

Participatory Approaches in Research and Policy-making

A Practitioners Perspective

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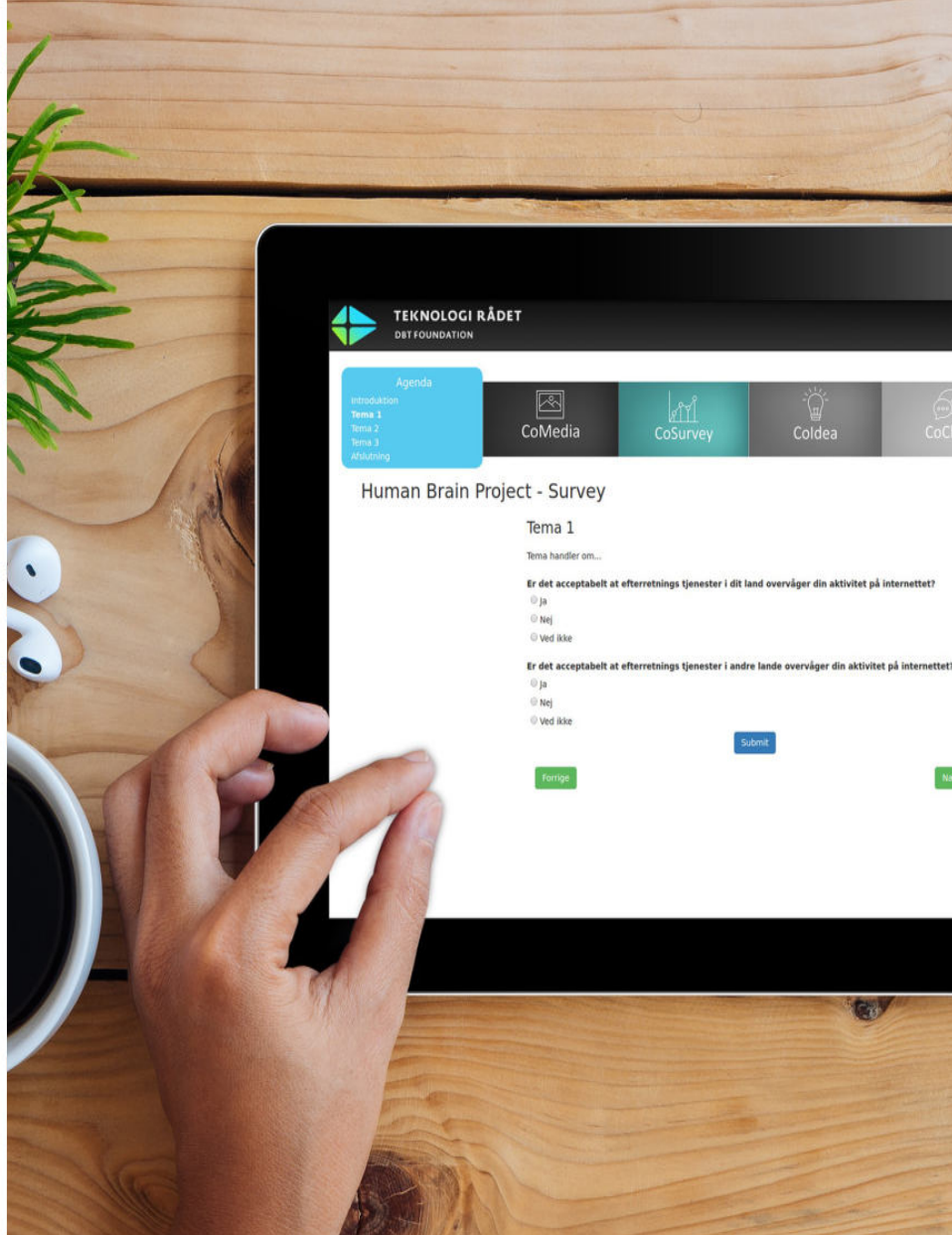
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A HOUSE OF METHODS

The Danish Board of Technology
Foundation

has 30 years of experience in
engaging citizens, stakeholders,
experts and policy makers in
co-creating solutions to societal
challenges



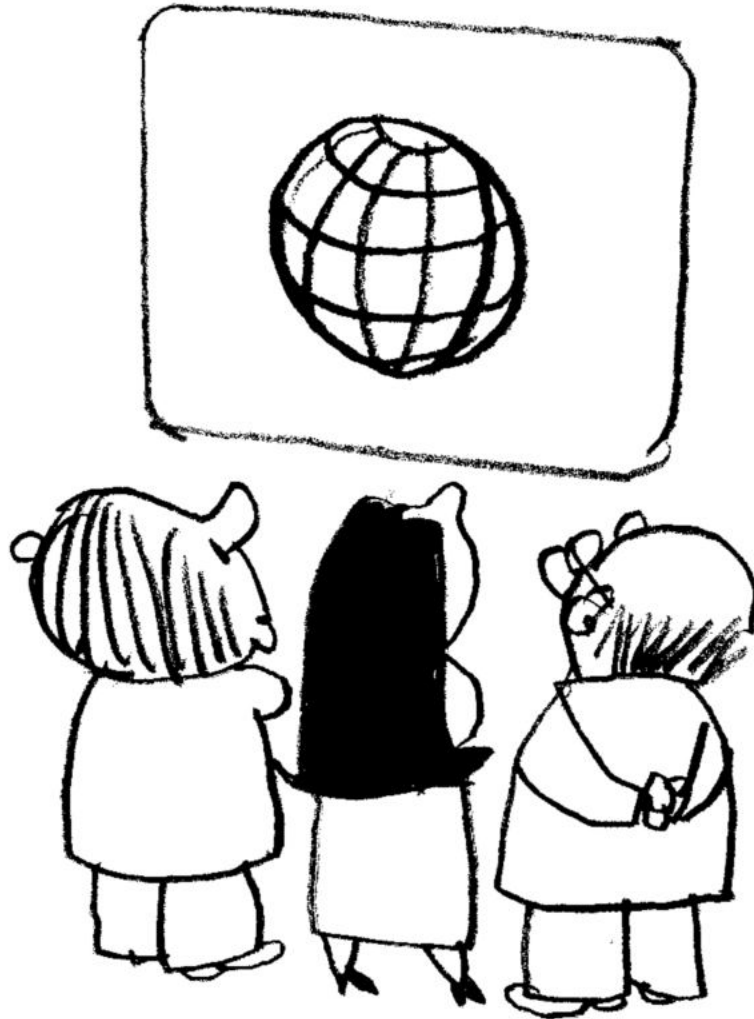
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OUR MISSION

