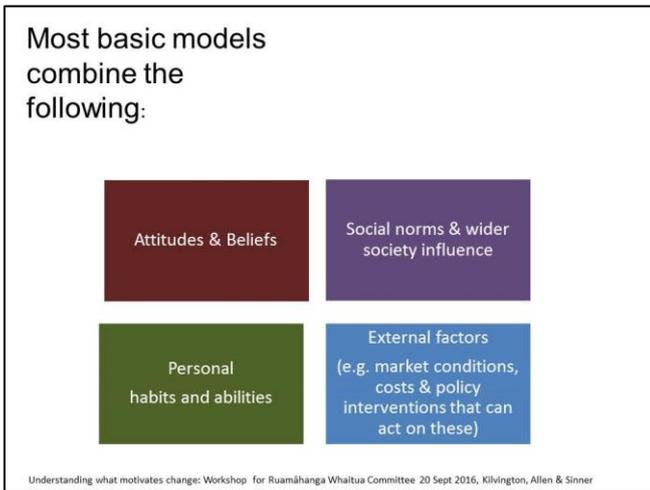
*“Research indicates that attitudes are a necessary but insufficient condition to changing behaviour. You can’t change behaviour simply by changing attitudes.”*

Linda Cameron, 2002. *Promoting positive environmental behaviours through community interventions*

*Environmental education and communications alone will not resolve environmental issues. They have to be combined with legal, economic and technical instruments to make change.”*

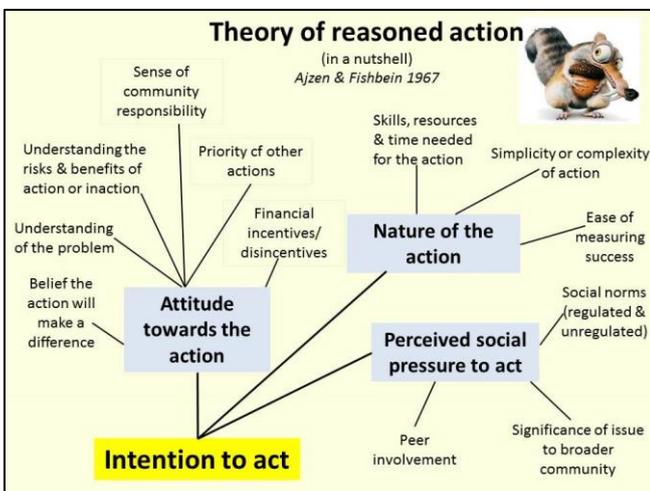
Environment Waikato, 2002

Understanding what motivates change: Workshop for Ruamahanga Whaitua Committee 20 Sept 2016, Kilvington, Allen & Sinner



A widely known framework that uses these basic building blocks is called *the theory of reasoned action* (Ajzen & Fishbein 1967). Slide 17 (enlarged on facing page) represents an interpretation of that complex theory – in a nutshell! It highlights that our intention to act is influenced by our attitude towards the action; the nature of the action itself; and the perceived social pressure to act. These in turn are influenced by many other factors.

Even more succinct is the equation below designed as a short cut for policies and programmes aimed at motivating change.



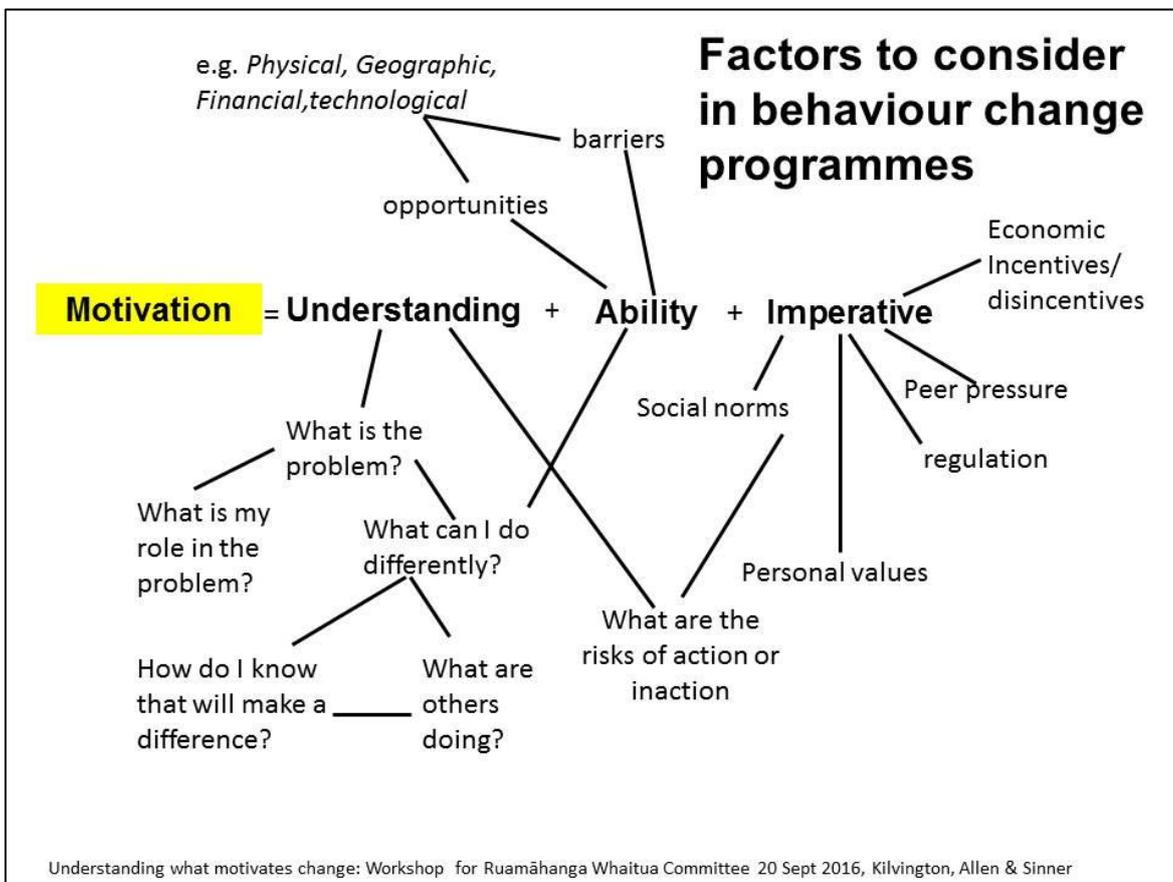
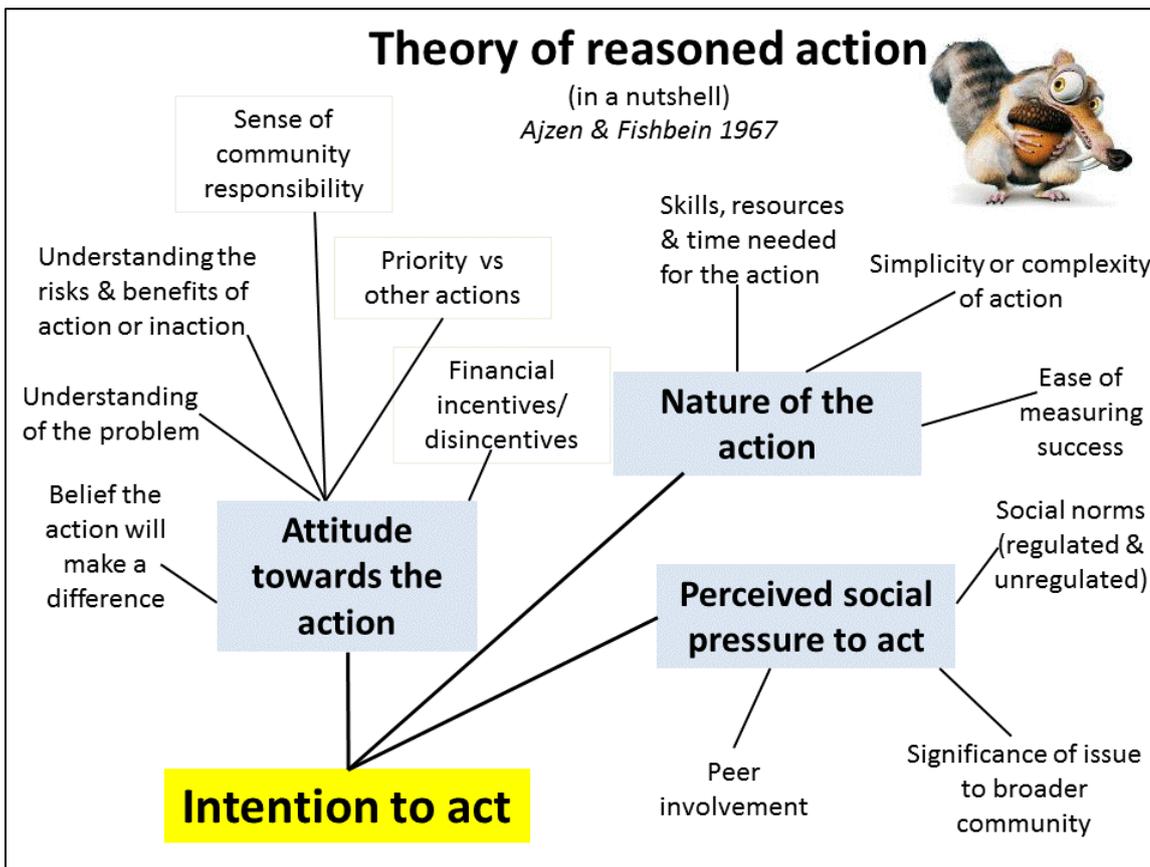
**Motivation = Understanding + Ability + Imperative<sup>1</sup>**

