The Democratic Society

Better democracy, everywhere

Citizen Participation in FP9: A model for mission and work programme engagement

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The Democratic Society

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The Democratic Society (Demsoc) works for more and better democracy, where people and institutions have the desire, opportunity and confidence to participate together. We work to create opportunities for people to become involved in the decisions that affect their lives and for them to have the skills to do this effectively. We support governments, parliaments and any organisation that wants to involve citizens in decision making to be transparent, open and welcoming of participation. We actively support spaces, places and processes to make this happen.

1 – Executive Summary

This paper proposes a model, with possible variations, that could be used to involve citizens in setting the missions and work programmes for the successor to the Horizon 2020 research and innovation funding program – otherwise known as Framework Programme 9 (FP9). It sets out a process based on priority setting exercises from Europe and beyond. Its implementation in the specific context of FP9 will involve a set of second-level decisions on information provision, framing of issues, and discussion methods that must be rooted in best practice and expertise in citizen engagement in science.

The core model is based on a tripartite generate-refine-select model. The generation stage creates a large number of ideas, using online discussion available to a wide range of potential participants. During the refinement stage ideas that have been proposed are grouped into themes, then collated, refined and extended in workshops that bring together experts, citizens and stakeholders. From this "long list", a face-to-face deliberative assembly, randomly selected, uses consensus circles (which can be held in multiple locations) to finalise and prioritise the selection.

Around this, targeted support activities ensure that the voices heard are as representative as possible, and support those who might lack confidence or capacity to engage as equal participants.

The implementation of the model depends on a support team, operating with a clear set of principles, based around openness, transparency and a goal of long-term engagement from participants. The principles of action should be:

- Clear, transparent and open process
- Open tools and open data
- Active efforts to engage the widest possible audience
- Networked working through national partners, rather than through a single team
- A process that allows alternative forms of input, not just text
- A process that can operate across multiple languages, not prioritising the views of English speakers
- A goal of long-term engagement, connected into the wider participation and engagement aspirations of the Commission
- Public, honest evaluation
- Clear feedback that explains how contributions were used and decisions reached.

There are a set of key decisions that need to be taken early in the process. The Commission must identify the audiences that are to be addressed in each stage – who, in other words, are the citizens who are being asked to decide? They need to balance the offline and online methods, taking into account the benefits of online for reach, cost and scale, and the ease with which poor online process can produce simplistic or skewed results. They also need to decide how prompt materials are used to inform citizens before they participate.

We estimate that this process can be run at a reasonable pace in twelve months, perhaps quicker if some phases run in parallel with preparation for the next. We set out a range of alternative methods that could reduce the timescale and cost but would produce less rich discussion and results.

The report's appendix 1 considers models that have been used elsewhere for complex multi-option discussions, including in the field of citizen science. These are the National Dutch Research Agenda setting process, the Belgian G-1000, the Antwerp Participatory Budgeting process, the Estonian People's Assembly, and the participation process around the UN Sustainable Development Goals.

Good evaluation is essential. Appendix 2 sets out possible indicators across five key domains that can be used to assess the success of the process.

2 – The Core Model

The core model we propose for increasing citizen participation in setting the missions and work programmes of Framework Programme 9 is shown in diagram 1 and explained in more detail below.[1]

The different elements of this model - idea generation, refinement and selection – form the basis of many priority setting approaches around the world. What we have proposed below learns from best practice in engagement activities across the EU and beyond.

It is worth saying at the outset that citizen involvement in science is a deep and complex area. The practical implementation of the model we propose will need to draw on the expertise of many, built up over many years, in how complex and subtle scientific issues can be communicated to the public, how questions can be framed to avoid bias, and how decisions can be discussed and documented. What we set out here is the overall pattern of an approach – a ground plan of a building, not its blueprint.

We propose later in the report possible variations to the core model that can reduce costs or shorten timescales for the process, but we believe what is set out here offers the best balance between breadth and depth, and best meets the Commission's goals.

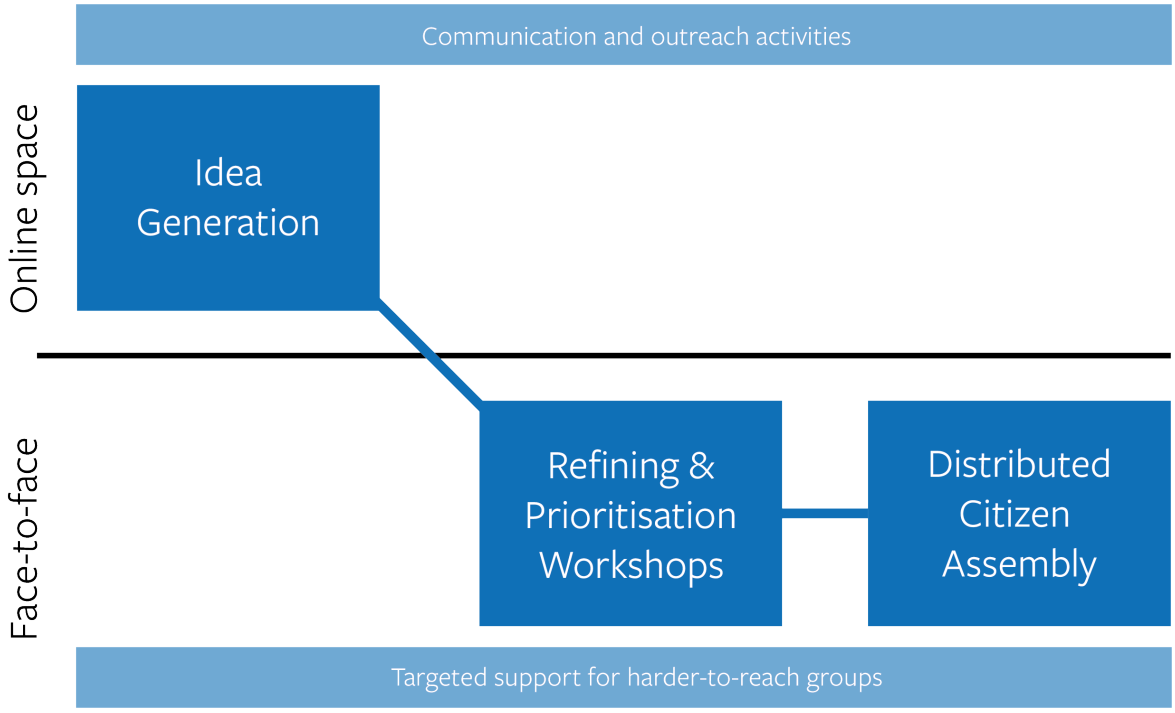

Diagram One: The Core Model

[1] Framework Programme 9, or FP9, will be the successor to the Horizon 2020 research and innovation funding program. More information about H2020, the current Framework Programme, can be found online at: ec.europa.eu/programmes/horizon2020/what-horizon-2020

a) The elements of the core model

The core model is based on a tripartite generate-refine-select model that forms the basis of many priority setting approaches around the world and can be used for either hearing from citizens in the generation of ideas for missions, or for seeking input into the development of work programmes.

The generation stage creates a large number of ideas. In our core model these ideas are generated by citizens, but expert groups and other stakeholders are also able to engage with this process. Run online, as we recommend, this stage is available to a wide range of potential participants, and so can enable broad participation from across the EU.

During the refinement stage, ideas that have been proposed are grouped into themes. Following this a set of thematic workshops are held, bringing together experts, citizens, and stakeholders to collate, refine and extend the ideas and create a "long list" for the selection mechanism.

