



**LAGOS STATE GOVERNMENT**

**Stakeholder Engagement**  
*Working together to build the Lagos Vision*

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**MINISTRY OF ECONOMIC PLANNING AND BUDGET**



# Content List

Abbreviations and Acronyms	
Executive Summary	
Section One: About this Guidance .....	1
Section Two: Introduction.....	2
Using the Guidance .....	2
Background .....	2
Defining Consultation and Participation .....	3
Why Consult and Involve Stakeholders?.....	4
International Best Practice .....	5
Existing Procedures and Practice in Lagos State.....	5
High Level Consultation.....	6
Sector Level Consultation.....	6
Strengthening the Lagos approach to Public Consultation and Participation.....	7
Section Three: Principles and Scope .....	8
Consultation and Participation Principles .....	8
Applying the Principles.....	8
Roles for different stakeholders .....	9
Subjects of Consultation .....	10
Timing of consultation.....	11
Making Information Useful and Accessible.....	11
Transparency and feedback.....	11
Section Four: Guidance checklist.....	13
The Essentials .....	13
Getting Started.....	13
Getting started checklist .....	14
Planning the consultation.....	14
Planning consultation checklist .....	14
Doing Written Consultation .....	14
Doing Written Consultation Checklist.....	15
Doing Consultation - Other Methods .....	15
Other methods: checklist .....	16
Concluding a Consultation .....	16
Concluding a consultation checklist .....	16
Evaluating Consultation .....	16
Evaluation: checklist .....	17



Annex One: International Best Practice.....	18
International Agencies .....	18
National and Regional.....	18
Professional Guides on Public Participation .....	20
Annex Two: Relationships between public, private and civic sector .....	22
Annex Three: How to undertake a Stakeholder Analysis.....	24
What is Stakeholder Analysis?.....	24
Who Are Stakeholders? .....	24
Major Attributes to Consider.....	24
When to Conduct Stakeholder Analysis .....	25
Data Collection .....	25
Analysing Data and Designing Strategy.....	25
Annex Four: Consultation Evaluation .....	27
Evaluation of your consultation .....	27
Evaluation checklist: .....	27
Performance Management Issues .....	28



## Abbreviations and Acronyms

ADB	Asian Development Bank
CIPFA	Chartered Institute of Public Finance and Accountancy
DVRPC	Delaware Valley Regional Planning Commission
EU	European Union
EXCO	Executive Council
ICT	Information Communication and Technology
IFAC	International Federation of Accountants
IGR	Internally Generated Revenue
IMF	International Monetary Fund
LASEEDS	Lagos State Economic Empowerment and Development Strategy
LAWMA	Lagos Waste Management Agency
LSDP	Lagos State Development Plan
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MEPB	Ministry of Economic Planning and Budget
MTSS	Medium Term Sector Strategy
NGOs	Non-Governmental Organisations
PS	Permanent Secretary
SA	Stakeholders Analysis



## Executive Summary

This guidance on Stakeholder Management is to help all Ministries, Departments and Agencies (MDAs) within Lagos State establish the basic principles and practice of public consultation and participation in the development processes of the state. The purpose is to improve service delivery and sustainable development through effective and inclusive planning, monitoring and evaluation.

The guidance is not intended to be prescriptive; instead it is designed to prompt staff to consider a full range of issues and options when deciding how to consult.

The guide points out that involving the public and stakeholders in development processes is enshrined in the National Constitution and is endorsed by Lagos State. It is a key part of the philosophy running through the Lagos State Development Plan (LSDP) as has been pointed out by His Excellency, the Governor in his Foreword to the Plan.

The Guide defines Public Participation and Stakeholders and points out the range of activities can spread from Information sharing to collaboration and public decision-making.

Following a review of International Best Practice and an assessment of current consultation practices in the state the Guide formulates two basic principles:

### ***Principle 1: Open Government and Citizen Engagement***

Public consultation shall be seen as part of state open policy implementation, where affected parties and experts join with the state to make well informed steps to effective and sustainable development.

### ***Principle 2: Proportionality***

The level of engagement will vary according to the stage and scale of that aspect of development that is being proposed.

The remainder of the Guide is a series of Checklists to help all parts of the state engage in planning, carrying out and evaluating consultation and participatory exercises.



## **Section One: About this Guidance**

In order to improve sustainable development through effective plans, the Ministry of Economic Planning and Budget (MEPB) provides this Guidance for all Ministries, Departments and Agencies (MDAs) within Lagos State to establish the basic principles and practice of public consultation and participation in the development processes of the state. The guidance on consultation methods in particular is not intended to be prescriptive; instead it is designed to prompt staff to consider a full range of issues and options when deciding how to consult. All consultation exercises vary and each individual consultation team is best placed to decide how to consult on their particular issue, taking account of all relevant factors including the issues under consideration, the objectives of the exercise and the target audience, and the wider policy environment. The aim is to achieve the optimum level of input for any given policy issue and for the effective and sustainable development of programmes and projects. The Guide is a resource to help staff achieve this. Ultimately, though, individual consultation teams in MDAs should be able to justify the particular strategy adopted in their exercise.

The guidance demonstrates the State's and MEPB's commitment to promote good practice in this important area of work. The guidance will continue to evolve in response to feedback from staff and development partners.



## Section Two: Introduction

This document provides good practice guidance to any MDA, individual or team within the Lagos State embarking upon a consultation exercise. It contains a series of checklists to guide staff through the key stages of the consultation process.

The MEPB attaches great importance to involving customers and stakeholders in developing strategies, policies and projects for development, and their implementation. The Ministry aims to achieve that involvement at an early stage and as part of an on-going dialogue. The consultation process remains fundamental to good government as a way of broadening the range of those who are engaged. The State's aim is to ensure that consultation is thorough, effective and appropriate to the target audience. This guidance is designed to facilitate this by promoting a consistent approach.

### Using the Guidance

The checklists here are designed to prompt teams to consider relevant issues and take appropriate action at each stage of the consultation process. It is, though, important to remember that not all consultation exercises will be the same (see Consultation Principle 2 below). Many factors will influence the consultation strategy used in any particular exercise but key factors for consideration should always be the objectives of the exercise, the needs of the audience and the possible uses of the outputs and outcomes of consultations. Final decisions about the strategy or programme adopted will also take account of other factors in the wider policy environment. Crucially, a consultation team should be able to justify the methods adopted in any exercise.

Please remember that consultation should be a dynamic process. The checklists here present consultation as a standard linear process. However, your strategy should always be kept under review and procedures revised as necessary to achieve your objectives.