To **advise on new developments** in science and technology

To **inform decision making** with both knowledge and opinions

To **increase the democratic legitimacy** of decision making

To **engage the public** in finding solutions for societal challenges

DBT is a non-profit, private foundation with a common-good aim



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PUBLIC ENGAGEMENT METHODS SERVING

- **The United Nations**
(global citizen consultations)
- **The European Union**
(Responsible Research and Innovation)
- Governments and **Parliaments**
- **Regions** and Municipalities
- **Organisations** and companies



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Definitions

Public engagement/participation

- Stakeholder participation
- Citizen participation

Who's who?

- Stakeholders =
 - Anyone with a stake in decisions to be made
 - Organised groups with vested interests
- Citizens = LAY citizens
 - Civil Society is something else



Why public participation?

Ideological and instrumental arguments

- Democratic legitimacy
- Richer democracy
- Prioritizing public value and the common good
- Building trust
- Innovative (co-creation and collective intelligence)
- Avoiding unintended consequences (anticipation)
- Public acceptance and ownership



When do we need Public Engagement?

- Developments with big influence on many peoples' life
- Great symbolic, cultural or democratic impact
- Implementation is dependent upon backup from the public
- Or politically
- The public is a big investor
- There are risks to manage
- There is uncertainty about the publics' reactions
- 'License to operate' is needed
- Values and interests need to be assessed and balanced
-



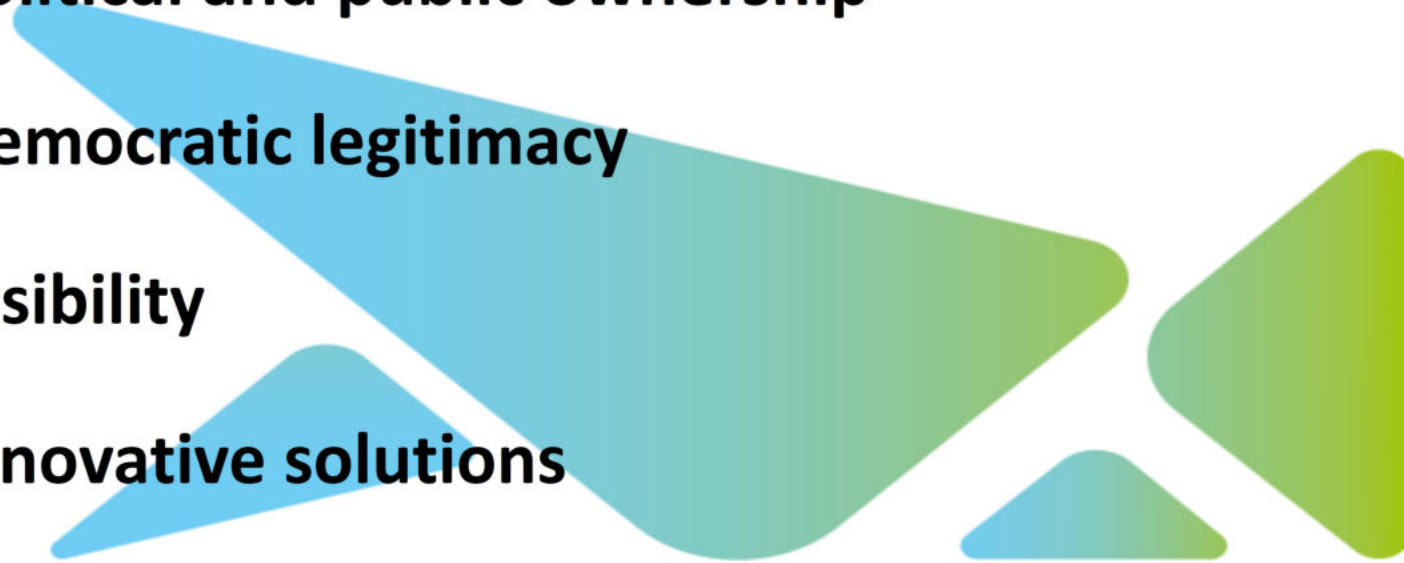
Good public participation should...

- always be tailored to match the situation
- be clearly and transparently connected to decision making (- not pro forma)
- be clearly framed but give room for challenging the framing
- involve all societal actors with a stake in the outcome
- include unbiased information to all involved
- make room for deliberation
- be facilitated by an "honest broker"



OUTCOME OF SUCCESSFUL INVOLVEMENT

- **Political and public ownership**
- **Democratic legitimacy**
- **Visibility**
- **Innovative solutions**
- **Public value**



