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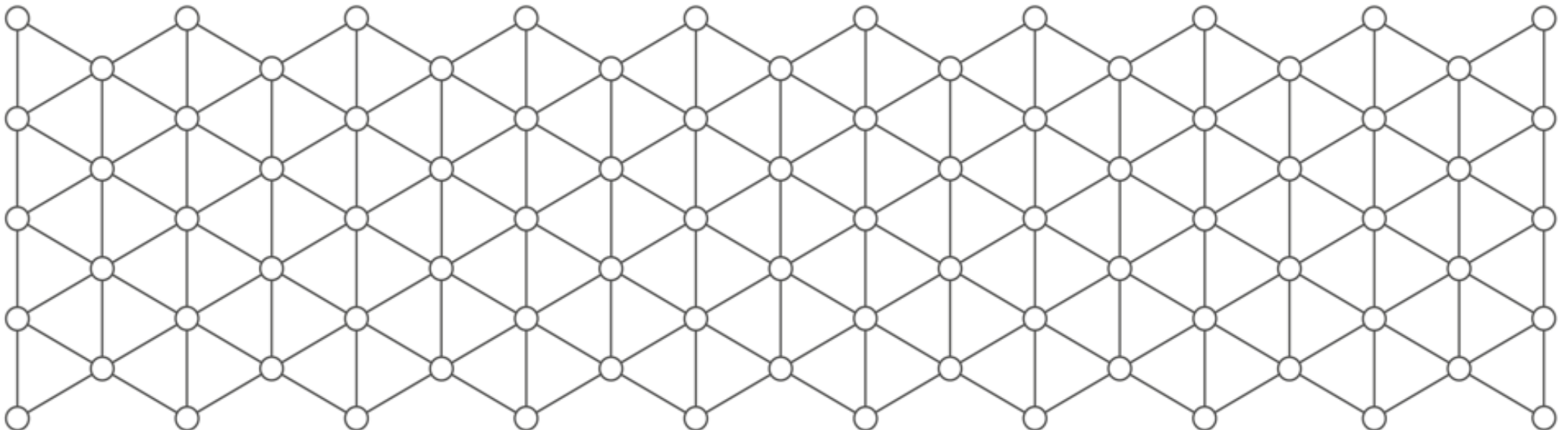
**Te Kāwanatanga  
o Aotearoa**

New Zealand Government

# Policy Community Engagement Tool

Second edition  
October 2023

A tool to support policy teams conducting community engagement while responding to recommendations of the Royal Commission of Inquiry into the Terrorist Attack on Christchurch Masjidain



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# Acknowledgements

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# Publication details

The Policy Community Engagement Tool (the Tool) has been developed by the Department of the Prime Minister and Cabinet, supported by the RCOI Response Team and the Policy Project. An original version was developed in May 2021 and in January 2022 it was published as a pilot Tool to support agencies working on the response to the Royal Commission of Inquiry into the Terrorist Attack on Christchurch Masjidain (RCOI). Kāpuia, the Ministerial Advisory Group on the RCOI and the Outreach Group made up of agencies working on the response, were consulted on the initial draft of the Tool before its public release. During the pilot agencies and Kāpuia provided feedback on the Tool through quarterly surveys in 2022/2023, and as a result it has been revised.

This is the second published edition.

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# 1. Introduction

## Purpose of this Tool

This Policy Community Engagement Tool provides policy teams, their managers, and policy advisors with process guidance for good practice community engagement as they respond to the recommendations of the Royal Commission of Inquiry into the Terrorist Attack on Christchurch Masjidain (RCOI).

The Tool alerts policy advisors to the steps, processes and resources that will enable good practice community engagement. It encompasses all the necessary activities involved when carrying out good practice engagement through five steps:

- **Step 1** – Designing the engagement
- **Step 2** – Planning the engagement
- **Step 3** – Managing the delivery of engagement
- **Step 4** – Analysing and sharing the results of engagement
- **Step 5** – Reviewing and evaluating the engagement

The template in [Section 3](#) lets you record your discussions, progress, and notes as you carry out the activities at each step. It also sets out what evidence of success would look like at each step, as a prompt to guide you.

## Background

The Policy Project was commissioned to develop the Policy Community Engagement Tool as part of the response to recommendation 38<sup>1</sup> of the RCOI. As part of its work to lift policy capability, the Policy Project supports efforts to improve engagement practices in the Public Service, at both the individual policy practitioner and organisational levels.

The [Open Government Partnership National Action Plans](#) provided an opportunity for the Policy Project to lead the development of six resources to support policy practitioners to improve their community engagement practice. This Tool draws on and links to those existing community engagement resources and aligns with the Core Values and Quality Assurance Standards of the International Association of Public Participation (IAP2).

## When to use the Tool

The Lead Coordination Minister for the Government's Response to the Royal Commission's Report into the Terrorist Attack on Christchurch Mosques mandated use of the Tool by all agencies working on the response to the RCOI.

Step 1 of the Tool helps identify the appropriate level of public participation for a policy project. It then provides process steps for designing, planning and delivering inclusive community engagement. Prompts at each step show what to look for as measures of successful engagement process.

While it is expected that the Tool be used by RCOI agencies to guide any engagement activity and practice related to the response, it is not intended that every question within the Tool be addressed. The degree to which Steps 2 to 5 apply to your project, will vary according to the level of public participation determined when you design engagement at Step 1.

<sup>1</sup> See page 9 of the [Summary of Recommendations on the Royal Commission of Inquiry into the Terrorist Attack on Christchurch Masjidain](#)

## Before you engage

### Building meaningful and ongoing relationships

Successful engagements will be based on relationships that have been built up over time with members of the community. Establishing meaningful relationships means you can be best placed to engage at an early stage with established networks. Where possible, work with people trusted by and within communities to help design and test your engagement plan and customise the methods you use.

