



# Template for implementing a Public Engagement Initiative

This template was designed by SEERC within the GRACE project for implementing organisations that were preparing institutional activities related to Public Engagement. It can be adapted to the use of any organisation preparing an initiative related to institutional change, in various domains.

## What is the purpose of this Initiative?

<b>Purpose</b>	<b>Aims &amp; goals</b>	
	1	
	2	
	3	
	...	
Briefly indicate the aims and goals of envisaged PE activities.		
<b>Purpose</b>	<b>Justification</b>	
	1	
	2	
	3	
	...	
For each indicated purpose, briefly justify why PE activities are appropriate.		
<b>Notes:</b> 1. The purpose (aim or goal) of a PE initiative must be well-defined as virtually all other aspects of the initiative (e.g. required resources, audience synthesis, degree of audience involvement, etc.) directly depend on it; the purpose is also important for it forms the basis for evaluation (it is the basic determinant of success). 2. A justification of why a PE activity is opted for fulfilling a particular purpose is required; such a justification may be provided by outlining the benefits stemming from such an activity. PE is not a 'silver bullet' for complex issues and is not suitable for every situation. In fact, when used incorrectly or at inappropriate times, engaging the public can do more harm than good. When the principles of PE are not adhered to, participants may feel that their contribution was ignored or pointless. They may feel wary of the		



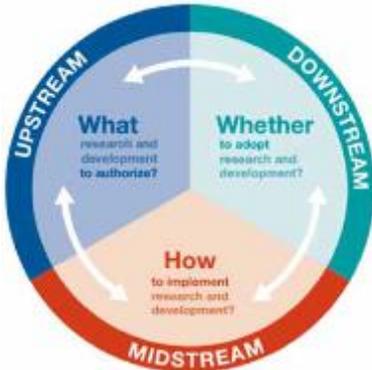
	<p>process and refuse to participate in future PE activities. It is important to consider your PE strategy from the outset of a program or project. The earlier a department is able to determine whether or not PE is appropriate, the more likely such activities will be successful. This is because timely planning allows residents and stakeholders to become informed about the process, provide input during the design stage and ensures that their input has the potential to inform and/or influence decisions. When determining if PE is appropriate it is important to consider the following questions:</p> <ol style="list-style-type: none"> <li>a. Is there a clearly defined question or concern?</li> <li>b. Is there a readiness to learn from and respond to ideas generated by the public?</li> <li>c. Are interested and/or potentially impacted residents and stakeholders identifiable?</li> <li>d. Are there adequate resources available to conduct meaningful engagement activities?</li> <li>e. Is the public interested in the issue or question at hand?</li> <li>f. Are stakeholders assigned appropriate roles so as they are engaged in the initiative in a manner that delivers meaning to them?</li> <li>g. Does the issue have the potential, through PE efforts, to foster animosity between groups with differing values?</li> </ol>
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Table 1: Scope & context of envisaged PE activities

Scope & Context	<b>Scope</b>	
	Geographical areas	
	Communities involved	
	Stage of research process	
	Topics	
	...	
<p>Identify the geographical area of application of the activity, the communities involved/targeted, the stage of research process at which the activity applies, and the topics/issues to be addressed. Regarding the stage of the research process, please indicate one or more of the following stages:</p> <ol style="list-style-type: none"> <li>1. <b>Upstream</b>: involve publics in formation of research agendas and trajectories, hence in fundamental discussions about the visions, ends and purposes of science, and how science may affect society and quality of life</li> <li>2. <b>Downstream</b>: involve publics in deciding whether to adopt existing research outcomes</li> </ol>		



3. **Midstream:** involve publics in how to conduct research



Context	
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...	

Briefly identify any contextual obligations for the envisaged PE activities. Contextual obligations may stem, for example, from relevant national or European legislation, from pressures from civic organisations, or from contractual obligations of funded research projects.

Table 2: Types of envisaged PE activities and participant involvement

Type & Involvement	Type
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	3
	...

The **type** of a PE activity may be **categorised** based on the direction of information flow. Please indicate one or more of the following types:

- **Public communication.** Inform and/or educate citizens; 1-way flow of information from sponsors to public representatives; no provision of mechanisms to handle feedback.
- **Public activism.** Inform decision makers and influence decision-making processes; 1-way information flow from public representatives to sponsors; initiative taken by the former.
- **Public consultation.** Inform decision makers about public opinion on certain topics; 1-way flow of information from public representatives to sponsors; initiative taken by the latter.

	<ul style="list-style-type: none"> <li>• <b>Public deliberation.</b> Facilitate group deliberation on policy issues; 2-way flow of information (dialogue) from public representatives to sponsors<sup>1</sup>.</li> <li>• <b>Public participation.</b> Assign partly or fully decision-making power to the public; 2-way flow of information (dialogue) from public representatives to sponsors<sup>2</sup>.</li> </ul>								
	<p><b>Participants</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Roles</td> <td></td> </tr> <tr> <td>Participant numbers</td> <td></td> </tr> <tr> <td>...</td> <td></td> </tr> </table> <p>1. A right synthesis of stakeholders is, clearly, of utmost importance for the success of a PE initiative. Please identify here any known participant roles for the anticipated PE activities. For instance, participants in certain activities may need to include ‘agents of change’ (e.g. decision- and policy-makers such as directors of universities or firms) who have the power to set changes in motion. Moreover, in certain cases, special ‘independent roles’ (such as observers of the PE activity process) may have to be included (e.g. to guarantee that the activity is conducted throughout in a fair and appropriate manner).</p> <p>2. The size of participant population is also significant and must be prescribed. For instance, in certain initiatives, a wide range of participants may be required to guarantee diversity and inclusiveness and avoid gender/age/race/religion bias, as well as to ensure fair representation.</p>	Roles		Participant numbers		...			
Roles									
Participant numbers									
...									
	<p><b>Incentives</b> <span style="float: right;">Cont’d on next page ⇨</span></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">1</td> <td></td> </tr> <tr> <td>2</td> <td></td> </tr> <tr> <td>3</td> <td></td> </tr> <tr> <td>...</td> <td></td> </tr> </table> <p>Please identify here any incentives (both for the lay public and the scientists). Incentives increase the probability of effective (and, possibly, continued, if required) participation, and alleviate ‘stakeholder fatigue’. Typically, financial reward is the most effective incentive, but effective marketing (e.g. as applied in other participatory processes such as blood donation and clinical trials) may also be considered.</p>	1		2		3		...	
1									
2									
3									
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<sup>1</sup> Examples: mini publics, consensus conferences, citizen juries, deliberative opinion polling.

