TESIM

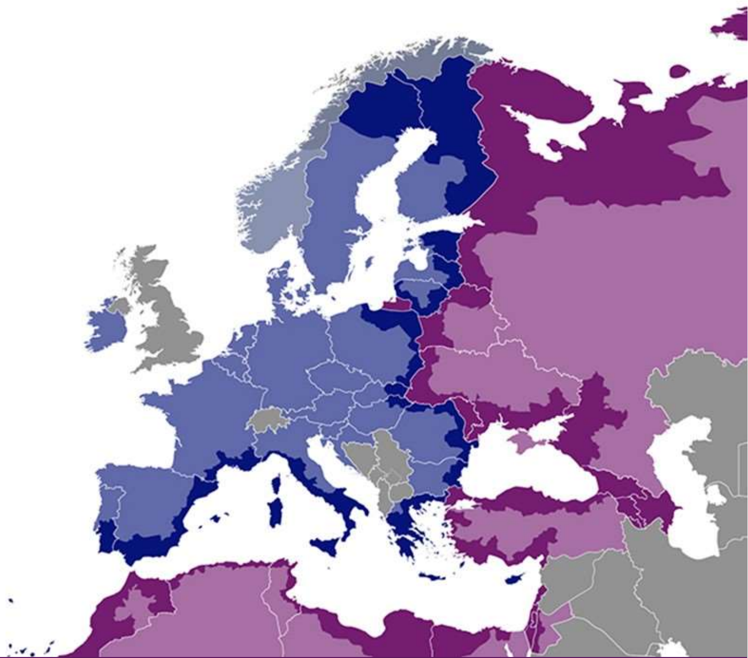
Technical support to the implementation and management of ENI CBC programmes

# Interreg NEXT programmes:

## Toolkit for the consultations with programme partners

**Proposed methodologies**

**April 2020**



***DISCLAIMER***

This **non-binding document** has been developed by the TESIM project. It does not necessarily reflect the views of the European Commission on the topic, and is presented to programme and project practitioners **for illustrative purposes only**.

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# Introduction

The objective of this document is to introduce hands-on tools and methodologies for rapid and effective consultations to be used throughout the entire programming process, from the strategic orientation of the programme to the fine-tuning of its operational documents.

Methodologies and tools related to public consultation vary enormously and differ in purpose and in responding appropriately to the number of people involved. The tools proposed in this document are just some of the possible ones, among many techniques for consulting and collecting data from the key players of programme area, most of which can be more elaborate and complex.

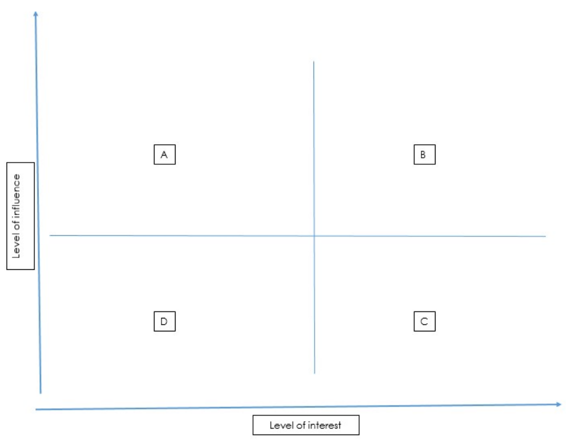
Before starting to introduce the proposed tools, the identification of these programme partners is a step that all programmes have to do.

## I. Stakeholders map

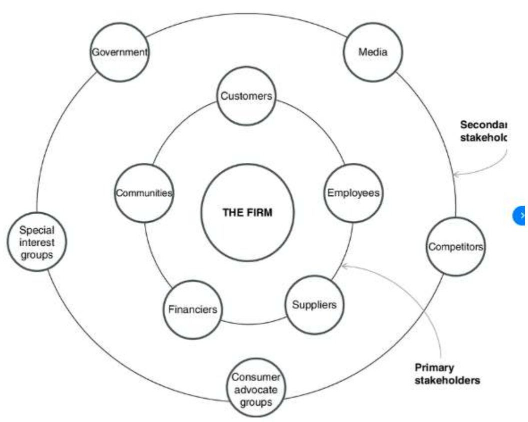
The choice of the programme partners to be involved is crucial for all the phases of consultation: they must be at the same time representative and available, informed on the aims of the programme and expert of the issues on which they are called to provide their contribution. Before starting the consultations, it is recommended to make an analysis of the potentially available actors. The Stakeholders map is an easy tool that could help in identifying and selecting programme partners.

In general, the Stakeholder map is a representation of all the players potentially affected by a programme, directly or indirectly. It aims at identifying exhaustively the various actors and clarifying their roles and relationships. Special care should be given to the selection. Over representation of interest groups or unbalanced distribution of players may lead to biased consultations that may result in processing the qualitative data gathered.

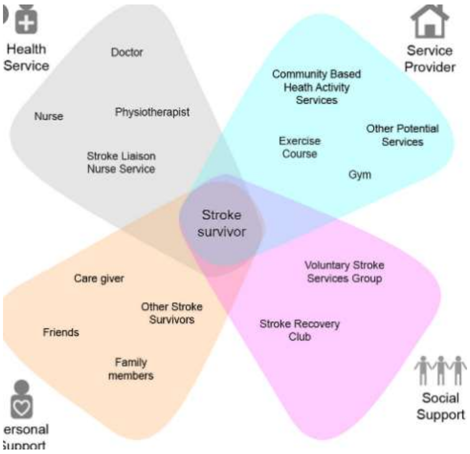
Depending on the specific needs, several maps and combinations can be developed, each of them emphasizing different characteristics:

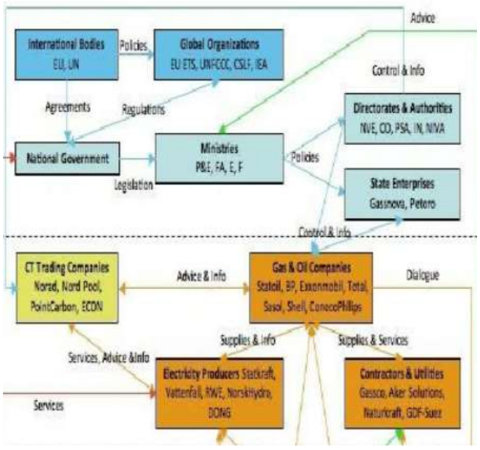



I. map created by a **quadrant with two axes** crossing two characteristics through which to measure the distance of each player from the programme;




II. map with **concentric circles**, in which the distance from the programme, at the center of the map, is immediately emphasized;




III. map that uses the **representation by sets** (after the *set theory*), which highlights and separate the spheres of interest;

IV. map with **representation by vectors (arrows),** which highlights the relationships between the different players and their direction;

Among the various options, **TESIM suggests to use the two axes quadrant** (the first option, high right above) emphasizing the level of influence and level of interest or engagement toward the programme ant its process, a basic template easy to draw and still very useful that enables the creation of a simple map suitable to all programmes (see annex A). Based on the map, the participants to the different consultation sessions can be identified, invited for discussions/exchanges and involved in the process.

## II. Which tools are more useful for prompt and extensive consultations?

Online surveys, programmes' large events, national thematic workshops and public consultations on the draft programme strategy have been the tools most commonly adopted during the ENI CBC programming phase. In general, it is useful to make a main distinction between off-line and on-line tools for consultation.

### *a) Off-line tools*

In general, face-to-face consultations with programme partners represent the main source for qualitative data. Such data can contextualize, interpret or complete the quantitative data available through other sources. This kind of consultations can be framed under the concept of **participatory rapid appraisal**, a multi-disciplinary consultative approach which helps in gathering and analysing information on a variety of technical subjects.

Other approaches have the advantage of instant gathering of data and information. We can label these under the broad group of the **un-conference techniques**. An un-conference is a participant-driven meeting that tries to minimize hierarchical aspects of a conventional conference, such as formal presentations and top-down organization.

### b) On-line tools

Beside off-line techniques, budget and time constraints make it a priority to produce consultations also by using some of the opportunities available on the web:

- a series of easy-to-use **online survey** tools are nowadays available on dedicated platforms, most of them suitable in open source modality and free versions[1].
- deeper consultation exercises are also possible, such as dedicated **e-Forums** targeted to specific issues and topics relevant to the programmes to be extensively discussed;
- performing collaborative methods can be useful by adopting a **"wiki" approach** to the elaboration of programme preparatory documents.

A table summarising the pros and cons of each of the on-line and off-line consultation tools can be found in Annex B.

> **A good combination for a fair and sufficiently exhaustive consultation, functional to the needs of the Interreg NEXT programming exercise, would be the performance of two specific kinds of un-conference techniques (the "Open Space Technology" and the "World café"), connected with a specific participatory rapid appraisal exercise (the "Delphi"). On top of these, other forms of consultation, such as the above-mentioned online tools, could be considered.**

## III. The three proposed methodologies

Quick and cost-effective methodologies should fulfil the three main objectives of:

- **creating a shared and convergent vision**
- **acquiring up-to-date and first-hand data** and information on the areas of intervention of the programme
- **fine-tuning the intervention logic** of the programme and its contents

These purposes can be achieved through various methodologies and by using different tools, but you will be herewith presented with those that, according to TESIM, would achieve sufficiently accurate results in a reasonably short period of time. More specifically:

- the **co-design approach** is a well-established process which enables a wide range of people to make a creative contribution in the formulation and solution of a challenge; it is an approach that attempts to actively involve all stakeholders in the design process in order to help and ensure that the "product" meets their needs;

[1] Several platforms offer easy to use tools for inquiries and surveys, most of them free of charge, especially if addressed to a limited number of respondents. Among the most used: Google Forms, Survey Monkey, SoGoSurvey, Survey Gizmo, Survey Planet, Typeform, Zoho Survey.

- the **use of design thinking methodologies** paves the way for a convergent, proactive and targeted common contribution to the definition of a product or service; design thinking is a design model aimed at solving complex problems using innovation through a creative vision which encompasses a set of practices and processes[2].

Through co-design and design thinking, the programmes will be able to fulfil the minimum requirements for consulting stakeholders without having to spend too much time and energy on this part of the programming activities. TESIM proposes to use for each of the three main moments of programming a co-design technique useful for the specific purpose of the phase concerned:

| Phase | Scope | Methodology | Duration | Output |
|---|---|---|---|---|
| **Early stage consultations** | Sharing and co-designing a vision on the programme | Open Space Technology (OST) | 1 full day | Debriefing doc |
| **Mid-term consultations** | Gathering of data, informed estimations and perceptions | World Café | 1 full day | Canvas and "paper tablecloth" |
| **Final stage consultations** | Quality check and fine-tuning | Delphi | ½ day | Report on Delphi results |

To be noted that those methodologies can be used independently at national, cross-border or regional level, taking into account the different degree of complexity. While it can be relatively easy to organise a national consultation, complexity increases for cross-border or basin or regional consultations, in terms of costs, logistics and language gaps.

The following part of this document, including its annexes, provides a full description of the three tools proposed for consultation. **The use of these tools is by no means compulsory**. Should you want to follow any of the proposed techniques, the document is intended to provide you with a do-it-yourself instrument. Upon request, and as developed further in this document, support from TESIM is available to co-organise and/or co-deliver the consultations in accordance with these techniques.

