

Guidance on Public Participation in Government Policy Development:

What Can New Zealand Learn from the International and Domestic Literature on Public Participation and Community Engagement?

+

Background Paper
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Executive Summary

Context for the literature review

The context for this literature review is Commitment 5 in New Zealand's Open Government Partnership (OGP) National Action Plan (NAP) for 2018-2020. Commitment 5 is to "Develop a deeper and more consistent understanding within the New Zealand public sector of what good engagement with the public means (right across the International Association of Public Policy's (IAP2's) Spectrum of Public Participation)."¹ There are five levels in the IAP2 Spectrum – Inform, Consult, Involve, Collaborate, and Empower – with the degree of public influence on decisions increasing the higher the level on the Spectrum (from left to right).

The first milestone for achieving Commitment 5 is to develop guidance that includes: a decision tool to assist policy makers to choose the appropriate level of public engagement on the IAP2 Spectrum; information on characteristics and enablers of good practice at all levels on the IAP2 Spectrum; and information on how to ensure that the selected engagement approaches include and reflect the diversity of those interested in and affected by the policies.

The purpose of this literature review is to identify insights from the international and domestic literature on public participation (also known as community engagement) relevant to achieving all the elements of the first milestone for Commitment 5.

Selecting the level of public participation on the IAP2 spectrum

Section 2 reports on the four most decision tool-like approaches identified in the relatively sparse literature on decision tools for choosing the appropriate level of public engagement during policy development or service design.

The South Australian Department of the Premier and Cabinet has developed a 'BetterTogether' Engagement Level Selection Tool. The paper-based version has users apply criteria to assess the degree (high, medium or low) of three characteristics of a project: its complexity, its potential community impact and its political sensitivity. The tool then uses this information to assign the appropriate level of engagement on the IAP2 Spectrum of Public Participation. In the electronic version of this tool, a fourth characteristic is added: whether the communities of interest can influence the decision, with a negative answer resulting in only lower levels of engagement on the Spectrum being recommended. Often this tool recommends more than one potential IAP2 Spectrum level of engagement, and the rationale for selecting those it does recommend is not entirely self-evident in some cases.

The Canadian Institute of Health Research (CIHR) has developed a question-based decision tree model, with the fifth question in stage 1 of the model being 'How will we interact with citizens to achieve our objectives?' The options for this that the CIHR decision tree model offers are levels of public engagement similar (but not identical) to the first four in the IAP2 Spectrum. However the ultimate purpose of this decision-tree model (in stage 2) is to select a specific public engagement method or activity. The primary guidance provided for selecting the level of engagement is that the greater the potential impact on interested parties, the higher the level of engagement with them is required. The CIHR handbook also identifies commitments made about the level of influence citizens will have on decision-making as

¹ <http://ogp.org.nz/assets/Publications/91b28db98b/OGP-National-Action-Plan-2018-2020.pdf>, page 24.

being important to factor in when choosing the level of engagement – echoing that element of the ‘BetterTogether’ tool. In this model, the link between all the previous questions and the one that is comparable to what level of engagement on the IAP2 Spectrum is less explicit than in some of the other approaches.

The Health Canada Policy Toolkit provides what it describes as sets of criteria for selecting each of the IAP2 levels of engagement. In this approach to a decision tool, a user would select the engagement level that their project fitted the most criteria for. In reality, however, many of the so-called criteria provided for each level are descriptions of what that level of engagement involves rather than a reason for selecting it.

The Design stage of the IAP2 Australasia ‘Design, Plan, Manage’ (DPM) Model is the fourth approach identified for choosing the level of engagement on the IAP2 Spectrum of Public Participation. This model involves intentionally working through the following 5 step process:

1. *Understand context*: examine the background and history that led to this point
2. *Scope project*: scope and define the project focus for engagement
3. *Understand people*: understand the people and stakeholders to be engaged
4. *Set purpose*: set and agree the purpose and goals for engagement
5. *Shape influence*: identify the roles and influence in the engagement process (i.e. the level on the IAP2 Spectrum to adopt).

These five steps collectively provide the design platform for moving on to the Plan and then Manage stages of the DPM model. These provide for an equally well-organised and logical process for working through the detailed planning of community engagement (including choice of specific engagement methods), and then the management of what was planned.

Of the four ‘decision tools’ identified in the literature, the Design stage of the IAP2 Australasia ‘Design/Plan/Manage Model is a clear front-runner as the base for the decision tool in the Commitment 5 guidance. This is because it:

- provides a logical and nuanced process for thinking through the multi-faceted matters that should go into the choice of the level of engagement (and the consequent degree of influence that those engaged with should have in the process)
- is less mechanistic and simplistic than the BetterTogether Engagement Selection Tool
- makes the relationship clearer between prior questions and the level of engagement question than in the CIHR decision tree model; and
- leaves the user better prepared for detailed engagement planning than if they had used the Health Canada Policy Toolkit’s criteria for the appropriate level of influence.

Methods) of engagement for each level on the IAP2 Spectrum

Section 3 reports on the literature on selecting the engagement approach or method that is most appropriate for the chosen IAP2 level of engagement. The terms ‘method’, ‘approach’ and ‘mechanism’ are used interchangeably in the literature to denote the type of public participation activity (e.g., focus groups, town hall meetings, individual interviews, etc.) used to engage at a given level on the IAP2 Spectrum of Public Participation. Some activities or approaches are flexible and can be used at several levels on the Spectrum, whereas others are specific and only usable on a single level on the Spectrum. This section focuses

specifically on four tools and criteria for selecting methods (approaches or mechanisms) for engaging at each of the five levels on the IAP2 spectrum of public participation.

The Engage 2020 Action Catalogue is an interactive digital tool which assists users to select from 57 of the most popular methods of public engagement (amongst hundreds in use) – using 32 different criteria (including the IAP2 level of engagement), and with the option to weight the importance of each criterion. The results can be presented as a prioritised list with a % score for goodness of fit, or diagrammatically (with the relevance of a given method shown by the relative size of the circle around it in the diagram). This helps users identify likely front-runner approaches, while still requiring them to make the ultimate choice of methods themselves. An advantage of this tool is the ability to feed in many criteria for making the choice of method. However in some cases, the many options available that it throws up may still leave users a little overwhelmed by choice. The in-depth information accessible online about each of the 57 engagement methods is a valuable feature of the Action Catalogue.

The National Coalition for Dialogue and Deliberation aims to provide an online clearinghouse of resources and best practice. Their Participatory Practices page lists over 180 tools and methods for community engagement. Their Engagement Streams Framework (a variation of the IAP2 Spectrum of Public Participation) and their Process Distinctions Table illustrate formatting and content that may be useful input to developing a tool or table for selecting a method appropriate to a given level of engagement. The NCDD tool provides less detailed information about each engagement method than is available from the Engage 2020 Action Catalogue. This is another resource for helping to select methods that could simply be one of a number referenced in the Commitment 5 guidance as resources for selecting engagement methods.

The CIHR Summary of Citizen Engagement Approaches organises its information according to a truncated variant on the IAP2 Spectrum (not including Empower) and provides more information about each engagement method than the NCDD ‘Process Distinctions Table’. This relatively user-friendly tabular approach may make it more valuable to users. However it lacks the ability to feed in other criteria relevant to choosing a method of engagement, relative to the Engage 2020 Action Catalogue.

The OGPtoolbox^{beta} developed by the French Government for the OGP focuses solely on digital tools for engaging with the public. It uses an interactive key-word approach for identifying which digital tools are relevant for which purposes and circumstances, what each tool’s characteristics are, and who else has used them for what. This provides a useful resource to refer New Zealand policy makers to, should they be seeking digital methods of engagement – while recognising that digital engagement alone may fail to reach disadvantaged, relative to advantaged, groups.

Our conclusion from our review of the literature on tools for selecting the best engagement method (once the relevant IAP2 level of engagement has been identified) is that no single ‘off-the-shelf’ appropriate tool exists. The options for supporting policy practitioners with such choices in the guidance include: referencing the various tools (outlined above) that exist; or synthesizing the information in them into a tabular or matrix format; or (if additional resources were available), developing a new digital tool for selecting engagement methods and describing what they involve, with case-studies illustrating their use and lessons learned. The latter, however, is not feasible within existing funding.

Best practice advice for public engagement

Section 4 drew on the wealth of information available in the international literature about what good practice engagement involves (at any level on the IAP2 Spectrum of Public Participation), to identify resources and insights which the best practice element of the Commitment 5 guidance can draw on.

It is important that the IAP2 Spectrum of Public Participation is viewed in the context of that organisation's wider frame for good practice – and Section 4 outlines the role that the IAP2's Core Values, Code of Ethics for engagement practitioners and Quality Assurance Standard for community engagement play, in supporting the Spectrum. The guidance should draw on these.

From the wider engagement literature, the following popular good practice learnings were identified which are relevant for inclusion in the guidance:

1. A single project may include multiple levels of engagement, at different stages
2. Negotiate with the community about the level of engagement
3. Thoroughly plan and scope for effective public engagement
4. Ensure representativeness of those you engage with
5. Build relationships for future engagements
6. Inclusive engagement requires additional preparation
7. Advanced facilitation skills are often required
8. Both parties learn and the process needs to be agile
9. Apply good communication practices
10. Undertake evaluation
11. If you (can) do nothing else, inform them fully.

Much of the literature referenced in the Bibliography contributed to the above synthesis of good practice advice, and could be drawn on further in the next stages of Commitment 5 work. In particular, further work is needed on how – within the best practice section of the Commitment 5 guidance – to best structure advice on planning and managing engagement, after choosing the level of engagement on the IAP2 spectrum.

Engagement with Māori

Section 5 acknowledges that The Treaty of Waitangi places a duty on the New Zealand Government to engage effectively with its treaty partners, Māori. In recognition of this, the Labour-led Coalition Government has created a new Māori Crown Relations ministerial portfolio and established Te Arawhiti, the Office of Māori Crown Relations to support the Minister. The Office has recently published a set of values relevant to Crown engagement with Māori, and an Engagement Framework supported by Engagement Guidance.

The 'how to engage' section of the Framework links the significance of an issue for Māori with a revised version of the IAP2 Spectrum of Public Participation (Inform, Consult, Collaborate, Partner/Co-design, and Empower) – the higher the significance of the issue, the higher the level of engagement should be adopted on the revised Spectrum.

Given the Te Arawhiti Engagement Framework has been recently endorsed as government policy, and that it involved carefully tailoring international best practice for New Zealand circumstances, it makes sense for the Commitment 5 guidance to reference it as the best source of guidance on engagement with Maori – rather than attempting to rework the same ground.

Diversity and inclusion

Section 6 of the literature review identifies what best practice guidance exists on inclusive engagement – that is engagement with individuals and communities who may be overlooked, omitted or excluded by traditional processes of engagement by government with the public. The Human Rights Act 1993’s prohibited grounds of discrimination are referenced as the legislative context for diversity and inclusion in New Zealand. This and media coverage indicate that the populations who may face exclusion include Māori and Pacifica, people with disabilities, homeless people, prisoners, children, youth and seniors, LGBTQI+ people, Muslims, immigrants, and women.

The main barriers to inclusive public engagement identified are methodological, physical, attitudinal, financial/resource availability, cultural, gender matters, timing and consultation fatigue. General principles from the literature regarding how to achieve more inclusive engagement is summarised in section 6.4. These inclusivity principles relate to how to make contact with hard-to-reach groups, how to address the various barriers to their participation in public engagement and how to structure engagement to overcome them. Section 6.5 identifies the diversity-related New Zealand engagement guidance that exists for key groups (and where it is lacking, provides links to relevant overseas reference material). This material can all be either drawn on, or referenced in, the guidance developed to fulfil Commitment 5 in New Zealand’s OGP NAP 2018-20.

Conclusions

This literature review was intended as an input to developing the guidance that Commitment 5 in the OGP NAP 2018-2020 specifies: namely guidance that will “develop a deeper and more consistent understanding within the New Zealand public sector of what good engagement with the public means”. The ambition was that the existence of guidance for policy-makers leads to more and better public participation in government decision-making.

This literature review found information of considerable value to the design of the Commitment 5 guidance in all of the four specific areas outlined above, regarding: design options for a decision-tool for selecting the level of engagement on the IAP2 Spectrum of Public Participation; tools for selecting the method of engagement appropriate for each level; the content on engagement best practice; and how to improve the inclusion of diverse groups affected by or interested in a policy change in public engagement about it.

The challenge for the next phase of Commitment 5 work is to draw on these learnings to produce and disseminate guidance to fulfill Commitment 5 that really will help policy-makers do two things. The first is to help them recognise the value of public participation or community engagement, and make appropriate decisions about what level of engagement to adopt at the design phase of policy development. And the second is to help them make and implement informed choices regarding who to engage with, when, about what, at which stages in the policy development process, and how – so that the potential value of public engagement is realized.

Finally, the literature warns that guidance alone may not be sufficient to significantly change policy-maker behaviour. So the Commitment 5 project team also needs to be alert to other enablers that could, coupled with guidance, help achieve the value that public participation in policy development can add – both to the outcomes of a specific policy initiative, and to overall confidence and trust in government.

1. Context for the Literature Review

1.1 Purpose and overview of literature review

The purpose of this literature review is to identify insights from the international and domestic literature on public participation and citizen engagement, to inform delivery of Commitment 5 regarding public participation in policy development in New Zealand's Open Government Partnership 2018-2020 National Action Plan.

The literature review comprises seven sections and a bibliography. The focus of each section is as follows:

- Section 1 outlines the context for the literature review (the Open Government Partnership 2018-2020 National Action Plan Commitment 5), defines public participation and introduces the International Association for Public Participation (IAP2)'s Spectrum of Public Participation, and related values, ethics and standards.
- Section 2 reviews the international and domestic literature on how to select the appropriate point on the IAP2 Spectrum of Public Participation when engaging the public in the development of policy advice.
- Section 3 reviews the literature on selecting engagement methods appropriate for each level on the IAP2 Spectrum.
- Section 4 reviews the literature on 'best practice' public participation at any point on the IAP2 Spectrum. This includes a section on evaluation of public participation activities.
- Section 5 identifies the implications of the Treaty of Waitangi for engagement with Māori, and outlines the guidance that the Office of Māori Crown Relations have developed based on a modified version of the IAP2 Spectrum of Participation.
- Section 6 outlines the literature on ensuring diversity of public participation, and in particular, how to achieve inclusive engagement with individuals and communities overlooked, omitted or excluded by traditional engagement processes.
- Section 7 provides a high level summary of the learnings of the literature review, overall, in regard to achieving all the elements of the first milestone for Commitment 5.

1.2 The Open Government Partnership (OGP) and Commitment 5

1.2.1 OGP and National Action Plans

The Open Government Partnership is a multilateral initiative to promote transparency, empower citizens, fight corruption, and harness new technologies to strengthen governance. New Zealand joined the Open Government Partnership in 2013 with the State Services Commission (SSC) taking the leadership role for government. New Zealand's Open Government Partnership commitment is to improve engagement processes and the ambition of the commitments in successive National Action Plans.

All OGP signatories have an ongoing commitment to produce a National Action Plan (NAP) every two years. The 2016-2018 NAP included, as Commitment 7, the production by the Policy Project of the first phase in an online Policy Methods Toolbox. This includes guidance

on public participation, use of behavioural insights and design thinking, and a Start Right tool for managing the early stages of policy projects.²

For New Zealand, the 2018-2020 National Action Plan is the product of our third OGP planning cycle. For this current planning cycle, there are 12 commitments generated by officials, drawing on the themes identified through extensive public engagement with civil society, coordinated by SSC. The 12 commitments are categorised into three themes: participation in democracy, public participation to develop policy and services, and transparency and accountability.

1.2.2 Commitment 5 in New Zealand's OGP 2018-2020 National Action Plan

Under the second theme, 'Commitment 5: Public participation in policy development' is to "Develop a deeper and more consistent understanding within the New Zealand public sector of what good engagement with the public means (right across the International Association of Public Policy's (IAP2's) Public Participation Spectrum)"³.

Commitment 5 should improve the quality of policy advice, enabling better government decisions resulting in improved wellbeing for New Zealanders. Being able to engage effectively with citizens, customers of public services and other stakeholders, and to incorporate diverse perspectives into thinking about policy issues and crafting and solutions, is a capability that policy practitioners and policy agencies need to build to produce better quality advice and better government decisions.

Commitment 5 aims to build a deeper, more consistent understanding within the New Zealand Public Sector of what good engagement with the public means by achieving the following milestones:

1. Extending existing Policy Methods Toolbox public participation guidance for policy practitioners to include guidance on the following elements:
 - a) How to choose the appropriate engagement approach on the IAP2 public participation spectrum when they tackle a specific policy or service design issue (a decision tool).
 - b) Understanding the characteristics and enablers of effective public participation at whichever point on the spectrum they choose.
 - c) Ensuring that the engagement approaches selected appropriately include and reflect the diversity of those interested in and affected by the policies.
2. Sharing recent case studies documenting New Zealand innovation success stories in public participation in the policy development process.
3. Identifying a live policy issue in which to trial public engagement in policy development that is higher on the public participation spectrum than inform or consult, as a demonstration project.
4. Widely disseminating the results of the above actions.

² See <https://dpmc.govt.nz/our-programmes/policy-project/policy-methods-toolbox-0> for more information about what was produced to meet Commitment 7 in New Zealand's OGP 2016-2018 National Action Plan.

³ The IAP2 Spectrum of Public Participation was developed by the International Association for Public Participation in 1990 and has become the de facto international standard. Refer section 1.4 below for an overview of the IAP2 Spectrum of Public Participation.

This literature survey is being undertaken to inform all the first three elements of the first milestone for Commitment 5.

The overall ambition for Commitment 5 is that achieving all four milestones will result in New Zealanders increasingly experiencing a more timely and collaborative approach to public participation when policies are developed. Those engaged will feel the policy development process considered their concerns, incorporated and reflected their diversity of views, their life experiences and that their time was valued in the policymaking process.

1.3 What is ‘public participation’?

For this literature survey, we have adopted the definition of public participation proposed by the IAP2 in their Code of Ethics for Public Participation Practitioners – as follows.

We define public participation as any process that involves the public in problem solving or decision-making and that uses public input to make better decisions.

Preamble, IAP2's Code of Ethics for Public Participation Practitioners

In the literature there are numerous popular terms used interchangeably with public participation, including:

- community engagement
- citizen engagement
- civic engagement
- stakeholder engagement.

In this literature review we also use these terms interchangeably.

1.4 The IAP2 Federation and its Spectrum of Public Participation⁴

The IAP2's Spectrum of Public Participation is used in Commitment 5 as the conceptual framework for describing the levels of public participation in policy development. This section introduces the IAP2 Federation, its Spectrum of Public Participation and the other resources that the IAP2 has developed to support it.

