

# **Stakeholder engagement strategy 2016–2018**

October 2016

## **CONTENTS**

Context .....	3
The IPCC's stakeholder landscape .....	4
What do we want to achieve? .....	6
How will we get there? .....	7
How will we know we have succeeded? .....	16

## **ANNEX A: Key concepts and definitions**

What is stakeholder engagement? .....	19
Public and stakeholder participation .....	20
Planning engagement framework .....	21

## 1. Context

- 1.1 Our context is one of change; change to the police complaints and disciplinary system announced through the Policing and Crime Bill, change to the IPCC as we grow to deliver more independent investigations and a changing public and community context. We are seeing greater demands for public services to be accountable alongside rising grassroots activism, increasingly aligned to international civic movements on policing issues.
- 1.2 Our primary purpose is to ensure there is public confidence in the police complaints system. As such **improved public confidence**, particularly among communities that have low confidence, is the overall outcome we aim to achieve. Engaging with voluntary and community sector and advocacy groups that represent the public, complainants and families or intersect with policing will be a key priority.
- 1.3 Changes proposed by the Government intend to bring much-needed simplification to the current system, an extension of our remit and a range of new IPCC powers. As we exercise those powers and undertake significantly more independent investigations, it is important that we listen to the individuals and organisations under our jurisdiction to ensure we do so in the most effective way possible, and that they also have confidence in us.
- 1.4 At the same time, forces will remain responsible for investigating the majority of the approximately 30,000 complaints about the police each year. Police and Crime Commissioners (PCCs) will also have a new statutory role. Ensuring that we have productive relationships with forces, PCCs and the Mayors' Offices for Policing and Crime will be critical if we are to improve the way that forces handle complaints and thus secure public confidence in the system as a whole.
- 1.5 The Policing and Crime Bill contains provisions for a new governance structure that will see a single Director General leading our organisation and will allow for a number of regional directors and a national director for Wales with delegated decision-making and public-facing responsibilities. As an organisation with a remit across England and Wales, our approach to stakeholder engagement must reflect both the implications of a devolved administration in Wales and the ongoing programme of devolution across England's towns, cities and counties – including the introduction of directly elected Mayors, who will replace PCCs in some areas. We seek to balance the imperative to focus on our overall priority of enhancing the confidence of young people and BME communities, with a flexible approach to stakeholder

engagement that reflects particular circumstances in Wales and the English regions.

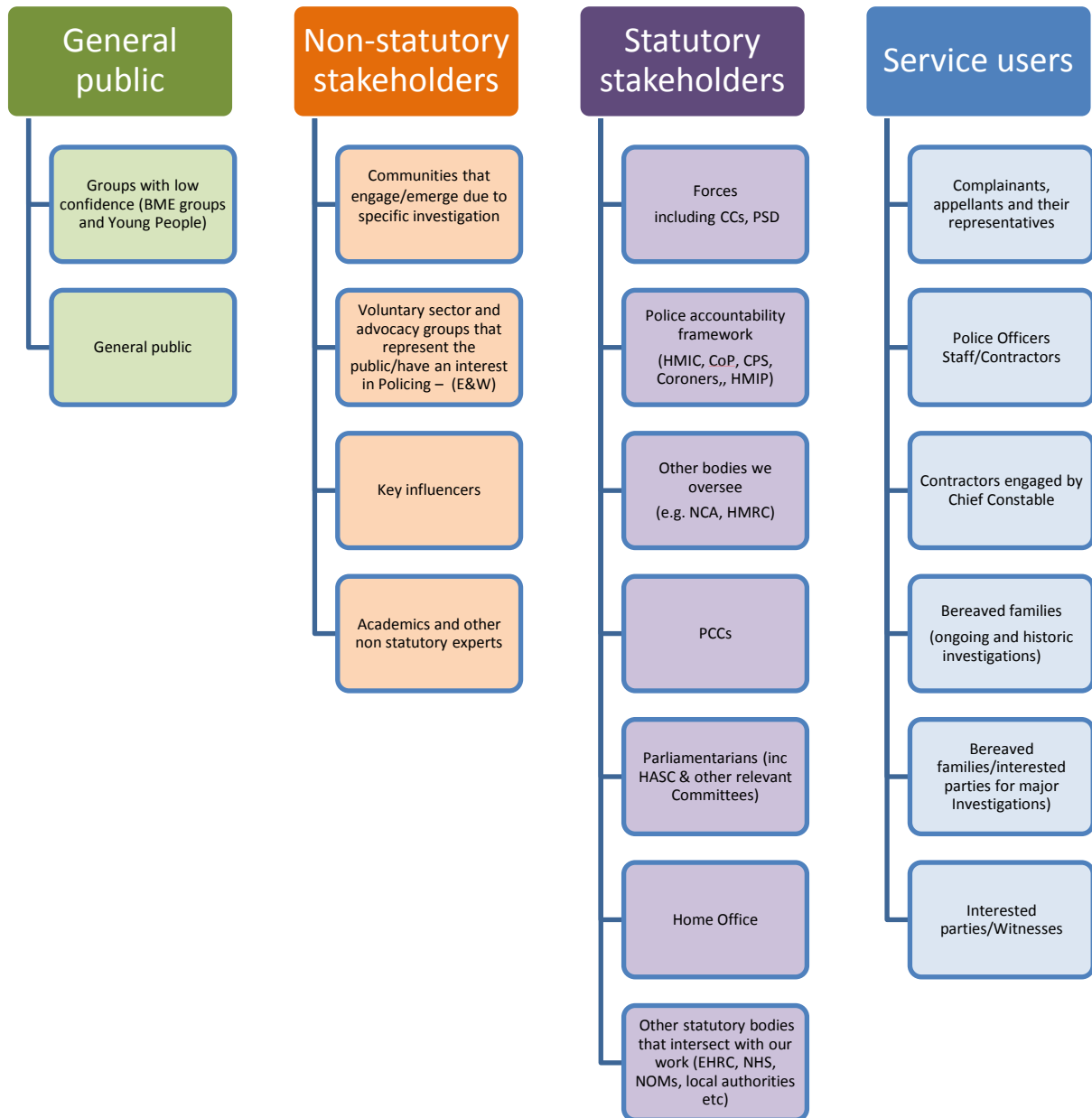
- 1.6 The police accountability framework has specific roles and responsibilities for a range of statutory policing and criminal justice bodies. Our work must complement and not duplicate theirs, and so we will be focused on the stakeholder engagement needs that are essential in delivering our specific remit as set out in our corporate objectives.
- 1.7 Our stakeholders are diverse and often hold opposing views both in relation to our work and to the wider complaints system. We are committed to ensuring that we pay attention to the views and motivations of all our stakeholders, including those that are or have been critical of our work, while preserving the independence of our decision making. This is essential to our investigative and appeal functions.

