

Reviewing the People's Principles and how they relate to other involvement frameworks and standards

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Introduction

The NCCPE was commissioned by CaSE in January 2024 to work with the National Centre for Social Research (NatCen) to design and run a public dialogue to explore society's stake in UK research. The goal was to explore the public's views and help the sector work towards a vision for a stronger relationship between the public and the R&D community.

The design of the dialogue was informed by widespread consultation with the R&D sector, including through workshops with more than 50 organisations across the UK, CaSE's public opinion research and advice from an expert group convened for this project.

33 participants took part in ten hours of dialogue across four online sessions, hearing from subject specialists and being provided with information on how the public can influence decisions about R&D and be involved in all stages of research itself. They then iteratively developed a set of People's Principles for Involvement in R&D. The Principles are a key output from the project. The process by which they were developed is outlined in the NatCen project report. CaSE have also produced a separate report, in which they outline a set of recommendations and next steps for the R&D sector, laying out a 'call to action' based upon the findings from the dialogue.

[Access the CaSE and NatCen reports](#)

Reviewing the four People's Principles

One of the recommendations in the CaSE project report is that the People's Principles might be used by the sector to audit their own activity and inform their own actions. We felt it was important therefore to contextualise and 'sense check' them against the wider involvement literature, recognising that the principles are entering a relatively crowded space. We noted:

- There has been a long-standing interest in how public involvement might be increased and improved in a host of different sectors, including health, politics and education
- There has also been a range of projects to increase the quality and impact of public involvement in R&D (for instance through the Sciencewise programme, which has been commissioning dialogues on a host of emerging areas of science and technology for two decades)

This activity has resulted in a proliferation of tools, frameworks and standards to describe the characteristics of good involvement practice, and an extensive academic literature, covering both R&D and other areas of public life.

We have undertaken this review with two ends in mind:

- To ensure that the People’s Principles are not viewed in isolation but as a contribution to a much broader movement to increase participation and involvement, which we hope they will help to scale up
- To identify if and how they align with or diverge from widely accepted good practice in involvement, to ensure they are adopted wisely and to identify overlaps and gaps

How we reviewed the People’s Principles

To sense check the People’s Principles, the NCCPE undertook a rapid review of the wider involvement literature, informed by the Centre’s own practical experience and expertise in the topic: the NCCPE was established in 2008 to act as a centre of expertise in engagement and involvement in the HE sector. Building on this experience:

- We reviewed the People’s Principles alongside eight widely used **frameworks for public involvement** to see how closely they matched.
- We used **ChatGPT** to identify the cross-cutting themes and principles from the wider literature around public involvement, which we compared with the People’s Principles.

The detailed results are shared below.

Results and conclusions

In summary, what the review revealed was:

1. **Very significant alignment between the People’s Principles and widely accepted standards and principles for public involvement.**

The People’s Principles address all of the commonly accepted principles that underpin good involvement, as manifested in the existing frameworks, standards and wider involvement literature, which can be summarised as:

- Empowerment
- Inclusivity and Diversity
- Deliberation and Dialogue
- Transparency & Accountability
- Collaboration and Partnership
- Trust and Respect

2. There were some aspects of good involvement which the People's Principles didn't reference that are contained in other frameworks.

The key 'gaps' in the People's Principles were:

- No explicit identification of potential imbalances in power, and the need for these to be factored into the design of interventions
- No explicit statement that convenors of involvement need to be held accountable for the decisions that are taken as a result of the process
- Though inclusivity is referred to, the need to actively address exclusion is not foregrounded
- The People's Principles don't emphasise that participants' active learning should be 'designed in' to involvement processes, although they do emphasize that valuable learning should result from a well-managed process
- The People's Principles also say very little explicitly about the fundamental importance (and challenges) inherent in consensus building
- There is no specific mention of the need for monitoring and evaluation

These gaps are understandable given the particular circumstances and focus of the People's Vision project:

- It was framed as a high level exploration of the potential benefits of involvement, rather than focusing on contested or challenging areas of activity or hearing from subject specialists who didn't see benefits in public involvement (hence the relative lack of focus on contestation and consensus building)
- It was focused on cross cutting and generic characteristics of good practice, rather than delving down into the detail of design (hence, for instance, the lack of focus on the need for evaluation)
- The other guidelines have been developed through more extensive consultation over longer time framesIt was focused on amplifying the positive potential of public involvement, rather than on anticipating and mitigating the negative consequences of, for instance, new technologies or services (hence, a relative lack of focus on the need for convenors of involvement to be held accountable for acting on the results)

The review in detail

We focused our review in two ways:

1. We reviewed the People's Principles alongside eight widely used **frameworks for public involvement** to see how closely they matched.
2. We used **ChatGPT** to identify the cross-cutting themes and principles from the wider literature around public involvement, which we compared with the People's Principles.

We share the results of both processes below.

1. Reviewing the People's Principles against other widely used involvement frameworks

We identified 8 widely used and influential UK frameworks for involvement and mapped the People's Principles against the principles these other frameworks describe. These frameworks are as follows:

Framework	Summary
<u>IAP2 Core Values</u>	As an international leader in public participation, the International Association for Public Participation (IAP2) has developed the IAP2 Core Values for Public Participation for use in the development and implementation of public participation processes. The Core Values define the expectations and aspirations of the public participation process.
<u>IAP2 Code of ethics</u>	IAP2 Code of Ethics for Public Participation Practitioners supports and reflects IAP2's Core Values for the Practice of Public Participation. The Code of Ethics speaks to the actions of practitioners.
<u>Demos Citizen's White Paper</u>	Published by think tank Demos in July 2024, and the result of an in-depth consultation with civil servants, academics, and practitioners to design the ways in which the government could embed public participation in national policy making.
<u>Sciencewise Quality Framework for Public Dialogue</u>	An in-depth framework to guide the evaluation of public dialogue processes from Sciencewise which is led and funded by UK Research and Innovation (UKRI)
<u>Shared Commitment to Public Involvement</u>	A joint statement from research funders, practitioners and trade bodies and set of commitments about public involvement in health research

Framework	Summary
<u>UK Standards for Public Involvement</u>	The UK Standards for Public Involvement, developed by a partnership involving health agencies and chief scientists from each UK nation, and public contributors, which are designed to improve the quality and consistency of public involvement in research.
<u>NICE Involvement principles</u>	Published by the National Institute for Health and Care Excellence as part of its draft 2024 to 2027 strategy
<u>Common Cause: 10 principles for community-university partnerships</u>	Published as part of a two-year project between academia, civil society and research and arts funders looking in depth at the landscape of Black and Minority Ethnic community-university partnerships

Table 1 A summary of widely used involvement frameworks that the People's Principles were mapped against

The tables below describe how the different frameworks align. For each of the People's Principles we have identified key topics and listed how other frameworks address them.

PEOPLE'S PRINCIPLE 1

PUBLIC INVOLVEMENT IN R&D SHOULD USE THE PUBLIC'S EXPERTISE TO BENEFIT THE PARTICIPANTS, THE RESEARCH AND WIDER SOCIETY.

- Researchers benefit when they really hear and listen to the public.
- The public gain knowledge and skills when they are meaningfully involved.
- The community benefits from the R&D at the end of the project.
- For this to happen, the right amount of time, money and energy needs to be invested in involving the public.

The first principle focuses on how the public's expertise is valued. We identified three topics that typically feature in how other frameworks address this theme:

- Mutual benefit
- Making a difference
- Resourcing involvement

MUTUAL BENEFIT

- Researchers benefit when they really hear and listen to the public.
- The public gain knowledge and skills when they are meaningfully involved

Framework	How the framework aligns with the People's Principle 1
Common Cause	2. A commitment to mutual benefit. 6. A commitment to fair knowledge exchange.
Shared Commitment to Public Involvement	We will listen to and learn from the people and communities we involve and apply and share that learning
UK Standards for Public Involvement	Working Together. Work together in a way that values all contributions, and that builds and sustains mutually respectful and productive relationships.
Sciencewise principles	Impacts on participants: What difference has the dialogue made to the participants?

Table 2 How the frameworks align with the People's Principle 1: Mutual benefit

MAKING A DIFFERENCE

- The community benefits from the R&D at the end of the project

Framework	How the framework aligns with the People's Principle 1
Common Cause	1. A commitment to strengthening the partnering community organisation. 9. A commitment to sectoral as well as organisational development. 10. A commitment to reciprocal learning

Table 3 How the frameworks align with the People's Principle 1: Making a difference

RESOURCING INVOLVEMENT

- For this to happen, the right amount of time, money and energy needs to be invested in involving the public.

Framework	How the framework aligns with the People's Principle 1
Common Cause	4. Fair practices in payments. 5. Fair payments for participants.
NICE Involvement principles	10. We will have a fair and transparent payment policy.
Sciencewise principles	Resources: Were the resources of time, skills and funding sufficient to meet the objectives?
NICE involvement principles	12. We will create the conditions, culture and processes for staff to embed and value impactful involvement.