The IAP2 is an international body structured as a federation, made up of six affiliates or regions: US, Canada, Australasia (Australia and New Zealand), Indonesia, Southern Africa and Italy. Each affiliate is a legal entity in their own country (or region), with their own governance structure, Board of Directors, and members.⁵

As an international association of members, IAP2 seeks to promote and improve the practice of public participation or community engagement in relation to individuals, governments, institutions, and other entities that affect the public interest in nations throughout the world. Their mission is to advance and extend the practice of public participation through

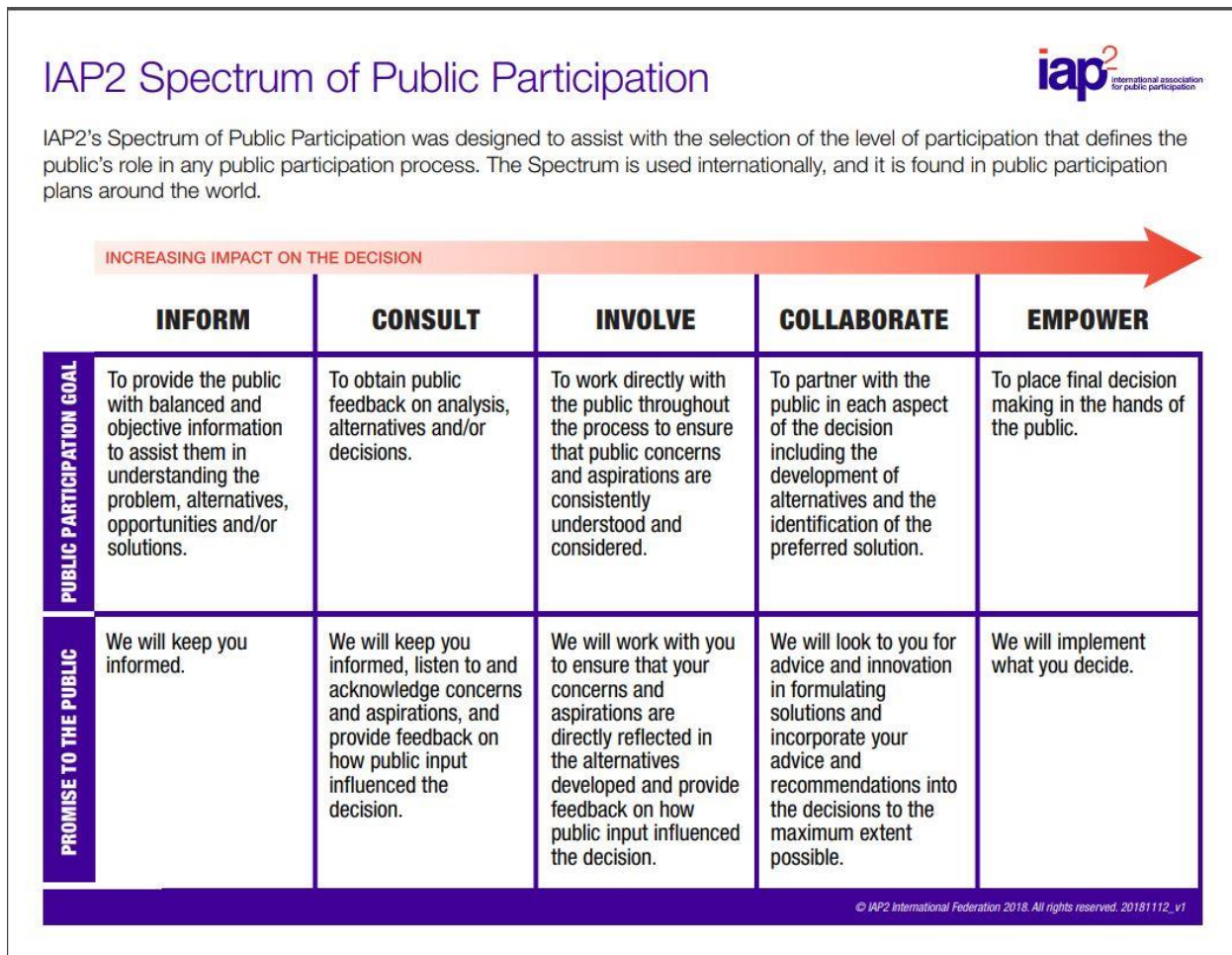
⁴ The International Association for Public Participation requires permission to use copy or reproduce all IAP2 Federation copyrighted materials including the Spectrum, Core Values and Code of Ethics. The Department of Prime Minister and Cabinet has obtained permission to use these materials and acknowledges the IAP2 as the source.

⁵ Refer <https://www.letstalkiap2.org/969/documents/822> for more information about the structure and history of the IAP2.

professional development, certification, standards of practice, core values, advocacy and key initiatives with strategic partners around the world.

The IAP2 developed the Spectrum of Public Participation (see Figure 1 below) in 1990 to clarify the role of the public in government, NGO, and private organisation planning and decision-making.

Figure 1: IAP2 Spectrum of Public Participation⁶



The IAP2's Spectrum of Public Participation is widely used and often quoted internationally in community engagement guidance and materials. During its 29 years of usage, it has been updated once and is currently undergoing a review.

As Figure 1 shows, the Spectrum encompasses five levels or points of public participation – Inform, Consult, Involve, Collaborate and Empower – in order of increasing impact or influence of the public on government (or other bodies) decision-making. The literature uses the terms 'levels' and 'points' on the Spectrum of Public Participation interchangeably.

At the far left side of the Spectrum (Inform), the public has no influence on the decision but government promises to inform them. Moving right one level is Consult, which involves the public having very limited impact/influence on the decision making process.

⁶ https://www.iap2.org.au/Tenant/C0000004/00000001/files/IAP2_Quality_Assurance_Standard_2015.pdf, page 10.

The middle level, Involve, increases public influence on decisions such that public concerns are reflected in the alternative solutions developed. To the immediate right of Involve is Collaborate, where the public is advising and innovating in formulating solutions and their “advice and recommendations are incorporated into decisions to the maximum extent possible”. The last level on the far right side of the Spectrum, Empower, maximises the extent of public influence by giving the public complete control over the decision-making. An example of this is a binding referendum where the public’s majority decision is the final decision.

Some professional engagement practitioners consider that Empower is a misleading level, as government agencies cannot delegate statutory authority to make decisions thus making this option not a genuine option.⁷ However, we have noted that a binding referendum is a genuine application of the Empower level of public participation, as are Citizen Juries.

The Spectrum shows that differing levels of engagement (referred to by IAP2 as ‘participation’) are warranted and legitimate, depending on the goals, time frames, resources and levels of concern in the decision to be made.

IAP2 Quality Assurance Standard, page 10

The IAP2 describes its Spectrum of Public Participation as one of its three pillars of public participation. The other two pillars are the IAP2 Core Values for Public Participation, and the IAP2 Code of Ethics. Together these three pillars support effective public participation processes, and set the behavioural and ethical expectations for practitioners using the Spectrum of Public Participation for public engagement. More recently, the IAP2 International Board approved a Quality Assurance Standard to provide a means of evaluating the efficacy of the engagement process. The Quality Assurance Standard outlines what each stage of a public engagement process should entail. The Core Values, Code of Ethics and Quality Assurance Standards are discussed further in Section 5: Best Practice Advice for Public Engagement.

⁷ http://www.activedemocracy.net/articles/Journal_08December_Carson.pdf, page 2.

2. Selecting the level of public participation on the IAP2 Spectrum

2.1 Selection tools and criteria for deciding the level of public participation

Through the literature review, we sought to identify work already undertaken internationally on public participation or community engagement that could inform our work on OGP Commitment 5. The purpose of this section is to examine currently available tools for selecting the appropriate level on the IAP2 Spectrum to engage the public in policy development and service design; and to assess their suitability for use in New Zealand.

We found a plethora of public participation and engagement literature describing various engagement methods (see [Section 3](#)). Methods are the types of engagement mechanisms, also referred to as the approach utilised, to gain public input during policy development (e.g., one-on-one interviews, group activities, workshops, information meetings, etc.).

As for how to select the level of engagement on the IAP2 Spectrum – a decision that should be made before a policy practitioner selects the method(s) or mechanism(s) suitable for that level of public participation – there is a dearth of literature specifically on that. Much of the literature advises that the prevalent practical criteria of limited resources and timing dictates the level of public participation, while acknowledging that this is not best practice and does not lead to innovative or citizen-centred options or outputs.

This section reports on a tool, a decision-tree model, a toolkit and a staged model identified from the literature, each with characteristics relevant to selecting the appropriate level of engagement with the public on a particular issue. They are:

- The South Australian Government's 'BetterTogether Engagement Level Selection Tool' (discussed in section 2.2)
- The Canadian Institute of Health Research (CIHR) 'Decision Tree Model' (discussed in section 2.3 and Appendix 1)
- The Health Canada Policy Toolkit's 'criteria lists for the appropriate level of influence' (discussed in section 2.4 and Appendix 2)
- The Design phase of the IAP2 Australasia's 'DesignConnect Our Future Framework' (discussed in section 2.5).

2.2 The BetterTogether Engagement Level Selection Tool⁸

In 2013, the South Australian Department of the Premier and Cabinet established the 'BetterTogether' programme to offer public sector employees practical support on innovative public engagement initiatives. The website provides resources to prepare, plan, engage and report on public engagement. The Engagement Level Selection Tool aims to help the user identify the appropriate level of engagement on the IAP2 Spectrum. The paper-based tool uses three criteria, whereas the online interactive version uses four criteria to guide identification of the appropriate level of public engagement on the IAP2 Spectrum.

The paper-based BetterTogether [Engagement Level Selection Tool](#) (PDF, 50KB) is a two-step process. The online tool automates the second step, adding the fourth criterion and making it slightly interactive, and possibly more precise.

⁸ Refer <http://bettertogether.sa.gov.au/home-page> for more information about the BetterTogether Engagement Level Selection Tool.

In both the paper and the online interactive tool versions, Step 1 involves asking the user to evaluate the degrees (high, medium, or low), of the project’s i) complexity, ii) potential community impact, and iii) political sensitivity. The choices of low, medium and high degrees for each criteria or aspect are made after considering explanatory descriptors for each of them (see fifth column, headed Explanation, in Table 1 below).

Table 1: Step 1 of the BetterTogether Engagement Level Selection Tool

Aspect	Low	Med	High	Explanation
	Enter rating in appropriate column			
Degree of project complexity				<p>L There is one clear issue and/or problem that needs to be addressed</p> <p>M There are more than one or two issues and or problems that can be resolved</p> <p>H There are multiple issues and/or problems and it is unclear how to resolve them</p>
Potential community impact				<p>L The project will have little effect on our communities and they will hardly notice any change as a result</p> <p>M The project will fix a major problem that will benefit our communities and the change will cause minor inconvenience</p> <p>H The project will create a change that will have an impact on our communities and the environments they live in</p>
Political sensitivity				<p>L The project has acceptance throughout our communities</p> <p>M Communities see potential in raising the profile of the project to get attention for their cause</p> <p>H Communities’ expectations about the project are different to those of decision-makers. There is high potential for individuals and groups to use the uncertainty to gain attention</p>

In the paper version of the selection tool, Step 2 involves identifying where the three rating results determined in Step 1 (whether project complexity, potential community impact and political sensitivity are respectively high, medium or low) sit relative to a set of all the possible rating outcomes. The creators of the tool have pre-determined which ranking combination should lead to which IAP2 levels of engagement (excluding empowerment) – as depicted in Table 2 on the following page.

Table 2: BetterTogether Engagement Level Selection Tool – Step 2

A Summary of Potential Results To Identify Your Level of Engagement			
Low	Medium	High	Level of Engagement
★ ★ ★			Inform/Consult
★ ★	★		Inform/Consult
★	★ ★		Consult
	★ ★ ★		Consult
	★ ★	★	Consult/Involve
	★	★ ★	Involve
		★ ★ ★	Involve/Collaborate
★	★	★	Involve/Collaborate

To use Table 2, a policy practitioner would rate the three identified dimensions of their policy project using Table 1, then find the line in Table 2 that matches their Table 1 rating pattern (with the stars in the relevant column(s) corresponding to the ratings in Step 1). They would then move along that line in the table to the last column to identify the appropriate degree of public engagement.

So, for example, if all three of complexity, potential community impact and political sensitivity of a specific project were rated as low (which matches the first line of the table, with three stars in the far left column), then the recommended public engagement levels (in the last column of that line) are *Inform or Consult*. Whereas if one of the three dimensions of your project were rated medium (one star in the second column) and two high (two stars in the third column), then the sixth line of the table is the relevant one. Moving right along that line to the last column indicates that *Involve* would be the appropriate level of engagement.

In the [online interactive version](#) of the BetterTogether tool, there is a fourth question which asks whether the communities of interest can influence the decision making process (either for the whole project or part of it (selection options are either Yes or No). This fourth criterion completely overrides the recommended level of engagement that arises from rating the first three criteria. To illustrate, a project rated by the user as high complexity, high impact and high political sensitivity (which would otherwise result in *Involve* or *Collaborate* being the appropriate levels of engagement) but with a *No* answer to whether communities can influence the decision leads to a recommended *Consult* level of engagement.

The advice on the ‘BetterTogether’ paper version of the tool is that “the more complex the issues and problems, the more you should consider the level of collaborate.” This advice is congruent with the advice of engagement professionals – a high rating on any of the three criteria (complexity, impact, political sensitivity) indicates a strong need for high level of IAP2 Spectrum engagement (collaborate or empower).

The BetterTogether tool is the only tool found in the international literature that is solely designed to help policy practitioners select the appropriate level of public engagement on the IAP2 Spectrum. However, it truncates the complexity of the policy context to three

criteria – when others may be important too. The paper version cannot narrow the choices to the definitive best option, but to two options in most cases, and provides no criteria for narrowing to one option. Some of the recommended engagement levels also raise relativity questions. For example, it is not self-evident why a project with one low, one medium and one high rating should merit a higher level of engagement (Involve/Collaborate), than one with two aspects rated medium and one high (for which the tool recommends Consult/Involve). It could be difficult to justify choosing a level of public engagement in policy or service design based on three highly simplified criteria.

2.3 Canadian Institute of Health Research’s (CIHR’s) Decision Tree Model

The CIHR Decision Tree Model for constructing a citizen engagement plan is quite complex. A high level description of the approach is provided in this section, and a more detailed outline of the decision tree process is provided in [Appendix 1](#).

The first stage in the CIHR Decision Tree model starts with five key questions:

1. **Why** should citizens be involved in the initiative?
2. **When** is citizen input needed (at which stage in the decision-making cycle)?
3. **Who** should be involved (target audiences)?
4. **What** type of contribution is needed from citizens?
5. **How** will we interact with citizens to achieve our objectives (that is, where to operate on the CIHR Continuum of Engagement)?

The Handbook provides structured advice about the possible range of answers to each of these questions (outlined in [Appendix 1](#)). In regard to question five: the CIHR Continuum of Engagement varies from the IAP2 Spectrum of Public Participation in several ways. It eliminates the ‘Empower’ level, and renames three of the remaining four levels – as summarised in Table 3 below. However it retains the same ‘promise to the public’ as in the IAP2 Spectrum for the four levels of engagement it does include (refer [Figure 13 in Appendix 1](#)).

Table 3: Comparison of Levels in the Continuum of Engagement/Citizen Engagement Approaches Matrix with Levels in the IAP2 Spectrum

CHIR Continuum of Engagement	IAP2 Spectrum of Public Participation
Listening/Informing	Inform
Discussion	Consult
Dialogue	Involve
Collaboration	Collaborate
<i>No equivalent</i>	Empower

The guidance provided by the CIHR Handbook about how to answer question five echoes some of the factor included in the BetterTogether Engagement Level Selection Tool: the level of engagement should increase with the complexity and scope of the project and the level of public interest, conflict or controversy about it. They also identify another factor: the commitments that Ministers or other decision makers have made about the level of influence that citizens will have on the decision. This is similar to the BetterTogether tool’s fourth criteria discussed in section 2.2.

The second stage in the CIHR's decision tree involves using the answers to the five questions gathered from stage one to help identify a variety of potential citizen engagement approaches that are grounded in and appropriate for each level in the CIHR's Continuum of Engagement. The mechanics of this are outlined in [Appendix 1](#). A Summary Table of Citizen Engagement Approaches then provides a high level description of each citizen engagement approach, along with tips for use and an outline of the benefits and potential risks associated with each technique – to further help decision-making about the specific engagement approach to adopt (refer [Section 3.4](#)).

The CIHR Decision Tree Model offers similar criteria to the BetterTogether Engagement Level Selection Tool, but is less explicit in the way it uses them to guide the choice of the level of engagement with citizens. The way the responses to some of the questions are framed, in regard to 'reasons for including citizens in the decision-making life-cycle', and 'Question 4: what type of contribution is needed from citizens', merit consideration in the good practice element of the Commitment 5 guidance (rather than in designing a New Zealand engagement level decision tool).

2.4 Health Canada Policy Toolkit

The Health Canada Policy Toolkit⁹ is the third relevant resource identified in the international literature. The Policy Toolkit covers: principles for public engagement; guidelines for planning, designing, implementing and evaluating public engagement processes; descriptions of engagement methods with case study examples; and a list of reference materials for further enquiry.

The particular contribution of this Policy Toolkit of relevance to this literature survey is that it identifies, for each level in what it calls the 'Spectrum of Public Involvement and Influence', criteria for choosing that level. This Spectrum is a slightly modified version of the IAP2 Spectrum of Public Participation, and is illustrated diagrammatically in Figure 2 on the following page. However, The Policy Toolkit's criteria are organised according to the main objectives of the level of public engagement they relate to, which are the same as in the IAP2 Spectrum – namely Inform, Consult, Involve, Collaborate and Empower. Table 4 (on the following page) provides an example of the approach for the lowest, Involve, level on the Spectrum. The 'criteria' tables for all the other four levels in the Spectrum are provided in [Appendix 2](#).

⁹ <https://www.canada.ca/en/health-canada/corporate/about-health-canada/reports-publications/health-canada-policy-toolkit-public-involvement-decision-making.html##>

Figure 2: Health Canada Policy Toolkit Spectrum of Public Involvement & Influence.¹⁰

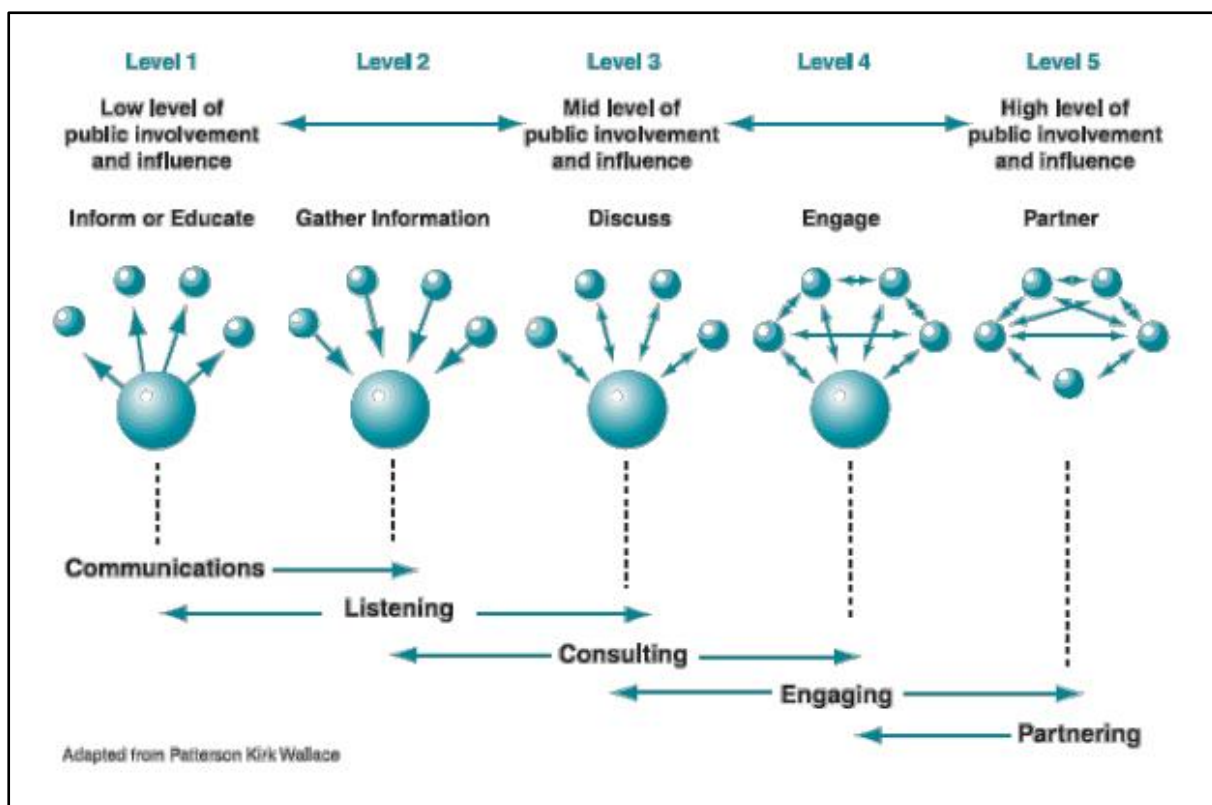


Table 4: Criteria indicating the appropriate level of influence is Inform¹¹

Inform: When do we Inform? Public participation includes the promise that the public's contribution will influence the decision. At the Inform level, the public does not contribute, so the promise to keep them informed is all that is required.
There is no opportunity for the public to influence the final outcome.
Agency provides information about work being undertaken leading up to a decision being made.
No input or feedback is sought from the community of interest.
Factual information is needed to describe a policy, program or process.
A decision has already been made.
To test public reaction to various policy proposals being considered.
To gain insight into public views in order to guide communications on these matters in the short and long term.
There is need for acceptance of a proposal or decision.
An emergency or crisis requires immediate action.

¹⁰ <https://www.canada.ca/en/health-canada/corporate/about-health-canada/reports-publications/health-canada-policy-toolkit-public-involvement-decision-making.html##>

¹¹ <https://www.canada.ca/en/health-canada/corporate/about-health-canada/reports-publications/health-canada-policy-toolkit-public-involvement-decision-making.html##>

Information is necessary to abate concerns or prepare for involvement.
The public needs to know the results of a process.
The issue is relatively simple.
The community/public is kept informed about progress being made by an internal working group, until a decision is made.

