INFORMED PARTICIPATION

Workshop on Designing Public Deliberation Processes

Open Government Partnership Practice Working Group on Dialogue and Deliberation

March 2020

The Deliberation Series, Vol III

Middle Ground
Informed Public Participation

Informed Participation

Australian Government
Department of Industry, Science, Energy and Resources

CONTENTS

INTRODUCTION

This third volume of The Deliberation Series contains a toolkit for a two-day workshop on designing public deliberation processes. Our approach, Informed Participation, was developed by the Open Government Partnership's Practice Group on Dialogue and Deliberation and is explained in detail in Volumes I and II of the series (see footnote)[1]. The workshop is based on these two publications.

Preface

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March 2020

Informed Participation uses public deliberation to help citizens and/or stakeholders solve complex issues by working together to turn win/lose solutions into win/win solutions. Two critical ideas define the approach:

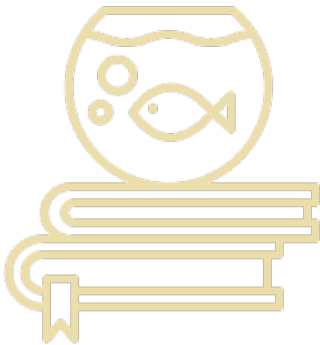
1.

Informed Participation views public deliberation and conventional consultation as fundamentally different kinds of engagement processes. Public deliberation is a **rules-based** approach to finding solutions. Used well, these rules discipline and guide the dialogue in ways that lead participants toward shared or win/win solutions.

2.

Informed Participation arrives at win/win solutions principally by **reframing existing issues**, that is, by bringing participants with conflicting views together around a new, shared view of an issue.

The approach is defined and explained in full in *Deliberation: Getting Policy-Making Out from Behind Closed Doors*, Volume I of The Deliberation Series.



[1]The three volumes of The Deliberation Series are posted on the OGP website and can be downloaded by following the link below. Volume I, Deliberation: Getting Policy-Making Out from Behind Closed Doors, explains the conceptual foundations of Informed Participation. Volume II, Informed Participation: A Guide to Designing Deliberative Processes, is a step-by-step guide to designing Informed Participation processes: https://www.opengovpartnership.org/documents/deliberation-getting-policy-making-out-from-behind-closed-doors/

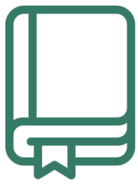
Informed Participation starts from the premise that there is no "cookie-cutter" for public deliberation. We believe that every process is different, and that the challenge of good design is to make the process fit the task. How to find the right fit is the overarching question for this workshop.

Our toolkit contains four basic tools, each of which plays a specific role:

1. The Annotated Agenda identifies the workshop sessions and their objectives, defines a broad plan for the discussion, sets milestones, and allots the time for different sessions.

2. The Presentation Slides follow the steps set out in the Guide, summarizing its key steps. The trainer will use them to lead the workshop.

3. The Participant Workbook contains material for three breakout sessions in which participants will develop the terms of reference for an issue of their choosing.



4. The Trainer's Guide provides some speaking notes, suggestions, and tips for the Trainer on how to present the slides.

Checklists of questions play an especially important role in our approach and in the workshop. They help a designer identify tensions and issues that need to be addressed by the process. However, because every process is different, the specific questions that need to be considered will shift and change with the circumstances.

Furthermore, there is rarely a right or wrong answer to them; usually, this is about making better and worse choices. Our checklists are a guide to the kinds of questions that need to be asked, but they are not exhaustive. Judgment and common sense must be used at every step along the way.

Ultimately, Informed Participation is about getting citizens and stakeholders to take greater ownership of the solutions to issues by giving them a more meaningful role in finding those solutions. And for that, governments must be willing to engage them more fully and openly in the planning process. Informed Participation brings the two sides together.

Engaging the public this way can pose special challenges and concerns for governments, including issues around privacy, accountability, transparency, and the traditions of representative government. Informed Participation has been designed specifically for governments (and other public sector organizations) to help them deal with these concerns in a transparent and principled way, at each step of the process. Our approach is about finding solutions that work for governments and people.

In preparation for the workshop, trainees are encouraged to read Volumes I and II of The Deliberation Series. In Volume I, we explain the conceptual foundations of Informed Participation; Volume II is a step-by-step guide to designing Informed Participation processes. The materials in this toolkit are based on these two documents and the presentations, discussions and exercises draw freely from them.

ANNOTATED AGENDA

Day one

8:30-8:45am

Getting Started

The Trainer introduces him- or herself, welcomes trainees, and invites each of them to introduce themselves and tell the group about any relevant experience they've had with deliberative processes. The Trainer comments on the main objectives of the course, which include:

- Reviewing the foundational concepts of public engagement
- Explaining public deliberation as a rules-based approach to open policy making
- Introducing participants to Informed Participation as an approach for designing deliberative processes

The Trainer reviews the agenda.

8:45-10:30am

The Public Engagement Framework

The Trainer presents the key ideas that define Informed Participation, including explanations of what public deliberation is, how it differs from consultation, why it is important, why it works, and when it should be used. The presentation is based on Volume I of The Deliberation Series: *Deliberation: Getting Policy-Making Out from Behind Closed Doors.*

10:30-10:45am

Morning Break

Day one

10:45-11:30am

1st Breakout - Choosing an Issue

This is the first of three breakout sessions that participants will use to develop a mock engagement plan. They will be grouped in teams of about five people. In this first session, each team will choose a real issue as the subject for their plan. At least one team member must be familiar enough with the issue and the circumstances around it to answer the team's questions as they develop their plan. A second team member will serve as the notetaker and will report back to the rest of the participants on the team's progress as the plan evolves.

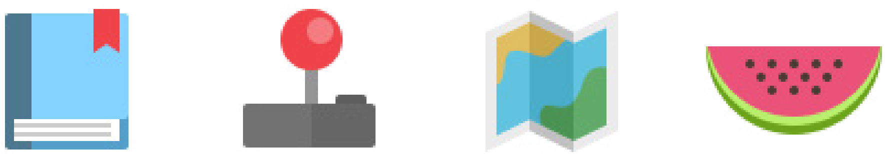
11:30-12:00pm

Report Back

Each team will take a few minutes to report back on their choice of an issue: What is it? Why did they choose it? Were the other options? The Trainer will provide comments and invite questions from the other participants.

12:00-1:00pm

Lunch



1:00-1:30pm

A Case Study

The Trainer will present an example of a public deliberation process to illustrate key features of the approach, including the differences with public consultation, the strategy for re-framing issues, and so on.

