Quality Assurance Standard for Community and Stakeholder Engagement

iap2 international association for public participation

The International Association for Public Participation (IAP2) is the leading professional organisation advancing the practice of public participation globally. The Australasia Affiliate is the largest affiliate in the IAP2 global family and it has been our privilege to lead the development of the quality assurance standards with our members from across Australia and New Zealand.

The Core Values of IAP2 drive all that we do to advance community and stakeholder engagement globally. We promote the right of individuals who are affected by a decision to have a say in the decision making process; we highlight the benefits of this to organisations, governments and individuals; we advocate for our members; and we provide high quality training programs, professional development and events.

IAP2 has long offered valuable tools that demonstrate how and when to engage, and that provide insight into the principles behind effective community engagement.

We now offer an additional roadmap to success – a set of standards to measure any engagement process to ensure it meets best practice principles, leading to confidence in the outcome for all involved.

The Quality Assurance Standards for Community and Stakeholder Engagement (The Standard) describes the important elements of any community engagement process. It ensures consistency in quality and supports those carrying out the process. It allows any process to be audited against a defined standard for simpler evaluation and quality assurance.

The Standards Project was started internationally in 2011 and was handed to the Australasian Affiliate in 2013. Many IAP2 members have been involved in this project across Australia, New Zealand and internationally and we thank them for their input.

Special thanks to the Standards Working Group – Lucy Cole-Eldelstein, Kimbra White, Mark Ritch, Keith Greaves and Carla Leversedge – who reviewed this document and provided feedback to refine the work. Thanks also to Deen Sanders and Tanya Jackson of Learning Advisory Services Australia for their expertise in developing this Quality Assurance Standard to meet professional requirements.

We trust this Standard will benefit your organisation and, as always, we appreciate your feedback on its application.

This Quality Assurance Standard was endorsed by the IAP2 Federation in May 2015 and is recognised as the International Standard for Public Participation practice.[1]

[1] *Last reviewed in 2023.*

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Quality Assurance Standard

Background and Objectives

Community and stakeholder engagement is now as much a standard component of any significant project as traditional disciplines, such as planning, development and implementation. Engagement is intrinsic to the successful functioning of these conventional disciplines, as the outcomes should ultimately influence project development and completion.

The profession of community and stakeholder engagement has matured globally. It now requires a professional standards framework to provide community, practitioner and government confidence in the effective practice of engagement, and to support career and professional pathways for practitioners in the field.

Governments, industries and organisations across the globe increasingly recognise community and stakeholder engagement as an essential part of significant project planning and decision making. The approach to decision making has shifted from a culture of 'announce and defend', to one of 'debate and decide'.[1] Engagement practices are expected to identify, understand and respond to the interests, risks and interdependences of all project stakeholders, and to address legislative and public policy requirements for engagement.

In 2005, the United Nations and the Queensland State Government delivered the Inaugural Conference on Engaging Communities, where the Brisbane Declaration on Community Engagement was prepared. The Declaration called for 'transparent and accountable governance' through community engagement and acknowledged the potential for human development and fostering of relationships because of effective engagement.[2]

The operating environment for practitioners is now more complex than ever with stakeholders increasingly diverse and sophisticated in their views and expectations. Interdependencies and complexity among stakeholder groups can lead to the development of unpredictable relationships. These have the potential to derail a project if each stakeholder group's unique views and needs are not properly explored, understood and addressed.

A standardised process to assess the quality of an engagement practice that affects critical decision making and relationship outcomes is essential to the sustainable future of community and stakeholder engagement practice.

The following Quality Assurance Standard for Community and Stakeholder Engagement (the Standard) considers the themes expressed in the Brisbane Declaration and acknowledges the increasingly complex landscapes of community and stakeholder engagement. The Standard seeks to provide a quality process by which engagement projects can be assessed.

[1] *Better Together: principles of engagement. a foundation for engagement in the South Australian government.*

[2] *Brisbane Declaration on Community Engagement. 2005.*

The Standard responds to market requirements for evidence that effective community and stakeholder engagement has been delivered and, in particular, that it accords with the professional communities' perspective of quality.

