Infrastructure
Commission
for Scotland ///

Stakeholder Engagement Strategy

Stakeholder Engagement Strategy
Contents

1. Introduction

The remit for the Infrastructure Commission for Scotland (the Commission) is explicit in its desire to work in a way which is:

> Engaging and widely consultative across all of Scotland and civic society

> Credible, objective and evidence-based

> Outward looking, forward thinking and innovative

The Commissioners have embraced these commitments and would like to develop an engagement approach and methodology in keeping with these aims. In order to inform this conversation, this paper seeks to identify: who our stakeholders are; what current good practice engagement guidance tells us; and propose how the Commission could achieve its engagement objective, with an initial implementation plan for consideration. The paper does not explicitly begin the debate of how to most appropriately analyse contributions from different stakeholder.

2. Engagement

2.1 Stakeholder Definition

The Scottish Government in their 2010 Stakeholder Survey, identified stakeholders as:

> " …individuals or bodies with expertise/interest in a specific policy, or cross-cutting policies, whose contribution should be sought by officials to ensure policies and services meet the diverse needs, priorities and expectations of the people of Scotland. Stakeholders include those committed to working with the Scottish Government on a reciprocal basis. Relationships could be time limited and focus on the development or implementation of particular policies, or more long term and contribute to the strategic thinking on policy development.

Key stakeholders include experts, delivery partners, single-issue bodies/interest groups, or particular individuals from stakeholder bodies which have corporate or departmental relationships with the Government. They might also include local authorities, National Devolved Public Bodies (NDPBs), and national level representatives or professional bodies."[1]

The European Union[2] identify stakeholders as those:

- Affected by [the policy];

- Who will have to implement it;

- Who have a stated interest in [the policy].

This clearly brings a legislative or regulatory component into the definition. Finally, perhaps a simpler definition is from the Association of Project Management (APM), the chartered body for the project profession, who define stakeholders as: -

> individuals or groups with an interest in the project, programme or portfolio because they are involved in the work or affected by the outcomes[3]

2.2 Stakeholder Segmentation

Irrespective of the definition adhered to, stakeholder segmentation needs to then take place to the necessary level to enable a clear engagement approach to be developed. The EU in their Good Practice Guide[4] identify this as a) distinguishing between the different stakeholder categories that the initiative may affect and b) differentiating within specific categories e.g. scale of business versus location or whether public or private. In reviewing segmentation methodologies it is clear that there are a number of approaches, however it is suggested that the Commission should segment pragmatically, first by considering the Scottish Government's definition of infrastructure:

The physical and technical facilities, and fundamental systems necessary for the economy to function and to enable, sustain or enhance societal living conditions. These include the networks, connections and storage relating to enabling infrastructure of transport, energy, water, telecoms, digital and internet, to permit the ready movement of people, goods and services. They include the built environment of housing; public infrastructure such as education, health, justice and cultural facilities; safety enhancement such as waste management or flood prevention; and public services such as emergency services and resilience.

1   Stakeholder Survey, 2010, Scottish Government [online] https://www2.gov.scot/Topics/Research/by-topic/public-services-and-gvt/Stakeholder-Survey/Further-Info Accessed 13/02/19
2   https://ec.europa.eu/info/sites/info/files/better-regulation-guidelines-stakeholder-consultation.pdf [online] Accessed 20/02/19
3   Association for Project Management, Stakeholder Management, [online] https://www.apm.org.uk/body-of-knowledge/delivery/integrative-management/stakeholder-management/ Accessed 13/02/19
4   https://ec.europa.eu/info/sites/info/files/better-regulation-guidelines-stakeholder-consultation.pdf [online] Accessed 20th Feb 2019

This defines the stakeholder groupings by infrastructure sectors i.e.:

> Transport
> Energy
> Water
> Telecoms
> Digital
> Flood

> Education
> Health
> Justice
> Cultural
> Waste
> Emergency Services

As a minimum therefore, reflecting the APM definition of stakeholders, the Commission needs to engage with both users or bodies affected by these infrastructure sectors as well as sectoral experts, along the lines of: -

