

INFORMED PARTICIPATION

Making Engagement Work

OGP Practice Group on
Dialogue and Deliberation

March 2020



Australian Government
Department of Industry,
Innovation and Science

Workshop goals



Review the foundational concepts of public engagement



Introduce public deliberation as a rules-based approach to open policy making



Informed Participation: Work through the Guide for designing deliberative processes

Format



Informal – feedback on pace and so on is essential



No bad questions, we welcome lots of discussion



Each team will select a real case and use breakout sessions to develop an outline for the Terms of Reference and Engagement Plan



Short, summary report backs after each breakout

Workshop plan



Context

Complexity and
Holistic Policy
Making



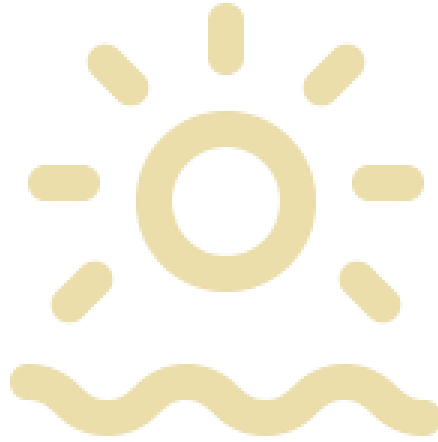
Concepts and Theory

The Public
Engagement
Framework



The Guide

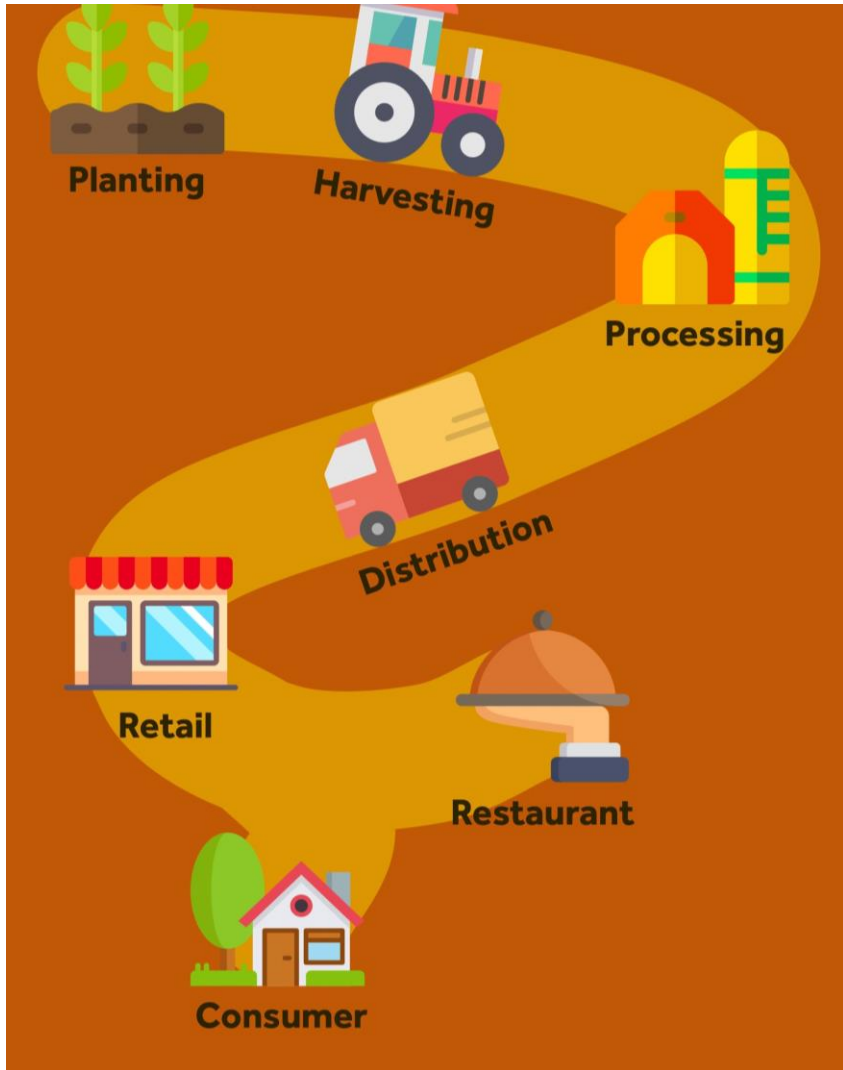
Designing Public
Deliberation
Processes



Day One

Context: The Complexity Issue





The Food System

Local Food Traceability Country of Origin

Cage-Free Natural

Grain-Fed

Hormone-Free

Free-Range

Wild vs Farmed

Provenance

Animal Welfare Labelling

Worker Safety/Rights

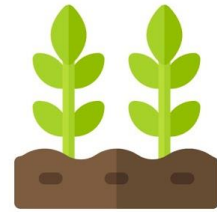
Food Security

Food Deserts

Bio-Technology

Affordability

Ethics



Carbon Footprint

Sustainability

Water Footprint

Pesticides/Herbicides

GMOs

Organic

Environmental Stewardship

Health

Food Safety

Nutrition

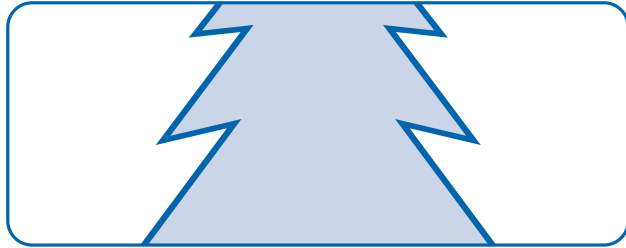
Sodium Allergens

Antibiotics Bisphenol-A

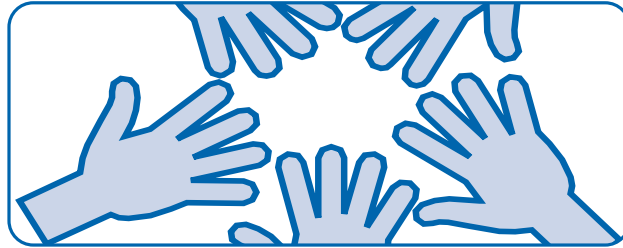
Obesity Diet & Chronic Disease Fortification

Gluten-Free Preservatives Functional Foods

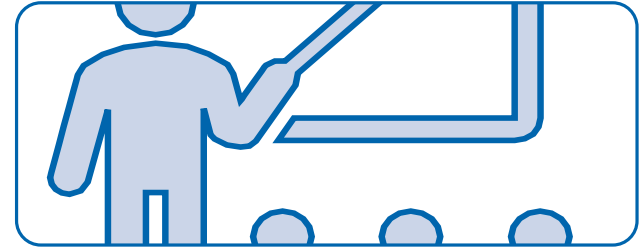
Societal goals: three examples



Sustainable
Development



Well-Being



Life-Long
Learning

The impact on policy making

Emphasis shifts from finding “best” solutions to *balancing* competing values and interests

