



Model Consultation Framework for the Development of Australian Animal Welfare Standards (Part 2)

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Acknowledgements

The authors would like to thank Ralph Hood, Kevin De Witte, Mike Bond, Scott Porteous, and Thea McNaught-Reynolds of Animal Health Australia, as well as Peter Thornber, Scott Turner, and Linda Walker of the Animal Welfare Division in the Department of Agriculture, Fisheries and Forestry for their valuable insights and assistance. The authors also appreciate the time that various members of the Stakeholder Reference Group took to participate in interviews for the Consultation Project and to provide feedback on various aspects of this Project.

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September 2008

Executive Summary

Many people have animals in their care and/or (directly or indirectly) use animals – and they could all be considered to be animal welfare ‘stakeholders’. The animal welfare stakeholder environment is highly diverse – there are numerous and sometimes conflicting views which underpin people’s interests in and responses to animal welfare and their levels of support for animal welfare policies, programs and other initiatives.

In such an intricate setting effective consultation can bring a range of benefits to animal welfare decision making. These benefits include increased understanding of animal welfare issues, improved relations with stakeholders, and improved trust in government and industry, and therefore better animal welfare project outcomes.

‘Consultation’ is a generic, overarching term that refers to a range of ways to involve and engage people in (animal welfare) decision making. That ‘consultation’ may take different forms and will afford people varying degrees of input into and involvement in animal welfare policies, programs and initiatives. ‘Public consultation’ should be seen as one component of a broader consultation process used during the development of Australian Animal Welfare Standards and other animal welfare policies, programs, and initiatives.

The review of the Australian Model Codes of Practice for the Welfare of Animals (Neumann 2005) identified the need for learning about and improving animal welfare consultation processes. Towards that end, the Australian Government’s Department of Agriculture, Fisheries & Forestry (DAFF) and Animal Health Australia (AHA) commissioned a project (the Consultation Project) to review formal requirements and best practice principles for consultation, evaluate select components of animal welfare consultation processes used during the revision of the Pig Code of Practice and the development of the Draft Land Transport Standards, develop and implement a plan for public consultation, and prepare a framework for the development of future Australian Animal Welfare Standards.

The Consultation Project review and evaluations identified the need for more proactive and comprehensive planning for consultation that:

- is directed at the entire Standards (or project) decision making process (not simply ‘public consultation’ just prior to revising the Standards);
- specifies consultation goals and objectives for the key stages of that decision process;
- prior to drafting of the Standards - includes more substantial scoping of and deliberation on key, controversial, and/or unknown issues;
- closely aligns consultation tools/activities with the consultation goals and objectives; and
- includes some form (informal, formal) of evaluation of the consultation processes.

Toward that end, this report includes a consultation framework which provides a:

- Description and clarification of basic consultation concepts;
- Set of ten best-practice consultation principles which were used to evaluate parts of the consultation process used during the revision of the Pig Code of Practice and the Draft Land Transport Standards and are recommended for use in the future development of Australian Animal Welfare Standards, as well as in other animal welfare initiatives;
- Broad approach to improve consultation planning which can be applied to the future development of the remaining Australian Animal Welfare Standards, as well as in other animal welfare initiatives; and
- Range of resources to assist animal welfare decision makers and stakeholders in undertaking that consultation planning.

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1. Introduction

Early in 2005, a review was conducted of the system for Codes of Practice for the Welfare of Animals given growing concern over difficulties associated with their regulation, monitoring, uptake and appropriateness and in response to growing public scrutiny of a range of animal husbandry practices (Neumann 2005). As a result of that review, the current Codes are being converted into Australian Animal Welfare Standards. There are 22 Codes of Practice that will be converted into Standards, and Animal Health Australia (AHA) was commissioned by the Australian Government's Department of Agriculture, Fisheries & Forestry (DAFF) to manage that process. The first Australian Animal Welfare Standards and Guidelines to be developed has been applied to livestock being transported by land.

The Review of the Australian Model Codes of Practice for the Welfare of Animals (Neumann 2005) also included a number of recommendations for improving the revision and development of Codes into national animal welfare standards. Among these ideas was a mandate for improved consultation processes, which were found to be variable and contributing to the mixed quality of the Codes. The Review noted the value of learning from international experiences in producing and applying Codes/Standards, including public consultation and stakeholder consultation.

DAFF and AHA were seeking advice on best practice consultation for the development of the Australian Animal Welfare Standards in general and the Livestock Land Transport Welfare Standards in particular, as well as for broader animal welfare issues. Towards that end, DAFF and AHA commissioned ('the Consultation Project') that:

- a. Briefly reviewed processes used for prior consultation on animal welfare Codes of Practice, including identification of the formal minimum requirements for consultation during the development of Australian Animal Welfare Standards and development of a public consultation plan for the Land Transport Standards;
- b. Implemented a consultation plan for the Land Transport Standards; and
- c. Reviewed the effectiveness of that consultation plan, and use those learnings to develop a Model Framework for Consultation to be applied to development of the remaining Australian Animal Welfare Standards and Guidelines, as well as other animal welfare consultations.

This report is the last in a series of reports¹, which have made up the Consultation Project, and it:

- Identifies best practice principles which should underpin animal welfare consultation activities more generally, as well as the development of future Australian Animal Welfare Standards;
- Briefly reviews the evaluation of parts of the consultation process utilised for the development of the Draft Land Transport Standards;
- Links the best practice consultation principles with the key decision process for the development of Australian Animal Welfare Standards; and
- Recommends a planning process for consultation on the development of future Standards.

¹ The reports provided to AHA as part of the Consultation Project include: *Public consultation implementation plan* (May 2007), *Results of the public consultation for the Draft Land Transport Standards & the Regulatory Impact Statement* (June 2008), and *Model Consultation Framework for the Development of Australian Animal Welfare Standards: Part 1 – Evaluation* (July 2008).

2. Different ways to think and talk about ‘consultation’

The animal welfare stakeholder environment is very diverse. Different social sectors, organisations, the stakeholders affiliated with these sectors or organisations, and the wider community, have differing values, attitudes and belief systems about animals and animal welfare. People have wide ranging views about appropriate types and degrees of (moral) consideration to give to non human nature in general, and animals in particular. So, people will think about ‘animal welfare’ in different ways, and what constitutes ‘good’ animal welfare practices may be both controversial and contested. It is important to recognize how these diverse views underpin stakeholders’ interests in and responses to animal welfare and their levels of support for national animal welfare initiatives such as the Australian Animal Welfare Standards.

There are different ways to refer to people who might wish to be or are involved in animal welfare decisions, including ‘the public’, ‘the community’, ‘stakeholders’. ‘The public’ or ‘the community’ are catch-all phrases used to describe those with an interest in a decision *other than* a proponent or responsible authority (Aslin & Brown 2002). The term ‘stakeholder’ can be understood as those with a (often financial, direct) stake or interest in an issue, such as government agencies, industry, Non Government Organisations (NGOs)(Aslin & Brown 2002). The term can also be interpreted quite broadly, to include people who may or may not belong to organised groups, who may or may not have declared their ‘stake’, but who have a ‘right to know’ if their interests may be affected (Petts & Leach 2000: 2).

There are many people who have animals in their care and/or who (directly or indirectly) use animals – they are all animal welfare ‘stakeholders’. The Consultation Project identified three tiers of stakeholders that can be used to help target future consultation processes relating to the development of Australian Animal Welfare Standards and other animal welfare consultation initiatives (see Figure 1).

