



STATE
PLANNING
COMMISSION



COMMUNITY ENGAGEMENT CHARTER

EVALUATION FRAMEWORK



saplanningportal.sa.gov.au



Government
of South Australia

Department of Planning,
Transport and Infrastructure



**Community Engagement Charter
– Draft Evaluation Framework
Department of Planning,
Transport and Infrastructure
August 2018
ONLINE: ?**



CONTENTS

Introduction	5
Why evaluation is important	7
The evaluation process	8
Measuring the performance of the Charter	9
Minimum performance indicators for evaluation.....	11
Additional and tailored performance measures	16
The engagement report.....	18
Appendix 1 – Survey template for community feedback	19
Appendix 2 – Survey template project managers	20
Appendix 3 – Template for engagement report.....	22





INTRODUCTION

The State Planning Commission (the Commission) is committed to fostering best practice community engagement in planning strategy and policy in line with the community and stakeholder-developed Community Engagement Charter 2018 (the Charter). The Charter is a statutory document and engagement on State Planning Policies, the Planning and Design Code, Design Standards, Regional Plans and Infrastructure Schemes must be undertaken in accordance with it.

The Commission clearly articulates that the Charter provides a flexible, rather than rigid, framework for engagement that aims to foster better planning outcomes by taking into account the views and aspirations of communities; establishing trust in the planning process; and improving the community understanding of the planning system. It is also a requirement of the Charter and the *Planning, Development and Infrastructure Act 2016* (PDI Act) that engagement is evaluated and reported to the Minister when submitting an initial or amended planning instrument.

The Commission is also responsible for reviewing the Charter at least once in a five-year period. To ensure that the Charter meets the expectation that it is robust and adaptable and builds the trust and confidence in the planning system over time, it is necessary that data is collected on the engagement that occurs under it.

To assist with implementing and reporting on the evaluation of an engagement process, this framework sets out:

- why evaluation is important
- the evaluation process
- minimum performance indicators for evaluation
- additional and tailored performance measures
- the format for reporting on engagement.

The Commission will review the evaluation framework on an ongoing basis and will pay particular attention to its delivery and effectiveness during the first two years of its inaugural use





WHY EVALUATION IS IMPORTANT

Establishing engagement objectives, and then measuring progress, helps to gauge how successful engagement has been in facilitating community contribution to the decision-making process. Evaluation can build transparency and accountability. It can also contribute to the evidence-base, identify good engagement practice and improve future practice.

Planning for evaluation should commence as early as possible in the engagement process. The scope of activities in the evaluation will vary based on the purpose and scale of the engagement. Early planning enables identification of the criteria that could be used to measure success and the information to be collected to support this, as well as what tools and

resources are required. Planning for evaluation early in the process also provides an opportunity to clarify the purpose and objectives of the engagement process.

The types of evaluation measures outlined in the Charter were informed by the Planning Together Panel*.

During consultation on the draft Charter, practitioners identified the need for evaluation measures that were not onerous or overly prescriptive, and that could be undertaken using the existing expertise and resources of the engaging entities.



*The Planning Together Panel comprised community members, planners, industry experts and state and local government representatives.

THE EVALUATION PROCESS

Determining that community engagement meets the Charter

The PDI Act prescribes that the Commission is responsible for determining that engagement complies with the Charter. To enable the Commission to do this, it is important and expected that engaging entities have a robust framework for determining that engagement has met the Charter's principles and a process in place for reviewing and improving their engagement practices.

The Charter stipulates the following five principles of good engagement against which the effectiveness of community engagement will be measured.

- 1. Engagement is genuine**
- 2. Engagement is inclusive and respectful**
- 3. Engagement is fit for purpose**
- 4. Engagement is informed and transparent**
- 5. Engagement processes are reviewed and improved**

The importance of evaluation in the engagement process is further reinforced by the Charter's fifth principle outlined above.

The Charter also stipulates the following evaluation steps in the planning process:

Step 1 Initiation- prepare engagement plan

An outline of how the success of engagement will be measured against the Charter's principles is required as part of the engagement plan. This engagement plan will need to be agreed to by the Commission at the initiation stage. Any success measures will be used to determine whether the principles of the Charter are met throughout the engagement process.

Step 2 Consultation - collect evaluation data

During the engagement process the engagement entity needs to ensure that evaluation data is gathered.

