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Technical Assistance Consultant's Report

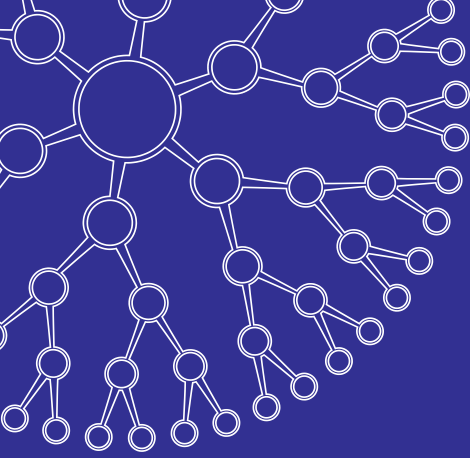## TA 7566-REG: Strengthening and Use of Country Safeguard Systems

Subproject: Preparation of Draft Sub-Decree on Informal Settlers (Cambodia)

CERTIFICATE IN ENGAGEMENT TRAINING MODULE: ENGAGEMENT ESSENTIALS

Prepared by International Association for Public Participation–Australasia

Asian Development Bank

Certificate in Engagement

Engagement Essentials

international association
for public participation
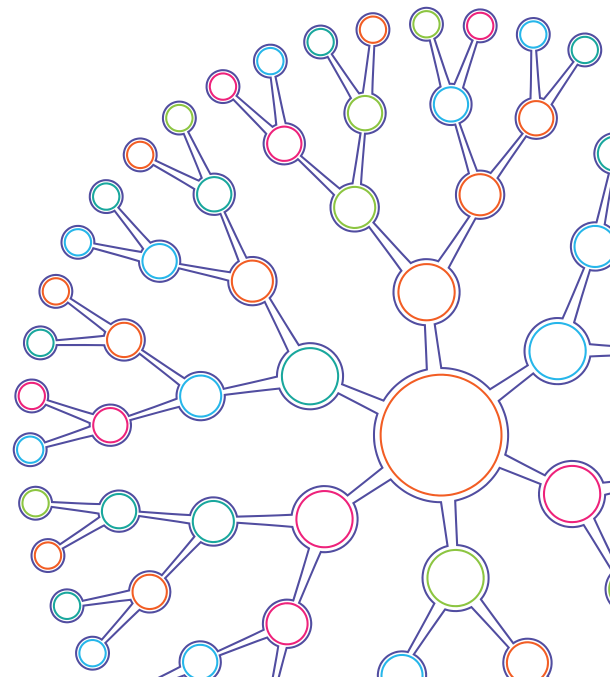
IAP2 Australasia

The International Association for Public Participation (IAP2) is an international federation of member affiliates, which 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 throughout the world.
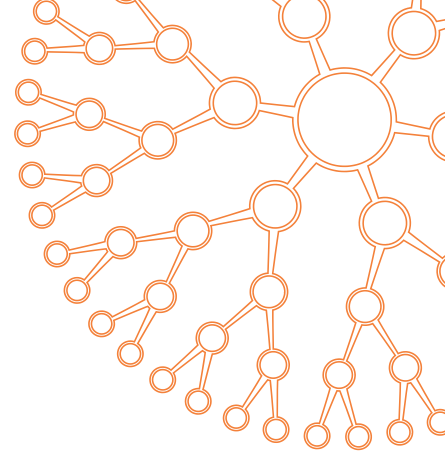
IAP2 Australasia is the affiliate for Australia and New Zealand, and is the leading public participation association in the region.

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 Core Values

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.
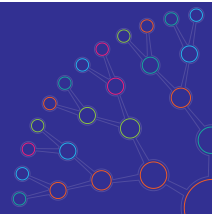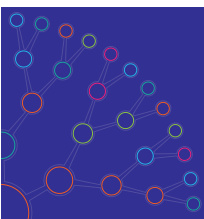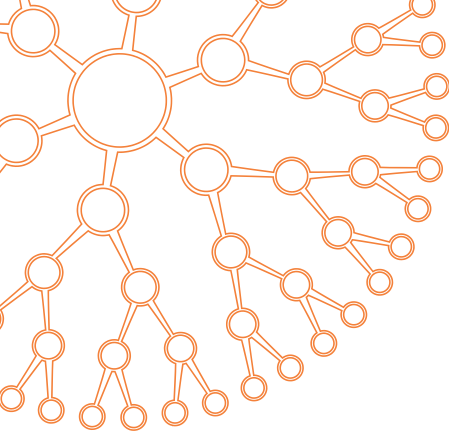
IAP2 Australasia Certificate in Engagement

The Australasian Affiliate of IAP2 has developed training to achieve a Certificate in Engagement which comprises five days training. To complete the Certificate you can choose from:

- **One-day prerequisite:**
  Engagement Essentials

- **Two-day module:**
  Either Engagement Design OR Engagement Methods

- **Two additional days.**
  These two days can be comprised of either:
  - Engagement Design OR
    Engagement Methods
  - A one-day module provided by IAP2 Australasia, which is approved to contribute towards the Certificate. Modules will evolve over time, but include Internal Engagement; Online Engagement; Conflict in Engagement; Engagement Facilitation; Engagement Evaluation.

IAP2 Australasia also offers further professional development for practitioners including masterclasses and an annual conference or leadership forum as well as networking events around both Australia and New Zealand.

IAP2 Australasia owns the copyright for this module, the participants' manual, trainer's manual, and PowerPoint slides.
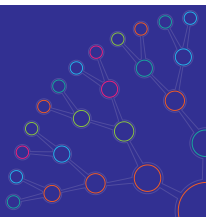
Module Content

1. Module Objectives

This prerequisite module forms part of the IAP2 Australasia Certificate in Engagement. It sets out the fundamental concepts upon which to design and implement successful community and stakeholder engagement practices.