The terms 'public participation' and 'community and/or stakeholder engagement' are interchangeable in the context of this Standard. 'Community and stakeholder engagement' is more commonly used in Australasia, the jurisdiction for which the Standard was developed.

The specific objectives of the Standard are to:

- better assure the quality of engagement and engagement audit services
- improve confidence and certainty in the process of community and stakeholder engagement both for users and clients of the engagement practice
- regulate practitioner activity by standardising the process of community and stakeholder engagement
- 'authorise' practitioners to undertake community and stakeholder engagement in accordance with the agreed Standard process
- support career, education and practice pathways so that professionalisation in community and stakeholder engagement can be encouraged
- validate engagement activity by defining and measuring (rating) a quality public participation process.

> "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."

The Foundations of Public Participation and IAP2

With clearer expectations of engagement from government, community and industry, there is a requirement for greater transparency and accountability of the growing body of engagement practitioners.

The peak professional body for engagement practitioners is the International Association for Public Participation (IAP2). IAP2 seeks to promote and improve the practice of public participation and provides support to people who implement or participate in public decision making processes. The need to secure the future advancement of the profession led to IAP2 developing this Quality Assurance Standard.

In recognition of the growing professional status of the practice, a government or industry's obligations for quality engagement can be discharged through the appointment of an engagement professional and particularly a member of IAP2.

The IAP2 member is expected to not only follow good process but to provide evidence of having followed good process. This evidenced-based proposition is essential to the future of the profession – with transparency and accountability promoted between professionals.

The roles and responsibilities of engagement practitioners are informed by IAP2's Code of Ethics, which enhances the integrity of the engagement process.

The Code defines the role of a practitioner as enhancing the public's participation in the decision making process and assisting decision-makers to be responsive to the public's concerns and suggestions.

The Code sets out practitioners' responsibilities in undertaking stakeholder and community engagement and has been adopted by the Standard as a summary of practitioner roles and responsibilities.

Stakeholders: any individual, group of individuals, organisation or politics entity with an interest or stake in the outcome of a decision.

Public: those stakeholders who are not typically part of the decision making entity or entities.

Public Participation: a process that involves the public in problem solving or decision making and that uses public input to make better decisions.

The IAP2 Code of Ethics supports and reflects IAP2's Core Values for the Practice of Public Participation. The Core Values define the expectations and aspirations of the public participation process, whereas the Code of Ethics speaks to the actions of engagement practitioners.

The IAP2 Code of Ethics

1. **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.
2. **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.
3. **Trust:** we will undertake and encourage actions that build trust and credibility for the process and among all the participants.
4. **Defining the Public's Role:** we will carefully consider and accurately portray the public's role in the decision making process.
5. **Openness:** we will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.
6. **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.
7. **Respect for Communities:** we will avoid strategies that risk polarising community interest or that appear to 'divide and conquer'.
8. **Advocacy:** we will advocate for the public participation process and will not advocate for a particular interest, party or project outcome.
9. **Commitments:** we will ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.
10. **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.

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> "Governments, industries and organisations across the globe are increasingly recognising the value of community and stakeholder engagement as an essential part of significant project planning and decision making."

Extracted from IAP2 Foundations of Public Participation

The Standard has adopted the IAP2 Core Values as the principles that define quality throughout the process of community and stakeholder engagement. The Core Values are commonly accepted as informing best practice engagement.

Development of the Core Values included broad international input to identify those aspects of public participation that cross national, cultural and religious boundaries.

The Core Values define the expectations and aspirations of the public participation process. Practitioners should adhere to these values for community engagement to be effective and of the highest quality. The extent to which the Core Values can be adhered to is impacted by the level of influence.