Day one

1:30-2:00pm

The Terms of Reference: Initial Planning Tasks

i) Understand the Terms of Reference

Objective
To help trainees understand the role of a terms-of-reference document in Informed Participation.

The Discussion
The terms-of-reference document is the authoritative statement of the process objectives, the issue(s) to be solved, and the scope for recommendations from participants. A well-designed document is essential for process planning and management.

ii) Create the Planning Team

Objective
To help trainees assess the range of interests, knowledge, and skills the Planning Team will need to carry out its tasks.

The Discussion
The tasks of drafting the Terms of Reference and designing the engagement process are usually carried out by a committee. This session considers who should be on such a committee, its optimal size, and whether it should involve citizens and/or stakeholders.

iii) Engage the Decision-Makers

Objective
To help trainees understand how and why decision-makers must be engaged from the outset.

The Discussion
The Trainer will ask participants to imagine they are planning a deliberative process and that they have a ½ hour with the minister and department secretary to discuss. What questions do they need answered to move ahead confidently?

Day one

2:00-3:00pm

Frame the Dialogue

Objective
To clearly state the goals of the process and to position the issue(s) for a successful, win/win dialogue.

The Discussion
In the early stages of a dialogue, participants' views usually diverge, sometimes greatly. Informed Participation aims at overcoming these differences by helping participants find win/win solutions. The Terms of Reference sets the stage by framing the dialogue in a way that encourages an open-ended exploration of the issues. This involves three basic tasks:

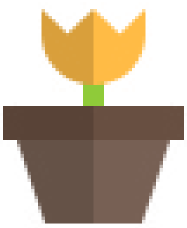
1) Set the Project Objectives
The Trainer will discuss key issues around project objectives, such as who sets them and what to do about conflicting views on the objectives.

2) Explore the Issue Space
To say that an issue like poverty is "complex" is to say that it can have a wide variety of causes, such as gender differences, education levels, and so on. Informed Participation shows participants how exploring these connections leads to a more holistic view of the issue, which, in turn, makes it possible to find win/win solutions.

3) Define the Scope for Solutions
The process cannot succeed without the support of decision-makers. To be comfortable with the process, they must set clear boundaries around the kinds of solutions they will accept. In effect, they must declare what is "on the table for discussion" and what is not.

3:00-3:15pm

Afternoon Break



Day one

3:15-4:10pm

2nd Breakout – Frame the Dialogue

In this second breakout, teams will use the issue they've selected to carry out the three tasks that will help them frame their dialogue. This is a critical step in drafting the terms of reference for their projects.

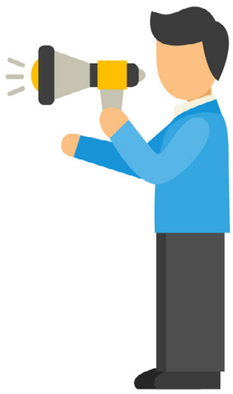
4:10-4:15pm

Wrap-Up

Day two

8:45-9:00am

Review of Day One



9:00-9:30am

Report Back from Second Breakout

9:30-9:45am

Establish the Steering Committee

Objective
To help participants understand the Steering Committee's leadership role in the process; and to underline the importance of taking an inclusive approach to planning.

The Discussion
Stage 2 begins by establishing the Steering Committee that will develop the engagement plan – including designing the process – and oversee its implementation. The Trainer will explain the leadership role the Committee plays and consider the composition and skills it will need to fulfill its tasks.

Day two

9:45-12:00pm

Design the Process (includes Morning Break)

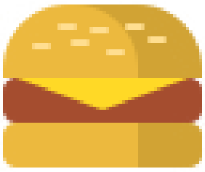
Objective
To provide trainees with tools for designing an engagement process that matches their objectives, the deliberation challenge and available resources.

The Discussion
This session is the longest and most complex part of the workshop. The Trainer will use five basic questions to walk participants through the main tasks in designing an effective Informed Participation process:

1. Who are the participants?
2. Which engagement tools will be used?
3. What are the milestones?
4. What dialogue style will be used?
5. Are the timelines and resources adequate?

12:00-1:00pm

Lunch



1:00-1:10pm

Resources and Timelines

Effective planning of an engagement process requires reliable information on the available resources and the timelines for delivery. This session poses key questions about them that must be asked and answered by the project designers.

1:10-1:30pm

Recruit the Facilitator

Objective
Help participants understand the critical role the facilitator plays in making deliberative processes successful.

The Discussion
To find a win-win, the participants must work together as a team. This, in turn, requires a high level of trust, both in the process and between the participants. The facilitator plays a critical role in helping participants understand and trust the process, and to work with one another in ways that lead to a win/win. This session considers three special roles the facilitator must play:

1. The Traffic Cop
2. The Referee
3. The Guide

Day two

Effective planning of an engagement process requires reliable information on the available resources and the timelines for delivery. This session poses key questions about them that must be asked and answered by the project designers.

1:30-2:30pm

3rd Breakout – Designing the Process

In the third and final breakout session, participants will develop an outline of the process they would use to solve their issues. As well as defining the process, they will define process governance, and provide some thoughts on who are the participants likely to be.

2:30-2:45pm

Afternoon Break

2:45-3:25pm

Report Back and Open Plenary Discussion

The groups will have a chance to report back on their process outline. However, this final plenary session will also provide an opportunity for participants to raise questions about any aspect of their discussions over the last two days to help them review and consolidate what they have learned.

3:25-3:30pm

Wrap-Up

INFORMED PARTICIPATION: A WORKSHOP ON DESIGNING DELIBERATIVE PROCESSES

Agenda

Day One

8:30 – 8:45 am:	Getting Started
8:45 – 10:30 am:	The Public Engagement Framework
10:30— 10:45 am:	Morning Break
10:45 – 11:30 am:	1st Breakout - Choosing an Issue
11:30 – 12:00 pm:	Report Back
12:00 – 1:00 pm:	Lunch
1:00 – 1:30 pm:	A Case Study
1:30 – 2:00 pm:	The Terms of Reference: Initial Planning Tasks
2:00 – 3:00 pm:	Frame the Dialogue
3:00 – 3:15 pm:	Afternoon Break
3:15—4:10 pm:	2nd Breakout – Frame the Dialogue
4:10 – 4:15 pm:	Wrap-Up

Day Two

8:45 —9:00 am:	Review of Day One
9:00 —9:30 am:	Report Back from Second Breakout
9:30 – 9:45 am:	Establish the Steering Committee
9:45 —12:00 pm:	Design the Process (includes Morning Break)
12:00 – 1:00 pm:	Lunch
1:00 – 1:10 pm:	Resources and Timelines
1:10 – 1:30 pm:	Recruit the Facilitator
1:30 – 2:30 pm:	3rd Breakout: Designing the Process
2:30—2:45 pm:	Afternoon Break
2:45 —3:25 pm:	Report Back and Open Plenary Discussion
3:25 —3:30 pm:	Wrap-Up

THE PARTICIPANTS' WORKBOOK

THE PARTICIPANTS' WORKBOOK

Introduction

The Participants' Workbook is part of a toolkit for a two-day workshop on designing Informed Participation processes. The Workbook contains three exercises to help the participants explore key challenges in constructing a Terms of Reference document (TOR) and designing an engagement process. Workshop participants will be organized into small teams of about five people and will complete the exercises over three breakout sessions during the two-day session.