> Representative bodies
> Private sector
> Public sector
> Third sector

> Political
> Service users
> Academics

Ipsos Mori in their report, We Need to Talk About Infrastructure, but How[5], identify a slightly different categorisations of stakeholders for infrastructure projects: -

> The public
> Policy/ Government
> Investors

> Legislators
> Project leadership and the wider sector
> Media

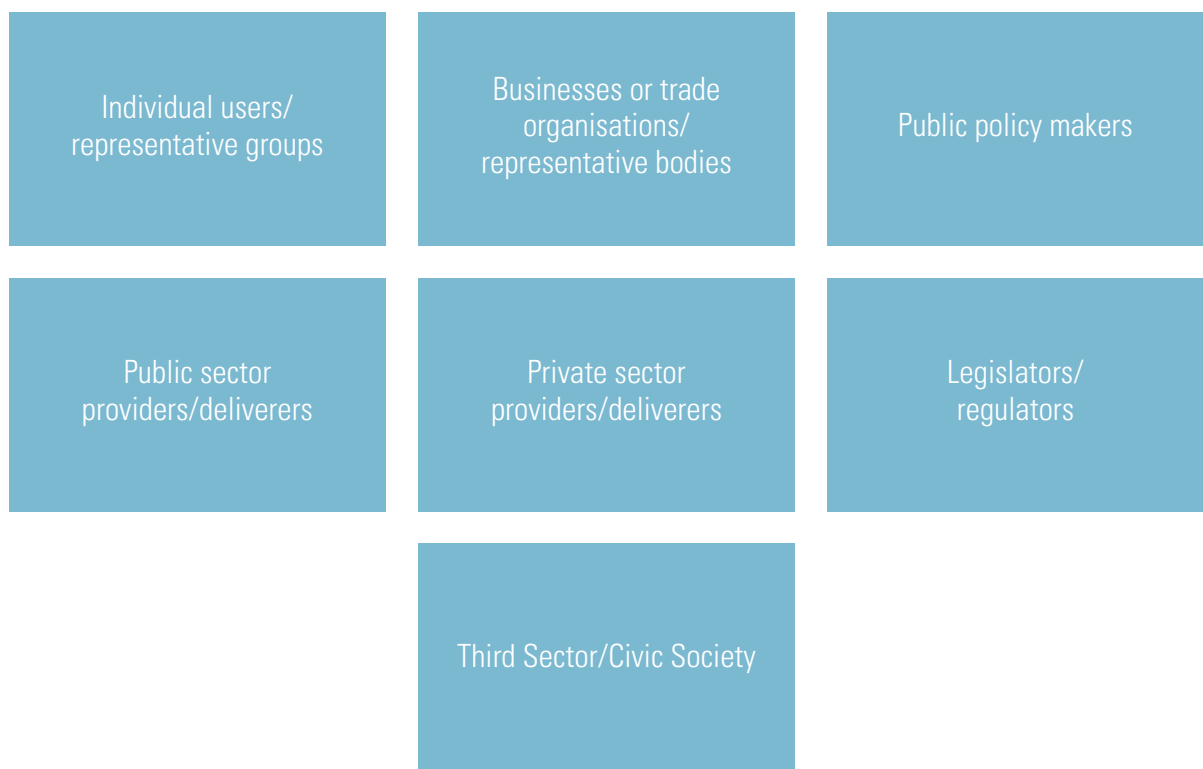Similar to the EU definition, this includes legislators as a key group. Media is not an area that needs to be reflected in this report, as the communications strategy will address all media engagement.

5   Marshall B, Wilson S, Carroll P, We Need to Talk about Infrastructure (But How), A guide for infrastructure leaders, strategists and communication professionals, 2019, Ipsos Mori Transport & Infrastructure

2. Engagement
(continued)

2.3   Infrastructure Commission for Scotland Stakeholder Segmentation

It is clear that terminology and segmentation can be ever-complicated. With the priority to maximise the breadth of quality engagement, the following segmentation is suggested for the Commission, which builds upon the above.

