Author comments in response to reviewer one:

Thank you very much for your comments, which I will address below:

- 1. Thank you for this comment I have attempted to address the issue of language, particularly the use of heuristics and snowball sampling.
- 2. Yes I agree, and an example of how poor communication can lead to misconceptions has been added: p2 line 70-76
- 3. Thank you for this comment, some additional detail has been added to clarify the meaning of this diagram: p5 lines 192-196
- 4. This is a very interesting suggestion, thank you. Although it would be useful to suggest an alternative method for communicators and geologists who don't have the time to complete the full method, the central aim of this paper is to make a case for using the mental models method to improve the quality and relevance of communication between both expert and non-expert parties. As such I don't feel that I can offer a shorter or more compressed version of this method without doing a disservice to the process.

Additional comments:

P1 line 32 – yes, this has been altered

P2 line 44 – yes, a sentence has been added to clarify the meaning of heuristics (line 46-47)

P2 line 77 – yes, an example of the messages have been added (line 97-101)

P7 line 212 – yes, additional information has been added to clarify (line 248)

P7 line 224 – no, a single questionnaire is produced, additional information has been added to clarify (line 257-262)

P8 line 252 – hydrological interactions were chosen because they were unexpected, additional information has been added to clarify (line 309-311)

P8 line 260 – yes, this has been altered

P9 line 287 – yes an additional sentence has been added to provide more information about snowball sampling (line 353-357)

P13 line 403 – yes, this is an error – there is an image for 3e, but this reference does not refer to it (also this figure has been changed to Figure 4)

P 16 line 529 – yes, thank you, this was confusing – it has been altered (line 622)

Figure 1 – yes, this has been altered (Figure 1)



Figure 3 – yes, this has been altered (is now Figure 4)



Author comments in response to reviewer two

Thank you very much for your comments which I will try and address below:

In response to the statement about the influence of formal education as providing a 'base level of knowledge that scientists can relate to': I agree, formal education does provide data that the non-expert participant will use in decision making that may be considered more familiar to a scientist, but it is unlikely that that information from a formal educational background will not also be influenced by the participant's own perceptions of their environment. Thus formal educational experience (to whatever level or degree of participation) is included within the broad description of the inherent cultural and social influences that control participant interpretation of new scientific data. Additional detail has been added to clarify this point (line 93).

In response to the statement about the use of analogy: As the mental models method allows for participants to share intuitive theories in their own words during the interview stage, analogies are included in the model, however the method of the interviews also allows for the interviewer to probe certain statements in more detail if required and as such it is possible to discover if the analogy is covering another perception, or if the analogy represents an actual concept for the participants. As such, the use of analogy is not considered directly relevant to this study, as they are either exposed or incorporated into the model itself. However, addition detail has been added to clarify this point (line 251-252).

In response to the comment for clarification of the expert dismissal of the relevance of layknowledge: the sentence has been clarified to preclude individual communications, which do often value local knowledge, and clarify the classification of the non-expert approach as inappropriate in relationship to the study done by Johnson (2008) examining public participation in watershed modelling (line 154-159).

In response to the question about the place of deductive reasoning in decision making: I agree that there are other types of reasoning that are involved with decision making and have clarified the sentence to make this more clear (line 176-178).

In response to the query for more data on how the semi-structured interviews and quantitative questionnaires have been designed: yes, additional information has been provided (line 359-374).

In response to the question about the decision to employ a 3D participatory model: additional detail has been provided to clarify the inclusion of the model (line 271-276). Additionally the use of a computer model would not be suitable for issues of practicality.

Minor comments:

Line 37 change : yes, this has been altered (line 39)

Figure 2: yes, the font size has been increased as much as possible (Figure 2)



Figure 5: I have adjusted the contrast of both graphics to make them easier to see, but the coloured portion is the more important data anyway (now Figure 6 and Figure 7)



Figure 6



Figure 7

1	A 'Mental Models' approach to the communication of subsurface
2	hydrology and hazards
3	
4	H. Gibson ¹ , I. S. Stewart ¹ , S. Pahl ² and A. Stokes ¹
5	
6	¹ School of Geography, Earth and Environmental Sciences, Plymouth University,
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8	² School of Psychology, Plymouth University, Plymouth, UK
9	
10	Abstract
11	
12	Communicating information about geological and hydrological hazards relies on
13	appropriately worded communications targeted at the needs of the audience. But
14	what are these needs and how does the geoscientist discern them? This paper
15	adopts a psychological 'mental models' approach to assess the public perception of
16	the geological subsurface, presenting the results of attitudinal studies and surveys
17	in three communities in the south-west of England about their attitudes and
18	representations of the geological subsurface. The findings reveal important
19	preconceptions and misconceptions regarding the impact of hydrological systems
20	and hazards on the geological subsurface, notably in terms of the persistent
21	conceptualisation of underground rivers and the inferred relations between flooding
22	and human activity. The study demonstrates how such mental models can provide
23	geoscientists with empirical, detailed and generalised data of perceptions
24	surrounding an issue, as well reveal unexpected outliers in perception that they may
25	not have considered relevant, but which nevertheless may locally influence
26	communication. Using this approach, researchers and communicators geoscientists
27	can develop information messages that more directly engage local concerns and
28	create open engagement pathways based on dialogue, which in turn allow both
29	groups-geoscience 'experts and local 'non-experts' to come together and understand
30	each other more effectively.
31	
32	1 Introduction
33	

34 Communicating geological information about geological and hydrological hazards 35 relies on appropriately worded communications (Liverman, 2010) targeted at the needs of the audience (Nisbet, 2009). Those needs are often deemed to be what 36 37 geoscience professionals feel the public 'need to know', leading many hazard 38 messages to fall into the largely now rejected 'deficit model' of communication 39 (Sturgis and Allum, 2004). According to this That model assumes people need to be 40 educated about those areas of knowledge in which they are seen to be deficient, rather than taking into account and ignores their existing knowledge structures and 41 wider concerns or values. Moreover, the responsibility for tailoring the 42 43 communication to the target audience is often placed on the public, requiring them to 'ask the right questions' (Rosenbaum and Culshaw, 2003). This emphasis on the 44 45 public's need requirement to ask the right questions misses a bigger issue in 46 communicating geological hazards, which is namely the influence of intuitive judgments, such as heuristics (Gilovich et al., 2002), and bias in how people may 47 interpret information, especially unfamiliar scientific and technical data (Kunreuther 48 49 and Slovic, 1996). 50 51 The value in examining perceptions specifically is increasingly being recognised by 52 many in the risk communication community, including in disaster risk reduction and 53 commercial geology fields. Barclay et al (2008), for example, called for a more interdisciplinary 'disaster reduction' approach to volcanic risk communication, which 54 includes stakeholders in policymaking, and uses social and physical science to work 55 together to produce more appropriate and effective communications based on the 56 57 needs of the community. Meeting the particular needs of at-risk communities through collaboration between the physical and social sciences is now emerging as a fairly 58 59 central component of modern risk science (Donovan et al., 2012; Frewer, 2004; Lave 60 and Lave, 1991; Mabon et al., 2014).