## PROPOSAL 1

### Open Space Technology (OST)

**Based on the set-up of a specific frame issued by the Joint Programming Committee (JPC), the consultation provides concrete examples and suggestions on possible areas of intervention of the cooperation programmes and their objectives.**

**Phase:** Early stage consultations

[2] Such as context analysis, problem finding and framing, ideation and solution generating, creative thinking, sketching and drawing, modelling and prototyping, testing and evaluating, etc. Core features of design thinking include the abilities to resolve ill-defined or 'wicked' challenges and to adopt solution-focused strategies, use abductive and productive reasoning by, inter alia, employing non-verbal, graphic/spatial modelling media, sketching and even prototyping.

**Scope:** Sharing and co-design of the future outlook and main strategy of the programme. Exploring the possible areas of intervention of the cooperation programme. Promoting awareness, commitment and co-ownership

**Target participants**: Policy makers (*local authorities, line ministries, economic or labour entities)*.

**Methodology:** The OST is a "market of ideas", a work methodology that allows to create particularly inspired and productive work group's sessions and meetings. It is a working method in which, also thanks to a pleasant atmosphere, programme partners produce in a relatively short time a summary document and detailed conceptual maps about all the programming possible trajectories developed on the base of a pre-determined topic or conceptual domain (see annex C for details)

**Duration**: One full day

**Output**: Debriefing documents

## PROPOSAL 2

### World Café

**The consultation digs and deepens the topics, benefiting from the different skills brought by the programme partners, increasing the relevance of the cooperation programme to the existing territorial needs and opportunities.**

**Phase:** Mid-term consultations

**Scope:** Gathering of data, informed estimations and perceptions

**Target participants**: Researchers, experts and practitioners: *academicians, technicians, activists, beneficiaries from ENPI or ENI CBC.*

**Methodology:** During the World Café, programme partners are involved in a structured process of sharing conversational knowledge on pre-defined topics while grouped in different discussion tables. Participants are enabled to contribute by sharing their skills and knowledge on a certain pre-selected range of topics/challenges (see annex C for details)

**Duration**: 1 full day (half a day for sessions and half a day for harvesting)

**Output**: Canvas and "paper tablecloth" summarising the contents from consultations

**PROPOSAL 3**

**Delphi**

**Gather an overview of the cooperation programme and its tools, thanks to the participatory consultation of a small number of previously informed experts**

**Phase:** Pre-final stage consultations[3]

**Scope:** Quality check and fine-tuning

**Target participants**: Public officials and programme managers: *evaluation units, bureaucrats, experts, observers, journalists*.

**Methodology:** The Delphi method is a specific kind of focus group based on the previous reading of a draft version of the cooperation programme document. The Delphi method seeks to converge toward the "correct response" through consensus. The number of programme partners for the Delphi should not exceed 15.

**Duration**: ½ day

**Output**: Report on Delphi results, including consensus aspects and room for divergences.

## IV. The role of TESIM during the consultations with programme partners

As already mentioned, this document intends to provide sufficient indications to allow programme authorities to carry out the consultation activities themselves, adopting the proposed tools or simply taking inspiration from them. Attached to the document there are cards for the do-it-yourself execution of the three proposed consultation techniques.

Whenever requested, and resources allowing, TESIM may make its experts available to assist and support in some of the consultation activities, facilitating their execution, irrespective the techniques selected (i.e., the ones proposed in this document or others). This accompaniment can be particularly useful if further wider consultations are planned or if there is a will to repeat consultations, for example in other countries or addressing different topics. TESIM staff is also available, always upon request, to provide their assistance remotely, to develop the consultation tools and for harvesting their contents before and after the events.

In general, the consultation should not coincide with the work of the JPC, although the people involved may partly be the same. However, the methodologies here described can be very useful also in the management of JPC meetings.

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3 The Delphi does not coincide with the final public consultation as experienced in the previous ENPI and ENI CBC consultations. This last phase of consultation is left to the responsibility of the MAs and consists, based on previous experiences, on publishing the operational programmes in the official websites and the opening of a time window in which anyone can propose - and send via email - their comments and proposals.

## V. Recapitulatory table

| Main scope | Expected goals | Preferred stage | Preferred output | Main users | Preferred targets | Example of methodology (On-line) | Example of methodology (Off-line) | Proposed methodology |
|---|---|---|---|---|---|---|---|---|
| **Co-design, sharing ownership** | Sharing vision and ownership | Early | Agreement on main strategy | JPC and NAs | Policy makers: *local authorities, line ministries, economic or labour entities.* | e-Forums<br>e-Pools<br>On-line Surveys | Thematic workshops<br>Consultation events | Open Space Technology |
| **Data gathering and perception** | Strengthening relevance, soundness and innovation | Mid-term | Territorial analysis | MA and eventual external consultants | Researchers, experts and practitioners: *academicians, technicians, activists, beneficiaries from ENPI or ENI CBC.* | Wiki approach<br>On-line Surveys | Surveys, questionnaires, interviews<br>Rapid appraisal methodologies | World Café |
| **Quality check and fine-tuning** | Improve quality, prevent bottleneck | Final | Approval of the program document | MA and JPC | Public officials and programme managers: *evaluation units, bureaucrats, experts, observers, journalists.* | eForums<br>e-mail demand-based feedbacks | Interviews<br>Workshop<br>Feedback session | Delphi |

## ANNEX A – Stakeholders map

**INSTRUCTIONS:**

- ***Step 1:*** identify the relevant programme partners in the cross-border territory, split per country, relevant to the cooperation programme by filling in the table provided below: a) list the names, the organization to which they belong and their contacts; b) establish which category they belong to with the best approximation among those contemplated below (repeat category if needed); c) add a reference number to each contact.