Building meaningful and ongoing relationships aligns with the principles for engaging effectively with Māori, and the Public Service Act 2020 objective to support the Crown's Tiriti of Waitangi relationships.<sup>2</sup> It also promotes social cohesion and a better understanding of common themes across all cultures, faith-based, social, and demographic groups.

The Policy Project Guide to the [Principles and Values for Community Engagement](#) highlights eight important for community engagement, including engaging at the earliest possible stage.

### Build capability in engagement skills

To be confident that your engagement will be effective, ensure that:

- your teams are ready to engage, equipped with the right skills and resources
- your organisation invests in building your engagement capability through training
- you seek support and advice from those with experience engaging with community groups.

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<sup>2</sup> Section 14, Public Service Act 2020

## Find resources and tools to support good practice engagement

The Policy Community Engagement Tool is a companion to other resources that we recommend you become familiar with before starting your engagement. Engagement with Māori requires an approach grounded in Te Tiriti o Waitangi and the Māori Crown relationship. The Tool refers to guidance and resources produced by Te Arawhiti on effective engagement with Māori, as Treaty partners and as citizens. It also refers to other population tools, including the Guide for Engaging with Muslim Communities. A list of engagement resources is set out in Section 2 below.

Critical to getting ready for engagement is understanding the different levels of public participation along the International Association of Public Participation's Spectrum of Public Participation (see Figure 1 below). This will help as you design the engagement, to set clear and meaningful goals, and understandings for everyone participating in the engagement. When these preparatory steps have been taken, the Tool becomes a safety net for good engagement practice.

## Overview of the Steps

### Step 1 – Designing the engagement

This step involves you intentionally considering the high-level design of your community engagement strategy at the start to determine the nature and level of community participation.

The IAP2 Spectrum of Public Participation (see [Figure 1](#)) sets out the degree of influence participants can have over the decisions that are made. To determine where the engagement might fit on the Spectrum, you need to consider four design elements: understanding **the history and context**, initially **scoping the policy issue**, understanding **the people dimensions**, and setting **the purpose of the engagement**.

The insights you gain will inform the high-level advice to ministers and/or senior managers on the design of community engagement.<sup>3</sup> Those insights and their decisions about the way forward will provide you with a firm foundation for undertaking detailed engagement planning in Step 2. This foundation will be strengthened by you undertaking preliminary engagement with some key representatives from relevant communities on all the design elements (including the **level of influence**) during Step 1.<sup>4</sup>

Finally, it's good practice to test the mandate for the high-level design with ministers, and/or senior leaders and anyone you are partnering with to deliver the engagement. This helps undertake your planning with confidence at Step 2.

## **Step 2 – Planning the engagement**

Step 2 involves developing an engagement plan that aligns with the purpose of the engagement and the level of public participation on the IAP2 Spectrum you selected at Step 1. To achieve this, begin by planning the engagement sequence for each community engagement event or activity. Make sure your organisation (and any partners and participants) are ready and have capacity to engage. Select engagement methods that align with your engagement purpose, context, and scope, taking into account whether they're accessible for your range of participants. Address how you'll analyse engagement results, provide feedback on the engagement process, and report on the implications for policy development and decisions. Drawing on the above, you'll develop a detailed engagement plan. The plan will set goals for the engagement programme, specify the engagement activities, the target groups for engagement, and who and how each activity and method will be implemented.

By considering these matters upfront you'll be well-placed to prepare a realistic budget for the project, for inclusion in the engagement plan. Importantly, some 'pre-engagement' or testing with Māori and Iwi groups and key community

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<sup>3</sup> In accordance with the IAP2's Core Value 3: 'Public participation promotes sustainable decisions by recognising and communicating the needs and interests of all participants, including decision makers'.

<sup>4</sup> In accordance with the IAP2's Core Value 5: 'Public participation seeks input from participants in designing how they participate'.

people during this step will help ensure that your detailed engagement plan meets the needs of participants and is fit for purpose.<sup>5</sup>

## **Step 3 – Managing the delivery of engagement**

This step involves carefully managing delivery of the community engagement events in your engagement plan. It includes taking actions during delivery to address the needs of participants and ensure the objectives for each event can be achieved. Providing engagement materials that enable participants to contribute in a meaningful way helps achieve both.

## **Step 4 – Analysing and sharing the results of engagement**

This step also includes communicating with participants about what was heard, either during or following the engagement, and giving them the opportunity to test that it reflects what they said, where possible. This ensures participants understand their voice has been heard, and their views and insights have been recorded accurately. Where possible, good practice in this step also involves communicating with participants about how their views impacted on policy decisions.<sup>6</sup>

## **Step 5 – Reviewing and evaluating the engagement**

The final step is to review and evaluate each engagement event. This includes reviewing participant feedback on the process, and documenting insights that can be taken into account when delivering future community engagements.

<sup>5</sup> In accordance with the IAP2's Core Value 4: 'Public participation seeks out and facilitates the participation of those potentially affected by or interested in a decision'.


<sup>6</sup> In accordance with the IAP2's Core Value 7: 'Public participation communicates to participants how their input affected the decision'.

Figure 1: IAP2 Spectrum of Public Participation

# IAP2 Spectrum of Public Participation



IAP2's Spectrum of Public Participation was designed to assist with the selection of the level of participation that defines the public's role in any public participation process. The Spectrum is used internationally, and it is found in public participation plans around the world.