Table 4 How the frameworks align with the People's Principle 1: Resourcing Involvement

PEOPLE'S PRINCIPLE 2

PUBLIC INVOLVEMENT IN R&D SHOULD PROVIDE EVERYTHING THAT PARTICIPANTS NEED TO FEEL PROPERLY INFORMED

- Honesty about the purpose of involvement and how the public's views will be used will help to build trust.
- Transparency about who funds the project, and why, will help to build trust.
- The public should hear the results, so they know the impact of their involvement.
- All information should be clear so that people feel informed rather than overwhelmed.

The second principle focuses on how public involvement is scaffolded and supported. We identified four topics that typically feature in how other frameworks address this theme:

- Trust in the process
- Transparency and accountability
- Communications
- Legacy and feedback

TRUST IN THE PROCESS

- Honesty about the purpose of involvement and how the public's views will be used will help to build trust.

Framework	How the framework aligns with the People's Principle 2
IAP2 Core Values	2. Public participation includes the promise that the public's contribution will influence the decision.
IAP2 Code of Ethics	Trust. We will undertake and encourage actions that build trust and credibility for the process among all the participants.
Demos Citizen's White Paper	Independence: Independent, balanced information

Table 5 How the frameworks align with the People's Principle 2: Trust in the process

TRANSPARENCY & ACCOUNTABILITY ABOUT THE REMIT AND INFLUENCE OF THE ENGAGEMENT

- Transparency about who funds the project, and why, will help to build trust

Framework	How the framework aligns with the People's Principle 2
Common Cause	3. A commitment to transparency and accountability.
IAP2 Code of Ethics	Openness. We will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.

Table 6 How the frameworks align with the People's Principle 2: Transparency and Accountability

COMMUNICATIONS

- All information should be clear so that people feel informed rather than overwhelmed.

Framework	How the framework aligns with the People's Principle 2
UK Standards for Public Involvement	Communications. Use plain language for well-timed and relevant communications, as part of involvement plans and activities.
IAP2 Core Values	6. Public participation provides participants with the information they need to participate in a meaningful way.
IAP2 Code of Ethics	Defining the public's role. We will carefully consider and accurately portray the public's role in the decision-making process.
IAP2 Code of Ethics	Support of the practice. We will mentor new practitioners in the field and educate decision-makers and the public about the value and use of public participation.
NICE Involvement principles	9. We will use the appropriate terminology throughout all our engagement.
Demos Citizen's White Paper	Time: enough for the public to share views, engage with trade offs, and make recommendations

Framework	How the framework aligns with the People's Principle 2
UK Standards for Public Involvement	Support and learning. Offer and promote support and learning opportunities that build confidence and skills for public involvement in research
Sciencewise principles	<ul style="list-style-type: none"> • Questions to be addressed: Were the main questions to be addressed by the dialogue open, clear and appropriate? • Sufficient time: Was there sufficient time and support for public participants to take on new information, develop thinking and discuss the issues? • Sufficient information: Did public participants have sufficient relevant information to enable them to contribute to the discussions? • Quality of facilitation: How well facilitated were the public discussions? • Depth of facilitation: How well were the detail, depth, complexity and richness of the discussions encouraged, explored and probed with participants?

Table 7 How the frameworks align with the People's Principle 2: Communications

LEGACY / FEEDBACK

- The public should hear the results, so they know the impact of their involvement.

Framework	How the framework aligns with the People's Principle 2
Common Cause	7. A commitment to sustainability and legacy.
IAP2 Core Values	7. Public participation communicates to participants how their input affected the decision
NICE involvement principles	We will more effectively and consistently listen, use, and re-use the insight NICE gets from people and communities to maximise input and influence.
Demos Citizen's White Paper	COMMITMENT: A commitment to the public that the process will make a difference – with a feedback loop back to the public at the end
UK Standards for Public Involvement	Impact. Seek improvement by identifying and sharing the difference that public involvement makes to research

Table 8 How the frameworks align with the People's Principle 2: Legacy/Feedback

PEOPLE'S PRINCIPLE 3

PUBLIC INVOLVEMENT IN R&D SHOULD INVOLVE THE RIGHT NUMBER OF PEOPLE WITH A RANGE OF EXPERIENCES

- A diverse group of people brings a range of experiences and perspectives to the research.
- Involving people with the right experience means researchers can learn from the public's expertise.
- The number of people involved needs to match the scope of the project, so the public have confidence in the results.
- Researchers should make opportunities for involvement accessible, well-known, and make sure no one is excluded

The third principle focuses on how people are selected to participate in the process. We identified two topics that typically feature in how other frameworks address this theme:

- Representativeness
- Inclusiveness

REPRESENTATIVENESS

- Involving people with the right experience means researchers can learn from the public's expertise.
- The number of people involved needs to match the scope of the project, so the public have confidence in the results.

Framework	How the framework aligns with the People's Principle 3
Iap2 core values	4. Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision
IAP2 Code of Ethics	8. ACCESS TO THE PROCESS. We will ensure that stakeholders have fair and equal access to the public participation process and the opportunity to influence decisions.
NICE involvement principles	1. Our involvement and engagement will be accessible and targeted on a case-by-case basis to maximise its impact
Demos citizen's white paper	Right people: reflective or diverse group of participants with an emphasis on inclusion

Framework	How the framework aligns with the People's Principle 3
Sciencewise principles	<ul style="list-style-type: none"> • Type of public participants: How appropriate, robust and credible was the sample design for the selection / recruitment in relation to the <i>types</i> of public participants to be involved to meet the objectives of the dialogue? • Number of participants: How appropriate, robust and credible was the sample design for the selection / recruitment in relation to the numbers of public participants to be involved to meet the objectives of the dialogue?

Table 9 How the frameworks align with the People's Principle 3: Representativeness

INCLUSIVENESS: ALL THOSE AFFECTED HAVE THE OPPORTUNITY TO PARTICIPATE

- A diverse group of people brings a range of experiences and perspectives to the research.
- Researchers should make opportunities for involvement accessible, well-known, and make sure no one is excluded

Framework	How the framework aligns with the People's Principle 3
Common Cause	8. A commitment to equality and diversity
IAP2 Code of Ethics	RESPECT FOR COMMUNITIES. We will avoid strategies that risk polarizing community interests or that appear to "divide and conquer."
NICE involvement principles	We will remove barriers to involvement and engagement, especially from groups that experience health inequalities.
Shared Commitment to Public Involvement	We will support improvements in equality, diversity, and inclusion in public involvement
UK Standards for Public Involvement	Inclusive opportunities. Public involvement partnerships are accessible and include a range of people and groups, as informed by community and research needs.
Sciencewise principles	Diverse perspectives: How was the inclusion of a diversity of perspectives ensured to reduce unwanted bias?

Table 10 How the frameworks align with the People's Principle 3: Inclusiveness

PEOPLE'S PRINCIPLE 4

PUBLIC INVOLVEMENT IN R&D SHOULD ENSURE THAT PARTICIPANTS FEEL SAFE, HEARD, AND INVESTED IN THE RESEARCH

- Participants need to trust the integrity of the process.
- Participants need to feel confident that their views and data are handled responsibly.
- Participants need to feel safe to share their experiences and engage with new research.
- Participants should feel invested in the opportunity.

The final People's Principle focuses on how participants are treated as part of the process. We identified three topics that typically feature in how other frameworks address this theme:

- Integrity
- Care
- Purpose

INTEGRITY

- Participants need to trust the integrity of the process.

Framework	How the framework aligns with the People's Principle 4
Iap2 core values	3. Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
IAP2 Code of Ethics	Advocacy. We will advocate for the public participation process and will not advocate for interest, party, or project outcome. Commitments. We ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.

Framework	How the framework aligns with the People's Principle 4
NICE involvement principles	7. We will be clear, open, and honest about where we can act. 11. Engagement with people and communities is valued by NICE and has visible commitment from the Board and executive team.
Demos citizen's white paper	Transparent and accountable: process, plan, materials, conclusions and next steps are published
Sciencewise principles	<ul style="list-style-type: none"> • Fair and balanced dialogue: Was the process fair, with no in-built bias? • Capturing agreement, disagreement and uncertainty: How were agreement, disagreement and uncertainty among participants defined, identified and recorded? • Governance and management: Were the governance and management arrangements appropriate and effective to meet the objectives?

Table 11 How the frameworks align with the People's Principle 4: Integrity

CARE

- Participants need to feel confident that their views and data are handled responsibly.
- Participants need to feel safe to share their experiences and engage with new research.