- ***Step 2:*** display the reference number or numerical code attributed to each actor in the two-dimensional quadrant shown below, where the vertical axis corresponds to the level of influence (0 = minimum influence, 10 = maximum influence) and the horizontal axis shows the level of interest by each stakeholder (0=very low interest, 10=very high interest).

- ***Step 3:*** read the map, prioritizing, if possible, the involvement of the actors positioned in quadrant B[4]. In case of strong attendance, the actors positioned in quadrant D can be excluded from the consultation.

4 Please take note that programme partners in quadrant B are potentially the best actors to be involved not only in the programming phase but also, as members of the Joint Monitoring Committee (JMC) in the implementation phase, as mentioned in article 6 of the draft Common Provision Regulations (CPR).

**Step 1**

| # | Category of programme partners | Programme partners specifically identified | | | |
|---|---|---|---|---|---|
| | | Name | Organisation | Contact | Notes[5] |
| | Representatives from national authorities | | | | |
| | Representatives from local and regional authorities | | | | |
| | Top management from line ministries | | | | |
| | Other representatives from relevant national or transnational institutions (not line ministries) | | | | |
| | Representatives of trade unions | | | | |
| | Representatives from economic or labour entities | | | | |
| | Representative from financial institutions | | | | |
| | Unions and/or associations of legal entities and Chambers of Commerce | | | | |
| | Academicians and researchers | | | | |
| | Practitioners | | | | |
| | Representatives from professional bodies | | | | |
| | Technicians on sectors relevant to the programmes | | | | |
| | Activists from relevant segments of civil society | | | | |
| | Beneficiaries from ENPI or ENI CBC editions | | | | |
| | Top managers from relevant public institutions | | | | |

[5] Other columns can be added, transforming this table into an *analysis matrix*, including a series information intended to cluster, specify and better describe each programme partner.

| | | | | | |
|---|---|---|---|---|---|
| | Evaluation units from public bodies at local, regional, national and international level | | | | |
| | Experts and consultants | | | | |
| | International observers | | | | |
| | Journalists | | | | |
| | Other | | | | |

**Steps 2 and 3**

## Annex B

## Pros and cons of the principal consultation methodologies

| Tool | Typology | Pros | Cons |
|---|---|---|---|
| **Participatory rapid appraisal.** A creative and structured use of a particular set of investigative tools for assessing a situation, topic, problem, or sector | Off-line | Adaptability: each appraisal exercise is different, with different combinations of tools used to assess the topics of investigation and consultation.<br><br>Rapid learning process - by creatively packaging social science tools adopted by technical, social, economic disciplines – with the purpose of gathering and analysing information. | Even if fast, especially compared with traditional and academic investigation methodologies, the rapid appraisal is still costly and time consuming.<br><br>Specialised expertise is necessary, according to the topic addressed, data needs to be analysed and processed. |
| **Un-conference techniques.** A participant-driven meeting that try to minimize hierarchical aspects of a conventional conference | Off-line | Unconference techniques manage to "give voice", consult and let dozens of people express themselves in a couple of hours and during few working sessions.<br><br>They enable the elaboration of well-detailed original contents, stimulates innovation<br><br>Enable “to put on the table” opinions, taking into account the points of view expressed by all.<br><br>Assessing convergence of opinions and consensus and, on the contrary, assess polarized positions bringing out disciplinary or territorial tensions, disclosing alternatives for development and cooperation. | Required expertise on setting specific logistical and methodological arrangements.<br><br>Skills on facilitation of participative methods are required.<br><br>Difficulties of producing a sound track record, unless sound methodology is adopted.<br><br>Difficulties ensuring the follow-up with stakeholders on hard data and first hand source of information after the event. |
| **Survey tools** through dedicated platforms | On-line | Immediate extensive consultation, which can include hundreds of respondents.<br><br>Easy data processing, which includes a semi-automatized production of tables and graphs.<br><br>Support and tutoring on the creation of the architecture of the survey, using multiple choice buttons, drop downs, rating scales, word clouds or even more complex tools as star rankings, grids, etc. | Generally low engagement of respondents and low response rate with consequent lack of focus on specific qualified respondents;<br><br>Low quality and weak reliability of data, difficulties on monitoring methods, sources and duration of response;<br><br>Preference for closed answers, more “confirmatory” than “exploratory”, with evident loss of novelty and innovation;<br><br>Low interaction and consultation during the answering process, which limit the chance for progressive adjustments and provision of supplementary information. |

| | | | |
|---|---|---|---|
| **e-Forums** deep consultation exercises targeted to specific issues | On-line | Broadly feasible on the internet<br><br>Useful especially during the early stage of consultation when the main strategy of the programme has to be agreed.<br><br>Useful specifically for some sensitive and still pending issues during the last phase of programming | Hard to manage with large group of experts and stakeholders<br><br>Hard to coordinate, unless an online permanent support is provided<br><br>Risks of dropouts, low attendance or motivation<br><br>Necessity to keep focus and compact the exercise into a restricted time window |
| **"Wiki" approach** collaborative methods to the elaboration of collective documents | On-line | Particularly suitable for sharing the development of the cooperation programme in the middle of its making<br><br>Mostly suitable for co-creation and co-working on collective documents<br><br>Immediate feedbacks, where users proactively modify and structure content directly from the web<br><br>Availability of collaborative platforms such as Google or other wiki software or engines. | Users need to be well trained<br><br>Netiquette has to be well established and followed.<br><br>A restricted group of experts and stakeholders have to be involved<br><br>Roles and incentives have to be clarified |

