PARTICIPATORY METHODS TOOLKIT

A practitioner's manual

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King Baudouin Foundation

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Participatory Methods Toolkit
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This manual is a joint publication of the King Baudouin Foundation and the Flemish Institute for Science and Technology Assessment (viWTA) in collaboration with the United Nations University – Comparative Regional Integration Studies (UNU/CRIS).

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Layout and printing
Belgian Advertising (B.AD)

Legal depot
D/2003/2893/31

ISBN
90-5130-447-1

This publication is available, free of charge:
On line via www.kbs-frb.be or www.viWTA.be or www.unu.cris.edu
Per e-mail to publi@kbs-frb.be or viwta@vlaamsparlement.be
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With the support of the National Lottery

December 2003

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PREFACE

It is not unusual, as practitioners of participatory methods, to get requests for practical guidelines or approaches for participatory processes. Often we can send two or three articles, some web links, a more practical oriented description of one or two methods or a case study.

The feeling is familiar: as practitioners, we know how hard it is to find practical information. For some methods there is considerable documentation available, although it is often rather academic. For other methods, the quest for knowledge can be strenuous, especially if it concerns newer methods. In the fast developing field of participatory approaches, new methods are developed or brought into practice every day. Since the developers and practitioners of these methods are firstly interested in the 'doing' part, a lot of practical knowledge is being developed but little is put on paper.

To facilitate practical knowledge sharing, the King Baudouin Foundation and the Flemish Institute for Science and Technology Assessment, both actively involved in participatory methods, decided to edit a publication with the ambition to create a hands-on toolkit for starting up and managing participatory projects. Nikki Slocum of the United Nations University in Bruges, the author of this manual, did a great job here. The core of the toolkit consist of 10 in depth fiches of just as many participatory methods. In addition to these fiches, you will find a brief overview of almost 40 other methods and techniques. An introductory chapter, with a comparative chart of the discussed methods, and a chapter with general guidelines for using participatory methods complete the toolkit.

The manual is meant to be placed on many bookshelves: on that of the inexperienced person who sets first steps into the challenging world of participation as well as on that of the experienced practitioner, who uses this manual for specific sections, such as tips and tricks, or to get acquainted with other methods.

The format is practical: this is a publication that you can put in a binder, split up into smaller parts, or photocopy. The format leaves you the opportunity to supplement the contents with additional documents and even add extra fiches in the same or another format. This publication is meant to be a working tool.

So, where some prefaces end with the words 'Enjoy reading', we would like to end with 'Enjoy working with it!'.

King Baudouin Foundation
Flemish Institute for Science and Technology Assessment

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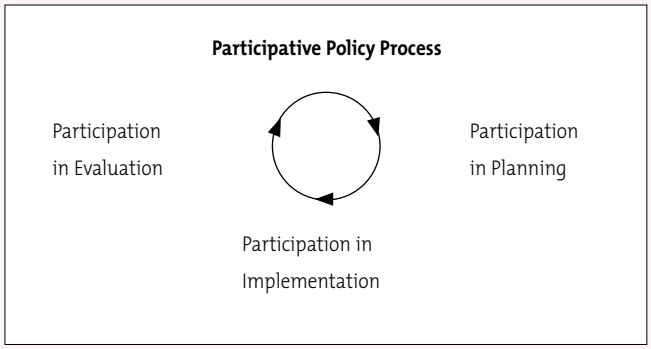
INTRODUCTION

What exactly do you mean by 'a participatory approach'?

A participatory approach advocates actively involving 'the public' in decision-making processes, whereby the relevant 'public' depends upon the topic being addressed. The public can be average citizens, the stakeholders of a particular project or policy, experts and even members of government and private industry. In general, policy processes can be seen as a three-step cycle of planning, implementation and evaluation, whereby a participatory approach may be used in some or all of these steps.



Distinctions have been made between levels of participation, depending upon whether one's objective is:

- transmitting information (unidirectional)
- consultation (bi-directional, but the consulted party frames the issue)
- active participation: based on a partnership in which citizens, stakeholders, experts and/or politicians actively engage in (policy) debate. All parties involved can frame the issue to a greater or lesser extent.

The contents of this toolkit refer to active participation. However, it should be noted that the level of participation is a continuum and methods vary in the degree to which they engage participants in framing the questions and issues and in designing the procedures.

Who wants a participatory approach?

Participatory decision-making is not only desired and demanded by citizens who wish to play a more active role in the governance of their society. Regional, national and local governments, development agencies and NGOs, scientists and companies are also increasingly eager to reap the benefits of actively engaging in decision-making processes diverse perspectives and those who will be affected by policies.

Why use a participatory approach?

Demands for increased public participation in policy-making have been founded upon both pragmatic and normative lines of argumentation. From a pragmatic perspective, participation is considered to improve the quality of decisions, while from a normative point of view participation is necessary to render the decision-making process more democratic. Each of these lines of thought is based upon two perceived insufficiencies: uncertainty and equality (EUROPTA, 2000).

From a pragmatic point of view, it is better to have as much knowledge, experience and expertise as possible in addressing the complex (and thus uncertain) nature of social issues and problems. The means to have institutionalised and/or informal influence on decision-making processes are unequally distributed among members of society. Therefore, access must be created for all relevant persons to contribute to solutions and planning for the future.

From a normative perspective, new problems and issues in society often pose questions for which existing social norms are inadequate or non-existent, creating uncertainty and anxiety in the society. In addition, the plurality of (often conflicting) norms in a society is often mixed up with interests (financial or otherwise), which are unequally represented in society. It is thus normatively desirable to enable a process that is as democratic as possible in order to ensure that all values and opinions can be represented in a policy debate.

In addition to the above lines of thought, participatory processes in policy-making have been demanded to address problems such as lack of trust among the public for their governance institutions and perceptions of weak legitimacy. The public perceives many initiatives as being imposed in a top-down fashion. In order to increase public support for and understanding of programmes, the public can be directly involved in planning and implementing them.

Involvement in participatory processes also builds capacity among the public. It does so by educating the public as well as creating networks of relevant persons who can continue to address policy issues as they develop. However, not only the public needs to learn. All decision-makers can best learn how to improve their services and products by receiving direct feedback from the 'users'. Rather than first making and then fixing, it is most efficient to involve the end-users in the initial design and planning.

Furthermore, a participatory approach to policy-making is seen as a way of building social cohesion. It is a useful process to achieve consensus when differences in opinion and even conflicts need to be resolved. When this approach is taken up early in the process, participants can share their perspectives, values and reasoning on an emerging issue as these develop and mature. When opinions have already been polarised, some methods are particularly useful at mediating between interest groups to achieve consensus or at least arrive at a common decision after all perspectives have been expressed. At a minimum, these processes achieve mutual understanding and all voices can be heard.

In sum, effective and meaningful public involvement is seen as essential to:

- enable high quality and democratic governance
- strengthen civil capacity
- develop and deliver programmes effectively and efficiently
- build public confidence and trust in decisions
- generate a greater understanding of public issues, concerns, priorities and solutions
- build broader support for programmes and initiatives
- increase mutual learning through the sharing of information, data and experiences
- ensure that decisions and policies incorporate knowledge and expertise that otherwise might be overlooked
- reflect a wider range of public concerns and values in decision-making
- rapidly identify possible controversial aspects of an issue and help bring together different points of view to achieve consensus in a collaborative manner.

When is a participatory approach appropriate?

A participatory approach is particularly appropriate for addressing:

- themes that require ethical, social or cultural study and may call for a choice between fundamental values and principles
- policy issues that call for a combination of public awareness, learning, a search for solutions and emotional or moral acceptance of the eventual decision
- public policy choices that will rely on the precautionary principle or the weight of evidence
- underlying values and principles that must be clarified before detailed proposals or risk management options are brought forward
- a clearly defined set of options or proposals that support the search for consensus or innovative solutions.

Which method should we use?

In deciding which method(s) to employ, one must take into account the following five elements:

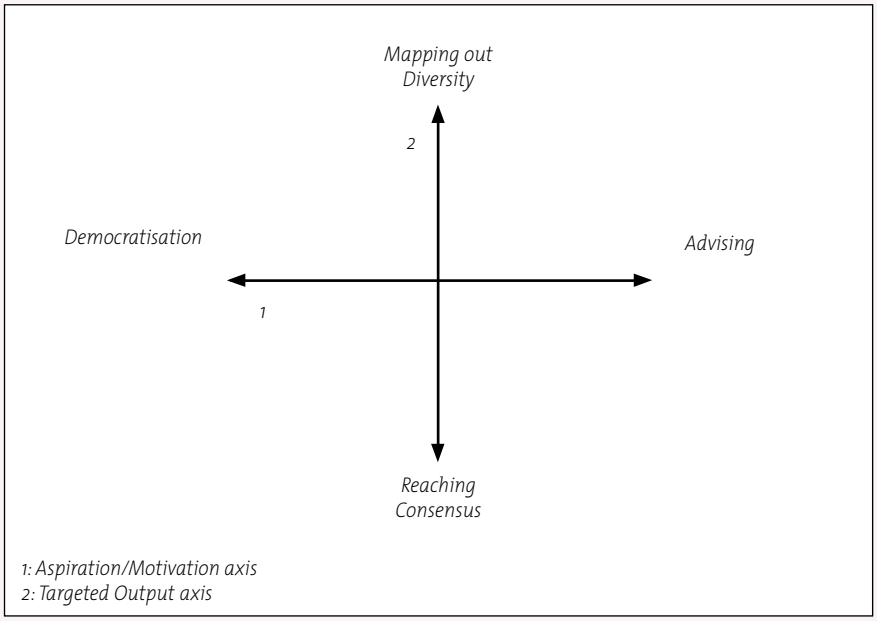
Objectives:	Reasons for involvement and expected outcomes
Topic:	The nature and scope of the issue
Participants:	Who is affected, interested or can contribute to solutions
Time:	Amount of time available
Budget:	Availability of resources

This toolkit provides a comparative chart with these five elements for each of the methods for which there is an in-depth fiche. (See p.25: Comparative Chart for Participatory Methods.) Each of these elements is explained here in greater detail.

(1) Objectives

The objectives are the sponsor's reason(s) for carrying out the participatory event. As often multiple objectives exist, one's task is usually to prioritise them. One possible manner of classifying one's objectives is a scheme presented by van Asselt et al (2001), which structures the objectives into two axis: (1) Aspiration/Motivation axis and (2) Targeted Output axis.

Categorisation of Objectives for Conducting Participatory Methods



1: Aspiration/Motivation axis
2: Targeted Output axis

The poles of the Aspiration/Motivation axis are defined as 'Democratisation' versus 'Advising', while the Targeted Output axis is divided into 'Mapping out Diversity' versus 'Reaching Consensus'. Each of these poles is defined as follows:

Axis1: Aspiration/Motivation

Democratisation: The purpose of using the method is to enable participants to employ their own knowledge to create options for tackling (policy) issues that directly concern them. The output has weight in the decision-making process and can be binding.

Advising: The purpose of using the method is to reveal stakeholders' knowledge, values and ideas that are relevant to the process of decision-making. The output is used as input to the decision-support process.

Axis 2: Targeted Output

Mapping Out Diversity: The purpose is to generate a spectrum of options and information and to enable a group to disclose information (making tacit knowledge explicit) or test alternative strategies in a permissive environment.

Reaching Consensus: The purpose is to enable a group to reach a single informed decision on an issue.

(2) Topic

Here the topic refers to the nature of the subject matter to be addressed as regards four aspects:

- **Knowledge:** To what extent does the society already possess a general knowledge of the subject?
- **Maturity:** To what extent has the society already developed opinions or even legislation on the subject? Do strong views exist or is the issue so emergent that norms have not become established?
- **Complexity:** Is the subject highly complex, such that a great deal of (technical) information is required?
- **Controversy:** Is the issue highly controversial and has the debate become polarised, such that consensus is difficult to reach?

(3) Participants

Who will participate in the event? The relevant 'public' will vary with the issue, as the interest and capability of various groups to contribute to a participatory process will depend upon the topic at hand. In addition, the (geographic) scope, budget and timing of the project will have to be taken into consideration in order to decide the number and geographic distribution of participants. The main groups to consider involving, either to make a (more or less binding) decision or to give input to the process, include:

- Citizens on an individual basis
- Stakeholders, whereby citizens are represented by organisations, such as:
  - non-governmental organisations (NGOs)
  - private industry
  - interest groups (advocacy groups, clubs, etc.)
- Experts on a particular issue
- Politicians who will take up the outcome of the process.

It is generally recommended to involve policy-makers as much as possible in processes that are intended to influence policy. The involvement of policy-makers from the very beginning of the process will increase the likelihood of their support of both the process and the outcome.

(4) Timeframe

It is important to address policy issues in a timely fashion. A participatory process is not likely to have a strong impact upon policy-making if conducted just after legislation has been passed on the issue. In contrast, an effective contribution can be made when the issue is 'hot' and legislation scheduled to be made in the near future. This must be kept in mind when planning a participatory event.

The timeframe includes not only the event itself, but also pre-planning and post-event follow-up. The comparative chart provided estimates the time required for the actual event as well as the total time, which includes pre and post-event activities.

(5) Budget

Some methods are more elaborate than others, thus requiring a larger budget. However, all methods can vary greatly in their costs. The cost of any event will depend on matters such as:

- *The geographic scope:* From where do participants need to travel? This will influence the cost of travel as well as whether or not they will require accommodation.
- *Fees and stipends:* Is it necessary to pay experts or will they donate their time? Must citizens be compensated for time missed at work and other duties?
- *Site:* Will a site for the event have to be rented or does the organiser have access to a site that can be provided for no additional cost?
- *Provisions during the event:* An event will always be more pleasant for the participants if meals, coffee breaks and so forth are provided. The extent to which these are included in the event and how elaborate they are will influence the budget.

These factors of variability will be important to keep in mind. The provided comparative chart rates each method as it compares to others regarding the average cost. In addition, each in-depth fiche lists the major budgetary items required for the method.

How is a participatory approach implemented?

The main focus of this toolkit is to guide practitioners through the process of implementing participatory methods.

In an effort to enhance participation in all project phases, from planning to evaluation, many different techniques have been devised and adapted. Some techniques aid analysis of the issues at hand, while others focus on facilitation and coordination of the group process itself. Many of these techniques, alone or in combination, can be useful in any participatory processes.

As an analytical framework, we distinguish between analytical techniques, facilitation techniques and what we call

'methods' proper. For the purposes of this manual, a 'method' will be defined as such when it fills the following criteria:

- Multiple steps and techniques are incorporated in the event.
- Partly as a consequence of the first criterion, a project management plan is required to organise the event. Thus a team of persons will usually be involved in the planning, budgeting, group facilitation and so forth.
- There is a specific societal outcome. This may be a consequence of the process, such as the creation of a network or building team capacity, and/or the outcome can be a product, such as a set of futures scenarios.

Analytical techniques are those that facilitate an analysis of the problem or issue at hand, which facilitation techniques are practices that facilitate the interaction of the group during the participatory process itself.

For any given project, multiple methods and/or techniques can be combined and adapted to suit the purposes of a particular project.

Contents:
The contents of this methodological toolkit comprise:

- a list of a wide range of methods, which has been classified into analysis techniques, facilitation techniques and methods proper
- a brief description of all of the techniques and methods
- ten in-depth fiches that describe a particular method in great detail
  The methods included here are:
  - Charrette
  - Citizens Jury
  - Consensus Conference
  - Delphi Expert Panel
  - Focus Group
  - PAME (Participatory Assessment, Monitoring & Evaluation)
  - Planning Cells
  - Scenarios Workshop
  - World Café
- a comparative chart for the ten participatory methods described in-depth
- general guidelines and tips for conducting participatory methods.

Note from the author:
The descriptions provided in this toolkit are meant to be guidelines for practitioners who want to implement a participatory approach. The methods are flexible and have been employed in many different ways. Feel free to change and adapt them to suit your purposes – be creative! Invent your own methods and techniques and please share them with us! We welcome your comments, suggestions and ideas.

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GENERAL GUIDELINES AND TIPS FOR PARTICIPATORY METHODS

The two primary considerations when planning a participatory event are context and structure. The organisers, in consultation with the advisory/steering committee, often answer the context questions.

Context encompasses:

- the purpose and topic of the project
- the geographic scope and focus
- the legislative and jurisdictional (e.g. relevant connections to policy-making bodies) contexts
- the time frame and process for decisions
- funding sources and
- the cultural, political and institutional considerations that influence all of the above.

Structural considerations include:

- identification and recruitment of the participants
- preparation of any introductory material
- promotion
- the event
- evaluation
- final report printing and dissemination

The general steps in developing and implementing public participatory methods constitute the following:

1. Recruit a project team.
2. Define the purpose and goals of the strategy.
3. Determine the scope and focus of a public involvement process.
4. Understand the legislative, legal, jurisdictional and social context for the issue and any decision(s) to be made.
5. Determine who should be involved and why.
6. Understand the time frame and process for decisions.
7. Design the plan (choosing one or multiple methods).
8. Assemble the funding.
9. Set adequate timelines and other resources required to make the process work.
10. Recruit participants.
11. Promote the event.
12. Implement the plan.
13. Evaluate the process and results.
14. Produce and disseminate final report.

(1) Purpose and Topic

The decision to engage the public through a participatory process is inherently political. Whether or not the aim is to directly influence policy, participatory methods are interventions in society. Thus the first order of business is to be very clear about the aims and objectives of such a project. The aim needs to be clearly articulated and agreed upon by the organisers and the advisory committee, as it will influence every decision made from that point.

It is important to take an accurate reading of the current political situation as it regards the topic in question. Understandings gleaned from such an exercise illuminate considerations for timing and political relevance, increasing the potential for real political influence. The table below lists ten factors necessary for using participatory methods to successfully influence policy. Of these eight are related to aims and topic. One of the most important factors to be considered in choice of topic is the degree of controversy surrounding the topic and the degree to which it is present in the public consciousness. It is difficult to build enthusiasm for topics in which no one has any interest or that are not presenting some kind of social, environmental or political dilemma within the society.

Success Factors of the Political Role of Participatory Methods [1]

Societal Context	• Good timing with public controversy
	• Good timing with de facto policy-making
	• Good relevance of the topic
	• Political culture open for (informal) participation
Institutional Context	• Link to the political sphere
	• Credibility and reputation of the (organising) institution
Properties of the Arrangement	• Precise definition of the political goals
	• Fairness of the process as perceived by political observers
	• Product of the arrangement aiming at practical implementation
	• Involvement of political actors in the process

[1] From Bütschi & Nentwich, 2000, The Role of pTA in the Policy-Making Process – Results from the EUROpTA Project.

TIP: If the participatory event has a direct link to policy initiatives/ proposals and policy-makers, it will be more likely to have a direct policy influence. Having such a link also increases the perceived value of the event among policy-makers, citizens, experts, the media and potential funding bodies. However, this link is not absolutely necessary. Either way, it is imperative to be absolutely clear about the aims of the initiative and its expected influence.

(2) Funding Issues

If funds are sought from stakeholders, organisers must weigh the benefit of these funds with the costs to credibility. One of the first questions asked of organisers is, 'Who is funding this?' Large sums from stakeholders with particular agendas may cause potential participants, the public or even the media to speculate about the 'real' purposes of the endeavour, potentially dooming the project before it even gets started. It is worthwhile to note here that, in interests of credibility, organisers should make every effort to have their decision-making processes transparent and available to whoever may ask.

(3) Scope of the Event

Deciding the scope of the event will need to take the topic, political decision-making powers and budgetary matters into consideration. Projects with a national scope (particularly in large countries) or a macro-regional scope present added budgetary and logistical challenges with respect to travel, accommodation and promotion. In addition, significant cultural differences may exist between regions. This has implications in terms of diversity of opinions and understandings that panellists bring with them. Such regional diversity may be viewed as a positive or as a complicating factor.

(4) Participants

Recruitment

In some methods, the participants are supposed to be representative of the population at large. However, this may be unrealistic to achieve perfectly in practice. Purchasing random sampling phone numbers may prove financially unviable. In this case, the advisory committee and project management will need to establish recruitment criteria and decide on another method, such as newspaper advertising. In newspaper recruitment, panellists are somewhat self-selected because they have to initially respond to an advertisement. In any method of recruitment an element of bias is introduced at the selection stage by the preferences of the selection committee. Recruitment is usually done three to four months prior to the first activity.

If participants are not recruited using a simple random sampling method, the project management will need to establish selection criteria. It might choose to narrow the field using demographic criteria (gender, age, education, location, occupation, etc.)

Telephone screening, using short questions to determine eligibility, may be useful if you are soliciting a specific population. Personal recruiting is likely to result in a higher participation rate. Over-recruit by 20-25 percent. This is especially critical when soliciting participation of hard-to-recruit populations, including low-income minority groups.

Survey

Identifying potential participants on a random basis establishes credibility for the project. The survey can be conducted by telephone (if legally permitted), in which case telephone numbers can be purchased or a random selection from the public telephone book can be used (such as calling every fourth listing with two even numbers in the last four digits of the phone number or any such random procedure). Alternatively, recruitment can be done in person or by mail.

Survey Questionnaire

Regardless of whether the initial survey is conducted via telephone, mail or in person, a questionnaire is often required to grab the interest of the potential participants, provide a brief description, to establish the credibility of the project (by mentioning key sponsors) and to inform about the kind of time commitment required and how they will be compensated for their time and freed from their obligations. If the respondent says (s)he would be interested in participating, additional questions should be asked to establish his/her demographic details. Then the potential participant should be told that more information will be sent out immediately.

TIP: If using a non-random approach to recruitment, it is helpful to note that all applicants will not provide the same kinds of information. For ease of comparison, it is then necessary to harmonise information by contacting the narrowed field of applicants prior to the selection meeting. It is also advisable to select one or two reserve participants in the eventuality that one or more become(s) unavailable.

Data Management

In order to keep track of the survey calls and potential participants, as well as to generate letters, a computer with a database and print merge capability will be needed. After completed questionnaires have been entered into the database, a letter should be produced for each potential participant from that day. A control number should be assigned to each survey respondent. The number will be used as the identification of the potential participant until the final selection is established. This helps to prevent bias in the selection process.

Experience and Knowledge

It is possible that some or all of the participants will have had limited or no experience in participatory or consensus-based processes, thus lacking the skills required. For some, it will also be the first adult experience in an organised group, with all the social dynamics this implies. In other words, the learning happens on many levels simultaneously.

Participants as Public Persons

Revealing the participants' identity soon after their selection allows the media access to the participants and helps to build crucial media support and exposure for the upcoming event. However, at this point, the participants may have little or no knowledge of the topic, nor any experience with media interviews. Additionally, they are also then vulnerable to those who may try to sway their views before they have made an informed choice independently.

(5) Logistics

When establishing the **dates** for an event:

- Consider community activities. Try to avoid conflicts with major school, sport, church and other community activities.
- Avoid holidays.
- Weekdays are generally better than weekend sessions.

When choosing the **location** for an event, consider the following:

- The place should be large enough to accommodate all participants and an audience, if applicable.
- A flexible space with extra rooms available is an advantage.
- The facility should be centrally located and easily accessible.
- The facility should have the required furniture (table, chairs, etc.); appropriate electric outlets for lights, computers and Internet connections (if desired); restrooms; climate control; etc.
- The facility should be politically neutral (and religiously neutral, if pertinent to the topic).
- The facility should provide a comfortable atmosphere, in which the participants can come to feel at ease.
- The room must also have sufficient electrical power to accommodate the electronic media.
- If an audience is expected, there must be room to set up chairs for them.
- Bathroom facilities should be available.

(6) Materials and Supplies

Materials that are commonly required or useful at participatory events include:

- newsprint paper – several large tablets for recording ideas
  Note: it is better to use paper rather than chalk or white boards. The individual sheets can be used for archival purposes and are easier to transport.
- at least two flipcharts on easels
- space to hang the flipchart sheets
- tape or tacks to attach paper to walls
- several broad tipped, bold colour markers
- pens, pencils, paper
- rolls of tracing paper – for quick sketches, overlays, etc.
- copy machine (with transparency capabilities)
- computer/word processor
- slide projector and screen
- overhead projector
- projector screen
- podium
- a table (for panels)
- a microphone

- telephone
- printer
- video camera or audio recorder
- tapes for video camera or audio recorder
- camera that produces instant photos (digital or film)
- coloured pens and/or pencils
- paper
- small note-papers that are sticky on one side (in multiple colours)

(7) Accommodation, Meals and Expense Reimbursement

Arrangements will need to be made to provide the following, as required:

- meals during the event days
- hotel accommodation, as required
- parking
- travel arrangements
- travel reimbursements
- stipends and other expense reimbursements

(8) Event Promotion and Registration

Some of the methods constitute public events, in full or in part. Therefore, the promotion of the event is part of an overall public communications plan that ideally begins with the recruitment of the participants. One of the easiest and most effective means of informing and involving the community is through the media. Comprehensive media coverage is one of the keys to success. The cultivation of relationships with key media personalities is often very productive in terms of ongoing coverage. Promotion may include newspaper and television coverage, public service announcements, advertisements, posters, stakeholder mail-outs, presentations to interested groups and word-of-mouth.

Some possibilities for developing public awareness of the project include:

- Contact local, national and regional mass media (newspaper, radio, television), as applicable.
- Generate posters/handbills & fliers.
- Write press releases.
- Write articles supporting the process and illustrating the issues.
- Inform organisations and other groups (give presentations).
- Develop activities that draw attention to the issue(s) being considered. For example, a 'scavenger hunt', theatre and other performing arts, thematic crossword puzzles in fliers or local papers, etc.

TIP: One creative way to inform the public about an event or topic is to develop a topical 'scavenger hunt'. For example, one can take pictures of public artwork or public building details and publish them in the newspaper. Challenge people to identify the structures and offer prizes for people who send in the most correct answers.

Some possible contents for a **media briefing packet** include: agenda, project contact person and phone numbers, philosophy of the method, project overview, schedule, participant selection explanation, participant list, reporting information, steering/advisory committee list, sponsoring organisation information, list of sponsors, additional information on the issues to be discussed, commentary.

Registration fees for attendees may be the same for everyone or on a sliding scale that reflects ability to pay. For example, some events have purposely kept fees for the general public to a minimum to encourage their attendance and participation. Registration may be required in advance and/or taken at the door.

(9) Facilitator/Moderator

The role of the moderator is essential in all participatory methods. Some of his/her tasks vary from method to method, but in general it is the responsibility of moderators to maintain the flow of the proceedings and to keep everyone on time and on track. This requires a firm but diplomatic presence. The moderator should be flexible, unbiased, empathetic, a good listener and enthusiastic. (S)he should develop rapport with the participants, be respectful and communicate in a clear, friendly demeanour. The moderator needs to keep the group on the subject at hand and encourage and provide space for less vocal members to express their ideas.

TIP: It is useful if the moderator has a high regional or national profile.

Necessary qualifications of moderators.

A moderator should have:

- Considerable skill and experience in moderating or facilitating meetings.
- A reputation for non-partisanship, both politically and in terms of the specific issue being addressed. The moderator should not be a known advocate for one side of an issue or for a political party favouring one side.
- Either some direct knowledge of the topic or the time to acquire that knowledge before the events. For some methods, a good knowledge of the topic is important, for others less so.
- The ability to be empathetic with different types of people and to be able to draw out their concerns and questions. Reputation is less important to the participants than the feeling that the moderator cares about them and is acting on their behalf.
- Knowledge of different types of group processes to make sure that all participants feel that they have had the opportunity to be heard.
- The ability to work as a member of the project team, working closely with the project director and/or organisers.

(10) Implementation and Benchmarking

Most plans fail because people do not know how to begin implementing the project and programmes. A leader must be found for each project to follow through from start to completion. Without this leader the project has little hope of succeeding. It is often helpful to identify a single person to serve as a coordinator. If a steering or advisory committee helped organise the project, it can also continue as the coordinating body. One method to help assure successful implementation of projects is to hire an intern from a planning programme or similar field to 'spearhead' and coordinate the projects.

TIP: Start with projects that are short-term and highly visible. This type of project will help get the momentum going by making small but noticeable improvements. A common mistake is to first take on a large project to create a big impact. Too often these projects fail because people lose their energy for the project. Non-visible (behind the scenes) projects should also be put off until the momentum gets going. Non-visible project are rarely recognised by the public and thus are mush less rewarding to the contributors. People will rally around successful projects and efforts, so recruiting for future projects will become easier.

Benchmarking is the process of establishing measurable goals for the completion of specific projects and tasks. Benchmarking should be used to evaluate a project's concept and progress. This should be a scheduled event and act as a platform for modifications and an opportunity to celebrate successes.

(11) Dissemination of the Results

After the report has been finalised, it is printed in sufficient quantities to enable dissemination to all the major stakeholders, including relevant parliamentary agencies or ministries, industry and non-governmental organisations. Other interested groups and individuals may also have requested copies prior to the event and such requests can be expected for a time after the event. Additionally, each participant should have multiple copies for personal distribution. The project management team may also require copies if they plan to make presentations to groups or conferences in the future. In addition to the formal report, the results can also be disseminated through venues such as press releases and conferences, lectures, exhibits, websites and other new media.

COMPARATIVE CHART FOR PARTICIPATORY METHODS

Method	Objectives	Topic*				Participants	Time		€
		Knowledge	Maturity	Complexity	Controversial		Event	Total	1-4
Charrette	Generate consensus among diverse groups of people and form an action plan.	+/-	+/-	-	+/-	Average citizens or stakeholders. Others give input.	1-5 days	2-3 months	3
Citizens Jury	A decision that is representative of average citizens who have been well informed on the issue. Aims	+/-	+/-	+/-	+	12-24 randomly selected citizens. Experts, stake-holders & politicians give input.	3 days	4-5 months	4
Consensus Conference	Consensus and a decision on a controversial topic.	+	+/-	+	+	10-30 randomly selected citizens. Others give input.	3 weekends	7-12 months	4
Delphi	Expose all opinions & options regarding a complex issue.	-	-	+	+/-	Experts	Variable	Variable	1-3
Expert Panel	Synthesise a variety of inputs on a specialised topic and produce recommendations.	-	-	+	+/-	Experts	Variable	Variable	2
Focus Group	Expose different groups' opinions on an issue and why these are held (reasoning).	+/-	-	m	+/-	Stakeholders and/or citizens	2 hours – 1 day	1 month	1
PAME	Evaluating and learning	+/-	+/-	+/-	+/-	All stakeholders	Variable	Variable	Var
Planning Cells	Citizens learn about and choose between multiple options regarding an urgent & important issue. Develop action plan.	+/-	-	m	-	25 average citizens. Experts & stakeholders present positions.	5 days	5 months	4
Scenarios	Planning and preparedness for uncertain future. Vision-building.	-	-	+	+/-	Anyone	2-5 days	6 months	1-3
World Café	Generating and sharing ideas	+/-	-	-	+/-	Anyone	4 hours – 1 day	1 month	1

Legend: Explanation of chart symbols:

*Topic	+	m = medium	-
Knowledge	A lot of common knowledge exists.		There is little common knowledge.
Maturity	Most people have already formed opinions on the subject.		The subject is new; people are still forming their opinions.
Complexity	Highly complex or technical		Not very complex or technical
Controversial	Highly controversial		Not very controversial

Note: +/- means that the method can address subjects with either + or –.

€ : 1 = inexpensive; 2 = moderate; 3 = expensive; 4 = very expensive

Charrette

I. DEFINITION

Charrette is an intensive face-to-face process designed to bring people from various sub-groups of society into consensus within a short period of time. The pre-Charrette planning breaks the main issue into component parts, to which sub-groups of people are assigned. The subgroups periodically report back to the whole group and feedback from the whole is then addressed in the next round of sub-group discussions. This sequence is repeated until consensus is reached at the final deadline for a report. Charrettes vary in size, from 50 to over 1,000 people, and in time, from four days to two weeks.