Framework	How the framework aligns with the People's Principle 4
IAP2 Code of Ethics	Role of practitioner. We will enhance the public's participation in the decision-making process and assist decision-makers in being responsive to the public's concerns and suggestions.
NICE involvement principles	6. We will help everyone feel safe to speak up, to disagree openly, test new approaches and learn from them. 8. We will adopt new ways of working and learn and adapt together; valuing people's diverse skills.
Demos citizen's white paper	Facilitated deliberation: learning, sharing views, deliberating, to arrive collectively at recommendations
Sciencewise principles	<ul style="list-style-type: none"> • Ethics, anonymity and data protection: Was due attention given to ethics, anonymity and data protection? • Respect for participants: Were public participants treated with respect, and sufficiently supported? • Governance and management: Were the governance and management arrangements appropriate and effective to meet the objectives?

Framework	How the framework aligns with the People's Principle 4
Sciencewise principles: Reporting	<ul style="list-style-type: none"> • Clear and coherent reporting: How clear and coherent was the reporting of the dialogue? • Clear links between data and conclusions in reporting dialogue results: • How clear were the links between data, interpretation and conclusions? • Reporting of wider implications of dialogue results: How well explained was the scope for drawing wider inference from the dialogue results? • Participant involvement in reporting the dialogue results: How were public participants involved in the drafting and production of final results, if at all? • Sharing the dialogue results and final reports: How were those involved in the dialogue informed of the final results, and the use of those results?

Table 12 How the frameworks align with the People's Principle 4: Care

PURPOSE

- Participants should feel invested in the opportunity.

Framework	How the framework aligns with the People's Principle 4
IAP2 Core values	1. Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
IAP2 Code of Ethics	Purpose. We support public participation as a process to make better decisions that incorporate the interests and concerns of all affected stakeholders and meet the needs of the decision-making body
Sciencewise principles	<ul style="list-style-type: none"> • Purpose: Was the purpose of the dialogue clear from the start? Were the objectives appropriate and clearly stated? • Design: How appropriate, robust and credible was the design of the deliberative workshops with the public (fit for purpose)? • Meeting aspirations: How was the dialogue able to cover the aspirations and concerns of those involved?

Table 13 How the frameworks align with the People's Principle 4: Purpose

What is missing from the principles that is addressed in other principles and frameworks?

While there is very striking alignment between the People’s Principles and these other frameworks, there were some notable gaps. The People’s Principles don’t explicitly identify the need for decision makers to put genuine choices on the table and consider or respond to the outcomes. Examples of how this is addressed in other frameworks include:

Framework	How the framework addresses the need for decision makers to put genuine choices on the table and consider or respond to the outcomes
UK Standards for public involvement	Governance. Involve the public in research management, regulation, leadership and decision making.
Sciencewise principles	Boundaries of influence. What was the potential for and limits to informing and influencing decisions?

Table 14 How other frameworks address the need for decision makers to put genuine choices on the table and consider or respond to the outcome

Other ‘gaps’

Identified ‘gap’ in the People’s Principles	Framework	How the framework addresses the identified ‘gap’
Involvement in the design	IAP2 Core Values	5. Public participation seeks input from participants in designing how they participate.
Monitoring and evaluation	Sciencewise	How well were lessons from experience during the delivery of the dialogue identified and used to improve the process throughout?
Monitoring and evaluation	Shared Commitment to public involvement	We will support improvements in equality, diversity, and inclusion in public involvement
Monitoring and evaluation	NICE involvement principles	5. Our work will be informed by evidence and aligned with best practice
Collaboration	NICE involvement principles	2. We will collaborate effectively and meaningfully with partners to shape and amplify the impact of NICE’s work.

Table 15 How other frameworks address the identified ‘gaps’

'Good Design' features from the Sciencewise Quality Framework

A number of 'good design' features from the Sciencewise quality framework are also missing, summarised below. This Quality Framework complements the Sciencewise Principles and was designed to provide an improved approach to a quality assurance process for public dialogue.

CONTEXT - THE CONDITIONS LEADING TO THE DIALOGUE ARE CONDUCIVE TO THE BEST OUTCOMES

Design feature	Prompt for improving design
Timing	Did the dialogue happen at the right time to inform and influence the relevant decisions?
Boundaries of influence	What was the potential for and limits to informing and influencing decisions?
Context setting	Was the dialogue set within the context of relevant current, previous or parallel activities?

Table 16 'Good Design' features from the Sciencewise Quality Framework – Context

SCOPE AND DESIGN - THE PARAMETERS OF THE DIALOGUE ARE APPROPRIATE AND ARE REFLECTED IN THE AGREED SCOPE AND DESIGN

Design feature	Prompt for improving design
Rationale for using public dialogue	What was the rationale for using public dialogue?
Topic focus	What was the main topic focus of the dialogue?
Level of public participant influence	What level of influence were public participants expected to have over the process and outputs?
Delivery personnel	How was the responsibility for detailed design and delivery agreed and managed?
Number and location of workshops	How appropriate, robust and credible was the number and location of workshops with public participants in meeting the objectives?
Specialist involvement	Were the right number and type of scientists and other specialists involved in the right ways? ¹⁶

Table 17 'Good Design' features from the Sciencewise Quality Framework - Scope and design

DELIVERY - THE IMPLEMENTATION OF DIALOGUE EVENTS REPRESENTS BEST PRACTICE

Design feature	Prompt for improving design
Focus on addressing agreed dialogue objectives	How well did the dialogue project address its original purpose and objectives?
Learning from practice throughout	How well were lessons from experience during the delivery of the dialogue identified and used to improve the process throughout?
Recording the Dialogue	How well was the recording and data collection implemented?
Analysis of dialogue results	How was the approach to the analysis of dialogue results agreed, and how well was the analysis undertaken?

Table 18 'Good Design' features from the Sciencewise Quality Framework – Delivery

IMPACT - THE DIALOGUE DELIVERS THE DESIRED OUTCOMES

Design feature	Prompt for improving design
Achieving the purpose of the dialogue	How well did the dialogue achieve its original purpose and objectives?
Dissemination of the dialogue results	How were the dialogue results disseminated?
Credibility and use of dialogue results	How credible were the results to those who were expected to use them?
Short and longer term impacts of the dialogue on policy and practice	What difference has the dialogue made to decisions on policy and practice in the short and longer term?
Unexpected impacts of the dialogue	Did the dialogue have any unexpected impacts?
Reporting on impacts	How will immediate and longer term impacts be shared with participants and other stakeholders?

Table 19 'Good Design' features from the Sciencewise Quality Framework – Impact

EVALUATION - THE DIALOGUE PROCESS IS SHOWN TO BE ROBUST AND CONTRIBUTES TO LEARNING

Design feature	Prompt for improving design
Clear scope for the evaluation	What was the scope of the evaluation?
Analytical frameworks and Criteria	Were the analytical frameworks and criteria on which the evaluation was based clear?

Design feature	Prompt for improving design
Evaluation reporting	How the results of the evaluation are reported, disseminated and used?

Table 20 'Good Design' features from the Sciencewise Quality Framework – Evaluation

2. Comparing the People’s Principles with key themes from the involvement literature.

To complement the comparison with the 8 widely used frameworks, we then used ChatGPT searches to identify the key principles that have been identified in academic and grey literature to define the essential characteristics of effective public involvement (see Annex for details of the searches).

Search 1: What are the most influential attempts to define the principles that should underpin public involvement, and can you provide references for these?

Search 2: Can you take each of the six themes (Empowerment, Inclusivity and Diversity, Deliberation and Dialogue, Transparency and Accountability, Collaboration and Partnership, Trust and Respect) and provide a fuller description of each one and more references.

We used this to review the extent to which the People’s Principles echoed these widely accepted good practice principles, and to identify where there were any ‘gaps’ in the factors identified in the People’s Principles, and also if there were any features identified in the People’s Principles which don’t feature in the wider involvement literature.

The searches in more detail

Our initial search identified six involvement themes, listed below, and for each described several key components:

Involvement theme	Key components of this theme
<p>1. Empowerment</p> <p>Empowerment in public involvement is about enabling individuals and communities to have real influence over decision-making processes that affect their lives. It involves shifting power dynamics to ensure that citizens have the ability and opportunity to participate meaningfully in shaping policies, programs, and services.</p>	<ul style="list-style-type: none"> • Power Redistribution: Transferring decision-making power from traditional authorities to citizens and communities. • Capacity Building: Developing skills, knowledge, and resources to enable effective participation. • Access to Information: Providing citizens with the information necessary to make informed decisions. • Influence: Ensuring that public input genuinely impacts decision-making processes.

