Comment by Jean-Philippe Venot

This is a paper that investigates the use of a serious game to discuss issues of water management at watershed level in Kenya. I enjoyed reading the paper; a lot of work has gone into the design, implementation and analyze of the research. I think this type of paper reflecting on the use and scope of such participatory approaches for improving water governance is important.

That being said, I feel the paper shares what I see as a bias in the existing literature on games for sustainable natural resources management, that is, a rather positive outlook on the changes/transformations these games may trigger and a focus on their promises and potentials - that is only partly supported by what is actually described in the papers (that is what happens during “game sessions” as opposed to “in the real world”).

Response: Dear referee, thank you for the acknowledgment of the relevance of our research exploring the potential of participatory approaches such as serious games for improving water resources management and governance. We plan to address your major five comments and specific comments as shown below:

(1) MAJOR COMMENT 1: Better clarify how the process they steared was fundamentally different (or not) from other more classic participatory approaches notably in relation to co-production of the tool (as opposed to a contrasting active game with passive attendance to workshop).

Line 66 and following: The authors attribute some of the shortcomings of IWRM to the fact that IWRM projects and policies make use of “classic” participatory approaches that would not really allow different actors to engage with the “wicked problem” at hand. In other words, participation in IWRM is not real participation. This is a well-known critique of IWRM, which I share in part, but I think there is a danger of building a strawman for the wrong reasons here, just to make the point that games do not share these shortcomings. I agree when the authors answer the previous community reviewer that games allow a different, more active, mode of engagement than classic workshop based that use power point presentation. But there are many ways to conduct workshop that can provide meaningful engagement of participants: participatory mapping, experimentation with art-based visual, etc. are some of these options.

I think the issue is less about the modalities of facilitation of workshops (and the tools used) than how multiplicity of knowledge is handled and how/who decides on the terms of the debate. Notably, who ends up deciding what the ‘wicked problem’ is. Games can actually reify the ‘wicked problem’ on the basis of an outsider/expert view; if so I would argue that the nature of engagement of participants remains as limited as in other approach or at least is constrained in major ways.

What bothers me is that the phrasing of this paragraph (and many others) seems to indicate that the authors hold the view that there is ONE “wicked problem” (likely a lack of coordination between downstream and upstream users). It makes it seem as if this problem existed almost independently of the people who participate, being identified à priori by a subset of actors (though there is scope for refining the problem at hand through the use of the game itself). If that is the case, then, the game developed is likely to have very similar shortcomings than “classic” IWRM based approach.

I think the critique of IWRM approaches would be more powerful and convincing if it were to be done at the level of how are the terms of the debate/participation set and by whom (as opposed to looking at the specifics of interactions and their presumed passivity), and then to show, how this particular study did something different, hence created the room for another type of engagement by the people who participated in the game session. The point here is to pay a bit more attention to the politics that framed the entire research process and operated silently in the background as opposed to take the dynamism of the game sessions as a sign of pro-active engagement and changes to come in the watershed. The authors may want to look at https://hess.copernicus.org/preprints/hess-2023-
Response: Thank you for the detailed comments. We agree with the referee that the lack of ‘real participation’ is a well-known critique on IWRM. We are happy to see the referee agreeing with our response to the community comment that serious gaming is a different, more active, mode of engagement than classic workshops. Interestingly, the reviewer also confirms that there are many ways of conducting workshops that can provide meaningful engagement of participants (particularly the inclusion of ‘hands-on’ interactive activities in the workshops e.g. participatory mapping, experimentation with art-based visuals, etc). This re-affirms our arguments on the need for ‘hands-on interactive activities’ in the conventional participatory approaches. And not just the inclusion of ‘hands-on interactive activities’, but those activities should yield results that can inform or indicate how people interact with their environment and opportunities for collectiveness and collaboration. The fact that there are no uniformity/standard ways of conducting participatory engagements in IWRM demonstrates the need to develop and evaluate different participatory approaches. Serious gaming is one of the possible strategies to be investigated more deeply given the growing complexity of human-environmental issues.

