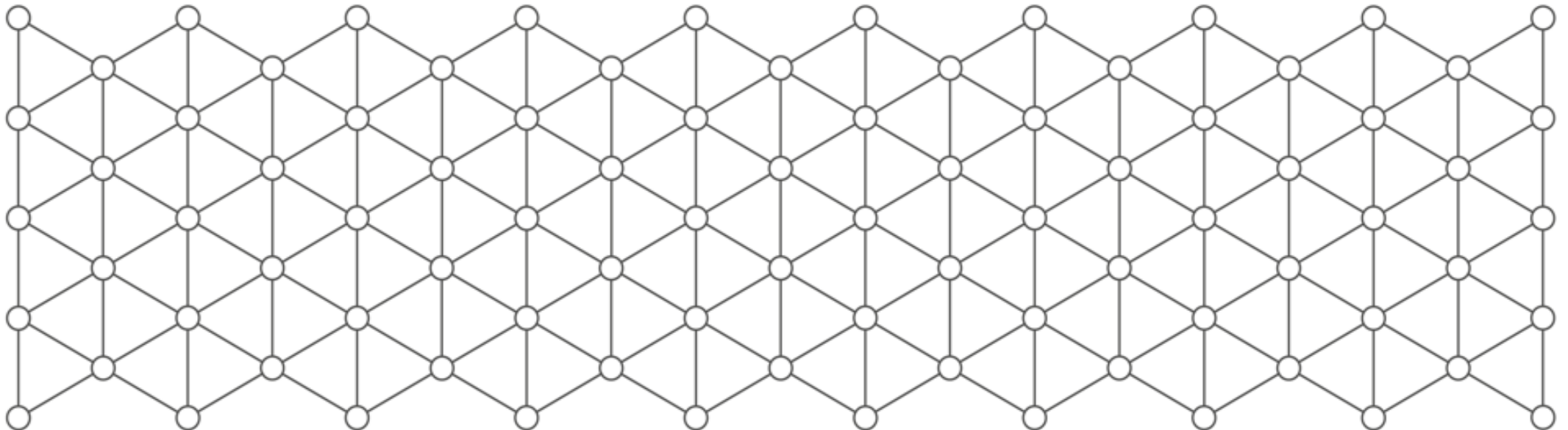# The Policy Project

Responsive today,
shaping tomorrow

Community Engagement Design Tool

A tool to assist policy advisors to identify the level on the IAP2 Spectrum of Public Participation most appropriate for a specific policy project

New Zealand Government

A suite of resources supporting Community Engagement

This **Community Engagement Design Tool** is one of six new community engagement resources for policy advisors and government agencies within the Policy Project's Policy Methods Toolbox. These were developed by the Policy Project to fulfil Commitment 5 of the Open Government Partnership 2018 – 2021 National Action Plan. Commitment 5 aims to assist the New Zealand public sector to develop a deeper and more consistent understanding of what good engagement with the public means (right across the International Association for Public Participation's Spectrum of Public Participation).

The six new community engagement resources are:

1. **Good Practice Guide for Community Engagement** – A guide for policy advisors on good community engagement practice, including at each level of the IAP2 Spectrum of Public Participation.

2. **Principles and Values for Community Engagement** – A guide for government agencies and policy advisors on principles and values for good community engagement in policy making.

3. **Getting Ready for Community Engagement** – A guide for government agencies on building capability and readiness for community engagement.

4. **Community Engagement Design Tool** – A tool to help policy advisors identify the level on the IAP2 Spectrum of Public Participation most appropriate for a specific policy project.

5. **Selecting Methods for Community Engagement** – Resources to help policy advisors choose the right engagement methods to support good engagement planning.

6. **Guide to Inclusive Community Engagement** – A guide for government agencies and policy advisors on inclusive community engagement in policy making.

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Acknowledgements

1. Introduction

1.1. The value of engaging effectively when developing policies

As public expectations change and Māori Crown relationships evolve, policy advisors in government need to continually improve their practice of community engagement during the policy-making process. This involves thinking about the *why*, the *how*, the *when*, and the *who*. For all communities and their members, each interaction and engagement contributes to the experience of their relationship with government. Whether a proposal is raised by whānau, communities, or led by the government, the way we work together is driven by three key things: the ongoing nature of the relationships we hold, the mindset we bring, and the nature of the community engagement processes we use.

Engagement should promote trusting and enduring relationships with key organisations, groups, and individuals in the relevant policy area. These will arise if community engagement is early and is designed to endure through the policy process: from initially identifying issues that highlight a potential need for action, to implementing, evaluating and fine-tuning a policy.

Ultimately, if community engagement is done well with the genuine intention of listening and being influenced, it can result in better policy decisions with better results for people. Solutions are proposed that have buy-in from the community and can realistically be implemented. In this environment greater trust in government develops. Following good practice not only improves current policy-making outcomes, but also establishes a sound basis for fruitful community engagement on future issues.

1.2 Design Tool supports good engagement practice

Undertaking good engagement design from the start is one of the best ways to ensure communities have an opportunity to influence policy making. It enables diverse views to inform all the stages in the policy development process.

This Community Engagement Design Tool (the Design Tool) helps guide policy advisors through an intentional process of determining what engagement commitment government should make.

The Design Tool is most relevant to engaging on a specific policy issue or initiative where government is in a lead role. However, it can also be used for more informal engagement with communities, or by communities when they initiate engagement with government on a policy issue.

The realities of policy making don't always afford policy teams and practitioners the time for considered engagement design. The approach outlined in this tool can, however, be applied at any stage of a policy process where engagement is being proposed.

1.3 Open Government Partnership mandate for engagement resources

As a signatory to the International Open Government Partnership Agreement, the New Zealand Government is committed to increasing the participation and influence that people in New Zealand, their whānau, their communities, businesses and community organisations have on the policy-making process and on decision making.