### Background

The Lagos State Development Plan, 2012-2025 (2013) (LSDP or Plan) establishes a clear principle that the LSDP implementation will require a collaborative effort from all development partners, state and non-state actors as well as the public. As the Plan stated in Section 12.4,

*LASG cannot implement this plan alone. Implementation will be done through a coalition of public sector, private sector and the general public. The public sector includes parastatals and local government bodies. The private sector includes organised bodies like the Chamber of Commerce, Trade Associations, Market women associations and Individual corporations and traders. The general public include civil society bodies, residents associations, consumer associations and the taxpayers.*

This Guide is an MEPB document that provides the framework for the LSDP consultative processes between the state and non-state partners. As such it provides an important reference document and working guide to all parts of the State that seek in whatever way to implement the LSDP. As His Excellency the Governor says in his Foreword to the LSDP,



*“I commend this development policy document to every Lagosian, development partner, and all stakeholders in Lagos State. This is our plan. Therefore, all hands must be on deck to ensure its effective implementation and monitoring in order to realise the Lagos of our dreams”.*

The policy of stakeholder engagement for development is founded on the same broad principles that led to Lagos State Government's commitment to making citizen-centred public services a reality. The Service Charter Policy sets out guiding principles for reinvigorating, broadening and making service charters effective in improving public services and delivering state development plans. Service charters will ensure officials deliver services successfully and that they are responsive to citizens. This is part of the public consultation and participation approach of the state.

## **Defining Consultation and Participation**

*Public participatory* process is a multi-sectoral cooperation and collaboration between different stakeholders who are members of the larger public, with the objective of reaching consensus to bring about positive policy changes.

*Consultation* is a general framework used for helping relationships. It is oriented to helping managers, employees, and groups assess and improve processes, such as communication, interpersonal relations, decision-making and task performance. It involves information sharing; listening and learning; and participating in joint assessments.

*Participation* in development is the process through which people with an interest, stakeholders, influence and share control over development initiatives and the decisions and resources that affect them. In practice, it involves employing measures to: identify relevant stakeholders, share information with them, listen to their views, involve them in processes of development planning and decision-making, contribute to building their capacity and empower them to initiate, manage and control their own self-development<sup>1</sup>.

<b>Box 1</b>	
<b>Different Levels of Stakeholder Involvement</b>	
<b>Consultation</b>	<ol style="list-style-type: none"><li>1. <b>Information-sharing:</b> dissemination of documents, Public meetings, information seminars.</li><li>2. <b>Listening and learning:</b> field visits, interviews, consultative meetings.</li><li>3. <b>Joint assessment:</b> participatory needs assessment, beneficiary assessments</li></ol>
<b>Participation</b>	<ol style="list-style-type: none"><li>4. <b>Shared decision-making:</b> public review of draft Documents, participatory project planning, workshops to identify priorities, resolve conflicts, etc.</li><li>5. <b>Collaboration:</b> joint committees or working groups with stakeholder representatives, stakeholder responsibility for implementation.</li><li>6. <b>Empowerment:</b> capacity-building activities, self-management support for stakeholder initiatives.</li></ol>
Source: Adapted from World Bank, Participation Sourcebook, 1995.	

*Stakeholders* are individuals or organisations who are affected by policy issues or defined problems either directly or indirectly, and either positively or negatively.

<sup>1</sup> African Development Bank, Handbook on Stakeholder consultation and participation in ADB operations, 2001





Stakeholders who are involved in policy dialogues can be individuals, partners and/or consortiums (a union of people and organizations working to influence outcomes on a specific problem). Stakeholders can be:

- *Primary stakeholders* who are the beneficiaries of a development intervention or those directly affected (positively or negatively) by it. They include local populations such as customers of services in the project/program area, specifically the vulnerable and marginalized groups who have traditionally been excluded from participating in development efforts.
- *Secondary stakeholders* who are those who influence a development intervention or are indirectly affected by it. They include the state actors, and project staff, implementing agencies, local governments, civil society organizations, tax payers, private sector firms, and its shareholders and other development agencies.

Participation and consultation therefore involve stakeholders who are individual people, small groups, communities and/or organisations that may - directly or indirectly; positively or negatively – affect or be affected by the outcomes of the projects or programmes. It is therefore necessary to conduct a stakeholders' analysis to identify stakeholders, their needs, interest, relative power and potential impact on project outcomes. Annex 3 provides a guide to this task.

## **Why Consult and Involve Stakeholders?**

The value of involving stakeholders and development partners in development planning in Lagos is that it can improve communications, obtain wider community support or buy-in for projects, gather useful data and ideas, enhance state reputation, and provide for more sustainable decision-making.

Effective and meaningful consultation will be the cornerstone of Good Governance, which is a key cross-cutting element of the LSDP. Effective consultation increases the level of transparency and increases engagement with interested parties, thus improving the quality of policy making.

The potential spin-offs from a high-quality engagement process include:

- Strengthening of democracy by encouraging more active involvement by communities and other stakeholders.
- Improving the quality and sustainability of public and private-sector services
- Building greater community cohesion.
- Tackling complex problems in public sector service design and delivery.
- Enhancing the prospects for public private partnerships in delivering development projects.
- Identifying unintended consequences and practical problems.
- Building greater confidence in the State Government as an instrument in improving people's lives and being responsive to their needs and wishes.

Public/stakeholder engagement should be at the heart of any “sustainable development” agenda. Without engaging the people and stakeholders, there can be no common enduring agreement, ownership or support for a particular project. A venture is more likely to succeed, especially in the short-term, if it reflects the development needs of the wider stakeholders who will also be involved in evaluating progress of the programmes and projects. Success is also better assured in the long-term if it takes into consideration the: i) views of the stakeholders thereby ensuring ownership and political buy-in early in the programme/project, ii) the environment in which it operates and endeavours to meet the needs of those affected by it for



example, providing and /or improving on the service needs of its clients. Public/Stakeholder engagement could be viewed as a form of risk management once there is ownership and political backing. All MDAs will need to engage with a wide range of stakeholder groups, each with their own concerns, needs, conflicts of interest and levels of influence. In order for the development pillars of the LSDP to be effective, each sector will need to understand who the stakeholders groups are, what their issues are, and what motivates them.

## **International Best Practice**

Best international practice in the field of public consultation tends to view it as a key element of open and transparent governance. This, in turn is seen as vital in a modern world where increasing numbers of the general population as well as institutional actors have wide access to data, e-data and social media, where the public has become more demanding in terms of public services and where non-state development partners have significant power and resources. It is also seen as essential to improve outcomes and reduce costs through improved efficiency and compliance and support for public regulation and policy decisions.

Increasingly the international norm, especially for federal, national and state governments, is to adopt broad statements on public consultation and to issue guidelines to all arms of the public sector on how they should conduct consultations and what rights the public and non-state institutions have in regard to engagement with public policy making and implementation. It is common for city governments and municipalities to have this approach and for individual ministries and agencies to issue Stakeholder Management Plans or Guides.

Modern notions of public/stakeholder participation and consultation emerged in the 1960s in the USA and UK. Initially these concepts were developed in relation to planning, especially town and city planning. Public consultation became a legal requirement in the 1971 Town and Country Planning Act in the UK. Later in the 1970s, reflecting the growing awareness of environmental issues, public participation was embedded in many environmental policy areas. In 2001 the governments of Europe negotiated the Aarhus Convention, establishing minimum standards for promoting access to information, public participation in decision-making and access to justice in environmental matters. Public/stakeholder consultation and participation is now a general part of governance in most countries, reflecting demands for greater transparency and participation in policy decision-making by non-state stakeholders and the public generally.

In terms of best practice there are a number of examples of directives or general guides issued by regions, states and cities to ensure consultation and participation are embedded in all aspects of public service. A brief list and review of Guides, Handbooks and Toolkits that are available via the web, with references, are contained in Annex 1.

