

Ensuring Full Participation in the Delivery of Scotland's AI Strategy

An international case study and rapid literature review

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Executive summary

This international case study review has explored best practice for community participation and engagement mechanisms for governments' strategy delivery. Through a case study analysis and a rapid literature review, the full report offers initial insights, recommendations and design principles for ensuring full participation in the delivery of Scotland's Artificial Intelligence (AI) Strategy. Each case study provides insights on different approaches to inclusion, communication, outreach and long-term engagement.

The Scottish AI Alliance and the Scottish Government will use these learnings to create an effective mechanism to ensure civil society's full participation in the mission for Scotland to become a leader in the development and use of trustworthy, ethical and inclusive AI.

Below is a table summary of our lines of enquiry, themes and relative questions:

- KLoE 1) Best practices related to community participatory / engagement mechanisms
- KLoE 2) Impact achieved and key design components
- KLoE 3) Parity of participation and inclusiveness

Themes	Questions
KLoE 1 - Meaningfulness	What level of agency was ensured to participants (e.g. what was the capacity of individuals and groups to advance proposals and to design bottom-up community/led approaches to strategy delivery?)
	How was the engagement used in the input process and output phases of the strategy delivery?
	How did the engagement mechanisms address possible divergent opinions between different actors in the strategy delivery phase?
	How were transparency and accountability ensured in the strategy delivery process?
KLoE 1 - Sustainability of engagement over time	What can we learn regarding what are the main phases of engagement (both from the literature and from the case studies)? And what can we learn regarding the mechanisms for incentivise/disincentivise engagement?
	What were some of the most impactful design features and methods that ensured sustained engagement in the long-term?

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	What were the main and most impactful channels of communication to keep the public informed and interested over time?
KLoE2 - Impact	How were expectations set and what was the role of participants in this phase? How was the success of the engagement in the strategy delivery defined and measured?
	Is there evidence of long-term positive outcomes and impact on strategy delivery that exceeded the time of engagement?
KLoE2 - Design	What main phases of engagement can be identified that were more commonly used across the case studies? Which ones proved most successful and why?
	In what phases of the strategy delivery were community participatory / engagement mechanisms adopted – what worked and what failed?
	What feedback-loop mechanisms were designed and used (if any) to share feedback with civil society and participants regarding the adoption (or lack of adoption) of recommendations from the strategy delivery group?
KLoE 3 - Inclusiveness	Who were the critical actors involved in the strategy delivery – what were the selection criteria and level of representativity?
	Were underrepresented groups, those away from decision making and those with lower digital literacy engaged in strategy development? If so, how?
	What were the main barriers to participation identified and how were these addressed?
KLoE 3 - Emancipatory potential of participation mechanisms	Was there an effort made to tackle systemic barriers to participation? If so, what was done?
	Was there evidence of reported long-term positive outcomes and benefits to those who participated that exceeded the period of initial engagement?

From the overall analysis of the case studies and literature that we have gathered to address these questions the following key learnings emerged:

- There is **no, one approach** to the design and delivery of inclusive and effective community participatory and/or engagement mechanisms for government strategy delivery, as no one method or combination of methods can reflect the underlying and evolving interests and intentions

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of citizens on the matter at stake. A good **communication plan** and different mechanisms to integrate and act upon **feedback loops** are needed to check and adjust the participation strategy accordingly.

- Regular communication of delivery progress to participants – and communities more broadly – also upholds the **legitimacy, transparency and accountability** of the delivery process, **appetite for ongoing participation**. Communication also helps with ongoing **support and extension of networks**, increased **acceptance of roles and responsibilities** and stakeholder **commitment to follow up**.
- An effective participation and engagement strategy should include both, the continuous improvement of existing engagement mechanisms and platforms, as well as the seeking of new ones that are bespoke for the scope of the AI strategy delivery. A **good mix of existing and new engagement mechanisms** are expected to provide desired outcomes and mutual benefits to participants and institutions leading engagement activities.
- Both **top-down and bottom-up approaches should be included** in the design of an inclusive and effective participatory strategy, as the first can provide citizens' appraisal of predetermined policies that are put forward by governments; whilst the second can deliver a space for policy development and **shaping of new tools and forms of governance; collective intelligence** plays an active role in both cases.
- **Clarity of expectations and outcomes** of a participation strategy will be crucial to avoid disappointment and avoid the risk of undermining future participation as well.
- **Local and regional engagement processes** should be designed and delivered in tandem with wider national public engagement as these processes - which are closer to local communities - will ensure greater political legitimacy, inclusiveness and diversity of views. Mapping and keeping in considerations citizens or community-led initiatives, which are usually independent from governments and organised from the bottom up, will also be key for the success of the AI Scottish strategy.
- A thoughtful community engagement approach is more than just about strategy delivery. It also contributes to **social value creation**, building people's **knowledge of their neighbours and local activities**, and increases people's confidence and willingness to be part of ongoing

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implementation efforts, especially when these are ***offered in low barrier ways*** at a time and pace that suits them.

- Identify in a collective manner the key ***design principles*** that will inform the design of the participatory approach is an important step to ensure that values and ambition are set right from the start and that possible conflicts and divergence in views are also mapped and addressed early on in the process. In the conclusion to this report, we suggest some practical design principles that could inspire the Scottish AI Alliance.

Introduction

The main aim of this project, as stated in the original research proposal, was to conduct desk-based research into existing best practices in community participatory and/or engagement mechanisms that could inform the delivery of Scotland's AI Strategy and its associated vision for Scotland to become a leader in the development and use of trustworthy, ethical and inclusive AI.

The research started on 23rd November when the kick-off meeting happened and has been concluded and submitted on 24th January. The main phases have included the following:

- Research scoping and identification of keywords - *1 week*
- Data-base search and first round analysis - *2 weeks*
- Expanding the scope of the search: rapid literature review and analysis - *1 week*
- Overview of all case studies and relevant reports and identification of 8 case studies for in-depth analysis - *3 weeks*
- Extracting key insights and report writing - *2 weeks*
- Finalising and internal peer-review - *1 week*

Research Scope

The task of retrieving all the relevant information proved to be particularly difficult. Two case studies identified were about AI strategy delivery (a lot more were available that focused on AI strategy *development*). This finding confirms the fact that the Scottish Government AI strategy is one of the few examples in this field of national strategy developed and implemented in a participatory manner. Once the Scottish government progresses with the AI strategy *delivery* phase, it would be of great value to document and share the learning along the journey. The learning resources from such a process could be a unique (or at least one of very few) example of innovation in the field of participatory strategy

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implementation that could benefit other governments and public institutions embarking on the same journey.

From the search also emerged a scarcity of case studies that were specific and detailed about '*strategy delivery*'. This could possibly be due to the fact that participatory practice and engagement usually focus on the strategy and policy development phase. Ensuring full public participation during a strategy / policy delivery phase could be in fact perceived as a more difficult and challenging exercise, since delivery usually takes more time and requires sustained long-term engagement. Moreover, it is easy to assume that engaging the public in the development phase might be enough, and to leave the delivery phase to experts instead, assuming communities and citizens might have less to contribute. Finally, it might also occur that, even when public engagement is embedded in strategy delivery, this is not being well documented and reported about; it was difficult to find evaluation reports of strategy delivery processes to inform this review. Again, we recommend a key focus on *building a learning culture* throughout the delivery phase and *documenting the process* as core needs in the Scottish Government's delivery of its AI strategy.

This final report, which presents the main findings from the desk-based research and the rapid literature review, has been designed to address three main audiences:

1. Public officials from the Scottish Government who are interested in the implementation lessons drawn through the case studies review;
2. Democratic practitioners - in Scotland and beyond - with a particular interest in the subject of citizen engagement and engagement mechanisms for strategy delivery;
3. Others (both practitioners and government officials internationally) who will be embarking on a similar journey of designing community participatory and engagement mechanisms for government strategy delivery and/or mechanisms for engagement that present similar characteristics to a strategy delivery phase (e.g. long-term engagement, use of mixed methods of engagement, etc).

All of the cases that were included in the analysis presented directly or indirectly transferable knowledge that could inform the Scottish government in the design of their own participatory process. An overview of the cases and the reasons why these were considered relevant for the Scottish context is provided in Appendix B.

Notes on Methodology

The desk-based research has included a review of key relevant databases and a rapid review of the published literature and reports of best practices in community participatory and/or engagement mechanisms for government strategy delivery. The main findings have been analysed against the project Key Lines of Enquiry (KLoEs) - 1) Meaningful engagement; 2) Impact and accountability; 3) Parity of participation - and are presented in the following pages.

Case studies have been searched across several databases - at international level - that could provide useful learning on what worked well and what did not work well in community participatory / engagement mechanisms (with a particular focus on strategy delivery and Artificial Intelligence). Relevant published literature has also been considered to draw out lessons across the three KLoE.

To give breadth to our search we chose to include not only government-initiated citizens engagement and participatory initiatives but also bottom-up instances of citizen participation. Whilst these two modalities might both play a role in the AI strategy delivery for the Scottish Government and might at times share the same goals, government-led citizen engagement initiatives are still different from citizen-led participation initiatives, at least in how they are initiated (Adshead, Boyle and Colgan, 2020) and for the different roles that government-led structures for participation can play to ensure that the engagement is meaningful, long-term, inclusive and impactful (e.g. through providing resources, partnerships and political support). For the success of the Scottish AI strategy it would be a good practice to map and consider community-led initiatives, which might already exist and are usually independent from governments and organised from the bottom-up.

