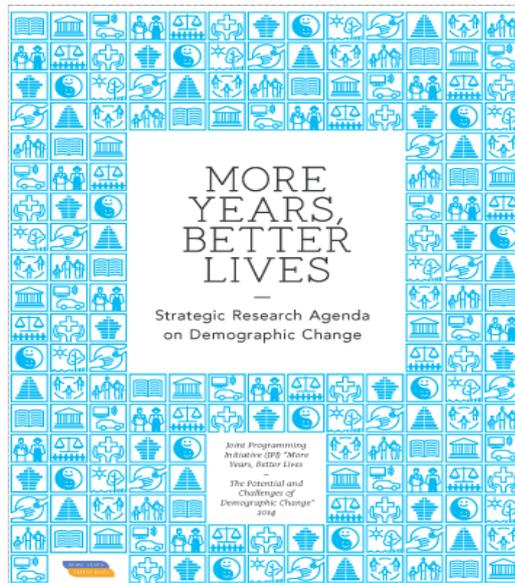




## Public Engagement Innovations for Horizon 2020

# Joint Programming Initiative (JPI) More Years, Better Lives (MYBL)



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# The PE2020 Project

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## The PE2020 project

PE2020 will identify, analyse and refine innovative public engagement (PE) tools and instruments for dynamic governance in the field of Science in Society (SiS). PE2020 analyses the PE tools and instruments through a systemic and contextual perspective, and contributes to the potential and transferability of new governance innovations. PE2020 will create new knowledge of the status quo and trends in the field of public engagement in science, refine innovative PE tools and instruments and propose new ones.

The project will do this by (1) further developing a conceptual model that provides a systemic perspective of the dynamics of public and stakeholder engagement; (2) creating an updated inventory of current and prospective European PE innovations; (3) context-tailoring and piloting best practice PE processes related to the grand challenges of the Horizon 2020 and (4) developing an accessible net-based PE design toolkit that helps identify, evaluate and successfully transfer innovative PE practices among European countries.

New tools and instruments for public and societal engagement are necessary to boost the quality, capacity and legitimacy of European STI governance and to solve the looming problems related to the grand societal challenges of the Horizon 2020. In order to ensure practical relevance, the project will work through intensive co-operation between researchers and science policy actors. PE2020 will expand the capacity of European and national science policy actors to integrate better societal engagement by providing an easy access to new PE tools and instruments, to be included in the requirements and implementation of research in Horizon 2020 and beyond.

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## Abbreviations:

JPI	Joint Programming Initiative
MYBL	More Years, Better Lives
SOAB	The Societal Advisory Board
SIP	Societal interaction plan
SwafS	Science with and for Society
SRA	Strategic Research Agenda
PE	Public engagement
STI	Science, Technology and Innovation



## 1. Introduction

The Joint Programming Initiative (JPI) More Years, Better Lives (MYBL) was chosen as a pilot initiative for the PE2020 project in order to pilot the idea of societal impacts and stakeholder involvement in the research grants awarded by the JPI MYBL programming initiative on European and global demographic change. Joint programming is a new approach to increase collaboration and coordination in research and development in Europe. The JPI MYBL programming initiative is focussed on demographic change which is one of the determining megatrends all over the world and is having an exceptional impact on Europe, for example in rising life expectancy and falling birth rates, resulting in an ageing society which in turn creates strains on existing welfare systems (e.g. pensions, health care, the labour market, and education). The conceptual aim of the programming initiative is to explore and enhance the understanding of societal impacts and stakeholder involvement in studies on the science and the society. More description of JPI MYBL programming initiative is provided in section 2.3.1.

The Societal Advisory Board (SOAB) of the JPI MYBL programming initiative has its secretariat at the Finnish Institute for Health and Wellbeing (Terveyden ja hyvinvoinnin laitos, THL). The SOAB has a vital role in developing new ideas for the programme and the development of Strategic Research Agenda (SRA). SOAB plays a key role in stakeholder engagement strategy of JPI MYBL programming initiative and supports it in building national stakeholder involvement. Meetings with the Finnish PE2020 consortium team and the JPI MYBL programming initiative SOAB secretariat were held approximately every second month starting in December 2014.