61

The subjective nature of risk communication and understanding <u>in-among</u> both experts and non-experts is now well established (Slovic et al., 2004), but it is easy for risk communicators to focus on improving access to information from the scientists' perspective, and overlook the impact of experience- and emotion-based preconceptions from the non-expert perspective (Leiserowitz, 2006). Commonplace preconceptions will strongly influence the way that a non-specialist will access and Field Code Changed

68	interpret the geoscience risk information provided to them (Liverman, 2010), and so	
69	it is vital that public perceptions of geological and hydrological hazards are taken into	
70	consideration by communicators. An example of the importance of misconceptions	
71	is provided by Shackley et al (2004), who reports a geoscience expert using the term	
72	<u>'bubble' of CO2 (Shackley et al., 2004 p 127) to explain carbon capture and storage</u>	Formatted: Subscript
73	to a lay-audience; the resut was a participant gaining a misconception relating to the	
74	storage of the carbon in the form of 'a large bubble' of gas which could burst at any	
75	time. This misconception caused some participants great distress and increased	
76	their perception of the risk.	
77		
78	The value in examining perceptions specifically is increasingly being recognised by	
79	many in the risk communication community, including in disastor risk roduction and	
80	commercial geology fields. Barclay et al (2008), for example, called for a more	
81	interdisciplinary 'disaster reduction' approach to volcanic risk communication, which	
82	includos stakeholdors in policymaking, and uses social and physical science to work	
83	together to produce more appropriate and effective communications based on the	
84	needs of the community. Meeting the particular needs of at-risk communities through	
85	collaboration between the physical and social sciences is now emerging as a fairly	
86	central component of modern risk science (Donovan et al., 2012;Frewer, 2004;Lave	Field Code Changed
87	and Lave, 1991;Mabon et al., 2014).	
88		
89	It has long been known that when the public receives information, they can interpret	
90	it - and therefore organise their reactions - in a variety of ways depending on their	
91	perception of both the science and the scientist (Fischhoff 1995). Various inherent	
92	cultural and social assumptions control the way that this information is interpreted,	
93	not excluding the influence of the individual's previous educational background	
94	(Donovan, 2010;Mabon et al., 2014;Slovic et al., 2007). Thus, without examining a	
95	population through social or psychological scientific inquiry, it is impossible to predict	
96	how they will respond to a particular science communication message (Wynne,	
97	1991). An example of the impact of the participant's background on a risk	
98	communication message was explored in a study by Keller et al (2006). It was found	Formatted: Font: Italic
99	that a person's background and experience, particularly of previous flooding events,	
100	had a significant impact on the severity of risk ascribed to a flood hazard	
101	communication.	

103 A key challenge of communicating such messages, therefore, is that in addition to 104 the wider social or cultural impact on perception of scientific information, individuals 105 apply their own pre-existing ideas and concepts to any scientific data that they are 106 presented with (Mileti et al., 2004). In this context, psychology-based methods are vital, and one such method is the 'mental models' approach (Morgan et al., 2002). 107 108 This paper outlines introduces the mental models methodology and uses it to explore 109 broadly heldpresents empirical evidence for public perceptions of the geological subsurface, and from that examinemaking inferences about how those perceptions 110 relate to geological and hydrological hazards. Empirical evidence is presented 111 112 showing that such a method can provide valuable contextual data for geological and hydrological hazard communicators. 113 114 115 2 Communicating Risk via Mental Models

116

Traditional-Conventional views of risk communication have conventionally been 117 118 based on how best to align the knowledge of the recipient with that of the expert (or communicator). Early work by Slovic (1987) demonstrated how several key factors 119 120 underlie the perception of risk in non-experts, notably concepts such as 'familiarity' 121 and 'dread'. A graphical representation (Fig 1) shows the relative perceptions of different threats, as organised by their varying degrees of familiarity and dread. The 122 123 diagram shows that certain threats, which may statistically be considered more risky 124 - such as riding a bicycle - are perceived to be far less risky than a statistically safer activity - such as flying in a commercial aeroplane (Slovic, 1987). Later work coined 125 the term 'affect heuristic' to describe the important role of intuative feelings in non-126 127 experts' risk assessments (Slovic, 2010;Slovic et al., 2004). 128 129

Figure 1. The perception of risk within a two factor space, representing public
perceptions of how risky an activity was based on its familiarity and how fatal the
consequences may be (Slovic, 1987 p98).

133

The affect heuristic describes the way that an individual's perception can colour their response to a piece of information about a subject, by ascribing greater or lesser