## 2. The IPCC's stakeholder landscape

### *Who are our stakeholders?*

- 2.1 The IPCC has a complex stakeholder landscape, which includes:
  - the general public
  - statutory stakeholders
  - non-statutory stakeholders
  - service users
- 2.2 The dynamics for working with the different types of stakeholder are very different. We have established mechanisms for engaging with many of our statutory stakeholders, including an oversight team to lead on force liaison, regular meetings with PCCs and memorandums of understanding (MOUs) between ourselves and other statutory bodies that our work intersects with. These mechanisms will be maintained and improved.
- 2.3 Non-statutory stakeholders and service users can provide insight of tremendous value to our work. We can learn a great deal from this, but non-statutory stakeholders and service users face particular challenges when asked to participate in engagement exercises. We intend to increase the opportunities for these stakeholders to be involved in meaningful engagement with us.
- 2.4 Service users are arguably our most important stakeholders and, as such, a regular and systemic approach to collecting and responding to **service user**

**feedback** is being developed. However, it should be noted that there may at times be a need to engage with or consult service users *as a group*.



2.5 The following IPCC stakeholders are considered outside of scope:

- Media & internal stakeholders. The media and our internal stakeholders (staff and commissioners) are important stakeholders for the IPCC and

our communication strategy sets out how we will work with and engage them.

### **3. What do we want to achieve?**

- 3.1 In line with our primary aim of improving **public confidence** in the police complaints system we have set out four specific objectives.

#### ***Objective 1: Improve public and stakeholder confidence in the IPCC***

##### ***The current position***

- 3.2 Our inaugural stakeholder survey (2016) presents a mixed picture of stakeholder views about the IPCC. Both policing and non-policing stakeholders largely agree that we act independently, operate with integrity and are impartial. However, most don't think that we complete investigations in a timely manner. Our evidence indicates that the length of our investigations is one of the biggest issues contributing to unfavourable perceptions of the IPCC. The quality of investigations is another area of concern to all stakeholders.
- 3.3 Police and PCC stakeholders are, on balance, more critical than non-policing stakeholders. Policing stakeholders think that their level of engagement with the IPCC is 'about right', while non-policing stakeholders would like more frequent contact, more information about the impact we are having, and easier access to our staff.
- 3.4 We also know from our public confidence survey that confidence is lowest among young people and those from BME communities.

##### ***Who are our strategic stakeholders?***

- 3.5 The strategic stakeholders for this objective are considered to be:
- The general public – low confidence groups
  - Non-statutory stakeholders – key influencers (non media)
  - Statutory stakeholders – forces, PCCs, other bodies we oversee, Parliamentarians, the Home Office, police accountability framework

##### ***Where do we want to be?***

- 3.6 We aim to:
- Improve public and stakeholder confidence in the IPCC, particularly among groups that have historically had lower levels of trust and confidence.

- Increase the opportunities for non-statutory stakeholders to have access to our staff and commissioners and create mechanisms for them to communicate their concerns.
- Increase awareness and understanding among the general public about our role, purpose and remit and the impact we are having.
- Improve the confidence of policing and PCC stakeholders in the IPCC.
- Increase awareness among stakeholders of the action we are taking to ensure that we deliver rigorous, high quality and timely investigations.