II. WHEN TO USE

Charrettes have often been applied to development, design and planning projects at the local community level, but can be adapted to address other topics and geographical areas. In general, a Charrette will:

- assemble practical ideas and viewpoints at the beginning of a planning process
- encourage input and collaboration from a wide range of participants
- facilitate decisions on difficult issues when a process is mature
- resolve indecision or deadlocks between groups toward the end of a process
- develop feasible projects and action plans with specific practical steps for the successful development of projects based upon citizen input
- identify potential funding sources for projects.

III. PROCEDURE [1]

A. Overview

The Pre-Charrette: The pre-Charrette phase focuses on developing and working with a steering committee that will determine the primary focus of the Charrette and handle the logistics for the next two phases. It is suggested that the steering committee work with the Charrette facilitator to identify a preliminary set of issues to be addressed during the Charrette.

The Charrette Workshop: The Charrette workshop is an intensive planning and design workshop involving participants in assessing needs, interviewing stakeholder groups, prioritising issues, developing recommendations, identifying specific projects and generating implementation strategies.

The Post-Charrette: The post-Charrette phase comprises the preparation of a final document that outlines strengths,

[1] This section is largely a reproduction of Segedy, J. and Johnson, B. *The Neighborhood Charrette Handbook: Visioning and Visualising Your Neighborhood's Future.* (See references.)

challenges, recommendations, specific projects, actions steps and potential funding sources. It also includes preparing and delivering a formal presentation that is open to the public. It is during this phase that implementation begins.

B. Realisation

1. PERSONNEL AND TASKS

(a) Project Manager

The project manager can be one person or a team. The responsibilities of the project manager are as follows:

- oversee the entire process
- identify citizens who will be in charge of establishing the steering committee
- printing and disseminating the final report
- serve as a contact person for post-Charrette activities.

(b) Steering Committee

TIP: To begin the process and to see it through to its ultimate fruition it is usually best to identify a diverse group of citizens who can serve as the coordinators and facilitators of establishing a strong steering committee.

This is a community effort. Create a citizen action group that represents a broad base of community interests (which will vary depending upon the issues addressed) according to the following guidelines. The Committee should:

- comprise between 9 to 15 persons
- ensure diversity of opinions and ideologies
- include people actively interested in the issues and their solutions. For example:
  - members of the business community
  - neighbourhood/citizen/homeowner associations
  - elected officials (local, regional, national, supranational)
  - academic specialists
  - technical experts
  - church/religious organisations
  - youth
  - service groups
  - public/private schools (faculty, staff, students, administration, etc.)
  - senior citizens
  - persons from adjoining cities, regions, etc. (as applicable)

The responsibilities of the steering committee include:

- coordinating Charrette activities
- establishing timeline and meeting schedule

- establishing a preliminary list of issues/the Charrette focus
- arranging for financial support and managing the Charrette budget
- assisting in workshop facilitation.

2. THE PRE-CHARRETTE

(1) Issue/problem identification

This is a very important step in the process. The stakeholders must first determine that they want to get involved in this process and are willing to do something with the results. While the Charrette workshop itself is a community-wide endeavour, it begins with the efforts of a few dedicated leaders that will establish the foundation. They must:

- define the primary and secondary issues related to the project
- determine the scope of the project
- identify the geographic area of the project (if applicable).

(2) Identify and invite Charrette participants (team)

Arrange to have an appropriate facilitator.
The Charrette 'team' is usually a group of individuals with a broad range of skills and backgrounds. The team will be primarily responsible for producing the tangible results of the workshop. Sometimes, all interested persons are welcomed to participate in the Charrette, either as members of the Charrette team or more casually as observers.

TIP: There are advantages and disadvantages to having local and outside team members. Local members bring unique insights to the process while outside members can bring a fresh, and objective, viewpoint to the activities. It is important that the team be assembled for its skills, not just for the interests of the individual members.

(3) Develop community relations and public awareness

The key to making the Charrette an integral part of a successful community effort is an informed public. Please refer to the suggestions provided in the section of 'General guidelines and tips'.

(4) Assemble support information

An effective process begins with good information. Much of the Charrette process builds on public input, but a solid base of technical information is critical to having accurate information. The type of information required will depend upon the topic. However, often existing plans and historical profiles are especially useful. It will always be necessary to:

- identify key players in the community and
- document existing conditions. Some possibilities include:
  - governmental regulations

- reference materials and examples of related projects
- photos
- maps
- previous planning documents
- studies or reports
- demographics and/or statistical information
- video/photographs/sketches
- surveys
- historical profiles (newspaper files, photos, archives, historical societies, books, etc.)

TIP: It is strongly suggested that the Charrette has a strong visualisation component. This means that the products of the Charrette will include an ample amount of pictures and drawings to help illustrate the issues and ideas that arise from the process. To facilitate this, slides and/or prints of the study areas (if applicable) should be taken prior to the actual Charrette. These snapshots can then be used as the basis for before/after comparisons.
Aerial photographs can also be very helpful in illustrating large-scale and site associated issues.

(5) Logistics

The actual Charrette workshop is the most visible aspect of the process. If the planning is well executed beforehand, the Charrette itself – while often an example of 'organised chaos' – will be a fun and productive opportunity for the community to build and visualise its future.

Several months prior to the Charrette:
Hold an organisational meeting with the steering committee and the Charrette facilitator to set goals and arrange a basic schedule. The steering committee should hold regular meetings to ensure that all necessary preparations are being made.

The following need to be arranged:

- Establish dates.

It is not possible to find a 'perfect' date, but every effort should be made to minimise conflicts. It should also be noted that the 'days' do not have to be contiguous. In some cases it is better to have several days between sessions to allow the team and community to 'catch its breath'. However, spreading the process out over too long a period of time will lose momentum and public interest in the process.

- Establish the location for the Charrette workshop.

- Prepare the schedule for the Charrette workshop.

The actual schedule must be flexible. Public meeting times should be firm and closely adhered to, but you do not want to miss out on spontaneous opportunities or stop creative energy just to keep on schedule.

- Make a list of participants to be invited (particularly experts and specialist interest groups) and send out invitations.

TIP: Charrettes require discipline and may become difficult when particularly vocal individuals – who do not respect others – are invited to attend.

- Meals should be arranged for the Charrette team/participants.

TIP: Some food can be catered to the location and some can be off-site. Local restaurants and/or service groups can donate/prepare meals. It can be motivating to invite participants in the morning sessions to stay for lunch.

- Arrange accommodation for out-of-town participants and transpor-tation to and from the Charrette facility location.

- Provide materials and supplies. [2]

<u>One month prior to the Charrette:</u>
All plans should be finalised.

- Send out first press releases.

3. THE CHARRETTE WORKSHOP

The following is a sample schedule for the Charrette workshop; it can be varied.

<u>Session #1: Steering Committee Meetings/Charrette Team Meetings</u>

Goal: to develop a working relationship between the Charrette team and the steering committee.

This can be held the night before the workshop, at or after dinner or at a breakfast meeting. The steering committee and Charrette team should introduce themselves, providing a short background and some interests. Then the steering committee can share and explain their issues list with the Charrette team.

TIP: An informal setting and casual conversation is more effective at this stage.

[2] Refer to the General Guidelines for a list of commonly required supplies.

Session #2: Context Development

First day, morning.

Goal: to get a first-hand look at the community for the Charrette team and provide the Charrette team with an of the background information and – if applicable – a first-hand look at the issue being addressed.

If the issue being addressed has a physical component, a tour of the area can be arranged for the Charrette team and the steering committee. The following should be done in this session:

- The steering committee summarises its interests. A list of these interests should be attached to the wall so that it is easily visible in the room.
- View any videotapes or slides on the issue.
- Study maps, photos, etc. (if applicable).
- Review planning reports and other technical documents.

Session #3: Interview and Input Sessions

First day, morning.

Goal: to provide the opportunity for diverse citizens' and public groups to discuss issues with the Charrette team.

- Divide the study team into small groups to facilitate interaction and effective communication.
- Schedule interview times so that each group can be properly heard. Each interview session should run approximately 45 minutes; multiple groups can be interviewed simultaneously, each with its own facilitator and recorder.
- Allow time for questions from the Charrette team (about goals, needs, liabilities, assets, etc.).
- After the interview session, give each participant a strip of colour dots and ask them to 'vote' for the most important issues by placing the dot next to the issue(s) on the list that is on the wall. They can put all their dots on 1 issue or distribute them as they see fit. This helps prioritise the issues.

Session #4: Team Analysis and Issue Clarification

First day, afternoon.

Goal: to provide an opportunity for the Charrette team to assimilate and discuss observations and prepare for the public meeting.

This is a critical regrouping of the Charrette team to brainstorm, share ideas, do initial analyses (such as SWOT), develop preliminary observations and recommendations and prepare for the evening public session.

Session #5: Open the Doors -- Community Discussion and Feedback

First day, evening.

Goal: to summarise the Charrette team's initial impressions in order to provide the community with preliminary assessment and analysis and to obtain broader citizen input and feedback.

Charrette team: summarise input and analysis:

- Present SWOT (Strengths, Weaknesses, Opportunities and Threats) and/or any other analysis results.
- Present goals, objectives and priorities (from dots exercise).

Community:

- Provide feedback on the Charrette team's initial impressions.
- Confirm or redirect the focus.

Sessions # 6 - ?: Development of Goals and Objectives/Recommendations

Goal: to develop proposals and solutions in response to the specific issues.

- Create a smaller working group for each priority issue and divide participants into each group. Each sub-group should contain at least one specialist/expert on the specific issue.
- The sub-groups meet to generate proposals and solutions for their specific issue.
- The whole group comes together to present the ideas of the sub-groups, discuss, make suggestions and coordinate their sub-projects, etc.
- The sub-groups meet again to revise their proposals/plans, incorporating the input received from the whole group. This process of pulsing between the sub-groups and the whole continues as necessary (or as time permits).

TIP: Ideally, the workshop should comprise at least four days to allow time for enough feedback cycles.

- At the end of this pendulum process, the whole Charrette team and the members of the steering committee meet to finalise their ideas, coordinate their projects and recommendations and prepare action plans for each project team.

The final session will be the presentation of the Charrette workshop results to the community. Here, this is presented as part of the post-Charrette activities.

4. POST CHARRETTE WORKSHOP ACTIVITIES

The post Charrette activities can be broken down into three steps, each of which will be elaborated below:
1. the document and presentation preparation
2. presentation and approval
3. implementation and benchmarking.

(a) Document and presentation preparation

Following the completion of the Charrette workshop the Charrette team should first complete the following items:

- a newspaper 'tab'
- a reader/user friendly document
- formal presentation materials.

The newspaper 'tab' (a specially printed newspaper insert) should be printed and delivered with relevant newspapers or other community media. This insert should include a summary of the findings, ideas, projects and recommendations. The newspaper tab has several purposes: first, to give the general public a chance to learn about what is happening in the community; second, to further solicit input and information (a planning process is never finished) and third, to interest and encourage people to attend the final presentation. Make sure there is at least a week between the publishing date of the newspaper tab and the final presentation.

The 'final document' should be completed using the information and ideas collected to date and should be finalised after the final presentation (there will surely be some minor changes following the presentation). It is critical that the final report be:

- action oriented
- user friendly
- positive
- free of jargon
- highly visual
- in 'bulleted' format
- explanatory (not just descriptive).

Formal presentation materials should include slides and a handout. Slides of drawings, project concepts, character/design samples and existing conditions are most useful. The handout should summarise the entire project for those who may not have been involved prior to the presentation (the newspaper tab can be used for a handout).

(b) Presentation and Approval

Goal: to present Charrette findings to the community.

Hold a public meeting and conduct the graphic and verbal presentation. Present the challenges of following through with the projects. Following the presentation, ask for questions and comments. Assign someone to document all of the comments.

TIP: The final presentation must be thoroughly advertised and take place in a politically neutral facility which is easy to find. A verbal presentation in conjunction with a slide show is generally the best format.

Following the presentation, the final document should be modified, if necessary, according to comments at the final presentation. The document should then be approved and adopted by the steering committee.

(c) Implementation and Benchmarking

Finalising the Charrette is only part of the overall process. For tips on implementing the results of the Charrette, refer to the general section.

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

Advance preparations are extensive. At least two to four months may be required to gather background materials and expert participants. The process itself usually takes a day (but at least four days are recommended). A shorter Charrette (two or three hours) may yield only a limited number of ideas.

Cost factors include ample meeting space, background materials, an experienced facilitator, resource people and on-site supplies. It may also be necessary to cover travel and accommodation, hospitality and compensation for individuals who must take time away from their regular jobs to participate.

The following items listed are the main budgetary items in a Charrette:

- Personnel
  - project manager
  - steering committee (9-15 persons)
- Travel
- Accommodation
- Food
  - meals for Charrette team and participants
- Recruitment and promotion
  - invitations to participants
  - Charrette promotion and advertising
- Communications
- printing of draft and final report
- Facilities

- location for Charrette event
- location for public presentation of the final report

- Materials and Supplies
  (See detailed list provided.)

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

- Depending on the definition of 'expertise', an emphasis on specialist participation in a Charrette may exclude community voices from the process. This could cast doubt on the credibility of the overall public involvement plan of which the group is a part.

- The continuous nature of a longer Charrette may exclude some participants who are hindered by a disability.

References and Resources

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Citizens Jury

I. DEFINITION

The Citizens Jury method is a means for obtaining informed citizen input into policy decisions. The jury is composed of 12-24 randomly selected citizens, who are informed by several perspectives, often by experts referred to as 'witnesses'. The jurors then go through a process of deliberation and subgroups are often formed to focus on different aspects of the issue. Finally, the jurors produce a decision or provide recommendations in the form of a citizens' report. The sponsoring body (e.g. government department, local authority) is required to respond to the report either by acting on it or by explaining why it disagrees with it. Usually a 4-5 day process, the Citizens Jury is intended to provide a means for more democratic decision-making.

II. WHEN TO USE

The Citizens Jury method has been applied to a wide range of topics, including economic, environmental, social and political issues. It is most applicable when one or more alternatives to a problem need to be selected and the various competing interests arbitrated. It was invented in the U.S.[1] , but its widest use has been in the U.K. The method is also being used in Australia and has been tried in India and Brazil.

Sponsors are usually government agencies, but can also be NGOs or anyone interested in providing a context in which competing alternatives can be expressed and arbitrated. However, the sponsor(s) should be seen as unbiased toward a particular outcome. The method is most likely to lead to concrete action when it is directly linked to legislation or other decision-making process.

III. PROCEDURE [2]

TIP: The present description of the process is based on the way it has been conducted in the United States. Projects in other countries have often been less elaborate.

A. Overview

Preparation: The preparation of a Citizens Jury is extensive. First, it entails recruiting a project director, staff, an advisory committee and a working group. Second, criteria for selecting the jurors must be developed, a questionnaire created for this purpose and the jurors recruited. Third, the charge of the jury must be established and an agenda developed. Next, criteria for expert witnesses must be engendered and the experts recruited; moderators must also be recruited. Finally, binders of information must be compiled, logistical matters arranged and media contacted.

[1] The U.S. inventor of the process, the Jefferson Center, is now attempting to use the process in conjunction with voting (not covered in this fiche).
[2] The procedure, timing and budget information presented here are a condensed version of the Citizens Jury Handbook, updated and revised edition 2002, by Keiko Veasey, provided by the Jefferson Center (www.jefferson-center.org). Please refer to this source for more detailed information, guidelines and example documents.

The Citizens Jury Event: An introductory day is followed by several hearing days, in which the expert witnesses give presentations and are questioned by the jury and the jury deliberates to come to a consensus on the charge, if possible. Two moderators facilitate the entire process. A draft report of the decisions, reasons and description of the process is produced.

Follow-up: A final news conference is held to announce the result of the jury's deliberations; evaluations are conducted with participants and sponsors and a final report is produced and disseminated.

B. Preparation

1. PERSONNEL AND TASKS

(a) Project Director

A project director needs to be appointed. The project director is responsible for the execution of the Citizens Jury project. (S)he participates in the advisory committee and is the liaison between the project staff, the advisory committee, the sponsor and any other involved entities. It is the director's responsibility to delegate tasks. Depending on the director's skills and the complexity of the issue and project, the role of the director can range from half-time to full-time for 3 – 6 months.

(b) Project Staff

Project staff needs to be hired. The staff is responsible for the execution of the following elements of the Citizens Jury project:

- Advisory committee
- Jury selection, including survey
- Establishing the charge
- Developing the agenda
- Identifying, selecting, recruiting & preparing witnesses
- Logistical issues
- Moderator training
- Managing the hearings
- Wrap-up, follow-up and evaluation
- Media and publicity (coordinate with sponsor).

These steps are not necessarily chronological, many elements require attention simultaneously.

Traditionally the project staff, including the director, is separate from the sponsor (or final policy decision-maker) of the Citizens Jury project. This helps to ensure that no one entity can exert undue influence on the project. The duty of the staff is to protect and preserve the integrity of the process, not to influence the content of the outcomes.

(c) Advisory Committee

Before assembling the advisory committee, the general timeline and scope of the project should be agreed upon by the sponsor and staff (although revisions may occur). Furthermore, funding should also be secured.

Although the make-up and function of the advisory committee will vary between projects, it is composed of approximately 6 – 15 individuals who are knowledgeable about the issues at hand. The committee's role is to ensure that the project staff is aware of the different perspectives and relevant issues so that an appropriate charge, agenda and witness list can be developed.

Two possible types of advisory committees are those that are constituted of 'wise and thoughtful' individuals who understand the issues but are not the stakeholders or advocates in the issue at hand. Alternatively, the stakeholders and advocates can be members of the second type of advisory committee. The 'wise' committee may be less conflict ridden and more manageable, but the project may receive less support from the stakeholders and hence have less impact, if they are not directly involved. In either case, it is important to ensure that all significant perspectives are represented so that the charge, agenda and witness list are not biased.

At the first advisory committee meeting, the Citizens Jury process should be explained and the role of the advisory committee clearly defined. It is essential that members understand that their role is to assist and advise the project staff so as to reflect the relevant issues and varying perspectives in a balanced and objective manner. Advisory committee meetings are facilitated by project staff and should be viewed as an opportunity:

- To gather input and ideas about the charge, agenda and witness list. They may also provide input on the telephone survey, jury demographics, media outreach, etc.
- To build and maintain support for the project from a range of perspectives. Whether or not they agree with the outcomes, all stakeholders should feel that the process is balanced and fair.

(d) Working Group

It can be helpful (albeit not necessary) to appoint a working group, the members of which are more closely associated with the sponsor and may or may not also be members of the advisory committee. The function of the working group is to ensure that the project is being planning in such a way as to fulfil the needs of the sponsor(s). It provides the project staff with a channel to solicit input from and check-in with those closely associated with the sponsor. A working group also allows for candid discussions of input from advisory committee meetings. The working group should consist of fewer than five persons and should include the main contact person from the sponsor to ensure that the sponsor remains 'in the loop' throughout the entire planning process. It will probably meet several times throughout the planning process and can be consulted via email and telephone as questions and problems arise.

(e) Moderators

A Citizens Jury project cannot be successful without qualified and skilled moderators.
Because of the strenuousness of the Citizens' Jury process, it is usually advisable to have two moderators.

The role of the moderators.

The purpose of the moderators is to lead the jurors through what is usually a long and complicated agenda in a way that enables them to understand what they are doing and why and to facilitate the discussion sessions so that the jury arrives at conclusions and clear recommendations.

In deliberations and discussions the moderators aim to ensure fairness, to maintain decorum and to see that the designated topic is adhered to within broad limits. The goal of these sessions is to seek consensus and common ground whenever possible. However, consensus is not always possible, so a vote may be necessary. Several different types of voting, including weighted voting and silent ballots, may be employed in situations, as appropriate. The hearings are not conducted using rules of procedure from the legal system. In contrast, considerable latitude is given to the witnesses to make their statements.

At the conclusion of each day, there is a meeting with all project staff. Since the moderators are most closely connected to the jurors and will have the best sense of how the jury is feeling, it is imperative that the moderators participate fully in the staff meetings. It is the moderators' responsibility to represent the jurors' best interests, while other project staff may be responsible for representing the best interests of the sponsor and the process. If agreed to by all concerned, changes to the agenda may be made to accommodate the needs of the jury. For example, additional discussion time can be added in or a witness may be called back in for clarification.

Another key responsibility of the moderators is to ensure that the charge questions are answered. The moderators must direct the discussion and deliberations in such a way as to focus the jurors on the charge in the given timeframe. The jury may choose to go beyond the charge, but the charge questions are the first priority. In addition, the jury may choose not to answer a charge question or to answer it in a different way, but they must provide detailed reasoning for altering the charge.

Due to the nature of the Citizens Jury project, a team of two moderators is necessary. While the 'primary' moderator leads the jurors through discussion, the 'secondary' moderator observes. Each moderator serves in each capacity throughout the hearings. It is important that the secondary moderator listens carefully to the discussion, observes jurors and witnesses, is on alert for negative jury dynamics, assists with group activities and helps with any necessary recording on flipcharts. Having two moderators also helps in the process of summarising results after each session.

Specific Responsibilities of Moderators.

The specific responsibilities of moderating a Citizens Jury include:

Planning

- Participate in the design of the agenda and charge when possible, bringing to the process the perspective of the person who will lead the jurors through it.

Facilitating

- Keep foremost in consideration the Citizens Jury principle that meeting the needs of the jurors is their primary task, so long as this is consistent with fairness to witnesses and sponsors.
- Be able to monitor the jurors' level of satisfaction with what is happening.
- Help the jurors clarify and refine their statements without putting words in their mouths or leading them in one direction or another.
- Ensure that all the jurors are given an opportunity to express their opinions and ask questions, to make sure all their concerns are aired.
- Be responsible for ensuring that the jurors are treated in a respectful manner and that their needs are met during the intense time they spend at the hearings.
- Create a climate within which the jurors feel good about their tasks, melt as a group and operate with mutual respect.
- Suggest some kind of framework for the jurors to finish putting their ideas together in a timely and organised fashion.
- Work with the jurors to pull out their ideas instead of leading the jurors in order to bring them to a good set of recommendations.
- Keep close track of the timing of the hearings so that neither witnesses nor jurors are shorted in the time they deserve, both for discussion and for breaks.
- Ensure that the rules of procedure are explained to the jurors and are followed throughout the proceedings.
- Be aware of the format and goal of each session, so as to direct the flow of conversation appropriately.
- Facilitate the interaction between the jurors and the persons brought in as expert witnesses or advocates. Depending on the format, the persons appearing before the jury may give a formal presentation first or simply be available to answer the jurors' questions. If a formal presentation is given, the moderator will need to listen carefully and be ready to involve the jurors in the discussion.
- Ensure that there is no inappropriate lobbying going on amongst the jurors or between stakeholders and jurors.
- Question the experts directly, if the jurors seem reluctant or unable to do so and a clear majority of the jurors wishes this to be done. The goal is to let the jurors ask the questions, but at the beginning of the process the jurors may be shy about this. Also, if the topic is complicated, they may just not know how to begin. The moderator can help with questions or prompting of the jurors.
- Facilitate the interaction among the jurors themselves in the sessions in which they frame questions, reach conclusions or develop recommendations. This work will usually involve restraining the very vocal jurors and bringing out the ideas of the quiet jurors. Sometimes the goal is a consensus conclusion and at others a vote is taken. In either case, jurors will be asked to explain their conclusions and the moderator needs to help them not only reach their decisions but be able to articulate their reasons to the public.

Meeting with Staff

- Be advocates of the jurors when uncertainties arise within the project staff. Always represent the jurors' best interests.
- Work cooperatively with other project staff, before and throughout the hearings.

Evaluating

- At the conclusion of the process suggest any improvements for future projects.

The Jefferson Center (www.jefferson-center.org) has developed a Moderator Training Guide for Citizens Jury Projects, which can be referred to for more detailed information on moderating Citizens Juries.

It is essential for the project staff to meet with the moderators and discuss the process and the project with them and make sure that they understand the unique elements of moderating a Citizens Jury project. It is also very important for the two moderators to get to know each other and each other's working style prior to the hearings. The moderators should play a role in establishing the charge and developing the agenda.

2. JURY SELECTION

A Citizens Jury is designed to be a microcosm of the population covered by the project (in all important and relevant ways), so jurors need to be chosen in a way that ensures this.

- The first step is to clearly define the relevant population, which is determined by the scope and purpose of the project. The population may be as narrow as a subsection of a community or as wide as an entire transnational community.
- The second step is to decide on which specific demographic variables to base the jury selection. What characteristics of the population need to be reflected accurately in the jury in order to make it a microcosm of the public? Some common demographic variables include age, educational attainment, gender, geographic location within the community and race. Often a sixth variable is added. This can be a demographic characteristic, such as tax paying status for a given year or health insurance status, etc. Alternatively, it can be an attitudinal question, such as one's opinion regarding European monetary union. Other variables can be incorporated as well, but the sponsors, project staff and advisory committee should carefully weigh the usefulness of each variable. The final constitution of the jury will reflect (or nearly reflect) the actual percentage of the population that falls into the sub-categories.

3. JUROR RECRUITMENT

(1) Survey

Use of a random survey to form the jury pool is an essential part of a Citizens Jury. Identifying potential jurors on a random basis establishes credibility for the project. The survey can be conducted by telephone (if legally permitted), in which case telephone numbers can be purchased or a random selection from the public telephone book can be used (such as calling every fourth listing with two even numbers in the last four digits of the phone number or any such random procedure). Alternatively, recruitment can be done in person or by mail.

(2) Survey Questionnaire

Regardless of whether the initial survey is conducted via telephone, mail or in person, a questionnaire will be required to grab the interest of the potential participants, provide a brief description of the project, to establish its credibility (by mentioning key sponsors) and to inform about the kind of time commitment required and any payment being offered. If the respondent says (s)he would be interested in participating, additional questions should be asked to establish his/her demographic details. Then the potential participant should be told that more information will be sent out immediately.

TIP: In order to keep track of the survey calls and potential jurors as well as to generate letters, a computer with a database and print merge capability will be needed. After completed questionnaires have been entered into the database, a letter should be produced for each potential juror from that day. A control number should be assigned to each survey respondent. The number will be used as the identification of the potential juror until the final selection is established. This helps to prevent bias in the selection process.

(3) Sending initial materials to those considering participation

The day after the initial contact a packet of materials should be sent to the respondents who said they would or 'might' be interested in participating. The packet for potential jurors should include:

- a covering letter explaining the project
- a form to fill out and return
- a small stamped envelope for returning the form
- a fact sheet on the project.

When forms are returned, this should be indicated in the database and the corresponding control number should be clearly indicated on the form, which should be saved.

(4) Selection of jurors and alternates

There will be a pool of people in each category who are willing to participate. The staff must then choose the jurors and alternates needed for the right balance in each category and notify them that they have been chosen as jurors or alternates. It is advisable to first call to confirm the selected jurors and then arrange for the alternates (in case a juror does not show up). Alternates should be asked to come the first morning.

TIP: If all the jurors arrive on time, the alternates will be dismissed. If a juror needs to be replaced, the alternate that is demographically the most similar will be seated as a juror. Alternates are typically paid an agreed upon sum if they are dismissed. If they are seated, they receive the same stipend as an original juror. It is advisable to select three alternates for 18 – 24 person projects and two for 12 person projects.

(5) Notification of jurors and alternates

4 – 8 weeks before the jury hearings, a phone call should be made to the selected jurors and alternates, confirming their participation. In addition, a formal letter acknowledging their selection and providing detailed information should be sent. A sample information packet to a selected and confirmed juror includes:

- letter
- juror expectations sheet
- maps, if necessary
- lodging/parking/special needs information
- stamped return envelope, if necessary.

TIP: It is highly advisable to make one or more follow-up calls, including one on the week before the jury event.

A letter of thanks should be sent to those potential jurors who were not selected for the jury. It should include a note about how to find information about the process.

4. ESTABLISHING THE CHARGE

The charge is one of the most important elements of the entire project. The charge will guide the agenda, the witness selection, the deliberations and the form of the recommendations. It must be clearly written and focused but without directing the jurors towards any bias. The charge defines the scope of the project, so it must present a manageable task to the jury.

The project staff can draft a preliminary charge after consultation with the sponsors. This draft can then be revised and refined after further consultation with sponsors, partners, moderators and advisory committee members. It is the responsibility of the project director to ensure that the charge is worded in such a way as to meet the needs of the sponsors, to be unbiased, focused and allow for useful recommendations to be developed in response to the charge.

The charge questions can be separate questions or it can be a series of linked questions that build on one another. Ideally, there should not be more than three charge questions, including sub-questions, but it can be difficult to appease all of the involved parties.

5. DEVELOPING THE AGENDA

Since key components of a Citizens Jury are the education of the jurors and the opportunity for thoughtful deliberation, careful attention needs to be paid to the structure of the agenda for the introductory, hearing and deliberation days. The agenda is based upon some preliminary decisions that are made by the advisory committee and/or working group,

including:

- goals and objectives of the project
- scope of the project
- charge to the jury
- issues to be addressed
- timing of the hearing and number of days scheduled
- form of the final conclusions.

In addition, the following matters should be considered in setting the agenda.

In the education process of the jurors, there must be enough information presented to enable them to have a good grasp of the issue at hand, but not an overdose of information. The information must come from several points of view, balancing the perspectives of all relevant stakeholders. Enough time should be provided for jurors to discuss what they are learning, for them to have their questions answered and for them to deliberate and reach conclusions on the final day.

The hearings are organised to utilise expert witnesses or presenters. One must decide when to make use of 'factual' information and when to utilise advocates to present specific views or arguments. Staff need to consult with advisors to recruit competent 'witnesses' who can answer jurors' questions about the issues.

Staff will have to decide how much information – if any – should be sent out to the jurors in advance and then do so.

TIP: Some jurors say they would prefer to receive all materials in advance for their perusal before arriving at the jury. However, there are risks involved. Jurors who are not good at reading may find the information intimidating and may not show up on the first day. Furthermore, since not everyone will read it, jurors will arrive with different levels of preparation for the project.

The staff and advisors need to design an agenda framework that divides the information sessions into logical steps in acquiring the education needed. The information should flow easily from an orientation to the Citizens Jury process to a general introduction to the material and finally into the details of the issue. Enough time should be allowed along the way for the jurors to understand how their own backgrounds or values may be influencing their interpretations. Allowing time for the jurors to tell their own stories relating to the topic is important for giving them ownership of the subject and process.

6. SELECTING AND RECRUITING EXPERT WITNESSES

Expert witnesses include all persons who aid the jurors in understanding the issues central to the charge to the jury. This goes from the neutral resource persons, who introduce the vocabulary and history of the topic, to the experts, who either discuss all the options or advocate one point of view.

(a) Definition of the role of expert witness

The role of the expert witnesses is to help jurors understand all aspects of the topics included in the charge to the jury. Because the topics may be ones that the jurors have not thought about before, witnesses need to be able to explain the complexities in a language that average citizens can understand. In most projects, the witnesses will give brief presentations that sketch out their perspective, but at least half of the scheduled time will be devoted to jurors' questions.

(b) Neutral resource persons/presenters

The role of neutral resource persons is to familiarise the jurors with the vocabulary of a complex topic, to explain the history behind a current problem and sometimes to lay out – in a non-partisan or unbiased manner – possible options for solutions to the problem. These persons may only participate at the beginning of a project, to set the stage for advocates who will argue different points of view. Alternatively, they might be hired as experts who will accompany the jurors through the entire project in order to assist them with questions they may have as the other advocate witnesses present their opinions. However, this latter approach risks introducing biases into the project and must be done with great care.

(c) Options for advocate witness selection

The advocate witnesses can be chosen in various ways:

Advocates can be selected to present each competing point of view in an adversarial context. In this case, the advocates choose their own witnesses for the panels that consider different aspects of the problem. In this scenario, a neutral resource person is usually chosen to orient and advise the jurors.