This describes individual motivation to act as a combination of an individual's *understanding* about the problem, the situation that requires changing & their role within it; their physical and practical *ability* to take action; and the various social, legal and financial factors that create a social *imperative* to act. A holistic approach to supporting change will ensure that all three areas that influence motivation are addressed (see slide 19 facing page). Targeting understanding alone without addressing factors that affect ability or imperative (e.g. through awareness raising campaigns) is unlikely to be sufficient by itself to create strong motivation to change.

Short cut for policies and programmes aimed at behaviour change

**Motivation = Understanding + Ability + Imperative**

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<sup>1</sup> This interpretation of Ajzen & Fishbein (1967) and the *Motivation for .Change* equation were first developed through work by M. Kilvington & W. Allen, with the Animal Health Board and Ministry for Agriculture and Fisheries in 2002 (see references).



### People act inconsistently & not always rationally

- Behavioural economics tells us
  - people behave with 'bounded rationality'
  - People show inconsistent preferences over time
  - People exhibit reciprocity and value fairness
- Often defy "categories"

Can't rely on people doing something because it is 'in their best interest'

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## Further factors to consider when designing policy to motivate change

There are several factors which are important to consider in any programme aimed at supporting behaviour change:

### 1. Don't assume people will always act in their own self interest

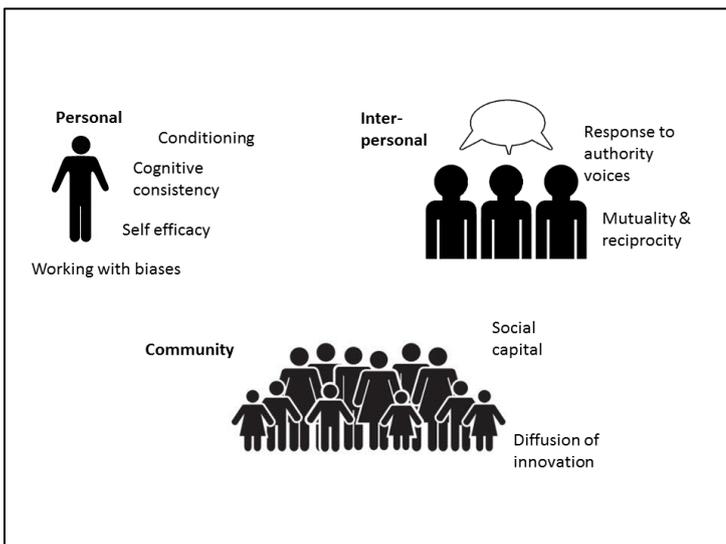
Although it is tempting to think that people will naturally act in ways that best serve their own personal interests in the long run, research (particularly behavioural economics) has found there are three influences that can mean that people act in ways that are actually contrary to their own interests. Firstly, in complex situations, it is not always possible for people to identify what is "in their best interests". Similarly there are many examples where people favour short term immediate gains over greater benefits which are further off in the future. Thirdly, research shows that people place a very high value on fairness and favour situations where all benefit equally – even opting to forgo a benefit themselves to ensure that others are not disproportionately benefiting.

### 2. Be careful about lumping people into one category or another

People also often defy the common categories that policy designers want to put them. For instance, while it may seem convenient when preparing a policy about adopting new on-farm technology to group people into categories such as "long established land owners" or "new comers" some research has shown that people who are innovators, i.e. who readily adapt to changing circumstances and can lead others in new directions, can be found in either group.