Commitment 5 of New Zealand's Open Government Partnership 2018-2020 National Action Plan is being led by the Policy Project with the aim to "develop a deeper and more consistent understanding within the New

Zealand public sector of what good community engagement with the public means, right across the Institute of Public Participation's Spectrum of Public Participation" (the Spectrum). Commitment 5 contains a milestone to add new guidance resources to the Policy Project's Policy Methods Toolbox that support a principled and inclusive approach to good engagement practice. It includes a commitment to develop "a design tool that will assist policy advisers to choose the appropriate level on the IAP2 Spectrum of Public Participation for a specific policy issue."

1.4 International framework for community engagement approaches varies across a spectrum of influence

Internationally, the most widely recognised framework for describing broad approaches to community engagement is the 'Spectrum of Public Participation' produced by the International Association for Public Participation – shown in Figure 1 on the next page. The five levels in the Spectrum – Inform, Consult, Involve, Collaborate, Empower – constitute increasing degrees of community impact (as you move from left to right) on the decision that government or other decision-making bodies are engaging about. Each level on the Spectrum differs in terms of the level of influence people and communities have both on shaping the definition of a problem or opportunity, and on making decisions about the best solutions to problems.

No one level of the Spectrum fits for all policy questions. Informing (and listening) are part of all engagement activities. Consulting is a powerful tool for policy advisors to test reaction and ascertain consequences of proposals. The value of engaging beyond the traditional engagement approaches of Inform and Consult, involve community engagement being used to build options and create deeper understanding of problems and build a shared commitment to implementing solutions. Engagement at the Collaborate and Empower levels allows it to be integrated early and throughout the policy process. This practice is consistent with the articles of the Treaty of Waitangi.

Figure 1: IAP2 Spectrum of Public Participation

INCREASING IMPACT ON THE DECISION

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

Source: IAP2 Australasia

1.5 Framework and guidance for engagement with Māori

Te Titiri o Waitangi is the basis for describing the overall strategic relationship held between Māori and the Crown, and plays a central role in shaping engagement between Māori and the Crown.

For Māori, the process of genuine engagement by the government involves:

1. an acknowledgement of their rangatiratanga and status as Treaty partners

2. an acknowledgement that mātauranga Māori makes an important contribution to solving policy and practical problems

3. an acknowledgement that Māori have the resources and capability to contribute

4. an acknowledgement that some issues affect Māori disproportionately and they are therefore better placed to develop the solutions.

If engagement with Māori isn't early, inclusive or broad there may be reduced opportunities to develop meaningful future relationships and the development and implementation of effective policy options may be compromised.

Te Arawhiti has created a framework and guidance for public sector engagement with Māori, which is also based on the idea of a spectrum of engagement. That guidance notes the importance of government agencies maintaining established networks and ongoing relationships with Māori through which ideas can be tested as part of the normal work routine. This guidance complements the Te Arawhiti framework and advice.

Figure 2: Te Tiriti o Waitangi, the Treaty of Waitangi
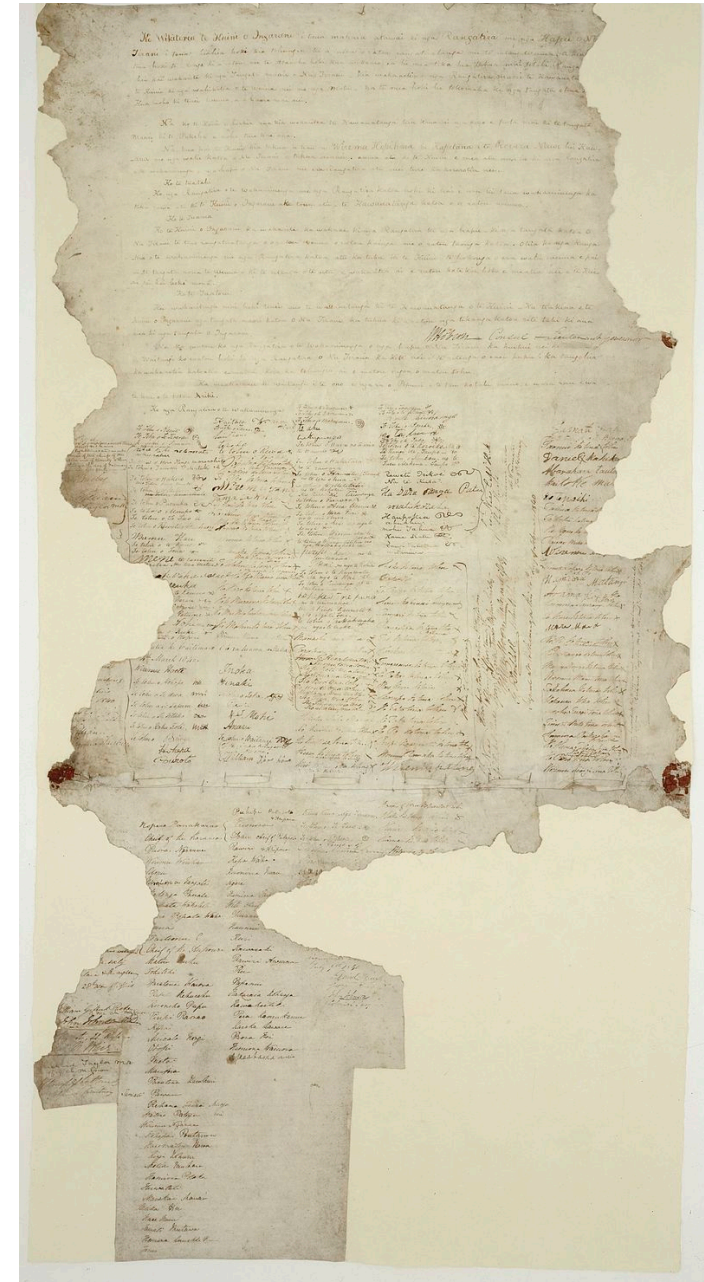
2. Community Engagement Design Tool – an overview

2.1 Purpose of Design Tool is to guide intentional engagement design

Policy advisors currently have little to guide them on how to proceed with community engagement design when they're faced with a wide spectrum of options for the level of community influence on policy decisions, and many potential engagement methods to choose from. Often this results in prematurely selecting one or more engagement methods, instead of thinking more widely about the factors that should guide all aspects of engagement design.