## **Existing Procedures and Practice in Lagos State**

There is no general Lagos State Policy Statement on the issue of Public/stakeholder participation. Rather, there have been a number of approaches adopted to meet specific needs. These range from the high level Lagos State Economic Summits (known as Ehingbeti Summits) to sector level stakeholder engagements undertaken by some MDAs on particular projects and programmes.



## High Level Consultation

This level encompasses engaging with stakeholders over the production and review of development plans; key economic and social strategies and actions; budget and revenue.

In the past, the approach to engaging the public and stakeholders in the development of priorities such as the 10 Point Agenda or the more comprehensive Lagos State Economic Empowerment and Development Strategy (LASEEDS) plan varied. In the case of the 10 Point Agenda, the priorities arose out of the perceived needs of the state for improved economic and social development, itself derived from the policies and programmes of the political party in office, endorsed overwhelmingly in successive elections. In the case of LASEEDS a major consultation exercise was undertaken and views sought from both the public and stakeholders. In the case of the LSDP the situation was different in that task was to rationalise and structure already agreed plans and strategies. A degree of consultation was involved, especially with MDAs to ensure that the base-line was accurate and that strategic statements and priorities reflected existing state and sector plans.

In the case of engaging with stakeholders on major economic and social strategies and actions the main example is the Lagos Economic Summits (Ehingbeti) held every two years and the Governor's monthly discussions with the leaders of commerce and industries, which includes the organised private sector and informal sector. Whilst some representatives of the Civic Sector do attend Ehingbeti there is not a specific forum of similar scale and significance that deals with social strategy and policy, nor with broad environmental issues.

In terms of revenue raising and budget information, the state holds an Annual Revenue Stakeholders conference, hosted by Lagos State Inland Revenue Services and chaired by the Governor. The conference is principally designed to improve internally generated revenue (IGR) needed for the development of the state but also affords opportunities for stakeholders to raise issues on tax and licenses. In the same vein the Annual Budget Stakeholders forum is chaired by the Governor and hosted by the Budget Department, Ministry of Economic Planning and Budget. It is attended by stakeholders (state and non-state) interested in the State's budget as well as by the media. The objective is to inform stakeholders about the budget and offer an opportunity for comments on the current performance review report.

## Sector Level Consultation

There are various examples of sector level consultations. The Ministry of the Environment, for example hosts an Annual Climate Change Forum, attended by a wide range of stakeholders and representatives from outside the state. The Ministry of Education holds an Annual Forum with stakeholders to discuss education policy<sup>2</sup>. Lagos Waste Management Agency (LAWMA) conducts monthly town hall meetings at particular local government headquarters where the Community Development Areas, members of the public, LAWMA, and LAWMA service providers interact on how to improve the services<sup>3</sup>. Some MDAs appear to have very little engagement at this stage with their stakeholders. The picture is therefore patchy and ad hoc, reflecting the fact that there is no State policy on the issue and no guidelines to assist MDAs, on how to go about stakeholder analysis and engagement.

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<sup>2</sup> Lagos State Governor's Office, Office of Transformation, Service Charters, 2014

<sup>3</sup> Lagos State Governor's Office, Office of Transformation, Service Charters, 2014



## **Strengthening the Lagos approach to Public Consultation and Participation**

Following the approval of the LSDP there are a number of steps that must be taken to ensure that the Plan involves all stakeholders and embraces the various dimensions of development, from strategic and policy review to programme and project implementation. Building upon the record of the State this Guide seeks to set out basic principles and provide a practical approach to ensuring an effective and appropriate engagement with stakeholders at all levels of the state. Part 2 below establishes the principles and scope of Public/stakeholder consultation and Part 3 sets out guidelines and checklists for each MDA to undertake in various situations.



## Section Three: Principles and Scope

### Consultation and Participation Principles

The broad principle of Participation by the people is enshrined in the Constitution of the Federal Republic of Nigeria in Chapter 14. Clause (2) c, states,

*“the participation by the people in their government shall be ensured in accordance with the provisions of this Constitution.”*

In the furtherance of this constitutional right and in accordance with broad state practice, the MEPB seeks to adopt the following principles of consultation to govern all future development undertaken through the furtherance of the LSDP and medium term sector strategies (MTSSs).

#### ***Principle 1: Open Government and Citizen Engagement***

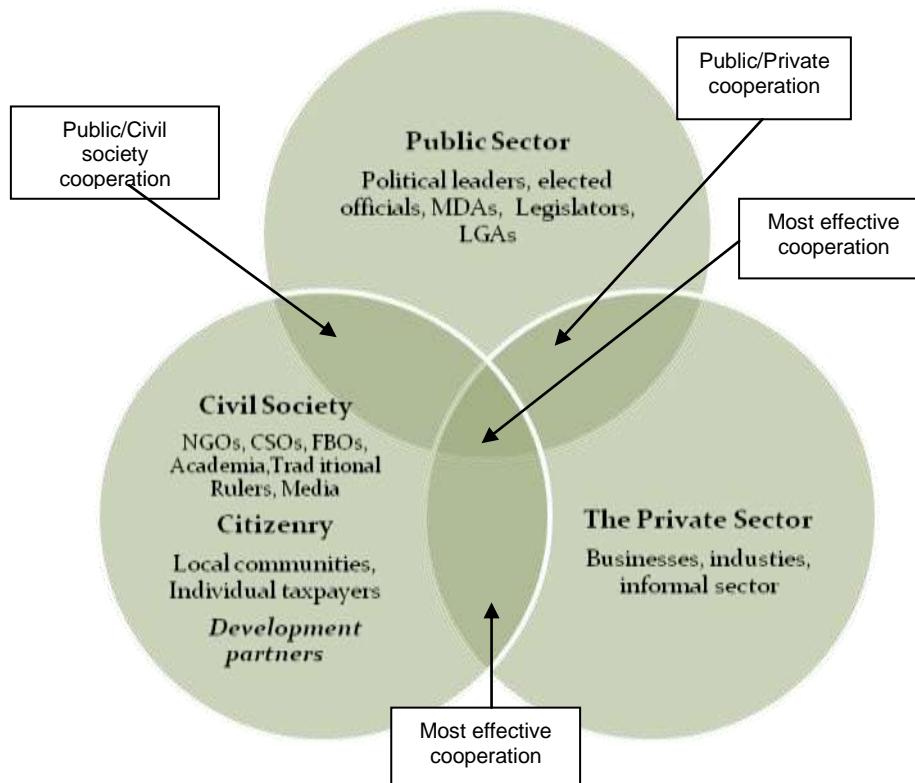
Public consultation shall be seen as part of state open policy implementation, where affected parties and experts join with the state to make well informed steps to effective and sustainable development.

#### ***Principle 2: Proportionality***

The level of engagement will vary according to the stage and scale of that aspect of development that is being proposed. In some circumstances the most appropriate level of engagement may simply be to inform stakeholders. In other situations it may be important to get the views and preferences of stakeholders. At a higher level still there may be cases where a full partnership between the state and non-state actors is appropriate and this will accord with the collaboration level as indicated in the box above. This may be called the Proportionality Principle.