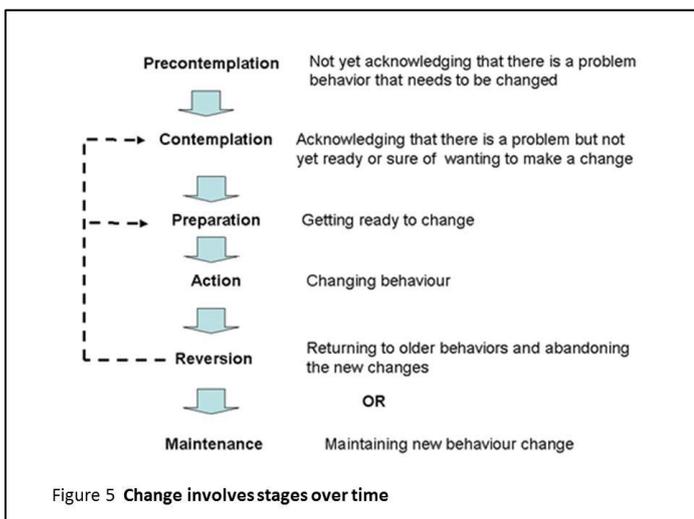
### 3. Motivation can work at personal, interpersonal and societal wide levels

In developing any approach or programme that will support change it is possible to work at several different levels, as illustrated slide 21. For instance at the personal level people can be supported to change by developing self-efficacy – i.e. their confidence in making the change – through help with goal setting or measuring



progress. At the interpersonal level – change can be supported by recognising that people respect the opinions of particular people (such as well-known community members) who can be influential in supporting the change, and that they value a change process that deals fairly with people. At the whole community scale, efforts to support networks (social capital) by which people learn about new ideas can help support the change

## Slide 22



## 4. Recognise and support different stages of change over time

While it is a truism that change occurs over time, Figure 5 illustrates that the process of change can involve several distinct phases. This can be significant when dealing with long term society wide change as it is likely that individuals and groups may be at different stages – particularly if new people come into the situation as the change process continues. Slide 22 shows one interpretation of the stages of change. Starting with *pre-contemplation* where a person does not yet understand the change; going through *contemplation* (considering the change); *preparation* (getting ready to change); *action* (changing behaviour). Then individuals or groups may potentially go through a *reversion* (going back to previous behaviour) or go to *maintenance* (maintaining behaviour).

## 5. Recognise the potential of working with principles

There is a growing interest in understanding how different approaches to motivating change can support different overall trends and ideas. For instance, a sense of scarcity can be promoted when a limit is placed on a resource. Scarcity based policies have been known to cause increased rates of consumption (e.g. bag limits for game species) where people ‘over value’ the resource or act out of fear that they will miss out. As a counter to scarcity, approaches that support generosity – i.e. the chance for individuals or groups to ‘give back’- can effectively grow the resource and create positive connections to both the resource and fellow resource users.

## Slide 23

### Working with principles

#### Scarcity & Generosity

- Growing interest
- “Scarcity” based policies can create enhanced rates of consumption – generosity effectively “grows the pie”
- Scarcity can promote both selfish and generous behaviours – depends on whether people are encouraged to view their own interests or collective interest as most important.
- People are most generous when they are able to be in control of the giving and are able to experience recognition and gratitude.
- Generosity – taps into mutualism, cognitive consistency
- Question for policy design...how can we help people see the need of others (including the natural environment) and empower them to be generous? E.g., create opportunities for people to contribute.



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*“The best change theory is the one you make yourself”*

Les Robinson *How the science of behaviour change can help with sustainability*, Guardian 18 January 2011

## 4. Tools & Techniques for Designing Policy for Change

[Slides 24 – 45]

Good planning and preparation for change can result in an approach that is tailored to both the context and the specific character of the community facing the change. Figure 6 is a framework for understanding the interlinked tasks involved in change planning. It highlights three main activities:

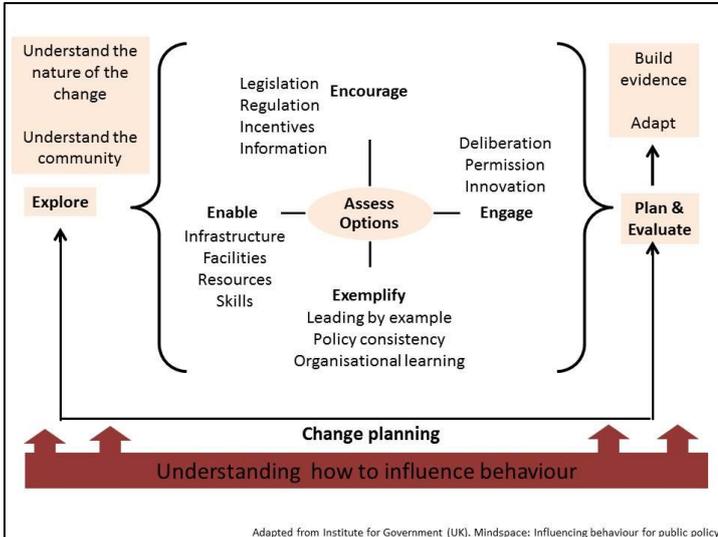


What does this mean for designing policy?

1. Need to consider the context and nature of the change that you expect (**Explore**)
2. Need to understand how different policy interventions work together (**Assess**)
3. Need to track how change is progressing (**Plan & Evaluate**)