The content for the Workshop is based on two earlier publications, Volumes I and II of The Deliberation Series (see footnote[2]).

[2] The three volumes of The Deliberation Series are posted on the OGP website and can be downloaded by following the link below. Volume I, Deliberation: Getting Policy-Making Out from Behind Closed Doors, explains the conceptual foundations of Informed Participation. Volume II, Informed Participation: A Guide to Designing Deliberative Processes, is a step-by-step guide to designing Informed Participation processes: https://www.opengovpartnership.org/documents/deliberation-getting-policy-making-out-from-behind-closed-doors/

Breakout #1

Mapping the Issue Space

Objective:
To help participants understand what makes an issue "complex" and how a complex issue can be "framed" in different ways.

Breakout #1
Mapping the Issue Space

The Exercise:
To say that an issue like child poverty is "complex" is to say that multiple factors combine to produce it. For example, these factors might include cultural discrimination, economic status, gender differences, educational levels, economic policy, and/or technological change. Conventional policy debates often oversimplify complex issues by framing them around a small cluster of causes. For example, diversity advocates might argue that poverty is the result of various kinds of cultural discrimination, while labour unions might claim it is the result of free trade and/or automation.

The stakes here can be very high. If the diversity advocates win, resources are likely to flow in their direction, say, by using public funds to raise awareness around cultural differences. On the other hand, if poverty gets framed as the consequence of a new trade deal or technological change, resources are more likely to be channeled into, say, re-training initiatives or new educational opportunities.

Framing issues too narrowly pits these different sides against one another, which can be highly divisive. Informed Participation takes a different approach. It starts from the assumption that complex issues require complex solutions. It therefore works to build agreement among the participants by helping them recognize that complex issues have different sides or aspects. Exploring these aspects reveals the connections the issue has to different kinds of causes and helps participants with different perspectives realize that, rather than struggling against one another, they should we working together to find a comprehensive solution to the issue.

Each team will choose an example of an issue that has been publicly framed in a divisive way. Their task is to explore and document different aspects of it and, ideally, to show how and why these different perspectives are better understood as aspects of a more complex whole. One team member will serve as the notetaker and rapporteur and will report back to the rest of the participants on the findings from the group's discussions. The following questions may be helpful:

Questions to for a holistic approach
- How is the issue currently being framed?
- Do people disagree over how it should be framed?
- How complex is the issue?
- Can we "map" the issue space far enough to identify some important holistic connections that could be recognized in the Terms of Reference and encourage further exploration of the dialogue space?

Breakout #2
Identifying the Deliberative Challenge

Session Objective:
To help participants develop a capacity to distinguish between different kinds of deliberative tasks that are at work in an issue.

The Discussion:
Informed Participation distinguishes between three different types of dialogue tasks or challenges. These are explained in The Guide (Vol II of the series), using the following three examples:

1. The Expert Challenge – Foreign Credential Certification
2. The Mixed Challenge – The Banknote Case
3. The Values Challenge – The Assisted Dying Case

It is usually possible to find clear examples of these different types of challenges in the news. However, some issues are exceptions. Sometimes all three challenges overlap in ways that make it difficult to say which one is dominant.

The task for this exercise is twofold: (1) identify three current issues from local, state/province, or national news (one for each task) where the deliberative task is relatively clear; and (2) identify a current example from the news where these tasks overlap in ways that make it unclear which one dominates. Provide a succinct account of how your group feels the challenge is affecting public debate on each of these issues. The following questions may help:

What sort of analysis does this task involve:
- Balancing competing values or priorities?
- Setting priorities or objectives?
- Sorting through difficult technical matters?
- Assessing available evidence?
- Weighing arguments and conducting analysis?
- Are the solutions likely to be win/lose or win/win?

Breakout #3

Defining the Process

Objective:
To help participants better understand some key tasks in designing a deliberative process.

The Exercise
Participants will use this third breakout session to produce an outline or thumbnail sketch of an engagement process for an issue of their choosing, by answering four questions:

1. What is the likely dialogue style?
2. Which tools will be used to engage the participants?
3. How big will the process be?
4. Who are the right participants?

Let's consider each of these questions in turn

1. What is the likely dialogue style?
Choosing a dialogue style is a big step in designing the process; it sets the broad parameters for the process. Once the style has been decided, the specific design choices become a lot easier. The following questions should help participants make this choice for their issue:

Questions for picking the dialogue style and setting the scale:
- What is the process trying to achieve?
- What kind of dialogue challenge needs to be solved?
- What are the recommendations likely to involve?
- How divided are the participants on the issue(s)?
- Who needs to be involved to find a solution?

Breakout #3
Define the Process

2. Which tools are likely central to an engagement process on the issue your group has chosen?

Designing an engagement process is like creating a necklace out of beads of various shaped and colours: we artfully add one bead at a time to the string, taking care that each one fits neatly with the ones around it, while also contributing to the overall pattern for the necklace. As with beads, there are many different design tools to choose from, including, town halls, roundtables, workshops, conferences, conference calls, interviews, surveys, and all kinds of online tools. The following questions may help:

Questions for Picking a Tool:

- What task is this tool meant to accomplish?
- How does it contribute to the goals of this stage of the process?
- How does it fit with what came before it and what will come after it?
- Does it engage the right participants for the task?
- Will there be any difficulty in getting the right participants to join in?
- Are any special skills, expertise, or information needed for this tool to succeed?
- Do we have the resources and/or time to use this tool effectively?

