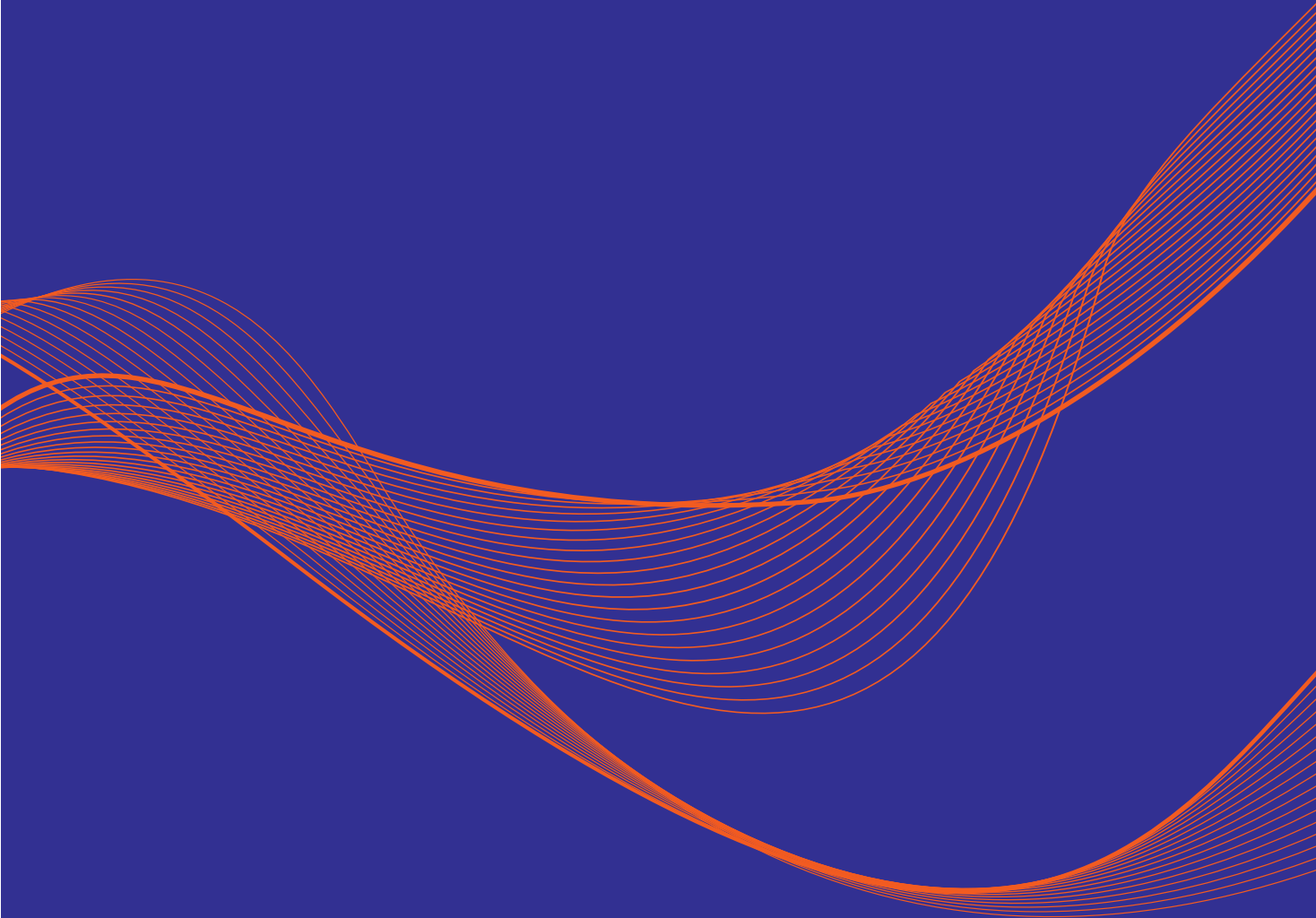




IAP2 AUSTRALASIA  
CERTIFICATE IN ENGAGEMENT

# Engagement Essentials

An abstract graphic consisting of numerous thin, orange, wavy lines that flow across the upper half of the image. The lines are layered, creating a sense of depth and movement. They start from the left edge and curve towards the right, with some lines rising more steeply than others. The background is a solid, deep blue.

Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.

## IAP2 Australasia

The International Association for Public Participation (IAP2) is an international federation of member affiliates, that seeks to promote and improve the practice of public participation, or community engagement, incorporating individuals, governments, institutions and other entities that affect the public interest.

IAP2 Australasia is the affiliate for Australia and New Zealand, and is the leading public participation association in the world.

As an international leader in public participation, IAP2 has developed the IAP2 Core Values for Public Participation for use in the development and implementation of public participation processes. These core values were developed with broad international input to identify those aspects of public participation, which cross national, cultural, and religious boundaries.

The purpose of these core values is to help make better decisions which reflect the interests and concerns of potentially affected people and entities.

## IAP2 Australasia Certificate in Engagement

IAP2 Australasia offers a Certificate in Engagement which comprises five days training consisting of:

- Engagement Essentials (a one-day prerequisite)

and either

- Engagement Design OR Engagement Methods (each course is two days)



The two additional days can be comprised of either:

- Engagement Design, OR
- Engagement Methods, OR
- two one-day modules provided by IAP2 Australasia, and approved to contribute towards the Certificate. Current modules include:
  - Conflict in Engagement
  - Engagement Facilitation
  - Engagement Evaluation
  - Engaging with Influence.

### Continuing Professional Development (CPD)

IAP2 Australasia also offers an annual conference, a leadership forum, master classes and networking events throughout Australia and New Zealand.

IAP2 has introduced a Quality Assurance Process and will be consulting members on a model of membership certification.



## Acknowledgements

Engagement Essentials is owned by IAP2 Australasia which thanks the members of the working party who undertook this update:

- Michelle Feenan, principal, Engagement Plus PL
- Amanda Newbery, principal, Articulous PL
- Anne Pattillo, principal, patillo PL

We acknowledge their work in the development of this material and also IAP2 Australasia members who have provided feedback and input to ensure this course is contemporary and relevant to the current practice of engagement in Australasia.

The IAP2 Spectrum, Core Values and Code of Ethics is the property of International Association for Public Participation (IAP2) Federation and form the basis of engagement practice across Australia and New Zealand.

The materials used for this course are the property of IAP2 Australasia however, as IAP2 Australasia is committed to advancing the practice of community and stakeholder engagement, we encourage personal use of these materials, and ask that recognition of IAP2 Australasia be provided when materials are used.

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## Disclaimer

The aim of Engagement Essentials is to introduce the key concepts and process in IAP2's Engagement Model.

These materials are provided as support reading to develop the concepts presented in the courses and do not purport to provide sufficient information to act, or to give advice. The emphasis is on broadening perspective, providing examples and developing a sense of what to look for, what to question and from whom to seek guidance.



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# Aim Objectives and Learning Outcome

## Aim

The aim of Engagement Essentials is to introduce the key concepts and process in IAP2 Australasia's Engagement Model.

## Objectives

The objectives of Engagement Essentials are to:

- Explore a contemporary model of community engagement
- Demonstrate understanding of the different uses of engagement
- Identify why, when and in what way to engage and what is successful engagement
- Determine the community and stakeholder factors that shape engagement
- Identify the core elements for effective engagement
  - context, scope, people, purpose and influence
- Identify emerging engagement practice
- Identify the role of the engagement practitioner.

## Learning Outcome

By the end of Engagement Essentials you will understand the essential elements of a 'best practice' contemporary model for engagement and the next steps you, or your organisation, need to take.

## Who should do this course?

Engagement Essentials is the pre-requisite course for the Certificate of Engagement. It presents the framework, key models and tools that will be developed in the following modules, using case examples.

## The role of the engagement practitioner

The practice of community and stakeholder engagement is constantly evolving, shaped by global and local influences and events, changing democratic practices and creative minds.

This Certificate of Engagement Program recognises that engagement practice is undertaken by professionals who:

- May have engagement practice as a significant part of their role
- May have little to do with engagement practice as others within their organisation design and implement the engagement processes to support their work
- May have engagement practice as a small role amongst the many other aspects of their role, or

- May be more involved in the communications area and are charged with broadening their role to embrace community and stakeholder engagement practice.