The module introduces a contemporary model of community and stakeholder engagement that recognises engagement activities may be led by either the organisation or the community and that the purpose of these initiatives are related to decision making either by the community or the organisations or both.
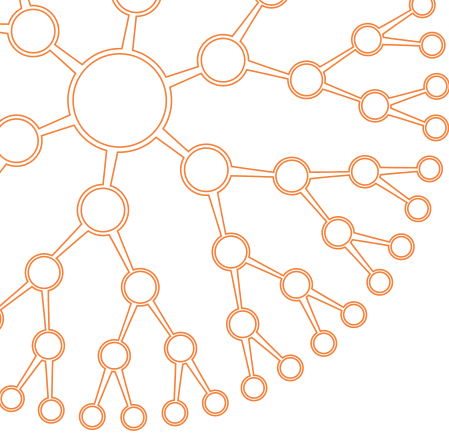
By the end of this module, participants will be able to:

- Describe what a contemporary model of community engagement looks like in an Australasian context
- Demonstrate understanding of the different purposes of engagement
- Develop an understanding of why, when and in what way to engage and what is successful engagement (community and organisational dynamics)
- Assess the community and stakeholder factors that shape engagement
- Assess the core elements for effective engagement – context, people, scope, purpose and influence
- Identify what is on the horizon with contemporary and emerging engagement practice eg. participatory budgeting or 'gamification'
- Identify their role in engagement and their learning needs.

The participant experience objectives are:

1. To understand the contemporary model for community and stakeholder engagement, the essential elements of successful engagement processes and to experience a combination of theory and application of the core elements of a successful community engagement process.

2. To experience a reflection of their role in community engagement practice and their future learning needs.
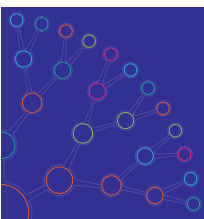
The role of the engagement practitioner

In Australasia the practice of community and stakeholder engagement is constantly evolving; being shaped by global and local influences and events, changing democratic practices and creative minds.

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

- May have engagement practice as a significant part of their role;
- May have very 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:

1. Design the engagement program
2. Design the engagement method
3. Develop engagement materials
4. Facilitate the engagement method
5. Participate in the engagement method (including recording, analysing and evaluating the method).

Whatever the nature of your role, the Engagement Essentials module provides a framework to understand what community and stakeholder engagement is, as well as the fundamental elements that need to be considered in order to plan, design, facilitate and implement engagement processes successfully.

2. Drivers of Contemporary Engagement

The first notice and comment legislation was 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.

Seven drivers

There are seven key drivers of contemporary engagement practice:

1. The **level of connectedness** that exists in communities and that is partially driven by social media and changes in media behaviour. There is an increased visibility of organisations' practice and approach - there is no 'back yard' anymore 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
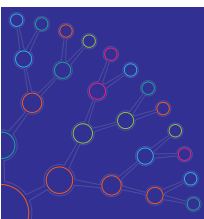
thing and then actually doing it is much greater than before.

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**'. Essentially the solution to 'wicked problems' 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 incident of road traffic crashes, eliminating workplace injury and preventing family violence.

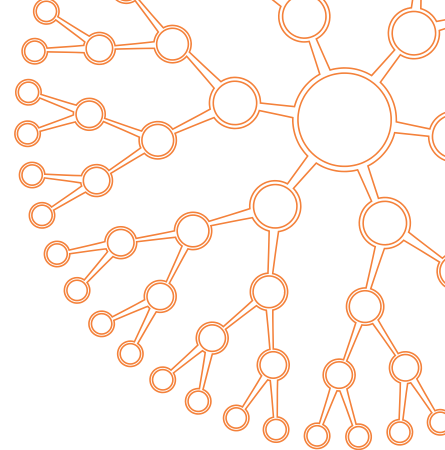6. Commercial pressure to **innovate**, create new products and services or reinvigorate existing services has led to the creation of more engaging product and service design-led business practice. Core to the design-led approach is engaging customers and key internal staff in the design of new policies, 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 respond 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 friends, 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.

3. Engagement Definition

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. The entity may be a government or local government agency, not-for-profit or community organisation or a company.

The word 'community' defines 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, 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.

Community engagement is a planned 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.

The defining elements of community engagement include:

- Purposeful
- 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.
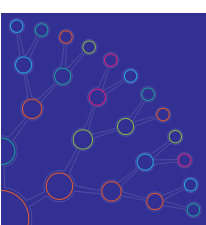
4. The Many Uses of Engagement

In a changing world of community and stakeholder engagement there are many uses for this practice. The uses of engagement have expanded from government agencies engaging citizens and communities about policy proposals and government activities to a broader range of purposes and uses. 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.

These changes have occurred because the focus point of influence for people across all levels, governments, companies, local councils, community organisation, NGO's, individuals and families.

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 with 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, 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 what is the intent of involving the community and stakeholders and the differing contexts in which that may occur. As can be seen in the diagram on the next page there are different types of work that we may be involved in that can benefit from community and stakeholder engagement.

The Many Uses of Engagement

Developing health programs

Consumer Engagement

Community Development

Strengthening community networks

City based community gardens

Partnerships

Social indicators of type 2 diabetes

Research

Stakeholder Relations

Minimising adverse impacts of construction

Uses of Engagement

Advocating for social change – family violence

Community Action

Organisational innovation

Employee Engagement

Interest free micro-loans schemes

Community Capacity Building

Getting People to Act

Project Management

Create legacy projects

Reduce smoking

Decision making is fundamental to engagement

Whatever the use or purpose of the engagement, it is still about decision-making however we now recognise that it can be the organisation or the community who makes the decision. The decision may be about solving a problem or issue or it may be to change behaviour or the delivery of a project:

• Stopping smoking

• Building a road

• Exploring different ways to respond to family violence

• Maintaining community gardens.

In any case the organisation has lost the sole power to dictate the community and stakeholder engagement agenda.

If there is no possibility for influence on the decision by the community or relevant stakeholders, then we are referring to a communication strategy or traditional marketing strategy.