3. How big is the process?

It's usually possible to provide a ballpark assessment of the process scale from some basic information, such as its objectives, the level of public concern, the kind of deliberative task, and the resources that will be available. The following questions should help participants provide such a ballpark assessment:

Question on the scale of the process:

- Who is interested in the issue?
- What kind of issue is it: Values-based? Technical? Procedural?
- Will the process need to travel to different cities or regions?
- Will there be lots of events or just a few?
- Will there be an online component?
- Will it be the same people or different ones at the various sessions?

Breakout #3
Defining the Process

4. Who are the right participants?

Participants should provide an assessment of the number and range of participants they think will be required to make the process a success. The following questions may be helpful:

Question about participants as representatives:

- What sorts of participants are likely to be involved in this process: citizens, stakeholders, government representatives, experts, or some combination of all four?
- Should the process be open to everyone or will some citizens or stakeholders act as representatives for other citizens or stakeholders? Why and where? What tasks will they need to perform?
- Should the same participants be involved throughout the process or should different subgroups be involved at different stages?

THE TRAINER'S GUIDE

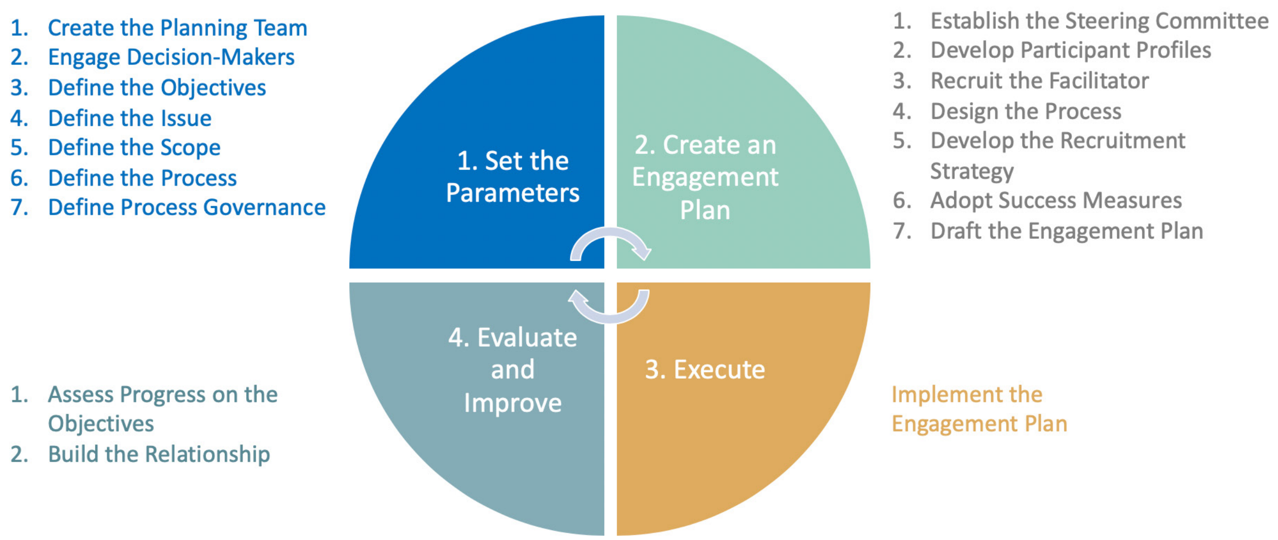
THE TRAINER'S GUIDE

Introduction

The Trainer's Guide (TG) is part of a toolkit for our two-day workshop on designing Informed Participation processes. It provides the Trainer with some prompts and tips on how to use The Presentation Slides, which are also part of the kit. The TG is NOT the principal source of content for the slides and workshop. For that, Trainers should consult Volumes I and II of The Deliberation Series[3]. Each section of the TB below includes a reference to specific pages in Volume II (The Guide), where a fuller discussion of the topic is provided.

The following diagram provides a summary of the design process, as it is laid out in Volume II or The Guide:

The Informed Participation Cycle



Although the workshop is based on Stages 1 and 2 from this diagram, the presentation slides and the TG are organized a bit differently. For brevity, some of the steps have been combined with others; and, in some places, the order has been altered. Basically, the TG and presentation slides contain an abridged version of the material in The Guide; nevertheless, all the essential steps in the design process are included.

Finally, while the workshop includes an important section on our Public Engagement Framework, this topic is not discussed in the Trainer's Guide. For help with this section, trainers should consult Deliberation: Getting Policy-Making Out from Behind Closed Doors, Volume I of The Deliberation Series, which provides a lengthy and comprehensive discussion of the Framework.

[3]The three volumes of The Deliberation Series are posted on the OGP website and can be downloaded by following the link below. Volume I, Deliberation: Getting Policy-Making Out from Behind Closed Doors, explains the conceptual foundations of Informed Participation. Volume II, Informed Participation: A Guide to Designing Deliberative Processes, is a step-by-step guide to designing Informed Participation processes: https://www.opengovpartnership.org/documents/deliberation-getting-policy-making-out-from-behind-closed-doors/

Stage 1: Setting the Parameters

1.The Terms of Reference

(See Informed Participation: A Guide to Designing Deliberative Processes [hereafter cited as “The Guide”]: Section 1, Page 12)

The Terms of Reference

1.1 Create the Planning Team
1.2 Engage Decision-Makers
1.3 Define the Objectives
1.4 Define the Issue
1.5 Define the Scope

Session Objective

To help trainees understand the role that a terms-of-reference document plays in Informed Participation.

The Discussion

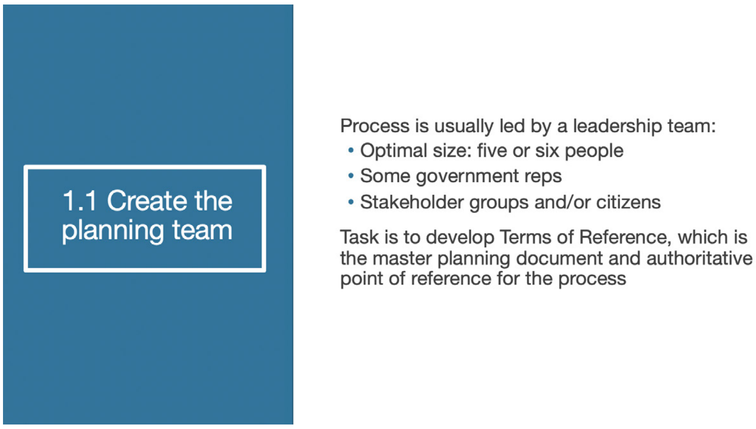
The terms-of-reference document (TOR) is a critical tool for Informed Participation. A well-designed TOR sets out the process objectives, the issue(s) to be solved, and the scope for recommendations from participants. The TOR serves as an authoritative point of reference for planning decisions or to help solve process management issues. The document may be a few pages in length or considerably longer, though it would rarely exceed 15 pages.