### ***How will get there? – Our strategic approach***

- 3.7 Undertaking more stakeholder engagement alone cannot deliver improved perceptions and advocacy from our stakeholders. Delivering more timely and high-quality investigations and appeals, work to improve how the police themselves handle complaints, and working with other agencies and oversight bodies to improve policing are all essential components in driving public and stakeholder confidence in the complaints system and in the IPCC.
- 3.8 We have a number of plans and projects in place to contribute towards achieving this. Our Target Operating Model has been designed to improve timeliness through quicker decision making, improved support services and ensuring that our staff have the right systems and tools for the job. To measure progress, a number of timeliness performance measures have been introduced to the IPCC's outcomes framework to ensure that we are better able to monitor and report on case timeliness. We have made good progress to date; decreasing the average duration of independent investigations by nearly 25% in 2015/16.
- 3.9 We launched our Quality Strategy in April 2016, which will be implemented through:
- robust quality assurance processes for the IPCC's operational work
  - a performance reporting framework and targets for the IPCC's operational work
  - a learning cycle process that draws learning from internal and external sources that leads to actions to improve the quality of our operational work
- 3.10 We launched our Oversight and Confidence (O&C) Strategy in July 2014. It sets out plans to improve the way in which complaints about the police are handled, including the creation of a dedicated force liaison and oversight team to work with commissioners to deliver our statutory oversight function. The O&C Strategy also sets out how we will work with other agencies and oversight bodies to improve policing.

- 3.11 Our Communications Strategy 2016/17 sets out how we will improve public awareness of the IPCC and our work. It includes the following activity with low confidence communities:
- Develop and deliver an insight-led communication campaign aimed at increasing the understanding of and confidence of young people.
  - Commission an insight led project to consider strategies for increasing trust among BME communities.
- 3.12 Through our stakeholder engagement we need to:
- ensure that key messages about our performance and impact are shared with our stakeholders
  - ensure that mechanisms are in place for stakeholders to raise their concerns with us (and vice versa), including an issue escalation process to resolve matters of high concern
  - establish internal decision-making processes to review and respond to stakeholder insight and ensure it feeds into our business planning cycles, informs our assessment framework and our ongoing operational learning
  - ensure that mechanisms are in place for stakeholders to be involved effectively in our service reviews and strategic policy/research projects

*General public and non-statutory stakeholders*

- 3.13 We will seek to establish ongoing regular mechanisms of engagement with non-statutory stakeholders that work with, represent or have the trust of low-confidence communities. As an organisation with a remit across England and Wales, but without a local footprint in all force areas, we are unable to undertake in-depth engagement with all community stakeholders in every locality. Our approach will be to ensure that we improve the confidence of key influencers and advocates and work with them to improve the confidence of the communities they work with and support.
- 3.14 We will do this through:
- Identifying **key influencers** (particularly those that work with or have the confidence of low-confidence groups) across England and Wales and:
    - assigning our commissioners and staff as relationship owners and putting in place regular engagement meetings using a flexible approach based on local need
    - sending regular strategic communications on impact, including our learning the lessons bulletin
    - ensuring that they have, where appropriate, the opportunity to be involved in any specific reviews of policy or service that we conduct



- Establishing **networks of advocacy organisations** and using a combination of targeted communications, events, and other engagement activity to provide:
  - information/training to improve their understanding of the complaints system so they can support the clients they work with
  - case studies of where the complaints system has worked and achieved outcomes that have delivered accountability
  - mechanisms for people who advocate on behalf of individuals to provide feedback on levels of confidence, and areas for improvement as well as the opportunity, where appropriate, to be involved in our service or policy reviews

We anticipate that we will move to a structure with a number of regional directors and a national director for Wales. The mechanisms (for example, informal meetings, attending existing networks, creating stakeholder forums) we use to allow stakeholders to provide feedback will need to be flexible and take into account local circumstances and need in Wales and each English region.

3.15 Finally, our stakeholder survey indicates that one of the key drivers for improving the positive perceptions of non-statutory stakeholders is the extent to which they think **IPCC is led by effective senior staff**. Non-statutory stakeholders have also often told us the fact that the IPCC continues to employ ex-police officers/staff causes them concern. To try and address some of these concerns we have:

- launched our people strategy, which sets out how we will attract, retain and recruit a diverse and balanced work force that reflects the communities we serve. This includes growing more of our own people for different roles
- Introduced a policy that restricts ex-police officers who work for us from conducting investigations into a police force where they have worked

3.16 We will also:

- explore the feasibility of involving stakeholders in our **recruitment process** – through the creation of interview questions and involvement in recruitment exercises
- promote the opportunities that exist for non-statutory stakeholders to be involved in training for our commissioners and staff (including through events sponsored by our staff equality networks)

### Statutory stakeholders

3.17 We have established mechanisms for engaging with many of our statutory stakeholders on a regular and ongoing basis; these include:

