EFFECTIVE STAKEHOLDER ENGAGEMENT FOR THE 2030 AGENDA

UNITED NATIONS
ESCAP
Economic and Social Commission for Asia and the Pacific

Sustainable Development Goals
HELPDESK

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Training Reference Material

BACKGROUND AND LEARNING OBJECTIVES

The 2030 Agenda for Sustainable development calls for participation of stakeholders in its implementation and follow up and review.

However, both systemic and capacity-related challenges slow the development of quality engagement in many countries. Despite some good practices, and the best intentions, engagement processes can often be rushed, under-resourced and under-planned, leading to frustration on all sides. Basic questions such as "how do you choose the 'right' NGO to work with?" or "how do we reach out to the public?" are frequently raised, and there is a lack of an overview of the sheer diversity of stakeholder groups and constituencies who wish to be involved. Often the responsibility for stakeholder engagement is not properly defined or resourced, or low levels of trust reduce the space for constructive dialogue.

Systematic, quality engagement is needed to respond to the fundamental objectives of the 2030 Agenda – that no one should be left behind and that an integrated approach to delivery be followed. In addition to strengthening the basics of engagement, there is need for innovation to deepen the levels of engagement, going beyond consultations to build trust, create a sense of ownership of the Agenda and develop coherent policies, integrating the perspectives of different stakeholders.

Responding to this need, the first three-day training workshop on effective stakeholder engagement has been organized to help countries in the Asia-Pacific region deliver and implement purposeful, inclusive, proactive and transformative engagement processes, that support effective delivery on the 2030 Agenda and the SDGs.

Developed and delivered with the support of trainers licenced by the International Association for Public Participation of Australia (IAP2), the training workshop and supporting material has been developed under the partnership between UNESCAP and IAP2 and is being delivered through the SDG Helpdesk (see https://sdghelpdesk.unescap.org/).

Participants attending this 3-day training workshop will be able to:

- Design a stakeholder engagement process and develop a stakeholder engagement plan that takes into account the special requirements of the 2030 Agenda
- Undertake comprehensive stakeholder mapping and analysis
- Better understand an array of engagement methods and their appropriate use
- Evaluate the quality of stakeholder engagement processes
- Better understand the role and practice of facilitation in implementing engagement
- Identify avenues to strengthen institutional support for more effective engagement

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Module 1
FOUNDATIONS:
WHAT IS ENGAGEMENT?

- ✓ **What is stakeholder and community engagement?**

- ✓ **Engagement for the 2030 Agenda context**

- ✓ **Common challenges**

- ✓ **Quality engagement**

1. FOUNDATIONS — WHAT IS ENGAGEMENT?

1.1 WHAT IS STAKEHOLDER AND COMMUNITY ENGAGEMENT?

Stakeholder and community engagement has the specific purpose of working across stakeholders, organisations, and communities of interest to shape the decisions or actions of the members of the community, stakeholders or organisations in relation to a problem, opportunity or outcome.

- The word 'stakeholder' defines individuals, groups, organisations or political entities with a specific stake in the outcome of a decision, or impacted by a policy, project or proposition.

- The term 'community engagement' incorporates information sharing, consultation (seeking feedback) and active participation (involvement, collaboration and empowerment) between government and communities.

- The linking of the term 'community' to 'engagement' serves to shift the focus from the individual to the collective, with a focus on inclusion of diverse stakeholders within any community.

The defining characteristics of stakeholder and community engagement include that it is:

1. **PURPOSEFUL:** An intentional process that has a clear objective and is mostly planned
2. **INFLUENTIAL:** Provides opportunities to shape decisions and actions of individuals, communities and/or organizations
3. **ITERATIVE:** Recognition of the interrelationships between the decisions and actions of organisations, stakeholders, communities and individuals
4. **COLLABORATIVE:** Recognition of the rights and responsibilities and roles of organisations, stakeholders, communities and individuals.

A variety of terms and concepts are associated with stakeholder and community engagement, and it is important to be clear about the meaning and use of each.

OTHER RELATED TERMS:

COMMUNITY OF INTEREST:

… is a group of people, wherever and whoever they are, who might have some role to play with the specific project. Typically that are bound by a shared perspective, impact or interest which can include those from inside an organisation (internal stakeholders) and those from outside (external stakeholders).

PUBLIC RELATIONS:

 … is the effort to influence the opinions and views of others through good communication between parties.

The basic difference between Stakeholder and Community Engagement and Communication (as in the practice of public relations) is influence. Community engagement must mean that stakeholders will have an impact on decision making and outcomes

Communication campaigns inform stakeholders but lack opportunities for influence. It is possible to communicate without the need to engage. However it is not possible to engage stakeholders without some form of communication and a communication strategy is usually needed to support engagement planning.

1.2 ENGAGEMENT FOR THE 2030 AGENDA CONTEXT

Is stakeholder engagement an exercise in checking the boxes? -— no, although everyone has experiences where engagement processes have felt like this.

Effectively engaging stakeholders leads to more socially, environmentally and economically sustainable outcomes through:

- realistic understanding of the problems and issues
- recognition of the systemic nature of "the way things work" — inter-relations between economic, social and environmental dimensions
- greater social acceptance, support & reduced conflict
- potential for creative, equitable solutions
- potential savings of time and money in the long run

This is why stakeholder participation is highlighted in the 2030 Agenda for sustainable development, which states - "sustainable development requires the meaningful involvement and active participation of . . . all major groups: women, children and youth, indigenous peoples, non-governmental organizations, local authorities, workers and trade unions, business and industry, the scientific and technological community, and farmers, as well as other stakeholders, including local communities, volunteer groups and foundations, migrants and families as well as older persons and persons with disabilities."

Engaging stakeholders in implementing the 2030 Agenda for Sustainable Development supports effective implementation of the 2030 Agenda by:

a) Improving inclusion and integrated delivery of individual goals through the policy and planning cycle:

- **Policy and planning:** Involving stakeholders in policy and planning can improve understanding of the driving forces behind a policy challenge. Stakeholders who are closest to the problems and issues often provide the most relevant insights and expert views. Involving stakeholders at the inital stages of the policy/project cycle increases ownership and awareness. It is especially important to involve the target groups of a policy or project — and any marginalized or vulnerable groups that might normally not be able to participate

- **Implementation:** Stakeholders who are involved in implementation can bring new ideas, resources and energy to solving problems and accellerating progress. The 2030 Agenda and the

SDGs cannot be achieved by Government alone — all sectors of society should be enabled and engaged in advancing progress.

- **Monitoring** (follow up and review): There are several entry points for engaging stakeholders during monitoring — assessing, proposing and prioritizing indicators, "ground-truthing" to understand whether data shows the reality, and during a review process can strengthen understanding of the reasons behind the progress — or lack of progress shown.

Engaging stakeholders in a review process (such as the Voluntary National Review Report production) helps to close the policy/project cycle.

b) Localisation of the SDG goals, targets and indicators:

c) Delivering the Voluntary National Review (VNR) reports — in follow up on the report: At the national level, the 2030 Agenda makes it clear that stakeholders must be included in the official process to review progress made in implementing the SDGs. This means governments, in carrying out their VNRs must work with stakeholders, like the social groups listed above, and other relevant stakeholders to ensure the review process is "open, inclusive, participatory and transparent for all people and will support the reporting by all relevant stakeholders."

d) Boosting action on a priority goal or long-standing challenge: Many sustainable development goals represent long-standing or emerging *complex* challenges — challenges such as gender equality, decent work and inclusive growth, or corruption. Engaging stakeholders with different perspecitves helps to untangle complex issues and build social consensus and shared understanding - towards solutions. The more complex the issue, the more intensive and long-term the engagement needed, and the bigger the potential rewards.

BACKGROUND

The 2030 Agenda is the product of a long series of negotiations, consultations, outreach efforts, informal meetings, formal meetings, and countless other types of both in person and online discussions in which the engagement of stakeholders was determined to be not only a critical aspect of formulating the world's most important sustainable development framework, but absolutely essential to its success. The history of sustainable development intergovernmental processes at the United Nations has revolutionised the entire UN system's approach to the engagement of non-state actors, social groups (like women and youth), civil society, and others. It is in this context then that the 2030 Agenda seeks to mobilize diverse stakeholders as to ensure that ultimately, no one is truly left behind.

Without becoming too lost in history, the meaningful approach to stakeholder engagement born out of the sustainable development processes at the UN all began with the adoption of one of the international community's first key agreements on sustainable development: **Agenda 21**. This framework, besides providing the means by which countries can formulate and implement national action plans around sustainable development, also set out the importance of inclusion of social groups in the work of **formulating**, **implementing**, and **reviewing** sustainable development policy:

> "One of the fundamental prerequisites for the achievement of sustainable development is broad public participation in decision-making. Furthermore, in the more specific context of

environment and development, the need for new forms of participation has emerged. This includes the need of individuals, groups and organizations to participate in environmental impact assessment procedures and to know about and participate in decisions, particularly those which potentially affect the communities in which they live and work."

Agenda 21 then goes on to highlight specific social groups that must be included in the important work of making sustainable development a reality. These social groups, known as the **major groups**, initially nine in number, include **Women, Children and Youth, Indigenous Peoples, NGOs, Local Authorities, Workers and Trade Unions, Business and Industry, the Scientific and Technological Community**, and **Farmers**. Later, through subsequent resolutions and global sustainable development agreements, UN member states went on to recognise even more groups: **private philanthropic organizations/foundations, educational and academic entities, persons with disabilities, volunteer groups, older persons, local communities**, and **migrants**. Today, all of these groups can claim legitimacy in terms of helping to deliver on the promise of the SDGs.

UN member states have made it clear that all must be involved in this important work and must be provided the space to do so. The 2030 Agenda demands it throughout, including in its opening lines: "This Agenda is a plan of action for people, planet and prosperity . . . All countries and all stakeholders, acting in collaborative partnership, will implement this plan."

The High-Level Political Forum for Sustainable Development (HLPF) is the global review of the 2030 Agenda. Each year, a number of countries volunteer to present their VNR and report on their progress in implementing the SDGs. With the help of the UN, national level stakeholder representatives from countries under review to work with the global **Major Groups and Other Stakeholders Coordination Mechanism** (https://sustainable development.org/majorgroups/ hlpf), the primary vehicle for global coordination of the social groups engaged in sustainable development processes. This helps ensure that there is a constant exchange among stakeholder representatives engaged in sustainable development activities at all levels.

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> "The HLPF will support participation in follow-up and review processes by the major groups and other relevant stakeholders in line with Resolution 67/290. We call on these actors to report on their contribution to the implementation of the Agenda." (2030 Agenda for Sustainable Development, paragraph 89)

A WHOLE OF SOCIETY APPROACH

In the end, the letter and spirit of the 2030 Agenda calls for a whole of society approach in order to make the SDGs a reality in each and every country. This not only means government institutions must work together and better coordinate and integrate their work, it also means stakeholders of

diverse backgrounds must be fully engaged. Moreover, mechanisms for stakeholder engagement in national implementation and review processes must be established. These mechanisms should have clear modalities for participation and the ability to influence policy.

INTEGRATION

The 2030 Agenda emphasis the integrated and interlinked nature of the SDGs, and a balanced achievement of the goals. Reflecting of all three dimensions of sustainable development (economic, social and environmental) in each of the SDGs, it underlines the key principle for sustainable development — that integration across all three dimensions is essential for development outcomes that are economically, social and environmentally sustainable.

The 2030 Agenda, therefore will not be achieved by "business as usual" policies, programmes and strategies. Sustainable development requires governments to become more skilled at balancing and aligning (or integrating) the interests of different stakeholders.

Integrated approaches have strong reference to:

- "Systems thinking" that promotes analysis of interlinkages between issues, and identifies "leverage points" and feedback loops and complex causal relationships for developing effective strategies supportive of the implementation of 2030 Agenda

- An understanding of the importance of the different forms of capital — including economic capital but also social and environmental capital

- Emphasizes the value of information and perspectives from different kinds of sources and perspectives – including from people and institutions with which we don't necessarily always agree with.

Integrated approaches help to ensure that there is a full understanding of the challenge at hand, and potentially affective solutions. They also usually need to be supported by specific kinds of tools and methods — including visualization tools for systems mapping, modelling, scenario building or deliberative processes that help to deal with complexity. In one country, dialogue on what "leaving no one behind" really means in their context, helped to produce the VNR report.

Integration requires, by definition, the involvement of stakeholders — but which stakeholders? An analysis of the linkages between the SDGs and issues helps to better understand the reality behind the challenge or decision, who should be involved.

Integrated approaches and systems analysis can therefore help to develop effective stakeholder engagement designs and plans.

CAN ENGAGEMENT BE TRANSFORMATIONAL?

From a 2030 Agenda perspective, transformational change is about the cross sectoral and multi-stakeholder collaboration required to achieve a long lasting and sustained change.

"Transformation requires attacking the root causes that generate and reproduce economic, social, political and environmental problems and inequities, not merely their symptoms"
Source: http://www.unrisd.org/flagship2016-chapter.

Engagement is an important vehicle towards achieving this kind of change but engagement is not the end point, it is a series of processes that are used to achieve sustainable and transformational outcomes.

There are many different **methods of engagement that could contribute to transformational change but the method itself is less important than the intention and quality of the application of any given methods**.

Quality engagement processes that are transparent, inclusive and accountable are the best opportunity for a transformational outcome.

Can transformational can be evolutionary? Can small wins lead to transformation? or does the very concept of transformation require a wholesale and dramatic shift?

Maybe it is both.

Any given engagement process can generate wholesale change to how an issue might be addressed, but unless there will also be a more gradual evolutionary process, and the requisite Institutional changes occur, there can be no sustainable change.

To achieve sustainable outcomes, constituents need to feel like they have a stake in the prioritisation, implementation or monitoring of the outcomes. The best way for people to feel they have a stake in a certain intervention is for them to be engaged on the decision-making process. **Therefore, levels of influence given to an engagement process is a key factor in helping to ensure the outcomes from engagement lead to sustainable and transformational outcomes**.

Sustainable and transformational outcomes are measured more by the impact of the outcomes of the process and not the process itself. Some measure for transformation could include:

- How are people different as a result of the intervention/initiative?
- What sustained improvements have been achieved? What is the scale of these improvements?
- How have mechanisms of planning, implementation and monitoring been enhanced and strengthened?

ENGAGEMENT MECHANISMS

For long term impact, many countries have been working to institutionalize stakeholder engagement. Some mechanisms include:

National SDG Commissions (Brazil and others), which works with relevant government institutions and stakeholders to guide the country in its sustainable development journey. This commission pulls together a wide range of social actors and civil society so all can be engaged, while also ensuring that diverse voices and views are included.

National Coordination Teams, SDG Secretariats or similar coordination bodies (Indonesia and others) unite key government officials, often from the highest levels and can involve stakeholders in a technical capacity. In Indonesia, the national coordination team is body is tasked with formulating policy and collecting data, as well as sensitising the public to national sustainable development initiatives and programs.

1.3 COMMON CHALLENGES

However, despite being willing, there have been many challenges expressed by Governments. Some include:

Some of the challenges posed to engagement have been identified by governments in different forums. The most comment questions and comments include:

• How do you choose who in civil society to address? How to reach stakeholders which are at the "ground level" — rather than the usual NGOs.

• Civil society wants to point to government shortcomings always (playing a watchdog role). There is need for positivity and constructive approach but "it does not always work."

• How do you get the real views of the public – not always going through the civil society? How to engage people directly — going beyond the data. How do you conduct outreach, and reach all the population?

• How do you manage the process in a very large country?

• How do you deal with the dynamics of civil society — monitoring, watchdog dynamic difficult to manage on a multi-stakeholder platform.

• How do we bring the private sector on board?

• How to deal with the issue of data shortcomings?

• How do we engage with civil society when capacity is low? How do we know that CSOs are independent and credible and capable?

• We find civil society comments difficult to incorporate in a government document – there can be some tension. In formulating the VNR report how can opposing viewpoints be reconciled? How best to document the "non-constructive, confrontational or controversial" viewpoints?
• How to engage people in implementation?

• What is the appropriate composition for national SDG commissions? What are the appropriate institutional arrangements for involving subnational and local governments?

• A national workshop of stakeholders was held to finally approve the voluntary national report before final presentation. Validation workshops with the stakeholders seem to be common as a way to seek endorsement of national reports. Stakeholders don't appreciate being brought in at

the last minute and engagement seems to lack impact – how can we do better?

- The engagement challenge is both internal and external: Internal stakeholders include the wide array of ministries and agencies responsible for different areas of implementation and which may not all be aware of the 2030 Agenda, or may face different challenges in its full implementation – how do we engage our internal stakeholders?

From the civil society perspective and the perspective of other actors, there are also important challenges which make it difficult for constructive contributions – including:

- Lack of trust
- Being unprepared, rushed processes
- Not being provided clear channels through which to communicate and provide feedback
- Non-inclusive processes
- Not understanding the entire process from beginning to end, so not being able to strategize and prepare meaningful impacts
- Lack of funds to self-organize and engage
- We are invited to join multi-stakeholder bodies but it's difficult to contribute and sometimes tokenistic. It means contributions are not valued or have no impact. Very few governments seem to feel comfortable with these types of engagement modalities, even developed countries. There is very limited evidence of real innovations in methods and approaches, and outreach to the public is limited.

1.4 QUALITY ENGAGEMENT

Eat in a bad restaurant and you will know that there is a difference between cooking and cooking well. The same applies for engagement.

There can be a big difference between a process of engagement that leaves stakeholders feeling unvalued, unheard and that the process was tokenistic, and a process where people feel that it is safe to contribute, where they feel valued and that the process was worthwhile.

This is not to suggest that quality engagement is about simply trying to please all stakeholders and ignoring the needs and constraints of the decision makers.

Quality engagement is about building a process from start to finish that delivers meaningful outcomes for the organisation leading the engagement and leaves participants feeling like they have contributed to a meaningful and authentic process for decision-making or policy development.

THE IAP2 CORE VALUES FOR PARTICIPATION

As an international leader in public participation (or stakeholder and community engagement), 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 establish a common understanding of the principles that should guide the professional practice of stakeholder engagement.

These are strongly aligned with many of the ideas and principles that underpin the 2030 Agenda, including the Rio Principles – in particular Principle 10. Following these principles helps to develop engagement processes that lead to better decisions, which reflect the interests and concerns of potentially affected people and entities and which are sustainable from economic, social and environmental perspectives.

These core values form the basis of IAP2 members' commitment to quality engagement.

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 recognizing 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

The IAP2 Core Values can also help to evaluate and guide engagement practice at a policy and organizational level.