Figure 1: Infrastructure Commission for Scotland Level 2 Segmentation

Individual users/ representative groups	Businesses or trade organisations/ representative bodies	Public policy makers
Public sector providers/deliverers	Private sector providers/deliverers	Legislators/ regulators
	Third Sector/Civic Society	

It is anticipated that to refine engagement methodologies with these groups, that further segmentation will be needed. For example, spatial considerations for infrastructure investment is a focus for the Commission and understanding the spatial voice will be important. In addition, ensuring that issues of equality are addressed appropriately, may require fine-grained segmentation to ensure groups identified within equalities legislation[6] are suitably represented. It is believed however that these groups provide a clear guide on the Commission's key stakeholders.

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6   http://www.legislation.gov.uk/ukpga/2010/15/part/2/chapter/1
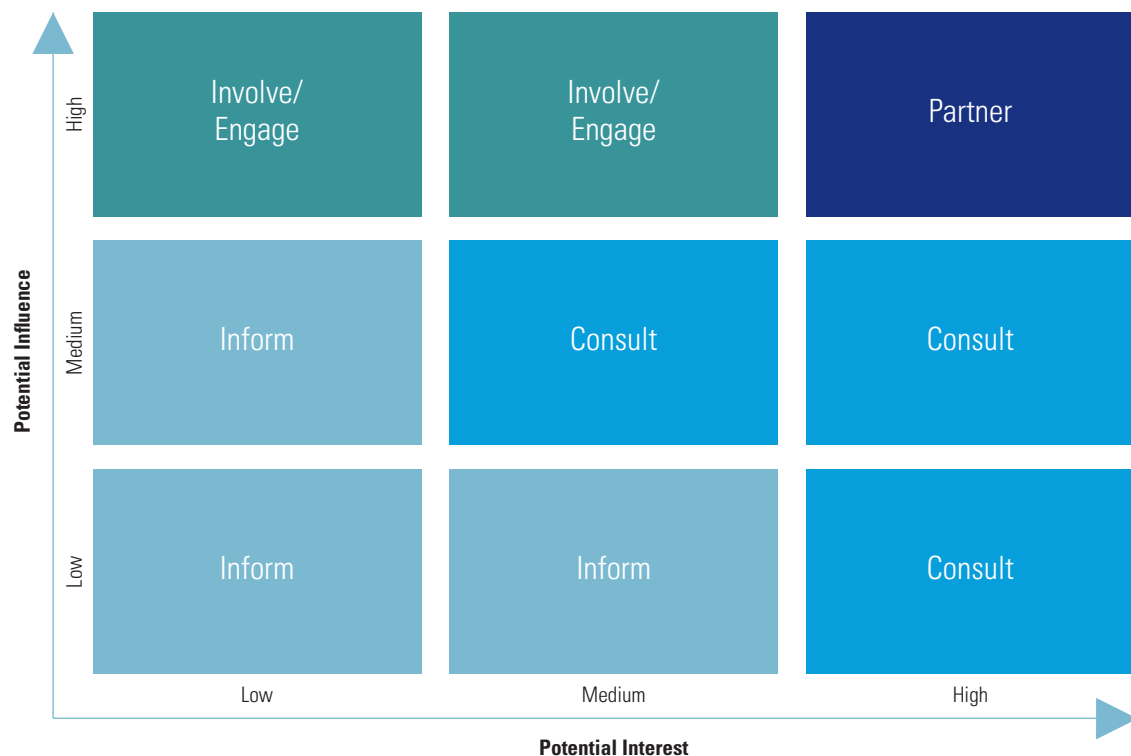
3. Levels of Engagement

3.1 Influence & Power

The concept of analysing stakeholders through a matrix is well established, primarily to identify and rank stakeholders, inform engagement methodologies and focus resources. This can take many forms e.g. power and support; support and importance etc. One of the most common matrices is mapping stakeholders according to their influence and interest. APM[7] suggests this requires good knowledge of stakeholders and can be limited by the personal nature of the exercise. NHS Improvement have also used this approach in their Stakeholder Management toolkit[8]. Figure 2 below shows one example, although NHS Improve suggests this could be reduced to 4 segments for smaller projects.