In another method, project staff can choose a balanced group of experts, making sure to find witnesses to represent both (or all) sides of the issue or to choose individuals who can discuss all sides. There are two models within this method:

- Separate experts present specific positions that they favour or
- Panels of experts, both academics and practitioners, discuss all sides of the issues.

(d) Review of witness criteria

In the planning stages, the advisory committee may adopt criteria for selecting the panels of experts. The staff, advisory committee and sponsoring organisation should brainstorm to define the full range of existing points of view on the topic at issue. An attempt should be made to include all points of view within the scope of the jury's charge.

When selecting witnesses, the staff needs to know whether witnesses are supporting a particular position. It may also be necessary to consider criteria such as employment for a particular organisation that stands to gain financially from a

particular solution.

In the case of an advocacy method, it is important to choose advocates of equal status and capability for all sides, so that the jurors are not swayed more by the advocate's talent or personality than by the facts presented. This is generally a challenge, because some people present better than others.

The advisory committee should decide whether to make an explicit attempt to include diversity as a criterion for witness panels. A diverse panel can improve credibility for the jury panel (which is itself diverse), for the public and policy makers who follow the proceedings and for the media who reports the results.

Once key decisions are made about the method of witness presentation and the agenda, the staff needs to create lists of possible witnesses for each witness 'slot', including neutral resource persons, advocates and experts.

TIP: Advice on possible witnesses can be sought from many sources, in addition to the sponsors and advisory committee members, such as: academics from a variety of universities, professionals or policy makers in the field, legislators, private and governmental agencies, think tanks or institutes, business leaders or chambers of commerce, interest groups or lobbyists, reporters, special advocacy organisations.

(e) Recruitment of specific individuals

It is recommended to make initial contact with a possible witness by telephone. However, one can also first send a letter or fax. Provide a concise description of the project and the role of the witnesses. The witness selection criteria should also be mentioned. Determine whether the person is interested and available on the hearing dates. If the person is interested, a covering letter with follow-up materials should be sent immediately.

TIP: Sometimes it is necessary to contact more witnesses than will actually be needed in order to have enough from which to draw a balanced panel and ensure that they can all come on the day chosen.

(f) Materials to send to witnesses

The information packet for the selected witnesses can include some or all of the following:

- a covering letter
- information about the Citizens Jury and the role of the witnesses
- witness guidelines
- details about the current project, including the charge to the jury
- information about the topics the witness is being asked to cover in his/her presentation
- specific date(s) and time(s) for the witness's presentation(s), as well as the time limit
- inquiry about the audio/visual equipment required by the witness

- request for background information and/or a brief position statement
- request for witness to prepare copies of any presentation handouts
- request for a one-page summary of the witness's position or a questionnaire
- information about the specific location of the hearings
- travel vouchers or reservation information
- information on any hotel accommodation that will be provided.

This information can be sent in two stages, if preferred.

Once a final selection has been made, any experts who are not needed or who are not available on the appropriate day should be contacted.

(g) Confirmation

About a week prior to the hearings, the project director should call all witnesses to confirm their participation, remind them about the details, answer any questions, nudge them to return information and forms if they have not done so and to check on audio-visual equipment requirements.

7. LOGISTICAL ISSUES

(a) Site choice

The staff is responsible for finding and reserving a meeting location, handing all the site details during the event and making hotel reservations for all persons who require accommodation.

The meeting room should be large enough to accommodate a U-shaped table set up to seat the jurors comfortably. It should be large enough to allow jurors to split up into four or five groups or – even better – the site should have smaller rooms available for this purpose. The moderator and witnesses will sit or stand at the open end of the U-shape, so allow space for a podium, table and projector. The room must also have sufficient electrical power to accommodate the electronic media.

The following items will (or might) be necessary:

- at least two flip charts on easels
- space to hang the flipchart sheets
- tape or tacks to hang sheets
- projector (for power point presentations)
- a projector screen
- a podium (for individual speakers)
- a table (for panels)

- a microphone
- bathroom facilities
- a photocopy machine
- telephone
- laptop computer
- printer
- video camera
- extra chairs
- pens, pencils, paper.

If an audience is expected, additional chairs should be set up in an unobtrusive location behind the jurors.

(b) Food and Accommodation

Arrangements will need to be made to provide the following:

- meals during the hearing days
- hotel accommodation, as required
- parking
- travel arrangements
- travel reimbursements
- stipends.

(c) Information

Prepare the following materials:

- Juror Binders
  Include background information, project overview, description of the Citizens Jury process, list of participants, charge, current agenda, witness list, rules of procedure, blank paper, copies of witness presentations, a set of dividers and space to insert handouts and additional notes, etc.
- Staff Binders
  These should include the same information as the jurors' binders, as well as a telephone list for all relevant persons (staff, jurors, witnesses, advisory committee members, caterers, etc.), a detailed list of logistical details, such as break times.
- Public Information Materials
  A table should be set in a convenient yet unobtrusive location to set out public information materials.
  This may include additional press packets and information for the general public. Include: Project overview, description of sponsoring organisation(s), charge, agenda, witness list, juror list, extra copies of witness handouts, sign-up sheet for final report (including name and address).
- Media Briefing Packet
  Some possible contents include: agenda, project contact person and phone numbers, philosophy of the Citizens'

Jury, project overview, revised schedule, jury selection explanation, juror list, reporting information, expert witness panel lists, advisory committee list, sponsoring organisation information, list of sponsors, additional information on the issues to be discussed, commentary.

C. The Citizens Jury Event

1. INTRODUCTORY DAY

Various housekeeping details need to be addressed on the first day. The morning of the first day is usually devoted primarily to orientation of the jurors to the process and to each other. It is important to focus on the importance of the jurors and the central players in the project and to build this notion in their minds. Time should be allowed for the following:

- Jurors introduce themselves to each other.
- Staff reviews the background of the Citizens Jury concept.
- Staff explains the details of the current project.
- Distribute guidelines and rules of the procedure.

TIP: IAfter the jurors state their name, where they live and what they do for a living, the moderators can pose a question for each juror to answer. The question should not be too personal or controversial but something that will provide a bit of unique information about each individual. It is also important to encourage the jurors to learn about each other through discussion of their own experiences concerning the issues they will investigate further with the expert witnesses. This helps to get biases on the table as well as to create a group feeling.

If the process will involve many decisions made by voting, jury members should be introduced to the voting process early on so that they are comfortable with it.

2. HEARING DAYS

The next days are dedicated to the education of the jurors through the presentations and questioning of expert witnesses. The amount of time dedicated to this can vary.

In most juries, advocates are used to present opposing cases for particular points of view. The advantage of this is that jurors hear consistent cases, pro and con, from start to finish. The disadvantages are the adversarial nature that this approach builds into the process and the reliance that the jurors must place on the advocate for the choice of witnesses and presentations. If the jury concerns a highly contentious issue, the advocate system may be necessary. If this approach is chosen, the hearings should begin with some factual background information to provide the context of the different views that will be presented.

In cases where the issue is not highly contentious, it may be more productive to let the jurors sort out the issue without being directed by advocates and rather have them assisted by experts carefully chosen by the staff. This system allows the witnesses to express their opinions freely because they are not limited to advocating only one point of view.

It can be useful to utilise panels when a number of different perspectives on the same issue are presented. For example, each perspective can be given a set amount of time for a presentation, followed by clarifying questions. After all perspectives have been presented, construct a panel with each presenter as a member of the panel. The jury can then ask questions to several members of the panel at the same time. The panel structure helps to illustrate the areas of agreement and disagreement between the various perspectives.

Allow plenty of time for the jurors to discuss and deliberate throughout the week. Some of the discussion in the early parts of the hearings will be to assist the jurors in processing the information they hear. At other times, the discussion will take the form of deliberations. If the agenda is divided into stages, the jurors may deliberate and reach certain conclusions after each of these stages.

Staff should be ready to provide material to help the jurors organise the information they hear, such as colour-coded sheets to take notes on different sections of the charge. The staff can develop scoring sheets and voting forms and provide other materials, if requested by the jurors.

During the hearing days, the staff needs to monitor the comfort level of the jurors with the agenda. It may be necessary to adjust it somewhat. Jurors tend to become more talkative as the process progresses, so a question period that is long enough on the first day may be too short on the third day. Ideally, however, the agenda should be defined in advance and remain unchanged.

It can be very useful to hold a staff meeting at the end of every day of the hearings. This can include the project staff, moderators and sometimes representatives of the sponsoring body or partner organisations. These meetings should be run by the project director and can be used to discuss the day, the next day and any issues that may have been raised during the hearings.

3. DELIBERATIONS

The final stage, which may last a day or longer, is for deliberations aimed at reaching conclusions on the charge to the jurors. At this point, a clear charge to the jury will be a great advantage because it frames the deliberation discussions and will lead to clear decisions, either by vote or consensus.

TIP: The moderators should have a clear understanding of the kind of decisions the jurors must reach and a strategy on how they can best get there. Moderators need to take a very active role in moving the discussion along to cover all the necessary points.

Different kinds of deliberation strategies are needed for different juries. If the jury charge is a fairly straightforward vote or decision, the deliberations should probably be done with the whole group. If the goal is more complex, like designing a reform plan, it may be better to divide the job into pieces and have the jurors split into small groups to work on different sections. The groups can then report back to the whole and discuss the results in order to find an agreement. Ideally, the work of the small groups should be typed up and brought back to the whole group so that everyone has the proposed language in front of them as they discuss it. Once the jurors agree on their conclusions, these are typed up and brought back to them again so that they can review their final product and give their endorsement or request changes. This final review is an essential part of the process.

TIP: It is useful to have a staff member and a laptop computer present at deliberations so that the recommendations can be typed, printed and copied and then presented to the group as a whole.

In answering a charge question, it is necessary to provide background information on how the jury arrived at a specific recommendation, especially if the charge question is framed as a 'yes' or 'no' type question. This background information may consist of rankings of the various options, votes on the various proposals presented, pro/con evaluations of the options, etc. This information is often the most useful piece to the sponsors and stakeholders because it provides the justification for the recommendation.

D. Follow-Up

1. EVALUATIONS

After the jurors have concluded their work (and before the news conference), they should be given an evaluation form and time to complete it. Evaluation forms can also be given to each of the witnesses – as well as to the staff and other project participants. Include at least one standardised question, asking their opinions about the fairness of the process.

2. FINAL NEWS CONFERENCE

The jurors should be prepared for the final news conference and they should elect two spokespersons (usually one male and one female) to present their work to the media and public. They should be briefed on the questions the reporters may ask and provided with a copy of the initial project report before the conference.

3. DE-BRIEFING WITH SPONSORS AND PROJECT STAFF

Another part of evaluating the project involves meeting with the sponsors and staff to share opinions about the success of the project and suggestions for improvement. This should take place soon after the completion of the project.
A celebratory atmosphere can facilitate the ease of the conversation.

4. MEDIA

All newspaper articles about the project should be collected and selected ones will form part of the final report. In addition, people can be recruited to record radio and television news broadcasts. If the jury proceedings have been aired on the radio, staff should ask the station to keep track of the comments on listener hotlines.

5. DISSEMINATION OF THE FINAL REPORT

Once the final version of the Citizens' Jury report has been prepared, it should be distributed (with letters of appreciation) to the sponsors, staff and all participants in the Citizens Jury as well as made available to the public.

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

A. Timelines

The complexity and contentiousness of the issue will have the greatest impact on the project's timeline. However, a Citizens Jury project should not take more than 4-5 months to plan, once funding is secured. (Shorter times are possible with the simpler processes, such as those sometimes used in the U.K. or Australia.) Two possible ways of structuring the Citizens Jury are presented here. Both timelines begin AFTER a contract or agreement has been signed and funding has been secured.

The first timeline divides the planning into two separate phases, with most of the planning occurring in Phase One and implementation occurring in Phase Two. The primary advantage of this structure is that the sponsor is given an opportunity to evaluate the progress of the project prior to the initiation of the survey (which is a significant cost). The sponsor can suggest changes regarding the charge, agenda, witness list, etc. and allow more time for revision of the plans or (s)he may choose to terminate the project. However, Phase One is very intensive, requiring considerable work from the staff and presenting potential scheduling difficulties for the advisory committee members.

PHASE ONE	
Week 1	Establish working group
Weeks 1-2	Select advisory committee
Weeks 1-8	Consult with working group
Week 4	1st advisory committee meeting: develop preliminary charge, agenda, witness list
Week 6	2nd advisory committee meeting: charge, agenda, witness list development
Weeks 6-9	Design phone survey
Week 7	3rd advisory committee meeting: further develop preliminary charge, agenda, witness list
Week 9	4th advisory committee meeting: finalise preliminary charge, agenda, witness list
Week 9	Sponsor reviews progress

PHASE TWO	
Week 1	Purchase random phone numbers
Weeks 2-3	Conduct phone survey; Mailing to survey respondents
Week 2-4	Set jury targets; Meet with moderators
Week 5	Select jurors
Weeks 1-10	Finalise charge, agenda, witness list; Recruit and prepare witnesses; Finalise logistics;
	Consult with working group
	Additional advisory committee meetings, if necessary
Weeks 7-9	Prepare juror and staff handbooks
Week 9	Confirm all jurors, witnesses and logistics
Week 10	Jury Hearings; Friday: issue initial report
Week 13	Issue final report

The second generic timeline has the planning elements occurring concurrently with jury selection (including survey and mailings) and logistical arrangements rather than in two distinct phases. The advantage is that the total time is reduced. However, there is less flexibility to address any problems or disagreements that arise, since jurors will already have been contacted with the dates. In addition, staff will have to juggle more tasks simultaneously.

Week 0	Receive project approval
Weeks 1-18	Consult with sponsor on design elements
Week 1	Select advisory committee
Week 2	Design telephone survey
	Develop jury selection targets
	Develop preliminary charge ideas
Week 3	Purchase random telephone numbers
	Select site
Weeks 4-14	Consult with advisory committee
Week 5	Conduct telephone survey
	Mail information packet to survey respondents
Week 6	Develop preliminary charge, agenda, witness list
	Finalise site
Week 7	Charge, agenda development
Week 8	Select jury
	Discuss: charge, agenda development
	Meet with moderators
Weeks 9-11	Discuss: charge, agenda development
Week 12	Finalise charge, agenda, witness list
	Recruit witnesses
Week 13	Confirm and prepare witnesses

Week 14	Confirm jurors
	Confirm logistical details
	Prepare juror & staff handbooks
Week 15	Jury hearings
	Friday: issue initial report
Week 18	Issue final report

B. Budget

The following items listed are the main budgetary items in a Citizens Jury:

- Personnel
  - project staff (possibly including project director, manager, assistant(s), clerical staff)
  - stipends for members of the jury
  - moderators
  - honoraria for expert witnesses
- Travel
  - jury members
  - experts
  - moderators
- Accommodation
  - jury members
  - experts
  - moderators
- Food
  - meals for jurors, experts and project staff during the event
- Recruitment and Promotion
  - recruitment of jurors
  - recruitment of experts
  - Citizens Jury promotion and advertising
- Communications
  - printing of draft and final report and dissemination
- Facilities
  - location for Citizens Jury event
- Materials and Supplies
  (See detailed list provided.)

TIP: Staff time is the most significant cost of a Citizens jury project. The amount of staff time needed depends on many factors, including experience, competence, contentiousness of the issue, length of the project, etc.

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

In order to guarantee that the jury is representative of the population in question, a reliable and open procedure should be established for obtaining consensus on the demographic or attitudinal characteristics to be taken into account when setting up the jury (at the beginning of the process), as well as for ratifying the recommendations of the jury with those they are supposed to represent (at the end of the process).

Requiring policy makers to be active participants in the Citizens Jury process, to ask and be asked questions and to put forward their points of view, would make the method more powerful. It would enable citizens to dialogue directly with those who govern them, involving them more directly in the policy arena.

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Consensus Conference

I. DEFINITION

A consensus conference is a public enquiry centred around a group of 10 to 30 citizens who are charged with the assessment of a socially controversial topic. These laypeople put their questions and concerns to a panel of experts, assess the experts' answers and then negotiate among themselves. The result is a consensus statement that is made public in the form of a written report directed at parliamentarians, policy makers and the general public that expresses their expectations, concerns and recommendations at the end of the conference. The goal is to broaden the debate on a given issue and include the viewpoints of non-experts in order to inform policy-making. In addition, the Danish model emphasises the goal of arriving at a consensus opinion, whereas others say that this is not necessary. Consensus conferences usually have a 3-day intensive programme that is open to the public.

II. WHEN TO USE

The objectives of a consensus conference include providing a vehicle for citizens to meaningfully influence policy decisions, conflict assessment, clarification of attitudes and assessing relevance of an issue to society. It has also been used for social experiments, research projects and as a means for promoting social awareness and public debate. The process generally gives the outcome a high level of credibility because laypeople define the agenda of the conference as well as conduct the assessment. Some effects of the method may include new regulations, generating new debate and understandings, consolidating politics, building bridges between interest groups and perspectives and removing fears.

It is necessary that the topic to be addressed can be defined and delimited.

This method is most useful for combining many forms of knowledge (e.g. local, traditional, technical). It is a useful method for obtaining informed opinions from laypersons. It can also allow for the inclusion of subjective knowledge in scientific, technological and other technical developments. More generally, it is a viable alternative to use when all or most of the following criteria are present:

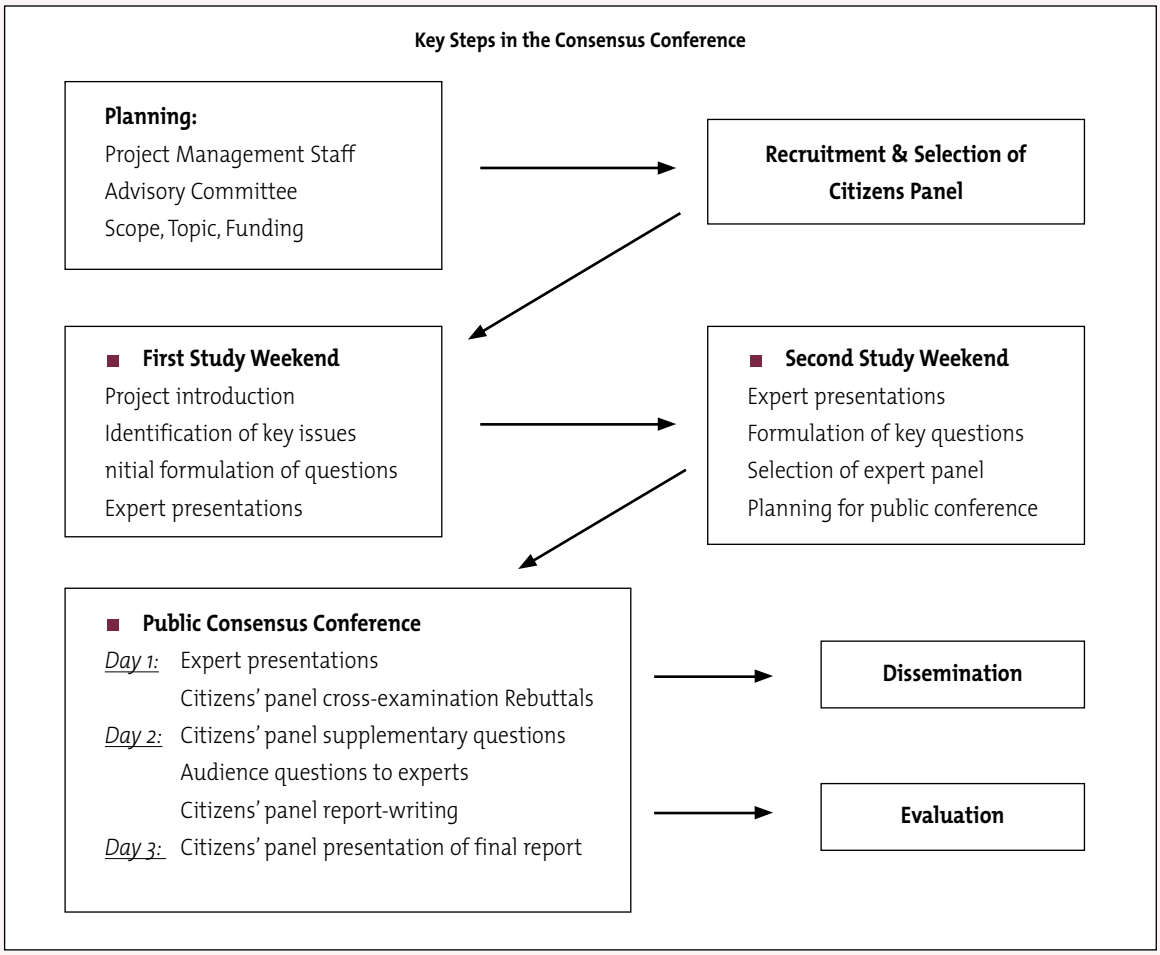
- Citizen input is required for policies under review or development.
- Issues are controversial, complex and/or technical.
- Many diverse groups and individuals have concerns.
- Ensuing decisions significantly and directly affect select groups or individuals.
- There is a need for increased public awareness and debate.
- There is citizen desire for a more formal involvement.

The process of communicating information about the conference topic provides a strong educational component.

III. PROCEDURE[1]

A. Overview

The consensus conference begins with the selection of a panel of citizens drawn randomly from the general population. During two weekends prior to the public conference, this panel discovers the significant issues relevant to the topic of concern by drawing upon experts and documentation. From their own perspective, they then formulate a set of key questions. These are put to a panel of experts at a public consensus conference. After two days of expert presentation and citizen cross-examination, the citizens' panel composes a report based upon their comprehensive learning and expert response to their key questions. The report is presented on the final day of the conference and then disseminated to policy-makers, major stakeholders and other interested groups and individuals, constituting public input into public policy.



[1] Most of the given procedure is taken from Einsiedel, E. & Eastlick, D. (Unpublished paper).

B. Preparation

The main persons involved in the planning and execution of a consensus conference include the following:

- project management (director, assistant and clerical staff)
- advisory/steering committee ('planning group'): 5 – 6 persons
- citizens' panel (panel of laypeople): 12 – 15 persons
- expert panel: approximately 20 persons
- facilitator

The main responsibilities of each of these individuals or groups are detailed below.

(a) Project management

The tasks of the project management include:

- preparing the project
- managing the different partners
- taking care of the lay panel
- contacting experts
- balancing the budget
- taking care of the press
- assisting the lay panel in writing the recommendations
- documenting the conference.

(b) Advisory/Steering Committee

The advisory committee is composed of topic stakeholders that may include – but are not limited to – regulators, policy-makers, scientists, industry and non-governmental agencies. They should be selected for their knowledge of and expertise in topic-related fields and for the diversity of their viewpoints. This means that they speak for themselves as members of the steering committee and not for their organisations. The committee aids the project management in setting the aims, determining the conference scope, identifying potential experts (and funding sources, if applicable) and compiling the initial information package. The tasks of the advisory/steering committee include:

- ensuring that the project is objective
- monitoring the process
- discussing the content with the project manager
- ensuring that papers for the lay panel are relevant and neutral
- making a list of the best experts on the subject
- deciding – together with the panel – which experts to call upon
- giving approval of the conference programme.

(c) Citizens' Panel

Ideally, the members of the citizens' panel are supposed to be representative of the population at large. Recruitment is usually done three to four months prior to the first study weekend.

In addition to meeting any other qualifying criteria, all applicants are asked to be available for both study weekends and the consensus conference. Participants must volunteer their time. The project must pay for their travel, accommodation and all other expenses (child care, holidays, etc).

The tasks of the citizens' panel include:

- a profound understanding of the subject
- deciding the agenda and preparing questions for the conference
- questioning the experts during the conference
- writing recommendations related to the questions
- presenting and discussing recommendations.

(d) Facilitator(s)

One or two professional facilitators who are experienced in participatory and consensus-based processes should be recruited. The facilitator(s) must be non-directive and committed to the citizen-driven aspect of the process.
They will be required to facilitate the two study weekends and the conference itself.
The tasks of the facilitator(s) include:

- steering all processes during the study weekends and conference
- managing the dialogue during the study weekends and conference
- chairing the conference
- assisting in writing the document.

(e) Reference Persons

The reference persons are 12 to 15 people with both traditional and non-traditional expertise in the topic at hand. They are only required to attend the consensus conference weekend. Both pro and con viewpoints should be represented in each of the issue areas, which may include social/ethical, science, policy, environment, health and safety and economics.

Compilation of the expert pool begins very early in the planning process and requires that the project management team anticipate the categories in which the citizens' panel may post questions. Potential reference persons in these categories are contacted, informed of the process and expectations and asked if they are both willing and available to participate if selected. Actual selection of the reference persons is done by the citizens' panel during the second study weekend after they have finalised their key questions.

While the citizens' panel will identify the types of reference persons it desires at the conference, it may not know the names of specific individuals. The citizens' panel may assign this task to the project management team. Although the reference person pool compiled by the project management team may contain dozens of names, it seldom satisfies all the requirements of the citizens' panel. Consequently, the team must locate, invite and inform suitable reference persons as soon as possible after the second study weekend, so that they can be confirmed early enough prior to the conference.

Once the reference persons are confirmed, they are sent the one or two questions related to their particular expertise. They are asked to prepare a short presentation in response to the question(s) provided. This is to be delivered at the consensus conference and will be followed by cross-examination.

TIP: Some additional reference persons may be required at the study weekends to aid the citizens' panel in their understanding of the issues. Their role during these weekends is determined by either the management team or the citizens' panel.

The experts may or may not be provided with honoraria, depending on the customs that apply in the society. This must be determined at the budgeting stage. Members' travel, food and accommodation expenses are customarily covered in any case.

C. The consensus Conference

1. PREPARATORY INFORMING OF THE CITIZENS' PANEL

Between the selection of the citizens' panel and the first study weekend, it is customary to provide the panellists with some preliminary information on the topic at hand. The nature and extent of this information is a decision to be made by the project management and advisory committee. Various components of the package may be requested from stakeholders, provided by the advisory committee or other experts. Information packages need not be limited to print. Between the first and second study weekends and between the second study weekend and the conference, the citizens' panel may itself request specific kinds of information or expertise be provided – or may gather and share information amongst the panellists themselves.

TIP: In the interests of informed choice, a concerted effort should be made to present all sides of the issues with the information package and all subsequent information. However, it should not be expected that every panellist will have the time or interest to read/view/listen to the entire package.

2. FIRST WEEKEND

Five objectives:

- Competency development
  - provide basic information
  - introduce the context and method
  - interacting with reference persons, the public and the media
- Team-building
- Identify areas of interest or concern
- Begin formulation of questions
- Set agenda for second study weekend

The first study weekend represents the beginning of a steep learning curve for the members of the citizens' panel, who will become better informed on the topic over the coming months. This is also the beginning of relationship-building between the project management team, the facilitator and the panellists. One of the objectives of the process is to have the panellists take a progressively more active role in the decision-making. Thus, while the study weekend begins with an agenda planned by the project management team, it should be flexible and adaptable to the readiness of the panellists to assume control. One of the roles of the facilitator is to guide this gradual shift of control over the process. It is imperative to give the group enough space to develop their own thoughts and attitudes, without external disturbance.

TIP: All tasks required of the panelists will be made easier if the project management team makes every effort to provide for all their needs. This includes but is not limited to pleasant accommodation, good food, scheduled breaks and opportunities for social interaction away from the learning or conference venues.

The tasks of the participants for the first study weekend are as follows:

Project management:

- Provide an overview of the topic context and the expectations and stages of the process.
- Provide a broad information base upon which the panellists can begin to formulate their key questions.

Facilitator(s):

- Guide the citizens' panel in reaching decisions by consensus.
- Aid the citizens' panel in the assumption of control of both the direction and the process.
- Team-building.

Citizens' panel:

- Become familiar with the full range of issues relevant to the topic.
- Identify the areas of greatest concern or interest to them.
- In each of those areas, formulate a set of questions to which they seek answers.
- Set an agenda for the second study weekend.

Consideration: If the project management team wishes to tape the proceedings, it is necessary to obtain the permission of the citizens' panel in advance of this weekend. Some conferences are taped for the purposes of the organisers, others are taped by local or national news media for promotion or documentary purposes.

TIP: Due to time and/or complexity issues, it is entirely possible that all the tasks set for this weekend will not be accomplished. Some conferences have solved this by having the panellists continue to work on the formulation and categorisation in the month between the two study weekends. This is made easier if all are electronically connected. Others encourage strict enforcement of the agenda.

TIP: Some conference management teams have started the first study weekend with an in-depth exploration of core values and assumptions held by the citizens' panel. The rationale is that by having these on the table, panellists would have a better understanding of why certain positions are held by others. A listing of these values may also be used to help direct the identification of areas of interest, the formulation of key questions, and the placing of emphasis in the final report. However, such an exercise may be met with a degree of resistance, as some panellists have noted that, at such an early stage in the process, they were not yet comfortable enough with their fellow panellists to reveal their most personal beliefs.

3. SECOND WEEKEND

Five objectives:

Further develop competence for the final public weekend.
Shift control of the process decisions and facilitation to the citizens' panel.
Formulate a set of key questions.
Identify types of experts required for the conference.
Plan the conference.

The agenda for this weekend should have been planned by the citizens' panel during the first study weekend and will thus follow from whatever they set out. As much as possible or to the degree with which they are comfortable the panellists should control both the facilitation of the process and any decisions made. The management team and facilitator support this shift of control by assuming whatever roles the citizens' panel assigns them. This increases both the panellists' responsibility for, and ownership of, the process and its outcomes.

The tasks of the participants for the second study weekend are as follows.

Project management:

- Organise the second study weekend in accordance with the citizens' panel's wishes.
- Prepare a list of experts available for the consensus conference.

Facilitator(s):

- Support the citizens' panel in assuming control of process and outcomes.

Citizens' panel:

- Refine questions to one or two overarching in each issue area.
- Select experts to address questions at the consensus conference.
- Plan the consensus conference.

4. THIRD PUBLIC WEEKEND

The consensus conference is a three-day public event in which a citizen-driven discussion takes place between citizens and experts. By this point, the members of the citizens' panel are well-informed on the topic at hand. At the conference they have two roles: as citizens representative of the general public and as well-informed citizens in discussion with reference persons. They must keep both of these roles in mind in their interactions with other conference participants so that the proceedings may be as meaningful to attendees as to the two panels.

The tasks of the various participants during the conference are as follows.

Project management:

- Conduct registration and trouble-shooting.
- Coordinate media access to citizen and expert panellists.

Facilitator:

- Assist the citizens' panel with the conference proceedings and the writing of the final report.

Moderator:

- Facilitate the timing and flow of the conference.

Expert panel:

- Make presentations based on key questions.
- Respond to cross-examination by the citizens' panel.
- Respond to questions from the audience.
- Be available for media interviews.

Citizens' panel:

- Cross-examine the expert panel.
- Write and present the final report.
- Be available for media interviews.

(1) Conference Day One

Key features:

- expert presentations
- cross-examination of experts by citizens' panel
- expert rebuttal.

The first day is devoted to expert presentations, followed by cross-examination by the citizens' panel. The citizens' panel will have determined the format during the second study weekend. The audience plays only a passive role on this day, observing the proceedings. At least one person from the project management team should focus on the needs and requests of the two panels, while another is responsible for trouble-shooting. This is the longest of the days, with six to eight hours of presentations and cross-examination not uncommon.

At the conclusion of the day, the citizens' panel meets to review the day's proceedings and to determine which of its questions and concerns are still outstanding. Members formulate a set of supplementary questions that are put to the expert panel on the next day.

TIP: It is helpful to have one member of the project management team solely responsible for media relations and coordinating media interviews with both panels. The project director should also be available for media interviews. Some of these duties, as well as the registration, may be delegated to volunteers.

(2) Conference Day Two

Key features:

- esupplementary questioning of the expert panel by the citizens' panel
- eaudience questioning of the expert panel
- ecitizens' panel writes final report.

The citizens' panel first poses its supplementary questions to the expert panel and the panel responds. When the citizens' panel has concluded its questioning, the forum may be opened to audience questions to the expert panel. Such audience participation is not a feature of all conferences!