THE QUALITY ENGAGEMENT PLANNING AND ASSESSMENT FRAMEWORK

The Quality Engagement Planning and Assessment Framework identifies four dimensions of quality engagement, and indicators to support each dimension. It has been designed to extend the discussion about the need for greater levels of engagement to a discussion that recognises the need for QUALITY engagement.

Stakeholders helped to shape the framework and experiences from different countries shows that it is broadly applicable. Originally based on a framework developed by Aha! Consulting, the development, refinement and testing of this tool within the context of the 2030 Agenda has been based on Inputs of stakeholders at a August 2017 an expert group meeting convened by UNESCAP which further reviewed and refined the dimensions and built possible indicators for each of these dimensions. At this stage, the model was reviewed for alignment with the IAP2 Core Value and Standards for Quality engagement and supported engagement planning and exploration of quality engagement in the context of Voluntary National Review report development during in 2018.
The framework provides a way for an institution to:

Assess quality of engagement

- Conduct a quick self-assessment of its engagement practices and approaches. Gaps in practice can be quickly identified and prioritized (or not) for improvement.
- How to engage people in implementation?
- Assess an engagement process (different from evaluating outcomes).

Communicate on expectations and standards of engagement

- Establish common/institutional understanding of what quality engagement means, and communicate this.
- For stakeholders, this framework can help to identify specific areas in which they would like to suggest improvements in engagement processes.
- Set and communicate quality engagement standards and define guidelines and policy as part of institutionalizing engagement.

Make informed decisions and plans, and institutionalize engagement

- Set quality engagement goals for a specific engagement processes. Higher quality engagement processes require resources – specific quality standards should be adjusted depending out outcomes desired and resources available.

While there is a recognition that each country and each engagement context, may have its own language, cultural norms and ways of working, the Quality Engagement Framework represents a broad guide for the planning and evaluation of Stakeholder and Community engagement for the 2030 Agenda that can be adapted to different contexts, and scaled up (to support national or local government engagement/participation policy), or scaled down (to be used in specific engagement processes.

THE FOUR DIMENSIONS OF QUALITY ENGAGEMENT

The Quality Engagement Planning and Assessment Framework is based up on four dimensions and sets of indicators where quality engagement is recognised as:

1. **PURPOSEFUL:** ie; It was well planned and resourced, and focused on a clear objective
2. **PROACTIVE:** ie: There was good provision for communication, outreach and responsiveness
3. **INCLUSIVE:** ie: A diverse group of people felt able to participate
4. **TRANSFORMATIVE:** ie: Leads to meaningful and sustained outcomes

The indicators identified in the table that follows further explores what is meant by each of the dimensions and support planning and assessment of engagement processes.

FIGURE 1: THE FOUR DIMENSIONS OF QUALITY ENGAGEMENT
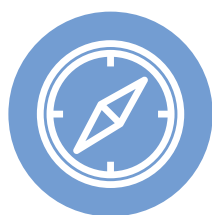
PURPOSEFUL ENGAGEMENT

PROACTIVE ENGAGEMENT

INCLUSIVE ENGAGEMENT
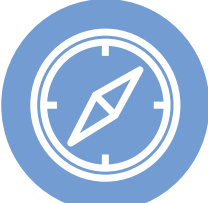
TRANSFORMATIVE ENGAGEMENT

QUALITY ENGAGEMENT
PLANNING EFFECTIVE ENGAGEMENT
EVALUATING ENGAGEMENT PROCESSES

SOURCE: ESCAP

FIGURE 2: THE QUALITY ENGAGEMENT PLANNING AND ASSESSMENT FRAMEWORK

PURPOSEFUL ENGAGEMENT

1.1 Statement of engagement objectives [Engagement objectives are widely understood and linked to objectives of interventions]

1.2 Engagement planning [The detail of engagement planning is consistent with the level of the intervention/risks and recognizes participation as a right]

1.3 Commitment to improvement [Previous lessons learnt and history of intervention are considered during engagement planning, evaluation process is defined]

1.4 The time and budget allocation [Adequate/appropriate to the objectives of interventions and secured for the duration of the intervention]

1.5 Coordination, with clear roles and responsibilities [Well-defined roles are agreed to early in the engagement, both within and outside the organization and coordination between engagement efforts]

1.6 Engagement & follow-through [Consultation outputs, recommendations or decisions are given the promised level of consideration]

PROACTIVE ENGAGEMENT

2.1 Communicating process and scope of influence [Scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop, including educating stakeholder where appropriate]

2.2 Communicating engagement content [Sufficient, accessible information is provided with enough time for people to engage in a meaningful way]

2.3 Outreach to right people [The process and methods explicitly raise awareness, encourage and invite participation and actions by relevant stakeholders and the public]

2.4 Documenting and responding to stakeholder contributions [Questions, commitments and outcomes are recorded and followed through in a timely way]

2.5 Openness and adaptable to feedback [Mechanisms to receive and respond to complaints and feedback with the positive attitude]

2.6 Ongoing Follow Through [Attention is paid to ensuring there is consistent follow through and monitoring of the outcomes/output of the consultation process]

INCLUSIVE ENGAGEMENT

3.1 Stakeholder Analysis [Stakeholder analysis ensures representativeness and understanding of the UN major groups, other stakeholders and respects participation as a right]

3.2 Diversity of perspectives shared [The engagement process provides equitable opportunities for a diverse range of perspectives to be shared, including assenting and dissenting views, scientific perspectives, human rights perspectives and others, as appropriate]

3.3 Dealing with barriers to participation [Barriers to participation for specific groups are clearly identified and active steps have been taken to reduce them (eg: Accessibility, Technology, Social prejudice, Cultural, "safe space", Language, etc)]]

3.4 Inclusion of disadvantaged groups ["Leave no one behind" – Disadvantaged groups are clearly identified and specific measures are put in place for engaging them]

3.5 Appropriateness from cultural and other perspectives [Engagement method and process demonstrates cultural sensitivity and awareness, seeking to balance power relationships within society]

3.6 Provision of safe spaces [Methods, institution, facilitation and physical spaces encourage open participation and provide adequate protection for people from reprisals]

TRANSFORMATIVE ENGAGEMENT

4.1 Building understanding between stakeholders [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]

4.2 Highly Collaborative [Levels of engagement and influence are clearly defined and seek to move beyond information and consultation, as appropriate and in line with the 2030 Agenda intentions]

4.3 Integrate economic, social and environmental perspectives [The methods and process give balanced attention to and integrates the economic, social and environmental perspectives]

4.4 Stakeholder acceptance, support and involvement [The engagement process and methods are considered appropriate by participants]

4.5 Synergize actions across SDGs [The methods and process bring stakeholders together across SDGs where there are interactions between them (for example between food security and poverty)]

4.6 Participation used to make meaningful change [Sustained engagement enables the delivery of substantive changes to complex issues (eg: systems, beliefs, behaviours etc)]

Notes

Notes

Module 2
ENGAGEMENT DESIGN AND PLANNING

- ✓ **Introduction**

- ✓ **The design platform**

- ✓ **Steps 1-10: Design, Planning, Evaluation & Implementation**

Notes

2. ENGAGEMENT DESIGN AND PLANNING

2.1 INTRODUCTION

Engagement design involves the exploration of a rationale for engagement and the subsequent planning of the engagement processes, methods and approaches to engage key stakeholders, civil society and a range of different actors in policy and intervention planning, partnering or securing support for the implementation of the interventions, and the monitoring and evaluation of progress. In terms of the VNR process, this means ensuring that stakeholders are part of the work of implementing the 2030 Agenda, as well as efforts to measure progress achieved.

The following guidelines represent best practice engagement and have been drawn from a review of approaches to engagement across sector and contexts.

At each stage of the engagement planning and implementation process, the engagement practitioner may need to review earlier steps. New information about perspectives of the key stakeholders or the focal points being addressed may change the engagement goals or the method selection. Monitoring and re-calibrating is a critical requirement of any engagement process.

Engagement planning is the process of taking the initial analysis to create a design platform and translate that into a robust plan that guides implementation. The engagement plan is a statement that provides a clear line of sight from the project stage and engagement purpose, to methods selection and delivery and evaluation.

The final form of an engagement plan depends on the size of the project and the requirements of the host organisation. Engagement plans can be presented on a single page or can be large detailed documents. Engagement plans can be produced in different formats:

- Report format that provides explanatory text and tables to provide key actions
- Excel spreadsheets using worksheets for different segments, including gantt chart style of action plan
- Diagrammatic approaches using a combination of symbols and text.

A typical engagement plan contains the following elements:

1. PROJECT TITLE
2. CONTEXT DESCRIPTION
3. PROJECT STATEMENT
4. STAKEHOLDER AND COMMUNITY DESCRIPTION
5. ENGAGEMENT PURPOSE AND GOALS
6. SPECTRUM ANALYSIS AND POSITIONING
7. ENGAEMENT PRINCIPLES OR APPRAOCH
8. SCHEDULE OF ENGAGEMENT ACTIVITIES
9. BUDGET
10. EVALUATION PLAN

An engagement planning template developed for stakeholder engagement associated with the 2030 Agenda for Sustainable Development is provided in Annex and separately.

FIGURE 3: THE TEN STEPS FOR PLANNING AND IMPLEMENTING A STAKEHOLDER AND COMMUNITY ENGAGEMENT PROCESS

01 02 03 04 05 06 07 08 09 10

Understand Context
Scope Project
Understand People
Set Purpose
Shape Influence
Secure Leadership Commitment
Engagement Sequence
Select Methods
Evaluating Engagement
Governance and Implementation

The first 5 steps are what we call the Design Platform

The next 3 steps are about Detailed Planning

The last 2 steps are about Implementation and Evaluation
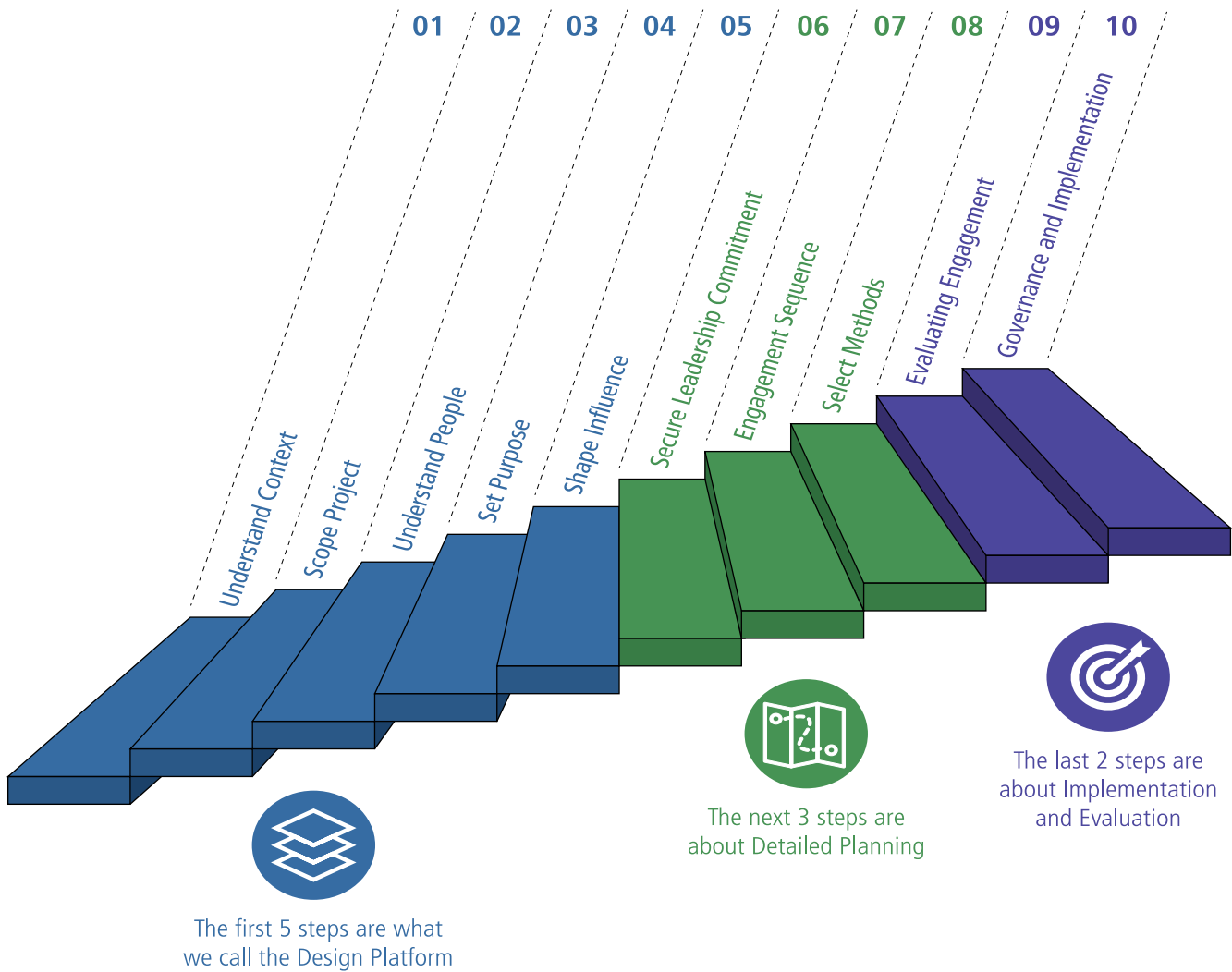
SOURCE: Adapted from IAP2 Federation's Quality Practice Standard and IAP2AUS' Design, Plan and Manage model.

2.2 THE DESIGN PLATFORM

The design platform is the starting point for any engagement process. Effective stakeholder engagement practice is reliant upon the understanding of the following five elements that together form a basis for the design of an engagement process.
No matter the purpose, project or focal point, effective consideration of all of these elements is necessary. If we miss one or more of these elements, the risk is that the stakeholder engagement may not have sufficient focus, which may lead to wasted effort, unclear outcomes or not reach the relevant stakeholders.

Understanding these five elements of the Design Platform builds a strong foundation for engagement:

1. UNSTAND CONTEXT
2. SCOPE THE PROJECT
3. UNSTAND THE PEOPLE
4. SET PURPOSE
5. SHAPE INFLUENCE

These elements are interdependent. When there is a change in one element of the design platform, the other may need to be reviewed, for instance changes in the profile of the stakeholders and key actors may change the engagement goals.

FIGURE 4: THE DESIGN PLATFORM

Shape influence
Identify the roles and infulence 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

SHAPE INFLUENCE
UNDERSTAND CONTEXT
SET PURPOSE
SCOPE PROJECT
UNDERSTAND PEOPLE

Design Platform

Source: IAP2 AUS Engagement Essentials Module

2.2 STEPS 1-10 — DESIGN, PLANNING, EVALUATION AND IMPLEMENTATION

STEP 1: UNDERSTAND CONTEXT

ASSESSING THE CONTEXT AND CULTURE FOR ENGAGEMENT

The context is the background setting or environment in which the policy or the planned intervention is being undertaken. It considers why it is needed, who has been involved in the past, the background to the issue, how important it is to the country, what needs to happen now, and what has been talked about in relation to the focal point so far.

In assessing the context the following questions can be considered:

1. What has been the history of previous interventions and stakeholder engagement approaches (intervention, organization, locality, country).
2. What are some of the trends of similar policies and interventions? What data and evidence supports the need for this policy and intervention?
3. What are the cultural considerations, status of key relationships, other drivers?
4. Are the key stakeholders and community currently aware of the intended policy and intervention? What are their attitudes towards these planned interventions?
5. What is the political landscape in relation to this focal point?

Understanding the cultural context and relevant cultural norms within a country are important in considering the approach that is necessary for the engagement approach in order for it to have integrity and legitimacy. This can lead us to a deeper understanding of the cultural values, the choice of engagement methods that may be critical to respect those cultural norms, and finally the cultural nuances that might impact how engagement processes are facilitated.

EXAMPLE

In the Pacific Islands there is the concept of the Fonofale model that recognises family, culture and spirituality as the basis upon which their core values and beliefs exist. The metaphor of a Samoan house 'fale' is used with the foundation or the floor (family), posts (the four pou of Spiritual, Physical, Mental and Other) and roof (Culture) encapsulated in a circle (Environment, Time and Context) to promote the philosophy of holism and continuity. The Fonofale Model is a dynamic model in that all aspects depicted in the model have an interactive relationship with each other (Fonofale Modle of Health, Fuimaono Karl Pulot-Endemann, September 2001).

The 2030 Agenda follow-up and review process sets certain standards as the base for including national stakeholders in implementation. From there, it is important to to build on this base and incorporate the relevant context of people and places being engaged in sustainable development efforts.

STEP 2: SCOPE PROJECT

SCOPE OF THE POLICY OR PLANNED INTERVENTION

Establishing the clarity of the scope of the policy or planned intervention helps those that are involved in the engagement processes to know what aspects of the policy or intervention can be influenced. It will provide some clarity of what is the overall aim of the policy and intervention and the specific elements in which key stakeholders will be involved. This step is asking us to clearly identify the negotiables and non-negotiables which build a process that is transparent and inclusive, and assists in setting realistic expectations so that all stakeholders have certainty about their role in a process.

To define the scope of the policy or planned intervention, the engagement designer will need to work with the decision-maker or project leader to identify and describe the:

- Reason for the policy, intervention or proposition. Why is the project being undertaken? Why now? Why is this a priority? Why here? What has happened before that leads to this policy or proposition?

- The SDGs that this intervention will focus on and the interlinkages with other SDGs (it is important to identify these interlinkages to promote the key principle of 'integration' that underpins the 2030 Agenda).
- The focus of the policy, planned intervention or proposition. Specifically, what is the policy to do?

- Any limitation or non-negotiables for the possible solution. What, if any, are the limitations (non-negotiables) in relation to possible solutions or actions?
- What are the elements of the policy and intervention that the key stakeholders will influence?

One of the outcomes of this step is the development of a Scoping Statement. Scoping Statements define WHAT the focus of the work or initiative is and what the engagement is going to contribute to, such as the overall policy or planned intervention.

It is meant to be simple, and helps frame what the stakeholders and other actors are contributing to.

Scoping Statements are then used whenever the policy or planned intervention is referenced and/or written about. They appear in most communication collateral and so need to be a clear representation of a wider brief or project description. Scoping statements include a clear focus, the context in which the work is happening and any limits or parameters that sit with the work outcomes.

A quality scoping statement has four key elements;

1. **FOCUS:** A statement about what the engagement will produce (e.g.: A plan, priorities, advice, a structure, a policy etc.)