- an oversight team to lead on force liaison

- regular engagement meetings with Chief Constables and PCCs
- parliamentary liaison on cases and on strategic matters
- ongoing liaison with the Home Office
- MOUs between us and other statutory bodies

3.18 Going forward, we will:

- Review our force oversight model to drive up complaint standards – ensuring that forces continue to have a single point of contact at both operational and strategic levels that acts as conduits for updates and feedback on IPCC performance, and through regular engagement and training events as they are required.
- Build on our engagement with PCCs through regular meetings and ensuring that PCCs and their offices have single points of contact at both operational and strategic levels, and by delivering against our protocol with the Association of Police & Crime Commissioners.
- Ensure that all the organisations we oversee are assigned a relationship owner and that regular engagement meetings with them take place.
- Put in place a framework for entering into MOUs with external stakeholders that will set out clear criteria for when agreements should be put in place, and ensure that relationship owners exist for all agreements.
- Conduct regular public confidence and stakeholder surveys to measure the impact of our work.

***Objective 2: Improve our operational practice and strategic decision making***

***The current position***

3.19 We have built on our model of engagement to support strategic projects (most recently, our guidelines on investigating allegations of discrimination and use of force research project) to ensure that they are informed by a comprehensive engagement plan that includes:

- External reference groups with policing, voluntary sector and academic representatives to provide critical challenge and insight.
- Working through interest and advocacy groups to engage service users on our behalf.
- Providing the opportunity for community organisations and individuals to inform our work through a series of engagement events across England and Wales.

3.20 We have also launched our Quality Strategy and are putting in place quality assurance processes for investigations, appeals and referrals. In addition, we

recognise that our service users are our most important stakeholder and as such there is a discrete change programme project underway to improve service user experience and ensure that the IPCC routinely collects user feedback that informs our quality assurance process and supports continuous improvement.

***Who are our strategic stakeholders?***

- 3.21 The strategic stakeholders for this objective are considered to be:
- non-statutory stakeholders – voluntary sector and advocacy groups that represent the public or have an interest in policing.
  - statutory stakeholders – forces, PCCs, other statutory bodies that intersect with our work
  - service users – complainants, appellants and their representatives
  - service users – bereaved families and their representatives
  - service users – police officers/staff that are subjects in our investigations

***Where do we want to be?***

- 3.22 We want to:
- Contribute to improving quality and service user experience through ensuring that service users and stakeholders have the opportunity to inform our service reviews, strategic projects and business planning.

***How will we get there? Our strategic approach***

- 3.23 Involving external stakeholders in quality improvement processes offers one of the best opportunities to undertake meaningful engagement that delivers demonstrable impact. To deliver our Quality Strategy, we are putting in place revised quality assurance processes for appeals, referrals and investigations. This includes the creation of our operations learning cycle, which is designed to convert findings from our quality reviews into changes that will improve the quality of our work. Our quality assurance processes will identify trends and themes and determine an annual programme of thematic reviews, which can include:
- in-depth reviews targeting a particular operational process (for example, conducting interviews, handling evidence, disclosure, etc)
  - reviews of closed cases focusing on the handling of particular types of cases (for example, use of force or child sexual exploitation)
  - reviews of closed cases to evaluate the impact of a new process, legislative requirement or training package

3.24 We will ensure that we identify opportunities to involve stakeholders early and that mechanisms are put in place to facilitate their involvement when required. In order to do this we will:

- Produce regular insight briefings from our engagement activity across all our stakeholders and ensure that the insight gathered informs our quality learning cycle and business planning process.
- Create a corporate stakeholder engagement lead who will work with heads of function and the proposed regional directors and the National Director for Wales to ensure that opportunities for involving stakeholders in meaningful engagement are identified early and built into business plans.
- Ensure that our strategic projects and service reviews are developed with a comprehensive engagement plan that learns from our experience and takes into account service user and wider stakeholder experience and expertise; we will demonstrate how their feedback has impacted through a 'we asked, you said, we did' approach.
- Recognise that both service users and community and voluntary sector organisations have expertise from whom the IPCC can learn and set up mechanisms to enable service user involvement in service reviews and strategic projects.
- Recognise the challenges and barriers that some non-statutory stakeholders and service users may face when being asked to participate in engagement exercises, and consider the appropriateness of compensation where it may be necessary to secure their participation.
- Continue to deliver our external reference group and pilot strategic engagement mechanisms aligned to our anticipated move to a regional/Wales structure, test their efficacy and then put in place permanent solutions.

***Objective 3: Improve community confidence in the independence and effectiveness of our highest profile investigations***

***The current position***

3.25 In March 2016 we launched our interim approach to community and stakeholder engagement during critical incidents. In summary, where an investigation (or other incident) meets the IPCC's definition of a critical incident we will:

- conduct a community and stakeholder engagement assessment
- develop a community and stakeholder engagement plan to support the investigation and contribute to managing tensions

3.26 Our critical incident management process is used to develop and agree a robust plan for community and stakeholder engagement so that the release of

information is managed carefully. This protects the integrity of the investigation, and ensures that any engagement activity is aligned to our existing operational processes for family liaison and informing interested parties.