Given the context of the case study area, where there have been water-related conflicts annually (even fatal conflicts), and the fact that under normal circumstances, the downstream communities do not sit or see eye to eye with the upstream communities (see Ln 121-124), developing and testing an alternative participatory approach such as a serious game is timely. This is especially so since, the River Basin Organisations (i.e. WRUAs) in the case study area have been in existence for over 30 years now, and mostly the communities have been exposed to the conventional engagement approaches e.g. workshops, community discussions, group discussions etc (See Ln 184 - 187). And yet the situations are getting worse each year, with the national government ‘reacting to calm the conflicts’ but with no permanent solutions (See Ln 189 - 198). We will revise the manuscript to make the contexts more clearer.

In conventional engagement approaches for IWRM, the leading scientists have developed hydrological models that are presented to the stakeholders/participants to shape human-water discussions. Different scenarios can be tested and results presented during a workshop to allow deliberations on the way forward towards resilience. This in some way has a sense of ‘top-down strategy’. In a serious gaming process, all stakeholders (scientists/non-scientists/ including low-educated) define the problems, priorities, and test scenarios themselves, and ‘revise’ their perceptions based on experiences from playing the game with less ‘scientists’ input’. Sometimes, the results from a gaming experience can be different from ‘scientists’ expectations as game participants bring ‘reality into playing the game’ as opposed to a ‘stylized model’. During game sessions, it has been very common to hear stakeholders link game results to events in real life (e.g. “oooh, could that be the reason, the river stopped flowing at point xxx”….”I see the reason why the rivers these days are brown these days compared to clean water we experienced during our primary school days, soil erosion from expanded cropland areas...”). The involvement of catchment stakeholders right from game conceptualization to implementation, reverses the engagement to a ‘bottom-up strategy’. The ‘gamification’ component is an important aspect, in our own opinion, any model can be ‘gamified’ to allow ‘local stakeholders’ to learn and understand the ‘scientific models work (but scientists must be willing to ‘unlearn’ to ‘learn’). It is this increased system understanding that can inform realistic catchment management plans. We will revise the text to expound our argument on IWRM short comings and also reflect more on serious games short comings and opportunities.
Regarding the referee’s comment that games can actually reify the ‘wicked problem’ on the basis of an outsider/expert view we argue is not the case with serious gaming. We argue that the outsider view is highly managed in the gaming sessions. (See Ln 88) The design of a serious game is an iterative process that evolves with the participative process whereby local stakeholders are actively involved in defining the ‘wicked problem’, and designing the questions, simulations, and outputs. During actual gameplay, the outsiders/experts are more ‘facilitators’ than the ‘leads’. Hence the nature of engagement of participants is not as limited as in other conventional approaches e.g. workshops where scientists take the lead (see our responses to the community comment on this point).

We do not hold the view that there is ONE “wicked problem” in the case study area. We have actually defined what we mean by ‘wicked problems’ (see Ln 47-51). Just like any other modelling logic, the game tries to simplify the representation of the socio-environmental dynamics. We have stated in Box 1 that the ENGAGE game mimics the dynamics observed during the dry seasons in the upper Ewaso Ng’iro catchment. The downstream-upstream reactions result after the processes both in the socio and physical dynamics (it is not just a lack of coordination between upstream and downstream communities, but an array of possibilities or outcomes that can be observed with serious games).

We agree with the referee’s comment that the critique of IWRM approaches would be more powerful and convincing if it were to be done at the level of how are the terms of the debate/participation set and by whom and the politics that framed the entire research process. As mentioned earlier, the outsider has no exclusive power to dictate the process. We will revise the manuscript to make this important aspect of serious gaming. Right from the conceptualization of the game, the local stakeholders have been involved in defining the key actors, resources, dynamics, and interactions. And this is one of the ways that games differ from other conventional participatory approaches.

The pre-print shared by the referee ter Horst et al. (2023), actually re-affirms the politics around conventional approaches and modelling where the ‘outsider’ e.g. a hydrological scientist/modeler is the one defining the model components depending on the area of interest. This has been the norm for years, and conventional models have been used to shape discussions on water resources management and governance. It is very common to have presentations of model results e.g. during a workshop. Most of these models are ‘black-boxed’ and most of the specifics are left to the modelers. The opposite is true in serious gaming, the whole process is ‘open’ and defined in collaboration with stakeholders (scientists and non-scientists) at all stages, conceptualization, refining, and implementation. In other words, you cannot present or ‘force’ a game, that participants have no clue about or are not interested in (the game must mimic the real socio-environmental context of the targeted stakeholders). We will revise the text to include a paragraph reflecting on the politics around conventional modelling and gaming, and expound on ‘black-boxed’ and ‘open’ approaches.