For the purpose of collecting relevant case studies of existing best practices in community participation and engagement mechanisms, we consulted the following databases:

Databases	Case studies found of potential relevance to KLoE: prior to ranking	Case studies fully analysed for this report: ranked 4 stars or higher for relevance to KLoE
EBSCO	0	0
Latinno	1	0
OECD AI Policy Observatory	5	2
OECD iLibrary	0	0

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Participedia	2	1
Others (e.g. journal articles, conference papers, reports)	39	5
TOTAL	47	8

Table 1. Case studies by database source

In terms of geographical spread the case studies feature a mix of UK and international examples. This mix was seen as important to broaden focus and learnings beyond the UK context. Table 2 shows the geographical spread across the final 8 case studies in this report.

Geographical spread	Case studies
UK	C02, C03, C07, C08
International	C01, C04, C05, C06, C08

Table 2. Geographical spread of final 8 case studies in this report

We also categorised the different case studies by their strategy delivery stage, as best we could determine from reading the source materials. This helped build an understanding of common engagement phases and engagement mechanisms across the delivery spectrum, and also offers insight into changes to mechanisms and outcomes as delivery progresses.

Delivery stage	Case studies
Implementation complete; evaluation / impact evidence available	C01, C02, C08
Mid-late stage implementation; evaluation/impact evidence available	C03, C04, C05
Early stage implementation; yet to be evaluated/impact reported	C06, C07

Table 3. Delivery stage of final 8 case studies in this report

We applied a 5-star ranking system on the 47 case studies found in the databases to make sure they were of sufficient quality and depth to respond to the KLoE. All case studies were initially scanned for potential relevance and assigned a star ranking:

0 stars = not relevant; skipped for analysis

1 star = limited relevance; skipped for analysis

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2 stars = limited-moderate relevance; some keywords found but not counted; not enough substance or relevant to KLoE to justify analysis; skipped for analysis

3 stars = moderate relevance; keywords found and counted; second pass analysis conducted to extract insights relevant to KLoE, but not enough substance for final report use.

4-5 stars: high relevance; keywords found and counted; thoroughly analysed and included in this report.

As these case studies ranged from five-page websites to 15 page journal articles to 700 page reports, varying amounts of time and resources were needed to perform analysis to satisfactorily address the KLoE.

As a result of the desk-based research of existing best-practices we did collect a total of 47 case studies, which were retrieved from the key databases examined and the literature review. Of these 47 cases, 8 were considered as most relevant (4 stars or higher) and therefore were analysed in more detail.

Name	Relevance	Case ...	About	Delivery phase	Geographical spread	Policy areas
1 Towards improving strategic environmental assessment follow-up ...	★★★★★	C01	Particularly good article for our research question. Lays out clearly t...	Implementation c...	International Canada	Environment Climate Democracy
2 Citizens' Inquiry into the Forensic Use of DNA and the National DNA Database	★★★★★	C02	KG notes: there are two refs with this title. This is the 2019 Participedia ca...	Implementation c...	UK	Justice Digital & Democracy
3 Every One Every Day (Year 1 + 2 reports). Made to Measure + Tools to ...	★★★★★	C03	Year 1 + 2 report on Every One Every Day initiative....	Mid-late stage im...	UK	Urban Growth and Land... Culture and Media
4 Indigenous political participation in the deliberative systems: the long-term ca...	★★★★★	C04	Interesting framing in this article where Indigenous protest against ...	Mid-late stage im...	International Taiwan	Healthcare
5 1 AURORA AI - Finland	★★★★★	C05	"The short-term adoption and long-term path for Aurora AI have been ...	Mid-late stage im...	International Finland	AI / data + ethics
6 Artificial Intelligence Strategy of the German Federal Government - Germany	★★★★★	C06	https://knowledge4policy.ec.europa.eu/ai-watch/germany-ai-strategy-...	Early stage imple...	Germany International	AI / data + ethics
7 Citizens' Assembly in Newham	★★★★★	C07	In 2021 a first Citizens' Assembly was designed and run in Newham, Londo...	Early stage imple...	UK	Environment Government Reform
8 Participatory Budgeting vignettes	★★★★★	C08	This is a series of mini case studies about Participatory Budgeting (PB) ...	Implementation c...	International UK Belgium France	Government Reform

Fig 1. Case studies table featuring the 47 case studies analysed and ranked, showing the 8 case studies fully analysed for this report.

Main keywords that were used in the search were all relevant to the main themes of the research review and included search terms like: 'participation', AND 'strategy delivery' AND / OR 'strategy implementation'. Specific search for 'artificial intelligence' and 'AI' was also included. Since the first search following the main keywords did not produce a significant variety or results and case studies, the search was expanded to include other similar keywords that could be associated with the main search terms: these included 'transparency',

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'accountability', 'inclusion', 'bottom up', 'community-led participation', 'long-term participation'. Our search considered both combined words (e.g. inclusion / inclusiveness) and UK and US spelling (e.g. incentivised / incentivized). See Appendix A for a full list of keywords and counts of their appearance in the 27 case studies ranked 3 stars or higher.

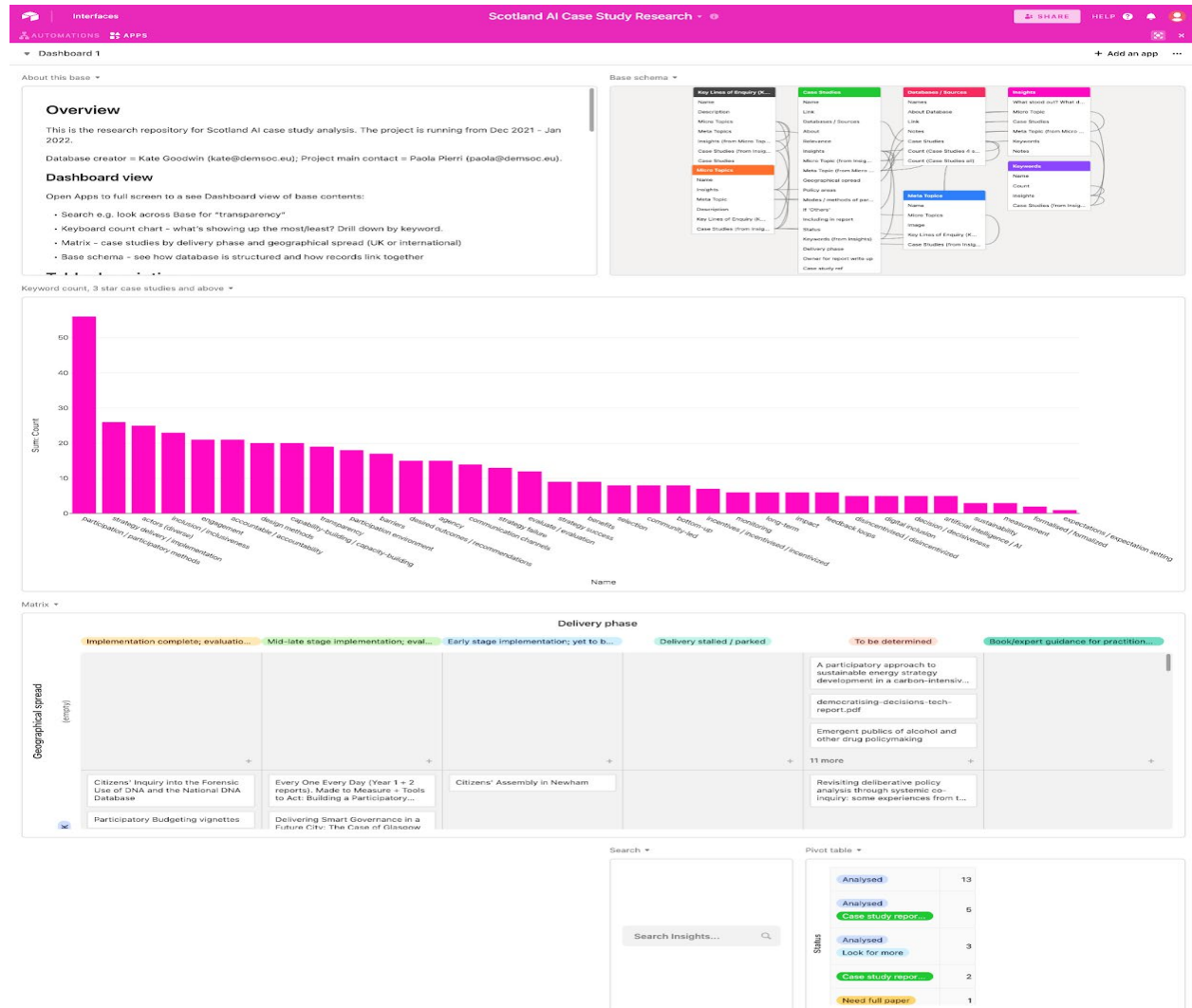


Fig 2. Dashboard view of case study analysis, showing a description of the database, base schema, keyword count, and a matrix of case studies by geographical spread and delivery stage (Airtable).

In addition to the database search key papers and reports were also retrieved, which included both academic and peer-reviewed articles, as well as the so-called 'grey literature'¹. Papers, research reports and similar were all saved and

¹ 'Grey literature' usually refers to publications that are not produced by academic and other commercial publishers and includes research reports, working papers, conference proceedings and other blog-like formats. Although not peer-reviewed, grey literature can be fundamental to assess an emerging field and include very recent case studies and analysis.

analysed in Airtable and saved in the Demsoc Zotero database. These constituted the basis for our rapid literature review which is presented below.