- 3.27 The actions we take in response to critical incidents vary and may include:
- participating in public meetings.
  - one-to-one engagement with key stakeholders.
  - arranging visits to our offices to explain how the IPCC works
  - issuing investigation updates and Q&As or using community reference groups
- 3.28 A flexible, non-prescriptive approach is required with each individual critical incident/investigation being assessed on a case-by-case basis to determine the best approach to community and stakeholder engagement.
- 3.29 To support the launch of this new approach we held a training and development day for staff and commissioners that featured presentations from academics on community profiling and mapping, the Metropolitan Police Service on the actions they take following a critical incident aligned to an IPCC investigation and a range of voluntary and community sector stakeholders that outlined barriers to engagement and how to overcome them.

#### ***Who are our strategic stakeholders?***

- 3.30 The strategic stakeholders for this objective are considered to be:
- non-statutory stakeholders – communities that arise/emerge owing to an investigation
  - voluntary and community sector groups that represent the public /have an interest in policing.
  - statutory stakeholders – forces, PCCs, parliamentarians

#### ***Where do we want to be?***

- 3.31 We recognise that taking early action to engage local communities and stakeholders on cases can support both a robust investigation and result in preventing a case becoming a critical incident in the future. This in turn can contribute to improving public confidence in the IPCC and the wider complaints system. As such we will:
- Engage with communities proactively in order to establish positive working partnerships that can be called upon when needed during critical incidents.
  - Increase our capacity to provide community and stakeholder engagement support to investigations or high-profile incidents.
  - Contribute to managing community tensions during critical incidents.

### ***How will we get there?***

3.32 We will:

- Prioritise engagement support to investigations along the same principles as those set out in the IPCC's Communications strategy, and put in place decision-making processes for investigations that fall out of our current critical incident management process.
- Use the experience of critical investigations to engage with key influencers and advocates to ensure that we are building relationships with local and regional community stakeholders outside of crisis.
- Ensure that all insight gained through supporting investigations is recorded and ensure corporate memory is retained.
- Put in place systems to ensure that any new stakeholders identified are offered the opportunity to register an interest in being kept updated about our work and future opportunities for involvement.
- Put in place routine feedback collection so we can assess the impact of engagement activity undertaken.

### ***Objective 4: Ensure the IPCC has the structure, roles and capacity in place to deliver against this strategy***

#### ***The current position***

3.33 Aside from a ring-fenced team to support the Hillsborough Investigation, the IPCC has no dedicated function within its current structure to support stakeholder engagement. Currently, activity sits across a number of teams, including commissioners (and their support officers), Policy and Engagement, and Oversight and Operations. In addition, there is limited capacity to provide engagement support to investigations, an engagement skills and expertise gap across staff, and limited recording and sharing of insight from the engagement activity that does take place.

#### ***Where do we want to be?***

3.34 We want to establish a central co-ordinating function that oversees delivery against this strategy, with key responsibilities including:

- Identifying and prioritising stakeholders across England and Wales.
- Seeking agreement on relationship owners and co-ordinating our strategic approach to ongoing stakeholder engagement.
- Pulling together insight briefings to inform business planning, operations and quality assurance.

- Putting in place and supporting any agreed engagement mechanisms or events.
- Putting in place training and support for all commissioners and staff involved in engagement activity.

3.35 A key aim is to develop an internal culture that recognises that ‘openness’ should be our default position, and that enables and encourages commissioners and staff to actively seek out public and stakeholder views with confidence as their feedback will result in our delivering improved services.

***How will we get there?***

3.36 We will:

- Create and adequately resource the central co-ordinating function, which will support commissioners (and in future, directors) to carry out engagement using their local resources.
- Identify, marshal and co-ordinate existing and potential future resources at local and regional level, taking full account of the Target Operating Model and of the new governance arrangements and emerging senior management structure.
- Source and deliver appropriate training, and create and disseminate clear guidance to all staff.
- Through the Knowledge and Information Management strategy, develop and implement tools, such as the Knowledge Base and the intelligence model, and ensure the accuracy of the stakeholder information we hold through the Data Quality project.
- Define and apply quality standards for stakeholder engagement, and promote these throughout the organisation.
- Ensure that all commissioners and staff have the opportunity to listen to a wide range of stakeholder views through a variety of mechanisms including:
  - acting as relationship owners for certain stakeholders
  - opportunities to be involved in planned engagement activity and mechanisms
  - opportunities to be involved in supporting critical incidents/high-profile investigations
  - access to regular stakeholder insight briefings
  - opportunities to listen to stakeholder views through training or through involvement in our recruitment processes

#### 4. How will we know we have succeeded?

4.1 Performance objectives are set out below. In addition, all engagement exercises undertaken, including permanent mechanisms developed, will have clear specific objectives that allow the efficacy of the approach to be determined.