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

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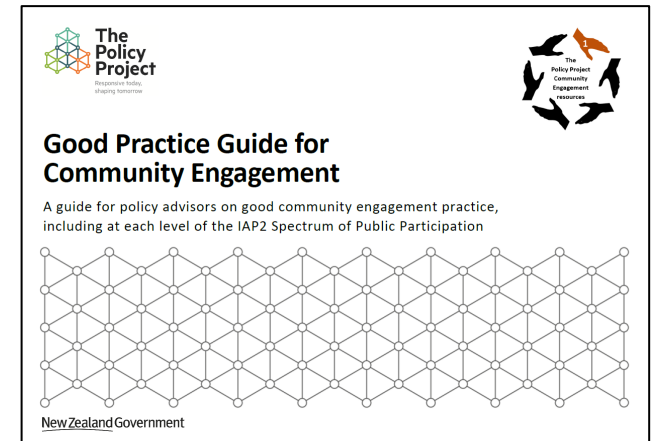
# 2. Existing resources support the Policy Community Engagement Tool

## Policy Project community engagement resources

A suite of six community engagement resources for policy advisors and government agencies was developed by the Policy Project, a unit in the Department of the Prime Minister and Cabinet. The resources were first published in October 2020 to fulfil Commitment 5 of the Open Government Partnership 2018 – 2021 National Action Plan. Commitment 5 aimed to assist the New Zealand public sector to develop a deeper and more consistent understanding of what good engagement with the public means (right across the International Association for Public Participation’s Spectrum of Public Participation).

These resources guide and support community engagement design and will enable you to plan and deliver inclusive engagement that reaches diverse voices. For advisors and teams with little or no engagement experience it’s recommended that you seek training and support from those with experience in community engagement.

1. **Good Practice Guide for Community Engagement**  
A guide for policy advisors on good community engagement practice, including at each level of the IAP2 Spectrum of Public Participation.
2. **Principles and Values for Community Engagement**  
A guide for government agencies and policy advisors on principles and values for good community engagement in policy making.
3. **Getting Ready for Community Engagement**  
A guide for government agencies on building capability and readiness for community engagement.
4. **Community Engagement Design Tool**  
A tool to help policy advisors identify the level on the IAP2 Spectrum of Public Participation most appropriate for a specific policy project.



**Appendix – Community Engagement Design Tool template**

Step 1 – Use Sheet 1 to conduct the Engagement Design Factor Assessment by:

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

Step 2 – Use Sheet 2 to conduct an overall Assessment of level or levels to recommend by:

- making an intentional decision about the overall levels of community engagement to recommend to decision makers for which groups, in light of the results of step 1
- summarising why you intend to recommend that overall level and the reasons why.

Sheet 1 - Engagement Design Factor Assessment			
<b>CONTEXT</b>	<p><b>Critical questions</b></p> <p>How complex, controversial, or significant is the policy issue for the project, organisation, or community? Is there pressure or signals from the policy decision maker as to the preferred positioning on the IAP2 Spectrum?</p>	<p><b>Guidance</b></p> <p>The contextual analysis identifies the factors that make the policy question more complex, significant or controversial, or that would markedly change the reaction or participation levels of the people to be engaged.</p> <p>If there are few complex, significant or controversial factors in the context, then the Spectrum level is more likely to be to the left of the Spectrum (Inform, Consult); the more complex, controversial or challenging the factors, the further toward the right on the Spectrum will apply (Involve, Consult, Collaborate, Empower).</p>	<p>Your assessment of context factors for this policy project</p> <p>Tick all Spectrum levels that could be appropriate for this policy project, in light of the Context factors you've identified.</p> <p>Inform    Consult    Involve    Collaborate    Empower</p>
<b>PROJECT SCOPE</b>	<p><b>Critical questions</b></p> <p>How much scope does the nature of the policy question have for alternative solutions or approaches?</p>	<p><b>Guidance</b></p> <p>The broader the policy problem solving scope the further toward the right of the Spectrum the community engagement can be positioned. The smaller the scope the further to the left on the Spectrum the community engagement can be positioned.</p>	<p>Your assessment of context factors for this policy project</p> <p>Tick all Spectrum levels that could be appropriate for this policy project, in light of the Project Scope factors you've identified.</p> <p>Inform    Consult    Involve    Collaborate    Empower</p>
<b>PEOPLE</b>	<p><b>Critical questions</b></p> <p>What is the level and nature of interest, potential contribution, concern, or significance the policy question or proposition has on or for whom?</p> <ul style="list-style-type: none"> <li>• Culturally</li> <li>• Legally</li> <li>• Socially</li> <li>• Economically</li> <li>• Environmentally</li> </ul>	<p><b>Guidance</b></p> <p>The more significant the policy question to the public, stakeholders, and community organisations, the more the appropriate community engagement approach moves towards the right of the Spectrum for those citizens, i.e. stakeholders, and organisations.</p>	<p>Your assessment of context factors for this policy project</p> <p>Tick all Spectrum levels that could be appropriate for this policy project, in light of the People factors you've identified.</p> <p>Inform    Consult    Involve    Collaborate    Empower</p>
<b>PURPOSE</b>	<p><b>Critical questions</b></p> <p>What are the implications of the community engagement purposes and goals identified for the policy project on the level of influence on decision making to accord different elements of the community?</p>	<p><b>Guidance</b></p> <p>Engagement purposes that seek:</p> <ul style="list-style-type: none"> <li>• Permission or endorsement of the policy proposal move towards the right of the Spectrum – Collaborate or Empower;</li> <li>• To create solutions, move the level of influence towards the right of the Spectrum;</li> <li>• To provide or deliver proposals, shift the expectation to the centre of the Spectrum – Involve, often supported by Consult;</li> <li>• To provide feedback on the policy proposal move the level of influence towards the left of the Spectrum.</li> </ul>	<p>Your assessment of context factors for this policy project</p> <p>Tick all Spectrum levels that could be appropriate for this policy project, in light of the engagement Purpose you've identified.</p> <p>Inform    Consult    Involve    Collaborate    Empower</p>

### 5. **Selecting Methods for Community Engagement**

Resources to help policy advisors identify a shortlist of engagement methods and choose the right engagement methods to support good engagement planning.