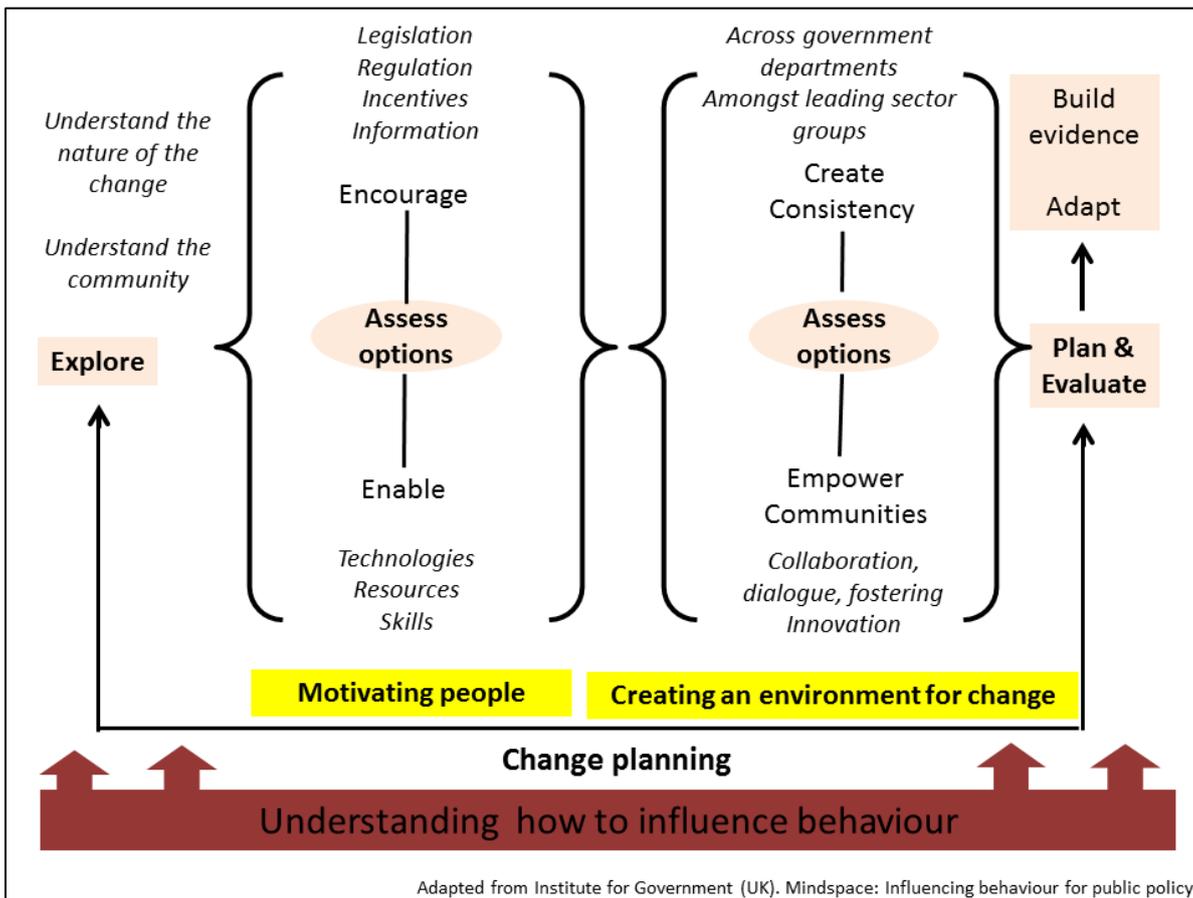
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1. Considering the context and nature of the change (**Explore**)
2. Understanding how different policy interventions can contribute to the change (**Assess**)
3. Planning for and tracking how change is progressing (**Plan & Evaluate**)



The framework presented in slide 26 (enlarged and reworked version facing page) illustrates these three activities. It shows how each is based on a good understanding of how to support behaviour change at personal, interpersonal and whole community scales.

## Slide 26 - Framework for Change Planning<sup>2</sup>

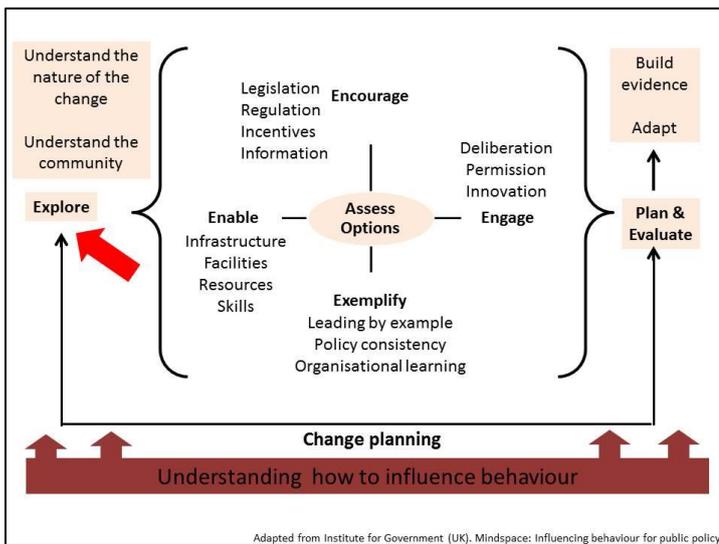


## Slide 29 Considerations for Explore phase of change planning

Explore	Example considerations	Tools
<b>Understand the community and the context</b>	Who are the stakeholders and what is their understanding & ability in relation to the change?	Stakeholder mapping and analysis
	What are the levers out there already in society that affect this issue? E.g banks	Organizational mapping & analysis
	What are the policies & structures within council that already affect this issue?	Systems mapping and analysis (levers & drivers)
<b>Understand the nature of the change</b>	Will this change take multiple steps & involve multiple people?	Theory of Change & logic models
	Is there potential for innovation?	

<sup>2</sup> The framework presented at the workshop was adapted from work by the UK Institute for government - Mindspace. It has been modified further following the RWC workshop for the resource report for the RWC (see references).

Slide 27



Using the Change Planning Framework

The following sections summarise how the framework can be used as a basic guide to designing policy for change.

Activity one: Explore

Any effort to create change needs to be based on an understanding of the change required and the likely preferences, concerns and abilities of those who will be doing the changing. At its most basic this activity asks two questions

Whose behaviour do you want to influence?

What do you want them to do that is different to their normal way of behaving?

Slide 28

<b>Motivation for Change</b> = <b>Understanding</b> + <b>Ability</b> + <b>Imperative</b>	Is the problem well understood?	Are there barriers that can be removed?	What are the social norms around this?
	Is the solution easy to understand?	Are their enablers that can be introduced?	What are values/attitudes out in the community that support this change?
<i>Know the nature of the change</i>	Will this change take multiple steps & involve multiple people?	Is there potential for innovation?	What are the policy instruments that can support this change?
<i>Know your community</i>	Is this understanding shared by all or just some?	Do the barriers & opportunities affect some more than others?	What are current attitudes to policy instruments?

The Motivation Equation described earlier can be used to help understand both the nature of the change and the potential issues facing the community in taking on this change – in terms of their understanding, ability and their imperative to take action. An important rule of thumb is to ‘start from where people are’.

Slide 29 (enlarged facing page) outlines some of the considerations and tools for this activity.

Slide 29

Explore	Considerations	Tools
Understand the community & context	Who are the stakeholders and what is their understanding & ability in relation to the change? What are the levers out there already in society that affect this issue? E.g banks What are the policies & structures within council that already affect this issue?	Stakeholder mapping and analysis Systems mapping and analysis (levers & drivers)
Understand the nature of the change	Will this change take multiple steps & involve multiple people? Is there potential for innovation?	Behaviour change ideas

Workshop Exercise ‘Change Planning’

At this part of the workshop participants worked through the first two stages of the change planning framework – *Explore* & *Assess*. They were provided with further support material presented in slides: 26 to 38.