The pilot initiative can be divided into two phases. In the first phase, which this report is about, the aim was to discuss with the JPI MYBL programming initiative organisation the importance of a societal interaction and stakeholder involvement in the upcoming JPI MYBL programming initiative research calls and the initiative of the SOAB to the General Assembly of JPI MYBL to include more explicit information on societal impact and stakeholder involvement in call texts. Concrete pilot initiative tasks in this phase were: 1) to hold the initial meetings and to find mutual understanding; 2) to attend networking events and meetings and 3) to have a clause or clauses concerning societal impacts and stakeholder involvement in future JPI MYBL calls for research proposals.

In the second phase, the aim is to analyse how the societal interaction and stakeholder involvement appears in the research proposals. The pilot project within PE2020 which specifically analyses the content of applications under the 1<sup>st</sup> JPI MYBL call aimed to describe public engagement elements in the first-round applications. This pilot initiative report concerns the first phase and the second phase will be reported on later in 2016.

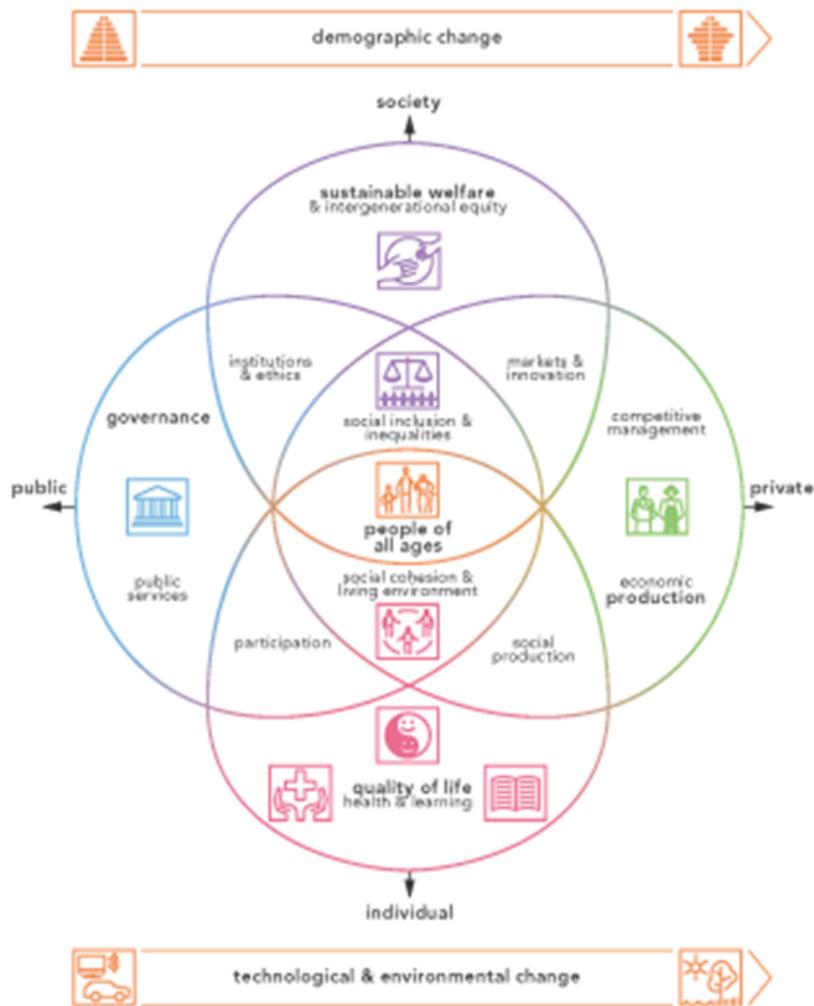


Figure 1. The four research domains of the JPI MYBL. (Source: Joint Programming Initiative More Years, Better Lives 2014.)

## 2. Methods

### 2.1. Objectives of the pilot initiative

The ultimate goal of the pilot initiative is to improve the quality and impact of research by increasing awareness of public engagement and societal interaction in research actions from planning to evaluation. Among the key issues of the pilot is the need to raise knowledge about and acceptance of public engagement as well as to create a process and path to how public engagement can be implanted into international research funding.

The first order objective of the pilot initiative is to study whether it is possible to create a process that can produce innovative public engagement objectives into the international research process. Secondly, the objective is to support and improve the quality and effectiveness of the research. The pilot initiative seeks the possibility of supporting and strengthening the use of public engagement (PE) criteria in decisions on research grants and to enhance the collaboration between actors in Europe-wide citizen organisations and the national funders of the JPI.