136	importance to the risk than an expert would, based on a logical assessment. The
137	affect heuristic can be described as a form of emotion, defined as positive or
138	negative feelings that are used to evaluate an external stimulus (Slovic et al., 2007).
139	The influence of heuristics-and biases, such as the affect heuristic, isare so central to
140	designing effective risk communication that these need to be far more fully -more
141	integrated into methods of assessing the public's perception of geological and
142	hydrological issues need to be utilised (Mabon et al., 2014).
143	
144	By taking into account the impact of a non-experts' perception of risk, the field of risk
145	communication shifts from a one-way form of communication towards more of a
146	dialogue. However, even within this more inclusive mode of communication, an
147	outdated emphasis on the information and value judgements of the expert is still
148	apparent (Sturgis and Allum, 2004). By this account the 'top-down' transfer of
149	information provided by the expert must be translated by the emotional state of the
150	non-expert (Slovic et al., 2004) and integrated into their own 'lay knowledge' (Callon,
151	1999). While experts may value Lay local knowledge during individual
152	communications, often the contribution of the non-expert population-is generally
153	dismissed as inappropriate by experts, who expect decisions to be made on the
154	basis of relevant technical information. An example of this was found by Johnson
155	(2008) in a study of watershed modeling and public participation, which showed that
156	an over-reliance on technical method for constructing the watershed model resulted
157	in a disconnect between the public and the techncial modellers, as the model was
158	perceived to be inaccessible, despite early public enegement. but tThere is,
159	however, a growing acknowledgment of the role and value of individual and
160	community knowledge, not just in collecting and compiling scientific data (Lane et al.,
161	2011), but also in improving communications by countering the expert-imposed
162	concept of risk (Lave and Lave, 1991). One psychological approach that has been
163	employed effectively in communicating across a range of risky and controversial
164	geological and hydrological issues is 'mental models' (Lave and Lave, 1991;Maceda,
165	2009;Skarlatidou et al., 2012;Wagner, 2007;Thomas et al., 2015).
166	
167	The mental models approach to communicating risk (Morgan et al., 2002) is based
168	upon the broader mental models theory, developed by Johnston Laird (1980) as a
169	conceptual paradigm that encompassed new ideas about language and perception

170 in the burgeoning field of cognitive science. The theory of mental models as 171 interpretation of theoretical reasoning has fallen from favour in psychology (Evans, 2002;Over, 2009), but it is still used in the applied sense, particularly by researchers 172 173 examining decision making associated with risk, communication and education 174 (Goel, 2007;Larson et al., 2012;Panagiotaki et al., 2009;Skarlatidou et al., 2012). 175 176 The mental models approach to risk communication employsis a form of deductive 177 reasoning, one of the multiple types of reasoning which is connected to with decision making (Eysenck and Keane, 2010). The approach assumes that, in order to make a 178 179 decision about an issue, an individual will construct an artificial (mental) reality in order to test a series of simulated scenarios using data previously collected and 180 181 valued by that individual (Morgan et al., 2002). The decision about what action to 182 take will be based upon a logical interpretation of the results of these tests, and decisions are most easily made when the tests are simple (Johnson-Laird, 2013). 183 184 185 This method can be demonstrated by considering the decision of 'travelling down 186 stairs'. Whilst it may seem an exceedingly simple issue, by considering all the 187 different factors that might cause you to trip on the stairs and therefore what you may 188 have to do to control those factors, a researcher can build a model of what a person 189 considers when they are thinking of walking up or down stairs (Morgan et al., 2002). 190 This simple example, represented in Fig. 2, demonstrates the particular 191 effectiveness of mental models. In the diagram, some factors such as the floor 192 covering, lighting or the height and width of the stairs may be anticipated by experts 193 (for example an architectural designer, or specialist in home risk), and statistically 194 assessed as being valuable factors to communicate hazards about. The node that 195 mentions 'sleeping habits of the cat' however may not have been considered, and 196 yet might be a key issue for a non-expert who lives in the property in this 197 circumstance. 198 199 The use of mental models, therefore, allows the researcher to gain a better understanding of the importance of many issues from both the expert and non-expert 200 201 perspective, and also allows for the inclusion of not just analytical reasoning, but 202 experiential as well (Leiserowitz, 2006).

- 203
- 6

205 Figure 2. Illustration of the construction of an influence diagram for the risk of tripping and falling on the stairs: a) shows just those two elements; b) adds factors that could 206 207 cause a person to trip; c) adds factors that might prevent a fall after a person trips; 208 and d) introduces decisions that a person could make that would influence the 209 probabilities of tripping and falling (Morgan et al., 2002 p37). 210 211 In the context of geological hazards and risks, it was found that in cases where the 212 risks are unfamiliar to the individual, mental models theory allowed the participant to 213 explore the decision-making process more fully (Goel, 2007). When applied to 214 specific contexts, most notably to radioactive waste management and carbon 215 capture and storage (Skarlatidou et al., 2012;Vari, 2004;Wallquist et al., 2010), it was 216 found that in cases where the perceived risk of new technology was greater than the 217 actual risk (or the risk designated by the expert), mental models provided a useful 218 holistic approach to decision making, that placed equal value on the attitudes of both expert and non-expert (Vari, 2004). 219 220

An important aspect of the mental models approach is in the equivalent value placed 221 222 on the data coming from the non-expert. In placing the non-expert in a position of 223 equal authority with the expert, any information provided is also represented as equally being just as important (Morgan et al., 2002). This draws the communicator 224 away from the one-directional deficit model of communications (Bucchi, 2008) and 225 226 towards a more dialogic model, where the perceptions of the non-expert are not 227 simply misconceptions to be adjusted, but instead become concerns to be addressed through discussion and interaction. The approach allows researchers to 228 229 assess not only what participants (both expert and non-expert) involved with an 230 issue think, but also why they think it (Kiker et al., 2005). This is valuable to both 231 expert and non-expert alike, as it allows both parties to fully express their 232 perceptions of an issue and come to a greater understanding of the other party's 233 perspective. The approach therefore allows the refinement of communication to focus on messages that are salient to both communicator and recipient, which will 234 235 increase the efficacy and significance of these communications (Frewer, 2004). 236

- 237 <u>3 Applying the Mental Models Method</u>
 - 7

238 239 The mental models approach to risk (Morgan et al., 2002) is a mixed method 240 procedure which integrates aspects of Johnson-Laird's Mental Models theory (1983) 241 with risk communication practice (Morgan et al., 2002). It assumes that the heuristics 242 and biases-used by non-experts to interpret controversial, critical or unfamiliar issues do not form an entire model that directly reflects the world as the participant 243 244 experiences it, but rather constitute a series of interconnecting ideas that may colour 245 the perception of an issue (Morgan et al., 2002). This qualitative and quantitative 246 process consists of three main stages: 247 1. Qualitative semi-structured interviews are conducted one-on-one with a broad 248 249 sample of the target population, as well as with technical experts in the field 250 under question. These semi-structured interviews provide the participant with 251 an opportunity to speak freely about the issue using their own terms or 252 analogies, which can be examined in detail later, but also to discuss related or 253 perhaps peripheral topics that the participant feels is relevant (Mabon et al., 254 2014). Once this stage is completed, a series of models are constructed 255 which reflect the key perceptions held by each group and considers how 256 these perceptions compare across groups of different 'expertise'. 257 2. <u>A single Q</u>uantitative questionnaires are is constructed from the combined expert and non-expert models produced after the interview stage. These This 258 259 questionnaires tests whether the dominant perceptions that are highlighted by the model as correctly representing the areas of greatest concern or interest 260 261 for that were expressed by the participants and researcher. The statements or questions are constructed using the language of the non-expert participants

so as to minimise bias. The results of the questionnaire are then compared to

3. If the model provides a good reflection fit of the dominant perceptions of the target population, then a communication is designed that dovetails with the

model content, in order to stimulate useful dialogue or provide information.