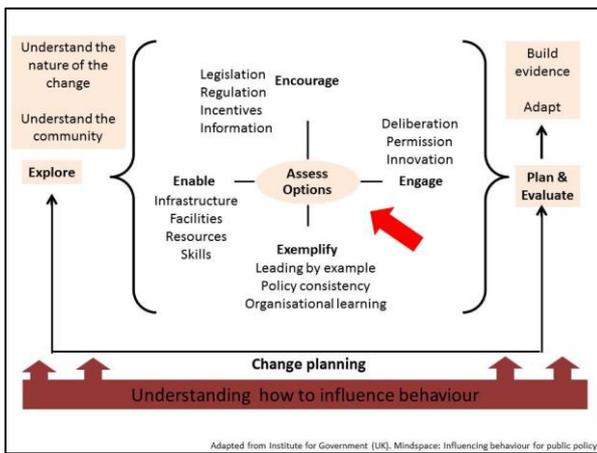
In *Explore* they considered – what change they wanted to see; whose behaviour they wanted to influence; and what they knew about the challenges or opportunities associated with this.

In *Assess* they considered

- Ways to motivate individuals or groups by considering what interventions might *encourage* & *enable* them.
- Ways to create an environment for change by considering what is needed to *create consistency* and *empower communities*

The stage *Plane & Evaluate* was discussed following the workshop exercise.

Slide 30



Slide 31

Encourage	Options	Considerations
Understand the options to create "imperative" for change	Legislation	How does the context and character of the community affect what options would be best to use?  How can these instruments make better use of behaviour change ideas (e.g social norms, mutualism?)  What instruments need to work in tandem with others?  What is already being used?  <i>How can these tools be used to foster generosity?</i>
	Regulation	
	Property rights	
	Incentives/disincentives	
	Information & Awareness – social marketing	

Slide 32

Enable	Options	Considerations
Understand the factors that affect the "ability" to change	Changes to	What are the practical & structural barriers to change that people face?
	Infrastructure	
	Networks	What are the choices available to different sectors of the community?  How does regional government contribute to these barriers and choices?
	Technologies	
	Resources	
Skills		

Slide 33

Create Consistency	Main authorities	Considerations
Aligning policies and actions across government departments, agencies and other 'leading' organisations	National, regional, local government	Are the actions and policies of GWRC consistent with the change they are seeking?
	Major organisations/sector groups	Are the actions and policies for change consistent across different levels of government?
		Are the actions and policies of other major authorities working to support change?

Activity two: Assess options

There are many ways to support change and these can be reviewed and assessed for their fit with what is known about the nature of the change and the community (Explore stage). Slide 25 shows that the change planning framework outlines four different ways to support change: *Encourage, Enable, Create Consistency & Empower Communities*. Each focuses on a different aspect of creating the potential and climate for change. The focus of the first two is on motivation and encouragement of individuals & groups; the second two focus on how to create an overall environment that supports change:

1. **Encourage** – these are the broad range of government policy tools and actions that can be used to support change. It is useful to understand some of the ways policy instruments can work in different contexts and as a combined package
2. **Enable** – this recognises there are often practical and structural barriers to change and considers how these can be addressed
3. **Create consistency** – this recognises that there needs to be consistent messaging from major influencers in the system if change is to be supported. This includes ensuring government departments do not inadvertently work against one another and that other key organisations such as sector groups are also supporting the change.
4. **Empower communities** – assessing options to empower communities includes considering ways to maintain ongoing engagement, debate and participation in the change process.

A summary of the material presented in slides 30 – 33 is presented in Table 1 (facing page)

Assess		Example considerations	Options
Motivate people	Encourage	<p>How does the context and character of the community affect what options would be best to use?</p> <p>How can these instruments make better use of behaviour change ideas (e.g social norms, mutualism?)</p> <p>What instruments need to work in tandem with others?</p> <p>What is already being used?</p>	<p>Legislation</p> <p>Regulation</p> <p>Property rights</p> <p>Incentives/disincentives</p> <p>Information &amp; Awareness</p>
	Enable	<p>What are the practical &amp; structural barriers to change that people face?</p> <p>What are the choices available to different sectors of the community?</p> <p>How does regional government contribute to these barriers and choices?</p>	<p>Changes to:</p> <p>Networks</p> <p>Technologies</p> <p>Capacity &amp; Resources</p> <p>Skills</p>
Create climate for change	Create consistency	<p>Are the actions and policies of different departments in GWRC consistent or in conflict?</p> <p>Are the actions and policies for change consistent across different levels of government (national &amp; local) in keeping with the change?</p> <p>Are the actions and policies of other major authorities working to support change?</p>	<p>Align policies and actions across government departments, agencies and other 'leading' organisations</p>
	Empower communities	<p>How can you maintain a climate of ongoing debate, discussion, learning and collaboration?</p> <p>How will public views be incorporated in decisions?</p>	<p>Collaborative community based decision-making – e.g. Ruamāhanga Whaitua committee themselves!</p> <p>Public forum, opinion polls</p> <p>Community based innovation diffusion groups</p>

Table 1 – Example considerations for assessing options

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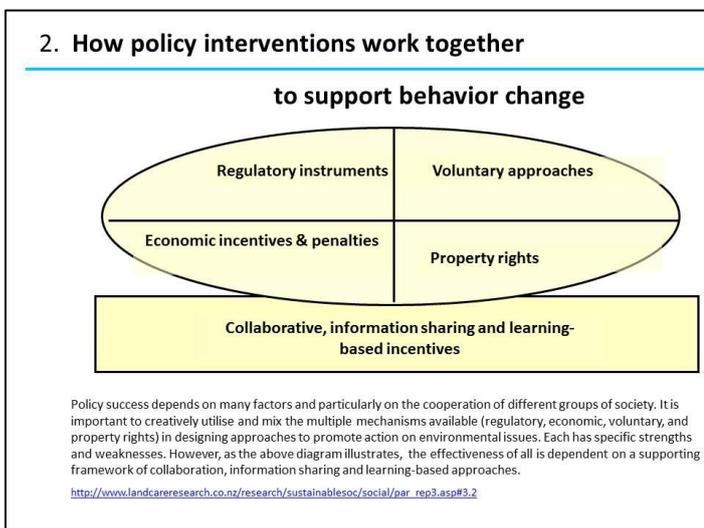
Empower communities	Considerations	Options
Facilitating collaboration, and gaining traction for change	How can you maintain a climate of ongoing debate, discussion, learning and collaboration?  How will public views be incorporated in decisions?	Collaborative and supported community based decision-making – eg. Ruamāhanga Whaitua committee themselves!  Public forum  Opinion polls  Community based innovation diffusion groups

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## Looking more closely at how policy instruments work

Change planning involves consideration of the different policy measures that might be available. Policy success depends on many factors and particularly on the cooperation of different groups of society. It is important to creatively utilise and mix the multiple mechanisms available (regulatory, economic, voluntary, and property rights). Each has specific strengths and weaknesses and can support different aspects of the change equation at different times (i.e. understanding, ability and incentive). However, the effectiveness of all is dependent on a supporting framework of collaboration, information sharing and learning-based approaches.