2. **CONTEXT:** A simple sentence that places the engagement focus into the context of the overall project

3. **INCLUSIVE:** A clear statement of the uppermost not negotiable feature

4. **LANGUAGE:** Is written in plain language that is easily understood by all stakeholders

Example: Developing a mechanism for ongoing stakeholder involvement in decision making, during the implementation of the 'Safe as houses' program:

FOCUS: Developing a mechanism for ongoing stakeholder involvement in decision making
CONTEXT: during the implementation of the 'Safe as houses' program
LIMIT: In the South-West region

STEP 3: UNDERSTAND PEOPLE

STAKEHOLDER ANALYSIS

This step explores the appropriate and relevant stakeholders that should be involved in the engagement process. Identification of key stakeholders is vital to the success of an engagement approach.

Stakeholder analysis seeks to understand the range of stakeholders to be involve, to better understand: expectations; how each stakeholder group can add value to the policy or program development; and stakeholder communication needs and how they relate to each other.

Stakeholders can be external stakeholders, like civil society, academia, and the private sector, and also internal stakeholders, like other ministries and government entities.

Grouping of stakeholders helps to refine engagement plans and facilitate engagement. The UN uses the system of major groups and other stakeholders in its formal interactions with stakeholders in the sustainable development related processes.

• Identification of the major groups and other stakeholders constituency groups in the context of the UN system has played an important role in accelerating improvement in quality of engagement by the UN by:

  • facilitating the interactions between the UN and these stakeholders
  • enables stakeholders to self-organize to formally engage with the UN
  • provides them with a voice in UN sustainable development related forums

• At least one government has formally adopted the Major Groups and other Stakeholders approach to its national engagement with stakeholders.

• The Asia-Pacific Regional Civil Society Engagement mechanism has decided on 17 constituency groups that civil society organizations have found to be important in this region. It underlines the need for adaptations of constituency groups depending on the context and issues being addressed.

Inclusion and the commitment to leave no one behind, is an important reason to undertake stakeholder analysis.

• For the 2030 Agenda, efforts must be made to include under-represented stakeholders and marginalized and vulnerable groups to ensure that no one is left behind. The VNR processes to date show that this is a main hurdle and not enough progress has been made to engage groups such as persons with disabilities, youth, or ethnic minorities and indigenous people living in remote areas – often due to cost, time and capacity constraints.

• Anticipated barriers preventing stakeholder participation such as physical, language, economic, communication, cultural or social barriers can be identified as part of stakeholder analysis

Some other considerations in analysing stakeholders include:

• What level of information do stakeholders need to make an informed contribution to the policy and program development?
• What level of information are stakeholders likely to seek?
• Will all stakeholders' contributions influence the policy and program development equally?
• Are there other institutions available to assist with the community engagement process - for example as co-host?
• Will those stakeholders who are highly interested or impacted by the policy and program development have an opportunity to become involved?

DIFFERENT STAKEHOLDER ANALYSIS MODELS AND TOOLS

This step explores the appropriate and relevant stakeholders that should be involved in the engagement process. Identification of key stakeholders is vital to the success of an engagement approach.

When considering stakeholders there is value in undertaking a Stakeholder Analysis to better understand expectations, how each stakeholder can add value to the project and communication needs that the stakeholder may have. Stakeholder analysis approaches can be adapted specifically for the 2030 Agenda depending on the topic or the scale/level of the policy or intervention that is being considered.

In one VNR country some preliminary stakeholder mapping identified stakeholder groups at a provincial, district and local level. This can strengthen horizontal and vertical integration and coordination of action.

Implementation is likely to require each ministry within the government or sector needed to do its own mapping as the stakeholders differ from sector to sector (although some sectors may share stakeholders).

This approach to mapping and analyzing stakeholders both from a horizontal and vertical perspective enables a comprehensive approach and can help to establishes responsibilities for line ministries, or for coordination and consistency of engagement across different levels of government.

The stakeholder analysis models and tools that are outlined in this section include:

1. STAKEHOLDER MAPPING
2. INTEREST VS. INFLUENCE MATRIX
3. ORBITS OF PARTICIPANT (LORENZ AGGENS)

MODEL 1: STAKEHOLDER MAPPING

When thinking about the diversity of groups, individuals and stakeholders, it is useful to assess who needs to be involved and how they will be involved. Distinguishing different types of stakeholders enables different engagement approaches to be developed.

The Stakeholder Mapping tool below considers all of the possible actors that could be engaged and divides them up into these four possible segments:

• Organization (Engagement Leader, e.g. the relevant Ministry)
• Co-hosts (Key groups who can co-hosting the engagement - e.g. NGO "umbrella" or coordinating groups)
• Key groups with passion, interest or an existing point of view in relation to the issues or communities
• Public - people who live in the areas of, or are interested in, or potentially impacted by the policy, e.g. informal leaders or champions in the community)

FIGURE 5: STAKEHOLDER MAPPING
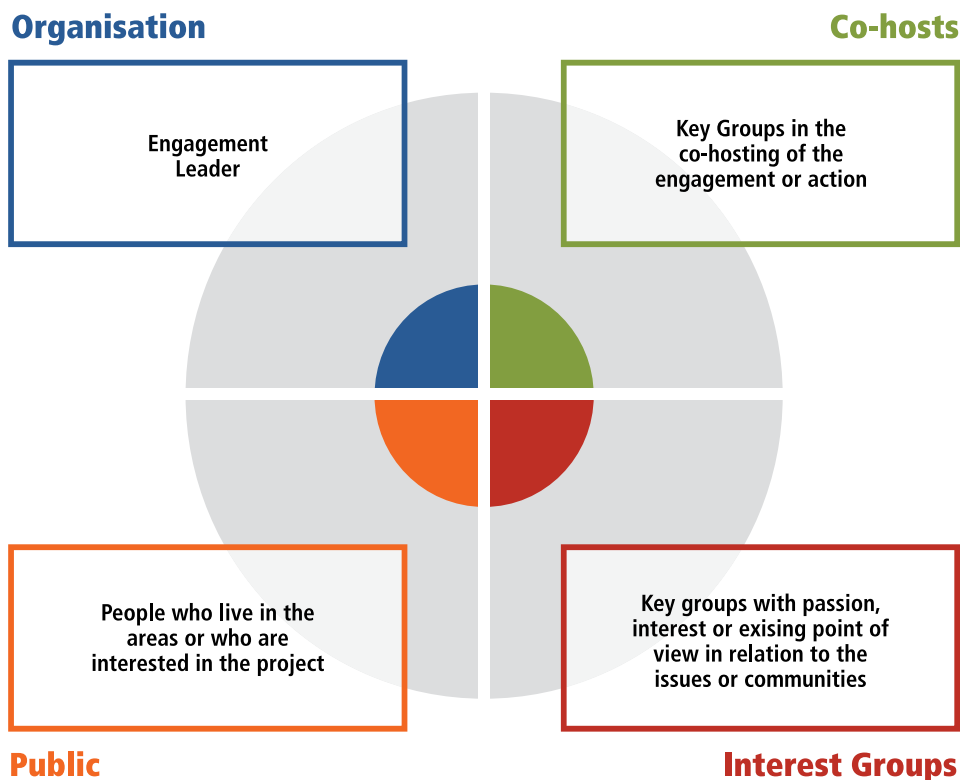
SOURCE: IAP2AU: Engagement Essentials Module

MODEL 2: INTEREST VS. INFLUENCE MATRIX

It will be useful to undertake a stakeholder analysis to identify which institutional targets will have the most influence and/or can be engaged as effective partners. This will help you to more systematically identify who you could usefully work with as you move forwards with your own efforts to support implementation. Experience shows that such an analysis will need to go further than simply identifying stakeholders and should reflect upon the importance of each stakeholder identified as well as the power they each have to influence the SDGs, their capacities, their needs and their current openness to engagement.

The following Interest vs Influence matrix maps out level of power to influence change on one axis and their level of interest in the issues presented. Each of the squares in the matrix offers up a suggested engagement approach for the stakeholder groups that fall within that part of the grid.

FIGURE 6: THE STAKEHOLDER ANALYSIS GRID

Stakeholder analysis grid		
High power to influence change	**Satisfy:** Medium-priority stakeholders that you will need to work with and engage as opportunities arise to impact Examples: Media, other NGOs and CSOs	**Influence:** High priority stakeholders that have the ability to impact and take decisions to support your overall advocacy objectives Examples: Policy-makers, local or national decision-makers, high-level officials
Little power to influence change	**Monitor:** Low priority stakeholders to involve only when resources permit or where there is potential added value to one of your objectives Examples: Local businesses affected by the issues	**Inform, consult, and involve:** Medium-priority stakeholders that could be most affected by this issue, and would be beneficial to consult with and keep informed of your work Examples: Local communities and stakeholders that are impacted by the issues you cover
	Doesn't matter much to them and/or does not work closely on issues	**Matters a lot to them and/or works closely on issues**

INFLUENCE (vertical axis label)

INTEREST

SOURCE: Goal 16 Advocacy Toolkit, TAP Network, updated

MODEL 3: 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, 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 is shown in the model adapted from the model developed by US management consultant, Lorenz Aggens.

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 three 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 visualise the need for opportunities for the public to be engaged at varying degrees – and by different methods – in different steps of the process.

3. It gives a language to the type of roles that people might play (or need to play) and can support the redistribution of power and influence, through assigning people to the various roles.

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.

FIGURE 7: AGGENS' ORBITS OF PARTICIPATION
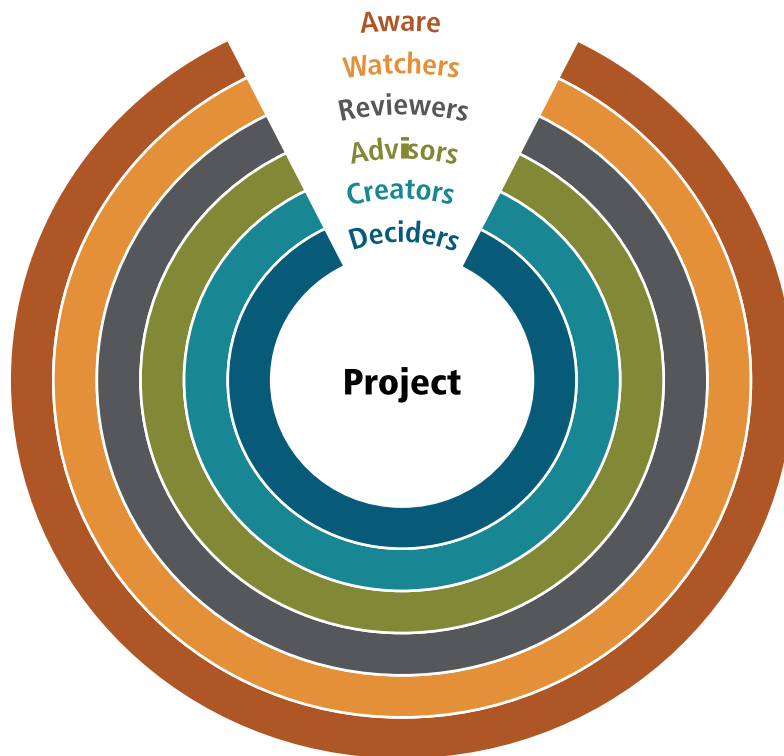
SOURCE: Lorenz W. Aggens, Involve

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 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.

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 of 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.

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.

LEAVING NO ONE BEHIND

A fundamental principle to the 2030 Agenda is 'Leave No One Behind' and so this step of stakeholder engagement and understanding people prompts us to consider who is being missed? Using Aggens model with the Orbits of Participation, helps to identify those groups of stakeholders who may be in the outer orbits of 'watchers' or 'aware' however there is still a risk that some groups and even vulnerable groups may get missed.

In March 2018 the Overseas Development Institute conducted a workshop as a side-event to the 2018 APFSD exploring some different types of marginalization, the cumulative impact of multiple forms of marginalization and who are the marginalized groups. The following figure depicts some of the different groups who can become marginalised:

The Asia-Pacific Regional Civil Society Engagement Mechanism (APRCEM) identifies 17 constituency groups, including groups that may be considered marginalized and vulnerable. In March 2018 the Overseas Development Institute conducted a workshop as a side-event to the 2018 Asia-Pacific Forum for Sustainable Development (APFSD) exploring some different types of marginalization, the cumulative impact of multiple forms of marginalization and who are the marginalized groups.

The following list identifies some potentially marginalized groups based on these understandings and could be considered with the major groups and other stakeholders identified for the 2030 Agenda in identifying specific constituencies which will need attention in design and planning of engagement processes (in no particular order):

1. Unemployed
2. Religious, ethnic, linguistic and other minorities
3. Indigenous people
4. People released from incarceration
5. Women and girls
6. People with differing sexual orientations (LGBTI)
7. People living with physical and other disabilities (including mental illness)
8. Children and youth
9. People affected by HIV
10. People affected by disaster and conflict
11. Workers and members of trade unions
12. Informal sector workers
13. Victims of human trafficking
14. Immigrants, refugees and migrants
15. Fisherfolk
16. Elderly
17. Farmers
18. People living in geographically isolated areas
19. ..... and others

What is essential for stakeholder engagement in the 2030 Agenda context is to create space for reaching those stakeholder groups who are at risk of being left behind. Currently the practice of reaching non-government actors in the 2030 Agenda is not typical and so steps towards more inclusive practice to create a higher level of participation of marginalised groups is necessary as encapsulated in SDG 17.

A starting point is when we are undertaking stakeholder mapping that we go beyond the usual actors and those that are familiar, to discover and learn about those that are less familiar and not typical stakeholder groups in our work. The analogy of the iceberg is a useful prompt to explore those stakeholder groups who are not visible to us, in other words below the surface:

Seeking advice from agency partners on identifying these other stakeholders, mapping at a sub-national level to know where marginalised groups may exist in certain areas and continuing to ask the question "Who are we missing?" or "Which groups are less likely to have voice in these discussions?" are important strategies.

STEP 4: SET PURPOSE

DEFINING A CLEAR PURPOSE, RISKS AND OPPORTUNITIES

When designing engagement the most important question to ask and keep asking is 'what is the purpose or purposes of the engagement?'

This step is distinct from the scope of the engagement, because it asks us to consider the WHY we are engaging stakeholders. Why we engage can have a significant influence over the methods we are choosing as there are multiple methods that can achieve the SCOPE (the tangible outcome) but the Purpose speaks more to the desired type of interaction and even relationships.

 We need to continue to check, clarify, confirm and regularly review the engagement purposes and desired outcomes of the engagement.

Some important questions to consider when establishing the engagement purpose and engagement objectives:

• 	What is the overall objectives of the intervention based on the respective stage of the intervention (planning, implementation, monitoring and review)?
• 	What will the engagement process contribute to the overall intervention objectives?
• 	What is the desired stakeholder experience of the engagement?

Stage	What is the overall objective of the intervention at this stage?	What is the Purpose of stakeholder engagement at this stage?	What is the desired stakeholder experience of this engagement during this stage?
Planning	Eg. Develop a plan for initiating a policy intervention	Eg: Engagement gathers stakeholder views on priorities in the plan	Eg: Stakeholders trust that the process is inclusive and robust
Monitoring and Review			
Implementation			

The purpose/s may change as the engagement progresses. Multiple purposes may be achieved by a single engagement but monitoring the engagement delivery and noticing any changes to these will be important. If changes are needed, the engagement design will need to be reviewed and redesigned so that it continues to meet and align to purpose.

Being clear about the purpose of the engagement project is a critical early step in the design of an engagement program. The purpose for any engagement approach may be one or a combination of the goals for engagement.

There needs to be a specific purpose and engagement goal that links the outcomes of the engagement processes, to the process of policy development or the implementation of the planned interventions.

This may be to:

- Inform the stakeholders and community about the intervention and processes to engage
- To develop a deeper understanding of complex problems and opportunities
- Understand the reactions and implications of a policy initiative
- Generate some options and new ideas for policy change and interventions
- Improve or renew policy, strategy or plans
- Develop partnerships to support implementation, monitoring and review processes
- Build community capacity to assist implementation, monitoring and review processes
- Encourage behaviour change
- Develop community resilience

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.

RISKS AND OPPORTUNITIES

All engagement processes carry risks that must be managed. They can also attract opportunities that could be considered. Decision makers will often seek information on the nature and significance of risk and the proposed approach to managing the risks.

We must manage risk at three stages:

- When we design an engagement process
- When we choose methods
- When we implement the plan

When assessing risk, consider where that risks lies, according to the framework on the next page (figure 8).

FIGURE 8: THREE ASPECTS OF RISK IN MANAGEMENT

Reputation
Media
Budget
Accountability
Community reaction
Project outcomes

Organisation

Capacity to deliver
Skills to deliver
Experience in the method
Fit for engagement purpose
Ability to report on
Data collection
Data analysis

**Engagement
Process**

Community

Access
Relevance
Interest
Willingness to participate
Perception of fairness
Transparency
Perception of being heard

SOURCE: IAP2 AU Engagement Design Module

STEP 5: SHAPE INFLUENCE

DETERMINE THE LEVEL OF INFLUENCE

All community engagement programs are not the same. For some initiatives, the stakeholder's role might be to provide feedback on policy proposals or planned interventions. In other cases, the stakeholder's role could be collaborative, partnering with the the organisation to jointly develop policy or the planned intervention.

The IAP2 Public Participation Spectrum highlights how much influence the public can have in a decision-making process. The level of interaction changes as the level of influence grows.

Contemporary engagement looks at ways to move this dynamic to more shared leadership and action, where organisations, stakeholders and communities are tasked with solving some of the very real and complex issues faced across the world.

The level of influence and where it lies will also shift between organisations, stakeholders and communities and will depend on who is leading the engagement and who is responsible for the action.

Determining the level of influence is based on assessing the context, purpose and stakeholders that will be engaged. In a contemporary sense, this consideration will also be influenced by who will be leading the engagement and have responsibility for the actions.

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

The IAP2 Public Participation Spectrum is based on a traditional engagement approach, which has a focus on government as the decision-makers and the stakeholders and public having mixed roles ranging from passive receivers of information to decision-makers.

IAP2 believes that each level of public participation and the accompanying goal suggests that a commitment is being made to the public. The project sponsor promises to take action that will achieve the goal of the level selected.

There are also more contemporary models of engagement such as co-design that focus on shared leadership of the engagement process and delivery of the outcomes of the process.

FIGURE 9: IAP2 SPECTRUM OF PUBLIC PARTICIPATION

INCREASING IMPACT ON THE DECISION →

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION	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.

SOURCE: IAP2 Foundations for Public Participation

STEP 6: SECURE LEADERSHIP COMMITMENT

Once the focus and rationale for the engagement intent has been developed by exploring and applying the earlier five essentials within the design platform, securing leadership commitment is an important next step.

The promise or commitment of any engagement process needs to reflect the commitment of those that have the ultimate decision-making power, to build integrity into the engagement process and to hold some confidence in being able to work with the outcomes of the engagement.