At the conclusion of the formal proceedings, the citizens' panel retires to write its report behind closed doors, supported by the facilitator and a scribe. The report is structured around the key questions and incorporates all that the panellists have learned and heard throughout the study weekends and the conference itself. Traditionally, the report is written between the second and third day of the conference and is presented on the final day. The facilitator's role here is most sensitive. (S)he must motivate and encourage without appearing excessively directive.

TIP: The report writing is a very intense and time-constrained process that is mentally and emotionally draining for the citizens' panel members and the facilitator. It is not uncommon to have it concluded in the early morning hours. It is thus important that their every need and comfort is anticipated or promptly addressed. Alternatively, some people/cultures may prefer to enforce a strict time limit in order to avoid working throughout the night.

(3) Conference Day Three

Key feature:

- Citizens' panel presents their report and fields questions from the expert panel and audience.

Prior to the day's proceedings, the project management team makes copies of the report for the expert panel and audience members. The consensus conference is concluded with the presentation by the citizens' panel of their report. The expert panel, followed by the audience, are allowed to ask the citizens' panel questions of clarification. The expert panel may only make changes of factual error, as the report represents the perspective and conclusions of citizens. Afterwards, the report is finalised, printed and disseminated.

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

A. Schedule

From start to finish, this process requires, on average, twelve months. However, this can be condensed to a more intensive process of approximately seven months. Two different schedules are presented below. The first is a more general 12-month overview. The second is a detailed checklist that begins 24 weeks prior to the actual consensus conference event. Both timetables are presented as a countdown up to the beginning of the consensus conference. Then the schedule of the conference and post-conference events are presented in normal chronological order.

12 – MONTH GENERAL TIMELINE:

One Year Prior to the Consensus Conference:
The first step is to recruit the advisory/steering committee. Once selected, this committee and the organisers set the context for the conference (see contextual considerations above). Concurrently and continuing for several months is the identification and contact of potential funding sources (if applicable).

Four to Six Months Prior:
Recruit and select the citizens' panel. Organisers should begin to build a pool of potential expert panellists, as well as recruit a facilitator(s) and conference moderator. With the help of the advisory committee, a set of informative readings, tapes or videos can begin to be assembled for the citizens' panel. Design the conference promotion materials.

Three Months Prior:
Prepare an information package and send this to the members of the citizens' panel prior to the first study weekend.

Two Months Prior:
The first study weekend is held. This is the first meeting of the citizens' panel. The purpose of this first weekend is to introduce the topic, identify key issues and questions, begin to identify the type of experts desired at the conference and to plan the second study weekend. Expert recruitment continues.

One Month Prior:
The second study weekend is held. This is the final study weekend of the citizens' panel. Tasks include further education on the topic, finalisation of key questions and sub-questions, finalising the selection of experts for the conference and planning the conference agenda. Conduct conference promotion and registration.

The Consensus Conference Weekend:
This public event normally covers three days and does not necessarily have to take place over a weekend. Day One is normally filled with expert presentations and cross-examination by the citizens' panel. On Day Two, there is supplementary questioning of the expert panel by the citizens' panel as well as the audience. When the questioning closes, the citizens' panel retires to write its report privately. The citizens' panel presents its report to the experts and audience on the morning of Day Three. The experts may correct errors of fact only, before they and the audience are given the opportunity to question the citizens' panel.

One Month Post:
The final report of the citizens' panel is corrected for grammar, printed and disseminated to policy-makers, industry, non-governmental organisations and other interested groups and individuals. It represents public input into public policy. The citizens' panel debriefing may also occur one to two months after the conference.

One To Twelve Months Post:
The evaluation is conducted.

6 – 7 MONTH DETAILED TIMELINE AND CHECKLIST:

The following timeline requires approximately 24 weeks of pre-conference planning and preparation, followed by the conference and dissemination of the final report.

Week 24

- Recruit the project manager, project assistant, and project secretary.
- Form the project team.
- Set conference dates and book locations.
- Assemble the planning group. (This group usually consists of 5-6 experts and stakeholders of the topics in question.)

- Make reservations for the necessary technical equipment.
- Contact a reporter to make preparations for the introduction material given to the lay panel.
- Request (from the appropriate authority) the names and addresses of 2,000 citizens, randomly selected from the database.
- Prepare a budget (or specify the project budget).

Week 23

- Reserve accommodation for the two weekend courses for the lay panel.
- Reserve accommodation for the actual conference.
- Produce guidelines for the introduction material.
- Begin to prepare a preliminary list of experts and possible speakers for the conference and elaborate this during the following two weeks.
- Recruit a facilitator and introduce him/her to the project.
- Send a letter to the 2,000 randomly selected citizens, inviting them to be a member of the lay panel and asking them to fill out an application with information relevant to the final selection of the lay panel. Request that the citizens return it (in provided stamped envelope) if (s)he would like to participate. Set a deadline of two weeks for their reply.

Week 22

- Generate a meeting schedule with the planning group and arrange first meeting.
- Create a website for the project.

Week 21

- Inform politicians about the project.
- Inform other interested parties.

Week 20

- Deadline for applications from citizens to be members of the lay panel.
- Hold first meeting with planning group: Tasks include:
  - discuss guidelines for the introduction material
  - establish criteria for selecting the lay panel
  - propose potential experts/speakers for the conference.

Week 19

- Send proposal for the composition of the lay panel to the planning group for approval.
- Send letter to the selected lay panel members. Attach a 'confirmation form' and request that the citizens sign and return it (in provided stamped envelope).

Week 18

- Plan the process of the project with the facilitator.

Week 17

- Send appropriate letters to the applicants who replied but were not selected for the lay panel.
- Recruit a speaker for the first weekend course.
- Begin generating a list of people that should be invited to the conference and elaborate this in the weeks to come.
- Send a first draft of the introduction material to the planning group.

Week 16

- Send a letter to the lay panel with instructions about the first weekend course, the project and any additional information they require.
- Hold the second meeting with the planning group: introduction material should be discussed and corrections noted by the journalist. Elaborate on the list of possible experts/speakers.
- Send a letter of notice to the listed experts, telling them that they might receive an invitation to speak at the conference. Ask them to reply (using the enclosed stamped envelope) as to whether or not they would be available.

Week 15

- Finalise editing of the introduction material.

Week 14

- Arrange table plan and other details for the conference. Decide how the two panels, chairman and audience will be seated.

Week 13

- Print introduction material and send it to lay panel.
- Print the programme for the first weekend course and send it to lay panel.

Week 12

- Book restaurants for the conference. (The experts and lay panel are usually invited to dinner.)

Week 11

- Finalise practical preparations for the first weekend course.
- Hold the first weekend course. Tasks include:
  - introduction
  - brainstorming and debate of questions and problems
  - delimitation of 6 – 8 themes that can structure the questions
  - identify additional information required by lay panel.

Week 10

- Follow up and research factual questions that could not be answered during the weekend.

Week 9

- Send additional information material to the lay panel.

Week 8

- Send programme for second weekend course to lay panel.
- Make practical preparations for second weekend course.

Week 7

- Hold second weekend course. Tasks:
  - specify and delimit questions
  - distribute questions among the 6 – 8 themes.

Week 6

- Draft a preliminary programme for the conference.

Week 5

- Hold third meeting with the planning group: make final decisions regarding which experts can answer which questions at the conference.
- Contact the experts: Ask them to speak at the conference and to deliver a written paper two weeks in advance for distribution to the panel. For those who confirm, tell them they will be sent a letter in the following week with more information.
- Send out invitations to the conference.
- Book accommodation for out-of-town experts.

Week 4

- Make practical preparations for the conference.
- Send a letter to experts/speakers with practical information about the conference, as well as a precise briefing on the question(s) from the lay panel that they are asked to answer.
- Send detailed programmes for the conference to the lay panel.
- Send letters to experts who were contacted earlier but will not be asked to speak at the conference.

Week 3

- Finalise practical preparations for the conference.

Week 2

- Deadline for conference papers from experts/speakers.
- Deadline for registration (audience at the conference).
- Edit conference papers and print them.
- Print final programme and other information.
- Send the above materials to lay panel, experts and other interested parties. Make extra copies to have available at the conference.

Week 1

- Send confirmations to the audience.
- Contact the press.
- Finalise practical preparations. Consider making the following available:
  - newsprint paper
  - several large tablets for recording ideas
  * Note: it is better to use paper rather than chalk or white boards. The individual sheets can be used for archival purposes and are easier to transport.
  - tape or tacks to attach paper to walls
  - several broad-tipped, bold colour markers
  - copy machine (with transparency capabilities)
  - computer/word processor
  - slide projector and screen
  - (overhead) projector
  - camera that produces instant photos (digital or film)
  - pens and/or pencils

B. The Conference

One Day before the public conference

- Lay panel arrives, sees the conference facilities and has dinner together.

Day 1 of the public conference

- Experts give their presentations, answering the questions made by the lay panel on the weekend courses. In the afternoon, time is allotted for experts to elaborate and clarify any questions of the panel.

Day 2 of the public conference

- The lay panel questions and debates with the expert panel. After the citizen panellists' questions have been answered, the forum may be opened to the public audience.

Traditionally, the next tasks have been conducted during the evening and throughout the night. Alternatively, one can add another day to the process.

- The panel discusses to decide its recommendations and prepares the report.
- The document is printed for distribution and uploaded on the website.
- A press release containing the principal recommendations of the lay panel is prepared and sent to the press.

Day 3 or 4 (depending upon whether a day is added for debate and the writing of the report)

- The lay panel presents the final document (reads it out loud) to the expert panel, politicians, the press and the rest of the audience. Comments are made and factual errors corrected.

- Conduct project evaluation.
- Lunch and goodbyes.

After the conference

- The final document of the lay panel is set out in a report together with the written contributions of the experts.
- Principal conclusions of the lay panel are communicated to members of the Parliament in a newsletter (and to any other relevant persons).
- Summarise project evaluations and post them on the website.

C. Budget

The process is elaborate and requires significant resources. Costs will vary depending on the conference scope (i.e. regional versus national), selection method, transportation and accommodation and the type and amount of advertising. The following items listed are the main budgetary items in a consensus conference:

- Personnel
  - project manager
  - communications manager/assistant
  - facilitator(s)
  - clerical staff
  - moderator
- Travel
- Accommodation
- Food
  - study weekends
  - consensus conference: panels and audience
  - media reception after consensus conference
- Recruitment and Promotion
  - mailings to recruit citizens' panel
  - conference promotion and advertising
- Communications
  - printing of conference papers
  - printing of draft and final reports
- Facilities
  - study weekends
  - consensus conference
- Materials and Supplies
  (See list provided.)

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

The recruitment method may not ensure representative participation. Multiple conferences may be required to ensure that broad, representative opinions are sought.

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Teknologi-Rädet

Delphi

(and Policy Delphi, Public Delphi, Delphi Conference, Delphi face-to-face)

I. DEFINITION

Delphi involves an iterative survey of experts. Each participant completes a questionnaire and is then given feedback on the whole set of responses. With this information in hand, (s)he then fills in the questionnaire again, this time providing explanations for any views they hold that were significantly divergent from the viewpoints of the others participants. The explanations serve as useful intelligence for others. In addition, (s)he may change his/her opinion, based upon his/her evaluation of new information provided by other participants. This process is repeated as many times as is useful. The idea is that the entire group can weigh dissenting views that are based on privileged or rare information. Thus, in most Delphi processes the mount of consensus increases from round to round.

While traditionally conducted via mail, other variations of Delphi can be conducted online or face-to-face. In the original Delphi process, the key characteristics of this method were (1) structuring of information flow, (2) feedback to the participants and (3) anonymity for the participants. In a face-to-face Delphi, the anonymity is eliminated. Another variation of the Delphi is the 'Policy Delphi', the main goal of which is to expose all the different options and opinions regarding an issue and the principal pro and con arguments for these positions.

II. WHEN TO USE

A dialectical process, Delphi was designed to provide the benefits of a pooling and exchange of opinions, so that respondents can learn from each others' views, without the sort of undue influence likely in conventional face-to-face settings (which are typically dominated by the people who talk the loudest or have most prestige). The technique allows experts to deal systematically with a complex problem. From round to round the relevant information is shared, further educating the panel members. Recommendations can thus be made on the basis of more complete information.

Usually one or more of the following properties of the application leads to the need or usefulness of employing Delphi:

- The problem does not lend itself to precise analytical techniques but can benefit from subjective judgments on a collective basis.
- The individuals needed to contribute to the examination of a broad or complex problem have no history of adequate communication and may represent diverse backgrounds with respect to experience or expertise.
- More individuals are needed than can effectively interact in a face-to-face exchange (except through the face-to-face Delphi's shuttle process between plenary and sub-groups).
- Time and cost make frequent group meetings infeasible.
- The efficiency of face-to-face meetings can be increased by a supplemental group communication process.

- Disagreements among individuals are so severe or politically unpalatable that the communication process must be refereed and/or anonymity assured.
- heterogeneity of the participants must be preserved to assure validity of the results, i.e. avoidance of domination by quantity or by strength of personality.

The *Policy Delphi* serves any one or a combination of the following objectives:

- to ensure that all possible options have been put on the table for consideration
- to estimate the impact and consequences of any particular option
- to examine and estimate the acceptability of any particular option.

In general, the Delphi method was invented in an attempt to overcome various social-psychological challenges associated with committee processes, including:

- the domineering personality or outspoken individual that takes over the committee process
- the unwillingness of individuals to take a position on an issue before all the facts are in or before it is known which way the majority is headed
- the difficulty of publicly contradicting individuals in higher positions
- the unwillingness to abandon a position once it is publicly taken
- the fear of bringing up an uncertain idea that might turn out to be undesirable and result in a loss of face.

III. PROCEDURE

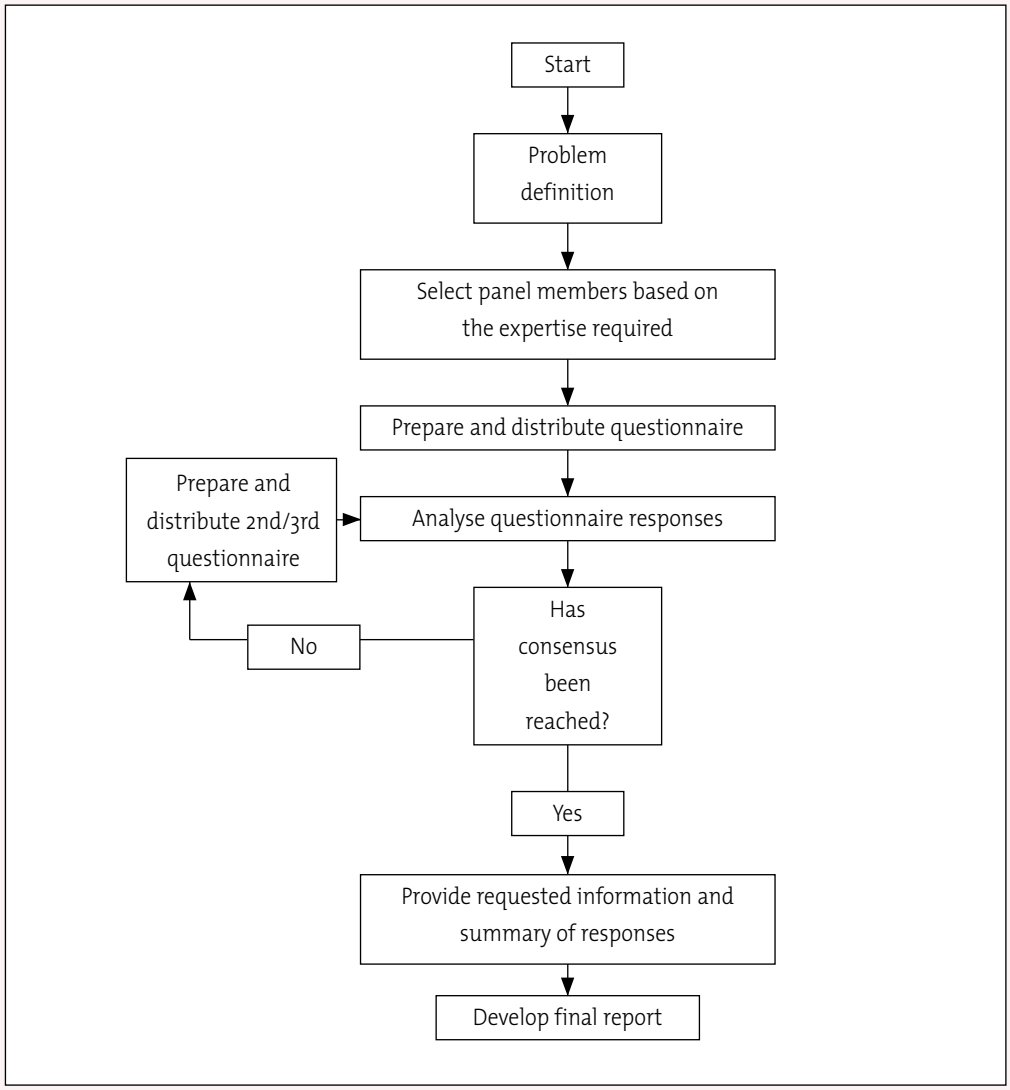
A. Overview

Refer to the Delphi Method Flowchart below for a graphic overview of this method.

Delphis – whether conventional, real-time on computer or face-to-face – usually undergo four phases. In the first phase the subject under discussion is explored and each individual contributes the information (s)he feels is pertinent to the issue. In the second phase an overview is reached on how the group views the issue, for example, where there is dis/agreement over what is meant by relative terms such as 'feasible', 'important', 'desirable', etc. If there is significant disagreement, then this is explored in the third phase in order to illuminate the reasons for the differences and evaluate them. The fourth phase entails a final evaluation that occurs when all previously gathered information has been initially analysed and the evaluations have been fed back for reconsideration.

In the following sections a step-by-step description of conventional Delphi is presented, followed by a description of the variations that constitute the Policy Delphi. Finally, the steps of the Delphi Conference are presented.

Delphi Method Flowchart [1]



[1] From http://www.ryerson.ca/~mjoppe/ResearchProcess/841TheDelphiMethod.htm

B. Realisation

1. PERSONNEL AND TASKS

(a) Organisational Team

The tasks of the organisational team are as follows:

- Develop the questionnaires.
- Identify and recruit experts.
- Distribute questionnaires.
- Analyse the comments and give feedback to the experts after each round.
- Write the final report.

(b) Experts

- Complete the questionnaires.
- If the Delphi is face-to-face, attend the scheduled events.

(c) Moderator(s)

If the Delphi is conducted face-to-face, one or two moderators will be required to facilitate the process.

2. CONVENTIONAL (PEN-AND-PAPER) DELPHI

The procedure of the original Delphi can be described in the following steps. (For a graphic overview, please refer to the Delphi Method Flowchart.)

(1) Form a team to undertake and monitor a Delphi on a given subject.

(2) Select and recruit panel(s) to participate in the exercise.

Customarily the panellists are experts in the area to be investigated. Some literature suggests that while the panellists should be well informed about the topic, a high degree of expertise is not necessary. Of course, the required level of expertise will depend upon the specific topic and questions being addressed. The number of panellists varies greatly between Delphis, but should include a very minimum of four persons per panel.

TIP: The panellists should be assured that they are participating in an exercise that involves a peer group. Therefore, in the letter of invitation indicate the types of backgrounds reflected in the participant group.

(3) Develop the first-round Delphi questionnaire.

A month or more is needed to develop the first-round questionnaire. Ideally, the questions posed should be specific enough to eliminate most irrelevant information, but otherwise place as few constraints on the information as possible. In addition to the questionnaire, a factual summary of background material is usually supplied. In some cases single or multiple sets of scenarios are provided that specify certain items that the respondents are to assume as given for the purpose of evaluating the issues. (Typically these scenarios deal with aspects like future economic conditions, such as the rate of inflation.)

Often, various alternatives are presented along with rating scales, which give the respondents an opportunity to quantify their preferences. An example of a commonly used scale follows.

1	*	2	*	3	*	4	*	5	*	6
strongly disagree		disagree		somewhat disagree		somewhat agree		agree		strongly agree

If the rating procedure is used, take care not to use compound statements (such as 'Do you think y, if x....'; rather break down such statements into two simple statements (e.g. 'Do you think x?' and 'Do you think y?').

TIP: If new to Delphi, the respondents will often respond with compound and lengthy comments. It is useful to provide some examples of the form you would like their answers to take, in terms of being short, specific and s ingular in nature. Allow the panellists to suggest changes in the wording of items and introduce them as new items. Policy issues are often very sensitive to precise wording.

TIP: Sometimes it is appropriate to introduce a set of alternative assumptions making up scenarios and let the respondents form a group scenario by voting on the validity of each.

(4) Test the questionnaire for proper wording (e.g. ambiguities, vagueness).

Each questionnaire should be pre-tested with people who have not been involved in the design. Identify any items that are phrased in a confusing manner and revise them.

(5) Transmit the first questionnaires to the panellists.

(6) Analyse the first-round replies.

(7) Prepare the second-round questionnaires (and possible testing).

In this round the discrepancies between the participants' views are brought to the fore (but still kept anonymous). Participants are asked to try to explain the differences between their views and others', providing their reasoning and any influential information to which the others may not be privy. In each round such information and reasoning are shared with the other participants (still maintaining anonymity).

(8) Transmit the second-round questionnaires to the panellists.

TIP: When asking for re-votes on an item, show the individuals their original votes and provide them with two copies of the questionnaire so that they may retain one for later reference or do draft work.

(9) Analyse the second-round replies.

Steps 7 – 9 are reiterated as long as desired or necessary to achieve stability in the results.

(10) Prepare a report by the analysis team to present the conclusions of the exercise.

TIP: It is very important that all of the participants understand the aim of the Delphi exercise; otherwise they may answer inappropriately or become frustrated and lose interest.

3. POLICY DELPHI [2]

Delphi, as it originally was introduced and practised, tended to deal with technical topics and seek a consensus among a homogeneous group of experts. In contrast, the Policy Delphi is employed to generate the strongest possible opposing views on the potential resolutions of a major policy issue. A policy issue can be seen as an issue for which there are no 'experts', only informed advocates and referees. An expert or analyst may contribute a quantifiable or analytical estimation of some effect resulting from a particular resolution of a policy issue, but it is unlikely that a clear-cut (to all concerned) resolution of a policy issue will result from such an analysis. The expert becomes an advocate for effectiveness or efficiency and must compete with the advocates for concerned interest groups within the society.

The Policy Delphi rests on the premise that the decision maker is not interested in having a group generate his/her decision, but rather in having an informed group present all the options and supporting evidence for his/her consideration. Therefore, the Policy Delphi is a tool for the analysis of policy issues and not a mechanism for making a decision. Generating a consensus is not the prime objective. The structure of the communication process, as well as the choice of the respondent group, may make achieving consensus on a particular resolution very unlikely. In fact, in some cases the sponsor may even request a design that inhibits consensus formulation.

The procedure for the Policy Delphi is the same as for the traditional Delphi, but the survey questions posed to the panellists will aim more at exploring all possibilities, opinions and reasons rather than at achieving consensus.

[2] From Turoff, M. (Internet). The Policy Delphi. In The Delphi Method: Techniques and Applications, pp. 80 – 96. http://www.is.njit.edu/pubs/delphibook/ch3b1.html

The following questions should guide the planning and implementation phases of a Policy Delphi:

- Formulation of the issues. What is the issue that really should be under consideration? How should it be stated?
- Exposing the options. Given the issue, what are the policy options available?
- Determining initial positions on the issues. Which are the ones everyone already agrees upon and which are the unimportant ones to be discarded? Which are the ones exhibiting disagreement among the respondents?
- Exploring and obtaining the reasons for disagreements. What underlying assumptions, views or facts are being used by the individuals to support their respective positions?
- Evaluating the underlying reasons. How does the group view the separate arguments used to defend various positions, and how do they compare to one another on a relative basis?
- Re-evaluating the options. Re-evaluation is based upon the views of the underlying 'evidence' and the assessment of its relevance to each position taken.

In principle, this process would require five rounds in a paper-and-pencil Delphi procedure. However, in practice most Delphis on policy try to maintain a three-round or four-round limit by doing the following:

- The monitor team devotes considerable time to carefully pre-formulating the issues.
- The questionnaires provide a list(s) of an initial range of options but allow for the panellists to add to the list(s).
- The panellists are asked for their positions on an item and their underlying assumptions in the first round.

TIP: It has been suggested that the best vehicle for a policy Delphi is a computerised version of the process, in which the round structure disappears and each of these phases is carried through in a continuous process.

In a Policy Delphi it is necessary that informed people, representative of the many sides of the issues under examination, are chosen as participants. The initial design must ensure that all of the 'obvious' questions and sub-issues have been included and that the participants are being asked to supply the more subtle aspects of the problem. Thus, the monitors must understand the subject well enough to recognise the implications of the participants' abbreviated remarks.

TIP: In some cases the participants may over-concentrate their efforts on some issues to the detriment of others. This may occur because the group is not as diversified as the total scope of the exercise should be. With proper knowledge of the subject material, the design team can stimulate consideration of the neglected issues by interjecting comments in the summaries for consideration by the group. It is a matter of integrity to use this privilege sparingly to stimulate dialogue on all sides of an issue and not to sway the participants toward one particular perspective.

4. DELPHI CONFERENCE (ALSO FACE-TO-FACE OR GROUP DELPHI)

This face-to-face group version of Delphi allows for more discussion and debate and takes less time than the traditional version, but the participants forego anonymity.

- Recruit a design-monitor team, group facilitator and an assistant to undertake and monitor the group Delphi. The design-monitor team should consist of at least two professionals, so that one can check the other. Ideally, one should be knowledgeable in the issue at hand and the other should have editorial talents.
- A management team must decide on (and usually narrow down) the topic(s), as well as the number of Delphi panels that will be conducted on the topic(s).
  Decide on the date that the panel will be held. One full day will allow for several rounds of the process, in addressing one question. More time will be required to address very complex issues or more than one major question.
  Reserve a location for the workshop. One large room to accommodate all panellists is required. It would be ideal to have access to a few smaller rooms, in which the sub-groups can do their work.
- Select and recruit participants for each panel.
  Customarily the panellists are experts in the area to be investigated.
- Reserve accommodation for those who require them. Make catering arrangements.
- Development of the Delphi questionnaire.
- Individual question replies.
  Working individually and without discussion, each participant responds to the question.
- Small groups.
  Participants divide into sub-groups of 'similar' people and prepare a list of information, arranged in order of importance. Here 'similar' refers to their views on the topic being addressed. The purpose of having homogenous sub-groups is to help ensure that all information that is important to a particular perspective or interest group will reach the plenary list.
- Plenary group.
  Gather the important items from each group and list them where everyone can see them (newsprint, flipcharts, etc.). To do this, ask each group in turn to contribute the most important item on their list that has not already been added to the plenary group's list.
- Plenary vote.
  A multiple-vote procedure is used to rank the items from most to least important. A natural cut-off point is chosen between items with high scores and those with low scores. Somewhere between six and nine items are appropriate for most topics.
- Individual changes.
  Each individual considers what changes (s)he wishes to make to his/her small-group list after having seen the plenary list.
- Small groups.
  Members compare the list of top items on their small-group list to those on the plenary list. Where the small group list differs from the plenary list, the small group has two options. It can either change its list to conform more closely to the plenary list or it can develop evidence for changing the plenary list more in the direction of its list. This is done as follows: add to the small-group list the items from the plenary list that the small group previously omitted but is ready to accept. Prepare a brief report supporting any of the top items from the small-group list that the group believes should be added to the plenary list. NOTE: A time limit for the report, of one minute for example, should be enforced. The purpose of this report is not to persuade others to adapt

their point of view, but to present evidence that the group thinks others may have overlooked. Each small group then documents its revised list on one sheet of newsprint and its evidence (in note form) on another.

- Small-group reports to the plenary:
  The revised lists of the small groups are displayed without comment. Each group in turn displays its sheet of evidence and explains it briefly. Each group report is followed by a brief session of questions for clarification only. Strict time limits are reinforced.
- Plenary consensus development: return to step 9 and repeat the cycle until consensus emerges.
  Time constraints may require a fixed number of cycles. Consensus can be increased by having two rounds of voting, instead of one, at step 9.

For additional in-depth information on the philosophy behind the Delphi method, as well as various applications, refer to: http://www.is.njit.edu/pubs/delphibook/

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

A. Timing

The following table presents a general weekly schedule for an online version of Delphi. However, this is just to provide a general guideline. It should be noted that schedules will vary greatly and that face-to-face Delphis will require significantly more time than those conducted online.

General Schedule for Delphi-online	Week
1. Preparation of the Delphi project	1&2
■ General preparation	
■ Compose expert panel	
■ Email addresses participants	
■ Make the collaboration more concrete	
■ Develop accompanying texts	
2. Start up and configuration of Delphi online system	1&2
■ Questions first round	
■ Develop invitation-email;	
■ Call participants for formal consent	
■ Create first round in Delphi online system (users, passwords, texts, ...)	
3. First question round Delphi	3&4
■ Call the nonrespondents	5

4. Treatment of results of first round and start up second round ■ Data-analysis: reduce the answers to the open questions to a more limited set without losing content ■ Introduce the system ■ Invite participants by email	6&7
5. Second question round Delphi ■ Call the nonrespondents	8&9 10
6. Treatment of results of second round and start up third round ■ Data-analysis: response to closed questions and arguments ■ Invite participants by email	11&12
7. Third question round Delphi ■ Call the nonrespondents	13&14 15
8. Treatment of results of third round ■ Intermediate report	16&17
9. Project management ■ Elaborate project plan ■ Project meetings	continuous
10.Final report Delphi project	18&19

B. Budget

The following items listed are the main budgetary items in a Delphi:

- Personnel
  - organisational team
  - stipends for experts
  - moderator(s)
- Travel
  - only for Face-to-Face Delphi: travel for experts and moderator(s)
- Accommodation
  - only for Face-to-Face Delphi: accommodation for experts and moderator(s)
- Food
  - only for Face-to-Face Delphi: meals for experts and moderator(s)
- Recruitment and promotion
  - recruitment of experts

- Communications
  - printing and postage costs for surveys (if done by traditional mail)
  - printing of draft and final report and dissemination
- Facilities
  - only for Face-to-Face Delphi: location for event
- Materials and Supplies
  (These depend upon the type of Delphi conducted.)

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

Some common reasons for the 'failure' of a Delphi are:

- the imposition of the monitor's views and preconceptions of a problem upon the panellists by over-specifying the structure of the Delphi and thus not allowing for the contribution of other perspectives related to the problem
- the assumption that Delphi can be a surrogate for all other human communications in a given situation
- poor techniques of summarising and presenting the group response and thus failing to ensure common interpretations of the evaluation scales utilised in the exercise
- ignoring, rather than exploring, disagreements so that discouraged dissenters drop out and an artificial consensus is generated
- underestimating the demanding nature of a Delphi; failing to recognise the respondents as consultants and properly compensate them for their time if the Delphi is not an integral part of their job function.

For a successful Delphi, it is important to:

- carefully select the group of respondents/panellists
- adapt the Delphi design to your particular application
- assure the honesty and lack of bias in the monitoring team
- assure a common language and logic, particularly if participants come from diverse cultural backgrounds.

References and Resources

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Expert Panel

I. DEFINITION

The main task of an expert panel is usually synthesising a variety of inputs – testimony, research reports, outputs of forecasting methods, etc. – and produce a report that provides a vision and/or recommendations for future possibilities and needs for the topics under analysis. Specific tools may be employed to select and motivate the panel, assign tasks and elicit sharing and further development of knowledge.

II. WHEN TO USE

Expert panels are particularly appropriate for issues that require highly technical knowledge and/or are highly complex and require the synthesis of experts from many different disciplines. This method is not designed to actively involve the broad public.