A concrete aim of the pilot initiative is to help the JPI MYBL programming initiative and SOAB to evaluate and assess the societal interaction and public engagement in future applications. Moreover, it is interesting to see the public engagement methods researchers themselves suggest in their proposals. The analysis of these applications will be reported on later in 2016. The pilot initiative will engage stakeholders and the public in the development of a SIP for MYBL and other JPIs in the future.

The conceptual aim of the initiative of the SOAB to the General Assembly of JPI MYBL is to include societal impact and stakeholder involvement in call texts, to enhance the understanding of public engagement in general, and societal interaction and stakeholder involvement in particular in studies on the relationship between society and science.

### 2.2. Method of the pilot initiative

The project part of PE2020 which is analysing the SOAB of the JPI MYBL as one selected practice of public engagement covers a wide spectrum of public engagement activities, which can be grouped according to two main factors. First, engagement activities can be categorised according to the timing of public engagement in relation to the phase of the RDI process: engagement may be upstream, midstream, or downstream. Second, engagement may be initiated from the bottom-up or top-down. Alternatively, it may be a mix of these and be deliberative characterised by a dialogue between the actors. (See e.g. Mačiukaitė-Žvinienė et al. 2014, Escobar 2014, Rogers-Hayden & Pidgeon 2007).

Upstream engagement refers to dialogue and deliberation amongst affected parties about a potentially controversial technological issue at an early stage of the research and development process and in advance of significant applications or social controversy. Downstream engagement occurs late in the research and development process (Rogers-Hayden & Pidgeon 2007, 346) and focuses on how RDI impacts society.

The JPI MYBL programming initiative in the engagement frame can be seen as midstream by its timing: co-creation and visions of research priorities from a public engagement view in collaboration with societal actors (researchers and organisations representing civil society) in an upstream manner within the more downstream character of an EC-encouraged JPI and formal national funding agencies.

The initiator of engagement can be seen as deliberative, which aspires a mutual understanding of stakeholder, funder and researcher needs and viewpoints; utilises invited spaces for participation (top-down) instead of being spontaneous participation. Theoretical data for work with this pilot initiative come mainly from the conceptual framework for the WP3 of the PE2020. The main method of analysis is qualitative content analysis.

## **2.3. Context of the pilot initiative**

### **2.3.1. The partner**

The JPI MYBL programming initiative has its secretariat at the Finnish Institute for Health and Wellbeing (THL). Meetings with the PE2020 consortium's University of Helsinki team and the Finnish secretariat of the JPI MYBL programming initiative were organised approximately every second month starting in December 2014 and continuing during 2015 – 2016.

JPIs are a new approach to fostering collaboration and coordination in R&D in Europe. It is an EU member-state-driven activity aimed at pooling national research efforts in order to make better use of Europe's precious public R&D resources, and to tackle common European challenges more effectively in a few key areas. The JPI MYBL programming initiative aims to enhance coordination and collaboration between European and national research programmes related to demographic change. Areas affected by demographic change cover a wide range of research fields and policy topics ranging from health to social welfare, education and learning, work and productivity to housing, urban and rural development and mobility<sup>1</sup>.

The JPI MYBL programming initiative therefore follows a transnational, multi-disciplinary approach bringing together different research programmes and researchers from various disciplines in order to provide solutions for the upcoming challenges and to make use of the potential of societal change in Europe. The Joint Programming Initiative is a collaborative project between participating countries, not a European funding programme. Implementation will therefore depend on the willingness of national governments and funding agencies to take part. Currently, 17 countries are participating in the JPI MYBL programming initiative. The programme is a relatively new one with the first call for applications for funding that ended in June 2015; it was concerned with the working life of older people. The PE2020 project's pilot initiative, JPI MYBL programming initiative

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<sup>1</sup> These 11 research topics are: quality of life, wellbeing and health, learning for later life, social and economic production, participation, ageing and place, new labour market, integrating policy, inclusion and equity, welfare models, technology for living and research infrastructure.

is focussed on the development, evaluation and implementation of societal impacts and stakeholder involvement for research grants awarded by the JPI MYBL<sup>2</sup> programming initiative.