The Value of Engagement in Strategy Delivery

A Rapid Literature Review

Innovation in more horizontal and participatory forms of governance is arguably one of the main areas of democratic innovation (Bua and Bussu, 2020; Adshead, 2006) which aims to include a diverse group of stakeholders that can play a role in policy-making as well as strategy delivery. Several conditions are necessary to underpin effective citizen engagement, as it emerged from the literature (Adshead, Boyle and Colgan, 2020), and namely: (i) planning for delivery, (ii) clear communications strategy, (iii) recognition of the role of personal relationships and collaborations for good and meaningful participation.

Learning to inform the participatory mechanisms of the AI strategy delivery can be taken from literature and models on more participatory forms of governance. In this space much can be used from the Humble Governance approach developed by Demos Helsinki (2021), which starts from the acknowledgment that the different actors (governments, economic actors or civil society) cannot hold all the answers to address complex issues, and that more humility is needed to improve the impact of decision-making. Key transferable learning from this model includes the need to aim for **thin political consensus** also in collaboration with political opponents, setting up **cooperation networks** and **devolved decision-making** to those who know best, establishing strong feedback loops and **peer review and peer learning** mechanisms with frequent meetings among all stakeholders.

The success of these more open and participatory governance structures increasingly depend - among other things - on good and **distributed leadership** that can create and hold the space open for participation, ensure legitimacy of the process and its impact in the ultimate instance. Ensuring that the group of leaders (including political leaders) is supported, encouraged and involved in the activities is therefore central (Milakovich 2012).

The OECD (2001) highlighted three main benefits from more participatory forms of governance and citizens' engagement: i) increased **interest from citizens on public issues**, which can translate in stronger development of public policy; ii) greater **trust in governments** and perceived **legitimacy** of government decisions, through better access to information and participation opportunities; iii) increased **transparency and accountability**, which in turn create the conducive environment for more active participation in society and in policy making.

Two main modes of democratic engagement for citizens and communities can be distinguished in the literature examined: an *aggregative* and an *integrative* approach (Adshead, Boyle and Colgan, 2020), where the first sees citizens as conveyor of different interest and preferences, whilst the second (so called *integrative* approaches) focus more on the deliberative procedures that can increase participation and civic skills more broadly. Our case studies illustrate a broad spectrum of citizen engagement and participatory mechanisms, ranging across citizens' juries², citizen assemblies³, World Cafes⁴, interconnected participatory ecosystem and support platforms for citizen-led campaigns, public reviews, shared input to data collection and reporting, consulting meetings, online discussion forums, and ingraining engagement mechanisms such as Participatory Budgeting in legal frameworks. Additional guidance on participatory design approaches to AI implementation, and setup of partnerships and steering committees to support strategy delivery in participatory way, are also factored into this review.

Our analysis of the literature (Cherry et al, 2021) also showcased how citizens participating and being engaged on specific issues, tend to become more concerned and engaged about that issue through the process of engagement itself. This requires an effective participation strategy to purposefully include an **educational component**, in order to achieve both, *increase the quality of informed participation* as well as *sustain the public engagement* in the long-term.

A recent study on public deliberation for climate policy (Cherry et al, 2021) also highlighted the importance of taking into account **citizens' underlying values and beliefs** on a certain topic, as these tend to play a key role in shaping the level of engagement and the impact and recommendations emerging as a result. Usually, the policies that have the most visible and tangible impact on people's lives tend to be those that generate the highest levels of public attention, which can translate in engagement and ultimately public support to the policy implementation (Cherry et al, 2021). But when engaging with relevant and *live* topics, like in the case of AI, disagreement and strong conflictual beliefs should neither be excluded, nor overlooked. Many scholars have in fact warned against the use of participatory methods, where participation can be seen as a means for overcoming resistance to already designed policies (Sloane et al. 2020).

The need for public institutions (and democratic infrastructures) that are **resilient and responsive** to the emerging challenges that society faces is a

² <https://participedia.net/method/155>

³ <https://participedia.net/method/4258>

⁴ <https://participedia.net/method/167>

The Value of Engagement in Strategy Delivery

pressing one, and certain fields have been proving so far more challenging to democratic and participatory mechanisms than others. Digitalisation and the field of *Artificial Intelligence* are definitely among the areas where the need to rethink participatory and engagement mechanisms in new ways have been emerging.

Engaging the public on questions of digitalisation processes and the use and impact of AI can allow the development of an AI ecosystem that better reflect its end users and stakeholders' values, preferences, and needs as well as anticipate and account for possible AI's negative impacts on issues of equality and inclusion (Delgado et al. 2021).

Until recently, citizens' interest and experience in the field of AI has been framed only in negative terms: as a lack of interest, or an information deficit. This has meant that debates and policies around this topic have often been happening behind closed doors and driven by experts and technologists. Simply providing information to citizens and expecting them to get more engaged has proved not a fruitful approach and there is growing awareness that citizens' voices need to be taken on board in structured and supported ways for them to become full *agents and actors* in the process of developing a national strategy for AI. A recent study of 16 national AI Strategies (Wilson, 2022) defined public engagement as an *increasingly prominent heuristic* for the development and deployment of responsible and ethical AI. The study interestingly highlights how public engagement in this field of AI is usually framed in negative terms, as a response to AI potential harm and can be either *proactive*, as it attempts to prevent these potential harms; or *reactive*, when it aims to respond to negative outcomes already manifested. Although references to public engagement were present in most of the national strategies analysed, the study reflects on the fact that public engagement is usually framed in abstract and vague terms, and more as an intention and possibly a rhetorical exercise of formulating ambitious goals and objectives, whilst in practice the perception remains that participation is a costly exercise that can hamper the efficiency and economic benefits that AI is expected to deliver (Wilson, 2022). Our search and case study analysis did confirm this point.

To move beyond simple participatory mechanisms that have been tried before it has been suggested to use an *ad hoc* framework for AI that has identified specific questions and approaches (Delgado et al 2021). First of all, participation should not focus only on the question of *how* AI should be used but keep open the question of *whether* AI should be deployed. Those who "own" the participatory AI project should open up the decisions about who participates and what questions are going to be asked to allow for the actors involved to go beyond the usual suspects. Finally, a good balance should be ensured to give participants the *opportunity*, the *confidence* and the *motivation* to take part on

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such an interesting and complex topic. Only one or two of these elements will not be enough.

Recent studies of participatory methods for the design of technology and digital products also present an interesting function for **participation as justice** (Sloane et al. 2020) where diverse stakeholders engage in more long-term partnerships based on tight relationships among them. Key elements in these instances of participation are the need for capacity building, the pursuit of design justice principles (Costanza-Chock, 2020), and the ambition to go beyond value-focused design to ensure that principles of justice and inclusivity of usually marginalised groups are actually included.

The delivery of the Scottish AI strategy should be based on these premises as these can support the ambition of the Scottish Government to become a world leader in the development and use of trustworthy, ethical and inclusive AI.

Key Findings and Recommendations

The following pages present the main findings that emerged from the desk research of case studies and best practice as well as the rapid literature review. All findings are presented according to the key lines of enquiry (KLoE), as identified in the original research proposal.

KLoE 1) Best practices of community participatory /engagement mechanisms

This line of enquiry focused on exploring the different elements that could make engagement **meaningful** for groups and citizens.

A key element of this KLoE identified was the **level of agency** ensured to participants within community participation and engagement mechanisms (e.g. what was the capacity of individuals and groups to advance proposals and to design bottom-up, community-led approaches to strategy delivery?).

Interesting learning on this line of enquiry emerged from the Montréal's case study (included in Appendix F) which developed a "**right to initiative**" law, which allowed a group of citizens to request the city of Montréal to conduct public consultations regarding a specific topic. Other case studies presented similar features and show how the scope and subject of engagement was "co-determined" by the participants: the *Citizens Assembly in Newham* (Case Study C07) demonstrating how topics are chosen by community, and the *Citizens' Inquiry into the Forensic Use of DNA and the National DNA Database* (C02). The

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latter example features the setup of an Advisory Panel which had the role to advise on structural changes and allowed the panel members to engage in agenda setting dialogues. The Panel had a power to vote on what they worked on and not just the final recommendations, meaning they had some say over the design of the participatory process itself. This element is not too dissimilar from the case of **Participation Requests** (Scottish Government. 2017), which are mechanisms for communities to actively initiate a public dialogue with local authorities about issues of concern that require institutional responses and practical action. As previous evaluation of similar mechanisms has shown (McMillan, Steiner, and O'Connor, 2020) these tools - when introduced - need to be transparent and well understood and need to be accompanied with proper measures to build people's capacity and confidence to use them. Another example of engagement mechanisms giving agency to participants is the Taiwan example (C04) of how a forum gave Indigenous participants legitimacy to transmit their values and challenge dominant narratives in a water co-management implementation.