IAP2 Core Values

1. **Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision making process.**
2. **Public participation includes the promise that the public's contribution will influence the decision.**
3. **Public participation promotes sustainable decisions by recognising and communicating the needs and interests of all participants, including decision-makers.**
4. **Public participation seeks out and facilitates the participation 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.**

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> "The Public Participation 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's Public Participation Spectrum

Engagement professionals require professional agility and intellectual flexibility to adapt to the specific – and often specialist – nature of varying projects. They recognise that community and stakeholder roles will also alter depending on the required level of engagement.

IAP2 has developed the Public Participation Spectrum to assist with the level of influence that is required, depending on the community or stakeholder's role in the engagement.

The Spectrum shows that differing levels of influence in engagement (referred to by IAP2 as 'participation') are warranted and legitimate, depending on the goals, time frames, resources and levels of influence in the decision to be made. The Spectrum sets out the commitment made to the public at each level to ensure transparency.

This Standard acknowledges that individual projects vary as to their position on the IAP2 Spectrum. In this way, the Standard specifically responds to the Spectrum's recommended strategy for dealing with the various levels of influence the community has. The IAP2 Federation has developed the Spectrum to help groups define the public's role in any public participation process.

IAP2 Spectrum of Public Participation

Increasing impact on the decision

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

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Figure 1. IAP2 Spectrum of Public Participation

IAP2 Australasia Community Engagement Model

It is well established that engagement is no longer a singular dimension practice where an expert is employed to ask a question of the community. The practice of community and stakeholder engagement has matured substantially and now extends to a broader range of purposes and across a range of organisational contexts.

Perhaps the most significant shift in thinking about community engagement has come with recognition that the engagement may now be motivated from within the community or even led by the community itself rather than the one-way path from government or organisation to community. Similarly in the commercial context it may arise from within the business or even be led by staff and members.

Community Engagement Model (CEM) has been developed by IAP2 Australasia in 2014 and identified 7 key drivers of contemporary engagement:

1. The level of connectedness that exists in communities.
2. Greater access to information.
3. Increased visibility.
4. Increased pressure to deliver value for money.
5. Complex or "wicked" problems.
6. Commercial pressure to innovate.
7. Mobility affecting pace and form of communication.

These drivers increase the use of engagement approaches and an expansion of the engagement purpose.

Community Engagement Model

Figure 2. Developed by Anne Pattillo, Amanda Newbery, and Michelle Feenan (2014) for IAP2 Australasia.

Application and Principles of the Standard

The Standard is intended for application by all who lead community and stakeholder engagement processes.

The Standard has adopted the IAP2 Core Values as the principles that define quality throughout the process of community and stakeholder engagement. The Core Values are commonly accepted as informing best practice engagement.

Development of the Core Values included broad international input to identify those aspects of public participation that cross national, cultural and religious boundaries.[3]

The Core Values define the expectations and aspirations of the public participation process. Practitioners should adhere to these values for community engagement to be effective and of the highest quality. The extent to which the Core Values can be adhered to is impacted by the level of influence.

The Core Values define the expectations and aspirations of the public participation process.

[3] *IAP2 Foundations of Public Participation.*

Quality Assurance Standard

Stakeholder and Community Engagement Process

As well as adopting the Core Values as the underlying principles for community and stakeholder engagement, a standard process must be undertaken to ensure a quality community engagement exercise. The standard below summarises the steps of this process. Each step is discussed in more detail to provide the practitioner with guidelines for adoption.

IAP2 Quality Assurance Standard Process for Community and Stakeholder Engagement:

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**

1. Problem Definition

Regardless of the nature of the engagement exercise, it is important to clearly define its purpose and explain why the planned engagement is occurring.

Defining the problem includes a statement of the specific engagement objectives and the rationale behind the engagement.

The problem statement identifies the following to provide clarity of intent and ultimately better outcomes for stakeholders and community:

a. The issues that need to be addressed/answered/resolved.

b. Stakeholders affected.

c. The ideal outcomes for the decision-makers are identified.

d. Who it is that decides when a resolution has been achieved.

> "Clearly define the purpose of the engagement exercise and explain why the planned engagement is occurring."