This approach could indicate that those with greatest potential interest are public and private sector providers and deliverers as well as policy makers and legislators, with their influence varying. These groups would likely be consulted as a minimum, whereas many individual users of infrastructure will have neither interest nor influence and so may only be informed. Establishing the engagement strategy on this basis would be contradictory to the principle of wide engagement already established.

Despite this, should this be considered a useful methodology it would require further analysis, including input from the Commissioners. It is suggested that understanding where stakeholders lie in terms of such a mapping exercise may be more valuable in analysing and weighting stakeholder contributions, rather than in determining the level of resource committed.

Figure 2: Influence-Power Matrix

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7   https://www.apm.org.uk/media/5904/stakeholder-analysis.pdf [online] accessed 26th February 2019
8   https://improvement.nhs.uk/documents/2169/stakeholder-analysis.pdf [online] accessed 27th February 2019

3. Levels of Engagement
(continued)

3.2 Engagement Methodologies

Despite the equal importance of stakeholders, the same level of engagement is not possible or indeed desirable across all groups or at all times. Figure 3 highlighted some methodologies that it is instead suggest a useful format to categorise levels of engagement which can be reflected against the current proposed segmentation:-
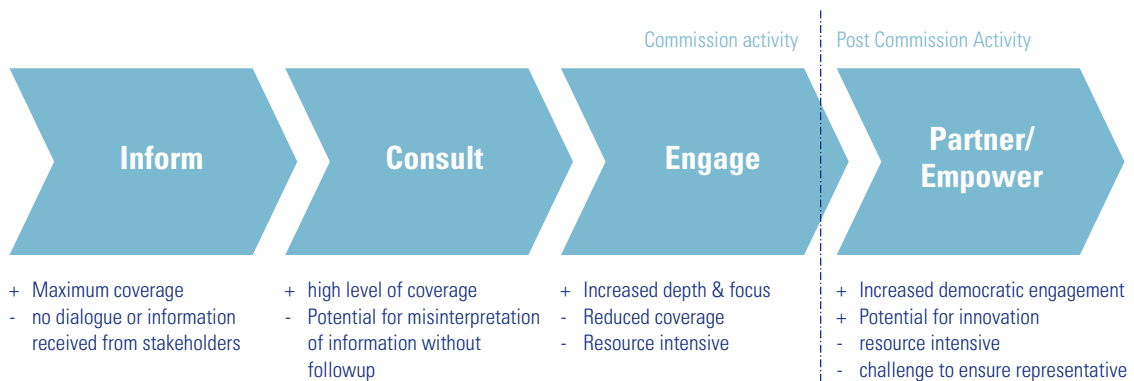
Figure 3: Methodologies

While there is acknowledgement that these are increasing levels of engagement, defining them is less clear, with language often used interchangeably[9]. For this exercise, the following definitions are proposed: -

- **Inform**, defines minimum effort and at the most involves provision of information e.g. the provision of the Commission's website;

- **Consult** includes actively seeking views, however there is no dialogue. The Initial Call for Contributions and Evidence is a consultation exercise;

- **Engage** requires active dialogue[10], to not only request information, but to proactively understand views and follow-up consultation;

- **Partner/empower** is the highest level of engagement and would see joint activities. It is suggested that this level of engagement would be for the Scottish Government to determine, following the work of the Commission. However, through the Commission's engagement, stakeholders should be prepared to be able to participate as a full partner in decision-making, understanding the complexity of issues in establishing infrastructure priorities and objectives for Scotland.

In achieving this, considering the pros and cons of the 4 levels of engagement may be useful. Figure 4 below seeks to highlight these strengths and weaknesses.