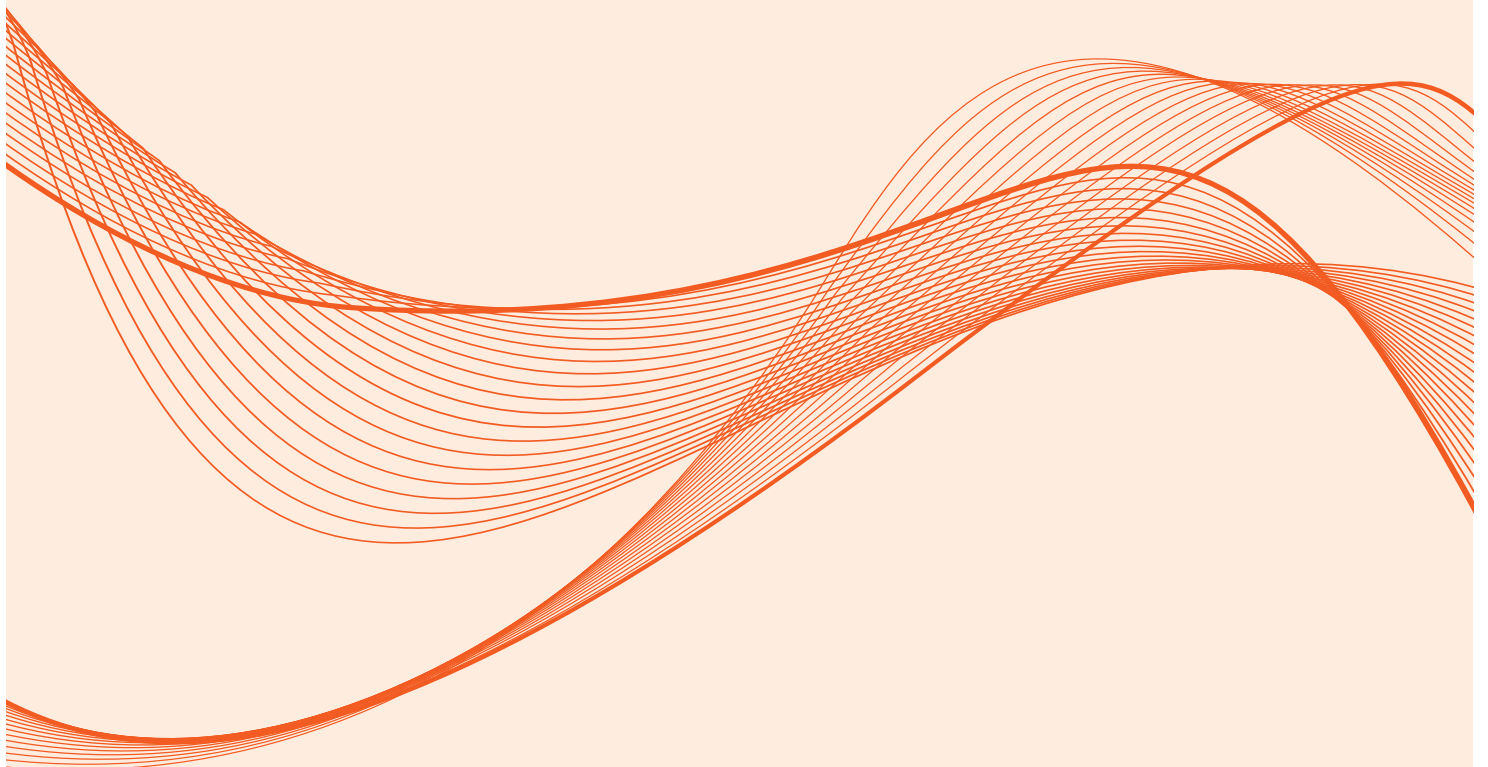
As an engagement professional, our roles can be to:

- Design the engagement program or the engagement method
- Develop engagement materials
- Facilitate the engagement process
- Participate in the engagement method (including recording, analysing and evaluating the method). IAP2 Core Values for Public Participation.

## IAP2 Core Values for Public Participation

1. Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
2. Public participation includes the promise that the public's contribution will influence the decision.
3. Public participation promotes sustainable decisions by recognising and communicating the needs and interests of all participants, including decision makers.
4. Public participation seeks out and facilitates the involvement of those potentially affected by, or interested in, a decision.
5. Public participation seeks input from participants in designing how they participate.
6. Public participation provides participants with the information they need to participate in a meaningful way.
7. Public participation communicates to participants how their input affected the decision.

By the end of Engagement Essentials you will understand the essential elements of a 'best practice' contemporary model for engagement and the next steps you, or your organisation, need to take.





## IAP2 Code of Ethics

As professionals, we support the IAP2 Code of Ethics.

<b>1. Purpose</b>	We support public participation as a process to make better decisions that incorporate the interests and concerns for all affected stakeholders and meet the needs of the decision-making body.
<b>2. Role of Practitioner</b>	We will enhance the public's participation in the decision-making process and assist decision-makers in being responsive to the public's concerns and suggestions.
<b>3. Trust</b>	We will undertake and encourage actions that build trust and credibility for the process among the participants.
<b>4. Defining the Public's role</b>	We will carefully consider, and accurately portray, the public's role in the decision-making process.
<b>5. Openness</b>	We will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.
<b>6. Access to the Process</b>	We will ensure that stakeholders have a fair and equal access to the public participation process and the opportunity to influence decisions.
<b>7. Respect for Communities</b>	We will avoid strategies that risk polarising community interests or that appears to "divide and conquer".
<b>8. Advocacy</b>	We will advocate for the public participation process and will not advocate for interest, party or project outcome.
<b>9. Commitments</b>	We will ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.
<b>10. Support of the Practice</b>	We will mentor new practitioners in the field and educate decision-makers and the public about the value and use of public participation.

# Contemporary Engagement

The first notice and comment legislation were passed in 1946 in the United States of America. By 1998, 19 OECD countries had notice and comment or consultation legislation.

Community engagement and public participation have been a legal expectation of government agencies in Australia and New Zealand since the 1970s. Since then, government and local government agencies and their contractors have been working to meet their legal and the social expectations of communities and the public. Most government and local government organisations now have public participation or community and stakeholder engagement policies, engagement specialists and practices.

There is a maturing practice of public consultation or community engagement within government and local government agencies. The practice of engagement has extended to a broader range of purposes and engagement is now a practice undertaken in organisations across government, local government and by business.

## Drivers of contemporary engagement practice

Key drivers of contemporary engagement practice are include:

1. The **changing level of connectedness and complexity** that exists in communities and that is driven by social media and disruptive technologies. There is an increased visibility of organisations' practice and approach - there is no 'backyard' to do things in private, away from scrutiny.
2. Community members have **more access to information** and are not entirely reliant on the organisation hosting or sponsoring the engagement. Communities can form expectations based on other people's experiences in other settings.
3. **Increased visibility**, especially of government and government-funded organisations, which are more keenly attuned to reputational risk. The expectation

of doing the 'right thing', being seen to do the right thing and then actually doing it, is much greater than before.

4. Government, not for profit and private sector organisations are under pressure to create **increased value for money**.
5. Government organisations' **drive for improved outcomes** for citizens in relation to complex problems. These problems are classically called 'wicked problems' where the solution does not entirely rest within an organisation itself. Action and solutions to the problem requires action from other organisations, commitment of community organisations and action or behavioural change among citizens. Some examples of 'wicked problems' include decreasing the incidence of road traffic crashes, eliminating workplace injury and preventing family violence.
6. Commercial **pressure to innovate, create new products and services**, or reinvigorate existing services has led to the creation of more engaging product and service design-led business practice. Core to the design-led approach is engaging customers and key internal staff in the design of new policies, services and products.
7. **Mobility** has been a major change in the pace and form of communication. As the use of mobile technology, phones, tablets, and computers increase, organisations are under pressure to change how they communicate. Citizens can give feedback, make comment and research issues wherever they are and at any time of the day or night, at the moment they are interested or motivated to comment to their friend, colleagues, networks or the organisation. As a result people don't need to wait for an organisation to engage with them to suggest, comment and engage.