### 6. **Guide to Inclusive Community Engagement**

A guide for government agencies and policy advisors to help you reach out to diverse groups, and where to find support for that.

# International Association of Public Participation resources

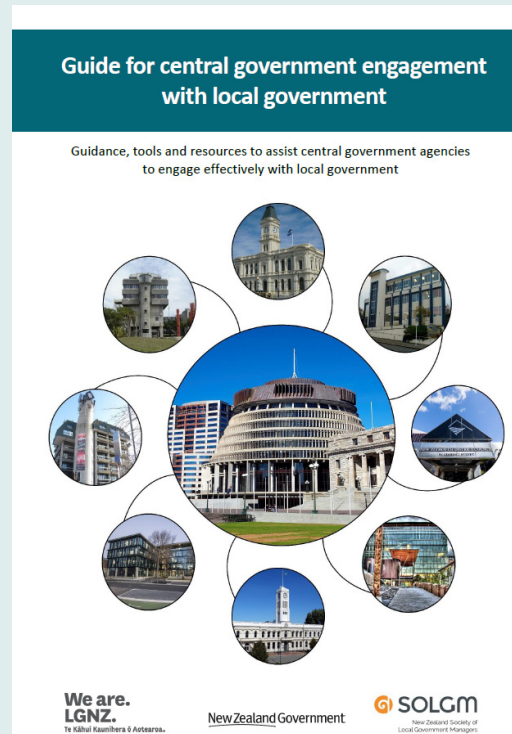
This Tool also draws on engagement resources developed by the International Association of Public Participation.

- [IAP2 Australasia – Spectrum of Public Participation](#)
- [IAP2 Australasia Core Values](#)
- [IAP2 Quality Assurance Standard](#)



# Guidance to support good engagement practice

- [Framework and Guidelines for engagement with Māori](#)  
Developed by Te Arawhiti the Office for Māori Crown Relations, these resources will help you engage with Māori, specifically who to engage with, how to develop an engagement strategy, and how to engage effectively. If you contact Te Arawhiti they may be able to help you with the design of your engagement.
- [Treaty of Waitangi Guidance](#)  
Also developed by Te Arawhiti, this impact assessment tool will help you think through whether the issues involved are likely to make it appropriate to recommend a partnership approach for engaging with Māori, and policy solutions that uphold the Treaty of Waitangi.



- [Guide for Engaging with Muslim Communities](#)  
Developed by the RCOI, this sets out principles and guidance on who to engage with and how to engage with Muslim communities.
- [Guide for central government engagement with local government](#)  
(Section 4.4.2 Criteria for engaging with local government on issues, pp 46-48) – to help decide whether to include local authorities and local government representatives in the design of your engagement.





### 3. Five steps for good practice community engagement

**Step by step process** – Each of the five steps comes with a series of questions. Use this template to record your team’s responses and progress in achieving each step.

#### Step 1 – Designing the engagement

Step activity	Critical questions	Evidence of success	Notes on your response to critical questions and record of progress
<p><b>1.1</b></p> <p><b>Begin designing your engagement to determine the most appropriate level of participation and influence on the IAP2 Spectrum</b></p>	<ul style="list-style-type: none"> <li>• Has the Government indicated that it will be partnering with Māori on any of the decisions to be made, or empowering Māori to decide – see <a href="#">Framework and Guidelines for engagement with Māori</a>?</li> <li>• Using the <a href="#">Community Engagement Design Tool</a>, have we specifically considered the following elements to assist us in confirming who will be best to lead or partner with on the community engagement, and the most appropriate level of the IAP2 Spectrum:               <ul style="list-style-type: none"> <li>– the <b>history</b> that has led to this point, <b>and contextual matters</b> including:                   <ul style="list-style-type: none"> <li>○ are there any <b>Māori rights and interests, or Treaty settlement commitments or factors</b> relevant to the engagement?</li> <li>○ if it makes sense for <b>local government to be involved</b> in partnering with central government on making decisions or implementing any decisions that will be made as a result of the community engagement? (see <a href="#">Guide for central government engagement with local government</a>)</li> <li>○ whether the government has either already indicated that the response and its implementation may be <b>community driven</b>?</li> </ul> </li> <li>– <b>scope and focus</b> for the policy issue or opportunity – are any matters out of scope, or aspects of solutions non-negotiable?</li> <li>– <b>people and stakeholder groups</b> interested in and affected by the policy issue or opportunity, and possible solutions that we’ll need to engage with? (see <a href="#">Guide to Inclusive Community Engagement</a>)</li> <li>– high-level <b>purpose of our engagement</b>, and what would be the ideal outcomes from engagement?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> It is clear whether there are pre-existing decisions about whether the Government will be partnering with Māori on any of the decisions to be made.</li> <li><input type="checkbox"/> Where appropriate, we considered and discussed with relevant territorial authorities whether it would be appropriate for local government to participate in the engagement.</li> <li><input type="checkbox"/> We sought a diverse range of community views to inform or shape the design of engagement, including:               <ul style="list-style-type: none"> <li>– the views of Māori as Treaty partner and at iwi, hapū, whānau levels, as appropriate</li> <li>– ethnic, demographic, faith-based, and socially diverse groups affected by or interested in the policy issue</li> <li>– Business, NGOs, research groups and academics are included as stakeholders, where appropriate.</li> </ul> </li> <li><input type="checkbox"/> We considered whether there has been or might be any issues of engagement fatigue or distrust of government.</li> <li><input type="checkbox"/> The <b>context for, and scope of</b> the policy project is understood and can be communicated to stakeholders.</li> <li><input type="checkbox"/> Affected and interested <b>people</b> who are potential participants have been identified, and a stakeholder map with a range of relevant and diverse stakeholders has been prepared.</li> <li><input type="checkbox"/> The <b>purpose of engagement</b> within the policy project has been clearly identified.</li> <li><input type="checkbox"/> The <b>level of participation and the degree of influence</b> on policy decisions has been identified, with input from stakeholders.</li> <li><input type="checkbox"/> A minimum level of involve or collaborate was considered for each relevant stage of the project and adopted if appropriate.</li> <li><input type="checkbox"/> Those who are party to the engagement can describe which organisations are leading the engagement.</li> </ul>	