5. Community Engagement Model

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

Key points of contemporary engagement

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

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 model considers the following definitions:

Leads: Who is responsible for defining and managing the engagement process, including defining the problem or opportunity to be solved.

Acts: Who is responsible for leading the actions that arise from the decision that is made.

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.

Community Engagement Model

Community Leads

Community leads
the engagement and
the **organisation**
is responsible
for the action

**Community
advocacy**

Community leads
the engagement and
the **community**
is responsible
for the action

**Community act
and contribute**

**Shared Leadership
and Action**

Organisation Leads

**Organisation
implementation**

Organisation leads
the engagement and
the **organisation**
is responsible
for the action

**Behaviour
change**

Organisation leads
the engagement and
the **community**
is responsible
for the action

Organisation Acts   **Community Acts**

Organisation Leads/ Organisation Acts	Organisations lead engagement to 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.
Organisation Leads/ Community Acts	Organisations can lead the conversation with communities and individuals take responsibility for action.
Community Leads/ Organisation Acts	A community leads in this profile to identify, highlight and propose the action required to solve a problem or take an opportunity. To achieve the desired action requires the response of a focal organisation. The community alone cannot achieve the desired result and therefore advocates to motivate the organisation to act.
Community Leads/ Community Acts	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, are 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 and to deliver the session.
Shared Leadership and Action	Leadership and actions can be shared, where communities and organisations participate and contribute to the decisions, and also lead and take responsibility for action towards the outcomes. This collaborative arrangement shared decision making, management and responsibility for delivery required to meet shared outcomes.

6. Benefits of Community and Stakeholder Engagement

Some of the benefits of timely community and stakeholder engagement can be:

- Engagement allows the community to have a say - a basic democratic right.

- Engagement enables consumers to express their expectations for products, services and policies that are important for them.

- 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.

- Some problems and opportunities are so complex that we need the community to be part of finding a new way forward.

- It builds an organisation's reputation and helps develop or restore trust in communities.

- Engagement can remove barriers and enhance the decision-making process.

- Engagement demonstrates the organisation's commitment to listening to and serving its customers.

- Internal engagement may provide early insight and technical support to project planning and engagement design.

- Engagement 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!

- A good engagement process can mitigate or reduce project risk factors.

- Engagement can assist in building the capacity and the strengthening of communities.

- Harnessing the collective power of volunteers to support community led endeavours.

7. Essential Elements to Engagement Practice

Effective community and stakeholder engagement practice is reliant upon the following five elements that together 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.
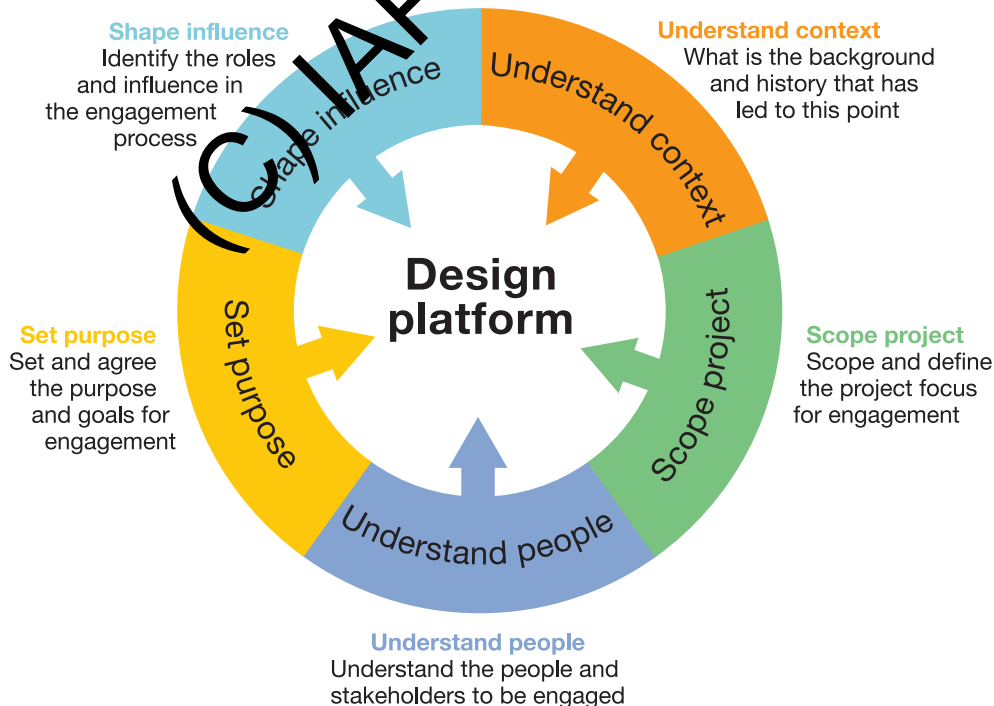
Effective engagement must always consider:

1. Context

Understanding the context of the situation. The background and history that has led to this point. What else might be happening and how big a deal is the situation?

2. Scope

This is the scope of what needs to happen to be resolved. The clarity of scope of the project or decision including what is negotiable and what is not, also considers what resources and time are needed to attend to the matter.

Shape influence
Identify the roles and influence in the engagement process

Understand context
What is the background and history that has led to this point

Set purpose
Set and agree the purpose and goals for engagement

Scope project
Scope and define the project focus for engagement

Understand people
Understand the people and stakeholders to be engaged

Design platform

Shape influence
Understand context
Set purpose
Scope project
Understand people

3. People

Who is affected and passionate about the matter? Which people need to be considered and who has strength and influence in the situation?

4. Purpose

This is about establishing and getting agreement on the purpose and goals for the engagement. It identifies how the involvement of the community and stakeholders will contribute to the scope of the work or decision.

5. Influence

This identifies the roles for the community and the organisation and shapes what influence they will have on the outcome.

The elements are interdependent and must align and connect for effective engagement design. Changes in the profile of the stakeholders and people may change the engagement purpose; changes in the purpose will change the profile of the stakeholders and people; changes in the purpose or profile of the people will change the level of influence or the role in decision making or action.