### Applying the Principles

Having developed the LSDP and MTSSs, the state recognises that implementing the plans will be done through a coalition of the public sector, private sector and civic sector, including the general public. The public sector includes all MDAs, Local Governments, House of Assembly and so on. The private sector includes organised bodies such as Chamber of Commerce, Trade Associations, market women associations, small business organisations and informal traders associations. The civic sector includes civil society bodies, residents associations, consumer associations and the taxpayers. The partners in development are represented in the Diagram 1 below. The best effectiveness is where the three circles overlap and that will be the ideal target for the plan.



## Roles for different stakeholders

The roles of the different stakeholders differ in development so it is important to have a good understanding of roles and responsibilities of all state and non-state stakeholders to ensure the delivery of public goods and services to the right persons.

- Executive has the authority to influence the policy decision process. They are responsible for and to the public so it is important they communicate with the public regularly to identify the service needs of the public and develop policies around them.
- Public managers should consult with the civil society organisations as they:
  - Develop sector strategies and plans around the policy areas identified by the executive looking at different options.
  - Implement the strategic plans working closely with the state (federal and local government levels) and non-state actors (private sector organizations, Non Governmental Organisations (NGOs), Community Based Organisations, Faith-Based Organizations, and Cooperatives etc.).
  - Monitor and evaluate planned projects and programmes using the results to review and adjust the plans where necessary.
- Legislators as constituent representatives consult their constituents' members and therefore are indirectly involved in policy formulation. They also are charged with oversight functions (Monitoring and Evaluation (M&E) and Audited accounts by Public Accounts Committee).
- Private/Business Sector members are consulted in policy formulation. These are businessmen/industrialists/private investors who are well respected in the community and are interested in creating jobs in the community.



- Civil society:
  - Experts/Academia provide data and useful information and look at functional relationships between different options and the facts available to guide sectoral strategic plan development.
  - Citizens/taxpayers are the potential victims and benefactors of the proposed planning measures and the best judges to evaluate the different options available. They have local knowledge of what is best for their community and stand to benefit or suffer as a result of the decision.
  - Journalists/media write stories about the decisions made and disseminate other useful information. They serve as watch dogs.
  - NGOs are activists and are usually good community organisers.

Development objectives of each main sector

Public Sector	Private Sector	Community/Tax Payer
<ul style="list-style-type: none"> <li>• <b>Achieve impact – make differences in people’s lives</b></li> <li>• <b>Meet policy targets</b></li> <li>• <b>Cut public expenditure</b></li> <li>• <b>Respond to cross cutting issue agendas – climate change, gender, the vulnerable and HIV/AIDS</b></li> </ul>	<ul style="list-style-type: none"> <li>• Policy effect on risk/reward</li> <li>• Policy clarity and simplicity</li> <li>• Policy stability and longevity</li> <li>• Credible means of enforcement</li> </ul>	<ul style="list-style-type: none"> <li>• Quantity and quality</li> <li>• Cost effectiveness – compare among service providers</li> <li>• Consultation – all interest groups want to be consulted</li> <li>• Transparency and accountability</li> </ul>

## Subjects of Consultation

There may be a number of reasons to engage with the public/stakeholders: to garner views and preferences, to understand possible unintended consequences of a policy or to get views on implementation. The following different areas of development require stakeholder engagement of an appropriate scope and focus.

- Regular reviews of the main issues facing Lagos State and the appropriate responses.
- LSDP reviews every 5 years involving updating the base-line and adjusting the strategic responses and the scope and scale of the policies and priorities.
- Sector Strategy and Policy reviews undertaken by MDAs with key stakeholders prior to annual MTSS roll-over and Budget formulation (see Annex 3 on Stakeholder Analysis).
- Public /stakeholder engagement over major programmes and projects.
- Regular flows of information to the public/stakeholders on all key development processes in the state including feedback on the quantity and quality of service delivery.

Increasing the level of transparency and increasing engagement with interested parties improves the quality of policy making by bringing to bear expertise and alternative perspectives, and identifying unintended effects and practical problems. The objectives of any consultation should be clear, and will depend to a great extent on the type of issue and the stage in the policy-making process – from gathering new ideas to testing options.



Public engagement should begin early in policy development when the policy is still under consideration and views can genuinely be taken into account. There are several stages of policy development, and it may be appropriate to engage in different ways at different stages. As part of this, there can be different reasons for, and types of consultation, some radically different from simply inviting response to a document. Every effort should be made to make available the State's evidence base at an early stage to enable contestability and challenge.

## **Timing of consultation**

Timeframes for consultation should be proportionate and realistic to allow stakeholders sufficient time to provide a considered response. Where the consultation spans all or part of a holiday period policy makers should consider what if any impact there may be and take appropriate mitigating action. The amount of time required will depend on the nature and impact of the proposal (for example, the diversity of interested parties or the complexity of the issue, or even external events), and might typically vary between 2 and 12 weeks. The timing and length of a consultation should be decided on a case-by-case basis; there is no set formula for establishing the right length. In some cases there will be no requirement for consultation, depending on the issue and whether interested groups have already been engaged in the policy making process. For a new and contentious policy, 12 weeks or more may still be appropriate. A token consultation over a short period could be a waste of time and therefore counterproductive. When deciding on the timescale for a given consultation, the capacity of the groups being consulted to respond should be taken into consideration.

## **Making Information Useful and Accessible**

Policy makers should be able to demonstrate that they have considered who needs to be consulted and ensure that the consultation captures the full range of stakeholders affected. In particular, if the policy will affect hard to reach or vulnerable groups, policy makers should take the necessary actions to engage effectively with these groups. Information should be disseminated and presented in a way likely to be accessible and useful to the stakeholders with a substantial interest in the subject matter. The choice of the form of consultation will largely depend on: the issues under consideration, who needs to be consulted, and the available time and resources.

Information provided to stakeholders should be easy to comprehend – it should be in an easily understandable format, use plain language and clarify the key issues, particularly where the consultation deals with complex subject matter. Consideration should be given to more informal forms of consultation that may be appropriate – for example, email or web-based forums, public meetings, working groups, focus groups, and surveys – rather than always reverting to a written consultation. Policy-makers should avoid disproportionate cost to the State or the stakeholders concerned.

## **Transparency and feedback**

The purpose of the consultation process should be clearly stated as should the stage of the development that the policy has reached. Also, to avoid creating unrealistic expectations, it should be apparent what aspects of the policy being consulted on are open to change and what decisions have already been taken (i.e. there must be clarity on the purpose and expected outputs of the consultation exercise). Being clear about the areas of policy on which views are sought will increase the usefulness of responses.





Sufficient information should be made available to stakeholders to enable them to make informed comments. Relevant documentation should be posted online, if possible, to enhance accessibility and opportunities for re-use.

To encourage active participation, MDAs should explain what responses they have received and how these have been used in formulating the policy. The number of responses received should also be indicated. Consultation responses should usually be published within 12 weeks of the consultation closing. Where MDAs do not publish a response within 12 weeks, they should provide a brief statement on why they have not done so. MDAs should make clear at least in broad terms what future plans (if any) they have for engagement.