Gathering information from stakeholders and/or the community can take the form of a survey that is (1) handed out at events; (2) emailed to attendees or those who submit submissions; and (3) provided on a website. It is also important that the project team progressively reviews the success of their engagement activities throughout the life of the engagement to work out what went well and what didn't and make improvements for the next engagement stages. This review should include the feedback received from participants.

Step 3 Consider feedback – report on engagement success

On completion of engagement, the information gathered from the evaluation needs to be gathered and this is summarised and included within the s73 statutory engagement report that is provided to the Minister for decision-making purposes. This engagement report is also published on the SA Planning Portal.

On receipt of the engagement report the Minister will decide whether to seek advice from the Commission. The Commission will assess the evaluation of the engagement and determine whether the engagement occurred in accordance with the agreed engaging plan (prepared to meet the requirements of the Charter). If the Commission believes that the engagement has not met the Charter requirements, it can direct the engagement entity to undertake further action to ensure compliance. If this compliance is not achieved within a given time period, then the Commission may undertake the necessary actions to complete compliance and recover reasonable costs and expenses.

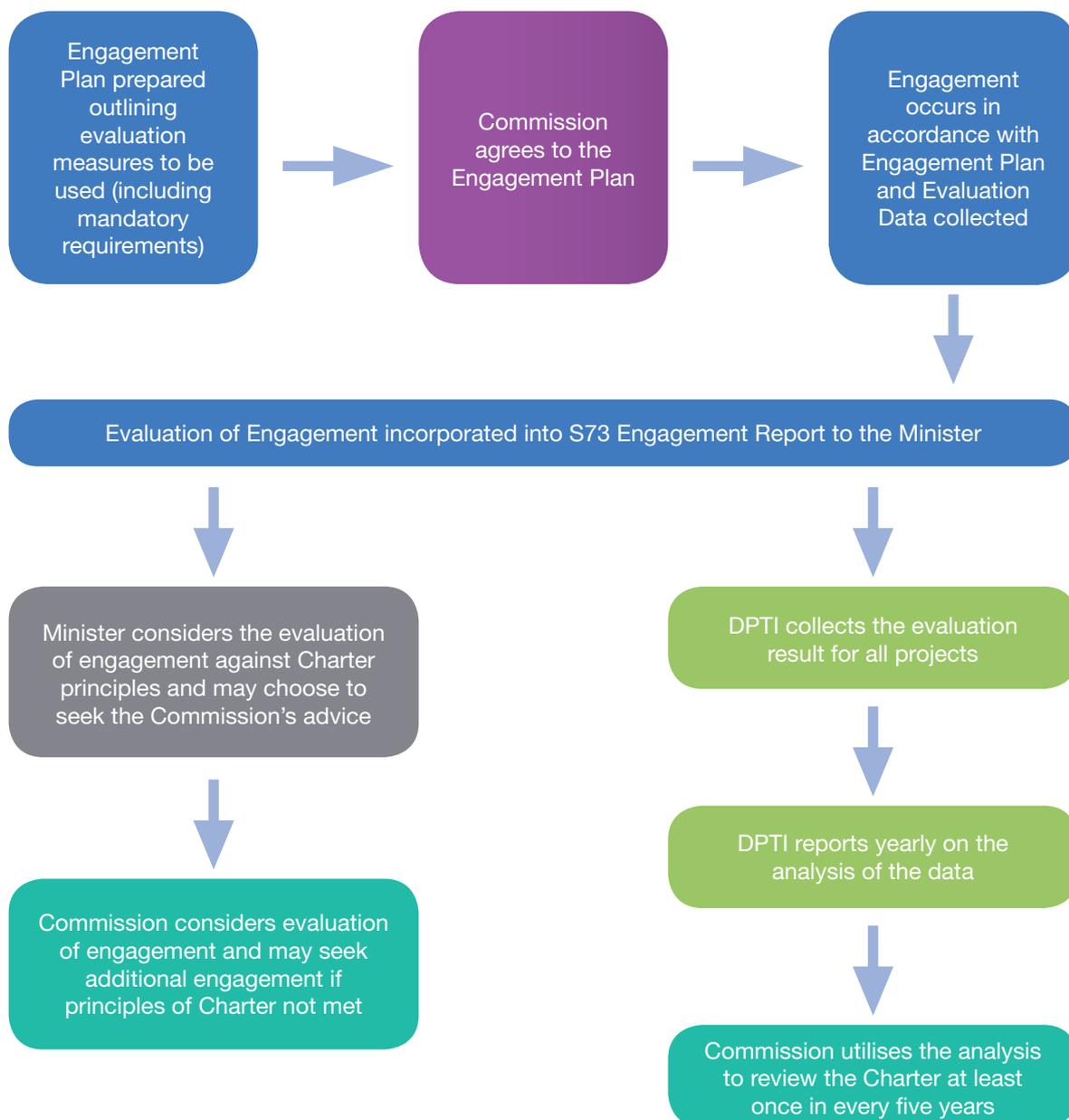


MEASURING THE PERFORMANCE OF THE CHARTER

The Commission is responsible for reviewing the Charter at least once in a five-year period. This will ensure that the Charter meets the expectation that it is robust and adaptable and builds trust and confidence in the planning system. In order to do this, it is necessary that data is collected on any engagement that is

undertaken in relation to the Charter. The Department for Planning, Transport and Infrastructure is responsible for collecting and analysing this data annually. This analysis will be published on the SA Planning Portal.

The following flowchart outlines proposed activities and timelines for evaluating the Charter.







MINIMUM PERFORMANCE INDICATORS FOR EVALUATION

To evaluate engagement successfully the following **minimum performance indicators** should be implemented for every engagement process undertaken using the Charter (refer to **Table 1**, pages 12 to 15).

These minimum performance indicators have been developed to ensure the Commission has a consistent approach to assess whether an engagement process for a particular planning project has complied with the Charter. It also enables data to be aggregated for all engagement processes across the state and determine how the Charter has influenced engagement outcomes and identify opportunities for improvement.

The minimum performance indicators have been prepared acknowledging that:

- the projects covered by the Charter can be very different in terms of their scale and potential impact, for instance, a Code amendment could affect the development outcomes for the whole state, or it could effect a few properties only