How the commitment from leaders and decision-makers can be achieved will vary to suit each government's and organisation's own cultural nuances or norms, but is often the product of a range of integral and smaller commitments within the organisation.

Decision-makers or engagement leader's commitment to the level of engagement and the engagement approach can be developed by:

- Understanding the decision-maker's purpose for engagement.
- Understanding the decision-maker's history or approach to engagement.
- Understanding the critical success factors for engagement.
- Engage the decision-maker early in the process to understand their goals for successful engagement.
- Consult the decision-maker on who the key stakeholders, organisations and other actors are.
- Test the thinking about the purpose and goals for engagement.
- Test the influence level of key stakeholders and actors. The process to engage the leader or decision-maker will depend on the protocols and cultural nuances at play.

The commitment from the leaders and decision-makers cannot be assumed to be final and unwavering throughout the engagement planning and implementation as external forces can change this position easily and very quickly. Regular reviews of this commitment should be undertaken to maintain confidence in the engagement intent.

STEP 7: ENGAGEMENT SEQUENCE

CREATING THE RIGHT STRATEGY AND ENGAGEMENT SEQUENCE

Engagement methods are the touchpoints of our engagement programs. They are the connection points between the sponsoring organisation and the stakeholders they seek to engage. The methods we use help create and foster relationships and determine the quality of input and/or decision making.

However, while methods are essential, it is the sequence or order of those methods that will ultimately determine if it is successful for the project overall.

In general terms there are three stages to any typical policy or planned intervention, namely planning,

implementation and monitoring and review.   It is important to look at the entire life-cycle of any policy or intervention across these three stages and plan for the stakeholder engagement process holistically.

FIGURE 10: THREE STAGES OF POLICY DEVELOPMENT
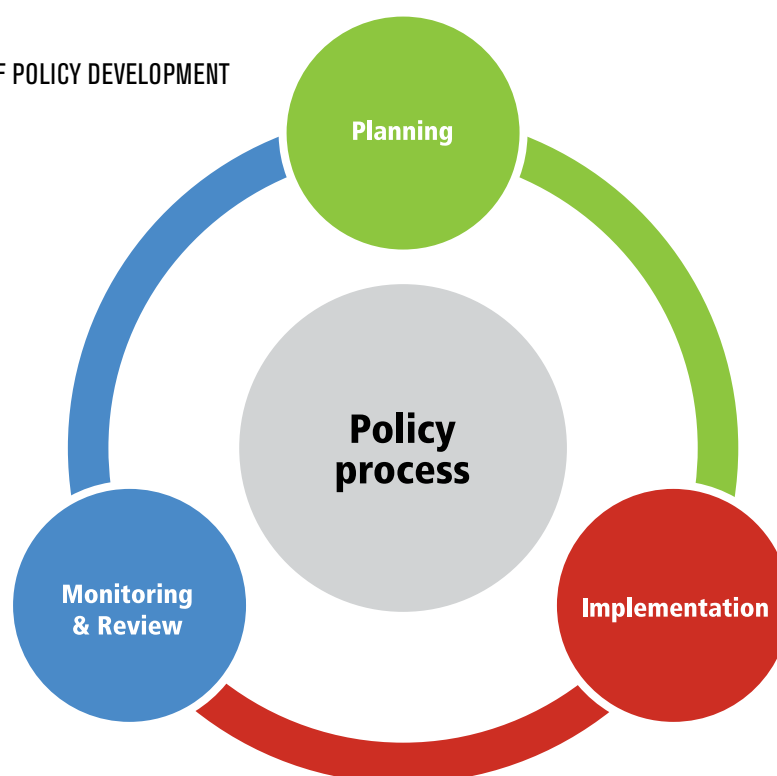
SOURCE: IAP2 Australasia Engagement Methods course

Each of the three stages is likely to have its own set of integral steps to move through that stage and given the dynamic nature of engagement practice, regular review of the engagement intent and the implementation will also need to be considered.

To use the wider 2030 Agenda process as an example to illustrate this, the planning stage includes the preparation of national action plans around the SDGs. This is the stage where national governments lay out the processes, modalities, mechanisms, and policies to prepare their countries for the shift to operationalising the commitments contained in the 2030 Agenda and SDGs. Here, stakeholders must be included through meaningful engagement methods as to participate in the work of setting the stage in preparation for the . . .

Implementation stage, which requires the government to then act on the national action plans and policies agreed upon in the planning stage. Here, stakeholders must continue to play a role through meaningful engagement methods and are excellent partners for helping actualise the national action plans.

Monitoring and review stage, where governments and stakeholders work together to assess progress on the goals and prepare to report to regional and international fora like the APFSD and the HLPF. Once again, stakeholders can work through engagement methods and can help fill gaps in data and information arising from the implementation stage.

ENGAGEMENT ACTIVATION

Pivotal to the stakeholder engagement planning is the notion of engagement activation. The purpose of the engagement activation is to build attention, understanding and interest in participation from key stakeholders and actors. We cannot assume that the key stakeholders are primed and ready to be engaged when we are ready to run our engagement activities.

Engagement activation often involves a series of promotional activities such as networking, advertising, using using organisational communication methods,social media and direct media to generate and build participation.

STEP 8: SELECT METHODS

There are a wide variety of methods available, ranging from those that are suitable for:

1. **ENGAGING WHOLE OF SOCIETY**
2. **VNR PROCESSES**
3. **DEVELOPING POLICY AND PROGRAMMES**
4. **BUILDING CAPACITY**
5. **CREATING AWARENESS AND UNDERSTANDING**
6. **PROMOTING INCLUSION**

However, there is no magic method. Every engagement process will require a different set of engagement methods.

Selecting the right method is crucial in achieving the engagement objectives, responding to the needs of key stakeholders and the decision makers, forming better partnerships and creating a base for future engagement.

It might seem expedient to just start by planning an engagement method, but if we start at the stage of implementing methods without linking it to the broader engagement process we are likely to fail. When planning for methods we are also considering how they might be delivered and how we will assess their effectiveness. See illustration below:

FIGURE 11: SELECTING AND DESIGNING METHODS

Method **Selection**   Method **Planning**   Method **Delivery**   Method **Assesment**

SOURCE: IAP2 Australasia Engagement Methods course

A key component of designing an engagement program is to select the right methods and to ensure that they work together and are in a suitable sequence. The choosing of methods needs to be based on the elements considered in the earlier planning steps:

- The broad context of the planned intervention;
- Clarity of the key stages for the intervention and the identification of the specific purpose and objectives of the engagement at each stage;
- The identification and analysis of the key stakeholders to be engaged, including what level of influence suits the objectives.

Method selection incorporates the following key steps:

1 Indentify stakeholders and community engagement objectives.

2 Choose potential methods that meet these objectives for the intended audience.

3 Evaluate these options in terms of suitability.

Selecting methods should also take into account two more additional factors:

- Estimation and availability of resources
- Data management

ESTIMATION OF RESOURCES

Once the detailed engagement methods are sequenced, the budget for the engagement program can be prepared and this step provides an opportunity to test and challenge the assumptions underpinning the engagement plan.

The resources to be applied in any project is an assessment in terms of goals, time, cost and quality.

GOALS

- What is the expected level of participation?
- What are the critical success factors for the project?
- How significant is the project to the organisation, stakeholders or partners?

TIME

- How much time do you have to manage and implement the engagement program?
- Are there contributions others could make?

COST

- What is the projected cost of the engagement activities?
- What is the budget?
- Does the organisation have sufficient resources and capability to manage and implement the plan?
- Are there other ways to achieve the outcomes sought?

QUALITY

- Will the planned program of participation meet the engagement goals?
- Will the methods chosen match the profile of interest in the stakeholders and other actors?

Consideration of these factors can lead to adjustments on the proposed methods until an optimal approach is concluded.

DATA MANAGEMENT

COMMUNITY OF INTEREST:

Even at the engagement planning phase it is useful to determine what data you want to collect and also how you will collect, interpret and use it.
When planning your method, you need to plan:

- What data you will need to collect
- The best way to collect that data from your method/s
- How to analysis and report on the data collected

The data analysis includes a number of stages:

1. DETERMINE YOUR DATA NEEDS (RATIONAL AIMS AND EXPERIMENTAL AIMS)

a. What community input / feedback or project output is needed from the method?
b. What data do you need to collect in order to meet your experiential aim? For instance, do you need to collect information about community trust, relationships between stakeholders, perceptions about the decision-making process?
c. What form is the information required in?
d. Data might include a broad range of sources, from qualitative to quantitative, including text, photos, videos, artist representations, demographics, community usage and more.

2. DATA COLLECTION (METHODS)

a. How is the data collected? Online, in person, via printed forms, from social media, attendance counts, etc.
b. What methods are best to collect the data you need?
c. How will you collect the data from your method? For instance, how will you collect community input from a world café in a way that meets your rational needs?
d. What do you need to develop in order to collect the data? For instance, forms, online platforms?

3. DATA INTEGRATION (COLLATING DIFFERENT SOURCES AND PROCESSING TOGETHER)

a. How will you integrate the data?
b. Does data from some methods have greater importance or weighting? For instance, do you treat community comments from Facebook and Twitter in the same way as a formally written submission?

4. DATA ANALYSIS (INSIGHTS)

a. What have you learned from the data collected from your method/s?
b. There are different types of data analysis such as GIS mapping for analysing geo-spatial data, content analysis for analysing comments, and social network analysis for analysing community and stakeholder connections.

5. REPORTING

a. How and when will you report on your findings from the method?
b. While it may be tempting to just report back on numbers, remember that in community engagement we're dealing with people, so qualitative data can sometimes provide a more powerful insight into human motivations, desires, needs and emotional connections.

Consideration of all of these factors can also refine our method choices so that we match up our choice of method with available resources and a realistic view about how to manage the data in a constructive and effective way.

RANGE OF METHODS

There are a wide variety of engagement methods. Some such as Appreciative Inquiry or Deliberative Forums, have a very precise methodology while others such as workshops can be more fluid in their design. The IAP2 Australasian Methods Matrix (included in the learning materials) classifies methods based on scale, which engagement contexts they are suited to, and which engagement purposes they meet.

1. SCALE

a. Individual
b. mall group
c. Large group
d. Public

2. ENGAGEMENT CONTEXTS

a. Low trust
b. Low interest
c. High complexity
d. Tight timeframes
e. Need new solutions
f. Hard to reach audiences
g. Highly political

h. High emotion and outrage
i. Need to understand community better

3. ENGAGEMENT PURPOSES

a. Inform
b. Legal compliance
c. Understanding reactions and implications or consequences of a proposal
d. Generate alternatives, new ideas and options
e. mprove quality of a policy, strategy or plan
f. Relationship development
g. Community capacity and capability building
h. Generate support for action
i. Behaviour change
j. Social licence
k. Community resilience
l. Identify a problem or opportunity to address
m. Decision making

The IAP2 Methods Matrix is an excellent resource to help choose appropriate methods for the engagement program.

ONLINE ENGAGEMENT

Online engagement can be a time and cost effective way to support people that are geographically dispersed to share information and engage with each other.

With more people now having access to the internet and smartphones, there can value in considering the various online tools available. However, while there are many different online options, it is important to note that;

• The use of online engagement can further marginalisation some communities where internet access is either limited or cost prohibitive. As such, online engagement could work against the goals of "leaving no one behind"

• Online engagement is not a substitute for in person engagement but rather a tool that can support any required in person work.

There are a range of social media tools (Facebook, Twitter, Pinterest, etc.) that can be used for engagement and there are also a range of tools that have been specifically designed to support online deliberation and engagement.

Different online tools offer different features and functions, such as;

• Document collaboration and editing
• Online Surveys
• Discussion board and chat
• VDocument, video, audio libraries
• Event promotion and registrations
• Geo-tagging (Pin drop) of activities and preference
• Analytic of who is contributing when and how often
• Individual and group chat

EXAMPLE: ESTONIA

Estonia has made great strides in using the Internet and online platforms to encourage its population to engage in national decision making. When the country presented its VNR at the HLPF in 2016, it made reference to its e-governance initiatives in the context of its implementation of SDG 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. This inclusive approach to governance provides a good example to how stakeholders, with the caveat that all must have adequate Internet access, can become engaged in all kinds of policy processes, including the implementation, follow-up, and review of the 2030 Agenda.

To illustrate the Estonia example, when draft laws are put forward in parliament, the public has access to the draft legislation and is kept informed throughout. Until the law is officially adopted, the Estonian population has opportunities to provide feedback during online public consultations. Opinions on draft legislation are welcome and civil society and social groups are seen as partners in decision making, especially when a law being debated has a particularly large impact on the public.

EXAMPLE: INDONESIA

In Asia, several countries have used online platforms to engage their populations. In the context of the 2030 Agenda and VNRs, Indonesia established a robust mechanism that gathers key sectors of society, including the office of the president, to participate in the implementation, follow-up, and review of the SDGs. Stakeholders are engaged throughout, and the government uses online platforms to conduct consultations, as well as keep the population informed. Online consultations were even used during the country's formulation National and Subnational Action Plans for the 2030 Agenda.

As this section makes clear, the possibilities for engagement using online platforms are many, but access to the Internet can always be an issue. Moreover, it is critical to ensure that online platforms allow for more than just information sharing. The above two examples are good in that the populations of each country can give feedback and provide inputs into critical policy processes. Certainly, much can be done to find creative and meaningful ways to engage citizens online and the 2030 Agenda and VNR process represent an excellent opportunity to build new modes of stakeholder engagement that can benefit society as a whole and build trust between people and their governments.

Prior to implementing an online engagement process it is useful to consider the following:

1. TOOL/CHANNEL SELECTION;

This would be dependant on:

a. The context, scope and purpose of the project
b. The accessibility of any given online tool for participants
c. The type of involvement you want to have with stakeholders and/or the wider community
d. The budget you have available

See page 50 for a guide to different engagement platforms.

2. COMMENTS MODERATION GUIDELINES:

The management of comments is an important consideration for online engagement. There can be a risk when engaging online, that discussion threads and forums can become overrun by negativity.

It is important that the organisation develop a moderation guidelines and a code of conduct for the tone and nature of participation that applies to everyone engaging in the project or initiative.

The host organisation needs to have a clear guidelines on how it will respond to comment and what level of moderation of people's interaction it will apply.

Most typically moderation has three levels to it:

1. Pre Moderation: Comments are submitted but not published until verified by the host organisation.
2. Post Moderation: Comments are automatically published but the host organisation reserves the rights to edit or delete the post if it breach their moderation guidelines.
3. No Moderation: People are free to post and comment as they see fit

When it comes to moderation there is an important distinction to be made between the posts that the host organisation disagrees with and moderating comments that breach an ethical, legal code of conduct (e.g.: slander, abusive language, etc.). The ability to moderate comments should not become a tool for censorship or stifling democratic debate.

3. ONLINE ENGAGEMENT POLICY/GUIDELINES

Another supporting document would be the online engagement policy/guidelines. These documents would outline:

- Why the organisation is using online engagement
- What resources will be made available for online engagement
- What training will be made available for online engagement
- The preferred channels for online engagement
- Who can respond to comments on behalf of the organisation or for that initiative?
- What is the most streamlined process for signing off on responses (remember that the online environment moves much more quickly than traditional correspondence)

ONLINE ENGAGEMENT TOOLS

The following guide provides a small sample of the many free and fee for service tools that support engagement in a number of ways.

FREE TOOLS:

(1) Google Docs (Documents, Spreadsheets, Slide, Forms etc.)
https://www.google.com/docs/about/
Google Suite is a free set of online document, spreadsheet, slides and forms editors, that allow multiple people to work in the one file at the same time and can be viewed simply by sharing a link. You need a google account to access.

(2) Google Sites (DIY website)
https://sites.google.com/
Google sites offers a website with some of the basic functionality required for online engagement (document sharing, discussion boards, etc.)

(3) Zoho Docs (Document, Spreadsheet, forms, etc.)
https://www.zoho.com/docs/

Zoho is a free set of online document, spreadsheet and forms editors, that allow multiple people to work in the one file at the same time and can be viewed simply by sharing a link.

(4) Virtual Meetings
There are many platforms that offer the ability for multiple users to meet online and discuss: Skype, Zoom, Google Hangouts, GotoMeeting, Webex, etc.

Different platforms have have different levels of free and fee based service offerings.

FEE FOR SERVICE TOOLS

There are a number of web-based platforms that have been designed specifically for the purpose of community and stakeholder engagement. The cost of each platform can vary as does the features offered.

	Document, Video, Audio Sharing	Discussion Board and comment	Geotagging (pin drop)	Other tools for supporting online discussion	Event promotion and booking	Survey / polling	Cost
Engagement Hub							$$
Engagement HQ							$$$
HIVE							$$
Social Pinpoint							$$
Mighty Networks							$
Loomio							$

STEP 9 EVALUATING ENGAGEMENT

SETTING STANDARDS AND EVALUATING ENGAGEMENT

Engagement planning is the process of taking the initial analysis to create a design platform and translate that into a robust plan that guides implementation. The engagement plan is a statement that provides a clear line of sight from the project stage and engagement purpose, to methods selection and delivery and evaluation.

There can be a big difference between 'doing engagement' and doing engagement well. In the previous module we explore the concept of quality engagement and offered two ways to explore the quality of your engagement approach:

(1) Planning Assessment Tool Dimensions
(2) IAP2 Core Values

While, it is possible to develop a custom made evaluation framework for every project, the above tools can be adapted to any process for assessing the quality of engagement.

As a quick, recap, the planning and assessment tool offers a series of indicators for quality engagement grouped by these dimensions;

- Purposeful: i.e.; It was well planned, resourced, and focused a clear objective
- Inclusiveness: i.e.: A diverse group of people felt able to participate
- Appropriate: i.e.: The method selected suited to the people participating and the type of discussion/outcome required
- Transformative: i.e.: it lead to meaningful and sustained outcomes

This can be a useful tool in its own right, but what if we regrouped the indicators along a logical planning sequence? The following table provides a possible planning sequence to evaluate and periodically reassess your design and plan you progress through the planning and engagement process - and in post-implementation review.

