

Stakeholder Engagement Guide of Guides

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Introduction

Stakeholder engagement (SE) is a critical part of Integrated Knowledge Translation (iKT) which maximizes the usefulness and use of research. Granting agencies want to see real change as a result of the research they fund, and stakeholder consultation is a critical component of any KT plan toward achieving this impact because it helps ensure the change you intend to make is the change stakeholders want. To this end, it is increasingly important for researchers to be able to consult and respond to stakeholder needs by modifying their research questions, methodology, and outputs including: findings, dissemination (end-of-grant KT) products, technological/social innovations and commercial products. Engaging stakeholders to determine and respond to their needs helps to make research, technological and social innovations¹ work better for society, thereby increasing the likelihood it will make a difference (have impact). Depending on your goal(s) for engaging with your stakeholders, you will need to choose from methodologies for SE that range from mostly dissemination-type (very little opportunity for stakeholder input), through discussion-based methodologies (stakeholders discuss and analyze), to mostly listening (with minor input/guidance stakeholders provide most of the information).

This document represents a compilation of existing guides on stakeholder engagement.² The individual guides have been divided into three sections: introduction to stakeholder engagement, how to do stakeholder engagement, and evaluating the outcome of stakeholder engagement on your research. The guides that have been organized into these sections have each been created for different audiences and/or organizations. However, the concepts, processes and strategies contained within them are transferrable to other contexts including NeuroDevNet and the research projects led by its researchers and trainees. If you are a NeuroDevNet researcher or trainee and would like a consult for planning a stakeholder consultation for your project, please contact the KT Core (Anneliese Poetz, KT Manager, apoetz@yorku.ca).

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¹ Since many researchers have become increasingly interested in creating other technologies such as websites and applications (apps), it is even more important to involve end-users to inform the requirements (what the technologies should do) at the design stage.

² Thank you to Camilia Thieba, Sonya Strohm, and Keiko Shikako-Thomas for input and feedback on drafts of this guide and recommendation(s) for guides to include. Thanks also to Amber Vance for conducting online searches for existing stakeholder engagement guides.

Introduction *continued*

Several of the guides that are referenced, contain tables with names and definitions of different methodologies for doing stakeholder engagement. This information has been analyzed and arranged into the following three tables based on the main goal of the stakeholder engagement activity:

Table 1 represents dissemination-focused stakeholder engagement. That is, the activity is mostly about sharing information with stakeholders but there is an opportunity for them to comment.

Table 2 represents methodologies that aim to facilitate discussion, analysis, and/or prioritization and recommendations among stakeholders. The methodologies vary from informal non-structured to more formal structured discussion, recording of feedback and analysis.

Finally, **Table 3** represents the opposite of Table 1, in that the methodologies are mainly for listening to stakeholders after providing minimal information such as guiding questions or information about a problem to be solved. Methods that are very similar have been combined into one heading. The definitions for each methodology can be found in the guides they originate from. The symbol(s) adjacent to each method in the table indicate which guide(s) contain a definition for it:

- **Civitas guide** <http://bit.ly/1Qp4zkl>
- ▼ **State Government Victoria guide** <http://bit.ly/1SESuYt>
- **NOAA Coastal Services Center guide** <http://1.usa.gov/1O6Cz4p>
- ◆ **Fisheries and Oceans Canada guide** <http://bit.ly/1TqD8Ww>

- **Civitas guide**
- ▼ **State Government Victoria guide**
- **NOAA Coastal Services Center guide**
- ◆ **Fisheries and Oceans Canada guide**

Table 1:

Dissemination-focused stakeholder engagement methods
<p>Main Purpose/Goal of Stakeholder Engagement (SE)</p> <p>TO TELL: Main focus is to provide information; could receive feedback from stakeholders but it is minimal.</p>
<p>Methods for SE</p> <ul style="list-style-type: none"> • Information sessions/briefings ● ▼ • Information centres ● ◆ • Topical events ● • Field trip ■ • Internet (email lists, web-conferencing, web-forum, web-based discussion) ● ▼ ■ ◆ • Academic conferences • Letters ● • Newsletters ● ▼ • Posters, notices and signs ● • Leaflets, brochures, circulars ● ▼ • Fact sheets ● ▼ • Technical reports ● • Internet (bulletin boards, web-conferencing, web-forum, web-based discussion) ● ▼ ■ ◆ • Blog • Radio & TV shows ●