- evaluation of engagement needs to be able to be done in an efficient way without significantly delaying the timeframes of delivering a project
- engaging entities should be able to undertake an evaluation using their existing expertise and resources.

The minimum performance indicators are intended to help determine whether or not the principles of the Charter have been achieved. Therefore each principle of engagement has its own performance indicators.

Each of the Charter's principles are aligned with the following objectives:

- **Engagement occurs early in the development of planning policies, strategies and schemes**
- **Engagement feedback is considered in the development of planning policies, strategies and schemes**

To ensure that seeking evaluation feedback is practical in the context of planning processes, the minimum performance indicators are framed as key questions to ask the community.

Responses to these key questions should be gathered throughout the engagement. The engagement plan should identify the process for evaluation including the techniques that will be used to gather responses, such as an online survey or feedback form at a workshop, and at which points in the process that responses will be collected. Step 2 of the *Guide to the Community Engagement Charter* describes ways to embed evaluation into the engagement process.

Table 1 describes the minimum performance indicators to be applied when evaluating engagement processes and shows how they link to the Charter principles and performance outcomes. Refer to Appendix 1 and 2 for the survey templates to be used for soliciting community feedback and self-assessing engagement success.

MINIMUM PERFORMANCE INDICATORS FOR EVALUATION

Table 1

Charter Criteria	Charter Performance outcomes	Respondent	Indicator
Principle 1: Engagement is genuine	<ul style="list-style-type: none"> • People had faith and confidence in the engagement process 	Community	1. I feel the engagement genuinely sought my input to help shape the proposal
	<ul style="list-style-type: none"> • Engagement occurred before or during the drafting of the planning policy, strategy or scheme when there was an opportunity for influence 	Project manager or equivalent	2. Engagement occurred early enough for feedback to genuinely influence the planning policy, strategy or scheme
	<ul style="list-style-type: none"> • Engagement contributed to the substance of a plan or resulted in changes to a draft 	Project manager or equivalent	3. Engagement contributed to the substance of the final plan
Principle 2: Engagement is inclusive and respectful	<ul style="list-style-type: none"> • Affected and interested people had the opportunity to participate and be heard 	Community	4. I am confident my views were heard during the engagement
		Project manager or equivalent	5. The engagement reached those identified as community of interest Note: The Community of Interest are those Community groups identified in the stakeholder analysis in the engagement plan

* Prepared by Project Manager of engaging authority for inserting in Engagement Report. ** Prepared by DPTI on behalf of Commission yearly.