	Indicators in a planning sequence	**Dimension**
1	**1.1 Engagement planning** [The detail of engagement planning is consistent with the level of project outcome/risks and recognizes participation as a right]	**PURPOSEFUL ENGAGEMENT**
2	**3.1 Stakeholder Analysis** [Stakeholder analysis ensures representativeness and understanding of the UN major groups, other stakeholders and respects participation as a right]	**INCLUSIVE ENGAGEMENT**
3	**1.6 Statement of engagement objectives** [Engagement objectives are widely understood and linked to project objectives]	**PURPOSEFUL ENGAGEMENT**
4	**1.4 Clear roles and responsibilities** [Well-defined roles are agreed to early in the engagement, both within and outside the organization]	**PURPOSEFUL ENGAGEMENT**
5	**1.3 The time and budget allocation** [Adequate/appropriate to the project objective and secured for the duration of the initiative]	**PURPOSEFUL ENGAGEMENT**
6	**2.1 Communicating process and scope of influence** [Scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop]	**PROACTIVE ENGAGEMENT**
7	**2.2 Communicating engagement content** [Sufficient, accessible information is provided with enough time for people to engage in a meaningful way]	**PROACTIVE ENGAGEMENT**
8	**3.3 Dealing with barriers to participation** [Barriers to participation for specific groups are clearly identified and active steps have been taken to reduce them (eg: Accessibility, Technology, Social prejudice, Cultural, "safe space", Language, etc)]	**INCLUSIVE ENGAGEMENT**
9	**3.4 Inclusion of disadvantaged groups** ["Leave no one behind" – Disadvantaged groups are clearly identified and specific measures are put in place for engaging them]	**INCLUSIVE ENGAGEMENT**
10	**4.1 Building understanding between stakeholders** [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]	**TRANSFORMATIVE ENGAGEMENT**
11	**4.2 Highly Collaborative** [Levels of engagement and influence are clearly defined and seek to move beyond information and consultation, as appropriate and in line with the 2030 Agenda intentions]	**TRANSFORMATIVE ENGAGEMENT**
12	**2.3 Outreach** [The process and methods explicitly raise awareness, encourage and invite participation and actions by stakeholders and the public]	**PROACTIVE ENGAGEMENT**
13	**2.4 Documenting and responding to stakeholder contributions** [Questions, commitments and outcomes are recorded and followed through in a timely way]	**PROACTIVE ENGAGEMENT**
14	**1.5 Engagement & follow-through** [Consultation outputs, recommendations or decisions are given the promised level of consideration]	**PURPOSEFUL ENGAGEMENT**
15	**3.2 Diversity of perspectives shared** [The engagement process provides equitable opportunities for a diverse range of perspectives to be shared, including assenting and dissenting views, scientific perspectives, human rights perspectives and others, as appropriate]	**INCLUSIVE ENGAGEMENT**
16	**2.5 Openness and adaptable to feedback** [Mechanisms to receive and respond to complaints and feedback]	**PROACTIVE ENGAGEMENT**
17	**3.5 Appropriateness from cultural and other perspectives** [Engagement method and process demonstrates cultural sensitivity and awareness, seeking to balance power relationships within society]	**INCLUSIVE ENGAGEMENT**
18	**3.6 Provision of safe spaces** [Methods, institution, facilitation and physical spaces encourage open participation and provide adequate protection for people from reprisals]	**INCLUSIVE ENGAGEMENT**

19	**4.5 Synergize actions across SDGs** [The methods and process bring stakeholders together across SDGs where there are interactions between them (for example between food security and poverty)]	**INCLUSIVE ENGAGEMENT**
20	**4.3 Integrate economic, social and environmental perspectives** [The methods and process give balanced attention to and integrates the economic, social and environmental perspectives]	**TRANSFORMATIVE ENGAGEMENT**
21	**4.4 Stakeholder acceptance, support and involvement** [The engagement process and methods are considered appropriate by participants]	**TRANSFORMATIVE ENGAGEMENT**
22	**2.6 Ongoing Follow Through** [Attention is paid to ensuring there is consistent follow through and monitoring of the outcomes/output of the consultation process]	**PROACTIVE ENGAGEMENT**
23	**4.6 Participation used to make meaningful change** [Sustained engagement enables the delivery of substantive changes to complex issues (eg: systems, beliefs, behaviours etc)]	**TRANSFORMATIVE ENGAGEMENT**
24	**1.2 Commitment to improvement** [Previous lessons learnt and project history are considered during engagement planning, evaluation process is defined]	**PURPOSEFUL ENGAGEMENT**

0	1	2	3	4	5	6
Below Standard			**Standard Practice**			**Leading Practice**
Approaches to each indicator that would be considered not acceptable practice and below standard			Approaches to each indicator that would be considered a minimum standard for practise			Approaches to each indicator that would be considered leading practise for engagement

EVALUATING ENGAGEMENT

As can be seen, the Planning and Assessment tool has value as a broad guide of quality dimension

to consider and as a more detailed guide to planning, but what about assessment? How do you know if each indicator has been delivered to a sufficient standard or level of expected quality?

Each engagement occurs within its own social, political, economic and environmental context as such setting a generic set of standards can be a difficult task.

The following evaluation guide outlines what you might look for to evidence each of the indicators. This would make it possible to assign a score along a seven point likert scale as follows.

The difficulty with scorecard approach to engagement evaluation is that a scorecard increases the need for specificity.

The important thing to remember about the proposed model of evaluation, is that the process of scoring is meant as a discussion starter for a team, organisation or group to review and reflect on their engagement practice.
The scoring and scores itself are less valuable than the nature of the conversation that surrounds the process of agreeing a score.

HOW WOULD YOU EVALUATE?

The Planning and Assessment tool has been designed with the following principles in mind:

1. **GENERATIVE:** An evaluation process that encourages practice development rather than trying to catch people doing something 'wrong'. The tool and associated scoring guide show the minimum and leading examples of delivery for each indicator.
2. **SCALABLE:** The process recognises that different projects have different scales, capacities and contexts. As such, the scoring needs to take into account these variances.
3. **BALANCE:** Consideration is given to balancing the burden of evidence gathering with the need to make the process meaningful and useful. Where possible, existing documentation has been identified to evidence each indicator.
4. **SIMPLE:** The process is designed to foster a learning environment focussed on engagement

Neutrality	What relationship do you have to the project or project team members and how might this influence how you view the evidence gathered?
	Is the scoring being guided by a desire to be friendly, or a desire to support peer learning?
Sufficiency	How much information is required to satisfy each element?
	Would verbal assurances provide sufficient credibility for scoring or as the lead evaluator are you wanting to verifying what you are being told?
Source	Where do you need to access your information? (e.g. project team, directly from stakeholders) Are you happy that what you are hearing and reading is unbiased?
Context	What are the resources, timeframes, broader organisational systems and other factors which may contextualise the information or outcomes being discussed?

The evaluation process works best when it is generative in nature. As such, the tone of the data collection process and evaluation meeting is more collegial and conversational than a formal audit process.

The lead evaluator, is encouraged to facilitate the evaluation meeting in a way that encourages exploration of the evidence, beyond simply checking for compliance with each line. Evaluators are encouraged to ask clarifying questions, view and review the documentation collected and facilitate a discussion about the project and systemic learning.

The critical outcomes of the assessment process are the lessons learned and not the scores. That said, the learning needs to be meaningful. Some probing questions are help to check the following elements that will make for more assessment that provides a sound basis for learning:

QUALITY ENGAGEMENT INDICATORS AND MEASURES

In the following section are the set of quality indicators with the corresponding measures for varying standard levels that can be used as a basis for evaluation of engagement processes.

We can also assessing the quality of engagement processes through their impact - but this needs different approaches and measures.

Area	Sequence	Indicator	Measures - Below Standard				Measures - Standard Practise				Measures - Leading Practise
			0	**1**	**2**		**3**	**4**	**5**		**6**
PURPOSEFUL ENGAGEMENT	1	**1.1 Engagement planning** [The detail of engagement planning is consistent with the level of project outcome/risks and recognizes participation as a right]	Limited to no assessment of context, risks or history was undertaken				Engagement plan provided information on stakeholders, risks and planned activities Engagement plan provided sufficient evidence of risk mitigation planning Engagement plan prepared by governments and shared. Engagement w/ stakeholders as the need arises / one-off x projects.				Engagement plan is co-designed (governments & non governments) & results are owned by all stakeholders Clear information on stakeholders, timelines and planned activities Plans and assumptions reviewed regularly during the engagement process Planning process showed evidence of review of previous projects lessons learnt and customisation for specific context
INCLUSIVE ENGAGEMENT	2	**3.1 Stakeholder Analysis** [Stakeholder analysis ensures representativeness and understanding of the UN major groups, other stakeholders and respects participation as a right]	Stakeholder analysis not completed Limited understanding of any project history (Org and stakeholder perspectives) Limited to no consideration in planning to project history (no research undertaken on stakeholders/ community) No site and context analysis completed				Stakeholder analysis completed Some understanding of project history (org and stakeholder perspectives) Context analysis completed Desktop Research on stakeholders / community undertaken				Stakeholder analysis and social risk scan was completed and reviewed throughout the project life cycle Consultation with affected stakeholder/community led to a detailed understanding of project history Database showed understanding of disadvantaged groups and barriers to participation

Category	#	Criterion	Red	Green	Blue
					Demonstration that the above info influenced engagement planning
PURPOSEFUL ENGAGEMENT	3	**1.6 Statement of engagement objectives** [Engagement objectives are widely understood and linked to project objectives]	No clear project objective No clear Engagement objective	Project objectives were articulated and understood Engagement objectives were articulated and understood	Project objectives were developed in a collaborative manner with stakeholders Engagement objectives were clearly articulated and understood Relationship Objective clearly articulated and understood
PURPOSEFUL ENGAGEMENT	4	**1.4 Clear roles and responsibilities** [Well-defined roles are agreed to early in the engagement, both within and outside the organization]	Minimal to no communication about engagement amongst the project team and wider organisation Inconsistent and at times inaccurate communication across different part of organisation in relation to the engagement and or project objectives	Internal roles and responsibilities identified early in engagement planning Staff leading the engagement had capacity and capability to undertake engagement process Decision making process was consistent with the promised commitments and level of engagement Internal stakeholders remained apprised of developments throughout the engagement External consultation on roles	Co-creation of roles and responsibilities with stakeholder involvement beyond just consultation Engagement reporting enabled quality and timely decision making internally Resources enabled creative and leading engagement practice Organisation showed willingness to respond differently to emerging stakeholders needs
PURPOSEFUL ENGAGEMENT	5	**1.3 The time and budget allocation** [Adequate/ appropriate to the project objective and secured for the duration of the initiative]	Timelines were tight and restricted stakeholders from participating at the promised level of engagement	Information was conveyed in sufficient time for people to understand and respond	Stakeholder participate in budgetary process Engagement options suited the range of demographics

Category	#	Criteria			
			Human and financial resources were limited and restricted stakeholders participation to the promised/required level of engagement Engagement options did not suit the range of demographics	Engagement timeline, human and financial resources allowed the process to meet the promised/required level of engagement Some consultation on draft budget and timelines	Engagement timeline, human and financial resources allowed flexibility to respond to different levels of engagement and participation to the satisfaction of stakeholders involved
PROACTIVE ENGAGEMENT	6	**2.1 Communicating process and scope of influence** [Scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop]	Information on level of influence, engagement process and decision-making parameters was lacking throughout engagement efforts Scope of influence and process was unclear both internally and with stakeholders Information on process was not provided early to stakeholders in the process Information was overly technical and inaccessible in presentation style for participants	Basic information on level of influence and process conveyed to stakeholders Information was provided in a timely manner and early in the engagement process Presentation of information was in plain English and comprehensible by the participants	Stakeholders involved in Co-creation + co-design of materials and communication Stakeholders were provided with concise and detailed information relevant to level of influence, engagement process and decision-making parameters Stakeholders were informed early in the process and regularly updated Information was well adapted to target readership
PROACTIVE ENGAGEMENT	7	**2.2 Communicating engagement content** [Sufficient, accessible information is provided with enough time for people to engage in a meaningful way]	Information presented in an overly technical and difficult to read format Information presented did not comply with disability access standards Participants given insufficient time to review and comment on information	Information presented in an easy to read format Information presented complies with disability access standards Participants given sufficient time to review and comment on information	Information presented in multiple formats, language and accessibility formats Participants contributed and commented on the development of the required information

Category	#	Criterion	Red	Green	Blue
INCLUSIVE ENGAGEMENT	8	**3.3 Dealing with barriers to participation** [Barriers to participation for specific groups are clearly identified and active steps have been taken to reduce them (eg: Accessibility, Technology, Social prejudice, Cultural, "safe space", Language, etc)]	Barriers to participation not address	Power dynamic recognised and strategies to mitigate development Barriers (systemic and others) are clearly identified and some steps are taken to deal with them in the process and appropriate methods.	Comprehensive identification of barriers Significant effort taken to reduce barriers to participation
INCLUSIVE ENGAGEMENT	9	**3.4 Inclusion of disadvantaged groups** ["Leave no one behind" – Disadvantaged groups are clearly identified and specific measures are put in place for engaging them]	The voice of disadvantaged groups not represented in the consultation Insufficient effort to identify key disadvantaged Insufficient effort to engage key disadvantaged	Disadvantaged group identified Some representation from disadvantaged groups in the consultation Some effort to engage key disadvantaged groups	Proactive and comprehensive identification of disadvantaged groups. Disadvantage groups supported to directly represent themselves. Significant effort to engage key disadvantaged groups
TRANSFORMATIVE ENGAGEMENT	10	**4.1 Building understanding between stakeholders** [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]	Methods used for consultation did not develop deeper understanding	Methods used for consultation enable multiple stakeholders to share and understand each other views Different views are recorded and publicly available	Collaborative decision-making methods enabled broad understanding and agreement on the action required Shared understanding and agreement enacted Partnerships between different stakeholders are mobilized for action on the 2030 Agenda.
TRANSFORMATIVE ENGAGEMENT	11	**4.2 Highly Collaborative** [Levels of engagement and influence are clearly defined and seek to move beyond information and consultation, as appropriate and in line with the 2030 Agenda intentions]	Little to no Influence offered during the participation Engagement outcomes lead to some ongoing collaboration	Some groups offered higher levels of Influence and participation Engagement outcomes lead to some ongoing collaboration	High levels of influence and participation available to a diverse range of participants Engagement outcomes lead to ongoing collaboration

#	Category	Criterion	Process operated at the inform or level of the IAP2 spectrum	Process operated at the consult or involve level of the IAP2 spectrum.	Process operated at the Collaboration or Empower level of the IAP2 spectrum
12	PROACTIVE ENGAGEMENT	**2.3 Outreach** [The process and methods explicitly raise awareness, encourage and invite participation and actions by stakeholders and the public]	No broader outreach to engage a wider audience beyond typical stakeholders	Participation is encouraged and supported	Ensure that all affected contribute to decision making. Outreach to stakeholder groups to design more accessible communications
13	PROACTIVE ENGAGEMENT	**2.4 Documenting and responding to stakeholder contributions** [Questions, commitments and outcomes are recorded and followed through in a timely way]	Questions were not responded to in a timely way. Commitments not recorded or followed through. Opportunities to ask questions not provided to stakeholders	Opportunities provided for stakeholders to ask questions. Questions responded to in a transparent and timely way. Commitments progressed and communicated to stakeholders in a timely manner	Ongoing opportunity for stakeholder to ask questions was provided throughout life of project. Systems in place allowed for rapid response to questions. All commitments and questions recorded and met within timeframe agreed with stakeholders
14	PURPOSEFUL ENGAGEMENT	**1.5 Engagement & follow-through** [Consultation outputs, recommendations or decisions are given the promised level of consideration]	The influence offered to stakeholders did not match the level of influence promised from the outset of the consultation process and delivered to stakeholders. The level of stakeholder influence was never agreed upon internally and then communicated to stakeholders	The consideration given to stakeholder input gathered, matched the promised level of influence. Alternatives presented by stakeholders were actively explored for potential fit. Reports and recommendations are available to consultation participants	Outcome of influence/decision was communicated clearly and early. Alternatives presented were actively explored for potential fit. Evidence that options were developed & prioritised in alignment with stakeholder aspirations. Follow-up action on recommendations, reported back to stakeholders and wider community

INCLUSIVE ENGAGEMENT	15	**3.2 Diversity of perspectives shared** [The engagement process provides equitable opportunities for a diverse range of perspectives to be shared, including assenting and dissenting views, scientific perspectives, human rights perspectives and others, as appropriate]	Engagement processes and tools did not meet targeted stakeholder needs & access requirements Engagement process negatively affected equitable participation Engagement processes limited the diversity of views heard, captured and /or shared Information layout and format did not suit target audience (i.e. overly technical for a lay audience) No record of the breadth of issues/topics raised by stakeholders	Access & timing of engagement events suited the needs of stakeholders & community identified A variety of opinions, values & needs were heard Information conveyed was relevant and comprehensible The spread of stakeholder views was reflected in reports both internally and externally	Support provided to ensure optimal involvement from diverse groups (i.e. translators, etc.) if required Multiple communication channels offered Engagement process selected mitigated / managed conflict and supported quality discussion The spread of views was reflected in reports internally and externally Assistance provided to build understanding prior to engagement (e.g. technical support, briefing sessions etc.)
PROACTIVE ENGAGEMENT	16	**2.5 Openness and adaptable to feedback** [Mechanisms to receive and respond to complaints and feedback]	Comment/questions were not responded to in a timely way Commitments were not recorded or followed through Insufficient opportunities provided to stakeholders to ask question/comment No record of stakeholder contact No record of the nature of issues/concerns raised	Opportunities provided for stakeholders to ask questions and make comment Questions responded to in a transparent and timely way Commitments recorded, progressed and communicated to stakeholders in a timely manner	Multiple communication channels used to gather input Opportunities provided for stakeholders to ask questions and make comment at different stages throughout the process Efforts made to build stakeholder awareness and understanding prior to formal engagement Process was adapted to meet emerging feedback and comments

INCLUSIVE ENGAGEMENT	17	**3.5 Appropriateness from cultural and other perspectives** [Engagement method and process demonstrates cultural sensitivity and awareness, seeking to balance power relationships within society]	Process show cultural insensitivity Cultural norms prevented people from being consulted about issues that affect their lives	Issues of cultural sensitivity, cultural values and traditional channels are recognized in the process and methods adapted to suit Rights to participate are not compromised by cultural norms and perspectives	Cultural norms and traditional channels are harnessed to enrich the process and method
INCLUSIVE ENGAGEMENT	18	**3.6 Provision of safe spaces** [Methods, institution, facilitation and physical spaces encourage open participation and provide adequate protection for people from reprisals]	Venues and formats for engagement discouraged participation and enhanced power imbalances Participants did not feel safe providing their views	The majority of venues and formats for engagement encouraged participation and reduced power imbalances Participants feel safe providing their views	All venues and formats for engagement encouraged participation and reduced power imbalances Participants feel safe providing their views Legislative safety enable to protect people from reprisal
TRANSFORMATIVE ENGAGEMENT	19	**4.5 Synergize actions across SDGs** [The methods and process bring stakeholders together across SDGs where there are interactions between them (for example between food security and poverty)]	Engagement was overly focus on a single SDG and didn't canvass opportunities to link to other SDG or complementary initiatives	Engagement could show the connection between the focus SDG and other SDG's Participants represented enabled consideration to be given to other SDG's or complementary initiatives Open access to data relating to SDG activities and performance	Engagement could show the connection between the focus SDG and other SDG's Participants represented enabled collective action on other SDG's or complementary initiatives
TRANSFORMATIVE ENGAGEMENT	20	**4.3 Integrate economic, social and environmental perspectives** [The methods and process give balanced attention to and integrates the economic, social and environmental perspectives]	Content was overly focused on one perspective and did not support integrated planning	Content enabled a balanced review of social, economic and environmental perspective Outcome from consultant articulate economic, social and environmental dimensions	Content thoroughly reviewed of social, economic and environmental perspective Balance representation of constituency from each domain