The public and specific community engagement participants should be able to infer how much influence they'll have from the engagement methods used. Choosing methods that aren't aligned to the level of influence government has decided can risk the nature of the method implying a level of influence for the stakeholder that isn't consistent with a government's intentions. Choosing a method that over commits influence (for example implying Collaborate or Empower in the Spectrum) will generate frustration and distrust from the public, who could believe that their contribution will be more influential on the final shape of the decision or action than the government actually intends.

Applying the Design Tool outlined in the remainder of this guide is a critical first step in planning the community engagement dimension of each policy project – and will have a number of potentially wide-reaching positive impacts:

- It will help you, as a policy advisor, to consciously assess the key design factors that should underpin a recommendation about what

'promise of influence' is appropriate for community engagement.

- This will result in you making well-informed recommendations to Ministers or senior managers about an appropriate engagement approach at the outset of policy projects.

- When community engagement is undertaken, the explicit decisions made using of the Design Tool will help create a shared and transparent understanding of the roles in engagement.

- That, in turn, can improve the value all parties gain from engagement – because early and enduring community engagement with clear 'promises of influence' ensures the policy developed and adopted is more fit for purpose.

- This can lead to improved policy outcomes for the people affected by the policies.

- The changes in both the policy process and policy outcomes from applying the Design Tool should enhance trust in government.

2.2 IAP2 Design platform basis for detailed community engagement design

The Design Tool is drawn from the IAP2 Design Plan Manage (DPM) framework which describes the critical steps in the three major platforms for successful community engagement:

- Design
- Plan
- Manage

This Design Tool is aligned with the critical steps contained in the first of those three platforms, the IAP2 Design platform.
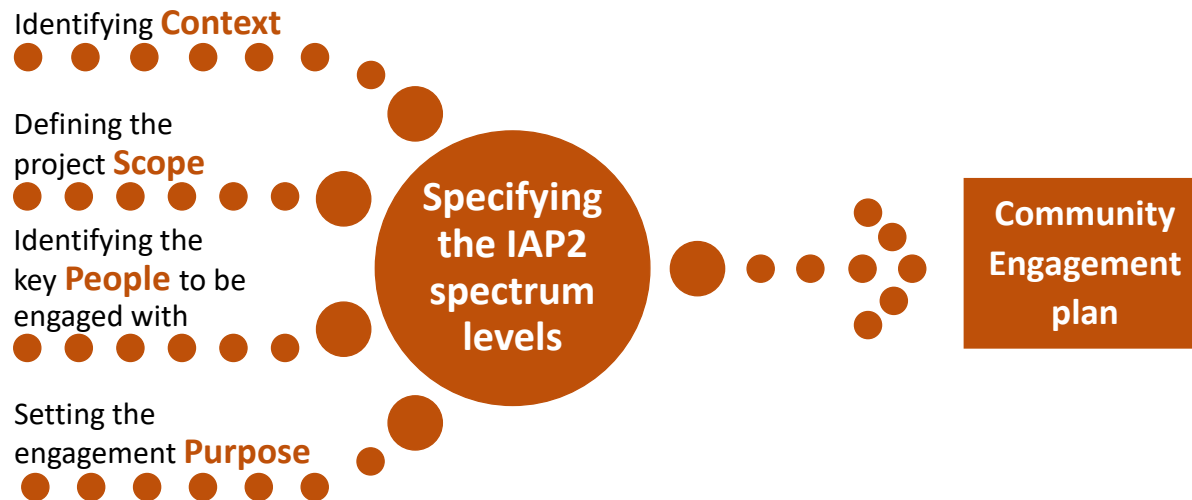
2.3 How the Design Tool works

The best position on the Spectrum to adopt for a specific policy issue or opportunity is determined by analysing the implications of four community engagement design factors in the DPM framework:

- the **Context** of the political and institutional drivers for policy development and decision making and for the engagement
- the **Scope** of the policy project
- the **People** or target groups for engagement, and
- the specific community engagement **Purpose**.

The Design Tool guides you through your assessment of each of these four factors, to help you identify the Spectrum level that should form the basis of your community engagement plan (see Figure 3 below).

Each design factor has its own set of determinants. When these have been assessed, they can help you consider where that factor could lead a policy project to sit on the Spectrum – from Inform at one end of the Spectrum to Empower at the other.

In terms of weighting or impact on the choice of Spectrum levels, the Context, Project Scope and People to be engaged are often the most consequential factors. The Purpose of community engagements is often, but not always, linked to the analysis of these first three factors.

Together the consideration of Context, Scope, People, Purpose and finally Spectrum levels of influence on government decisions shapes the Community Engagement Plan.

Figure 3 on the following page provides a high-level overview of the Design Tool Assessment Process. It identifies some of the key factors you would be considering – the Context, Scope, People and Purpose of engagement design factors – to identify the appropriate Spectrum level for that policy project. What you ultimately choose will involve a judgement call, which will be well-grounded because you've focused on each element of the Design Tool.

Figure 3: Community Engagement Design Factors

Identifying **Context**

Defining the project **Scope**

Identifying the key **People** to be engaged with

Setting the engagement **Purpose**

Specifying the IAP2 spectrum levels

Community Engagement plan

Source: IAP2 Australasia

Figure 4: Community Engagement Design Tool Assessment Process

		IAP2 Spectrum of Public Participation Levels				
		Inform	**Consult**	**Involve**	**Collaborate**	**Empower**
Design Factors	**Context**	←——→				
		• Limited public interest. • Decision made. • Policy mandated by the public. • Unlikely to generate further public concern or response.		• Complicated. • Wide ranging impact.	• Complex. • Significant to key partners. • Implementation requirement sits with stakeholders or partners.	• Policy development better led by partners, stakeholders or communities.
	Problem/ opportunity scope	←——→				
		• End stage of policy cycle.	• Constructing options, assess options, confront choices, implement policy.		• Early in the policy process. • Identify issues and opportunities, define outcome and objectives, construct, assess options, confront choices. • Significant projects.	
	People	←——→				
		• Little or no public interest.	• Impact on a broader set of stakeholders and communities.	• Interest to specific set of stakeholders, communities.	• Broad public impact and interest. • Moral considerations. • Significant issues for Māori.	
	Purpose	←——→				
		• Inform.	• Critique and develop. • Comment. • Test proposals.	• Critique and develop.	• Create together.	• Follow the direction set by others.
	Summary	The level selected on the Spectrum is determined by a review of the design factors analysis, weighting of the design factors and considering the engagement approaches for iwi and partners. The level selected then shapes the engagement method choice and detailed community engagement planning, and later community engagement delivery.				