When designing engagement mechanisms for a complex strategy delivery, **top-down and bottom-up approaches** to citizens participation should both be considered (Cherry et al, 2021). Top-down approaches will allow for government proposals to be formulated that are specific and delivery-ready and that can be subsequently evaluated and/or voted by citizens. Bottom-up approaches will draw on the advantages of collective intelligence, where citizens and civil society groups can bring different contributions and points of view to address common challenges or to present novel approaches. Adopting this mixed approach will be even more important on a topic like Artificial Intelligence (Berditchevskaia, Malliarak and Peach 2021) as this might require specialist and technical input at points. The bottom-up approach will ensure that reflections from lay people and groups will be also considered and will provide a contextual background through the lived experience of digitalisation and the use of AI, as well as downplaying emotional and personal responses to the issues presented.

An interesting example from an AI specific case study emerged from the 'Aurora AI' project based in Finland (C05). Despite a quite complex and articulated AI strategy design and delivery process, which involved several work-packages developed in partnership with an open network of more than 330 members from municipalities, provinces, civil society organisations and businesses, it appears that the approach taken was in the end relatively *technocratic*. As reported in the case study itself, the whole process was centred on what technical experts and designers required rather than enabling bottom-up / community-led approaches and community concerns and aspirations to be considered during the actual implementation and drafting of the proposals.

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To assess the meaningfulness of engagement we also focused on how engagement strategies and methods were used in the **input, process and output phases** of the delivery. This question linked with the following line of enquiry (see below) as we also learned about the main phases of engagement, both from the literature and from the case studies, and what has worked and what didn't to ensure long-term engagement. Continuous stakeholders' participation during the implementation of strategy was considered even more important than participation in the input phases and in the planning stage (Maia Gachechiladze-Bozhesku, 2012).

An interesting learning on how to ensure long-term engagement also emerges from recent attempts to build **standing citizens assemblies**. This is a new and promising approach that few governments and organisations are currently looking at. Democratic Society has the privilege to work on one of the few trail blazers that are happening in the UK, addressing the limits of Citizen Assemblies as *one-off events* (Democratic Society 2021b). A standing model for an Assembly has in fact multiple benefits: it furthers social connection among those who participate as more time is allowed for a relatively small and constant group of participants to get to know each other, sharing knowledge, building confidence; it narrows the gap between institutions and citizens, since council members in the Newham Assembly case-study are usually active part and are present in the room to hear from firsthand what locals need; it breaks the distinction (sometimes problematic) between the mini and *wider* publics, since it opens up opportunities for the wider community to input to the work of the Assembly; finally it requires the design of robust mechanisms for **feedback loops** and for the council to make visible and communicate changes they are making as a result of the engagement, for continued buy-in and engagement of the community. A standing model for citizens juries or advisory panels has also been suggested by the OECD report (2021)

Only two of the case studies we analysed shared methods or processes for ensuring that engagement mechanisms are equipped to **address possible divergent opinions** between different actors in the strategy delivery phase: C01 and C04. The Canadian forest management plan case study (C01) included a process for stakeholder negotiation beyond the planning phase that tried to introduce the idea of *cooperative actions built on the consensus* of the parties. In this regard, consensus was aimed at the development and adoption of criteria, indicators and methods that were going to be used to assess the process outcomes. Building criteria and a process through which divergent positions can be negotiated and decisions can be taken when controversies arise, would allow to address possible stumbling blocks and emergent controversial issues. An interesting framing of the question of consensus and conflict came from the Taiwan example (C04) where Indigenous protest against status-quo policies

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were not blocked or challenged but were seen as part of *policy shaping process* although through different means. In this instance therefore ensuring space for conflict and contestation were seen as key parts of the participatory process and not something to avoid. This was also allowed by incentivising the use of ***informal, claimed and contested spaces*** as places for participation to happen.

Accountability in a participatory approach to strategy delivery also entails that those involved in creating and holding the open space are able to ensure sustained engagement, deliver on promises, be transparent in how public money is being spent (see C08 Participatory Budget 'vignettes'), as well as being responsive to the ***community's evolving needs***. Researchers who have worked on the question of accountability also point towards the need for deliberative *authenticity, inclusiveness, and consequentiality* (Dryzek, 2009) that is not influenced through coercion; or issues of *integrity* (the being true to a co-created set of principles that hold the process into accountability) and *transparency* (of the methods used for selection of actors, of the setting of objectives and expectations, of the use of each actors' inputs, etc). The Canadian forest management case study (C01) gives an example of how mechanisms for community engagement and cooperation of stakeholders in follow-up actions put pressure on strategy implementers to be more accountable, leading to changes in development applications, development of new targets, and revised monitoring programmes.

Good promotion and ***continued communication*** of the engagement opportunities through a variety of channels to build effective vertical as well as horizontal communication channels within and across different sectors therefore emerges as a crucial design component for meaningful and long-term engagement and cooperation that is built on transparency. Clarity in messages and the need to use a mix of media and delivery methods to reach a variety of audiences has also been highlighted (Mazhar et al. 2017). This corresponds with other recommendations that emerged from the literature and that argue for communications to be considered key for community engagement. Interestingly, a case study report (Adshead, Boyle and Colgan, 2020) showed how ensuring good and continuous communication was time intensive and required a skill-set that might not always be available within the public administration involved. The need for dedicated and trained resources and personnel emerged from several case studies as key in building and maintaining relationships with citizens and civil society at large, and building effective partnerships to support strategy delivery. Quantity and *quality* of the time spent to build and maintain these personal relationships and networks proved to be directly linked to the quality and meaningfulness of engagement (Adshead, Boyle and Colgan, 2020).

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An interesting approach was taken by the 'Every Day Every One' initiative in London (C03) which aimed 'common-denominator' activities that could be appealing to any and all residents of the neighbourhoods and therefore adopted a *mainstreaming* approach to communication, as opposed to a *targeted* one. Channels identified were multiple (across digital and physical) and included: **shop fronts** designed to be visually engaging to entice passers-by with highly visible activities; newspapers, social media, flyers, posters and other materials were all used in combination; short films were also produced and disseminated with residents also contributing to the content generation part.

Several best practices collected in a guidebook from the OECD (2006) point to some key lessons about how to get started building **effective partnerships** for long-term collaboration to support strategy delivery, and what is important:

- Agree upon local parameters. Define the area of interest to partners – "territory and themes"
- Allow sufficient time to get started. Take time to assess strengths, weaknesses and opportunities, and take time to get to know one another.
- Establish a shared understanding of "achievement"
- Be diverse and inclusive: ensure involvement of a wide range of partners from different sectors public, private, voluntary and community – for breadth of interests, skills, resources, levels of knowledge. But be aware that with every partner actor comes bias, likely participation fatigue, and potential for mistrust.
- Pay ongoing attention to setting up and maintaining the health of the partnership, so that it can serve out its supporting functions to the best of its ability
- Equity should be a guiding principle, along with a "bottom-up" structure
- Political will and human and financial resources are also essential to success.

KLoE 2) Impact achieved and key Design components

Impact is a key area that is subject to increased scrutiny and evaluation across practice and theories of democratic innovation (Adshead et al 2020). Interestingly, impact is no longer only calculated in terms of traditional quantitative measurements, but innovative and more qualitative methodologies are increasingly used that are often participatory as well (OECD 2021).

For what concerns strategy delivery, **questions of accountability** tend to take the shape of the evaluation of the *ongoing* effectiveness of a public policy and the impact of its implementation. Citizen engagement in strategy delivery and/or

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the monitoring and evaluation of it also has the potential to strengthen government accountability on these issues. An interesting example of evaluation done in participatory ways (from data gathering to reporting, etc) can be found in the C01, which identified useful categories of ways to integrate community engagement and participation into strategy delivery: *Networking, Acceptance of roles and responsibilities, Commitment to follow-up, Transparency, Willingness to build consensus, Cooperation and continuity of information flows.*

Shifting the strategic focus from a strategy delivery approach to the creation of **long-term social value** has been the mission of the 'Every One Every Day' initiative (C03). This case study - based on two 300-plus page Year 1 and 2 evaluation reports spanning from 2017 to 2019 - details how community engagement mechanisms and participatory culture can form the backbone of a large-scale and ambitious neighbourhood development strategy.

This case study was also one of the few which shared how they identified at the onset the criteria for measuring engagement success: *feasibility, inclusivity, value creation, systemic integration, and adaptation* (see Participatory City Foundation 2019, for full details of outcomes, criteria, research questions and sub-questions, methods, and type of data collected (p210-211) and for a full overview of the comprehensive evaluation approach taken (p192-271)).

Evidence of long-term positive outcomes that exceeded the time of engagement were also collected and both the Year 1 and 2 reports featured stories of value creation based on evaluation with residents that demonstrate a broader value that will carry on into people's livelihoods. More than 15 stories of value creation arising from participation activities can be found in the Participatory City Foundation report (2019, p236-261).

Interestingly, instead of adopting a more classic monitoring and evaluation approach, the 'Every One Every Day' initiative developed a five year goal to deliver transformational change to the borough of Barking and Dagenham, and adopted a **design-led approach** which included a continuous cycle (or multiple ones) of learning, prototyping, testing and adapting; see Appendix E for related engagement phases. In doing so the project was able to simultaneously test its ability to enable and facilitate mass resident participation and also create a new and enduring role for public, philanthropic and private sector collaboration.

Key **design components** that can be drawn from the different case studies analysed would include the following:

Input:

- Having *communities choose topics of engagement* – rather than governments – which gives communities a sense of agency, willingness to 'lean in' to engaging in complex topics in a deeper way, and incentivises

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participation of more people, drawn by issues of local importance. Case studies C04 and C07 demonstrate this.