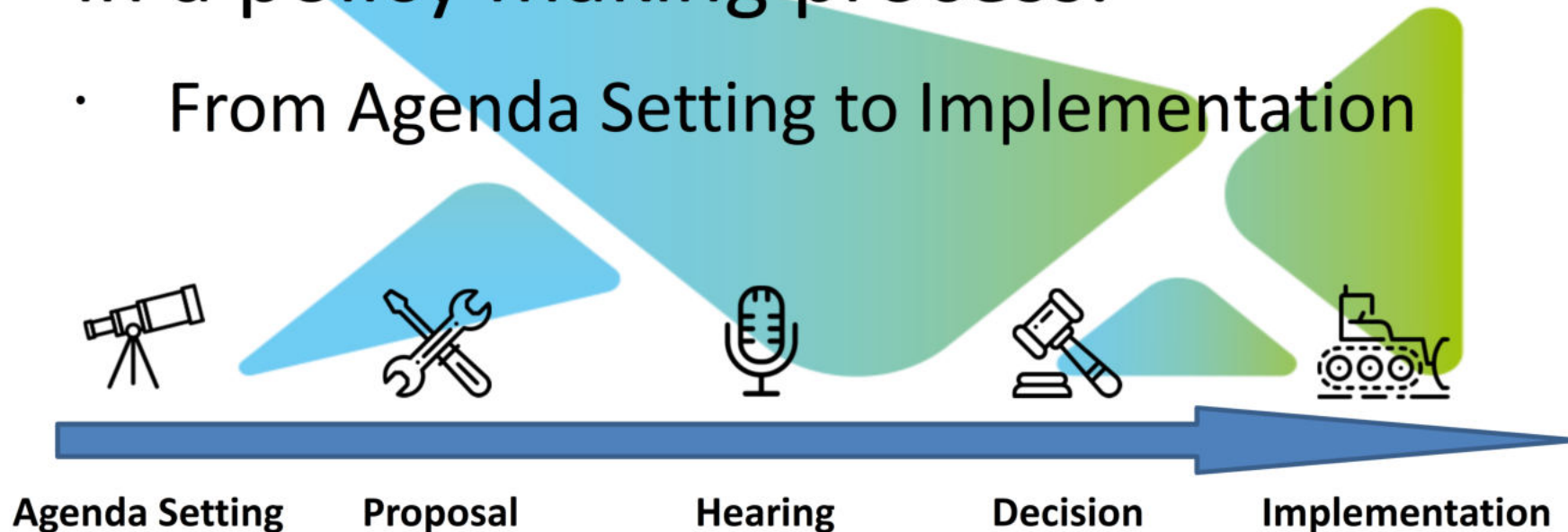
Why is participation (even more) important now?

- Technological disruption
- Wicked problems and transition
- Anti-elitism on the rise
- Decline of representative democracy structures



Public participation is an intervention in a policy making process.

- From Agenda Setting to Implementation



Methods for citizen participation in decision making



Defining the aim

What may be achieved?

	Raising knowledge	Forming attitudes	Initialising action
Tech/Sci aspects	SCIENTIFIC ASSESSMENT <ul style="list-style-type: none"> - Technical options - Comprehensive overview on consequences given 	AGENDA-SETTING <ul style="list-style-type: none"> - Setting the agenda in political debate - Stimulating public debate - Introducing visions for scenarios 	REFRAMING OF DEBATE <ul style="list-style-type: none"> - New action plan or initiative to further scrutinise the problem - New orientation in policies
Societal aspects	SOCIAL MAPPING <ul style="list-style-type: none"> - Structure of conflicts made apparent 	MEDIATION <ul style="list-style-type: none"> - Self-reflection among actors - Blockade running - Bridge building 	NEW DECISION MAKING PROCESSES <ul style="list-style-type: none"> - New ways of governance - Intensification of public debate
Policy aspects	POLICY ANALYSIS <ul style="list-style-type: none"> - Exploration of policy objectives - Assessment of existing policies 	RESTRUCTURING POLICY DEBATE <ul style="list-style-type: none"> - Increased comprehensiveness of policies - Evaluation of policies - Democratic legitimisation 	DECISION TAKEN <ul style="list-style-type: none"> - Filtering of policy initiatives - Implementation of innovation - Passing new legislation

Tools, when your problem is

Missing information/need knowledge..

- Dialogue meetings
 - Meeting citizens in their home setting and learning about their issues and contexts
- Interview meetings
 - Combines a survey with group interview to understanding distribution of viewpoints as well as reasons
- Citizen meeting
 - Hundred to thousands of citizens gathered to deliberate and vote on desired directions
- Survey
 - Overview of attitudes, 'knowledge', 'ideas' etc. e.g. of a representative sample of citizens

Tools, when your problem is Wanting ideas for/reframing the debate..

- Citizen hearing
 - Hundreds of citizens gather to brainstorm, prioritise and develop ideas collected in a 'catalogue of ideas'
- Café seminar
 - Few to thousands of citizens gathered to develop ideas expressed as short (creative) outputs

Tools, when your problem is Needing involvement of/initialising action...

- Future visions workshop
 - Citizens with a shared interest/challenge meet to envision a desired future and agree on shared action
- Open space
 - Participants set their own agenda, decide their own actions and plan own follow-up
- 'Development space' (plannungszelle)
 - Citizens meet over a period of time to develop recommendations and write a report

Methodological considerations

You need to think through:

- What is your 'problem'?
- What would you like to achieve?
- What sample do you need?
- What method is available for your aim?
- What are your resources and skills?

Some quality markers

- **Transparent**; what is going on and how are decisions made?
- **Inclusive**; representativeness and according to what criteria?
- **Impacting**; has a plan for policy buy-in
- **Adaptive**; learn from internal or external responses
- **Well-timed**; often as early as possible for max impact
- **Well-proportioned**; best possible for purpose, impact chance and resources

See e.g: Jack Stilgoe, Richard Owen, Phil Macnaghten (2013), Developing a framework for responsible innovation, *Research Policy*, Volume 42, Issue 9, Pages 1568-1580.

Challenges

- Choose the right method for the challenge
- Getting the policy-makers/decision-makers take up the results
- Recruitment of participants
- Ensure unbiased and relevant information and framing
- Funding



<http://actioncatalogue.eu/>

- Methods for engagement exist for:
 - R&I&T policy development
 - R&I agenda setting
 - Research steering and definition
 - Research activity collaboration



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Examples of participatory processes

- Regional development plan engaging citizens
- Climate change: impact, costs and adaption in the Baltic sea region
- Citizens' summits on health care services
- World Wide Views on Climate Change/Biodiversity/Climate and Energy
- Citizen-based research topics for Horizon2020



REGIONAL DEVELOPMENT PLAN ENGAGING CITIZENS



What should the future North Jutland look like?

200 representatively selected **citizens and stakeholders were asked this question** when a citizens' summit on the future development plan for the region, RUP 2012, was held.

Top 10 recommendations were given to regional politicians

<http://www.tekno.dk/projects/a-citizens-summit-on-the-development-of-the-north-den>



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CLIMATE CHANGE: IMPACTS AND ADAPTION IN THE BALTIK SEA REGION

3 year EU-project where citizens, stakeholders, experts and local municipalities **worked together to create climate adaptation strategies**. DBT coordinated the stakeholder and citizen engagement and trained EU-partners in using participatory methods.