Section 3 of this guide outlines how to undertake the detailed design work for each decision factor that helps determine the appropriate the Spectrum level for your policy project.

3. Applying the Design Tool

## 3.1 Apply during initial scoping of a policy project

When starting work on a new policy project, advisors are often unsure how to decide what community engagement approach to recommend or adopt. Using this Design Tool in the scoping phase of your projects will provide a sound basis for building appropriate community engagement into the relevant stages of your policy development process.

This section guides you through implementing the Design platform of the DPM model of community engagement outlined in section 2. This will address which territory to traverse, which questions to ask, and what information to collect that will help you apply the Design Tool. This will inform the advice you give your minister on which approach is best suited to a specific policy issue.

3.2 Process for choosing the best level on the IAP2 Spectrum

As mentioned earlier, a useful place to begin assessing the appropriate level of community influence on government decision-making is with the Design platform of the International Association for Public Participation's DPM model. Figure 5, to the right, provides more information about the elements of the Design platform.

Figure 5: Design platform of the Design Plan Manage model
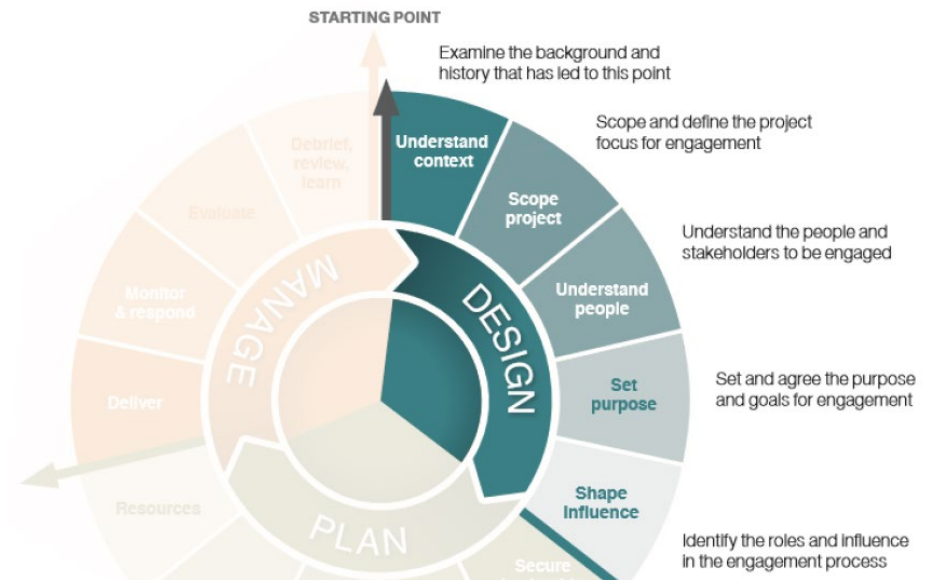
Source: IAP2 Australasia

…by applying the Design Tool to determine the most appropriate level on the IAP2 Spectrum of Public Participation for community engagement

Determining the best approach to community engagement first requires considering four critical design questions:

1. What's the broader **context** that shapes the environment and likely reaction or readiness of the community to consider the problem or opportunity under consideration?

2. What's the **scope** of the problem, opportunity, or outcome? Are there any limits on the potential solution?

3. Who are the **people**, stakeholders, and organisations who will be affected? What's the nature of our relationship and connection to these people?

4. What's the **purpose** of community engagement?

These four critical considerations shape the level of **influence** or role that it may be appropriate for people, stakeholders and organisations to have on the policy decision making (represented by the position on the Spectrum). Reviewing them will enable you to make an informed judgement using the Design Tool about the levels of influence that are desirable or feasible to achieve with the community engagement you undertake.

More detailed guidance for considering and assessing each of the four community engagement design factors is outlined in the following sections.

Ultimately, the four factors are interlinked. The design tool begins by unpacking each factor, however the final stage involves making a judgement about how to balance across the four design factors to determine the Spectrum level. Of the four factors, Context, Scope and People have the greatest weight in determining the Spectrum levels for most projects.

3.3 Context – environment shapes decision making on engagement approach

3.3.1 Consider key dimensions of context

Context is the background setting or environment in which the policy project is being undertaken. To assess Context, consider factors such as:

- the history of the policy problem or proposition
- the history of your organisation's relationship with key communities or stakeholders
- the reputation or standing of the organisation leading the engagement, and its leaders
- the nature of the commitments to engagement made by your minister and organisation
- the level of controversy related to the issue or policy proposal

- the strength of stakeholder or community reaction to policy question or proposal
- the relationship of the organisation with Māori, communities, and stakeholders
- the scale and consequence of the proposed policy changes (if known)
- international approaches and reactions to similar policy questions
- past engagement approaches and findings on this issue.

3.3.2 Undertake activities that help you understand the key dimensions of context

To identify the factors in the broader context that may impact on the community engagement you undertake:

- review your organisation's files, its history of the issue, and related policy activity
- undertake preliminary community engagement with Māori and other key organisation partners who will be critical to developing or implementing the project
- survey or interview a selection of other community leaders or stakeholders to build an understanding of readiness or barriers to community engagement, and reaction to the policy development issue or opportunity
- review past and present media and social media activity related to the policy issues, communities and stakeholders
- talk with people in your organisation who are familiar with the policy issue or the key communities and stakeholders.