The outcome of these drivers of contemporary engagement practice is to see an increase in the use of engagement approaches and an expansion of the purpose for which we engage.

## Engagement Definition

Community engagement is an intentional process with the specific purpose of working across organisations, stakeholders and communities to shape the decisions or actions of the members of the community, stakeholders or organisation in relation to a problem, opportunity or outcome.

There are a broad range of definitions of community engagement. The definition we are using for this training reflects the many uses of engagement.

In the community engagement model, who is the organisation? The organisation is the entity responsible for the project or proposition, which is the focus of the engagement: it may be a government or local government agency, not-for-profit or community organisation or a company. Increasingly, networks and coalitions are becoming influential.

- Purposeful
- Intentional and mostly-planned process
- Shaping of decisions and actions of communities and/or organisations
- Recognition of the interrelationship between the decisions and actions of organisations, stakeholders, communities and individuals
- Recognition of the rights and responsibilities and roles of organisations, stakeholders, communities and individuals.

The linking of the term 'community' to 'engagement' serves to broaden the scope, shifting the focus from the individual to the collective, with the associated implications for inclusiveness to ensure consideration is made of the diversity that exists within any community.

### Community and Stakeholder

The word '**community**' includes individuals and groups of people; stakeholders, interest groups and citizen groups. A community may be a geographic location (community of place), a community of similar interest (community of practice), or a community of affiliation or identity (such as industry or sporting club).

The word '**stakeholder**' defines individuals, a group of individuals, organisations or a political entity with a specific stake in the outcome of a decision to the impact of a policy, project or proposition.

The word 'community' includes individuals and groups of people; stakeholders, interest groups and citizen groups.

## Uses of Engagement

In a changing world, there are many uses for Engagement; broader than government agencies engaging citizens and communities about policy proposals and government activities. A more diverse range of leaders in government agencies, community groups, NGO's and private sector organisations lead engagement activities and programs, creating a competitive marketplace for the attention, opinions and participation of citizens and consumers.

The recognition of these broader uses of engagement has occurred because the focus point of influence for people across all levels - governments, companies, local councils, community organisation, NGO's, individuals and families - has changed.

This demands a more dynamic and sophisticated quality of engagement to support good decision making and action or behaviour change.

Our language of describing engagement as *being for the purpose of decision-making within the traditional model of organisations engaging the public in order to make better decisions*, has shifted.

Our language now includes such contexts as *stakeholder relations, consumer engagement, employee engagement, community-led engagement, and motivating community to take action, community development* and many more

### What do we mean by 'Uses of Engagement'?

When we talk about the 'uses of engagement', we are talking about the intent of involving the community and stakeholders, and the differing contexts in which that may occur. *Figure 1* shows different types of work that we may be involved in that can benefit from community and stakeholder engagement.

### Decision making is fundamental to engagement

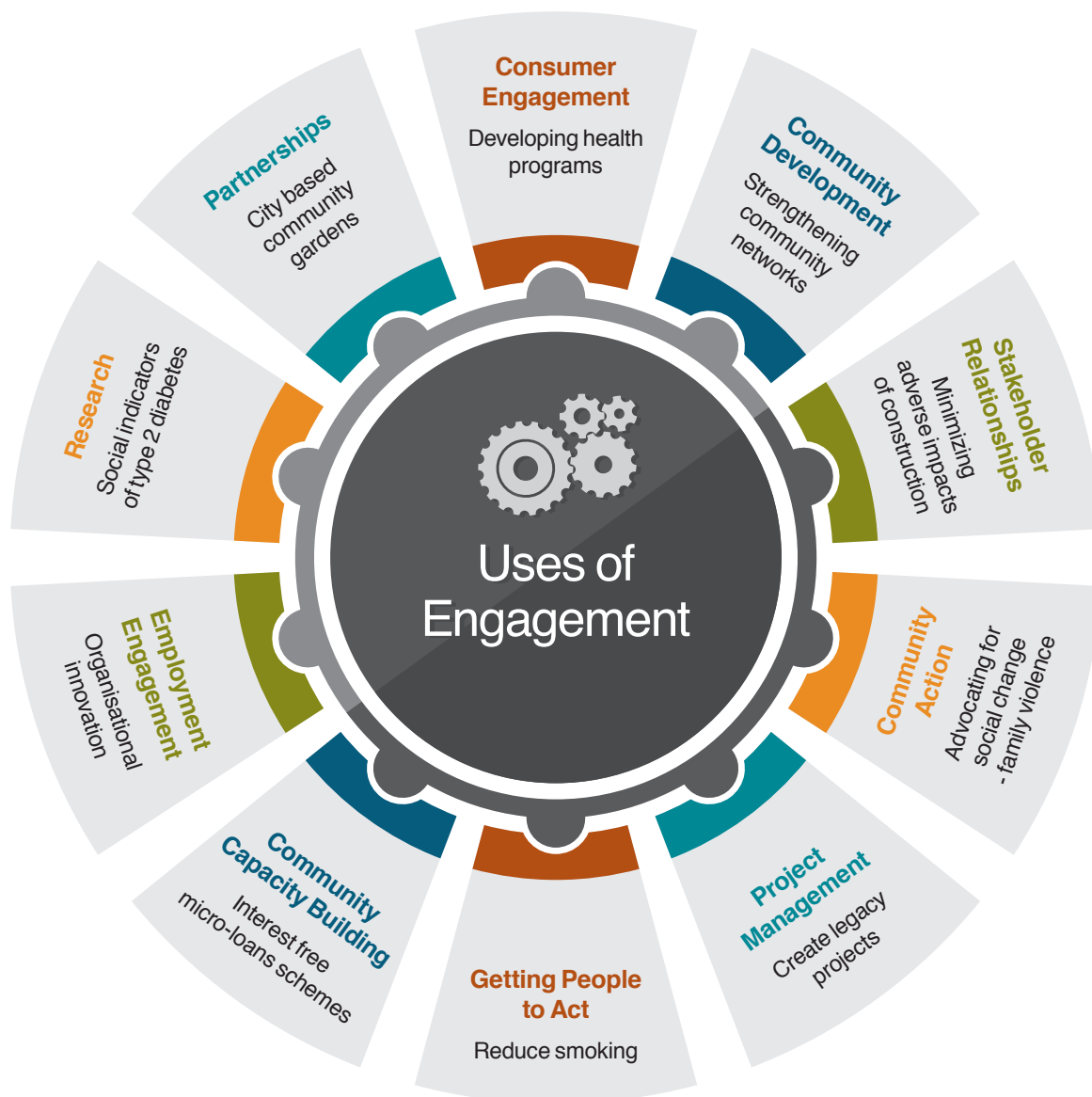
Whatever the use or purpose of the engagement, it is still about decision-making that can be led by the organisation or the community. The decision may be about solving a problem or issue, or it may be to change behaviour or the delivery of a project such as:

- Stopping smoking
- Social and economic infrastructure, and
- Exploring different ways to respond to family violence,
- Homelessness, refugee and migrant impacts and intercultural engagement.

An organisation has lost the sole power to dictate the community and stakeholder engagement agenda.

If there is no possibility for influence over the decision by the community or relevant stakeholders, then we are referring to a communication strategy or traditional marketing strategy, not an engagement strategy.

Figure 1. **Uses of Engagement**





## Community Engagement Model

**Leads/Lead:** Those **primarily responsible** for defining and managing the engagement process, including defining the problem or opportunity to be solved.

**Acts:** Those **primarily responsible** for leading the actions that arise from the decision that is made.

Contemporary engagement dynamics are different from traditional approaches to public participation. The purposes and reasons to engage have expanded. While still decision - and outcome - focused, in the contemporary engagement dynamic, the decisions being made may be those of government, local government, businesses, NGO's, community groups, families and individuals.

The lead points and hosts of community engagement may be government, local government or business, or the engagement leaders may be drawn from within

communities. The balance of roles and responsibility in terms of decision-making and action is therefore more dynamic.

Local governments, community organisations and public agencies make better decisions and have greater impact on their communities when they increase the frequency, diversity, and level of engagement of partner organisations, community residents and consumers.