Finally, the selection phase allows a representative audience to prioritise the long list. In the core model we outline, this selection is done through a series of consensus circles which can be held in multiple locations to give a series of locally-focused events contributing to a single deliberative conversation.

Around this framework of engagement, targeted support activities ensure that the voices heard are as representative as possible, and support those who might lack confidence or capacity to engage as equal participants.

Throughout the engagement process a programme of communication and outreach is carried out that ensures that the engagement exercise is understood by different publics and is heard across the whole of the European Union. The aim should be that Europeans in general are informed about the exercise, and both able to and invited to participate, even if they choose not to.

More detail about the core model is laid out below.

i) Idea generation – detail

The starting point is the generation of ideas. While some idea generation approaches start from imagining a future world, our approach is different. Instead we try to make the input as similar as possible to the final desired output. If the process is being run to generate missions for FP9, the ideas generated should be expressed as possible missions. This reduces the distance between citizen input and the final output, thereby making citizen impact on the process clearer and encouraging participation.

The core model uses a single online platform as the primary mode of interaction. Using an online platform reduces the budget required to run this stage, while at the same time reaching both a much wider geographical audience and larger number of individuals and

stakeholders than offline idea generation methodologies enable.[2] In gathering people on to a single platform, rather than distributing idea generation either across social media platforms such as Facebook and Twitter or having a large number of offline processes, it becomes relatively simple to close the loop and provide feedback from the engagement. Finally, it creates a space from which future engagement opportunities can be launched and can form the core of an activated and interested community.

As described in Chapter 3 below ('Alternative Methodologies') online idea generation could potentially be supported either by offline interactions in the form of pop-up supporting events or supported online participation for those who need help using digital tools, thus enabling a wider audience to be reached.

The approach should be primarily generative – seeking new input – rather than ranking set content, and there should be options for non-written contributions such as video or images so as to enable a wider range of individuals to contribute. It should seek to capture rationale and sentiment as well as a simple proposal, and participants would be required to answer 2-3 simple questions to provide some context and rationale for their suggestion. This information would be used during refinement.

We would also recommend the encouragement of online discussion regarding ideas submitted. Although this adds an additional cost of moderation, it provides a further set of information on context and background that will be useful for the refining stage. The platform chosen should require people to add counterpoints rather than direct comments and should present points made for and against the idea in a random order. This breaks the connection between individual comments, increasing the likelihood that comments will be addressed to the matter and not the person, and therefore reducing the likelihood of hostile behaviour.

Participants on the site should also be able to provide supporting material in multiple formats to support discussion or clarify points, and they should also be able to register their approval or disapproval for each idea. However, it should be clear that this is merely a general expression of sentiment and there are no "winners" or "losers". Any preferences indicated by this voting will be considered alongside other the evidence and context created by the discussion during the refining stage, but all ideas proposed at the generation stage that pass a low bar of relevance, comprehensibility and appropriate language will be included in the refinement stage.

The site should be presented in the user's chosen language, showing ideas in that language. If the online tool is unable to handle translation between the different languages on the fly, a regular process should see ideas translated and copied across between the full range of EU languages.

After a set period – we suggest twelve weeks from the launch event – the site used for idea generation is closed and archived online in a publically viewable location.

[2] There are a wide range of online platforms that can be used to carry out online idea generation, such as the open source 'Your Priorities' software that was funded by the EU. For more information see: yrpri.org/

ii) Refining - detail

The purpose of this stage is to bring in expert voices, reduce duplication in ideas submitted, group ideas that have common roots, and produce a "long list" for the selection phase. In this stage, expert and citizen participants develop ideas together in a series of prioritisation workshops.

The support team should undertake an initial grouping of the ideas raised into broad themes. They will then run at least one deliberative refining workshop on each theme.

The workshops should involve a mix of the subject matter experts including stakeholders, policy officials, and citizens. This is to ensure that the discussions can assess how realistic and plausible ideas are. The workshops should be facilitated with the clear goal of producing a number of ideas for the long list, and with each being achievable and of the right scale and relevant to FP9.

To manage language issues, either the workshops need to be monolingual or multilingual with simultaneous translation in a suitably-equipped venue. The latter option allows for a single workshop on each theme, and discussion to take place between those from different countries and cultures across the EU but makes spontaneous discussion and round-table work more complicated. We believe it is preferable to host two or three workshops on each broad theme, spreading the range of workshops across countries and (where countries do not have subject matter experts who are native speakers of the language) providing expert materials with subtitled presentations.

If multiple workshops take place, there may be a need to hold a final "refine the refinement" stage in Brussels, where priorities that came out of different workshops are finalised and further aligned. This should be done by Commission officials, perhaps with the assistance of an expert panel, on the basis of preserving as much as possible of the content of the workshops, while reducing duplication. This step should not involve citizens, because it would give one group of citizens editing rights over the ideas of other citizens who participated in the workshops, thereby creating unhelpful hierarchy.

The output of the workshops would be a "long list" of 30 to 60 potential priorities, which would then be prioritised in the selection stage.

iii) Selection method

The final stage of the core model we propose is the prioritisation of the long list of ideas. The decision on prioritisation is taken by a distributed deliberative assembly. The use of the prioritisation should be made clear at the outset –that the decision reached will not be fully binding on the EU, given other decision actors involved, but the stronger the connection the Commission can make between prioritisation and final decision, the more willingness there will be to contribute, and the more meaningful the process will be. As a minimum, the rejection of any prioritised ideas should be justified, or the programme will seem no more than a standard consultation.

The model we start from is the Estonian *Rahvakogu* exercise (which, along with other good practice examples, is set out later in this report). This generated ideas online, grouped and developed them with expert support and then held a face-to-face meeting to finalise the prioritised list of recommendations to government.

Given the scale and language issues involved, we do not propose a single meeting for the assembly. While this is possible, and would be a significant media event, we believe that the translation and logistical arrangements will be prohibitively difficult.

Instead, we propose the use of an Antwerp consensus circles approach to prioritise the issues and themes that had been brought up by initial idea generation.

In this model, tables of seven participants are selected from a list of volunteers or existing participants. Table places are allocated so that each table is demographically varied. They are required to reach consensus on a prioritisation of the full list of possible issues (or on all the issues within a topic, if the full list is unmanageably large). A number of different tables run in parallel, but each table can only have its preference counted once all table participants have agreed on the consensus position. This prevents a single influential speaker from influencing more than one table and allows those who are less confident to block a consensus with which they are not happy. In this way, it is highly resistant to crowding and gaming.

The consensus votes from the tables are collated using a proportional voting system, to give a final overall prioritisation.

In the context of the missions, we would recommend a "distributed assembly" model that runs in every EU member state, with a number of roundtables in each member state related to the number of votes the state has in the European Parliament. This weighted vote allows each assembly to feel it has a voice, and in large states such as Germany and France allows multiple tables to be run in different locations, reducing the difficulty of travel and the cost of transport and accommodation. The distributed model allows events to take place in the local language, which allows deliberation without the need for clumsy translation processes. It also enables more diverse and representative participation, as those who are willing to travel relatively short distances but who would not be willing or able to travel to Brussels (whether from preference, or due to caring or work commitments) will be able to attend.