## ANNEX C – Open Space Technology (OST), step by step

| | |
|---|---|
| **Phase**: Early stage consultations. | |
| **Scope:** Sharing and co-design of the future outlook and main strategy of the cooperation programme, exploring the possible areas of intervention of the cooperation programme. Promoting awareness, commitment and co-ownership on the programme among programme partners is another main purpose. | |
| **Target group:** Policy makers, representatives from national and local authorities, top management from line ministries and relevant national or transnational institutions, representatives of trade unions and economic or employer entities, policy makers, representative from financial institutions.<br><br>**Size of the audience:** The optimal size of programme partners will be 40-60 attendees in total, with a minimum of 30 and no upper recommended limit. | |
| **Methodology:** The OST is a work methodology that allows to create particularly inspired and productive groups sessions and meetings. It is a working method in which, also thanks to a pleasant atmosphere, programme partners produce in a relatively short time a summary document and detailed conceptual maps about all the programming trajectories developed by a responsive and proactive audience. | |
| **Duration**: One full day | |
| **Output**: Debriefing documents. As an output, the debriefing document is an instant report, or a document that besides its practical utility becomes testimony of the work done and evidence of the commitments made by the programme partners. The debriefing document contains also evidence of the main orientations shared at the tables and which can represent highlights and guidelines for the experts (internal or external) responsible for writing, later on, the cooperation programme. The OST outcomes should be mentioned in the draft programme to duly justify the strategic choices made. A restricted list of policy and specific objectives on which to develop the territorial analysis could be a possible outcome from the OST event. | |
| **Steps** | **Requirements and comments** |
| **1. Preparation** | The preparation of the OST focuses on the following key aspects:<br><br>- the definition of the domains to be explored, the boundaries of which must be very clear to avoid that the generation of ideas and conversations at the tables deviate too much from the expected purposes;<br>- consideration in the composition of the attendees, trying to appropriately balance skills, representativeness and variety;<br>- the briefing of facilitators, attending to the work at the tables with the role of "table hosts"<br>- the creation of paper "canvas", reflecting as a mental map the journey expected during the sessions at the table |
| **2. OST – Morning session** | The tentative agenda is prepared upon an estimation of 70 persons involved and the creation of 10 tables, based on the assumption of 15 ideas to be discussed. In case of variation of these numbers, timing can be adjusted. The tentative agenda is as follows:<br><br>h. 9.00 – **Welcoming**, where attendance is recorded and people are made comfortable into an informal setting and atmosphere (a coffee corner can help). |

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| | h. 9.30 - **Introduction**, where topics, scope and rules of the event are shared with the participants.<br><br>h. 10.00 - **The "market of ideas"**, where, <u>based on the overall domain and orientations proposed by the organisers (MA and National Authorities)</u>, participants propose and "sell" the topics to be discussed. The consultation provides as a result concrete examples and suggestions on possible areas of intervention of the cooperation programmes and their objectives. For example, an overall domain can be the definition of Policy Objective (PO) to be selected by the programme, or the main actions to be promoted under the programme, or the most important/urgent strategic projects to be identified and addressed. Each participant willing to promote a topic goes on stage and briefs the audience about the proposed topic, explaining "what", "why" and "how" the challenge should be addressed. At the end of the session, each participant signs his/her participation to the preferred table for discussion. Selected topics and table mates are the expected output for this session. People can select more than one table, and use the different work sessions for switching from one table to the other.<br><br>h. 11.00 - **1st round**, work sessions at the tables. Rounds are facilitated by "table hosts" and pre-defined paper "canvas". The canvas is any kind of design thinking template supposed to reflect the journey to be done at the table. For example, SWOT analysis matrix or Logical Framework matrix are forms of mental map, as well as Problem Trees or other kind of conceptual maps. Beside canvases, hard tools and physical touchpoints are used (post-it, coloured markers, office stationery…).<br><br>h. 11.30 - **2nd round**, work sessions at the tables. Three functions should be covered all along the work at each of the tables: a) the promoter of the topic as identified under the frame proposed by the organisers; b) the table host; c) the ambassador, in charge of delivering the content of the conversation during the harvesting, plenary session. Although the three functions can overlap for the same person, it is advisable to split those functions in order to spread ownership. Those people are responsible for facilitating and keeping the conversation alive from one round to the other. Thanks to their work, the canvas will be progressively fulfilled with content, using post-it and markers. One of the important aspects of the facilitation is avoiding unbalanced conversations, where shy and introverted people speak less than the most talkative persons.<br><br>h. 12.00 - **3rd round**, work sessions at the tables. Despite the possible turnover of attendees, the third session is intended to produce a convergent consolidated idea. This last session is specifically used for fine-tuning and refining the idea and its component, in order to be shared during the plenary session. |

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| | h. 12.30 – **harvesting**. A plenary session that gives to the audience the opportunity to recap in brief the outputs of the conversation at the tables. Table ambassadors are called to brief the attendees with the support of the canvas. At the end of the session a general wrap-up is often appreciated. This session can be complemented also by graphic facilitation techniques that summarize the contents that emerged during the meeting through captivating mental maps, icons and summaries.<br><br>h. 13.30 – **closure** of morning session and lunch. Conviviality will generally reward people and enhance networking, nurturing the creation of the community of practice around the programme. |
| **3. OST – Afternoon session** | The afternoon session is intended to converge into a more elaborated justification and detailed design of the ideas generated during the morning session. Taking move from the canvases produced, co-working sessions will be promoted for further developing the OST outputs. The tentative agenda is as follows:<br><br>h. 15.00 – **Introduction to the next step of consultation**. Participants are briefed about the work to be done the framework of drafting the cooperation programme. The consultation exercise is now better explained and attendees are asked to cooperate for embedding the outcomes of the table within the cooperation programme.<br><br>h. 15.20 - **The "bottleneck session"**. During this section attendees go back again around working tables, not necessarily the ones they followed during the morning session. Each of the ideas generated during the morning session is critically discussed, with the scope of pointing out troubles or problems that should be taken into consideration. A possible technique to be used is the Edward De Bono Six Thinking Hats process. It is important to record accurately positions and perspectives that can prove to be useful for the territorial analysis and the drafting of cooperation programme. A person should be appointed to this task within each table<br><br>h. 16.00 – **Conclusive session**. A final plenary session of about 30 minutes is intended to share the level of accuracy and usability of the consultation. Attendees are briefed about the critical remarks that have emerged during the "bottleneck session" and asked for further immediate feedback on the outcomes and on the overall exercise. During this session, other digital interactive tools for fast and on the spot consultations will be used, using available softwares such as slido, mentimeter, polleverywhere. The great advantage of these digital softwares is that they allow immediate and direct gathering of opinions, data and answers to specific questions in an interactive manner. They also ease the data processing that follows the consultation, also by allowing quick and easy |