<p><b>1.2</b></p> <p><b>Secure a mandate for your high-level engagement design recommendations</b></p>	<ul style="list-style-type: none"> <li>Do we have support for our assessment of the high-level design of the engagement from our decision makers (ministers, and/or senior leaders, and key leadership stakeholders in the community)?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Decisions on the design elements in Step 1:1 provide a clearly mandated foundation for the detailed planning of your community engagement.</li> <li><input type="checkbox"/> There's an agreed set of expectations about who's leading the engagement, and the level of influence that input from engagement will have on policy decisions.</li> </ul>	
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## Step 2 – Planning the engagement (when the design stage is complete)

Step activity	Critical questions	Evidence of success	Notes on your response to critical questions and record of progress
<p><b>2.1</b></p> <p><b>Assess and build your readiness to engage</b></p>	<ul style="list-style-type: none"> <li>Have you identified at the start the key resources, information, and relationships required to prepare the engagement plan?</li> <li>What relevant information and relationships does our organisation (and any partners) currently have, and what might be the gaps? (see steps below)</li> <li>How well placed are we as an organisation to engage effectively with our target groups – and if we aren't, what more do we need to do to make sure we are? (see <a href="#">Getting Ready for Community Engagement</a>)</li> <li>Do we know whether the community is likely to have the capability and readiness to participate, facilitate, and/or co-lead any type of engagement? Do we know what resourcing or support they might require?</li> <li>Have we considered whether an independent facilitator would be appropriate?</li> <li>How will we find out which other government agencies are planning to engage on which related matters with the same target groups and communities? Can we coordinate engagement with other agencies where relevant and appropriate?</li> <li>Review the Policy Skills Framework skills relevant to the delivery of engagement including <a href="#">Responsive and Adaptive</a>, <a href="#">Self Aware and Inclusive</a> and <a href="#">Engage and Sustain Relationships</a></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> You have an understanding of current readiness to engage, that can contribute to an action plan for improving organisation readiness to engage, if needed.</li> <li><input type="checkbox"/> Knowledge of participants or co-leads capacity and readiness is based on their input.</li> </ul>	
<p><b>2.2</b></p> <p><b>Select engagement methods that align with the levels of decision-making influence and the needs of participants</b></p>	<ul style="list-style-type: none"> <li>What are the critical engagement questions for feedback and response?</li> <li>Have we created a short-list of engagement methods that align with the level(s) of participation and influence on decision making selected in Step 1 for the community or communities? (see <a href="#">Selecting Methods for Community Engagement</a>)</li> <li>Do the methods on your list reflect good practice at the relevant IAP2 Spectrum level? (see <a href="#">Good Practice Guide for Community Engagement</a>) <ul style="list-style-type: none"> <li>Are they consistent with the scale of engagement intended (whether with individuals, small groups, large groups or the general public)?</li> <li>Is their duration consistent with timing expectations for feeding engagement results into policy development and decisions?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The engagement methods chosen are tested with and have the support of participants, stakeholders, and decision makers.</li> <li><input type="checkbox"/> The engagement methods align with the engagement objectives and will help ensure a diverse range of stakeholders are engaged.</li> </ul>	

	<ul style="list-style-type: none"> <li>– Do they align with the expectations of the decision maker or the complexity of the issue or opportunity?</li> <li>– Do key community representatives of our target populations identified in Step 1 consider the proposed methods are appropriate?</li> <li>– Will the combination of methods proposed ensure that a diverse range of stakeholders and target communities can participate?</li> <li>– Will the combination of methods deliver the feedback being looked for?</li> </ul>		
<p><b>2.3</b></p> <p><b>Prepare an engagement plan</b></p>	<ul style="list-style-type: none"> <li>• Have we developed an engagement plan that sets out: <ul style="list-style-type: none"> <li>– The purpose and goals for the engagement, who we will be engaging with, and at what level of the spectrum? (see Step 1.1)</li> <li>– how we will engage and what methods we will use and the sequencing of our approach? (see Step 2.2)</li> <li>– how we will manage the delivery of the engagement? (see Step 3)</li> <li>– how we will analyse, respond and report back to decision makers and provide feedback to communities and partners on the engagement? (see Step 4)</li> <li>– how we will evaluate our engagement process? (see Step 5) (see <a href="#">Good Practice Guide for Community Engagement</a>)</li> </ul> </li> <li>• Does our engagement plan: <ul style="list-style-type: none"> <li>– follow best practice set out in the <a href="#">Guidelines for engagement with Māori</a></li> <li>– consider how to access a wide range of voices in the community including: <ul style="list-style-type: none"> <li>○ Māori as Treaty partners and citizens?</li> <li>○ across different culture, gender, age and disability groups?</li> <li>○ interested communities and individuals, industry groups, NGOs, and those with academic, scientific and technical expertise?</li> </ul> </li> </ul> </li> </ul> <p>(see <a href="#">Guide for Inclusive Community Engagement</a> and <a href="#">Guide for Engaging with Muslim Communities</a>)</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The engagement plan: <ul style="list-style-type: none"> <li>– reflects the guidance and engagement processes recommended by Te Arawhiti on any engagement with Māori</li> <li>– references the views of a range of community groups obtained through the design process in Step 1.1, including different culture, gender, age and disability groups</li> <li>– includes a plan for how feedback will be provided to participants.</li> </ul> </li> <li><input type="checkbox"/> The methods of delivery detailed in the engagement plan: <ul style="list-style-type: none"> <li>– are aligned to participants’ needs and interests</li> <li>– reflect the spectrum level identified in Step 1.1</li> <li>– support inclusive participation, in line with the <a href="#">Accessibility Charter and Guidance</a>, and barriers to participation have been identified and mitigated, where possible</li> <li>– factor in the capacity and resourcing of stakeholders to engage, and times the engagement to reduce any overall adverse impacts on communities and duplication of efforts.</li> </ul> </li> <li><input type="checkbox"/> Any opportunities to partner and coordinate engagement with other agencies have been leveraged.</li> </ul>	
<p><b>2.4</b></p> <p><b>Plan how to activate interest and participation in the engagement</b></p>	<ul style="list-style-type: none"> <li>• For each engagement target group, have we identified what degree of participation in engagement events and processes we’re aiming for, and what strategies are likely to result in those being achieved?</li> <li>• Will the methods and engagement approaches that we have chosen successfully generate interest and understanding about the subject of the engagement?</li> <li>• Where our organisation’s familiarity with some engagement target groups is limited, have we drawn on the resources and support of population groups or other agencies in planning how to generate their interest and participation?</li> <li>• How will we ensure we or influential others communicate effectively with our target groups in ways that activate interest and participation in our engagement events and processes?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Strategies are identified that are likely to succeed in activating target group interest and participation in planned engagement.</li> <li><input type="checkbox"/> Target groups learn about and participate in the activities in your engagement plan.</li> </ul>	