Involvement theme	Key components of this theme
<p>2. Inclusivity and Diversity</p> <p>Inclusivity and diversity in public involvement refer to the intentional efforts to engage a wide range of participants from various backgrounds, perspectives, and experiences.</p>	<ul style="list-style-type: none"> • Representation: Ensuring that participation reflects the demographic and social diversity of the community. • Accessibility: Providing equal access to participation opportunities by removing physical, linguistic, and technological barriers. • Cultural Competence: Understanding and respecting cultural differences and adapting processes accordingly. • Equity: Addressing systemic inequalities to ensure fair treatment and opportunities for all participants.
<p>3. Deliberation and Dialogue</p> <p>Deliberation and dialogue are central to meaningful public involvement, emphasizing open and respectful communication among participants</p>	<ul style="list-style-type: none"> • Respectful Communication: Encouraging participants to engage in open, honest, and respectful exchanges. • Active Listening: Valuing others' perspectives by listening attentively and empathetically. • Critical Thinking: Encouraging participants to analyze information and consider diverse viewpoints. • Consensus Building: Facilitating collaborative decision-making to reach agreements that reflect collective interests
<p>4. Transparency and Accountability</p> <p>Transparency and accountability are fundamental principles of public involvement, emphasizing openness and responsibility in decision-making processes. Transparency refers to the availability and accessibility of information related to policies, programs, and decisions. It ensures that stakeholders have access to relevant information that allows them to understand, scrutinize, and influence decision-making. Accountability involves holding decision-makers responsible for their actions and ensuring that they answer to the public for their decisions and policies</p>	<ul style="list-style-type: none"> • Information Accessibility: Ensuring that relevant information is available, accurate, and easily accessible to all stakeholders. • Open Communication: Facilitating clear and honest communication between decision-makers and the public. • Monitoring and Evaluation: Implementing mechanisms for tracking progress, assessing outcomes, and providing feedback. • Responsibility and Answerability: Holding decision-makers accountable for their actions and decisions.

Involvement theme	Key components of this theme
<p>5. Collaboration and Partnership</p> <p>Collaboration and partnership in public involvement refer to the cooperative efforts of various stakeholders, including government agencies, non-governmental organizations (NGOs), private sector entities, and citizens, to achieve common goals. These principles emphasize the importance of working together, sharing resources, and leveraging expertise to address complex social, economic, and environmental challenges.</p>	<ul style="list-style-type: none"> • Shared Goals: Establishing common objectives and aligning efforts to achieve them. • Resource Sharing: Pooling resources, knowledge, and expertise to maximize impact. • Trust Building: Developing relationships based on trust, respect, and mutual understanding. • Joint Decision-Making: Facilitating collaborative decision-making processes that involve all relevant stakeholders
<p>6. Trust and Respect</p> <p>Trust and respect are foundational principles of public involvement, emphasizing the importance of building positive relationships between stakeholders. Trust refers to the confidence and reliability placed in individuals, institutions, and processes. It involves belief in the integrity, competence, and fairness of decision-makers.</p>	<ul style="list-style-type: none"> • Integrity: Demonstrating honesty, transparency, and ethical behaviour in decision-making. • Competence: Building confidence in the skills and abilities of individuals and institutions. • Fairness: Ensuring equitable treatment and opportunities for all participants. • Empathy: Understanding and valuing diverse perspectives and experiences.

Table 21 A table identifying six involvement themes, several key components described for each

We used this to review the extent to which the People’s Principles echoed widely accepted good practice principles, and to identify where there were any ‘gaps’ in the factors identified in the People’s Principles, and also if there were any features identified in the People’s Principles which don’t feature in the wider literature.

The tables below represent the mapping. From this it is clear that the People’s Principles are very aligned with commonly accepted good practices.

PEOPLE’S PRINCIPLE 1: PUBLIC INVOLVEMENT IN R&D SHOULD USE THE PUBLIC’S EXPERTISE TO BENEFIT THE PARTICIPANTS, THE RESEARCH AND WIDER SOCIETY.

- Researchers benefit when they really hear and listen to the public.
- The public gain knowledge and skills when they are meaningfully involved.
- The community benefits from the R&D at the end of the project.
- For this to happen, the right amount of time, money and energy needs to be invested in involving the public.

Involvement themes	Key components (relevant ones labelled with ‘relevant’ and highlighted in bold)
1. Empowerment	<ul style="list-style-type: none"> • Power Redistribution: Transferring decision-making power from traditional authorities to citizens and communities. • Relevant: Capacity Building: Developing skills, knowledge, and resources to enable effective participation. • Relevant: Access to Information: Providing citizens with the information necessary to make informed decisions. • Influence: Ensuring that public input genuinely impacts decision-making processes.
5. Collaboration and Partnership	<ul style="list-style-type: none"> • Shared Goals: Establishing common objectives and aligning efforts to achieve them. • Relevant: Resource Sharing: Pooling resources, knowledge, and expertise to maximize impact. • Trust Building: Developing relationships based on trust, respect, and mutual understanding. • Joint Decision-Making: Facilitating collaborative decision-making processes that involve all relevant stakeholders

Table 22 Mapping alignment with other principles: People’s Principle 1

PEOPLE’S PRINCIPLE 2: PUBLIC INVOLVEMENT IN R&D SHOULD PROVIDE EVERYTHING THAT PARTICIPANTS NEED TO FEEL PROPERLY INFORMED

- Honesty about the purpose of involvement and how the public’s views will be used will help to build trust.
- Transparency about who funds the project, and why, will help to build trust.
- The public should hear the results, so they know the impact of their involvement.
- All information should be clear so that people feel informed rather than overwhelmed.

Involvement themes	Key components (relevant ones labelled with 'relevant' and highlighted in bold)
1. Empowerment	<ul style="list-style-type: none"> • Power Redistribution: Transferring decision-making power from traditional authorities to citizens and communities. • Capacity Building: Developing skills, knowledge, and resources to enable effective participation. • Relevant: Access to Information: Providing citizens with the information necessary to make informed decisions. • Relevant: Influence: Ensuring that public input genuinely impacts decision-making processes.
4. Transparency and Accountability	<ul style="list-style-type: none"> • Relevant: Information Accessibility: Ensuring that relevant information is available, accurate, and easily accessible to all stakeholders. • Relevant: Open Communication: Facilitating clear and honest communication between decision-makers and the public. • Monitoring and Evaluation: Implementing mechanisms for tracking progress, assessing outcomes, and providing feedback. • Responsibility and Answerability: Holding decision-makers accountable for their actions and decisions.

Table 23 Mapping alignment with other principles: People's Principle 2

PEOPLE'S PRINCIPLE 3: PUBLIC INVOLVEMENT IN R&D SHOULD INVOLVE THE RIGHT NUMBER OF PEOPLE WITH A RANGE OF EXPERIENCES

- A diverse group of people brings a range of experiences and perspectives to the research.
- Involving people with the right experience means researchers can learn from the public's expertise.
- The number of people involved needs to match the scope of the project, so the public have confidence in the results.
- Researchers should make opportunities for involvement accessible, well-known, and make sure no one is excluded

Involvement themes	Key components (relevant ones labelled with 'relevant' and highlighted in bold)
2. Inclusivity and Diversity	<ul style="list-style-type: none"> • Relevant: Representation: Ensuring that participation reflects the demographic and social diversity of the community. • Relevant: Accessibility: Providing equal access to participation opportunities by removing physical, linguistic, and technological barriers. • Cultural Competence: Understanding and respecting cultural differences and adapting processes accordingly.

Involvement themes	Key components (relevant ones labelled with 'relevant' and highlighted in bold)
	<ul style="list-style-type: none"> • Relevant: Equity: Addressing systemic inequalities to ensure fair treatment and opportunities for all participants.

Table 24 Mapping alignment with other principles: People's Principle 3

PEOPLE'S PRINCIPLE 4: PUBLIC INVOLVEMENT IN R&D SHOULD ENSURE THAT PARTICIPANTS FEEL SAFE, HEARD, AND INVESTED IN THE RESEARCH

- Participants need to trust the integrity of the process.
- Participants need to feel confident that their views and data are handled responsibly.
- Participants need to feel safe to share their experiences and engage with new research.
- Participants should feel invested in the opportunity.

Involvement themes	Key components (relevant ones labelled with 'relevant' and highlighted in bold)
3. Deliberation and Dialogue	<ul style="list-style-type: none"> • Relevant: Respectful Communication: Encouraging participants to engage in open, honest, and respectful exchanges. • Relevant: Active Listening: Valuing others' perspectives by listening attentively and empathetically. • Critical Thinking: Encouraging participants to analyze information and consider diverse viewpoints. • Consensus Building: Facilitating collaborative decision-making to reach agreements that reflect collective interests
6. Trust and Respect	<ul style="list-style-type: none"> • Relevant: Integrity: Demonstrating honesty, transparency, and ethical behaviour in decision-making. • Competence: Building confidence in the skills and abilities of individuals and institutions. • Relevant: Fairness: Ensuring equitable treatment and opportunities for all participants. • Relevant: Empathy: Understanding and valuing diverse perspectives and experiences.
5. Collaboration and Partnership	<ul style="list-style-type: none"> • Shared Goals: Establishing common objectives and aligning efforts to achieve them. • Resource Sharing: Pooling resources, knowledge, and expertise to maximize impact. • Relevant: Trust Building: Developing relationships based on trust, respect, and mutual understanding. • Joint Decision-Making: Facilitating collaborative decision-making processes that involve all relevant stakeholders

Table 25 Mapping alignment with other principles: People's Principle 4

What was missing from the People’s Principles?