The project led to local, political decisions on adaptation measures and strategies.

<http://www.tekno.dk/projects/baltica-climate-changes-impacts-costs-and-adaption-in-the-baltic-sea-region/?lang=en>



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SUMMITS ON HEALTH CARE

The Regional politicians in the five Danish Regions got 130 suggestions and **visions for the future service** and communication of the regional health care services.

1,000 citizens participated in 2015 and 2011, when the first summits were held.

The citizens' summits were planned and conducted by The Danish Board of Technology Foundation.

<http://www.tekno.dk/projects/five-citizens-summits-on-health-care-services-values-and-ch>

(link to 2011 summits)



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World Wide Views:

Global Citizen Consultations

Climate 2009 – Biodiversity 2012 – Climate and Energy 2015



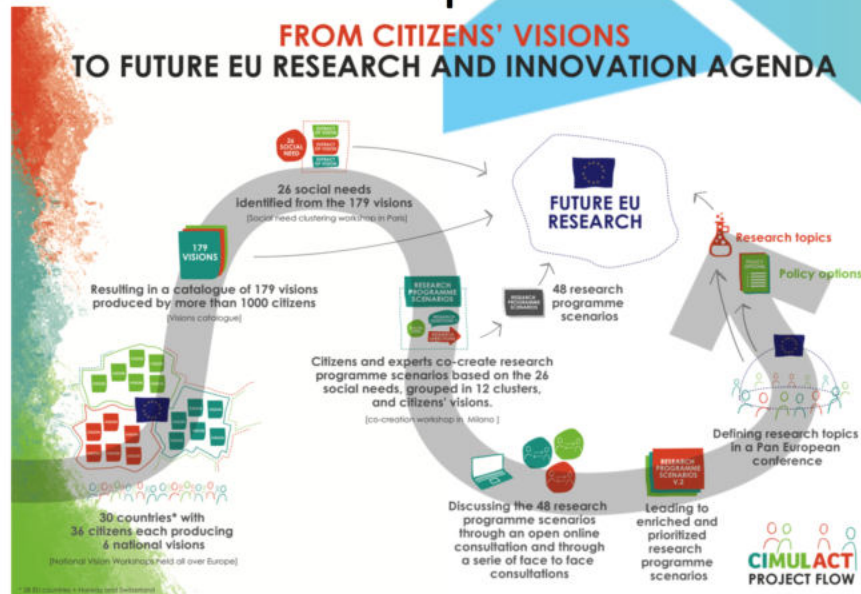
- Citizens all over the world are affected by global environmental policies
- 97 meetings in 76 countries
- Same process, same information, same questions
- On policy, responsibility, ways for the future, priorities, investments ...





Citizen-based research topics for Horizon2020

- 1000 citizens from 30 countries made visions for a wished and sustainable future
- Multi-actors transformed them into research topics



- Outcomes different than those from scientists – more future focused
- Very comprehensive world-view: ‘the whole problem’ from citizens

Online participation

Pros

- Independence of space and time
- Lower costs
- Scaling up

Cons and caveats

- Simplification
- No deliberation



Other examples – Europe Say

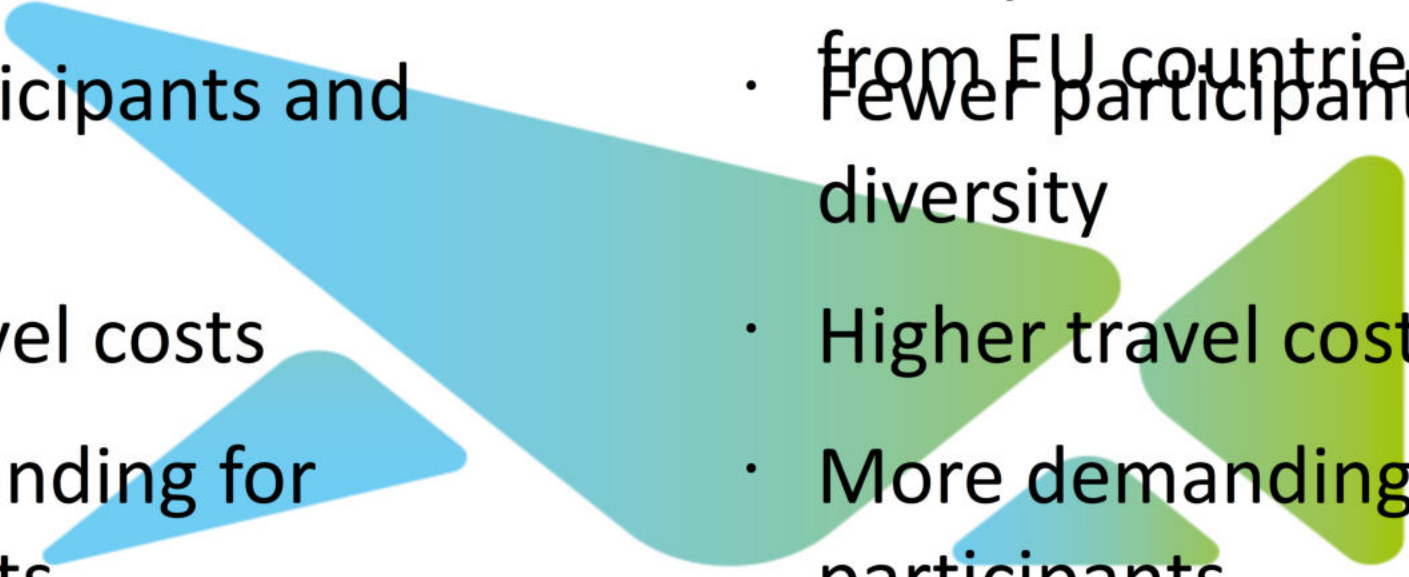
Europe Say on AI (supported by the EngageSuite IT-platform) - Ongoing citizen consultation (part of the Human Brain Project - HBP)

Multiple individual events, each of which are:

- Self-organized: Anyone can set up an event and invite whoever they would like to. No prior knowledge or interest in AI is necessary to take part.
- Distributed: The events can be set up when and where it is convenient for the host. Only requirement is an internet connection.
- Digitally supported: To structure and facilitate the deliberation and the collection of input, Europe Say makes use of an online engagement platform, EngageSuite, which enables everyone to participate in their own language.
- Online information Offline deliberation Online response to questions.