- Identification of design principles that are grounded in participatory culture approach: the Every One Every Day initiative identified 14 design principles "...for an inclusive participatory ecosystem ensure that people can self-direct their involvement based on they situation, their health, their available time, all of which are always changing." (Participatory City Foundation 2018, p159-160). This is a good practice to replicate; we further expand on principles for implementation later in this report.
- Enough time and planning should be invested into developing a detailed and varied communications strategy (communicating to people what is happening, the rational and motivations for that, and the options and support for them to be involved) using a variety of different media and ensuring diversity of engagement channels to inform those who would like to engage but also ensure communication with the wider public, that if kept informed might decide to engage later

Process

- The C02 case study used a visual tool to capture citizens' input *in their own words* to build mind maps. Ensuring more time and resources to incorporate audio-visual accounts from participants, rather than just written input, would be recommended.
- An interesting example was the set-up of Hubs of the Future from the German AI case study (C06) as a space to introduce a novel methodology (future scenarios and speculative design) that can prove particularly helpful to open up debates around the future use of Artificial Intelligence (see more in KIoE 3).
- Case study (C08) demonstrates the impact of ingraining Participatory Budgeting – a community engagement mechanism – into legal frameworks to mandate inclusive and participatory practice, foster a mindset of participation, and deliver outcomes directly linked to public involvement.
- The German AI case study (C06) also introduced an interesting design element through a Civic Innovation Platform (CIP) which functioned as an open market-place of ideas for socially minded technology design of artificial intelligence. The platform is funded through innovation funds but has a strong focus for these innovations to benefit the common good.

Output

- A proof of concept and a costed plan to continue delivering were interesting examples of output that were designed from the start in the 'Every One Every Day' initiative (C03). Long-term impact and the building of an enduring platform for participation in the borough was in this case

Key Findings and Recommendations

the ambition from the start. Interestingly the current estimate, the cost of maintaining the participatory systems would be approximately £1.4 - £1.6 million per year, and having completed the full evaluation of the prototype in 2022 the plan is to build the investment case for the platform through its proven ability to deliver a range of outcomes sought by potential funders, and costed savings to the public purse.

- The Canadian forest management case study (C01) also included a *follow-up engagement plan* from the onset, which was going to identify participatory mechanisms to assess the work done (around strategy delivery) in a collaborative manner.

The German AI case study (C06) took a broader understanding in their considerations about the wider impact of a national AI strategy, and considered the need to limit the energy and resources that AI systems need. They introduced the development of a **Sustainable AI brand** (through a participatory process), which outlines specific requirements and incentives to ensure more transparency of the energy and resource needs and better **ecological requirements** for the use of AI including the AI infrastructure. This idea was framed around key design principles of “*Sustainability by Design*” and “*Ethics by Design*”.

KLoE 3) Parity of participation and Inclusiveness

We have looked to the insights that emerged from our case studies to examine how inclusive participation mechanisms can be and how inclusiveness is defined and measured.

Beyond the usual understand for instance, Dryzek and other deliberative democracy scholars do introduce the idea that inclusiveness could be about the **inclusion of diverse discourses** and positions (rather than only focusing on identities, groups, etc): “*Inclusiveness refers to “the range of interests and discourses present in a political setting”. The representativeness of arguments ,and views brought to the forum by the selection of invited speakers should be considered as well.*” (Dryzek, 2010; Felicetti, Niemeyer, and Curato, 2016 p431).

Usually debates on inclusiveness of participatory processes are based on the principle of **representation**, which is the idea that different groups and actors in society should be involved if they have an interest in the process and the decisions that are made. In theory therefore, everyone with an interest in the decision is represented. In practice, however, problems often arise. First, it is not always clear or self-explanatory which groups should be involved and how to proactively do so in an inclusive manner. Secondly, even when participants are

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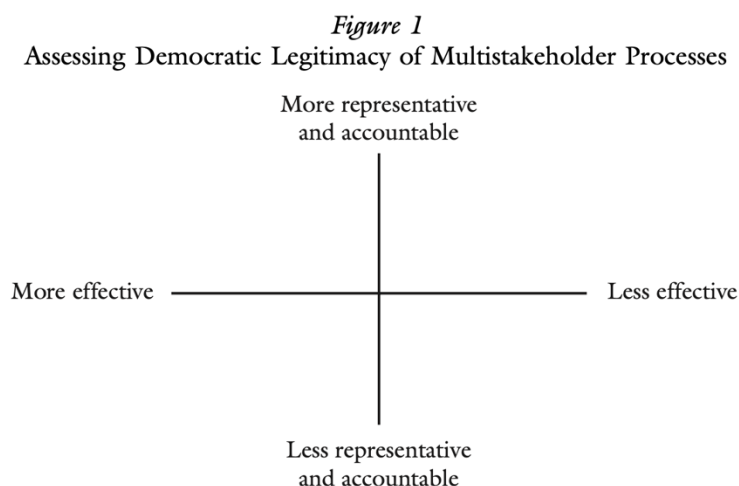
identified, it usually remains unclear how these representatives are selected, to what extent they represent the interests of a 'constituency', and where they derive their legitimacy from.

A big difference is whether actors' selection is determined by a *known interest* or by a personal / identity trait (e.g. being identified as a woman, etc), whereby there is no prior knowledge about the interest or the position held by that actor.

Transparency in the identification, selection and representation process is needed to make the process more accountable and the engagement process more successful. C08 gives an example of where "... conflation of gender, race, and disability-based discrimination with poverty and socioeconomic inequality..." was problematic in the framing of a Participatory Budgeting process (McNulty and No, 2021, p51).

An interesting approach was followed in C02 where **diversity** rather than demographic representation was openly chosen as an approach to follow for participants selection, focusing on bringing those most affected by the issues into the process. Young people and black and ethnic minority people were therefore overrepresented in the process, but this was by design reflecting their effort to support marginalised groups.

Interesting reflections come to the fore when discussing the possibly needed trade-offs between important and different values, like legitimacy and level of representativeness VS the need to ensure effective and impactful engagement (Bäckstrand, 2006):



- High representative, low effective: symbolic participation
- High representative, high effective: strong stakeholder democracy
- Low representative, low effective: symbolic and co-optive politics
- Low representative, high effective: effective stakeholder influence but not democratic

Fig 3. Assessing Democratic Legitimacy from Bäckstrand, 2006

Key Findings and Recommendations

Looking at the engagement process more holistically requires to take into account several components: (i) the drivers of different actors to join; (ii) the roles, responsibilities, influence, motivations, level of connectivity and scale of action of each of the actors involved; (iii) the obstacles to participation and incentives to sustain engagement for each actor and over time (Akhmouch and Clavreul, 2017). Based on the different **drivers and motivation to engage**, different actors will have different concerns and behaviours in terms of their interest to interact more or less with other actors.

Another interesting alternative to an approach focused on representativity is the **person-centred approach** that was taken through the Participation Ecosystem in the 'Every One Every Day' initiative (C03). Anyone was welcome to participate in projects and take on roles they felt comfortable with, and invited to engage in self-directed ways at a time, pace and level of commitment that best suited them and "...always guided by their own judgement of their readiness to develop further." (Participatory City Foundation 2018, p160). The ecosystem was therefore designed for *inclusive participation*, placing a high volume of low-bar entry, wide-ranging types of participation projects on people's doorsteps.

Sortition - or random selection - are of course other options (used in many case studies and usually preferred option for deliberative democracy methods), as demonstrated in C08. These are usually seen as effective ways to maximise diversity of opinion, since random selection is arguably ensuring greater inclusiveness and political equality given that it provides everyone with an equal chance of being selected (Fishkin, 2009), thereby mitigating **participation bias** and increasing the likelihood that participants are indeed a microcosm of the wider population. **Descriptive representation** - which is the numbers of diverse identities present in the room - should not be considered as the golden standard. More attention needs to be given to questions of **participatory authority** (Karpowitz et al., 2012), which aim to ensure that an equal opportunity to speak is coupled with an equal use of that opportunity (and, though hard to measure, an equal chance to influence).

The German AI case study (C06) introduced an interesting methodology (briefly mentioned above) the **Hubs for the Future**, which were initially designed to enable businesses and their employees to structure and shape the digital transformation, especially when it comes to AI. Similar future methods could play an important role in addressing one of the biggest issues of many participatory strategies which are normally tailored towards the present needs, sometimes at the cost of future generations (Thompson, 2010). Future methods could in fact help addressing the question of the participation of the future generations, through creative and alternative means. **Future scenarios** (Mazé,

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2019) are dramatised scenarios of the future that aim to facilitate strategic discussions in ways that detach people from immediate struggles and personalities, so that they can focus on the big picture of the future and shape the direction of travel. Through the use of critical and speculative design imaginaries, aimed at engaging the public into long-term conversations, scenarios then become a useful tool for futurising and future-proofing citizens' ideas and preferred solutions.

To address the urban-rural divide and ensure participation reaches out to those participants who live in more remote regions, bespoke participatory strategy needs to be developed. In the Taiwan case study (C04) citizen engagement was more effective when participants from remote areas were ensured proper funding to travel, when the engagement activities could not be held near them. Online engagement methods were not a silver bullet in this case, showing how important it is to consider how participants with varying accessibility needs distributed over a wide and remote geographic area might be included. In C04, funded engagement staff supported the provision of online forums, and supplemented this with engagement by phone. When these funded posts were removed, engagement with these newly-formed citizen networks decreased. The case also pointed to the need for diversity among the members of staff that are involved in engagement activities and delivery. Hiring and involving people from diverse communities to design and deliver the engagement strategy might be a way to ensure that inclusiveness is built-in from the start.