While all of the Involvement themes are touched upon in the People’s Principles, some of the Key Components aren’t explicitly identified as important. The table below highlights the components that aren’t explicitly identified and provides some commentary for each.

Involvement themes	Key components not explicitly addressed in the People’s Principles	Commentary
1. Empowerment	<ul style="list-style-type: none"> Power Redistribution: Transferring decision-making power from traditional authorities to citizens and communities. 	<ul style="list-style-type: none"> The PPs don’t explicitly address the need for power redistribution (also see Responsibility and Answerability in 4. Transparency and Accountability)
2. Inclusivity and Diversity	<ul style="list-style-type: none"> Cultural Competence: Understanding and respecting cultural differences and adapting processes accordingly. 	<ul style="list-style-type: none"> While the PPs foreground the need for inclusivity, they don’t explicitly identify the need for cultural competence
3. Deliberation and Dialogue	<ul style="list-style-type: none"> Critical Thinking: Encouraging participants to analyze information and consider diverse viewpoints. Consensus Building: Facilitating collaborative decision-making to reach agreements that reflect collective interests 	<ul style="list-style-type: none"> The PP’s don’t foreground the importance of the learning process that participants undergo, and the need for this to be scaffolded (Also see Competence in 6. Trust and Respect) The PPs don’t emphasize the need for consensus building, but assume that it will be an outcome of the process (Also see Shared Goals and Joint Decision-making, in 5. Collaboration and partnership)
4. Transparency & Accountability	<ul style="list-style-type: none"> Monitoring and Evaluation: Implementing mechanisms for tracking progress, assessing outcomes, and providing feedback. Responsibility and Answerability: Holding decision-makers accountable for their actions and decisions. 	<ul style="list-style-type: none"> The PP’s don’t highlight the need for evaluation Linked to the point about Power Redistribution above, the PPs don’t explicitly state the need for decision makers to be held accountable for their decisions (Responsibility and answerability)
5. Collaboration and Partnership	<ul style="list-style-type: none"> Shared Goals: Establishing common objectives and aligning efforts to achieve them. 	<ul style="list-style-type: none"> As with Consensus building above, the PPs don’t highlight the need for Shared Goals or Joint Decision Making

Involvement themes	Key components not explicitly addressed in the People's Principles	Commentary
	<ul style="list-style-type: none"> Joint Decision-Making: Facilitating collaborative decision-making processes that involve all relevant stakeholders 	
6. Trust and Respect	<ul style="list-style-type: none"> Competence: Building confidence in the skills and abilities of individuals and institutions. 	<ul style="list-style-type: none"> See 3. Deliberation and Dialogue (Critical thinking) above

Table 26 Key components missing from the People's Principles

Summary of findings

In summary, what the review revealed complemented and confirmed our findings from the comparison with the eight involvement frameworks reviewed above:

VERY SIGNIFICANT ALIGNMENT BETWEEN THE PEOPLE'S PRINCIPLES AND WIDELY ACCEPTED STANDARDS AND PRINCIPLES FOR PUBLIC INVOLVEMENT.

The People's Principles address all of the commonly accepted principles that underpin good involvement, as manifested in the existing frameworks, standards and wider involvement literature, which can be summarised as:

- Empowerment
- Inclusivity and Diversity
- Deliberation and Dialogue
- Transparency & Accountability
- Collaboration and Partnership
- Trust and Respect

THERE WERE SOME ASPECTS OF GOOD INVOLVEMENT WHICH THE PEOPLE'S PRINCIPLES DIDN'T REFERENCE THAT ARE CONTAINED IN OTHER FRAMEWORKS.

The key 'gaps' in the People's Principles were:

- No explicit identification of potential imbalances in power, and the need for these to be factored into the design of interventions
- No explicit statement that convenors of involvement need to be held accountable for the decisions that are taken as a result of the process
- Though inclusivity is referred to, the need to actively address exclusion is not foregrounded
- The People's Principles don't emphasise that participants' active learning should be 'designed in' to involvement processes, although they do emphasize that valuable learning should result from a well-managed process
- The People's Principles also say very little explicitly about the fundamental importance (and challenges) inherent in consensus building
- There is no specific mention of the need for monitoring and evaluation

These gaps are understandable given the particular circumstances and focus of the People's Vision project:

- It was framed as a high level exploration of the potential benefits of involvement, rather than focusing on contested or challenging areas of activity or hearing from subject specialists who didn't see benefits in public involvement (hence the relative lack of focus on contestation and consensus building)
- It was focused on cross cutting and generic characteristics of good practice, rather than delving down into the detail of design (hence, for instance, the lack of focus on the need for evaluation)
- It was focused on amplifying the positive potential of public involvement, rather than on anticipating and mitigating the negative consequences of, for instance, new technologies or services (hence, a relative lack of focus on the need for convenors of involvement to be held accountable for acting on the results)

ANNEX: ChatGPT searches

1. ChatGPT: What are the most influential attempts to define the principles that should underpin public involvement, and can you provide some references?

Public involvement, also known as public participation or community engagement, refers to the process by which individuals and communities have a role in decision-making and policy development that affects them. Over the years, various scholars, practitioners, and organizations have attempted to define the principles that should underpin public involvement. Here, I'll discuss some of the most influential frameworks and theories that have shaped the understanding of public involvement and provide references for further reading.

INFLUENTIAL THEORIES AND FRAMEWORKS

1. Arnstein's Ladder of Citizen Participation (1969)

- Description: Sherry Arnstein's seminal work "A Ladder of Citizen Participation" categorizes public participation into eight rungs, ranging from manipulation to citizen control. It emphasizes the degree of power citizens have in decision-making.
- Principles: Empowerment, Citizen Control, Consultation, Partnership.
- Reference:
 - Arnstein, S. R. (1969). A Ladder of Citizen Participation. *Journal of the American Institute of Planners*, 35(4), 216-224.

2. IAP2 Spectrum of Public Participation (2007)

- Description: Developed by the International Association for Public Participation (IAP2), this framework provides a spectrum of participation with increasing levels of public impact: Inform, Consult, Involve, Collaborate, and Empower.
- Principles: Transparency, Inclusiveness, Commitment, Responsiveness.
- Reference:
 - IAP2. (2007). IAP2 Spectrum of Public Participation.

3. Deliberative Democracy (Habermas, 1990)

- Description: Jurgen Habermas's theory of deliberative democracy emphasizes the importance of rational discourse and deliberation in public involvement. It stresses dialogue, mutual respect, and understanding.
- Principles: Rational Discourse, Deliberation, Inclusivity, Equality.

- Reference:
 - Habermas, J. (1990). *The Theory of Communicative Action* (Vol. 1 & 2). Polity Press.

4. Fung's Democracy Cube (2006)

- Description: Archon Fung's Democracy Cube is a model that describes participatory processes through three dimensions: participant selection, communication and decision mode, and authority and power.
- Principles: Diversity, Deliberation, Accountability, Authority.
- Reference:
 - Fung, A. (2006). [Varieties of Participation in Complex Governance](#). *Public Administration Review*, 66(S1), 66-75.

5. Principles of Community Engagement (CDC, 1997)

- Description: Developed by the Centers for Disease Control and Prevention, this framework focuses on the principles that support meaningful community engagement, particularly in public health.
- Principles: Trust, Respect, Relevance, Transparency, Planning.
- Reference:
 - CDC. (1997). [Principles of Community Engagement](#). CDC/ATSDR Committee on Community Engagement.

6. Participatory Governance (Gaventa, 2004)

- Description: John Gaventa's work on participatory governance highlights the role of citizen engagement in shaping public policies and institutions. It focuses on power relations and creating spaces for participation.
- Principles: Power Redistribution, Inclusion, Participation Spaces, Empowerment.
- Reference:
 - Gaventa, J. (2004). *Towards Participatory Governance: Assessing the Transformative Possibilities*. *UNDP-UNESCO Discussion Paper*.

7. Co-Production (Ostrom, 1996)

- Description: Elinor Ostrom's concept of co-production emphasizes the collaboration between citizens and government in service delivery, stressing shared responsibility and mutual benefit.
- Principles: Collaboration, Shared Responsibility, Mutual Benefit, Empowerment.
- Reference:
 - Ostrom, E. (1996). *Crossing the Great Divide: Coproduction, Synergy, and Development*. *World Development*, 24(6), 1073-1087.