Commission activity | Post Commission Activity

Inform
+ Maximum coverage
- no dialogue or information received from stakeholders

Consult
+ high level of coverage
- Potential for misinterpretation of information without followup

Engage
+ Increased depth & focus
- Reduced coverage
- Resource intensive

Partner/ Empower
+ Increased democratic engagement
+ Potential for innovation
- resource intensive
- challenge to ensure representative

9   https://glasgowcity.hscp.scot/sites/default/files/publications/Consultation%20Engagement%20Good%20Practice%20Guidelines%20%28Full%29.pdf [online] accessed 27th Feb 2019
10   https://www.involve.org.uk/sites/default/files/field/attachemnt/Not-Another-Consultation.pdf [online] accessed 27th Feb 2019

4. Practice

Figure 4:

4.1 Good Practice Guidance

4.1.1 Association of Project Management and Royal Institute of Chartered Surveyors

APM and RICS jointly developed 10 key principles of stakeholder engagement[11]:

- **Communicate** i.e. understand the people you will be working with;
- **Consult early, and often** – reflecting the ongoing development of objectives and scope;
- **Remember, they're only human** – be aware of feelings and person agendas, allowing this to structure a productive relationship;
- **Plan it!** – take a conscientious and measured approach;
- **Relationships are key** – building trust is key to increase confidence and engagement
- **Simple, but not easy** – be prepared to respond to issues, adapting approach as needed;
- **Just part of managing risk** – stakeholders are potential sources of risk and opportunity
- **Compromise** – establish an acceptable baseline across stakeholders' diverging expectations and priorities, creating a weighted hierarchy;
- **Understand what success is** – for the various stakeholder
- **Take responsibility** – ensure the full team understand their role in communication and engagement

4.1.2 Ipsos Mori - Citizens and Consumers

Drawing upon work they did for the National Infrastructure Commission and the Confederation of British Industry (CBI), Ipsos Mori[12] have developed a guide, primarily for engaging citizens and consumers of infrastructure, although they believe their advice is relevant to other stakeholders. They identify 5 key points with a wealth of detail to support: -

1. Make it meaningful
   a. Consider language – public like biological metaphors (infrastructure is the blood or skeleton supporting society)
   b. Put across ideas clearly in a way that is relevant – what/why/who is it for
   c. Use of future scenarios to support prioritisation discussions
2. Make the case for the new
   a. The public often defer to improving what they currently have and recognise rather than the argument for something new, particularly if less tangible
   b. Need to make relevant and tangible
   c. Be realistic about short-term impact of messaging - Phil Goodwin "cycle of acceptability" and "steadiness of purpose"
3. Define (and reflect) your audience
   a. Who do you want to speak to; when; and how.
   b. Self-selecting consultations are often more polarised and negative, compared to organised and managed engagements across varying views
   c. Those less engaged will give their views, but often only if asked repeatedly and even incentivised

11   Association of Project Management, 10 Key Principles of Stakeholder Engagement [online] https://www.apm.org.uk/resources/find-a-resource/stakeholder-engagement/key-principles/, Accessed 13/02/19
12   Marshall B, Wilson S, Carroll P, We Need to Talk about Infrastructure (But How), A guide for infrastructure leaders, strategists and communication professionals, 2019, Ipsos Mori Transport & Infrastructure

4. Practice
(continued)

4. Listen and lead

   a. There is a need to keep up with culture and policy – culture is complex and misreading it can hinder infrastructure.

   b. Knowing when to use emotion versus rational approaches and sometimes use both

   c. Tackle information gaps and misperceptions

5. Consider the message – and the messenger

   a. Through understanding the rational and emotional drivers be able to sell the why and not just the what

   b. People want a rationale and honest discussion including the pros and cons

   c. Trust of neutral experts is generally high

   d. Take lessons from organisations such as Sciencewise who are also trying to engage on tricky technical issues

4.1.3 Sciencewise

Sciencewise is led and funded by the Department for Business, Energy and Industrial Strategy and describes itself as "the UK Government's exemplar of how to develop robust evidence on public views to inform policy development in areas of scientific and technological innovation"[13] Their activities are strongly focused therefore on public dialogue. Sciencewise have developed both guiding principles and a framework for assessing the quality of public dialogue[14]. The key principles seek to ensure that:

- the conditions leading to the dialogue process are conducive to the best outcomes **(Context)**[6]

- the range of issues and policy opinions covered in the dialogue reflects the participants' interests **(Scope)**

- the dialogue process itself represents best practice in design and execution **(Delivery)**

- the dialogue can deliver the desired outcomes **(Impact)**

- the process is shown to be robust and contributes to learning **(Evaluation)**

The guidance goes into extensive detail on each of these principles, covering processes and ensuring appropriate breadth of engagement, including issues of diversity.