Among the main *barriers* to participation there is definitely the power imbalance and therefore properly designed participatory approaches should aim to do two things: allow actors to *exercise power* (in order to achieve outcomes and benefit from the process), as well as *prevent power abuses* from other powerful actors. One way to achieve this is to acknowledge and make power structures transparent and explicit (Mansbridge, 1996), for instance through participatory power mapping exercises. Another barrier is making the time, place and space of engagement convenient to people. C08 citizens' assembly participants said convenience was an important factor to guarantee their ongoing participation. The C03 case study gives an example of increased engagement because anyone can join in projects at a time, pace and level of commitment that best suits them.

An interesting model was used in the 'AuroraAI' case study (C05) which developed a bespoke and dedicated platform to engage the Suomi ethnic minority in Finland. The platform (www.Suomi.fi) was built as a user community (with approx. 130 users) who were invited to comment on the AuroraAI service model based on the model description and an extensive questionnaire.

Conclusion and Design Principles

This report presented the main findings from case studies and a rapid literature review around best practice of participatory and engagement mechanisms for strategy delivery. As illustrated in the first pages of the report, finding relevant case studies that had enough good evidence and information and were falling into the remit of the original brief (*participation in strategy delivery in AI*) was not an easy task and therefore additional cases have been included that presented elements of 'transferable' learning. In Appendix F we also offer 'Inspiring initiatives', emerging, early stage, and yet-to-be-evaluated implementation examples to consider as AI strategy delivery proceeds. We hope the analysis we provided does justice in covering the main findings and learning from some very rich case studies, that can inform the design of a full participation approach for the Scottish AI strategy delivery.

Instead of the usual summary of the main findings illustrated above, we would like to dedicate these final pages to put forward an approach to participation that starts from the collaborative identification of **design principles** that will inspire the process.

Two sources could be used as references in identifying and developing these design principles for a participatory AI strategy delivery: 1) the principles developed by the Design Justice Network: <https://designjustice.org/> and 2) the participatory design of AI initiative for humanitarian innovation (Berditchevskaia, Malliarak and Peach 2021).

The **Design Justice Network** interestingly presents values and an approach to designing participation and engagement that seems very well aligned to Scotland's AI delivery and to the Scottish engagement work more broadly. The Network is an international community of people and organisations who are committed to rethinking design processes so that they centre those who are too often marginalised *by design*. They work according to a set of principles that were generated and collaboratively edited by a mixed group of community practitioners, designers, tech developers and others. Design Justice Principles also have a clear focus on the design of technologies and the main aim is to *advance justice* by addressing the causes of inequality and removing the barriers for people to be involved. So for instance, whilst *good* participatory design might simply focus on generating empathy with those who will be affected by the policies that are designed, *design justice* is about listening and learning from the **lived experience** of those who are impacted by an issue. Whilst good design is about representing diversity, design justice approach will aim to allow those

Conclusion and Design Principles

involved to represent themselves, recognising the power that is exercised in representing the others.

Design justice principles will also put the participatory design in support of communities and initiatives that are already happening, recognising and supporting what is already in place.

Some of the Design Justice Principles that we would recommend to follow would include:

1. To use design to sustain and empower communities
2. To centre the voices of those who are directly impacted by the outcomes of the policy process
3. To prioritise the impact on the community over the intentions of the design
4. To view change as emergent from an accountable, accessible, and collaborative process, rather than as a point at the end of a process
5. To recognise that everyone is an expert based on their own lived experience, and that we all have unique and brilliant contributions to bring to a design process
6. To share the knowledge created through participatory means and share the tools used with local groups and communities
7. To work towards sustainable, community-led and controlled outcomes
8. To work towards non-exploitative solutions that reconnect us to the earth and to each other
9. Before seeking new design solutions, to look for what is already working at the community level

The ***participatory design of AI systems*** (Berditchevskaia, Malliarak and Peach 2021) is a nascent field of participatory AI that provides practical methods and principles for the involvement of a wider range of stakeholders in the *creation* of an AI system, model, tool or application. In this approach four potential levels of participation are identified that go from consultation til the point of advocating for a role for ***citizens as co-creators*** of AI, not in the sense of the use of *crowdworkers* for the testing and improvement of existing AI models, but in a truly participatory way that aims to improve outcomes for all those impacted by the decisions of the AI.

Interesting design principles that this approach put forward (and which are in line with human rights standards) are the following:

1. To design AI systems in context specific ways, that meet the needs of the affected populations
2. To prioritise AI systems and tools that more accurately cover a diverse range of contexts, including those typically ignored or underrepresented

Conclusion and Design Principles

3. To adopt a participatory approach for identifying benchmarks for evaluating AI systems and creating a collective understanding of what is meant by a *fair outcome* and *ethical AI*
4. To ensure that the communities affected by the use of an algorithm (or AI tool) are involved in setting the constraints and benchmarks to prevent harm and preserve their rights.

These lists are only meant to be an example and an inspiration for what the design principles for a participatory approach to the Scottish AI strategy delivery might include. Ideally the final principles will be co-designed by the multiple actors (including civil society and community groups) involved in the process.

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Appendix A: Keywords found in case studies ranked 3 stars or above (n=27)

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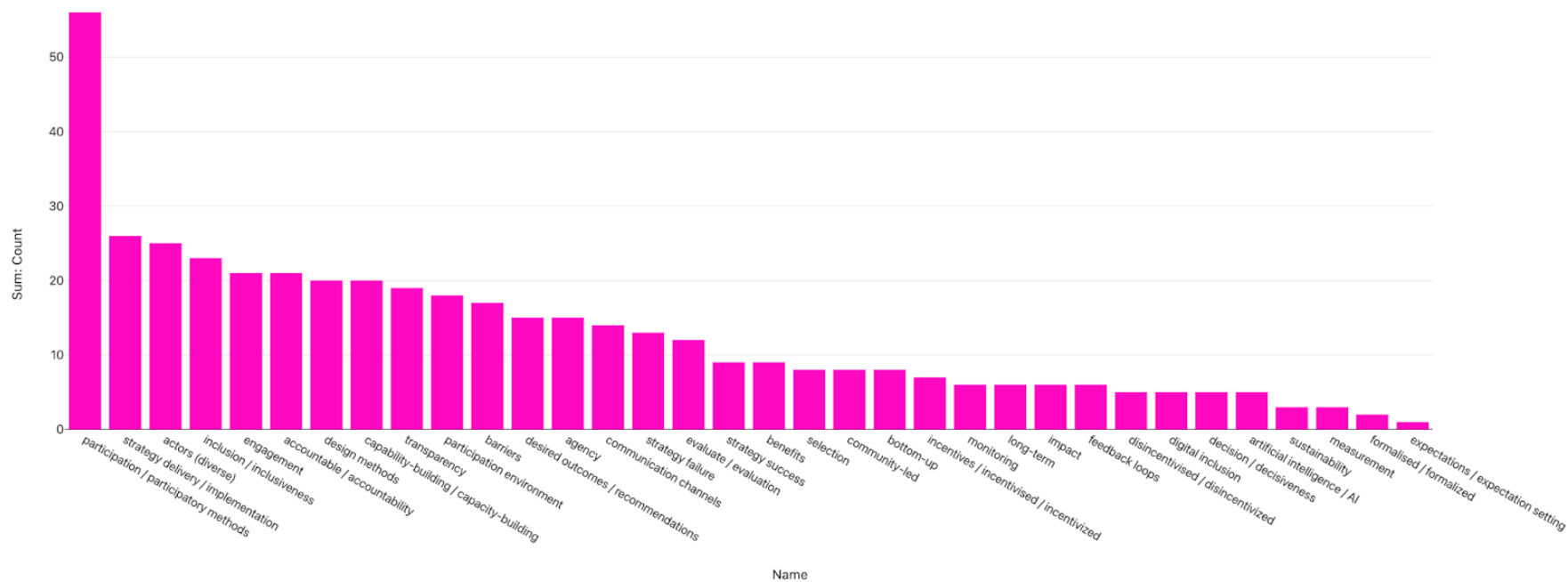


Fig 4. Keywords found in case studies ranked 3 stars or above (n=27)

Appendix B: Case studies featuring in this report

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Ref #	Title and author	Location	Policy areas	What it's about	Why it's useful to Scotland AI
C01	<p>Towards improving strategic environmental assessment follow-up through stakeholder participation: a case of the Pasquia-Porcupine Forest Management Plan, Saskatchewan, Canada</p> <p>(Maia Gachechiladze-Bozhesku. 2012)</p>	International: Canada	Environment Climate Democracy Agriculture; forestry	<p>How combined stakeholder participation methods were used to bring meaningful involvement to delivery and follow up of a strategic environmental assessment (SEA) for a 20-year Forest Management Plan (FMP) in Saskatchewan, Canada.</p> <p>This is a case study of strategy delivery success demonstrating how meaningful involvement is possible by combining diverse actors and stakeholder participation methods in an SEA, breaking down the benefits of participation on delivery outcomes and success.</p>	<ul style="list-style-type: none"> • Meaningful involvement amongst diverse actors: participatory 'practice window' for shared decision making. • Shows how continuous stakeholder participation during the implementation of strategy can be considered even more important than participation in the input and planning stages • Communication-related strategies for public involvement in implementation, designed as an open process with active participation and cooperation between diverse actors to bring about greater transparency, cooperation and credibility of strategic initiatives, and better outcomes for all. • Demonstrates the value of public involvement in follow up as a resource in its own right • Useful categories of ways to integrate community engagement and participation into strategy delivery (p1066)