We however recognize advanced game versions that go beyond a physical board game or use of cards into developing an Agent Based Model. ABMs can be helpful in understanding the ‘system dynamics’ through computer simulations, however, in situations where the interest is to explore ways of peaceful coexistence between worrying communities due to hydrological dynamics (i.e. strengthening engagements), the option of using ‘real agents’/real participants in a ‘safe environment’ remains the better option since stakeholders can express their interests, concerns, test scenarios and explore possible way forwards. Therefore, investigating the potential of serious games in the context of strengthening stakeholders remains useful, which can be seen as advances in the field of water resources management and governance.

(2) MAJOR COMMENT 2: They could also engage a bit more with the risks/limitations of games that have been discussed in the literature

Line 93 and following. The way to depicts serious games and what they can help achieve is overwhelmingly positive. I think this reflects rather well the existing literature on serious games, most of which is actually written by people involved in their design and implementation – which may make them a bit less likely to adopt a critical stance towards these tools. Yet, I think the authors could engage with some of the limits of games that have been discussed in the literature, notably by
members of the ComMod collective they are likely to know. There is some work in relation to conflicts and existing relations of domination (Barnaud & Van Paassen, 2013; Bécu et al., 2008; Mathevet et al., 2014), on the roles and postures of facilitators and modelers (Barreteau et al., 2003; Jonsson et al., 2007), or the risk of manipulation (Barnaud et al., 2008; Halbe et al., 2018). A recent overview recognizes “potential biases” (Barreteau et al., 2021). See also (Jonsson et al., 2007) on whether games are “truly participatory”. Also, the fact that games simplify complex problems (line 102) is presented as a positive thing (I suspect in relation to legibility of the said problem). This may be the case, but it also raises a lot of questions: who decides what is represented and what is not, what are the implications of those choices… In other words, what are the politics of the game itself? These questions ought to be at least mentioned I think.

Response: Thank you for the comment. This observation on positive look on serious games was also raised in the community comment. I think the context of the study area where there are complex water-related tensions and conflicts, may have led to the language used sounding positive. Especially given that the River Basin Organisations have been in existence for over 30 years (engaging stakeholders using the conventional engagement approaches) and the passion for exploring alternatives to stakeholder engagement may sound overwhelmingly positive. This will be relooked and expounded so that the point is clear. We agree with the referee’s comment regarding diving deeper into discussing limitations around serious gaming. We appreciate the sharing of specific literature that has delved into this discussion. We will provide a detailed review of the limitations of the gaming approach in the revised version, both in the introduction section and in reflecting game results further to accommodate reported game limitations.

(3) MAJOR COMMENT 3: Provide a bit more information on the methodology (including the link between the game and the computer model)

I feel there is a need to clarify the methodology. Notably, in the first paragraph it is not clear to me what the “solution space” of the game (what are ‘responses’ to rules?). It is also not clear what the authors mean by “overall performance of the game results” (how is performance assessed, is it in relation to water availability/sharing? In relation to how active participation was…)? In relation to that, section 2.4.3 discusses a modeling of the ‘game solution space’ and mentions a 1000 runs but what are those runs? I assume the authors used both a physical game and a computer version of it and that they used the later a 1000 times generating random actions; this to situate the results of the specific game sessions in the “realm of possible”. But I can only assume this: the relations between game and model need to be made explicit and the authors need to explain, why the use of the model was useful, what did it allow to do?

Response: Thank you for the comment. In Ln 263 we have described the Solution Space as … an envelope within which ENGAGE games operate, by understanding the minimum and maximum values of the various game metrics … (i.e. the space of minimum to maximum of game results). The ‘overall performance’ mentioned in Ln 137, refers to actual game results plotted within the Solution Space. In other words, the general trends observed in the different rounds of the game. We will revise the wordings to give clarity on what we mean by the ‘Solution Space’.