This communication is tested for its ability to improve knowledge and

the original models to test their validity in a larger sample.

understanding in the target population.

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271	Whilst it is not unusual for users of the mental model approach to supplement their			
272	interviews with photos or drawings (Vosniadou and Brewer, 1992), two-dimensional			
273	images are not always a suitable inclusion when researching geoscience			
274	conceptions, as they rely on the participant employing a highly developed sense of			
275	spatial reasoning that some individuals struggle to use (Kastens and Ishikawa,			
276	2006). Because geology is a very descriptive and visual science (Frodeman, 1995),			
277	this can lead to misinterpretation of ideas from both the expert and the non-expert.			
278	To address this issue, some previous studies of geological risk have employed 3D			
279	participatory modelling to provide an alternate method of elicitation during focus			
280	groups or interviews (Cadag and Gaillard, 2012). The inclusion of the 3D model			
281	provided participants with a means to test their verbally expressed concepts in an			
282	alternative format. In this study, Morgan et al's (2002) approach was combined with			
283	a three dimensional (3D) participatory model during the semi-structured interview			
284	stage. The use of a 3D participatory component, whereby participants either use or			
285	create a 3D model in the elicitation process, reflects the recognition that often			
286	participants in an interview may have difficulty expressing their thoughts verbally in			
287	an interview (Cooke and McDonald, 1986;Ongena and Dijkstra, 2007). (Kastens and			
288	Ishikawa, 2006) Because geology is a very descriptive and visual science			
289	(Frodeman, 1995), this can lead to misinterpretation of ideas from both the expert			
290	and the non-expert. To address this issue, previous studies of geological risk have			
291	employed 3D participatory modelling to provide an alternate method of elicitation			
292	during focus groups or interviews (Cadag and Gaillard, 2012). The inclusion of the			
293	3D model provided participants with a means to test their verbally expressed			
294	concepts in an alternative format.			
295	*	[Formatted:	Font: Italic
296				
297	4 Details of present research and research questions			
298				
299	This study presented in this paper represents a part of broader research into what			
300	perceptions people hold about the geological subsurface. This research examined			
301	common ideas and attitudes to the subsurface with reference to how experts and			
302	non-experts conceptualise the geological subsurface. In particular, questions were			
303	addressed that included: conceptualisation of the structure of the subsurface			

304	environment, the impact of human activity, and the influence of natural forces or
305	phenomena.
306	This broader study covered all aspects of a society's interactions with geology
307	including: industry, heritage, and recreation. The present analysis focuseds on a
308	subset of issues particularly relevant to hydrological interactions with the subsurface
309	environment and the hazards that this might influence. Hydrological interactions with
310	the subsurface were chosen as they were an unexpectedly ubiquitous theme
311	identified in the non-expert interviews. This research examined common ideas and
312	attitudes to the subsurface with reference to how experts and non-experts
313	conceptualise the geological subsurface. In particular, questions were addressed
314	that included: conceptualisation of the structure of the subsurface environment, the
315	impact of human activity, and the influence of natural forces or phonomena.
316	
317	A combination of participatory, qualitative and quantitative methods was used. The
318	3D model comprised a 1m x 1m x 1-m sized whiteboard cube, on the top surface of
319	which was a topographically-moulded aerial photo of each study location, an
320	example of which is shown in Figure 3. The aim was to enable participants to visually
321	represent those concepts that related to the subsurface environment in their
322	<u>immediate vicinityarea</u> .
323	Interviews were conducted by the primary researcher (H.G.) - a geologist with
324	practical experience working as a formal and non-formal science communicator in a
325	museum and national park. Care was taken by the researcher to limit bias during the
326	interviews and a conversational protocol (a relaxed back-and-forth conversational
327	style) was employed during the interviews (Ongena and Dijkstra, 2007).
328	
329	Figure 3. A blank 3D participatory model used by both expert and non-expert
330	participants during the semi-structured interviews to assist with non-verbal elicitation.
331	
332	Three locations were selected for the purposes of the survey: one village in Cornwall
333	and two villages in Devon. These villages had similar demographics - as assessed
334	using the 2011 census data (Office of National Statistics, 2011) - but different
335	exposures to geology. The first village, Carharrack in Cornwall (population 1324),
336	has a strong cultural and historical association with geology (abandoned former tin
337	and copper mining), but little current geoscience activity in the immediate proximity.
I	10

338 The second village, Sparkwell (including Hemerdon) in Devon (population 1246), has 339 a moderate cultural and historical association with geology, but has a prominent 340 current geological industry active in the immediate vicinity (tungsten mine and 341 aggregate quarries). The third village, Chulmleigh in Devon (population 1308), has 342 neither a strong cultural and historical association, nor a current geological presence; 343 indeed the local geology is not particularly visible in the landscape. 344 345 The study incorporated both expert and non-expert interviews. Six interviews with 346 experts (individuals with considerable experience either in the academic or industrial 347 side of geology local to the area under survey) were conducted as well as a literature 348 review of data relevant to a non-expert's understanding of the subsurface. After initial 349 contact with parish councils was made to establish local awareness of the study and 350 paper adverts were placed in prominent locations around each village, nNon-expert 351 participants were selected using a 'snowball' method (Forrester, 2010) after initial 352 contact with parish councils was made to establish local awareness of the study and paper adverts were placed in prominent locations around each village. The 'snowball 353 354 method' of sampling occurs when you make contact with one or more members of your target population and ask them to introduce you to others who would potentially 355 356 be interested in participating. It is a useful technique for reaching ambivalent or hard-357 to reach audiences (Forrester, 2010).