7.1. 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'.

> **Things to consider...**
>
> What recent events or issues have started locally and become global or started globally and become local?

The engagement context is shaped by:

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?

- Local community knowledge and ideas provide an invaluable 'reality check' about how decisions, projects or programs will work effectively "on the ground".

- 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 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?

- Is it a big deal – how much does it matter?


CONTEXT

SCOPE

PEOPLE

PURPOSE

INFLUENCE

7.2. Scope

In the contemporary model of engagement, regardless of who is leading the engagement, organisations or the community need to be clear about the scope of their work or effort, and where they seek community and stakeholder engagement. From an organisation's perspective, being clear about the scope of the decision or project is of primary concern, because this is how the organisation delivers on its strategic intent.
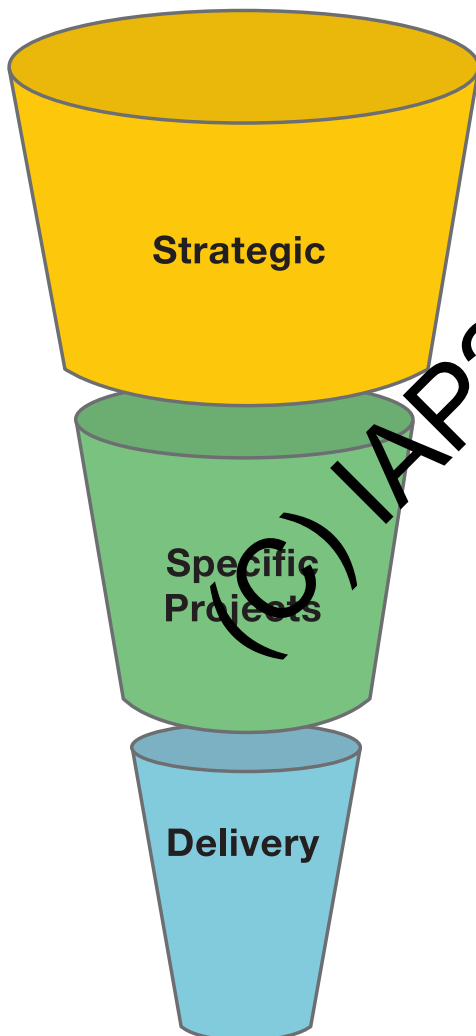
When we think about the life of a project and how organisations do the things they do, in theory they move from strategic intent to their operations through a range of programs and activities. If we always have engagement sitting at the heart of how we do business, then it is important to think about when in the life of our project we 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 less room to move and the community may feel that they have to be 'loud and extreme' to express their view. Engaging earlier 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.

What is negotiable and non-negotiable?

In most decisions or projects there are some elements that cannot be 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'.

Strategic

Specific Projects

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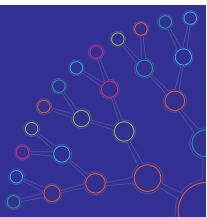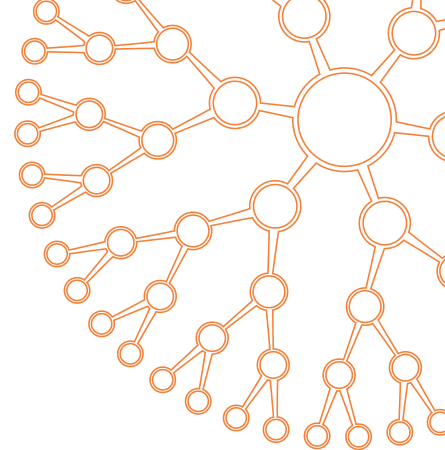
Scoping a decision or project to clearly identify the negotiables and non-negotiables provides all stakeholders with certainty about their role in a process, it enables transparency of the process, is inclusive and assists in setting realistic expectations.

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?

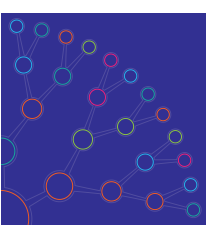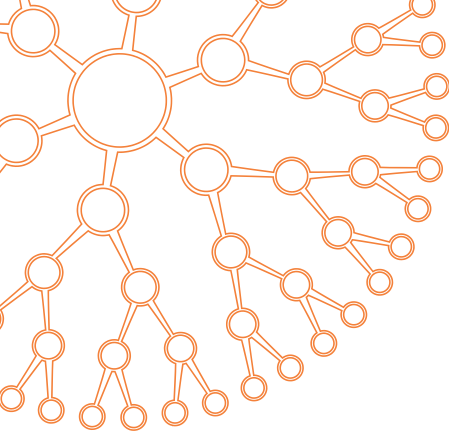- Are there limits in time and money/resources about solutions to the proposition?

Do you have others that you would add to this list?

_____

_____

7.3 People

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

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 so outlined in this section are a few that are relevant. But first there are some simple steps to both identifying relevant stakeholders.

Stakeholder Identification		
1. Impact Analysis	Who is impacted?	
2. Interest Analysis	Who would be interested based on past experience? Who is talking about the topic or similar projects elsewhere? Conduct a media, social media review. Ask stakeholders and advocacy groups and public officials.	

| Stakeholder Identification		
3. Diversity Analysis	Review your community's demographic profile to identify whether or not you are reaching a diverse enough audience.	
4. Access Analysis	Who is typically hard to reach? Who is missing from your conversations? (Differentiate between reach – above – and access as they are two different things)	
5. Frequency analysis	Who is talking often, and not very much? Review past engagements including comment registers, attendance registers etc.	

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

- Their interests and concerns
- What is the likely impact of the proposition
- Media and social media use in the organisations
- Community activities and focus.