The Societal Advisory Board, SOAB, is an element of the governance structure of the JPI MYBL programming initiative. It played a vital role in the development of the JPI MYBL programming initiative Strategic Research Agenda (SRA) which is now the basis for joint activities that focus on implementation. The task of SOAB is to bring “societal pull” to the research agenda by evaluating joint activities in each phase of their development, implementation and evaluation against societal needs. This type of collaboration between scientists and a broad spectrum of stakeholders is essential to further develop the SRA so that it can provide knowledge-based solutions for European development. The JPI MYBL SOAB’s interest group work is important and they have successfully developed this work. They have a natural interest towards new ideas and interaction with potential cooperation partners. A special challenge for the SOAB is how its members are able to increase awareness of public engagement via their central organisations.

The SOAB also plays a key role in the general public engagement strategy of the JPI MYBL programming initiative and supports the JPI in building up national stakeholder involvement through its networks. The SOAB collaborates with Science with and for Society (SwafS) and Responsible Research and Innovation (RRI) to promote public engagement and stakeholder inclusion in all stages of the research cycle. The SOAB also co-operates with Public Engagement for Innovation in Horizon2020 (PE2020) project. The SOAB consists of 14 organisations<sup>3</sup> and of an independent policy adviser.

### 2.3.2. Preparation and planning

During the preparation phase, PE2020 proposed the consulting role and the interest of SOAB in strengthening the role of stakeholders and citizens in joint activities and call formulations. The second stage and the conceptual aim of the initiative were to explore and enhance the understanding of societal impacts and stakeholder involvement in studies on the relationship between society and science. The most important empirical data for this pilot initiative are the elements dealing with societal impacts and stakeholder involvement in the applications of research funding within the JPI MYBL programming initiative. Among other important empirical data for the pilot initiative are the documents of the JPI MYBL programming initiative.

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<sup>2</sup> Austria, Belgium, Canada, Denmark, Finland, France, Germany, Israel, Italy, Netherlands, Norway, Poland, Slovenia, Spain, Sweden, Switzerland and United Kingdom.

<sup>3</sup> Age Platform Europe, Chair of SOAB, Heidrun Mollenkopf, Vice-President; European Regions Research and Innovation Network ERRIN, Vice-Chair of SOAB, Richard Tuffs, Director; Design for All Foundations, Francesc Aragall, President; Council of European Municipalities and Regions, Frédéric Vallier, Secretary General; the Confederation of Family Organisations in the European Union (COFACE), Annemie Drieskens, President; Eurocarers, Hanneli Döhner, Vice President; European Association for the Education of Adults, Gina Ebner, Secretary General; European Network for Accessible Tourism, Annagrazia Laura, President; European Social Network, Dorothea Baltruks, Policy Officer; European Trade Union Confederation ETUC, Montserrat Mir, Confederal Secretary; European Hospital and Health Care Federation HOPE, Pascal Garel, Chief Executive; Hospitality Europe, Carlo Galasso, Secretary General; Insurance Europe, Esko Kivisaari, Deputy Managing Director, Federation of Finnish Financial Services; International Society for Gerontechnology, Alexander Peine, Executive Board Member; Dr Alexandre Sidorenko, Independent Policy Adviser; National Institute for Health and Welfare THL, SOAB secretariat, Professor Richard Pieper.

The most tangible of these documents are the calls for applications for research grants. Other documents include the vision and the strategy of the JPI MYBL. Benchmarking data are the steering documents for other research funds. The activities of this pilot initiative included a JPI Seminar in Brussels with representations from all the JPIs and officials from the Commission (June 2015); contacts with officials from the Directorate General (DG) for Research and Innovation at the EC and the JPI MYBL programming initiative, and a number of other JPIs on the development of a societal impact and stakeholder involvement template (June-September 2015); engaging stakeholders in Public-Public-Partnerships (January 2016) and planning to evaluate societal impacts and stakeholder involvement plans in JPI MYBL programming initiative research applications.

During the final stage, the task will be to analyse JPI MYBL programming initiative research proposals' societal impacts and stakeholder involvement and attendances at public engagement sessions. This report is focussed on stages one to three. The more specific idea in call texts on initiative of the SOAB came out of one of the meetings in 2014. The SOAB itself is already part of the JPI MYBL programming initiative, societal interaction and stakeholder involvement on the level of JPI governance, and was involved in the development of calls.