There is rarely a single, best solution to an issue

Dialogue and collaboration are critical to fairness and legitimacy

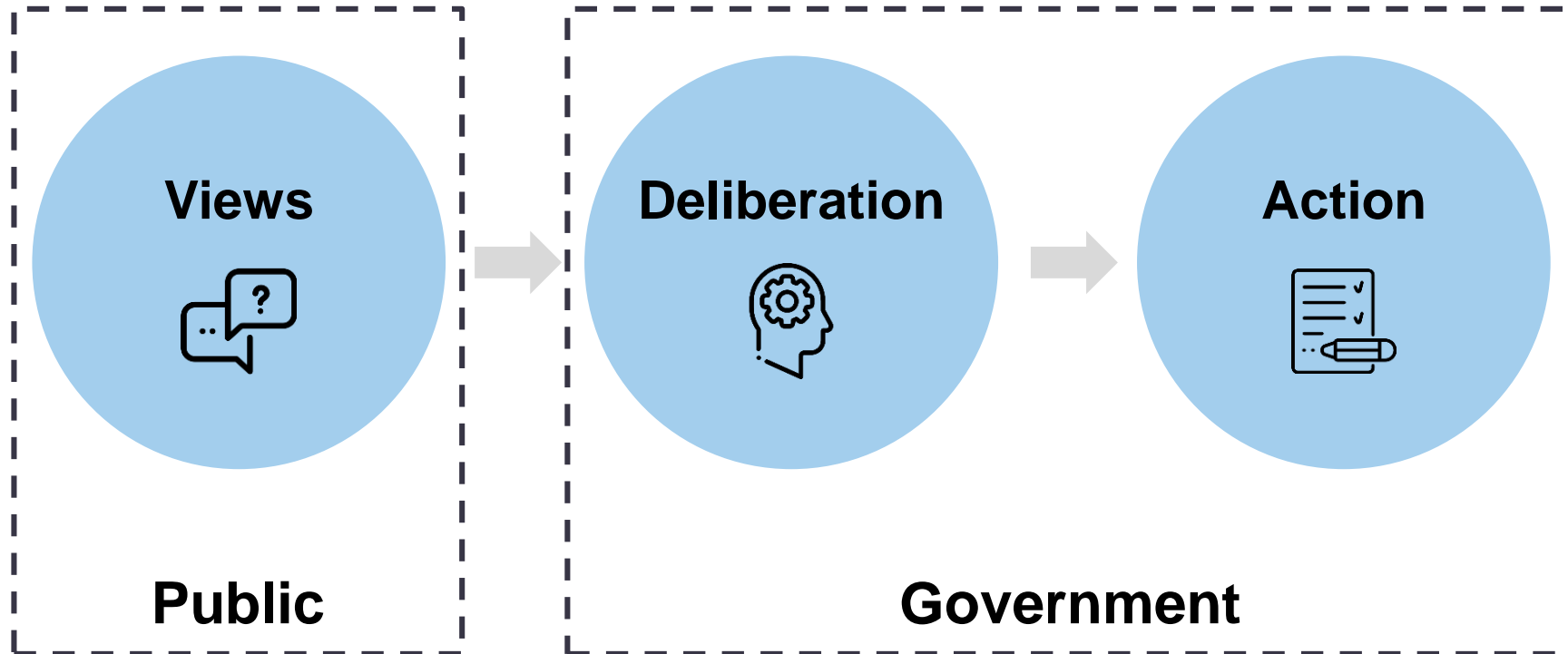
What is Informed Participation

The Public Engagement Framework

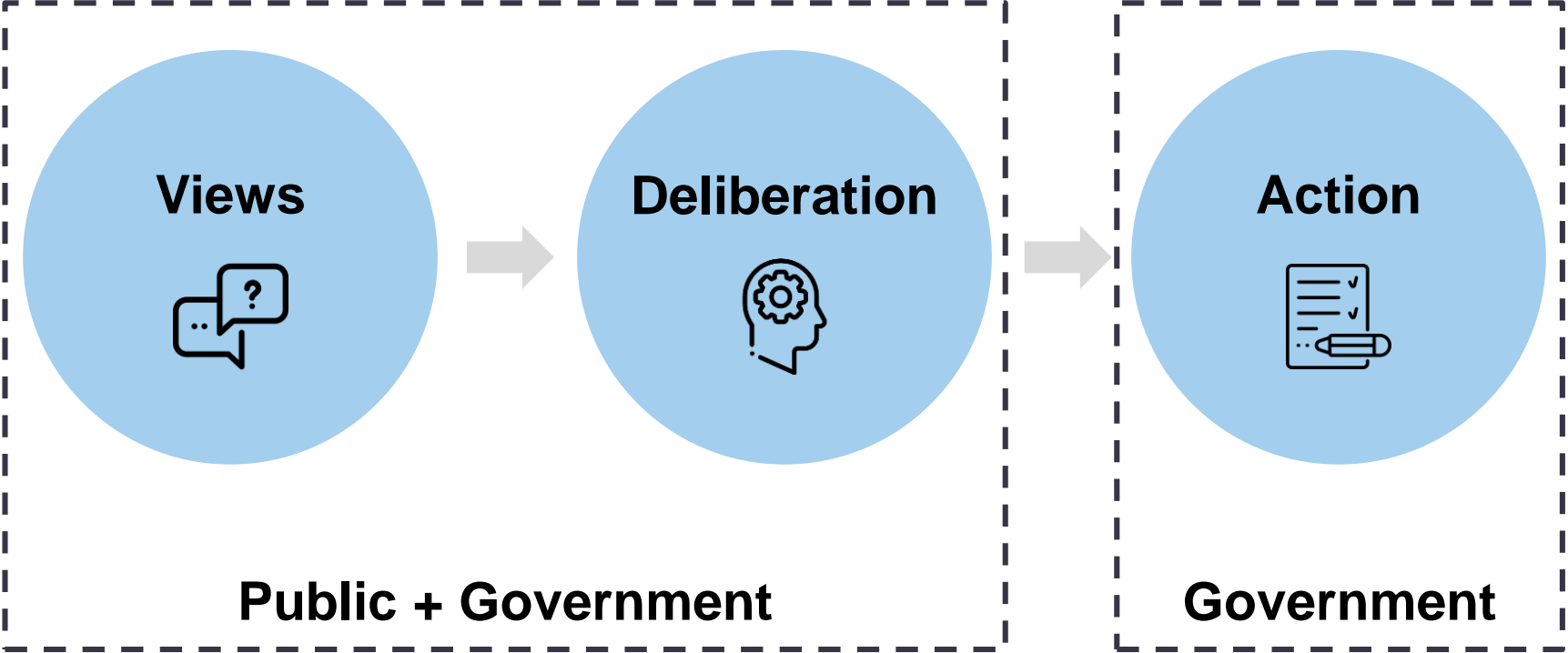


Informed Participation Guide

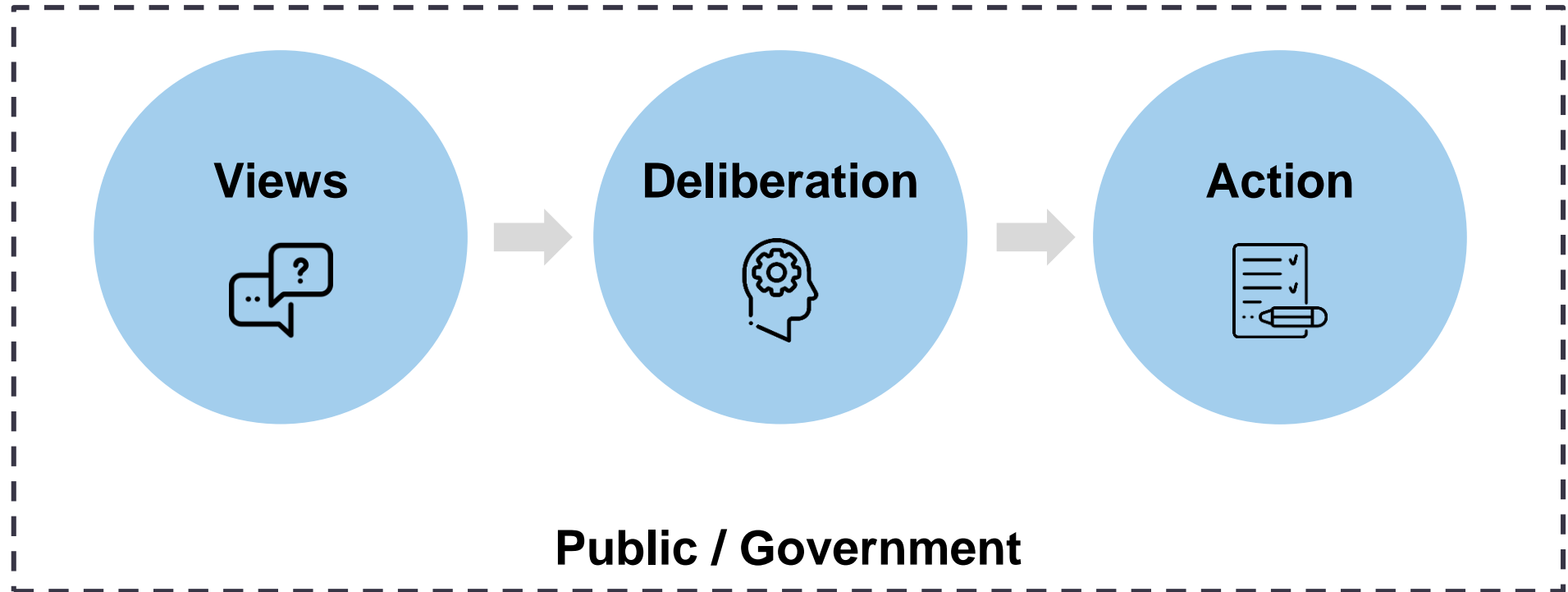
Consultation



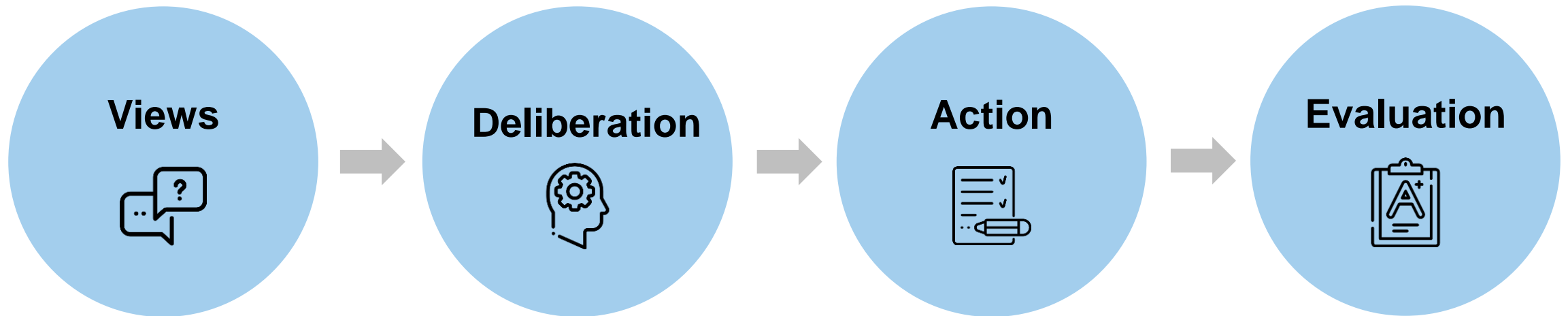
Deliberation



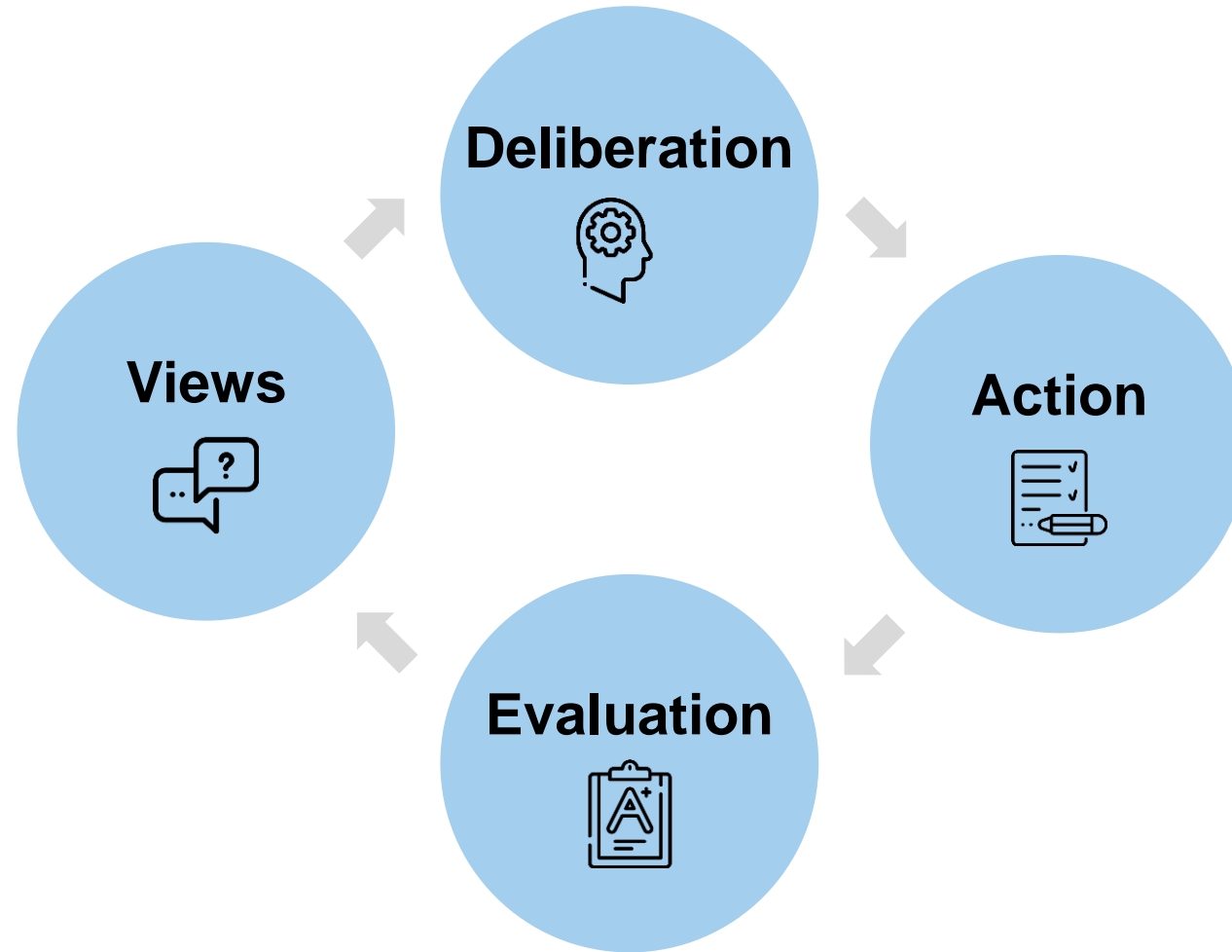
Collaboration



Evaluation



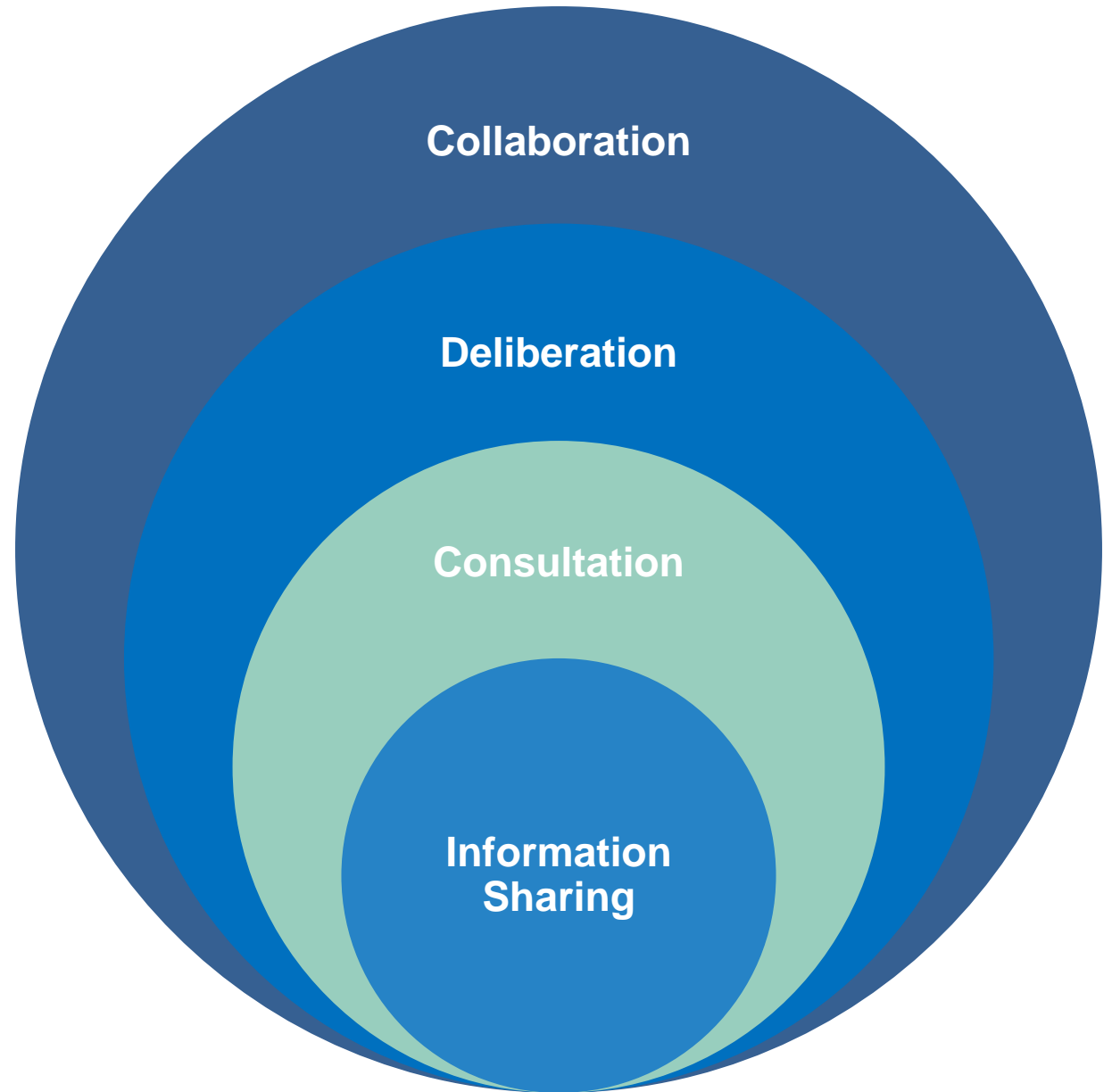
Engagement as a Learning Cycle



Modes of engagement are not inherently superior to others.

Success depends on determining the right *fit* for the circumstances.

Approaches are *cumulative*, and build upon each other.



Choosing the Process-Type?

Are the decision-makers competent to consolidate views on their own?

Can the solutions be delivered by the decision-makers?

Buy-in vs. Ownership

Buy-in uses consultation to get public consent for a plan

Ownership uses deliberation to give participants a personal stake in the project – a sense of *ownership* of it.

Motivation and Resilience

Ownership creates **motivation** and **resilience**:

- Encourages participants to make the efforts needed to find a solution and to support its implementation
- Helps a government implement the plan without getting derailed by angry stakeholders.



Morning Break

First Breakout and Report Back

*Choose a real issue to develop
an engagement plan as we work through the Guide*



Lunch

A Case Study



Informed Participation Guide

Designing the Engagement



Informed Participation Guide

The Informed Participation Cycle

1. Create the Planning Team
2. Engage Decision-Makers
3. Define the Objectives
4. Define the Issue
5. Define the Scope
6. Define the Process
7. Define Process Governance

1. Set the Parameters

2. Create an Engagement Plan

1. Establish the Steering Committee
2. Develop Participant Profiles
3. Recruit the Facilitator
4. Design the Process
5. Develop the Recruitment Strategy