2. Agreement of Purpose/Context and Identification of Negotiables and Non-negotiables

The development of a context statement or agreement of purpose is crucial to the success of the engagement exercise as it provides comprehensive background information and clearly positions the engagement in the overall project framework.

In most projects, there are likely to be elements that cannot be influenced by stakeholders. This may be due to budget, viability, safety or legislative requirements.[4] These elements are the 'non-negotiables' and need to be clearly communicated to stakeholders at the start of the engagement exercise.

Engagement practitioners are responsible for clarifying the opportunity for community change and input and therefore focussing stakeholder attention on the 'negotiables' or project aspects that they can influence.

Negotiables and non-negotiables therefore should also be clearly identified as a part of the context statement.

The context statement shall:

a. identify project and engagement objectives
b. establish or restate key performance indicators
c. specify the decisions that need to be made
d. define the negotiable and non-negotiable elements of the decision making
e. define the internal and external parameters that need to be considered as a part of the engagement exercise
f. broadly identify stakeholder groups and understand the relationships with these groups
g. identify project resources both available and required
h. consider the existing culture, values and attitude towards engagement
i. understand project team structure, roles and responsibilities
j. understand relevant industry/community trends and drivers
k. consider governance and accountability requirements
l. map out project and organisational interdependencies
m. map out existing communication channels
n. identify risks.

By systematically exploring these parameters, the engagement practitioner ensures they understand everything that may influence the project outcome – positively and negatively – and impact on the achievement of objectives.

The outcome should be a concise statement about how these elements relate to the scope of the particular engagement exercise and may potentially influence the result.

[4] *IAP2 Australasia Certificate in Engagement, Engagement Design 2014*

3. Level of Participation

The IAP2 Public Participation Spectrum provides engagement practitioners with a tool to determine the level of participation for the public's role in a community engagement program. The Spectrum shows that differing levels of participation are appropriate and that their legitimacy is dependent on the goals, time frames, resources and levels of concern in the decision to be made.

Once the community and stakeholder engagement goals are established, the positioning on the Spectrum and the necessary approaches become apparent.

By ensuring the level of influence on the Spectrum (see Figure 3) is understood at the outset, the engagement specialist and participants will be clear about the expectations. This will also help determine the most appropriate engagement methods and identify the extent to which the Core Values can be adopted.

The first step is for practitioners to consider the project purpose and determine the Spectrum level that relates to the engagement exercise.

This will facilitate an assessment of how the project meets public expectations or promises as they are stated on the Spectrum. It will also help stakeholders understand how decisions are made and the reasons why particular actions are required. For projects that transition between phases, consideration of requirements for both stages should be demonstrated.