## **2.4. Realisation of the project**

### **2.4.1. Early meetings and finding mutual understanding**

PE2020 contacted the SOAB secretariat in Finland, Richard Pieper and Mira Koivusilta. Consensus concerning the main aim of the pilot initiative was quickly received in the early meetings. To have a statement of public engagement included in the call text, JPI MYBL had to receive an approval from the JPI MYBL programming initiative General Assembly. PE2020 expressed interest in analysing and evaluating the SOAB of JPI MYBL in the research over the next two years in addition to including it in their overview of best practices in EC research programmes. Their preliminary assessment is that the SOAB of the JPI MYBL is considered to be an especially interesting case of public engagement on the level of EU research and stakeholders (cf. other initiatives focusing particularly on citizen and stakeholder involvement at the research project level). The SOAB represents a broad scope of stakeholder interests and has demonstrated active involvement in JPI MYBL activities including the development of the Strategic Research Agenda (SRA).

The Finnish SOAB Secretariat from THL and a representative from the University of Helsinki PE2020-team attended an information event on 16 March 2015, organised by the Finnish national agency for this JPI, the Academy of Finland. The event explained the application routines in general and the expected elements of PE in the applications in particular for scholars from Finnish universities and research institutes which are interested in the research agenda of this JPI. The PE criteria for this MYBL call share some similar characteristics with the Strategic Research Council's Funding under the Academy of Finland.

There was agreement for the PE2020 to have a look at the dimensions of public engagement in the applications in a research call that the JPI MYBL programming initiative that opened in spring, 2015 and were decided on in autumn 2015.

#### **2.4.2. Networking events and meetings**

The JPI MYBL programming initiative organised a planning and implementing seminar to which PE2020 was invited. The overall aim of the workshop was to discuss the research challenges that could benefit wide public engagement in RDI (research, development and innovation) as a research strategy and methodology. Richard Pieper from the secretariat of the JPI MYBL programming initiatives' SOAB and representatives from two other Finnish pilot initiatives of the PE2020 study gave a presentation on their views on public engagement in a context tailoring workshop on research strategy and methodology of public engagement held at Aalto University in Helsinki, Finland on 9 April 2015.

The JPI MYBL programming initiative arranged a JPI Stakeholder engagement workshop that was held on 2 June 2015 at the premises of the EC DG for Research and Innovation in Brussels. The seminar gathered representatives from various JPIs related to topics such as neurogenetics, marine biology, climate and demographic change just to name a few, both from the secretariats and management boards as well as stakeholder advisory boards. The seminar was chaired by Anne-Sophie Parent from AGE Platform Europe, a European network for organisations representing the 50+ population of Europe, and Angelika Poth-Mögele from the Council for European Municipalities and Regions, who at the time held the vice-chair and chair positions of the JPI MYBL SOAB.

The agenda focused on the importance of public engagement in ERA policy with presentations and each JPI's elaboration of their stakeholder experiences. Richard Pieper and Mira Koivusilta from the More Years' Better Lives JPI and Janne Wikström from University of Helsinki PE2020 team participated in this seminar. It became evident that there is a notable variation in the name, structure and function of stakeholder bodies between the different JPIs. The PE2020 team focused on the conceptual definitions of public engagement in general and the stakeholder role in particular in joint programming. Wikström presented the PE-2020 project's working definition on public engagement as "activities where there is a distinct role for the citizen or stakeholder groups in research & innovation processes" and continued by classifying PE as public communication, public activism, public consultation, public deliberation or public participation.

PE2020 elaborated on the initiative angle and timing of engagement as well as on the role of societal impacts and stakeholder involvement for research grant applications sent to the JPIs. Many JPIs expressed their interest in participating in such a piloting which would evaluate the societal interaction embedded in research grant applications. Further piloting of societal interaction could perhaps answer the question on the eventual need for a common societal interaction and stakeholder involvement -template for joint programming research. The results of this kind of SIP-piloting could be a theme of a PE2020 seminar in late 2016 or early 2017.

At the ERA-LEARN 2020 Conference in Brussels in January 2016 there was a presentation by Timo Aarrevaara and Mikko Rask on public engagement tools and instruments for dynamic governance in the field of Science in Society. The presentation introduced research results from the PE2020-project and other research projects. JPI MYBL also had general assembly meeting in January 2016 in which decisions on further collaboration between JPI MYBL and PE2020 were discussed. The pilot initiative is following guidelines received from this event and meeting.