III. PROCEDURE[1]

A. Overview

The preparation for an expert panel includes specifying the task, determining the desired composition of the panel and then recruiting panel members, a panel chair and support staff. Once formed the expert panel is expected to investigate and study the topics assigned and set forth their conclusions and recommendations in written reports. If a study is of special topical interest, arrangements may be made to schedule a (public) session at which issues, findings, conclusions and recommendations of the report are presented.

B. Preparation

1. DEFINING THE PROJECT

A project must be formulated carefully to ensure a clear understanding of the nature of the task, its aim and extent, any limitations or restrictions and the range of disciplinary expertise required among the members of the committee that will undertake it. Agreement on these elements should be sought with the requesting agencies or other originating sources; careful consultation is important to avoid misunderstandings later. However, once agreement on these essentials has been reached, it must be made clear that conduct of the work is the responsibility of the panel. This responsibility includes the determination of the approach to be taken and the substance of the report or other resultant product.

[1] Note: Most of the information provided here is a condensed version of the Royal Society of Canada's Expert Panels: Manual of Procedural Guidelines. For more detailed information, please refer to this manual (see references).

2. RECRUITING PANEL MEMBERS AND SUPPORT STAFF

This section addresses the process of forming a panel, including the resources for identifying potential chairs and members.

(a) Composition and Balance in a Panel Profile

The first step in assembling the panel nomination slate is to develop a profile of the panel. The two key dimensions of this profile are composition and balance. Composition concerns the mix of expert knowledge and experience needed for the panel to understand, analyse and draw sound conclusions about the issues before the panel. It can be represented in the question, What kinds of knowledge should the panel have? A well-composed panel will be technically competent to deal with the task.

Balance concerns the even-handed representation of differing points of view that can be expected to affect the conclusions on issues the panel will address. Because these differences often involve value judgements held by a committed adherent to one side of an issue, the question of balance can be represented as, 'What kinds of value judgements may be relevant to the panel's task? Sometimes balance can be achieved by having opposing views represented in the panel membership. In other circumstances, particularly when the opposing views are strongly held and not subject to a factual test, it can be better to seek members who are not strong proponents of the contending perspectives. The panel profile in such cases should aim more for balance in each member and rely on briefings, workshop presentations, etc. to bring forward the best evidence and arguments from the strongly opposed sides. However it is achieved, a balanced panel is one that has excellent prospects of achieving impartiality in its final conclusions and recommendations.

The panel profile must explicitly address both composition and balance. To do so the project profile must be taken into account:

- Project scope: Will the study be limited to technical problems or will it address broad issues of public policy?
- Degree of controversy: Do the problems to be addressed have alternative resolutions that are controversial, affecting parties who have strong emotional, political or financial stakes in the outcome or are there no stakeholders with strong commitments to a particular outcome?
- Technical support: Will the panel's conclusions and recommendations be based more on data analysis or on the panel's expert judgment?
- Will the panel's conclusions adequately represent the uncertainties?
- Disciplines: Do the issues involve a single discipline or are they interdisciplinary?

(b) Roles of the Panel Chair

The chair of the panel guides the process of analysis and seeking solutions for technical, scientific, policy, professional or social issues that are often complex and may be highly controversial. The chair serves as facilitator and team builder for the panel and as lead architect/integrator of the panel's report. In addition, the chair aids in project management and is the chief spokesperson in representing the panel to sponsors and the study's audiences during dissemination.[2]

[2] Facets of each of these roles, as panel facilitator, project manager, report architect/integrator and spokesperson are discussed in greater detail in the Royal Society of Canada's Guidelines.

(c) Guidelines for Interviewing

The following guidelines cover the key points in interviewing potential panel members and panel chairs. Items that apply just to interviews of potential panel chairs are in [square brackets]. It is sometimes advisable to communicate in writing first by sending a candidate a copy of the statement of work and a note saying you that intend to call to explore his/her interest in participating.

- Indicate that the context for the call concerns the expert panel nomination process. Identify the study by title and sponsor.
- Discuss the origin of the project, its objectives and the statement of the task. Ask the candidate to comment on the task and to offer suggestions about it and how the study might be carried out. The responses will provide insight into what the candidate knows about the subject, his or her thought processes, points of view, etc. Then ask what kinds of expertise are required to make up an appropriate committee, including soliciting suggestions of individuals who meet the requirements. Only then should the interviewer ask about the candidate's interest, availability and willingness to participate.
- State that another purpose of the call is to explore the candidate's interest and availability to serve on the study panel, if nominated. [In interviewing a potential chair, state that you are, in particular, interested in whether the candidate would be interested in being considered for the panel chair.] Explain that you are putting together a nomination slate, from which a committee will make the final panel selection. This is not the final round in the panel selection process, since the committee must take into account many composition and balance factors.
- Offer to elaborate on why the study is being undertaken. Describe the expected time demands of the study. [In interviewing the potential chair, be especially clear on these points, above all on the time demands and the chair responsibilities anticipated.]
- Listen carefully to the candidate's response and the level of interest (s)he conveys. Ask questions, as appropriate, to better gauge the motivation to serve as a member [or as panel chair].
- If the candidate appears interested in serving, it is necessary to discuss the subjects of balance and conflicts of interest.[3] Here is one possibility for addressing the subject:

'We are trying to assemble a panel that is free of direct conflicts of interest and is appropriately balanced with respect to different points of view on the study's issues. For this purpose each panel member will be asked to complete a confidential form, the purpose of which is to disclose any points of view or conflicts of interest. At the first meeting panel members will also be asked to discuss their backgrounds and activities as indications of their perspective and any strongly held views or commitments relevant to the study task.
I would like to run quickly through the areas of principal concern. At this time, you don't need to give specific, detailed answers but you may want to ask about any that you think might apply. A positive response to any of these questions does not necessarily indicate a problem with serving on the panel; more often it indicates areas we need to consider when balancing the panel.'

[3] For very detailed guidelines on disclosure of personal involvements and other matters potentially affecting panel service, refer to Section 5 of the Royal Society of Canada's Manual of Procedural Guidelines on Expert Panels.

Ask the following questions:

1. Organisational affiliations: Do you have any business affiliations or volunteer non-business affiliations, such as with professional societies, trade associations or civic groups or with organisations that might benefit in a direct way from this study if the issues came out a certain way? To your knowledge, have any of these organisations taken a public stand on the issues related to the study?
2. Financial interests: Do you have financial interests, whether through employment, consultancies or investments in companies or other entities whose value or business would be directly affected by a particular resolution of the issues in this study?
3. Research support: Do you receive any research support from agencies, organisations, etc. that might have an interest in the outcome of this study?
4. Government service: Have you provided services or been employed by an international, national, regional or local government, including advisory boards, that would be seen as relevant to the topics covered by this study?
5. Public positions: Have you published articles, given testimony or made speeches that might be viewed as stating a commitment to a particular view on the issues in this study? Do you hold office in or otherwise formally represent an organisation that is closely identified with a particular point of view on the issues this study may address?

- If an obvious conflict of interest has been identified, indicate that it could pose a problem for panel membership per se, but would not preclude other contributions to the study, perhaps through an oral or written briefing.

- Express appreciation for the candidate's time. Emphasise the exploratory nature of the call and reiterate that a larger slate of nominees will be put forward than will actually serve. If it seems appropriate, you can explain the various aspects that are considered in balancing a panel and emphasise that selection is in no way a judgement on a nominee's technical qualifications. Inquire as to whether the candidate has suggestions for other panel members.

(d) Developing the Nomination Package

- Define the panel profile. Use the project profile and the statement of task to define a profile of the panel. What areas of expertise are needed for composition? What points of view or different perspectives on the issues are needed for the panel to be balanced?

- Develop a 'long list' of candidates.

- Cut down to a 'short list' and establish a slate of primary nominees and alternates. Unless they have been contacted previously during the 'long list' step, exploratory calls are made to the candidates selected as primary nominees and alternates. Each slate must include at least one alternate for the chair and at least one alternate in each major expertise category. Where a category requires several nominees, more than one alternate should be proposed. The alternates must be serious candidates – not just 'gap fillers'. Alternates for the chair can also be proposed as primaries or alternates elsewhere on the slate.

(e) Technical Writer

It may prove very useful to include a technical writer in the staff complement. The professional demands on the time of panel members and panel chair are such that the inclusion of a technical writer in the staff will almost always prove to be a great advantage in the drafting of the panel report.

C. Conducting the Expert Panel

(1) The Role of an Expert Panel

The expert panel is expected to investigate and study the topics assigned and set forth their conclusions and recommendations in written reports. These reports are often the only lasting products of the panel's work and deliberations. Thus, reports must be given early and close attention. The sponsor's expectations of the expert panel should be set forth from the beginning. Some of the most important often include:

- Expert panel reports are scientific and technical inquiries; they require the same standards of integrity and conduct as other scientific and technical studies.
- Panels should strive for a consensus report, but not at the expense of substantially watering down analyses and results. It is much better to report serious disagreements and explain why the disagreements exist than to paper over such problems. Lack of consensus on all points is not a failure of the panel and will not be treated as such.
- Members of the panel serve as individuals, not as representatives of organisations or interest groups. Members are expected to contribute their own expertise and good judgement in the conduct of the study.

(2) Guidelines for the First Panel Meeting (Public Meeting)

General Meeting Objectives

- To complete panel formation through the discussion of panel composition and balance.
- To ensure the panel understands the expert panel process and their roles.
- To introduce the panel to its task, by clearly conveying:
  - the study's origins and context
  - study objectives (statement of task)
  - sponsor expectations
  - expectations of other important audiences, e.g. governments
- To begin the immersion of the panel in the subject matter of the task.
- To produce an agreed-upon plan by which the study will be conducted:
  - the general nature of the report to be written (e.g. through a topical outline)
  - a strategy for conducting the study, including:
    - research methods, data acquisition approaches, etc.
    - panel structure, if any, and/or roles of panel members
    - assignments to various panel members for undertaking specific study tasks

- topics for future meetings
- future meeting schedule
- an agreed-upon milestone chart for project tracking

Typical First Meeting Architecture

Session 1: Discussion of the origin, background, task statement and objectives of the initial study plan, led by the chair or study director involved in preparing the prospectus.

Session 2: Discussion with sponsor(s) of the task statement and their views on origins, context, schedule imperatives, objectives and so forth.

Session 3: Expectations of other important audiences, if any.

Session 4: Discussion of panel composition and balance. Full presentation by each panel member and staff of her/his background as it relates to the study.

Session 5: Initial immersion in the subject matter of the study, often through briefings by sponsors and others on subjects of major importance to the study.

Session 6: Discussion among the panel and project staff of the study approach and plan, resulting in an agreement.

If required, additional open (public) panel meetings can be scheduled but the working meetings are not normally open to the public.

(3) Preparing the Expert Panel Report

The reports that expert panels prepare should be given early and careful attention. Experience with many panels shows that consensus building and report writing are the most difficult parts of the study process. The following tips are important:

- Cut Start early.
- Cut Define early, no matter how tentatively, the 'architecture' of the report. Refine it and fill it in as the study unfolds.
- Cut Give writing assignments to panel members as soon as it is practical to do so.
- Cut Produce writing assignments on time, even if they are rough and incomplete.
- Cut Empower and use the project staff (especially the technical writer) to assist the chair and other members of the panel in filling out draft sections, integrating them and smoothing the report by putting it into one consistent style.

TIP: It is essential that none of the members provide any kind of briefing until the final report is completed. Everyone must agree to complete confidentiality!

Some elements that should be included in the report are the following:[4]

- charge
- description of panel composition
- scientific uncertainty
- distinguishing evidence from assumptions
- distinguishing analysis from policy choice, especially in risk-related issues
- citation of other relevant reports
- managing study completion
- consensus and disagreement.

D. Presentation of the Panel Report

If a study is of special topical interest, arrangements may be made to schedule a public session after submission of the final report at which issues, findings, conclusions and recommendations of the report are presented.

The following information should be prepared and, if appropriate, made available to the public:

- project prospectus, the signed contract and related official correspondence
- names and principal affiliations of panel members.

Upon completion of the study reports should be disseminated to appropriate persons and in general made available to the public.[5]

If desired, the report can be submitted for peer review, prior to public dissemination.[6]

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

Realistic estimates of time and costs are especially difficult in the early stages; underestimating is common. Estimates must include provision for assembling the panel and staff, holding meetings, preparing the report and seeing it through a review process (if applicable) and publishing and disseminating the final result.

The following items listed are the main budgetary items in an Expert Panel:

- Personnel
  - professional, technical and support staff salaries
  - honoraria for experts
  - research associates and assistants
  - subcontracts, especially for technical services (if applicable)
  - honoraria for peer reviewers (if applicable)

[4] For more detailed guidelines on these elements of the panel report, refer to Section 6 of the Royal Society of Canada's Manual of Procedural Guidelines on Expert Panels.
[5] For more detailed guidelines on planning for effective dissemination, refer to Section 9 of the Royal Society of Canada's Manual of Procedural Guidelines on Expert Panels.
[6] The Royal Society of Canada's Expert Panel Manual provides guidelines for report review in Section 7.

- Travel
  - experts
- Accommodation
  - for experts, if required but not included in honoraria
- Food
  - meals for Experts, if required but not included in honoraria
- Recruitment and Promotion
  - recruitment of experts
- Communications
  - printing and dissemination of final report
  - translation costs (if required)
- Facilities
  - location for the expert panel to meet
  - location for public presentation of the final report, if applicable
- Materials and Supplies
  (As required by the expert panel and researchers)

Some inevitable uncertainties regarding the budget include:

- estimating the number of occasions on which the panel will be convened
- estimating the number of days on each such occasion, during which the panel will deliberate
- forecasting the likelihood that the panel will have to re-convene after the peer review comments have been received (if applicable).

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

The panel participants should be diverse and it is important that, in addition to technical qualifications, the individuals concerned are creative thinkers who can bring diverse viewpoints to bear, work well in groups and are prepared to speak freely without feeling that they have to represent a particular interest group.

It can also be valuable to bring together different types of players who might not normally meet in the course of a panel – such as innovators, financiers, policy makers, academic researchers, users or consumers, etc.

Panels need to avoid too narrow representation, which is liable to result in little challenging thinking, lobbying by interest groups or perceptions that vested interests are in charge.

Panels need to be chaired and facilitated effectively, to maintain motivation and morale, to resolve conflicts, to monitor timetables and external constraints, to prevent over-dominance of strong personalities, etc.

References and Resources

Practical Guide to Regional Foresight in the United Kingdom.

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Focus Group

I. DEFINITION

A focus group is a planned discussion among a small group (4-12 persons) of stakeholders facilitated by a skilled moderator. It is designed to obtain information about (various) people's preferences and values pertaining to a defined topic and why these are held by observing the structured discussion of an interactive group in a permissive, non-threatening environment. Thus, a focus group can be seen as a combination between a focused interview and a discussion group. Focus groups can also be conducted online.

II. WHEN TO USE

Focus groups are good for initial concept exploration, generating creative ideas. They are often used to test, evaluate and/or do a programme review. They are most appropriate to get a sense of regional, gender, age and ethnic differences in opinion. They are not effective for providing information to the general public or responding to general questions, nor are they used to build consensus or make decisions.

Focus groups are used for marketing research and political and sociological work. Some purposes of focus groups include exploratory work, pre-test work, aiding event recall and triangulation with other data collection methods. They are particularly useful when participants' reasoning behind their views is of interest, as well as the process by which participants' develop and influence each others' ideas and opinions in the course of discussion. Focus groups are useful to:

- gauge the nature and intensity of stakeholders' concerns and values about the issues
- obtain a snapshot of public opinion when time constraints or finances do not allow a full review or survey
- obtain input from individuals as well as interest groups
- obtain detailed reaction and input from a stakeholder or client group to preliminary proposals or options
- collect information on the needs of stakeholders surrounding a particular issue or concept
- determine what additional information or modification may be needed to develop consultation issues or proposals further.

Advantages

Focus groups are relatively inexpensive and the format is flexible, allowing participants to question each other and to elaborate upon their answers. Focus groups, in contrast to individual interviews, allow for the participating individuals to develop and express their opinions in a more 'natural' social context, which some claim is more akin to the ways in which people form their opinions in everyday contexts. In addition, this discussion period highlights people's reasoning and thoughts underlying their expressed opinions. The method is relatively simple, allowing participants to readily grasp the process and purpose.

When the power differential between the participants and the decision-makers is great enough to discourage frank participation, the focus group provides the security of a peer group. Furthermore, the method is particularly useful when one is interested in complex motivations and actions, when one will benefit from a multiplicity of attitudes, when there is a desire to learn more about consensus on a topic and when there is a knowledge gap regarding a target audience.

Disadvantages

The multiple voices of the participants, as well as the flexibility in process structure, results in limited researcher control over the focus group process. Sometimes group expression can interfere with individual expression and the results may reflect 'groupthink'.

III. PROCEDURE

A. Overview

To prepare for the focus group event at least three staff members must first determine the questions to be addressed by the focus group and the targeted participants. Next, the focus group participants and a moderator are recruited. At the focus group event, which usually lasts for a few hours, the moderator leads the group through a semi-structured discussion to draw out the views of all of the participants and then summarises all of the main issues and perspectives that were expressed. After the event the research staff analyses all results of the focus group(s) conducted and produces a report.

B. Pre-Focus Group Planning

1. PERSONNEL AND TASKS

(a) Staff

A minimum of three staff, one administrator and two (assistant) researchers, will be needed to prepare for the focus group event.

(b) Tasks

Administrative staff tasks include:

- preparing and sending information materials for participants
- organising logistics (location, equipment, catering, accommodation, etc.)
- set up and clean up after the event
- distribution of honoraria.

Research staff tasks include:

- recruiting potential participants in the focus groups
- recording proceedings
- analysing data
- preparing report

(c) Moderators

Either two moderators or one moderator and an assistant will be required to facilitate the focus group(s).

2. DEFINE CONCEPTS TO INVESTIGATE

- Assess the purpose of the focus group. What kind of information is needed? How will the information be used? Who is interested in the information? Determine the ideal end-result, including its probable use.
- Decide who the target participants are, for example, customers, employees, decision groups, etc.
- Listen to the broad target audience to determine how to select participants, appropriate incentives for various groups and ideal questions and moderator characteristics to maximise participant engagement.
- Determine, generally, the number of sessions. Consider whether different subgroups of the population have different levels of knowledge or different attitudes that may be relevant to the research and reflect on the expected generalisability to the population at large.
- Decide on the characteristics for the participants for (each of) the focus group(s). If you hold more than one, you may want to divide the individual sessions into groups of people sorted by gender, social class or interest group. Alternatively, you may wish to have more heterogeneous groups.

TIP: Some practitioners recommend recruiting members of the same socio-economic status for each of the focus groups. In any case, avoid putting people in a situation where they are unlikely to participate due to intimidation.

- Develop your description of the problem.
- Formulate potential questions in terms of issues for discussion.

3. GENERATE QUESTIONS FOR THE FOCUS GROUP(S)

- Create a set of questions in a loose-running order, with specific prompts to facilitate participant understanding and to encourage replies.
- An opening question should be used to acquaint and identify common characteristics among the group members.
- An introductory question can be used to introduce the topic and foster conversation.
- Use 2 – 5 key questions or topics to drive the focus group discussion.

The question list and order should be prepared but should be flexible and adapted to the group's natural conversation process. They should be clear, relatively short and use simple wording. Accompany the questions with sufficient background to minimise assumptions and place them in the appropriate context. The questions should be open-ended rather than dichotomous. Avoid broad 'why' questions and instead break them down into specific sub-issues.
The questions can include various formats, such as sentence completion and conceptual mapping (situation – response: 'Given a certain situation, what would you do...?')

TIP: One can begin with a general question to get a sense of the level of knowledge of the participants as well as information about their perceptions/misperceptions. Alternatively, one can begin with questions about sub-issues that the members who are least likely to actively participate are likely to know the most about.

- Use a concluding question that helps to establish closure.

If consensus is the aim, one can ask, 'All things considered, what would you recommend...'. Alternatively, or in addition, the moderator can first briefly summarise the discussion. Then, ask the group if the summary is adequate and end with, 'Have we missed anything important?'

4. LOGISTICS AND RECRUITING FOR FOCUS GROUP PARTICIPATION [1]

- Select a location that is easy to find, minimises distraction, provides a neutral environment and that ideally facilitates sitting in a circle.
- Plan/schedule for the focus-group(s).

For very narrow topics focus groups usually last only an hour or two. However, if the topic is more policy-oriented, a one-day workshop can be organised with multiple sessions so that the group can focus on various sub-topics. When scheduling the event, avoid major national events. Do not exceed two hours per session with adults (or 1 hour for children). Schedule the focus groups at a convenient place and time. Avoid hosting the event at locations that might be contentious.

- Determine the planned focus group size.

TIP: The ideal focus group size ranges from 4 – 12 persons, with recommendations ranging between 4-8, 6-10, 7-10 and 8-12 persons. Larger groups can be used for more exploratory purposes, although they tend to fragment into smaller groups beyond a maximum group size of 12. Some researchers use mini focus groups of 4-5 persons to gauge initial reactions, but these can fail to generate useful discussion.

- Recruit participants at least 1-2 weeks prior to the scheduled focus groups.
- Invite potential participants.

Participants are generally chosen to represent a cross-section of the public affected by the issue and may be chosen to

[1] Refer to the General Guidelines in this manual for additional tips.

represent specific interests.

How to select the group members:

- Try to make the group representative of your target.
- Do not use regulars (focus-group addicts).
- The moderator should not know members.
- Members should not know each other.
- Choose people who can communicate effectively.
- Do not choose people involved in marketing.

Identify the sponsor, the general topic and the purpose of the research. If a stipend will be provided, mention this. In addition, if it is possible to provide a reception with food and beverages, mention this.

TIP: When recruiting for focus groups, it may help to emphasise the need for participants' insight to discuss the topic at hand rather than participation in a 'focus group'. This more casual formulation may prove less intimidating.

- Send personalised letters of invitation to each person who has been pre-selected and who has confirmed their availability and interest in participation. Include the information provided on the phone (and/or in person) with some elaboration, if appropriate. Include directions to the location of the event, information about public transportation and parking availability, etc.
- Call each of the focus group participants the day before the event to remind them.
- Recruit a focus group moderator(s).

The moderator should have a good knowledge of the topic in order to ask appropriate follow-up questions.

If the focus group participants make up a distinct culture group, it is useful to have a moderator with cultural sensitivity to that group. The moderator should dress as (s)he expects the participants will dress.

5. PRACTICAL PREPARATIONS

- Prepare copies of any questionnaires or handouts, if there are any.
- Identify small talk topics for discussion with participants as they arrive. Avoid the focus group topic.
- Secure audio or video-recording equipment, extra batteries, tapes, extension cords, notepads and pens.
- Make nametags.
- Arrange furniture in the room.
- Ensure absence of disruptive background noise that might interfere with discussion and recording.
- Set up and test recording equipment.
- Set out refreshments.
- Have honorariums and/or travel imbursement money ready.

C. Conducting the Focus Group

(1) Participant Arrival

As participants arrive, the moderator(s) greet(s) guests and make(s) small talk but avoid(s) the topic of the focus group.

TIP: At this time the moderators have a chance to quickly assess the communication styles of the participants. Based upon their assessment, they can place nametags around the table. It has been suggested that dominant communication styles be placed near the moderator and more reticent participants be seated where eye contact can be easily established. In case some participants happen to know each other, they can be separated.

(2) Introduction

- Begin taping the session.
- Once all participants are seated, the moderator welcomes the group, introduces him/herself and gives relevant background information and an overview of the topic. Emphasise that this is an opportunity for participants to give voice to their opinions and that the researchers are there to learn from the participants.
- The moderator explains what the results of the focus group will be used for and what form the data will take.
- The moderator outlines the ground rules. Emphasise that one person speaks at a time and that the session is being recorded to ensure that all comments are noted. Assure that no specific names will be used in the final report. Emphasise that all points of view are important to the discussion.
- The moderator asks a warm-up question that everyone is asked to answer.
- The moderator asks the introduction question (if any) and then moves to the other questions/topics, as pre-decided.

During the course of the discussion, the moderator or an assistant can use a flipchart to illustrate the ideas expressed. The moderator should encourage all participants to express their views, for example by asking, 'Does anyone have a different view?' Overly dominant participants and those who ramble should be reigned in to give others space. The moderator may suggest that all participants initially write down a few thoughts in response to a question before the group discusses it together.

(3) Focus Group Conclusion

- The moderator briefly summarises the main points of view and then asks if the summary is accurate or if anything was missed. (S)he answers any final questions about the focus group work.
- The moderator thanks the group members for their participation and explains how the honorariums and reimbursements will be distributed.

D. Post Focus Group

Send letters of appreciation to all participants (as well as honorariums or reimbursements, if these were not distributed at the event).

(1) Analysis[2]

1. Start while still in the group
   - Listen for inconsistent comments and probe for understanding.
   - Listen for vague or cryptic comments and probe for understanding.
   - Consider asking each participant a final preference question.
   - Offer a summary of key questions and seek confirmation.

2. Immediately after the focus group
   - Draw a diagram of the seating arrangement.
   - Spot-check tape recording to ensure proper operation.
   - Conduct moderator and assistant moderator debriefing.
   - Note themes, hunches, interpretations and ideas.
   - Compare and contrast this focus group to other groups.
   - Label and file field notes, tapes and other materials.

3. Soon after the focus group – within hours – analyse individual focus group.
   - Make back-up copy of tapes and send tape to transcriptionist for computer entry if transcript is wanted.
   - Analyst listens to tape, reviews field notes and reads transcript if available.
   - Prepare report of the individual focus group in a question-by-question format with amplifying quotes.
   - Share report for verification with other researchers who were present at the focus group.

4. Later – within days – analyse the series of focus groups (if applicable).
   - Compare and contrast results by categories of individual focus groups.
   - Look for emerging themes by question and then overall.
   - Construct typologies or diagram the analysis.
   - Describe findings and use quotes to illustrate.

(2) Prepare the Report[3]

The nature and style of the report will depend upon the audience. It is recommended to use summary as well as specific quotes (without mentioning individuals' names) to illustrate the various perspectives, ideas and concerns.
Some additional suggestions include:
   - Consider narrative style versus bulleted style.
   - Sequence could be question by question or by theme.
   - Share the report with others for verification and then revise.

(3) Conduct an Evaluation.

[2] For additional guidance on focus group analysis and report-writing, refer to: http://www.tc.umn.edu/~rkrueger/focus_analysis.html
[3] For detailed guidance on focus group report writing, refer to: http://www.tc.umn.edu/~rkrueger/focus_analysis.html

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

Focus groups require at least one month of planning plus the time required for writing the final report.

This method is relatively low in cost for each individual event but the total cost will depend upon how many focus groups are conducted on the subject. (Often multiple focus groups are held on a given topic.) Naturally, the cost per focus group declines when the focus group is part of a general research programme or when several groups are conducted on the same topic.

The main budgetary items for a Focus Group are listed below.

- Personnel
  - project manager
  - moderator
  - assistant
  - honoraria for participants (if applicable)
- Travel
  - for project team
  - for participants
- Accommodation (only necessary for all-day and non-local events)
  - for participants
  - for moderator
- Food
  - light refreshments
  - meals for participants and project team, if event is all-day
- Recruitment and Promotion
  - recruitment of experts
- Communications
  - paper, printing & postage for 2 mailings to participants
  - translation costs (if required)
- Facilities
  - location for the Focus Group to meet
- Materials and Supplies
  - cost to rent recording equipment (if applicable)
  - tapes, nametags, paper, pens

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

A focus group needs to build synergy and secure cooperation from the members. Thus, it is crucial that communication be open and trust is built quickly. This helps encourage new ideas. It is necessary to choose the right focus group members, as well as facilitator, in order to make the information flow positively.

Some additional guidelines for effectiveness include:

- Secure skilled personnel to identify and moderate the focus groups.
- Record the sessions.
- Ensure the atmosphere in the group is informal.
- Use an interviewer, guide or facilitator – do not use a questionnaire.
- It is not always appropriate to give participants advance notice of the material.

For more information on conducting focus groups, refer to:

Dürrenberger, Gregor. Focus Groups in Integrated Assessment: A manual for a participatory tool. ULYSSES Working Paper WP-97-2. This can be downloaded at: http://www.zit.tu-darmstadt.de/ulysses/docmain.htm

Einsiedel, A., Brown L., & Ross, F. (1996). *How to Conduct Focus Groups: A Guide for Adult and Continuing Education Managers and Trainers.* University of Saskatchewan: University Extension Press.

Another version of focus groups is to conduct them in a conference call. For more information on this format, refer to: http://www.tc.umn.edu/~rkrueger/focus_tfg.html
However, some practitioners insist that this method should be conducted in person.

References and Resources

Gearin, E. and Kahle, C. (2001) Focus Group Methodology Review and Implementation.

ICIS *Building Blocks for Participation in Integrated Assessment: A review of participatory methods.*

Kruger, R. *Analysis: Systematic Analysis Process.* www.tc.umn.edu/~rkrueger/focus_analysis.html

World Bank. *Social Analysis: Selected Tools and Techniques.* World Bank Social Development Paper Number 36, June 2001.

Participatory Assessment, Monitoring and Evaluation

I. DEFINITION

A Participatory Evaluation is an opportunity for the stakeholders of a project to stop and reflect on the past in order to make decisions about the future. Through the evaluation process participants share the control and responsibility for:

- deciding what is to be evaluated
- selecting the methods and data sources
- carrying out the evaluation and
- analysing information and presenting evaluation results.

PAME can (ideally) be conducted as part of a broader participatory process (see the section on best practices) or as a separate exercise.

II. WHEN TO USE

Participatory Evaluation may be conducted for the following reasons:

- Because it has been planned(!)
  Participatory Evaluation can be planned at various points throughout a project. These can be mid-way through a series of activities or after each activity, depending on when the community decides it needs to stop and examine past performance.
- Because a (potential) crisis is looming
  Participatory Evaluation can help to avoid a potential crisis by bringing people together to discuss and mediate a solution to important issues.
- Because a problem has become apparent
  Problems, such as a general lack of community interest in activities, may be apparent. Participatory Evaluation may provide more information that can help people determine why there is a problem and how to remedy it.
- To introduce and establish a participatory approach.
  A Participatory Evaluation may shed some understanding on why a project is not working very well. The results of a Participatory Evaluation may be the entry point for a more participatory approach to the project in general.

III. PROCEDURE[1]

A. Overview

The extensive planning phase of a participatory evaluation includes recruiting staff, who will conduct the following steps:

- review objectives and activities
- review reasons for evaluation
- develop evaluation questions
- decide who will do the evaluation
- identify direct and indirect indicators
- identify the information sources
- determine the skills and labour that are required to obtain information
- determine when information gathering and analysis can be done
- determine who will gather information.

The information is then gathered in a database, partially analysed and then presented to the appropriate public, who further analyse the information collectively. Finally, conclusions and action plans are developed from insights learned.

B. Realisation

1. PERSONNEL AND TASKS

The personnel required to conduct an evaluation varies widely, depending upon variables such as the scope of the project being evaluated, its geographical range and the number and type of methods used to collect and analyse data. However, the following requirements should be taken into consideration:

- A director will be needed to supervise the overall evaluation and ensure that the various parts come together to
- cohesive whole.
- Moderators will be needed to facilitate group data collection techniques.
- Researchers will be needed to conduct analyses and facilitate, perhaps with a moderator, group analyses.
- Administrative staff will be required to organise logistical matters, such as meeting locations, travel and accommodation, etc.

2. PLANNING THE EVALUATION

The time that is taken to carefully prepare and plan a Participatory Evaluation is time well spent. The preparatory process helps participants understand what they are evaluating, why and how they are going to do it.
The first meeting to prepare and plan the evaluation should be open to all interested groups, including beneficiaries, others in the community and sponsors. If a great number of people are interested in the evaluation, some of the responsibilities of the evaluation can be delegated to a small group, a community evaluation team. However, at the first mee-

[1] This section is largely an edited version of Case, D. (1990).

ting, the whole group must first discuss why they are doing an evaluation and what they wish to know in order to provide guidance to the community evaluation team.