CONTEXT

SCOPE

PEOPLE

PURPOSE

INFLUENCE
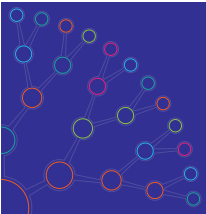
Community and Stakeholder Engagement and Values

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

As individuals, our values govern the way we think things "ought to be." Values are highly personal. 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/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 homogenous 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

Some 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 and equity
- Aesthetic values
- Economic vitality
- Natural justice
- Public health and safety.

What questions could we ask to get a better understanding of the people?	
Who is most passionate?	
How much influence do they have?	
How much strength 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?	

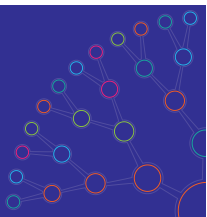CONTEXT

SCOPE

PEOPLE

PURPOSE

INFLUENCE

Stakeholder mapping

One model to apply when thinking about the diversity of groups, individuals and stakeholders to be engaged is in 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?

Engagement Leader

Key groups in the co-hosting of the engagement or action

Organisation

Partners

Public

Advocacy Groups

People who live in the areas or who are interested in the project

Key groups with passion, interest or existing point of view in relation to the issues or communities
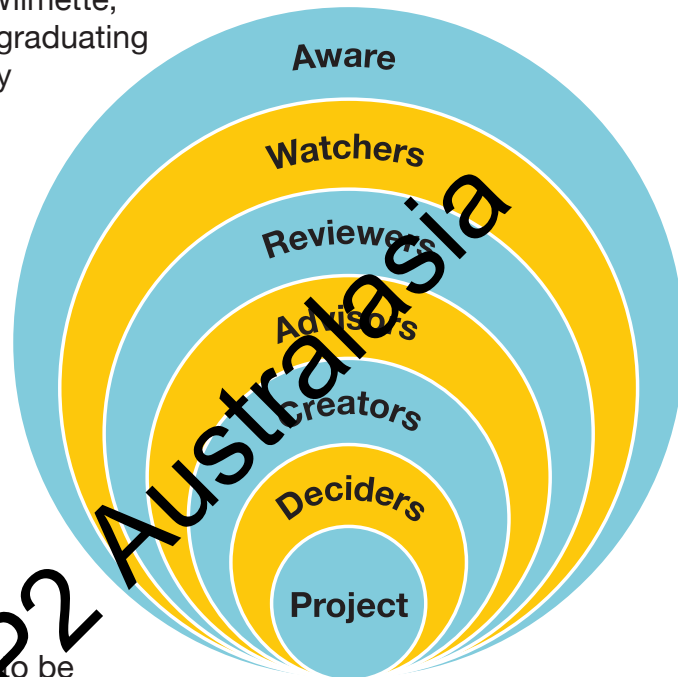
Orbits of Public Participation

Another way to think about stakeholders is in terms of their level of interest in a particular issue, problem or project. Their level of interest will be 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 model is based on a model developed by Lorenz Aggens of Involve (Wilmette, Illinois). The model depicts graduating levels of interest in proximity to the decision or problem. This model has prompted practitioners to consider how distance from the 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.

This model also helps to visualise 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.

This model can be used to map stakeholders in terms of levels of interest and nature of participation and engagement.
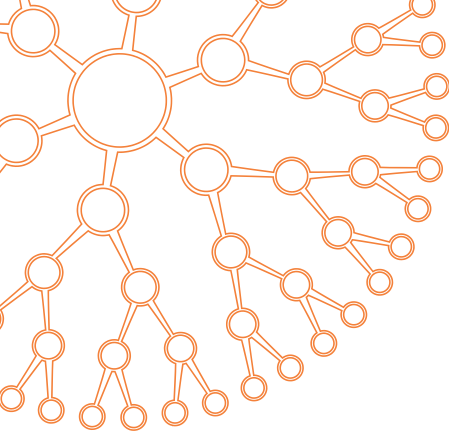
Aware
Watchers
Reviewers
Advisors
Creators
Deciders
Project

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	The Orbits of Public Participation

Level of Interest	Description
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.	
Aware	The outer most orbit is 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.
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.
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 the capacity to provide full submissions and comment.
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.
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.
Deciders	The level of passion for these individuals or groups is such that they not only wish to shape the process or outcome but also willing to make the decision or take the action required as they see it. The participants are often directly affected by the decision or the project or very concerns or excited by the potential outcome.

Another approach to analysing stakeholders that goes to a deeper level, considers the relationship and impact that stakeholder groups can have on the decision, problem or project. See the example of the Stakeholder Analysis Matrix.

Stakeholder Analysis Matrix					
Stakeholder Group *Individuals, sectors or known groups* Eg.: • Chamber of Commerce • Community organisations • Young people • Media.	**Role/Connection** *The stakeholder's 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?* Eg.: • To be kept informed on the overall progress of the project. • To be involved in providing input on relevant operating issues.	**Benefits of Involvement** *What the stakeholder group can bring to the project that is of benefit.* Eg.: • To provide feedback on operational aspects of the facility. • To assist in planning appropriate programs. • Assist in providing clarification on issues.	**Level of Interest** *What level of interest does the stakeholder group have on the final outcomes?* Eg.: • Significant level of interest.	**Level of Influence** *What level of influence will the stakeholder group have on the final outcomes?* Eg.: • IAP2 Spectrum (inform, consult, involve, collaborate, empower)	**Level of Impact** *The level of impact that the issue, project or proposition will have on the stakeholder group.* Eg.: • Significant impact. • Moderate impact.

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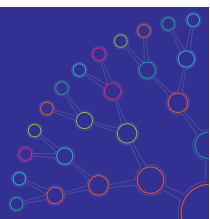CONTEXT   SCOPE   PEOPLE   PURPOSE   INFLUENCE

7.4 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. In other words 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 about:

- What is the community's local knowledge that will help the organisation with deeper understanding of the place?

- What are the views of the consumers about new product ideas that may help shape the product definition?

- What are the values of the community in relation to climate change that may help shape government policy in relation to future development and incentives for renewable energy sources?

- What are the attributes of the community that will contribute to building resilience and responsiveness for future disaster management?