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| | transposition of the contents of consultation into graphs, tables and word clouds. |
| **4. Follow up** | An essential step in all consultation processes is the follow-up, where the materials and contents of the consultation are recorded, systematized, digitized and transformed into useful content for programming. Many consultation processes, which are effective in themselves, lack the ability to transform the outcomes of the consultation into useful inputs for programming. It is therefore strongly recommended:<br>- to proceed with the analysis of the data collected immediately after the organisation of the events;<br>- to have the data analysis conducted by people who have been involved during the events and possibly with an active role;<br>- to digitize the paper content;<br>- and, if necessary, perform content analysis, and transforming observations of found categories into quantitative statistical data[6].<br>The contents that emerge from the OST can finally be quoted in the cooperation programme and complement the quantitative data or justify some orientation taken by the programme. |

[6] Content analysis is a research tool used to determine the presence of certain words, themes, or concepts within some given qualitative data (i.e. text). Using content analysis, researchers can quantify and analyze the presence, meanings and relationships of such certain words, themes, or concepts.

## ANNEX D - World Café, step by step

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|---|
| **Phase**: Mid-term consultations |
| **Scope**: Gathering of data, informed estimations and perceptions. Fact-based reporting and updated evidences, elaboration on divergent thinking addressing several relevant topics at the same time. |
| **Preferred target**: Academicians, researchers, practitioners, representatives from professional bodies, experts on sectors relevant to the cooperation programmes, activists from relevant segments of civil society, beneficiaries from ENI or ENPI CBC editions.<br>**Size of the audience:** The optimal size of stakeholders will be 30-50 attendees in total, with a minimum of 20 and no upper limit. |
| **Methodology:** During the World Café, stakeholders are involved to a structured process of sharing conversational knowledge in pre-defined topics and on multiple tables.<br>a) Groups of about five to ten participants sit around the tables, using a paper tablecloth or canvas for content writing. After about 20 minutes, the participants move on to the next table where another topic is discussed. The involved attendees change tables and are introduced to previous discussions at their new table by a "table host ".<br>b) The "table hosts" facilitate the conversation around the topics/issues that have been defined in advance and encourage participants to write down their shared content. The results of the discussions are reported directly on a canvas or paper tablecloth.<br>c) Finally, during a plenary harvesting session, the results of all groups are shared.<br>The World Café technique is rather flexible and in specific cases it will be used above all to allow programme partners to contribute by sharing their skills and knowledge on a certain pre-selected range of topics/challenges. In our case, assessments and summaries delivered and reported will be supported as much as possible by reference sources. Each participant will be required to provide data and verification sources to which to refer for the preparation of the cooperation programme. An eventual follow-up and exchange with some of the actors involved will be necessary in order to cross-check, further elaborate, develop and build on top of the topics that have emerged from the World Café sessions. |
| **Duration**: 1 full day (half a day for sessions and half a day for harvesting) |
| **Output**: Canvas and "paper tablecloth" summarising the contents from consultations, including graphic facilitation output if produced. The canvases summarising the work of the tables, however, will be collected and listed in a report. To do this, it is possible to digitize them, photograph them and / or transfer them to digital text. If useful, content from post-its can be transcribed in a spreadsheet (such as Excel) to allow further lexical and content analysis. In any case, World Café canvases are "sources" that besides their practical utility become testimony of the work done and evidence of the commitments made by the programme partners. They contain also evidence of the main orientations shared at the tables and which can represent highlights and guidelines for the experts responsible for drafting, later on, the cooperation programme. The World Café outcomes should be mentioned in the cooperation programme to enrich the set of data or articulate the justification for the adopted strategies made. |

| Steps | Requirements and comments |
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| **1. Preparation** | The preparation of the World Café focuses firstly on the definition of the topics to be explored, including the key questions to be asked to the audience. Each consultation counts a set of three questions. The questions are normally consequential. For instance, if the first question sounds like "which are the main environmental risks affecting in the cross- |