4.1.4 Glasgow City Health and Social Care Partnership

Glasgow City Health and Community Care Partnership have developed good engagement guidelines[15]. They emphasise:

- Have a clear and concise plan, with purpose;

- Have focus and be targeted

- Be needs-led, taking into account the needs and considerations of those being targeted

- Be inclusive, reflecting on structural and institutional barriers to engagement;

- Have integrity and honesty to make clear the use of evidence gathered

- Be informative, to facilitate full participation

- Have clear, accessible and inclusive communications

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13   https://sciencewise.org.uk/about-sciencewise/ [online] Accessed 26th February 2019
14   https://sciencewise.org.uk/wp-content/uploads/2018/09/Sciencewise-Quality-in-Public-Dialogue-August-2018.pdf [online] Accessed 26th February 2019
15   https://glasgowcity.hscp.scot/sites/default/files/publications/Consultation%20Engagement%20Good%20Practice%20Guidelines%20%20%28Full%29.pdf   Accessed 27th February 2019

- Consider a number of methods to maximise engagement
- Be transparent, particularly in line with FOI and GDPR regulations.

4.1.5 Summary of good practice

There is strong consistency in the guidance listed above, covering some key messages: -

- Plan and have clear objectives, including what success looks like
- Engage early and at regular intervals
- Be inclusive, ensuring both targeting of stakeholders is inclusive, but also that the methodologies used support that engagement, addressing any barriers to engagement
- Understand your stakeholders, both to help inform them fully, in order that their engagement is meaningful, but also to interpret their views
- Be innovative in the use of different methodologies, to maximise engagement
- Build trust, through consistency, clarity and transparency

4.2 Tools & Techniques

4.2.1 Association of Project Managers

APM identified Idea Check[16] an online idea-validation tool as a tool which is best for early engagement and is not a substitute for more meaningful engagement. In terms of the methodologies above, this falls into the consult bracket.

4.2.3 National Infrastructure Commission Tools

The National Infrastructure Commission (NIC) acknowledge they had some challenges in capturing diverse views, particularly those of women and minority groups. They are currently reviewing their approaches. Some tools used by the NIC were[17]:

- Worked with Ipsos Mori and Britain Thinks to engage with civic society and the public
- Held an event with Sustainability First to find out about the consumer perspective – particularly from millennials and older people
- Established a young professionals panel
- Created a Roads for the Future Prize to capture innovation in road design and use

The majority of these approaches fall into the consult and engage bracket, with the Young Professionals Panel seeing greater levels of partnership.

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16   https://www.ideacheck.io/ [online] Accessed 26th February 2019
17   https://www.nic.org.uk/looking-beyond-the-usual-suspects-to-hear-diverse-views-on-infrastructure/ [online] Accessed 20th February 2019

4. Practice
(continued)

4.2.4 Sciencewise

Sciencewise primarily use interactive workshops as a means to achieve public dialogue. They use contractors to deliver these workshops and a range of tools during each workshop to get the key technical data across. The sessions are normally a full or half day and are often repeated to allow stakeholders to attend more than once. They may include targeted stakeholder sessions at the beginning or end of the public workshop.

4.2.5 Involve

Involve[18] uses deliberate public engagement to help participants develop their view. The approach appears to be similar to Sciencewise, using public events and a range of tools. They suggest there are three overlapping methods:

- **deliberative research,** which builds on market research techniques used by research agencies carrying out work for clients such as government departments. Examples include national citizens' summits and policy consultations.

- **deliberative dialogue,** which builds on dialogue and consensus-building techniques, enabling participants to work together (often with expert input) to develop an agreed view or set of recommendations. As participants may then be involved in taking their recommendations forward to decision-makers, this can encourage shared responsibility for implementation. Examples include national dialogues on science and technology.