The distributed approach also allows for a greater spread of media coverage, as local assemblies will be covered by local media rather than just national or European media. Local Commission offices could tie events into other communications strands such as InvestEU.

b) Working principles for the core model

The description above sets out the machinery of the core model, and how ideas flow through the system. However, the operation of the model is dependent on a support team, operating with a clear set of principles, based around openness, transparency and a goal of long-term engagement from participants.

i) Clear, transparent, and open process

While much of the core model takes place with the direct involvement of citizens, preparatory work – including the preparation of materials, inviting experts and participants to events, and allocating tables at the distributed assembly – is undertaken by a support team either within the Commission or in a partner organisation. Transparency in all these processes is essential, as it helps to create trust in the

process. In addition, any synthesis, clustering, or refinement of ideas collected must be done, or at least explained, in a public and transparent process.

ii) Use open tools, make process data open

As part of this commitment to transparency, the code behind any software used should be public, as this allows external experts to test for biases and spot unusual patterns of activity. This includes any software used for rating and voting, language translation, or clustering ideas. In addition, anonymised voting pattern data should be made available for external analysis.

iii) Actively seek participation from a wide audience

Openness cannot only be passive. A programme of outreach and support should be undertaken with national partners to support those who would otherwise find it hard to have their voices heard. This support should be designed to enable these individuals to participate as equals in a single process, creating an atmosphere of equality, rather than creating separate streams of engagement for young people or those with migrant backgrounds (to take common examples).

iv) Working through a network

National partners should be organisations with a track record of delivering inclusive democratic and participative processes, including Commission Offices and NGOs.

v) Allow alternative forms of input

As part of allowing the widest range of voices, it is important to consider how alternative forms of input can be provided. Many participation methods are based around the sharing of ideas, almost always in written form if online, or verbal if in person. This primacy gives advantages to certain communities and members of communities, as does the likelihood that, at least initially, English will be a lingua franca. It will be important for this process not to create a dynamic in which English speakers and those who are fluent orally or in writing have an advantage in deciding priorities. The process should be designed so pictures, video, creative writing or other non-written contributions can be used as an idea or as supporting material.

vi) Design for long-term engagement

Engagement of participants throughout multiple stages of this process, into both repeated rounds of the same process, and indeed into other engagement opportunities – must be built in from the beginning, if the Commission's broader goals on supporting engagement in FP9 are to be met. Planning for long-term engagement should include thinking early about how to provide feedback to participants as to the outcome of their ideas and ensuring the online platform is designed to be reusable for multiple future engagement opportunities.

vii) Evaluation in public

An important part of long-term engagement is evaluation of the engagement, and a commitment to continuous improvement. Any evaluation must be public and open and results disseminated widely. As covered in the 'Measuring Engagement' below, ideally citizens and stakeholders would be involved in the development of indicators, and while this is unlikely to be possible for the first use of this process, face-to-face events such as

refinement workshops and the distributed assembly should additionally be used to develop indicators for this process.

viii) Close the loop

Participants must have a clear view of how their input is taken into account during decision-making. The Commission must make a commitment to do this, and to give reasons for their decisions to proceed or not proceed with recommendations. Participants will also need, up front and before any engagement takes place, an explanation of any processes taking place after the exercise has ended, such as being accepted through comitology committees. In this way, the exercise will also inform citizens about EU decision-making processes.

c) Key decisions

We set out the core model above (and below, some ways in which it could be varied). However, even if the core model is adopted in its entirety, there are a number of significant decisions that still need to be taken. They are set out, with our recommendations, below.

i) Defining whose voice should be heard

One of the most important decisions is "who should be allowed to participate". The different stages of the core model call for different types of participation and allow for different audiences to be addressed. The broad and open idea generation stage needs many different voices represented, but statistical representativeness is less important. Later in the process, a smaller, more representative audience is needed.

With EU funded research potentially taking place across the world, **we would suggest that those living anywhere in the world should be able to propose ideas as part of the idea generation phase.** The group of countries in which to run refinement workshops, or in which the selection stage takes place is a more difficult judgement and there is an argument for restricting it to either EU member states. **Our recommendation would be that all countries participating in FP9 should participate in the distributed assembly,** as indirectly citizens living within those countries will have contributed towards funding the programme.

Previous Commission priority setting activities have often taken insufficient account within R&I, and we do not believe that this is necessary in the core model. **The idea generation stage should be as open as possible, the refinement stage includes experts in its design, and the selection stage's consensus circles prevent an expert voice having undue influence over a large deliberation event.**

In designing the registration process for participation in online or offline activities, the Commission or support team will need to strike a balance between verification of identity and ease of access. Without clear processes to ensure that participants meet whatever residence criteria is set, the process risks losing credibility, and with no verification of individuals whatsoever, the more open idea generation stage risks being "astro-turfed" with fake grassroots comments. However, onerous verification of identity has been shown to act to inhibit signup to engagement processes, thereby reducing

participation and starting with the marginalised voices the Commission finds it hardest to reach.

ii) Balance between online and offline methodologies

Online methodologies enable participants to engage at a time that best suits them and removes the requirements to gather in one physical location. This is highly beneficial when designing engagement processes to reach a large number of individuals over a wide geographic area. Use of digital tools also enable materials to be produced in multiple different formats – including both video and audio – and allow for this to be presented in different languages.

However, online methodologies tend to be driven by digital data, focussing on what is easy to count (for instance voting) over what is difficult to count but a significant part of an informed democratic process (such as the quality of deliberation). In contrast, off-line methods provide human contact, and reduce the possibility of people behaving inappropriately or a creating hostile environment, as can occur in online engagement.

There are also barriers to online engagement: it is often forgotten that not all individuals have access to digital infrastructure or the confidence or skills to engage online.[3] In any online deliberative forum there is also a risk that 'norms' develop, often along existing lines of structural inequalities or expectations of acceptable forms of expression, that may exclude certain voices.

We recommend, as proposed in the core model above, that both online and offline engagement methodologies should be used, but with online being the focus early in the process enabling a light-touch engagement that reaches wide audiences, and offline becoming the focus later on, as the process moves from idea generation to deliberation and selection, and to working with more representative audiences.

iii) Use of prompt materials before idea generation

Before citizens and stakeholders come up with ideas, there would be benefit in giving them the opportunity to understand the scope and scale of issues that are of interest, and perhaps the broad outlines of the scientific background and plausible futures. This supports engagement, provides a certain level of education in the issues for all participants, and gives people more confidence in their suggestions. The provision of materials that encourage reflection about the future, could include videos, pictures magazines, and interactive tools to encourage people to think beyond their current experience when starting to answer the engagement questions.

However, creating these in ways that are suitably neutral is hard to do. There is always a risk of framing or priming – setting subtle boundaries to acceptable ideas, giving people suggestions or putting them in a frame of mind that then influences their answers. If prompt materials are used, and we believe their benefits outweigh their risks, they need to be carefully designed in order to avoid the appearance and reality of framing and need to be designed for a general audience.

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[3] Internet access and use statistics – households and individuals. Eurostat. *(Accessed Jan 2018):* *ec.europa.eu/eurostat/statistics-explained/index.php/Internet_access_and_use_statistics_-_households_and_individuals*

d) Timescale

The timescale for running the core model is not fixed but can be estimated. The flexibility comes from the fact that different elements can be run in parallel. We would estimate a twelve-month turnaround from start to finish, but information creation, delivery partner recruitment and network building could and should start in advance to ensure that the twelve months can be used effectively, and to ensure that the network that is addressed is as large as possible as early as possible in the process.