(1) Review objectives and activities.

Discuss:

- What are the stakeholders' long-term and immediate objectives?
- What activities were chosen to meet these objectives?

Scenario-building can be a very useful tool to think about longer term goals in a holistic manner. For additional tools that are useful for identifying objectives refer to the list of analysis techniques provided in this publication.

(2) Review reasons for evaluation.

After objectives and activities are reviewed, discussion can focus on the questions:

- Why are we conducting an evaluation?
- What do we want to know?

(3) Develop evaluation questions.

In a brainstorming session participants should propose evaluation questions, which the facilitator writes (or draws) on large sheets of paper, a blackboard, etc. The group should discuss and agree on each question. If many questions are generated around each objective and activity, they can be ranked in order of importance.
If the project evaluation can be divided into two or more sub-sections, one can also divide the group into sub-groups that focus on one or more of these subsections.

(4) Decide who will do the evaluation.

In the plenary decide who will do the evaluation and who will want to know the results. It may be decided to include all the stakeholders (especially if it is small), only the beneficiaries or to delegate the responsibility for the evaluation to an evaluation team. The composition of the evaluation team should be decided by the larger group at this first meeting. If it is known that some minority groups will not be represented, the facilitator may encourage the participation of spokespersons from these groups on the evaluation team. The evaluation team may include beneficiaries, those who may be disadvantaged by an activity, community members and other affected groups.

The larger group also decides who needs the results of evaluation and when the results should be ready. This will depend on who needs the information to make decisions and when decisions are to be made.

(5) Identify direct and indirect indicators.

Taking the evaluation questions that were generated in the first meeting direct and indirect indicators are chosen for evaluation questions.

Direct Indicators

Direct indicators are pieces of information that expressly relate to what is being measured. For example, if information on election attendance is required, then the number of ballots cast is counted and perhaps set in proportion to the entire population.

Indirect Indicators

Indirect indicators are pieces of information chosen to serve as substitutes to answer questions that are difficult to measure.

For example, some people may argue that one's standard of living is not best indicated (only) by their income. Rather, locals might argue that there are more telling indirect indicators:

- Persons are poor if they have to hire themselves out as labour.
- Persons are rich if they can hire labour.

Thus, two indirect indicators could be the number of persons in the community who fall into each category.

In developing indicators some important questions to be answered are:

- What do we want to know?
- What are the pieces of information that could tell us this?
- What are the best pieces of information ('key indicators') that will tell us this most accurately?
- Is the information accessible?

Indicators should be chosen that are accurate and illuminating as to the nature of the problem or issues. In addition, it is important to verify that the necessary information can be gathered. Establishing good indicators will reduce the amount of information that needs to be collected.

(6) Identify the information sources.

For each evaluation question and indicator that is chosen, the evaluation team identifies what information sources are available, which sources to choose and how to obtain the information. Some 'raw' data (unanalysed information) may be available and require some effort to analyse. Other information may not be readily available and will have to be gathered.

If information is not readily available, it must be decided which information gathering tool will be used to obtain information. The choice of tools will depend on the kind of information needed. Remember that it is possible to use one tool to gather information for a number of indicators. If an information-gathering tool has been used before, it may be used again to update the information and show change. For additional tools that are useful for gathering information for Participatory Evaluations, refer to the list of analysis techniques provided in this publication.

(7) Determine the skills and labour that are required to obtain information.

The assistance of people with specific skills, such as interviewing, mathematics, art and/or drama, as well as a certain

amount of labour (time), will be required. The evaluation team must decide which skills and resources are available to them. They might ask the questions:

- What resources do we need?
- What resources do we have or can we develop?
- What additional resources do we need to get?

(8) Determine when information gathering and analysis can be done.

It is important to assure that information will be gathered and analysed within the time frame that is given to the evaluation team, so that the results can reach decision-makers on time. The timing of the evaluations must take into account factors such as seasonal constraints (planting and harvesting times), religious holidays, field staff availability and community labour demands.

Make a schedule: For each tool that is used the evaluation team decides approximately how long each task will take and when it will be done.

(9) Determine who will gather information.

When the specific dates, the required time and skills are known, the tasks can be delegated to individuals or small working groups.

3. DATA COLLECTION

(1) Collect the information.

Each of the delegated individuals should gather the information for which they are responsible. All of the data should be collected centrally.

(2) Form database.

The information collected should be put into a manageable format to facilitate the analysis process.

4. DATA ANALYSIS

When all the tasks have been completed, it will be necessary to analyse and synthesise information for presentation. Some of the information may already be analysed and will simply have to be put in its place in the presentation. The evaluation team can decide what will be the best way to present results, given the audience for whom the results are intended, the resources and time available.

Analysis is examining information (sorting it out, adding it up, comparing it) in order to understand the 'parts' in relationship to the 'whole'. Some of the analysis may have already been done, or partially done, depending on which information gathering tools have been used.
Some steps in information analysis for evaluations are provided below.

(1) Review the questions.

The questions generated before the information was gathered should be reviewed. Why was this particular information necessary? What questions was it to answer? What kinds of decisions are to be made based on this information?
It is common for people to work very hard planning for the information they need and then, once the information is collected, to not look back and renew their understanding of the central issues and key questions.
Important results that were not anticipated should not be ignored. Sometimes putting information together will raise important, unforeseen and relevant questions. These can be noted for future reference and pointed out in the presentation of results.

(2) Organise the information.

Gather together all relevant information that has been collected. If necessary, sort information into parts that belong together. The way in which the information is organised and categorised will vary according to the thinking processes of different people. Some information may have already been analysed while other will require further analysis.

(3) Decide how to analyse information.

Analysis of parts may be simply adding up numbers and averaging them or comparing information to examine the relationship of one thing to another or two things together. In the process of analysis, one can also:

- take note of similarities
- make contrasts by setting two things in opposition in order to show the differences
- relate pieces of information to establish relationships between them.

(4) Analyse quantitative information.

Quantitative (numbers) information can be computed by hand or with the use of adding machines.
Refer to the list of analysis techniques, provided in this publication, for tools that can be used to facilitate participatory analysis.

(5) Analyse qualitative information.

Analysis of qualitative (descriptive) information is a creative and critical process. The way the information has been gathered will probably determine how it can best be analysed. For example, if drawings of a community have been done

at the beginning, middle and end of the project, these can be analysed by presenting a series of drawings to a number of individuals and asking them to:

- validate the drawings (are they truly representative, and if not, why not)
- rate the difference (very good, good, not very good, etc).

Refer to the list of analysis techniques, provided in this publication, for tools that can be used to facilitate participatory analysis.

(6) Integrate the information.

The team that has been assigned to gather and analyse information can put the analysed parts together in a way that tells the complete story. Partial analysis can be presented to the larger community group for completion.

5. PRESENTATION & ACTION PLAN

(1) Presentation of initial results.

Once the information has been collected and (partially) analysed, hold another meeting with the larger group to present the initial results. It can be very effective to present the information in partially analysed form.

The benefits of partial analysis are:

- The larger group has an opportunity to contribute to further analysis.
- The results are validated by more people and will be more reliable.
- More people can understand the process of analysis.

If the information is presented in partially analysed form, the group will need to do further analysis to answer their initial questions.

Regardless of the form in which the information is presented, the group will have to discuss the implications of the results for their initial questions.

- Have new questions arisen that require additional collection of information?
- What conclusions can be drawn?
- How can we learn from the results?
- What are the different options available to address the emerging issues?

Encourage thorough discussion of these questions, allowing people to express their perspectives regarding how the information should be interpreted.

The emphasis of the conclusions should not be upon success or failure but upon learning. Insights gained from the evaluation process might also inspire the group to reconsider their initial objectives. This is part of the iterative learning process that is comprised by participatory assessment, monitoring and evaluation.

TIP: Discourage the group from focusing on blaming or accusations for any poor results. Instead orient the discussion around the future, exploring new and better paths toward the desired future.

If additional information is required to answer pressing new questions, then devise a plan to gather the needed data, following the steps above.

(2) Develop a future action plan.

Finally, the group should discuss and decide upon a plan of action, based on the results.

- Based on what has been learned, what steps are to be taken now?
- Who will do what?
- Within what time period?

TIP: In developing a plan of action and in reconsidering the initial goals prospective methods, such as scenario workshops, can be very useful.

(3) Write up a final report.

The final report should include the questions, participants, method, analysis procedures, conclusions and a summary of the new plan of action. For tips on writing an evaluation report, particularly from a local perspective, refer to the 'Presentation of Results' section in Case, D. (1990):
http://www.fao.org/docrep/x5307e/x5307e00.htm#Contents

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

The resources required for a participatory evaluation will vary widely, depending in part upon:

- the complexity of the issues being evaluated
- the methods used for data collection
- the availability and cost of persons skilled to collect and analyse the data (personnel costs)
- the geographic scope of the issue being evaluated (travel and accommodation costs)
- whether or not the evaluation is built into a general participatory project (saves time and avoids duplication of many costs).

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

It is strongly advisable to make participatory evaluations one aspect of a broader participatory approach to project development. This will enhance stakeholder ownership from the beginning of the project and will also be more cost effective.

Ideally, the evaluation process should be iterative and seen as part of a larger planning/development or decision-making process. When evaluations can be planned regularly throughout a long-term project, they are more likely to be seen as aimed toward learning and improvement than as a one-off judgement. In addition, progress can be improved in the long run when lessons are learned from evaluations early in the project. The process of developing indicators helps people to define their goals more precisely and thus to generate more concrete action plans.

Take extra care to ensure that the data collected answer the real questions being asked. Avoid the pitfall of choosing a particular method of data collection because it is easy, but may not really attain information that is useful to learning how a project can be improved.

In conducting evaluations be careful to consider the long-term perspective. It is sometimes natural in development processes for things to get, or superficially appear to get, worse before they get better.

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Planning Cell

(Original German: Planungszelle)

I. DEFINITION

The Planning Cell method engages approximately twenty-five randomly selected people, who work as public consultants for a limited period of time (e.g. one week), in order to present solutions for a given planning or policy problem. The cell is accompanied by two process-escorts, who are responsible for the information schedule and the moderation of the plenary sessions. A project may involve a larger or smaller number of planning cells. In each cell participants acquire and exchange information about the problem, explore and discuss possible solutions and evaluate these in terms of desirable and undesirable consequences. Experts, stakeholders and interest groups have the opportunity to present their positions to the cell members. The final results of the cells' work are summarised as a 'citizen report', which is delivered to the authorities as well as to the participants themselves.

II. WHEN TO USE

The Planning Cells work best in a situation in which an urgent problem has to be resolved in a short period of time and when different options, each posing different benefits and risks, are available. The process works optimally when the issue is not too controversial and has not already polarised the attitudes of the affected population. However, Planning Cells can address even highly controversial issues if the majority of participants are selected by random process. The following criteria should be used to evaluate the suitability of the Planning Cells procedure for a given application. When all or most are answered positively, the Planning Cell method will be suitable.

- Variability of options: Do the participants have the choice of selecting one option out of a variety of options that are all feasible in the specific situation?
- Equity of exposure: Are all groups of the community or the respective constituency exposed in some way to the potential disadvantages of the proposed options (to avoid a distinction between affected abutters and indifferent other citizens)?
- Personal experience: Do participants have some experiences with the problem and do they feel competent about giving recommendations after they are further educated about the problem and the remedial options?
- Personal relevance: Do participants judge the problem as serious enough to sacrifice several days of their time to work on solutions?
- Seriousness and openness of sponsor: Is the sponsor willing to accept, or at least carefully consider, the recommendations of the Planning Cell(s) or do they pursue hidden agendas?

III. PROCEDURE

A. Overview

Preparation Phase:

- Recruit personnel
- Design programme
- Recruit citizen advisors
- Selecting and Recruiting Experts and Advocates
- Logistics

Conducting the Planning Cells:

General Programme for the Planning Cells of a Project

	Planning Cell 1 *(25 persons)*	**Planning Cell 2** *(25 persons)*
Day 1	Work units 1 – 4 *(maximum 4 per day)*	Work units 1 – 4
Day 2	Work units 5 - 8	Work units 5 - 8
Day 3	Work units 9 – 12	Work units 9 – 12
Day 4	Work units 13 - 16	Work units 13 - 16
	As many units as necessary	*As many units as necessary*

Draft report written and sent to all participants for review.
Representatives of each Planning Cell (if multiple Cells were conducted on the same topic) meet to criticise and improve the report.
Final draft of report produced and disseminated.

Daily Programme for a Planning Cell

	Planning Cell 1	
Day 1	**Work unit 1: Sub-theme A** (a specified task)	
	Phase I:	Plenary Participants receive information on sub-theme A through reports, videos, field tours, presentations by experts and/or interest-group representatives, etc.
	Phase II: Small groups	The Planning Cell divides into 5 small groups of 5 persons each. The subgroups work on an assigned task, first discussing the viewpoints and information and then generating recommendations.
	Phase III: Plenary	The results of the work of the small groups are presented to the plenary. The moderators collect these results on flipcharts. All participants evaluate each of the recommendations, using an agreed upon method.
	Break	
	Work unit 2: Sub-theme B (a specified task)	
	Phase I	
	Phase II	
	Phase III	

	Break	
	Work unit 3: Sub-theme C (a specified task)	
	Phase I	
	Phase II	
	Phase III	
	*** A maximum of 4 work units can be conducted per day. ***	
Day 2	Work units 5 - 8	

Final Report Production and Dissemination:

- preparation of draft report
- critique and improvement session
- production of the final citizens' report
- dissemination of the citizens' report.

B. Preparation

1. RECRUIT PERSONNEL

It will be necessary to recruit an organisational committee and moderators for the Planning Cells.

(a) Organisational Committee

Several people will be needed to be responsible for the following tasks:

- assembling information on each of the sub-themes to be addressed in the work units
- designing the programme and schedule
- recruiting the citizen advisors
- finding a suitable location for the Planning Cells event
- recruiting experts and interest group representatives to present their opinions
- making travel, accommodation and catering arrangements
- publicising the event
- compiling the draft report and revising it according to the input of the advisors
- producing and disseminating the final report.

(b) Moderators

Recruit two moderators and a conference assistant (possibly someone from the organisational committee) for the duration of the Planning Cells.

2. PROGRAMME DESIGN

The organisational committee must develop a work programme. In order to do this it is first necessary to become familiar with the facts and the context of the problem(s) to be addressed. Request all required documents, plans, previously issued assessments, etc. from the appropriate authorities. Pursue discussions with the various interest groups and stakeholders in order to define the problem itself. A website can be established at which all persons are invited to inform themselves on the project development and to express their ideas and opinions already at this stage.

Once the problem is defined, the programme content and schedule needs to be established. The facilitator subdivides the proposed problem into distinct, thematically specific 'work units'. These units fill a methodological function by helping the advisors to address specific issues and questions before generating final recommendations. A maximum of four of these units can be addressed each day (thus 16 units can be addressed in four days). Depending upon the complexity of each work unit, it might be necessary to schedule fewer units and thus allow more time for some unit(s). Schedule the units across the span of several days, The number of days required will depend upon the number of work units and the time allotted to each, which vary with the complexity of the issue being addressed. The planning cells usually require three to five days, whereby four days are most often sufficient.

Essential to the validity of the results of the Planning Cell is that all camps and interests be equally represented in the information package and that they be allowed to present their own case. It is thus imperative that the organisational committee include in the programme as many diverse and controversial points of view as is possible. It is their job to ensure that all of the important topics are addressed and that the information is not partial to one perspective.

3. RECRUITMENT OF CITIZEN ADVISORS

An important characteristic of planning cells is the random selection of the participants. A planning cell consists of 25 citizens. These are selected from the pool of all citizens over the age of 16 in the relevant area, using a random chance procedure. This guarantees that every citizen has a chance to become one of the advisors and that the final advisory group will be heterogeneous and representative of the relevant population.

Arrangements have to be made to release all participants from their daily duties, both professional and personal (such as childcare). Those persons who do not have the opportunity to take a paid sabbatical must be compensated for any lost income as well as travel expenses. In addition, any costs to provide an alternative for the care of children, elderly or disabled family members must also be covered for the duration of the planning cells.

Refer to the General Guidelines for tips on recruiting participants.

Sending initial materials to those considering participation.
The day after the initial contact a packet of materials should be sent to the respondents who said they would or 'might' be interested in participating. The packet for potential jurors should include:

- a cover letter explaining the project
- a form to fill out and return
- a small stamped envelope for returning the form
- a fact sheet on the project.

When forms are returned, this should be indicated in the database and the corresponding control number should be clearly indicated on the form, which should be saved.

Selection of citizen advisors and alternates.
There will be a pool of people in each category who are willing to participate. The committee must then choose the participants and alternates needed for the right balance in each category and notify them that they have been chosen as citizen advisors or alternates. It is advisable to first call to confirm the selected citizen advisors and then arrange for the alternates (in case one does not show up). Alternates should be asked to come the first morning.

Notification of citizen advisors and alternates.
4 – 8 weeks before the Planning Cell begins, a phone call should be made to the selected citizen advisors and alternates, confirming their participation. In addition, a formal letter acknowledging their selection and providing detailed information should be sent. A sample information packet to a selected and confirmed juror includes:

- letter
- information sheet on duties for citizen advisors
- maps, if necessary
- lodging/parking/special needs information
- stamped return envelope, if necessary.

TIP: It is highly advisable to make one or more follow-up calls, including one on the week before the Planning Cell event.

A letter of thanks should be sent to those potential citizen advisors who were not selected for the jury. It should include a note about how to find information about the process.

4. SELECTING AND RECRUITING EXPERTS AND ADVOCATES

Experts are resource persons, who introduce the citizens to the vocabulary and history of the topic and discuss all the options. Advocates represent interest groups that present their point of view.

The organisational committee must choose a balanced group of advocates, making sure to find experts and advocates to represent both (or all) sides of the issue. Two possible models include:

- separate experts present specific positions that they favour or
- panels of experts, both academics and practitioners, discuss all sides of the issues.

Review of Criteria for Experts and Advocates.

In the planning stages the staff of the organisational committee may adopt criteria for selecting the experts and advocates. They should first brainstorm to define the full range of existing points of view on the topic at issue. An attempt should be made to include all points of view within the scope of the issue.

When selecting experts and advocates, the staff members need to know whether witnesses are supporting a particular position. It may also be necessary to consider criteria such as employment for a particular organisation that stands to gain financially from a particular solution.

Once key decisions are made about the method of experts' and advocates' presentation and the agenda, the staff needs to create lists of possible experts and advocates for each 'slot' in each work unit.

TIP: Advice on possible experts and advocates can be sought from many sources, in addition to the sponsors and organisational committee members, such as: academics from a variety of universities, professionals or policy makers in the field, legislators, private and governmental agencies, think tanks or institutes, business leaders or chambers of commerce, interest groups or lobbyists, reporters, special advocacy organisations.

Recruitment of specific individuals.

It is recommended to make initial contact with a possible expert or advocate by telephone. However, one can also first send a letter or fax. Provide a concise description of the project and the role of the experts and advocates. The selection criteria should also be mentioned. Determine whether the person is interested and available on the date of the relevant work unit. If the person is interested, a cover letter with follow-up materials should be sent immediately.

TIP: Sometimes it is necessary to contact more experts and advocates than will actually be needed in order to have enough from which to draw a balanced panel and ensure they can all come on the day chosen.

Materials to send to experts and advocates.

The information packet for the selected witnesses can include some or all of the following:

- a covering letter
- information about the Planning Cell and the role of the experts and advocates
- details about the current project, including the main issue and each work unit
- information about the information the expert or advocate is being asked to cover in his/her presentation
- specific date(s) and time(s) for the expert's or advocate's presentation(s), as well as the time limit
- inquiry about the audio/visual equipment required by the witness
- request for background information and/or a brief position statement
- request for witness to prepare 30 copies of any presentation handouts
- request for a one-page summary of the expert's or advocate's position or a questionnaire
- information about the specific location of the hearings
- travel vouchers or reservation information
- information on any hotel accommodation that will be provided.

This information can be sent in two stages, if preferred.

Once a final selection has been made, any experts who are not needed or who are not available on the appropriate day should be contacted.

Confirmation
About a week prior to the hearings, the project director should call all experts and advocates to confirm their participation, remind them about the details, answer any questions, nudge them to return information and forms if they have not done so and to check on audio-visual equipment requirements.

5. LOGISTICS

Site and equipment
The staff of the organisational committee is responsible for finding and reserving a meeting location, handing all the site details during the event and making hotel reservations for all persons who require accommodation.

The meeting room should be large enough to accommodate a U-shaped table set up to seat the citizen advisors comfortably. It should be large enough to allow the advisors to split up into five small groups or – even better – the site should have smaller rooms available for this purpose. The moderator, advocates and experts will sit or stand at the open end of the U-shape, so allow space for a podium, table and projector.

Refer to the General Guidelines for a list of materials and supplies.

Accommodation, Meals and Expense Reimbursement
Refer to the *General Guidelines*.

C. Conducting the Planning Cells

Please refer to the table above for a summary of a typical sequence of a Planning Cell.

The schedule for the Planning Cells are organised into multiple 'work units', each of which addresses a specified task that is part of the larger issue or problem. Each work unit comprises three major components:

- Phase I: reception of information through lectures, field tours, videos, written material and other mediums
- Phase II: processing of information through small group discussions, plenary sessions and hearings; and
- Phase III: evaluation of the impacts of the options through small-group discussions, personal judgements and consensus-building exercises in the plenary.

Each of these phases is described in greater detail below. After all of these work units have been conducted, there is a final evaluation and then the summarising citizens' report is compiled.

These work units should not be seen as a sequence of separate decisions but rather as a progressive opinion-building process that is completed during the last units of the final day. The results of each unit can be seen as provisional results that can elucidate various parts of the final result.

Phase I: Information presentation.
Informing the participants about the policy options and their likely consequences is the most vital part of the whole procedure. Their common sense and lay understanding of the topics being addressed is supplemented with factual information and the perspectives of all interested parties.

At the beginning of each work unit, the citizen advisors are informed about various aspects of the issue by experts, interest group representatives and so forth in the form of reports, community visits or field tours, videos, lectures, written material, photographs, etc. Afterwards, the advisors have the opportunity to ask specific questions. This phase is facilitated by the moderators and assistant, who are responsible for steering the process in a timely fashion.

Phase II: Small group discussions.
The second major component of the Planning Cell procedure is the elicitation of values, criteria and attributes and the assignment of relative weights to the different value dimensions. This is the aim of the discussions between the citizen advisors subsequent to each information phase. The discussions take place in small groups of five persons, which enables less talkative persons to express their ideas. The constitution of the small groups should be changed at regular intervals and is determined by lottery, as this helps to prevent the dominance of any individual opinions. Each small group should be given a clearly defined task (pertaining to the current work unit) and time frame. The discussions serve to place all of the received information in relation to the advisors' personal experience and facilitate the formation of their opinions. In contrast to the plenary sessions, the moderators do not play a role in the small group discussions.

The small groups will produce a recommendation based upon their discussion and, if necessary, some kind of voting procedure. The members can choose their own method. In several cases, methods derived from Multiattribute Utility Theory have been used. In these procedures, the citizen advisors are first asked to rate each decision option on each criterion that they deem important. Each criterion is weighted against each other criterion, resulting in a matrix of relative weights and utility measures for each option and each criterion. Both tasks, the transformation in utilities and the assignment of trade-offs, are performed individually and in the small groups.

Based upon their discussions and any voting procedures, the small groups produce a recommendation on the specified task of the given work unit.

Phase III: Small group presentations to the plenary and evaluations.
The discussions in the small groups lead to various proposals and recommendations regarding the specified task for the work unit. The next step in each round is the presentation of the results of the small work groups to the plenary. The

moderators should collect all of the recommen-dations on flipcharts. These recommendations are subsequently evaluated by all of the citizen advisors.

The evaluations can take place in various ways. Some possibilities include assigning grades or points, filling out personal evaluation forms or having a plenum vote on the various proposed alternatives. The results of these evaluations are recorded by the moderators and assistant and will later be compiled into the final report.

D. Final Report Production and Dissemination

1. PRODUCTION OF CITIZENS' REPORT

The moderators have the task of summarising the initial results of the planning cell(s) in the form of a citizens' report. The report should include a description of the problem and task, a description of the entire procedure (selection of the advisors, process of the planning cells, voting process, etc.) and the results of each of the work units. The purpose is to make the entire process transparent and comprehensible.

Approximately two months after the conclusion of the Planning Cell meetings, the report is first presented to all of the advisors for their authorisation. All of the participants, or some representatives of each Planning Cell if multiple Cells were conducted on the same topic, meet once more to review, criticise and improve the report.

The organisational team incorporates the comments into the report and finalises it for publication.

2. DISSEMINATION

The final citizens' report (the results of the planning cell) can be presented to the contracting party and published. The results can serve as a decision aid to relevant political institutions.

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

Any given project may incorporate multiple Planning Cells, whereby each Cell additional to the first one will cost less. Each Planning Cell requires approximately two months of preparation, four or five days for the main event and two-three months afterward: a total of approximately five months. This will vary according to the complexity of the issue being addressed. The main budgetary items include:

- Personnel
  - organisational committee members
  - moderators
  - daily stipend for 25 participants, plus costs to free them from any duties
- Travel
  - for organisational committee members (if applicable)
  - for participants
  - for moderators
- Accommodation (only necessary for all-day and non-local events)
  - for organisational committee members
  - for participants
  - for moderators
- Food
  - meals and refreshments for each day of event
- Recruitment and Promotion
  - recruitment of personnel and citizen advisors
- Communications
  - printing costs to produce final report and any other information, as required
  - publishing and dissemination costs for final report
- Facilities
  - location for the Planning Cell to meet
- Materials and Supplies
  (See list provided)

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

The advantages of the planning cell include:

- The random selection of the citizens increases the acceptance of the results because they are representative of the relevant population.
- The results of the planning cell are completely open. In contrast to some participatory methods, there are no pre-defined solutions. Rather, the citizen advisors develop their own solutions and recommendations based upon their experience in the planning cell process.

- The recommendations of the citizen advisors tend to clearly promote action in, and protect the interests of, the general community. Citizens do not try to push through their own individual interests but seek the well-being of the community as they understand it.
- Planning cells are processes of political education. As a side effect, the participants learn about various institutions, processes, pressures and constraints involved in political decision-making.
- Planning cells provide an opportunity to learn about the interests of others. By bringing together people of diverse ages, socio-economic and educational backgrounds, the process facilitates contact and understanding between people with very different perspectives, who otherwise might never meet each other.

Drawbacks and Limitations of Planning Cells:

Planning Cells are not well suited for issues that pose major inequities between different regions or social groups. In these cases, randomly selected citizens are not perceived as legitimate negotiators for the groups that face these inequities. In addition, decisions involving only a yes-no alternative are inappropriate for Planning Cells because participants tend to select the 'easy' solution of objecting to any new development, especially if the affected community does not equally share the benefits.

Another problem associated with Planning Cells is accountability and long-term planning. Since citizens are not responsible for implementing the final decision, they may make choices that are not financially or physically feasible in the long run. Although Planning Cells could be reconvened several times or different panels could be organised for the same subject over a longer period of time, this does not constitute the same public control as having elected officials who face elections and may be legally accountable for their actions. The question of how much authority these panels should be given was also a major point of criticism in a review of participation models by Fiorino (1990).

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Scenarios Workshops

I. DEFINITION

Scenarios are narrative descriptions of potential futures that focus attention on relationships between events and decision points.

II. WHEN TO USE

As a rule, scenario construction is particularly useful in situations where the past or present is unlikely to be a guide for the future, in particular where:

- the problem is complex
- there is a high probability of significant change
- the dominant trends may not be favourable and thus must be analysed
- the time-horizon is relatively long.

Scenarios help direct attention to driving forces, possible avenues of evolution and the span of contingencies that may be confronted. Thus they are particularly useful when many factors need to be considered and the degree of uncertainty about the future is high.

The process of backcasting – analysing back from the preferred (or undesired) scenario to the present day, tracing the sequence of critical events and changes – allows people and organisations to develop a strategic plan that will inform their actions as these critical events unfold. This, in turn, allows people to become agents of change rather than being driven by change and to create trends rather than being the victims of trends.

Scenarios methods can provide planners with 'compass points' with which to orient thinking about the innumerable possible futures. Policies can be examined in terms of their robustness across a range of possible futures: instead of focusing on the supposedly 'most likely future', a balanced range of strategies that may be required in different circumstances can be developed.

The scenario-construction process can also be used to build a common vision among participants. It can thus be used to generate consensus and direction. Especially where involved in workshops, participants will understand better the strategies and policy options needed to build alternative futures. In addition, the processes of establishing images of these futures and how to realise them can facilitate action. Participants will also come to better understand the viewpoints and strategies of others.

Thus the main applications of scenario workshops are to:

- improve long-term decision-making

- motivate change
- generate alternative trajectories for future developments
- improve preparedness for emergencies and contingencies
- guide key choices
- build future-oriented knowledge and action networks
- generate a vision and action-plan for realisation.

III. PROCEDURE

A. Overview

The preparation for a scenario workshop can vary extensively. Depending upon the topic(s) being addressed, the amount of information gathering required for well-informed, realistic scenarios can be significant. The length of the pre and post-workshop phases will also be determined by the extent to which the scenario-building process is conducted more in a larger group or by smaller teams (who collect the input of others). In any case, a scenario team is recruited, which then goes through the following steps:

- elicit Views, Insights and Facts.
- identify Focal Issue or Decision.
- list Key Factors in the Local Environment.
- list Driving Forces in the Macro-Environment.
- rank Key Forces & Drivers by Importance & Uncertainty.
- select Scenario Logics.
- flesh Out the Scenarios.
- explore Implications.
- select Leading Indicators & Signposts.
- present Scenarios to Relevant Public.
- generate and Discuss the Options.

B. Realisation

1. COMPOSE THE SCENARIO TEAM

The team should be composed of:

- decision-makers (whose mandate or competency is relevant to the focal issue or question)
- persons with a broad range of functions, areas of expertise and (political) perspectives
- creative thinkers.

All members of the team should have open minds and be able to work well together as a team.

2. ELICIT VIEWS, INSIGHTS AND FACTS

The team must decide how it wishes to gather the opinions and intelligence needed to prepare the base for the actual scenario-building workshop. Many tools are available for preparing this base, including the multiplicity of techniques for analysis briefly described in this publication. Analytical tools commonly used to prepare the base for scenarios include Structural Analyses, Delphis, Régnier's abacus, MACTOR and SWOT analyses. Almost always a certain amount of desk research is necessary to gather relevant information about internal (to the organisation, region, etc.) and external trends, for example from the OECD, economic forecasts, government statistics on demographics, think-tank reports, etc. Such information may be gathered, as required, throughout the entire scenario preparation, construction and analysis process. Usually such information will be useful initially to contribute to the definition of the 'assumptions' upon which the scenarios will be built, also called the scenario logics. Later additional and more specific information can be gathered once these logics have been decided. The main information required includes:

- critical trends, especially very long-term trends that are expected to continue
- factors of change or future-shaping events that could alter even the seemingly most established trends
- the roles of the various categories of stakeholders
- events that can alter the environment in the future.

Individual interviews and/or issue workshops can be used to gather viewpoints and insights that will be useful in identifying the various items in steps II – V. There is no rule about the amount of information that should be fixed prior to the workshop. Thus more or less information may be decided and fixed on the basis of collected intelligence, interviews or workshops or by a simple executive mandate. Inevitably, the outcome will be a result of all of the above. In any case, the process should be made transparent and decisions should always be checked with the commissioner.