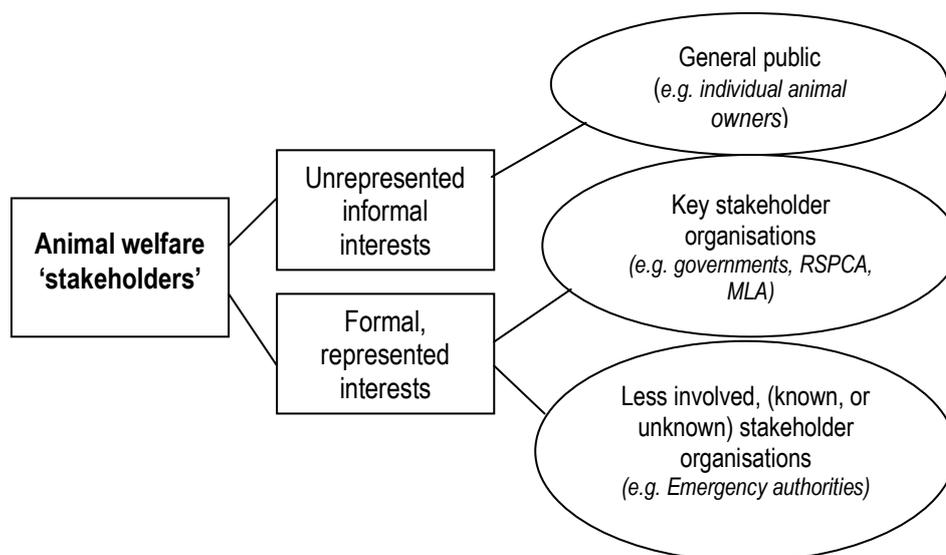


Figure 1. Basic stratification of animal welfare 'stakeholders'

Figure 1 offers a fundamental delineation of the different kinds of animal welfare stakeholders, who have varying degrees of connection to formal animal welfare decision making, and includes:

- key stakeholders: those parties with some formal responsibility for and/or direct involvement or interest in livestock transport (e.g. SRG representatives’ members or constituents, others);
- other stakeholders: range of less involved (known or unknown) stakeholders (represented by formal organisations/groups) with more indirect involvement and/or interests in animal welfare;
- interested public: range of people with direct or indirect interests in animal welfare - but who may not be ‘represented’ by a formal organisation/group (e.g. farmers not members of NFF, sport horse owners).

There are other factors to consider when distinguishing between different kinds of animal welfare stakeholders, including:

- what (or which) animal sector(s) they have an interest in;
- their desire to be involved in decision making;
- the significance of potential impacts on their interests;
- their capacity to participate in decision-making; and
- their degree of influence – positive and/or negative.

Terms like ‘public participation’, ‘community engagement’, ‘stakeholder consultation’ or ‘community consultation’, are used to refer to interested parties having some involvement in/influence on formal decision-making processes – often those of governments. That involvement varies according to how much power is transferred from the responsible ‘authority(ies)’ or decision makers to communities and stakeholders as shown in Figure 2.

Inform	Consult	Involve	Collaborate	Empower
Objectives				
To provide participants with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain feedback on analysis, alternatives and/or decisions.	To work directly with participants throughout the process to ensure that their issues and concerns are consistently understood and considered.	To partner with participants in each aspect of the decision including the development of alternatives and the identification of preferred solutions.	To place final decision-making in the hands of participants.
Promise to participants (stakeholders, communities, ‘the’ public)				
We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how your input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how your input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
Example tools				
Fact sheets, web sites, displays.	Public comment, focus groups, surveys, public meetings, open houses.	Workshops, deliberative polling.	Citizen advisory committees, consensus building.	Citizen juries, ballots, delegated decisions.

Figure 2. Different levels of involvement/participation in decision making

Source: International Association for Public Participation 2000 - 2006

The spectrum in Figure 2 also describes the *purpose* of involving people at those different levels and the nature of the promise made between authorities and participants. Irrespective of the level of participation that is selected (for whichever part of a decision process) – it is critically important to clarify with participants what level of involvement they can expect to have, why, and what that involvement entails². Participatory programs need clear goals and selected methods and tools should be appropriate to the degree of involvement. Participatory programs should also be tailored to particular situations, issues and local/regional conditions.

² Ideally, where circumstances (time, resources) allow – decision makers would negotiate with participants to identify appropriate levels of involvement, based on agency and community capacities.

The term 'consultation' should be used as a generic, overarching term which refers to a range of activities animal welfare authorities undertake to involve and engage people in animal welfare policies/programs more generally, and in the Standards development process in particular.

That 'consultation' may take different forms and will afford people varying degrees of input into and involvement in animal welfare decisions (as per the IAP2 spectrum of participation - inform, consult, involve, collaborate, empower).

'Public' consultation should be seen as one component of a broader consultation process used during the development of Australian Animal Welfare Standards and other animal welfare policies, programs, and initiatives.

3. Best practice principles for effective consultation

This Consultation Framework has been formulated with consideration of:

- the minimum *formal requirements* for consultation on national regulations (as per the COAG Principles & Guidelines for National Standard Setting & Regulatory Action by Ministerial Councils & Standard-setting Bodies (2004)); and
- a range of *best practice principles* for stakeholder and community consultation more broadly, including but not restricted to the:
 - Office of Best Practice Regulation Handbook (OBPR 2006);
 - Brisbane Declaration on Community Engagement (UN 2005)
 - International Association of Public Participation (IAP2) values; and
 - *Review of the Australian Model Codes of Practice for the Welfare of Animals* (Neumann 2005)

Those requirements and recommendations have been synthesised into a set of eleven best-practice principles, which were applied to the evaluation of the Pig Code of Practice and the Draft Land Transport Standards consultations (see Mazur & Hardy 2008)(see Table 1) and should be used in the subsequent development of the remaining Australian Animal Welfare Standards.

Table 1. . Best practice principles for animal welfare consultation

Principles	Description
1 <i>Clearly scoped</i>	Participation is planned and specifies: <ul style="list-style-type: none"> • what project processes are included & what are not; • how the involvement of participants will inform decision making; • how information will be gathered and analysed; and • how it will be used to inform decision making.
2 <i>Transparency & accountability</i>	People know what is happening and how their input is being used; processes and results are documented, audited, and readily accessible.
3 <i>Linked to decision making</i>	Input sought is gathered, analysed effectively, and used to inform decision making on processes and issues. Participants feel the process is worthwhile, because there is evidence that the process influences the outcomes.
4 <i>Representative/inclusive</i>	Diverse views from those who have an interest or are affected have a genuine opportunity to participate.
5 <i>Informative</i>	People have ready access to multiple sources of information that they need to participate meaningfully.
6 <i>Timely</i>	Opportunities provided early in the process for people to generate ideas and express their interests, not simply invite feedback on solutions/approaches already decided upon.
7 <i>Deliberative</i>	Conditions are established to enable sufficient time & appropriate environment for participants to share diverse views, respectively question each other, explore complex and challenging issues and differences of opinion, weigh up alternatives, identify solutions – in atmosphere of sensitivity and humour.
8 <i>Relationship building</i>	Opportunities provided to enable people to know each other, remain curious, and provide opportunities for participants to appreciate each other's perspectives; and Through their interactions, participants gain confidence in how decisions and rules are made and implemented.
9 <i>Feedback provision</i>	People are notified about how their contribution has made a difference.
10 <i>Accessibility</i>	People are able to participate in the process as the methods being used are appropriate and available.
11 <i>Facilitation/leadership</i>	Skilled, neutral party(ies) available to provide guidance on and/or to lead deliberative processes.