Slide 35 (source Young et al. 1996)



Some rules of thumb about different policy instruments:

### Regulation

Regulation can be regarded favourably as creating a level playing field for all and can help counter other negative drivers that undermine an individual's desire to make changes. However, they can also be regarded unfavourably in which case they create antipathy and resistance to change. Some of the contextual factors that influence how well supported a regulatory approach may be are identified below:

Favoured when....

- Compliance is simple
- Applied evenly across areas and groups
- The community is fairly homogenous and all have "skin in the game"
- The situation behind the regulation is well understood.

Not popular when...

- Appears to be dictated by an interest group outside the affected community
- It affects some significantly more than others
- The situation is complex making it hard to create unambiguous regulations leading to uneven compliance
- Lack of trust in the basis for the regulation.

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**No one instrument is better than another –**  
can all work differently depending on context.

Some rules of thumb....

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Popular where....	Not popular where...
<ul style="list-style-type: none"> <li>➢ Compliance is simple</li> <li>➢ Applied evenly across areas and groups</li> <li>➢ The community is fairly homogenous and all have "skin in the game"</li> <li>➢ The situation behind the regulation is well understood</li> <li>➢ Can help counter 'levers' in other parts of the system</li> </ul>	<ul style="list-style-type: none"> <li>➢ Appears to be dictated by an interest group outside the affected community</li> <li>➢ Uneven application</li> <li>➢ Complex and uneven compliance</li> <li>➢ Lack of trust in the basis for the regulation</li> </ul>
"Creates a level playing field"	"Creates antipathy and resistance to change"
Note: you can regulate for outcome (if you want to encourage innovation) or process (if you know that particular processes lead to better outcomes in general)	

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Note, it is possible to regulate for outcome (if you want to encourage innovation) or process (if outcomes are difficult to monitor and known processes are likely to lead to better outcomes). For example, councils regulate water users by amount of water they take (process) rather than on whether fish populations are healthy (outcome).

**Voluntary change**

Positives:

- Approaches leading to voluntary change can generate good information dissemination & awareness raising
- Good in a policy mix
- Good for exploring new areas

Limitations:

- Most challenging where there is little private benefit
- Can lack credibility
- Can result in uneven change

**Property Rights**

This refers to the allocation of rights and responsibilities to individuals.

Positives:

- Can establish a value for a resource and create ownership
- Must be real market – easy to get in and out of

Limitations:

- Can be unfair to new comers
- Locks resource into value as a 'commodity'

**Activity three: Plan & Evaluate**

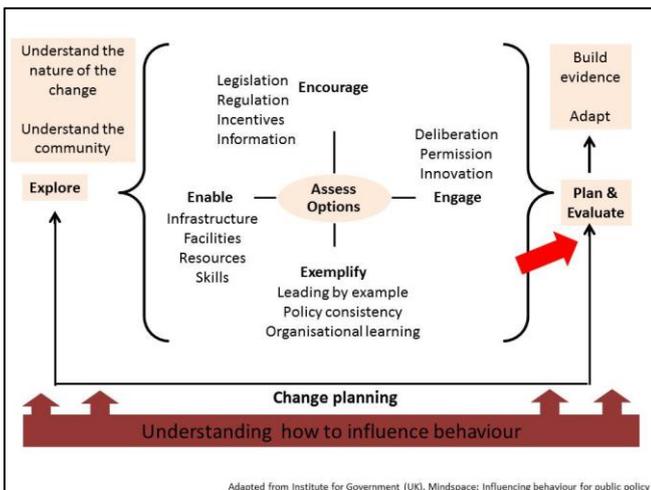
The starting point for policies and work programmes that need to engage a range of stakeholders in managing complex situations is to find ways to articulate and guide the way forward. Logic models can assist this process by encouraging those responsible to plan for results by envisioning a 'big picture' view of a project's scope of work and potential significance to various ultimate goals.

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E.g. Voluntary change	Property Rights
 <ul style="list-style-type: none"> <li>➢ Can generate good information dissemination &amp; awareness raising</li> <li>➢ Good in a policy mix</li> <li>➢ Good for exploring new areas</li> <li>➢ Most challenging where there is little private benefit</li> <li>➢ Can lack credibility</li> <li>➢ Can result in uneven change</li> </ul>	 <ul style="list-style-type: none"> <li>➢ Can clearly establish a value for a resource and create ownership</li> <li>➢ Must be real market – easy to get in and out of</li> <li>➢ Can be unfair to new comers</li> <li>➢ Locks resource into value as a 'commodity'</li> </ul>

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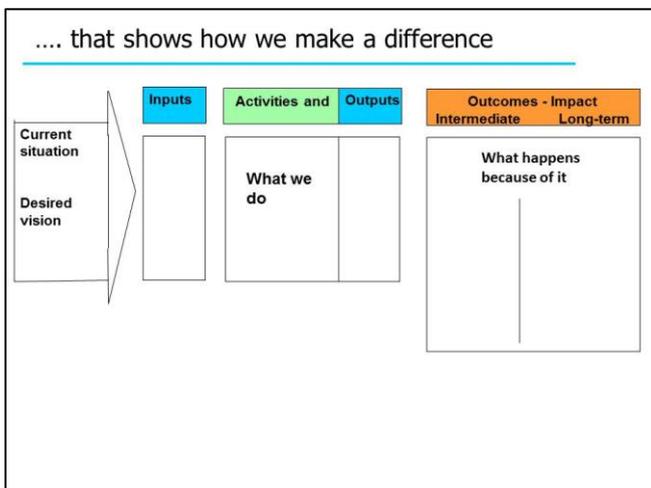
Slide 39





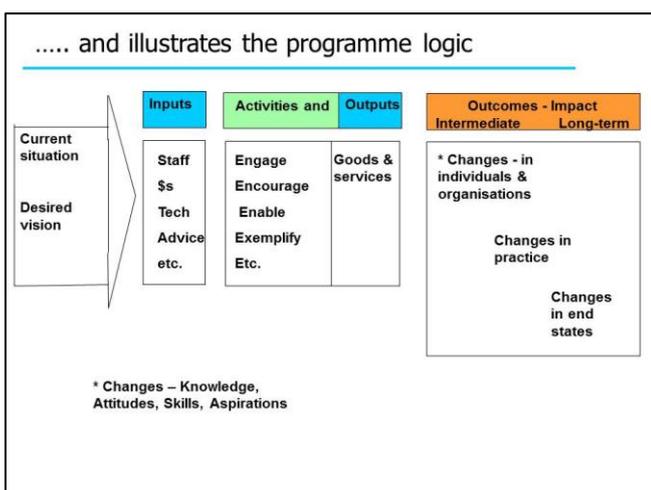
Logic models are narrative or graphical depictions of processes in real life. They document underlying assumptions about why a particular action is expected to achieve a particular result. They illustrate a sequence of cause-and-effect relationships.