Objective 1: Improve public and stakeholder confidence in the IPCC		
Public confidence survey questions		
Key evaluation criteria	<b>To what extent do you agree or disagree with the following statements...the IPCC is effective in:</b>	
	<ul style="list-style-type: none"> <li>- improving the way the police deal with complaints?</li> <li>- ensuring the police service learns from complaints?</li> <li>- raising standards in police forces to ensure that mistakes are not repeated?</li> <li>- indentifying police misconduct?</li> </ul>	
	Benchmark (2014) 'strongly/tend to agree'	<b>General public:</b> 53%, 53%, 52%, 52% <b>BME:</b> 59%, 56%, 53%, 56% <b>15-24:</b> 58%, 56%, 56%, 57%
	Target (2018)	Statistically significant increase across each group.
Key evaluation criteria	<b>How confident are you that the IPCC is impartial?</b>	
	Benchmark (2014) 'Very/fairly'	<b>General public:</b> 77% <b>BME:</b> 71% <b>15-24:</b> 77%
		Target (2018)
Stakeholder survey questions		
Key evaluation criteria	<b>How well do you understand the role and objectives of the IPCC?</b>	
	Benchmark (2016) 'Fully/good understanding'	<b>Policing:</b> 85% <b>Police acct:</b> 73% <b>Public (VCS):</b> 59%
		Target (2018) 'Fully/good understanding'
	<b>How favourable/unfavourable is your overall opinion of the IPCC</b>	



Key evaluation criteria	Benchmark (2016) 'Very/fairly favourable'	<b>Policing:</b> 26% <b>Police acct:</b> 44% <b>Public (VCS):</b> 47%
	Target (2018) 'Very/fairly favourable'	Statistically significant increase across each group.
Key evaluation criteria	<b>How effective, or ineffective, do you think the IPCC is in the following areas:</b>	
	<ul style="list-style-type: none"> <li>- in improving the way the police deal with complaints?</li> <li>- in ensuring the police service learns from complaints?</li> <li>- in raising standards in police forces to ensure that mistakes are not repeated?</li> <li>- in identifying police misconduct?</li> </ul>	
	Benchmark (2016) 'Very/fairly effective'	<b>Policing:</b> 40%, 54%, 42%, 42% <b>Police acct:</b> 50%, 44%, 50%, 41% <b>Public (VCS):</b> 35%, 40%, 29%, 44%
	Target (2018) 'Very/fairly effective'	Statistically significant increase across each group.
Key evaluation criteria	<u>Qualitative measures</u> We will record stakeholder feedback for our activity.	

### Objective 2: Improve our operational practice & strategic decision making

#### Stakeholder survey questions

Key evaluation criteria	<b>How easy do you find it engaging with the IPCC?</b>	
	To what extent do you agree/disagree with: <ul style="list-style-type: none"> <li>- The IPCC values its relationship with you</li> <li>- The IPCC is proactive in engaging with you</li> </ul>	
	Benchmark (2016) TBC	<b>Policing:</b> <b>Police acct:</b> <b>Public (VCS):</b>
	Target (2018)	Statistically significant increase across each group.
Key evaluation criteria	<u>Qualitative measures</u> <ul style="list-style-type: none"> <li>• Individual stakeholder feedback</li> <li>• Evidence of changes in practice resulting from stakeholder feedback</li> </ul>	

### Objective 3: Improve community confidence in the independence and effectiveness of our highest profile investigations

#### Stakeholder survey questions

Key evaluation criteria	<b>To what extent do you agree/disagree:</b> <ul style="list-style-type: none"> <li>- The IPCC provides enough information to reassure and inform communities and stakeholders during serious incidents</li> </ul>
-------------------------	--

	Benchmark (2016) 'Strongly/tend to agree'	<b>Policing:</b> 19% <b>Police acct:</b> 16% <b>Public (VCS):</b> 22%
	Target (2018) 'Strongly/tend to agree'	Statistically significant increase across each group.
Key evaluation criteria	<u>Qualitative measures</u> <ul style="list-style-type: none"> <li>• Community &amp; stakeholder feedback</li> <li>• Press &amp; social media analysis following engagement exercises</li> </ul>	

**Objective 4: Ensure the IPCC has the structure, roles and capacity in place to deliver against this strategy**

Key evaluation criteria	<ul style="list-style-type: none"> <li>• Structure in place by 31 March 2017</li> <li>• Quality measures defined and implemented by 31 March 2017</li> <li>• Staff survey and other feedback on clarity of understanding about role and responsibilities, quality of guidance and training</li> </ul>
-------------------------	---