(Source: adapted from IAP2, OBPR 2006, Nuemann 2005; COAG 2004)

Adherence to these principles will produce effective involvement of people in (animal welfare) decisions, which in turn will often lead to:

- Increased understanding of stakeholder and community issues;
- Better project outcomes;
- Improved relationships with stakeholders and the wider public;
- Improved credibility for and trust in Government; and
- Enhanced partnerships and networks (DSE 2008; Shindler et al 2002).

4. Applying best practice consultation principles

Consulting on animal welfare matters is necessarily an intricate task for governments. All three tiers of government have animal welfare responsibilities, which vary between the jurisdictions. In Australia, the Commonwealth Government has a particularly strong coordination role, and there is a recognised need for more effective reporting, coordination, and consultation (Nuemann 2005; Shiell 2006). Many of the current reporting arrangements are considered fragmented, and some of the consultative mechanisms (e.g. statutory and non-statutory advisory bodies) are challenged by finding the most appropriate purpose and practices, employing sufficient degrees of influence, and achieving sufficient representation and inclusivity while not becoming unwieldy.

The main findings of the evaluation component of the Consultation Project (see Appendix 2) suggested that during consultation (to date) on the Draft Land Transport Standards there was:

- improved transparency, accountability, and feedback provisions;
- a wide variety of peak groups represented in a key consultative mechanisms (the Standards Reference Group);
- an informative and relatively flexible public consultation component; and
- professional facilitation support to enable deliberation.

Areas for future improvements included:

- more proactive and comprehensive planning of consultation; including
- identification of parameters of the decision process for which input is being sought;
- more substantial scoping and deliberation of key, controversial, and/or unknown issues;
- continue to raise standards for providing feedback to stakeholders; and
- ensure greater utility of consultation tools by more closely aligning the selection of tools with the consultation goals and objectives.

While consultation is used in many different decision processes, those processes (policies, programs, projects) are often described as having basic and sequential stages (or tasks) that build on each other – such as identifying issues, gathering information, developing options and alternatives, implementing plans/actions, evaluating the activities, and starting at the beginning (see Figure 3). It is important to identify the existing decision process which consultation is being used to inform.

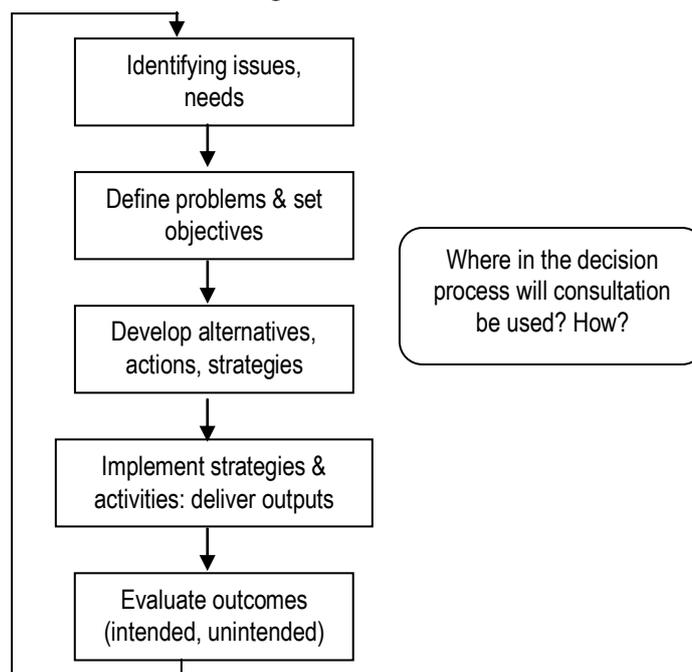


Figure 3. Identifying major steps of a decision process

Figure 4 illustrates overall how the key issues identified in the evaluation component of this Project could be addressed in future Australian Animal Welfare Standards consultation activities. The coloured boxes represent the key stages of development the Standards (and the RIS) – they summarise the more detailed work which takes throughout this overall decision process (see Appendix 3a-b).

The key elements of this approach are to place greater effort on specific planning for consultation, which would include:

- Earlier and more comprehensive scoping of issues - relevant to the particular Standards, policy, or program – that are likely to be of interest to/impact on stakeholders;
- Have that analysis tested through consultation with key stakeholders and be sufficiently complete prior to the drafting stage of Standards development; and
- Inform the development of the consultation plan; and finally
- Some consideration should be given to evaluating the consultation activities undertaken. While evaluation can be undertaken across all stages of a decision making process, more formal evaluation for the Standards development process could be undertaken during the latter part of the process (e.g. revision & finalisation, committee approval, implementation of Standards)(see Appendix 8).