- **deliberative decision-making**, which builds on partnership methodologies to enable participants and decision-makers to decide jointly on priorities and programmes. Examples include partnership bodies and participatory budgeting exercises where power is genuinely devolved to participants.

Involve note that the length of the project and number of participants will help determine the level of engagement that is achievable. The potential for virtual panels versus real citizen juries etc are all part of their toolkit.

4.2.6 Common Place

Commonplace[19] is an online community engagement platform, which can design consultations to target key stakeholder groups, using digital tools.

4.2.7 Glasgow City Health and Social Care Partnership

Glasgow City Health and Social Care Partnership have developed good engagement guidelines[20] which highlights the role of more innovative techniques to facilitate improved engagement is increasingly desirable. Digital means are seen to be a core component of this innovation, including: online forums and focus groups; message boards; online surveys and polls; e-petitions; online videos; webcasting and social media; and networking. Social media, such as twitter, facebook, Instagram, wordpress and others are all being used effectively to target stakeholders.

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18   https://www.involve.org.uk/resources/knowledge-base/what/deliberative-public-engagement online] accessed 26th February 2019
19   https://www.commonplace.is/ [online] accessed 26th February 2019
20   https://glasgowcity.hscp.scot/sites/default/files/publications/Consultation%20Engagement%20Good%20Practice%20Guidelines%20%28Full%29.pdf

4.2.8 A Set of Techniques

The above examples highlight a range of techniques, whose use will vary depending on the structure and intention of engagement. Many of these can be digital or face-to-face. Categorising them according to the methodologies of inform, consult, engage and empower/partner, reviewed in Section 3, begins to suggest the role of different techniques in engaging with particular stakeholder groups[21], covered in Section 5: -

Table 1: Techniques & Methodologies

	Inform	Consult	Engage	Empower/ Partner
Digital	●	●		
Open Call for Evidence	●	●		
Interviews 1-1			●	
Interviews Group			●	
Fora/panels/summits			●	●
Interactive workshops			●	●
Innovation		●	●	●

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21   http://www.wrapni.org.uk/sites/files/wrap/3c%20Methods%20of%20stakeholder%20engagement.pdf

5. Infrastructure Commission for Scotland Engagement

5.1 The plan

Section 3 has highlighted the level of engagement methodologies available and reiterated the ambition to maximise engagement with the resources available. Section 4 has identified some good practice guidance and popular techniques and tools to consider in developing an effective engagement strategy. In addition, it categorised these techniques in their ability to facilitate different levels of engagement. Combining this knowledge, it is suggested that the Commission ambition should be to take the segmented stakeholders through an engagement journey that maximises engagement. Table 2 below seeks to inform this, by mapping the proposed stakeholders identified at Figure 1 at 2.3, against the overarching techniques discussed. It is possible to begin to identify the most appropriate tools for these stakeholders. In determining this picture, there are a couple of key considerations:-.

- the ability for stakeholders to input to each level of engagement e.g. individual users/ representative groups are unlikely to benefit from receiving information on the work of the Commission without meaningful engagement; and

- the desire to engage meaningfully e.g. private sector providers/deliverers are likely to bring a depth of knowledge to the work of the Commission and are well-versed in the issues, not requiring prior-capacity building. All levels of engagement would be valuable to use with these groups.

This exercise shows that the Open Call for Evidence is likely to target groups 2-6, similar to the position agreed by the Commission at the meeting of 8th February. While this does not preclude other groups responding, it reflects the anticipated interest in the range of technical questions posed. It is therefore unlikely to target group 1 and 7 who represent individual users/groups and third sector/civic society. The methodology and information included in table 1 has been combined, showing that the Open Call for Evidence is suggested to fall into the Consult category.