3.3.3 Use these questions to analyse key context factors

The Analysis questions in Table 1 below will help you to unpack the context factors underpinning the various dimensions of a policy issue.

Table 1: Analysis questions for context factors

Context	Analysis questions
	Government factors • What are the approach and priorities of the key leaders and decision makers? • Are there signals or pressure from leaders that the policy project adopts a particular level of influence on the IAP2 Spectrum? • Who within government will be contributing to the policy work? • What's important to them and why? • How important is the community engagement to the organisation? • What's the policy or approach to community engagement? • Where did this proposition come from – what happened before? • What triggered this proposition? Why now? • How important is the project to the organisation? • Have we tried other policy or engagement approaches? What happened?	**Community factors** • What's the context and history of the community? • What's the relationship between the community and the organisation? • Has the community initiated engagement on this issue? • What's being talked about? • If a particular policy proposition exists, did they know it was to be considered? • What's the level of awareness and knowledge? How ready are they to engage? • How important is this to the community? **World, national and regional trends** • How have communities with similar profiles responded to community engagement on similar policy projects? • What has been the response when similar things have been done elsewhere? • How strong is the political will and determination to pursue the proposed solution? • What else is happening that could impact on the issue? Consider the political, social, economic, environmental, and technological contexts. • What interest is there from the public, stakeholders, and media?

3.3.4 Assess implications of your context for the level on the IAP2 Spectrum

In terms of the context for a policy project, which level of the IAP2 Spectrum to recommend depends largely on two matters. The first is how controversial or significant the issue is for the project, the organisation, stakeholders or communities. The second matter is the significance of the problem for the government, which is often determined by the impact of the problem on the community.

If the policy question is difficult to tackle because of the contextual challenges, then consider investing in engagement towards the right of the Spectrum – Involve, Collaborate and Empower. Engaging at these levels gives the opportunity to build relationships and create a shared responsibility or a greater involvement in building a response to the complex or significant policy issue. The advantage of engaging in this way is that the confidence of the public and those affected by the issue or who will be affected by any implementation activity will be stronger if the policy process looks to have engaged community or sectoral representatives, leaders and technical advisors actively in the policy process. This approach requires investment in relationships, management of the engagement process, and direct involvement of policy advisors.

When the context for the policy issue isn't controversial or has only a limited public significance then engaging at the Consult and Involve levels will provide an opportunity to test policy proposals and gather insights on the needs and perspectives of those affected by the issue.

The contextual assessment involves considering the balance between risk and opportunity. This assessment, along with thinking about the project scope itself and the range of target groups for engagement, will shape the positioning on the Spectrum. The contextual analysis is the first point of thinking about how much of the Spectrum to use for community engagement on your policy issue or opportunity.

3.4 Project scope – defining the problem or opportunity

3.4.1 Why project scope matters

The scope of the policy project is the primary attractor for citizen, stakeholder and community participation. Most stakeholders and communities don't engage simply to build relationships or because it's their role as a citizen. Māori, stakeholders and communities who engage are first drawn to the policy problem, opportunity or question.

3.4.2 Define the scope of your policy project

It's critical you clearly describe your initial understanding of the problem to be solved or the opportunity to be taken. The most powerful views to shape how the problem or opportunity are identified or defined might not be the policy advisor or government perspective. It might be the perspectives of those closest to the problem or opportunity. The views of those with lived experience, local experience, or service delivery experience are likely to give a clearer view of the costs, consequences, and potential ways of resolving a problem or seizing an opportunity.

Engaging early in the life of the policy project or problem provides the community and stakeholders maximum opportunity to shape:

- how the problem's understood
- the policy objectives
- the creation of a solution they support.

The statement of the project scope needs to be a concise and clearly stated description of the current understanding of the problem or opportunity. This should include any limits on the potential solution that you're aware of. These limits may be the result of political, economic, technological, or other realities.

3.4.3 Use these questions to analyse the scope

The Analysis Questions in Table 2 below will help you unpack the project scope.

Table 2: Analysis questions for policy project scope

Project Scope	Analysis questions
	1. What's the last thing the government decided about this matter?
	2. What's the next thing that will happen after this?
	3. What are the things about this matter that you cannot change?
	4. What are the things about this matter that the community and stakeholders can influence and shape?
	5. How do the community and stakeholders describe this issue, opportunity or policy proposition?
	6. What are things that define the scope of possible solutions?
	7. What are the trade-offs you may be comfortable with?
	8. Do time or any political, economic, and technological realities limit the solutions that could be adopted?

3.4.4 Assess implications of your scope

The best engagement approach varies depending on the nature and stage of the policy question being considered. Policy questions that are strategic in nature provide an opportunity for rich problem solving and engaging more to the right of the Spectrum, inviting collaborative decision making and development. Engagement at this level also requires a strong information and promotion campaign to inform the engagement.

Proposals with a narrow scope, such as amendment of the detail of regulatory settings, provide an opportunity for more focused engagement and often sit to the middle or left of the Spectrum.

The type of policy being developed also has a direct impact on which engagement approach will be most successful:

- Strategic projects and projects earlier in the policy cycle often require stakeholders and communities to take part in 'blue skies thinking'. Projects at this level often require strong collaboration with Māori and across partner groups and advocates at the Collaborate or Involve level. Strategic projects provide an opportunity to deeply engage stakeholders and communities to understand needs, experiences and values, and create options or success criteria.

- Engagement on specific policy questions, where the solutions are constrained by broader policies or frameworks, require engagement with stakeholders. Projects at this level may require engaging at the Collaborate level with Māori, and across partner groups and advocates at the Involve level. The more specific focus of regulatory or technical policy projects often require active management of risks to reputation. They often require active community engagement with a diverse range of perspectives.

- Engagement for projects focused on implementing policy often requires less activating of community interest, but it's still important to clearly communicate and manage reactions to options already

created or decisions already made. Conflict may occur as there is little or no room to influence how policy decisions already made are implemented.