For gathering information through interviews, Ringland (2002) provides some questions that can be used to trigger people's strategic thinking:

1. *Critical issues*. Would you identify what you see as the critical issues for the future? Suppose I had full foreknowledge of the outcome as a clairvoyant, what else would you wish to know?
2. *A favourable outcome*. If things went well, being optimistic but realistic, talk about what you would see as a desirable outcome.
3. *An unfavourable outcome*. As the converse, if things went wrong, what factors would you worry about?
4. *Where culture will need to change*. Looking at internal systems, how might these need to be changed to help bring about the desired outcome?
5. *Lessons from past successes and failures*. Looking back, what would you identify as the significant events that have produced the current situation?
6. *Decisions that have to be faced*. Looking forward, what would you see as the priority actions that should be carried out soon?
7. *If you were responsible*. If all constraints were removed and you could direct what is done, what more would you wish to include?

Depending on the nature of the general problem to be addressed, later interviews and workshops may address different aspects and may need additional preparation.

Ringland (2002) notes that three areas of uncertainty very commonly arise:

- globalisation versus regional/localisation
- community values versus individual values
- technology: rate of change or adaptation.

The interviews should be analysed by grouping the major issues, including the above three if applicable. This will reveal different points of view regarding what the 'real problems/issues' are and these will flavour the various scenarios.

3. IDENTIFY FOCAL ISSUE OR DECISION

While the general topic might have been pre-determined, it is almost always too broad. (Alternatively, too narrow questions will be inappropriate to address with this method.) Narrow down the general topic to a specific decision, question or focal issue that is confronting the society, policy makers and/or management. In addition, set a clear time horizon, for example 10 or 20 years. Finally, decide on the scope of the issue, for example the future of the European Union or the future of information technology.

4. LIST KEY FACTORS IN THE LOCAL ENVIRONMENT

List the key factors influencing the success or failure of the decision. Consider the main relevant issues that the decision-makers will need to be informed about when making choices. What are the main criteria of success/failure and what would influence the outcome? These are often microeconomic forces, such as resource availability, patterns of consumption, supply, transportation and other infrastructure aspects, etc.

These factors can be elicited in an extended scenario workshop or separately in individual interviews, focus groups and/or issue workshops.

5. LIST DRIVING FORCES IN THE MACRO-ENVIRONMENT

List the drivers and barriers that will or could affect the key factors. Forces to consider include the 'STEEPV': Social, Technological, Economic (macro), Environmental, Political and Values. In addition, forces such as demographics and public opinion should be considered. One is attempting to identify major trends and breaks in trends and research is usually required to adequately define them.

Also identify 'predetermined' elements of society, aspects of life that are almost completely certain to develop in a

known way. Next, identify 'critical uncertainties'. These can be found by questioning one's own assumptions about the predetermined elements.

These forces can be elicited in an extended scenario workshop or separately in individual interviews, focus groups issue workshops.

6. RANK KEY FORCES & DRIVERS BY IMPORTANCE & UNCERTAINTY

For each of the Key Forces and Drivers, rank:

- its degree of importance for the success of the focal issue or the decision identified
- the degree of uncertainty as to how it will develop.[1]

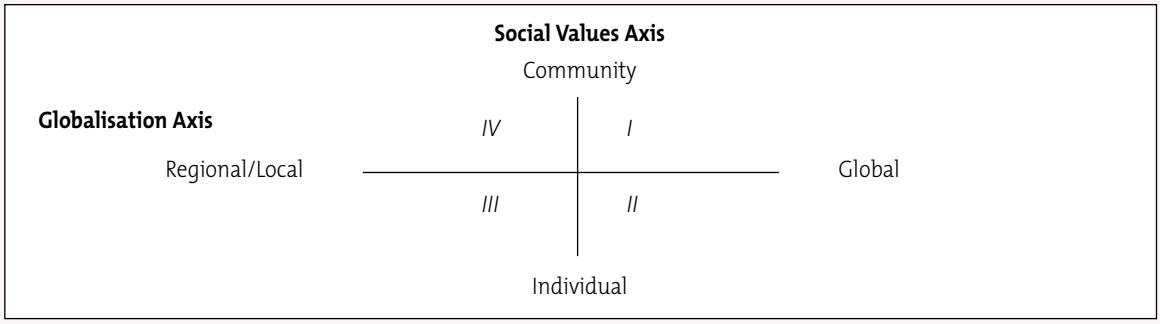
For convenience, use a scale of 0 to 10, where 1 = very certain and 10 = very uncertain. The purpose of this exercise is to identify the factors that are most important and whose development is most uncertain.

Ranking can be done in an extended scenario workshop or separately in individual interviews, focus groups and/or issue workshops.

7. SELECT SCENARIO LOGICS

Based upon the rating exercise in step IV, two or three factors must be chosen to provide the 'logics', also referred to as the 'assumptions', of the scenarios, or in other words, the 'axes' along which the scenarios will differ. In order for the scenarios to be useful learning tools, the axes (or logics) must be based upon factors that are inherent to the success of the focal decision or highly important to the development of the focal issue.

For each identified factor, two contrasting aspects are chosen to label the poles of the axis. For example, the factor 'social values' might be one axis, whereby one pole is labelled 'individually dominated' and the other pole 'community dominated'. Similarly, another axis might be based upon the factor 'globalisation', whereby the poles are labelled 'local/regional' versus 'global'. The result would be four quadrants that provide the rationales for four different scenarios, as shown in the figure.



[1] To clarify: here one is not rating how uncertain the effects are that the factor/driver will have on the issue or decision. Rather one is rating how uncertain the future developments of the factor/driver are. For example, if one is quite sure that a pattern of immigration will emerge for an area, then the 'uncertainty rating' will be on the lower end of the scale, say 2.

Thus *scenario* I would depict a society based upon community values and the dominance of global forces, exploring how these factors influence the focal issue or decision. The other scenarios are designed in a similar fashion, such that the logics for each of them are as follows:

Scenario I:	Community/Global
Scenario II:	Individual/Global
Scenario III:	Individual/Regional
Scenario IV:	Community/Regional

Next, consider one or two 'wild cards' that can be added into the scenarios. Wild cards are unexpected – yet plausible – events that have major consequences, such as natural disasters (floods, tsunamis, earthquakes), political upheaval (terrorism, dramatic regime change), demographic trends (population reduction due to disease, migration due to changes in natural resources) and so forth. The purpose of wild cards is to see how adaptable the organisation or society would be under each of the scenarios.

8. FLESH OUT THE SCENARIOS

Participants can choose the angle from which they approach fleshing out the scenarios. Traditionally, an analytical distinction has been made between exploratory and normative scenarios (defined below), whereby in practice both exploratory and normative processes are involved in every exercise. Nevertheless, a given exercise may focus more upon exploratory or normative scenarios or a combination of both. Perhaps particularly effective is to first build a small number of exploratory scenarios to identify potential developments, obstacles and opportunities, relationships between factors and choices and long-term consequences. Based upon insights gained from the exploratory exercises, the group can endeavour to create a normative scenario. Then, an action plan can be developed for the attainment (or avoidance) of a particular scenario. This involves 'working back' from the future towards the present, tracing potential sequences of critical events and changes, so that this step is commonly referred to as 'backcasting'.

Exploratory scenarios start from the current situation and from past and present trends. Assumptions are made about uncertainties relating to the environment and factors of change, leading to pictures of plausible, possible futures. Some authors refer to these as neutral scenarios, implying that researchers do not make any value judgements about the futures they are describing. However, certain kinds of value judgements are always present, at least implicitly in one's choices of factors, for example.

Normative scenarios are constructed on the basis of various images of the future, which may include either feared or desired futures. Then, one or more paths are portrayed as to how one could arrive at, or avoid, that/those future(s). Hence, this process is basically the equivalent of **'backcasting'**.

TIP: When constructing exploratory scenarios, it is important to do multiple scenarios in order to highlight the different relationships between the factors under different logics. In contrast, with normative scenarios, often only one 'desired future' is constructed, sometimes as a consensus-building exercise. However, if consensus promises to be difficult, try starting with an undesired future first – it is often easier for everyone to agree upon what they do not want.

While the logics that distinguish each of the scenarios are determined by the scenario's place in the matrix of the most important driving forces, all of the scenarios will describe the same general factors to enhance comparability. Each of the driving forces and key factors listed in steps II and III should be given attention in each of the scenarios.

First, consider how each of these factors and forces might develop under the logics of each scenario. Hence, one scenario might provide the description, 'Schools have metal detectors and armed guards and are locked up outside of school hours', while in another scenario, 'Schools are used by the entire community for 14 hours per day'.

Weave the pieces together in the form of a narrative. The scenarios need to be fleshed out with a storyline that describes how the scenario state evolved from the present. Answer the questions:

- How would we get from here to there?
- What events would need to happen for this scenario to come true?
- What sort of people would characterise the scenario?

Peter Schwartz (1998) identifies some common plots for scenarios[2] :

- Winners and Losers
- Challenge and Response
- Evolution
- Revolution
- Cycles
- Infinite Possibility
- The Lone Ranger
- My Generation

Consider the ways in which different plots might handle the same forces, such as environmental policy. The narrative should recount a sequence of events, expressed in observable terms such as 'The UK joins the European Monetary Union' rather than 'The UK grows closer to Europe'.

The plots often change over time and interact with each other. Beware of assuming that any given plot will continue 'in an unbroken line', without any human response to developments. Good scenarios are both plausible and surprising. Consider adding in one or more of the 'wild cards' and describe how the event affects the other factors in each scenario.

During the fleshing out stage begin to note and quantify (when applicable) early indicators that distinguish the development of each scenario. These can be described in the scenarios themselves and can also later be used to 'monitor the future'.

[2] For descriptions and examples of these plots, refer to Schwartz (1998).

Give each of the scenarios a **name** that is concise, vivid and memorable. The name should be revealing of the scenario's logics in that it distinguishes a given scenario from the logics of the others.

TIP: Beware of ending up with three scenarios, which may be perceived as 'most likely', 'middle' and 'most unlikely' forecasts. In general, avoid assigning probabilities to the scenarios; one risks neglecting an unlikely scenario that would have high impact if it were to unfold.

9. EXPLORE IMPLICATIONS

Consider the implications of each scenario for the focal issue or decision. What vulnerabilities have been revealed? Is the decision or strategy robust across all scenarios or only in one or two? If a decision looks appealing in only one of the scenarios, then it is considered a high-risk gamble, particularly if the organisation has little control over whether or not the scenario will be realised.

Explore how the strategy can be made more robust.

10. SELECT LEADING INDICATORS & SIGNPOSTS

Identify events or characteristics that would be indicative that a particular scenario is coming to pass. These indicators are early signals that should be scenario-specific, not common to all or several, so that the various scenarios can be distinguished from each other. They should be concrete rather than general or ambiguous, so that they can be monitored by the government, organisation or company. For example, signs that the economy is changing from industrial to more technology-based might be detected in help-wanted advertising, changes in union memberships or the emergence of new periodicals.

The purpose is to be able to detect various actual developments as early as possible so that the strategies can be adapted appropriately.

11. PRESENT SCENARIOS TO RELEVANT PUBLIC

Commonly the scenarios and analyses are presented to the relevant public in the form of written reports. However, some scenarios have been presented using highly creative venues. For example, one city created a 'Villa 2015', with a room for each scenario. All of the city's inhabitants were sent a postcard picturing the four scenarios, which invited them to visit Villa 2015. Visitors to Villa 2015 were asked to express their preferences in a questionnaire before leaving and the city planners subsequently used the information gathered. Another innovative idea came from a company that created an online interactive environment to feed the scenarios back. A further possibility would be to present the scenarios in short theatrical skits.

12. GENERATE AND DISCUSS THE OPTIONS

Insights generated during the scenario-constructing process can be used to inform subsequent decision-making. Ringland (2002, Section III.7) discusses one possible method to move from the scenarios to plans. He suggests the following steps:

- *Strategic analyses.* Perform a strategic analysis of one's own organisation as well as existing and potential future competitors. The analysis can be conducted with well-known tools such as SWOT analysis, PIMS, portfolio analysis, critical success factors, business segmentation, etc. Refer to the list of analytical tools, provided in this manual, for further possibilities.
- *Scenario creation.* In the scenario creation process, future developments are described that could affect the organisation.
- *Strategy finding.* Scenarios can be used in at least two ways to help develop strategies. First, they can be used to explore the environments in which the community must most likely operate in the longer term. Thus they can guard against the pitfall of designing a strategy for the year 2050 that would have been suitable for the world as it was in the year 2004 (but is no longer relevant).

  Review the opportunities, threats and their related options for action that have been determined in the different scenarios. Managers must decide whether to base the strategy on one or multiple scenarios. A strategy based upon one reference scenario is called 'strongly focused', while one based upon multiple scenarios is called a 'future-robust plan'. In either case, the main question is 'What shall we do if a certain scenario comes true?' and not 'What will happen?'

  Create a matrix that lists the various options for the organisation. Rate the suitability of the options for each of the scenarios. Group the options into strategies, depending on whether they are part of a future-robust strategy, a partly robust strategy or a focused contingent strategy. [3]
- *Strategy formulation.* Once the strategic orientation has been decided upon, concrete measures must be determined to bridge the organisation from the present to its objectives. These objectives may be described in the organisation's mission statement. However, as a consequence of insights gained from the scenario-construction process, members of the organisation may wish to re-formulate the mission statement, in full or in part. Alternatively or in addition, previous goals and strategies seen to be in accord with the mission statement may be revised.

  In deciding how to build the bridge from the present to the stated objectives, the organisation can have various approaches. Ringland (2002) describes some typical types of scenario-supported strategic approaches including:
  - Reacting to recognizable trends
  - Managing future risks
  - Energetically using future chances
  - Staying flexible
  - Developing and reaching own visions.

Most likely, a mix of these will be used.

[3] Refer to Ringland (2002, p. 188) for an example of a scenario options matrix and further explanation.

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

A very minimum of two days is required to conduct a scenario workshop from the point Step III/IV through fleshing out the scenarios. This is only feasible if the focal question or issue is already very well defined and all information required for deciding the key drivers and main factors of uncertainty has been gathered and understood by the participants. Once the scenarios have been fleshed out, additional time is needed for analysis and strategy building. For good results, it is advisable to provide at least three days for the actual scenario-construction workshop and a total of six months for preparation (intelligence gathering interviews, determining the focal question), analysis and strategy-building and dissemination.

At its optimum, and especially when this method is used for development purposes, the procedure should be seen as a continuous, iterative process that involves:

- the continuous development, refinement and adaptation of the scenarios
- the use and interpretation of the scenarios in new plans and programmes
- the implementation of existing plans and programmes
- the maintenance and evolution of the knowledge and action networks.

Scenario methods are more laborious, costly and time-consuming than simple 'planning'. However, some authors emphasise that, given the propensity of traditional forecasting and planning to fail in uncertain times, the additional delay and cost can be justified if they result in a more durable plan.

The following items listed are the main budgetary items in a scenarios workshop:

- Personnel
  - project manager
- facilitator(s)
  - honorarium to participants, if applicable
- Travel
  - facilitator(s)
  - participants
- Accommodation
  - facilitator(s)
  - participants
- Food
  - meals and refreshments for each day of workshop
- Recruitment and Promotion
  - mailings to recruit participants
  - promotion for public presentation of scenarios
- Communications
  - costs for eliciting opinions (depend upon methods used)

- costs for public presentation of scenarios (depend on format)
- printing of final report

- Facilities
  - location for workshop
- Materials and Supplies
  - paper and pens
  - lap-top Computer
  - software for calculating and plotting and for word processing
  - (overhead) projector
  - large sheets of paper to post ideas
  - tape or tacks
  - bold markers

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

Care must be taken not to generate the impression that the scenarios developed are the only possible futures. In reality, the future is likely to be a mix of the various elements in the scenarios, as well as ones not considered at all.

Sometimes the output is that one scenario is seen as the 'most likely' scenario and the others describe minor variations on that theme. For this reason, some facilitators rule out 'business as usual' scenarios.

Some users may find it challenging to grapple with multiple plausible futures, which is why most practitioners recommend developing only three to five scenarios in a single workshop. However, this risks limiting the range of dynamics and possibilities that are considered. For this reason, it can be particularly useful to have some time devoted to examining 'wild cards'.

When presenting the scenarios, it is essential to carefully consider one's audience. Scenarios that only describe broad generalities, lacking supporting analysis and quantification, are not operational. Thus policymakers see them as not useful – though they may be appreciated by the general public for giving a taste of the future. In contrast, scenarios presented in extreme technical detail and with great formality may prove too difficult for ordinary readers to assimilate.

Variations:
A common variation of the process is to begin with prepared scenarios. One possibility is to use broad scenarios, describing possible developments of a region and then to use the workshop time to construct more specific sector scenarios, based upon the same logics/assumptions. Alternatively, one can begin with specific (sector) scenarios created for another region or organisation and adapt them to one's own context. Any noted differences may prove very useful to long-term planning.

Potential limitations:

As a social process, some limitations to scenario workshops (and all prospective methods) include:

- The 'Zeitgeist' problem: The group dynamics can affect the outcome of the deliberative process such that different exercises have similar results. This happens when different groups focus on the same small range of currently dominant social and cultural themes.
- The 'opacity of context' problem: This is common when participants become too focused on particular aspects of a certain sector, such as technology, but omit to fully evaluate the social, economic and political implications of the associated sector changes.
- The 'event evaluation' problem: People tend to overestimate the likelihood of low-probability events and underestimate the probability of likely events. There is an equal tendency to distort the representativeness of events, essentially by focusing on striking but basically irrelevant details, which is liable to undermine the viability and usefulness of future scenarios.

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The World Café [1]

I. DEFINITION

The World Café is a creative process for facilitating collaborative dialogue and the sharing of knowledge and ideas to create a living network of conversation and action. In this process a café ambiance is created, in which participants discuss a question or issue in small groups around the café tables. At regular intervals the participants move to a new table. One table host remains and summarises the previous conversation to the new table guests. Thus the proceeding conversations are cross-fertilised with the ideas generated in former conversations with other participants. At the end of the process the main ideas are summarised in a plenary session and follow-up possibilities are discussed.

II. WHEN TO USE

The World Café process is particularly useful in the following situations:

- to engage large groups (larger than 12 persons) in an authentic dialogue process (Groups of 1200 have been conducted!)
- when you want to generate input, share knowledge, stimulate innovative thinking and explore action possibilities around real life issues and questions
- to engage people in authentic conversation – whether they are meeting for the first time or have established relationships with each other
- to conduct in-depth exploration of key strategic challenges or opportunities
- to deepen relationships and mutual ownership of outcomes in an existing group
- to create meaningful interaction between a speaker and the audience.

The Café is *less* useful when:

- you are driving toward an already determined solution or answer
- you want to convey only one-way information
- you are making detailed implementation plans
- you have fewer than 12 persons (In this case, it is better to use a more traditional dialogue circle, council or other approach for fostering authentic conversation.).

III. PROCEDURE

A. Overview

In the Café event the participants explore an issue by discussing and drawing in small groups or 'tables' for multiple consecutive sessions of 20-30 minutes. Participants change tables after each session in order to 'cross-fertilise' their

[1] Most of the information here is taken from Brown, J. (2002) *The World Café: A Resource Guide for Hosting Conversations That Matter.* Mill Valley, CA: Whole Systems Associates.

discussions with the ideas generated at other tables. The event is concluded with a plenary, where the key ideas and conclusions are established.

B. Preparation

1. CHOOSE CAFÉ FACILITATOR

This flexible method is relatively easy to organise. It can be organised and facilitated by a single person or by a team, as available. In any case, one person (or possibly two) will act as the Café facilitator(s).

The job of the Café facilitator(s) is to see that the guidelines for dialogue and engagement are put into action. It is not the specific form, but living the spirit of the guidelines that counts. Hosting a Café requires thoughtfulness, artistry and care. The Café facilitator(s) can make the difference between an interesting conversation and breakthrough thinking. The responsibilities of the Café facilitator(s) include the following:

- work with the planning team to determine the purpose of the Café and decide who should be invited to the gathering
- name your Café in a way appropriate to its purpose
- help frame the invitation
- work with others to create a comfortable café environment
- welcome the participants as they enter
- explain the purpose of the gathering
- pose the question or themes for rounds of conversation and make sure that the question is visible to everyone on an overhead, flipchart or on cards at each table
- explain the Café guidelines and Café etiquette, and post them on an overhead, an easel sheet or on cards at each table
- explain how the logistics of the Café will work, including the role of the 'table host' (the person who will volunteer to remain at the end of the first round and welcome newcomers to their table)
- move among the tables during the conversations
- encourage everyone to participate
- remind people to note key ideas, doodle and draw
- let people know in a gentle way when it is time to move and begin a new round of conversation
- make sure key insights are recorded visually or are gathered and posted if possible
- be creative in adapting the Café guidelines to meet the unique needs of your situation.

2. CLARIFY THE PURPOSE

Decide on the purpose and focus of the Café conversation. Ask yourself the following questions, discussing them among the members of the organising team, if applicable.

- What is the topic or issue we want to address or explore?
- Who needs to be invited to participate in this conversation?
- Who can contribute conventional and unconventional wisdom?
- How much time do we have for the inquiry?
- What line(s) of inquiry do we want to pursue? What themes are most likely to be meaningful and stimulate creativity?
- What is the best outcome we can envision? How might we design a path toward that outcome?

Explore Questions That Matter!

The question(s) addressed in a Café conversation are critical to the success of the event. Your Café may explore a single question or several questions may be developed to support a logical progression of discovery throughout several rounds of dialogue.

It is important to establish an approach of 'appreciative inquiry'. The major premise here is that the questions we ask, and the way in which we ask them, will focus us in a particular manner, which will greatly affect the outcome of our inquiry. For example, if we ask, 'What is wrong and who is to blame?' we set up a certain dynamic of problem-identification and blame assigning. While there may be instances where such an approach is desirable, experienced Café hosts have found it much more effective to ask people questions that invite the exploration of possibilities and to connect them with why they care.

Knowledge emerges and creativity thrives in response to compelling questions. Generate questions that are relevant to the actual concerns of the participants. People engage deeply when they feel they are contributing their ideas to questions that are important to them. Powerful questions that 'travel well' help attract collective energy, insight and action as they move throughout a system.

A Powerful Question

- is simple and clear
- is thought provoking
- generates energy
- focuses inquiry
- surfaces unconscious assumptions
- opens new possibilities
- seeks what is useful

- Well-crafted questions attract energy and focus our attention to what really counts. Experienced Café hosts recommend posing open-ended questions – the kind that do not have 'yes' or 'no' answers.
- Good questions need not imply immediate action steps or problem solving. They should invite inquiry and

discovery, rather than advocacy and advantage.

- You will know you have a good question when it continues to surface new ideas and possibilities.
- Bounce possible questions off of key people who will be participating to see if they sustain interest and energy.

Give the Café a name. The name should be appropriate for its purpose, for example Leadership Café, Knowledge Café; Strategy Café; Discovery Café and so forth.

3. INVITE PARTICIPANTS

Decide who should be invited to the gathering.

Decide upon the location. (For tips, see the section on 'creating a hospitable space' – physical environment.)

Decide upon a time. Allow at least three or four hours for the event. However, depending upon the issue and ambitions of your project, consider a kind of Café Marathon....

Make and send out the invitations. Include in the invitations the theme or central question you will be exploring in your Café. State it as an open-ended exploration, not a problem-solving intervention.

4. CREATE A HOSPITABLE SPACE

(a) The social atmosphere

First and foremost, a hospitable space means a 'safe' space, where everyone feels free to be him/herself and to offer his/her most creative thinking, speaking and listening.

Encourage all participants to contribute to the conversation. Inform them that, in accordance with the World Café philosophy, each participant in the Café is seen as representing an aspect of the whole system's diversity. As each person has the chance to connect in conversation, more of the intelligence inherent in the group becomes accessible. A popular phrase among Café-goers is, 'Intelligence emerges as a system connects to itself in new and diverse ways'.

Experienced Café facilitators have found that, on occasion, it is helpful to have a 'talking object' on the tables. Originally used by numerous indigenous peoples, a talking object can be a stick or stone, a marker or saltshaker – almost anything, as long as it can be passed among the people at the table. There are two aspects to the talking object:

- whoever holds the talking object is the only one empowered to speak, and
- whoever is not holding it is empowered to listen.

It is not necessary to use a talking object all the time, but it can be particularly useful in cases where the topic being

explored raises impassioned responses. It can be a very effective way to ensure everyone has the opportunity to contribute, even if they simply choose to hold the talking object and observe a few minutes of silence.

Whether or not a 'talking object' is used, encourage the participants to adhere to the following guidelines:

- The speaker's responsibility is to focus on the topic and express his or her thoughts about it as clearly as possible.
- The listeners' responsibility is to actively listen to what the speaker is saying with the implicit assumption that (s)he has something wise and important to say.
- Listen with a willingness to be influenced.
- Listen to understand where the speaker is coming from.
- Appreciate that the speaker's perspective, regardless of how divergent it may be from your own, is equally valid and represents a part of the larger picture that none of us can see by ourselves.

(b) The physical environment

Creating a warm and inviting physical environment can contribute significantly to designing a hospitable space.

When asked where they have had some of their most significant conversations, nearly everyone recalls sitting around a kitchen or dining room table. There is an easy intimacy when gathering at a small table that most of us immediately recognise. When you walk into a room and see it filled with café tables, you know that you are not in for your usual business meeting. Creating a Café ambiance is easy and need not be expensive. Some suggestions follow.

How to Create a Café Ambiance:

Whether you are convening several dozen or several hundred people, it is essential to create an environment that evokes a feeling of both informality and intimacy. When your guests arrive they should know immediately that this is no ordinary meeting.

- If possible, select a space with natural light, comfortable seating, a pleasant temperature and an outdoor view to create a more welcoming atmosphere.
- Make the space look like an actual café, with small round tables that seat four or five people. Four is the ideal number. Less than four at a table may not provide enough diversity of perspectives, more than five limits the amount of personal interaction.
- Arrange the tables in a staggered, random fashion rather than in neat rows. Tables in a sidewalk café after it has been open for a few hours look relaxed and inviting.
- Use colourful tablecloths and a small bud vase with flowers on each table. If the venue permits, add a candle to each table. Place plants or greenery around the room.
- Place at least two large sheets of paper over each tablecloth along with a mug or wineglass filled with colourful markers. Paper and pens encourage scribbling, drawing and connecting ideas. In this way people will jot down ideas as they emerge.

- Put one additional café table in the front of the room for the host's and any presenter's material.
- Consider displaying art or adding posters to the walls (as simple as flipchart sheets with quotes).
- Consider playing some soft background music. Music played too loudly will be disruptive to the conversation.
- To honour the tradition of community and hospitality, provide beverages and/or snacks, if it seems appropriate.

Café Supplies Checklist

- small round tables for four people are ideal
- enough chairs for all participants and presenters
- colourful tablecloths
- flipchart paper or paper placemats for covering the café tables
- coloured water-based, non-toxic markers. For legibility use dark colours such as green, black, blue and purple. Add one or two bright colours to the cup (red, light green, light blue or orange) for adding emphasis.
- a very small bud vase with cut flowers per table
- a mug or wineglass for markers per table
- a side table for refreshments and snacks
- mural or flipchart paper for making collective knowledge visible and tape for hanging up the sheets
- flat wall space or two rolling white boards
- additional wall (or window) space for posting collective work and/or the work of the tables
- refreshments, if appropriate

Optional (depending on size and purpose)

- overhead projector & screen
- sound system for playing music
- a selection of background music
- wireless lavalieres for Café facilitators and handheld wireless microphones for town meeting-style sessions
- easels & flipcharts
- basic supplies including stapler, paper clips, rubber bands, markers, masking tape, pens, push pins and pencils
- coloured 4x6 inch or 5x8 inch cards (for personal note taking)
- large and bright colourful papers for posting of ideas

C. The Café Event

- Welcome the participants as they arrive and seat four (or five) people at the tables or in conversation clusters.
- Introduce the World Café process and the issue(s) or question(s) at hand.

Explain the purpose of this particular Café event and pose the prepared questions, posting them where they are visible to everyone.

Explain the Café guidelines and Café etiquette and post them on an overhead, an easel sheet or on cards at each table.

Café Etiquette

- Focus on what matters.
- Contribute your thoughts.
- Speak your mind and heart.
- Listen to understand.
- Link and connect ideas.
- Listen together for insights and deeper questions.
- Play, Doodle, Draw – writing on the 'tablecloth' sheets is encouraged.
- Have fun!

Present the 'safe place' principle of the World Café and emphasise listening skills. For example, one might offer the following anecdote:

Listening is a gift we give to one another. The quality of our listening is perhaps the most important factor determining the success of a Café. Whole books and courses have been written about how to listen. However, one nice jazz analogy comes from Wynton Marsalis. Marsalis explains that when jazz musicians get together to jam, the best listeners end up contributing the most to the music because they are able to play off of whatever is being offered by the other 'cats' in the band. Café conversations share this jazz element of inviting people to express themselves authentically and those who listen skilfully are able to easily build on what is being shared.

A few tips for improving our listening:

- Help people notice their tendency to plan their response to what is being said and inquire internally as to the ways this detracts from both the speaker and the listener.
- Listen as if each person were truly wise, sharing some truth that you may have heard before but do not yet fully grasp.
- Listen with an openness to be influenced by the speaker.
- Listen to support the speaker in fully expressing him/herself.
- Listen for deeper questions, patterns, insights and emerging perspectives.
- Listen for what is not being spoken along with what is being shared.

Set up progressive (usually three) rounds of conversation of approximately 20-30 minutes each.

Once you know what you want to achieve and the amount of time you have to work with, you can decide the appro priate number and length of conversation rounds, the most effective use of questions and the most interesting ways to connect and cross-pollinate ideas.

The members of each table explore together the question(s) or issue(s) at hand.

Facilitators should ask the participants to share their individual perspectives and listen for what is emerging 'in the middle of the table'.

Encourage them to use the markers and paper on the table to create a 'shared visual space' by noting key ideas and drawing the emerging ideas. Sometimes the co-created pictures can really be worth a thousand words in showing the relationships between ideas.

Five Ways to Make Knowledge Visible

Use a graphic Recorder

In some Café events the whole group conversation is captured by a graphic recorder who draws the group's ideas on flipcharts or a wall mural using text and graphics to illustrate the patterns of the conversation.

Take a Gallery Tour

At times, people will place the paper from their tables on the wall so members can take a tour of the group's ideas during a break.

Post Your Insights

Participants can place large notepapers on which a single key insight is written, on a blackboard, wall, etc. so that everyone can review the ideas during a break.

Create Idea Clusters

Group insights from the Post-Its into 'affinity clusters' so that related ideas are visible and available for planning the group's next steps.

Make a Story

Some Cafés create a newspaper or storybook to bring the results of their work to larger audiences after the event. A visual recorder can create a picture book along with text as documentation.

Upon completing the initial round of conversation, ask one person to remain at the table as the 'host' while the others serve as travellers or 'ambassadors of meaning'. The travellers carry key ideas, themes and questions into their new conversations.

Make sure that members of each table during the first round each go to different tables as the conversational rounds progress. This cross-pollination of ideas often produces surprising results that could not have happened otherwise. Setting up your Café in conversational rounds and asking people to change tables between rounds allows for a dense web of connections to be woven in a short period of time. Each time you travel to a new table you are bringing with you the threads of the last round and interweaving them with those brought by other travellers. As the rounds progress the

conversation moves to deeper levels. People who arrived with fixed positions often find that they are more open to new and different ideas.

I'm a table host, what do I do?

- Remind people at your table to note down key connections, ideas, discoveries and deeper questions as they emerge.
- Remain at the table when others leave and welcome travellers from other tables.
- Briefly share key insights from the prior conversation so others can link and build using ideas from their respective tables.

At the beginning of the consecutive rounds, the table hosts welcome the new guests and briefly share the main ideas, themes and questions of the initial conversation. Encourage guests to link and connect ideas coming from their previous table conversations – listening carefully and building on each other's contributions.