	Evaluation tool • Exit survey / follow-up survey	Measuring success of project engagement *	Measuring success of Charter **
	Likert scale - strongly disagree to strongly agree	Per cent from each response	Per cent increase in overall positive response (across all projects in evaluation period)
	Engaged when there was opportunity for input into scoping	Project Manager or equivalent	Engagement occurred early enough for feedback to genuinely influence the planning policy, strategy or scheme
		Project Manager or equivalent	Engagement contributed to the substance of the final plan
	Likert scale - strongly disagree to strongly agree	Per cent from each response.	Per cent increase in overall positive response
	<ul style="list-style-type: none"> • Representatives from most community groups participated in the engagement • Representatives from some community groups participated in the engagement • There was little representation of the community groups in engagement 	Provide chosen answer	Per cent increase in each top response

MINIMUM PERFORMANCE INDICATORS FOR EVALUATION

Table 1

Charter Criteria	Charter Performance outcomes	Respondent	Indicator
Principle 3: Engagement is fit for purpose	<ul style="list-style-type: none"> People were effectively engaged and satisfied with the process 	Community	6. I was given sufficient information so that I could take an informed view
	<ul style="list-style-type: none"> People were clear about the proposed change and how it would affect them 		<p><i>Note: Sufficient information includes whether the information was understood i.e. in plain English language, another language, visuals in addition to the extent of information</i></p> <p>7. I was given an adequate opportunity to be heard</p>
Principle 4: Engagement is informed and transparent	<ul style="list-style-type: none"> All relevant information was made available and people could access it People understood how their views were considered, the reasons for the outcomes and the final decision that was made 	Community	8. I felt informed about why I was being asked for my view, and the way it would be considered
	<ul style="list-style-type: none"> Engagement includes ‘closing the loop’ Engagement included activities that ‘closed the loop’ by providing feedback to participants/ community about outcomes of engagement 	Project Manager or equivalent	9. Engagement provided feedback to community about outcomes of engagement
Principle 5: Engagement processes are reviewed and improved	<ul style="list-style-type: none"> The engagement was reviewed and improvements recommended 	Project Manager or equivalent	10. Engagement was reviewed throughout the process and improvements put in place, or recommended for future engagement
Charter is valued and useful	<ul style="list-style-type: none"> Engagement is facilitated and valued by planners 	Project Manager or equivalent	<p>Identify key strength of the Charter and Guide</p> <p>Identify key challenge of the charter and Guide</p>



Evaluation tool • Exit survey / follow up-survey	Measuring success of project engagement *	Measuring success of Charter **
Likert scale - strongly disagree to strongly agree	Per cent from each response	Per cent increase in overall positive response
Likert scale - strongly disagree to strongly agree	Per cent from each response	Per cent increase in overall positive response
Likert scale - strongly disagree to strongly agree	Per cent from each response	Per cent increase in overall positive response
<ul style="list-style-type: none"> Formally (report or public forum) Informally (closing summaries) No feedback provided	Provide chosen answer	Per cent increase in top two responses
<ul style="list-style-type: none"> Reviewed and recommendations made Reviewed but no system for making recommendations Not reviewed 	Provide chosen answer	Per cent increase in top response In each category
General Comments. A drop down list may be created when the Charter starts to be used.		Analyse for review and improvement <i>Note: Queries and Complaints to commission could also be used as an indicator of value</i>

* Prepared by Project Manager of engaging authority for inserting in Engagement Report. ** Prepared by DPTI on behalf of Commission yearly.

ADDITIONAL AND TAILORED PERFORMANCE MEASURES

A lot more can be done to measure the success of engagement beyond the minimum performance indicators. This section of the framework describes the opportunities for identifying further evaluation measures if desired for individual projects.

As an engagement process is planned out it is important to consider key questions that can be asked in the evaluation approach. As a starting point, the Charter identifies alternative questions that can be asked to measure the success of engagement.

If further evaluation measures are proposed these should be added to the engagement plan and included in the final engagement report.