IAP2 Spectrum of Public Participation

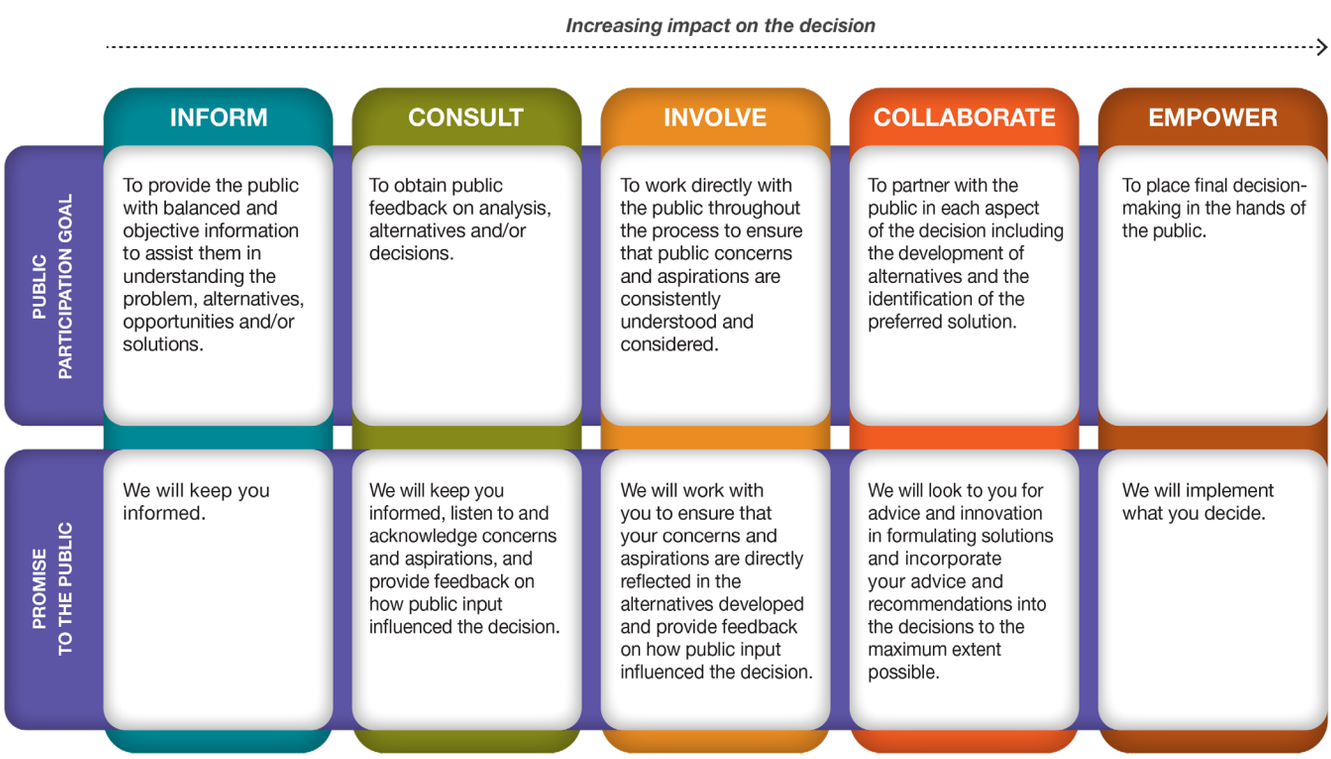

Figure 3. IAP2 Spectrum of Public Participation https://www.iap2.org.au/resources/iap2s-public-participation-spectrum

4. Stakeholder Identification and Relationship Development

To properly identify project stakeholders, professionals need to identify the specific project structure and have a sound understanding of the way in which it is organised. This will then enable the identification of the people who:

- are directly involved and/or affected
- are likely to be affected or impact the project outcome
- need a voice.

Stakeholder groups need to be systematically identified to ensure a thorough engagement process. Stakeholder identification shall consider:

a. interdependencies and responsibilities among project members and external parties

b. decision making processes, regulators/(ions) and levels of authority

c. relationships and conflicts among stakeholders

This will include identifying each group's expectations and comparing them to the project objectives to detect possible conflict areas or a misalignment in participation expectations[5].

Successful engagement will also require an analysis of stakeholder relationships to identify potential conflict areas. To do this, the practitioner will employ the tools and techniques best suited to address the complexity of the project. Evidence gathered must demonstrate that stakeholder collaboration and opposing perspectives have been considered.

Stakeholder identification and analysis will heavily influence the communication and engagement techniques to be employed for the specific project. This activity shall be appropriately resourced and outcomes assessed prior to developing and implementing the engagement plan.

d. legitimacy (rights and responsibilities)

e. trends/historical analysis and previous outcomes of similar or related projects

f. project stages and the need to alter or expand the stakeholder groups as the project progresses.

In identifying stakeholder groups, engagement practitioners should also recognise potential impediments to engagement participation of any party affected, involved or requiring a voice as a part of the exercise.

This requires the practitioner to develop and maintain the necessary relationships with stakeholders to keep them well informed and to instil the necessary confidence to present their view.

Having identified all stakeholder groups, practitioners need to take time to understand their interests, values and needs.

[5] *State of Victoria, Department of Sustainability and Environment 2005, Effective Engagement: building relationships with community and other stakeholders. Book 2 the engagement planning workshop.*

5. Project Requirements

Each engagement project will have a bespoke set of requirements that will influence the methodology or design of the engagement plan and the way project outcomes will be delivered.