- **Civitas guide**
- ▼ **State Government Victoria guide**
- **NOAA Coastal Services Center guide**
- ◆ **Fisheries and Oceans Canada guide**

Table 2:

Discussion, analysis and recommendation-focused stakeholder engagement methods

Main Purpose/Goal of Stakeholder Engagement (SE)

TO TELL AND LISTEN:

Mix of providing information and asking questions of stakeholders or otherwise encouraging discussion, deliberation and analysis. Methods vary in terms of the rigour and formality of data collection and analysis but the focus is on collecting meaningful stakeholder input to inform the work.

Methods for SE

More formal/structured discussion and recording/analysis of feedback:

- Charettes <http://www.charretteinstitute.org> ■ ◆
- Large group/small group meetings ■
- Focus groups ● ■ ◆
- Workshops ● ▼ ■ ◆
- Stakeholder visioning ● ▼
- Participatory editing ▼
- Study circles ◆
- Co-design (products, services) ▼
- Technical working parties ●
- Stakeholder conferences ●
- Advisory group/task force ▼ ■ ◆
- Consensus conferences ◆
- Roundtables ◆
- Electronic meetings ◆
- Search conferences ▼ ◆
- Think tanks ◆
- Deliberative polling and dialogues ◆
- Delphi process ◆
- Bilateral meetings ◆

Methods for SE

Informal/non-structured discussion, may not necessarily keep a record of stakeholder feedback:

- Exhibitions ●
- Booth at conference
- Community visits ●
- Open house ■ ◆
- Retreat ■
- Citizen panels ◆
- Public meeting ■ ◆

- [Civitas guide](#)
- ▼ [State Government Victoria guide](#)
- [NOAA Coastal Services Center guide](#)
- ◆ [Fisheries and Oceans Canada guide](#)

Table 3:

Listening methods for stakeholder engagement
<p>Main Purpose/Goal of Stakeholder Engagement (SE)</p> <p>TO LISTEN: Asking questions of stakeholders, receiving input either verbally or in written (report) format to inform the work.</p>
<p>Methods for SE</p> <ul style="list-style-type: none"> • Open-space technology/events ▼ • Advisory boards/committees ▼◆ • Citizen juries ●◆ • Public hearing ■ • Town meeting ■ • Expert panel ▼ • Questionnaire surveys or opinion polls ●▼■◆ • Referendum ■ • Comment forms/workbooks ◆ • Hotline ▼■◆ • Action research ▼ • Interviews (key person and other) in-person or telephone ●▼■

Introduction *continued*

Regardless of the SE method you choose, there are several common characteristics that need to be considered. They are:

1) Goal/purpose statement

Know and articulate why you need to engage with your stakeholders.

2) (Stated) Objectives

Articulate what it is exactly that you need/hope to accomplish from your stakeholder engagement activity.

3) Stakeholder Mapping

Know who all of your stakeholders are, prior to choosing which of them you need to engage in order to achieve your goal(s) and objectives.

4) (Stakeholder Engagement) Method

Chosen based on why you need to engage with stakeholders and what you hope to accomplish by doing so (see 1 and 2).

5) Evaluation

How well your chosen method/activity for stakeholder engagement helped to achieve your goal and objectives, and feedback on how to improve the consultation/activity next time.

Since some of the guides referenced in this document contain detailed planning templates, the KT Core created a set of form-fillable worksheets (see Appendices A, B, and C) to be used as a more simplified starting point for planning your stakeholder engagement activities. Several of the guides begin with an introduction to stakeholder engagement including a rationale, a conceptualization of the 'research cycle' with information on how to involve stakeholders at each stage, the different levels of stakeholder involvement (usually defined by the amount of control they are given over the research process), methods for doing stakeholder engagement, and information on how to evaluate the impact of stakeholder engagement on your research project. What is missing is information on how to evaluate the stakeholder engagement event or approach itself, for example, how to create evaluation forms for a stakeholder consultation so you can get useful information for improving the next one. The form-fillable worksheets for SE planning at the end of this guide contain tables that will help you think through your evaluation approach. Since the method for evaluation depends on what method for SE you choose and what you are trying to measure, you may wish to contact the KT Core for additional assistance once you have had a chance to sketch it out using the worksheets.