A total of 29 interviews were conducted across the three sites. As is described in the 359 360 literature (Morgan et al., 2002; Mayer and Bruine de Bruin, 2014), the semi-structured 361 interview questions were designed after an intensive literature review of the subject and supplemented by details from the expert interviews. The interviews were audio 362 363 recorded and transcribed to ensure that the language of the participant was captured 364 accurately. Interviews continued until a broad sample was achieved and repetition of 365 concepts between participants occurred (Morgan et al., 2002). In line with the ethical approval granted by the University of Plymouth Science and Technology Ethical 366 367 Committee, the names of all participants have been anonymised and replaced with factious names as is demonstrated in the results section. The interviews were 368 conducted between January and September 2014. The questionnaire was designed 369 370 after data collection and analysis of the interviews was completed and was 371 constructed using the data gathered from the semi-structured interviews. The

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372	questionnaire was then distributed by post to all households (5214) in the target
373	areas during September 2015 and was also made available online in the form of a
374	link to the survey included with all postal surveys, with a total response rate of 228
375	(4.37%) both online and through the mail. During the time of the initial interviews
376	(January – March 2014) the UK was experiencing unusually severe winter storms
377	that resulted in <u>flood</u> damage to key infrastructure across the southwest (e.g.
378	disruption of main Devon-Cornwall rail line at Dawlish), extensive flooding and some
379	loss of life. Tand this high-profile flooding may have influenced the content of the
380	interviews , especially those conducted between January and March 2014 .
381	
382	5 Results: Perceptions of the subsurface, water and geological hazards from 3D
383	<u>drawings</u>
384	
385	Participant responses to the semi-structured interviews were diverse and
386	represented a wide range of opinions and perceptions. Although detailed mental
387	modelling of the full set of responses is ongoing, an analysis of a subsection of the
388	results allows some provisional observations to be made.
389	
390	The main attention of the study was focussed on the geological subsurface, so first
391	this paper will provide context with some generalised results about the subsurface
392	using the data collected with the 3D participatory models. These models provided an
393	insight into how people visualise the subsurface environment in their area, and in
394	combination with the verbal results, provide an interesting idea of the perceptions of
395	the subsurface the people in these three villages hold.
396	
397	As experts and non-experts participated in interviews with the same structure and
398	substance, their results can be directly contrasted to highlight similarities and
399	differences. The images in Fig. 34 demonstrate some of the key concepts
400	demonstrated by participants.
401	
402	
403	Figure <u>34</u> : Images of 3D participatory models completed by expert and non-expert
404	participants. a) Eric – an expert participant, represents the expert model, with a
405	logical diagram utilizing more than one side of the model (including the surface), with
	12

406 detail provided by numerical and factual annotation. b) Edward – an expert 407 participant, also demonstrates an expert model, with a representation of a fault structure displayed at the surface and symbols used to identify different rock types. 408 409 c) Kimberley – a non-expert participant from Carharrack, conceives the subsurface in 410 a couple of interesting ways. Firstly, the red shading is used to depict the Earth's 411 core, initially as a semi-circular shape and then later modified to match the linear 412 appearance of the rest of the diagram. In addition, the diagram shows some 413 uncertainty about the inferred ground level, which is drawn with a green zigzag line, 414 below the actual surface of the model. d) Katie – a non-expert participant from 415 Carharrack, presents a much sparser diagram, with subterranean buildings 416 emphasizing the human interaction with subsurface space. e) Charlotte – a non-417 expert participant from Chulmleigh, drew a direct link between the surface and the 418 subsurface in the form of a channel that connects the topographic low (where the 419 river is shown on the aerial photograph) and an underground body of water, which 420 cuts across the entire model. Finally, f) Charles – a non-expert participant from 421 Chulmleigh shows another model which has been interpreted to represent a more 422 scientific model, with the Earth's core represented at the bottom and the different layers as being approximations of different scales of geological concepts, from 423 424 tectonic plates to erosional surfaces of sandstone. 425 5.1 General perceptions of the subsurface from 3D model verbal explanations 426 One of the initial observations was in the application of 3D spatial reasoning by the 427 428 geoscience experts. This is clearly visible in Fig. 34 and Fig. 34 b, where both Eric 429 and Edward utilised more than one side of the model in association, as well as 430 making reference to the surface image for contextual cues. The use of 3D spatial 431 reasoning was common throughout the expert interviews, as this comment from 432 Ethan indicates: 433

434 ...so as you go down this could be all killas¹, and could be cut off
435 by...by... you've got lots of joints, so you have footwalls and hanging
436 wall and slip planes. So you could find that down here, the further you
437 go away from the hill, you find the granite's further away?

¹ A regional term for Devonian-Carboniferous low grade phyllite (Kearey, 1996)

438 Ethan, commercial and 439 academicgeoscinece expert 440 441 This description includes an inherent use of 3D spatial reasoning, demonstrated by 442 Ethan in his inference of a change in location of the granite relative to the hill as 443 influenced by the joints and slip planes. In general it was clear from the way that the 444 experts used the block models that they were using 3D spatial reasoning. There was a 445 deliberate connection made between the adjacent walls sides of the model cube, and also with the surface topography and the aerial photograph. The experts completed 446 447 the models with a great deal of gestural explanation (Kastens et al., 2008), even to the extent of using the pens provided for annotation to demonstrate a fault structure 448 449 present in the area (visible in Fig. 34b). This 3D spatial reasoning was not, however, 450 present to the same degree in the non-expert participants. Some spatial reasoning 451 was used, but it was most often utilised in a purely geographic two dimensional way. 452 Moreover, all of the non-experts limited their elicitation to a single side of the model 453 cube. 454 455 I'm surprised really that that [the quarry] is in a quite high part 456 compared with others. As you move down here [from the mine site], I 457 know from my own experience, as you come south from here, the fall of the land is down here and ... the rocks are actually a bit softer from 458 459 my experience. Henry, Hemerdon and Sparkwell 460 461 resident 462 463 The models also demonstrated another consistent difference between the experts 464 and the non-experts, and that was an anthropocentric, or human focussed view of the subsurface (Slovic, 2010). Whereas, for the expert participants, geological 465 activity was considered a product of the local geology, for many non-expert 466 participants, human interaction with the subsurface was the only important factorFor 467 468 the expert participants, a concept of the geology came first, which stimulated concepts related to the mining, however, for the non-experts it appeared that the 469 470 mining, (or other types of human interaction) was a concept that came first and only 471 provided an indicator to the geology subsequent to that human interaction. This