In other words, the purpose of the engagement and the goals 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.

Developing 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:	

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

The following prompts may help you to determine what you want to achieve by engaging the community:

- Information gathering only; location or interest-specific?
- Identification of needs
- Obtaining local knowledge or location-specific information
- Obtaining feedback on proposed activity
- Validation of research findings or raw data sets
- Seeking guidance or direction. (E.g. comments on a draft)
- Generating ideas
- Partnering with community for delivery of project.

7.5 Influence and Relationships

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 stakeholder's 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 what is the nature of the relationship between the organisation and the community in the engagement experience. 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.

The role of the community, stakeholders and the organisation will be different for different purposes: in some situations the role may be to provide feedback on a proposition, on others the role may be to contribute ideas and help shape the solutions and then on other situations the role may be to partner with the project sponsor to jointly address the problem or opportunity.

If we consider the Orbits of Participation model it 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?
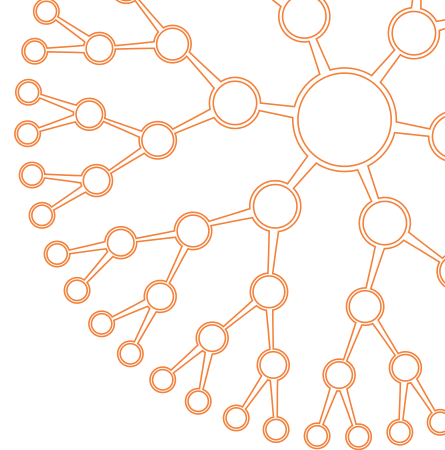
The other considerations for the organisation might be:

- 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?
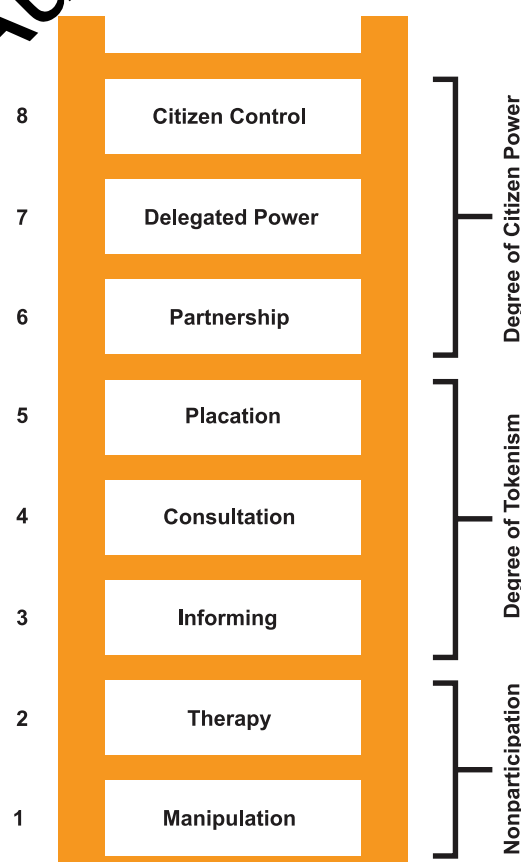
But how does the organisation determine how much the community or communities of interest should have on the matter being considered? How much influence should they have? How should power be distributed?

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

Sherry Arnstein wrote about citizen involvement in planning processes in the United States in 1969 'A Ladder of Citizen Participation'. She described a ladder of participation with eight steps from 'Manipulation' to 'Citizen Control'.

Described as a landmark article, Arnstein's ladder analogy and more importantly the typology of degrees of participation have influenced other social scientists to develop variations of this approach.

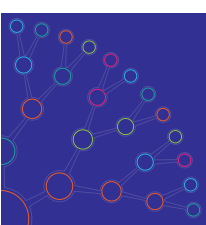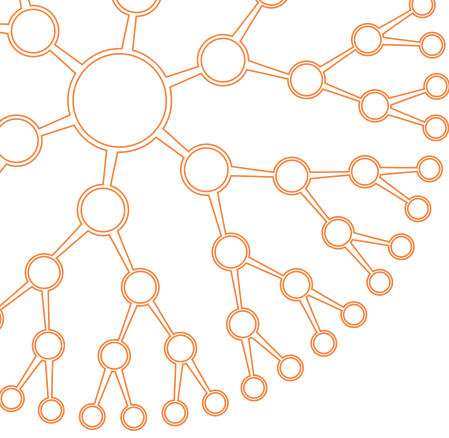### A Ladder of Citizen Participation

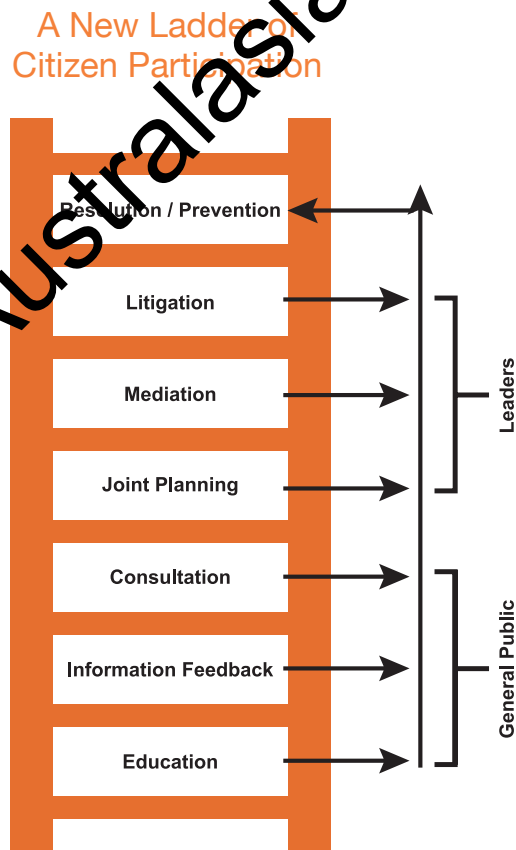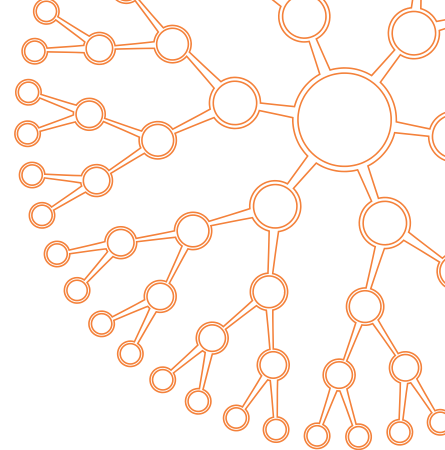|		
8	Citizen Control	Degree of Citizen Power
7	Delegated Power	
6	Partnership	
5	Placation	Degree of Tokenism
4	Consultation	
3	Informing	
2	Therapy	Nonparticipation
1	Manipulation	