(4) MAJOR COMMENT 4: The mechanics of the game in the core of the paper (few readers are likely to read the supplementary material)

A lot of key information on the mechanics of the game (including how the connections between actors and water flows are conceptualized) are included in the supplementary material. I think only few readers are likely to read the supplementary material and it might be a good idea if the authors extended the presentation of the game in the core of the paper slightly. I’m also not sure the game should be presented in a “box”. Normal section numbering would do. In terms of presenting the game, I think it would be interesting to have a sub-section describing the board and the players, another one describing briefly the different action/decision each actor can make and how this impact water flows (at a conceptual level; not entering in the details of the calibration), and another one on the “typical” process followed during each session – this is already in large part in the box. I think the
graph on the system dynamic modeling could support this presentation of the game, as opposed to being presented in relation to the “solution space” of the game. The supplementary file can then focus on the calibration aspect. Presenting the game as such would also allow having part of the discussion engaging with the key stage of game validation that is not really described at the moment (what hypothesis the authors made were validated, which one were not…? for instance deciding that water dries up from downstream when people abstract water from upstream is a strong choice. I would be curious to know if that triggered some discussion also because, materially, it involves taking a marble from one area of the board to put it in the other one, which is not really how water abstraction works in the real world.)

Response: Thank you for the comment. This will be considered in the revision. We can expand the game description in Box 1. We also agree with the suggestion to remove the ‘box’ and have the game description in normal numbering and possible with sub-headings:

**Gameplay description and process**

1.1. Description of Boardgame and players
1.2. Key actions and key outcomes expected in the game
1.3. Potential impact on water resources availability
1.4. Possible reactions expected by actors and feedback

Regarding the comment on validation, this is described in sub-section 2.3 (Game pre-testing and validation). The type of validation described here is ‘expert-based validation type’ where the catchment stakeholders are involved to confirm the processes and game outcomes and assumptions made (i.e. legitimacy, credibility and salience of the ENGAGE game). The game tries to mimic real actions/reactions of actors during dry seasons, and the game results should also mimic the real observations which have to be confirmed/validated by the ‘local stakeholders’. This is a long iterative process, involving several game trials, refining until ‘key human-water issues’ are well represented and polished. For instance what you have referred to as……deciding that water dries up from downstream when people abstract water from upstream….. was not a decision made solely by the ‘scientist’. But a collective reflection on how to represent the ‘real processes’ in the study catchment e.g. rivers drying from the bottom-upwards. This is because of excessive river water abstractions in the upstream zones. In this case, whenever a marble is taken out of the river, the facilitator pulls the sting to mimic reduced flows, which ends up with no flows in the downstream zone. Whenever a marble is taken out, it is assumed as ‘a hydrological loss’ (i.e. ‘enhanced evaporation’) due to higher atmospheric energy (PET) as you move from upslopes to downslopes (arid zones). Some of these technical explanations including how land conversion from natural vegetation to cropland reduced dry season flows are explained in the supplementary material.

(5) MAJOR COMMENT 5: Finally not only discuss the fact that the game seem to have enhanced communication among participants and their promises in general, but also issues related to the politics of the game themselves, that is, the extent to which the representation of the system was accepted/validated/discussed by participants and the scope for the game to change the broader rules of the game and conditions of operation of the WRUAs.

The discussion focuses on what has happened during the game session and it is important. The game sessions are likely to have improved communication and cross learning among participants but to which extent did it actually provide ways to solve the structural issues faced by WRUA that are identified in line 188 (weak enforcement of policies/laws, water abstraction regulations, water metering requirements, protection of riparian corridors/forested areas, etc.)? Such structural issues are likely to relate to the institutional strength of the WUAs, how legitimate it is vis-à-vis other actors, the (human) and financial means it has… Even if it is not the objective of this paper to assess the scope of the game to change things in the real world, I think it is important for the authors to engage in a discussion around the promises and potential of games in relation to these structural hurdles.
Most of the literature on games tend to focus on the design process and on what is happening during game sessions, and that’s why most of the literature is positive: there is a lot of interesting things happening, some of which do have transformative potential. But in doing so, the game and the overall research process is also “removed” from the overall political-economic context in which it is implemented while this context is pivotal for the promises of the game to actually materialize or not. While describing the overall political-economy that influences water management in the case study area is beyond the scope of this paper, I think it is important the authors reflect a bit on it and how this might influence the future of the game outcomes - to avoid falling in the trap of highlighting promises that may never materialize.