The timetable below shows some indicative timings. As can be seen, there is potential to shorten the timings, but also scope (if time were available) to extend the running time to fifteen to eighteen months, which would allow for more focus on outreach and network building, producing more representative audiences and making a larger number of citizens aware of the project.

	Generate	Refine	Select	Communications	Targeted support
Pre-launch	Network building, digital platform	Workshop location scouting, theme identification		Building public awareness and the message	Finding partners for targeted outreach programme
Month 1	Launch & Generation	Themes allocated, Invitation of expert participants	Partner identification and signup	Launch comms	Programme design
Month 2	Generation	Training of support team	Venue identification & network building	Ongoing comms	Plan finalised
Month 3	Generation closes	Workshop recruitment	Early network building	Ongoing comms	Outreach work
Month 4	Final write-up and review	Workshop recruitment		End of idea phase comms	Outreach work
Month 5		Refine workshops	Training of support team	Workshop comms – recruitment campaign	Outreach & support work
Month 6		Refine workshops	Information preparation & participant recruitment	Workshop comms	Outreach & support work
Month 7		Finalisation of issues list if needed	Workshop recruitment	Workshop comms	Outreach & support work
Month 8		Final write-up and review	Workshop recruitment	Pre-selection event comms	Support work
Month 9			Selection workshop preparation	Pre-selection-event comms	Support work
Month 10			Selection workshop	Strong push in build up to event	Support work
Month 11			Writeup	Reviewing	
Month 12			Final publication	Strong push regarding results and outcomes	Support work - tailoring messages and comms

After finish				Feedback and continuation	

2 - Alternative methods

The core model set out above is, as set out above, the one that we believe best delivers the Commission's goals, but within the overall Generate – Refine – Select framework laid out, there are multiple variants that can increase inclusivity, enable an engagement process to be run in a shorter time frame, or could be adopted in order to reduce costs. Each of these variants have some trade-offs in terms of time, costs, and inclusivity. Some possible variants based around the core model are set out below, and the trade-offs highlighted.

a) Variant: Offline idea generation kits

The core model suggests that the idea generation phase is carried out online, and ideas are submitted to an online platform. While this has many benefits, it is likely to lead to the unintended exclusion of potential participants: people lacking the skills or confidence to engage online, those affected by a lack of digital infrastructure, or those who are not reached by marketing and communications activity. One option is "supported online", where local public services or local or national NGOs enable people to participate online who would otherwise be unable to. However, it is possible that financial support would be needed to enable the activity of these partners, as single representatives

However, to broaden the reach of the participation exercise further, there is a variant that would supplement the online process with a downloadable kit that enables citizens, stakeholders, and organisations such as museums to run their own offline event or activity, capture ideas and feed these into the process. This kit should be provided in all 24 official EU languages, be provided under a copyright license that allows for translation into other languages and should contain guidance for running a range of events or activity - from small pop-up activities, idea submission boxes, through to a discursive event.

The kit should also contain a standardised response form for the organisers to feedback to the Commission which would act as a record of the activity or event taking place, and capture some basic information including the numbers of people taking part, as well as any suggestions to be submitted into the process. Ensuring there is a way by which people in these peer networks can sign up for updates will also increase numbers able to be kept informed in both immediate outcomes and potential participants for further engagement – but the route for feedback should mirror the route for contribution, so if offline events are used for idea generation, there should be offline (or at least printable materials) available for distribution to the participants.

Transparency and inclusivity are harder to guarantee in this offline process. The kit should indicate to event organisers how to ensure the widest possible reach, but independently-run events are harder to monitor and will usually rely on non-specialist teams. Despite this, the potential benefits are significant: potentially helping to make up for inequality in access to digital technologies based on age, gender or geography. They are also a good means by which existing and developing grassroots networks, such as those around G1000, can be leveraged.

b) Variant: No idea generation

If the Commission believed that ideas generated from the general public would not produce ideas of the right quality, or if time to set up and run the idea generation for 12 weeks were not available, a variant would be to use the expert/citizen workshops not as refinement sessions but as idea generation sessions. We believe that trying both to create ideas and prioritise them puts too much of a burden on a single workshop. There are ways of managing this with a strong process and tight timetables on the day, but the deliberative quality would be lower. However, if the right process can be found, using a single event in place of the idea generation and refining stages would shorten the overall timescale to some extent.

c) Variant: Online refining

In this variant, online discussions refine ideas rather than offline workshops. This allows for the refining process to be run more quickly, and with a broader geographical reach than workshops would allow.

The downsides to this approach are that online interaction is generally shallow and individualistic, reducing the potential for the synthesis and compromise that comes with well-managed discussion. In an online community, it will be harder to build a broad representative audience and ensure that they have equal opportunity and motivation to participate. The asynchronous nature of communication, which is a benefit in idea generation, also makes it hard for deliberative discussion to flow.

d) Variant: Commission and/or expert groups refine

In this variant, the Commission takes the ideas from the first stage to create the long list, either with or without expert panel participation. The clearest benefits of this variant are that the Commission are best placed to craft a long list of ideas that are of the right scale, are addressable and reflect scientific thinking. With expert participation the output is likely to be of high quality. There are also some cost and time savings from not running the workshops, and the language issue is less significant as it is likely that the refining process can be undertaken in English.

The obvious disadvantage is that this process does not involve citizens, and so breaks the chain between idea generation and implementation, the existence of which creates a powerful narrative of citizen engagement. If this variant is chosen it will be important that the refining and the reasons for decision are very open, ideally conducted in public using webcasting and transcribing.

e) Variant: Online selection by vote

Running an online vote would allow selection to take place more quickly and at lower cost. A prioritisation exercise online would be able to involve a very large number of participants, far more than offline workshops, and costs would be lower. The timescale to set up and run an online process would be shorter.

The principal disadvantage of this approach is that it removes most deliberation from the prioritisation process. The process in the core model allows for demographic mixing and a wider range of views expressed before a consensus prioritisation is reached, which encourages participants to consider issues from different angles. We selected a

different approach for the core model because in the context of the selection stage, it is better to have a more considered discussion, that reaches a large number of citizens through good communications, than a larger participation in a shallower process.

Furthermore, online engagement allows crowding (to some extent deliberately - Change.org, for instance, gives users a huge range of tools to increase signup). This means that participants can be unrepresentative. Attempts to understand the representativeness of participants, for example by asking people to fill out demographic information, can be counter-productive as they increase barriers to sign-up, and therefore weed out less committed participants, resulting in a less representative sample of users, more likely to hold stronger views.

f) Variant: Offline voting rather than consensus model

A possible variant is to switch from a consensus model to one which uses a more traditional one-person-one-vote at the events. This reduces the need for facilitation of the tables and allows for events of varying sizes. There is also a direct connection between a person's vote and the result.

We prefer the consensus model because of the discussion and deliberation that it involves. In particular, even a well-facilitated deliberative event will result in some participants "tuning out" and voting on their prior views without thinking about their experiences or discussions in the event. The consensus table model requires them to pay attention to the views of others, even if only at the moment that they vote.

Some "town hall" models also allow a single person or a group with a strong view to disproportionately influence the discussion. The consensus model allows even the strongest personality to influence no further than a single table, and random selection and demographic mixing on tables will help to mitigate against organised groups attempting to pack the room.

g) Variant: Single prioritisation event with simultaneous translation

As mentioned above, a logistically simpler approach would be to invite a demographically representative sample of participants to a single offline event with simultaneous translation. This would reduce the cost and setup time of workshops (though there would be increased costs for participant travel). A single event allows for a single media moment with key Commission figures present in the room.