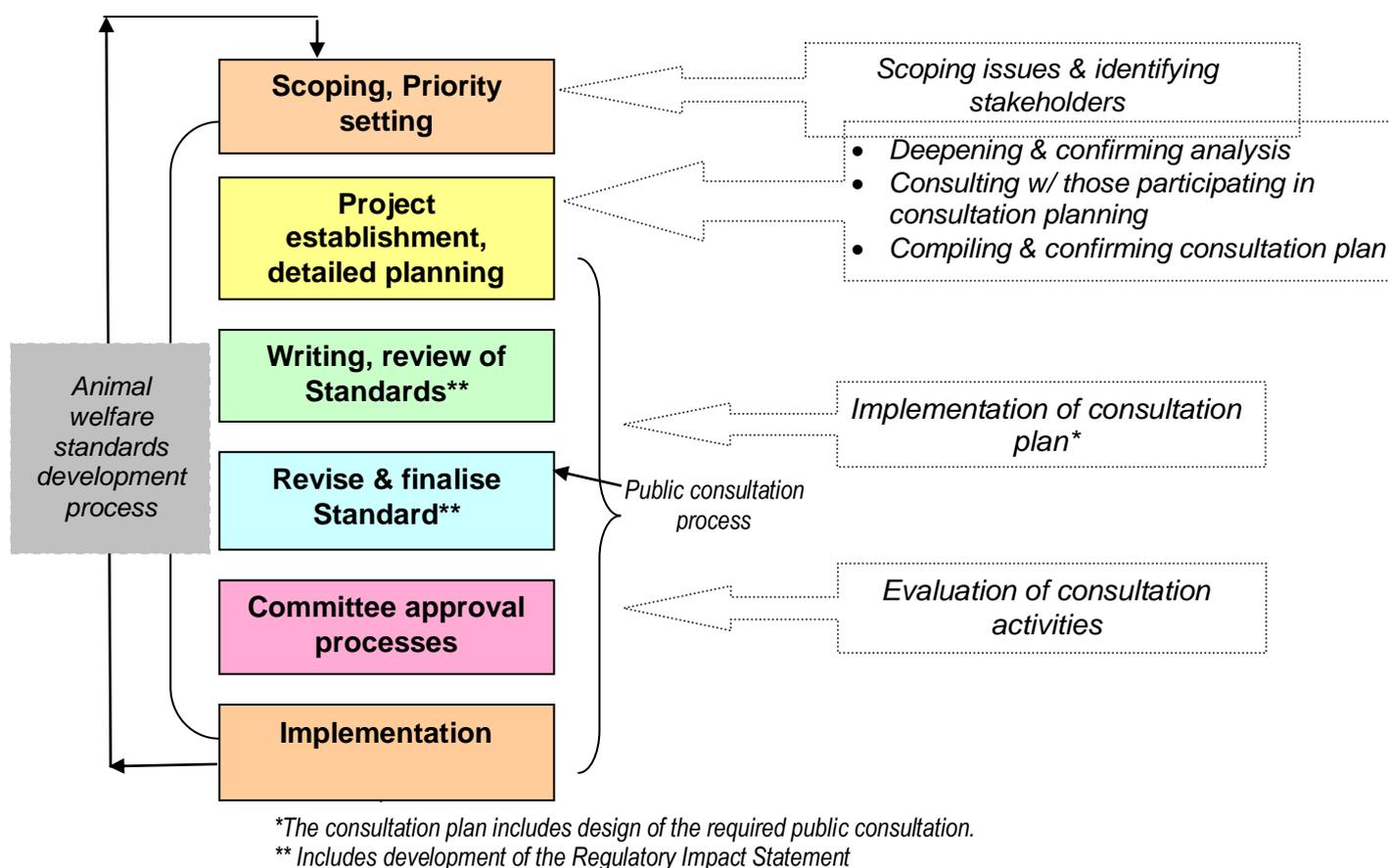


Figure 4. Integrating consultation into animal welfare standards development decision process

Table 2 provides an illustration of how the best practice consultation principles (listed in Table 1 above) might be addressed during the Standards development process. The top row lists the key stages of the Standards development process – which has been modified slightly from the decision processes that have been included in previous and current AHA Business Plan for the Development of Standards and Guidelines for Livestock Welfare in Australia (Appendix 3a,b). The first column lists the relevant participation principles to which decision makers should match their consultation objectives.

The body of the table provides examples of the consultation practices and outcomes if those participation principles are adhered to. Ideally, *all* of the best practice consultation principles inform how consultation is being planned and implemented at each stage of the Standards development decision process, although some

principles might be more critical at certain stages than others. For example, clearly scoping issues and the consultation plan is central to the early stages of the Standards development process, while it is important to maintain transparency and accountability throughout decision-making;

Table 3 provides more specific guidance about how to integrate consultation planning and implementation into the Standards development process:

- As noted in Figure 2, the earlier stages of Standards development process include scoping the issues and overall consultation goals and approach, and might largely involve ‘internal’ stakeholders – those who have the most direct responsibility for the Standards development process, particularly in relation to day-to-day decision making (e.g. AWWG, AHA, DAFF);
- As the Standards development moves into more detailed planning, so too does the consultation planning and research. Consultation for the entire process should be planned, including determining the goals, objectives and selecting the consultation techniques to be employed at each stage of the broader decision making process in order to achieve the consultation goals. A key objective is to obtain a deeper understanding of the range of issues associated with the particular Standards, particularly by testing the assumptions of earlier assessment of potential impacts and controversies. These assumptions are tested ideally through deliberation with a range of key and other stakeholders (possibly including members of the broader public). At this stage of planning the consultation plan is completed and feedback is sought prior to implementation;
- During the drafting stages of the Standards development process, the focus shifts to implementing the remainder of the consultation plan. Here the focus is on utilising input from various key contributors, such as the SRG, to develop final draft versions of the draft standards (and in the case of the Regulatory Impact Statement – a “Consultation RIS”);
- Moving into the latter stages of revising and finalising the Standards is informed by communicating the Draft Standards and the RIS to the broader community of interest and providing opportunities for feedback and comment. This is accomplished by meeting the requirements for public consultation, and conducting any remaining meetings with key stakeholders (e.g. SRG). During the revision stage – and after the public consultation process - the focus is on analysing feedback, and communicating the basis for making changes to the standards. The principles of accessibility, deliberation, influence and transparency are particularly pertinent during the drafting and revisions stages; and
- As mentioned earlier, during the Committee approval processes and implementation, more formal or deliberate assessment of the consultation activities can take place. Stakeholders are kept informed about final decisions relating to the Standards, and decision makers can consider further how to consult with stakeholders during the implementation stages of the Standards.

Table 2. Applying consultation best practice principles to Standards development

	Scoping/ Priority setting	Establishment (Detailed project planning)*	Writing/Review (Drafting of Standards)*	Revise & finalise Standards*	Committee approval process
Clearly scoped	Confirm decision steps Consultation parameters identified Overall level of influence determined Stakeholders identified	Scope tested/confirmed with key stakeholders (advisory body)	Standards developed to reflect scope Review scope with key advisory body (e.g. SRG)	Revision of standards reflect scope Review scope with key advisory body (e.g. SRG)	Committee approvals process occurs within scope established
Transparent/ accountable	Scope documented & conveyed to identified key stakeholders – 'internal'	Where scope changes, it is communicated/ explained Membership of key advisory body explained (e.g. SRG)	Process for drafting Standards documented & agreed to by key advisory body (e.g. SRG)	Explanation of changes & process for making changes explained to key stakeholders	Opportunity could be given to stakeholders to witness committee work. At minimum, reports & minutes be distributed
Influential – process & outcome	Level of influence in decision making process made clear at outset	Key stakeholders help ensure accessibility, inclusivity, timeliness, appropriateness of process Design of process for gaining public input developed with key advisory body (e.g. SRG)	Identified issues inform drafting process	Process for making changes explained to and understood/ supported by key stakeholders	NA
Representative/ inclusive	Diverse 'internal' perspectives sought on scope & stakeholder analysis	Diverse & balanced range of perspectives present in detailed planning	Diverse stakeholders involved in drafting process	Key stakeholders contribute to editorial process to finalise standards	NA
Relationship building/ trust	Internal commitment to process achieved Scope & purpose conveyed to key stakeholders	TOR developed with involvement of key advisory body (e.g. SRG) Feedback provided re: information gathered & how it will be used	Participants believe/ sense their input is valued, heard accurately, and carefully considered	Participants are satisfied that input was carefully considered & changes explained	Key stakeholders satisfied with explanation of any changes made at committee level
Informative	Internal team have shared understanding of purpose & scope	Key stakeholders have sufficient information to participate in planning	Participants have sufficient information to make considered contributions	Key stakeholders aware of input analysis undertaken & extent of their editorial role	Information provided about how committee arrived at conclusions
Timely	Sufficient time given for internal team to think Sufficient time given for stakeholder feedback on initial scope	Sufficient time given to plan how P&SE can add value to project Sufficient time given for participants to understand context & convey views	Sufficient time provided to gain considered input	Revisions made w/in reasonable period of time Time depends on complexity & level of passion on issues raised Public consultation minimum periods met or exceeded	Committee work undertaken within reasonable period of time (will vary)
Deliberative	Internal team weigh up merits of ways to scope project & likely stakeholders	Stakeholders weigh merits of different approaches to P&SE	Space created for participants to consider alternatives, appreciate other perspectives	Key stakeholders work with internal stakeholders to carefully weight up revisions	Committee carefully weighs merit of making further changes

	Scoping/ Priority setting	Establishment (Detailed project planning)*	Writing/Review (Drafting of Standards)*	Revise & finalise Standards*	Committee approval process
Feedback provision	Input re: scope is acknowledged & resulting actions explained	Input to TOR & P&SE planning acknowledged. Actions in response explained Feedback is provided re: information gathered & how it will be used	Participants informed how their input was considered, provided w/ explanations where not used	Participants given information on how input was used to revise standards	See relationship/ building trust
Accessibility	Diverse participation achieved	Diverse, balanced range of stakeholders able to participate in detailed planning Appropriate methods used to engage identified participants	Wide input received via geography and vertical layers in system Methods used work for different groups	Opportunity for varying views to contribute to editorial process	Opportunities provided to key stakeholders to witness committee activity
Facilitation/ leadership	Internal commitment & clarity re: purpose achieved	TOR for SRG & detailed planning facilitated effectively Skills in building rapport & gathering information applied	Group processes (e.g. SRG, editorial groups) enable progress	Editorial work guided considerably and efficiently	Committee work skilfully chaired