472 anthropocentric perspective of the subsurface is demonstrated in Fig. 34d, which 473 also indicates how some participants who held a strongly anthropocentric model had 474 a great deal of difficulty in adding any other detail to their expressed perception of 475 the subsurface. 476 477 Q: So, if you were to, like, dig straight down now, what would you 478 come across? A: I don't know. I don't want to know......There could be things 479 underneath the ground like that kind of thing Other houses, I don't 480 481 know. 482 Katie, Carharrack 483 resident 484 485 Perceptions shaped around human concerns contrast with the more expected conventional geological depiction of subsurface relations (e.g. Fig. 34c). These types 486 of diagram (called 'scientific' from here on) varied in the level of detail provided, with 487 488 some (Fig. 34ce) being very detailed, and exhibiting a large amount of additional annotation relating to dates and eras, both historical and geological. These non-489 490 expert scientific models focus attention on a range of themes. Some participants, for 491 example as shown in Fig. 34c and Fig. 34f, focus very strongly on the centre of the Earth. In Fig. 34f the focus was more specifically related to the types of layers one 492 493 might encounter if penetrating the subsurface, but also included a visual link to the 494 Earth's core, which was identified early in the construction of the diagram. The role 495 and importance of underground water was also indicated in the way that participants 496 depicted the subsurface, such as with rounded pebbles. 497 498 A key point emerging from the semi-structured interviews was a strong 499 disassociation among non-experts between the subsurface and the surface 500 environment in non-experts. This is most evident in Fig. 34c, where despite the 501 surface top of the cube being a representation of the topographyic surface, and the 502 respondent being asked to present what she thought was 'directly beneath her', an artificial ground surface was added to the side of the cube. This disconnection was 503 504 demonstrated in multiple model depictions and, alongside the limited use of 3D 505 spatial reasoning, is a strong discriminator between the non-experts and the experts.

506	
507	When a connection between the surface and subsurface was presented by non-
508	experts it was frequently vague and portrayed in a general sense that was more
509	related to the nature of the rock in the area, as is evident in the following quote:
510	
511	But granite, I would have thought, just about everywhere, really. I
512	don't know what depth that would be. It's probably near the surface
513	but I would have thought there would be granite around.
514	Katrina, Carharrack
515	resident
516	
517	In this example, the existence of a particular rock type was not consciously linked with
518	any visible landscape feature. In contrast, the remarks below highlight an expert
519	connecting a mapped unit of geology below with a specific landscape feature above,
520	and using the observable outcrops as cues to discern the underlying differences in
521	local geology.
522	
523	Well perhaps it's not the same sandstone for a start, you can make a
524	measurement of one sandstone in one hill there and then you know
525	it's dipping towards the hill, <u>er</u> towards us, and b ecause that
526	sandstone is all the same , it could be a completely different
527	sandstone.
528	Edgar, geoscience expert
529	
530	5.2 Combined mental model
531	By integrating the findings of experts and non-experts from the three study areas, a
532	final combined mental model has been obtained (Fig. 45). This model represents a
533	collective view of the public perception of the geological subsurface, especially
534	focusing on the interaction between surface and subsurface elements in this
535	conception. The central feature is the connection between the surface and the
536	subsurface. Most participants alluded to some degree of linkage, but it was the expert
537	participants who consistently used this connection in constructing their subsurface
538	model. This difference between the experts and the non-experts was also present in
539	other shared nodes, such as 'layers' and the 'soil-rock boundary', but of particular
	16

540	interest to this study is the emphasis from the non-experts on the nodes of 'water' and
541	'flooding'.
542	
543	
544	Figure 4 <u>5</u> . A mental model of expert and non-expert perceptions of the subsurface in
545	the southwest of England. Rectangular nodes are those shared between experts and
546	non-experts, oval nodes are those expressed by non-experts alone. The three
547	frames '3D thinking', 'scale' and 'technical and local terms' have been placed
548	externally as they provide context for all of the other nodes.
549	
550	6 Detailed analysis of themes relevant to Hydrology and Hazard
551	
552	To explore the usefulness of this model for applied geoscience in general and
553	geohazards in particular, this section examines in more detail the two non-expert
554	nodes in Figure 5, 'water' and 'flooding'. These nodes potentially offer an interesting
555	insight into the general perceptions of the non-experts into the geological
556	subsurface. Both relevant data from the 3D participatory approach and the larger
557	survey will be reported here.
558	
559	
560	6.1 Underground rivers.
561	Firstly, although water was mentioned by the expert participants, it was very much a
562	peripheral concept, more closely relatedas is shown in this refernece to mining
563	activities and industry.
564	
565	We'll have to satisfy the Mines Inspectorate that what we are doing is
566	safe and won't result in potential mine flooding. SoerI don't
567	know, I suspect that theer presence of those mine workings
568	would be a nuisance if we drilled into them so we have to avoid them
569	from that point of view, but potentially represent quite a good
570	erwater source for us.
571	Eric, commercial
572	geology geoscience expert
573	
	17

574 For the non-experts, however, the presence and movement of water was frequently 575 mentioned, most prominently in the recurring notion of underground rivers. 576 577 I think you'd find a lot of water and I imagine there would be lots of 578 channels. Cos I think the water would have to seep into the ground 579 and it has to run down cos we are so high that I think there would be an underground network of holes or natural sewers-... 580 Just because of the pure volume of water that we have and we don't 581 flood as much so there might be some kind of water table that bits of 582 583 land, kind of, not floating on top but almost like resting on top. Christian, Chulmleigh 584 585 resident 586 I think water, if you go down, there's ... you know ... water would 587 come off of different bits, different directions and little bits, a bit like 588 underground streams really, but then finally I think you'd get these 589 590 solid stones where there's nothing there really. 591 Charlotte, Chulmleigh 592 resident 593 Well, I think water, you know, the amount of rain that we've had you 594 know, over the last couple of years especially, it's not better for this 595 596 area... [Laughter] ...because it gets into these tunnels sometimes I 597 think and then it...just got nowhere to go. 598 Kim, Carharrack 599 resident 600 So I imagine that the top..., the top sort of surface,... would be 15 601 602 feet, and then you would get into a granite and that would be I 603 don't know how far down then. That would go on down and I imagine that in that there are waterways and underground streams and that 604 605 sort of thing.... gGoing through the granite. 606 Howard, Hemerdon and Sparkwell 607 resident