The five discreet ways in which community engagement can work are shown following.

Figure 2. **Community Engagement Model**



The roles are described following.

<b>Roles</b>	<b>Description</b>
<b>COMMUNITY ADVOCACY</b> Community Leads / Organisation Acts	<p>A community leads to identify, highlight and propose the action required to solve a problem or take an opportunity.</p> <p>To achieve the desired action requires the response of a focal organisation because the community alone cannot achieve the desired result, and therefore advocates to motivate the organisation to act.</p>
<b>COMMUNITY ACT AND CONTRIBUTE</b> Community Leads / Community Acts	<p>Communities can lead the conversation and have responsibility for the action. Communities in a range of areas from - sport and recreation to community well-being, environmental action and education - able to support, design, resource and deliver their own programs, services and activities. Community organisations and NGO's need to engage with community members to gather support, build understanding and commitment to deliver the project.</p>
<b>ORGANISATION IMPLEMENTATION</b> Organisation Leads / Organisation Acts	<p>Organisations lead engagement and seek input to shape the policies, projects and services for which they are responsible. This is a familiar and traditional approach to policy development, project management and service delivery. Engagement is used to both inform the community about the proposed policy, project or propositions, and to provide some input to the shape or execution of the policy, project or proposition. Final decision-making sits with the organisation and its governors and the organisation is responsible for its action.</p>
<b>BEHAVIOUR CHANGE</b> Organisation Leads / Community Acts	<p>Organisations lead the conversation with communities and individuals taking responsibility for action.</p>
<b>SHARED LEADERSHIP AND ACTION</b> Shared Leadership and Action	<p>Leadership and actions can be shared. Communities and organisations participate and contribute to the decisions and also lead and take responsibility for action towards the outcomes.</p> <p>This collaborative arrangement shared decision making, management and responsibility for delivery required to meet shared outcomes.</p>

Key points of contemporary engagement to be noted include:

- Organisations and communities interact to advance key outcomes for both. Many legislative changes need a mix of policy change, enabling or resourcing programs.
- Organisations are not totally responsible for hosting conversations or acting to achieve outcomes.
- Mapping the roles and contributions to achieve an outcome or goal across organisations, partner organisations, community groups and citizens, expands the range of actions that can be taken and resources relationships and responsibilities in the engagement.
- The cost-effective implementation of many policies, programs and services, requires understanding, acceptance and action by citizens. For example, the implementation of legislation for seat belts used by passengers in taxis may need legislation, driver and taxi company understanding, taxi user knowledge and social pressure to support seat belt use and actions for those not complying.
- The profiles are not mutually exclusive. In any project there may be elements of the dynamic of organisation and community roles and contribution. Understanding the roles and contribution of all involved in achieving the purpose, goals and outcomes, helps to shape an appreciation of the people and organisations involved in, or impacted by, the action.

## Benefits of Community and Stakeholder Engagement

Benefits of timely community and stakeholder engagement include:

### **For the community, engagement:**

- allows the community to have a say - a basic democratic right
- helps to build long-term relationships and trust in government
- enables consumers to express their expectations for products, services and policies that are important for them
- demonstrates the organisation's commitment to listening to, and serving, its customers
- can assist in building the capacity and the strengthening of communities
- harnesses the collective power of volunteers to support community-led endeavours.

### **For the organisation or business, engagement:**

- helps to look outwards, Businesses and corporations can no longer rely on the 'inward game' – they need to engage with their employees and their customers in order to innovate and be successful
- offers alternatives. Some problems and opportunities are so complex that we need the community to be part of finding a new way forward
- helps organisations to move beyond a focus on customer complaints to working with people to ensure services meet needs
- builds an organisation's reputation and helps develop or restore trust in communities
- can remove barriers and enhance the decision-making process
- internally, may provide early insight, technical and cultural support to project planning and engagement design.

### **For the project or work-at-hand, engagement:**

- brings more perspectives and expands options for decision making
- can save money in the long run. Good community engagement may require an investment of time and money, but poor engagement can cost a lot more!
- can mitigate or reduce project risk factors.

# Five Essential Steps to Engagement Practice

Effective community and stakeholder engagement practice is reliant upon the following five elements that form the basis or platform for the design of an engagement process. No matter what the purpose of the engagement is, its scale or who may be leading it,

effective consideration of all of these essential elements is necessary. If we miss one or more of these elements the risk is that the community and stakeholder engagement may not have focus, or it may not reach the relevant community and stakeholders.

Figure 3. **The engagement design platform**<sup>1</sup>



<sup>1</sup>Adapted by Amanda Newbery, Michelle Feenan and Anne Pattillo from Bryson et al. (2012)

## Step 1 of the design platform: Understand context

'Context' is the environment that shapes the people and the proposition. It considers the background to the issue, how important it is to the organisation, what needs to happen now, and what has been talked about in relation to the issue so far.

We need to consider that the context is no longer local; it is international, as technology and social media brings everything 'close to home'.

Figure 4. The four factors affecting the 'context'



The engagement context is shaped by the:

### World, national and regional trends

- How have similar projects or communities with similar profiles responded to engagement?
- What has been the response when similar things have been done elsewhere?
- Is there political will?
- What else is happening? Consider the political, social, economic, environmental and technological contexts.
- What media interest is there – what is the agenda?
- What is being talked about on social media?

### Community factors

- What is the context and history of the community?
- What is the relationship between the community and the organisation?
- What is being talked about? Did they know you were coming?
- What is the level of awareness and knowledge? How ready are they?
- How important is this to the community?

### Organisational factors

- How important is the engagement to the organisation?
- What is the policy or approach to engagement?
- Where did this proposition come from – what happened before?
- What triggered this proposition? Why now?
- How important is the project to the organisation?
- Have we tried other approaches? What happened?

### Personal factors

- What is the approach and priorities of the key leaders and decision makers?
- Who are the key personnel?
- What is important to them and why?
- Do they feel confident and competent in working on the issue or project?



## Step 2 of the design platform: Scope the project

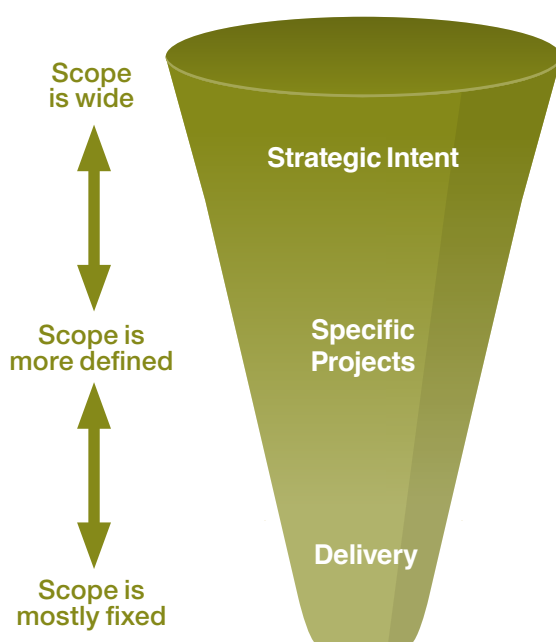
In the contemporary model of engagement, being clear about the scope of the decision or project is the primary concern for an organisation, because its strategic intent is formed by gathering perspectives of others and being inclusive and comprehensive. Where the engagement is being led by the community, the organisation will need to ensure how a fair assessment of its role can be determined.

When we think in theoretical terms about the life of a project and how organisations do the things they do, they might move:

- from strategic intent, where all options are open
- to specific projects, where one issue is decided and engagement is focused on that issue
- to delivery, where they engage through a range of programs and activities.

In reality, there are rarely three distinct phases. Clarifying the scope of a project can be depicted as a 'funnel' where, at any point you need to ask questions. This is shown in the following diagram.

Figure 5. Defining the scope of the project



If we always have engagement at the heart of how we do business, then it is important to think about *when* - in the life of the project - we will engage, *what* we engage on, and *how* we should do that.

A point to note about timing: if we engage the community and stakeholders at the operational end, we have fewer options and the community may feel that they have to be 'loud and extreme' to express their view. Engaging earlier - at the strategic point in the life of the project - provides us with much more room to move and the opportunity for the community and stakeholders to give shape and life to the project or problem.