### 2.4.3. JPI MYBL research call

After the JPI consortium meeting in Brussels in 2015, a plan for evaluation of the PE elements was drawn up and an agreement about analysing proposals after a decision process was made for the first JPI MYBL call. Time schedule for the JPI MYBL programming initiative call decisions was planned to winter – spring 2016 and proposals should be ready for analysis soon after this.

There is no actual joint template for societal impacts and stakeholder involvement plans or the evaluation of them. When planning the first JPI MYBL programming initiative call, PE2020 pointed out some aspects of and questions about societal interaction that should be considered when eventually developing such a template. Among these issues are the recognition of most important stakeholders and more co-operation and co-creation in research. An important question is also how well the project has organised the dialogue and communications concerning the research results. Of importance also is as well how the management of data and the wider use of it is organised.

The first JPI MYBL programming initiative research call was launched in February 2015 and the closing date of the call was in June 2015 (MYBL 2015). The theme of the call was “Extended Working Life and its Interaction with Health, Wellbeing and Beyond”. On page 7 of the call, public engagement and social interaction is described as: *“Applicants are encouraged to describe in their proposal the expected impacts on society and the strategies planned for participation and involvement of citizens and stakeholders to facilitate communication between research and society and the implementation of research results in practice.”* (JPI MYBL 2015, 7.) Decisions concerning funded projects were announced in winter 2016.

### 2.4.4. Analysis of the JPI MYBL research proposals

This section of the pilot initiative is about to start in autumn 2016. This concerns a thorough evaluation of the public engagement elements of all the applications. A benchmarking of these public engagement elements with public engagement elements of the call for strategic research was arranged by the Academy of Finland<sup>4</sup> to test the feasibility of especially two things: a) the evaluation of criteria b) the implementation of the public engagement criteria. As result, there should be an elaboration of evaluation of public engagement dimensions in research grant applications and in their feasibility. In late autumn 2016, a wrap up of the activities above and advice for new rounds of funding within the JPI MYBL programming initiative should be made.

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<sup>4</sup> <http://www.aka.fi/en/about-us/SRC/>

## **3. Results of the pilot initiative**

### **3.1. Impact**

In general, this pilot initiative is still an ongoing process and we are still looking forward the final results from the analysis of the research proposals. Since this pilot initiative does not have actual events of its own, the impact can be assessed as impact based on discussions.

The pilot initiative has succeeded in its goal to increase knowledge of public engagement and in defining the JPI MYBL programming initiative to improve societal interaction and stakeholder involvement to meet grant requirements. How researchers have succeeded in understanding this and how it has been taken into consideration is still open. Objective impacts of the pilot initiative can be evaluated in the future.

### **3.2. Feedback received**

Feedback from the professionals working in the JPI MYBL programming initiative has been positive and they have been very interested in public engagement and societal interaction. This pilot initiative will continue and the actual written feedback will be received later in 2016.

### **3.3. Advantages**

The main advantages of the pilot have related to the increased knowledge and awareness of public engagement among research funding parties. Usage of societal interaction plans has developed during the pilot initiative and it will continue to be improved after the analysis of the JPI grant proposals. Raising the question of public engagement and societal interaction for the first time is a major advantage of the pilot initiative.

### **3.4. Obstacles**

Several obstacles were noticed during the process. Even though the main collaboration was successful, there were some challenges in obtaining the grant proposals for analysis. Since societal impacts and stakeholder involvement were included in the JPI MYBL programming initiative call and analysing the proposal was not done earlier, there were some misunderstandings about how to obtain the required permissions for the pilot initiative. This was sorted out but not as fast as planned. This can be classified as a managerial and technical obstacle.

Another obstacle was the difficulty in defining public engagement in the call text. Moreover, planning and defining the content of the societal interaction plan was challenging.

## 4. Grand challenges addressed

The JPI More Years Better Lives programming initiative is linked to societal challenges and in Horizon 2020 challenges *Health, demographic change and wellbeing* and *Europe in a changing world – inclusive, innovative and reflective societies*. The initiative represents deliberative PE as the applicants are delivering the content of the societal interaction but not necessarily defining it in the same way as it could be done from a bottom-up perspective.

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