8. Public Value Theory (Moore, 1995)

- Description: Mark Moore's Public Value Theory focuses on how public managers can create value through public engagement and collaboration with citizens.
- Principles: Value Creation, Public Interest, Collaboration, Accountability.
- Reference:
 - Moore, M. H. (1995). [Creating Public Value: Strategic Management in Government](#). Harvard University Press.

9. Participatory Action Research (PAR)

- Description: PAR emphasizes collaboration between researchers and participants to address issues and create change through collective inquiry and reflection.
- Principles: Collaboration, Reflexivity, Empowerment, Change-Oriented.
- Reference:
 - Kemmis, S., & McTaggart, R. (2000). [Participatory Action Research](#). *The Sage Handbook of Qualitative Research*.

10. Three Dimensions of Power (Lukes, 1974)

- Description: Steven Lukes' model outlines power in three dimensions: decision-making, agenda-setting, and ideological power. It examines how power dynamics influence public involvement.
- Principles: Power Analysis, Transparency, Empowerment, Accountability.
- Reference:
 - Lukes, S. (1974). *Power: A Radical View*. Macmillan International Higher Education.

KEY THEMES IN PUBLIC INVOLVEMENT PRINCIPLES

1. Empowerment

- Description: Ensuring that communities have real power and influence in decision-making processes.
- Examples: Arnstein's Ladder, IAP2 Spectrum, Co-Production.
- Reference:
 - Rowe, G., & Frewer, L. J. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, 25(1), 3-29.

2. Inclusivity and Diversity

- Description: Engaging diverse groups to ensure broad representation and avoid marginalization.
- Examples: Democracy Cube, Participatory Governance.
- Reference:
 - Young, I. M. (2000). *Inclusion and Democracy*. Oxford University Press.

3. Deliberation and Dialogue

- Description: Facilitating meaningful dialogue to foster mutual understanding and informed decision-making.
- Examples: Deliberative Democracy, PAR.
- Reference:
 - Dryzek, J. S. (2000). *Deliberative Democracy and Beyond: Liberals, Critics, Contestations*. Oxford University Press.

4. Transparency and Accountability

- Description: Maintaining openness in processes and holding decision-makers accountable for their actions.
- Examples: Principles of Community Engagement, Public Value Theory.
- Reference:
 - Fung, A. (2015). [Putting the Public Back into Governance: The Challenges of Citizen Participation and Its Future](#). *Public Administration Review*, 75(4), 513-522.

5. Collaboration and Partnership

- Description: Building partnerships between stakeholders to co-create solutions and share responsibilities.
- Examples: Co-Production, Participatory Action Research.
- Reference:
 - Ansell, C., & Gash, A. (2008). Collaborative Governance in Theory and Practice. *Journal of Public Administration Research and Theory*, 18(4), 543-571.

6. Trust and Respect

- Description: Fostering trust and respect among participants to build strong relationships and effective collaboration.
- Examples: Principles of Community Engagement.
- Reference:
 - Pretty, J. (1995). Participatory Learning for Sustainable Agriculture. *World Development*, 23(8), 1247-1263.

ADDITIONAL REFERENCES

- "The Theory and Practice of Local Governance and Economic Development" by Brian E. Dollery and Lorenzo Robotti
 - Focuses on the role of local governance in economic development and how public involvement shapes policies.
 - Reference: Dollery, B. E., & Robotti, L. (Eds.). (2008). *The Theory and Practice of Local Governance and Economic Development*. Edward Elgar Publishing.
- "The Public Participation Handbook: Making Better Decisions Through Citizen Involvement" by James L. Creighton
 - Provides practical guidance on implementing effective public participation processes.
 - Reference: Creighton, J. L. (2005). [The Public Participation Handbook: Making Better Decisions Through Citizen Involvement](#). Jossey-Bass.
- "Public Participation for 21st Century Democracy" by Tina Nabatchi and Matt Leighninger
 - Examines the evolution of public participation and offers strategies for enhancing democratic engagement.
 - Reference: Nabatchi, T., & Leighninger, M. (2015). [Public Participation for 21st Century Democracy](#). Jossey-Bass.

Conclusion

The principles underpinning public involvement are crucial for ensuring meaningful and effective participation. These frameworks and theories offer valuable insights into the complexities of public engagement and provide practical guidance for practitioners and policymakers. By understanding and applying these principles, stakeholders can foster more inclusive, transparent, and collaborative decision-making processes that truly reflect the needs and aspirations of the communities they serve.

2. Can you take each of the six themes (Empowerment, Inclusivity and Diversity, Deliberation and Dialogue, Transparency and Accountability, Collaboration and Partnership, Trust and Respect) and provide a fuller description of each one and more references

Below, I'll provide a detailed description of each of the six themes in public involvement, along with additional references to support a deeper understanding of their significance and application.

1. EMPOWERMENT

Description:

Empowerment in public involvement is about enabling individuals and communities to have real influence over decision-making processes that affect their lives. It involves shifting power dynamics to ensure that citizens have the ability and opportunity to participate meaningfully in shaping policies, programs, and services.

Empowerment is not merely about providing information or consultation; it is about granting decision-making authority to the people who are affected by those decisions. This can be achieved through mechanisms like participatory budgeting, citizen juries, or community advisory boards. Empowerment is also closely tied to capacity-building, ensuring that communities have the skills and resources needed to engage effectively. Empowerment is a core principle of democratic governance, aiming to create a more equitable society by addressing power imbalances and giving voice to marginalized groups. It fosters a sense of ownership and responsibility among citizens, encouraging them to actively engage in public life.

Key Components:

- **Power Redistribution:** Transferring decision-making power from traditional authorities to citizens and communities.
- **Capacity Building:** Developing skills, knowledge, and resources to enable effective participation.
- **Access to Information:** Providing citizens with the information necessary to make informed decisions.
- **Influence:** Ensuring that public input genuinely impacts decision-making processes.

Applications:

- **Participatory Budgeting:** Involving citizens in the allocation of public funds to reflect community priorities.
- **Community Advisory Boards:** Establishing groups of community members to provide input and guidance on specific projects or policies.
- **Co-Design Processes:** Engaging citizens in designing policies, services, or products to ensure they meet community needs.

References:

- Book: Rowlands, J. (1997). *Questioning Empowerment: Working with Women in Honduras*. Oxfam.
 - Focuses on how empowerment can be achieved through grassroots movements and women's participation in governance.
- Journal Article: Zimmerman, M. A. (2000). Empowerment Theory: Psychological, Organizational, and Community Levels of Analysis. *Handbook of Community Psychology*, 43-63.
 - Analyzes the multi-level dimensions of empowerment, including individual, organizational, and community aspects.
- Journal Article: Kabeer, N. (1999). [Resources, Agency, Achievements: Reflections on the Measurement of Women's Empowerment](#). *Development and Change*, 30(3), 435-464.
 - Explores the concept of empowerment in the context of gender equality and development, emphasizing agency and autonomy.
- Journal Article: Alsop, R., Bertelsen, M. F., & Holland, J. (2006). [Empowerment in Practice: From Analysis to Implementation](#). World Bank.
 - Provides practical guidance on implementing empowerment strategies in development projects.
- Book: Gaventa, J. (1980). *Power and Powerlessness: Quiescence and Rebellion in an Appalachian Valley*. University of Illinois Press.
 - Examines the dynamics of power and empowerment in marginalized communities, emphasizing the role of participation in overcoming oppression.
- Journal Article: Cornwall, A., & Brock, K. (2005). [What Do Buzzwords Do for Development Policy? A Critical Look at 'Participation', 'Empowerment', and 'Poverty Reduction'](#). *Third World Quarterly*, 26(7), 1043-1060.
 - Critiques the use of empowerment as a buzzword and examines its implications in development practice.
- Book: Fetterman, D. M. (2005). *Empowerment Evaluation Principles in Practice*. Guilford Press.
 - Explores the principles of empowerment evaluation, highlighting the role of evaluation in promoting empowerment and accountability.

2. INCLUSIVITY AND DIVERSITY

Description:

Inclusivity and diversity in public involvement refer to the intentional efforts to engage a wide range of participants from various backgrounds, perspectives, and experiences. This theme emphasizes ensuring that all voices, particularly those of historically marginalized or underrepresented groups, are heard and valued in decision-making processes. By fostering an inclusive environment, public participation efforts can better reflect the needs and aspirations of the entire community.

Inclusivity goes beyond mere representation; it involves creating conditions where diverse participants feel welcomed, respected, and empowered to contribute meaningfully. This requires addressing barriers such as language, accessibility, cultural differences, and socio-economic status that may prevent equitable participation.

Diversity enriches public involvement by bringing a multitude of viewpoints and insights, leading to more comprehensive and innovative solutions. By embracing diversity, organizations and governments can enhance legitimacy, build trust, and foster social cohesion.