Where the engagement is being led by the community, the organisation will need to ensure how a fair assessment of its role can be determined.



## What is negotiable and non-negotiable?

In most decisions or projects there are some elements that cannot be debated or influenced by stakeholders. This may be due to budget, viability, safety or legislative requirements.

These elements are what we call the 'non-negotiables', and it is vital that these are communicated upfront to stakeholders together with the reason why they are 'off the table' for discussion. Our role as community engagement practitioners is to focus stakeholders' attention on the aspects of the decision or project they can influence in some way – the 'negotiables'.

Scoping a decision or project to clearly identify the negotiables and non-negotiables provides all stakeholders with certainty about their role in a process; it enables transparency of the process, is inclusive and assists in setting realistic expectations.

It will be important to have established criteria to assess options that are explored and support an effective decision-making process. Similarly it will be useful to have some

understanding of the expectations of the decision makers when planning the engagement process.

Some considerations include:

- Clarify the roles of decision makers, and when and how they will make decisions
- Consider if there are other external decision makers involved
- Identify who else may make operational decisions or recommendations to decisions makers throughout the community engagement process
- Clarify the expectations of internal stakeholders, decision makers, and key external stakeholders.

Finally, an understanding of how the work is going to get done, or asking if there is an existing project plan that will guide the engagement *sequence* (the logical order in which the engagement activities might flow) is important.

Our role as community engagement practitioners is to focus stakeholders' attention on the aspects of the decision or project they can influence in some way – the 'negotiables'.

## Scoping Statements

In engagement practice it is important to develop a scoping statement that articulates the essence of the project or workpiece and helps frame what the community and stakeholders are contributing to. Scoping statements provide clarity to the community and the project team about what they're engaging about and set clear expectations.

Scoping statements are then used whenever the project or workpiece is referenced and/or written about. They appear in most of the communication collateral that are used and so need to be a succinct representation of a wider brief or project description. Internally, a scoping statement helps project teams to have a clear focus on the breadth and scale of the engagement.

The scoping statement reflects three elements:

1. A clear focus of the workpiece
2. The context in which the work is happening
3. They reflect any limits or parameters that sit with the work outcomes. These often reflect the non-negotiables.

When thinking about the scope of the project, we can fall into the trap of only referring to the 'topic' of the work and not the specific elements that community and stakeholder can have input and influence.

For example, a state government introduced new legislation that domestic cats needed to be registered and that local governments would administer the legislation. The topic was cat registrations but the scope of the work that relates to the engagement opportunity was about how to administer cat registrations for local governments. This latter statement then calls up the notion of engaging on what fees to charge, how many cats should be on any property, what should happen when cats were discovered wandering off their property and what different provisions need to be made for cat breeders?

### What questions could we ask to get a deeper understanding of the scope of the project or decision?

- What is the last thing you decided about this matter?
- What's the next thing that will happen after this?
- What are the things you cannot change?
- What are the things that the community and stakeholders can influence and shape?
- How do the community and stakeholders describe this proposition?
- What are things that define the scope of possible solutions?
- What are the trade-offs that you may be comfortable with?
- Are there limits in time and money/resources about solutions to the proposition?

Scoping statements provide clarity to the community and the project team.



## Step 3 of the design platform: Understand people

An effective community and stakeholder engagement process needs to identify and involve all the relevant people, whether they are members of the public, consumers, employees or key stakeholders.

Successful analysis requires more than just a list - it requires taking time to develop a deeper understanding of the stakeholders and their role, aspirations and links to the project or work to be done.

How do we describe, identify, map or analyse the groups of people who need to be or who are involved in the engagement? There are many models of community mapping or stakeholder analysis that could be used, and a few that are relevant are outlined in this section.

### Stakeholder Identification

Criteria and questions to help you identify relevant stakeholders include:

- **Impact:** Who will be impacted by the outcome of the project?
- **Interest:**
  - who would be interested based on past experience?
  - who is talking about the topic of similar projects elsewhere?
  - what is the media covering?
  - what are the positions of stakeholders, advocacy groups and public officials?
- **Diversity:** Review your community's demographic profile to identify whether or not you are reaching a diverse enough audience.
- **Access:**
  - who is typically hard to reach?
  - who is missing from your conversations?

Note: differentiate between reach (and access).
- **Frequency:**
  - who is talking often, and not very much?

Review past engagements including comment registers, attendance registers, etc.

Once you have identified the range of stakeholders, the process of analysis commences.

### Stakeholder Analysis

Once the community and stakeholders are identified, then the task is to build an understanding of:

- The motivations that drive the people about this project or issue
- Their interests and concerns
- The likely impact of the proposition
- Media and social media use in the organisations
- Community activities and focus
- Preferred methods by stakeholders
- Communication channels (available or preferred)

### Community and Stakeholder Values

Values are principles or standards by which we judge what is good, bad, right, wrong, fair, unfair or what is important in life.

- What is motivating and driving the people?
- How do they see themselves in relation to the issue, project or work at hand?
- Are they connected already and therefore activated and 'ready' for the engagement processes or is there little connection and we need to consider activating the people or some of them in order to carry out the engagement processes?

Understanding the motivating factors or drivers for the people who are engaged, or need to become engaged, is a fundamental element in understanding their interest and values. As individuals, our values govern the way we think things "ought to be." Values are highly personal and, likewise, the community operates according to its values and priorities.

Sustainable decisions about policy and future strategy, complex problems and challenging propositions often result from successfully considering diverse values. Community and stakeholder engagement promotes a comprehensive and considered process for discussions of diverse values among the various communities, stakeholders and decision makers.

## How are values identified?

Community values are identified by researching and analysing these questions as related to the problem or opportunity to be addressed:

1. Who is the 'community of interest'? What values do they share?
2. What does the community care about?
3. What underlying values form the basis of these concerns?

The community is obviously not one homogeneous group. It consists of individuals, organisations or political entities with a stake in the outcome of any project, proposition or problem. They may be, or perceive that they may be, affected directly or indirectly by the outcome of the project or proposition. Internal stakeholders will also hold values about the project and proposition and expect to be able to contribute to the engagement process.

Examples of values that may be important to the community and to the engagement leader are:

- Democratic values
- Integrity
- Honesty and openness
- Environmental values
- Professionalism
- Fairness
- Equity
- Aesthetic values
- Economic vitality
- Natural justice
- Public health and safety
- Faith - based
- Different ethnic groups, and
- Urban / rural values.

The more questions you ask and factors you consider, the more complications develop and, ultimately, the richer your understanding of key stakeholders will become. Questions to help gain a better understanding include:

- Who is most passionate about the issue or project?
- How much influence do they have?
- How much power (formal or informal) do they have?
- What are the things that are important to them?
- From where they stand – how does this situation look?
- What is the relationship between us and these people?
- Who is driving this?
- Who are the leaders in the community?
- What is their track record of participation?
- Have they already told us what they think?
- What is their willingness to change?
- Do they perceive a benefit for them and the wider community?

Once you have identified the key stakeholders, the next step is to analyse each stakeholder.