* Includes development of the Regulatory Impact Statement (RIS)

Table 3. Planning for consultation as part of the Standards development process

Standards development decision process	Corresponding stages of consultation planning	Particular consultation tasks	Indicative actions & Additional resources/ information	
Scoping/ Priority setting Internal stakeholders (AHA, AWWG) identify priorities, consider process for standards development, secure resources	Scoping the consultation	Initial framing of issues & preliminary identification of stakeholders Assess level of concern, needs, support of stakeholders Confirm & document general details of Standards decision process Identify parameters of consultation (what it is/isn't about) and overall goal of consultation process Consider potential level of consultation for key stages of Standards decision process	See Appendix 4 Including timing, roles & responsibilities See Appendix 4 See Appendix 5	
	Securing stakeholder support & participation	Secure internal stakeholder support Secure participation of key stakeholders in more detailed consultation planning (determine interest, capacity, share information)	Secure appropriate (financial & human) resources for consultation Document planned actions & disseminate, seek feedback	
	Establishment (detailed project planning)* More specific planning, establishment of project plan & consultation plan, consider issues, endorsement of plan	Detailed analysis	Test analysis & assumptions through consultation with key and other stakeholders participating in consultation planning: <ul style="list-style-type: none"> • identified issues for consultation • levels of consultation for remainder of Standards decision process 	Identify and fill gaps in knowledge about interests and issues
		Preparation of consultation plan	Formulate consultation goals & objectives for each of remaining stages of Standards decision process (including public consultation)	Appendix 6
			Identify all of the key elements in implementing consultation, including tools & techniques, and evaluation of the consultation Circulate consultation plan for feedback	Appendix 7a-e
Implementation of consultation plan		Commence plan implementation Ensure issues & actions are incorporated into drafting and provide direction for RIS		
Writing/review/ drafting of Standard*s	Continued implementation of consultation plan	Standards developed to reflect scope Scope reviewed with key advisory bodies (e.g. SRG) Identified issues inform drafting process Diverse stakeholders involved	Use of techniques listed in consultation plan (Appendix 7c), including consideration of deliberative approaches http://activedemocracy.net/case_studies.htm	
Revise & finalise Standards	Continued implementation of consultation plan	Meet formal requirements for public consultation - provide opportunity for anyone with interest in Standards to provide initial or further feedback and comments Ensure submissions are accessible to decision makers and stakeholders to better enable efficient and comprehensive processing/analysis Ensure balanced stakeholder participation in revision process		

	Consultation evaluation		Appendix 8
Committee approval process	Consultation implementation	Ensure stakeholders are kept informed about committee processes and explanations of decision outcomes provided	
	Consultation evaluation		Appendix 8
Implementation	Consultation implementation	Engaging stakeholders, ensuring on going involvement Building on previous and earlier consultation activities to avoid gaps between planning and implementation	
	Consultation evaluation		Appendix 8

* Includes development of the Regulatory Impact Statement (RIS)

Appendix 1. Spectrum of involvement/participation in decision making

Inform	Consult	Involve	Collaborate	Empower
Objectives				
To provide participants with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain feedback on analysis, alternatives and/or decisions.	To work directly with participants throughout the process to ensure that their issues and concerns are consistently understood and considered.	To partner with participants in each aspect of the decision including the development of alternatives and the identification of preferred solutions.	To place final decision-making in the hands of participants.
Promise to participants (stakeholders, communities, 'the' public)				
We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how your input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how your input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
Example tools				
Fact sheets, web sites, displays.	Public comment, focus groups, surveys, public meetings, open houses.	Workshops, deliberative polling.	Citizen advisory committees, consensus building.	Citizen juries, ballots, delegated decisions.

Source: International Association for Public Participation 2000-2006

Appendix 2. Key evaluation findings of consultation for the Pig Code of Practice & the Draft Land Transport Standards