Considerations in measuring performance		
Principles	Performance outcomes	Key questions
Engagement is genuine	People had faith and confidence in the engagement process	Was there an opportunity for different knowledge and perspectives to be shared? How well did the engagement process enable stakeholders and community issues and solutions to be identified? How did people interact with each other? Did the process build community capacity about planning? Would people participate in a similar process in the future?
Engagement is inclusive and respectful	Affected and interested people had the opportunity to participate and be heard	Did everyone who is impacted and/or interested have an opportunity to participate? Was there an opportunity for different knowledge and perspectives to be shared?
Engagement is fit for purpose	People were effectively engaged and satisfied with the process. People were clear about the proposed changes and how it may affect them	Did people feel the process enabled appropriate input? Did people understand how to participate in the engagement? Did people understand what was being proposed?
Engagement is informed and transparent	All relevant information was made available and people could access it People understood how their views were considered, the reasons for the outcomes and the final decision	Did people have access to the information they needed? How was participant input considered in the final decision? How did it add value? Does reporting adequately capture the spectrum of participant views?
Engagement processes are reviewed and improved	The engagement was reviewed and improvements recommended	Were learnings about the process documented?



THE ENGAGEMENT REPORT

After an engagement has concluded, the PDI Act requires that a report be prepared for the Minister in accordance with a practice direction. This report must include:

- details about how the approved engagement plan was met, including details of the engagement undertaken and how that engagement met the requirements of the Charter
- an assessment of the engagement against the evaluation measures

- the outcomes of the engagement including a summary of the feedback received and the response to what was heard.

In accordance with the PDI Act this report must also be made available on the SA Planning Portal.

The *Guide to the Community Engagement Charter* provides more information about collating engagement information and learning from the engagement process (refer to Step 4 - Reporting and Evaluation and Step 5 - Reflection and Learning).





APPENDIX 1 – SURVEY TEMPLATE FOR COMMUNITY FEEDBACK

Evaluation template for community – Minimum performance indicators

Target group: Engagement Participant | Tool: Survey (online or paper) | Timing: following engagement activity or at conclusion of engagement process

This table can be added to an existing templates for evaluations that may include evaluation of the quality of function facility of facilitator.

Please indicate the extent to which you agree or disagree with the following statements.

(1 = strongly disagree and 5 = strongly agree)

	Evaluation statement	Strongly disagree	Disagree	Not sure	Agree	Strongly agree
1	I feel the engagement genuinely sought my input to help shape the proposal	1	2	3	4	5
	Comment					
2	I am confident my views were heard during the engagement	1	2	3	4	5
	Comment					
3	I was given an adequate opportunity to be heard	1	2	3	4	5
	Comment					
4	I was given sufficient information so that I could take an informed view.	1	2	3	4	5
	Comment					
5	I felt informed about why I was being asked for my view, and the way it would be considered.	1	2	3	4	5
	Comment					

APPENDIX 2 – SURVEY TEMPLATE PROJECT MANAGERS

Evaluation template for project managers – Minimum performance indicators

Target group: Planner | Tool: Survey (online or paper) | Timing: following engagement activity and/or at conclusion of engagement process.

Please consider your engagement process as a whole and provide the most appropriate response.

	Evaluation statement	Response options
1	The engagement reached those identified as the community of interest	<input type="checkbox"/> Representatives from most community groups participated in the engagement <input type="checkbox"/> Representatives from some community groups participated in the engagement <input type="checkbox"/> There was little representation of the community groups in engagement
	Comment	
2	Engagement was reviewed throughout the process and improvements put in place, or recommended for future engagement	<input type="checkbox"/> Reviewed and recommendations made in a systematic way <input type="checkbox"/> Reviewed but no system for making recommendations <input type="checkbox"/> Not reviewed
	Comment	
3	Engagement occurred early enough for feedback to genuinely influence the planning policy, strategy or scheme	<input type="checkbox"/> Engaged when there was opportunity for input into scoping <input type="checkbox"/> Engaged when there was opportunity for input into first draft <input type="checkbox"/> Engaged when there was opportunity for minor edits to final draft <input type="checkbox"/> Engaged when there was no real opportunity for input to be considered
	Comment	



	Evaluation statement	Response options
4	Engagement contributed to the substance of the final plan	<input type="checkbox"/> In a significant way <input type="checkbox"/> In a moderate way <input type="checkbox"/> In a minor way <input type="checkbox"/> Not at all
	Comment	
5	Engagement provided feedback to community about outcomes of engagement	<input type="checkbox"/> Formally (report or public forum) <input type="checkbox"/> Informally (closing summaries) <input type="checkbox"/> No feedback provided
	Comment	
6	Identify key strength of the Charter and Guide	<input type="checkbox"/> Provide drop down list with options based on charter attributes (in future)
	Comment	
4	Identify key challenge of the charter and Guide	<input type="checkbox"/> Provide drop down list with options based on charter attributes (in future)
	Comment	