The Policy Toolkit describes all the elements of Table 4 as criteria for choosing a given level of public engagement. However they are a varying mix of reasons for choosing that level of engagement (shaded grey in Table 4 – not in the original), and descriptions of what that level of engagement involves (unshaded). For the ‘Involve’ level of engagement, 10 of the 13 matters identified are genuinely criteria, but [Appendix 2](#) reveals that for some of the higher levels of engagement on the Spectrum, a much higher proportion of the factors identified are not reasons for choosing a level of engagement, but rather descriptions of what the level involves.

Conceptually, though, the Policy Toolkit does provide a potential alternative approach for a New Zealand decision tool – involving practitioners matching the circumstances of a given engagement project to the sets of criteria for each of the levels of engagement on the IAP2 spectrum and selecting the one that matches the most criteria.

2.5 The IAP2 Australasia approach to selecting the level of public engagement

In recent years IAP2 Australasia has invested considerable effort in developing conceptually robust and practical tools to support practitioners in public and private sector organisations to undertake community engagement.¹² One specific tool they have developed is highly relevant to our search for a decision tool that assists policy practitioners to choose the appropriate level of engagement on the IAP2 Spectrum of Public Participation. This tool is called the Design Plan Manage (DPM) Model, which is named after the three phases involved in undertaking effective community engagement.¹³

The DPM model is based on the principle that the best engagement approach varies from project to project. It takes a practitioner perspective on how best to apply an organisational engagement policy in relation to a specific problem, decision or project. Design Plan Manage provides a framework that outlines the critical steps in the engagement process from project design through to engagement implementation and review.

The model – summarised in Figure 3 on the following page – is based on best international practice. As the name suggests, it is organised into three connected sections or phases, which collectively outline the essential elements for effective engagement. Regardless of the purpose of the engagement, its scale or who may be leading it, without effective consideration of all these essential elements the risk is that the community and stakeholder engagement may not have focus, or may not reach the relevant community and other stakeholders. The elements are interdependent and must align and connect for effective engagement design and implementation.

¹² IAP2 Australasia has moved away from the term “public participation”, replacing it with “community engagement.” This is consistent with a move in the wider international discourse in recent years.

¹³ IAP2 Australasia.

Figure 3: The IAP2 (Australasia) Design/Plan/Manage Model¹⁴



The main features of each phase are as follows:

Design

- This phase is focused on the five key initial considerations that shape the level of influence, as assessed using the IAP2 Spectrum of Public Participation, that the public may have on decision making for a policy and the level of investment or effort required to deliver the project and engagement goals.
- By the end of the design phase of an engagement process the practitioner will have identified:
 - Any factors in the broader context that impact on the problem of proposal being engaged on
 - The scope of the problem or proposal that is being engaged about

¹⁴ IAP2 Australasia, as presented by Anne Pattillo (9 & 10 July 2019), Presentation to OGP Commitment Discovery Workshop with policy practitioners.

- The purpose of engagement
- Key target groups and stakeholders to be engaged, and
- Finally, the level of decision-making influence (which level on the IAP2 Spectrum of Public Participation).

Plan

- This phase outlines the critical steps to move an engagement project from concept to a clear plan, engagement sequence and resourcing.
- The key outputs under this phase of the model are the:
 - Key organisational commitment to the engagement approach and investment
 - Identification of the methods to be using in the engagement approach, and
 - The sequencing of the engagement actions required to activate participation, engage with the public and collect and analyse feedback

Manage

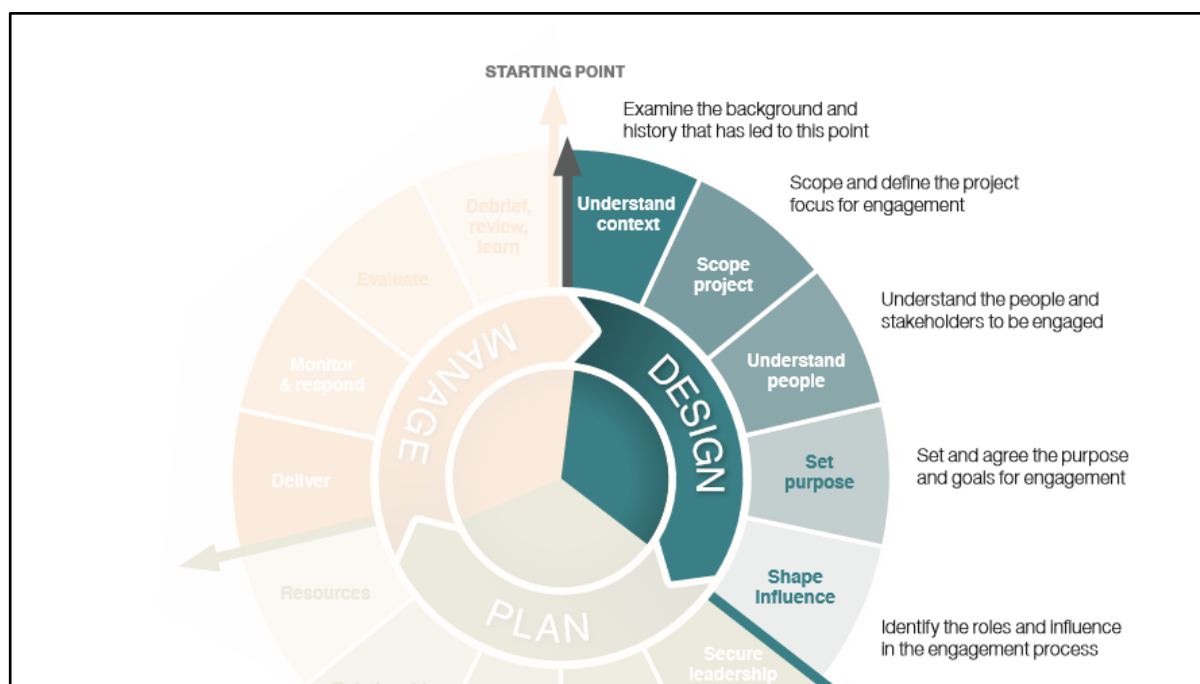
- This phase outlines the interactive approach to managing an engagement approach.
- New information about the perspectives of the community and stakeholders may change the engagement goals or method selection.
- Review and redesign are critical requirements of any design

It is the first - Design – phase of the IAP2 Australasia model that in effect operates as a decision tool for selecting the level of engagement on the IAP2 Spectrum of Public Participation.

Figure 4 on the following page provides a little more information about what each of the five steps in the Design phase of the DPM model involve – which, if done well, provides a firm platform for the subsequent Plan and Manage stages of the model.

In regard to the utility of the DPM model: rather than adopting a relatively mechanistic approach for choosing the level of engagement (like the BetterTogether decision tool), the Design phase of the IAP2 Australasia DPM model offers a much more nuanced decision tool. It guides practitioners through an information gathering and thinking process that not only helps them make a well-thought through decision about which IAP2 level(s) of engagement to adopt with whom, but also provides them with a good platform to start the next - detailed planning and management– phases of community engagement.

Figure 4: The Design Phase of the Design/Plan/Manage Model¹⁵



2.6 Conclusions about a decision tool for selecting the IAP2 spectrum level

The purpose of Section 2 was to identify from the domestic and international level whether any ‘off-the-shelf’ tools already exist that enable practitioners to choose the appropriate level of engagement on the IAP2 Spectrum of Public Participation.

We identified and described four approaches to selecting where on the IAP2 (or similar) Spectrum to engage with the public:

- The South Australian Government’s ‘BetterTogether’ Engagement Level Selection Tool
- The Canadian Institute of Health Research’s ‘Decision Tree Model’
- The Health Canada Policy Toolkit criteria-based approach
- The Design stage of the IAP2 Australasia ‘Design, Plan, Manage Model’,

Each of the four quite different approaches contribute some useful content for developing a New Zealand decision tool for selecting where to engage on the IAP2 Spectrum. However, the Design stage of the IAP2 Australasia ‘Design, Plan Manage Model is a clear front-runner as the base for the decision tool in the Commitment 5 guidance. This is because it:

- provides a logical and nuanced process for thinking through the multi-faceted matters that should go into the choice of the level of engagement (and the consequent degree of influence that those engaged with should have in the process)
- is less mechanistic and simplistic than the BetterTogether Engagement Selection Tool

¹⁵ IAP2 Australasia, as presented by Anne Pattillo (9 & 10 July 2019), Presentation to OGP Commitment Discovery Workshop with policy practitioners.

- makes the relationship clearer between prior questions and the level of engagement question than in the CHIR decision tree model; and
- leaves the user better prepared for detailed engagement planning than if they had used the Health Canada Policy Toolkit's criteria for the appropriate level of influence.

3. Methods of engagement for each level on the IAP2 Spectrum

3.1 Overview

Section 1 looked at what public participation is and the five levels of this on the IAP2's Spectrum of Public Participation. Section 2 reviewed the literature for tools (and criteria) to select the most appropriate level on the Spectrum for engaging with the public on a particular issue or at a particular stage of the policy development cycle. This section examines the literature on selecting the engagement method that is most appropriate for the chosen level of engagement.

The terms 'method', 'approach', 'technique' and 'mechanism' are used interchangeably in the engagement literature to denote the type of public participation activity (e.g., focus groups, town hall meetings, individual interviews, etc.) used to engage at a level on the Spectrum. Some activities or approaches are flexible and can be used at several levels on the Spectrum, whereas others are specific and only usable on a single level on the Spectrum.

Our search of the international and domestic literature revealed that there are a vast array of academic articles and website content on specific methods of engagement - and that is not summarised here. Rather this section focuses specifically on tools and criteria for selecting methods (approaches or mechanisms) for engaging with the public at any of the five levels on the IAP2 spectrum of public participation.

The four tools that we outline in this section are:

- the online Engage 2020 Action Catalogue, and its criteria-based approach to engagement methods selection
- the National Coalition for Dialogue and Deliberation's 'Engagement Streams Matrix of Proven Practices' and 'Process Distinctions Table'
- the Canadian Institute of Health Research's 'Summary Table of Citizen Engagement Approaches', and
- the OGPtoolbox^{beta} approach to online selection of digital engagement tools for use for open government purposes.

3.2 Engage 2020 Action Catalogue¹⁶

3.2.1 Overview of the Action Catalogue

This interactive digital tool enables the user to choose from 57 engagement methods/approaches, relevant to various levels on the IAP2 Spectrum. Use of the Action Catalogue is free. It incorporates an interactive process enabling you to customise the selection process to your own circumstances. The Action Catalogue is very comprehensive in the factors it takes into account, and gives options for how the results regarding which methods best fit the selection criteria are presented.

Although the Engage 2020 Action Catalogue only covers 57 engagement methods of the hundreds published, they are the most popular ones. The method selection process uses up to 32 different criteria, with the option of weighing the importance of each criterion, to identify the most appropriate methods at each of the five levels on the IAP2 Spectrum of Public

¹⁶ [Action Catalogue](#).

Participation. The results of the methods that fit the search criteria can be presented on a prioritized list or in a visually intuitive overview depicting the relevance of each method according to its represented size.

The Action Catalogue does not make a final decision on which method to use, but rather suggests many methods that could be relevant to the project or a problem. The methods descriptors clarify which methods can be executed without any substantial prior experience, and which require an experienced engagement professional to set up and execute the method.

3.2.2 Engage 2020 Action Catalogue Criteria

The sequence of decision making, in relation to the 32 criteria built into the online tool runs as follows. Users first select the 'Objective of the application method' – from Policy Formulation, Program Development, Problem Definition, Research Activity, or Political Empowerment of People.

Next, users select the level on the IAP2 Spectrum (Inform, Consult, Involve, Collaborate, Empower) they wish to adopt. For example, at the Problem Definition stage, one point on the IAP2 may be selected, and then at the Research Activity stage, another point, and so on through to Policy Formulation.

Next, users set the level of skills available for the method (choices of None, Basic, Intermediate, Advanced) in each of Subject Matter Expertise, IT, Facilitation, Event Organisation, and Project Management.

Further criteria input are 'Practical Considerations'. These include:

- the number of participants (options range from less than 10 to more than 300),
- degree of need for retention of same participants throughout the process,
- budget needs (less than 10,000€ to more than 140,000€),
- time available for execution (from less than 3 months to more than 2 years), and
- the duration of participant involvement (10 minutes to a number of days/ongoing).

The Engage 2020 Action Catalogue tool also takes into account the context of the process (i.e., whether it requires face-to-face, can be done online, or a blend). The role of the organisers (e.g., policymakers, researchers) and beneficiaries (e.g., citizens, affected, users) may also be inputted.

To further qualify appropriate engagement approaches, information may also be inputted about the role of participants (e.g., do they gather or analyse data?), whether particular roles (e.g., academics, users, policymakers, stakeholders, citizens) should or should not be involved, and the digital and literacy skills required.

The tool allows the user to specify the 'Content of method', that is, whether the method: has been used for specific issues such as health, transport, food security and others; whether the method can address legal, social and/or governance issues; whether it makes ethics and mores explicit; and the degree of heterogeneity of the scientific evidence base.

The last four criteria which can be inputted are 'Temporal scope' (none, past, multiple temporal foci), 'Transparency of engagement process' (ranges from open to closed), 'Openness of agenda' (who sets it, when and openness to change) and lastly, the Level of deliberation (none to majority of time in small groups).

The tool analyses as many of the above criteria as are entered by the user, and applies the weighting assigned to each criterion, then provides results regarding the relative relevance of the 57 engagement methods.

A six 6-minute video tutorial for users of the Engage 2020 Action Catalogue can be accessed through the following link: https://youtu.be/L_ox2hUusMU

3.2.3 Outputs of the Action Catalogue

The user can choose to have the results are presented either on a prioritized list of best fit methods or in a graphical visualisation. In the list output, methods are given a % score – the higher the percentage, the better the fit of the method to the users specified needs/circumstances. In the graphic visualisation, the size of the circle around a method represents the goodness of fit.

Illustrations of some of the criteria settings that were inputted and the range of results produced (in terms of relevant engagement methods) are shown in a graphical visualisation in Figure 9 (on the following page), and in a list format in Figure 10 (two pages below).

In either the list format of output or the graphic visualisation output, users can click on the title of any engagement method in the list or picture, and access the following information about it:

- Long description
- Objective of applications of the method
- Engaged actors in the process of method application
- Specific strengths and weaknesses of the method vis-à-vis the challenge(s) addressed
- Timeframe for the application of the method
- Issues of concern that organisers need to take into account when applying the method
- Examples of the use of the method
- Additional information of relevance
- Sources

Figure 9: Graphical visualisation version of Engage 2020 Action Catalogue output

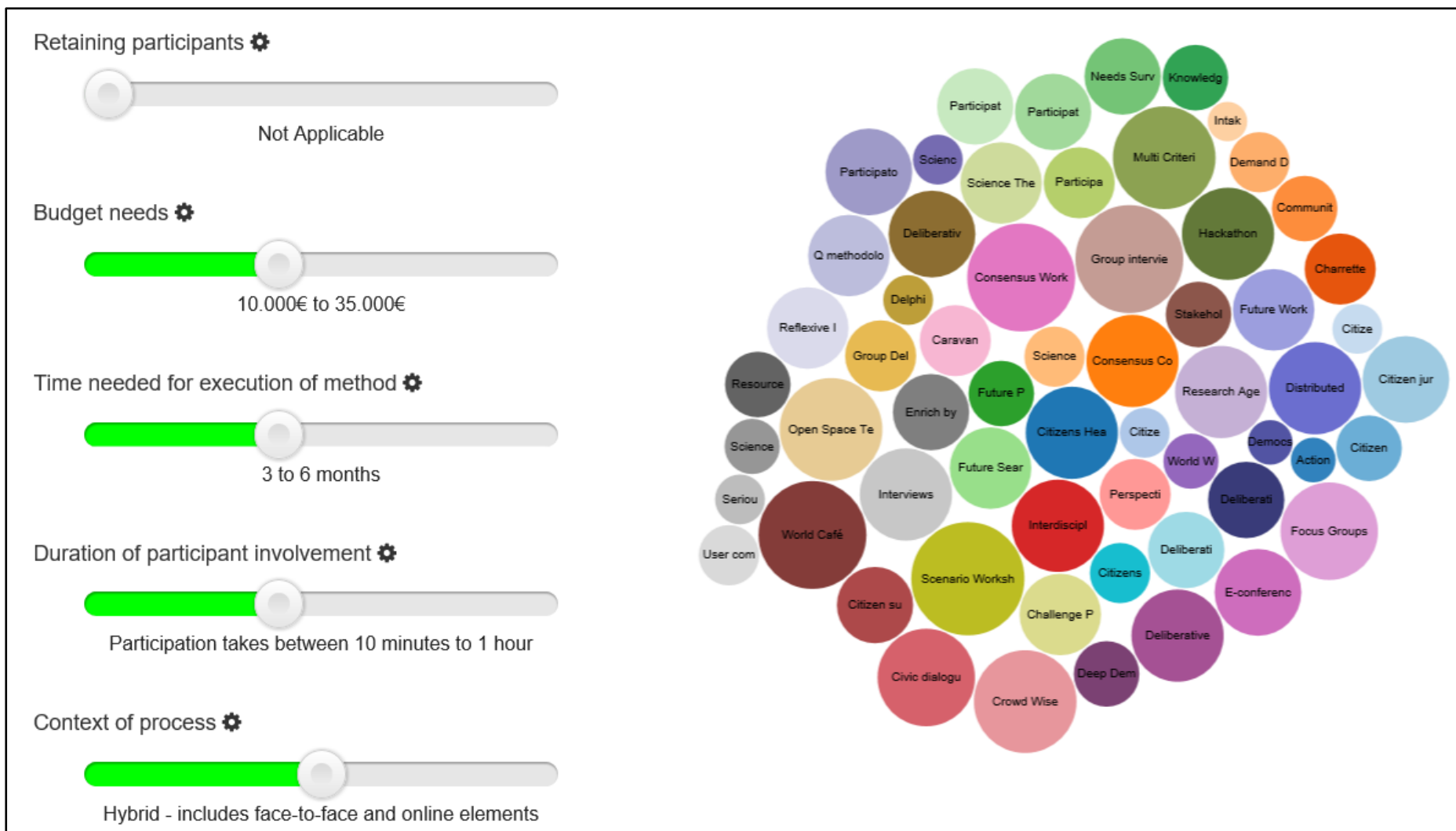


Figure 10: List version of output from Engage 2020 Action Catalogue

Search/Filter

Search for text...

[Clear filters](#)

Objective of application of the method

- Policy formulation
- Programme development
- Project definition
- Research activity
- Political empowerment of people

Level of stakeholder/public involvement, i.e. objective of public participation through the method's application

- Dialogue
- Consulting
- Involving
- Collaborating
- Empowering
- Direct decision

Geographical scope of application

- International
- EU
- National
- Regional
- Local

Direct participants in the process of method application

- CSO's
- Policy-makers
- Researchers

[Consensus Workshop](#)

Score: 3.7%

The consensus workshop refers to a group of citizens reaching consensus on how to address one or more challenges faced by society. It builds on the same principles as the Consensus Conference (also in...

[Group interview with a co-design session](#)

Score: 3.7%

The group interview with a co-design session will provide feedback about the research scenarios presented. The proposed group interview can be held within one single event or several smaller successi...

[Scenario Workshop](#)

Score: 3.31%

The scenario workshop is an instrument for participatory planning, based on dialogue and collaboration between a group of local citizens, stakeholders, experts and policy makers. The meth...

[World Café](#)

Score: 3.31%

World Café is a method for engaging groups, both within organisations and in the public sphere. World Cafés are based on seven design principles and a simple method. World Cafés should offer an antido...

[Consensus Conference](#)

Score: 2.94%

The purpose of the consensus conference is to enrich and expand a debate on a socially controversial topic. A group of citizens rather than experts and politicians get together and set the agenda and...

The Engage 2020 Action Catalogue's advantages are that its algorithm synthesises a great deal of information about a user's circumstances and requirements, and identifies an array of relevant methods to consider using in those circumstances.

A possible issue with the use of this tool is that it may, as shown in Figure 8, insufficiently narrow down the method options – still leaving the user with a lot of decisions to be made about engagement approaches. In the example pictured in Figures 8 and 9, the Action Catalogue threw up nine methods that had relatively similar higher-level scores (between 2.7% and 3.7%).