TRANSFORMATIVE ENGAGEMENT	21	**4.4 Stakeholder acceptance, support and involvement** [The engagement process and methods are considered appropriate by participants]	There was no systematic process to record the stakeholders engaged Limited to no stakeholder support of process outcomes	Overall stakeholder support for outcomes Overall stakeholder support engagement process	Very high level of stakeholder satisfaction with project outcomes Very high level of stakeholder satisfaction with engagement process Stakeholders report satisfaction with the commitment to engagement
PROACTIVE ENGAGEMENT	22	**2.6 Ongoing Follow Through** [Attention is paid to ensuring there is consistent follow through and monitoring of the outcomes/output of the consultation process]	No process in place for ongoing monitoring and review of engagement outcomes and initiatives	Process in place for ongoing monitoring and review of engagement outcomes and initiatives	Collaborative process in place for ongoing monitoring and review of engagement outcomes and initiatives
TRANSFORMATIVE ENGAGEMENT	23	**4.6 Participation used to make meaningful change** [Sustained engagement enables the delivery of substantive changes to complex issues (eg: systems, beliefs, behaviours etc)]	Engagement process are one off event-based opportunities for input	Engagement plans give consideration to the long-term mechanism required to sustain action to deliver meaningful	Mechanism for ongoing collaboration and engagement changes perspectives, builds shared understanding and delivers substantive change Shared design and deliver of engagement fosters shared responsibility and action

| PURPOSEFUL ENGAGEMENT | 24 | 1.2 Commitment to improvement [Previous lessons learnt and project history are considered during engagement planning, evaluation process is defined] | Limited or no evidence of evaluation planning completed during engagement planning | Evaluation of engagement given profile in the engagement plan

Adequate data collected to enable the evaluation

Independent assessment asks stakeholders for feedback

Results made publically available | Detailed and comprehensive evaluation planned as part of the engagement process

Process independently assessed with stakeholder involvement
Results made publically available

Evidence of detail evaluation data being collected

Evidence that evaluation influenced changes to the engagement plan |

Step 10: Governance and implementation

ESTABLISH A GOVERNANCE STRUCTURE AND AN IMPLEMENTATION MECHANISM OF THE STAKEHOLDER ENGAGEMENT PLAN

The successful implementation of an engagement program requires an explicit and agreed governance structure so that roles, responsibilities and reporting arrangements are outlined for the key people involved in its implementation. Integral to this will be the mechanisms for monitoring progress, assigning resources, decision-making on adjustments that may need to be made and determining when adequate progress has been made in order to move to the next stages of the engagement program.

Some guiding questions to help with the implementation of the stakeholder engagement plan:

- Who will be responsible for implementing the stakeholder engagement plan as well as monitoring and review?

- Where will be the institutional home for the stakeholder engagement plan?

- What is the mechanism to ensure that stakeholder engagement process is assessed based on the four dimensions of effective stakeholder engagement regularly?

Good project management skills are paramount to overseeing the engagement program.
The critical elements to maintain during any engagement program are:

- Keeping the decision-maker up to date with the engagement project.
- Keeping stakeholders and community up to date with participation opportunities and activity.
- Collecting data and feedback on the effectiveness of the engagement activity.
- Checking and assessing the level and profile of engagement – who is not engaging and what voices are missing?
- Is the preparation of resources or implementation of key methods proceeding according to plan?
- What is delaying or challenging delivery of the resources and methods?
- Is the resource or method still relevant to the successful completion of the project?
- What, if any, action investments or intervention will put the resources or methods back on track?

Some examples of governance structures that can be established include:

- A multi-stakeholder focus group to monitor the stakeholder engagement plan
- A committee within each Ministry/department including ex-officio members to implement the stakeholder engagement plan
- A cross-ministry coordination committee to ensure effective horizontal coordination

The following template is a simple tool to articulate a governance structure for an engagement program including identification of relevant decision-makers and considerations for evaluation at each of the three stages in the policy development cycle.

Stage	Who will implement the engagement process?	Who is the final decision maker on any engagement process changes?	How will the process be evaluated?
Planning			
Monitoring and Review			
Implementation			

Notes

Module 3

FACILITATION OF ENGAGEMENT METHODS

- ✓ **Group facilitation**
- ✓ **Facilitation dimensions and tasks**

3.   Facilitation of engagement methods

At times the term facilitation can be used to describe a coordinating function that enables various stakeholders to participate. eg: The project coordinator keeps in contact with the various participants in the lead up to a meeting, makes all the arrangements and thus facilitates everyone getting to a meeting.

In other instances, people call lecturers or trainers a 'facilitator' of learning. However, this is not how the term is used in this context.

In the context of engagement facilitation it has a specific meaning and role that underpins any engagement process. The facilitation role is about the person who is supporting groups (either face to face or online) with how they interact, discuss, deliberate and make decisions.

3.1 Group Facilitation

Facilitation is a role that many people play in many different contexts. Facilitation in its simplest definition is about "making things easy or easier" . In relation to its application in a group context (either face to face or online), facilitation is about "assisting a group to determine and/or achieve a specific task" . This role may involve but is not limited to assisting a group to:

- Identify issues
- Share stories
- Build rapport and trust amongst participants
- Explore and challenge assumptions
- Analyse options
- Produce solutions, recommendations and alternatives
- Create visions
- Develop actions
- Set priorities and milestones

In the context of the 2030 Agenda group facilitation helps stakeholder groups contribute in each of the three stages of policy development and planned interventions and in using many different kinds of methods, such as:

1.   WORKSHOPS

2.   COMMUNITY FORUMS

3.   FOCUS GROUPS

4.   DELIBERATIVE FORUMS

5.   CITIZEN JURIES

6.   ONLINE FORUMS

7.   WEBINARS

8.   MARKET STALLS AND EVENTS

WHY HAVE A FACILITATOR

When looking at group interaction, there can be a tendency for competing perspective and priorities to bring the focus to the divergence of views. Exploring the divergence is important but if done in a unstructured manner can lead to conflict and an inability to transit through what can be called the 'Groan zone" into more convergent thinking. This is the role of the facilitator.

Figure 13: Divergence to Convergence
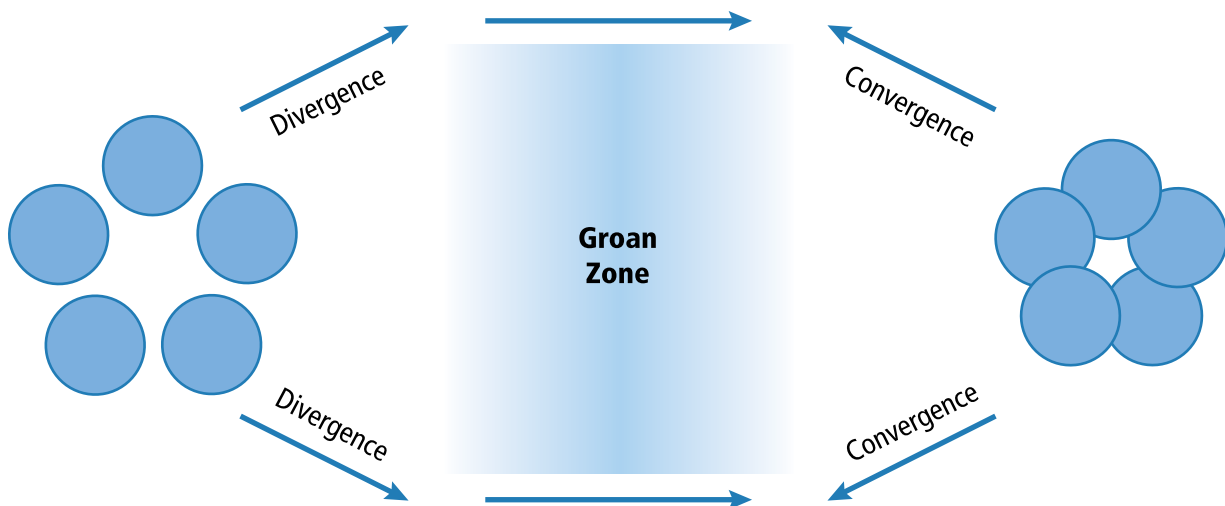
Source: Facilitators Guide to Participatory Decision Making (2nd Ed). Sam Kaner et al; Jossey Bass 2007

QUALITY FACILITATION

- Keeps the design and expectations of the day reasonable/achievable.
- Creates a welcoming environment and invitation to participates.
- Maintains an eye on group productivity (energising, breaks etc).
- Ensures all voices are heard and power is shared.
- Holds people in the discomfort of deliberation, without compromising safety or creativity.
- Enables meaning and clarity to emerge from the group.
- Is neutral to the content outcome and a partner in the process outcome.

THE FACILITATOR

The facilitation role is often separated from the participant and leadership role for an important reason; Facilitation involves managing group processes and dynamic-influencing how members work together.

Clarity of the facilitator's role is essential. The clarity of the role provides you, the group and the client with a firm base from which to build the session plan and deliver that plan with congruence and transparency.

This lack of clarity can affect the perceived neutrality of the facilitator and make it easier for the session/s to become sidetracked by divergent agendas or a lack of trust that the facilitator is working to and for the best interest of the group.

On a more complex level, role clarity is about understanding your own internal constructs/schemes and their potential influence on how you respond in any given situation.

FACILITATORS CONUNDRUM

Is it better to be highly versed in a content area with a long background and clear opinion on the issues or have little background so that you work predominantly with the process and leave the content to the participants….?

  "Facilitation is not about control of the group or dazzling with knowledge or skills, but simply maintaining yourself fully present with the group and providing appropriate support for the group to achieve its goal."

3.2 FACILITATION: DIMENSIONS AND TASKS

Facilitators work with and within three key dimensions:

CONTENT: deals with the topic or issue. Facilitators are NOT trainers and don't have to be content experts, they need to understand enough to help ensure the context is accessible in terms of language, volume and structure so the people in room can be the real experts.

PROCESS: deals with the how the group moves and has its discussion. A professional facilitator has a variety processes that they draw on to support a group achieve the desired goal. Process is the gold that a facilitator offers and always needs to be matched to purpose, otherwise you end up just doing party games! There is no single 'right' process for any given context or outcome, and is not a draconian that needs to be rigidly adhered to. The astute selection of process is made in response to the desired goals, the context of the session, the content to be covered and the group dynamics (feeling).

FEELING: deals with the fact that there are people in the room and not robots. Facilitators allow space for the people and not just the content to be part of the discussion. This requires a level of self-awareness and having looked at your own hot buttons and reactions.

THE FOUR KEY TASKS OF THE FACILITATOR

MOTIVATING: Is about keeping an eye on the pace of the day and the volume of output, so that people are not feeling over or underwhelmed. Ensuring the group is having the conversation they need to have (not the ones you want them to have) is central to be a motivating influence in the room.

LINKING: Is a micro skill that is about connecting the dots as the discussion unfolds through the day. How does the conversation in the moment relate to what other people have said, to the purpose of the day, to what is happening next…linking supports groups move from divergence to convergence?

STRUCTURING: Designing the process of the day to fit, the desired outcomes, available time, the space you have to work with and number and type of people in the room

SUPPORTING: The primary support facilitators offer other than their core skills, is the way they use process and their interpersonal skills to balance the power in the room and support people to participate in full.

Facilitators need to be able to maintain awareness of self, group and process – see figure 14.

FIGURE 14: FACILITATION WHEEL

Facilitation Wheel

Content
Process
Feeling

Contract
Credibility

Structuring
Supporting
Motivating
Linking

Awareness of process
Awareness of Self
Awareness of the group
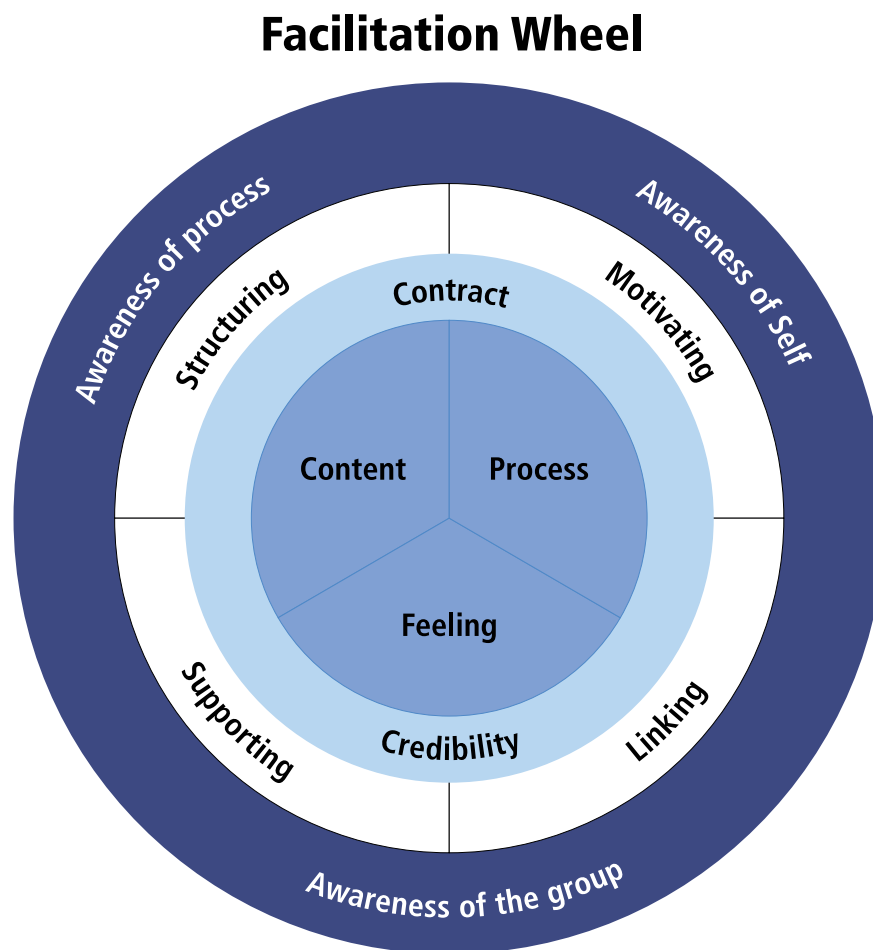
SOURCE: Aha! Consulting

Notes

Module 4
INSTITUTIONALIZING ENGAGEMENT

- ✓ **Linking engagement to governance**
- ✓ **Institutionalizing engagement at the organizational level, and across government and society**
- ✓ **Policy on stakeholder engagement and public participation**

4. Institutionalizing engagement

4.1 Linking engagement to governance

Effective stakeholder engagement is based on the principle that people have a right to be involved in the decisions that impact them, this notion gets to the heart of citizenship.

The High Commissioner for Human Rights (OHCHR) has been asked "to prepare concise and action-oriented guidelines as a set of orientations for States on the effective implementation of the right to participate in public affairs…and to present these to the Human Rights Council 39th session in September 2018 ". Regional consultations have been occurring from June 2017 until April 2018 and the advance edited version of the draft guidelines is currently available. The Introduction opens with a statement that outlines and strongly illustrates the relationship between stakeholder engagement (or participation) and governance with the emphasis that this is a fundamental right.

> "Participation enables the advancement of all human rights. It plays a crucial role in the promotion of democracy, the rule of law, social inclusion and economic development. It is essential for reducing inequalities and social conflict. It is also important for empowering individuals and groups, and is one of the core elements of human rights-based approaches aimed at eliminating marginalization and discrimination".

The IAP2 Core Values as outlined in Module 1 includes the statement "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". Similarly the notion of everyone having the right to participate in government is enshrined in the Universal Declaration of Human Rights.

Good governance includes a set of fair legal frameworks that are enforced by an impartial regulatory body, for the full protection of stakeholders. Some of the common principles that underpin good governance include:

1. TRANSPARENCY
2. RESPONSIVENESS
3. CONSENSUS ORIENTED
4. EQUITY AND INCLUSIVENESS
5. EFFECTIVENESS AND EFFICIENCY
6. ACCOUNTABILITY
7. PARTICIPATION

And so, in linking engagement to governance in the context of the 2030 Agenda we are recognising that effective stakeholder engagement is at the heart of good governance and the mandate to respond to the needs of a nation's citizens wellbeing and sustainable development.

In the context of the 2030 Agenda, governments have an opportunity to strengthen institutionalization of stakeholder engagement particularly in the area of SDG integration.

Stakeholder engagement needs to have a visible and active place within government that enables alignment with the leaders and effective coordination across ministries. Embedding stakeholder engagement and the SDG implementation interventions with the national plan and strategies is a step towards stakeholder engagement continuing beyond the VNR processes.

4.2 Institutionalizing engagement at the organizational level, and across government and society

The process of institutionalizing engagement is about the extent to which community and stakeholders have become a part of an organization's decision-making process.

There are two levels to consider with institutionalizing engagement:

1) Organisational Level.
2) Whole of Government and Societal Level

ORGANISATIONAL LEVEL

The 2030 Agenda calls for governments, at all levels, to take action on the 2030 Agenda. However, the process of institutionalizing engagement is not quickly achieved, and can take up to a decade depending on the scale of institutionalization that is being discussed.

Where an organisation centres its engagement focus and effort for engagement practice and capacity building can vary, and a long-term process of institutionalization can take time.

As a minimum requirement, institutionalized engagement at the organisation level requires:

- Organisational leadership, support and commitment throughout the layers of the organisation.
- Specific mechanisms and channels for communication with stakeholders.
- Institutional responsibility and resources to be allocated.
- A common understanding of the organisational purpose for engaging stakeholders and how it links with the organisational mandate
- A common understanding of the expected standard/quality of engagement
- A common understanding of what kinds of decisions require stakeholder input, and who are the organisation's stakeholders.