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| | border territories?", the 2nd question could sound as follows: "what policies are needed to reduce the negative impact produced by these environmental risks?" and the 3rd question could be: "What concrete actions could the programme promote to help respond to these environmental risks?". Besides the preparation of key questions, the following aspects should be addressed during the preparation:<br>- consideration in the composition of the attendees, trying to appropriately balance skills, representativeness and variety;<br>- the briefing of facilitators, attending to the work around the tables with the role of "table hosts"<br>- the creation of "paper tablecloth" designed with the scope of summarising the contents, emerging during the sessions at the table |
| **2. World Café – Morning session** | The tentative agenda is as follows:<br><br>h. 9.30 – **Welcoming**, where attendance is recorded and people are made comfortable into an informal setting and atmosphere (a coffee corner can help).<br><br>h. 10.00 - **Introduction**, where topics, scope of the World Café are shared with the participants. Icebreakers are useful for creating an informal atmosphere. Icebreakers, to be adapted in accordance with the size of the group, commonly presented as a game to "warm up" the group by helping the members to get to know each other. They often focus on sharing personal information such as names, hobbies, etc.<br><br>h. 10.30 – **The World Café: rules and etiquette**. The organizers explain in detail how the World Café will take place. They invite people to sit randomly around the café tables, possibly in the company of unknown people, in order to make the interaction more unpredictable. The composition of the tables should be as heterogeneous as possible, even if in some cases it may be worth creating specialists' tables, possibly with different backgrounds, able to explore some aspects of particular interest in greater depth. It is very important to warn the participants that they must focus above all a) on timekeeping; b) on listening to others, c) focus on the inducement question, d) on their ability to synthesize, e) and on the propensity to share and let everyone have their own moment of protagonism (especially if they are shy and timid people).<br><br>h. 10.45 - **1st round**, work sessions at the tables, responding to the 1st question. Each round is built around a stimulus question. Each person tries to answer briefly and put on paper his/her thoughts using post-it and markers. Rounds are facilitated by "table hosts" and pre-defined on paper "canvas" or "paper tablecloth". The canvas is any kind of design thinking template consistent with the question stimulating the conversation at the table. For example, SWOT analysis matrix or Logical Framework matrix are forms of mental map, as well as Problem Trees or other forms of conceptual maps. Beside canvases, hard tools and physical touch-points are used (post-it, coloured markers, office stationery…). The first round is opened by the "thesis", |

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| | often the problem or the challenge to be addressed (for example: "which are the most urgent/important problems to be addressed in the cross-border territories?" or "which are the barriers limiting the cross-border interactions?").<br><br>h. 11.15 - **2nd round**, work sessions at the tables, responding to the 2nd question. During each round people are free to behave as an ant (great worker) a bee (keen in pollination one table to the other) or a butterfly (beautifully moving around without a precise scope). Mixing groups between one round and the other should be encouraged. Two functions should remain fix and be covered all along the work at each of the tables: a) the table host; b) the ambassador, in charge of delivering the content of the conversation during the harvesting, plenary session. Those people are responsible for briefing the newcomers about the previous conversation, timekeeping, facilitating and keeping alive the conversation from one round to the other. Thanks to their work, the canvas is progressively filled with content, using post-it and markers. One of the main roles of the facilitator is to avoid unbalanced conversations, hence ensuring that timid/quiet participants are not left out of the conversation. The second round is generally dominated by the "antithesis", often the solution or the winning policy to be addressed (for example: "which are the most effective/feasible policies to be promoted in the cross-border territories?" or "which are the actions able to disclose positive cross-border interactions?").<br><br>h. 11.45 - **3rd round**, work sessions at the tables, responding to the 3rd question. Despite the possible turnover of attendees, the third session is intended to produce the synthesis, a convergent consolidated idea. The question should be the most pragmatic. This last session is generally used for stimulating a positive proactive thinking keen to feasible solutions.<br><br>h. 12.15 – **harvesting**. A plenary session that gives to the audience the opportunity to recap in brief the outputs of the conversation at the tables. Table ambassadors are called to brief the audience with the support of canvas. At the end of the session, a general wrap-up is often appreciated. This session can be complemented also by graphic facilitation techniques that summarize the contents that emerged during the meeting through captivating mental maps, icons and summaries. Each table has normally approximately 5 minutes for briefing the audience, including a Q&A session.<br><br>h. 13.00 – **closure** of morning session and lunch. Conviviality will generally reward people and enhance networking, nurturing the creation of the community of practice around the programme. |
| **3. World Café – Afternoon session** | The afternoon session is intended to study more analytically the ideas promoted during the morning session. Taking move from the canvases |

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| | produced, co-working sessions will be promoted for further developing the World Café outputs. The tentative agenda is as follows:<br><br>h. 14.30 – **Introducing the next step of consultation**. Programme partners are briefed about the work to be done in the programming document. The consultation exercise is now better explained and attendees are asked to cooperate for embedding the outputs of the table within the operational programme.<br><br>h. 14.45 – **Canvas shock test**. During this section attendees go back again around working tables, not necessarily the ones they followed during the morning session. The purpose of this session is to question the factual truthfulness of the contents from the canvases as they have been elaborated during the morning session. In other words, during this session the proposed contents are examined in an exercise of empirical falsification. Frequently asked questions in this session should be: "and how do we know?", "Is there data to support these arguments?", or "where can we gather reliable information on this topic?". Paper or coloured supports should be used to record what emerges from this session, if necessary using other canvases connected to the previous ones.<br><br>h. 15.15 - **The "bottleneck session"**. During this section each of the ideas generated during the morning session is critically discussed, with the scope of pointing out troubles or problems that should be taken into consideration. A possible technique to be used is the Edward De Bono Six Thinking Hats process. It is important to record accurately positions and perspectives that can prove to be useful for the territorial analysis and operational programme preparation. A person should be appointed to this task within each table<br><br>h. 16.00 – **Conclusive session**. A final plenary session of about 30 minutes is intended to share the level of accuracy and usability of the consultation. Attendees are briefed about the critical remarks emerged by the "canvas shock test" and the "bottleneck session" and asked for further immediate feedback on the outcomes and on the overall exercise. During this session, other digital interactive tools for fast and on the spot consultations will be used, using available softwares such as as slido, mentimeter, polleverywhere. The great advantage of these digital softwares is that they allow an immediate and direct gathering of opinions, data and answers to specific questions. They also ease the data processing that follows the consultation, also by allowing quick and easy transposition of the contents of consultation into graphs, tables and word clouds. |
| **4. Follow up** | An essential step in all consultation processes is the follow-up, where the materials and contents of the consultation are recorded, systematized, digitized and transformed into useful content for programming. Many consultation processes, which are effective in themselves, lack the ability |