Appendix B: Case studies featuring in this report

					<ul style="list-style-type: none"> • Ways to ensure ongoing, valuable stakeholder participation in implementation and post-implementation review
C02	<p>Citizens' Inquiry into the Forensic Use of DNA and the National DNA Database</p> <p>(Participedia, accessed Jan 2022)</p>	UK	Justice Digital & Democracy	<p>Citizens' panel process run by Vis-à-vis commissioned by the Human Genetic Commission (HGC) with a focus on creating greater public inclusion and convening a diverse range of voices and perspectives on the use of genetics for forensic purposes.</p>	<ul style="list-style-type: none"> • An example of participatory public engagement by a UK government advisory body on the strategic approach to a technical topic. • Example of a deliberative process in which citizens had some degree of choice and agency in determining how and where the sessions took place, as well as determining the format of some of the outputs – in this case creating an action plan with suggested organisations to be involved in future. • How they applied several common design components is worth noting. Their focus on championing diversity meant they decided not to display the count of votes, only whether or not recommendations had unanimous, majority or minority support. The Advisory Council took part in several feedback loops with the citizen panel in order to build upon

Appendix B: Case studies featuring in this report

					<p>their recommendations and increase their impact.</p> <ul style="list-style-type: none"> • Also worth noting is that the various working groups that implemented this process were disbanded shortly after the deliverables had been completed. Though the process is referred to in a follow-up report by the HGC, what became of the action points and recommendations citizens raised in the process is unclear.
C03	<p>Every One Every Day, Participatory City Foundation</p> <p>(Participatory City Foundation 2018 & 2019)</p>	UK	<p>Urban Growth and Land Use, Culture and Media, Education, Economy and Economics, Environment</p>	<p>Multi-year, multi-stakeholder programme operating in the London boroughs of Barking and Dagenham based on inclusive participation as a critical building block for sustainable urban neighbourhood development.</p> <p>Details how community engagement mechanisms and participatory culture have formed the backbone of a large-scale neighbourhood development, shifting strategic focus from</p>	<p>Whilst conducted in urban development context, this case study features comprehensive models and frameworks demonstrating ways of thinking, doing and acting in inclusive, participatory ways for long term sustainability of strategic implementation that are transferable to the Scotland AI context, specifically:</p> <ul style="list-style-type: none"> • The direct, collective and networked effects of participation on individual and collective agency to bring about desired outcomes in a complex implementation; • Considerations for platform design to embed and uphold

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				<p>service delivery to creation of ongoing, self-sustaining social value, leading to long term sustainability and meaningful and impactful implementation.</p>	<p>participatory culture throughout a programme's lifespan, and to ensure long term sustainability of the implementation approach;</p> <ul style="list-style-type: none"> • How to progressively scale up community engagement and inclusiveness in programme implementation through targeted events, communications and other forms of community outreach; • How measurement and evaluation has been designed into the implementation process – and where community engagement factors into this – to determine ongoing system integration and impact as the implementation progresses. • Considerations for capacity building to support ongoing community engagement in programme implementation;
C04	<p>Indigenous political participation in the deliberative systems: the long-term care service controversy in Taiwan</p>	<p>International: Taiwan</p>	<p>Healthcare</p>	<p>Indigenous communities' participation across the board – both in micro-deliberative panel processes with academics and healthcare providers, and across the macro-deliberative system in citizen-organised</p>	<ul style="list-style-type: none"> • A useful mix of academic design framing at the start of this case study, followed by an in-depth exploration of the local context and citizen participation processes which took place over the course of the past decade. • Learnings for the urban-rural divide, and what it takes to

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	(Mei-Fang Fan & Sheng-Chun Sung 2020)			grassroots spaces, protests and campaigns, and online forums.	engage disenfranchised and underserved communities. <ul style="list-style-type: none"> • Explores how micro-deliberative processes are part of a healthy democratic ecosystem and how they connect with wider society and community groups' activity, rather than being isolated or self-contained processes.
C05	AURORA AI - Finland (OECD.AI Policy Observatory, accessed Jan 2022)	International: Finland	AI / data + ethics	Finland's approach to AI strategy and implementation, the strategy for which was published in 2019 and which is now in the process of being delivered.	<ul style="list-style-type: none"> • Example of a government developing and implementing an AI strategy (currently in its third year as of 2022), based around a "human-centric approach". This involved several work packages which have been reported on as case-studies, some of which have involved user consultation and networks. • An example of some of the risks of adopting a technocratic or user-design focused approach, with little evidence provided of public involvement in strategy delivery so far.
C06	Artificial Intelligence Strategy of the German Federal Government - Germany	International: Germany	AI / data + ethics	The German Federal Govt published its AI Strategy in 2018, an update in 2020 and has developed a Civic Innovation Platform (CIP) as one part of these.	<ul style="list-style-type: none"> • Germany's 2018 AI strategy sets out participatory ambitions. As of 2022, the CIP appears to be the closest in terms of delivering on these strategic ambitions, however it is quite limited in its

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	(German Federal Government. 2020)				<p>participatory elements, essentially acting as a seed funding forum and portal for AI developers.</p> <ul style="list-style-type: none"> • Other reporting or follow-up on the citizen-facing/inclusive ambitions set out in the 2018 strategy is very sparse. This is therefore a useful case study in participatory ambitions for the national implementation of an AI strategy appearing not to have been met, or not publicly documented.
C07	<p>Citizens' Assembly in Newham</p> <p>(Democratic Society 2021a, 2021b, 2021c)</p>	UK	Environment, Government Reform	<p>In 2021 a first Citizens' Assembly was designed and run in Newham, London by Demsoc and partners Involve, Sortition Foundation, and the Borough of Newham. The goal of the Assembly was to increase the role of residents in decision making, asking them to address two questions on the theme of 'Greening the Borough':</p> <ul style="list-style-type: none"> • How can we work together to make our parks and 	<p>This is a new approach that few others are taking. To adopt this kind of approach to embedding community engagement mechanisms as a permanent institution would stand Scotland at the cutting edge of democratic, participatory and deliberative process. Relevant highlights:</p> <ul style="list-style-type: none"> • Importance of inclusiveness and environment. Setting up a welcoming environment suited to different types of engagement and meaningful involvement • Social connection: locals getting to know each other, sharing

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				<p>green spaces even better for residents and visitors?</p> <ul style="list-style-type: none"> • How do we ensure that everyone has access to quality green spaces? 	<p>knowledge, building confidence, and having a say in the design of their neighbourhoods</p> <ul style="list-style-type: none"> • Empowerment through learning and voice; public participants reporting a sense of democracy in action; locals having a direct connection to council and decision makers present in the room who can make change happen • Opening up opportunities for the wider community to input to the work of the Assembly = more well-rounded, inclusive engagement in existing borough activities on these themes • Building capacity in the council to continue delivering community engagement mechanisms (i.e. citizens' assemblies in this context) for the future • Importance of impact: the need for feedback loops and for the council to make visible and communicate changes they are making as a result of the engagement, for continued buy-in and engagement of the community
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C08	<p>Participatory Budgeting vignettes</p> <p>(Democratic Society 2021e; McNulty and No 2021)</p>	<p>International: Belgium France Spain Poland Colombia Ecuador Kenya Ukraine; UK</p>	<p>Government Reform</p>	<p>“Vignette”-style case study about Participatory Budgeting (PB) based on two sources. Participatory Budgeting is a deliberative approach that enables participants to go deeper in considering choices than using proposal submissions, idea generation or voting alone. Features evidenced examples of how to make PB more ingrained in government ways of doing things and shares participation strategies from international case studies how national laws are being used to institutionalise PB to make it more sustainable for the long-term.</p>	<p>It is assumed that the Scottish Government is already aware of PB activities occurring in the country. This includes the many examples of digital PB in Scotland too. However few examples worldwide are deliberative, and progress is often not well sustained. We have included these examples in the report to offer a well rounded picture of PB as a community engagement mechanism for report readers. Highlights we believe are useful and adaptable to the Scotland AI context:</p> <ul style="list-style-type: none"> • Impact of ingraining community engagement mechanism (e.g. PB) in legal frameworks to foster a culture and mindset of participation; • Ways to ingrain participatory process into strategy delivery in a sustainable way; • Participation strategies drawn from international examples featuring practical examples of engagement mechanisms: ways to build capacity, environment design, design events, small group discussions, world cafe,

Appendix B: Case studies featuring in this report

					<p>hybrid modes, co-building workshops, digital tools for voting, measurement and evaluation mechanisms;</p> <ul style="list-style-type: none"> • Characteristics of a Steering Committee, who can also ensure inclusive representation; • Examples of PB being used in the wrong way: to access donor funds rather than because it's the right tool; problems with non-inclusive, biased framing of the PB process from the start.
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Table 4. Case studies featuring in this report (n=8)