## Three Models for Stakeholder Analysis

Once the stakeholders have been identified, we need to deepen our knowledge about the motivations and interests of stakeholders so that we focus our projects, and our efforts, effectively. Three models are now examined:

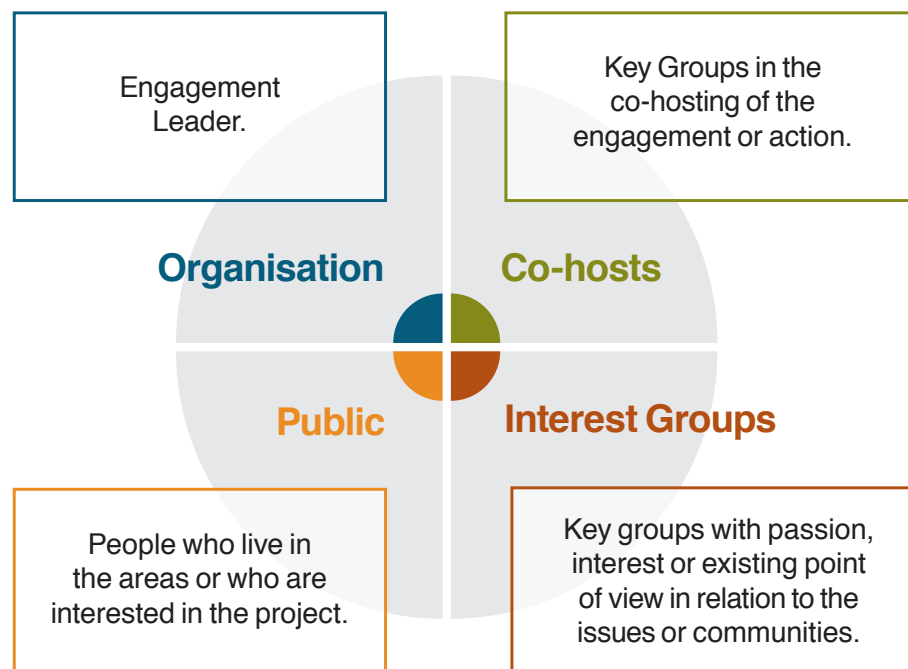
- Model 1.** Stakeholder Mapping
- Model 2.** Orbits of Participation
- Model 3.** Stakeholder Analysis Matrix

### Model 1: Stakeholder Mapping

When thinking about the diversity of groups, individuals and stakeholders, it is useful to assess the roles they play. Consider the following model:

- which of these sectors do you mostly engage with?
- who is hard to reach in each sector?

Figure 6. Stakeholder mapping



## Model 2: Orbits of Public Participation

When thinking about the diversity of groups, individuals and stakeholders, it is useful to assess their level of interest in a particular issue, problem or project, influenced by their perception of the impact of the issue, problem or project on their lives. Generally, the greater the perceived impact, the greater their level of interest.

This effect is shown in the model adapted from US management consultant, Lorenz Aggens<sup>1</sup>.

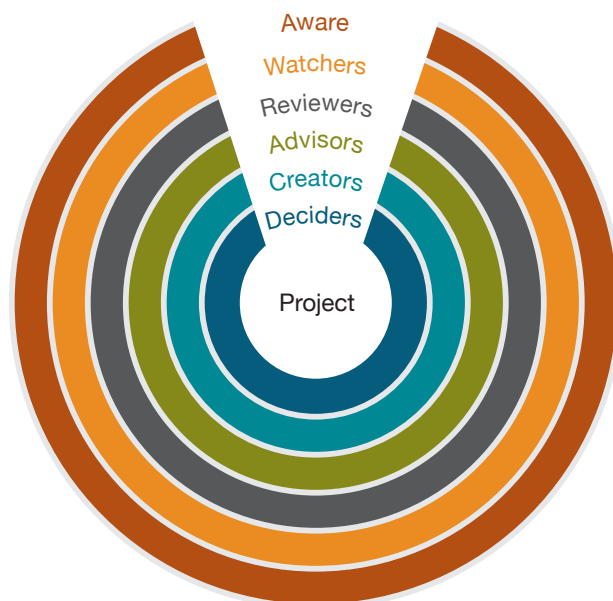
This model can be used to map stakeholders in terms of levels of interest and nature of participation and engagement, because it depicts graduating levels of interest in proximity to the decision or problem. This model has two key contributions to our practice:

1. it has prompted practitioners to consider how distance from the more intense decision and interest level can affect participation in engagement opportunities, and the need for a range of engagement and communication methods that inspire relevance and hook interest.
2. it helps to visualize the need for opportunities for the public to be engaged at varying degrees – and by different methods – in different steps of the process.

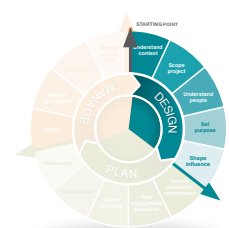
Some people may be willing to work collaboratively with you but others just want to give input or be informed. People and organisations may move from one orbit to another throughout the life of the project as their interest, awareness, availability and priorities change.

The nature of interest in each orbit is explained in the following table.

Figure 7. Aggens' Orbits of Public Participation 



Some people may be willing to work collaboratively with you but others just want to give input or be informed.



<sup>1</sup> Aggens, L.: Involve PL Wilmette Illinois USA.

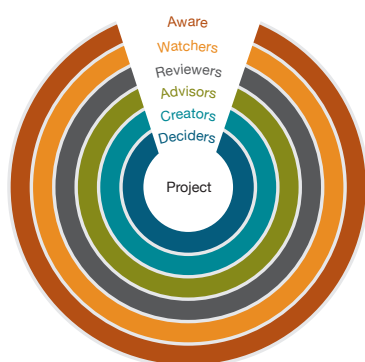


Figure 8. **Orbits of Public Participation**

Note: the level of interest is not fixed. The level of interest of an individual or group can move depending on the progress of the project, the reaction of a community or the effectiveness of the engagement.

#### ● Orbit: **Deciders**

The level of passion for these individuals or groups is such that they not only wish to shape the process or outcome but are also willing to make the decision or take the action required as they see it. The participants are often directly affected by the decision of the project, or very concerned or excited by the potential outcome.

#### ● Orbit: **Creators**

There are some people for whom the subject in which participation is sought is so important that their orbit of involvement goes beyond giving advice on the product under development. For them, interest and knowledge make their direct involvement in the creation of ideas and proposals a reality.

#### ● Orbit: **Advisors**

The advisor is active in the development stages of a project or engagement through the provision of advice and links or suggestions about how to engage or how the problem or opportunity may be progressed. The advisor is active, but at a distance.

#### ● Orbit: **Reviewers**

A reviewer is more active than a watcher in keeping an overview or insight to the progress of the project or the engagement. A reviewer will be more likely to engage actively when the proposal is developed and they can respond based on a clear set of options. The options for responding at this stage need to provide a range of methods for a quick overview response, such as a poll or short survey, to provide full submissions and comment.

#### ● Orbit: **Watchers**

The host of the engagement may not know these participants, but the watcher will 'know' the host. In this orbit participants will use websites, social media and other media outlets and personal relationships to maintain a watching brief on the activity of the project and the engagement. Informed observers are often influential in shaping the opinions and confidence of communities about the engagement approach.

#### ● Orbit: **Aware**

The outer-most orbit consists of people who are aware but not active. Awareness is the baseline engagement requirement for this orbit. People need to be aware of the project - perhaps not in detail - and also aware of opportunities to participate. Opportunities that enable participation and don't present an unreasonable barrier to participation. Transparency, accessibility and integrity of communication are fundamental to this orbit.

### Model 3: Stakeholder Analysis Matrix

The matrix allows you to synthesize a range of criteria so that stakeholders can be engaged appropriately, efficiently and effectively.

#### Stakeholder Analysis Matrix

Stakeholder Group	Role/ Connection	Benefits of Involvement	Level of Interest	Level of Influence	Level of Impact
Individuals, sectors or known groups E.g.: <ul style="list-style-type: none"> <li>■ Chamber of Commerce</li> <li>■ Community organisations</li> <li>■ Young people</li> <li>■ Media.</li> </ul>	The stakeholders' role and their connection to the project or proposition. What expectation does the stakeholder group have of the organisation in relation to participation, information and involvement in the project? E.g.: <ul style="list-style-type: none"> <li>■ To be kept informed on the overall progress of the project.</li> <li>■ To be involved in providing input on relevant operating issues.</li> </ul>	What the stakeholder group can bring to the project that is of benefit. E.g.: <ul style="list-style-type: none"> <li>■ To provide feedback on operational aspects of the facility.</li> <li>■ To assist in planning appropriate programs.</li> <li>■ To assist in providing clarification on issues.</li> </ul>	What level of interest does the stakeholder group have on the final outcomes? E.g.: <ul style="list-style-type: none"> <li>■ Significant level of interest.</li> </ul>	What level of influence will the stakeholder group have on the final outcomes? E.g.: <ul style="list-style-type: none"> <li>■ IAP2 Spectrum (inform, consult, involve, collaborate, empower).</li> </ul>	The level of impact that the issue, project or proposition, will have on the stakeholder group. E.g.: <ul style="list-style-type: none"> <li>■ Significant impact.</li> <li>■ Moderate impact.</li> </ul>
Stakeholder Group 1					
Stakeholder Group 2					

## Step 4 of the design platform: Purpose of the engagement

The purpose of the engagement describes what we are trying to achieve by the involvement of the stakeholders and the broader community in the delivery of the project or the making of the decision. It offers the rationale of how the engagement of the community and stakeholders specifically relates to the project or decision in an integrated way.