Project requirements the engagement practitioner may consider include:

a. timeliness

b. legislation – statutory/policy requirements

c. specialist expertise and technical knowledge

d. reporting (type and frequency)

e. resource constraints

f. output functionality

g. protection of reputation.

The information gathered in defining the problem (Step 1) and agreeing on the project purpose (Step 2) will ensure that specific requirements are understood and stated by the engagement practitioner.

If this information has not been clearly identified, further investigation should be undertaken so that a statement of requirement can be produced at the early stages of developing the engagement plan.

6. Development and Approval of Engagement Plan

An engagement plan will communicate how the engagement practitioner intends to involve the stakeholder groups in influencing the relevant project.

The engagement plan is a document that sets out:

a. a purpose and objective statement, including scope of works

b. the tools and techniques to be employed for engaging the identified stakeholder groups

c. a schedule of activities

d. resources required and access to these resources

e. a risk management plan that identifies risks and barriers to execution of the engagement plan, and accompanying mitigation measures

f. a budget

g. roles and responsibilities of the project team

h. a communication strategy and reporting mechanism to project owners and stakeholders

i. evaluation points and techniques to be employed; evidence to be gathered

j. a demonstration of commitment to engaging with stakeholders in accordance with the IAP2 Public Participation Spectrum and Core Values stated in Page 15 and 8 respectively.

The proposed plan must be presented to and discussed with the project sponsor with formal agreement provided prior to moving to the implementation phase.

7. Execution of Engagement Plan

Community and stakeholder engagement shall be implemented according to the details set out in the engagement plan. The execution of the plan should demonstrate creativity and ensure methods of engagement are fit for purpose and suitably responsive to changing dynamics among stakeholder groups.

Successful execution of the engagement plan requires:

a. securing all necessary resources

b. adhering to the proposed timeframes and budget

c. engagement and communication with stakeholders as described in the plan

d. compliance with legal and regulatory requirements

e. confirmation that the decision making process aligns with project objectives

f. successful development of stakeholder relationships

g. project evaluation and reporting.

| Feedback is an integral part of the engagement process.

8. Feedback

Feedback is an integral part of the engagement process. It refers to the provision of information to stakeholders on how engagement outcomes will be utilised in decision making. Feedback is also a quality indicator highlighted in IAP2's Core Values, which have been adopted as the principles of this Standard.

In line with these Standards, engagement practitioners shall ensure:

a. a statement of feedback is promised to all participants as a part of the engagement process

b. processes are identified for feeding back the results to the stakeholders

c. feedback is collated and made available to all stakeholders.

Feedback is an integral part of the engagement process.

9. Evaluation and Review

Engagement evaluation and review enables the practitioner and project sponsor to make recommendations and decisions based on the outcomes of the engagement.

It is also the vital evidentiary point in the project outcomes and a central element of assuring quality engagement.

Evaluation involves reviewing the engagement project to determine:

a. the extent to which engagement project requirements were identified

b. successful stakeholder identification and engagement

c. achievement of project goals and objectives

d. satisfaction levels among all stakeholders from power brokers to minority groups

e. cultural awareness of and ongoing commitment to community and stakeholder engagement

f. the degree of stakeholder involvement in decision making and comparison of this against initial project positioning on the IAP2 Spectrum

g. change and impact as a result of engagement outcomes

h. the need for further analysis of outcomes or additional engagement activities.

10. Monitoring

Ongoing monitoring and measuring of performance should be conducted and reported. This ensures community and stakeholder engagement is effective and continually supports the specific project for which the engagement is being conducted.

Monitoring and review ensures continual improvement in the practice of community and stakeholder engagement. Monitoring gives assurance that the processes effectively engage with stakeholders. It can be scheduled at intervals or conducted as needed.

Monitoring should inform how improvements can be made and organisational culture enhanced to embed appropriate engagement into routine activities.

Responsibilities for monitoring should be clearly defined. Processes for monitoring engagement activities should address each of the stages set out in the engagement process. Monitoring results shall be reported and communicated internally and externally as deemed appropriate.

