

Annex 2: Inventory of stakeholder involvement techniques

Simone CASIRAGHI

Vrije Universiteit Brussel. E-mail: simone.casiraghi@vub.be.

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
Problem-solving meetings	(Citizen) Advisory group or task force ¹	10-25 stakeholders (including, but not limited to, citizens with specialised knowledge or representing specific interests of a community).	Selected by the assessors on the basis of expertise and to ensure a balance of different interests. A public notice or targeted invitation is sent out.	Examination of some significant issues to provide advice, e.g. to policy makers or border authorities. Its mission can vary depending on the responsibilities it is assigned. For instance, it can provide an official voice for a group of travellers affected by an initiative.	The meetings take place over an extended period of time, e.g. several weeks. Advisory groups can perform several tasks and be involved throughout the whole assessment process (including its possible revisions) or be involved for only a single task.
	Charrette ²	20-60 stakeholders (including, but not limited to, citizens with various skills and interests, including a facilitator).	Selected by the assessors on the basis of expertise and to ensure a balance of different interests. A public notice or targeted invitation is sent out.	Cooperation in solving a problem or advising on a controversial issue before a given deadline, with an experienced facilitator. This usually takes place in design fields like land use or urban planning, at the beginning of a decision process, to address contrasts that might arise between competing interests. It can be a powerful, cost-efficient way to come up with creative solutions	An intensive and collective effort over a short period of time (usually one day).
	Citizens' panel/jury or consensus conferences ³	A panel of 10-20 citizens that represent lay knowledge and a local population, with different backgrounds.	Selected through a lottery system, from a sample of a local population.	Method used to incorporate the opinions and values of citizens into decisions about an initiative. A dialogue takes place within a panel composed of "lay" public knowledge as opposed to the technical expertise of other stakeholders. The purpose is not necessarily to reach a final decision, but also to gain information on the public awareness of the initiative.	A first phase of education of the panel (1-2 weekends) followed by a number of meetings of a few days (3 to 10).

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
	Delphi method ⁴	A panel of stakeholders with different backgrounds, including a facilitator. The size of the group is bigger if the method is performed remotely (e.g. online).	Selected by the assessors to avoid methodological weaknesses and to ensure the soundness of the results.	Interactive and structured forecasting method to achieve consensus through a series of questionnaires (without requiring face-to-face meetings, either by electronic or traditional correspondence). Each questionnaire is alternated with feedback on individual contributions. Usually, the input of participants remains anonymous.	Iterative; it can have multiple rounds of interaction over a single day or multiple days.
	Public meetings ⁵	Speakers (e.g. experts or politicians) and interested citizens, with a moderator. The meetings are open to anyone, but the number of citizens involved depends on the size of the venue.	Announcement (e.g. via social media, newspapers or mailing lists) at least 30 days before the scheduled date.	Open and flexible ways of sharing information and discussing issues, not necessarily making decisions. They differ from public hearings, which are more formal, and they can also be a legal requirement (see below).	Meetings can last weeks or months, and usually take place over a number of working days.
	Public hearings ⁶	Speakers (e.g. experts or politicians) and interested citizens, with a moderator. The number of citizens involved depends on the size of the venue.	Announcement (e.g. via social media, newspapers or mailing lists) at least 30 days before the scheduled date.	Sometimes regulated by law, presentations by an agency on an initiative in open forums. The citizens have a formal (i.e. recorded in the public record) chance to voice their opinions but have no direct impact on the recommendations. Transcripts of the comments will be available for review.	Hearings can last several hours or days and usually take place over a number of working days.

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
	Roundtables ⁷	A small group of 10-15 stakeholders, including a moderator.	Selected by the assessors on the basis of expertise and to ensure a balance of different interests. A public notice or targeted invitation is sent out. The number of participants is limited to those who registered through a registration form.	A form of (academic) discussion in which participants agree on a specific topic to discuss. Each person is given <i>equal</i> opportunity to express their view, e.g. by allocating the same time slot for each participant to make comments on the initiative under discussion.	Usually over one or two days.
	(Scenario) Workshop ⁸	A small group of 10-30 stakeholders, including a moderator and/or chair.	Announcement well in advance (about 3 weeks before) and notification or invitation of experts via e-mail. The number of participants is limited to those who registered through a registration form.	A gathering or seminar led by a specialist to express a wide range of viewpoints and confront one another. If scenario-based, the participants themselves carry out the assessment with the use of scenarios, i.e. mental views about possible future outcomes.	Usually over one or two days.
	Study Circles ⁹	A small group of 5-10 stakeholders with similar interests and background.	Selected by the assessors on the basis of expertise and to ensure a balance of different interests. A targeted invitation is sent out.	Physical or online gatherings to discuss a shared topic or find solutions to a common problem. The group can be self-sufficient or supported by government or community officials. Minutes can be taken during the meetings to monitor the evolution of the thinking of the group regarding particular issues of the assessment process.	The group meets a defined number of times, usually up to five, on a regular basis (weekly or monthly).