The diagram on slide 44 (enlarged facing page) shows an outcomes or logic model approach to project planning. The model describes logical linkages among programme resources, activities, outputs, and audiences, and highlights different orders of outcomes related to a specific problem or situation.

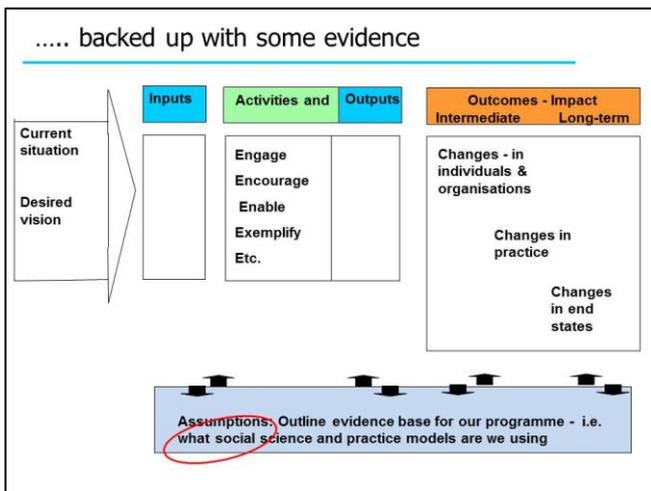


A logic model helps you track inputs, activities, outputs and ultimately outcomes. There are four basic components to a logic model.

1. **Inputs** typically include such things as money, staff, and equipment/infrastructure. Inputs are usually measured as counts, such as hours of staff time, dollars spent, etc.
2. **Activities** are the actual interventions and actions undertaken by stakeholders and agencies. Activities can range from writing a memo, to holding training workshops, to creating infrastructure. Activities are usually measured in terms of numbers e.g. numbers of meetings held with communities.
3. **Outputs** are the tangible results of the major activities undertaken. They are usually measured by their number; for example, reports produced, newsletters published, numbers of field days held.
4. **Outcomes** are the desired states of the community, biological system or production sector which is the aim of the programme or policy. Examples include increased ecosystem health, native fish or invertebrate numbers, crop production supported by more reliable water supply, or local communities more aware of and contributing to reduced contaminants. Outcomes may be short-term, intermediate and long-term, or just intermediate and long-term. A long-term outcome often has intermediate outcomes that are steps along the way. Intermediate outcomes are especially useful when it is expected that ultimate outcomes may not be



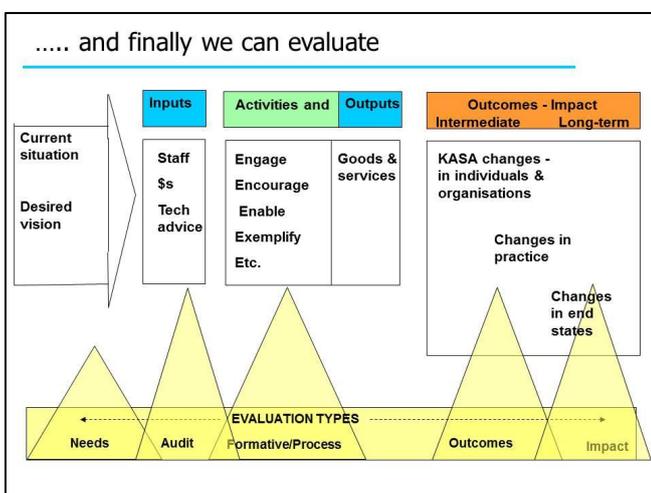
Slide 43



evident for some time. Short-term outcomes may include initial changes that highlight stakeholder awareness and the development of capacities and skills that can support subsequent practice and behavioural changes.

Outcomes can be described using SMART principles (specific, measurable, attainable, relevant and time-bound). This will help with assessing progress along the way. This is particularly important for outcomes that are complex, and subject to multiple interpretations.