11. Documentation of Evidence

The Quality Assurance Standard for Community and Stakeholder Engagement is accompanied by an audit framework that sets out required standards, including:

a. benchmarks

b. evidence points

c. project assessment.

To ensure engagement projects can be assessed for quality and can demonstrate that the Standard process has been adhered to, details of the activities undertaken should be recorded for auditing purposes.

In addition, organisations can benefit from the engagement experiences undertaken and lessons learned. Documentation of actions and outcomes can provide an internal mechanism for continuous improvement.

Engagement professionals are encouraged to establish a recording framework that considers:

a. legal, regulatory and operational needs

b. resources required to develop and maintain necessary records

c. sensitivity of information

d. organisational/project culture

e. existing mechanisms for information recording

f. benefits associated with recording and reviewing.

Audit

An auditing process will be developed to establish the requirements for an audit of a community and stakeholder engagement project. The audit will determine the level of adherence to the Standard and adoption of the process set out for community and stakeholder engagement activities.

The auditing process will require the auditor to review documented evidence and report on the quality of this evidence against the requirements set out in the Standard process as illustrated in the Standard below.

Auditors engaged to undertake an audit using this standard must ensure they respect confidentiality requirements and deliver a report that provides:

a. an overview of the nature, timing and findings of the audit conducted

b. an assessment of the documentation reviewed against the Standard requirements

c. commentary on significant matters that were identified as a part of the audit process

d. documentation of any significant discussions held with practitioners and stakeholders during the audit

e. a basis for the conclusions and recommendations presented within the audit report.

The objectives of the auditor are:

a. to evaluate the evidence provided to demonstrate adherence to the Standard

b. to provide assurance to project stakeholders that the engagement project has been executed according to the Quality Assurance Standard for community and stakeholder engagement.

An audit tool is to be developed to aid the review of engagement projects and ensure compliance with the Standard. The audit tool provides the auditor with a checklist of information that must be reviewed as a part of the audit to assess project compliance and the quality of documentation presented. More details on the audit will be provided when available.

The purpose of the Standard is to assess the quality of engagement projects. It is therefore important that practitioners are familiar with IAP2's agreed descriptions for 'quality'.

For each Core Value, a set of criteria describes the professional community's expectation of quality application. The Evaluation Framework (page 23) provides a summary of these descriptions for the level of quality achieved depending on the evidence presented.

IAP2 Quality Assurance Standard Process for Community and Stakeholder Engagement:

1. Problem Definition
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Evaluation Framework

IAP2 Core Values	Indicators	Level of Quality			Evidence
		Elementary	Emerging	Exemplary	
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.	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 collaboration with stakeholders.	Decision making framework developed.
	Decision making process clearly communicated	No decision making process communicated	Decision making process communicated to stakeholders.	Decision making process communicated to stakeholders via with stakeholders preferred communications channel	Challenges and decisions to be made are published Governance structures within the decision making body are communicated 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 stakeholder base throughout the process have been considered.	Communications with stakeholders are recorded Minutes of meetings are recorded
2 Public participation includes the promise that the public's contribution will influence the decision.	Appropriate level of engagement has been endorsed by decision maker	No specific level of engagement identified by decision maker	A level of engagement has been identified by the decision maker.	Stakeholders are involved in establishing the level of engagement	Communications to stakeholders outline level of influence
	Level of stakeholder influence clearly communicated to stakeholders.	Level of stakeholder influence established but not communicated to stakeholders	Stakeholders are informed that their input will influence the decision making process	Stakeholders are informed of what aspects of the decision making process can be influenced and which cannot be influenced.	
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	No understanding of current concerns of participants	No demonstrated understanding of stakeholder interests and needs	Barriers to participation have been identified & efforts made to overcome them	Techniques aligned to stakeholder interest and level of engagement.
	Engagement techniques identified to support interests and needs.	No demonstrated understanding of stakeholder interests and needs	Demonstrated understanding of stakeholder interests and needs	Knowledge of stakeholder interests and needs are based on stakeholder input.	Stakeholders engaged to identity 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	Unrealistic expectation from the sponsor	Existing resources and networks have been effectively utilized.	Stakeholder input sought for engagement methods. Project sponsor facilitated additional support resources	Stakeholder participation requirements have been identified Blocks to participation have been identified and overcome.
	Thorough stakeholder analysis completed	No or little stakeholder analysis conducted	Initial stakeholder analysis conducted	Iterative stakeholder analysis conducted.	Stakeholder 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 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 influenced the process for the project
6 Public participation provides participants with the information they need to participate in a meaningful way.	A balanced set of information has been provided.	Limited information provided to participants prior to the engagement process.	Balanced information provided reflecting all sides of the argument relating to the decision to be made.	Expert, objective and independent content has been openly made available to all participants.	The range, quality, format and timing of materials that are made available to inform participants in advance of the engagement process.
	Communication tailored for audiences and channels appropriately identified.	Standard language and collateral offered across all communications	A range of communications channels are offered based on good practice and previous experience.	Stakeholders have been actively engaged to identify appropriate communications channels	Stakeholders are engaged in shaping the form and content of 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 of no feedback is offered or promised to participants	All feedback is collated and made freely 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.