Desmond Connor developed a new ladder in his article 'A New Ladder of Citizen Participation' 1988, 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 starts with 'Education' and progresses through to 'Resolution/Prevention' at the top and focuses mostly on conflict resolution processes than it does about the distribution or balance of power as Arnstein did. It has value in describing the nature of the relationship between the 'sponsor' and the community at each level and takes a cumulative approach as you progress from one rung to the next.

A New Ladder of Citizen Participation

| Rung	Group
Resolution / Prevention	
Litigation	Leaders
Mediation	Leaders
Joint Planning	Leaders
Consultation	General Public
Information Feedback	General Public
Education	General Public

IAP2 developed the IAP2 Spectrum of Public Participation that depicts five levels of increasing influence that the public can have on an outcome or decision. From 'Inform' to 'Empower' the Spectrum lays out a set of goals and suggested promise to the public for each level. Widely used, the Spectrum offers a language to help discern what level of influence the differing 'communities of interest' may have on the project or proposition. However, it does not make explicit the nature of the relationship between the organisation and the community nor consider the context of community led engagement.

IAP2 Spectrum of Public Participation

Increasing impact on the decision

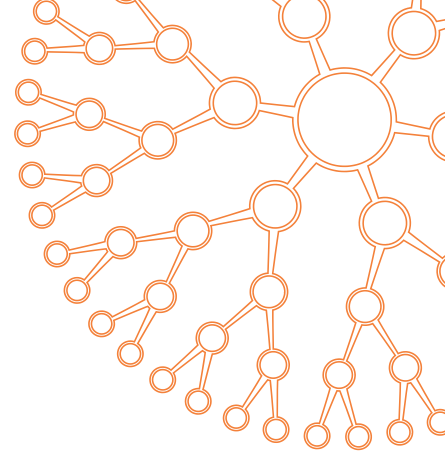|	Inform	Consult	Involve	Collaborate	Empower
Public Participation Goal	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work 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 seek your feedback on drafts and proposals.	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 work together with you to formulate solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

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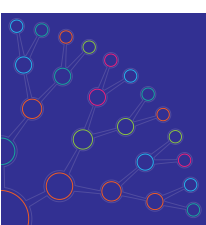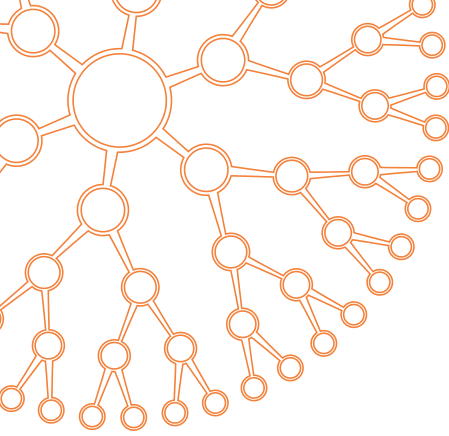
Finally consider the work of David Wilcox who has developed a 'Framework for Participation' (extracted from Partnerships Online at www.partnerships.org,uk). Wilcox builds on Arnstein's original ladder, simplifies it and then considers two other dimensions to the idea of level of participation:

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

In his model of levels of participation, Wilcox states that the different levels are not hierarchical; there are different levels to suit different circumstances:

Framework for Participation

Degree of Control

Supporting

Acting together

Deciding together

Consultation

Information

Substantial participation

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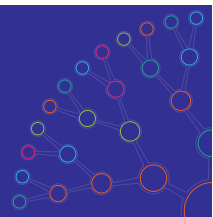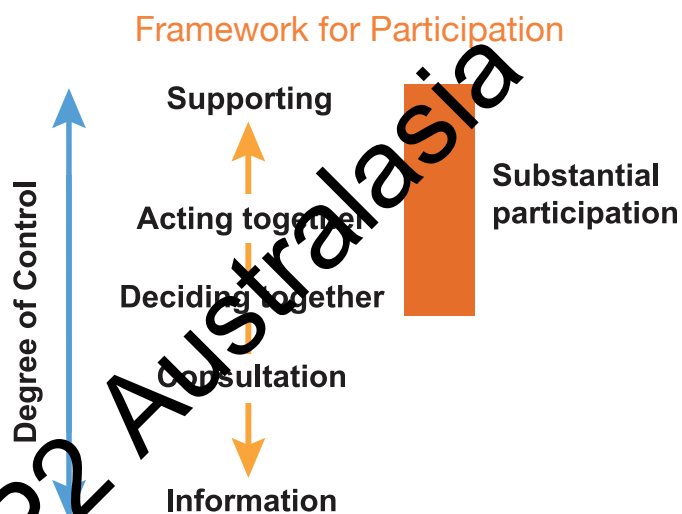
This last model includes the concept of community led engagement and reflects on the nature of the relationships between organisation and community as well as differing degrees of control by the parties.