Table 2: Stakeholder Techniques & Segmentation

Segment	Digital	Open Call for Evidence	Interviews 1-1	One-off panel/ committee/ focus group	Sustained panel/ committee/ focus group	Sustained interactive workshops	Innovation
1 Individual users/rep groups	I + C				E	E	C + E
2 Business or trade orgs / rep bodies	I + C	C	E	E	E	C + E	
3 Private sector providers / deliverers	I + C	C	E	E		C + E	
4 Public sector providers / deliverers	I + C	C	E	E			C + E
5 Public policy makers	I + C	C	E	E			C + E
6 Legislators/ regulators	I + C	C	E	E			
7 Third sector / civic society	I + C			E	E		C + E

I = Inform
C = Consult
E = Engage

5.2   Delivery Framework

In developing this framework, the impact of the relative depth and quality of engagement has been considered against the level of resource that is likely to be required, and a pragmatic approach will need to be taken, particularly in light of the 12 sectors that are to be addressed. It is important to note that a degree of flexibility will be essential to ensure that an appropriate and deliverable balance of resource and output can be achieved.

It is also important to ensure that equality and diversity of contributions is fully considered, and the Commission will follow best practise guidance to design this into the overall engagement strategy.

Fulfilling these ambitions will likely require support from consultation specialists, such as Ipsos Mori and Involve, to help both identify sub-groups; and develop the most appropriate techniques and tools to maximise engagement. Such support is anticipated to be most valuable in targeting groups 1 and 7, however may also be considered for other groups.

5.3   Initial Engagement Proposal

The work of the Commission is driven by the Ministerial timeframes of interim advice in June 2019; final advice in December 2019 and advice on the Scottish National Infrastructure Company in 2020. This paper is only dealing with the initial work for June and December 2019. In order to reasonably input to these deadlines, the following is proposed, with more detail to be developed once agreed by Commissioners; and delivery partners are identified for more detailed engagement activity. The timeframe and level of engagement is influenced by:

- Engagement with groups 2-6 primarily via consultation until initial call complete

- Engagement with groups 1 & 7 can be in parallel to initial call, as likely to not engage with this initial call consultation

- Engagement with group 8 can also be in parallel, as a regional response is unlikely to be received as part of the initial call

Table 3 details the engagement proposal.

5. ICS Engagement
(continued)

Table 3: Engagement Proposal

Stakeholder Segment	Activity	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
(2) Businesses or trade organisations	Call for Evidence issued	■								
(3) Private sector providers	Clarify and inform discussions with Stakeholders		■	■						
(4) Public sector providers	Call for evidence concludes				■					
(5) Public policy makers	Review evidence to identify key themes and further requirement or further evidence or follow up detail required					■	■			
(6) Legislators/regulators	Develop detailed engagement plan with selection of 1-2-1 meetings, roundtables and committee style engagement						■	■		
	Undertake detailed engagement								■	■
(8) Geography	Develop scope for (four) forum-style regional engagement events, in consultation with a cross section of stakeholder groups			■	■					
	Hold regional forum events					■	■			
	Analyse outputs from forum events							■		
(1) Users or representative groups	Consult with specialist interview/survey providers to scope proposals and engagement plan		■	■						
(7) Third sector/civic society	Design and develop engagement plan				■					
	Commence engagement approach								■	

5.4 Review process

Research suggests any stakeholder mapping is a point in time, therefore requires regular review to stay relevant.[22] Figure 4 below shows an engagement lifecycle, with a number of good practice suggestions. It is proposed that stakeholder engagement is reviewed at the most appropriate intervals and as a minimum quarterly to re-assess its effectiveness against the agreed principle of broad quality engagement.

Figure 4: Engagement lifecycle

5. ICS Engagement
(continued)

5.5 Conclusions

It is clear that the area of stakeholder engagement is rich and segmentation of stakeholders can be developed in a number of ways and to a depth of layers. In addition, the techniques being used are extensive, with only some of those highlighted here. It is suggested that a key issue for the Commission is that the ambition to engage broadly is tempered by the timescales and resource available, therefore in considering the proposed plan, Commissioners are requested to reflect on both the deliverability and ambition of that plan alongside its content.

Annex A
Some Engagement and Research Organisations

Organisation	Tool/About	Community	Stakeholder Group Expert	Other
Common Place	Online Community Engagement Tool https://www.commonplace.is/	●		
Ipsos Mori	Opinion & Social Research https://www.ipsos.com/ipsos-mori/en-uk	●	●	●
Involve	Public participation charity https://www.involve.org.uk/about	●		