The KT Core has written several blogs (<https://neurodevnet.wordpress.com/>) about stakeholder engagement. If you are a NeuroDevNet researcher or trainee and would like help with your stakeholder engagement planning and/or evaluation, please contact the KT Core (apoetz@yorku.ca).

Introduction to stakeholder engagement

An Integrated Approach to Stakeholder Engagement – 2009, 9 pages

<http://bit.ly/1TuJTrp>

Authors: Dafna Carr, Arlene Howells, Melissa Chang, Nadir Hirji and Ann English (Healthcare Quarterly)

Audience: Anyone wishing to maximize the potential for successful implementation of their innovation into organizations by using stakeholder input

What is this about?

This is a peer-reviewed paper (**not** guide format) that exemplifies how one project approached stakeholder engagement. Three key areas are overviewed: **1)** communication/awareness (and importance of dedicated project managers), **2)** building support for uptake/adoption (and importance of change management strategies and using credible champions for facilitating uptake), **3)** making real changes through training to facilitate implementation (development of training materials). Importance of integrated stakeholder engagement program to avoid silos and confusion/inconsistencies in the view of stakeholders. Detail about each (communication, support for uptake, and training) is provided including rationale for stakeholder mapping and capturing stakeholder needs, testing key messages and lessons learned.

How can you use it?

- Learn about how this project team used stakeholder engagement to inform the design of a new hospital system called the Wait Time Information System (WTIS), for improving service to patients
 - Adapt their process to your own research project if you are embarking on the design of a new system, technology, application, intervention and wish to maximize its success/impact by consulting with stakeholders to inform its design
 - Adapt their process and lessons learned from the authors' experiences designing and implementing the WTIS to inform a similar training program/workshops to help facilitate successful implementation of your research project's output(s) into practice
-

Introduction to stakeholder engagement continued

Introduction to Stakeholder Participation – 2007, 20 pages

<http://1.usa.gov/1O6Cz4p>

Author: NOAA Coastal Services Center

Audience: State and local programs devoted to the wise management of the nation's coastal resources

■ NOAA Coastal Services Center guide

What is this about?

While this guide is geared toward stakeholder participation in agency-based decision-making, it contains information that is transferrable to a context in which researchers need to make decisions about their research questions, approach and KT approach/products. Successful stakeholder participation in decision-making is determined by key features and process elements that are summarized in a table, followed by several pages of more in-depth information for each feature. Contains a scale from agency-to-stakeholder influence over decisions made based on the result of a stakeholder consultation, as well as a simple table outlining different methods for stakeholder participation (with a brief description, and a separate table with advantages and limitations of these methods).

How can you use it?

- Reference the table containing categories of stakeholders (descriptions and examples) for inspiration for conducting your own stakeholder mapping
- Use the table outlining different methods for stakeholder participation to inform your decision about which to use for your own consultation
- Use in conjunction with the planning worksheets in Appendices A, B, C to help you identify stakeholders and level of control during engagement, method for stakeholder participation, and evaluation of participation process and outcome
- Ignore/skip information specific to INVOLVE such as the “find out more” links provided in each section and Briefing Note ten “where to go for further information”

How to do stakeholder engagement

Stakeholder Engagement Framework – 2011, 44 pages

<http://bit.ly/1SESuYt>

Authors: State Government Victoria, Department of Education and Early Childhood Development

Audience: Government / policymakers, researchers, administrators, community

▼ State Government Victoria guide

What is this about?