6. Adopt Success Measures
7. Draft the Engagement Plan

4. Evaluate and Improve

3. Execute

Implement the Engagement Plan

1. Assess Progress on the Objectives
2. Build the Relationship

Stage 1:

Set the Parameters

The Terms of Reference

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



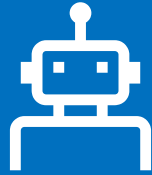
1.1 Create the planning team

Process is usually led by a planning team:

- Optimal size: five or six people
- Includes some government reps
- Ideally, also includes appropriate stakeholders and/or citizens

Main task is to develop the Terms of Reference, which is the master planning document and authoritative point of reference for the process

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?

Key questions

What do you need to know about the decision-makers' views?

- 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?

1.3 Define the objectives

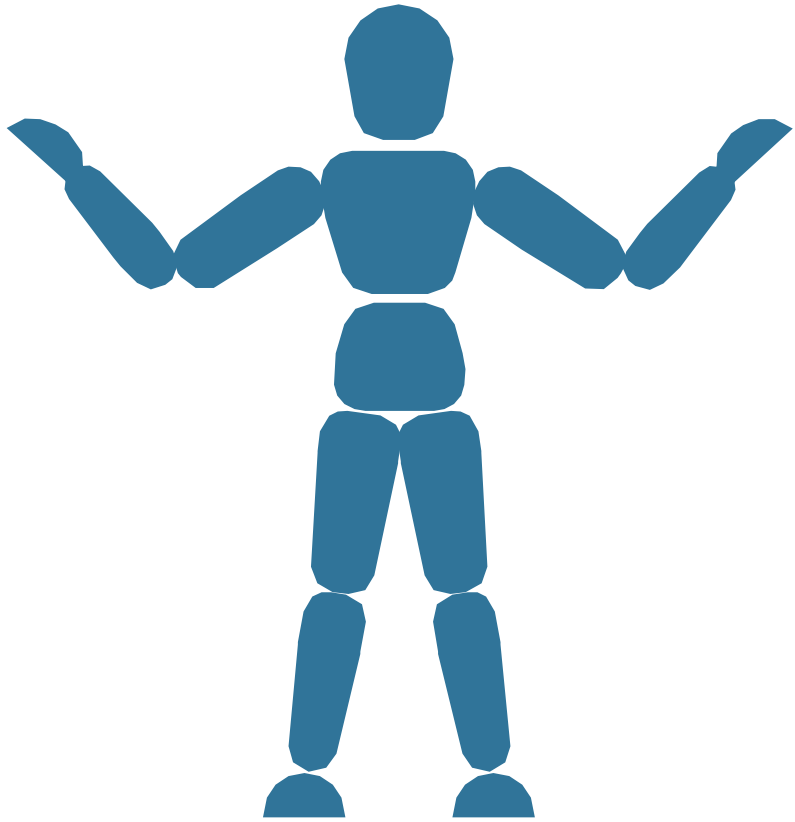
Why is it important to define clear objectives?

Who sets them?

What if stakeholders and/or citizens disagree?

Are the objectives realistic and can they be achieved in one cycle?

Do we need to distinguish between “process objectives” such as building trust, and substance objectives?



1.4 Define the Issue

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 an issue may have with other trends and issues
- Informed Participation uses dialogue processes to identify and explore these connections

1.4.2 Identify the deliberative task



Three kinds of deliberative tasks:



The Expert Challenge – Foreign Credential Certification



The Mixed Challenge – The Banknote case



The Values Challenge – The Assisted Dying case

The deliberative task

What is the task to be performed?

- Sorting through difficult technical matters?
- Weighing arguments and conducting analysis?
- Setting priorities or objectives?
- Balancing competing values or priorities?

Who should be involved in these deliberations:
Citizens, stakeholders, experts, governments?