## Section Four: Guidance checklist

### The Essentials

These essentials should be read alongside the main body of good practice guidance presented in this document. They include administrative procedures to ensure that consultation exercises comply with best practice procedures.

- Provide respondents with information on how their response will be used.
- Ask all respondents to 'opt-in' to making their response available to the public and to being contacted again (if appropriate).

You should therefore:

- Use a standard covering letter for consultations and the acknowledgement statements to acknowledge all responses.

In order to protect the State from legal action (and the reputation of named individuals) you must:

- Screen all responses being made available to the public for defamatory statements and remove these.

In order to meet good practice commitments you must:

- Publish all consultation papers and resultant reports on your MDA web pages.
- Allow consultees at least 12 weeks to respond, except in very exceptional circumstances.
- Distribute your consultation paper to core recipients.
- Make responses available to the public 20 working days from the closing date of your consultation exercise.

In order to maintain consistency across the state, you must:

- Register your consultation with MEPB.
- Obtain appropriate Commissioner and if necessary EXCO clearance for the exercise and papers.
- Treat your consultation paperwork as a complete set of records and ensure they are properly stored and registered.
- Complete an MEPB evaluation form at the end of your consultation.

To achieve effective engagement, it is also essential to:

- Design a consultation strategy that is appropriate for the objectives of your exercise and the needs of your target audience.
- Treat your exercise as a dynamic process, reviewing and adjusting your strategy as necessary.
- Provide all respondents and consultees with feedback on the exercise.

### Getting Started

The preliminary stage of any consultation exercise is crucial to its success. There are a number of issues that you need to consider and steps you need to take which will help ensure that your exercise is successful.



## Getting started checklist

- Specify clear objectives for the exercise.
- Gather a team with the necessary skills to conduct the consultation.
- Define the stakeholders for your consultation and consider how to involve them (see Annex 3: How to Conduct Stakeholder Analysis).
- Register your consultation with MEPB.
- Review any previous consultation and research activity on this topic.
- Seek advice from internal and external experts at the earliest opportunity.
- Use external stakeholders to assist you at the earliest stage of your exercise in establishing the broader picture and in identifying the issues.

## Planning the consultation

Planning your consultation involves a number of key steps, crucially relating to identification of your target audience and decisions about how best to consult this audience.

### Planning consultation checklist

- Obtain appropriate Commissioner clearance.
- Be clear about your target audience.
- Equality mainstreaming: Consider how you will encourage greater access to the policy and consultation process.
- Identify groups at risk of exclusion from your consultation and take steps to remedy this.
- Establish appropriate consultation method(s) based on your objectives and audience.
- Consider and budget for alternative formats and community languages.
- Consider the use of face-to-face or research methods of consultation as an additional or alternative way of capturing views.
- Identify the outputs you will need for policy development and feedback to your audiences.
- Ensure that you set realistic timescales for planning and conducting your consultation, including at least 12 weeks for responses to your consultation paper.
- Ensure that the resources your exercise will require are in place (both in terms of staff time and additional costs).
- Plan the form that your signposting and feedback to consultees should take.

## Doing Written Consultation

Issuing a consultation paper and inviting response is the most commonly used consultation method. Careful use of this method will help ensure it is effective for your target audience.



## Doing Written Consultation Checklist

- Be clear about your audience and objectives when writing a consultation paper. Ensure your paper is concise, clearly laid out and written in plain language.
- Use a standard covering letter for consultations.
- Provide background information on the consultation/policy process.
- Ensure your paper/covering documentation includes: summary; discussion of the issues; outline of options; relevant views and information; assessment of impact on different groups; proposed timetable; statement regarding availability of paper in alternative formats; list of those being consulted; how responses will be used.
- Ask questions that will elicit the views and information you require.
- Test your consultation paper with appropriate colleagues and contacts.
- Ensure that your consultation is published on your MDA website.
- Consider the needs of equality groups and the need to produce the paper (or make it available on request) in alternative formats or community languages.
- Update and amend your distribution list for your specific exercise.
- Advertise your forthcoming consultation and alert key stakeholders.
- Consider publicising your consultation, taking advice from MEPB.
- Ensure you are maximising Information and Communication Technology (ICT) opportunities.
- Make arrangements to receive and process responses.
- Establish a system for dealing with complaints.
- Acknowledge all responses using the standard acknowledgement statements.
- Organise responses according to information provided in the Respondent Information Form and prepare what can be made available to the public.
- Screen responses for defamation.
- Place a copy of all appropriate responses and respondent information in the library within 20 days of your closing date.
- Make arrangements for analysing responses.
- Publish a summary and full report of the analysis in 'hard' and 'soft' copies.
- Provide feedback as soon as possible to all respondents and other stakeholders.

## Doing Consultation - Other Methods

Non-written methods can be used to achieve effective consultation with your target audience, either on their own or in conjunction with a written consultation paper. They are especially useful for targeting groups less likely to respond to a written consultation paper. You need to consider carefully which methods will best widen the access to your consultation exercise and the practicalities of carrying out the associated work.



### **Other methods: checklist**

- Consider how to widen access to your consultation by using different methods, determined by its purpose, the needs of your target audience and your resources.
- Use more than one method to reach and engage different audiences.
- Consider using face to face methods (e.g., meetings and workshops).
- Consider individual and group needs to ensure face to face events are inclusive.
- In face-to-face events, use techniques which encourage interaction and participation.
- Write up and publish a report of any events and provide feedback to participants.
- Consider using research methods to supplement your open consultation.
- Consider the use of deliberative research methods for complex issues or for issues where informed opinions from the general public would be of value to your exercise.
- Consider using a contractor to carry out your research.
- Publish your research findings and provide feedback for participants.

### **Concluding a Consultation**

Concluding your consultation is an important stage in any exercise. A number of important activities will help ensure the success of your exercise and contribute to effective ongoing engagement with your stakeholder community.

#### **Concluding a consultation checklist**

- Produce a consultation report.
- Publish and disseminate the report.
- Complete an evaluation.
- Update your stakeholder information for future use.

### **Evaluating Consultation**

Evaluation of your consultation exercise allows good practice to be demonstrated and lessons to be learned. Sharing the results of your evaluation can help improve consultation and on-going engagement activity within your immediate policy area and more widely.



### **Evaluation: checklist**

- Spend time and resources on the evaluation commensurate with the scale of the consultation.
- Determine how you will evaluate the effectiveness of your exercise during the planning stages.
- Carry out evaluation following each stage of consultation or at the end of the exercise.
- Refer to the consultation evaluation frameworks (see Annex 4) for suggested questions on the consultation process and outcome to guide your evaluation.
- Ensure that your evaluation is inclusive and evaluate experiences of all stakeholders.
- Use existing information as well as research methods to answer evaluation questions.
- Share the findings and lessons learned, via a report and possibly a meeting.
- Publish your evaluation report, particularly if external stakeholders have been involved.

See Annex 4 for additional guidance on evaluating consultation exercises.



# Annex One: International Best Practice

## International Agencies

Most International Organisations (The World Bank, IMF and others) have made statements over the past decade or two endorsing public consultation and embracing the idea of increased public participation in the process of all social, environmental and infrastructural development. The African Development Bank has produced a detailed Handbook for guiding the process for all bank-supported operations.