608	
609	The perception of the existence of underground rivers as the principal pathway for
610	water to move in the geological subsurface was so common that one of the
611	questions in the subsequent questionnaire was dedicated to it. Questionnaire
612	recipients were asked how much they agree with the statement: 'Water naturally
613	forms channels underground in order to flow through rock'. The majority of
614	respondents (78.9%) chose to either agree or strongly agree (Fig. 56.), showing how
615	prevalent this perception was amongst the questionnaire sample population.
616	
617	
618	Figure $\frac{56}{2}$. Attitudes of questionnaire respondents (n=223) to the statement Water
619	naturally forms channels underground in order to flow through rock'.
620	
621	This misconception of subsurface water routeways also appeared to relate to the
622	permeability of water through different rock types. Some types of rock seemed to be
623	perceived as allowing water to pass through them more easily, but other types of
624	material such as clay were more of a barrier.
625	
626	But, a lot of it must be broken killas underneath because it - water -
627	literally drains, disappears. You don't get waterlogged ground
628	generally in this area, you know.
629	Kenneth, Carharrack
630	<u>resident</u>
631	
632	So there is water under us here which I suppose has been formed or
633	collected in certain layers - or runs through certain geological layers,
634	but right under this house - or under Chulmleigh, I couldn't tell
635	whether we were built on rock or what sort of strata, to be honest.
636	There's a lot of stone, I wouldn't have thought it's granite but it could
637	be.
638	Christopher, Chulmleigh
639	resident
640	
641	6.2 Water moving through rocks.
	19

642	Some participants also attempted to explain how water does move through rocks,
643	with particularly descriptive techniques.
644	
645	I think it filters through the rock. Yeah, I think it does. It comes down
646	like rain through rock, doesn't it? And as long as they're pumping,
647	then they've got a dry place to work, but it will come up as it did until
648	the mine floods. And I think it will flood almost to surface, as far as I
649	remember.
650	Kara, Carharrack
651	resident
652	
653	When this notion of the permeability of rocks was posed in the questionnaire as
654	'Water cannot flow through solid rock' (Fig. 67), the majority-just over half of
655	respondents <u>answered the question incorrectly, choosing either the wrong answer</u>
656	(28.6%) or 'I don't know (21.8%). Whilst 49.5% answered the question correctly,
657	agreeing that water could pass through solid rock (although many added an
658	additional note to the question specifying different types) of rock that would influence
659	their perception. Just over a fifth of respondents, however, selected the 'don't know'
660	option (as well as eight participants who left the answer blank), which suggests a
661	significant level of uncertainty exists in public perception of subsurface hydrology.
662	This suggests that a large number of participants are uncertain about the properties
663	of subsurface hydrology.
664	
665	
666	Figure $\frac{67}{2}$ Attitudes of questionnaire respondents (n=220) to the statement 'Water
667	cannot flow through solid rock'.
668	
669	6.3 Water and instability.
670	Another common concern expressed by participants was that presence of water in
671	the subsurface would result in instability and possibly cause ground failure or
672	collapse. This notion was expressed differently in the different locations. In
673	Carharrack, for example, the sense of instability was strongly connected to the
674	historical mining heritage present in the area.
675	

676	It's a different kettle of fish mind you those sinkholes, but I'm
677	wondering if a lot of rain is seeping into old mine workings and might
678	make them sink.
679	Kevin, Carharrack
680	resident
681	
682	In Hemerdon and Sparkwell, in contrast, concern was expressed for the impact of
683	new mining activity on existing hydrological environments.
684	
685	You can't keep digging up what's underneath you. It alters things. It
686	alters the landscape. It alters what comes out of the ground. It alters
687	the water table.
688	Hannah, Hemerdon and Sparkwell
689	resident
690	
691	Finally, in Chulmleigh instability was expressed in relation to erosion - particularly of
692	arable land - which was often also connected to flooding.
693	
694	We were on the point where the river comes right through and we
695	noticed that the river was taking away part of our land so I called in
696	somebody to explain that rivers do that, they change course and
697	lose some and you gain some But we didn't get flooded; it wasn't
698	a question of that, just watching my land being washed away and
699	deposited on somebody else's land.
700	Chester, Chulmleigh
701	
702	For the experts, this connection between geology and flooding had been a fairly
703	logical one, but_{1} in general, non-expert participants did not consider this issue a
704	geological link. Instead, most believed that the flooding had a definite-superficial
705	cause and it was connected to human activity on the floodplains.
706	
707	Q: Can you think of anything you've seen to do with geology in the
708	news recently?

709	A: No, exceptum and this is a bit broad, the flooding in the
710	Somerset Levels and that's notreally to do with that [geology].
711	Christie, Chulmleigh
712	<u>resident</u>
713	
714	So much of things I think of relate to geography I suppose, whether
715	it's flooding in Bangladesh or India or China you know so it's more
716	geography related rather than geology. I'm not sure it contributes.
717	Heather, Hemerdon and Sparkwell
718	<u>resident</u>
719	
720	I know you have to progress [with new mining development]. To
721	what end, though? Because you can keep progressing and now look
722	at us. We're getting all this flooding.
723	Hannah, Hemerdon and Sparkwell
724	<u>resident</u>
725	
726	Although attitudes to flooding and ground instability caused by the presence of water
727	were not investigated directly, the evidence from the qualitative interviews provides
728	interesting inferences. The non-expert misconception of underground rivers was not
729	anticipated at the outset of the research, although it could possibly be expected from
730	anecdotal experience (Kasperson et al., 1988). Common misconceptions like the
731	prevalence of underground rivers expose deeper issues, such as the public's
732	understanding of how water moves through subsurface environment and how water
733	in the subsurface can impact ground stability (Thomas et al., 2015).
734	
735	6.4 Additional/other themes.
736	Although this study indicates the conceptual gap that exists between experts and
737	non-experts in the context of the geological subsurface, particularly subsurface
738	hydrology, This type of study also provides useful context for communicators. For one
739	thing, the qualitative interviews themselves show the value that the public place on
740	gaining new and more detailed information that will allow them to continue to make
741	effective decisions about our changing environment. This was highlighted by
742	questions raised by participants in connection to the recent flooding events, which
	22