## Annex A – Key concepts and definitions

### What is stakeholder engagement?

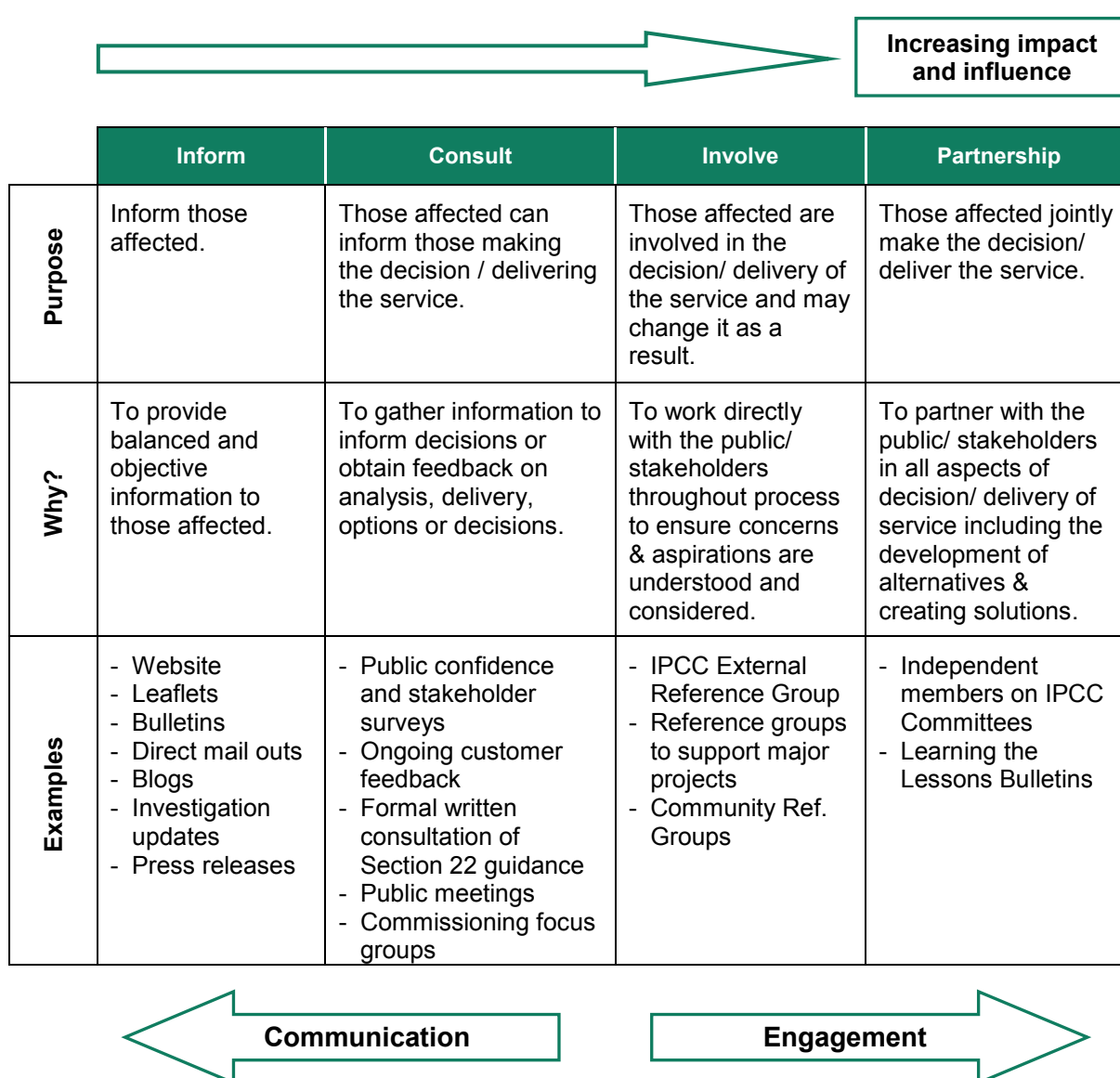
Stakeholder engagement is built on the premise that those groups (or individuals) who can affect, or are affected by, the achievement of an organisation’s purpose should be given the opportunity to influence decisions that affect them. It is important that there is a clear and consistent understanding about the different types of engagement that can take place.

Ref.	Description	Key principles
<p><b>Public and stakeholder participation</b></p>	<p>The process by which an organisation consults with or involves interested or affected individuals or organisations before making a decision or in relation to the ongoing delivery of its services.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>- Detailed engagement plan to support the review of the discrimination guidelines.</li> <li>- Formal written consultation on section 22 guidance.</li> <li>- A community reference group to support an independent investigation.</li> </ul>	<ol style="list-style-type: none"> <li>1. The public, organisations representing their interests and our wider stakeholders have opportunities to contribute to developing IPCC policy, guidance and influence the way we deliver our services.</li> <li>2. Be representative whether by gender, race, age, class, sexual orientation, education or religion &amp; belief. This contribution is central to ensuring that the IPCC delivers high quality services that meet the public’s &amp; our stakeholders’ needs and expectations.</li> <li>3. Occurs at different levels of participation.               <ul style="list-style-type: none"> <li>- Inform</li> <li>- Consult</li> <li>- Involve</li> <li>- Partnership</li> </ul> </li> <li>4. Increasing influence and impact occurs as you move from the ‘inform’ to the ‘partnership’ level.</li> </ol>
<p><b>Stakeholder Engagement (external)</b></p>	<p>Proactive practices, strategies and technologies that allow us to manage and analyse stakeholder interactions and related insight with the goal of improving relationships with stakeholders, taking action for mutual benefit and ultimately driving stakeholder advocacy.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>- Developing an MOU.</li> <li>- Engagement via agreed processes on individual cases.</li> </ul>	<ol style="list-style-type: none"> <li>1. Characterised by a long-term commitment from both parties.</li> <li>2. Encourage ethical challenge and be characterised as ‘two-way’ so that both sides have the opportunity to exchange views and information, to listen, and to have their issues addressed.</li> <li>3. Targeted at those most likely to be affected by our work.</li> <li>4. Clarity of key point contacts.</li> <li>5. Deliver benefits for both parties.</li> </ol>