The TOR is usually drafted by a planning team; its contents will evolve and change significantly, as the committee works through the tasks. In effect, the TOR is the committee’s final report on their planning process. It sets out the guidelines, rules, objectives, key issues, process description, and more. The document should be finalized and approved by the process sponsors before moving to Stage 2.

Stage 1: Setting the Parameters

1.1 Create the Planning Team

(The Guide: Section 1.1, Page 13)



Session Objective

To help trainees identify the knowledge and skills the planning team will need to complete its tasks.

The Discussion

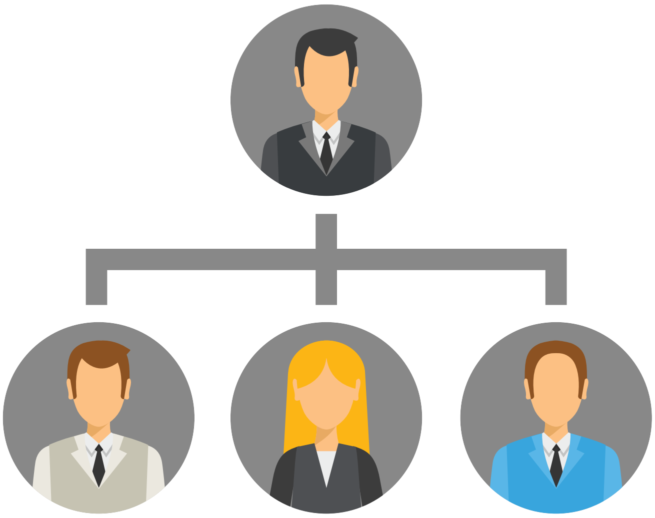
This session informs participants on what to consider when creating a planning team: Who should be included? What is the optimal size? Should it involve citizens and/or stakeholders? Further considerations might include the following:

- The Terms of Reference will be the authoritative point of reference for the process. In drafting it, the Team will have to make some difficult choices about the objectives, scope, scale, and structure of the process. To do its job well, the Team can't be micro-managed by the sponsoring department. While the Team needs access to the decision-makers in the sponsoring department, they, in turn, must show confidence in the Team and allow it some real independence.
- The Team may need special skills, expertise, experience, or information to ensure that its deliberations and decisions are fully informed.
- The size of the Planning Team will vary, depending on the process. It might have as many as seven or eight members, or as few as two. Ideally, it will include people from both inside and outside government, to help ensure its deliberations and decisions are balanced.
- The Team should be headed by a chair, who will be responsible for convening meetings, setting the agenda and liaising with decision-makers.

Stage 1: Setting the Parameters

Questions when creating a planning committee:

- What is the optimal size for this project?
- What special skills, expertise, experience or information will be needed?
- Does the Team have the confidence of the decision-makers?
- Does it have adequate access to them?
- Will there be members from outside the sponsoring department?
- Will the Team have legitimacy in the eyes of stakeholders?
- How will the Chair be selected?
- To whom does the Chair report?
- If the Team's members disagree on a matter, who makes the final decision? The Chair?
- What steps will be taken to ensure that Team's members understand how Informed Participation works?
- What can be done to ensure that the ongoing support of senior management and the minister?



1.2 Engage Decision-Makers

(The Guide: Section 1.2, Pages 13-14)

1.2 Engage decision-makers

You are planning a significant deliberative project and you have a ½ hour with the lead decision maker(s) to discuss.

What **strategic** questions do you need them to answer about the project, so that you can move ahead?

Session Objective

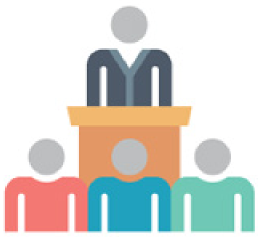
To help the trainees understand how and why decision-makers must be engaged from the outset.

The Discussion

The Trainer will ask participants to imagine they are planning a significant deliberative project and that they have a ½ hour with the minister and departmental head to discuss the project. What questions do they need the decision-makers to answer in order to proceed confidently with their planning? Why?

Questions for Decision-Makers

- Are they clear on their objectives?
- Can they define success?
- Are their expectations reasonable?
- Do they know how deliberation works?
- What are they willing to put on the table for discussion?
- What commitments will they make about implementing recommendations?



Stage 1: Setting the Parameters

1.3 Define the Objectives

(The Guide: Sections 1.3, Page 15)

Session Objective

To introduce techniques for setting clear process objectives and positioning the issue(s) for a successful, win/win dialogue.

The Discussion

The Terms of Reference will include a statement of the project objectives. The Trainer will explain the vital role objectives play in the project and the importance of ensuring that they are well chosen and clearly defined. Getting the objectives right is critical; in Stage 2 they will serve as the Steering Committee's primary point of reference – it's North Star – as it plans and manages the process. The Trainer should use the questions in the slide above and the checklist below to highlight different kinds of challenges that the Team may face in setting the objectives.

Further Questions for Defining the Objectives

- What are the process objectives?
- Are they clear?
- Does it matter?
- Who decides the objectives?
- What happens if people's views of the objectives differ or conflict?
- How can you try to align different objectives?

1.4 Define the Issue

(The Guide: Sections 1.4, Pages 16 - 17)

Session Objective

To show how issues can be "framed" in different ways and explain how a holistic approach helps participants see that a win/win solution may be possible.

The Discussion

Asking the Team to define the issue calls on them to undertake an analysis of it that is thorough enough to demonstrate its complexity. This involves two basic steps:

1.4.1 Map the issue space
1.4.2 Identify the deliberative task

1.4.1 Map the issue space

How complex is the issue?

- Real solutions to complex issues such as poverty or climate change must take account of the deep connections that issue may have with other trends and issues
- Informed Participation uses dialogue processes to identify and explore these connections

1.4.1 Map the Issue Space

To say that an issue like poverty is "complex" is to say that multiple factors combine to produce it. For example, these might include cultural discrimination, economic status, gender differences, educational levels, economic policy, and/or technological change. Conventional policy debates usually oversimplify complex issues by trying to frame them around a single cause. For example, diversity advocates might argue that poverty is the result of cultural discrimination, while labour unions might claim it is the result of free trade or automation.