Considerations with European focus

- 
- Parallel processes in EU countries
 - More participants and diversity
 - Lower travel costs
 - Less demanding for participants
 - Deliberation in ones own language
 - No deliberation with citizens
 - Joint process with citizens from EU countries together
 - Fewer participants and less diversity
 - Higher travel costs
 - More demanding for participants
 - Simultaneous translation needed for deliberation
 - Face-to-face deliberation





Thank you



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BaltCICA: Climate Change: Impacts, Costs and Adaptation in the Baltic Sea Region



- **24 partners in 8 countries**
- **Development of adaptation measures**

Mix of competences

- **Geological Survey of Denmark and Greenland (GEUS)**
- **Kalundborg Municipality**
- **DBT**



4 phases



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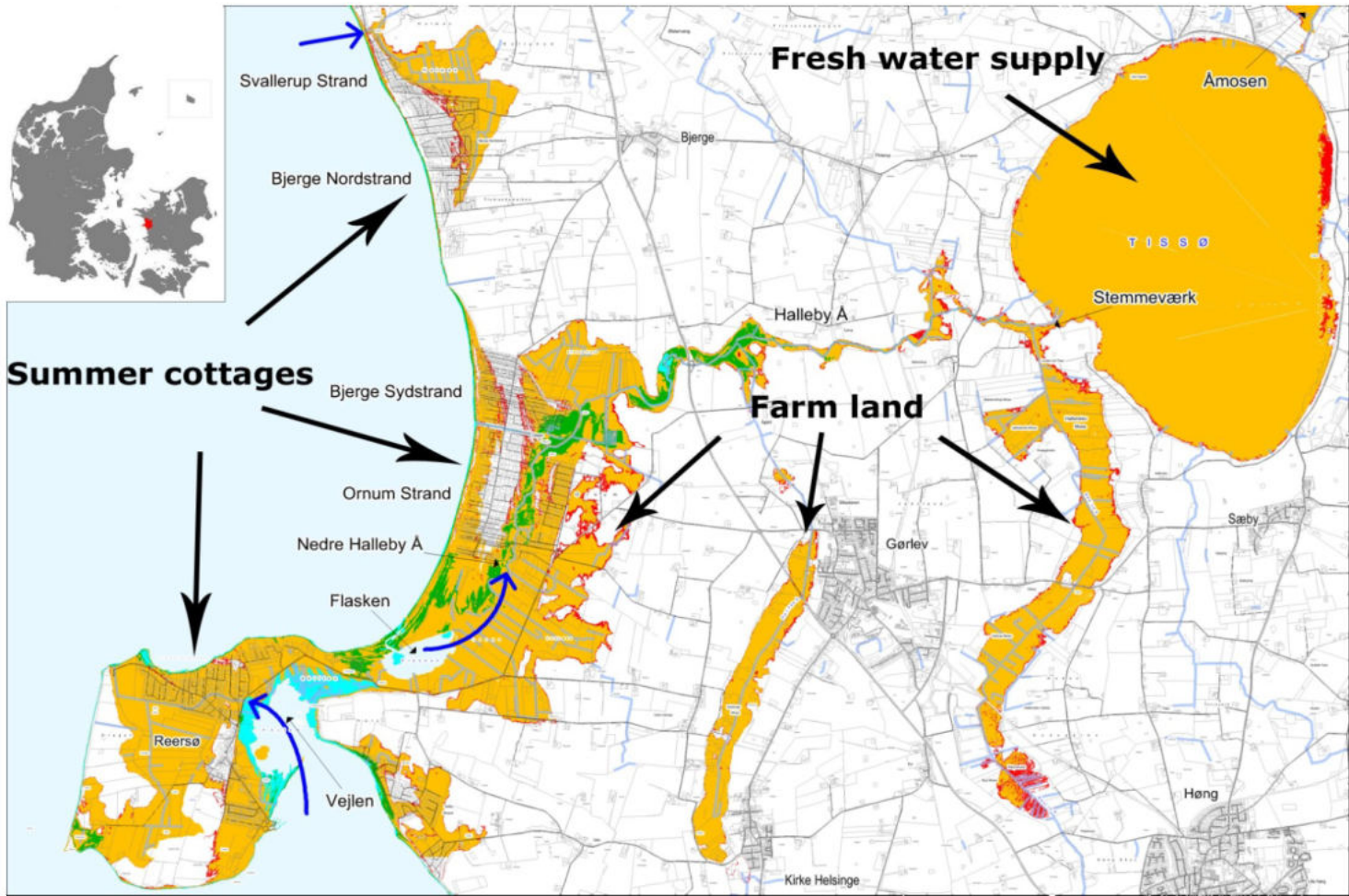
4 phases



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Extreme weather events in 2091



Scenarios

3 alternative futures

What will the area look like at the end of this century if

- **We wait and react when problems arise**
- **We protect current land uses**
- **We adapt land uses to new environment**