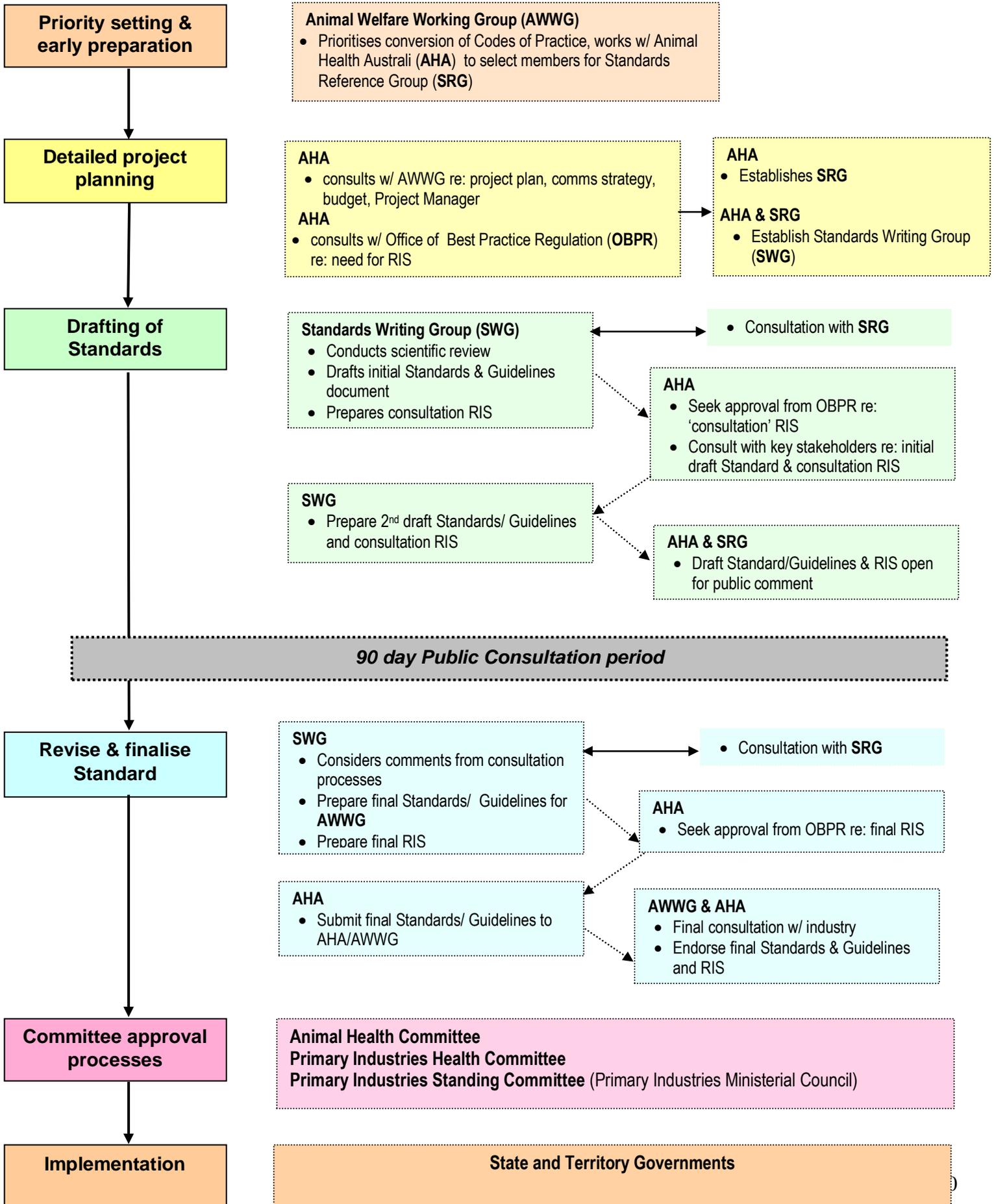
Achievements

- The consultations conducted during the development of the LTS (e.g. the SRG) demonstrate considerable improvements in the transparency/accountability and feedback provisions of animal welfare decision making.
- The Pig Code Writing Group and the LTS Stakeholder Reference Group has been an inclusive process involving a wide variety of peak interest groups.
- Key stakeholders and the general public were provided with a wealth of information which assisted them to provide input into the Draft LTS and the Regulatory Impact Statement (RIS).
- During the lead up to and immediately after the public consultation for the Draft LTS and RIS, there were improvements in the quality and timing of the feedback provided to key stakeholders (regarding how their input will inform revisions).
- The public consultation process (call for submissions) was informative and provided flexibility and clarity on the issues for stakeholders: the website provided stakeholders with context about the consultation as well as a choice of formats in which to make their submissions.
- DAFF and AHA demonstrated their leadership in animal welfare by taking up the recommendations to improve animal welfare consultation (Neumann 2005) and then commissioning this review, as well as seeking professional facilitation support for later SRG meetings.

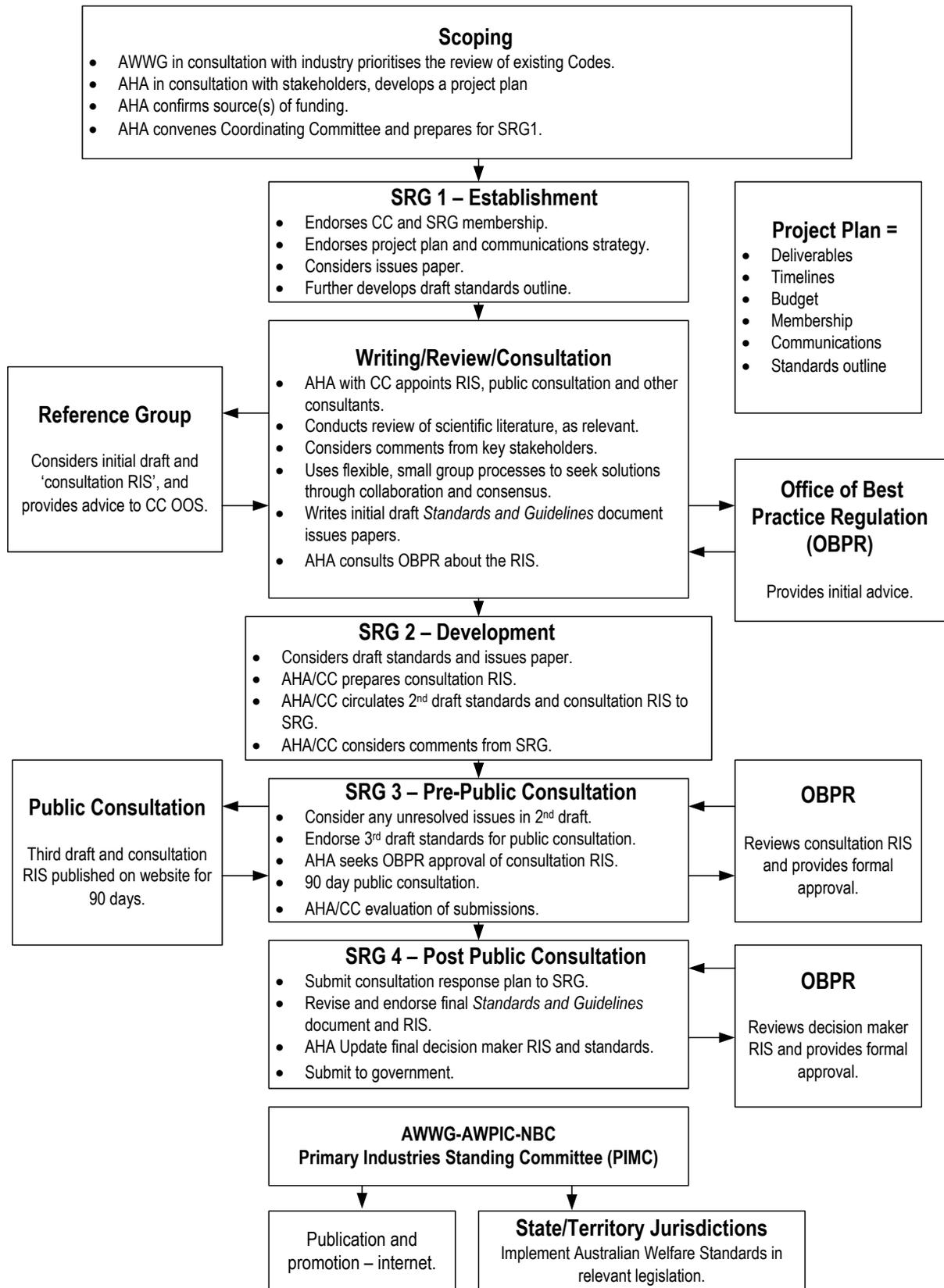
Areas for improvement

- More proactive and comprehensive consultation planning is needed for all phases of future animal welfare standards development process, particularly
 - determining what aspects of the Standards development process should/should not be included in the consultation,
 - specifying methods for engaging people at different stages of that development process, and
 - understanding and identifying the range of relevant stakeholders as early as possible.
- Given the requirement for public consultation, the process should be designed to obtain the most useful information possible for decision makers. There should be more substantial efforts placed on scoping and deliberating on key, controversial, and/or as yet unidentified issues *earlier* in the Standards development process (e.g.).
- The relatively long drafting process for the LTS raises questions about the utility and efficiency of trying to achieve consensus among SRG members *prior* to releasing the Draft Standards for public consultation.
- Decision makers should continue to improve their efforts to provide clear feedback to stakeholders (key and public alike) about how their input has influenced (or not) the Standards development process. Such efforts are likely to improved people perceptions of the transparency and accountability (and therefore perceived sincerity) of animal welfare consultation initiatives.
- The utility of providing interested parties with the option to submit structured submissions (e.g. the ‘survey’ approach) is not clear. It appears that those submissions have not provided critically important information for decision makers, other than some indication of levels of support for the Draft LTS and RIS among those choosing to make their submission this way. In future, the use of a consultation tools – such as the structured submissions – should be determined by the consultation goals and objectives chosen for each of the future Animal Welfare Standards development processes.

Appendix 3a. Standards development decision process (AHA Business Plan 2006)



Appendix 3b. Standards development decision process (AHA Business Plan 2008)



Appendix 4. Procedures for framing issues and identifying stakeholders

A key part of planning consultation involves exploring the purpose of consultation, understanding the concerns of a wide range of stakeholders, and identifying the issue(s) which consultation will address. Below are some of the key elements of and questions to assist issue framing and stakeholder analysis. The expected outputs of this stage in consultation planning would be:

- An understanding of key stakeholders and other stakeholder groups;
- Initial assessment of potential impacts of the decision and potential level of controversy;
- Initial assessment of the issues and interests of stakeholders and levels of concern; and
- Definition of the problem or challenge that includes a wide range of perspectives.