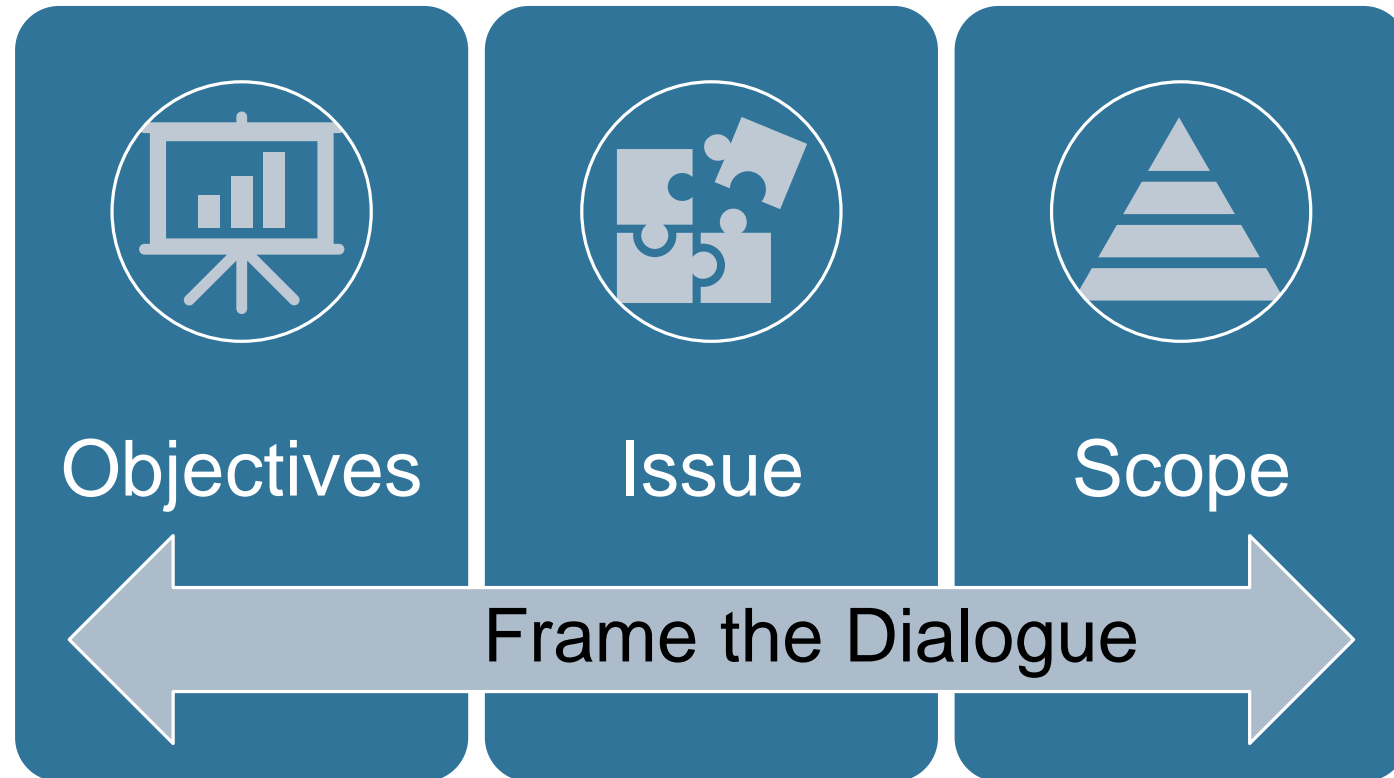
1.5 Define the scope for deliberation

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

Conclusion: Framing the dialogue





Afternoon Break

Second Breakout and Report Back

Frame the dialogue

- Define the objectives
- Define the issue(s)
- Define the scope



Day Two

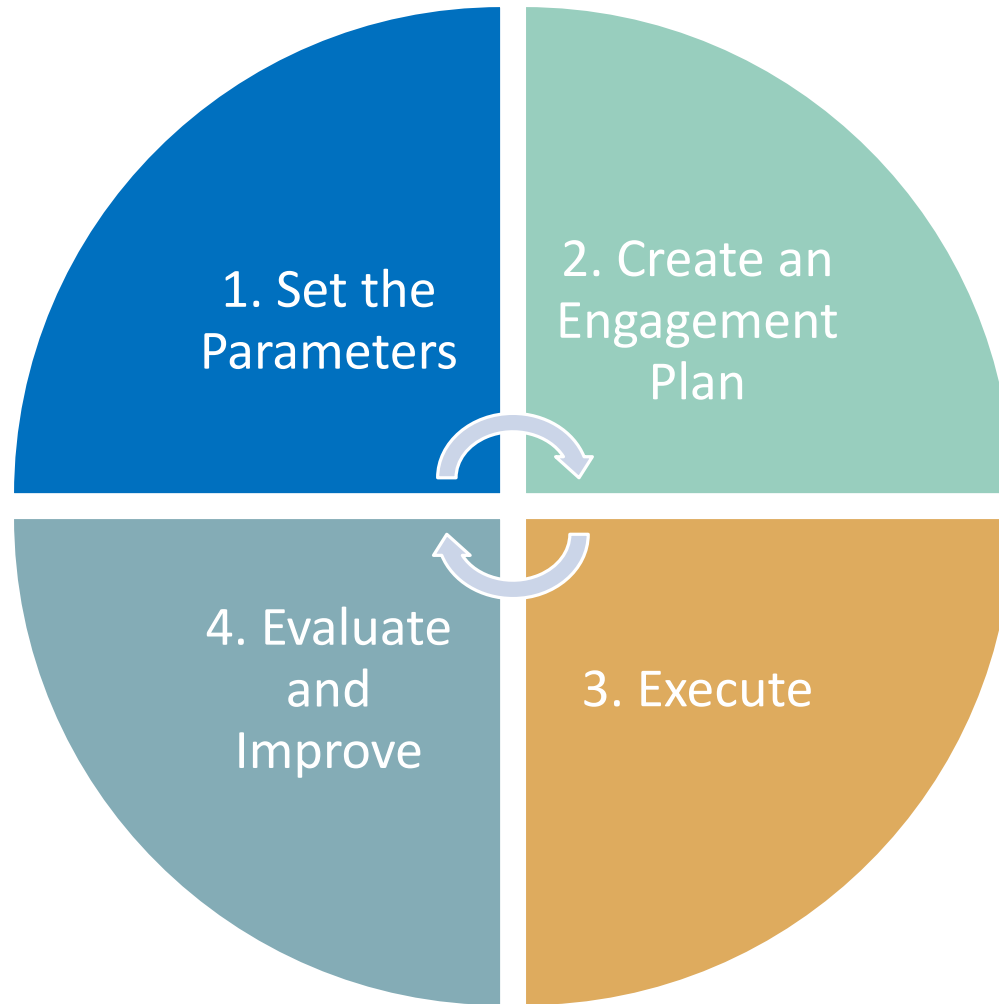
Second Breakout and Report Back (continued)

Teams will report back on their efforts to frame the dialogue in Day One

**Stage 2:
Creating an
Engagement Plan**

The Informed Participation Cycle

1. Create the Planning Team
2. Engage Decision-Makers
3. Define the Objectives
4. Define the Issue
5. Define the Scope
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1. Establish the Steering Committee
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1. Assess Progress on the Objectives
2. Build the Relationship

Implement the Engagement Plan



Create an engagement plan

2.1 Establish the Steering Committee

2.2 Design the Process

2.3 Recruit the Facilitator

2.1 Establish the Steering Committee



Process usually led by a leadership team, likely some members of the Planning Team



Optimal size: six to ten people



Some government, but should include appropriate stakeholder groups and/or citizens



Possibly co-chaired by government and non-government

2.2 Design the Process: Five questions

Who are the participants?

What are the milestones?

Which engagement tools will be used?

What dialogue style will be used?

Are the timelines and resources adequate?



Question 1:
Who are the
participants?

Understanding participation

Distinguish
between
organisations and
interests

Are participants
willing to check
their hats at the
door?



Participant Profiles

Who are the main participant groups and what roles will they play?

Is there a need for special skill sets, important demographic qualifications, membership in key organisations, or other considerations?



Any special requirements: translation, cultural needs, disability support, transportation, child-care, and so on?



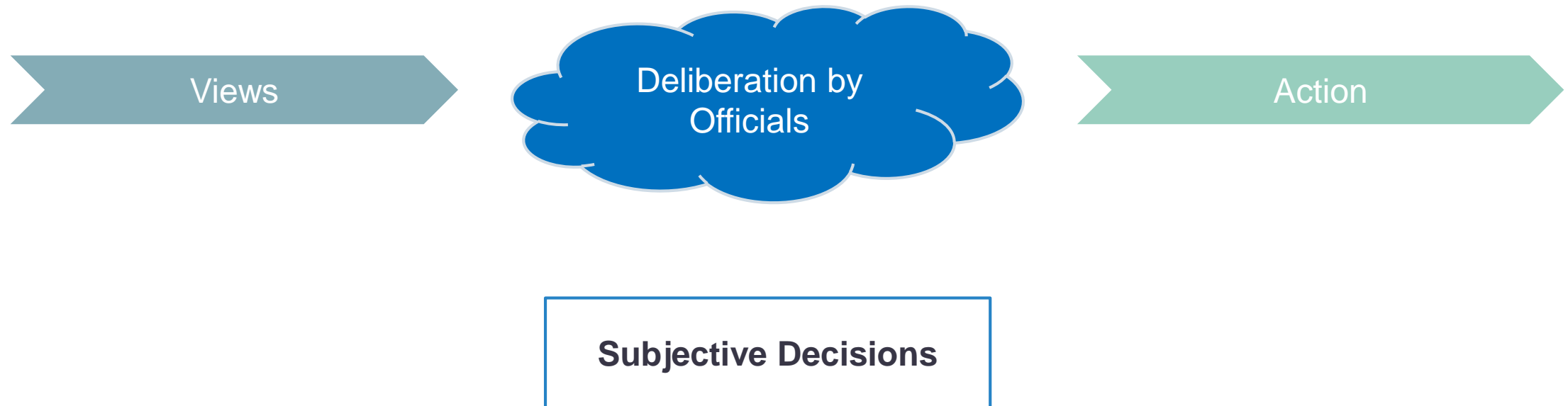
Question 2:
What are the
milestones?