**Scope** Focuses on clarity of the project or work to be done

**Purpose** Focuses on why you would involve stakeholders and community in contributing to the project or work

There needs to be a specific purpose and engagement goal that links the outcomes of the engagement processes, the process of decision making or project delivery. This may be to:

- inform the community about the project and processes to engage
- meet legal obligations to engage the community
- understand the reactions and implications of proposition
- generate some options and new ideas in relation to a problem or opportunity
- improve or renew a policy, strategy or plans
- develop relationships to support further engagement or partnerships
- build community capacity and capability building
- generate support for action
- encourage behaviour change
- develop a social licence to operate
- develop community resilience
- identify and understand a problem or opportunity to address
- contribute directly to the decision-making process.

In other words, the purpose and goals of the engagement describe:

- Why you need to involve internal and external stakeholders
- What you are seeking from them
- What internal and external stakeholders may be seeking from the project team.

The engagement purpose becomes an important reference when planning and implementing the evaluation activities.

When you are setting goals for your engagement activity, keep the following questions in mind, because it is these questions that will shape your evaluation activities. The answers to these questions will go into your evaluation report on the project.

- Are you gathering information only? Is the project location - or interest - specific?
- What needs have you identified?
- How will you obtain feedback on the proposed activity?
- How will you validate your findings and/or the raw data sets?
- Where will you go for guidance and direction, e.g. comments on a draft of your report?
- What strategies will you use for generating ideas (during the engagement project)?
- How will you partner with the community to achieve the goals of the engagement project?
- What location-specific information is integral to the success of the engagement project?
- How will you obtain feedback on the engagement project?

The following questions will assist you to develop a statement of purpose.



## Engagement Purpose and Goals

Why do you need to involve internal stakeholders?	
Why do you need to involve external stakeholders?	
What are you seeking from them?	
What are the internal stakeholders expecting from the engagement process?	
What are the external stakeholders expecting from the engagement process?	

**ENGAGEMENT PURPOSE:**

**ENGAGEMENT GOALS:**



## Step 5 of the design platform: Shape influence

In the community engagement model, the consideration of the context of the situation, the scope of the decision or project, the people who are impacted or passionate about the issue and the clear purpose of engagement that is needed, helps to shape what is appropriate in terms of the community and stakeholders' role in relation to the work and how much influence they will have on the outcome.

The combination of context, scope, people and purpose will help shape the nature of the relationship between the organisation and the community in the engagement experience. It is the culminating segment of the design platform and should be reviewed if elements change, i.e. if the context changes, or if our engagement goals alter, then this can have an impact on how we are influenced by the stakeholders, community and the organisation is shaped.

Importantly, it is this combination of elements that will guide what role we, as engagement practitioners, might have in the engagement context.

The roles for the organisation and community are different:

- Where the organisation is leading the engagement, early planning and consideration of how the community and stakeholders are already activated (or not) about the issue or project is important.
- Where the community is leading the engagement, then the dilemma for the organisation is to consider what role it should take in the engagement process – whether to support the leaders and provide additional resources, or to consider the organisational position in relation to the issue or effort being pursued.

Further, the roles undertaken by of the community, stakeholders and the organisation will be different for different purposes, such as to:

- provide feedback on a proposition
- contribute ideas and help shape the solutions, or
- partner with the project sponsor to jointly address the problem or opportunity.

The Orbits of Participation model guides us to consider how much influence the community and stakeholders expect to have on the decision or project depending on where they see themselves in relation to the impact of the issue or project. As engagement practitioners, we need to assist community stakeholders to understand which aspects of the decision they can influence (the negotiables) and which they cannot (the non-negotiables).

Where a community is leading the engagement process, other considerations for the organisation might be:

- Are they likely to initiate their own engagement processes in order to gather support for their ideas and concerns?
- What if the community has already led some engagement activities and your organisation is in a reactive mode, determining how to engage given this level of passion and activation?

How does the organisation determine how much:

- say the community or communities of interest should have on the matter being considered?
- influence they should have?
- how should power be distributed?

A number of writers have developed different ways of articulating this balance of power between organisation and community or distinct levels of influence. Three models are now outlined.

## Differing models to shape influence

Three models outlined are below:

### Model of influence 1.

'Ladders of Citizen Participation'

### Model of influence 2.

IAP2's Spectrum of Public Participation

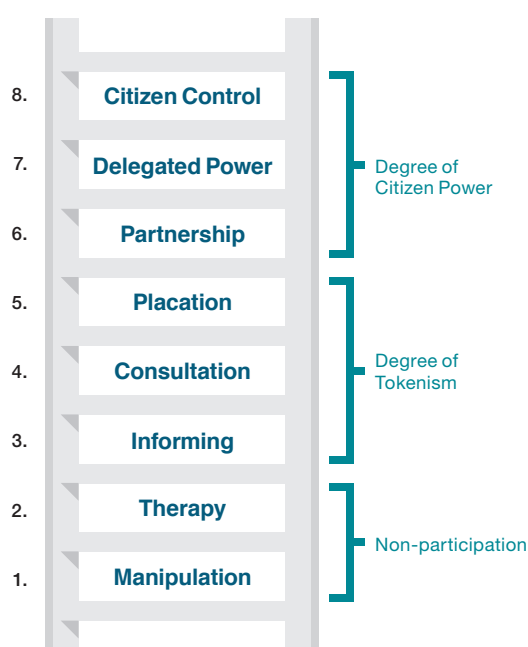
### Model of influence 3.

Wilcox's 'Framework for Participation'

### Model of Influence 1: 'Ladder of Citizen Participation'

Sherry Arnstein wrote about her observations of citizen involvement in planning processes in the United States in 1969 (A Ladder of Citizen Participation)<sup>1</sup>. She described a ladder of participation with eight steps from 'Manipulation' to 'Citizen Control', as shown following.

Figure 9. Arnstein's Ladder of Citizen Participation

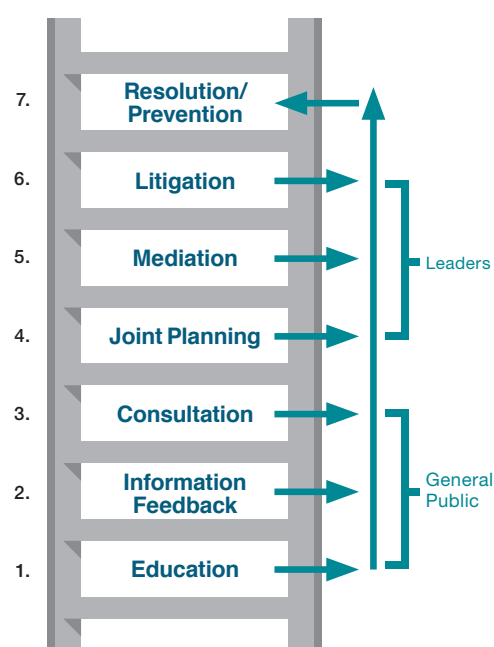


Arnstein's ladder analogy and, more importantly, typology of degrees of participation, has been influential in social sciences.

Desmond Connor developed a new 'ladder' in his 1998 article 'A New Ladder of Citizen Participation', describing it as a 'systematic approach to preventing and resolving public controversy about specific policies, programs and projects whether in urban, suburban or rural settings and whether governmental or private sector in sponsorship'.

Connor's 'ladder', shown following, starts with 'Education' and progresses to 'Resolution/Prevention' at the top and focuses mostly on conflict resolution processes than distribution or balance of power, as Arnstein's is argued to do.