Slide 44

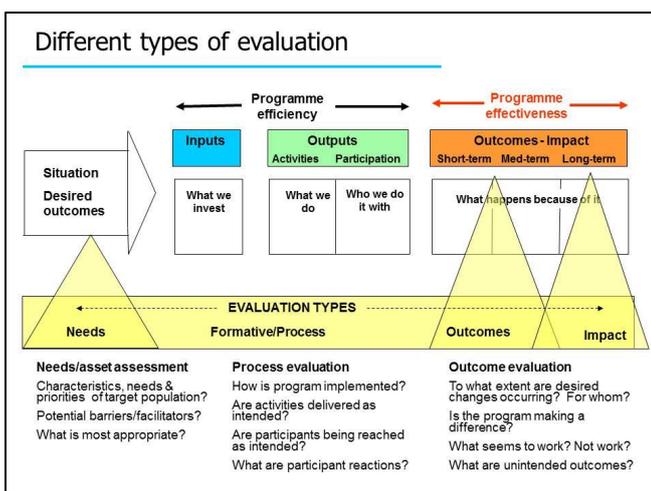


Tracking progress

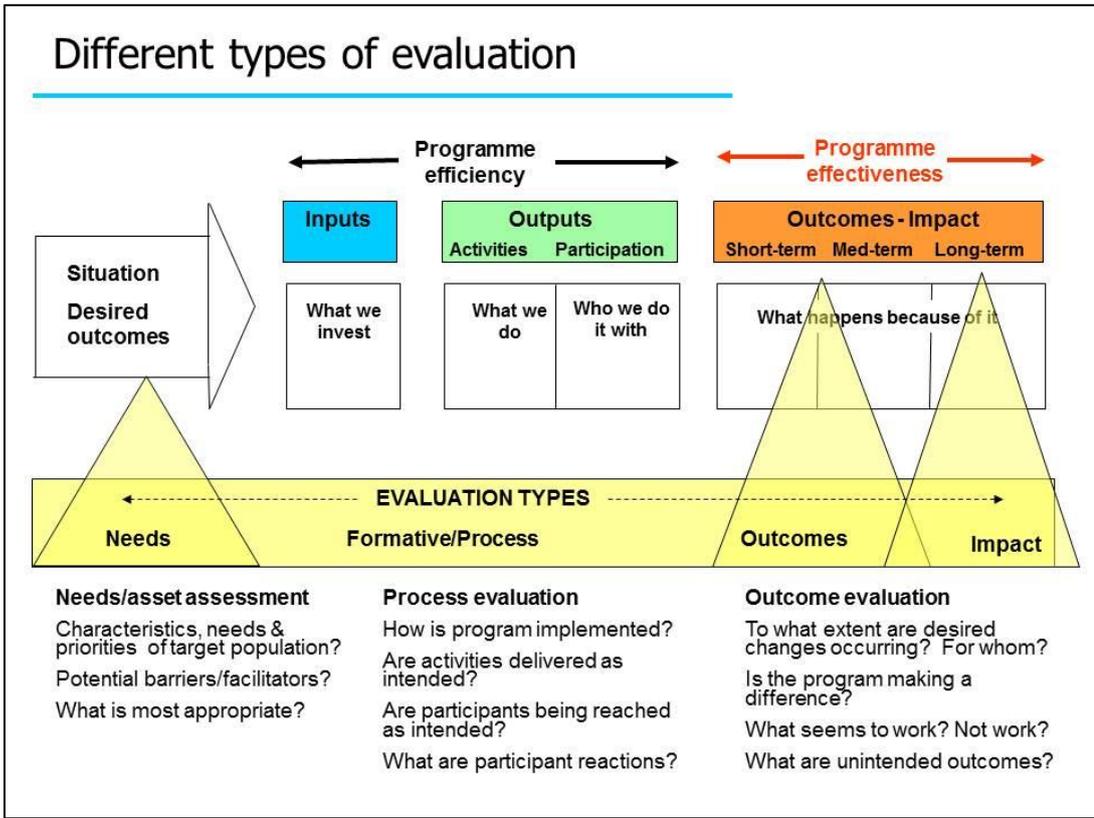
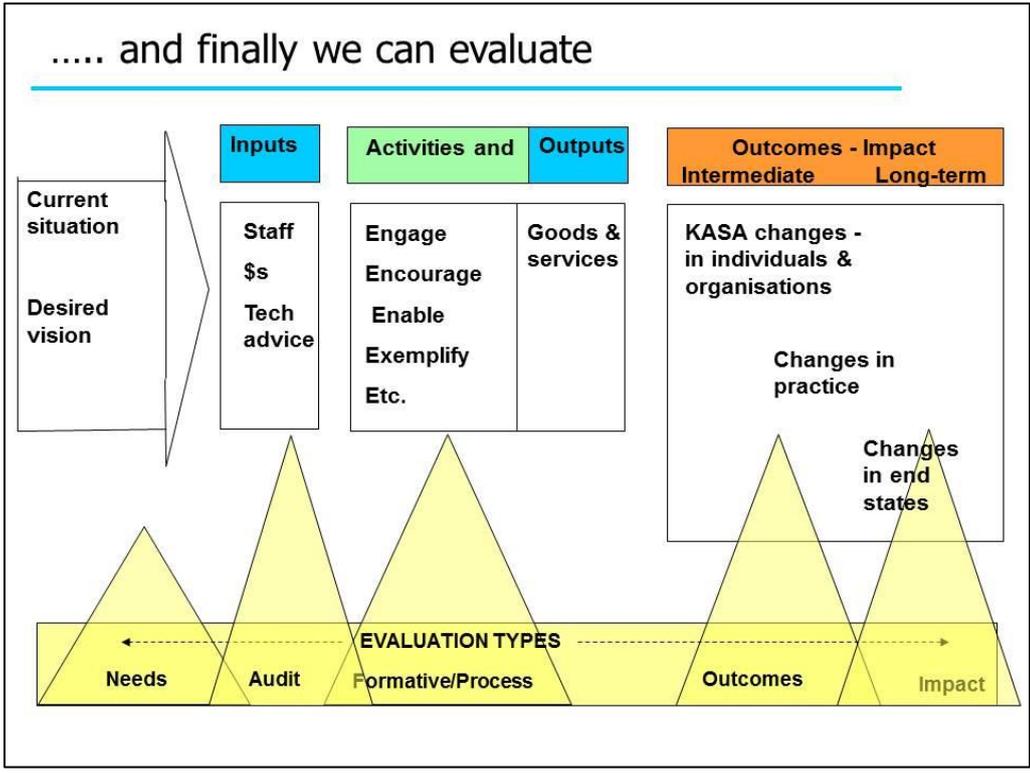
Once a project has been described in terms of desired outcomes, **critical measures of performance** can be identified so that monitoring and evaluation can take place. The main areas for monitoring and evaluation typically relate to the main four components i.e. inputs, activities, outputs and outcomes. Measures for each of these may be both quantitative (e.g. numbers of meetings held) or qualitative (feedback from people on an issue).

In slide 44 the acronym KASA refers to changes in knowledge, attitudes, skills & aspirations. These are the most likely changes that will be first observed. It is impossible to measure everything, so it is important to identify the vital few measures and indicators that can jointly provide a general assessment of performance of the initiative.

Slide 45



Evaluation comes in many different forms and can be useful to every stage of programme planning and delivery. Slide 45 (enlarged facing page) illustrates different types of evaluation to contribute to the early stages of programme planning such as situation analysis (e.g. needs assessment), later stages of monitoring programme influence and effectiveness (e.g. formative evaluation) as well as measuring achievements and outcomes.



## 5. Workshop conclusion

[Slide 46]

The workshop was designed to support the Ruamahanga Whaitua Committee ongoing work, reviewing options for ways to promote better water management. The meeting took three hours and covered a wide range of material. The later, evaluation section was reviewed more briefly than earlier material. All the information was compiled into a resource document for the committee.



**What do you want to know more about to better understand how to support change in the Ruamāhanga?**

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## 6. References & further resources

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The following *Learning for Sustainability* portal pages provide annotated links to a number of related external on-line resources:

Behaviour change – guides to approaches and theories [learningforsustainability.net/behaviour-change/](http://learningforsustainability.net/behaviour-change/)

Guides to help initiate and manage multi-stakeholder processes [learningforsustainability.net/behaviour-change-guides/](http://learningforsustainability.net/behaviour-change-guides/)

Logic models – guides to developing and using these, including theories of change <http://learningforsustainability.net/logic-models/>

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