If the approach adopted for the New Zealand guidance was to refer policy practitioners to existing sources for advice on selecting methods of engagement, this is definitely a contender for inclusion. The wealth of information it contains would also be useful to draw on, if opting to build advice on selection of engagement methods into the guidance

3.3 The National Coalition for Dialogue & Deliberation

The National Coalition for Dialogue & Deliberation (NCDD) describes itself as a clearinghouse that offers links to “more than 3,100 resources dialogue guides, D&D methods, videos, case studies, evaluation tools, articles, books, programs and more”.¹⁷

NCDD focuses on public engagement and conflict resolution and what are, in effect, the mid to upper levels of the IAP2 spectrum (“Involve, Collaborate and Empower”). The articles and resources are an ever-increasing, already abundant collection of tools, case studies, methods, manuals, guidebooks and shared experiences that could be informative and inspiring for engagement practitioners.

Although offering “leading models, tools and techniques” and “best practice”, the majority of the literature appears to be based more on anecdotal reporting than academic research.

The [Participatory Practices](#) page lists over 180 tools and methods for engagement. Some of these descriptions and resources may prove valuable in developing the guidance for the OGP Commitment 5.

3.3.1 The NCDD Engagement Streams Matrix of Proven Practices and the Process Distinctions Table

The NCDD Engagement Streams Matrix of Proven Practices helps the user decide the engagement approach using a chart of four categories based on the primary intention or purpose of engagement – as outlined in Table 5 on the following page.

¹⁷ <http://ncdd.org/rc/beginners-guide/>, home page.

Table 5: NCDD Engagement Streams – A Matrix of Proven Practices

Primary Purpose	Name of Engagement Stream	Key Features	Important When...
To encourage people and groups to learn more about themselves, their community, or an issue, and discover possible innovative solutions	Exploration	Suspending assumptions, creating a space that encourages a different kind of conversation, using ritual and symbolism to encourage openness, emphasis on listening	A group of community seems stuck or muddled and needs to reflect on their circumstance in depth and gain collective insight
To resolve conflicts, to foster personal healing and growth, and to improve relations among groups	Conflict Transformation	Creating a safe space, hearing from everyone, building trust, sharing personal stories and views	Relationships among participants are poor or not yet established yet need to be. Issue can only be resolved when people change their behaviour and attitude, expand their perspective, or take time to reflect and heal
To influence public decisions and public policy and improve public knowledge	Decision Making	Naming and framing the issue fairly, weighing all options, considering different positions (i.e. deliberation), revealing public values, brainstorming solutions	The issue is within government's (or any single entity's) sphere of influence
To empower people and groups to solve complicated problems and take responsibility for the solution.	Collaborative Action	Using dialogue and deliberation to generate the ideas for community action, developing and implementing action plans collaboratively	The issue/dispute requires intervention across multiple public and private entities, and community action is important

The accompanying Process Distinctions Table provides information about which engagement methods (described by the NCDD as processes) are useful for which of the four engagement stream(s). Table 6, on the following page, is a small extract from the NCDD Process Distinctions Table.

Table 6: Extract from the NCDD Process Distinctions Table

Processes	Focuses significantly on...				Size of Group	Type of Session (including prep. Sessions)	Participant selection
	Exploration	Conflict Transformation	Decision Making	Collaborative Action			
World café	X				Up to hundreds in 1 room at tables of four	Single event ranging from 90 minutes to 3 days	Often held at events, involving all attendees; otherwise, invitations boost representative ness
21st century town meeting			X		Hundreds to thousands in 1 room at small tables	All day meeting	Open: recruit for representative-ness
Appreciative Inquiry Summit	X			X	From 20 to 2,000	4 to 6-day summit	Internal and external stakeholders
Intergroup Dialogue	X	X		x	Single or multiple small groups	Regular weekly meetings of 2-3 hours	Open: recruit for representative-ness

Both the Engagement Streams Framework and the extract from the Process Distinctions Table are included above as illustrations of formatting and content that may be useful input to the guidance – either to help develop a tool or table for selecting a level of engagement and selecting a method, or for referencing as resources policy practitioners can use to assist them in selecting an engagement method.

3.4 CIHR Summary Table of Citizen Engagement Approaches

The CIHR Summary Table of Citizen Engagement Approaches offers high-level descriptions of activities (methods) listed in the Citizen Engagement Approaches Matrix (the latter is discussed in [Appendix 1, Table 12](#)).¹⁸ The IAP2 Spectrum is not referenced in this approach. Instead CIHR uses a four level Continuum of Engagement comprising near equivalents to the lower four levels on the IAP2 Spectrum of Public Participation. As described earlier in [Table 3](#), the four CIHR categories are Listening/Informing, Discussion, Dialogue and Collaboration.

¹⁸ <http://www.cihr-irsc.gc.ca/e/42207.html#s22>

The Summary Table takes each engagement level in turn, and describes: what that level of engagement is like; lists the techniques (or methods) that can be used to achieve it; identifies things a user needs to think through to use it effectively; identifies what can go right; and identifies what can go wrong. Table 7 below illustrates the nature of the information provided in the Summary Tables, for two techniques relevant to the Dialogue level of engagement: world cafes and deliberative dialogue.

This resource is a useful input to developing a methods selection tool or for providing information about engagement methods in the guidance – or could be listed as a resource to review, if the guidance goes into less depth in this area. The methods it encompasses can be related to one or more levels on the IAP2 Spectrum, from Inform (e.g., community fairs) to Empower (e.g., Expert Committees) and serve as a resource of engagement ideas.

Table 7: Extract from the CIHR Summary Table of Citizen Engagement Approaches

Approaches for Dialogue: Thorough and in-depth deliberation about the policy, issue, or research priority. Different perspectives are shared and parties can influence each other. These dialogues allow CIHR and participants to explore and work through issues together, and gain a greater understanding of each other’s perspectives. The closer relationships and greater interaction can identify new ideas and consider complex trade-offs			
Technique	Think it Through	What can go Right?	What can go Wrong?
<p>World Cafes</p> <p>A meeting process featuring a series of simultaneous conversations in response to predetermined questions.</p> <p>Participants change tables during the process and focus on identifying common ground in response to each question</p>	<p>Room set-up is important. The room should feel conducive to a conversation and not as institutional as the standard meeting room format.</p> <p>Allow for people to work in small groups without staff facilitators.</p> <p>Think through how to bring closure to a series of conversations.</p>	<p>Participants feel a stronger connection to the full group because they have talked to people at different tables.</p> <p>Good questions help people move from raising concerns to learning new views and co-creating solutions.</p>	<p>Participants resist moving from table to table.</p> <p>Reporting results at the end becomes awkward or tedious for a large group.</p> <p>The questions evoke the same responses.</p>
<p>Deliberative dialogues</p> <p>A systematic dialogic process that brings people together as a group to make choices about difficult,</p>	<p>Considerable upfront planning and preparation may be needed.</p> <p>The deliberation revolves around three or four options described in an Issue or Options booklet.</p>	<p>Participants openly share different perspectives and end up with a broader view on an issue. A diverse group identifies the area of common ground, within which decision-makers can make policies and plans.</p>	<p>Participants may not truly reflect different perspectives in the wider population.</p>

<p>complex public issues where there is a lot of uncertainty about solutions and a high likelihood of people polarizing on the issue.</p> <p>The goal of deliberation is to find where there is common ground for action.</p>	<p>Process should be facilitated by a trained moderator.</p> <p>Deliberation should occur in a relatively small group of about 8 to 20 people. A larger public may need to break into several forums, requiring more moderators.</p>		<p>Participants are not willing to openly discuss areas of conflict.</p>
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3.5 OGPtoolbox^{beta}

The OGPtoolbox^{beta}¹⁹ is free software developed by Etalab (French Government) on behalf of the OGP community to assist in selecting the appropriate digital engagement tool. The toolbox works much like the Engage 2020 Tool ([see section 3.1](#)) in that it is interactive, easy to use and the results are attractively presented. However, it does not reference or assist in selecting the IAP2 engagement level.

Users of the OGPtoolbox^{beta} begin by clicking on a keyword to start – from the list of options shown in circles in Figure 11.

Figure 11: Initial User Choice Options in the OGPtoolbox^{beta}



¹⁹ <https://ogptoolbox.org/en/tools?tagIds=9521>

then 'debate' produces a list of 14 digital engagement tools – the first five of which are shown in Figure 12.

Figure 12: Digital tools identified by OGPtoolbox^{beta} for 'Participation' and 'Debate'

Tools 14		Organizations 7
DemocracyOS Platform, Software	A platform designed to get informed, debate and vote. Power in your hands.	
	Contribution and Decision Making	Group decision-making
		Legislation
Drupal Software	Drupal is the #1 platform for web content management among global enterprises, governments, higher education institutions, and NGOs. Flexible and highly scalable, Drupal publishes a single web site or shares content in multiple languages across many devices. Tech-based and business lead-driven transformation.	
	Communication	Content management system (CMS)
		Framework
Loomio Platform, Software	Open Source tool for collaborative decision-making.	
	Joint Decision Making	Contribution and Decision Making
		Proposal Making
Consul Software	Plateforme de budget participatif	
	Transparency	Ideation
		Consultation
Adhocracy Software	Adhocracy is a policy drafting and decision making software for distributed groups and open institutions.	

Figure 13, on the following page, reveals the information provided about a specific tool if you click on any one of the options listed in Figure 11 – in this case Drupal.

Figure 13: OGPToolbo x^{beta} Output for Drupal

Drupal Software Edit

Open data
Data
Publishing
Crowdsourcing
Public services
Portal
Data management system (DMS)
Data hub
Dataset

Issue reporting
Data management
Council
Voting
Debate
Management
Mapping
Participation
Storage
Local

Description Edit

Drupal is the #1 platform for web content management among global enterprises, governments, higher education institutions, and NGOs. Flexible and highly scalable, Drupal publishes a single web site or shares content in multiple languages across many devices. Technology and business leaders transform content management into powerful digital solutions with Drupal ... backed by one of the world's most innovative open source communities.

Pros & Cons Arguments

No arguments. Let's be the first to express your opinion!

ADD A PROS & CONS FOR THIS TOOL

Used for Add

Logo

FixMyStreet NZ Use Case

A map-based website and app that helps people in New Zealand inform their local authority of problems needing their attention, such as potholes, broken streetlamps.

Crowdsourcing
Public services
Issue reporting

Logo

European Data Portal Use Case

The EU Open Data Portal is your single point of access to a growing range of data produced by the institutions and other bodies of the European Union. Data are free to use, reuse, link and redistribute for commercial or non-commercial purposes. The GUI is basically built on two components: CKAN and DRUPAL. CKAN manages and provides metadata content (datasets).

Open data
Data
Publishing

Logo

Participez.nanterre.fr Use Case

Consulter les habitants sur les projets de la ville

Voting
Debate
Participation

Logo

data.gov.uk Use Case

Find data published by government departments and agencies, public bodies and local authorities. You can use this data to learn more about how government works, carry out research or build applications and services.

Open data
Publishing
Portal

For each digital tool, the set of tabs containing keywords located immediately below the name of the tool reflect the variety of ways this specific tool can be used. Clicking on a given tab will take the user to a new screen enabling them to select further keywords of relevance to that type

of use – and again enabling them to see which other digital tools can be used in that context. For example, clicking on the Voting tab, then selecting the circled keywords ‘Budgeting’ and ‘Propositions’; results in the identification of another digital tool called ‘Your Priorities’, with the following description: “People submit ideas and debate them in a simple but advanced debate system. The best ideas with the best points for and against rise to the top.”

Given that digital engagement tools offer the ability to engage with many more people, in an era in which the majority of New Zealanders have access to the internet via personal computers and/or mobile phones, the OGPtoolbox^{beta} is a potentially valuable tool for those wanting to understand what digital engagement tools exist, and what they are particularly useful for. Therefore this is another useful resource that could be referenced in the Guidance for New Zealand policy makers to be developed to fulfil Commitment 5 in the OGP NAP 2018-2020.

The limitations of digital engagement tools also need to be kept in mind – in that those in our most disadvantaged communities tend to be those without access to digital tools. Section 4 on diversity and inclusion provides more information on engaging with such groups. Digital engagement would tend to be a secondary or alternative approach when seeking inclusive methods of engaging with citizen. However, such methods can be very valuable when engaging with digitally connected communities of interest – for example when IRD wants to engage with tax professionals.

3.6 Conclusions regarding selecting methods of engagement with the public

Our review of the international literature on methods of engagement at different levels on the IAP2 Spectrum of Public Participation has revealed that there are a large quantity of resources available that offer detailed descriptions of the many popular methods of engagement, as well as descriptions of other less-well-known activities. Only some of the information is organized by IAP2 (or similar) levels of engagement. We identified and reviewed four different tools found for selecting methods of engagement – which revealed that each have their own merits and disadvantages.

The Engage 2020 Action Catalogue has the advantage of allowing users to feed in a large number of criteria regarding their context and requirements, and then uses a digital algorithm to undertake the sifting of the complex information and its goodness of fit with different methods that it is difficult to for the human brain to so quickly undertake. It does incorporate the levels in the IAP2 Spectrum of Public Participation as one of the criteria that can be used. It contains information on only 57 engagement methods (less than some of the other tools), and it offers a range of ‘best fit’ methods to consider that can be quite wide and still require quite a lot of further work to decide on which engagement method(s) to use. The in-depth information accessible online about each of the 57 engagement methods is a valuable feature of the Action Catalogue.

The NCDD clearinghouse information on engagement methods contains a wealth of information focused on their four Engagement Streams which are roughly equivalent to the IAP2’s higher levels on the Spectrum of Public Participation – in keeping with the Coalition’s focus on dialogue and deliberation. Their ‘Process Distinctions Table’ approach – identifying which method is appropriate for which Engagement Stream(s), and provision of brief information of what each involves may be useful as an initial sift of information – but may be insufficiently informative for detailed engagement planning.

The CHIR Summary Table of Engagement Approaches provides more detailed information about each engagement method than the NCDD ‘Process Distinctions’ Table – which may

make it more valuable to a user, and as tables go, is relatively user-friendly. However it doesn't enable the user to factor in the many other criteria in choosing a method of engagement that the Engage 2020 Action Catalogue enables.

The OGPToolbox^{beta} is limited to digital engagement tools – making it useful only when that is the focus. Face to face forms of engagement are, though, often valuable (instead or as well as digital engagement). The limitations of digital tools in terms of those not generally being accessible to various disadvantaged population groups also need to be kept in mind.

The conclusion from our review of the literature is that no single 'off-the-shelf' appropriate tool exists for selecting the most appropriate engagement method (once the appropriate IAP2 level of engagement has been identified). Clearly it will be helpful for policy practitioners to have access to guidance on selecting methods of engagement – so a decision will need to be made, in the next phase of work on the Commitment 5 project, about that best way to achieve that.

There are a number of possible approaches that could be taken. One option is for the guidance to reference the various engagement selection tools that this review has identified, and their pros and cons. A second option is to synthesize the information in all of them, and produce a Commitment 5 selection tool in a tabular or matrix format – that shows which methods are appropriate for which levels, and provides some detailed information about each method. The final option would be to produce a Commitment 5 digital tool for selecting engagement methods and describing what they involve, with case-studies illustrating their use and lessons learned – although this would not be viable within the current resourcing of the project.

4. Best practice advice for public engagement

Public participation is any process that engages citizen input in government decision-making processes. It is fundamental to democracy. Well done, community engagement results in better decisions and transparency in government.

Wendy Green Lowe, P2 Solutions

4.1 Overview

The four previous sections of this literature review have looked at:

- what public engagement is meant to achieve and the five levels of engagement on the IAP2 Spectrum for Public Participation,
- tools and resources available for selecting the appropriate level to engage on the IAP2 Spectrum,
- tools for selecting engagement methods at each level of the Spectrum, and

This section examines the general guidance and best practice advice for conducting public engagements at any level of the Spectrum that is of potential relevance for inclusion in the guidance produced to achieve the first milestone of Commitment 5 in New Zealand's OGP NAP 2018-20.

The section starts with the IAP2 Federation's expectations about the engagement process (Core Values), expectations about practitioner's practices (Code of Ethics), and the engagement process standard (Quality Assurance Standard). It then looks at popular best practice principles from the wider literature on public engagement, and concludes with insights from New Zealand Government guidance on effective public engagement.

4.2 Adhering to the IAP2's Core Values when using the IAP2 Spectrum

The IAP2 Federation and IAP2 Affiliate Boards believe that the practice of high quality public participation requires abiding by the IAP2 Core Values (and the Code of Ethics in section 5.3). The IAP2 Core Values are explicitly imposed upon practitioners who receive permission to utilise the IAP2 Spectrum. The Core Values are directive – that is, they define what good public participation involves.

In "IAP2 Core Values – The Origin Story"²⁰ each of the seven core values is discussed and the rationale for imposing them onto public participation processes is described.

The Core Values define expectations and aspirations of the public participation process. Processes based on the Core Values have been shown to be the most successful and respected.

IAP2 Core Values

²⁰ <https://iap2canada.wordpress.com/2017/06/19/iap2-core-values-the-origin-story/>

The seven IAP2 Core Values for the Practice of Public Participation are as follows:

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.

In addition to specifying these core values, the IAP2 provides a table of evidence (see Table 8 below) for indicators of the level of the quality of engagement, in regard to each of the seven core values. These indicators providing clear descriptors of what evidence would demonstrate that engagement practices were either Elementary, Emerging or Exemplary.

Table 8: IAP2 Core Values Evidence/Indicators of Quality of Engagement Practice

Core Value	Indicators	Level of Quality			Evidence
		Elementary	Emerging	Exemplary	
1. Public participation is based on the belief that those affected by a decision have the right to be involved in the decision-making process	Clear problem statement	No problem statement/purpose of engagement statement developed	A problem statement/purpose of engagement has been developed and provided to stakeholders	A problem statement/purpose of engagement has been developed in consultation with stakeholders	Decision making framework developed Challenges and decisions to be made are published
	Decision making process clearly communicated	No decision making process communicated	Decision making process communicated to stakeholders	Decision making process communicated to stakeholders via stakeholders preferred communications channel	Governance structure within the decision making body are communicate to stakeholders
	Affected stakeholders have been identified	Affected stakeholders have not been identified	Affected stakeholders have been identified	Affected stakeholders have been identified and means of expanding the stakeholders base throughout the process have been considered	Communications with stakeholders are recorded Minutes of meetings are recorded
2. Public participation	Appropriate level of engagement	No specific level of engagement	A level of engagement has been identified by	Stakeholders are involved in establishing the	Communications to stakeholders

includes the promise that the public's contribution will influence the decision	has been endorsed by the decision-maker Level of stakeholder influence clearly communicated to the stakeholders	identified by decision maker Level of stakeholder influence established but not communicated to stakeholder	the decision maker Stakeholders are informed that their input will influence the decision making process	level of engagement Stakeholders are informed of what aspects of the decision making process can be influenced and which can not	outline level of influence
3. Public participation promotes sustainable decisions by recognising and communicating the needs and interests of all participants, including decision-makers	Understanding of participants values and interests Engagement techniques identified to support interests and needs	No understanding of current concerns of participants No demonstrated understanding of stakeholder interests and needs	No demonstrated understanding of current concerns of participants Demonstrated understanding of stakeholder interests and needs	Barriers to participation have been identified and efforts made to overcome them Knowledge of stakeholder interests and needs are based on stakeholder input	Techniques aligned to stakeholder interest and level of engagement Stakeholders engaged to identify values and interests
4. Public participation seeks out and facilitates the participation of those potentially affected by or interested in a decision	Participation opportunities enable contribution Thorough stakeholder analysis completed	Unrealistic expectations from the sponsor No or little stakeholder analysis conducted	Existing resources and networks have been effectively utilised Initial stakeholder analysis conducted	Stakeholder input sought for engagement methods. Project sponsor facilitated additional support resources Iterative stakeholder analysis	Stakeholder participation requirements have been identified Blocks to participation have been identified and overcome Stakeholders requirements are revisited throughout the project
5. Public participation seeks input from participants in designing how they participate	Dialogue between representatives on the most suitable way of engaging with participants	Assumptions on engagement techniques made without stakeholder dialogue	Reasonable efforts have been made to seek feedback on the potential engagement processes with all stakeholder groups	Project sponsor has enabled the participants to have a key role in determining the engagement processes and techniques	Demonstrate how the stakeholders have influenced the process for the project
6. Public participation provides participants	A balanced set of information has been provided	Limited information provided to participants prior to the	Balanced information provided reflecting all sides of the argument relating	Expert, objective and independent content has been openly made	The range, quality, format and timing of materials that are made available to

with the information they need to participate in a meaningful way	Communication tailored for audiences and channels appropriately identified	engagement process Standard language and collateral offered across all communication channels	to the decision to be made A range of communication channels are offered based on good practice and previous experience	available to all participants Stakeholders have been actively engaged to identify appropriate communications channels	inform participants in advance of the engagement process Stakeholders are engaged in shaping the form and content of the materials Records of meetings and correspondence
7. Public participation communicates to participants how their input affected the decision	Clearly demonstrate how participant input has influenced the process	Little or no feedback is offered or promised to participants	All feedback is collated and made available to the participants	Opportunities are provided to explore the feedback in depth, discuss its implications and determine the future steps	Statement of feedback promised to all participants. Processes identified for feeding back the results to the stakeholders.