## 2.5

### Plan to analyse feedback, identify risks during engagement delivery, and monitor participation.

- Does our plan also incorporate how we will:
  - monitor, and formally evaluate where appropriate, participation rates and satisfaction, and wider achievement of our engagement goals?
  - analyse the input received and feed it into the appropriate stages of policy development and decision making?
  - provide feedback to participants about the input they provided and its impact on policy development and/or policy decisions.
- Have we assessed the risks of our engagement plan and ways of mitigating them? Consider various perspectives, including:
  - What might go wrong in the engagement process and why?
  - Could the plan create the risk that engagement findings aren't available to contribute to policy development or decision-making processes when needed?
  - What adverse impacts might the engagement plan have on our organisation when implementing it?
  - What adverse impacts might the engagement plan have on the communities we plan to engage with when we implement it?
  - Have we ensured there is a clear process for notifying participants about how we will use, share, store and dispose of the results of engagement?

- The engagement plan:
  - describes whether any monitoring and evaluation of the engagement will be undertaken (by whom, and when) and how this will inform future engagement practice and decision-making
  - identifies which measures and indicators of processes and practice will be used to monitor whether engagement goals are achieved
  - includes anticipated participation levels for relevant stakeholder groups
  - describes how community feedback will be analysed and reported.
- Checkpoints and oversight are in place to identify risks early and respond.
- How we will use, share store and dispose of evidence and information obtained from engagement is understood by participants and systems are in place to ensure compliance with that undertaking.

## 2.6

### Test your engagement plan

#### Test plan with community

- Have the voices of Māori as Treaty partner and as tangata whenua (at iwi, hapū, whānau levels, as appropriate) been heard in relation to the draft engagement plan, and is what you heard reflected in the final engagement plan?
- Have we tested relevant parts of the completed engagement plan with people trusted by and within communities to determine whether we've understood their needs, to enable a successful engagement process?
- Have relevant parts of the engagement plan been tested with a wide range of people representing groups who are affected by or interested in the policy issue, including:
  - ethnic communities, diverse social and demographic groups, faith-based groups across different culture, gender, age and disability groups
  - industry groups, NGOs, and those with academic, scientific and technical expertise.
- For each target group, are appropriate ways of responding to their needs and preferences for the methods, timing, and process of engagement built into the plan?
- Does our engagement plan take cultural considerations and diverse perspectives into account?

#### Plan is tested with community

- The final engagement plan is robust, takes account of any feedback received, and is generally accepted by our target groups for the engagement, including addressing any of their:
  - language preferences
  - childcare needs
  - reasonable meeting time requests
  - safety concerns.
- The approach in the final engagement plan is supported by Māori and Iwi groups, as appropriate.
- Where appropriate, the engagement plan is supported by people trusted within and by the community with whom the agency has an ongoing relationship.