3.5 People – understanding needs and perspectives

3.5.1 Identify who is interested in and affected by the policy issue and its scope

Identifying and understanding the needs, perspectives, interests and concerns of Māori, stakeholders, partner organisations and the public regarding the scope of the policy project is critical to determining the best approach to engagement.

Key to successful community engagement is ensuring that the community engagement reach is wide and includes a diverse range of perspectives and profile of interest in the policy question being considered. Effective community engagement depends on reaching beyond stakeholders who engage regularly with government, regardless of their opinion or interest in the policy question.

Relevant stakeholder and community groups can be identified using:

- existing partnerships and relationships
- service records and contacts of your organisation
- advice from population agencies across government
- local government contacts
- community organisations and networks
- initial context analysis of media and social media activity
- advertising and promoting the opportunity to engage with government.

3.5.2 Use these questions to unpack people's needs and perspectives

The Analysis questions in Table 3 below will help you unpack the people factors that will illuminate the diversity of stakeholder and community needs and perspectives. In addition, a Guide to Inclusive Community Engagement – which is part of the community engagement resource suite – can also help you further assess the people dimension of your policy project.

Table 3: Analysis questions for the People design factor

People	Analysis questions
	1. Impact analysis • Who is impacted by this policy issue and how much? **2. Interest analysis** • Who would be interested in this issue based on experience? • Who is talking about the topic or similar projects elsewhere? **3. Diversity analysis** • Review your community's demographic profile and identify how diverse those impacted by and interested in the issue are • Which groups could be hard to reach? **4. Access analysis** • Who is typically hard to engage? • Who is likely to be missing from your conversations? **5. Frequency analysis** • Who is talking often about which aspects of the policy issue? • Who isn't talking very much? • Review past community engagements including comment registers and attendance registers, to uncover information relevant to this issue.

3.5.3 Assess implications of your People analysis

The more significant the policy question is to the public, iwi, community organisations and other stakeholders, the more pressure there is for them to be influential on the process and decision making. The appropriate positioning of stakeholders, communities, and partners across the Spectrum will vary. Typically, the pattern of engagement cascades across the Spectrum by the level of significance or interest in the policy question: partners and other key stakeholders will be engaged at Involve, Collaborate and or Empower levels. Stakeholders, communities, or people directly impacted by a policy question will be consulted and involved, and the broader public will have an opportunity to give feedback at the Consult level. Inform will be required for all relevant stakeholders.

However, projects may also provide the opportunity to engage communities and the broader public in deliberating on the choices relating to a policy question and their impacts, at the Involve or Collaborate level. To determine the most appropriate level on the Spectrum, consider:

- any pre-existing partnerships and relationship commitments
- the level of involvement or support required to develop or implement the policy
- the insights, expertise and information that users, public and stakeholders can add to the policy consideration
- groups that have expressed concern or excitement about the policy question
- the groups and engagement approaches identified by the decision maker as being critical to their confidence in the advice
- the level of people's interest in the policy question.

## 3.6 Purpose – describing the purpose of community engagement

3.6.1 Wide range of community engagement purposes exist

The purpose of community engagement describes what we are trying to achieve by involving stakeholders and the broader community in developing the advice or in making the policy decision. The community engagement purpose provides the rationale for how engaging with the community and stakeholders is expected to contribute to achieving the objectives of the overall project.

Clarity about the engagement purpose helps focus the effort on creating successful community engagement, and can be used to identify measures to assess engagement effectiveness.

There are a range of common purposes for community engagement outlined in Figure 6 below.

Figure 6: Common Community Engagement Purposes
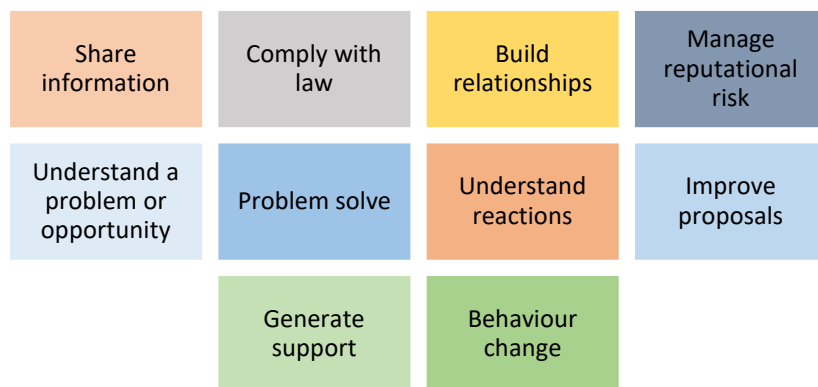
Source: IAP2 Australasia

To identify the most appropriate community engagement purpose at any stage in your project, review your analysis of Context, Project Scope, and People. This review is best done with partners (where relevant) and the whole policy project team.

3.6.2 Determine purposes of engagement and associated engagement goals

To determine the specific community engagement purpose for your policy project, take the following steps:

1. Consider the common engagement purposes in Figure 6 and identify up to three that reflect the most critical contribution to your policy project and to building community trust and confidence.
2. Once the relevant purposes are identified, set the goals for each purpose.
3. Then for each goal set the measures that would represent success.

For example, for a project focused on increasing initiatives to support healthier homes, one purpose could be 'Understand a problem or an opportunity'. Two goals in relation to this engagement purpose could be:

- to 'Understand the adverse impacts for people living in unhealthy homes, including impacts on families and communities'
- to 'Understand the factors causing a lack of good quality housing'.

Some of the success measures for engagement would then relate to:

- the degree of involvement and reach into the community
- the success of key processes and methods used to gather insights
- the nature of insights and creation of ideas as a result of engagement – see tip 4 in Table 4 on the next page.

3.6.3 Tips for defining your community engagement purpose

Below in Table 4 are some tips to help you unpack the purpose of your community engagement.

Table 4: Tips for defining the purpose of your community engagement

Community Engagement Purpose	Analysis questions

	1. While there may be many purposes that will contribute to the design of a community engagement project, choose only those that are most critical to success.
	