***Handbook on Stakeholder Consultation and Participation in ADB Operations (2001):***

The Bank has firmly committed itself to mainstreaming participatory development, and staff are required to adopt a participatory approach in carrying out their work. In practice, also, the Bank is making notable progress in translating the commitment to participation into concrete actions—in both its policy and project based interventions.

[http://www.afdb.org/en/search/?tx\\_solr%5Bq%5D=handbook%20on%20stakeholder%20consultation%20and%20participation%20in%20ADB%20operations&tx\\_solr%5Bpage%5D=4](http://www.afdb.org/en/search/?tx_solr%5Bq%5D=handbook%20on%20stakeholder%20consultation%20and%20participation%20in%20ADB%20operations&tx_solr%5Bpage%5D=4)

***Planning Sustainable Cities: UN Habitat Practices and Perspectives (2010):*** This Report states, “ ....crucial to embed participation formally into planning systems and find ways of supporting it through financial and human resources.”

<file:///C:/Users/Downloads/Planning%20Sustainable%20Cities%20UN-HABITAT%20Practices%20and%20Perspectives.pdf>

***Directive of European Parliament and the Council providing for public participation in respect of drawing up of certain plans and programmes relating to the environment and amending with regard to public participation and access to justice (2003)*** This provides an example of a legal directive mandating all nation states within the EU to undertake public participation in regard to all environmental plans and programmes.

<http://faolex.fao.org/docs/pdf/eur38363.pdf>

## National and Regional

***The Civil Service Reform Plan and Consultation Principles, UK (2013):*** The Civil Service Reform Plan commits the UK government to improving policy making and implementation with a greater focus on robust evidence, transparency and engaging with key groups early in the process.

As a result the government is improving the way it consults by adopting a more proportionate and targeted approach, so that the type and scale of engagement is proportional to the potential impacts of the proposal. The emphasis is on understanding the effects of a proposal and focusing on real engagement with key groups rather than following a set process.

The key *Consultation Principles* are:

- departments will follow a range of timescales rather than defaulting to a 12-week period, particularly where extensive engagement has occurred before
- departments will need to give more thought to how they engage with and use real discussion with affected parties and experts as well as the expertise of civil service



- learning to make well informed decisions
- departments should explain what responses they have received and how these have been used in formulating policy
  - consultation should be 'digital by default', but other forms should be used where these are needed to reach the groups affected by a policy
  - the principles of the Compact between government and the voluntary and community sector will continue to be respected.

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/255180/Consultation-Principles-Oct-2013.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/255180/Consultation-Principles-Oct-2013.pdf)

**Consultation Good Practice Guidance: Scottish Executive (2004):** The Introduction to this useful guide states the purpose, "The Scottish Executive attaches great importance to involving customers and stakeholders in developing new policies and laws, and their implementation. Although we aim increasingly to achieve that involvement at an early stage and as part of an ongoing dialogue, the consultation process remains fundamental to good government as a way of broadening the range of those who are engaged. Our aim is to ensure that consultation is thorough, effective and appropriate to the target audience. This guidance is designed to facilitate this by promoting a consistent approach.

<http://www.scotland.gov.uk/Resource/Doc/1066/0006061.pdf>

**Public Participation Plan: A Strategy for Citizen Involvement – Delaware Valley Regional Planning Commission, USA (2008) (DVRPC):** DVRPC's public participation goals are to:

- Provide opportunity for interested parties to identify regional concerns and priorities;
- Encourage public participation opportunities in a wide and varied audience, including traditionally underserved groups;
- Publicize public participation opportunities and activities throughout the development of DVRPC projects and programs;
- Obtain meaningful public input and participation to inform the Commission's planning and decision-making process; and
- Inform and educate stakeholders and interested parties, share information, and increase the overall awareness of regional planning, land use and transportation issues and activities in the Delaware Valley region.

<http://www.dvrpc.org/reports/07047.pdf>

**National Policy Framework For Public Participation: The Department of Provincial and Local Government, Republic of South Africa (2007):** This national framework of the South African Government represents one of the most advanced in terms of its aspirations to achieve strong participation moving to full empowerment. The Introduction to the Framework states:

"This document provides a policy framework for public participation in South Africa. This builds on the commitment of the democratic government to deepen democracy, which is embedded in the Constitution, and above all in the concept of local government, as comprising the community as part of the municipality.

This government is committed to a form of participation which is genuinely empowering, and not token consultation or manipulation. This involves a range of activities including creating democratic representative structures (ward committees), assisting those structures to plan at a local level (community-based planning), to implement and monitor those plans using a





range of working groups and CBOs, supporting community-based services, and to support these local structures through a cadre of Community Development Workers.

In addition, we look to deepen the involvement of local communities in local governance by incorporating ward committees and the community at large in consultation around key municipal process like integrated development planning, the budget, performance management and service delivery. This applies in respect of implementation, monitoring and evaluation as well as planning.

We must also improve the accountability of ward and municipal structures to each other and to the communities they serve, as well as improving the linkages between provincial and national departments to their clients, and so to service delivery and policy.

If we do this we have a chance to making our democracy and governance structures firmly rooted in our people.”

[http://www.capetown.gov.za/en/PublicParticipation/Documents/DPLG\\_Public\\_Participation\\_Policy\\_Final\\_5\\_July\(2\).pdf](http://www.capetown.gov.za/en/PublicParticipation/Documents/DPLG_Public_Participation_Policy_Final_5_July(2).pdf)

## Professional Guides on Public Participation

***Good Governance in the Public Sector— Consultation Draft for an International Framework (2013) CIPFA and IFAC:*** This Consultation Draft of the proposed International Public Sector Governance Framework (International Framework) has been developed jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the International Federation of Accountants (IFAC). They have expressed the core principles around the theme of “Acting in the Public Interest all the Time”. Given, therefore that public sector entities are run for the public good, there is a need for openness about their activities and clear, trusted channels of communication and consultation to engage effectively with individual citizens and service users, as well as institutional stakeholders.

<http://www.ifac.org/news-events/2013-06/consultation-public-sector-governance-released-ifac-cipfa>

***Guidelines on Effective Community Involvement and Consultation: Royal Town Planning Institute (RTPI), UK. Good Practice Note 1 (2005):*** This is a comprehensive and valuable guide, divided into three main sections. Part 1 considers important Public Involvement Issues. These community engagement, community involvement, best value, consulting hard to reach groups, avoiding consultation fatigue, setting stakeholder expectations and obtaining joined-up consultation. Part 2 looks at the Enablers, that is various instruments that can be used for consultation including new technology and e-consultation. It also looks at capacity building, resources and the roles of elected members. Part 3 is concerned with Standards and covers such matters as integrity, visibility, accessibility, confidentiality, interpretation and publication.

<http://www.rtpi.org.uk/media/6313/Guidelines-on-effective-community-involvement.pdf>

***Public Participation in Europe: An International Perspective: The European Institute of Public Participation (2009):*** This report reviews recent public participation practice in Europe and arrives at three messages:

Successful public participation therefore needs to be more strongly based on:



- A clearly defined constitutional framework for public participation. Only through an explicit, shared understanding between politicians and citizens can confidence be developed and public participation realise its democratising potential.
- A systematic approach to public participation methods to help organisers of public participation processes choose the most suitable and effective methods.
- Rigorous and challenging evaluation of public participation in practice to develop a culture of learning about participation and advance the systematisation of participatory methods.