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…

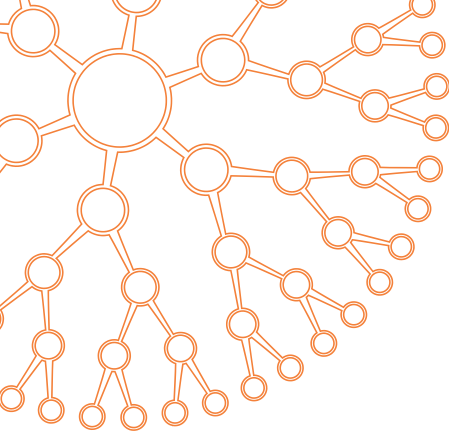where has there been activation by the community or opportunities for activation?

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?
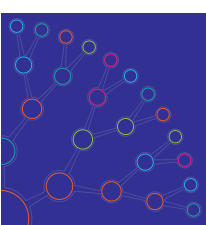
8. Standards for Practice

How do we know we are undertaking our engagement practice well? How do we ensure we are authentic, comprehensive, responsive, respectful and effective?

The IAP2 Core Values and emerging Standards provide a guide to a meaningful community and stakeholder engagement process:

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 promotion 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.

9. Code of Ethics

The IAP2 Core Values underpin our engagement process however the IAP2 Code of Ethics is a set of principles that guide our professional behaviour in the engagement process. As practitioners, we hold ourselves accountable for these principles and strive to hold all participants to the same standard.

Purpose	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.
Role of Practitioner	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.
Trust	We will undertake and encourage actions to build trust and credibility for the process among the participants.
Defining the Public's role	We will carefully consider and accurately portray the public's role in the decision-making process.
Openness	We will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.
Access to the Process	We will ensure that stakeholders have a fair and equal access to the public participation process and the opportunity to influence decisions.
Respect for Communities	We will avoid strategies that risk polarising community interests or that appears to "divide and conquer".
Advocacy	We will advocate for the public participation process and will not advocate for interest, party or project outcome.
Commitment	We ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.
Support of the Practice	We will mentor new practitioners in the field and educate decision-makers and the public about the value and use of public participation.

10. 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?	
What might you do differently as a result of the learning from this course?	
What supports and resources do you have to assist in embedding this into your practice?	
As a result of what has been covered, what else do you need to learn to enhance your practice for engaging?	

11. Templates

Stakeholder Identification Template

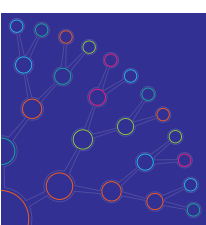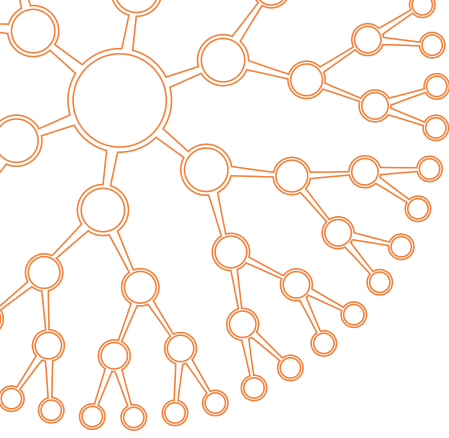| Stakeholder Identification		
1. Impact Analysis	Who is impacted?	
2. Interest Analysis	Who would be interested based on past experience? Who is talking about the topic or similar projects elsewhere? Conduct a media, social media review. Ask stakeholders and advocacy groups and public officials.	
3. Diversity Analysis	Review your community's demographic profile to identify whether or not you are reaching a diverse enough audience.	
4. Access Analysis	Who is typically hard to reach? Who is missing from your conversations? (Differentiate between reach – above – and access as they are two different things)	
5. Frequency analysis	Who is talking often, and not very much? Review past engagements including comment registers, attendance registers etc.	

Stakeholder Analysis Matrix					
Stakeholder Group *Individuals, sectors or known groups* Eg.: • Chamber of Commerce • Community organisations • Young people • Media.	**Role/Connection** *The stakeholder's 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?* Eg.: • To be kept informed on the overall progress of the project. • To be involved in providing input on relevant operating issues.	**Benefits of Involvement** *What the stakeholder group can bring to the project that is of benefit.* Eg.: • To provide feedback on operational aspects of the facility. • To assist in planning appropriate programs. • Assist in providing clarification on issues.	**Level of Interest** *What level of interest does the stakeholder group have on the final outcomes?* Eg.: • Significant level of interest.	**Level of Influence** *What level of influence will the stakeholder group have on the final outcomes?* Eg.: • IAP2 Spectrum (inform, consult, involve, collaborate, empower)	**Level of Impact** *The level of impact that the issue, project or proposition will have on the stakeholder group.* Eg.: • Significant impact. • Moderate impact.

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Community and Stakeholder Engagement Purpose Template

Developing 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:

12. References

IAP2 Australasia, 2014, Certificate of Engagement, *Engagement Design*, Australia

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Connor, Desmond M., *A New Ladder of Citizen Participation*, National Civic Review, Vol. 77, No. 3 May-June, 1988, pp 249-257

Lorenz W. Aggens, Involve, Wilmette, Illinois, USA

Wilcox, David, *Framework for Participation*, extracted from www.partnerships.org.uk on 4 August 2014
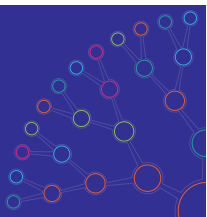
Acknowledgements

This manual has been developed by IAP2 Australasia. We wish to thank our trainers Michelle Feenan, Amanda Newbery and Anne Pattillo for their work in the development of this material.

Particular acknowledgement and thanks to the International Association for Public Participation (IAP2) Federation for the IAP2 Spectrum, Core Values and Code of Ethics which form the basis of engagement practice across Australia and New Zealand.

Thanks to 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 materials in this manual are the property of IAP2 Australasia. IAP2 Australasia is committed to advancing the practice of community and stakeholder engagement. We encourage the use of these materials, and ask that recognition of IAP2 Australasia be provided when materials are used.

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iap international association for public participation