This guide opens by providing a good rationale for doing stakeholder engagement. Includes a chart outlining the levels of participation in stakeholder engagement (inform, consult, involve, collaborate, empower) in terms of goals, promises to stakeholders and methods of engagement, and stakeholder quotes about what could inhibit effective stakeholder engagement (e.g. should be responsive and reciprocal, respectful, open/transparent/trusting, inclusive, impartial and objective). There are sections on the stakeholder engagement process (4 key steps: what is the purpose, who to engage, how to engage, evaluate the engagement process), developing a stakeholder engagement plan (contains worksheets and templates), determining the purpose and desired outcomes of engagement (objective of project, why engage, expected outputs and outcomes), identifying the relevant stakeholders based on level of interest and influence (stakeholder mapping), method of engagement, logistical considerations, communicating consistent messages, managing risks, and evaluating the engagement process. Additional resources provided on stakeholder engagement and policy work, partnerships, inclusive stakeholder engagement, consistent communication with stakeholders (including tips), methods of engagement (method, benefits, limitations and notes for each level of participation), case studies and additional references.

How can you use it?

- Learn about stakeholder engagement with respect to a comprehensive suite of knowledge areas
- Learn more about stakeholder engagement from case study examples and additional references
- Use the chart about levels of participation to determine which level you would like to use for your own stakeholder engagement
- Use the worksheets and templates to outline each of the 4 key components for your own stakeholder engagement plan
- Use the chart on 'methods of engagement' to inform the design of your stakeholder engagement plan based on the level of participation you would like from your stakeholders
- Use the section on stakeholder engagement and policy work (policy cycle diagram) to understand how your stakeholder engagement activities can potentially inform changes in policy (and practice, if the policies govern practice)
- Use in conjunction with the planning worksheets in Appendices A, B, C to help you determine the purpose and outcomes of engagement, identify stakeholders and method of engagement, and evaluate the engagement process
- Skip section on 'department's definitions' as these are specific to the author and intended audience

How to do stakeholder engagement continued

Consultation Toolbox : A Guide to Undertaking Consultations – 2004, 90 pages

<http://bit.ly/1TqD8Ww>

Author: Fisheries and Oceans Canada

Audience: Fisheries and Oceans Canada

◆ Fisheries and Oceans Canada guide

What is this about?

This guide emphasizes the importance of deciding the objectives first and then choosing the techniques for the consultation based on those objectives. Sections on the 5 phases of consultation: **1) Preparation:** establishing a planning team, scoping the decision, setting objectives, identifying participants, developing timelines, doing a 'context scan', developing a budget, involving communications staff and the media, **2) Design:** selecting the methods for consultation, ensuring flexibility, **3) Implementation:** managing and facilitating the consultation, managing the input from participants, evaluating throughout the process, **4) Synthesis and Reporting Back:** reporting back to participants, **5) Evaluation:** contains "helpful hints", "things to think about" and "tools and resources" throughout. Contains tools and templates in an appendix including: a chart outlining pros and cons of different in-person and electronic methods for consultation, and a sample participant code of conduct for consultations, and considerations for translation into official languages.

How can you use it?

- Learn about the 5 phases of planning a stakeholder consultation
- Apply the information on the 5 phases of consultation toward designing a stakeholder consultation to inform your research
- Learn how to conduct a stakeholder consultation meeting including how to prioritize feedback from stakeholders into meaningful and useful information
- Use the sample evaluation worksheet to sketch out the indicators you will use to evaluate
- Use in conjunction with the planning worksheets in Appendices A, B and C to help you draft objectives and evaluation indicators, and method of engagement for your activities with stakeholders

How to do stakeholder engagement *continued*

Involving Stakeholders: Toolkit on Organising Successful Consultations – 2000, 68 pages

<http://bit.ly/1Qp4zkl>

Author: Civitas

Audience: Transport practitioners, primarily those working in local mobility departments within the CIVITAS network

● Civitas guide

What is this about?

This toolkit is focused on stakeholder/citizen engagement for decision-making about urban mobility, but has good transferrable information to help researchers conduct stakeholder consultations. The toolkit contains a six-step strategy for preparing for a stakeholder consultation: specify the issue(s) to be addressed, identify which stakeholders to involve, analyze the potential contribution of various stakeholders, set up an involvement strategy, consult your stakeholders, evaluate and follow up. There are recommendations for following the six-step strategy, building effective partnerships, developing a strategy, involvement activities, and evaluation and follow-up. Contains definition of 'stakeholder'.