By providing opportunities for people to move in several rounds of conversation, ideas, questions and themes begin to link and connect. At the end of the second round, all of the tables or conversation clusters in the roomwill be cross-pollinated with insights from prior conversations.

In the third round of conversation, people can return to their original tables to synthesise their discoveries or they may continue travelling to new tables, leaving the same or a new host at the table. Sometimes a new question that helps deepen the exploration is posed for the third round of conversation.

After several rounds of conversation, initiate a period of sharing discoveries and insights in whole group (plenary) conversation. It is in these town meeting-style conversations that patterns can be identified, collective knowledge grows and possibilities for action emerge.

Conversations held at one table reflect a pattern of wholeness that connects with the conversations at the other tables. The last phase of the Café involves making this pattern of wholeness visible to everyone. To do so, hold a conversation between the individual tables and the whole group. Ask the table groups to spend a few minutes considering what occurrences were most meaningful to them. Distil these down to the essence and then have each table share with the whole group the nuggets that are being discovered at their table. Make sure that you have a way to capture this, either on flipcharts or by having each table record them on large notepapers or the sheets on their tables, which can then be taped to a wall so that everyone can see them. After each table has had a chance to report out to the whole group, take a few minutes of silent reflection and consider:

- What is emerging here?
- If there were a single voice in the room, what would it be saying?
- What deeper questions are emerging as a result of these conversations?

- Do we notice any patterns and what do these patterns point to or how do they inform us?
- What do we now see and know as a result of these conversations?

IV. RESOURCE CONSIDERATIONS (TIME, BUDGET)

The actual Café event lasts a few hours – a minimum of four hours and perhaps a maximum of an entire day, depending upon the topic and ambitions of the project. Of course, one can schedule multiple Café events on consecutive days. The amount of time required to prepare for a given event depends upon the scale of the event and the intended participants. A small Cáfe of 20 participants can be organised very spontaneously if the participants are readily available. If the targeted participants have complex schedules and/or the number of participants is very large, then the event will require at least several weeks, if not months, of planning.

The following items listed are the main budgetary items in a World Café process:

- Personnel
  - project host/team
- Travel
  - participants
- Food
  - light refreshments
  - meals for participants only if the event is all-day
- Recruitment and Promotion
  - invitations to participants
- Communications
  - printing and distribution of final report
- Facilities
  - location for Café
- Materials and Supplies
  (See list provided.)

V. ADDITIONAL BEST PRACTICES AND POTENTIAL PITFALLS

The inventors of the World Café emphasise that the process is about helping people to "remember what they already know how to do": to convene conversations that matter. In other words, the facilitators help the participants to be more aware of the conditions conducive to productive, powerful dialogue, and they attempt to help participants tap into their own knowledge and wisdom in order to create these.

Experienced facilitators strongly recommend using round tables with four persons at each. Three is too few, and while five can work, their experience shows that the number four is far superior.

One potential pitfall is posing questions that ask about the nature of truth. Philosophers have spent thousands of years arguing the nature of truth, and many of the wars in history have been fought over such questions. We are after 'shared meaning', which does not mean that we all share the same perspective on what is true, but rather that each participant has the opportunity to share what is true and meaningful for them. This, in turn, will allow us all to see our collective situation in a different light, hopefully enlarging our individual views of truth along the way. The experience of seasoned hosts has been that questions that focus on 'What is useful here?' are more effective at generating engagement on the part of participants and they tend less to provoke defensive reactions than questions that focus on 'What is true?'

References and Resources

Brown, J. (2002) *The World Café: A Resource Guide for Hosting Conversations That Matter*. Mill Valley, CA: Whole Systems Associates.

The World Café website: http://www.theworldcafe.com

BRIEF DESCRIPTIONS OF METHODS AND TECHNIQUES

The methods and techniques are presented here in alphabetical order for easy reference.

Access to Resources [1]

This tool allows the researcher to collect information and to raise awareness and understanding of how access to resources varies according to gender and other important social variables. Planning interventions that take into account who has access to and control of resources in the household and the community – and who does not have such access – can make all the difference in the success or failure of a project. For example, if health clinics require users to pay cash fees and women are primarily responsible for accompanying ill or pregnant family members to the clinic, then women must have access to cash. Who has access to resources can vary greatly cross-culturally according to gender, age, marital status, parentage and so on. This analytical tool is applicable across cultures.

Analysis of Tasks [2]

Analysis of tasks by gender raises community awareness of the distribution of domestic and community activities according to gender and it familiarises planners with the degree of role flexibility that is associated with different tasks. The complementarities of community members' tasks can be highlighted during this activity by illustrating the dynamic system of activities that make up daily life. In a non-confrontational way, the constraints or conflicts that prevent certain tasks from being completed at different times can be brought to light. The participation of young adults and children in task analysis exercises can reveal important information about how youth perceive the responsibilities and gender roles that they expect to take on later in life.

Appreciation-Influence-Control (AIC) [3,4]

This method aims to formulate action plans by creating a learning-by-doing atmosphere, enabling participants to collaboratively design projects to address specific problems. The method encourages social learning, promotes ownership of the outcome and establishes a working relationship between the participants involved. Participants are a relatively heterogeneous group, usually of high-level decision makers with technical experts and sometimes stakeholder representatives from interest groups. In the process social, cultural, political, technical and economic factors of a project or policy are considered. The aim is to identify a common purpose, recognise the range of stakeholders relevant to that purpose and provide a framework for pursuing the problem collaboratively. Activities focus on building *appreciation* through listening, *influence* through dialogue and *control* through action.

Beneficiary Assessment (BA) [5]

BA is a systematic investigation of the perceptions of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into project and policy formulation. BA's general purposes are to (a) undertake systematic listening to 'give voice' to poor and other hard-to-reach beneficiaries, thereby highlighting constraints to beneficiary participation and (b) obtain feedback on development interventions.

Brainstorming [6]

Brainstorming involves a period of freethinking, which is used to articulate ideas, followed by more rigorous discussion

of these ideas. The aim is to reduce participants' inhibitions about throwing out 'wild' ideas, to stimulate creativity and thinking 'out of the box' and to permit dissident viewpoints to enter into the discussion at an early stage. Brainstorming brings new ideas about how to tackle a problem, as the free-thinking atmosphere encourages creativity. Sometimes it can help to reduce conflicts, as it helps participants to see other points of view and possibly change their perspective on problems. It can also bring humour and help break the ice. Brainstorming is useful to gather a lot of ideas, prior to scenario analyses, problem solving, decision-making or planning.

Charrette [7]

Charrette is an intensive face-to-face process designed to bring people from various segments of society into consensus within a short period of time. The pre-Charrette planning breaks the main issue into component parts, to which sub-groups of people are assigned. The subgroups periodically report back to the whole group and feedback from the whole is then addressed in the next round of sub-group discussions. This sequence is repeated until consensus is reached at the final deadline for a report. Charrettes vary in size, from 50 to over 1,000 people, and in time, from four days to two weeks.

Citizens' Juries [8, 9, 10]

The citizens' jury method is a means for obtaining informed citizen input into policy decisions. The jury is composed of 12-24 stakeholders, who are informed by several perspectives, often by experts referred to as 'witnesses'. The jurors then go through a process of deliberation and subgroups are often formed to focus on different aspects of the issue. Finally, the jurors produce a decision or provide recommendations in the form of a citizens' report. The sponsoring body (e.g. government department, local authority) is required to respond to the report either by acting on it or by explaining why it disagrees with it. Usually a 4-5 day process, the citizens' jury is intended to provide a means for more democratic decision-making.

Consensus Conferences [11, 12, 13, 14, 15]

A consensus conference is a public enquiry centred around a group of 10 to 30 randomly selected citizens who are charged with the assessment of a socially controversial topic. These laypeople put their questions and concerns to a panel of experts, assess the experts' answers and then negotiate among themselves. The result is a consensus statement that is made public in the form of a written report directed at parliamentarians, policy makers and the general public that expresses their expectations, concerns and recommendations at the end of the conference. The goal is to broaden the debate on a given issue, include the viewpoints of non-experts and arrive at a consensus opinion, upon which policy decisions can be based. Consensus conferences usually have a 3-day intensive programme that is open to the public.

Critical/Key Technologies [16]

This method could be applied to topics other than technologies, such as critical social innovations. A first step in this method is to generate an initial list of technologies to examine. This can be produced with such methods as brainstorming, bibliographic searchers, expert panels, environmental scanning, etc. Next, criteria (which are SWOT-like criteria) are applied to examine the technologies selected in order to identify those of most relevance to the organisation or region concerned. The resultant lists can be 'technology push' (or supply-side) oriented or industrial needs (demand) driven, depending upon whether the focus is more on future technological capabilities or on emerging/future needs of

society or industry. This method facilitates informed decisions to be made about technological developments. They can be used as a springboard for recommendations to be discussed at the political level and evaluated with reference to practical factors and normative concerns. It is often an exploratory process.

Cross Impact Analysis [17, 18, 19]
A major application of cross impact analysis is in the preparation of scenarios. The method asks experts to rate the likelihood of various events occurring and to rate the likelihood of each event occurring if each of the others does or does not occur. It highlights chains of causality: 'x' affects 'y'; 'y' affects 'z'. This creates a matrix of conditional possibilities. The matrix can be subjected to mathematical analysis (via specialised software programmes) to assign probabilities of occurrence to each of the possible scenarios resulting from the combinations of events. Its advantage over a simple Delphi is that it does not treat events as independent of each other. However, only a few variables can be practically included; any influences not included will be completely excluded from the study, so the choice of events (variables) is crucial.

Deliberative Polling [20]
A random, representative sample is first polled on the relevant issues. After this baseline poll, members of the sample are invited to gather at a single place to discuss the issues. Carefully balanced briefing materials are sent to the participants and are also made publicly available. The participants engage in dialogue with competing experts and political leaders based on questions that they develop in small group discussions with trained moderators. Parts of the weekend events can be broadcast on television, either live or in taped and edited form. After the weekend deliberations, the sample is asked the same questions again. The resulting changes in opinion represent the conclusions the public would reach, if people had a good opportunity to become more informed and more engaged by the issues.

Delphi Method (and Public Delphi, Delphi face-to-face) [21, 22, 23]
Delphi involves an iterative survey of experts. Delphis may focus on forecasting technological or social developments, helping to identify and prioritise policy goals or determining expert opinion about some aspect of affairs that cannot be measured directly by conventional statistical means. A dialectical process, Delphi was designed to provide the benefits of a pooling and exchange of opinions so that respondents can learn from each others' views, without the sort of undue influence likely in conventional face-to-face settings (which are typically dominated by the people who talk the loudest or have most prestige). Each participant completes a questionnaire and then is given feedback on the whole set of responses. With this information in hand, (s)he then fills in the questionnaire again, this time providing explanations for any views they hold that were significantly divergent from the viewpoints of the other participants. The explanations serve as useful intelligence for others. The idea is that the entire group can thus weigh dissenting views that are based on privileged or rare information. While traditionally conducted via mail, other variations of Delphi can be online or face-to-face.

Envisioning Workshops [24]
Envisioning workshops involve a group of 18-22 participants who aim to develop visions and proposals for needs and possibilities in the future. A set of *prepared (prior to the workshop) scenarios* that depicts possible future arrangements or conditions surrounding a particular issue is presented to the group. The participants discuss and criticise the

scenarios, create common visions, identify barriers to those visions and develop plans of action.

Expert Panels [25]

The main task of an expert panel is usually synthesising a variety of inputs – testimony, research reports, outputs of forecasting methods, etc. – to provide a vision of future possibilities and needs for the topics under analysis. Specific methods may be employed to select and motivate the panel, assign tasks and elicit sharing and further development of knowledge. The panel participants should be diverse and it is important that in addition to technical qualifications, the individuals concerned are creative thinkers who can bring diverse viewpoints to bear, work well in groups and are prepared to speak freely without feeling that they have to represent a particular interest group.

Focus Groups [26, 27]

A focus group is a planned discussion among a small group (4-12) of stakeholders facilitated by a skilled moderator. It is designed to obtain information about people's preferences and values pertaining to a defined topic and why these are held. This is done by observing the structured discussion of an interactive group in a permissive, non-threatening environment. These can also be conducted on-line.

Tools and techniques often used include: focused questions, brainstorming, and 'synetics'.

Forecasting (Normative and Exploratory) [28, 29]

An exploratory forecast reflects a continuity model of the future – that is, a clear link between the forces at play and their effects on the components of the system under study. The objective is to examine the ways in which those forces and components may play out. It rarely suggests a single outcome but, rather, yields alternative futures. Normative forecasting, in contrast, jumps ahead and states some goal or objective that may be substantially or only apparently discontinuous with the trends at play. Then, having defined that future goal the forecaster looks back to the present to identify the necessary steps for reaching the goal.

Futures Wheel [30]

The Futures Wheel is a way of organising thinking and questioning about the future – a kind of structured brainstorming. The name of a trend or event is written in the middle of a piece of paper and then small spokes are drawn from the centre. Primary impacts or consequences are written at the end of each spoke. Next, the secondary impacts of each primary impact form a second ring of the wheel. This ripple effect continues until a useful picture of the implications of the event or trend is clear.

Gender Analysis (GA) [31]

GA focuses on understanding and documenting the differences in gender roles, activities, needs and opportunities in a given context. GA involves the desegregations of quantitative data by gender. It highlights the different roles and learned behaviour of men and women based on gender attributes, which vary across culture, class, ethnicity, income, education, and time; thus, GA does not treat women as a homogenous group nor gender attributes as immutable.

Interactive Backcasting [32]

Interactive Backcasting is an exercise in which stakeholders choose one or several future images as the starting point for their analysis and subsequently, in working backwards to the present situation, interactively explore which interventions are needed to realise this future. In this exploration, the stakeholders identify milestones to be passed, opportunities to be taken and obstacles to be overcome 'along the way'. The method not only shapes the diversity between the future and the present but also between the many views and perceptions of the stakeholders involved. It provides a meeting – and at times a confrontation – between, for example, scientific and stakeholder knowledge.

Mapping [33]

Mapping is an inexpensive tool that can be used to gather both descriptive and diagnostic information. Mapping exercises are useful for collecting baseline data on a number of indicators – as part of a beneficiary assessment or a sequence of rapid appraisal studies – and the process can lay the foundation for community ownership of development planning by including diversely interested groups of people. Maps encourage a high level of participation (exercises are often lead and run entirely by local people) and the recorded, visual output can be used immediately to bridge any verbal communication gap that might exist between local people and outsiders such as development planners. The mapping exercise can be used to generate discussions about local development priorities and aspirations, and the maps themselves will be useful as verification of secondary source information and as training tools. In monitoring, changes can be recorded on maps made during project planning. In evaluation, comparative maps reveal both the status of actual changes in community resources or infrastructure and of perceived costs and benefits of the changes that have taken place.

Mediation [34, 35]

Mediation is a voluntary process in which those involved in a dispute jointly explore and reconcile their differences. The mediator has no authority to impose a settlement but rather assists the parties in settling their own differences. Negotiations, whether unassisted or involving a mediator, can typically be thought of as moving through three distinct phases: pre-negotiation, integrative negotiation, and implementation. Each involves activities intended to promote the development of consensual agreements that are sustainable.

Mind Mapping [36]

Mind mapping involves outlining information in non-linear ways. It allows a group's ideas to be quickly charted to show logical groupings and connections between them. This technique can be used during the course of brainstorming exercises and it can help establish a skeletal framework for later categorisation of the information generated. Mind mapping works well when issues have many components and subcomponents. The output is typically a chart or set of charts outlining key issues and the links between them. This can be used as a communication aid, for scenario construction for example, or in many other ways.

(Participatory) Modelling (or Group Model Building) [37, 38]

Broad and diverse groups of stakeholders participate in developing a model to facilitate problem structuring and support group decision-making. Models vary between simple conceptual models to complex computer models. They explicitly select certain features of a situation and replicate them for evaluation. Consensus building is an essential

component of the model-building process. The final state is focused on producing scenarios and management options based on the earlier scoping and research models. Some pre-existing generalised models exist and can be used for different sorts of study. These include: Interactive Planning, Hiring System Theory, Operations Research, Socio-Technical, Soft Systems Methodology, System Dynamics, Total Quality Management and Viable Systems Model. In addition to these situation models, another technique is decision modelling. Decision modelling attempts to develop a model of the decision process applied by decision makers to important decisions within the system. The approach assumes that decision makers consider a number of different factors when comparing various alternatives, that some are more important than others and are implicit in the perceived value of alternative decisions.

Needs Assessment Exercise 39

This visual tool draws out information about people's needs, raises participants' awareness of related issues and provides a framework for prioritising needs.

Because of the simplicity of the tool people of different backgrounds can participate together, regardless of whether they are literate or not.

Objectives Oriented Planning (ZOPP) 40

The process is a project planning and management method that brings together stakeholders to set priorities and plan for implementation and monitoring throughout a project cycle in a series of workshops. The main output of the process is a project-planning matrix, which the participants have built together. Participants in this process are usually a collection of interest group representatives, local or national decision makers and sometimes technical experts.

ZOPP Tools:

Project-Planning Matrix (PPM). The PPM is a framework that is completed during the ZOPP process and essentially summarises along two axes each aspect (or task) of the project and the indicators that will signal completion of each aspect.

Tree Diagrams: visual tools that organise information in a tree-like scheme. The scheme narrows down and prioritises problems, objectives or decisions by including patterns of influences and outcomes of certain factors.

Participatory Assessment, Monitoring and Evaluation Techniques (PAME)

Participatory evaluation provides for active involvement in the evaluation process of those with a stake in the programme: providers, partners, customers (beneficiaries) and any other interested parties. Participation typically takes place throughout all phases of the evaluation: planning and design; gathering and analysing the data; identifying the evaluation findings, conclusions and recommendation; disseminating results and preparing an action plan to improve programme performance. [71]

Participatory Impact Monitoring (PIM)

The objective of PIM is to improve the realisation of projects by orienting the project along the socio-cultural impact; promoting autonomous activities of the people and improving the flexibility of and interaction between the development organisation, NGO, government department, etc. and the beneficiaries. The main purpose of PIM is to document social-cultural impacts. By doing so it initiates and reinforces learning processes and complements more technically or economically oriented monitoring.

Participatory Organisational Evaluation Tool (POET) [72]
This is a tool and process to (a) measure and profile organisational capacities and consensus levels in seven critical areas and assess, over time, the impact of these activities on organisational capacity (benchmarking); (b) build capacity by bringing staff together in cross-functional, cross-hierarchical groups for open exchange; to identify divergent viewpoints to foster growth; to create consensus around future organizational capacity development activities and to select, implement and track organisational change and development strategies. POET is used in conjunction with the PROSE method (Participatory, Results-Oriented Self-Evaluation).

Process Monitoring (ProM) [73]
Process Monitoring is a set of activities of consciously selecting processes, selectively and systematically observing them so as to compare them with others and communicating on that in order to learn how to steer and shape the processes. ProM is a management instrument such as planning or results-oriented controlling. It helps steer the processes in which we participate to achieve common goals.

(Participatory) Planning [41] **(also called Planning Cells)** [42, 43]
Participatory planning tools and techniques enable participants to influence and share control over development initiatives and decisions affecting them. The tools promote knowledge sharing, build commitment to the process and empower the group to develop more effective strategies. Another main goal is to level the playing field between different levels of power, various interests and resources and to enable different participants to interact in an equitable and genuinely collaborative basis. Methods can be workshop-based, engaging powerful, high-level decision makers, experts and interest group representatives or they can be community-based, involving citizens (often poor and disadvantaged) in dialogue. In the latter case, the objective is to provide these citizens with the opportunity to learn about the technical and political facets of the decision options and to enable them to discuss and evaluate these options and their likely consequences according to their own set of values and preferences.

Pocket Charts [44]
Pocket charts are investigative tools that use pictures as stimuli to encourage people to assess and analyse a given situation. 'Pockets' are made of cloth, paper or cardboard and are attached to a poster-sized piece of paper or cloth. Rows and columns of pockets are arranged into a matrix. Drawings serve as captions for the columns of pockets. Through a 'voting' process, participants use the chart to draw attention to the complex elements of a development issue in an uncomplicated way. In general, the combination of activities in a pocket chart exercise – participating in the creation of a display, looking closely at it, and discussing it – has proven to be a successful means of generating participation and consensus in both community and agency settings.

Policy Exercises [45]
A heterogeneous group of 10-15 participants synthesises and assesses knowledge from various sources and explores various ideas/policy options. Participants (who have traditionally been policy-makers and scientists, sometimes stake-holders) are selected on the basis that they can contribute skills, perspectives and concerns about the general problem. The exercise is a creative process in which a complex policy-issue or system is represented by a simpler one with relevant (behavioural) similarity. The goal is to integrate knowledge from various sources, explore alternative future develop-

ments and evaluate new policy ideas in order to obtain a more structured view of complex problems. Policy exercises aim to identify poorly understood topics and questions and to make discoveries, not to provide the solution.

Frequently used tools include: role-play gaming, mental mapping, scenarios, phenomenography, supporting software.

Regulatory Negotiation and the Rulemaking Process [46, 47]

Regulatory negotiation is a means for bringing in non-governmental parties to participate directly in agency decision-making. An agency explicitly shares decision authority with representatives of industry, environmental organisations, state and local governments, trade associations and other groups whose interests are affected by a regulation. The goal of negotiation is to enable the representatives of these various interest groups (including the administrative agency) to reach agreement on the substance and, if possible, the language of a proposed rule. It is prospective in its orientation, as its purpose is less to resolve specific disputes than to define general rules. Negotiations complement but do not replace conventional rulemaking. The targeted objective is to reach a consensus that the agency can use in issuing a proposed regulation.

Relevance Trees and Morphological Analysis [48, 49]

Both of these are normative forecasting methods, which start with future needs or objectives and then seek to identify the circumstances, actions, technologies, etc. required to meet these. They can be used together.

A *relevance tree* is an analytic technique that subdivides a broad topic into increasingly smaller subtopics, presenting this in terms of a tree-like diagram. It thus sets out various aspects of a system, problem or even a proposed solution so as to facilitate a more complete understanding of the topic and a deduction of requirements to reach a particular outcome. It may be used to determine the relative importance of efforts to implement policies or increase technological performance.

Morphological analysis involves mapping options to obtain an overall perspective of possible solutions. Morphology refers to the 'shapes' of a given 'object'; morphological analysis involves identifying all possible combinations of these 'shapes' in order to determine different future possibilities. For example, if the 'object' is a goal such as achieving an effective transport infrastructure, the 'shapes' might involve various transport modalities being highly efficient in their own right or various multi-modal combinations being efficient. This technique facilitates a systematic analysis of a topic and for thinking laterally about alternative ways of meeting challenges. The approach involves:

- formulation and definition of a problem
- identification and characterisation of all elements required for a solution
- construction of a multidimensional matrix (the 'morphological box') whose combinations will contain all possible solutions
- evaluation of the outcome based on feasibility and achievement of desired goals
- in-depth analysis of best possibilities considering available resources.

Role-playing [50]

Role-playing enables people to creatively remove themselves from their usual roles and from the perspectives that go along with those roles. These activities open imaginations to allow people to understand the choices that another person might face and to make decisions and plans as if they had different responsibilities.

They stimulate discussion, pave the way for improved communication and thus stimulate collaboration. Applicable at community and agency levels, these activities involve participants as a group in analytic thinking and assessment. Role playing can be done with simple stories with only a few characters or they can be elaborate street theatre productions with a large array of stakeholder characters. They can be used to acclimate a research team to a project setting, to train trainers and to encourage community discussion about a particular issue or project.

(Participatory) Rural Appraisal (PRA) *(Community based methods)* [51]
These methods are defined by their use of interactive tools to involve local stakeholders in the assessment of their own needs, setting of priorities and drawing up plans of action. The participants are usually local people; for this reason local materials and visual tools are used to bridge literacy gaps. Participants experience empowerment through having their contributions valued. Exercises can involve a heterogeneous or homogeneous group composed mainly of local citizens and some local governmental decision makers.

SARAR [52]
SARAR, which is geared specifically to the training of local trainers/facilitators, builds on local knowledge and strengthens local capacity to assess, prioritise, plan, create, organise and evaluate. The five attributes promoted by SARAR are self-esteem, associative strengths, resourcefulness, action planning and responsibility. SARAR's purpose is to (a) provide a multi-sectoral, multilevel approach to team building through training, (b) encourage participants to learn from local experience rather than from external experts and (c) empower people at the community and agency levels to initiate action.

Scenario Analysis [53, 54, 55, 56]
Scenarios consist of visions of future states and paths of development, organised in a systematic way. They can be either extrapolative or normative but should enable participants to build internally consistent pictures of future possibilities and are useful for envisaging the implications of uncertain developments and examining the scope for action. Scenario analysis engages a group in a process of identifying key issues and then creating and exploring scenarios in order to explore the range of available choices involved in preparing for the future, test how well such choices would succeed in various possible futures and prepare a rough timetable for future events. The method was designed to challenge the mind-set of participants by developing scenarios of alternative futures in order to understand how the world might unfold and how that understanding can be used in strategic planning.

Tools and techniques often used involve: brainstorming, group support facilities such as the Group Decision Room software, models.

Social Assessment (SA) [58]
SA is the systematic investigation of the social processes and factors that affect development (or other project or policy) impacts and results. Objectives of SA are to (a) identify key stakeholders and establish the appropriate framework for their participation, (b) ensure that project objectives and incentives for change are appropriate and acceptable to beneficiaries, (c) assess social impacts and risks, and (d) minimise or mitigate adverse impacts.

Structural Analysis with the MICMAC Method and Actors' Strategies Analysis with the MACTOR method 59
These methods are employed to do an in-depth retrospective analysis to inform prospective thinking. Structural analysis is a tool designed to link up ideas. It allows a system to be described with a matrix that links all of its constitutive elements. By focusing on these links, the method highlights the variables that are critical to the system's evolution. By stimulating reflection within the group, it helps participants identify aspects that might be counterintuitive. The actors' strategies analysis helps identify the main events that point a way to the future, to gain a better overview of the interplay of events and a better comprehension of the relationships between the actors. The MACTOR (Matrix of Alliances and Conflicts: Tactics, Objectives and Recommendations) is an analytical tool that enables better use of the information contained in actors' strategies tables.

SWOT Analysis (also called SWAP/SWPO) 60, 61
(Strengths, Weaknesses, Opportunities and Threats) SWOT is a method of systematic group reflection. The purpose is to gather, analyse and evaluate information and identify strategic options facing a community, organisation or individual. It is used to categorise significant internal and external factors influencing an organisation's strategies – or, in the case of Foresight, its possible futures. It generally provides a list of the organisation's strengths and weaknesses as indicated by an analysis of its resources and capabilities, plus a list of the threats and opportunities that an analysis of its environment identifies. The SWOT is often portrayed as a 2x2 matrix, which presents an overview of major issues to be taken into account in developing strategic plans for an organisation – and in preparing Foresight studies in expert panels and workshops.

SYNCON 62
Syncon is a very future-oriented and holistic participatory process. It was originally designed to answer the questions: What future could all people work toward and what misunderstandings need resolution prior to such collaboration? If a diverse group could come together, share their dreams, find common ground, then new awareness might be generated that could accelerate progress for all. The SYNCON wheel is an analytical tool with two main sections: the inner section and the outer section. The inner section represents the different 'orientations' or major elements of societies. These include social needs, technology, environment, government, production and others. The outer section of the wheel represents growing potentials of civilisation, such as biology, physics, information, political/economic theory, human nature, the arts, etc. People meet in groups to explore the future and then merge with other groups to build a composite future that integrates the different orientations.

Systematic Client Consultation (SCC) 63
SCC refers to a group of methods used to improve communication among funding agency experts, direct and indirect stakeholders and beneficiaries, government agencies and service providers so that projects and policies are more demand-driven. SCC intends to (a) undertake systematic listening to clients' attitudes and preferences, (b) devise a process for continuous communication and (c) act on the findings by incorporating client feedback into project design and procedures.

Target Group Analysis (TGAs) 64
Target groups are persons or groups in society who are to be directly affected by the impact of a project. They are to be distinguished from the 'mediating' organisations that render support services to target groups in order to achieve the

intended effects. Target group analyses are suitable to achieve the following:

- to learn about how potential target groups perceive their problems, about the changes they desire and their scope of action
- to asses whether the planned project strategy corresponds to the felt needs and potentials of the target groups
- to understand social differences within the population (according to age, gender, social stratum, ethnic identity, etc.) and the varying extent to which different social groups are able to participate
- to recognise the target groups' perceptions of and attitudes towards other stakeholders and institutions in the field and to develop a realistic strategy for participation
- to assess the risks and impact of a project idea or strategy.

TeamUp 65, 66

TeamUP is a flexible, team-based method for improving both the substance and process of project cycle management. It was developed to expand the benefits of ZOPP and to make it more accessible for institution-wide use. The TeamUP method is an organised process for building high performance teams. It has two dimensions, (a) task functions, which assist stakeholders in planning, decision making and acting and (b) team building, which encourages stakeholders to collaborate as an effective working group. It consists of a series of steps or modules designed to enable a group of individuals to perform essential management functions collaboratively. A software package, PC/TeamUP, automates the basic step-by-step methodology and guides stakeholders through team-oriented research, project design, planning, implementation and evaluation. It accommodates input from a broad range of stakeholders who stand to benefit or otherwise be affected by design or implementation decisions and adjusts as the range of stakeholders changes through the planning and implementation process.

Technology Sequence Analysis 67

TSA views the future as a series of interlocking, causal steps or decisions (nodes) leading to some future state. The time between the nodes is presented probabilistically. With these estimates, the time of availability of the end-target system can be computed in terms of its probability versus time. Applications have focused on technology-based systems. The final design of a technology network and the time intervals between the nodes is usually determined through a series of in-depth expert interviews.

Tree Diagrams 68

Tree diagrams are multi-purpose, visual tools for narrowing and prioritising problems, objectives or decisions. Information is organised into a tree-like diagram. The main issue is represented by the tree's trunk and the relevant factors, influences and outcomes will show up as systems of roots and branches. In a project context, tree diagrams can be used to guide design and evaluation systems. As a community participation exercise, tree diagrams can help people to uncover and analyse the underlying causes of a particular problem or to rank and measure objectives in relation to one another. In the agency context, less elaborate 'trees' are often made in the form of diagrams illustrating a network of factors. Tree diagrams are often part of participatory planning methods, for example in stakeholder workshops, Logical Framework Analysis or in ZOPP and in participatory inquiry such as Participatory Rural Appraisal.

Turoff Method 69

The Turoff method is an on-line collaborative discourse structure. The goal of a collaborative discourse structure is to provide a template for a group discussion so that the majority of the discussion can be captured and categorised. Such a structure incorporates functionality to allow a group of experts to thoroughly explore and analyse a problem domain by following a discourse structure they can design, maintain and evolve as the knowledge structure for that particular domain. This can be viewed as a collaborative expert system where the experts maintain and evolve the system for their benefit and for the benefit of practitioners and future practitioners.

Vulnerability Analysis 70

Vulnerability analysis (also known as well-being ranking or wealth ranking) is a technique for the rapid collection and analysis of specific data on social stratification at the community level. Factors that constitute wealth may be ownership of or use rights to productive assets, the life-cycle stage of the members of the productive unit, the relationship of the productive unit to locally powerful people, availability of labour, indebtedness and so on. Like other visual tools, the wealth ranking exercise is an uncomplicated way to involve local people in research and planning, regardless of language and literacy barriers.

World Café

A World Café is a creative process for facilitating collaborative dialogue and the sharing of knowledge and ideas to create a living network of conversation and action. In this method, a café ambience is created, in which participants discuss a question or issue in small groups around the café tables. At regular intervals, the participants move to a new table. One table host remains and summarises the previous conversation to the new table guests. Thus the proceeding discussions are fertilised with the ideas generated in former conversations with other participants. At the end of the process, the main ideas are summarised in a plenary session and follow-up possibilities are discussed.

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