	2. Don't choose too many goals for each engagement purpose, as this can make the engagement too complex for participants
	
	3. Don't choose too many success measures for the project, as the burden of measurement and evaluation may become too great.
	
	4. Generally, community engagement effectiveness is measured by:
	    a. Reach
	    b. Representation and diversity
	    c. Process quality and compliance
	    d. Relationship strength
	    e. Insights and creation
	
	5. Remember to consider the implications of all the above for which level on the Spectrum is most appropriate for this policy project.

3.6.4 Assess the implications of your engagement purpose

If the purpose of engagement is to provide stakeholder or wider feedback on the policy proposal, that would move the level of influence towards the left of the Spectrum, towards the Inform and Consult levels.

Engagement purposes that seek:

- to create solutions, move the level of influence towards the right of the Spectrum – to Collaborate or Empower levels
- to critique or develop proposals shift the expectation to the centre of the Spectrum – Involve, often supported by Consult
- permission or endorsement of the policy proposal moves towards the right of the Spectrum – towards Collaborate or Empower.

As a guide, the engagement purposes typically sit across the Spectrum in the ways outlined in Figure 6 below.

Figure 7: Relationship between engagement purpose and IAP2 Spectrum level

Inform	Consult	Involve	Collaborate	Empower
Share information	Identify problem or opportunity	Identify problem or opportunity		
Comply with the law	Comply with the law	Improve proposals	Improve proposals	
	Understand reactions	Understand reactions		
		Build relationships	Build relationships	Build relationships
Manage reputational risk		Manage reputational risk	Manage reputational risk	Manage reputational risk
		Problem solve	Problem solve	Problem solve
		Behaviour change	Behaviour change	Behaviour change
	Generate support	Generate support	Generate support	Generate support

4. Determining the overall IAP2 Spectrum level

4.1 Two step process for determining the level of influence

An important part of designing community engagement is understanding how much influence the communities and stakeholders may have on the policy process.

The Spectrum provides the conceptual framework for the approaches to community engagement that have been adopted in this guide. Decision-making power in this model for **Inform**, **Consult** and **Involve** sits with the policy decision maker – in the public policy context, with the government. At the **Collaborate** level, the decision-making power is promised to be shared between government and the community being engaged with. At the **Empower** level, the decision making sits with the citizens, iwi, stakeholders or agencies who have agreed to take the lead role, rather than the government. The best community engagement approach – or Spectrum level – to use will vary from question to question. They may also vary for the same policy question at different points in time, and with different governments.

Once you've undertaken the analysis for your policy project of the design factors – **Context**, **Scope**, **People**, and **Purpose** – you can use the Design Tool to synthesise the results of that analysis. Then you can determine the appropriate IAP2 Spectrum level to recommend to ministers or senior managers.

This is a simple two-step process you can document in the template provided in the Appendix, as follows:

1. The **first step** (Appendix – Sheet 1) involves documenting your analysis of the four factors and the implications of the analysis for the appropriate Spectrum level for each factor.

2. The **second step** (Appendix – Sheet 2) involves reviewing your documentation of the analysis of each of the factors in Step 1, and making an overall level recommendation for your policy project – including documenting the rationale for that recommendation.

4.2 Step 1 – Document implications of each community engagement design factor

Use Sheet 1 of the Design Tool template in Appendix A to:

- document your analysis of each of the factors
- record your assessment of their implications for which community engagement level could be most appropriate.

Sheet 1 provides the questions to ask and guidance to help you weigh up what the information you've collected about each design factor indicates about which levels could be most appropriate, and for which elements of the community. Documenting your assessment of each of the design factors and their implications will help identify the most appropriate Spectrum level to recommend to decision makers at Step 2.

4.3 Step 2 – Review and determine overall Spectrum levels

Use Sheet 2 in the Appendix to determine the Spectrum levels for the engagement elements of your project.

It's good to remember 'one size doesn't fit all'. Community engagement across different Spectrum levels may be appropriate for different elements of the community. For example, community engagement with Māori may be at the Collaborate level, expressed as partnership within the Te Arawhiti Engagement Guidance. While for other key interest groups, community engagement on that policy issue may sit at the Involve level and for the broader community, engagement on that policy issue may sit at the Consult level.

To determine the overall level for your policy project, follow these steps, as set out in Sheet 2.

1. **Transfer the assessments**
   From the worksheets within Sheet 1 for each of the four design factors – Context, Scope, People, and Purpose – identify your assessment of which level on the Spectrum might be appropriate for this policy project. Transfer those four assessments to the top right-hand rows of the summary worksheet (Sheet 2).

2. **Decide overall Spectrum level**
   Consider the most appropriate levels to recommend to decision makers for this policy project by:

   a. reviewing the pattern of Spectrum levels revealed for the four key design factors and identifying the most frequently occurring level for the project

   b. checking your detailed analysis and comments for each factor in the worksheets to identify if there is any factor that should have more weight or impact than others in selecting the appropriate level.

      – For example, for this issue does the People analysis reveal that there are many politically active people who are passionate about the issue? Or does the Scope analysis reveal that this is a 'once in a lifetime' first principles review for a service or sector? If these factors were weighted more heavily, consider whether that would change the influence level that is best for this policy project.

   c. reviewing the Spectrum level indicated as most appropriate overall to assess if there are specific stakeholders or communities that it would better to engage at a different Spectrum level.

      – For example, checking whether the specific Spectrum level for working with and engaging partners (such as iwi Māori or other key stakeholder groups) is appropriately reflected in the position on the Spectrum. Often partner engagement is at the Involve, Collaborate or Empower levels.

3. **Recording recommendation and rationale**
   In light of the analysis you've undertaken in actions 1 and 2:

   a. record in the 'Influence' row of Sheet 2 which level or levels of community engagement you intend to recommend to decision makers (for which groups)

   b. record your rationale in the final row of Sheet 2: why you intend to recommend that the level of influence on decision making recorded in the Influence row (as outlined in 3a above), be adopted as the basis of detailed planning and managing of engagement for this project.