[http://www.participationinstitute.org/wp-content/uploads/2009/06/pp\\_in\\_e\\_report\\_03\\_06.pdf](http://www.participationinstitute.org/wp-content/uploads/2009/06/pp_in_e_report_03_06.pdf)

### **Sector Level Public Consultation and Participation Plans**

There are plenty of examples of sector specific public /stakeholder consultation and participation management plans. Here is a selection.

#### **Health**

[http://www.hertschs.nhs.uk/Library/About\\_Us/Board/January\\_Boardpapers/2011/N\\_1\\_%20Stakeholder%20engagement%20strategy.pdf](http://www.hertschs.nhs.uk/Library/About_Us/Board/January_Boardpapers/2011/N_1_%20Stakeholder%20engagement%20strategy.pdf)

[www.plymouth.gov.uk/stakeholder\\_community\\_management\\_plan.pdf](http://www.plymouth.gov.uk/stakeholder_community_management_plan.pdf)

#### **Education**

<http://www.estyn.gov.uk/download/publication/2866.5/estyn-stakeholder-engagement-strategy-2013-2016/>

#### **Agriculture**

[http://mofa.gov.gh/site/?page\\_id=8734](http://mofa.gov.gh/site/?page_id=8734)

#### **Environment**

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/291455/gemi0910bssx-e-e.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/291455/gemi0910bssx-e-e.pdf)

#### **Transport**

[http://www.plymouth.gov.uk/stakeholder\\_community\\_management\\_plan.pdf](http://www.plymouth.gov.uk/stakeholder_community_management_plan.pdf)

#### **Toolkits**

There are several to be found on the web. Here are two that appear to be useful

*A toolkit to support public participation in municipal decision making. The Federation of Canadian Municipalities: International Centre for Municipal Development (2007 4<sup>th</sup> reprint)*

[http://www.fcm.ca/Documents/tools/International/Local\\_Government\\_Participatory\\_Practices\\_Manual\\_EN.pdf](http://www.fcm.ca/Documents/tools/International/Local_Government_Participatory_Practices_Manual_EN.pdf)

[http://www.aughty.org/pdf/toolkit\\_citizen\\_particip.pdf](http://www.aughty.org/pdf/toolkit_citizen_particip.pdf)



## **Annex Two: Relationships between public, private and civic sector**

The table below shows a preliminary list of stakeholders that are consulted at the present time, depending on the sector and subject matter. In order to incorporate co-operatives, the title "business sector" is used in the matrix below. This list is not exhaustive and other consultation will be being conducted by MDAs but it is not documented.



High Level	Public Sector	Business Sector	Civic/Citizenry
<b>State level</b>			
Governor	Commissioners	Leaders of organised private sector	Traditional leaders
	Permanent Secretaries/Director Generals	Leaders of associations (e.g. trade-Manufacturers Association of Nigeria, market women)	Elites
	Public managers		Opinion leaders/taxpayers
	Legislators		Leaders of Not for Profit; Faith Based; and other civil society organisations
	Local Government Chairmen		Associations (e.g. farmers)
			Think Tanks & Research organisations
			Academia/Experts
			Media
<b>Sector Level</b>			
Commissioners, PSs, Director Generals	Governor/EXCO	Leaders of private sector organisations and associations	Community Opinion leaders/taxpayers
	Leaders of other MDAs	Cooperatives	Leaders of Not for Profit, Faith Based, and other civil society organisations
	Leaders of local government		Associations (e.g. farmers) and Unions
<b>Sub-sector/MDAs</b>			Experts, Research institutions, Academia
PSs, Director Generals, Directors	Leaders of local government	Management of private sector organisations and associations	Leaders of specific Not for Profit, Faith Based, and other civil society organisations
	Commissioners	Cooperatives	Farmers Groups
	Leadership of local governments	Groups (Women, vulnerable, youths etc)	Groups (Women, vulnerable, youths etc)



## **Annex Three: How to undertake a Stakeholder Analysis**

*Note: There are many examples of how to conduct a Stakeholder Analysis to be found on the Web. This is one is posted by the World Bank.*

### **What is Stakeholder Analysis?**

Stakeholder Analysis (SA) is a methodology used to facilitate institutional and policy reform processes by accounting for and often incorporating the needs of those who have a 'stake' or an interest in the reforms under consideration. With information on stakeholders, their interests, and their capacity to oppose reform, reform advocates can choose how to best accommodate them, thus assuring policies adopted are politically realistic and sustainable.

Although Stakeholder Analysis originated from the business sciences, it has evolved into a field that now incorporates economics, political science, game and decision theory, and environmental sciences. Current models of SA apply a variety of tools on both qualitative and quantitative data to understand stakeholders, their positions, influence with other groups, and their interest in a particular reform. In addition, it provides an idea of the impact of reform on political and social forces, illuminates the divergent viewpoints towards proposed reforms and the potential power struggles among groups and individuals, and helps identify potential strategies for negotiating with opposing stakeholders.

### **Who Are Stakeholders?**

A stakeholder is any entity with a declared or conceivable interest or stake in a policy concern. The range of stakeholders relevant to consider for analysis varies according to the complexity of the reform area targeted and the type of reform proposed and, where the stakeholders are not organized, the incentive to include them. Stakeholders can be of any form, size and capacity. They can be individuals, organizations, or unorganized groups. In most cases, stakeholders fall into one or more of the following categories: international actors (e.g. donors), national or political actors (e.g. legislators, governors), public sector agencies (e.g. MDAs), interest groups (e.g. unions, medical associations), commercial/private for-profit, non-profit organizations (NGOs, foundations), civil society members, and users/consumers.

### **Major Attributes to Consider**

Four major attributes are important for Stakeholder Analysis: the stakeholders' position on the reform issue, the level of influence (power) they hold, the level of interest they have in the specific reform, and the group/coalition to which they belong or can reasonably be associated with. These attributes are identified through various data collection methods, including interviews with country experts knowledgeable about stakeholders or with the actual stakeholders directly.

The level of influence depends on the quantity and type of resources and power the stakeholder can marshal to promote its position on the reform. The level of interest or salience is the priority and importance the stakeholder attaches to the reform area. Broadly, these attributes signal the capability the stakeholder has to block or promote reform, join with others to form a coalition of support or opposition, and lead the direction/discussion of the reform. SA therefore provides a detailed understanding of the political, economic, and social impact of reform on interested groups, the hierarchy of authority and power among different



groups and the actual perceptions of the reform among different groups, all of which are important for reform advocates to consider.

## **When to Conduct Stakeholder Analysis**

Timing is an important factor in the implementation of Stakeholder Analysis to assure the usefulness of the results for policy formulation. In most cases, SA should precede the finalizing of reform proposals. In early stages of policy formulation, SA can help gauge the likelihood of acceptance and sustainability of anticipated policy reforms. By initiating SA prior to the introduction of the reform and continuing to modify the policy proposal during the design process, potential obstacles to implementation and results can be avoided. When used at the right time and in conjunction with other tools such as qualitative political economy analyses and social impact assessments, Stakeholder Analysis can inform task team strategies to overcome opposition, build coalitions, and channel information and resources to promote and sustain proposed reform.