As the majority of New Zealand’s policy practitioners have not attended IAP2 training, consideration needs to be given to including the values and their rationale in the guidance, so that guidance users understand the reasoning that went into each value.

4.3 The IAP2 Code of Ethics for Public Participation Practitioners

The IAP2 Code of Ethics addresses the actions of public participation practitioners. The Code of Ethics supports and reflects the Core Values (described in the previous section). The IAP2 expects that practitioners using its Spectrum of Public Participation will respect and uphold the IAP2 Core Values and the IAP2 Code of Ethics. Professionals working in public engagement publish their commitment to uphold the IAP2 Code of Ethics and Core Values on their websites²¹. The Code is as follows.

Preamble

As members of IAP2, we recognize the importance of a Code of Ethics, which guides the actions of those who advocate including all affected parties in public decision-making process. In order to fully discharge our duties as public participation practitioners, we define terms used explicitly throughout our Code of Ethics. We define stakeholders as any individual, group of individuals, organizations, or political entity with a stake in the outcome of a decision. We define the public as those stakeholders who are not part of the decision-making entity or entities. We define public participation as any process that involves the public in problem solving or decision-making and that uses public input to make better decisions.

This Code of Ethics is a set of principles, which guides us in our practice of enhancing the integrity of the public participation process. As practitioners, we hold ourselves accountable for these principles and strive to hold all participants to the same standards.

²¹ <http://www.zestcomms.co.nz/how-we-do-it/>

PURPOSE. We support public participation as a process to make better decisions that incorporate the interests and concerns of all affected stakeholders and meet the needs of the decision-making body.

ROLE OF PRACTITIONER. We will enhance the public's participation in the decision-making process and assist decision-makers in being responsive to the public's concerns and suggestions.

TRUST. We will undertake and encourage actions that build trust and credibility for the process among all the participants.

DEFINING THE PUBLIC'S ROLE. We will carefully consider and accurately portray the public's role in the decision-making process.

OPENNESS. We will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.

ACCESS TO THE PROCESS. We will ensure that stakeholders have fair and equal access to the public participation process and the opportunity to influence decisions.

RESPECT FOR COMMUNITIES. We will avoid strategies that risk polarizing community interests or that appear to "divide and conquer."

ADVOCACY. We will advocate for the public participation process and will not advocate for interest, party, or project outcome.

COMMITMENTS. We ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.

SUPPORT OF THE PRACTICE. We will mentor new practitioners in the field and educate decision-makers and the public about the value and use of public participation.

4.4 The IAP2 Quality Assurance Standard

The IAP2 Quality Assurance Standard for Community and Stakeholder Engagement²² can be used to help plan public engagement prior to its implementation (ex ante) and to evaluate the engagement process and implementation after the event (ex post).

The specific objectives of the Quality Assurance Standard are:

1. To better assure the quality of engagement and engagement audit services.
2. To improve confidence and certainty in the process of community and stakeholder engagement both for users and clients of the engagement practice.
3. To regulate practitioner activity by standardising the process of community and stakeholder engagement.
4. To "authorise" practitioners to undertake community and stakeholder engagement in accordance with the agreed standard process.

²² https://www.iap2.org.au/Tenant/C0000004/00000001/files/IAP2_Quality_Assurance_Standard_2015.pdf

5. To support career, education and practice pathways so that professionalization in community and stakeholder engagement can be encouraged.
6. To validate engagement activity by defining and measuring (rating) a quality public participation process.²³

The development and adoption of the Standard by professionals operating in this field, provides confidence and certainty for both practitioners and clients of community and stakeholder engagement practice.

IAP2 Federation

The Standard is comprised of eleven steps, summarised below, giving the practitioner guidelines for planning and measuring public engagement quality.

1. Problem definition
2. Agreement of purpose/context & identification of negotiables and non-negotiables
3. Level of participation
4. Stakeholder identification and relationship development
5. Project requirements
6. Development and approval of engagement plan
7. Execution of engagement plan
8. Feedback
9. Evaluation and review
10. Monitoring
11. Documentation of evidence.

The details of the eleven steps can be understood by accessing the Quality Assurance Standard online.

4.4 Popular best practice principles

The 'best practice' public engagement principles most commonly identified in the literature are summarised next as these have potential value for inclusion in the Guidance.

4.4.1 A single project may include multiple levels of engagement, at different stages

Public participation can take place at any, or all, stages of the policy formulation process (refer the Decision-Making Lifecycle in [Figure 2](#)). For example, during the development of a policy or guideline, there may be a need for citizen input to define the issue, to make a decision, or to evaluate the decision. The potential exists to engage citizens at any stage of the decision-making lifecycle, and there may be occasions that call for citizen input at every stage.

²³ IAP2 Quality Assurance Standard, page 7.

Good policy development can also mean engaging with different stakeholder groups at different levels on the IAP2 Spectrum, either in parallel or in serial. For example, an agency may collaborate with a core stakeholder group while keeping the broader community informed, consulted and/or involved. Good project management skills and tools help practitioners juggle these activities, including communications with stakeholders.

To allow for inclusion, plan multiple methods of engagement – so that all stakeholders, regardless of special needs, can readily access the public engagement activity (at least one of them at each stage) and express their views.

4.4.2 Negotiate with the community about the level of engagement

The IAP2 Spectrum may be read as implying that the government or other organisation involved can do its own research and risk analysis and determine, by itself, the most appropriate level on the Spectrum to engage stakeholders. Engagement professionals advise that all elements in the process, including the appropriate level of engagement on the IAP2 Spectrum should be negotiated at the start with the affected or potentially impacted community, as they often want to be part of that conversation – especially for projects that are controversial and/or complex. This advice was one of the most repeated in the literature. To be most effective in negotiating with the community about the level of engagement, this is best done early in the policy process.

4.4.3 Thoroughly plan and scope for effective public engagement

Planning for effective public engagement needs to take place at the start (commissioning) of the policy process. The Glenorchy Community Engagement Procedure²⁴ sets out the roles and steps for engagement, with questions and checklist that may help practitioners scope the engagement. The CIHR Handbook (see Section 2.3) also has a comprehensive planning guide that may provide valuable input should it be decided that policy process planning needs to be included in the OGP Guidance.

The CIHR Citizen Engagement Handbook offers five generic guiding principles as the basis for planning and implementing public engagement:

- Working with citizens will add value to the program or project
- Mutual learning/understanding will build trust and credibility
- Openness will enhance transparency and accountability
- CIHR will be inclusive in its approach to citizen engagement
- Citizens will be supported to ensure their full participation

The Handbook also advises to consider data needs (collection of evidence to drive the citizen engagement activity) when developing a Citizen Engagement Plan.

The Handbook usefully describes the contents and development of a Citizen Engagement Plan, such as defining team roles and responsibilities, communications plans, logistics, developing internal capacity, cost implications, and things common to policy project planning. It briefly describes participant recruitment methods: targeted, random, open, and self-selective. Other considerations touched upon are framing, facilitation, evaluation and reporting. There is

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https://www.iap2.org.au/Tenant/C0000004/00000001/files/News/GlenorchyCC_Community_Engagement_Procedure.pdf, page 18.

additional advice on disseminating information and materials. If the OGP guidance is extended into the wider aspects of public engagement planning, this additional advice could be drawn on.

The Connect Our Future guidance on how to do the public engagement includes the following obvious, but potentially overlooked considerations, which should be considered for inclusion in when developing the planning element best practice element of the OGP guidance:²⁵

- Plan the questions to be asked and their format (open-ended, multiple-choice, using appreciative inquiry, or a combination).
- If using different media to obtain public input (such as an on-line tool, small groups, etc.), test that the questions can work across all platforms without being changed, so that answers can be compared accurately. You will also want to make sure that the questions use simple, easily understood language (for those without any technical expertise), and are jargon-free, non-leading, and not open to wide interpretation. Test and rework the questions several times to get this right.
- Plan how to provide participants with any information they will need in order to be able to respond. Like the questions, any information transmitted to prospective participants will need to be easily understandable, jargon-free, and crystal-clear in terms of problem statements, and issue descriptions. Material also should contain photos or drawings if relevant (one picture really is worth 1,000 words), and a good bit of white space, so readers don't feel overwhelmed.
- Plan how to reach target audience(s). Establish goals for participation; for example, if the population in the target area includes a mix of demographics, participation goals should aim to achieve a mix of participants, representative of those demographics.
- Find out the best avenues to get to the target audiences, and know the extent to which advertising versus word-of-mouth will be effective in recruiting participants. Personal invitations to events or to participate in public processes almost always trump mass media advertising, in terms of generating interest and response.
- Plan how to overcome any barriers to participation that can be anticipated. Plan to go to where the traditionally underrepresented groups are comfortable, to provide transportation, food, and/or childcare, so that they do not incur any cost of participation.
- Plan to collaborate with the NGO or other organised groups who can reach any traditionally underrepresented groups, especially non-English groups. Identify organizations or individuals that are known to and trusted by persons who traditionally do not turn out for civic processes, to help recruit participants, and even to conduct the sessions, if some of them need to be in Spanish, Vietnamese, Russian, etc.
- Plan the timeline for production of materials, the campaign, and assignments for logistics, interviews, small groups, etc. Allow time (and money) for translation if needed, and for building and activating collaborative partnerships.

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https://www.iap2.org.au/Tenant/C0000004/00000001/files/News/GlenorchyCC_Community_Engagement_Procedure.pdf

- Ensure the budget you set aligns with the plan.

4.4.4 *Ensure representativeness of those you engage with*

Increasingly, agencies are endeavouring to use public participation procedures that ensure greater representativeness and inclusion of diverse voices. Random selection of individuals or groups, by arms-length third parties, is a growing international trend²⁶. However, agencies are held accountable for how inclusive or representative a public participation initiative is, even if they collaborate with a diverse and representative group at the start and then co-decide who should be involved. Identifying the target audience is an important step in the development of a public participation plan.

Representativeness is important for credibility to stakeholders and decision makers (ministers) who expect the policy process to reflect this quality.

Key questions to ask to ensure appropriate representativeness are²⁷:

- Who will be affected by the issue?
- Who may be potentially affected in the future?
- Who can contribute to a solution that will meet the needs of the widest range of stakeholders and public audiences?
- Who will insist on being involved and cannot be left out?
- Should other agencies or other local governments be involved?
- Should Ministers be involved?
- Which segments of the public should be involved?
 - Individuals?
 - Consumers?
 - Environmental, health, criminal justice or consumer organizations?
 - Specific demographic groups, such as youth or older adults?
 - Marginalized, hard-to-reach populations?
 - Industry associations, trade unions and individual industries?
 - Scientific, professional, educational (all levels and ITOs), voluntary associations?
 - Official-language minority communities?
 - Local communities?

4.4.5 *Build relationships for future engagements*

Building lasting trust-based relationships with participants engaged with is important for successfully completing a project, and for ensuring sufficient stakeholders' goodwill that they

²⁶ <https://www.canada.ca/en/health-canada/corporate/about-health-canada/reports-publications/health-canada-policy-toolkit-public-involvement-decision-making.html#a21> Random selection of individuals or groups (by an arm's length third party) to achieve a greater mix of representation of the country's society is used by the Canadian government.

²⁷ Paraphrased from <https://www.canada.ca/en/health-canada/corporate/about-health-canada/reports-publications/health-canada-policy-toolkit-public-involvement-decision-making.html#a21>

are willing to engage in the future. Engagement professionals, such as Auckland Co-design Lab, advise that “dropping in and out” with stakeholders can make people less inclined to engage in the future. Also by calling on the same people/groups, by numerous agencies, can lead to “consultation fatigue” and less inclination to engage. How to build lasting trust-based relationships with stakeholders when the practitioner/agency does not engage often or regularly will need to be ascertained.

There is literature with advice on how to do this, but drawing on it may be beyond the scope of this project.^{28 29 30 31}

4.4.6 Inclusive engagement requires additional preparation

When engaging with external stakeholders, it is important to identify the needs, issues and concerns of the particular individuals and groups. As discussed in [Section 5](#) on Diversity and Inclusion, extra care must be taken to identify and meet the needs of the people from populations that may be difficult to reach (marginalized or vulnerable). Consideration of diverse (or special) needs can be critical to informing and supporting both the process and the outcome. This extends to communication processes and messages, and which mechanisms are likely to facilitate the effective participation of special needs groups and individuals.

As the Office for Disabilities Issues raised when we met with them, it is important to arrange to meet people in settings that are familiar to them in order to make the right connection that encourages engagement or involvement (e.g. community meetings at schools, community-based approaches, national social media, in their homes, at their service providers and other places they already know how to access and may feel comfortable at). This reinforces the principle that practitioners must plan for engagements in multiple locations using multiple methods (as per Section 5.5.2).

4.4.7 Advanced facilitation skills are often required

Citizens may need to vent about previous decisions and engagements. This is part of the learning for policy staff - the opportunity to see the situation from citizens’ point of view. People who do not trust government (central and/or local) may come to public processes upset, frustrated, and/or angry.

Facilitating public engagements where participants may express strong emotions and even outrage is a skill of professional engagement practitioners. Even senior policy leaders and managers may not be equipped to enhance quality public participation outcomes where communities are emotional or outraged because their previous experience(s) has/have been at the Inform and Involve levels.

²⁸ FACT SHEET: High quality communication strategy

²⁹ <https://atrium.lib.uoguelph.ca/xml> FACT SHEET: High quality communication strategy

³⁰ https://atrium.lib.uoguelph.ca/xmlui/bitstream/handle/10214/3133/Sheedy_Handbook_on_Citizen_Engagement-Beyond_Consultation_complete.pdf;sequence=26

³¹ [ui/bitstream/handle/10214/3133/Sheedy_Handbook_on_Citizen_Engagement-Beyond_Consultation_complete.pdf;sequence=26](https://atrium.lib.uoguelph.ca/xmlui/bitstream/handle/10214/3133/Sheedy_Handbook_on_Citizen_Engagement-Beyond_Consultation_complete.pdf;sequence=26)

When policy practitioners do not have these skills and consider their budget won't cover contracting them in, it may seem rational to revert to lower levels of public participation to avoid exposing themselves and their project in a public forum.

Public participation at the Involve, Collaborate and Empower points/levels requires more than average understanding of working with angry and cynical people in tough circumstances. As the IAP2 advises, "Working with people, no matter what emotions they bring to the process, is foundational to the practice of public participation."³²

Planning (and budgeting) to engage professional engagement practitioners may be necessary until agency staff have been trained and successfully experienced facilitating public engagement in seriously challenging situations.

4.4.8 Both parties learn and the process needs to be agile

For agency staff and citizen participants, public engagement is an opportunity to learn someone else's viewpoint, restrictions and experiences.

Public involvement processes should be sufficiently flexible to evolve and be responsive to new issues, concerns or constituencies that arise during the engagement process. A growth mentality/learning perspective supports a constructive citizen engagement process.

4.4.9 Apply good communication practices

Provision of feedback, indicating how the agency used the information obtained from the process, is essential to building and maintaining the credibility of the process, the practitioners and the agency.

The following are the most commonly cited qualities or characteristics for building trust, maintaining motivation of participants, and ensuring clarity of understanding about the engagement topic.

1. Tell and demonstrate that participants' efforts can make a positive difference – giving them a sense of self-efficacy.
2. Treat participants as responsible, referring to the practitioner-stakeholder relationship as a partnership for working through the issues.
3. Advise all participants how the engagement method respects their needs – describing the 'goodness of fit'.
4. Share the understanding that their engagement improves New Zealand's governance – participative democracy.
5. Ensure participants have access to appropriate resources so they can view, imagine, and apply the engagement topic in a variety of ways such as pictographic - independent of literacy level. This is true for high literacy and low to non-literate participants.
6. At the start, make certain participants understand why they are being engaged – verify that materials and oral introductions are meaningful and clear (see previous criteria).
7. Ensure stakeholders find the engagement content interesting and practical – making the relevance explicit.

³² <https://www.iap2.org/page/outrage>

8. Say and do things to acknowledge and appreciate stakeholders for their contributions – give them motivation and encouragement.

4.4.10 Undertake evaluation

There is a limited body of evidence evaluating the effects of public participation.

Without exception, all of the major review articles consulted identified a dearth of good quality research evidence to inform either policy makers or public participation practitioners of the impacts of public participation on political discourse and/or democratic participation.

*Abelson and Gauvin (2006)*³³

There are, however, many evaluation frameworks, guides and toolboxes available for public engagement practitioners. It does not appear to be the lack of information about evaluation preventing this best practice from being regularly implemented, but rather ‘institutional’ barriers as identified in interviews conducted with Canadian policy makers and public participation practitioners who offered the key themes about public engagement evaluation³⁴ summarised in Table 9.

Table 9: Key Themes about Evaluation of Public Engagement

Approaches to evaluation	<ul style="list-style-type: none"> • Evaluation is off the radar • Informal processes (most rely on participants’ satisfaction) • Interest in both process and outcomes • Innovation in some organizations (policy impacts assessed through careful documentation of decision-making processes throughout consultation)
Barriers to evaluation	<ul style="list-style-type: none"> • Lack of time, resources, expertise • Lack of commitment to evaluation from senior management • Difficult to build evaluation capacity within organization (e.g. high turnover)
How to foster and improve evaluation	<ul style="list-style-type: none"> • Need a ‘cultural shift’ • An evaluation framework could be useful (but must be flexible and adaptable and integrated upfront) • Educate citizens about what constitutes good public participation

³³ *Assessing the Impacts of Public Participation: Concepts, Evidence and Policy Implications* by Abelson and Gauvin (2006) Research Report.

http://www.ipea.gov.br/participacao/images/pdfs/abelson%20and%20gauvin_assessing%20pp%20impacts_2006.pdf
page 40

³⁴ *Assessing the Impacts of Public Participation: Concepts, Evidence and Policy Implications*, Julia Abelson and François-Pierre Gauvin, Research Report PJ06, Public Involvement Network, March 2006, page 36.

Without research in New Zealand, it is difficult to generalise the Canadian findings, familiar as they sound. This raises the question of whether including evaluation guidance in the engagement guidance will be sufficient to improve this element of best practice.

Despite decades of documenting public participation experiences, the practice of public participation evaluation is still in its infancy.

*Abelson and Gauvin*³⁵

There is a particularly relevant United Kingdom online guide to doing evaluation of public participation in central government³⁶ (at an introductory level) which explains why evaluation needs to be built into the engagement. It proposes measurement indicators to assist implementing evaluation into engagement and policy recommendations. This may be useful to refer to in the guidance.

Since it is unclear whether offering broader policy development guidance (such as the purpose of process and outcome evaluation and how to do this for public engagement activities) is within the remit of this project, we have recorded evaluation-related resources in the Bibliography.

4.4.11 If you (can) do nothing else, Inform them fully

The advice in the literature about best practices in public engagement as discussed up to this point has been general and applicable to all IAP2 levels of public engagement. A few publications describe their content as focused on a particular level, such as the BetterTogether 2 page Fact Sheet³⁷ which equates Best Practice at the Inform level with a strong communication strategy. It states that the Inform element can be achieved by fulfilling eight steps, which all appear to be applicable to the beginning activities of all levels of the Spectrum:

- Stating why providing full information at the start may be the only element of the spectrum you can (currently) fulfil
- Determining the goals of your communication
- Identifying and profiling your audience
- Developing messages
- Selecting communication channels
- Establishing partnerships
- Implementing the plan
- Evaluating and making mid-course corrections.

³⁵

https://www.researchgate.net/publication/5100037_Assessing_the_Impacts_of_Public_Participation_Concepts_Evidence_and_Policy_Implications, page 37.

³⁶ Making a difference: A guide to evaluating public participation in central government, <https://www.involve.org.uk/sites/default/files/uploads/Making-a-Difference-.pdf>

³⁷ Better Together FACT SHEET: High quality communication strategy

4.5 New Zealand Government Engagement Guidance

In addition to the engagement guidance published in relation to diverse populations (see section 5.5), many New Zealand government agencies publish advice on public engagements aimed at the government policy community. These resources are in the Bibliography, as the OGP Commitment 5 Team will want to consider whether capturing all the advice in the multitudinous published guidance is necessary or helpful. These include the Policy Project's Policy Method Toolbox content on public participation, developed under Commitment 7 of New Zealand's Open Government Partnership 2016 – 2018 National Action Plan. The other resource that merits mentioning is the information available at Digital.govt.nz.