Creating milestones

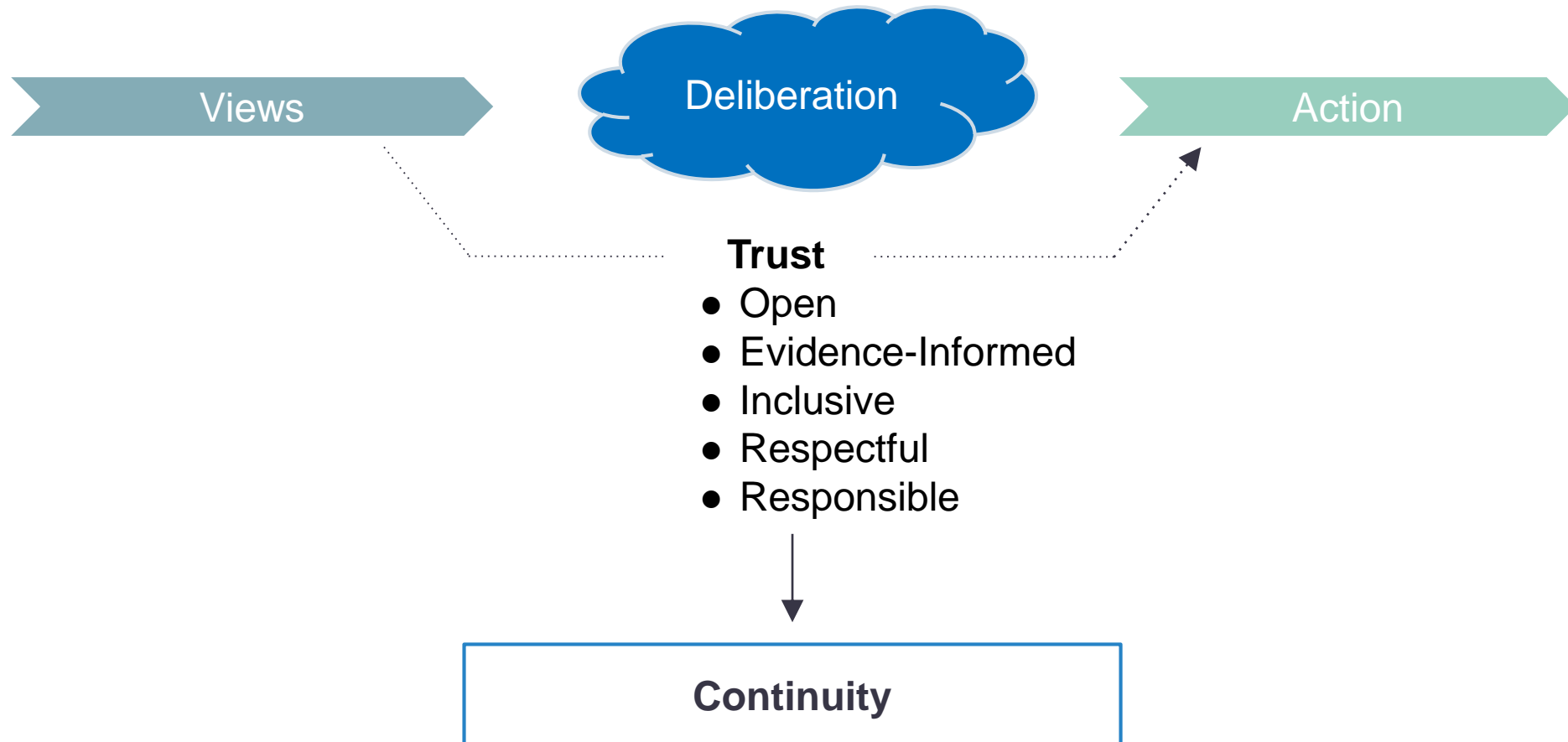
Each stage has a specific task

These are usually marked 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

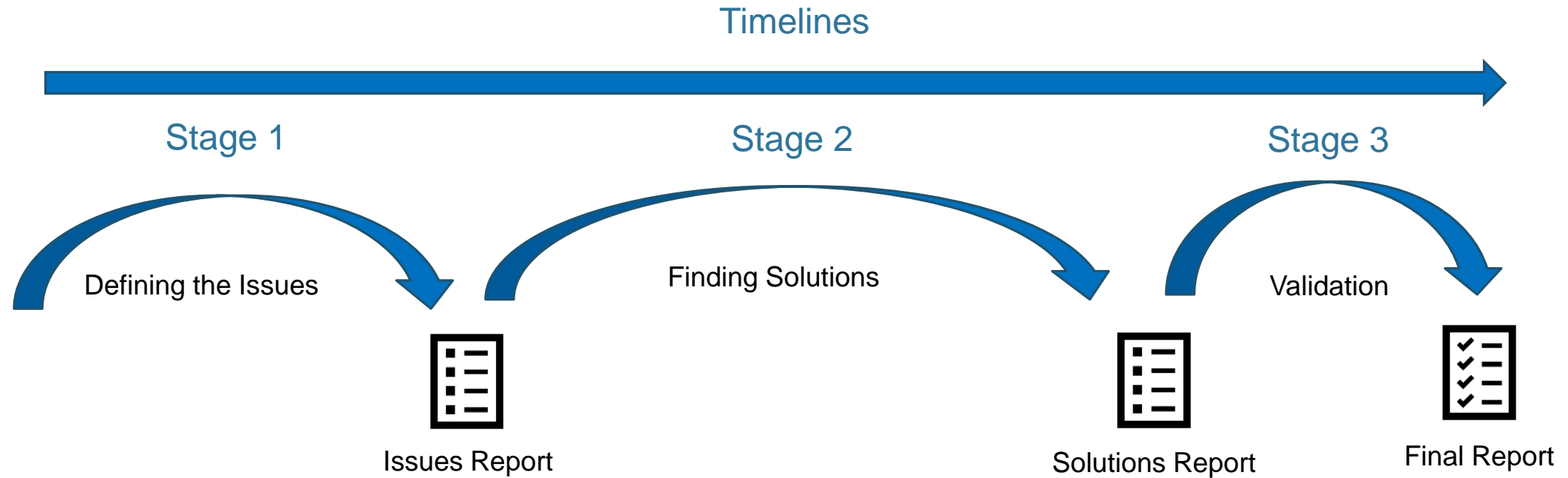
The Challenge of Continuity



The Challenge of Continuity



The Informed Participation Process Template





Milestone questions

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?



Question 3:
Which engagement
tools will be used?

Rules and Tools

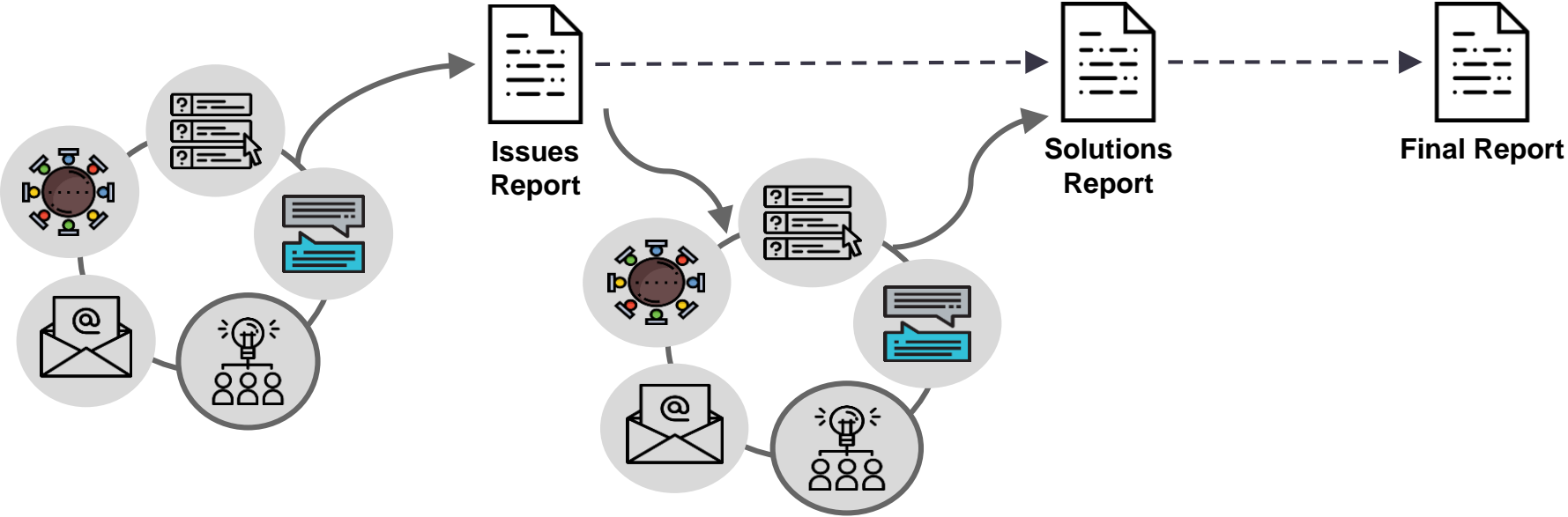


Tools: These are the events and other devices through which participants engage.

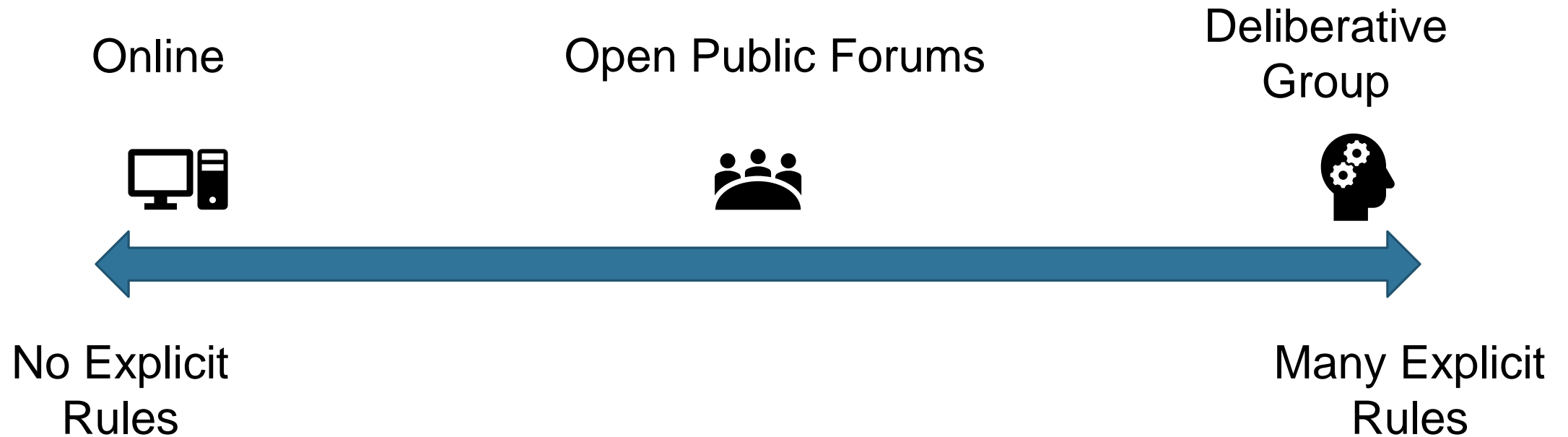


Rules: the fundamental rules of engagement, including transparency, openness, inclusiveness, evidence-informed decision-making, and so on. In principle, rules of all kinds can be added.