The practicalities surrounding interpretation, however, lead to a static and less deliberative process. It is also likely that some participants from more marginalised groups would be unwilling or unable to travel to the event, skewing the participation. Also, a group that tried to represent the demographic diversity of the EU would be very large, and difficult to manage well in a single event.

3 - The model in its context

The core model and variants set out above are not entirely new creations. They draw from a great deal of work on participation, and specifically on participation in large-scale priority-setting exercises, that exists around Europe and farther afield. In this section, we set out the context for the core model, both in terms of work that it draws on and responds to, and good practice around the world.

Declining trust in institutions and a rise of desire for transparency and a greater degree of participation have driven a shift towards exploring and implementing means by which the governance of science and research is more democratic, accountable, and transparent. Reflecting steps taken towards open government at nation-state and European levels, and the broad concept of a "more democratic Union", to which President Juncker recently referred,[4] this opening up of R&I governance has taken place in a number of practical ways.

There has been the development of deliberative approaches to enable upstream engagement with governance relating to the implementation of technologies, the establishment of policies and norms that make the most of digital technologies to enable wider sharing of research outputs, and encouragement for the direct involvement of citizens and stakeholders in setting the agenda of R&I activity.

Involvement of citizens and stakeholders in R&I agenda setting can take place within a specific research project, with individuals, communities and civil society organisations (CSOs) helping to define the scope of research projects, develop research questions, or provide their insight into the current situation or problems faced. This model will be familiar to those who work in international development.

Alternatively, citizen and stakeholder involvement in R&I agenda setting can take place at an earlier stage, for instance providing input into shaping the themes or programmes for which funding is available, or by directly selecting a number of research projects for funding.

It is generally accepted among policy professionals and science and technology studies (STS) academics that greater public involvement in governance regarding the implementation of innovations and technologies is both inevitable and desirable, helping to develop shared ownership and responsibility of outcomes and risks. The concept of Responsible Research and Innovation (RRI) is becoming increasingly established, promoting the idea that democratic governance and collaborative working between a range of societal actors – including researchers, citizens, civil society organisations and businesses – that takes place throughout the R&I process will develop outcomes that are in alignment with the values and needs of society.

The European Commission itself has not been a stranger to these developments, having introduced the 'Science in Society' in FP7, and further developing it with the 'Science With and For Society' programme in H2020. These funding streams have supported

[4] President Jean-Claude Juncker's State of the Union Address 2017. Sept 2017. http://europa.eu/rapid/press-release_SPEECH-17-3165_en.htm *(Accessed online Jan 2018)*

many R&I related public engagement activities – including CIMULACT (Citizen and Multi-Actor Consultation) and VOICES (Views, Opinions and Ideas of Citizens in Europe on Science), which have been previously used for priority setting in work-programmes.[5]

a) Why engage citizens?

There are a number of broadly (if not universally) accepted benefits of greater public involvement and engagement in R&I governance as a whole to both the processes of R&I and society, including understanding how acceptable the public find different research areas through hearing a more diverse range of voices and developing relationships between citizens and civil society and academics which can help build trust in a context of multiple interlocking and diverse groups. Providing opportunity for interactions and relationships can provide researchers with a deeper understanding of the value citizens and civil society organisations (CSOs) can bring to R&I processes, as holders of tacit knowledge about the world, potential end-users of technologies and equal partners in society, and can help ready them for involvement, co-production and collaboration with these in longer-term and deeper ways.

Depending on the nature of an engagement activity, citizens and CSOs who take part in an activity may be empowered to become 'scientific citizens': aware of opportunities, and both capable and interested in engaging with R&I in other ways from governance related issues, through to taking part in a citizen science project. Furthermore, citizens can gain skills, knowledge and the capacity to engage in future democratic participation outside of the specifics of R&I governance.

Beyond this, good engagement that reaches a diverse range of citizen voice and non-expert stakeholders will capture input from those with a diversity of perspectives about the ideal focus of R&I activity, informed by different backgrounds, experiences and with different prior assumptions. This ensures funding streams are developed which are framed by a better understanding of society's view of the future and can begin to address the ways in which existing inequality, including the gender and ethnic profile of those within academia and industry, may bias knowledge production and the challenges explored by research and innovation.

b) Why engage citizens in FP9?

The introduction of FP9 provides the opportunity for the European Commission to build upon its existing work and prior commitments to bring different societal actors together to prioritise R&I activity.[6] There is clear appetite for this across the different institutions of the Union. The Council, for instance, recently encouraged "the Commission to step up

[5] More information about VOICES can be found at ecsite.eu/activities-and-services/projects/voices and more on CIMULACT at cimulact.eu

[6] For instance, Responsible Research and Innovation: Europe's Ability to Respond to Societal Challenges; (pg 12). European Commission, 2012: ec.europa.eu/research/swafs/pdf/pub_rri/KI0214595ENC.pdf

its efforts to bring science closer to the citizens and to involve citizens and civil society more in the strategic agenda-setting of R&I priorities at EU level". [7]

In 2017, the Lamy Report recommended that within the next Framework Programme (FP), the Commission should set R&I missions "that address global challenges", and made a broad call for greater involvement of stakeholders and citizens within the programme. The report highlighted the specific possibility that such involvement might include "identifying, debating, and possibly even deciding which EU-level missions to choose" and "measuring progress towards the fulfilment of missions".[8]

c) Why use Generate – Refine –Select as a model?

While the Commission has typically focussed on comparatively small-scale engagement activities with participants numbering in the low thousands. While involving this number of individuals in democratic processes is without doubt impressive, it is small in the context of the Union's population of over 500 million.

The design of democratic processes should be driven by the purpose of engagement. The process of engagement in FP9 needs to make the best use of networked technologies, reach a wide number of citizens across the European Union, and show clearly that people in every part of the Union have an opportunity to participate in setting priorities, and opportunities to become further involved in the future. For this to be achievable in the EU's context, engagement must operate at a scale that in-person deliberative events are unlikely to achieve alone.

That is not to dismiss the value of deliberative events as a method of engagement. Deliberation tends be deeper and more reflective when undertaken face-to-face than online, and in an exercise where ideas need to be developed and discussed, this results in better outputs. In any case, there is significant value in bringing people together to exchange views and learn from each other, and to date, no technology has yet managed to provide online experiences of deliberation in a way that truly emulates the empathy and understanding that face-to-face interactions tend to.

There are a significant number of organisations – from the multinational to the hyper local – currently working in locations across the European Union on participatory projects, reaching into local communities and specific interest groups. We have set out above the key principle that this work should be done in partnership.

Some officials we spoke to were sceptical about the level of general public interest in R&I, or the ability for a process to inculcate sufficient knowledge to enable a lay audience to prioritise topics correctly. This reflects worries about the prevalence of false and misleading information online, the complexity of the information that needs to be considered and the difficult trade-offs inherent in the selection process.

This is a belief that we regularly encounter when new democratic processes are being introduced into policy making, and it derives in part from a *déformation professionelle*

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[7] Outcome of Proceedings. Council of the European Union. 27 May 2016: data.consilium.europa.eu/doc/document/ST-9527-2016-INIT/en/pdf

[8] Lab-Fab-App: Investing in the European Future We Want. September 2017. ec.europa.eu/research/evaluations/pdf/archive/other_reports_studies_and_documents/hlg_2017_report.pdf

that assumes input from citizens will be in the same broad format as, and should be treated in the same way as, input from expert groups.