<sup>2</sup> Examples: co-governance and direct democracy mechanisms such as participatory budgeting, youth councils and binding referendums.



Table 3: Methods utilised by envisaged PE activities and related constraints

Method & Constraints	
Event types/Mechanisms	
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<p>Please identify the actual event types and/or mechanisms through which the envisaged PE activities may be delivered. Clearly, such event types/mechanisms are of pivotal significance for the success of a PE initiative and must be compatible with the identified <b>initiative type</b> (see Table 3 for a relevant list). An indicative typology that classifies event types and mechanisms per initiative type follows.</p>	
Activity type	Events/mechanisms
Public Communication	Awareness raising activities; New social media; Science competition (primarily young people); Science events (only if they include dialogue-based activities); Telethon (S&T fundraising); Webportals
Public Activism	Demonstrations; Ombudsmand; Protests; Social movement
Public Consultation	Children’s conference; Choices method; Co-creation spaces; Community appraisal, community profiling; Community based environmental management; Community indicators; Consultation document (web based); Delphi workshop; Direct consultation; E-consultation; Crowdsourcing (citizen science); Focus groups; Foresight panel; IMAGINE (Appreciative Inquiry, AI); Installation; Lay representation in research ethics committees (REC); Participatory theatre; Petition; Public and stakeholder consultation; Public hearings; Public opinion surveys; Science shops; Stakeholder consultation (consultative panel); STI councils; Systematic Tool for Behavioural Assumption Validation and Exploration (STAVE)
Public Deliberation	21st Century Town Meeting; ACE (act, create, experience), releases potential through Principle, Rio Summit; Action planning; Cafes of science (conversation cafe or democracy cafe); Citizen conference; Citizen jury; Citizen panel; Citizens’ Summit; Consensus conference; Consensus seminar; Constructive Technology Assessment (CTA); Decision theatre (material deliberation); Deliberative consulting; Deliberative poll; Electronic town meeting (eTM); European Citizens’ Deliberation method; Formal public dialogue; Gatekeeper analysis method; Mock trial; National assembly; Open space (fish bowl); Parliamentary technology assessment; Planning for real; Public debates; Publi(c) forums; Publifocus; Scenario workshop; Science museums and centres (only beyond interactive procedures, dialogue based mechanisms); Science parliaments (Young European parliament); Societal Auditing; Technology assessment; Walking tours (material deliberation); World cafe
Public Participation	Citizens’ Assembly; Community policing; Initiative; Referendum; Participatory Appraisal; Participatory budgeting; Plebiscite; Youth Councils



Other typologies are also available and may be used. For instance, the online interactive [Action Catalogue](#) developed under the EC-funded Engage2020 project, identifies a set of criteria to select which PE tools to apply.

**Resource constraints**

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3	
...	

Please prescribe here any resource constraints for the PE activity methods identified above. Resource constraints are primarily financial but may also include time constraints, possession of certain skills such as subject matter expertise, IT skills, facilitation skills, event organisation skills, etc.

**Support**

1	
2	
3	
...	

Please identify here any mechanisms that can provide support for the resource constraints prescribed above. For instance, regarding financial constraints, please indicate how funds may be secured (e.g. through European, national and regional funding bodies, including perhaps 'non-conventional' funders such as unions and charities). Regarding required skills, please indicate any capacity building/training sessions (both for the lay publics and for the scientists) that may complement the envisaged PE activities; note that toolkits such as the ones provided by the online interactive [Action Catalogue](#) may be utilised in such capacity building/training sessions.

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Table 4: Anticipated promotional and follow up activities for envisaged PE activities

Promotion & Follow up	<b>Support activities</b>	
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	3	
	...	
	<p>1. Please identify any support activities associated with the envisaged PE activities. Support activities are not independently planned but rather come as direct consequences of PE activities. Note that support activities may depend upon PE activity <b>types</b>. For instance, all activity types outlined in Table 3 except for ‘Public Communication’, must ensure follow up activities for the provision of <b>feedback</b> to stakeholders: the rationale here is that stakeholders must be informed of any decisions stemming from a PE activity, and decision processes should be made transparently traceable. In this respect, support activities may be aimed at the construction and dissemination of an “audit trail” for providing the required feedback to stakeholders.</p> <p>2. Please specify (where applicable) the potentially iterative nature of envisaged PE activities and try to identify any details relevant to the iterations (e.g. how far apart they are spaced, uniform (or not) participant involvement, etc.)</p>	
	<b>Promotional activities</b>	
	1	
	2	
	3	
...		
<p>Determine any activities through which the envisaged PE activities will be promoted/disseminated/advertised.</p>		