The stakes here can be very high. If the diversity advocates win the debate, resources are likely to flow in their direction, say, by using public funds to raise awareness around cultural differences. On the other hand, if poverty gets framed as the consequence of a new trade deal or technological change, resources are more likely to be channeled into, say, re-training initiatives or new educational opportunities.

Encouraging the different sides to fight hard to "win" the framing debate simply pits them against one another. Such debates can be highly divisive. Rather than encouraging this, Informed Participation starts from the assumption that complex issues require complex solutions. Informed Participation works to build agreement among the participants by getting them to identify and explore the issue's links to a variety of causes, such as lack of education, racial inequality, and so on. The participants use the dialogue process to explore and share their lived experience (along with other kinds of studies and research) and to arrive at a more holistic view of the issue and its solution(s).

As a first step, the Team will use the Terms of Reference to define the issue in a more open-ended or holistic way, that is, they will demonstrate enough of its complexity to make this point. This helps ensure the Steering Committee in Stage 2 will design a process that will adequately analyze the issue.

Questions for a holistic approach

- How is the issue currently being framed?
- Do people disagree over how it should be framed?
- How complex is the issue?
- Can we "map" the issue space far enough to identify some important holistic connections that could be recognized in the Terms of Reference and encourage further exploration of the dialogue space?

1.4.2 Identify the Deliberative Task

Informed Participation distinguishes three different types of dialogue tasks or challenges. These are explained in The Guide (Vol II of the series), using the following three examples:

1. The Expert Challenge – Foreign Credential Certification
2. The Mixed Challenge – The Banknote Case
3. The Values Challenge – The Assisted Dying Case

The Team should identify which of these tasks is the principal one for their issue/process. Sometimes this will be unclear. Two or even all three of these challenges can overlap. However, insofar as it is possible to identify which one is at play, or how the different ones are at play, this should be identified and explained in the Terms of Reference.

Questions to identify the deliberative task(s) posed by the issue(s)

- Is this about:
  - o Balancing competing values or priorities?
  - o Setting priorities or objectives?
  - o Sorting through difficult technical matters?
  - o Weighing arguments and conducting analysis?
  - o Are the solutions likely to be win/lose or win/win?

1.5 Define the Scope

(The Guide: Sections 1.5, Page 18)

1.5 Define the scope for deliberation

Are the solutions likely to be win/lose or win/win?	Can the issue be solved in a single cycle?
	• What is "on the table" and what is not? • The space for participants to propose solutions must be clear

Session Objective

Help trainees understand and appreciate the importance of setting clear parameters around the solutions that they are looking for.

The Discussion

To have a productive discussion, the participants must be clear on the scope of their recommendations and where the boundaries lie. Or, to put this differently, they need to know what, exactly, the decision-makers are willing to put on the table for discussion. This requires something of a balancing act.

On one hand, the space to make recommendations must be big enough that the participants feel their role is meaningful, or they will not be motivated to do the work and make the compromises and concessions needed to find shared solutions. On the other hand, the boundaries around the space must be clear enough that decision-makers are confident they will be able to work with the kinds of recommendations participants might propose.

Questions for defining the scope of the recommendations:

- What range of issues should be open for discussion (that is, what's the dialogue space)?
- Has the issue been framed in a way that does justice to the complexities around it?
- Will this way of framing it make anyone feel excluded?
- Will there be enough time and resources to complete the discussion?
- What issues can be left to the decision-makers or a subsequent dialogue process?
- Setting objectives shows what we are trying to achieve
- Defining or "framing" the issue(s) identifies the obstacles in our path and how they must be removed

Stage 1: Setting the Parameters

Conclusion: Framing the Dialogue

(The Guide: Sections 1.3, 1.4, 1.5, Pages 16 – 18)

In the early stages of a dialogue, participants' views usually diverge, sometimes greatly. Informed Participation aims at overcoming these differences by helping participants find win/win solutions to complex issues. From a substance perspective, the work to produce the Terms of Reference can be summed up in a phrase: Frame the Dialogue. The last three steps in Stage 1 above are critical to this. In effect, they represent different aspects of this basic task: First, we clarify what the process is trying to achieve (define objectives); second, we provide a statement of the issue that demonstrates its complexity (define the issue); and, third, we set clear boundaries on the kinds of solutions that will be acceptable (define the scope). When properly aligned, these three tasks frame the dialogue in a way that encourages an open-ended exploration of a complex issue:

- Define the Objectives
- Define the Issue
- Define the Scope

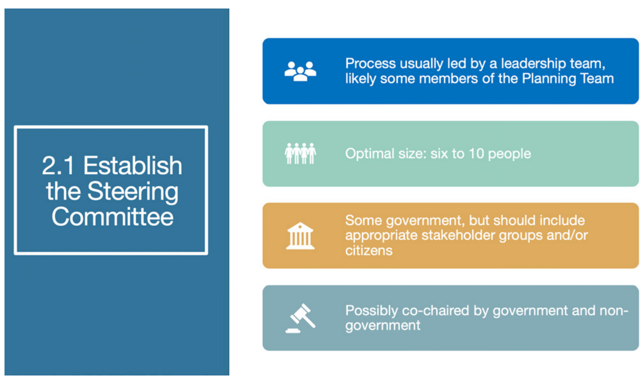
Frame the Dialogue

Stage 2: Create an engagement plan

If Stage 1 of the planning process (Set the Parameters) defines the objectives and scope of the process, Stage 2 focuses on developing an engagement plan to guide the process. Although the Guide (Volume II) breaks this plan into seven tasks, for the purposes of the workshop, our attention is concentrated on one, central task: designing the process. (Two other tasks are addressed briefly.)

2.1 Establish the Steering Committee and Define Governance

(The Guide: Section 1.7 Page 21 and Section 2.1, Page 22)



Stage 2: Create an engagement plan

Session Objective

To help participants understand the Steering Committee's leadership role in the process; and to underline the importance of taking an inclusive approach to planning and providing a clear statement of the Committee's roles and responsibilities.

The Discussion

Stage 2 begins by establishing the Steering Committee that will develop the engagement plan – including designing the process – and oversee its implementation. This committee is the successor to the Planning Team from Stage 1 and likely includes some of the same members, along with some new ones, as appropriate. The Steering Committee's membership should be diverse enough to ensure that its discussions credibly represent all the key interests in the process, and that it has the appropriate expertise to complete its tasks. The Terms of Reference should provide guidance on the mix of skills and interests involved.