To treat citizen input in this way, though, would be bad for citizens and bad for policy. We cannot and should not expect the public to be amateur policy-makers or part-time experts; we should use their ideas, their deliberative capacity and their ability to mobilise to support good research. Citizen input, particularly in areas of technical or scientific complexity, can no more replace expert opinion than a panel of experts can tell you the collective will of the public. Citizen voices broaden perspectives. They also put focus on public attitudes and give a sense of the moral and political positions that researchers must respond to if they want their projects to receive public backing. They are not, however, meant to be expert policy makers, nor do they expect to be. Their desire for participation emerged alongside both emergence and uptake of new technologies, and citizens changed expectations of governing institutions, but it is a desire to have a say, not to make a final decision.

Not everything is straightforward. There are a number of challenges the Commission and support partners will face. They will need to ensure that moderators have enough background knowledge to manage linking and support discussion effectively. They will need to guarantee the capacity that allows “hard to handle” issues (questions that do not fit the idea generation format, but which need answering) to be directed to the right place for answer. They will need to understand how to handle issues or input that are not likely to be acceptable to member states. They are not a reason for retreating from the participation ambitions of the Lamy Report and the Commission’s own work however. They can be contained or overcome with good process and good design.

4 - Measuring engagement and taking work forward

a) Measuring engagement

Evaluation has a twofold purpose: First to capture learning about how to adapt and amend a programme of work, and second to help ensure accountability and enable trust in the process to be built.

There are a number of different sets of indicators for measuring citizen engagement within R&I, and citizen engagement more broadly. Just as there is no single model for how citizens can be involved in setting an agenda, or no single model for engagement, there is no single set of indicators that broadly state how to measure the benefits of involvement that takes place.

There are however a number of attempts to explore the health of R&I governance in response to the RRI agenda, and as part of this, the development of indicators relating to public engagement. The European Commission funded MoRRI (Monitoring the Evolution and Benefits of Responsible Research and Innovation) project is due to conclude in 2018, and as part of work to date, they have published a series of analytical reports in the six dimensions of the RRI agenda,[9] as well as a report on the development of metrics and indicators for RRI projects,[10] taking into account the democratic, societal, and economic benefits created through public engagement. Likewise, Commission's analytical report emerging as a result of the Expert Group on Policy Indicators for RRI, provides an additional framework that can be used, with indicators that are a mix of quantitative data by origin and others derived from qualitative primary data.[11]

Indicators for a specific engagement activity should broadly be designed to match the engagement process and mirror the desired impacts. We recommend, in line with learning from examples in R&I and other areas, a participative approach to evaluation which enables those involved with the process to help define the value of the programme and evaluative indicators.[12] However, we recognise this option may not be feasible for the first iteration of this programme, given time constraints. Instead, we recommend that use is made of the face-to-face opportunities built into the core model with representative audiences and find opportunity to deliberate over an initial set of indicators, and explore how these can be readjusted for subsequent rounds.

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[9] These six dimensions are public engagement, science literacy/science education, gender equality, ethics, and open access. Each of these dimensions are broken down into multiple categories – for instance public engagement is broken into public communications; public activism; public consultation; public deliberation and public participation.

[10] Progress Report D6: Definition of metrics and indicators for RRI benefits: Wooley and Rafols (2016) technopolis-group.com/report/development-metrics-indicators-rri-projects-d6/

[11] Indicators for Promoting and Monitoring Responsible Research and Innovation: Report from the Expert Group on Policy Indicators (201)5: ec.europa.eu/research/swafs/pdf/pub_rri/rri_indicators_final_version.pdf

[12] van den Hoven & Jacob, p3

There are a number of key principles that have informed the indicators proposed below: the benefit of ensuring longitudinal data can be captured over multiple programme life cycles, wherever possible using existing data sets or mechanisms so as to reduce both cost and burden on respondents, and the benefits of being sufficiently granular to pick up variations at the national and subnational level. Indicators also ensure that evaluation is taking place both of the process – ensuring it is operating with design parameters, enabling people to understand what works and what doesn't, and identifying gaps for the iterative development and improvement – and impact to explore if achieving attended effects, understanding impact on citizens, governments, and academics.

In Appendix 2 we have outlined the indicators that we think are valuable to be measuring as part of this programme. We have taken into account the work done by MoRRI, the Expert Group on Policy Indicators for Responsible Research and Innovation, as well as other guidance, such as that provided by the World Bank and the IMB Centre for the Business of Government.[13] [14]

The criteria reflect a summary of the benefits provided by citizen participation in R&I mentioned elsewhere in the report, and we have drawn where possible on existing measurement tools used by the Commission. Where existing measurement tools are not present, for instance regarding process or perception indicators, we suggest that before-and-after surveys are used for individuals who are involved with face-to-face events, and a similar pop up survey for a randomly selected number of individuals doing online.

We also recommend that indicators are not the only means of capturing feedback and data for evaluative purposes. It is important to ensure feedback is captured whenever it emerges through the process, as indicators, while valuable, can be restrictive and may omit unexpected learning.

b) Taking engagement further

Citizen involvement in priority setting for FP9 should not be taken in isolation. If designed and implemented correctly, the participation will create a large group of individuals and stakeholders who, having had a good experience of being heard by the Commission, will want to stay involved – at the very least to understand how their input was used.

We have discussed above the importance of "closing the loop" and giving people useful and relevant feedback in the same format in which they contributed. Beyond that loop-closing, there will be many other opportunities for the pool of citizens to participate – for instance, as the Lamy report recommends, "in measuring progress towards the fulfilment of missions",[15] as part of future engagement exercises being carried out by DG RTD, or more deeply in EU R&I activities themselves. The result could be used to build

[13] Evaluating Digital Citizen Engagement. The World Bank. (Feb 2016) openknowledge.worldbank.org/bitstream/handle/10986/23752/deef-book.pdf

[14] A Managers Guide to Evaluating Citizen Participation. The IMB Centre for the Business of Government. (2012) businessofgovernment.org/sites/default/files/A%20Managers%20Guide%20to%20Evaluating%20Citizen%20Participation.pdf

[15] Lab-Fab-App: Investing in the European Future We Want. (September 2017) ec.europa.eu/research/evaluations/pdf/archive/other_reports_studies_and_documents/hlg_2017_report.pdf

towards a “G-1million” network – a million Europeans who have engaged at least in some way in the European research programme.

Appendix 1 - Good practice from around the world

Bringing stakeholder and citizen voice(s) into priority setting of funding programmes is not a novel idea. Many existing processes of consultation and engagement attempt to do this indirectly, including work carried out by the Commission in developing work programmes for current and previous Framework Programmes and that carried out through programmes such as CIMULACT and VOICES.

Globally there is an increasing trend for governments to involve citizens and stakeholders in priority setting, recognising the benefit in building trusted relationships with more citizens and stakeholder groups, and ensuring the widest range of potential viewpoints and insights can be brought to bear.

The increase in organisations, from the local to the multinational, that are developing participatory initiatives provides a rich body of case studies from which the Commission can explore models of engagement that go beyond the work carried out to date – namely that which has tended to be focussed around in-depth engagement with small representative audiences, consultation processes with a comparatively small number of trusted stakeholders and expert groups.

Large scale priority setting exercises

As priority setting in other contexts is rarely functionally different from priority setting for R&I, learning can be drawn from a range of different activities outside R&I programmes. Below we have highlighted a number of relevant high-profile and large- scale priority setting exercises and identified key lessons from these.

a) National Dutch Research agenda

In May 2014, the Dutch "Knowledge Coalition" launched an engagement activity aiming to create the first National Dutch Research agenda.[16] Using an online portal, citizens and other stakeholders were invited to 'ask a scientist a question'. Over 11,000 responses were received: far exceeding the number anticipated.