4.5.1 Online Engagement Advice

Central government engages effectively with citizens and communities, recognising the interdependence of government and communities in achieving the best outcomes for society.

Digital.govt.nz³⁸

One of government's aims is to make it easy for people to provide feedback into policy decisions and design of services, so government can make better decisions. Digital.govt.nz aims to be the online source of information, tools and guidance to support digital transformation across the public sector. Digital.govt.nz replaces the Web Toolkit, and will replace ICT.govt.nz. The Online engagement guidance available there offers useful advice and links to other NZ agency engagement publications.

4.6 Conclusions regarding best practice advice for public engagement

There is a wealth of information available in the international literature about what good practice is, at any level on the IAP2 Spectrum of Public Participation, which the Commitment 5 guidance can draw on.

The IAP2 has made a significant contribution to that literature through the Core Values, Code of Ethics for engagement practitioners and Quality Assurance Standard for community engagement. It is important that the IAP2 Spectrum of Public Participation is viewed in the context of this wider frame for good practice.

From the wider engagement literature, the key good practice learnings are as follows:

- 1 A single project may include multiple levels of engagement, at different stage
- 2 Negotiate with the community about the level of engagement
- 3 Thoroughly plan and scope for effective public engagement
- 4 Ensure representativeness of those you engage with
- 5 Build relationships for future engagements
- 6 Inclusive engagement requires additional preparation

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[https://www.dia.govt.nz/Pubforms.nsf/URL/ENGAGEMENT_GUIDE_FINAL.pdf/\\$file/ENGAGEMENT_GUIDE_FINAL.pdf](https://www.dia.govt.nz/Pubforms.nsf/URL/ENGAGEMENT_GUIDE_FINAL.pdf/$file/ENGAGEMENT_GUIDE_FINAL.pdf), page 2.

- 7 Advanced facilitation skills are often required
- 8 Both parties learn and the process needs to be agile
- 9 Apply good communication practices
- 10 Undertake evaluation
- 11 If you (can) do nothing else, inform them fully.

After making a choice of which level of engagement to adopt on the IAP2 spectrum of public engagement, policy practitioners and service designers have many more choices to make in planning and managing engagement. More work is needed to determine how to structure those best practice sections of the Commitment 5 guidance.

5. Engagement with Māori

5.1 Overview

In New Zealand the signing of the Treaty of Waitangi in 1840 by Māori Chiefs and William Hobson representing Queen Victoria provided a unique constitutional basis for our system of government. The Treaty creates a basis for civil government extending over all New Zealanders, on the basis of protections and acknowledgements of Māori rights and interests within that shared citizenry – as specified in the various articles of the Treaty.

The current Labour-led coalition government has recognised the duty that the Treaty of Waitangi provides for the New Zealand government to engage effectively with its treaty partners, Māori. Concrete steps that have been taken to do better in this area include:

- establishing a new Ministerial portfolio of Māori Crown Relations – one of whose responsibilities is to ensure that public sector engagement with Maori is meaningful
- creating a new Crown agency, Te Arawhiti, the Office of Māori Crown Relations – to assist government agencies to improve their engagement with Maori by:
 - providing guidance and advice directly to agencies contemplating or undertaking engagement with Maori, and
 - providing tools, resources and training opportunities

There are three main elements to the guidance that Te Arawhiti has recently produced on engagement with Māori, which the Commitment 5 can either draw on or reference. These are their 'values of engagement', 'Engagement Framework' and supporting 'Engagement Guidelines'.

5.2 Values relevant to Crown engagement with Māori

The Government's intent is that engagement with Māori and the Maori Crown relationship itself are guided by the following values³⁹:

- **Partnership** - the Crown and Māori will act reasonably, honourably and in good faith towards each other as Treaty partners.
- **Participation** - the Crown will encourage, and make it easier for Māori to more actively participate in the relationship.
- **Protection** - the Crown will take active, positive steps to ensure that Māori interests are protected.
- **Recognition of Cultural Values** – the Crown will recognise and provide for Māori perspectives and values.
- **Use Mana Enhancing Processes** - recognising the process is as important as the end point; the Crown will commit to early engagement and ongoing attention to the relationship.

These values are intended to provide a basis for working with Māori to respond to their range of needs, aspirations, rights and interests and to provide active partnership with Māori in the design and implementation of processes and outcomes sought.

³⁹ <https://tearawhiti.govt.nz/te-kahui-hikina-maori-crown-relations/engagement/>

5.3. Engagement Framework and Guidelines

The Māori Crown Engagement Framework and Guidelines are designed to assist agencies in thinking about engaging with Māori. They were developed following a review of a range of literature, including that produced by the IAP2. They were materially informed by reviewing the current New Zealand engagement landscape as well as what the Minister of Māori Crown Relations heard throughout the engagement process to determine the purpose of the portfolio.

The Framework⁴⁰ has five elements:

1. What is the kaupapa? - the interlinkages between cultural, environmental, social and economic issues
2. Who to engage with - at the local, regional and national level
3. How to engage – which should crucially be informed by the significance of the issue for Māori, and how they will be affected now, or in the future
4. When should you engage?
5. How to proceed.

The 'how to engage' section of the Framework links the significance for Māori (minor, moderate or significant) to which level on a revised version of the IAP2 Spectrum of Public Participation (Inform, Consult, Collaborate, Partner/Co-design and Empower) to adopt, and for each level the Framework provides a Māori-focused version of the IAP2s 'promises to the public'. The Framework for Crown engagement with Māori is in [Appendix 3](#).

The Engagement Guidelines⁴¹ that accompany the Engagement Framework have the following bylines:

- Engage early. Be inclusive. Think Broadly
- Effective and genuine engagement supports relationships that are based on trust and confidence.

Over ten pages, the Guidelines are structured under the same 5 headings as the Framework. They provide information intended to assist readers to determine who they need to engage with, how to engage, and how to develop an effective engagement strategy.

5.4 Implications for Commitment 5 guidance

The reality is that the Framework for Crown Engagement with Māori has recently been developed and endorsed by the Government as government policy, and considerable work was undertaken to ensure that it appropriately tailors international engagement best practice (such as that promulgated by the IAP2) to fit New Zealand circumstances. It would therefore be sensible for the Commitment 5 guidance to point to the Framework and Guidance as how to proceed for engagement with Māori – rather than attempt to rework the same ground.

⁴⁰ <https://tearawhiti.govt.nz/assets/Maori-Crown-Relations-Roopu/451100e49c/Engagement-Framework-1-Oct-18.pdf>

⁴¹ <https://tearawhiti.govt.nz/assets/Maori-Crown-Relations-Roopu/6b46d994f8/Engagement-Guidelines-1-Oct-18.pdf>

6. Diversity and inclusion

6.1 Overview

The updated guidance on public participation that needs to be produced to fulfil Commitment 5 in the 2018 – 2020 OGP NAP must include how to ensure that the engagement approaches selected appropriately include and reflect the diversity of those interested in and affected by the policies. This section of the literature review summarises website publications on inclusive engagement with individuals and communities who may be overlooked, omitted or excluded by traditional engagement processes – to identify what best practice guidance on this subject already exists, and which organisations there may be benefit from engaging with in later stages of developing the diversity and inclusion elements of the guidance.

The context for this section is that the effort needed to incorporate inclusivity and diversity in public participation in policy development is significant. Diverse communities are often invisible to those working in agencies and their Ministers. Neither Parliament nor the public service reflect all the visible (race, gender, some disabilities, religious beliefs, etc.) and non-visible (education, socio-economic level, background, culture, sexual orientation, etc.) dimensions that make-up New Zealand's diverse society.

Raising awareness about diversity and inclusion and providing easy to follow checklists for the planning stages (commissioning of policy development) are necessary first steps toward changing habitual practices and mental paradigms about inclusion. Whether they will be sufficient to bring about significant change is a moot point.

Development can only occur at the learner's current level of competence. Until we learn to be able to step into another's shoes and view the world from their perspective, rather than ours, we will continue to live in a world with perpetual "poor vision." It takes time, willingness to challenge our own way of thinking and willingness to be a life-long learner.

Rowe and Frewer⁴²

6.2 New Zealand's legislative context for diversity and inclusion

The Human Rights Act 1993 exists to help ensure that all people in New Zealand are treated fairly and equally. Fair and equitable treatment includes the same opportunity to engage in government-sponsored public engagement activities.

The Act specifies prohibited grounds of discrimination in New Zealand, which are:

- Sex, including pregnancy and childbirth
- Marital status
- Religious belief
- Ethical belief
- Colour
- Race ethnic or national origins, including nationality and citizenship
- Disability
- Age

⁴² <http://www.theinclusionsolution.me/what-is-diversity-part-3-the-visibly-invisible/>

- Political opinion
- Employment status
- Family status, and
- Sexual orientation.⁴³

6.3 Media views and views from the literature about excluded groups

A quick review of the current New Zealand news content identifies the following as populations who may face exclusion (a form of discrimination): Māori and Pacifica (race, ethnic origins, nationality and citizenship), people with disabilities, homeless people, prisoners, children, youth and seniors (age), LGBTQI+ (sexual orientation), Muslims (religion), immigrants, and women (sex).

The international engagement literature describes excluded populations as marginalised, hard-to-reach, communities of difference, communities of interest, target populations, minority groups, minority cultures, vulnerable, and disadvantaged people.

In New Zealand, ‘vulnerability’ is used as a broader catchment term for those experiencing numerous hardships. Vulnerable groups include those with mental health problems, addictions, physical impairments, rough sleepers, refugee populations, victims of family violence and those leaving institutional accommodation, such as prison. Vulnerability is linked to economic and social marginalisation, and disproportionately affects Māori.⁴⁴ The six themes for housing vulnerable people in New Zealand include homelessness, Māori, disabled, domestic violence, women and recently incarcerated⁴⁵.

Guidance for engaging diverse groups and individuals focuses on the horizontal inclusion of ‘communities of difference’.⁴⁶ Whereas ‘vertical’ inclusion expands democratic engagement to more citizen groups along the hierarchies ascribed by political systems (i.e. from elected representatives to citizens), ‘horizontal’ inclusion is aimed at inclusion across social categories including race, class, gender, sexuality, migrant and citizen status. Neither vertical nor horizontal inclusion categories capture all the vulnerable (or currently unintentionally excluded) people.

Research shows that complex problems require a wider diversity of actors to solve them⁴⁷. Therefore, agencies and Ministers, who focus on complex problems, need diverse participants in their public engagements, not only to uphold the human rights law, but equally important, to obtain the best policy solutions.

⁴³ <http://www.legislation.govt.nz/act/public/1993/0082/latest/DLM304475.html>

⁴⁴ <https://cdn.auckland.ac.nz/assets/creative/about/ourfaculty/School%20programmes%20and%20centres/Transforming%20Cities/Housing-Vulnerable-Groups.pdf> page 4

⁴⁵ <https://cdn.auckland.ac.nz/assets/creative/about/ourfaculty/School%20programmes%20and%20centres/Transforming%20Cities/Housing-Vulnerable-Groups.pdf> page 8

⁴⁶ Palacios MJ. 2016. Equality and diversity in democracy: how can we democratize inclusively? Equality diversity and inclusion. An International Journal. 35(5/6):350–363.

⁴⁷ The Diversity Bonus, by Scott Page in <https://publicengagement.umich.edu/exploring-the-intersection-of-public-engagement-and-diversity/>

6.4 Barriers to inclusive public engagement

The main barriers to inclusive public engagement are methodological, physical, attitudinal, financial/resource, cultural, gender, timing and consultation fatigue. Techniques and general principles to eliminate, or at least mitigate these barriers, if hard to reach and vulnerable groups are to be generally included in consultations, rather than just the ones that most directly affect these groups. The purposeful inclusion of vulnerable and other diverse people may mean that the planning and engagement processes take longer or cost more (or both). However, the extra effort and resource would help ensure inclusivity, and ensure policies are better suited to the wider population.

6.5 General principles for including more diverse voices

Exclusion may be unintentional, due to unawareness of the barriers that exclude vulnerable groups from public engagements, and because many of these hard to reach populations are invisible to mainstream society, including policy practitioners, agencies and Ministers.

To be inclusive and respectful of all people, including those who have been marginalised or omitted from public engagements, policy practitioners need to believe that the effort to include the views of these populations provides valuable and important information to the policy development process. It takes a sincere commitment to actively work to remove, or work around, the barriers of traditional engagement methods.

General advice from the literature regarding more inclusive engagement includes:

- It may be prudent to collaborate with individuals or groups who work with marginalised people and communities of difference to learn how to remove barriers and make public participation attractive and more accessible to these citizens.
- Hard-to-reach groups are not homogenous and a diversity of representatives may be needed to achieve the diverse voices needed in the process.
- Use a flexible, warm, friendly, non-judgemental approach acknowledging participant's personal experiences, concerns, issues and/or problems.
- Go where the people in the target audience are located.
- Verify accessibility to venues and equipment to avoid exclusion of individuals with mobility, hearing and visual needs.
- Make connections with and target communication toward individuals (e.g. well-known leaders in the target community), as well as community organisations (e.g., NGOs).
- Communicate consistently and frequently before, throughout and after the process, utilising multiple methods and formats, as appropriate; do not rely on public notices or general advertisements.
- Plan to have interpreters (spoken and signed).
- Child care may need to be provided.
- Refreshments may need to be religiously and culturally appropriate.
- Consider the use of visual aids, such as photographs, images, timelines or maps to overcome potential language and literacy barriers.
- Don't assume that everyone has internet access or social media familiarity.

- Be mindful of people's time commitments and other constraints such as transport, cost, child-caring responsibilities, disability, health problems, literacy, and language barriers. This is true for all communities but especially for engaging with marginalised, disadvantaged and homeless. Varying levels of literacy and numeracy in these populations require both written and verbal ways to provide feedback.
- Consider ways for homeless and disadvantaged people to participate at no cost to them (i.e. free telephone hotline, free access to internet to submit online survey and free transport to events if you are unable to go to them).
- Plan the engagement process to allow sufficient time to try different approaches to engagement as you may need to try several to find one that yields the insights and outputs needed from the target population(s), e.g., if small group meetings don't yield sufficient quality and quantity of outputs or contributions, you may need to try making personal visits to solicit engagement with community members one-on-one.
- Invest the time and resources to make all documentation and communication accessible in the language used and in an appropriate range of formats (phone calls, emails and face-to-face visits, videos, audio files, Easy English).
- Engaging with children and youth may require special permission (written parental consent).
- In order to be inclusive and respectful of people with a disability, you could connect with someone who works more specifically in this discipline. This may help to ensure appropriate planning and that you take into account some of the following considerations:
 - Often people who have a disability face other challenges that also marginalise them. Focusing solely on one aspect of their lives can further exclude them. Work with the 'whole person' and avoid assumptions about his or her level of ability.
 - Be mindful that some people with a disability may need more time to voice their opinions, or would value the opportunity to provide their input in other ways than publicly in a room full of people.
 - Consider whether you will need microphone (sound field) technology or a signing person (sign language interpreter) for people with a hearing impairment.
 - Arrange accessibility to any venue or activities within a venue that caters for people who use wheelchairs. Request space and seating information when making arrangements. Identify what some of these requirements may be within your chosen group. Universally asking if the person has any special requirements will be respectful at the point that your invitees RSVP.
 - Be aware of differing communication capacities and a need to include activities or opportunities to engage with people depending on their needs or preferences.
 - If you are planning to engage with a group of people with disabilities, you will need to deepen your thought and planning processes about what is appropriate for your engagement strategy. If your engagement process extends beyond an initial engagement and into a more formal partnership or relationship, these primary considerations will become second nature.

The above principles are not exhaustive. A checklist of inclusivity principles in the guidance developed to achieve Commitment 5 would aid policy practitioners in planning public engagements.

6.6 Diversity-related engagement guides and key groups

There are a number of engagement guides for specific populations in New Zealand published on agency and NGO websites. These guides (or links to the guidance), and key groups who may be engaged with are summarised in Table 10. Where no New Zealand guidance was found, relevant international guidance has been included.

Table 10: Publications on engaging with specific populations, and key NZ groups

Specific populations	Publications, key group websites and related information
Hard-to-reach groups and Individuals	<p>No NZ guidance but the following overseas guides exist:</p> <ul style="list-style-type: none"> • Engaging with hard-to-reach groups and individuals • from the BetterTogether Guidance • How to Engage with Ethnic Minorities and Hard to Reach Groups • The voices of people in hard-to-reach communities • Engaging hard-to-reach groups in health promotion: the views of older people and professionals from a qualitative study in England • Engaging with hard to reach Groups • 'Reaching the hard to reach' - lessons learned from the VCS (voluntary and community Sector). A qualitative study • Scrutiny Review of Engaging with 'Hard to Reach Communities' • A literature review of engaging hard to reach / hear groups
Disabled people	<p>The New Zealand Office for Disability Issues (ODI) is the focal point in government for disability issues. They are working towards a vision of New Zealand being a non-disabling society – a place where disabled people have an equal opportunity to achieve their goals and aspirations. They do not have a formal publication on engagement with people with disabilities, but reference the relevant elements of the United Nations Convention on the Rights of People with Disabilities (refer below).</p> <p>New Zealand Disability Strategy 2016 – 2026: is about how the New Zealand Government gives effect to the UN Convention. The strategy was developed through extensive consultation with disabled people. The priorities set out in the New Zealand Disability Strategy provide direction for government agencies through the voice and experiences of disabled people. Cabinet papers should identify relevant outcomes of the New Zealand Disability Strategy 2016-2026 and the goals in the policy area should be identified as consistent with the principles and approaches of the New Zealand Disability Strategy found on page 16-21:</p> <p>The United Nations Convention on the Rights of Persons with Disabilities was adopted on 13 December 2006 at the United Nations and acceded by New Zealand in 2008. New Zealand reports to the UN every four years about the progress we are making on implementing all the articles within the Convention.</p> <p>In regard to engagement Principle 3 of the Convention states:</p> <ol style="list-style-type: none"> 1. Ensuring disabled people are involved in decision-making that impacts them

Specific populations	Publications, key group websites and related information
	<p>2. We are experts in our own lives and making sure we are involved in decision-making on issues that impact us leads to better quality results.</p> <p>The Convention also has a specific obligation on this (Article 4.3): “In the development and implementation of legislation and policies to implement the present Convention, and in other decision-making processes concerning issues relating to persons with disabilities, States Parties shall closely consult with and actively involve persons with disabilities, including children with disabilities, through their representative organisations”.</p> <p>Disabled Persons Organisations (DPO) Coalition</p> <p>The Article 33 New Zealand Convention Coalition Monitoring Group (also called the “Convention Coalition”) is a group of 8 Disabled People’s Organisations.</p> <p>The members are:</p> <ul style="list-style-type: none"> • Association of Blind Citizens of New Zealand Incorporated • Balance NZ • Deaf Aotearoa New Zealand Incorporated • Deafblind (NZ) Incorporated • Disabled Persons Assembly (New Zealand) Inc • Ngā Hau e Whā • Ngāti Kāpo o Aotearoa Incorporated • People First New Zealand Incorporated —Nga Tangata Tuatahi. <p>Disabled Persons Assembly NZ: Monitors, educates and lobbies on legislation, regulations and codes of practice so disabled people can gain equality of access, effective participation, and economic independence.</p> <p>New Zealand Disability Support Network (NZDSN): NGO network of NFPs and for-profit NGOs that provide support services to disabled people</p> <p>Disability organisation and websites lists</p> <p>Ministry of Health. 2017. <i>A Guide to Community Engagement with People with Disabilities</i> (2nd ed). Wellington: Ministry of Health.</p>
Maori	<p>Crown engagement with Maori framework : produced in 2018 by the Te Arawhiti, The Maori Crown Relations Office. As described in Section 5, the approach is based on a customised version of the IAP2 Spectrum of Public Participation.</p>
Women	<p>The Ministry for Women is the government’s principal adviser on achieving better results for women. The Ministry has three strategic outcomes:</p> <ul style="list-style-type: none"> • ensuring the contribution of women and girls is valued • ensuring all women and girls are financially secure and can fully participate and thrive • ensuring all women and girls are free from all forms of violence and harassment. <p>The Ministry does not publish any advice or guidance on engaging with women.</p>
Children and Youth	<p>Office of the Children’s Commissioner (OCC) provides assistance to government agencies wishing to engage with children. It’s resources page provides access to the following:</p> <ul style="list-style-type: none"> • Planning Guide for engaging with children • Tips on maximising participation