How can you use it?

- Use the list of stakeholders in categories (government/authorities, businesses/operators, communities/local neighbourhoods) to think about who the stakeholders are in your context
- Use the broad groups of stakeholders (primary, key actors, intermediaries) to think about who to involve
- Learn about stakeholder consultation /participatory approach for: planning, implementation and evaluation
- Learn why stakeholder consultation is important/benefits of stakeholder involvement
- Use as a guide for developing: effective partnerships, a stakeholder consultation strategy,
- Use the matrix of stakeholder engagement activities to help inform what you do with your stakeholder, who you do it with, when, and for how long
- Use the process evaluation and output/impact indicators to inform how you measure your stakeholder engagement strategy
- Use the "spotlight" case studies as a learning tool based on others' experiences applying the information in the toolkit
- Use in conjunction with the planning worksheet in Appendix B to identify stakeholders

How to do stakeholder engagement *continued*

Tools for Data Demand and Use in the Health Sector – 2011, 22 pages

<http://unc.live/24eTcjh>

Author: Measure Evaluation

Audience: Health Systems in low resource settings. Program managers, directors, high-level program officials, Program management team members

What is this about?

This Stakeholder Engagement tool is focused on stakeholder consultation for informing data collection for conducting an evaluation, but the concepts can be transferred to other settings such as research projects. There are 10 sections to this guide: purpose, description, templates, guiding principles, use, audience, field applications, example application, implementation checklist, and conclusion.

How can you use it?

- Use as a matrix framework and process for identifying stakeholders (roles, resources, commitment etc.), creating an engagement plan, tracking engagement to ensure stakeholders are engaged appropriately throughout the project
 - Print and fill in the two templates: Stakeholder Analysis Matrix for project planning phases, and the Stakeholder Engagement Plan for project implementation and follow-up phases
 - Use case study examples including filled in templates to help develop your stakeholder engagement strategy and activities
 - Use the implementation checklist as a step-by-step guide for the implementation of your stakeholder engagement strategy
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How to do stakeholder engagement continued

Facilitator Tool Kit: A Guide for Helping Groups Get Results – 2007, 86 pages

<http://bit.ly/1RixaIM>

Author: Office of Quality Improvement, University of Wisconsin-Madison

Audience: Anyone wishing to plan and facilitate effective meetings for group decision-making

What is this about?

This toolkit contains practical information for planning and facilitating any type of meeting. It begins by explaining what the role of a facilitator is and the different elements of group dynamics. The section on ideation and consensus begins with an overview of 'the art of listening' followed by details about specific facilitation techniques for making a decision with or without achieving consensus. There are considerations for conducting effective meetings, managing a project (because planning a meeting is considered a project), which is followed by tools that can be used to elicit stakeholder input, collect and analyze data. Flowcharts are defined and examples of different types of flowcharts are provided, including a rationale for why you might use one. Tools are provided to help you use meeting attendees' input to inform decision-making through prioritization activities. The final section is about measuring impact, but rather than provide a definition and indicators for impact, tools are provided for developing meaningful measures of impact with your stakeholders.

How can you use it?

- Use the worksheets, templates and checklists to plan your meeting's logistics; methods for facilitation, data collection, analysis, prioritization
- Use the worksheet for identifying impact measures you can use for measuring the impact of your SE activities
- Learn how to conduct effective meetings including how to use different facilitation techniques such as focused conversation and consensus workshop
- See examples of ground rules so you can create your own for guiding how your committee will function to improve effectiveness and efficiency
- Use project management templates to help guide your planning activities
- Learn about root cause analysis, pareto charts, SWOT analysis, functional analysis and flowcharting
- Use data and tools to help guide decision-making processes such as dot-voting etc. with stakeholders to determine stakeholder priorities

Evaluating the outcome of stakeholder engagement on your research

Public Involvement Impact Assessment Framework (PiiAF) – 2014, 70 pages

<http://bit.ly/1KZv25L>

Author: Popay, J and Collins, M (editors) with the PiiAF Study Group

Audience: Researchers who would like to assess impacts of involving the public in their research, members of the public interested in being involved in research

What is this about?