743	seemed to show that current events had produced an opportunity for communication
744	that wasn't present previously.
745	
746	And actually, I have to say the Somerset levels recently have
747	made me think a lot more about the geology and how they flood
748	and how we build on floodplains. We're taking no notice of what's
749	underneath and whether anything can drain away. So, I think it
750	would be much more important to all of us soon.
751	Kimberley, Carharrack <u>resident</u>
752	<u>Z</u> Discussion and Conclusion
753	
754	As well as 'making public' misconceived ideas about how the natural world works,
755	mental models can expose non-expert perceptions that are so outlandish that the
756	expert might never have considered them. In the following statement, a non-expert
757	links news stories he has heard about earthquakes and fracking with resource
758	extraction.
759	
760	It does concern me a bit sometimes the number of major
761	earthquakes we seem to be getting around the Pacific. I'm
762	wondering why. Is it something we're doing to the world that's
763	causing this? I don't think its fracking because they aren't fracking
764	there. Maybe because they're taking oil out of the ground and its
765	releasing pressure so that the world plates can move about a bit
766	more. I don't know.
767	Hugh, Hemerdon and Sparkwell
768	resident
769	
770	
771	7-Conclusion
772	
773	Beyond the occasional ability to expose fairly perverse misconceptions about the
774	Earth's systems, the mental models approach provides valuable context for
775	geoscience communicators. Its main benefit lies in bringing to light alternative
776	scenarios that are central to the way some participants ² analyse the processes that
	23

777 operate beneath their feet. In this regard, the heightened 'anthropocentric view' is an 778 important perspective, and one that has been recognised previously. Lave and Lave (1991), for example, found in a similar study that some participants would orientate 779 780 their whole perception of past and future flood events on the fact that they were 781 'human-made'. Not appreciating the geological aspects of flooding may mean that 782 people conceive an inaccurate view of local flooding threat (e.g. from rising 783 groundwater levels).

784

785 Ordinary people's anthropocentric depiction of the subsurface is likely to have been 786 overlooked by communicators, certainly because it is not present in the expert 787 interviews in any noticeable way. It is revealed because the mental models method 788 establishes direct comparisons of expert and non-expert perceptions on the same 789 issue. Such inter-comparisons highlight fundamental mismatches of thinking, such 790 as the use of 3D spatial reasoning and the logical connection between the surface 791 and the subsurface. They also shed light on the reasoning behind misconceptions, 792 such as the ubiquitous popular references to underground rivers, and offer up 793 additional nuanced detail to communicators attempting to grasp the public viewpoint. 794 795 Through mental models, geoscientists can be armed with empirical, detailed and 796 generalised data of perceptions surrounding an issue, as well as being aware of 797 unexpected outliers in perception that they may not have considered relevant but 798 which nevertheless may locally influence communication. Using this approach, 799 researchers and communicators can develop information messages that more 800 directly engage local concerns and create open engagement pathways based on 801 dialogue, which in turn allow both groups to come together and understand each 802 other more effectively. Given the ongoing wider challenges in geoscience 803 communication, especially in contested subsurface interventions associated with 804 shale gas extraction, carbon capture and storage and radioactive waste disposal, the 805 ability for geo-communicators to be more carefully attuned to how individuals and 806 communities think will become ever more severely increasingly tested. 807

808 Author Contributions

809 H. Gibson, I.Stewart and S.Pahl designed the survey protocols and interview

810 questions. H.Gibson conducted all interviews and completed primary analysis and

811 construction of the mental model. A.Stokes and S.Pahl assisted with secondary 812 analysis of data and construction of mental model. I.Stewart assisted with construction of the mental model. H.Gibson designed the guestionnaire with 813 814 assistance from S.Pahl, I.Stewart and A.Stokes. H.Gibson prepared the manuscript 815 with assistance from all co-authors. 816 817 **Acknowledgements** 818 This work was supported by the Natural Environment Research Council (Quota 819 Award number 236443). The authors would like to thank Dr Mark Anderson for his 820 assistance and supervision during this research. The authors would also like to 821 acknowledge the valuable support of Robert Collier, Marine School Plymouth 822 University, for his assistance in the construction of the 3D participatory models. 823 824 References 825 826 Barclay, J., Haynes, K., Mitchell, T., Solana, C., Teeuw, R., Darnell, A., Crosweller, H. S., Cole, P., Pyle, 827 D., and Lowe, C.: Framing volcanic risk communication within disaster risk reduction: finding ways 828 for the social and physical sciences to work together, Geological Society, London, Special 829 Publications, 305, 163-177, 2008. 830 Bucchi, M.: Of deficits, deviations and dialogues: Theories of public communication of science, 831 Handbook of public communication of science and technology, 57-76, 2008. 832 Cadag, J. R. D., and Gaillard, J. C.: Integrating knowledge and actions in disaster risk reduction: the 833 contribution of participatory mapping, Area, 44, 100-109, 10.1111/j.1475-4762.2011.01065.x, 2012. 834 Callon, M.: The role of lay people in the production and dissemination of scientific knowledge, 835 Science Technology & Society, 4, 81-94, 1999. 836 Cooke, N. M., and McDonald, J. E.: A formal methodology for acquiring and representing expert 837 knowledge, Proceedings of the IEEE, 74, 1422-1430, 1986. 838 Donovan, K.: Doing social volcanology: exploring volcanic culture in Indonesia, Area, 42, 117-126, 839 2010. 840 Donovan, K., Suryanto, A., and Utami, P.: Mapping cultural vulnerability in volcanic regions: The 841 practical application of social volcanology at Mt Merapi, Indonesia, Environmental Hazards, 11, 303-842 323, 2012. 843 Evans, J. S. B.: Logic and human reasoning: an assessment of the deduction paradigm, Psychological 844 Bulletin, 128, 978, 2002. 845 Eysenck, M. W., and Keane, M. T.: Cognitive psychology: A student's handbook, 6th ed., Taylor and 846 Francis (Psychology Press), East Sussex, 2010. 847 Forrester, M. A.: Doing qualitative research in psychology: A practical guide, Sage, 2010. 848 Frewer, L.: The public and effective risk communication, Toxicology letters, 149, 391-397, 2004. 849 Frodeman, R.: Geological reasoning: Geology as an interpretive and historical science, Geological 850 Society of America Bulletin, 107, 960-968, 1995. 851 Gilovich, T., Griffin, D., and Kahneman, D.: Heuristics and biases: The psychology of intuitive 852 judgment, Cambridge University Press, 2002.

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