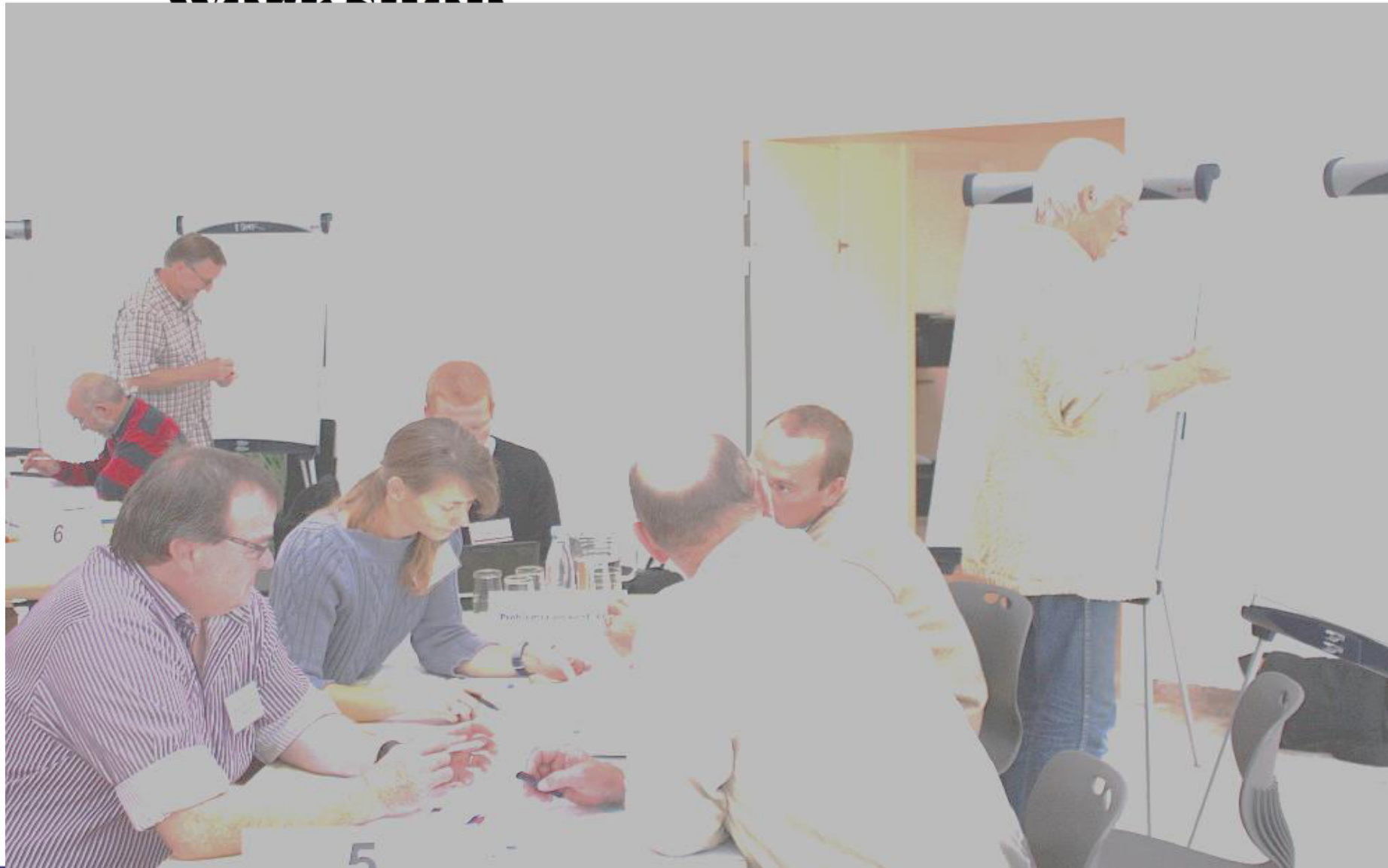
Political process: four phases



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Participants at scenario workshop



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Results from scenario workshop