Response: Thank you for the comment. The discussion strongly reflects on the potential of serious gaming as an alternative, given the context of the study area. We will revise the discussion to also reflect more on the WRUA structural issues. As mentioned above, the WRUAs have been in existence for over 30 years now, stakeholders engagement has mainly be through the conventional participatory approaches. WRUAs are expected to engage all stakeholders, solve conflicts, equal access to water resources etc. It is also paramount to mention that the membership to WRUAs is community-based (i.e. the executives are elected by the communities). And all game participants were members or belonged to respective WRUAs. The structural issues of the WRUAs and how gaming can ‘change WRUA structural aspects’ are beyond the objectives of this study, but I believe we can use game results to speculate. There are five interacting phases in the public debate on natural resource management: (A) agenda setting, (B) shared understanding, (C) commitment to goals, (D) means of implementation, and (E) re-evaluation based on monitoring. With only ‘three pilot game sessions’, this study focussed on the first two levels of stakeholders’ engagement; (a) agenda setting, (b) shared understanding. Hence the focus on communication (subtractive dynamics e.g. a decrease in selfishness, and constructive dynamics e.g. a build up of collectiveness, knowledge gain etc), active participation, type of decisions made and their implications on water resources availability, etc. However, we can reflect the game results further to discuss and speculate on the other three levels (c) commitment to collective action, (d) means of implementation), and (e) re-evaluation. We have already alluded to this in Ln 465-468. It is also paramount to mention, that there is another paper (about to be submitted) with more ENGAGE gaming sessions, that has gone further to follow up the game participants 5-7 months later after playing the game. It captures changes in perspectives before and immediately after playing the game, and several months later.

I also have some specific comments:

Line 21 (Abstract): What do the authors mean by “shared understanding”, and understanding of what exactly? Could it be clarified?

Response: Thank you for the comment. This refers to the second level of five interacting phases in the public debate on natural resource management. After level one, agenda setting (acknowledging there is a problem), the second level is “shared understanding” - understanding its causes and consequences. This has been mentioned in Ln 465.

Line 27 (abstract): This sentence seems to point to the fact that the objective of the study was to assess the potential of the game to strengthen stakeholder engagement “next” (that is, after the game sessions were held). I do not think the paper demonstrates this. It demonstrates rather convincingly that there was active engagement during the game session but does not engage with whether or not this translated in strengthened engagement outside of the game session. I understand from the exchange with the community member who commented on the paper that this is not the point of this particular paper but then, maybe this sentence needs to be rephrased to indicate that what is being described in the dynamics of engagement during gaming session. Similarly, some clarity may be needed on line 125.

Response: Thank you for the comment. This comment is related to the immediate comment above. In this study, we did not design to have comparisons e.g. comparing engagements with and without gaming sessions. Rather, we focussed on engagement patterns observed during gameplay given the
context described in the paper and in the above responses. In this paper we did not follow up the engagements outside the game environment, but three pilot game sessions provide important highlights that can help reflect on the potential of using serious gaming, given the context especially the use of conventional participatory approaches that have been in existence for over 30 years. We will revise the text to make it clear that the ‘engagement’ refers to the dynamics observed during the game.

Line 47. The term “wicked problems” was first coined by Horst Rittel and Melvin Webber in a 1973 paper, which would be good to mention.

Response: Thank you for the comment. This reference will be included in the revised version.

Line 54 to 56: It is not clear how the 5 interacting phases of public debate had a bearing on the research conducted. Why do the authors refer to this work, and how useful is it to understand the process of designing and implementing game sessions? This is clarified around line 95. Consider slight restructuring on when this is mentioned so as to avoid repetitions?

Response: Thank you for the comment. This is an important point and we will revise to avoid any repetitions. In the public debate on natural resource management, with or without the gaming, strengthening stakeholders’ engagement is likely to follow the five interactive levels (A) agenda setting, (B) shared understanding, (C) commitment to goals, (D) means of implementation, and (E) re-evaluation based on monitoring. Gaming approach is coming in as an alternative to the conventional approaches, and testing the potential of serious gaming especially in the first two phases was a key focus of this study.

Line 58 and following: I would not call IWRM an “approach”. In my view it consists rather in a policy and discursive model than an approach per se.

Response: Thank you for the comment. This is a good point of reflection. We will relook again on how we are using the term and revise.

Line 63: can the authors briefly say what successes were actually achieved? In what terms was implementation successful and in which contexts?