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Terms and Definitions

For the purposes of this Standard the following terms and definitions have been adopted from a range of sources.

Term	Definition	Source
Assessment	Demonstration that specified requirements relating to the process are fulfilled.	ISO22222:2005 Personal Financial Planning – Requirements for personal financial planners.
Community Engagement	A planned process with the specific purpose of working with identified groups of people, whether they are connected by geographic location, special interest or affiliation, to address issues affecting their wellbeing.	Queensland Department of Emergency Services (2001) Charter for community engagement, Community Engagement Unit, Strategic and Executive Services, Queensland Department of Emergency Services.
Community Engagement Model Definitions:		
To Lead	Identifying the problem or the purpose and initiating the engagement.	IAP2 Australasia Certificate in Engagement.
To Act	Deciding to act on the problem or consequence of the matter raised.	IAP2 Australasia Certificate in Engagement.
Context	A statement of internal and external parameters that may impact the achievement of objectives and shall therefore be defined and considered at the project outset.	ISO/AS:NZS 31000:2009 Risk Management Principles and Guidelines.
Core Values	Refer to page 09.	IAP2.
Engagement	Engagement is a planned process with the specific purpose of working across organisations, stakeholders and communities to shape the decisions or actions of the members of the community, stakeholders or organisation in relation to a problem, opportunity or outcome.	IAP2 Australasia Certificate of Engagement 2014.
Evaluation	Assessment of the effectiveness or results of a project or the resources that contribute to the achievement of project objectives.	ISO5127:2001 Information and documentation — Vocabulary.
Governance	Processes and systems by which an organisation or project team system directs and controls itself.	ISO/TR 11633–1:2009 Health informatics — Information security management for remote maintenance of medical devices and medical information systems.
IAP2	International Association of Public Participation.	
Monitoring	Continually checking, supervising, critically observing or determining the status to identify change from the performance level required or expected.	ISO/AS:NZS 31000:2009 Risk Management Principles and Guidelines.
Public	Those stakeholders who are not typically part of the decision making entity or entities.	
Public Participation	Any process that involves the public in problem solving or decision making and that uses public input to make better decisions. It includes all aspects of identifying problems and opportunities, developing alternatives and making decisions. It uses tools and techniques that are common to a number of dispute resolution and communication fields.	IAP2 Planning for Effective Public Participation, 2006.
Review	Process whereby activities are verified against the principles and requirements of project and QAS.	ISO 14044:2006 – Environmental Management.
Spectrum	The IAP2 Public Participation Spectrum, which is designed to assist with the level of engagement that is required depending on the community's or stakeholder's role.	IAP2.
Stakeholders	Any individual, group of individuals, organisation or political entity with an interest or stake in the outcome of a decision.	IAP2.

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