The committee is usually headed by two co-chairs, who are much more than moderators or managers. They provide the leadership for the process. Their duties may include making key decisions around the execution of the process, challenging the participants to rise to the task at hand, acting as a point of contact with the media or stakeholders from the community, and, if called upon, defending the process against efforts by government, political parties, or other influential parties to control or direct it.

Normally, one of the co-chairs will come from the government side and the other from outside government – either an esteemed citizen or appropriate stakeholder, say, from business, the voluntary sector, politics, public service or academia. The co-chairs should have the public profile and legitimacy needed to provide strong leadership for the process both inside and outside government.

Questions for creating the Steering Committee:

- Is there an optimal number of members for the steering committee?
- Will those who aren't invited feel left out?
- Who are the co-chairs and how will they be selected?
- Do they have access to the decision-makers?
- Who will they report to?
- Given this reporting relationship, how independent is the process from the political and bureaucratic levels?
- If the committee members disagree on some matter, do the co-chairs make the final decision?
- What steps will be taken to ensure the co-chairs and the committee members fully understand how Informed Participation works?
- What steps should be taken to ensure that the committee continues to have the needed support from senior management and the minister?
- When, if ever, should the discussion around identifying committee members be open to the public?

2.2 Design the Process

(The Guide: Section 1.6, Pages 19-20)

Session Objective

To provide trainees with the key tools and concepts needed to design an engagement process that matches their objectives, the deliberation challenge, and their available resources.

The Discussion

This is the longest and most complex session of the workshop. As some members of the Steering Committee will have been members of the Planning Team, they will already have had numerous discussions about the process and the issue. The Committee will draw on this learning to help it work through five basic questions, as it designs the engagement process:

2.2 Design the Process: Five questions

- Who are the participants
- Which engagement tools will be used?
- What are the milestones?
- What dialogue style will be used?
- Are the timelines and resources adequate?

We'll consider each of these in turn

Q1. Who are the participants?

(The Guide: Pages 23-26)

In designing the process, the Steering Committee must decide who the participants will be. This starts by asking what kinds of participants will be needed. Informed Participation distinguishes between three main groups: ordinary citizens, stakeholders (including government officials), and experts. These groups play different roles in Informed Participation processes (see the Guide).

Deciding which groups will be needed for what purposes requires a careful review of key factors, such as the objectives, the deliberative task the process is supposed to address, the dialogue the committee expects to see unfold, and the action plan it hopes will emerge. The Terms of Reference should provide guidance here.

Stage 2: Create an engagement plan

A decision on the exact number of participants, or details on how they will participate, must await further decisions on the process, such as the number and size of the events or whether there will be online participation (see below). At the present stage, the main task is to develop a basic profile of the participants that will be needed to make the process a success. This starts by constructing a map or list of the key interests involved.

In traditional consultation, citizens and stakeholders present their views on an issue to government. This gives them a chance to try to influence the decision-makers assessment of the issue. Informed Participation works differently. On complex issues such as environmental management or economic development, the goal is not to advocate for one's preferred views, but to work together with others to arrive at a fair and workable balance between different interests.

To achieve this, the dialogue must be inclusive, that is, it must include a group of participants who, taken together, can speak authoritatively and fairly to the full range of relevant concerns and interests raised by the issue, and propose fair and effective solutions to it.

Now, an in-depth deliberation can only accommodate so many people before it becomes unwieldy. To ensure the process is effective, the Steering Committee must identify ("map") the main interests involved, then recruit people and/or organizations who are well-positioned to speak for them. Each participant thus is expected to act as **resource**, rather than an advocate. He or she is part of a team that has been assembled to assess the issues in a comprehensive and balanced way, and to develop an effective plan to address them.

This, in turn, has consequences for how participants are selected. In particular, the number of participants in the group can be limited without resorting to favoritism because no one is there to advocate for him or herself. Their job is to help articulate a list of concerns and interests that are shared by many people or organizations, most of whom are not at the table. In this kind of process, one person or organization therefore speaks, legitimately and authoritatively, for others.

To ensure that the public feels engaged, the process must include effective ways to keep the community informed on the discussions and the progress, say, through media reports, public meetings, and the timely release of relevant documents, such as drafts of an action plan. Secrecy is to be avoided. The more secretive the process is, the greater the risk that members of the public will feel that the participants and the process do not represent them.

Question about participants as representatives:

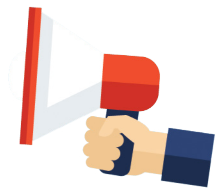
- Where representation is involved, should various networks of stakeholders choose their own representative? What about ordinary citizens? For example, how would the members of a citizens' assembly be chosen? Is random selection the right option? Are there others?
- Does shared accountability imply that participants have a responsibility for ensuring that their representative is playing his or her role well or is government responsible for this?
- What steps should be taken, and what strategies are available, to ensure that the chosen representative is connecting with those outside the process?
- Are there ways to ensure that those representing a group are truly speaking for that group?
- If they are stakeholders, what level do they occupy in the hierarchy of their organizations?
- If they are not senior decision makers, will they have the support of those who are?

Stage 2: Create an engagement plan

Q2: What are the milestones?

Informed Participation processes include three main stages: Views, Deliberation, and Action. Each stage has a specific task and concludes with a report or special event, such as a conference or summit, that consolidates the findings from that stage and lays the groundwork for the next stage. We call such reports or events "milestones." A process can have more than three milestones. For example, complex processes may break down a single stage into two or more stages, each of which includes a milestone.

Questions for choosing report or events to mark milestones
- Are the different stages of the process clearly defined?
- What kind of report or event will mark each one?
- What information/recommendations will it contain?
- How is it to be used and by whom?
- Does someone own it? Is someone receiving it?
- What responsibilities does he/she have for responding to it?



Q3. Which engagement tools will be used?

(The Guide: Pages 33-37)

Designing an engagement process is like creating a necklace out of beads of various shapes and colours: we add one bead at a time to the string, artfully ensuring that each one fits neatly with the ones around it, while also enhancing the overall pattern of the necklace. Like designing a necklace, designing a deliberative process offers many different design tools to choose from, including, town halls, roundtables, workshops, conferences, conference calls, interviews, surveys, and all kinds of online tools. The process can and will also introduce rules that will shape participants' behavior. Like tools, if these are well chosen, they can make a very significant contribution to the objectives.