APPENDIX 3 – TEMPLATE FOR ENGAGEMENT REPORT

Evaluation chapters for the engagement report

Chapter x: Summary of engagement

x.1 Engagement activities

- Summarise engagement activities undertaken.
- Include number of people directly notified/invited/consulted.
- Include number of people who attended events.

- Include number of written submissions (these can be categorised into submissions received from (1) the public; (2) councils; and (3) professional organisations).

x.2 Consistency with the agreed engagement plan

The engagement occurred in accordance with the engagement plan endorsed by the State Planning Commission on x date (Engagement Plan attached).

Variances were made to the Engagement Plan as follows (if relevant):

Variance	Justification
	<i>A change may occur due to feedback during engagement activities - outline this here</i>



Chapter y: Engagement evaluation results

The purpose of this chapter is to enable the State Planning Commission to determine whether the Community Engagement Charter requirements have been met.

y.1 Summary of the evaluation

- A brief analysis about the success of the engagement, include the causes or ‘story behind’ the data provided below. For example:
 - o There was significant emotional objection in connection to an issue (outline issue) that was connected to the proposal but not part of this engagement process. The community found it difficult to understand that the issue was not part of this engagement process.

- This is where you can help the Commission interpret the data (below) by explaining what you believe the data is telling you about the effectiveness of your engagement.

y.2 How evaluation was collected

- Provide information on how evaluation data was collected. For example: The evaluation survey was provided to participants at each event and emailed to those who lodged a submission. The survey was also published on council website/SA Planning Portal.
- Provide the number of evaluation surveys received.

y.3 Results of the mandatory evaluation criteria

Table 1

Insert percentage in each category. For instance if four out of 20 people indicated that they agreed they were genuinely listened to, then the percentage in the report is 20%.

	Evaluation statement	Strongly disagree	Disagree	Not sure	Agree	Strongly agree
1	I feel the engagement genuinely sought my input to help shape the proposal (Principle 1)	%	%	%	%	%
2	I am confident my views were heard during the engagement (Principle 2)	%	%	%	%	%
3	I was given an adequate opportunity to be heard (Principle 3)	%	%	%	%	%
4	I was given sufficient information so that I could take an informed view (Principle 3)	%	%	%	%	%
5	I felt informed about why I was being asked for my view, and the way it would be considered. (Principle 4)	%	%	%	%	%

y.4 Review of engagement by engaging entities

	Evaluation statement	Response options
1	The engagement reached those identified as the community of interest (Principle 2)	<input type="checkbox"/> Representatives from most community groups participated in the engagement <input type="checkbox"/> Representatives from some community groups participated in the engagement <input type="checkbox"/> There was little representation of the community groups in engagement
2	Engagement was reviewed throughout the process and improvements put in place, or recommended for future engagement (Principle 5)	<input type="checkbox"/> Reviewed and recommendations made in a systematic way <input type="checkbox"/> Reviewed but no system for making recommendations <input type="checkbox"/> Not reviewed
3	Engagement occurred early enough for feedback to genuinely influence the planning policy, strategy or scheme	<input type="checkbox"/> Engaged when there was opportunity for input into scoping <input type="checkbox"/> Engaged when there was opportunity for input into first draft <input type="checkbox"/> Engaged when there was opportunity for minor edits to final draft <input type="checkbox"/> Engaged when there was no real opportunity for input to be considered
4	Engagement contributed to the substance of the final plan	<input type="checkbox"/> In a significant way <input type="checkbox"/> In a moderate way <input type="checkbox"/> In a minor way <input type="checkbox"/> Not at all
5	Engagement included the provision of feedback to community about outcomes of their participation	<input type="checkbox"/> Formally (report or public forum) <input type="checkbox"/> Informally (closing summaries) <input type="checkbox"/> No feedback provided
6	Identify key strength of the Charter and Guide	
7	Identify key challenge of the Charter and Guide	

y.4 Summary of any additional evaluation results

Insert a summary of any additional evaluation results obtained.