This large number of responses meant they could no longer cluster submissions into topics using a jury of scientific experts as originally anticipated, but instead had to use software for this process. This clustering was then checked by experts who identified those which were 'genuinely ground breaking', and suitable for exploration over the next decade. Research questions were created for those topics falling into both of these categories, and the 140 questions that were created were subsequently published.

[16] More information on the National Dutch Research agenda can be found on the home site: wetenschapsagenda.nl/national-science-agenda

Those organising the programme built a mechanism into the digital platform that allowed those proposing questions to be introduced to academics and researchers already working in related areas, thereby helping to increase scientific education and understanding among those who participated.

Lessons learned:

- Online methodologies can be used to reach a large number of individuals. Increasing the numbers involved in the process however doesn't necessarily result in a diverse range of individuals being involved.
- An engagement exercise relating to R&I policy can create opportunities for increasing connections between citizens/stakeholders and researchers.
- At times pre-planned processes may need to adapt to the realities of an exercise.
- Digital clustering is a possible option for handling large numbers of responses.

b) G1000

G1000 events were started by grassroots activists in Belgium in response to a significant period during which the country had a caretaker national government. G1000 style events have since spread across a number of European countries.

The first G1000 was a multi-stage event, largely supported by crowdfunding. Over 6,000 citizens took part in a process to crowd-source the agenda through proposing topics for the event, discussing ideas submitted, and voting upon these. The ideas submitted were clustered, and citizens were invited to choose their three top priorities from a randomly sorted list. To ensure there was no mass voting by any individual or group, organisers checked the IP addresses for each voter, and the three most popular topics identified through this process formed the agenda for the event.[17]

Over 700 people, both Flemish and French speakers. were brought together for the event: some targeted to satisfy specific diversity criteria, and some randomly selected from those involved in setting the agenda. Live-streaming increased the audience, enabling those who couldn't be present to view the proceedings. The discussions at G1000 were taken forward by a smaller group, the G32, which produced a range of detailed proposals. Like the Irish Citizen Assembly process, these citizen-derived suggestions were more radical than conventional political positions.[18]

A recent detailed study found that the impact of the G1000's recommendations on policy had been very limited, because of the weak link between the G1000 and the state institutions that were anticipated to implement the outcomes.[19] However, the same research shows that the G1000 methodology, and the sense of experimentation around

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[17] More information about the original G1000 event can be found on their website: g1000.org

[18] The Irish Citizens Assembly is an instance of a standing assembly. The group is 99 people strong, randomly selected from the population of Ireland, are anticipated to be broadly representative of the views of Ireland. Established by the Irish Parliament, the group meet on a regular basis, and have explored a number of key issues including abortion and exploring how to respond to the challenges of an aging population – More information about the Citizens Assembly can be found on their website: citizensassembly.ie/en/

[19] Le G1000 : une expérience citoyenne de démocratie délibérative. Reuchamps, Min et. al. Courrier hebdomadaire / Centre de Recherche et d'Information Socio-Politiques, no. 2344-2345, p. 5-104 (2017)

it was an important early driver in the conversation about democratic renewal currently underway in Belgium.[20]

Following the original event, a number of other similar events, often branded as 'G1000 events' have emerged - most notably in regions of the Netherlands such as Rotterdam and Amersfoort. In many of these instances the agenda setting aspect is less prominent than the original event, and many do not in fact have 1000 citizens present or involved. Despite this, the uptake of these events and activities in cities and countries across Europe, including Madrid and Cambridge, show there is a real appetite from grassroots for democratic change.

Lessons learned:

- Online tools can be used as a starting point to enable a larger audience to participate, and the outputs of these can be fed into subsequent offline engagement activities.
- Implementing institutions need to be brought into an engagement activity if an engagement activity is to have significant impact.

c) Antwerp Participatory Budgeting programme

The Antwerp district runs a Participatory Budgeting (PB) programme which allocates funding from a pre-set budget of 1.1m EUR (10% of district council spending) to projects.[21] In the fourth cycle, which took place in 2017, 1,500 participants were involved (out of a total population of around 200,000). Participants were also demographically representative of the population of the district – significantly due to an outreach and training programme that works with young people and those from migrant backgrounds and provides them with the skills and confidence to participate.

The council run three rounds of public events, based on the decision that they wanted citizens and residents to engage with each other in a meaningful fashion. At each, participants build consensus on topics and projects to fund. Events are run initially in neighbourhoods in early rounds, before moving to a single central venue for later rounds.

At each event, participants are allocated to tables of six or seven so as to ensure a demographic mix, and there are three rounds of discussion: The first round sees participants choosing the five topics that they think are most important, from a list of 95 topics that cover the full range of the district council's activity. In the second stage, poker-style chips representing money are distributed between the 12 topics that were selected as most popular in the first event. Participants are provided with background information on both what the council is already doing within these areas and the typical costs of activities within them. At least four people have to agree that money should go

[20] See also Contre les Elections, David Van Reybrouck. Actes Sud, (2014).

[21] Participatory Budgeting is a democratic process through which a population either directly decides upon or contributes to decisions being made about the allocation of a public budget. Emerging in Brazil in the 1980s, the concept has been taken adapted and adopted by many cities and local councils around the world, including Paris, New York, and across many parts of Scotland. For more information about the approach Antwerp takes to PB see: eurocities.eu/eurocities/news/Cities-in-action-Antwerp-s-participatory-budget-WSPO-AQRBV9

on a topic, and the final distribution has to be by consensus on each table, and the results from each table are then averaged to get a final result. Based on that allocation of money, the council then calls for projects from citizens and community organisations. In 2017, the bids totalled about four times the available budget.

At the final event, participants make a collaborative allocation of funding to projects, again through reaching a consensus on their table of seven. The council take the collective ranking of projects and allocate the money down the priority list until it is all spent.

Lessons learned

- Consensus building is a means by which the design of a process can require those present to listen to, and engage with, the views of others.
- A process that uses multiple small tables can bring the benefits of consensus-building while still involving large numbers

d) Rahvakogu/The People's Assembly - Estonia

The "People's Assembly" (Rahvakogu) took place in Estonia in 2013.[22] Following a period of political difficulties, and instigated by the President, a citizen consultation project was undertaken to identify possible constitutional changes to be considered by Parliament.

Civil society and political parties set up a multi-stage process. The first stage of this was a short three-week idea generation and voting period, using the same open source software that underpins the Better Reykjavik project.[23] This generated almost 2,000 ideas and comments from 3,000 registered users, with a further 58,000 people viewing but not registering on the site. Users had opportunities to vote from libraries if they could not vote from home.