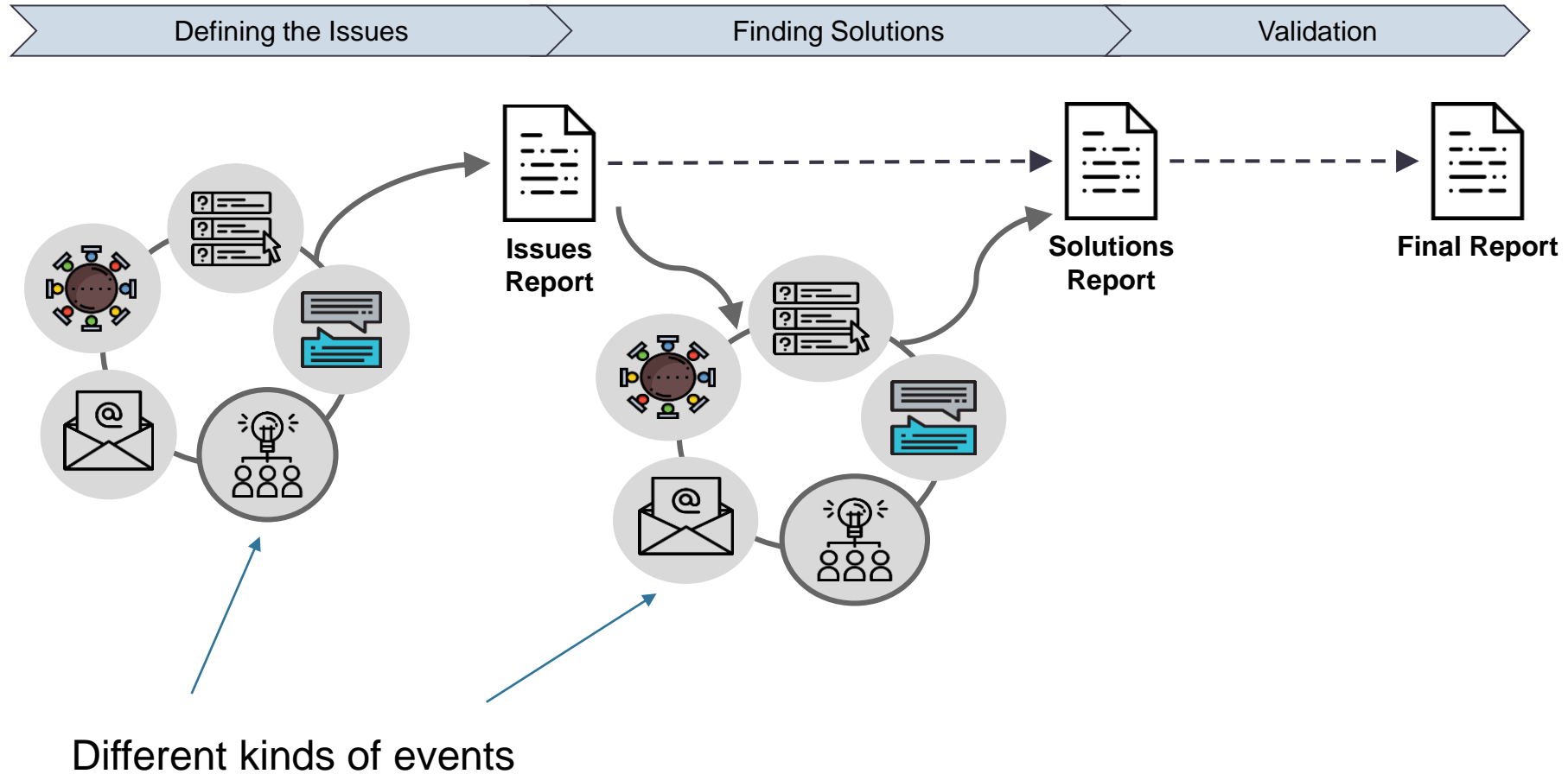
Design Options



The Deliberation Continuum



Design Options



Working groups – a special tool

Relatively small group charged with specific deliberative tasks

May be limited to a few key points in the process or it may be active through the entire process

Some processes are composed of nothing but a single working group; others use a variety of tools to engage people, of which the working group is only one.





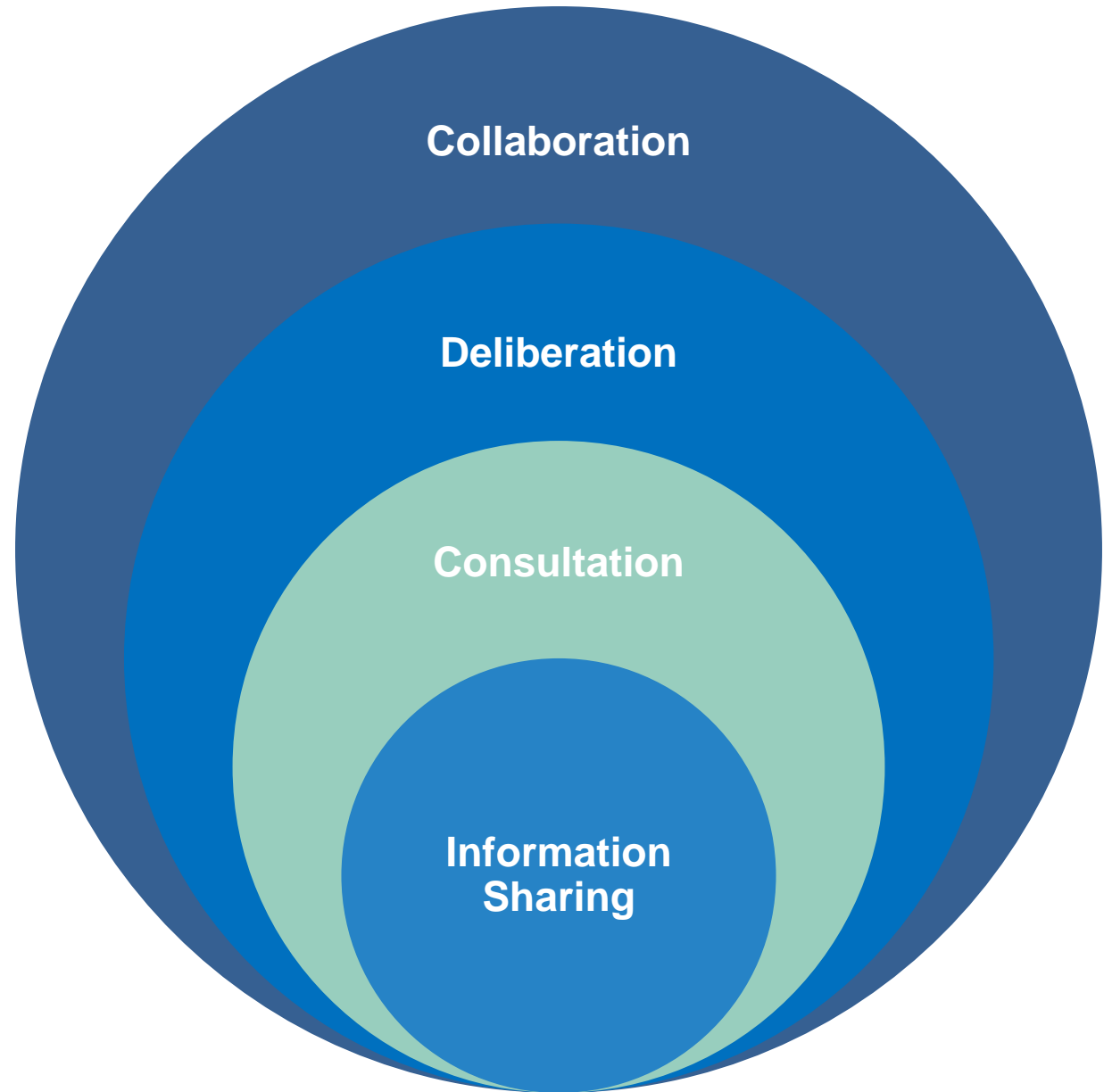
Morning Break



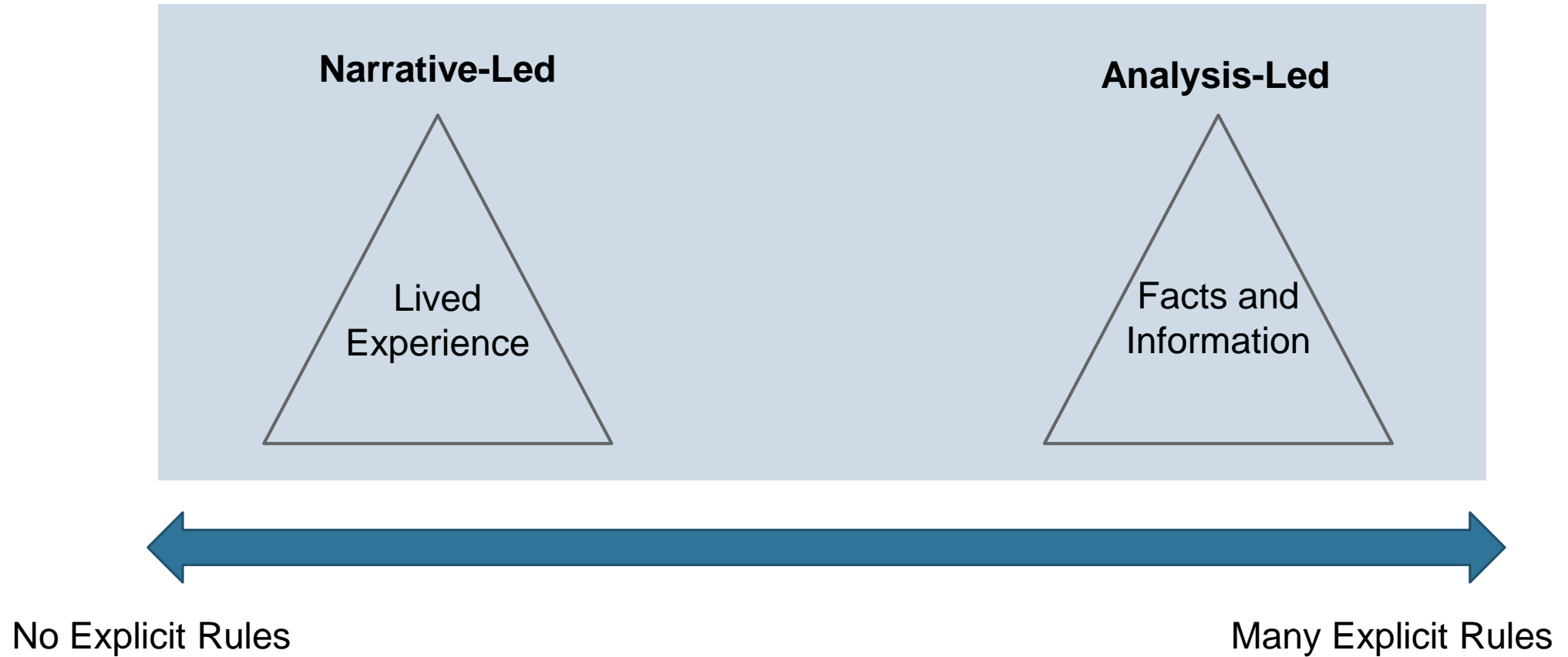
Question 4:
What dialogue
style will be used?