Key Components:

- Representation: Ensuring that participation reflects the demographic and social diversity of the community.
- Accessibility: Providing equal access to participation opportunities by removing physical, linguistic, and technological barriers.
- Cultural Competence: Understanding and respecting cultural differences and adapting processes accordingly.
- Equity: Addressing systemic inequalities to ensure fair treatment and opportunities for all participants.

Applications:

- Diverse Stakeholder Engagement: Involving stakeholders from various sectors, such as ethnic minorities, women, youth, and people with disabilities, to ensure a holistic perspective.
- Culturally Sensitive Facilitation: Designing participatory processes that respect and incorporate cultural traditions and norms.
- Language Translation Services: Offering materials and communication in multiple languages to accommodate non-native speakers.

References:

- Book: Young, I. M. (2000). Inclusion and Democracy. Oxford University Press.
 - Explores the principles of inclusivity and diversity in democratic practices, highlighting the importance of representation and dialogue.
- Journal Article: Taylor, D. E. (2000). The Rise of the Environmental Justice Paradigm: Injustice Framing and the Social Construction of Environmental Discourses. *American Behavioral Scientist*, 43(4), 508-580.
 - Analyzes the role of inclusivity and diversity in environmental justice movements, emphasizing the need for equitable participation.
- Journal Article: Sen, A. (1999). Development as Freedom. Oxford University Press.
 - Discusses how inclusivity and diversity contribute to development by expanding people's capabilities and freedoms.
- Journal Article: Mitchell, G. E., & Jun, E. (2020). [Does Public Participation in Local Government Decision-Making Build Trust?](#) *Public Administration Review*, 80(6), 969-980.
 - Investigates the relationship between inclusive public participation and trust-building in local governance.
- Journal Article: Benhabib, S. (1996). Toward a Deliberative Model of Democratic Legitimacy. *Democracy and Difference: Contesting the Boundaries of the Political*, 67-94.
 - Explores the role of diversity in deliberative democracy, emphasizing the need for inclusive participation.
- Book: Phillips, A. (1995). The Politics of Presence. Clarendon Press.
 - Analyzes the concept of representation in democratic systems, advocating for the inclusion of diverse voices to ensure legitimacy.

- Journal Article: Bourdieu, P. (1986). [The Forms of Capital](#). Handbook of Theory and Research for the Sociology of Education, 3(1), 241-258.
 - Examines how social capital and diversity influence participation and access to resources.
- Book: Sandercock, L. (1998). Towards Cosmopolis: Planning for Multicultural Cities. John Wiley & Sons.
 - Discusses the challenges and opportunities of planning for diverse urban populations, emphasizing inclusive practices.
- Journal Article: Sen, A. (2009). The Idea of Justice. Harvard University Press.
 - Explores the relationship between justice, diversity, and public participation in achieving equitable outcomes.

3. DELIBERATION AND DIALOGUE

Description:

Deliberation and dialogue are central to meaningful public involvement, emphasizing open and respectful communication among participants. Deliberation refers to the process of carefully considering different perspectives, weighing evidence, and discussing potential solutions to complex issues. Dialogue involves exchanging ideas and fostering mutual understanding among diverse stakeholders. These processes are essential for building consensus, resolving conflicts, and making informed decisions that reflect the collective interests of the community. Deliberation and dialogue create a space for participants to express their views, listen to others, and engage in critical thinking. Effective deliberation requires creating an environment where participants feel comfortable expressing their opinions without fear of judgment or reprisal. This involves establishing clear guidelines for respectful communication and ensuring that all voices are heard.

Key Components:

- Respectful Communication: Encouraging participants to engage in open, honest, and respectful exchanges.
- Active Listening: Valuing others' perspectives by listening attentively and empathetically.
- Critical Thinking: Encouraging participants to analyze information and consider diverse viewpoints.
- Consensus Building: Facilitating collaborative decision-making to reach agreements that reflect collective interests.

Applications:

- Deliberative Forums: Organizing structured discussions on specific topics, such as town hall meetings, citizens' assemblies, or focus groups.
- Dialogue Circles: Creating small groups for participants to engage in deep, reflective conversations on relevant issues.
- Participatory Workshops: Designing interactive sessions that encourage active participation, brainstorming, and problem-solving.

References:

- Book: Dryzek, J. S. (2000). Deliberative Democracy and Beyond: Liberals, Critics, Contestations. Oxford University Press.
 - Explores the principles of deliberative democracy, emphasizing the importance of dialogue and deliberation in decision-making.

- Journal Article: Mansbridge, J., Bohman, J., Chambers, S., Estlund, D., Føllesdal, A., Fung, A., & Martí, J. L. (2010). The Place of Self-Interest and the Role of Power in Deliberative Democracy. *The Journal of Political Philosophy*, 18(1), 64-100.
 - Analyzes the role of power dynamics and self-interest in deliberative processes, emphasizing the need for inclusivity and fairness.
- Journal Article: Bohman, J. (1998). [The Coming of Age of Deliberative Democracy](#). *The Journal of Political Philosophy*, 6(4), 400-425.
 - Discusses the evolution of deliberative democracy and its implications for public participation and governance.
- Journal Article: Fishkin, J. S. (2009). *When the People Speak: Deliberative Democracy and Public Consultation*. Oxford University Press.
 - Explores the role of deliberative democracy in enhancing public consultation and decision-making processes.
- Book: Gutmann, A., & Thompson, D. (2004). *Why Deliberative Democracy?* Princeton University Press.
 - Provides a comprehensive overview of deliberative democracy, highlighting its benefits and challenges in contemporary governance.
- Journal Article: Smith, G. (2009). *Democratic Innovations: Designing Institutions for Citizen Participation*. Cambridge University Press.
 - Examines innovative approaches to citizen participation, emphasizing the role of deliberation in enhancing democratic processes.
- Book: Benhabib, S. (1996). *Democracy and Difference: Contesting the Boundaries of the Political*. Princeton University Press.
 - Analyzes the relationship between democracy, dialogue, and diversity, highlighting the importance of inclusive deliberation.
- Journal Article: Chambers, S. (2003). *Deliberative Democratic Theory*. *Annual Review of Political Science*, 6(1), 307-326.
 - Provides an overview of deliberative democratic theory, focusing on its principles and applications in contemporary governance.
- Book: Escobar, O. (2017). *Making it Real: A Dialogue Handbook for Public Engagement Practitioners*. Edinburgh: What Works Scotland.
 - Offers practical guidance for facilitating dialogue and deliberation in public engagement processes.

4. TRANSPARENCY AND ACCOUNTABILITY

Description:

Transparency and accountability are fundamental principles of public involvement, emphasizing openness and responsibility in decision-making processes. Transparency refers to the availability and accessibility of information related to policies, programs, and decisions. It ensures that stakeholders have access to relevant information that allows them to understand, scrutinize, and influence decision-making.

Accountability involves holding decision-makers responsible for their actions and ensuring that they answer to the public for their decisions and policies. This includes mechanisms for monitoring, evaluation, and feedback, allowing citizens to hold authorities accountable for their commitments.

Transparency and accountability foster trust between the public and decision-makers, enhancing the legitimacy and credibility of participatory processes. They also empower citizens by providing them with the information needed to make informed decisions and advocate for their interests.

Key Components:

- Information Accessibility: Ensuring that relevant information is available, accurate, and easily accessible to all stakeholders.
- Open Communication: Facilitating clear and honest communication between decision-makers and the public.

- Monitoring and Evaluation: Implementing mechanisms for tracking progress, assessing outcomes, and providing feedback.
- Responsibility and Answerability: Holding decision-makers accountable for their actions and decisions.

Applications:

- Open Data Initiatives: Providing access to government data and information to enhance transparency and citizen engagement.
- Public Accountability Reports: Publishing reports on the performance and outcomes of public programs and policies.
- Citizen Audits: Involving citizens in auditing government activities and expenditures to ensure accountability.