Some suggested questions and exercises for identifying what level of involvement include the following:

1. Framing the issues includes consideration of:

- a. How internal stakeholders define what issues will require consultation;
- b. Whether there are different views and definitions of those issues amongst internal stakeholders;
- c. What are the causes of those differences;
- d. What external input on these issues has the group received; and
- e. How are those views similar or different?

2. Consider the range of potential impacts

Rate listed impacts according to the potential severity of their effects (none, low, medium, and high) and their expected degree of controversy (none, low, medium, high).

3. Identify the range of stakeholders.

There are many ways to classify stakeholders. This report offers one way to think about animal welfare stakeholders (see page 7). There are numerous other ways to do this, and some resources for doing so can be viewed at:

<http://www.iap2.org/associations/4748/files/toolbox.pdf>

<http://www.dse.vic.gov.au/DSE/wcmn203.nsf/childdocs/-D15064A59E496FC8CA2570360014FEF8?Open&Layout=DSE~PrinterFriendly>
(see 'S' for stakeholder analysis)

http://en.wikipedia.org/wiki/Stakeholder_analysis

4. Consider how those stakeholders will be affected by which impacts and/or controversies.

- a. Seek feedback from stakeholders regarding this analysis, to provide further identification of interests and issues;
- b. Refine the impacts analysis, specifying most important impacts and how they are viewed

5. Refine the issue definition, and specify:

- a. The interests and concerns that can be addressed by this consultation process*
- b. That are the interests and concerns that cannot be addressed by this consultation process*

** It will be important to work with stakeholders to ensure that they understand the limitations of the consultation process and to identify possible alternatives for addressing their concerns.*

Appendix 5. Determining levels of involvement/participation for consultation process

Determining the appropriate levels of participation for the consultation process is essentially an exercise in aligning the findings of the analysis with the stakeholders' expectations, formal requirements, and levels of support from decision makers.

The expected outputs of this exercise would include:

- Understanding internal and external needs and expectations regarding consultation;
- Determination of appropriate level of consultation for the identified issues(s), based on stakeholder input; and
- Generic objectives and promises to all stakeholders (including the public) based on the IAP2 spectrum.

Some suggested tools for identifying what level of involvement include the following:

- 1. Rate as per external stakeholders level of interest and concern (use 5 point rating scales: very low to very high):**
 - a. Probable level of difficulty in solving the issue(s)/problem
 - b. Level of existing controversy on the issue(s)/problem
 - c. Degree of significance of impacts for stakeholders
 - d. Degree of involvement desired by stakeholders
- 2. Determine 'internal' stakeholders need and support for consultation (use 5 point rating scales: very low to very high):**
 - a. What levels of input are required;
 - b. Degree of interest among range of stakeholders to be involved;
 - c. Potential for range of stakeholders to have an impact on potential outcome;
 - d. Significance of benefits of consulting range of stakeholders;
 - e. Significance of consequences of not consulting widely;
 - f. Potential of media interest;
 - g. Likelihood of decision makers giving full consideration to consultation input;
 - h. Likelihood of adequate resources being available to support consultation process; and
 - i. Likely level of political controversy on the issue(s).
- 3. Collate scores from assessments above and consider the following:**
 - a. **Very low to low average scores:** Widespread consultation probably not necessary. Work with key stakeholders to identify a comprehensive stakeholder information program to satisfy public concerns.
 - b. **Low to moderate:** Widespread consultation is probably required. Consider working at the *consult* level to address issues and interests of stakeholders.
 - c. **Moderate to high:** Consider participation of key stakeholders at the *involve* level and other stakeholders (including the broader public) at the *consult* level.
 - d. **High to very high:** Consider how (internal and external) stakeholder issues and interests can be accommodated at the *involve* or higher level.
- 4. Compare and contrast the expectations of external and internal stakeholders and decision makers** regarding the different levels of consultation (inform, consult, involve, collaborate, empower), as well as considering the formal requirements for consultation. Where the external interest exceeds what the internal stakeholders will support, consideration of the following will be required:

- a. Can more be done to secure internal stakeholder support? If not, then select the high level that they will support. Work with stakeholders to meet their specific needs within the selected level of consultation.
- b. What other issues are driving stakeholders' desire for input? Are there other opportunities to address those issues?

Sample worksheet

Expectations of key participants	Inform	Consult	Involve	Collaborate	Empower
What levels of participation were identified in earlier planning stages?					
What levels of participation do key stakeholders desire and/or expect?					
What levels of participation are required?					
What levels do internal stakeholders (managers, staff, decision makers) support?					

Appendix 6. Formulate goals and objectives for the main stages of the Standards development process

It is important to identify what the specific consultation process objectives will be for each step in the decision making process. The table below is a tool to assist with planning. Each step in the process may have more than one consultation objective, depending on which stakeholders are being targeted/asked to participate. The objectives should cover a number of activities that have to be undertaken at each step in the decision making process, including providing information, seeking input, building relationships, building consensus through dialogues, providing feedback, and evaluating the process. Some illustrative examples have been provided. These are not meant to be exhaustive.

<i>Level of consultation</i>	<i>Stages of animal welfare Standards development process</i>				
	Scoping/early planning & Establishment/ detailed project planning	Writing/review (drafting of standards)	Revise, finalise Standards	Committee approval process	Implementation
<p>Inform Goal: Provide balanced & objective information to assist understanding of problems, alternatives, solutions Promise: Will keep you informed</p>	<p><u>For key stakeholders:</u> explain the scope of the project, the opportunities to participate in the process, and the level of influence with regard to decision-making.</p>			<p><u>For all stakeholders:</u> Notify stakeholders of the decision made & the rationale for that decision Approach:</p>	
<p>Consult Goal: Obtain feedback on analysis, alternatives &/or decisions Promise: Will keep you informed, listen to & acknowledge concerns, & provide feedback on how your input influenced decision.</p>			<p><u>For all stakeholders:</u> To provide opportunity for interested parties to provide feedback on the Standards. Approach: Public call for written submissions</p>		
<p>Involve Goal: Work directly with participants throughout process to ensure their issues are consistently understood & considered Promise: Will work with you to ensure your concerns/ issues are directly reflected in alternatives developed & provide feedback on how your input influenced decision</p>	<p><u>For key stakeholders:</u> seek advice on the design and implementation of the consultation plan Approach: formulate a working group of key stakeholders</p>	<p>Involve key stakeholders by inviting early input/ideas to be incorporated in the Draft Standards</p>	<p>Invite respondents from the broader public to make suggestions for improving the draft standards/identify gaps to be addressed.</p>		
<p>Collaborate Goal: Will partner with participants in each aspect of decision including development of alternatives & preferred solutions Promise: Will look to you for direct advice & innovation in finding solutions & incorporate your advice & recommendations to fullest extent possible</p>		<p>Invite key stakeholders to partner in the development/ writing of the draft standards</p>	<p><u>For key stakeholders:</u> To seek opinions and assistance with incorporating input from submissions into revisions of Standards. Approach: form a Writing Group comprised on representatives from key advisory group.</p>		
<p>Empower Goal: To place final decision making in hands of participants Promise: Will implement what you decide.</p>					

Appendix 7a. Identify key elements of implementing consultation for the Standards development process

The table below can be used to help plan the specifics of the consultation that will be used during the key stages of the Standards development process. The following pages include tools to assist with working through what is required when planning for information provision, what input is required from those participating in the consultation, which consultation techniques to apply, and timing and resourcing the consultation.