Specific populations	Publications, key group websites and related information
	<ul style="list-style-type: none"> • Consent and ethics Guide • Methods of Engagement. • Before you Engage Checklist • A planning guide for engagement with children. <p>http://www.occ.org.nz/listening2kids/resources/#disabled</p> <p>Stakeholder views on factors influencing the wellbeing and health sector engagement of young Asian New Zealanders, Peiris-John, R., Journal of primary health care, Mar 2016; v.8 n.1:p.35-43 1172-6156.</p> <p>Focuses on health and wellbeing of Asian youth and processes that would foster engagement of Asian youth in health research. Discusses six broad themes framed as priority areas that need further exploration : cultural identity, integration and acculturation; barriers to help-seeking; aspects to consider when engaging Asian youth in research (youth voice, empowerment and participatory approach to research); parental influence and involvement in health research; confidentiality and anonymity; and capacity building and informing policy.</p>
Seniors	<p>No New Zealand engagement guidance exists specifically for the homeless.</p> <p>Key organisations in the sector are:</p> <p>The Office for Seniors (MSD)</p> <p>Grey Power (lobby group)</p> <p>Age Concern NZ. (services and lobbying)</p>
Homeless	<p>No New Zealand engagement guidance exists specifically for the homeless.</p> <p>Key groups in the sector are:</p> <p>Gimme Shelter: advocacy group for homelessness in NZ</p> <p>The People's Project: has representatives from NGOs, DHBs, local and central government.</p> <p>New Zealand Coalition to End Homelessness: one of their objects is to deliver robust policy advice to the sector, central and local government and ensure accurate and regionally diverse information is available to decision makers and service providers. Provides facts and myths about homelessness.</p>
LGBTIQA+	<p>Auckland Council Rainbow Communities Advisory Panel community engagement project.</p> <p>Trans Community Statement of Need GIRES.</p> <p>Mentions consultation fatigue in the community.</p>
Prisoners and recently incarcerated	<p>No New Zealand guidance for engaging prisoners and the recently incarcerated exists:</p> <p>Relevant overseas literature is:</p> <p>A Legacy of Exclusion: How Felon Disenfranchisement Affects Patterns of Civic Engagement in Ex-Felony Offenders, by McCahon, David Scott. University of California, 2015.</p>

Specific populations	Publications, key group websites and related information
	<p>Existing scholarship has recognized criminal convictions and subsequent incarceration, as factors that explain the dismal levels of voter turnout demonstrated by ex-criminal offenders.</p> <p>Mass Incarceration and Racial Inequality. Pettit, Becky; Gutierrez, Carmen. American Journal of Economics & Sociology. May-Sep2018, Vol. 77 Issue 3/4, p1153-1182. 30p. 2 Charts, 1 Graph.</p> <p>Patterns of incarceration and felony convictions have devastating effects on the level of voting, political engagement, and overall trust in the legal system within communities.</p>
Ethnic communities	<p>Office of Ethnic Affairs: purpose is to ensure ethnic communities are strong and connected and the benefits of ethnic diversity for New Zealand are realised</p> <p>Mandated communities include migrants, refugees, long-term settlers, and those born in New Zealand who identify their ethnicity as African; Asian; Continental European; Latin American and Middle Eastern</p> <p>Community Engagement Team engages with ethnic communities to identify their perspectives on government activity and/or facilitate government consultation; with government agencies, to provide grounded community intelligence on policy and service development; and with other key stakeholders such as local government and business groups. This team safeguards and exhibits the Offices Intention that “community engagement is at the heart of the Office of Ethnic Communities”.</p>

6.7 Distinguishing between public participation and inclusion policy objectives

Quick and Feldman⁴⁸ based their research⁴⁹ on this topic around the following three key questions:

1. Are the processes, i.e. design and conduct, for engaging marginalised groups inclusive?
2. What are the impacts of inclusion of marginalised groups for policy and programmes?
3. What are the implications for broader questions of democracy and social justice for marginalised communities of difference?

They concluded that the policy objectives of participation and the political goals of inclusion were separate and not equivalent. Whereas public participation involves the contribution of the public into the content of existing programmes and policies, genuine inclusion constitutes “creating a community involved in co-producing processes, policies, and programs for defining and addressing public issues.”⁵⁰ That definition implies that genuine inclusion only occurs when marginalised groups are engaged with at the Collaborate level or above on the IAP2 Spectrum of Public Participation.

⁴⁸ Quick KS, Feldman MS. 2011. Distinguishing participation and inclusion. Journal of Planning Education and Research. 31(3):272–290.

⁴⁹ <https://www.tandfonline.com/doi/full/10.1080/1177083X.2018.1488750>

⁵⁰ Quick KS, Feldman MS. 2011. Distinguishing participation and inclusion. Journal of Planning Education and Research. 31(3):272–290.

6.8 Conclusions regarding diversity and inclusion

Section 6 examined the literature on diversity and inclusion in public engagement. This revealed some common barriers to inclusive public engagement, and some general principles for including diverse voices. At least 13 New Zealand government agencies publish public engagement guidance (see Table 6.5) and there are more New Zealand and international publications in the Bibliography. These resources focus on public engagement with diverse groups and individuals, and how to make public engagement more inclusive. These can be drawn on in developing the Commitment 5 guidance.

7. Conclusions: learnings from international & domestic literature

The ambition for Commitment 5 in the OGP NAP for 2018-2020 is that it results in more and better public participation in government decision-making. The guidance to be developed to fulfil the commitment is intended to support better decision-making and practice by policy-makers regarding public engagement in the policy development process.

This literature review was undertaken to identify what we could learn from the international and domestic literature that would help in developing specific elements of the guidance: a decision tool for choosing the level of engagement on the IAP2 Spectrum of Public Participation; and advice on the characteristics and enablers of effective public participation at whichever point on the Spectrum was chosen, including advice on ensuring that the engagement approaches selected appropriately include and reflect the diversity of those interested in and affected by the policies.

We found that while the academic literature on public engagement is relatively scarce, the practitioner literature is extensive. Practitioners have recorded the many variables that need to be considered in designing, planning and undertaking public engagement, and the lessons learned – and provided case studies that illustrate application and results. Practitioners have also published resources in the forms of checklists, key questions, decision trees, tools, frameworks and mini-case studies.

Evident in the literature is a prevalent value stance underlying discussion of public participation in policy development: which is that those who are impacted by policies ought to be included in the process to decide the policies. The IAP2 make this explicit in their statement of Core Values. A corollary to this is that increasing public engagement input into policy development should improve the policy implementation outcomes based on the assumption that the policies will be better informed. Although it is said that the “Practice of public participation evaluation is still in its infancy”⁵¹, studies report “increased levels of interest and knowledge of public issues; improved capacity for future public involvement; increased propensity for social bond formation; and improved trust of fellow citizens.”⁵² A strong association (not causation) is found for “broad acceptance of the decision outcomes and ‘processes in which agencies are responsive, participants are motivated, the quality of deliberation is high, and the participants have at least a moderate degree of control over the process’.”⁵³

Our review of the international and domestic literature on public participation revealed information of considerable value to the design of the Commitment 5 guidance in five specific areas – as follows:

1. Decision tool for selecting the appropriate level of engagement on the IAP2 Spectrum of Public Participation: in section 2 we identified four alternative approaches for structuring a New Zealand decision tool – and concluded that the Design stage of the IAP2.

⁵¹ Rowe and Frewer 2004, p 37

⁵² Assessing the Impacts of Public Participation: Concepts, Evidence and Policy Implications by Abelson and Gauvin (2008) Research Report, page 37
http://www.ipea.gov.br/participacao/images/pdfs/abelson%20and%20gauvin_assessing%20pp%20impacts_2006.pdf

⁵³

http://www.ipea.gov.br/participacao/images/pdfs/abelson%20and%20gauvin_assessing%20pp%20impacts_2006.pdf, page 24

Australasia's 'Design/Plan/Manage Model is a clear front-runner as the base for the decision tool in the Commitment 5 guidance.

2. Methods for selecting the specific engagement method to adopt, relevant to the chosen IAP2 Spectrum level: in Section 3 we found hundreds of potential methods of public engagement exist, and we identified four existing tools for helping to select the most appropriate engagement method – which the Commitment 5 guidance could either reference, or draw on to create its own taxonomy of methods by level of engagement.
3. Other best practice guidance at whichever level on the IAP2 spectrum is chosen: our synthesis of the literature on this in Section 4 identified eleven best practice learnings, and the extensive bibliography provides access to information about those and other learnings that can be drawn on in developing this element of the guidance.
4. Engagement with Maori: section 5 outlines the Te Arawhiti Framework for Crown Engagement with Maori, and concluded that the Commitment 5 guidance should point to it as best practice, rather than attempt to repeat the extensive work recently undertaken by Te Arawhiti.
5. Ensuring diversity and inclusion in public engagement: in Section 6 of the literature review we identified the main barriers to inclusive public engagement, and identified inclusivity principles that can be drawn on in the guidance, as well as identifying some existing New Zealand guidance on this subject, and groups with an interest in this subject. All can be drawn on in the good practice section of the guidance.

The challenge for the next phase of work is to draw on these learnings to produce and disseminate guidance to fulfill Commitment 5 that really will help policy-makers do two things. The first is to help them recognise the value of public participation and make appropriate decisions about what level of engagement to adopt at the design phase of policy development. And the second is to help them make and implement informed choices regarding who to engage with, when, about what, at which stages in the policy development process, and how – so that the value of engagement is realized.

Finally, the literature warns that guidance alone may not be sufficient to significantly change policy-maker behavior – so the Commitment 5 project also needs to be alert to other enablers that could, coupled with guidance, help achieve the value that public participation in policy development can add – both to the outcomes of a specific policy initiative, and to confidence and trust in government.

Appendix 1: The Canadian Institute of Health Research (CIHR) Citizen Engagement Decision Tree Model⁵⁴

The CIHR's Citizen Engagement Handbook⁵⁵ puts forward a 'decision tree model' comprised of three sections or stages, resulting in selection of a public engagement approach. The details of the rather complex model are described below.

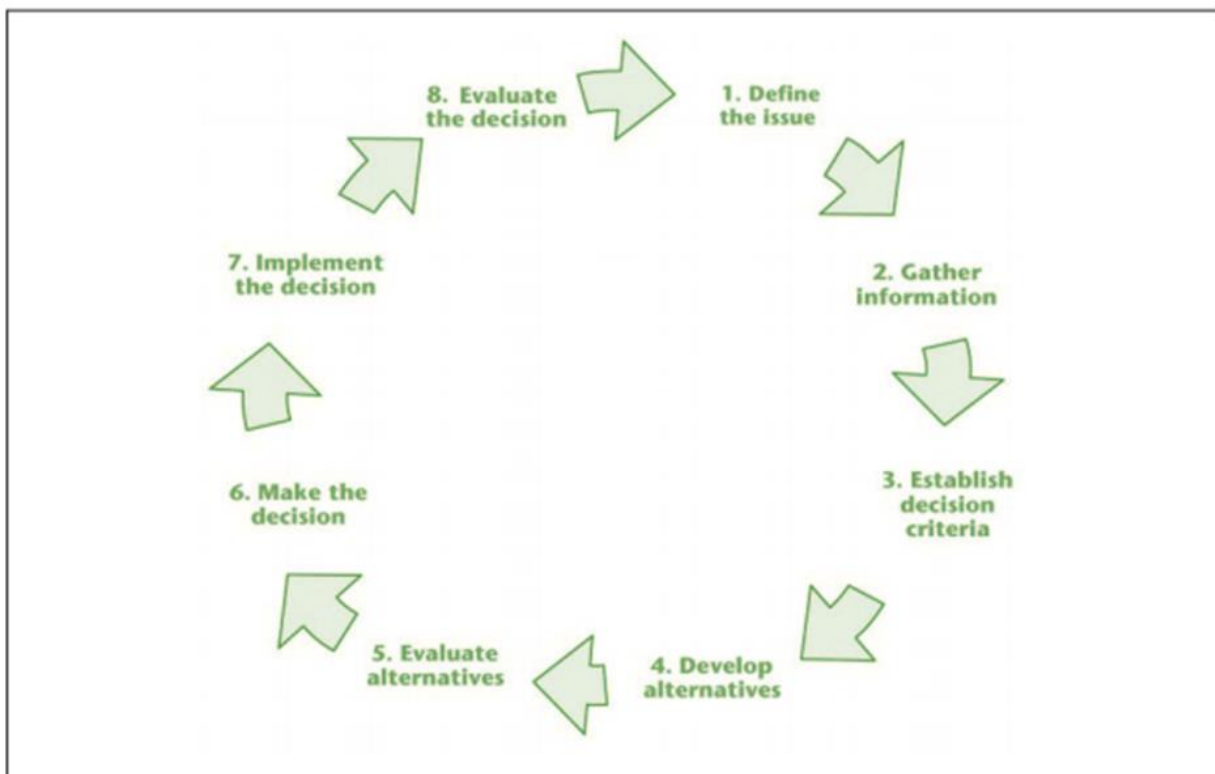
CIHR Key Questions – Decision Tree Stage 1

The CIHR Decision Tree model starts with five key questions (stage 1) about the public's potential involvement in the process: The first two questions are:

1. **Why** should citizens be involved in this initiative? (Reasons for Citizen Engagement)
2. **When** is citizen input needed? (Input in Decision Lifecycle)

This model recognises that citizen engagement can be included at one or many of the eight stages of the decision-making life-cycle – as outlined in Figure 14 below.

Figure 14: The Decision-Making Lifecycle⁵⁶



For example, during the development of a policy or guideline, there may be a need for citizen input to define the issue, to make a decision, and/or to evaluate the decision. The potential

⁵⁴ http://www.cihr-irsc.gc.ca/e/documents/ce_handbook_e.pdf, page 11.

⁵⁵ For more information about the CIHRs decision tree model refer to http://www.cihr-irsc.gc.ca/e/documents/ce_CHhandbook_e.pdf.

⁵⁶ http://www.cihr-irsc.gc.ca/e/documents/ce_handbook_e.pdf, page 15.

exists to engage citizens at any stage of the decision-making lifecycle, and there may be matters that call for citizen input at every stage.

The CIHR Handbook identifies the many different reasons for including citizens at each of the eight stages in the decision-making lifecycle – as summarised in Table 11.

Table 11: Reasons for including citizens in the decision-making lifecycle⁵⁷

Decision-Making Stage	Citizens can be engaged to...
1. Define the issue	<ul style="list-style-type: none"> • Recognize the problem/identify risk • Analyze the context • Begin to characterize the issue • Agree on an issue statement
2. Gather information	<ul style="list-style-type: none"> • Provide data (qualitative or quantitative, including personal stories, ideas, survey results, formal responses)
3. Establish decision criteria	<ul style="list-style-type: none"> • Clarify values and goals • Clarify the normative, moral commitments • Describe the desired results • Develop indicators
4. Develop alternatives	<ul style="list-style-type: none"> • Focus on goals • Develop a range of alternatives • Think broadly and outside of established norms
5. Evaluate alternatives	<ul style="list-style-type: none"> • Analyze options • Use tools to evaluate alternatives • Understand potential impacts and tradeoffs • Recommend preferred options
6. Make the decision	<ul style="list-style-type: none"> • Make a decision or decide on options • Communicate the decision (within a community, etc.)
7. Implement the decision	<ul style="list-style-type: none"> • Understand success factors • Assess (community) capacity to implement the decision • Assign roles and responsibilities • Develop an evaluation framework, criteria, and indicators
8. Evaluate the decision	<ul style="list-style-type: none"> • Collect data • Evaluate against objectives, identified indicators, and shared learning • Recommend any changes required

After the key questions of why and when about citizen engagement are answered, then in the CIHR decision-tool model the third question to ask is:

3. Who should be involved? (Target Audiences)

The CIHR Handbook uses a Citizen Engagement Typology to help practitioners answer question 3. This Typology categorises those involved, affected, interested or able to influence the decision into four broad groups:

- *Affected individuals (personal)* – those citizens who are directly affected by a decision, but are not affiliated with an organised group;
- *Individuals from the general public (personal)* – those people who are personally interested and wish to contribute;

⁵⁷ http://www.cihr-irsc.gc.ca/e/documents/ce_handbook_e.pdf, page 16.

- *Primary groups (organised)* – groups that represent citizens who are directly affected by a decision; and
- *Secondary Groups (organized)* – groups that have potential to reach both primary groups and individuals.

To assist practitioners to identify who will fall into these four target audiences, the CIHR also suggests they seek answers to the following questions:

- *Who will be affected by the issue?*
- *Who may be potentially affected in the future?*
- *Who can contribute to a solution that will meet the needs of the widest range of stakeholders and public audiences?*
- *Who will insist on being involved and cannot be left out?*
- *Should other agencies or local governments be involved?*
- *Should Ministers be involved?*
- *Which segments of the public should be involved? (e.g.: individuals; consumers; environmental, health, criminal justice or consumer organizations; specific demographic groups, such as youth or older adults; marginalized, hard-to-reach populations; industry associations and individual industries; scientific, professional, educational; and/or voluntary associations; official-language minority communities; or local communities).*

Having identified who should be engaged with (target audiences), the fourth question in the CIHR decision tool is:

4. What type of contribution is needed from citizens? (Contributions of Citizens)

This question asks about the types of contributions that are needed from citizens at the consult, involve and collaborate levels of engagement – whether the contribution sought is to:

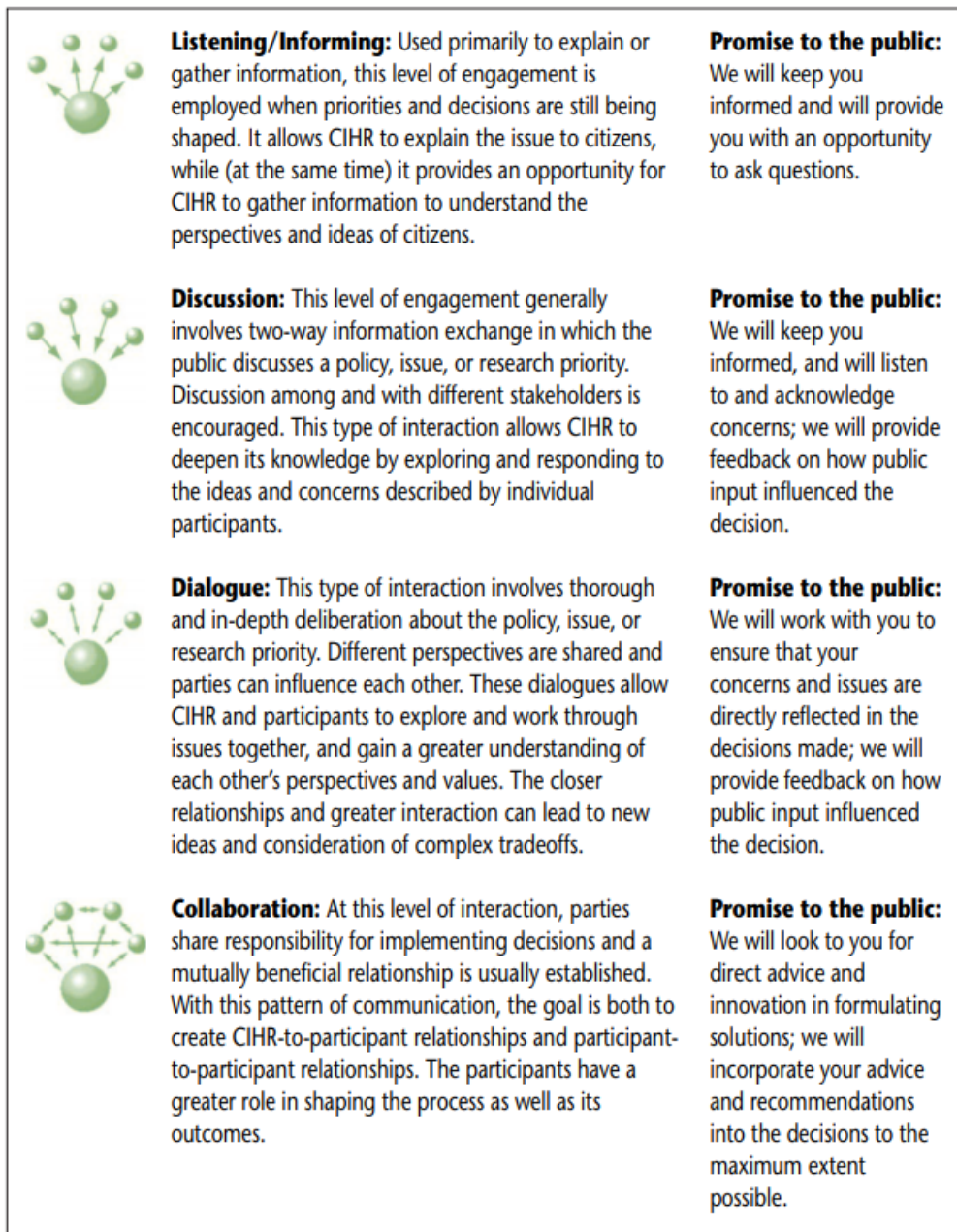
- *Explore ideas*—stakeholders bring new ideas and perspectives to allow the agency to consider diverse viewpoints in the decision-making process.
- *Validate ideas*—stakeholders and agency examine proposed directions or issues in order to assess their applicability and fit with their experiences and “on-the ground” reality.
- *Innovate and suggest ideas*—the agency gathers new and innovative ideas, approaches, or solutions from a broad range of stakeholders’ perspectives (with a strong focus on practicality and shared problems or challenges).
- *Reconcile ideas and values*—the agency engages with stakeholders in a discussion to reconcile or prioritize competing ideas or values (with an emphasis on weighing the advantages, disadvantages, preferences, and trade-offs to select the best aspects of alternative approaches).