	<p><b>Test plan with decision makers</b></p> <ul style="list-style-type: none"> <li>• Do our ministers and/or senior leaders continue to agree with the level of community participation and the level of influence on policy decisions to be made, as agreed in Step 1, and as built into the detailed engagement plan?</li> <li>• Have we raised any significant issues or concerns that may arise during the engagement process outlined in the draft or final engagement plans directly with ministers or senior leaders?</li> <li>• Have we obtained a clear mandate for the engagement events and processes outlined in the engagement plan, and their timing?</li> </ul>	<p><b>Plan is tested with decision makers</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The engagement plan clearly sets out appropriately tailored governance processes, communication processes and reporting mechanisms to project owners.</li> <li><input type="checkbox"/> Ministers and organisational leadership are comfortable that the engagement plan reflects prior decisions, engagement goals, and their understanding and expectations – and have been alerted to likely implementation risks.</li> </ul>	
<p><b>2.7</b></p> <p><b>Develop a budget and resource plan as part of the engagement plan</b></p>	<ul style="list-style-type: none"> <li>• Do we have the skills and seniority levels of people from our organisation needed to deliver all the elements of the engagement plan?</li> <li>• Do we know how much time each person would require to successfully play their role in implementing the engagement plan?</li> <li>• What other resource does our team need to successfully and appropriately facilitate, implement, monitor and evaluate the events and activities detailed in the engagement plan?</li> <li>• Can we quantify the resources and capability needs of any community groups who need to participate? Have we considered whether the government will meet any of those costs, and under what circumstances?</li> <li>• What are the overall resource consequences of implementing this engagement plan?</li> <li>• Have we identified ways that the costs can be financed, including by: <ul style="list-style-type: none"> <li>– the existing budgets of the teams involved, with their agreement? (e.g. policy advisors or in-house engagement specialists)</li> <li>– Submitting a bid to draw on existing organisational pools of funding? (e.g. for travel, equipment etc)</li> <li>– in kind or financial contributions from partner agencies, including communities?</li> <li>– applying through the Budget process for new initiatives?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Those developing and implementing the engagement plan have a clear and comprehensive understanding of what resources and funds they need to achieve engagement goals, and have duly considered whether to include: <ul style="list-style-type: none"> <li><input type="checkbox"/> computer and other equipment purchases or hire</li> <li><input type="checkbox"/> media space</li> <li><input type="checkbox"/> means of travel</li> <li><input type="checkbox"/> venue hire</li> <li><input type="checkbox"/> catering</li> <li><input type="checkbox"/> koha</li> <li><input type="checkbox"/> facilitation, recruitment or procurement costs</li> <li><input type="checkbox"/> costs relating to the translation of materials</li> <li><input type="checkbox"/> reimbursement to community organisations for costs associated with co-leading community engagement</li> <li><input type="checkbox"/> engagement capability building contributions to communities</li> <li><input type="checkbox"/> costs associated with any monitoring and evaluation processes.</li> </ul> </li> <li><input type="checkbox"/> Decision makers are aware at an early stage of proposed costs, and have prioritised and approved the engagement activity.</li> <li><input type="checkbox"/> Decision makers have a basis for holding those implementing the plan financially accountable.</li> <li><input type="checkbox"/> A sustainable budget is developed that meets the needs of the community and the government.</li> </ul>	
<p><b>2.8</b></p> <p><b>Identify, build and maintain the relationships critical to the success of the engagement plan</b></p>	<ul style="list-style-type: none"> <li>• Have we identified who we need to work with to ensure each engagement event and process succeeds? Are we tracking which existing people or groups we already have established relationships with, and which relationships with new people and organisations are needed?</li> <li>• Do we have a strategy for maintaining and building on those relationships?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Relationships with critical stakeholders and participants are identified, maintained, and can be drawn on during and following the engagement.</li> </ul>	

## Step 3 – Managing the delivery of engagement (engage when you have a plan in place)

Step activity	Critical questions	Evidence of success	Notes on your response to critical questions and record of progress
<p><b>3.1</b></p> <p><b>Provide participants with the information they need to participate in a meaningful way</b></p>	<ul style="list-style-type: none"> <li>• Are our communication resources and engagement materials:               <ul style="list-style-type: none"> <li>– clear, simple and in accessible formats?</li> <li>– if possible and where relevant, provided in a range of languages?</li> </ul> </li> <li>• Did we get input from the community on what would work for them when designing the communication resources and engagement materials for:               <ul style="list-style-type: none"> <li>– informing the community about the engagement events and process?</li> <li>– using at engagement events and in other engagement processes?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> A range of objective and informative content has been provided to all participants to inform them in advance of the engagement process.</li> <li><input type="checkbox"/> Stakeholder needs and their implications for communication approaches are revisited throughout the engagement process.</li> </ul>	
<p><b>3.2</b></p> <p><b>Ensure you keep participants, decision makers and others up to date</b></p>	<ul style="list-style-type: none"> <li>• Are we following any agreed approach for keeping our senior managers and ministers up to date with implementation of the engagement plan?</li> <li>• Are we following any agreed strategy for keeping stakeholders and the community up to date with planned engagement activities and important arrangements?</li> <li>• Is a media or communications plan ready in case we need to respond to questions from people outside the engagement process?</li> <li>• Have we been communicating effectively with participants so they understand how any personal information or views and insights will be shared, used, stored and published?</li> <li>• Have we checked and assessed who’s engaging and what voices are missing from our engagement as its being delivered? (and revise our plan during delivery and implementation if necessary)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ministers, decision makers, stakeholders and participants are informed of the timeline and processes relating to the engagement.</li> <li><input type="checkbox"/> Your stakeholder analysis is iterative.</li> </ul>	
<p><b>3.3</b></p> <p><b>Ensure the venues and methods for engagement align with your engagement plan and are inclusive</b></p>	<ul style="list-style-type: none"> <li>• For any face-to-face meetings have we checked whether:               <ul style="list-style-type: none"> <li>– participants are made to feel welcomed and respected?</li> <li>– we are considering and recognise the participants’ social, psychological and cultural safety, and address those needs where possible?</li> <li>– the venues and resources accessible? Do they reflect what participants said before the meeting and during design and planning?</li> <li>– the food and refreshments we’re ordering culturally and religiously appropriate? Do they meet health needs and preferences?</li> <li>– the appropriate participant costs of travel are being met?</li> <li>– participation support resources be provided when needed? (e.g. hearing loops, interpreters)</li> <li>– physical aspects of the venues accessible for people with mobility impairments? (e.g. space for people using wheelchairs to move around and be seated in the room)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Stakeholders provide a positive evaluation of the venues and methods chosen for the engagement, and that they meet their expectations.</li> <li><input type="checkbox"/> Barriers to participation have been overcome, where possible, by delivering an inclusive engagement experience.</li> <li><input type="checkbox"/> A wide range of valuable insights and evidence have been obtained that shed light on the policy problem or opportunity.</li> </ul> <p>(See <a href="#">Guide for Inclusive Community Engagement</a>)</p>	