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
Information-sharing meetings	Informational meeting ¹⁰	A large group of stakeholders with various or similar backgrounds. The size of the group depends on the size of the venue of the meeting.	Invitation sent out by the assessors on the basis of interest, background and/or affiliation.	A gathering of a group of stakeholders to be merely informed about a given initiative e.g. through presentation, videos or infographics. The format is not very interactive, and the stakeholders predominantly have the passive role of listeners.	Usually over one or two days.
	Q&A sessions ¹¹	Stakeholders that also took part in an event e.g. an exhibition, presentation or meeting.	Announcement of the Q&A session after an event. Anyone that was present at the event can participate.	Staff are available to stakeholders to answer questions, typically after an exhibition, a presentation or a meeting. Sessions can be either formal or informal.	Usually from 30 minutes to two hours, depending on the number of questions.
	Facility tours or technology demonstration ¹²	A large group of stakeholders with various or similar backgrounds. The size of the group depends on the size of the venue for the tour or demonstration.	Participants are either recruited <i>in loco</i> (e.g. travellers at a border crossing point) or via a targeted invitation.	Stakeholders are gathered to assist a demonstration of the initiative under assessment, e.g. via video presentations or a simulation of a technology. Staff are available to offer further explanations and to answer questions.	Usually over one or two days, it can be repeated multiple times throughout the assessment process.
Information-sharing platforms	Hotline ¹³	Any stakeholder, especially minorities and vulnerable populations that might be affected by a given initiative but nonetheless are difficult to engage through other techniques.	Anyone can call the number. The phone number is widely advertised to collect as many diverse inputs as possible.	A toll-free phone number that people can reach to ask questions about a given initiative.	The duration of the phone calls varies depending on the number of people who call, and the type of questions asked. It is possible to decide upon fixed call slots (e.g. four hours per day) beforehand.

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
	Online forums and social media ¹⁴	Any stakeholder, especially minorities and vulnerable populations that might be affected by a given initiative but nonetheless are difficult to engage with other techniques.	Anyone can participate and post comments, although creation of an account may be required. The forum or social media page is widely advertised to collect as many diverse inputs as possible. The content is usually approved by a moderator before it is made public.	Online discussion sites to allow general discussions or post comments on specific questions or issues. A platform can also be used to host questionnaires or polls and provide the results to participants.	A forum or social media page can remain active for the entire duration of the assessment process.
	On-scene information office ¹⁵	Any stakeholder that passes through the site, e.g. travellers that pass through a border crossing point.	Anyone can voluntarily go to the information office to gather extra information.	A small office, desk or trailer at a border crossing point where staff respond to inquiries.	Staff should be available at the office up to 40 hours a week.
Surveys	Focus groups ¹⁶	Small groups of 5-10 stakeholders with specific interests or expertise.	Selected by the assessors either randomly or to approximate the demographics of an affected community.	Small discussion groups, with the help of one or more facilitators, to gather in-depth insights and reactions of people to a given initiative e.g. on values, concerns and perspectives involved in the given initiative.	Single meeting, usually up to two hours.

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
	Interviews ¹⁷	The number and types of interviewees depend on the time and resources available to the assessors. Only interviewing a small sample of people is appropriate only if these people are considered representative of a particular community or interest group.	Selected by the assessors on the basis of expertise and to ensure a balance of different interests. A targeted invitation is sent out.	Participants are asked specific questions on a given initiative, in a more-or-less structured manner, face-to-face or via telephone. The in-depth inputs gathered from the answers are used to identify gaps, problems or potential solutions to a given initiative.	Approximately one hour per interview.
	Door-to-door canvassing ¹⁸	Potentially all members of a pre-selected local population, or at least a significant proportion of these.	Assessors select staff (i.e. canvassers) to conduct the canvassing activity. Canvassers need to identify the area to be canvassed beforehand and notify local residents.	A method to collect and distribute information by engaging with community members individually. Canvassers ask questions, discuss issues and/or provide informative material related to the initiative under assessment.	Canvassing is a time- and resource-intensive activity, although the time spent canvassing depends on the area to be canvassed.

Category	Participation method type	Type and size of stakeholder group	Selection process	Description	Time/scale duration
	Opinion polls ¹⁹	Very large sample (up to several thousand), in particular (potential) travellers at border crossing points.	An online link for a poll is advertised and made available by the assessors. Alternatively, respondents can be contacted via telephone or door-to-door. In the latter case, the assessors select a sample of respondents (random or representative) beforehand.	An assessment of public opinion on a certain topic by questioning a representative sample. Polling can be performed online, door-to-door or by telephone. Opinion polls differ from questionnaires (below) insofar as usually they contain only one multiple choice question to which the respondents give one answer. Therefore, results are immediately known, and no analysis is required.	They can take very little time to be completed by each stakeholder (e.g. one minute). Polls can be available to the public for several weeks.
	Questionnaires ²⁰	Very large sample (up to several thousand), in particular (potential) travellers at border crossing points.	Assessors distribute the questionnaires in person or online (e.g. via e-mail or on a website). In case specific information is needed, representatives of certain groups of stakeholders are targeted. Alternatively, all travellers crossing borders in a given timeslot are addressed.	Participants are asked to answer a list of various question types (structured or semi-structured, multiple choice, rating), either in person or online. The length and depth of the questionnaire depends on the phase of the assessment and the envisaged level of involvement. As a rule of thumb, a longer questionnaire can give more nuanced input than a shorter one.	Depending on the type of questions and the modality for answering them, questionnaires generally take from 5 to 20 minutes to be completed.
	Referenda ²¹	Potentially all members of a national or local population, or at least a significant proportion of these.	Everyone in a given area or community is given the opportunity to vote.	A popular vote to decide on a specific issue that requires a binary yes/no input. The participants have an equal influence, and the outcome can be legally binding.	The vote is cast at a single point in time. This is a cost-efficient way to involve a large amount of people in a decision.