Stages of animal welfare Standards development process	Elements of consultation process					
	Objectives as per chosen Level of consultation (inform, consult, involve, collaborate, empower)	Information & feedback required by participants	Timing	Resource Needs	Tools & techniques	Roles & responsibilities
Scoping (Priority setting/ early planning)						
Establishment (Detailed project planning)						
Writing/Review (Drafting of standards)						
Revise, finalise Standards						
Committee approval process						
Implementation						

Appendix 7b. Planning for information needed by consultation participants

It is important to identify what (and when) specific information is needed by stakeholders and the public when consultation is taking place during the different stages of the decision making process. The following are key questions that can be considered, as well as examples of the different kinds of information that might be required by those participating in consultation.

Questions to help identify information needs of consultation participants

- How can we ensure that information is made available to all those who want access to it?
- How will results of activities of the consultation be documented?
- How do we ensure that those joining the process late have the information they need to ‘catch up’?
- What legal requirements must be met?
- Is the information being released credible, understandable, and complete?

Technical information

- Nature of the problem or challenge
- Technical parameters of the problem/challenge
- Answers to specific content questions about the issue

*(What pieces of information need to be developed? How is this information most effectively organised & presented?
How is this information most effectively made available?)*

Process information

- Nature and timing of the decision process
- Expected role of stakeholders (including the public) in the decision process
- Decision criteria to be used
- Feedback on how input has influenced decision making

*(What pieces of information need to be developed? How is this information most effectively organised & presented?
How is this information most effectively made available?)*

Appendix 7c. Planning for input needed from consultation participants

It is important to clarify what kind of input is needed from which stakeholders, including the general public and when it is needed. That input will include eliciting views, not just about what decisions are being made, but also how those decisions will be made and with what potential effects. The following questions and examples can help decision makers further design their consultation processes.

Key questions

- Where in the broader decision process is:
 1. stakeholder/public input necessary to ensure those concerns are reflected in the final decision(s)?
 2. stakeholder/public input necessary to ensure stakeholders/public understand the decision process and has input into how the process works?
- Which concerns and issue are important to understand at each step in the decision process to ensure that all consultation objectives are met?
- How will stakeholder/public concerns be integrated into the decision process from the very beginning?
- What can be done to foster trusting relationships with stakeholders/publics?
- How can decision makers be directly involved in the consultation process?
- What legal/formal requirements for consultation must be met?

Examples of *decision* input needed from stakeholders/publics

- How do decision criteria relate to the issues & concerns of stakeholders/publics
- How do stakeholders/publics view the decision problem?
- How are stakeholders/publics affected by the problem?

(Who needs to provide this input? How is this input best obtained?)

Examples of *process* input needed from stakeholders/publics

- What role are stakeholders/publics expecting to play in this process?
- What is the best timing of consultation activities, to make them as accessible as possible?
- How do stakeholders/publics feel about the consultation techniques being used?
- Do stakeholders/publics have the resources needed to participate?

(Who needs to provide this input? How is this input best obtained?)

Appendix 7d. Planning which consultation techniques to use

There are a range of consultation tools and techniques, that should be selected according to decision makers' consultation goals and objectives for each stage of the decision making process. The following resources provide valuable additional guidance on appropriate tools and techniques for consultation.

IAP2 Public Participation Tool Box:

<http://www.iap2.org/associations/4748/files/toolbox.pdf>

Department of Sustainability and Environment Community Engagement Toolkit

<http://www.dse.vic.gov.au/DSE/wcmn203.nsf/childdocs/-D15064A59E496FC8CA2570360014FEF8?Open&Layout=DSE~PrinterFriendly>

Towards whole of community engagement: toolkit

<http://affashop.gov.au/product.asp?prodid=12804>

Appendix 7e. Main elements of a consultation plan

Once a consultation plan is completed, it should be circulated to a range of stakeholders, particularly those internal and other external key stakeholders who may have assisted in its preparation. A sound consultation plan could include the following elements:

- ❖ A detailed description of the problem/decision to be made
- ❖ Background on the problem/decision, including a summary of its potential impacts
- ❖ The overall consultation goal (including the ‘promise’ to participants) and objectives, including the parameters of the consultation (what will and will not be part of the process)
- ❖ List of stakeholders (including the public) being targeted for consultation
- ❖ Detailed description of the decision process and the associated consultation activities, including:
 1. Information required by participants at each step
 2. Input needed from participants at each step
 3. Description of the consultation techniques at each step
 4. Roles and responsibilities at each step
 5. Feedback to be provided at each step
 6. Evaluation plans and techniques (and specification of which step they will be applied)
 7. Project schedule
 8. Overview of budget including key expense categories

Appendix 8. Evaluation information for consultation

Evaluation is essentially a process of reflection: its main purpose is to help individuals, groups, or organisations think about what is to be achieved, assess how far efforts are succeeding, and identify any required changes. Evaluation is a tool for continuous learning – it is best used to assess and improve process as they are being conducted. Consultation programs need to be flexible enough to respond to ongoing information and changes.

Similar to the consultation, the evaluation should be planned. Often evaluation is neglected or conducted too late in the process to help people make improvements. Involving stakeholders in designing and implementing the evaluation is another way to form partnerships and to build trust and credibility among participants.

Evaluation takes many forms, and there are a plethora of resources to assist with designing and implementing evaluation. See the following websites for further information:

<http://www.iap2.org.au/sitebuilder/resources/knowledge/asset/files/40/undecevaluationframeworkforcommunityengagement.pdf>

<http://www.evaluationtrust.org/evaluation>

<http://www.socialresearchmethods.net/kb/evaluation.php>

One of the key objectives of consultation evaluation is to identify *WHAT* will be assessed. There should be a focus both on how well the processes were conducted, as well as what outcomes were achieved. Some of those factors are shown in the table below.

- Effectiveness of information and outreach
- Stakeholder satisfaction with the consultation
- Impact of the consultation on the decision making process (e.g. usefulness of the input)
- Impact of the consultation on the project outcomes
- Match of consultation tools with stated consultation goals and objectives
- The actual costs of the consultation program

The consultation *principles* listed in Table 1 (page 9) provide an important foundation for building specific evaluation criteria.

There are a multitude of *tools* to assist with consultation evaluation. Informal evaluation can be conducted through the consultation process to track how well the objectives are being met and the process is proceeded as expected. More formal approaches can be pursued during the later stages of the project to help assess overall success and preparing for the next consultation initiative. Results of consultation evaluations should be shared with those participating in the consultation and decision-making process. Examples of some evaluation tools are listed in the table below, as well as at the websites listed above:

Informal feedback	Routine conversations with stakeholders to gain their views on how they perceive the consultation process & outcomes
Interviews	Where more feedback is required, more formal, structured conversations with stakeholders using particular sets of questions
Questionnaires	Standardised, short answer questions used periodically or at the end of events to assess quality of process & outcomes
Peer evaluations	Practitioners not involved in the project to review/assess process and materials
Debriefs	Project team meetings/conversations after consultation activities to create shared learning environment, agree on adjustments and changes to future activities
Formal surveys	Where statistically valid information is required.
Formal program evaluations	Third party with program evaluation expertise conducts formal assessment of consultation program design and implementation.

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