4 different proposals

1. Let nature develop; nature restoration

2. Phasing out vulnerable activities but taking present interests into consideration
area

- Focus on summer cottage

3. Protection; coast protection, river dikes, water reservoir
- Focus on agriculture

4. Protection based on dikes at open sea



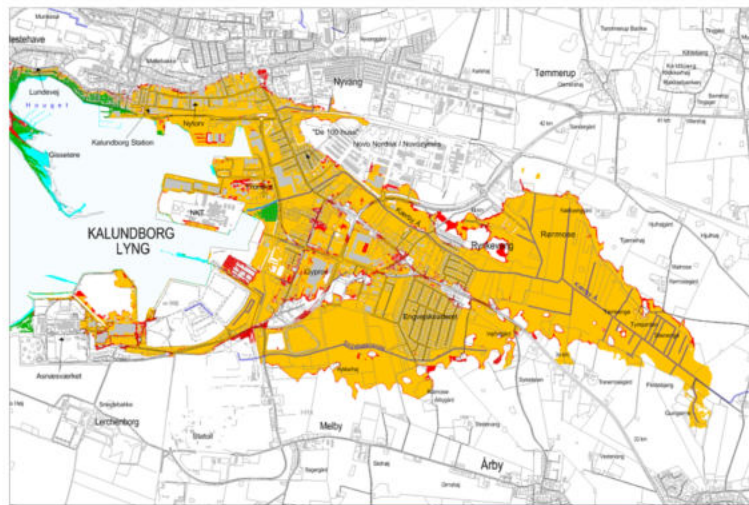
Political process – four phases



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New maps and questions



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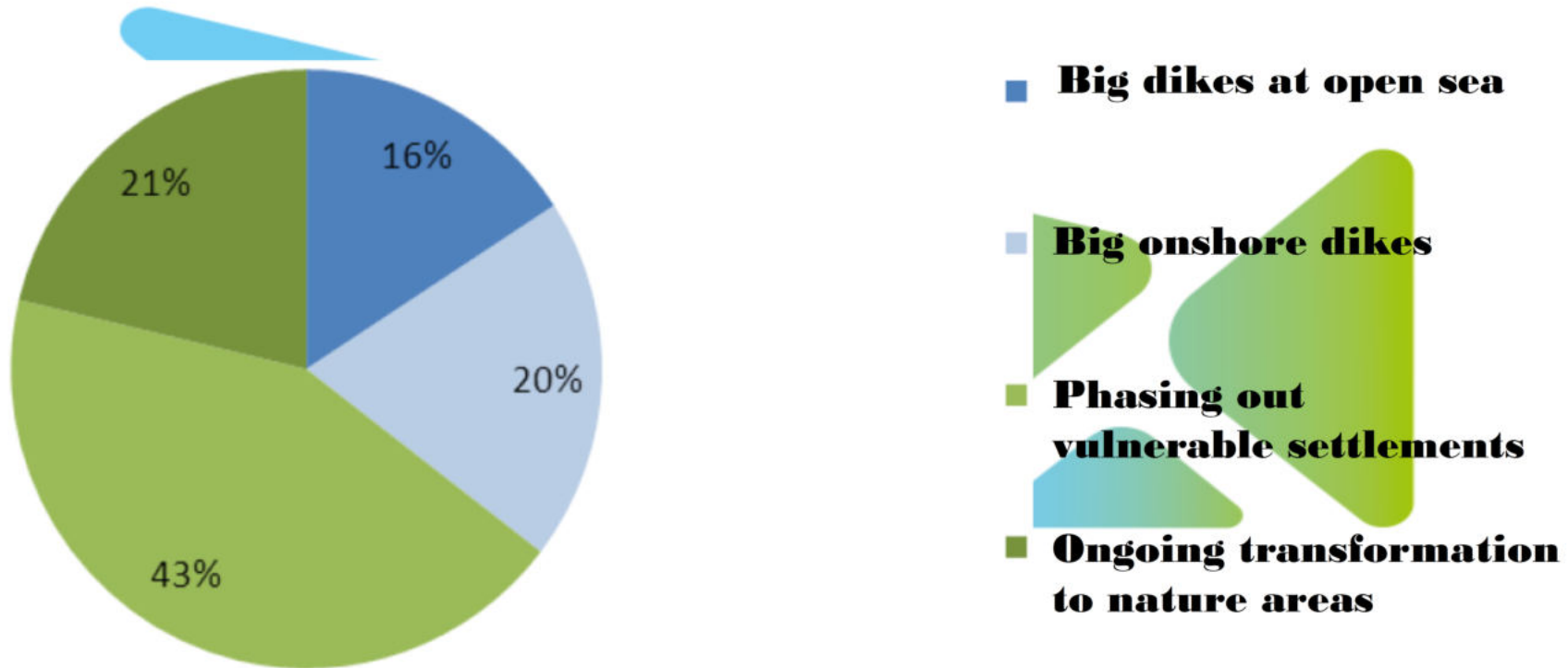
Citizen summit



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Citizen summit – voting results





Kalundborg revisited

- **Adaptation plan finalized**
 - **Pointing out areas that may have to be abandoned in the long run**
 - **Collaboration with harbor authorities and industry about protection of the city**
 - **Earmarking farmland for future flooding to protect city**
 - **Officials experience a joint responsibility among citizens and stakeholders**
 - **Financing still not solved**
-



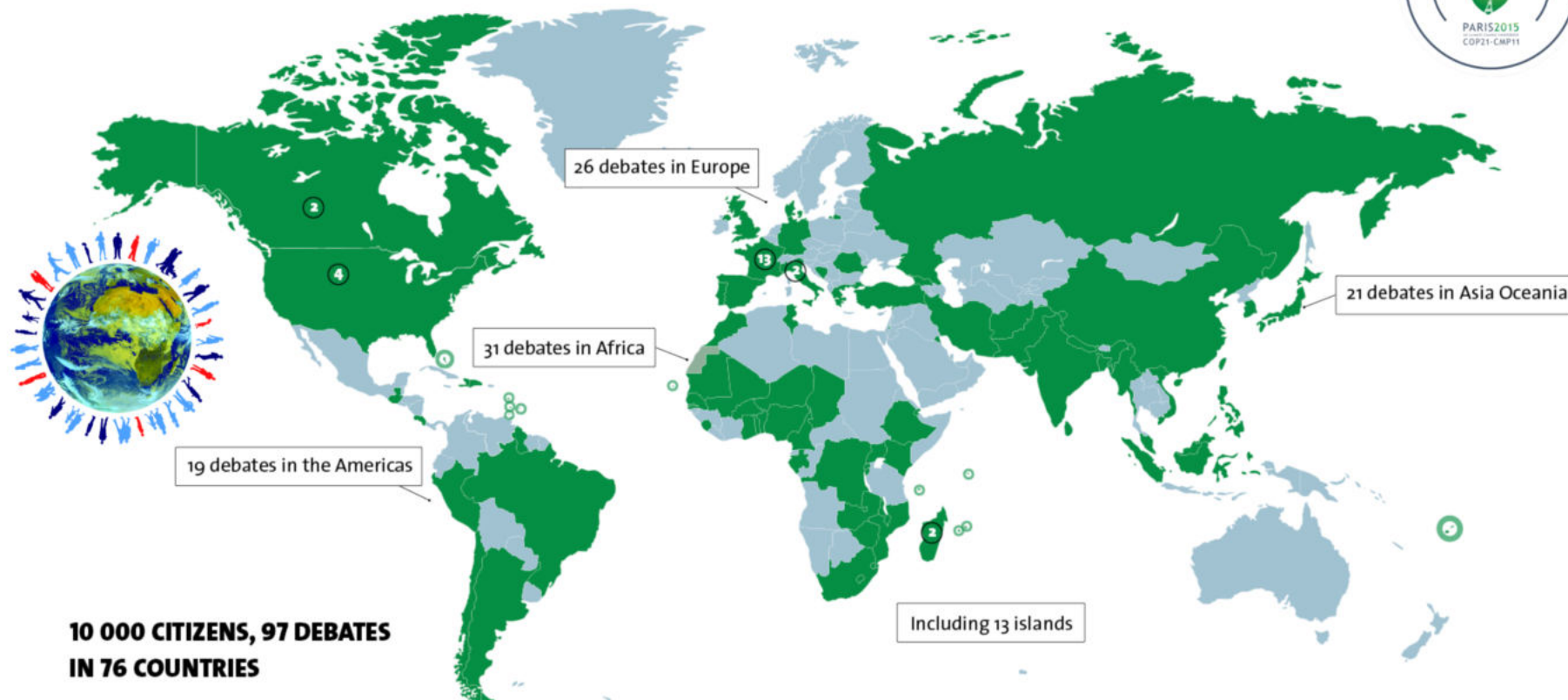
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WORLD WIDE VIEWS ON