The previous section (Question 2) showed how each stage of an Informed Participation process has a different task and concludes with a milestone. In this section, we see that the Committee members must carefully consider how different rule and tools (and combinations of tools) will contribute to the achievement of the main task for that section. The following are examples of guidelines that can help Committee members make these choices:

- Every rule or tool should have a clearly defined task and make a meaningful contribution to the results from that stage of the process.
- Face-to-face contact is often important for building trust and the sense of common purpose that supports collaboration.
- Online tools have many advantages. For example, they can be a convenient, inexpensive and effective way of connecting large numbers of participants across great distances. They can be an excellent way to disseminate or collect information. However, many things can limit their usefulness. Some areas or households may lack internet access. Connecting large numbers of people in a single forum makes focused dialogue very difficult.
- The reports/events that mark the conclusion of each stage must consolidate the findings and lay the groundwork for the next stage of the process or, in the case of the final report, for action to solve the issue.
- Each stage in the process should build systematically on the one before it so that there is continuity between the three stages.

Stage 2: Create an engagement plan

Questions for picking a Rule or Tool:

- What task is this meant to accomplish?
- How does it contribute to the goals of this stage of the process?
- How does it fit with what came before it and what will come after it?
- Is it consistent with the rules of engagement?
- How will the findings from it be captured and integrated into the findings for this stage?
- Does it engage the right participants for the task?
- Will there be any difficulty in getting the right participants to join in?
- Are any special skills, expertise, or information needed for this tool to succeed?
- Do we have the resources and/or time to use this tool effectively?

Q4. What dialogue style will be used?

(The Guide: Pages 37- 40)

Session Objective

To help participants understand the difference between deliberative styles and how to choose between them.

The Discussion

Choosing a dialogue style for the process may be the most important design decision that the Steering Committee must make. It sets the broad parameters for the process, which, in turn, can have a very significant impact on the participants expectations and their behaviour.

Once the choice has been made, specific design choices are often easier. In making this choice, the Committee will review key elements of the process discussed so far, such as the project objectives, the scope and complexity of the issue, the level of support from decision-makers, the possible participants, and the time and resources available. The Committee will raise questions around these aspects of the project to assess what kind of dialogue style is best suited to the situation and the tasks and the overall size and scale of the process. These issues are discussed at length in both Volumes I and II of The Deliberation Series. Committee members should review these sections carefully. The following checklist of questions should help:

Stage 2: Create an engagement plan

Questions for choosing the dialogue style and setting the scale:

- What are the objectives?
- How complex is the issue?
- What kind of dialogue challenge needs to be solved?
- Does it involve complex technical issues or difficult trade-offs between fundamental values?
- Are there already deeply held views and entrenched interests or is the issue relatively new to people?
- Is this a process that will engage people from across the country or is it something much more localized and narrowly focused?
- What is the scope for recommendations?
- What sort of expectations do the decision-makers have for the process?
- How deep and firm is their support?
- What are the timelines and what kind of resources are available?
- How divided are the participants on the issue(s)?
- Who needs to be involved to find a solution that will have a high degree of legitimacy?
- What level of buy-in or ownership from the participants or the broader public is needed to make the recommendations work and from whom?
- Do all the participants need to be engaged in the deliberative part of the process or just some?
- Will the process need to travel to different cities or regions?
- Will there be lots of events or just a few?
- Will there be an online component?
- Will it be the same people or different ones at the various sessions?




Stage 2: Create an engagement plan

Q5. Are the timelines and resources adequate to the task?

An Informed Participation process can't be run off the corner of someone's desk. Adequate financial and human resources must be devoted to designing and running the process. The Committee must provide a realistic estimate of the project costs, resources, and timelines needed to ensure success. This should include identifying potential obstacles and constraints that could affect costs and resources, such as geography, weather, political will or public mood.

Questions to ask:

- Have we identified all likely costs in running the project?
- Will there be adequate staff support?
- Can we really have the kind of dialogue we're aiming for in the allotted time?
- What sorts of things might go wrong?
- In such circumstances, how much room is there for improvisation?
- What if this affects project costs? What kind of contingency fund should be available, if any?

2.3 Recruit the Facilitator

(The Guide: Section 2.3 Page 27)

2.3 Recruit the facilitator

Deliberation processes are usually led by an experienced, impartial facilitator, who plays three basic roles:

Traffic Cop
Referee
Guide

2.3 The Tri-Level Approach to Facilitation

Session Objective

Help participants understand the critical role the facilitator plays in making deliberative processes successful.

The Discussion

Our tri-level approach to facilitation supports the methodology of Informed Participation. To find a win-win, the participants must work together as a team. This, in turn, requires a high level of trust, both in the process and between the participants. The tri-level approach plays a key role in building trust by assigning the facilitator three special tasks:

The Traffic Cop: As a traffic cop, the facilitator's job is to ensure that the basic format for a dialogue is followed. Thus, the meeting should follow an agenda, discussions should remain on topic, everyone gets a turn to speak, no one dominates the discussion, and so on. The traffic cop thus ensures the dialogue remains on topic, and that the meeting is orderly and flows along well.

The Referee: To lead the deliberation, however, the facilitator must be more than a traffic cop. He/she must also act as a referee whose job is, first, to ensure that participants fully understand the process and the rules of engagement; and, second, to interpret and enforce the rules during the discussion. This requires skill, diplomacy, and good judgement. The rules can sometimes be difficult to interpret and apply, and much can turn on the referee's interpretation of a rule, such as the rule that "controversial claims must be supported by evidence" or that "participants must be open to other views." Participants can and do challenge the facilitator judgement.

The Guide: Lastly, deliberation is about finding win/wins. This involves building a shared narrative, then using it to help the participants reframe issues that divide them. While it is not the facilitator's place to reframe an issue or to propose solutions (that is up to the participants), the facilitator is the expert in the art of deconstructing and reconstructing arguments. So, while he/she must be impartial, this doesn't mean the facilitator is indifferent or disengaged. As the expert on methodology, he/she draws on these skills and expertise to guide the participants in the search for win-wins and helps them reframe the issues in new and promising ways.

Conclusion: Looking at the Design Process Holistically

In concluding this discussion on process design, one further point must be made. The preceding sections have been presented serially as “steps.” This suggests that they should be executed one at a time and in the order that we’ve presented them. In fact, process planning almost never works this way. The different steps are interdependent, so that a decision on one often affects others. For example, a decision on, say, rules or tools may impact a decision that has already been made on milestones. This, in turn, may require the Committee to go back to that decision to adjust it.

The moral is that the planning process usually involves a great deal of moving back and forth between different steps to adjust and readjust decisions that have already been made, until all the parts of the process fit together comfortably and seem to converge on the objectives. There is a logic to the order of the steps we’ve presented above, but this is more a logical way of separating and presenting different tasks than defining how they should unfold in real time.