## Public and stakeholder participation

### Levels of engagement – the ladder of participation

We have adapted the International Association for Public Participation’s spectrum of participation (which is based on Arnstein’s<sup>1</sup> ladder of participation) to set out the different levels of engagement we will use in delivering this strategy. Our aim is to undertake engagement that offers greater influence to participants wherever possible. A key part of our approach will include always being clear about which level is being attempted in any given engagement exercise so that participants can make an informed decision about taking part.



<sup>1</sup> Arnstein, Sherry R. "A Ladder of Citizen Participation," JAIP, Vol. 35, No. 4, July 1969, pp. 216-224

## Communication Vs engagement

There is a very clear dependency between this strategy and the IPCC **communications strategy**. It is important to be clear about the difference between the two.

- **Communication** is about connecting with people (the public and our stakeholders) by sending them information usually to raise awareness, change perception or behaviour. This can be done through multiple different channels, be interactive or 'two-way' and should be led by audience insight.
- **Engagement** is about focusing more on listening, to what others want and need and ultimately in involving them in problem solving or decision making. Like communication, it should also be led by audience insight

There will be times when communication is appropriate rather than engagement, vice versa or a combination of the two.

### **Planning engagement framework**

When we plan any engagement exercise or build a regular engagement mechanism we will define its scope clearly by answering the following questions:

#### **1. What is the purpose of the engagement exercise?**

Establishing a clear purpose is the single most important stage of any engagement process. The purpose should:

- enable the creation of a shared understanding between the IPCC and those participating of the potential impact of the exercise, and
- include clarity of outputs and outcomes.

#### **2. What is our promise to those participating?**

We must be clear about what the engagement exercise will change. Being clear what is 'up for grabs' is critical. Defining this will require liaison with the decision maker, who must provide a clear statement about what can change. The International Association of Public Participation calls this the '**Promise to the Public**'.

#### **3. Is engagement really appropriate?**

A good engagement exercise should be embedded in the wider context and consider implications of other work being conducted and any related or local issues. Also, there is no point in considering an engagement exercise if:

- Nothing can change no matter what the results of the engagement are.
- There is no demand or interest from potential participants.
- There are insufficient resources to make the process work.

#### 4. What are the risks?

All engagement exercises carry some risk, these can include:

- **Reputational** – everyone involved in an engagement exercise, including participants, risk potentially damaging their reputation when participating in an exercise.
- **Resources** – engagement exercises require funding; they take time, and they require skilled staff, which has implications for other priorities an organisation may have.
- **Relationships** – poorly designed engagement exercises and failure to deliver promised outcomes can damage relationships and undermine confidence in the organisation.

#### 5. What level of engagement is being sought?

Will the exercise:

- **Inform** – inform those affected
- **Consult** – inform those making the decision
- **Involve** – change the decision
- **Partnership** – jointly make the decision

#### 6. Who should be involved?

The exercise should involve the right participants and the way in which participants are selected should be as transparent as possible.

#### 7. How will the exercise be evaluated?

This needs to be considered up front and factored into planning and resources.

#### 8. What engagement method should be used?

This will largely be guided by the level of engagement being conducted and resources available. Methods include:

- **Appreciative inquiry** – used to create a vision for the future and the plans to achieve it.
- **Citizen juries or panels** – small groups of non-specialists brought together to examine particular issues.
- **Consensus conferences** – panels of citizens that question experts/providers about particular issues.
- **Consumer voice panels** – panels of service users brought together to discuss service quality or other related topics, and identify concerns and ideas for improvement.
- **Deliberative mapping** – involves specialists, stakeholders and the public to assess how participants rate different priorities.
- **Deliberative polling** – measures what the public might think about an issue by observing a test group of citizens' views as they learn more about a topic.

- **Digital engagement** – including online forums and the development of virtual networks.
- **Future search conference** – bringing together stakeholders to develop a shared vision and priorities for delivery.
- **Open space events** – allows unlimited participants to form their own agenda and discussions around a central them.
- **Youth empowerment initiatives** – bespoke targeted initiatives to encourage youth participation.

#### **9. How will the IPCC respond?**

It is essential that explicit links are made between an engagement exercise and who is responsible for decisions arising from it that affect subsequent actions. Clarifying how the institution will respond should be determined at the outset.

**IPCC**

**October 2016**