<p><b>3.4</b></p> <p><b>During delivery ensure participants understand the design, process and expectations of engagement</b></p>	<ul style="list-style-type: none"> <li>• Did we communicate the context, scope, and purpose and objectives of the engagement to participants?</li> <li>• Have we discussed with participants the process for the engagement, including any plans to provide a summary of what we heard, how we used it, feedback on decisions that were made, and timings for that?</li> <li>• Have we communicated the level of participation and corresponding influence participants will have over decisions, and the process of decision making following the engagement?</li> <li>• Have we outlined how the results and impacts of engagement will be communicated? (see 4.2 below)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Communication to participants reflects the level of influence.</li> <li><input type="checkbox"/> Participants know which aspects of the decision-making process can be influenced and which can't (the negotiables and non-negotiables).</li> </ul>	
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## Step 4 – Analyse and share the results of engagement

Step activity	Critical questions	Evidence of success	Notes on your response to critical questions and record of progress
<p><b>4.1</b></p> <p><b>Analyse the results of the engagement and ensure they're used in the policy development process and decision making</b></p>	<ul style="list-style-type: none"> <li>• Do the people analysing and communicating the input of participants: <ul style="list-style-type: none"> <li>– have the appropriate skill sets to analyse the mix of quantitative and qualitative information gathered? (this includes the ability to genuinely listen and be open to participant's input and ideas)</li> <li>– have access to the software, computer hardware and specialist communications or other skills they need to efficiently input, analyse and report on the main findings?</li> <li>– have sufficient time available to produce and deliver easily understandable results into the policy process within the desired timeframes?</li> </ul> </li> <li>• In the summaries of insights and themes, have we used the words and voices of participants as much as possible?</li> <li>• Have we reviewed the <a href="#">Policy Quality Framework</a> standards for good quality policy advice and do we understand the expectations for reflecting the results of the engagement in our policy analysis and advice?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> You have documented the range of views about the policy issue, and to what extent they converge and diverge about different aspects of policy issues, including possible impacts and solutions.</li> <li><input type="checkbox"/> Engagement findings are reflected in any policy analysis and identify who has a stake in the issue, why, and their views, and documents the engagement strategies used to obtain them.</li> <li><input type="checkbox"/> The policy advice identifies any differences in the views of those who participated in the engagement and how they have been addressed.</li> <li><input type="checkbox"/> The engagement findings enabled higher-quality and better-informed advice to be provided to ministers.</li> </ul>	
<p><b>4.2</b></p> <p><b>Feed back the results of engagement with participants and how their input affected the decision</b></p>	<ul style="list-style-type: none"> <li>• Have we communicated with participants about what was heard throughout the engagement process? Have we communicated how that contributed to insights fed into the policy and decision-making processes?</li> <li>• Have we communicated with participants about how their input has influenced, impacted, or affected the decisions that have been made?</li> <li>• Have you considered whether it would be appropriate to communicate the results of engagement to participants in different languages? (see also 3.1)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Accessible processes are established for feeding back the results to stakeholders.</li> <li><input type="checkbox"/> Participants to the process are informed of the outcome of the engagement and their impact on the decisions that were made.</li> <li><input type="checkbox"/> Results are shared with participants within one to three months (depending on the scale of the engagement).</li> <li><input type="checkbox"/> Participants report high levels of satisfaction with engagement outcomes.</li> </ul>	

## Step 5 – Review and evaluate the engagement

Step activity	Critical questions	Evidence of success	Notes on your response to critical questions and record of progress
<p><b>5.1</b></p> <p><b>Review and evaluate engagement events and activities using an agreed set of measures</b></p>	<ul style="list-style-type: none"> <li>• Are we using an evaluation and assurance standard as input to setting measures and expectations for our engagement? (e.g. the <a href="#">IAP2 Core Values</a> and <a href="#">Quality Assurance Standard</a>)</li> <li>• Did we measure and review our engagement by:               <ul style="list-style-type: none"> <li>– establishing a set of evaluation indicators that align with our engagement goals and will be able to demonstrate critical success?</li> <li>– collecting information as we went along about what we've done, the effectiveness of the engagement activity and compared it with our engagement plan and goals?</li> <li>– collecting information about who participated, how, and at what level?</li> <li>– collecting information from participants about their views and perspectives about the process, value and results of engagement?</li> <li>– conducting a de-brief immediately following our engagement to collect initial thoughts about the processes and practices we used? (see a template for a de-brief in the Appendix to the <a href="#">Good Practice Guide for Community Engagement</a>)</li> </ul> </li> <li>• Did we consider at the earliest possible stage, whether it would be appropriate to find an evaluation specialist to assist with designing and/or undertaking a more formal evaluation of the engagement process, depending on the scale and scope of the engagement? (see 2.7)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Lessons learned are recorded immediately following each engagement process and discussed with participants.</li> <li><input type="checkbox"/> Sharing the lessons learned enables organisational self-awareness of strengths and weaknesses. Action plans identify what to target for better future engagement performance.</li> <li><input type="checkbox"/> You can clearly describe whether and how your engagement goals were met, explain how the engagement methods and delivery aligned with the Spectrum level chosen during the design of engagement at Step 1.</li> </ul>	
<p><b>5.2</b></p> <p><b>Use the results of your review of engagement to manage ongoing relationships and inform agency preparedness for future engagement</b></p>	<ul style="list-style-type: none"> <li>• Have we recorded lessons learned from our engagement, including elements that worked and didn't work, to improve future engagement practice and systems?</li> <li>• Did we, if possible, lodge the end results of engagement and lessons learned in a secure centralised way within our agency and in a format that can be shared (if participants give permission)?</li> <li>• Have we shared our findings with future engagement teams preparing engagement plans and those managing stakeholder relationships?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Teams working on engagement use past records and evaluations to inform the design, planning and delivery of future engagement and the management of stakeholder relationships.</li> <li><input type="checkbox"/> Your agencies' engagement systems, processes and practices improve over time.</li> <li><input type="checkbox"/> External relationships have been strengthened so they can be drawn upon when needed for future engagements.</li> </ul>	