Climate and Energy #WWViews



**10 000 CITIZENS, 97 DEBATES
IN 76 COUNTRIES**

COUNTRIES PARTICIPATING IN WORLD WIDE
VIEWS ON CLIMATE AND ENERGY

- | | | | | | |
|----------------------|----------------------|-------------|--------------|---------------------------|-----------------|
| • AFGHANISTAN | • CHAD | • GEORGIA | • KENYA | • PAKISTAN | • SPAIN |
| • ARGENTINA | • CHILE | • GERMANY | • KUWAIT | • PALESTINIAN TERRITORIES | • SRI LANKA |
| • BAHAMAS | • CHINA | • GHANA | • MADAGASCAR | • PERU | • TOGO |
| • BANGLADESH | • COMOROS | • GREECE | • MALAYSIA | • PHILIPPINES | • TUNISIA |
| • BARBADOS | • COSTA RICA | • GRENADA | • MALI | • PORTUGAL | • TURKEY |
| • BENIN | • DENMARK | • GUATEMALA | • MAURITANIA | • ROMANIA | • UGANDA |
| • BOSNIA-HERZEGOVINA | • DOMINICAN REPUBLIC | • GUYANA | • MAURITIUS | • RUSSIA | • UK - SCOTLAND |
| • BRAZIL | • DR CONGO | • HAITI | • MOROCCO | • RWANDA | • USA |
| • BURKINA FASO | • ETHIOPIA | • INDIA | • MOZAMBIQUE | • SAINT LUCIA | • VIETNAM |
| • BURUNDI | • FIJI | • INDONESIA | • MYANMAR | • SENEGAL | • ZAMBIA |
| • CAMEROON | • FRANCE | • IRAN | • NEPAL | • SEYCHELLES | • ZIMBABWE |
| • CANADA | • GABON | • ITALY | • NIGER | • SOUTH AFRICA | |
| • CAPE VERDE | • CAMBODIA | • JAPAN | • NIGERIA | • SOUTH KOREA | |



WORLD WIDE VIEWS ON

Climate and Energy #WWViews



WWViews on Biodiversity - Bolivia



- Lay citizens – demographic diversity
- Informed deliberations – booklet and videos



PALESTINIAN TERRITORIES



NIGER



PAKISTAN



SOUTH KOREA



SANTA LUCIA



VIETNAM



CHINA



MOZAMBIQUE



PHILIPPINES



FRANCE



United Nations
Framework Convention on
Climate Change



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Climate and Energy #WWViews

#WWViews

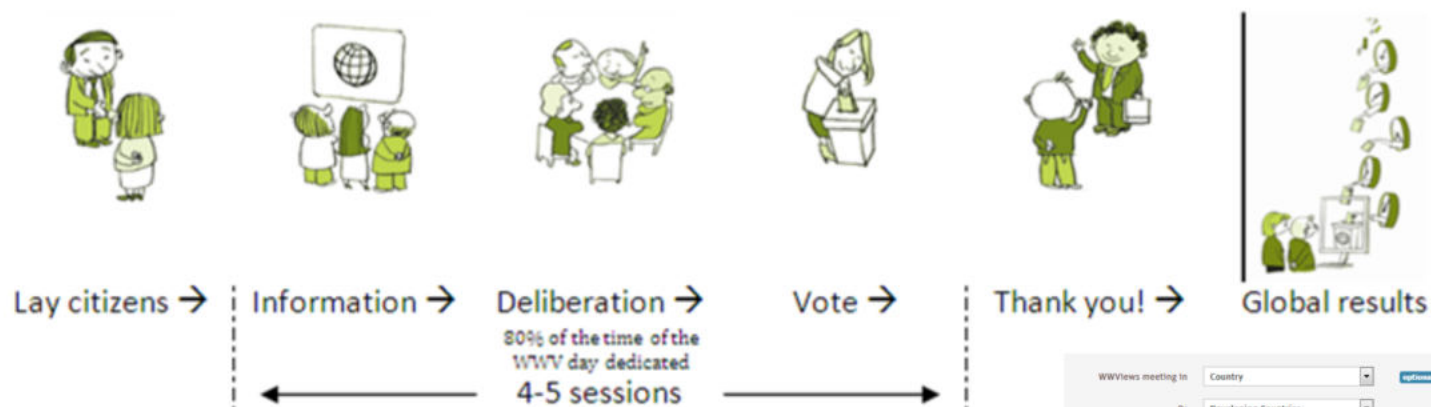




WORLD WIDE VIEWS ON

Climate and Energy #WWViews

Same procedure in all participating countries



Five thematic sessions :

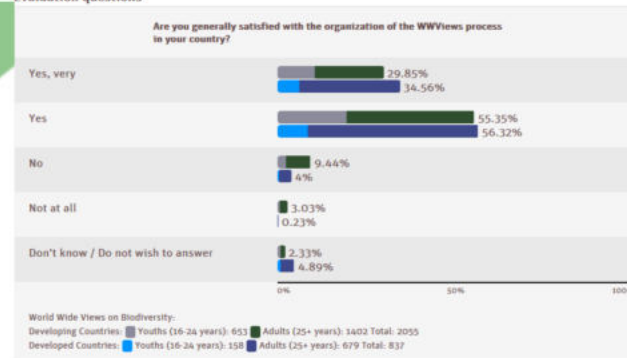
- Importance of tackling climate change
 - Tools to tackle climate change
- UN negotiations and national commitments
 - Fairness and distribution of efforts
- Making and keeping climate promises

WWViews meeting in Compare with

Or Or

Select Select language

Evaluation questions



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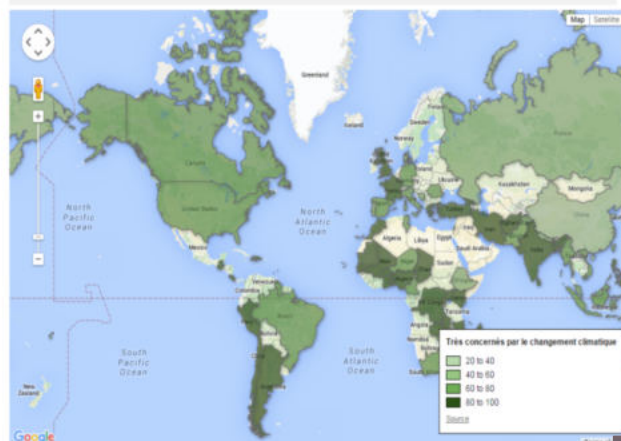
RESULTS





WORLD WIDE VIEWS ON Climate and Energy #WWViews

Plus de 78% des citoyens du monde "très concernés" par le changement climatique



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