Ideas were grouped into 49 themes by the process's support partners, and experts on each field produced an analysis of the ideas. These were then discussed further at a set of seminars which selected ideas for the final stage of the process. The top eighteen ideas were submitted to a citizen assembly in Tallinn.[24] At this event, groups of 10

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[22] Further information can be found on Participedia: participedia.net/en/cases/online-peoples-assembly-rahvakogu-government-spending-estonia-2012. In addition to this, some of those who helped organise the process wrote an article describing the process and their learning: docs.google.com/document/d/1IhoyZfRsgfhQkcSppu3L78_Uz_IugUkzMycN2xg3MPo/. The Citizens Foundation, whose software underpinned the online process, also wrote up their experiences: citizens.is/portfolio_page/rahvakogu/

[23] 'Better Reykavik'is an engagement process that has become an important part of how the city of Reykavik engages with residents. Citizens can upload proposals for citywide improvements. These proposals are debated online and offline and voted upon. Since its inception, almost 60% of residents have used the platform, and over 200 projects have been developed by the city council in response to requests from this site, spending circa 2 mil EUR. For more info see: reykjavik.is/en/better-reykjavik-0

[24] 'Citizens Assembly' is term used to describe a variety of offline and deliberative events to discuss policy issues. Strictly these events should involve randomly selected participants, but in practice the selection of participants tends to vary.

people, each led by a trained moderator, deliberated upon the proposals and refined them. After this refinement, they identified preferences through voting.

A final list of fifteen proposals was presented to the President, who submitted them to Parliament. Of these fifteen, three have been implemented in their own right, while four others have been partly implemented or have been committed to in other parts of the government programme.

Lessons

- Not all proposals made by citizens and stakeholders need to be taken on board as presented. Some proposals may not be considered politically feasible, while others may be better fitted to other programmes of activity. Where this is the case, explanations should be provided to those who took part in the engagement activity as part of closing the loop.
- Partnership working can help an engagement programme reach larger numbers of individuals, even in restricted time frames.
- Grouping issues into themes allows for expert input that then can refine a large number of suggestions down to a number that is manageable for a citizen jury.

e) UN Sustainable Development Goals

During the creation of the Sustainable Development Goals, the United Nations Development Group undertook a very large consultation exercise, using multiple methods including online, and reaching into every UN member state around the world. Over 1.16 million replies were received, of which 800,000 were online responses, and the results compiled in a report called "One Million Voices: The World We Want".[25]

The methods used varied from a simple online consultation to detailed thematic focus groups, national consultations, conversations targeting particular vulnerable groups, and a "High Level Expert Panel". This multiple strand approach created a huge amount of data, but meant that the results came in multiple different formats, making direct comparisons between them and synthesis a challenge.

The UN's report on the consultation contains many stories, quotes and pictures, which adds a personal and human touch to the report and can help provide a narrative where opinion or data appears to diverge, however it is not always clear how the different sources of evidence and citizen input have been used, nor how trade-offs have been made.

The project leader noted that even despite the large numbers involved, and the different cultures, backgrounds and experiences of those taking part, there were common themes and values. However, there were tensions that emerged as a number of these core values often clashed with the positions of nation-state governments: for instance,

[25] One Million Voices: The World We Want, United Nations Development Group (2013): undg.org/wp-content/uploads/2016/12/The-World-we-Want.pdf

"inequality" was a major concern for SDG consultation respondents, but its possible inclusion sharply divided opinion between national governments.[26]

The UN team behind the process thought it was important that the UN responded to some of the immediate concerns raised by consultation respondents, and so they created a "We Listened, Now What?" fund for micro-grants to address issues that needed a short-term response in addition to the longer-term impetus provided by the SDGs.

Lessons

- The process of surfacing questions and concerns places a responsibility on governments to respond constructively to what has been heard, even if what emerges was not expected. This may require some flexibility to handle ideas that do not entirely fit in the timescale or framework that is intended.
- During engagement activities, intergovernmental organisations may hear views that clash with the position of composite member states. This creates a tension that will need to be resolved – for instance through explaining that an issue is not politically desirable or having negotiated an agreement before the process with member states to accept what is heard by citizens.
- The use of personal stories is valuable in helping to create narratives and show divergence of opinions.

[26] "Confessions of a Serial Consulter": web.archive.org/web/20150513083026/http://europeandcis.undp.org/blog/2013/12/16/confessions-of-a-serial-consulter-part-1-debunking-myths/ (Accessed Jan 2018)

Appendix 2 – Suggested Indicators

	Performance Indicators		
Benefits	**Process**	**Outcomes**	**Perception Indicators**
Missions or work programme generated reflects societal values and is informed by the knowledge of different aspects of society, through the involvement of a larger number of individuals	Absolute numbers of people involved in each step of the process. Numbers of people involved in each stage of the process not previously involve in R&I decision-making. Diversity of individuals involved in broad idea generation (data regarding demographics, political leaning, and geography). *Take into consideration ICT penetration in any single country.*	Number of citizen contributions and final topics that are incorporated into final plans for missions and work programmes. Alignment or deviation of proposed missions from European Social Attitude survey(s).	Percentage of those involved in online and face-to-face elements that feel mission or work-programme reflects what was discussed. (self-reported through survey or focus group)
Build trusted relationships between institutions and citizens	Participants involved reporting satisfaction with key aspects of engagement. (Survey or focus group). *Different questions for those in different parts of programme.* Did the Commission provide those involved with feedback on how their participation influenced the development of missions or work programme? (yes/no)		To what extent is participation experience in line with citizen/stakeholder needs and expectations (self-reported through survey or focus group) Citizens and stakeholders who have been part of the process express view that they will be listened to (self-reported through survey)
Scientifically engaged citizens and stakeholders - enabling citizens and stakeholders to have	Absolute numbers of people involved in each step of the process.	Percentage of citizens indirectly showing interest in R&I, visiting science centres, undertaking political action re: R&I	Citizen and stakeholder involved in any stage of process reporting i) interest in R&I ii) feeling better informed about R&I iii) Confidence to

skills, knowledge, capacity to engage in R&I and R&I governance related issues, and thereby helping to address biases in knowledge production.	Numbers of people involved in each stage of the process not previously involve in R&I decision-making. Percentage of people who have heard of programme (Use of Eurobarometer?)	related issue (such as demonstrating or signing a petition). Percentage of citizens directly showing interested in R&I or R&I governance, for instance engaging with citizen science projects, or becoming more embedded in other	repeat engagement through same process iv) Confidence to engage in another R&I related fashion such as take part in citizen science (self-reported through surveys or focus groups)
Institutionalisation and uptake of participative democracy, and recognition of the value of citizen input in both decision-making, and decision-making with respect to R&I	Percentage of citizens and stakeholders who signed up for ongoing engagement regarding R&I. Numbers of DG RTD staff who have experienced output from citizen participation exercise and report this provided value to mission and work programme development.	Citizen, academic, and institutional actors response to questions regarding degree of involvement citizens should have regarding setting priorities of R&I. (Survey, potentially Eurobarometer in case of citizen responses) Percentage of academic submissions to FP9 that involve citizens and stakeholders Numbers of EU DGs and EU Member States carrying out innovative citizen participation exercises both inside and outside of R&I.	Citizens/stakeholders, academics, institutional actors involved in either online or face-to-face elements self-reporting levels of interest in being involved in future participative democracy activities. (Survey or focus groups) Academics present reported willingness to involve citizens as part of future research. (Survey or focus groups)
Citizens develop skills, knowledge and capacity to engage in democracy and the EU.	Numbers of individuals taking a role in deliberative discussions. Numbers of participants involved in democratic decision-making reporting that their mind was changed during process Number of participants (all stages) involved reporting that participation helped people clarify, understand, and refine their own preferences and positions	Numbers of individuals reporting that this process was an entry point to other types of engagement (survey data from other engagement activities)	Citizens and stakeholders attending face-to-face meetings self-reporting confidence levels in engaging in other democratic processes including at EU level. (self-reporting through surveys or focus groups) All participants reporting skills re trust, respect, empathy, reasoning capacity.