Modes of engagement are *cumulative*, and build upon each other

Deliberation often involves information sharing and/or consultation as sub-processes



Deliberative Styles



Open Dialogue

Flexible, scalable and relatively easy to carry out

Number of participants can range from small to very large, as can the number of events and locations

The risks:

- The process may fail to arrive at clear decisions
- It can produce unreliable findings
- Ownership and responsibility can be diluted as the process scales

Deliberative Analysis

Creates a more rigorous, rules-based exchange that guides participants toward informed decisions

Creates a high level of ownership among participants, but is difficult to scale

Those outside the process may accept the decisions, but are unlikely to feel a deep sense of ownership of them

The Deliberation Continuum

Open
Dialogue

Deliberative
Analysis



No Explicit
Rules

Many Explicit
Rules

Narrative- Building

Stories include goals, characters, tensions, solutions, ways of evaluating actions (e.g. praise and blame), and much more

Creating a narrative from these elements not only helps ensure the results of a dialogue will reach the broader public in a form they understand, but that it will resonate with them and engage them in the discussion

Often misrepresents truth

The 2014 Tanzanian Dialogues

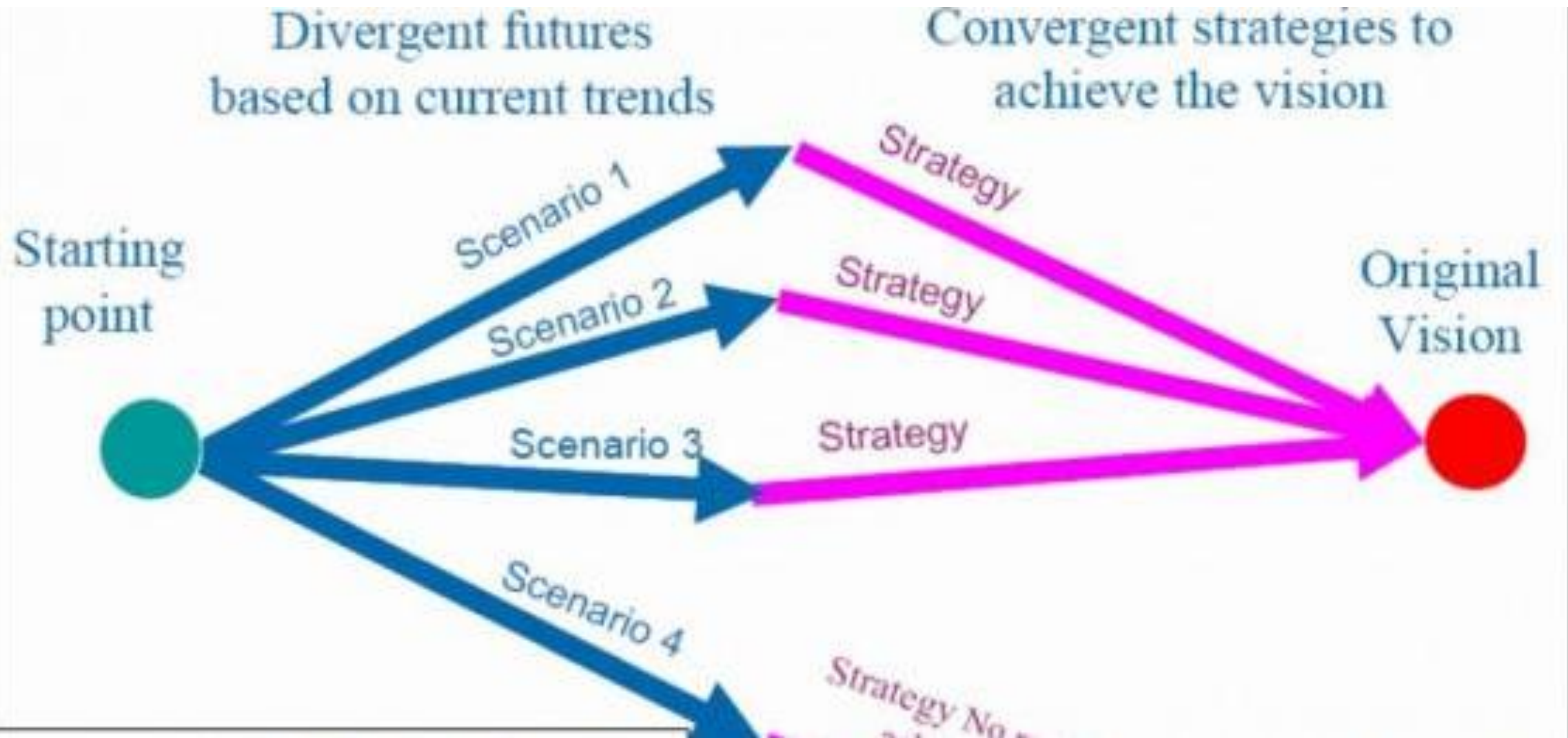
400 experts, stakeholders and citizens developed scenarios outlining “possible futures” for their country, using three main stages:

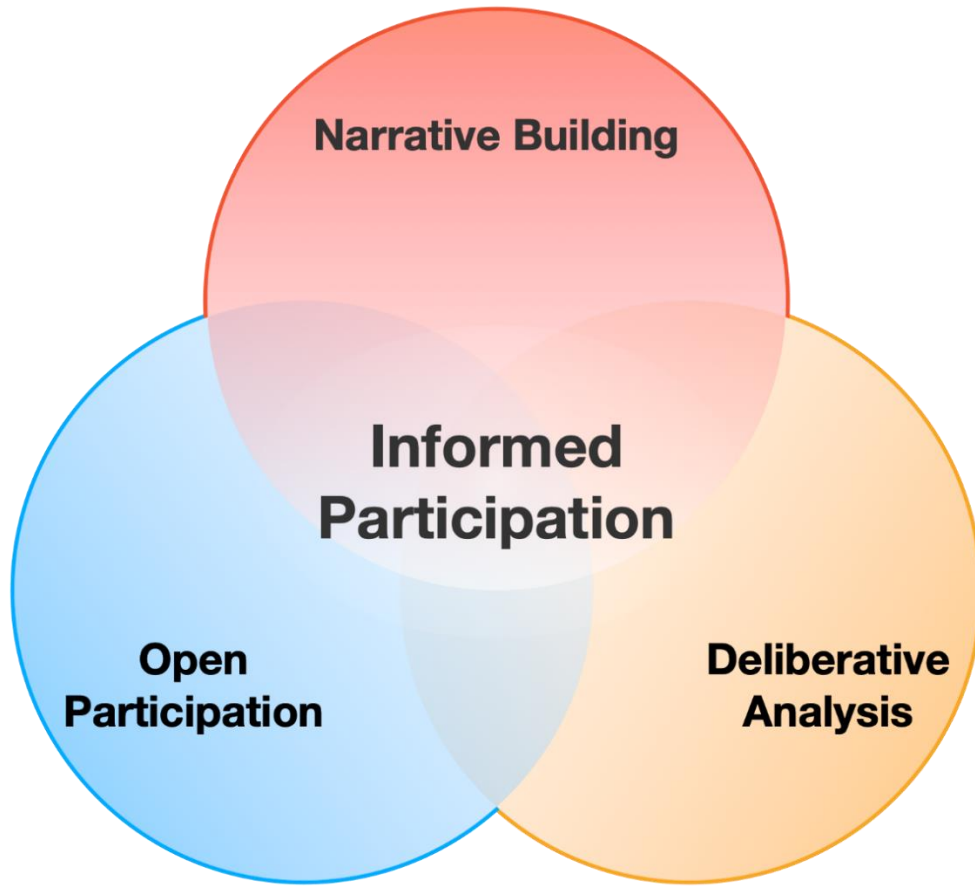
Awareness: A starting point for the dialogue was established by creating scenarios that reflected a shared understanding of the country’s state.

Discovery: Participants were asked to “Think the Unthinkable” by contemplating game-changing events, such as an end to foreign aid for Tanzania. How would Tanzanians cope with such a change?

Choice: Finally, they constructed plausible scenarios for the future, based on the findings from Stages 1 and 2.







The Blended Approach

The process blends characteristics of the three other types by using different subprocesses

Done well, it results in broad-based ownership and strong deliberative (analytical) decisions AND builds widespread support for options and cohesion around solutions

The Blended Approach

The Blended Approach

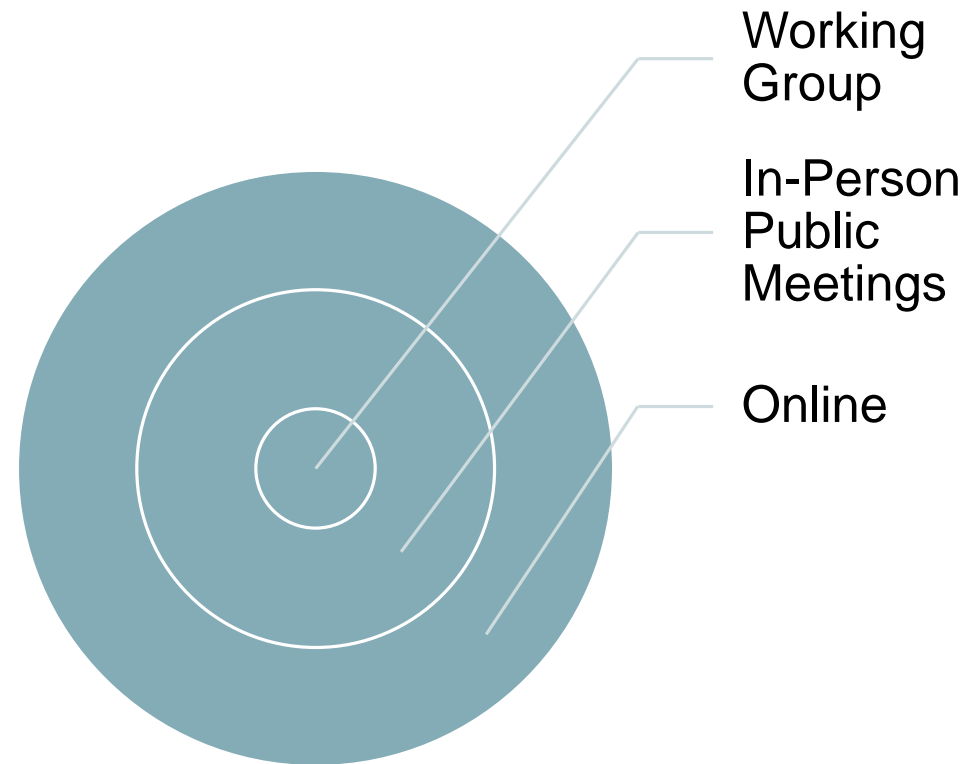
Strengths:

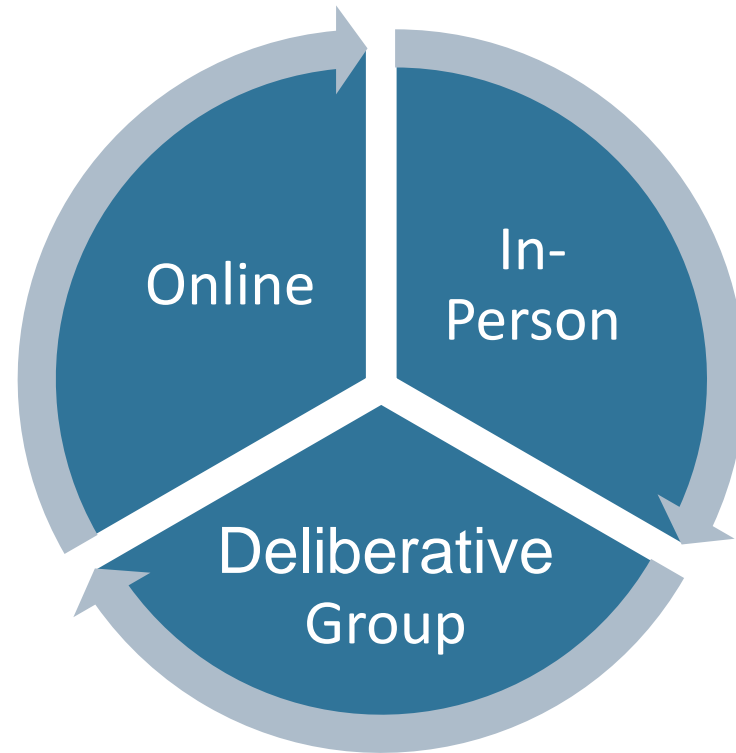
- Blends the analysis with the reach and informality of narrative
- Scales well and can be very inclusive
- High degree of legitimacy
- Builds ownership among public

Weaknesses:

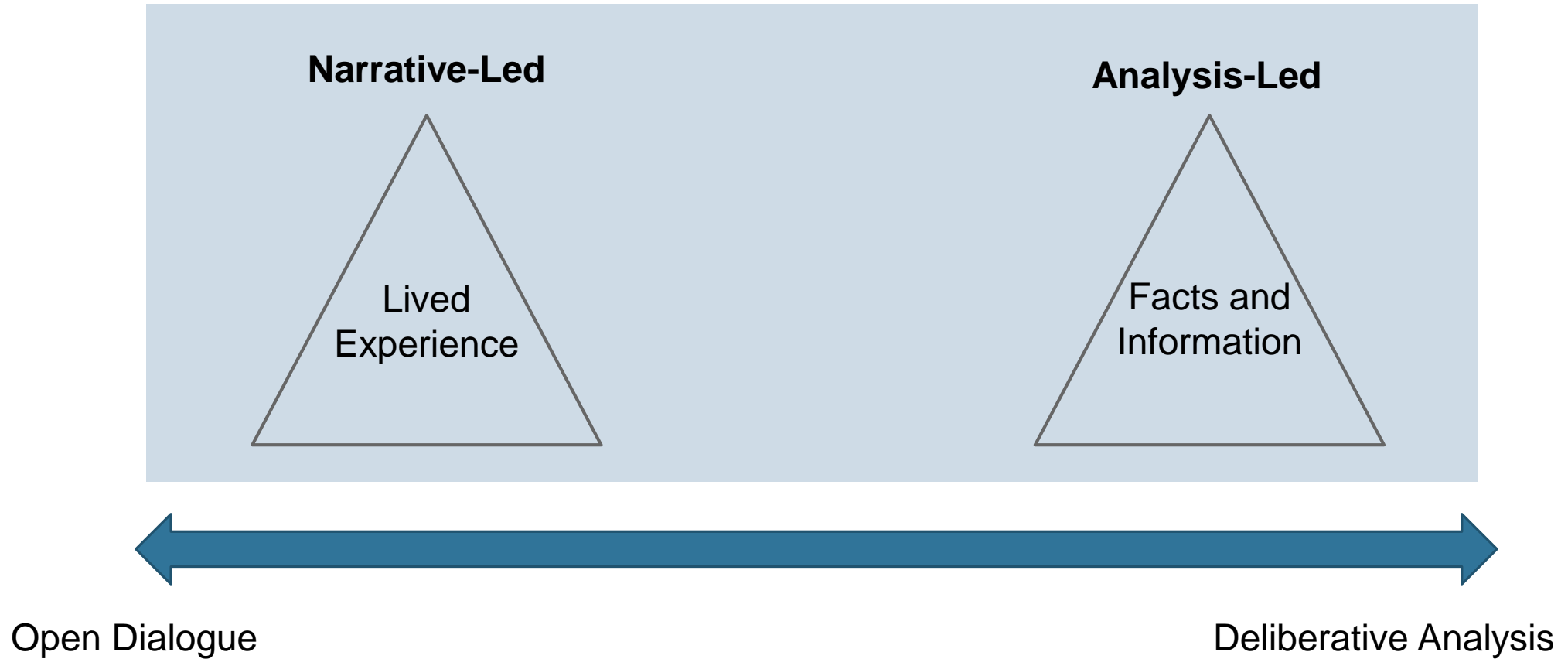
- Complex
- Can be time consuming and require significant resources
- Requires patience and high levels of trust and buy-in from decision-makers

Can Deliberation Scale?

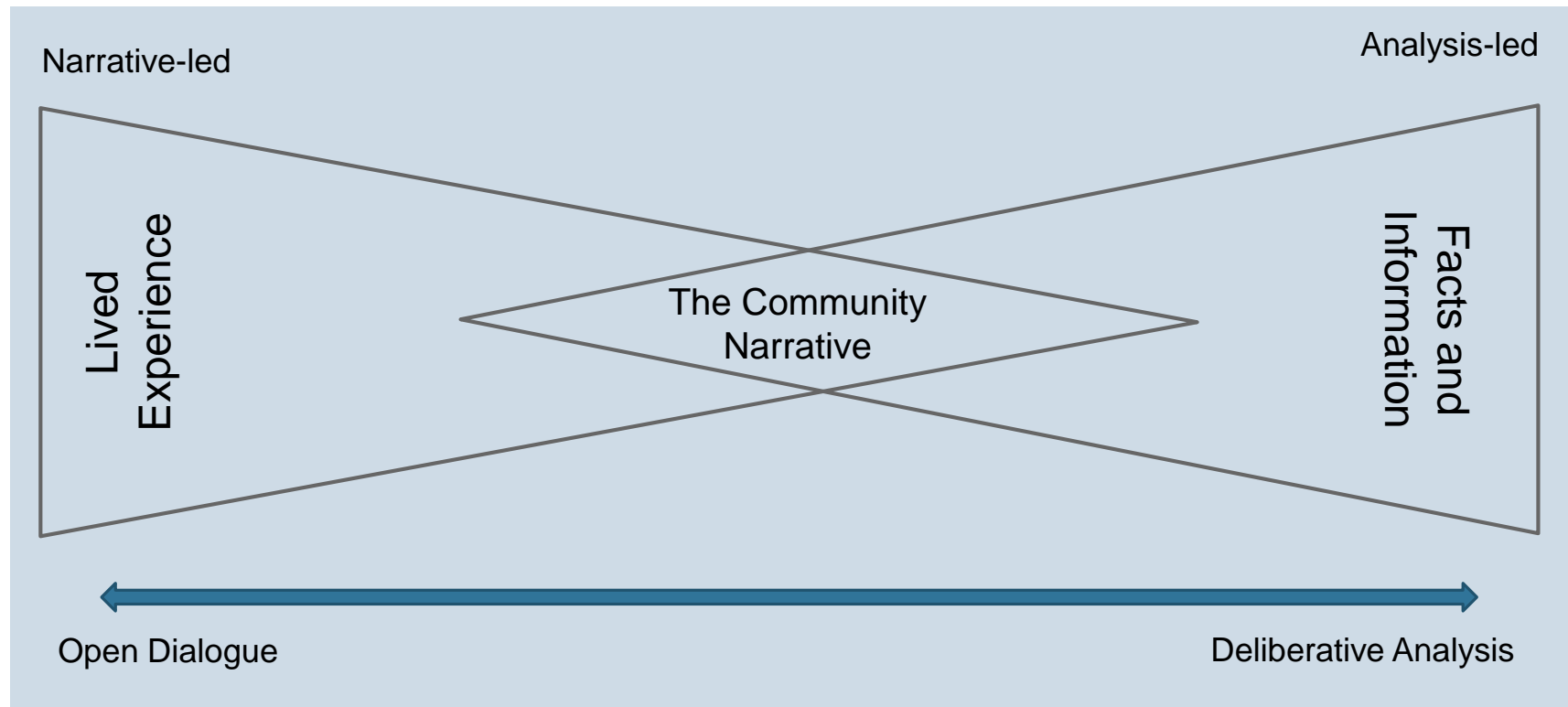




Deliberative Styles



Informed Participation





Question 5:
Are the timelines
and resources
adequate to the
task?



Timelines and resources

The Committee must provide a realistic estimate of the project costs, resources, and timelines needed to ensure success.



Lunch

2.3 Recruit the facilitator



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

- Traffic Cop

- Referee

- Guide

Breakout and Report Back

Participants will use this third breakout session to develop an outline or sketch of the engagement process for their issue by answering five questions



Wrap-Up

Training and Evaluation Forms

Please complete the form before leaving.
And thank you for participating!

THE END