Figure 10. Connor's New Ladder of Citizen Participation



<sup>2</sup> Sharon Arnstein: <http://www.participatorymethods.org/sites/participatorymethods.org/files/Arnstein%20ladder%201969.pdf>

## Model of influence 2: IAP2 Spectrum of Public Participation

The IAP2 Spectrum of Public Participation depicts five levels of increasing influence that the public can have on an outcome or decision. From the first, low-intensity level of 'Inform' to the highest level of engagement termed 'Empower', the Spectrum proposes goals and

deliverables for each level. Its language helps discern the level of influence that differing 'communities of interest' may have on the project or decision. However, it does not define the nature of the relationship between the organisation and the community nor consider the context of community led engagement.

The model is shown following.

Figure 11. IAP2 Spectrum of Public Participation

### Increasing impact on the decision

	Inform	Consult	Involve	Collaborate	Empower
Public Participation Goal	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
Promise to the Public	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

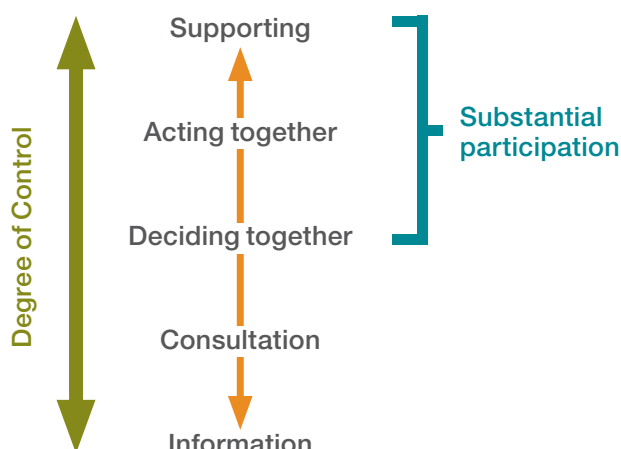
### Model of influence 3: Wilcox's Framework for Participation

David Wilcox developed a 'Framework for Participation' that builds on Arnstein's original ladder, simplifies it and then considers two other dimensions to the concept of 'level of participation':

- The phase or stage of participation.
- Different interests – or stakeholders – may be at different levels or stages of participation.

The model follows.

Figure 12. Wilcox's Framework



Wilcox's model includes the concept of community-led engagement and reflects on the nature of the relationships between organisation and community as well as differing degrees of control by the parties.

Wilcox states that the different levels are not hierarchical; there are different levels to suit different circumstances:

- **Information** – the least you can do is tell people what is planned.
- **Consultation** – you offer a number of options and listen to the feedback you get.
- **Deciding together** – you encourage others to provide some additional ideas and options, and join in deciding the best way forward.
- **Acting together** – not only do different interests decide together what is best, but they form a partnership to carry it out.
- **Supporting independent community initiatives** – you help others do what they want – perhaps within a framework of grants, advice and support provided by the resource holder.

Wilcox's model includes the concept of community-led engagement and reflects on the nature of the relationships between organisation and community as well as differing degrees of control by the parties. No matter what model of influence is best suited to your own circumstances, what is important is having a frame of reference that describes the level of influence and nature of the relationship between the organisation and the community.

Reflect on those situations that you have worked with:

- Where has there been activation by the community or opportunities for activation?
- What is important with the relationship between the organisation and the community?
- How is this relationship changing or need to change as the situation changes and evolves?
- What is important in terms of timing of the engagement activities?



# IAP2 Quality Assurance Standard

IAP2's Standard is intended for application by all who lead community and stakeholder engagement processes. The Standard has adopted the IAP2 Core Values as the principles upon which to define quality throughout the process of community and stakeholder engagement.

The purpose of the Standard is to assess the quality of engagement projects and is available at IAP2 Australasia:

Figure 13. IAP2's Quality Assurance Standard

1	Problem Definition
2	Agreement of Purpose/Context and Identification of Negotiables and Non-negotiables
3	Level of Participation
4	Stakeholder Identification and Relationship Development
5	Project Requirements
6	Development and Approval of Engagement Plan
7	Execution of Engagement Plan
8	Feedback
9	Evaluation and Review
10	Monitoring
11	Documentation of Evidence

## Objectives

The objectives of IAP2's Quality Assurance Standard are to:

- better assure the quality of engagement and engagement audit services
- improve confidence and certainty in the process of community and stakeholder engagement both for users and clients of the engagement practice.
- to regulate practitioner activity by standardizing the process of community and stakeholder engagement
- "authorise" practitioners to undertake community and stakeholder engagement in accordance with the agreed process
- support career, education and practice pathways to enhance professionalism in community and stakeholder engagement
- validate engagement activity by defining and measuring (rating) a quality public participation process.

...better assure the quality of engagement and engagement audit services



# Reflections

Take a few moments to reflect on the day's learning, activities and sharing of stories.

Write responses to the following prompts:

What's your view about...	Your responses...
How does engagement fit with your role?	<hr/> <hr/> <hr/> <hr/> <hr/>
What might you do differently as a result of the learning from this course?	<hr/> <hr/> <hr/> <hr/> <hr/>
What supports and resources do you have to assist in embedding this into your practice?	<hr/> <hr/> <hr/> <hr/> <hr/>
As a result of what has been covered, what else do you need to learn to enhance your practice for engaging?	<hr/> <hr/> <hr/> <hr/> <hr/>

### Template 1. Stakeholder Analysis Matrix

Stakeholder Group	Role/ Connection	Benefits of Involvement	Level of Interest	Level of Influence	Level of Impact
<p>Individuals, sectors or known groups</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>Chamber of Commerce</li> <li>Community organisations</li> <li>Young people</li> <li>Media.</li> </ul>	<p>The stakeholders' role and their connection to the project or proposition.</p> <p>What expectation does the stakeholder group have of the organisation in relation to participation, information and involvement in the project?</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>To be kept informed on the overall progress of the project.</li> <li>To be involved in providing input on relevant operating issues.</li> </ul>	<p>What the stakeholder group can bring to the project that is of benefit.</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>To provide feedback on operational aspects of the facility.</li> <li>To assist in planning appropriate programs.</li> <li>To assist in providing clarification on issues.</li> </ul>	<p>What level of interest does the stakeholder group have on the final outcomes?</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>Significant level of interest.</li> </ul>	<p>What level of influence will the stakeholder group have on the final outcomes?</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>IAP2 Spectrum (inform, consult, involve, collaborate, empower).</li> </ul>	<p>The level of impact that the issue, project or proposition, will have on the stakeholder group.</p> <p>E.g.:</p> <ul style="list-style-type: none"> <li>Significant impact.</li> <li>Moderate impact.</li> </ul>
Stakeholder Group 1					
Stakeholder Group 2					

## Template 2. Engagement Purpose and Goals

Why do you need to involve internal stakeholders?	
Why do you need to involve external stakeholders?	
What are you seeking from them?	
What are the internal stakeholders expecting from the engagement process?	
What are the external stakeholders expecting from the engagement process?	

**ENGAGEMENT PURPOSE:**

**ENGAGEMENT GOALS:**

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Covey, S (1989): The 7 Habits of Highly Effective People. FranklinCovey

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Arnstein, S (1969): A Ladder of Citizen Participation. *Journal of American Planning*, Volume 35 No 4 pp 216-224  
Connor, D (1988): A New Ladder of Citizen Participation. *National Civic Review*, 77, 249-257  
Moynihan, D (Ed); Bryson, J and Quick, K (2012): Designing Public Participation Processes Theory to Practice, *Public Administration Review* 73 (1) 23-34  
Wilcox, D (2014): Framework for Participation. [www.partnerships.org.uk](http://www.partnerships.org.uk)

### Professional journals

Journal of Public Deliberation: <https://www.publicdeliberation.net/jpd>  
National Coalition for Dialogue and Deliberation: <https://ncc.org>

### Resources

IAP2 Quality Assurance Standard for Community and Stakeholder Engagement (2015):  
<https://www.iap2.org.au/documents/item/391>  
Victoria Auditor General's Office (2015): Public Participation in Government Decision Making – Better Practice Guide (2015):  
<https://www.audit.vic.gov.au/better-practice-guides>  
<https://participedia.net: database/toolkit with methods>

### Organisations

International Association for Public Participation (IAP2) Federation, USA <https://www.iap2.org>  
Involve UK: [www.involve.org.uk](http://www.involve.org.uk) (community think tank/charity)