Response: Thank you for the comment. The successes of IWRM has mainly been reported on balancing the social, environmental, and economical issues of a basin or catchment. However, the power imbalances, inclusion, lack of common perspectives, collective actions, sustainable collaborations etc, remain a huge challenge. We will include the reported successes and their contexts in the revised version.

Line 107: improved efficiency of what?

Response: Thank you for the comment. This refers to improved ‘efficiency of strategies’ during stakeholder sessions (e.g. from low efficient strategy to a high efficient strategy i.e. revising individual/group strategies). This will be revised accordingly.

Line 101: what does “this” relate to?

Response: Thank you for the comment. I do not see ‘this’ in Ln 101, could you be referring to Ln 112? If this is the case, ‘this’ relates to ‘studying communication patterns’. The phrase will be revised accordingly.

Line 112 and following: I am not sure what those sentences are meant to bring to the paper. They look as quite general statements in relation to games (what others have said on games), but it is not clear how much of this is actually being used in this particular study. Maybe they do not belong here
but should come earlier in the paragraph? I have a similar remark on communication: are the two sentences on that specific topic meant to discuss game “in general” or has this topic of communication during game played been a specific entry point of analysis of what has happened in the game session organized in this study?

Response: Thank you for the comment. The sentences appear immediately after describing the importance of ‘communication analysis’ especially during engagement sessions. These sentences are important to reflect on in the introduction section because, during communication/engagements this could be in line with relational logic (value attached on how stakeholders relate to one another) or instrumental aspects (economic perspectives) or both. Furthermore, it would also be important to study communication patterns and emerging patterns by looking further into ‘pressures’ or ‘external factors’ influencing changes in strategies and decisions made by participants. For instance ‘a participant revising strategies due to a government fine. This has been described in Ln 310, Ln 487, Ln 547-549. Yes, the communication analyses focussed on what happened during game sessions. We will relook at the sentences again to rephrase and highlight their importance.

Line 132: what do the authors mean by “sentiment” and how did they assess it. What do they mean by “active” participation and how was it assessed.

Response: Thank you for the comment. Sentiments refers to ‘verbalized statements’ expressed during gameplay. As stated in Ln 154…. The game sessions were video recorded to allow post-game analysis of sentiments. Each of the extracted sentiment/statement was subjected to a scoring scale described in Table 1. Active participation refers to ‘enhanced communication among participants’-which was assessed by analysing the type and direction of sentiments e.g. directed to other participants, to the facilitator or as a spontaneous reaction to game outcomes.

Line 145 and following: why does the discussion focuses on “subtractive dynamics” only and not on “constructive dynamics”?

Response: Thank you for the comment. It is not very clear what the referee means with only focussing on ‘subtractive dynamics’. Ln 145 is an extended description of ‘counterfactual thinking’ concept. For instance, conflicts and tensions would trigger thoughts about alternatives to these problems. If that is the case, then it is logical to assume that subtractive dynamics such as selfishness, tensions, conflicts would reduce with the build up of constructive dynamics such as knowledge gain, collectiveness, cooperation, collaboration etc. We have not only focussed on subtractive dynamics, if you look at figures 7 and 8, we describe and discuss both subtractive and constructive dynamics.

Line 160 and following: how many WRUA are there in the sub basin/case study area? One for each sub-river?

Response: Thank you for the comment. There are seven WRUAS in the selected study area. Yes, one WRUA represent one sub-river area.

Line 177 and following: This points to my first major comment. How was this suite of problems identified and by whom? And more specifically, have the people who participated to the game sessions been involved in the definition of these problems. This needs to be clarified as it is largely from this that one can assess to which extent the process followed is fundamentally different from classic “participatory activities” implemented under IWRM processes.

Response: Thank you for the comment. These comment has been addressed while responding to major comment no. 1. Yes, the catchment stakeholders were involved in definition of game components, refining of rules and processes that would increase interest in playing the ENGAGE game. However, it is important to point out that the actual participants involved in the three pilot game sessions were different from those involved in conceptualization of the game. As the referee mentions in this comment, this is one of the aspects why serious gaming approach differs from other
conventional workshops where the ‘scientists’ seem to take full control. In gaming concept, the ‘scientists’ play the role of ‘facilitators’ (from game conceptualization to actual implementation).