References:

- Book: Fung, A. (2006). Full Disclosure: The Perils and Promise of Transparency. Cambridge University Press.
 - Examines the role of transparency in enhancing accountability and trust in governance.
- Journal Article: Bovens, M. (2007). [Analysing and Assessing Accountability: A Conceptual Framework](#). European Law Journal, 13(4), 447-468.
 - Provides a conceptual framework for analyzing accountability in public administration, emphasizing its importance in participatory processes.
- Journal Article: Fox, J. (2007). [The Uncertain Relationship Between Transparency and Accountability](#). Development in Practice, 17(4-5), 663-671.
 - Explores the complex relationship between transparency and accountability, highlighting challenges and opportunities in governance.
- Journal Article: Heald, D. (2006). [Transparency as an Instrumental Value](#). Public Money & Management, 26(3), 173-174.
 - Analyzes the instrumental value of transparency in public administration, emphasizing its role in enhancing accountability.
- Book: Florini, A. (2007). The Right to Know: Transparency for an Open World. Columbia University Press.
 - Discusses the importance of transparency in promoting accountability and public participation in governance.
- Journal Article: Mulgan, R. (2000). [Accountability: An Ever-Expanding Concept?](#). Public Administration, 78(3), 555-573.
 - Explores the expanding concept of accountability and its implications for public participation and governance.
- Book: Bovens, M., Goodin, R. E., & Schillemans, T. (2014). The Oxford Handbook of Public Accountability. Oxford University Press.
 - Provides a comprehensive overview of accountability in public administration, highlighting its significance in participatory processes.
- Journal Article: Meijer, A. J. (2009). [Understanding Modern Transparency](#). International Review of Administrative Sciences, 75(2), 255-269.
 - Analyzes the concept of transparency in contemporary governance, emphasizing its role in enhancing accountability and public trust.
- Book: Birkinshaw, P. (2006). Freedom of Information: The Law, the Practice, and the Ideal. Cambridge University Press.
 - Explores the principles and practices of freedom of information, highlighting its importance in promoting transparency and accountability.

5. COLLABORATION AND PARTNERSHIP

Description:

Collaboration and partnership in public involvement refer to the cooperative efforts of various stakeholders, including government agencies, non-governmental organizations (NGOs), private sector entities, and citizens, to achieve common goals. These principles emphasize the importance of working together, sharing resources, and leveraging expertise to address complex social, economic, and environmental challenges.

Collaboration involves building relationships based on trust, mutual respect, and shared objectives. It requires creating platforms for dialogue, negotiation, and joint decision-making, allowing stakeholders to contribute their unique perspectives and strengths.

Partnerships can take various forms, from formal alliances to informal networks, and can operate at local, national, or international levels. They enhance public involvement by fostering synergies, promoting innovation, and enabling more effective responses to community needs.

Key Components:

- **Shared Goals:** Establishing common objectives and aligning efforts to achieve them.
- **Resource Sharing:** Pooling resources, knowledge, and expertise to maximize impact.
- **Trust Building:** Developing relationships based on trust, respect, and mutual understanding.
- **Joint Decision-Making:** Facilitating collaborative decision-making processes that involve all relevant stakeholders.

Applications:

- **Public-Private Partnerships (PPPs):** Collaborations between government and private sector entities to deliver public services or infrastructure.
- **Community-Based Collaborations:** Partnerships between local communities, NGOs, and government agencies to address specific issues.
- **Multi-Stakeholder Initiatives:** Engaging various stakeholders, including businesses, civil society, and academia, in collaborative problem-solving.

References:

- **Book:** Ansell, C., & Gash, A. (2008). Collaborative Governance in Theory and Practice. *Journal of Public Administration Research and Theory*.
 - Explores the principles and practices of collaborative governance, emphasizing the role of partnerships in enhancing public involvement.
- **Journal Article:** Emerson, K., & Nabatchi, T. (2015). Evaluating the Productivity of Collaborative Governance Regimes: A Performance Matrix. *Public Performance & Management Review*, 38(4), 717-747.
 - Analyzes the productivity of collaborative governance regimes, providing a framework for assessing their effectiveness.

- Journal Article: Bryson, J. M., Crosby, B. C., & Stone, M. M. (2006). The Design and Implementation of Cross-Sector Collaborations: Propositions from the Literature. *Public Administration Review*, 66(1), 44-55.
 - Examines the design and implementation of cross-sector collaborations, highlighting key factors for success.
- Journal Article: Provan, K. G., & Kenis, P. (2008). Modes of Network Governance: Structure, Management, and Effectiveness. *Journal of Public Administration Research and Theory*, 18(2), 229-252.
 - Discusses different modes of network governance, emphasizing the role of collaboration in achieving public goals.
- Book: Gray, B. (1989). *Collaborating: Finding Common Ground for Multiparty Problems*. Jossey-Bass.
 - Provides a comprehensive guide to collaborative problem-solving, highlighting the importance of finding common ground among diverse stakeholders.
- Journal Article: O’Leary, R., & Vij, N. (2012). Collaborative Public Management: Where Have We Been and Where Are We Going?. *The American Review of Public Administration*, 42(5), 507-522.
 - Explores the evolution of collaborative public management, highlighting trends and challenges in contemporary practice.
- Book: Vangen, S., & Huxham, C. (2003). *Managing to Collaborate: The Theory and Practice of Collaborative Advantage*. Routledge.
 - Discusses the theory and practice of collaboration, emphasizing the concept of collaborative advantage in achieving public goals.
- Journal Article: Huxham, C., & Vangen, S. (2005). Managing to Collaborate: The Theory and Practice of Collaborative Advantage. *Public Management Review*, 5(3), 393-409.
 - Explores the dynamics of collaboration and partnership, emphasizing the role of trust and communication in successful collaborations.
- Book: Austin, J. E., & Seitanidi, M. M. (2012). *Collaborative Value Creation: A Review of Partnering Between Nonprofits and Businesses*. John Wiley & Sons.
 - Analyzes the potential for collaborative value creation between nonprofits and businesses, highlighting key factors for successful partnerships.

6. TRUST AND RESPECT

Description:

Trust and respect are foundational principles of public involvement, emphasizing the importance of building positive relationships between stakeholders. Trust refers to the confidence and reliability placed in individuals, institutions, and processes. It involves belief in the integrity, competence, and fairness of decision-makers.

Respect involves valuing the dignity, rights, and perspectives of all participants, regardless of their backgrounds or positions. It requires treating others with courtesy, consideration, and empathy, fostering an environment where everyone feels valued and heard.

Trust and respect are interrelated, as trust is often built on a foundation of mutual respect. These principles are essential for effective public involvement, as they create a conducive environment for open communication, collaboration, and consensus-building.

Key Components:

- Integrity: Demonstrating honesty, transparency, and ethical behavior in decision-making.
- Competence: Building confidence in the skills and abilities of individuals and institutions.
- Fairness: Ensuring equitable treatment and opportunities for all participants.
- Empathy: Understanding and valuing diverse perspectives and experiences.

Applications:

- Stakeholder Engagement: Building trust and respect through consistent and meaningful engagement with stakeholders.
- Conflict Resolution: Addressing conflicts with empathy and fairness to foster trust and reconciliation.
- Trust-Building Initiatives: Implementing programs and practices that promote transparency, accountability, and respect.

References:

- Book: Putnam, R. D. (2000). *Bowling Alone: The Collapse and Revival of American Community*. Simon & Schuster.
 - Analyzes the decline of social capital and its impact on trust, highlighting the importance of trust and respect in community engagement.
- Journal Article: Rousseau, D. M., Sitkin, S. B., Burt, R. S., & Camerer, C. (1998). Not So Different After All: A Cross-Discipline View of Trust. *Academy of Management Review*, 23(3), 393-404.
 - Provides a cross-disciplinary analysis of trust, emphasizing its role in fostering effective relationships and collaboration.
- Journal Article: Mayer, R. C., Davis, J. H., & Schoorman, F. D. (1995). An Integrative Model of Organizational Trust. *Academy of Management Review*, 20(3), 709-734.
 - Presents an integrative model of trust in organizational contexts, highlighting key factors that influence trust-building.
- Book: Fukuyama, F. (1995). *Trust: The Social Virtues and the Creation of Prosperity*. Free Press.
 - Explores the role of trust in fostering social and economic prosperity, emphasizing its importance in public involvement.
- Journal Article: Lewicki, R. J., & Bunker, B. B. (1996). [Developing and Maintaining Trust in Work Relationships](#). *Trust in Organizations: Frontiers of Theory and Research*, 3(1), 114-139.
 - Analyzes the dynamics of trust in work relationships, providing insights into building and maintaining trust in collaborative settings.
- Book: Tyler, T. R. (2006). *Why People Cooperate: The Role of Social Motivations*. Princeton University Press.
 - Examines the role of trust and respect in promoting cooperation and collaboration in public involvement.
- Journal Article: Hardin, R. (2002). Trust and Trustworthiness. *Trust and Trustworthiness*, 4(1), 1-27.
 - Explores the relationship between trust and trustworthiness, highlighting their significance in fostering effective public involvement.
- Book: Ostrom, E. (1990). *Governing the Commons: The Evolution of Institutions for Collective Action*. Cambridge University Press.

- Analyzes the role of trust and respect in governing common resources, emphasizing their importance in collaborative decision-making.
- Journal Article: Kramer, R. M., & Tyler, T. R. (1996). Trust in Organizations: Frontiers of Theory and Research. Thousand Oaks: Sage Publications, 46(1), 285-297.
 - Provides an overview of trust in organizational contexts, highlighting its role in fostering effective relationships and collaboration.
- Book: Coleman, J. S. (1990). Foundations of Social Theory. Harvard University Press.
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