Endnotes

1. James L. Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement* (San Francisco: Jossey-Bass, 2005), 183; Gene Rowe and Lynn J. Frewer, "Public Participation Methods: A Framework for Evaluation," *Science Technology and Human Values* 25, no. 1 (2000): 3–29, <https://doi.org/10.1177/016224390002500101>; US Environmental Protection Agency, *RCRA Public Participation Manual*, 1996.
2. James A. Segedy and Bradley Johnson, *The Neighbourhood Charrette Handbook*, 2004, https://www.michigantownships.org/downloads/charrette_handbook_2.pdf; Gail Lindsey, Joel Ann Todd, and Sheila J. Hayter, *A Handbook for Planning and Conducting Charrettes for High-Performance Projects*, 2009, <https://www.nrel.gov/docs/fy03osti/33425.pdf>; Organization for Economic Co-operation and Development (OECD), *Stakeholder Involvement Techniques: Short Guide and Annotated Bibliography*, Nuclear Energy Agency, 2004, 40.
3. Ned Crosby, Janet M. Kelly, and Paul Schaefer, "Citizens Panels: A New Approach to Citizen Participation," *Public Administration Review* 46, no. 2 (1986): 170; Simon Joss and John Durant, *Public Participation in Science. The Role of Consensus Conference in Europe* (London: Science Museum, 1995).
4. Harold Linstone and Murray Turoff, *The Delphi Method: Techniques and Applications* (Boston, MA: Addison Wesley Publishing Company, 1975); Gene Rowe and George Wright, "The Delphi Technique as a Forecasting Tool: Issues and Analysis," *International Journal of Forecasting* 15, no. 4 (1999): 353–75.
5. US Environmental Protection Agency, *RCRA Public Participation Manual*, 117; Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 130.
6. Rowe and Frewer, "Public Participation Methods: A Framework for Evaluation"; US Environmental Protection Agency, *RCRA Public Participation Manual*, 123; Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 130.
7. Organization for Economic Co-operation and Development (OECD), *Stakeholder Involvement Techniques: Short Guide and Annotated Bibliography*, 31; Stefan Taschner and Matthias Fiedler, "Stakeholder Involvement Handbook," 2009, 20; Organization for Economic Co-operation and Development (OECD), *Stakeholder Involvement Techniques: Short Guide and Annotated Bibliography*, http://www.aeneas-project.eu/docs/AENEAS_StakeholderInvolvementHandbook.pdf.
8. Gill Ringland, "The Role of Scenarios in Strategic Foresight," *Technological Forecasting and Social Change* 77, no. 9 (2010): 1493–98, <https://doi.org/10.1016/j.techfore.2010.06.010>; US Environmental Protection Agency, *RCRA Public Participation Manual*, 134.
9. Organization for Economic Co-operation and Development (OECD), *Stakeholder Involvement Techniques: Short Guide and Annotated Bibliography*, 31.
10. Taschner and Fiedler, "Stakeholder Involvement Handbook," 20.
11. US Environmental Protection Agency, *RCRA Public Participation Manual*, 106.
12. US Environmental Protection Agency, 56.
13. Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 118; US Environmental Protection Agency, *RCRA Public Participation Manual*, 100.
14. Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 119.
15. US Environmental Protection Agency, *RCRA Public Participation Manual*, 103.

16. Jay Klagge, *Guidelines for Conducting Focus Groups*, 2018, <https://doi.org/10.13140/RG.2.2.33817.47201>; Gloria E. Bader and Catherine A. Rossi, *Focus Groups. A Step by Step Guide* (San Diego, CA: The Bader Group, 2002); US Environmental Protection Agency, *RCRA Public Participation Manual*, 77.
17. Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 190; US Environmental Protection Agency, *RCRA Public Participation Manual*, 70.
18. US Environmental Protection Agency, *RCRA Public Participation Manual*, 80.
19. Louis M. Rea and Richard A. Parker, *Designing and Conducting Survey Research. A Comprehensive Research Guide* (Jossey-Bass, 2005); US Environmental Protection Agency, *RCRA Public Participation Manual*, 90; Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 128.
20. Rea and Parker, *Designing and Conducting Survey Research. A Comprehensive Research Guide*, 90; US Environmental Protection Agency, *RCRA Public Participation Manual*; Creighton, *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*, 128.
21. Rowe and Frewer, "Public Participation Methods: A Framework for Evaluation," 19.