Appendix C: Research data screenshots

Appendix C: Research data screenshots

Case study table

	Name	Relevance	Case ...	About	Delivery phase	Geographical spread	Policy areas
INCLUDING IN REPORT Count 11							
1	Towards improving strategic environmental assessment follow-up ...	★★★★★	C01	Particularly good article for our research question. Lays out clearly t...	Implementation c...	International Canada	Environment Climate Democracy
2	Citizens' Inquiry into the Forensic Use of DNA and the National DNA Database	★★★★★	C02	KG notes: there are two refs with this title. This is the 2019 Participedia ca...	Implementation c...	UK	Justice Digital & Democracy
3	Every One Every Day (Year 1 + 2 reports). Made to Measure + Tools to ...	★★★★★	C03	Year 1 + 2 report on Every One Every Day initiative....	Mid-late stage im...	UK	Urban Growth and Land... Culture and Media
4	Indigenous political participation in the deliberative systems: the long-term ca...	★★★★★	C04	Interesting framing in this article where Indigenous protest against ...	Mid-late stage im...	International Taiwan	Healthcare
5	AURORA AI - Finland	★★★★★	C05	"The short-term adoption and long-term path for Aurora AI have been ...	Mid-late stage im...	International Finland	AI / data + ethics
	Artificial Intelligence Strategy of the German Federal Government - Germany	★★★★★	C06	https://knowledge4policy.ec.europa.eu/ai-watch/germany-ai-strategy-...	Early stage imple...	Germany International	AI / data + ethics
7	Citizens' Assembly in Newham	★★★★★	C07	In 2021 a first Citizens' Assembly was designed and run in Newham, Londo...	Early stage imple...	UK	Environment Government Reform
8	Participatory Budgeting vignettes	★★★★★	C08	This is a series of mini case studies about Participatory Budgeting (PB) ...	Implementation c...	International UK Belgium France	Government Reform

Fig 5. Case study table (excerpt from Airtable)

Appendix C: Research data screenshots

Case study table fields:

- Relevance: relevance to KLoE ranked out of 5 stars.
- About: what it is and why it's useful
- Delivery phases: distribution of case studies by different stages of implementation e.g. early stage, complete.
- Geo spread: UK, international or not specified.
- Policy areas: policy context.
- Modes / methods indicate type of participation.
- Insights: extracts from the case study linked table.
- Link: link to case study source
- Database / Sources: where the case study was found
- Micro Topic: relevance to KLoE* (see below)
- Meta Topic: relevance to KLoE* (see below)
- Keywords: relevant keywords

Micro & Meta Topics

Meta Topics are parents of Micro Topics. Both are linked to the overarching KLoE within which they belong. Example (see screenshots below):

KLoE 1: Best practices related to community participation / engagement mechanisms.

Meta Topic: Meaningfulness of engagement

Micro Topic: Meaningfulness: level of agency ensured to participants

Appendix C: Research data screenshots

Scotland AI Case Study Research			
Meta Topics			
Name	Micro Topics	Key Lines of Enquiry (KLoE)	Case Studies (from Insights) (fro...)
KEY LINES OF ENQUIRY (KLoE) Count 2			
KLoE1: Best practice			
1	Meaningfulness of engagement Meaningfulness: level of agency ensured to participants Meaningfulness: how engagement used in input + output phases of strategy delivery	KLoE1: Best practices related to com	Montréal Fossil Fuel Public Consultation Citizens' Inquiry into the Forensic Use of I
2	Sustainability of engagement over time Sustainability: learnings from main phases Sustainability: mechanisms to incent/disincent engagement Sustainability: impactful design features and methods	KLoE1: Best practices related to com	Citizens' Inquiry into the Forensic Use of I Montréal Fossil Fuel Public Consultation
KEY LINES OF ENQUIRY (KLoE) Count 2			
KLoE2: Impact achie			
3	Impact Impact: expectation setting, role of participants Impact: defining + measuring success of engagement Impact: strategy delivery informed by public input; proof of good engagement	KLoE2: Impact achieved and key Des	Citizens' Inquiry into the Forensic Use of I Citizens' Inquiry into the Forensic Use of I
4	Key Design features Key Design features: main phases of engagement commonly used; which successful Key Design features: community participatory / engagement mechanisms adopted; what worked, failed	KLoE2: Impact achieved and key Des	Citizens' Inquiry into the Forensic Use of I Citizens' Inquiry into the Forensic Use of I
KEY LINES OF ENQUIRY (KLoE) Count 2			
KLoE3: Parity of parti			
5	Inclusiveness Inclusiveness: critical actors involved, selection criteria, representative level Inclusiveness: underrepresented groups; lower digital literacy Inclusiveness: barriers to participation	KLoE3: Parity of participation and In	Advisory Council for the Poverty Reductio Citizens' Inquiry into the Forensic Use of I
6	Emancipatory potential of participation mechanisms Emancipatory: tackles systemic barriers to participation Emancipatory: evidence of reported long-term positive outcomes: trust, participation, civic skills, strengthening civil societ	KLoE3: Parity of participation and In	Advisory Council for the Poverty Reductio Indigenous political participation in the de

Fig 6. Meta topics table with linked Case Studies (Airtable)

Appendix D: Research data summaries

Policy areas	Case studies
Agriculture; forestry	C01
AI / data + ethics	C05, C06
Climate Democracy	C01
Culture and Media	C03
Digital & Democracy	C02
Economy and economics	C03,
Education	C03
Energy	C09
Environment	C01, C03, C07
Government Reform (e.g. legal and participatory frameworks)	C07, C08
Healthcare	C04
Justice	C02
Urban Growth and Land Use	C03

Table 5. Policy areas of case studies in this report

Appendix E - engagement phases identified in the 'Every One Every Day' initiative

Three phases of engagement are identified in this case study across the two reports. Activities and their objectives / outcomes are listed below.

PHASE: Introduction

- Launch festival with 40 inspiration events across the borough to introduce participatory culture activities
- Open invitation to people from in and around the borough to visit and see the draft platform and ecosystem in action
- Door dropping 15,000 newspapers to borough residents to advise them about the initiative and invite their participation.
- A Discovery Day showcasing the initiative to people from in and around the borough

PHASE: Growing projects

- A large network of projects were co-designed with local residents and staff, resulting in a Spring Programme and related communications.
- 40 project models developed comprising 100+ events across the borough
- Three Discovery Days for external organisations to learn about the initiative, with the goal of engaging their support
- Further door-dropping of over 20,000 newspapers to advise of initiative progress and invite their participation.

PHASE: Growing networks

- Expanding and deepening networks to new residents and participants through increased programme communications and larger local festivals.
- Series of events, workshops and drop ins for council staff to find out more about the initiative.

Appendix F: Inspiring initiatives

Emerging, early stage, or yet-to-be-evaluated implementations to watch, with values, principles and approaches that seem well aligned to Scotland's AI strategy delivery considerations.

<p>Nesta - Participatory AI for humanitarian innovation: a briefing paper https://www.nesta.org.uk/report/participatory-ai-humanitarian-innovation-briefing-paper/?ref=refind</p>	<p>Exploring the use of participatory design of AI in an international development and humanitarian setting, with several case studies and useful design prompt questions, e.g. on p.25.</p>
<p>Civic Square https://civicsquare.cc/2020/03/09/civic-square-2020-2030/</p>	<p>Another emerging Participatory Ecosystem-style initiative with similarities to the <i>Every One Every Day</i> case study (C03). See Section 3: Creative + Participatory Ecosystem.</p>
<p>The Wigan Deal https://www.centreforpublicimpact.org/case-study/the-wigan-deal</p>	<p>Example of the "Deal in Action" which brings residents and council workers together for two-way conversations on what they want their borough to look like in 2030, and progresses strategy development (and it is assumed, delivery) based on this. Public feedback on the approach has been generally good, however some see transfer of responsibility to citizens as a cost-cutting measure.</p>
<p>England's Community Right to Challenge https://www.centreforpublicimpact.org/case-study/englands-community-right-challenge</p>	<p>Example of citizen "Right to Challenge" - a policy intended to give citizens more influence in shaping their services - not working as planned due to low uptake, which in turn undermined the ability of the policy to meet its intended outcomes.</p>
<p>Infrastructure Victoria: Victoria's 30-Year Infrastructure Strategy Initial strategy and case study (2016): https://participedia.net/case/4561 Citizen jury and recommendations: https://newdemocracy.com.au/wp-</p>	<p>Comprehensive example of deep and wide community engagement to shape a state-wide implementation strategy for the next 30 years. Describes how a citizen jury approach was used to give citizens an opportunity to engage more deeply with complex materials, rather than just give opinions.</p>

Appendix F: Inspiring initiatives

<p>content/uploads/2016/02/docs_activeprojects_Infr aVictoria Citizen Jury Briefing web version.pdf Invitation for further community feedback: https://engage.vic.gov.au/victorias-30-year-infrastructure-strategy Website: https://www.infrastructurevictoria.com.au/project/30-year-strategy/</p>	<p>We recommend looking out for this report for potential evidence of further community engagement in long-term strategy implementation.</p>
<p>Montréal Fossil Fuel Public Consultation Case study: https://participedia.net/case/4773 Website: Sustainable Montréal 2016-2020</p>	<p>Example of citizens invoking a “right to initiative” law to conduct public consultations on a topic of location importance.</p> <p>Examples of citizens claiming space for strategy development and making demands that extend into strategy delivery by the government e.g. helping citizens renovate their buildings to support energy efficiency and educating on behaviours to reduce energy consumption.</p> <p>We recommend requesting the 2015-2020 Climate Change Adaptation report from the Montréal government for potential evidence of further community engagement in implementation (we requested this but received no reply).</p>

Table 6. Inspiring initiatives for further observation