This downloadable guide is based on a research study that was conducted on evaluating the impact of public involvement in research. Explains the structure of the PiiAF which contains two main sections: **1) Exploring impacts** (values, approaches, practical issues, research), **2) Developing an impact assessment plan** (Phases 1-4 regarding issues that may be relevant to your assessment plan). Includes a template for a “record card” that can be downloaded separately in either word or .pdf formats, to assist in working through the different frameworks in the context of your own research. This document contains filled-out examples for using the Record Card templates for recording key points of your discussion. Contains a comprehensive glossary as well as resources/references in the end for further reading.

How can you use it?

- Use to systematically evaluate the impact of involving the public in your research project
- Use the downloadable word/.pdf template alongside the examples in this document to explore the types of impacts of the public's involvement in your research according to the PiiAF framework
- Use to develop an impact assessment plan to assess the impact of the public's involvement in your research according to the PiiAF framework

NeuroDevNet KT Core - KT helps to maximize the impact of research and training in neurodevelopmental disorders

Contact the KT Core: <http://neurodevnet.ca/kt-coreteam> LinkedIn: <https://ca.linkedin.com/in/neurodevnet>



To retain each unique Worksheet, SAVE this Appendix pdf with a UNIQUE FILENAME, and retain the ORIGINAL Appendix fillable form pdf.

Appendix A: Stakeholder Engagement Planning Worksheet for Researchers

Use the guides contained within this document, to help inform how to fill out these worksheets. For example, some guides contain detailed information on the different types of stakeholders to consider, including examples of objectives, common methods used for stakeholder engagement (with descriptions of what they mean, and advantages/limitations of each), etc.

Project Title (e.g. research project, website development, systems or technology development project, etc.):

Purpose or goal of the stakeholder engagement activity:

Objectives (what do you want to accomplish with these stakeholders):

1.

2.

3.

4.

5.

Appendix B: Stakeholder Engagement Planning Worksheet for Researchers

Who/stakeholders* and how you will engage and evaluate:

*After you identify the stakeholders in the tables below, you will need to create an Excel (or similar) spreadsheet (you may even choose to create one for each method of stakeholder engagement) to detail information such as: name, type of stakeholder, affiliation (with any organizations, associations, etc.), contact information (e.g. email, phone, mailing address, website, social media channels etc.) so you may invite and track the participation of these stakeholders.

Type of Stakeholder:	Industry or line of business:	Key (community, professional) organizations and/or social media platforms (Twitter, Facebook etc.) where these stakeholders can be found	How could they influence the research or KT?	Desired level of participation/control	Method(s) chosen for stakeholder engagement (list all for each type of stakeholder)	How can they benefit from being involved in SE for your project?
e.g. researcher, practitioner, parent, self-advocate, government/regulator, policy-maker, etc.	e.g. Public Health, Early Childhood Education, etc.	e.g. Canadian Association of Principals, Canadian Criminal Justice Association, Autism Speaks Canada, government/authority, business/owners, communities/local neighbourhoods, etc.	e.g. provide referrals to other stakeholders, help recruit participants, provide lived experience perspective, etc.	e.g. to inform, to collaborate, to allow stakeholders to control. Click here for link**.	e.g. in-person stakeholder consultation meeting, webinar discussion/online focus group, social media, etc.	

Appendix C: Stakeholder Engagement Planning Worksheet for Researchers

Evaluation of your SE Activities

Method chosen for stakeholder engagement activity:	Intended use(s) of evaluation data	Method(s) for evaluation of SE activities	Measures/indicators and/or questions to be asked on the event evaluation form
List one activity per row (cell) below. (see Tables 1-3 in Introduction to this Guide) e.g. Charette	e.g. for reporting to funder, to inform methods for ongoing stakeholder engagement beyond event, improving future stakeholder engagement activities, etc.	e.g. multiple choice/open answer evaluation handout at event, online survey etc. to evaluate: event, impact on research, etc.	e.g. satisfaction with event, # priorities/themes of stakeholder needs identified, etc. e.g. what was the best part of this consultation?