Once the type of contribution needed from citizens is identified, the fifth question a practitioner should ask, according to the CICHR decision tool, is:

5. How will we interact with citizens to achieve our objectives? (Types of Interaction)

This final key question in the decision tree is about selecting the level of engagement from the Continuum of Engagement (see Figure 15 below).

Figure 15: CIHR Continuum of Engagement



According to the CIHR decision tool, choosing ‘how’ to engage (which level on the Continuum) requires an assessment of the complexity of the issue. The level of engagement increases with the complexity and scope of the project, and the level of public interest, conflict, or controversy in or about it.

Reflecting the popular advice, the CIHR Handbook suggests, “the greater the potential impact on interested parties, the higher the level of involvement required”. Together, these criteria are very similar to those outlined earlier in the BetterTogether Engagement Level Selection Tool (see [section 2.2](#) above).

The CIHR Handbook also asks: ‘What commitments have been made about the level of influence that citizens will have on decision-making (or what impact will the engagement have

on the decision)?’ This question may be critically important for Ministers and agencies that have been quoted in the media about their intentions about a particular issue. However, asking the decision tree model user to determine the level of engagement on the Continuum of Citizen Engagement that the user *wants* to adopt in interacting with citizens defeats our aim of developing a more objective tool which uses defensible criteria, not subjective preferences, for selecting the level of public engagement.

Nevertheless, it is worth reviewing the remainder of the CIHR Decision Tree Model as the second stage of matching the selected point of engagement (‘how’) to the previous four key questions (why, when, who, and what) in the CE Approaches Matrix is not found elsewhere in the literature, and may be valuable input into the development of the Commitment 5 tool and guidance.

In the CIHR decision tree model, the answers to the five key questions outlined above are recorded in a Key Strategic Design Questions Checklist – shown in Figure 14 on the following page.

Citizen Engagement Approaches Matrix (How to Engage)

Within the CIHR Handbook, the Citizen Engagement Approaches Matrix offers three tables to suggest approaches (methods) of public engagement that are appropriate to use in each of the first three levels on the Continuum of Engagement (i.e., Listening, Discussion and Dialogue).

There is no table in the Matrix for Collaboration as they define Collaboration to mean “citizens participate in the analysis of issues, contribute to the development of alternatives, and influence recommendations, decisions, and outcomes directly”⁵⁸. They suggest there are only two main approaches for collaboration: 1) advisory groups, and 2) task forces. These methods to engage are described fully in the literature (see [Section 3: Methods of Engagement](#)).

If the user selects one of the other three levels on the Continuum (Listening, Discussion, Dialogue), they are directed to the corresponding Citizen Engagement Approaches Matrix table for that engagement type (e.g., Listening/Informing, Discussion, etc.). The user uses a highlighter to overlay their answers to the first four questions from the Key Strategic Design Checklist (Figure 16 below) onto the relevant Matrix (see Table 12 on the following pages).

⁵⁸ http://www.cihr-irsc.gc.ca/e/documents/ce_handbook_e.pdf , page 26.

Figure 16: Key Strategic Design Questions Checklist

1. Reasons for CE	Check ✓	3. Target Audiences	Check ✓
understand values		affected individuals	
hear diverse perspectives		individuals from general public	
experiential check in		primary groups	
access untapped knowledge		secondary groups	
risk management			
evaluation			
prioritization			
public demand			
historical injustices			
2. Input in Decision Lifecycle		4. Contributions of Citizens	
define the issue		explore ideas	
gather information		validate ideas	
establish decision criteria		suggest ideas	
develop alternatives		reconcile ideas and values	
evaluate alternatives			
make decision			
implement decision			
evaluate decision			
		5. Type of Interaction	
		listening	
		discussion	
		dialogue	
		collaboration	

To use this checklist, simply go through all the CE Decision Questions and check (✓) the appropriate box that matches your answer(s). For example, if one of your reasons for engaging citizens is to address historical injustices, check the appropriate box to indicate your choice. Check all the relevant boxes.

Once you have completed the checklist, you will be able to map your answers onto the CE Approaches Matrix (Section 2.3).

Table 12: Citizen Engagement Approaches Matrix for Listening/Informing, Discussion and Dialogue levels on Citizen Engagement Continuum

Approaches for Listening/Informing

Why?	Reasons for engagement	Discussion papers with comments	Key informant interviews	Focus groups	Surveys	Public hearings
	Understand values	✓	✓			
	Hear diverse perspectives	✓	✓			
	Experiential check in	✓	✓			
	Access untapped knowledge					
	Risk management	✓				
	Evaluation	✓			✓	
	Prioritization (strategic)	✓	✓	✓	✓	
	Public demand					✓
	Historical injustices		✓	✓	✓	
When?	Decision-making stage					
	Defining the issue		✓	✓		
	Gathering information		✓	✓	✓	✓
	Establishing decision criteria		✓			
	Developing alternatives		✓	✓		
	Evaluating alternatives	✓		✓	✓	✓
	Making the decision					
	Implementing the decision		✓			✓
	Evaluating the decision	✓		✓	✓	✓
Who?	Identify target audience					
	Primary groups	✓	✓			
	Secondary groups				✓	✓
	Affected individuals		✓			✓
	General public			✓	✓	✓
What?	Type of contribution					
	Explore ideas	✓	✓	✓		✓
	Validate ideas	✓	✓	✓	✓	
	Suggest ideas		✓	✓		✓
	Reconcile ideas and values					

Approaches for Discussion

Why?	Reasons for engagement	Bilaterals	Expert panels	Townhalls (meetings)	Consultation workbooks
	Understand values		✓		
	Hear diverse perspectives		✓		
	Experiential check in		✓		
	Access untapped knowledge		✓		
	Risk management	✓			
	Evaluation		✓		
	Prioritization	✓	✓		
	Public demand	✓		✓	✓
	Historical injustices	✓			
When?	Decision-making stage				
	Defining the issue				
	Gathering information			✓	✓
	Establishing decision criteria	✓	✓		
	Developing alternatives		✓	✓	
	Evaluating alternatives	✓	✓		✓
	Making the decision				
	Implementing the decision	✓		✓	
	Evaluating the decision		✓		✓
Who?	Identify target audience				
	Primary groups	✓	✓		
	Secondary groups	✓			✓
	Affected individuals			✓	✓
	General public				✓
What?	Type of contribution				
	Explore ideas	✓	✓	✓	✓
	Validate ideas	✓	✓	✓	
	Suggest ideas	✓	✓	✓	✓
	Reconcile ideas and values		✓		

Approaches for Dialogue

Why?	Reasons for engagement	Round tables	Open space technology	World cafes	Study circles	Deliberative dialogues	Deliberative polls	Online discussion boards	Charrettes	Citizen juries	Consensus conferences
	Understand values			✓	✓	✓	✓			✓	✓
	Hear diverse perspectives			✓	✓	✓				✓	✓
	Experiential check in			✓	✓	✓				✓	✓
	Access untapped knowledge			✓	✓	✓	✓			✓	✓
	Risk management		✓						✓	✓	
	Evaluation	✓			✓			✓			✓
	Prioritization		✓	✓		✓		✓		✓	✓
	Public demand		✓			✓			✓		
	Historical injustices	✓	✓		✓			✓	✓	✓	
When?	Decision-making stage										
	Defining the issue		✓		✓						
	Gathering information	✓	✓		✓			✓			✓
	Establishing decision criteria	✓		✓				✓			✓
	Developing alternatives	✓		✓		✓	✓	✓	✓	✓	✓
	Evaluating alternatives			✓		✓	✓		✓	✓	✓
	Making the decision	✓				✓	✓		✓		✓
	Implementing the decision	✓									
	Evaluating the decision										
Who?	Identify target audience										
	Primary groups	✓		✓	✓				✓		✓
	Secondary groups		✓	✓	✓						✓
	Affected individuals			✓	✓	✓	✓		✓		✓
	General public			✓	✓	✓	✓	✓		✓	
What?	Type of contribution										
	Explore ideas		✓	✓	✓	✓		✓	✓		✓
	Validate ideas		✓				✓	✓			✓
	Suggest ideas	✓	✓	✓	✓	✓		✓	✓		✓
	Reconcile ideas and values	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

As an example of how a practitioner would use the Citizen Engagement Approaches Matrix: in regard to Approaches for Listening/Informing –if the reasons for engaging (**why**) are ‘to understand values and to address historical injustices’, if you are at the ‘gathering information’ stage of decision-making (**when**), and if you are wanting to engage ‘affected individuals and primary groups’ (**who**), to ‘validate ideas already discussed’ (**why**), then the first sub-table in Table 12 above reveals that **Key Informant Interviews** is the best engagement method to adopt, as all the ticked answers from Stage 1 in the decision tool align with this activity (method)

column. A 'discussion paper' that stakeholder groups could comment on would also align with most of the responses to the key questions within the decision tool.

If the answers from the Key Strategic Design Checklist do not line up completely with a single citizen engagement approach/method, then the CIHR Handbook advises practitioners to choose the approach/method that matches most of the criteria. If the answers from the first four questions in the Key Strategic Design Checklist correspond to a blank row on the Approaches Matrix, this indicates that achieving the engagement objective requires a different level of public involvement (e.g., the first sub-table in Table 10 shows that the 'Listening' level of engagement is not consistent with the 'Access untapped knowledge' reason for engaging, the 'Making the decision' stage in the decision life-cycle or the 'Reconcile ideas and values' type of contribution from citizens).

Utility of CIHR Decision Tree Model

The CIHR Decision Tree Model offers one more criteria than the 'BetterTogether' Engagement Level Selection Tool (namely keeping past promises) for input into development of an engagement level selection decision tool. In addition, the Key Questions and the conceptual approach to answering some of them could be valuable input into designing New Zealand's decision tool for selecting the appropriate engagement level on the IAP2 Spectrum of Public Participation. In particular the 'Reasons for including citizens in the decision making process' (Table 10), and the response to Question 4 'What type of contribution is needed from citizens?' merit further consideration.

The CIHR Decision Tree is, however, a relatively convoluted means of selecting the engagement method (approach) once the level of engagement decision is made. It would be more straight forward to select the level of engagement (in the tool), then select the engagement method(s), perhaps from a matrix or using one of the tools covered in the Approaches/Methods [section 3](#) of this review.

Appendix 2: Health Canada Policy Toolkit Criteria indicating the appropriate level of influence is Consult, Involve, Collaborate and Empower

As discussed in [Section 2.4](#), part of the Health Canada Policy Toolkit identifies ‘criteria’ for selecting the appropriate level of influence on their Spectrum of Public Engagement and Influence. The set of criteria for the lowest level of engagement and influence on the Spectrum – Inform – were included in [Table 4](#) in Section 2.4. Tables 13 to 16 below provide the ‘criteria’ for choosing the Consult, Involve, Collaborate and Empower levels of the Spectrum. The added shading distinguishes what are genuinely criteria for choosing a level, from descriptions of what a level involves.

Table 13: Criteria indicating the appropriate level of influence is Consult

Consult: When Do We Gather Information/Views?
Puts forward options or a proposal with a request for community feedback.
Listens to the community of interest’s feedback to the proposal, to carefully consider the feedback, then makes a decision(s,) and explains to the participants how the feedback was taken into account in the decision-making.
The purpose is primarily to listen and gather information.
Policy decisions are still being shaped and discretion is required.
There may not be a firm commitment to do anything with the views collected. This must be advised to participants from the outset of this intention in order to manage expectations and not damage trust to participate in further engagements.

Table 14: Criteria indicating the appropriate level of influence is Involve

Involve: When Do We Discuss or Involve?
Agency invites input and ideas from the community to help develop options and/or potential solutions.
Agency needs two-way information exchange.
Individuals and groups have an interest in the issue and will likely be affected by the outcome.
There is an opportunity for stakeholders to influence the outcome.
The agency wishes to encourage discussion among and with stakeholders to educate them about the complexities and consider their ideas at any or all stages of the policy development process.
Stakeholder input may shape policy directions/program delivery.
The community is part of developing solutions, not merely commenting about plans or solutions proposed by the sponsor organisation.
For significant policy questions, consultations may be appropriate during as many as three stages of the policy development process: on the issue analysis (definition of problem or issue), on the alternative solutions generated, and on the ranking and selecting of the solutions.
The agency will make the decision(s), but they promise that the decisions will be informed by the community’s ideas and input.
The community participates earlier in the process than for the Consult level.

Table 15: Criteria indicating the appropriate level of influence is Collaborate

Collaborate: When Do We Engage?
A significant participation increase over Involve as it is collaborating and co-production (co-creating) with stakeholders.
A range of stakeholders/community members work together with the agency to co-define the scope of the decision to be made, to co-develop options, and to co-assess those options against agreed criteria in an attempt to arrive at consensus.
More time consuming and expensive than lower levels, however, it is the shortest route to an implementable solution for highly complex/controversial decisions.
There is opportunity for shared agenda setting and more flexible or lengthier time frames for deliberation on issues.
The human rights principles of participation, accountability, non-discrimination and empowerment align closely with the aims of coproduction and the process of collaboration.
There is a capacity for citizens to shape policy and program decisions that affect them.
Options generated together will be respected.
Agency needs citizens to talk to each other regarding complex, value-laden issues.
The agency(s) works through the issue, decision, or plan, with a diverse range of stakeholders. They are all working together, whereas at the Empower point, the organisation(s) delegate decisions to external stakeholders.
The strongest level of engagement is needed – more than Empower ⁵⁹ .
If multiple agencies co-sponsor the process, then collaboration with coproduction is the only appropriate point of engagement.

Table 16: Criteria indicating the appropriate level of influence is .Empower

Empower: When Do We Delegate?
The agency is less involved in the process than other levels as it is reduced to facilitating, a less active role than any of the other four points on the Spectrum.
Agency delegates decision-making.
Agency promises to do whatever the 'community of interest' decides.
Agency empowers citizens and groups to manage the process.
Citizens and groups have accepted the challenge of developing solutions themselves.
Agency assumes the role of enabler.
There is an agreement to implement solutions generated by citizens and groups.
Agency seeks to develop policies and programs in equal partnership with the public.

⁵⁹ According to the authors of the Policy Toolkit the 'Collaborate' level of public engagement is stronger than 'Empower' because 'Collaborate' requires both/all parties to agree whereas 'Empower' is like 'Involve' and below in that only one party decides.

Crown engagement with Māori

Engage early • Be inclusive • Think broadly

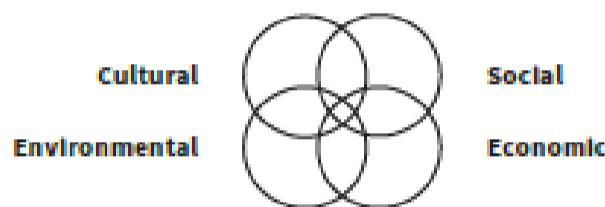
Ko te wairua tika, te ngakau pono, me te mana orita, te tūāpapa e te hononga e te Karauna me te Māori. Engagement with Māori is a key component of realising Māori Crown partnerships. Effective engagement is based on developing effective and ongoing relationships with Māori. Relationships are based on trust, integrity, respect and equality.

Ka whakaatu i ngā tikanga me ngā whakaaro Māori ki roto i ngā mahi a te Karauna me ngā tari Kawanatanga. An effective, efficient and inclusive engagement process should reflect Māori perspectives and cultural values.

This engagement framework will assist you to determine who you need to engage with and how you engage. Engaging effectively with Māori contributes to the development of effective policy options, assists agencies in providing robust advice to Ministers and most importantly helps deliver improved outcomes. Throughout your engagement process you should be guided by the following key principles: Engage early, Be Inclusive, Think broadly.

1. What is the kaupapa?

Understanding the full scope of the Issue you are preparing to engage on will prepare you for determining the impact on Māori and your target audience. It's important to keep in mind that issues can sit across a range of sectors and there may be related or overlapping issues that extend your range of interested stakeholders and require inter-agency collaboration. You may need to talk with Māori to fully understand the scope of your Issue, so having ongoing relationships with key Māori stakeholders is useful.



2. Who to engage with.

Defining the Issue and Impact on Māori will enable you to determine who has a potential interest in the Issue and what level of input they should have in discussions. Be inclusive and think broadly. Engagement may be required at different levels across the local, regional and national spectrum.

- 
Local
 The Issue affects Māori in a local area.
e.g. Individuals, Whānau, Hapū and Iwi

- 
Regional
 The Issue affects Māori in a particular area.
e.g. Iwi organisations, Collectives, Organisations with a particular purpose

- 
National
 The Issue affects all Māori in Aotearoa.
e.g. National organisations dedicated to Social, Economic, Environmental, Cultural Issues, or interested in all Issues related to Māori


Te Kāhui Māngai is one of many useful resources available to assist you to establish a list of contacts to facilitate the involvement of those affected. Te Kāhui Māngai also provides a glossary of Māori groups and their purposes for reference.

It is important that you determine what existing relationships might exist within your own agency with relevant Māori as there may be existing forum for other discussions occurring that you can join up with. It's also very important that agencies consult with each other to avoid creating overlapping processes.

5. How to proceed.

Once you have undertaken an impact assessment and determined who to engage with, ensure the following steps are included in your planning and implementation process. The associated guidelines also provide guidance for developing an effective engagement strategy.

Before engagement

- Draft engagement strategy**
 The Engagement Guidelines provide advice for developing an engagement strategy.
-  **Review engagement strategy**
 Seek feedback from other agencies who have an interest in the Issue. The Māori Crown Relations Unit will review a finalised draft of your engagement strategy to ensure the principles of effective engagement have been applied and the process is broad and inclusive.

3. How to engage.

Considering the significance of the Issue for Māori and how they will be affected, either now or in the future, is fundamental for determining how you should engage so it is important that this is all-encompassing. Engagement may be required at different levels for different stakeholder groups.

Minor ▶ Māori interests are limited or not affected in any special way.	Inform The Crown will keep Māori informed about what is happening. Māori will be provided with balanced and objective information to assist them to understand the problem, alternatives, opportunities and/or solutions.
Moderate ▶ Māori interests exist or are affected but wider interests take priority.	Consult The Crown will seek Māori feedback on drafts and proposals. The Crown will ultimately decide. The Crown will keep Māori informed, listen and acknowledge concerns and aspirations, and provide feedback on how their input influenced the decision.
Specific Māori interests are affected.	Collaborate The Crown and Māori will work together to determine the issues/problems and develop solutions together that are reflected in proposals. The Crown will involve Māori in the decision-making process but the Crown will ultimately decide.
Significant ▶ Māori interests are significantly affected.	Partner/Co-design The Crown and Māori will partner to determine the issue/problem, to design the process and develop solutions. The Crown and Māori will make joint decisions.
Māori interests are central and other interests limited.	Empower Māori will decide. The Crown will implement the decision made by Māori.

4. When should you engage?

Early engagement is a key principle for effective engagement. Early engagement can help clarify issues, support communications with your target audience and ensure that Māori are informed to participate. It is important to remember that engagement doesn't have to be a one-off process, it can be ongoing and occur at various stages of the process.

⁶⁰ <https://tearawhiti.govt.nz/assets/Maori-Crown-Relations-Roopu/451100e49c/Engagement-Framework-1-Oct-18.pdf>

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