An organisation that is demonstrating it has engagement at its core has the following characteristics:

- Expectations of the community regarding engagement are matched to their experience of the organisation
- The organisation has a clear internal approach (policy) and common practice for engagement (operational regulations)
- There is a consistent and embedded culture of engagement across the organisation
- The decision regarding engagement is framed early in the life of the problem/opportunity/or project
- The organisation holds a deep understanding of community values and priorities
- There is skilled application of the engagement process.

WHOLE OF GOVERNMENT AND SOCIETAL LEVEL

There is a limit to how much engagement an organisation is able to sustain if the broader government and societal level infrastructure is not there. At the government and societal level, there are 7 areas that need to be explored

1. LEGISLATIVE MANDATE FOR PARTICIPATION
2. SAFE, ACCESSIBLE PHYSICAL SPACES
3. BROADER ACCESS TO TECHNOLOGY roader Access to Technology
4. A FACILITATION INFRASTRUCTURE
5. ORGANISATIONAL INFRASTRUCTURE
6. A TRUSTWORTHY, FACT-BASED MEDIA
7. ROBUST CIVIC EDUCATION

*Adapted from Lukensmeyer, C. 2012. Bringing Citizen Voices to the Table: A Guide for Public Managers

Legislative Mandate for Participation

You cannot easily hit a target that you cannot see and it is the same with engagement. The creation of an overarching policy that outlines the organisation's commitment to engagement, becomes an important pillar in institutionalizing engagement.

Safe, Accessible Physical Spaces

A safe, accessible, space in which everyone feels welcome and able to participate is required to ensure democratic and productive deliberation.

Broader Access to Technology

To fully participate in democracy, citizens need reliable access to information. This includes having access to internet and the ability to use it.

A Facilitation Infrastructure

To support an increase in the use of stakeholder engagement, an ever expanding 'bank' of skilled process facilitators will be required.

Organisational Infrastructure

Securing widespread stakeholder engagement in broad and diverse contexts requires the help of mediating organisations and structures that have the trust and confidence of the public.

1. 2030 Agenda for Sustainable Development, Preamble.
2. Ibid, paragraph 74.d.

A Trustworthy, Fact-Based Media

The public needs trustworthy information to make good decisions and act democratically. To play this critical role in democracy, the media must be fact-based and non-ideological.

Robust Civic Education

A robust civic education in which citizens know about opportunities and process to be part of civic engagement. The community led desire to be part of civic decision making is an important part of sustaining community engagement.

SOURCE: Bringing Citizen Voices to the Table: A Guide for Public Managers, Carolyn J. Lukensmeyer, 2013

4.3 POLICY ON STAKEHOLDER ENGAGEMENT

One step towards institutionalising stakeholder and community engagement is to develop appropriate policy and practice frameworks to inform practice and capacity building.

The policy usually set out a vision for community engagement with a description of how it aligns with decision making and explains the role of the stakeholder and community members. It also establishes the standards of engagement that institutions are expected to meet in their engagement, and the issues and decision on which engagement is needed.

At the operational level, policy can be supported by practice frameworks that outline a set of steps to plan and implement engagement practice with the inclusion of relevant tools and templates to guide engagement implementation.

Policies on engagement and public participation can exist at a national or sub-national level as experienced in many countries, including Australia. Some examples are outlined below:

Example 1. Hobson's Bay City Council, Victoria, Australia - Community engagement policy

The Council's Community Engagement Policy defines Council's commitment to the community and outlines the community engagement principles that drive Council's engagement practices. The policy applies to all forms of engagement by Councillors, officers and consultants acting on behalf of Council including:

- the planning, delivery and evaluation of any community engagement activity
- engagement with the community regarding issues, proposals and Council decisions such as projects, strategies, plans, programs or service delivery
- engagement with key groups in the community
- internal engagement within the organisation.

The policy also provides an overview of the structure of the policy in relation to other requirements such as staff guidelines and standard toolkits and templates:

ḤOBSON BAYS CITY COUNCIL'S COMMUNITY ENGAGEMENT FRAMEWORK

COMMUNITY ENGAGEMENT POLICY	GUIDELINES FOR STAFF	TOOLKIT
Overarching vision, principles, approach, roles, and responsibilities	Provides staff with direction on engagement planning and guidance on when and how they should engage with the community in different situations	Specific information and aadvice on 'how to' undertake different types of engagement with the community

SOURCE: Hobsons Bay City Council - Community Engagement Policy, 2015

Example 2. Government of Western Australia, Department of Health — North Metropolitan Health Service, C4 Engagement Framework

The North Metropolitan Health Service (NMHS) values the contributions and experiences of their clinicians, consumers and carers. NMHS recognises that there is a role for clinicians, consumers, carers and the community (C4) in the planning, delivery, improvements and evaluation of their services.

The framework is designed to guide the planning and delivery of C4 engagement activities of NMHS hospitals and health services. It has been developed in consultation with clinicians, consumers and carers to help ensure the framework is practical, accessible and meaningful.

In the context of the 2030 Agenda for sustainable development, institutions within (and outside of) government can advance on quality engagement by identify the most appropriate host for the engagement focus and effort, and establish appropriate policy that can set the context and guiding principles for effective and authentic engagement practice.

The elements of policy and institutionalization requirements discussed here can be useful for any institution, including civil society organizations and those in the private sector.

TAKING THE FIRST STEPS TO INSTITIONALIZING ENGAGEMENT

Institutionalization of engagement should ideally start with internal dialogue with institutional leaders and staff to develop a shared understanding of:

 (1) the reasons why engagement is important to the institution's effective working and accountability to its 'clients'

(2) what quality engagement looks like - and the standards that the institution is expected to meet

(3) what support (leadership and other), capacities, guidelines, tools and actions are needed to go forward.

The Planning and Assessment Tool Framework can be used to facilitate thinking and dialogue on all three points. In one VNR country the government included some stakeholders in a discussion to adapt the indicators of quality to the national context, providing a good basis for further steps.

Notes

Notes

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Notes

Notes

ANNEXES

- ✓ **1. Stakeholder engagement planning template**
- ✓ **2. Stakeholder engagement planning and assessment tool**
- ✓ **3. IAP2 Spectrum**
- ✓ **4. Facilitation planning guide**

ANNEX 1: STAKEHOLDER ENGAGEMENT PLANNING TEMPLATE

The 2030 Agenda for Sustainable Development has identified Engagement is an essential tool for the delivery of the 2030 Agenda. The preamble of the Agenda states: "All countries and all stakeholders, acting in collaborative partnership, will implement this plan."

From an engagement practice point of view, engagement is founded on the principle that those effected by a decision have a right to be involved in the decision-making process. Involvement in decision-making can take many shapes and forms and this engagement template encourages organisations to consider who, how, when various stakeholders will be involved so that the level of influence and method for engagement is transparent to everyone.

The template centres around the ten steps to engagement planning and implementation as well as the Planning and Assessment Framework that establishes the four dimensions of quality engagement and related standards (see Appendix 1).

FIGURE 1: THE FOUR DIMENSIONS OF QUALITY ENGAGEMENT

| **PURPOSEFUL ENGAGEMENT** | **PROACTIVE ENGAGEMENT** | **INCLUSIVE ENGAGEMENT** | **TRANSFORMATIVE ENGAGEMENT** |

QUALITY ENGAGEMENT
PLANNING EFFECTIVE ENGAGEMENT
EVALUATING ENGAGEMENT PROCESSES

SOURCE: ESCAP

Who is this intended for?

This template may be used by anyone involved in designing stakeholder engagement process for any intervention or policy related to implementation of the 2030 Agenda for sustainable development.

What's the purpose of this template?

The template can be useful in planning of stakeholder engagement process for any intervention or policy formulation as part of the implementation of the 2030 Agenda for sustainable development. By completing the template, the user can develop a draft stakeholder engagement plan, which would be further refined using context-specific modifications.

Three key stages of a policy process

The template acknowledges that there will be three stages of any typical policy or intervention, namely, planning, implementation and monitoring and review. It is important to look at the entire life-cycle of any policy or intervention across these three stages and plan for the stakeholder engagement process holistically.
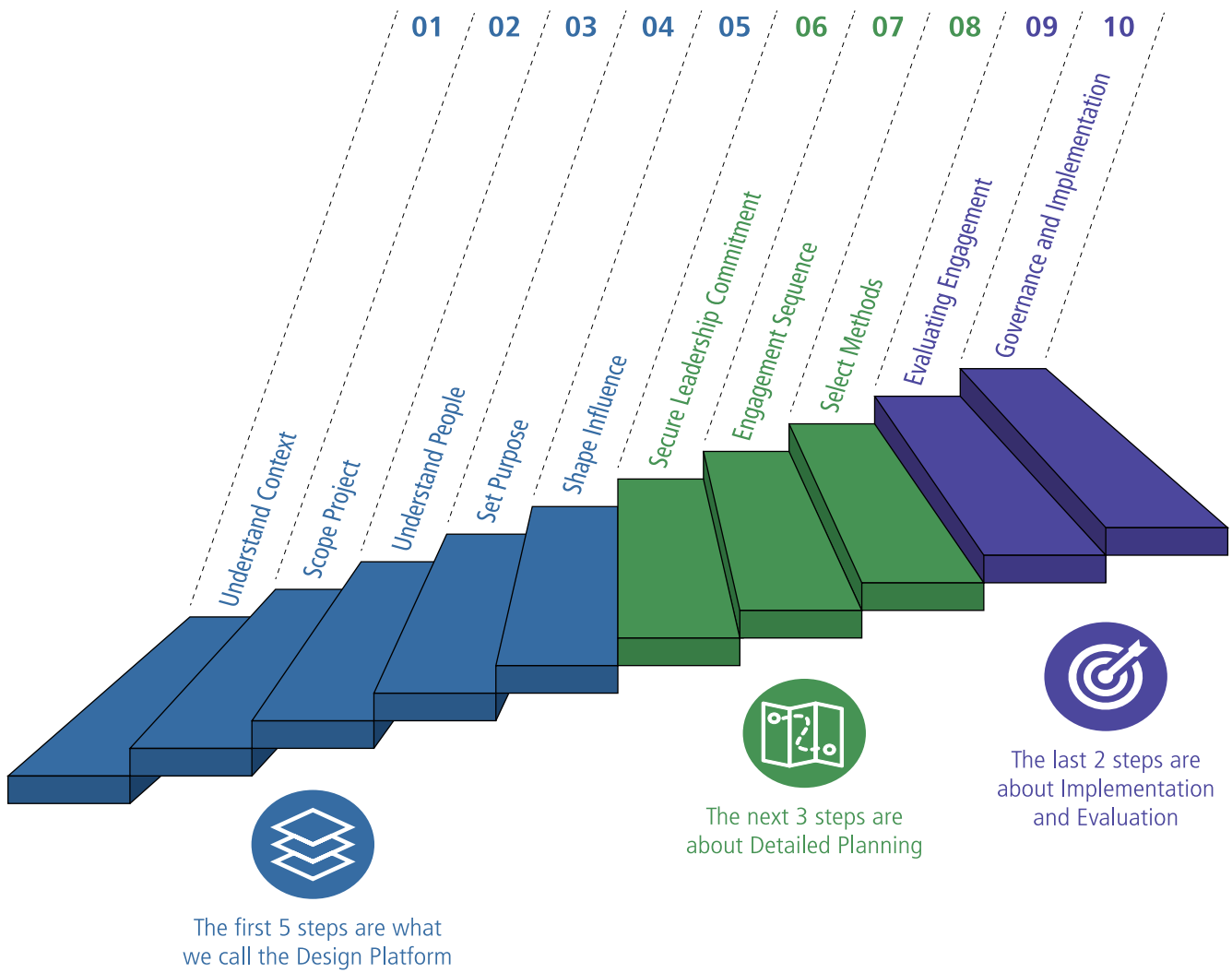
How to use this template?

In putting this template to use, the user is advised to first go through Appendix 1, which lists four dimensions of effective stakeholder engagement and their associated indicator framework. An understanding of these dimensions and the level of influence that can be provided to stakeholders as listed in Appendix 2 would be useful in guiding the process of development of a stakeholder engagement plan. Following which the user can go sequentially through the ten key steps for stakeholder engagement planning[1] that supports a typical policy or intervention, namely,

1. **Understand context – assessing the context and culture for engagement**
2. **Scope project - of the policy or intervention that is being planned**
3. **Understand People - Map the stakeholders**
4. **Set Purpose - Identify the purpose of stakeholder engagement for the intervention**
5. **Shape influence - Determine the level of participation by the stakeholders**

6. **Secure leadership commitment**
7. **Engagement sequence - Design the engagement sequence**
8. **Select Methods - Plan appropriate engagement methods and relevant communication tactics**

9. **Evaluating Engagement - Plan the evaluation strategy for engagement process and outcomes**
10. **Governance and Implementation - Establish a governance structure and an implementation mechanism of the stakeholder engagement plan**

The user can fill in information within the template that incorporates the consideration of the ten planning steps for a stakeholder engagement process.

FIGURE 3: THE TEN STEPS FOR PLANNING AND IMPLEMENTING A STAKEHOLDER AND COMMUNITY ENGAGEMENT PROCESS

01 02 03 04 05 06 07 08 09 10

Understand Context

Scope Project

Understand People

Set Purpose

Shape Influence

Secure Leadership Commitment

Engagement Sequence

Select Methods

Evaluating Engagement

Governance and Implementation

The first 5 steps are what we call the Design Platform

The next 3 steps are about Detailed Planning

The last 2 steps are about Implementation and Evaluation

SOURCE: Adapted from IAP2 Federation's Quality Practice Standard and IAP2AUS' Design, Plan and Manage model.

1: Understand Context – Assessing the context and culture for engagement

What is this section: This section gives the reader information on the broader context of the planned intervention, why it is needed, who has been involved in the past, what the key consideration are that will influence how engagement is delivered. Use the prompt questions below to complete this section.

This section should attempt to answer the following questions:

- What has been the history of previous interventions and stakeholder engagement approaches (intervention, organization, locality, country),

- What are some of the trends of similar policies and interventions? What data and evidence supports the need for this policy and intervention?

- What are the culture considerations, status of key relationships, other drivers?

- Are the key stakeholders and community currently aware of the intended policy and intervention? What are their attitudes towards these interventions?

2: Scope project - Clarify the scope of the policy or intervention that is being planned

What is this section: This section gives the reader a clear and articulate description of the policy or intervention that is being planned and implemented. It will provide some clarity of what is the overall aim of the policy and intervention and the specific elements that the key stakeholders will become involved in. A list of elements that are non-negotiable and others that are negotiable will be an integral to clarification of the scope of work.

This section should attempt to answer the following questions:

- What are the specific consideration for this intervention?

- What are the SDG's that this intervention will focus on and the interlinkages between other SDGs? (it is important to identify these interlinkages to promote the them key principle of 'integration' that underpins the 2030 Agenda)

- What are the elements of the policy and intervention that the key stakeholders will influence?

3: Understand people - Map the stakeholders and decision makers

What is this section: This section outlines the key stakeholder groups including decision makers and what the barriers to their involvement might be and how we intended to overcome those barriers.?

This section should attempt to answer the following questions:

- Based on the context and purpose of the engagement process, what are some of the criteria of selection of stakeholders?

- Who are the key stakeholders that need to be involved?

- Are we missing marginalized communities or people that would not otherwise be included? (think also of stakeholders related to closely linked SDGs identified in step 1)

Who	Representing which broad stakeholder constituency? (CSO, Government, Private Sector, NGO)	Barriers to their engagement	How they will be engaged broadly?
Example : External stakeholder (These are stakeholders outside of the organization that is designing the engagements process. For a Government Ministry these could be the CSOs dealing with specific issue, private sector, NGOs, academia,)			
Internal stakeholders (these are stakeholders within the organization that are designing the engagement process. For example, for a Government Ministry these could be other Government ministries, agencies)			
Decision makers (these are the key people who are making the final decisions on the outcomes of the engagement process. They have the power to change the direction of the policy or intervention and will have a specific role in vetoing the engagement process and its outcomes.			

4: Set Purpose - Identify the Engagement Purpose

What is this section: This section shows the purpose/objective of the overall intervention and clearly shows the practical deliverable outcome of the engagement process i.e., there can be a difference between what the intervention is trying to achieve and how or what engagement will contribute to this. Likewise, there can be a difference between the practical outcomes of the engagement (a plan, an agreement etc) and the desired experience/relationship as a result of the engagement process. Use the prompt questions below to complete this section.

This section attempts to answer the following questions:

- What is the overall objectives of the intervention based on the respective stage of the intervention (planning, implementation, monitoring and review)?

- What will the engagement process contribute to the overall intervention objectives?

- What is the desired stakeholder experience of the engagement?

Stage	What is the overall objective of the intervention at this stage?	What is the Purpose of stakeholder engagement at this stage?	What is the desired stakeholder experience of this engagement during this stage?
Planning	Eg. Develop a plan for initiating a policy intervention	Eg: Engagement gathers stakeholder views on priorities in the plan	Eg: Stakeholders trust that the process is inclusive and robust
Monitoring and Review			
Implementation			

5: Shape Influence - Determine the level of influence by the stakeholders

What is this section: This section considers what level of influence and participation that will be attributed to each of the key stakeholder group's. It helps to describe the role that the key stakeholders will have in the engagement and decision-making processes. Determining the level of influence is based on context, scope, people and purpose and will also reflect who is responsible for the implementation.

This section requires the application of the IAP2 Spectrum of Public Participation (see Appendix 2) and some prompt questions to determine an appropriate level of influence include:

- What has been the role of the key stakeholders in this line of policy and intervention work before?

- What key stakeholders have a significant role for possible interventions for the future?

- Who is directly impacted by the policy and interventions

- What expectations do the key stakeholder groups have in relation to their involvement in the development of the policy or intervention approach

- What constraints or opportunities does the government have in considering the engagement processes

6: Engagement Sequence - Design the Engagement Sequence and choice of Methods

What is this section: This section outlines the specific steps and method the engagement process will go through to deliver on the stated purpose. The checklist of steps provided are an example only, please amend the steps to suit your specific context.

The following are typical check list of key steps within most engagement processes:

- **Building the mandate and alignment:** The phase of developing the required internal alignments, approvals and support for the engagement, making sure people are clear about who needed to be engaged, why and how

- **Developing interest and engagement in the process:** Building the interest and buy in of internal and external stakeholders, to join in the process

- **Building two way understanding of the issues, drivers and option:** A shared education process with stakeholder about the issues, context, needs and driver from all stakeholder points of view. Through this stage the various options, strategies, priorities are developed, reviewed and refined

- **Developing and deciding on preferred directions, options etc:** The process of deciding on what action will occur next

- **Informing people of the outcome and the next step:** Making sure those involved in the process are informed about how their views where considered, what the final decision was and what will be happening next.