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| | to transform the results of the consultation into useful data for programming. It is therefore strongly recommended:<br><br>- to proceed with the analysis of the data collected immediately after the realization of the events;<br>- to have the data analysis conducted by people who have been involved during the events and possibly with an active role;<br>- to digitize the paper content;<br>- and, if necessary, to carry out some form of content or textual analysis, in order to obtain results and contents that at first glance could escape.<br><br>The contents that emerge from the World Café can finally be quoted in the programming documents and complement the quantitative data or justify some orientation taken by the programme. |

## ANNEX E – Delphi, step by step

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| **Phase**: Final stage consultations[7] | |
| **Scope**: Quality check and fine-tuning | |
| **Preferred target**: Top managers from relevant public institutions, evaluation units from public bodies at local/ national, /international level, experts and consultants, bureaucrats and public officials working at local and national level, observers, journalists.<br><br>**Size of the audience:** The number of programme partners for the Delphi should not exceed 15[8]. | |
| **Methodology:** The Delphi method is used in our case as a specific kind of focus group or converging consultation process based on the previous reading of a draft version of the programme document. In fact, a draft of the programme document is previously sent to a panel of programme partners, consequently invited to a shared session of co-design. During the Delphi face to face session, attendees are allowed to adjust their answers in subsequent rounds, based on how they interpret the "group responses" that emerge from the conversation. The Delphi method seeks to converge toward the "correct response" through consensus. The Delphi method allows stakeholders and experts to work toward a mutual agreement. Essential, as in the other methods, is the selection of a group of experts and actors at stake based on the topic being examined. Once all participants are confirmed, each member of the stakeholder group is sent not only the draft version of the programme document, but also specific instructions to comment on each topic based on their personal opinion, experience or position. | |
| **Duration**: ½ day | |
| **Output**: Report on Delphi results, including consensus aspects and room for divergences. The Delphi report does not differ much from the reports normally produced to account for Focus groups. These reports must contain a series of key issues that can be addressed according to different schemes: a) information on the content that has been cross-analysed by the participants; b) information on the participants and an explanation/justification for their participation; c) details on the questions to which the participants were exposed and therefore on the requests that were made to them before and during the meeting; d) the results of the Delphi, making sure to bring out the level of convergence and divergence of the positions expressed. | |
| **Steps** | **Requirements and comments** |
| **1. Preparation and sharing of documents** | The following aspects should be carefully considered for the preparation of the Delphi: |

[7] The Delphi constitutes the last phase of the proposed methodology but it does not coincide with the final public consultation as experienced in the previous ENI, ENPI consultations. This last phase of consultation is left to the responsibility of the MAs and consists, based on previous experiences, on publishing the operational programmes in the official websites and the opening of a time window in which anyone can propose - and send via email - their comments and proposals.

[8] Delphi should not coincide with the work of the JPC, although the number of people involved may coincide. In fact, it is recommended to identify a pool of experts outside the drafting process of the JOP who will be able to read the document and provide a fresh, external and detached opinion. However, the methodologies adopted by the Delphi or more generally by the Focus Group techniques can be very useful in the management of JPC meetings.

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| | - carefulness in the composition of the attendees, trying to appropriately balance skills, representativeness and variety;<br>- an effective motivational strategy, in order to have people effectively interested to devote part of their time to reading, preparing and be available for the Delphi event<br>- sharing, under confidentiality, of key documents; if possible, documents should be at their final stage, in order to maximise the accuracy of feedbacks<br>- if possible, attendees should provide some of their feedback on the documents before the Delphi session, in order to allow the organisers to prepare the agenda accordingly and eventually send preparatory information to all the participants before the meeting |
| **2. Delphi session** | Similar to a Focus group, the Delphi is an immersive and structured conversation that should last not more than 2 hours. The tentative agenda is as follows:<br><br>h. 9.00 – **Welcoming**, where attendance is recorded (and mobile phones are muted).<br><br>h. 9.30 - **Introduction**, where participants are introduced to one another and where topics, scope and rules of the event are shared with the participants.<br><br>h. 9.45 – **Opening session**, the host introduces the scope of the meeting and summarises the agenda. After that, one option is to introduce the feedback already received, if available by the participants. Showing a presentation with the general feedback already received can be useful for focusing the conversation around the most critical issues, the most controversial or serious remarks that have emerged.<br><br>h. 10.00 - **1st round**, all rounds are similar to each other and conform to the facilitator's skills and audience response. In general, it is advisable to condense stimulus questions to a limited number, one for each round and possibly to prepare a longer series of questions that can be kept under observation during the conversation to check that all the topics of interest have been covered. It is desirable that the conversation proceeds smoothly moving from one topic to another. Often there is not much need for the facilitator to bring out new questions if not simply collecting ideas by inviting the audience to focus attention on specific aspects that seem to emerge from some participants' answers.<br><br>h. 10.20 - **2nd round**. Even if the flow of the conversation proceeds smoothly and the moderator does not have to stimulate, it is nevertheless important that the time of the meeting is cadenced by the rounds, which gives the participants the sense of a path that proceeds towards its conclusion. Even when the conversation seems to take off, a second question draws the attention of the audience towards the task and purpose of the meeting and invites to abandon a topic and focus attention on another. |

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| | h. 10.40 - **3rd round**. For a Delphi, it is also advisable to adopt the dialectical approach in which a thesis, an antithesis and a synthesis act as drivers of the conversation.<br><br>h. 11.00 - **harvesting and closure**. The final summary by the moderator is very important and must contain to a large extent the bulk of what has been said, also including divergent ideas. The gratitude for the effort made by the participants, both during the session and in the time dedicated to reading the documents, should be expressed. Normally, feedback to participants is due, with evidence of the effects of the consultation on the final version of the programming document. |