4.4 The value of completing a Community Engagement Design Template

Throughout the policy project journey, your completed Community Engagement Design Template can be used as a touchstone to continue shaping relationships as you engage. It will also provide a guide for any revision of your approach and a starting point for any evaluation of the outcomes of community engagement.

Remember that it can be worthwhile to revisit your completed Template as your project moves to new stages. For example, the level or community engagement approach appropriate when defining your policy issue won't necessarily be the same as when constructing or assessing options for achieving policy objectives, or for implementing the policy decision.

The results of your work completing the Template can now inform:

- any communication with decision makers about the rationale for the engagement promise (i.e. the degree of influence on government decision making associated with the recommended level on the Spectrum)
- how you plan and manage the community engagement elements of your policy project, including the engagement methods you select.

Appendix – Community Engagement Design Tool template

<table>
<tr><td>

Step 1 – Use Sheet 1 to conduct the Engagement Design Factor Assessment by:
- reviewing your earlier assessment of the key features of each of the four engagement design factors – Context, Scope, People and Purpose – for your policy project, and transferring your assessments for each factor to Sheet 1
- recording for each design factor, the implications of your analysis for which IAP2 Spectrum level is most appropriate.

</td><td>

Step 2 – Use Sheet 2 to conduct an overall Assessment of level or levels to recommend by:
- making an intentional decision about the overall levels of community engagement to recommend to decision makers for which groups, in light of the results of Step 1
- summarising why you intend to recommend that overall level and the reasons why.

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Sheet 1 - Engagement Design Factor Assessment

	Critical questions	Guidance	Your assessment of context factors for this policy project				
CONTEXT	How complex, controversial, or significant is the policy issue for the project, organisation, or community? Is there pressure or signals from the policy decision maker as to the preferred positioning on the IAP2 Spectrum?	The contextual analysis identifies the factors that make the policy question more complex, significant or controversial, or that would markedly change the reaction or participation levels of the people to be engaged. If there are few complex, significant or controversial factors in the context, then the Spectrum level is more likely to be to the left of the Spectrum (Inform, Consult); the more complex, controversial or challenging the factors, the further toward the right on the Spectrum will apply (Involve, Consult, Collaborate, Empower)	Tick all Spectrum levels that could be appropriate for this policy project, in light of the **Context** factors you've identified.
			Inform	**Consult**	**Involve**	**Collaborate**	**Empower**

	Critical questions	Guidance	Your assessment of context factors for this policy project				
PROJECT SCOPE	How much scope does the nature of the policy question have for alternative solutions or approaches?	The broader the policy problem solving scope, the further toward the right of the Spectrum the community engagement can be positioned. The smaller the scope, the further to the left on the Spectrum the community engagement can be positioned.	Tick all Spectrum levels that could be appropriate for this policy project, in light of the project **Scope** factor you've identified.
			Inform	**Consult**	**Involve**	**Collaborate**	**Empower**

	Critical questions	Guidance	Your assessment of context factors for this policy project				
PEOPLE	What's the level and nature of interest, potential contribution, concern, or significance the policy question or proposition has on or for who? • Culturally • Legally • Socially • Economically • Environmentally	The more significant the policy question to the public, stakeholders, and community organisations, the more the appropriate community engagement approach moves towards the right of the Spectrum for those citizens, iwi, stakeholders, and organisations.	Tick all Spectrum levels that could be appropriate for this policy project, in light of the **People** factors you've identified.
			Inform	**Consult**	**Involve**	**Collaborate**	**Empower**

	Critical questions	Guidance	Your assessment of context factors for this policy project				
PURPOSE	What are the implications of the community engagement purposes and goals identified for the policy project on the level of influence on decision-making to accord different elements of the community?	Engagement purposes that seek: • permission or endorsement of the policy proposal move towards the right of the Spectrum – Collaborate or Empower • to create solutions, move the level of influence towards the right of the Spectrum • to critique or develop proposals shift the expectation to the centre of the Spectrum – Involve, often supported by Consult • to provide feedback on the policy proposal move the level of influence towards the left of the Spectrum.	Tick all Spectrum levels that could be appropriate for this policy project, in light of the engagement **Purpose** you've identified.
			Inform	**Consult**	**Involve**	**Collaborate**	**Empower**

Sheet 2 – Overall assessment of IAP2 Spectrum level to recommend (and on which to base detailed community engagement planning)

Actions	Design factors	IAP2 Spectrum of Public Participation Levels				
		Inform	Consult	Involve	Collaborate	Empower

1. From the worksheets for each of the four design factors – **Context**, **Project Scope**, **People** and **Purpose** – identify your assessment of which level on the Spectrum might be appropriate for this policy project and transfer that assessment to the first four rows of this summary worksheet.
 	
2. Consider the most appropriate Spectrum level to recommend for this policy project by undertaking the following actions:
 	
  a. Review the pattern of Spectrum levels revealed for each of the four key design factors, and identify the most frequently occurring level for the project.
 	
  b. Check your detailed analysis and comments for each factor in the worksheets to identify if there is any factor that should have more weight or impact in selecting the appropriate Spectrum level.
 	
  c. Review the Spectrum level positions indicated as appropriate to assess, if there are communities that would better be engaged at a different Spectrum level. For example, check whether the specific Spectrum level for working with and engaging partners (such as iwi Māori or other key community groups) is reflected in the position on the Spectrum. Often partner engagement is at the Involve, Collaborate or Empower levels.
 	
3. In light of the analysis you've undertaken in actions 1 and 2 above:
 	
  a. record in the 'Influence' row which level or levels on the Spectrum you intend to recommend to decision makers (for which groups)
 	
  b. record in the final row below your rationale for why you intend to recommend the Spectrum level or levels to be adopted as the basis of detailed planning and management of community engagement for this project.
	Context					

	Project scope					
	People					
	Purpose of engagement					
	Influence **(of community engagement on government decision-making to recommend)**					

Summary Recommendations and Rationale: <u>why</u> you intend to recommend that the IAP2 Spectrum level of influence on decision making recorded in the Influence row above be adopted as the basis for detailed planning and management of the community engagement elements of this policy project.