## **Data Collection**

Several methods can be employed to collect data on stakeholders in a comprehensive and efficient manner. Prior to the actual collection, a brief review of background literature and country studies can provide a useful understanding of the country's political economy. One method of collecting data is to conduct interviews directly with the stakeholders involved in the specific policy area. The second method is to interview local experts in the field who are knowledgeable about the issue and the important groups and individuals involved in the policy area.

Some country team members (e.g. country managers) often hold extensive local knowledge and can provide a critical first hand understanding of which stakeholders are relevant to the reform area. However, unless resources and time do not permit, interviewing of local and international experts in the policy area or country and/or the stakeholders themselves is imperative.

Broad, all-inclusive interviews will lead to an effective Stakeholder Analysis process since it will uncover many facets of the country's political economy. The content and questions of the interviews should focus on background information on the policy making process, information that identifies key stakeholders from a variety of groups in the reform process, and clarifying assumptions about stakeholders power and interest in the decision-making process. The number of interviews is determined by the research team, taking into consideration field conditions and logistical constraints (e.g. sensitivity, access, time, budget, etc.).

## **Analysing Data and Designing Strategy**

Data from interviews – including scaled values assigned to the attributes and relative rankings calculated accordingly – are catalogued and presented in charts and/or matrices, highlighting the following attributes:

- group
- their interest (or salience)
- influence (power)
- position on the policy/strategy/project

An important measure called “effective power” (degree of power the stakeholder holds over other groups in relation to a reform area) is determined by weighting a combination of a stakeholder's salience and influence.



A clear assessment of each stakeholder's power and likely impact on the policy making process is conducted through several steps. The first step is to create a continuum. Stakeholders are mapped on a continuum indicating support for the reform on a scale of 0 to 100 from low (far left) to high (far right). The varying degrees of support are marked on the line with a value indicating their reform preference. This implement also provides a quick visual of the 'lay of the land', illuminating clusters of groups that support, oppose or are indifferent to reform.

The next step is to organize the stakeholder data according to relative power/influence and salience of each stakeholder to understand their potential support or opposition for the proposed reform. Often, a matrix is used to organize and classify the stakeholder data. One form is to map salience/interest and influence on the axes. This matrix provides a shorthand categorization and analysis of which stakeholders will gain or lose from a proposed reform and whether they can significantly impact the process. To guide strategic responses, stakeholders are categorized by their power and salience in a grid according to the following attributes:

- Promoters: Stakeholders who attach a high priority to the reform policy a priority and whose actions can have an impact on the implementation of the policy
- Defenders: Stakeholders who attach a high priority to the reform policy but whose actions cannot have an impact on the implementation of the policy
- Latents: Stakeholders whose actions can affect the implementation of the reform policy but who attach a low priority to this policy
- Apathetics: Stakeholders whose actions cannot affect the implementation of the reform policy and who attach a low priority to this policy

Grids may be used as a visual support to facilitate scenario-building and discussion and helps task teams determine appropriate responsive strategies (e.g. which stakeholders to target for negotiations and trade-offs, or which to buttress with resources and information, etc.).

One of the main goals of Stakeholder Analysis is to reveal, and therefore potentially assist in reducing, the power imbalance among weaker groups which is often revealed during policy reform process. Depending on the attributes of the stakeholder (e.g. their level of influence vs. their salience on the issue), strategies may be tailored to address their concerns.

For example:

- Maintain or increase power of reform supporters through building coalitions, and providing information and resources
- Convert opposition into support through negotiations, information and/or coalition building, including offering trade-offs.
- Offset or counter powerful and not so powerful opponents
- Because stakeholders and their positions may change over the course of negotiations and analyses, SA should remain an on-going process allowing for policy design to adjust as more is known about the political reality. Ultimately, Stakeholder Analysis is a critical tool in clarifying the micro political economy of a policy area and can help identify interested parties that should be incorporated in the decision-making process, in addition to understanding the basis for their inclusion.

## Annex Four: Consultation Evaluation

Note: There are many examples on the Web. This one is from a Local Government in the UK, Northampton.

### Evaluation of your consultation

Effective evaluation can help you find out what did and didn't work and the reasons why. Always ask participants for their views about the consultation process and how it could be improved.

Your evaluation should not only consider the number of responses received, but also the quality, cost, and timeliness of the consultation and the overall usefulness of the results in helping to inform decisions.

A basic evaluation checklist is shown below.

### Evaluation checklist:

- Did everyone involved (staff, consultees, partners) understand the objectives of the exercise?
- Were the right stakeholders involved?
- Did you successfully reach all your stakeholders?
- Were the numbers who took part as expected?
- If you had set a minimum response level did you reach your targets?
- Were you successful in reaching groups or individuals whose views have not traditionally been recognised?
- Did the publicity material you used work (e.g. posters to advertise an event, putting material on the internet, press releases)?
- Did you get the level of information you provided right? (e.g. it was easy to access, relevant to the consultation, produce in plain language, easy to understand and available in other languages and in other formats, e.g. Braille and audio cassette, where necessary)
- Was the consultation accessible (e.g. interpreters were provided if necessary, venues were accessible, seating and set up encourage participation)?
- Did the methods used achieve the objectives?
- Was there the right balance of qualitative and quantitative methods?
- If you used more than one method, which worked better than others and why?
- Did some methods work better with particular stakeholders than others? Note this for future.
- Was the timescale and process kept to? If not, why not?
- Did you get the information you wanted in sufficient time, depth and quality?
- Were the level of resources and support right?
- Did you budget adequately? Note areas of overspend/savings for next time
- What were the costs (include staff time)?
- Were there any unforeseen costs? What were they?
- How did the participants evaluate it? - What did they think of the information provided?
- Was it easy to give views? Did they perceive the exercise as fair and useful?
- Did it lead to a change of policy, service etc how? Be specific.
- How many people will be affected by the changes?
- Has the consultation changed the relationship between you and your users and



- others?
- What would you do differently next time?
  - Why evaluate and what to do with the results
  - Evaluating consultation can help you to:
    - Find out what worked and what did not
    - Identify the reasons for unexpected outcomes
    - Apply learning to improve future consultation
    - Assess whether the exercise was cost effective in terms of time and resources.

## **Performance Management Issues**

We need to know whether our consultation activities are supporting our vision for community engagement, as outlined in the strategy. We are in the process of developing a number of methods to measure this, including:

- Using the Community Engagement Standard as the basis for judging success
- Identifying the criteria communities would use to judge successful engagement
- By asking communities what they would count as a success in their terms
- Determining a standard for community cohesion which could be used to judge whether the Council's activities are contributing to community well – being.

More importantly, you will need to identify which performance indicators the changes to your service or policies will impact upon. You will need to record and measure the impact upon. You will need to record and measure the impact. Please contact the performance unit for further advice on this. You should also check if there are any consultation related performance indicators.



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