Stage	Which stake-holders will be involved at this stage (taken from step 3)	What is the goal of engagement at this stage (taken from Step 2)	What level of influence will be offered during this stage?	What engagement methods will be used at this stage?	What evaluation strategies will be useful at this stage?	What human or other resources will be needed to implement this?	When will this occur?
Planning	E.g. CSO's	Explore opportunities for partnership with SDG im-plementation	Involve	Stakeholder Forum	Feedback Form	Facilitator, promotional costs, venue, catering	In 2 months
Monitoring and Review							
Implementa-tion							

The following guiding questions would be helpful in deciding the specific aspects of the process:

- What process will give the right level of influence to each category of key stakeholders identified in Step 3 of this plan?

- How does the process fare in terms of the four dimensions of effective engagement identified in Appendix 1 -namely proactiveness, inclusiveness, purposefulness, and transformation? (if it is lagging in any particular dimension of stakeholder engagement, revisit the process and make possible edits)

7: Planning the Communication strategy

What is this section: This communication strategy explore the messages that will be important to share among stakeholder and the timing and methods you will use to circulate these messages

The following guiding questions would be helpful in designing the communication strategy:

- Are we using channels of communication that the desired stakeholders access and trust?

- Are we trying to sell a message or inviting people to be part of a conversation?

Stage	Key messages to convey about the intervention/policy	Target stakeholders	Channels (how it will be shared)	Outcome of this communication
Planning			Example: website, newspaper articles, social media, targeted emails/mails, specific events	
Monitoring and Review				
Implementation				

8: Governance and Implementation - Establish governance structure and implementation and evaluation mechanism of the stakeholder engagement plan

What is this section: This section outlines the reporting and responsibilities for the management and implementing of this engagement process.

The following guiding questions would be helpful in implementing the stakeholder engagement plan:

- Who will be responsible for implementing the stakeholder engagement plan as well as monitoring and review?

- Where will be the institutional home for the stakeholder engagement plan?

- What is the mechanism to ensure that stakeholder engagement process is assessed based on the four dimensions of effective stakeholder engagement provided in Appendix 1 regularly?

Example :
A multi-stakeholder focus group to monitor the stakeholder engagement plan could be established
A committee within each Ministry/department including ex-officio members to implement the stakeholder engagement plan

Stage	Who will implement the engagement process?	Who is the final decision maker on any engagement process changes?	How will the process be evaluated?
Planning	Example: Ministry of Planning	SDG Secretariat	Structured interviews
Monitoring and Review			
Implementation			

ANNEX 2 – Stakeholder Engagement Planning and Assessment Tool

This appendix provides four key dimensions and associated indicators of effective stakeholder engagement, initially prepared by United Nations Economic and Social Commission for Asia Pacific (ESCAP) in partnership with the International Association of Public Participation (IAP2).

PURPOSEFUL ENGAGEMENT	**1.1 Statement of engagement objectives** [Engagement objectives are widely understood and linked to objectives of interventions] **1.2 Engagement planning** [The detail of engagement planning is consistent with the level of the intervention/risks and recognizes participation as a right] **1.3 Commitment to improvement** [Previous lessons learnt and history of intervention are considered during engagement planning, evaluation process is defined] **1.4 The time and budget allocation** [Adequate/appropriate to the objectives of interventions and secured for the duration of the intervention] **1.5 Coordination, with clear roles and responsibilities** [Well-defined roles are agreed to early in the engagement, both within and outside the organization and coordination between engagement efforts] **1.6 Engagement & follow-through** [Consultation outputs, recommendations or decisions are given the promised level of consideration]
PROACTIVE ENGAGEMENT	**2.1 Communicating process and scope of influence** [Scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop, including educating stakeholder where appropriate] **2.2 Communicating engagement content** [Sufficient, accessible information is provided with enough time for people to engage in a meaningful way] **2.3 Outreach to right people** [The process and methods explicitly raise awareness, encourage and invite participation and actions by relevant stakeholders and the public] **2.4 Documenting and responding to stakeholder contributions** [Questions, commitments and outcomes are recorded and followed through in a timely way] **2.5 Openness and adaptable to feedback** [Mechanisms to receive and respond to complaints and feedback with the positive attitude] **2.6 Ongoing Follow Through** [Attention is paid to ensuring there is consistent follow through and monitoring of the outcomes/output of the consultation process]

INCLUSIVE ENGAGEMENT	**3.1 Stakeholder Analysis** [Stakeholder analysis at relevant level of the intervention (local, provincial or national) ensures representativeness and understanding of the UN major groups, other relevant stakeholder groupings and respects participation as a right]

3.2 Diversity of perspectives shared [The engagement process provides equitable opportunities for a diverse range of perspectives to be shared, including assenting and dissenting views, scientific perspectives, gender perspective, human rights perspectives and others, as appropriate]

3.3 Dealing with barriers to participation [Barriers to participation for specific groups are clearly identified and active steps have been taken to reduce them (eg: Accessibility, Gender considerations, Technology, Social prejudice, Cultural, "safe space", Language,IDPs, etc)]

3.4 Inclusion of disadvantaged groups ["Leave no one behind" – Disadvantaged groups are clearly identified and specific measures are put in place for engaging them, including special mechanisms of collecting their views]

3.5 Appropriateness from cultural and other perspectives [Engagement method and process demonstrates cultural sensitivity and awareness, gender sensitivity and represent a conflict prevention approach that seeks to balance power relationships within society]

3.6 Provision of safe spaces [Methods, institutions, facilitation and physical spaces encourage open participation and provide adequate protection for people to speak freely without reprisals] |
| **TRANSFORMATIVE ENGAGEMENT** | **4.1 Building understanding between all stakeholders** [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]

4.2 Highly Collaborative and complementing [Levels of engagement and influence are clearly defined and seek to move beyond information and consultation, as appropriate and in line with the 2030 Agenda intentions and should complement existing engagement efforts]

4.3 Integrate economic, social and environmental as well as governance perspectives [The methods and process give balanced attention to and integrates the economic, social, environmental and governance perspectives]

4.4 Stakeholder acceptance, support and involvement [The engagement process and methods are considered appropriate by participants]

4.5 Effectively synergize actions across SDGs [The methods and process bring stakeholders together across SDGs where there are interactions between them (for example between food security and poverty)]

4.6 Participation used to make meaningful acceptable change [Sustained engagement enables the delivery of substantive acceptable changes to complex issues (eg: systems, beliefs, behaviours etc)] |

ANNEX 3 – International Association for Public Participation (IAP2) – Spectrum

The IAP2 spectrum is a useful framework to analyse and initiate discussion on stakeholder engagement processes. The IAP2 spectrum describes five levels of influence that can be offered to any given stakeholder in any engagement process. Each level offers greater influence that comes with a specific promise to the stakeholders.

FIGURE 9: IAP2 SPECTRUM OF PUBLIC PARTICIPATION

INCREASING IMPACT ON THE DECISION

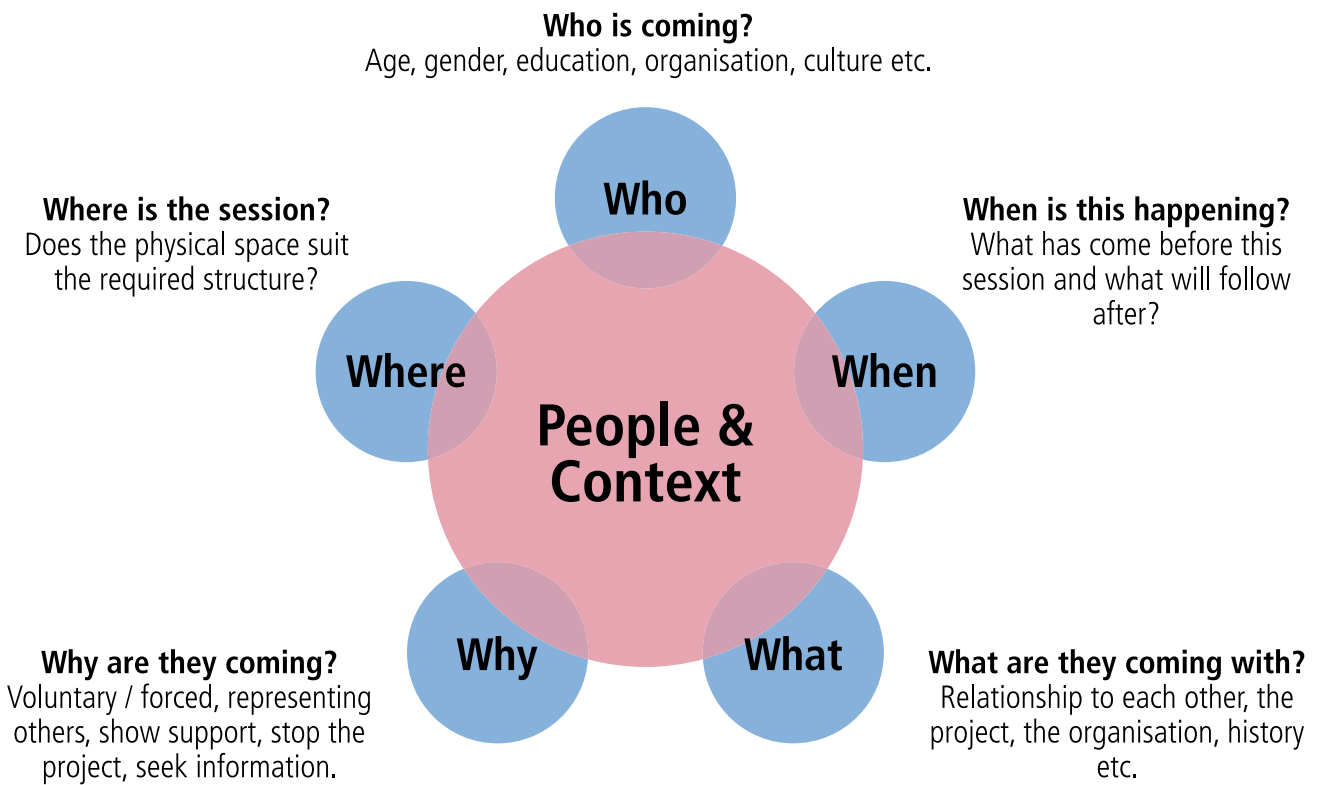|	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly 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.

Source: IAP2 Foundations for Public Participation

ANNEX 4: FACILITATION PLANNING GUIDE

WHEN PLANNING A FACILITATION SESSION CONSIDER:

P = PEOPLE AND CONTEXT
A = AIMS AND OUTPUTS
S = STRUCTURE AND PROCESS

FIGURE 14: PEOPLE & CONTEXT

Who is coming?
Age, gender, education, organisation, culture etc.

Where is the session?
Does the physical space suit
the required structure?

When is this happening?
What has come before this
session and what will follow
after?

Who

Where

When

People & Context

Why

What

Why are they coming?
Voluntary / forced, representing
others, show support, stop the
project, seek information.

What are they coming with?
Relationship to each other, the
project, the organisation, history
etc.

SOURCE: Aha! Consulting

P = PEOPLE AND CONTEXT

Who will be attending?

- Where are they from (background - socio-economic / academic)?
- What is the power dynamic in the room?
- Where is this group at in it lifecycle (forming, storming etc)
- What has occurred between these people up until now

How many will be attending?

- Is this too many or too few people to progress the desired outcomes?

Why are they attending?

- Are they there voluntarily?
- Are there any key players?
- What are they expecting from the sessions?
- What have they been told to expect?

What do they know?

- What is their subject knowledge like?
- What is the likely values range in the room?
- What information do they need ahead of the session?

What do they need?

- Are there any access considerations? (disability, mobility, time of day, child care)
- Are there cultural considerations? (Indigenous, CALD, etc)
- Are there dietary considerations?

A = AIMS AND OUTPUTS

Rational Aim

- What is the practical tangible outcome we are trying to achieve?
- What will we see, hear or feel that will tell us we have achieved this?
- Why are we bringing this group together (See table on next page)
- How does what we are doing in this session link

Experiential Aim

- How do we want people to feel during and after the event?
- What experience of the project do we want people to have?
- What will we see, hear or feel that will tell us we have achieved this?

Alignment

- How does what we are doing in this session, fit, feed, align to what have been done previously and what is planned for the future?

	EXPECTATION	PROCESS INDICATORS	PROCESSES
Share Information	You will be coming to hear or present an update on events, or project progress. Come with questions or relevant information to present.	Processes that allow for presentation of each update and depending on time, opportunities for questions.	1. **Chalk and talk** 2. **Expo** 3. **World Cafe**
Advance Thinking	You will be coming to help clarify, define, analyse, prioritise, map, etc	Processes that allow the group to achieve the level of detail desired.	1. **Multi Criteria analysis** 2. **Prioritisation** 3. **Nominal Group Process** 4. **Open Space**
Improve Communication	You will be coming to build the relationship between group members.	Processes that are not task focused and allow the group to explore the hidden dynamics and relationships.	1. **Sociometry** 2. **tory telling** 3. **Open space**
Build Community	You will be coming to get to know the people you are working with and progress a shared direction.	Processes that build relationships between people and groups.	1. **Open Space** 2. **Appreciative enquiry**
Build Capacity	You will be coming to learn about a specific area, issue, skill	Processes that use adult learning principles to engender learning.	1. **EAS cycles; Explain, Activity, Summary**
Obtain Input	You will be coming to provide your ideas and view on the matter in hand.	Processes that generate ideas. May need processes that will create convergence if a group agreement is required on this input.	1. **Open Space** 2. **Delphi technique** 3. **Samoan circles** 4. **World cafe** 5. **Appreciative enquiry**
Make decisions	You will be coming to this meeting to make a decision on the matter in hand.	Processes that allow for option generation, analysis and group agreement.	1. **Open Space** 2. **Appreciative enquiry** 3. **Citizens jury**

S = STRUCTURE AND PROCESS

This is about developing an agenda or programme that sets out the entire facilitation process, with stated methods and time allocations.

Content

- What is the core content/topic of conversation
- What are the likely key points of divergence / convergence?
- What learning/participation style will best suit the participants

Formal, Casual, Interactive etc

- How do we ensure the majority of people are heard?
- How will we maintain focus during the session?
- What method will best suit the group and desired outcome?

Time

- How long do we have? How long do we need?
- What pace do we want to set for the day?
- What will take the most time in the day?

Method

- What method/s will best suit the group and desired outcome?
- How can we maintain the focus throughout the session?
- Where will the break best be placed in the process?

Structure

- What order of methods and process will best suit the group and the desired outcome?
- What methods, activities, triggers, processes will cover the desired trajectory (see next page)

Evaluation

- How will we know we have achieved the desired aims?
- What do we want to measure? (sentiment, outputs, outcomes, processes)
- What is the best way to gather this information?
- Forms, verbal, visual etc

Figure 15: TYPICAL SESSION STRUCTURE
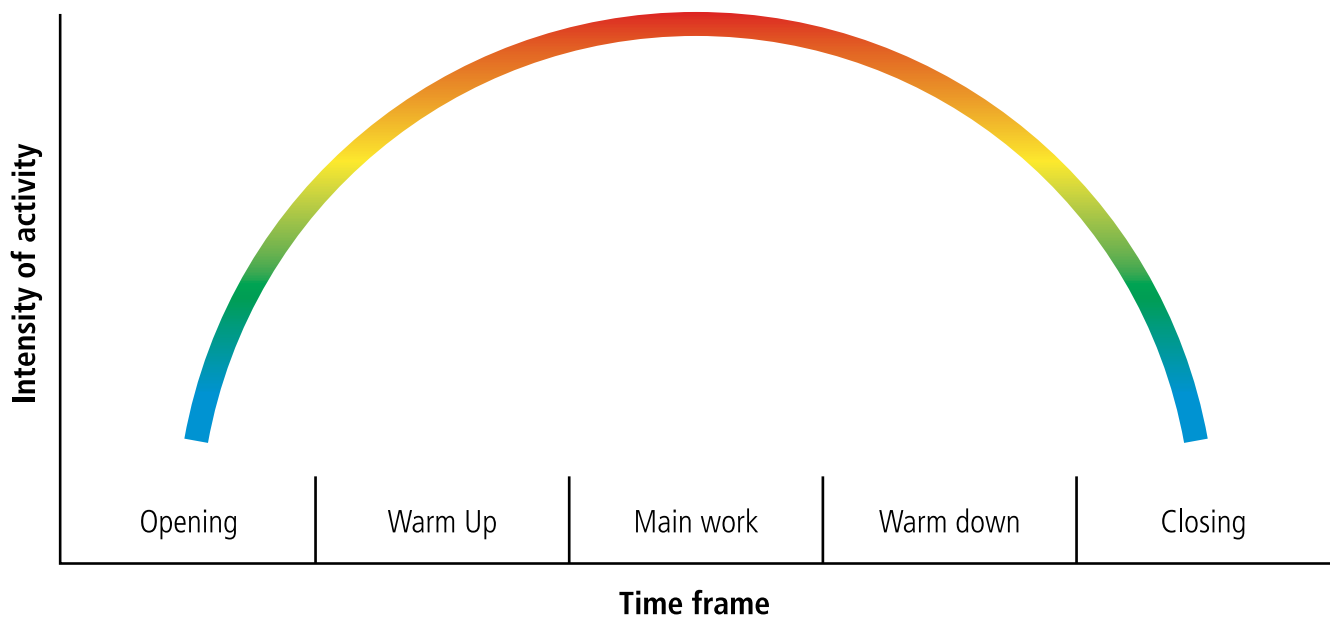
SOURCE Aha! Consulting

Opening

- Welcome, allow people to mentally "arrive", make eye contact with each participant
- Establishing the contract
- Timeframe
- Housekeeping (toilets, room layout etc)
- Your role for the day
- Set the scene for the day's learning and outcomes. In many instances it is relevant to allow the participant to discuss their agenda / desires for the session. This is useful for establishing relevance and cooperation.

Warm Up

- Introduce specific topics and the general concepts / questions / issues.
- Check current knowledge.
- Use "trigger" activities, visual aids or other means to spark interest and introduce the topic.
- Check for participant involvement as you progress them into the main body of the work.

Main work

- Main information / discussion / learning.
- Plan the session to suit either the dissemination of information, the facilitation of a discussion or the teaching of a skill.
- Use casual feedback and check participants are "on track". Questions, request a verbal summary, invite

participation from less active members. It is important to consider the concept that less vocal doesn't always mean less active!

Warm down

- Recap main points and allow for clarification of concepts, skills or session achievements.
- Address "where to from here" - how does this link to what has happened - what else will be happening.
- Acknowledge group contribution.
- Check if initial contract and outcomes have been met.

Closing

- Allow individuals to share "what they got out of it".
- Complete evaluations and say your goodbyes.