



DUMFRIES AND  
GALLOWAY  
**Health and  
Social Care  
Partnership**

**Framework for Planning and  
Delivering Effective Consultation**

**As at XXXXXX 2018**

*Consultation is 'the dynamic process of dialogue between individuals or groups, based upon a genuine exchange of views and, with the objective of influencing decisions, policies or programmes of action'*

***Consultation Institute***

## **Contents**

- 1.** Introduction
- 2.** Definitions
- 3.** Risk, national standards and legal considerations
  - 3.1 National Standards for Community Engagement
  - 3.2 Legal principles for consultation
- 4.** When to undertake consultation?
  - 4.1 Statutory requirements
  - 4.2 Legitimate expectation (Common Law)
  - 4.3 Final questions to ask
- 5.** Consultation process
- 6.** Planning stage
  - 6.1 Context
  - 6.2 Planning team
  - 6.3 Role of the consultation mandate
  - 6.4 Timescales
  - 6.5 Resources
  - 6.6 Consultation plan
  - 6.7 Stakeholders
  - 6.8 Methodology
  - 6.9 Evaluation plan
- 7.** Pre-consultation stage
  - 7.1 Test the questions
  - 7.2 Agree the plans with stakeholders
  - 7.3 Brief facilitators
- 8.** Consultation stage
  - 8.1 Advance information
  - 8.2 Implement the plan and respond to stakeholders
- 9.** Post-consultation stage
  - 9.1 Analysis
  - 9.2 Follow up work
  - 9.3 Feedback
  - 9.4 Process evaluation
  - 9.5 Evaluation publication

10. Appendix 1 - Consultation and authorisation Mandate  
Appendix 2 – Consultation Evaluation Outline

## 1. Introduction

Dumfries and Galloway Health and Social Care Partnership (DGHSCP) is committed to helping people achieve and maintain their best possible level of wellbeing, and to working in partnership to create, deliver and sustain new models of health and social care.

As part of that partnership working, DGHSCP is committed to embracing principles of inclusion, working to engage with partners and the public to co-produce models of health and social care, consulting, and ensuring good communication around the work which is being undertaken. In addition, it will look to continually evaluate, document and report on its performance in this area.

A Framework for Planning and Delivering Effective Consultation with Communities (referred to as 'the Framework') has been developed to support these objectives, and in response to a growing awareness that good quality community engagement plays a key role in improving services and delivering successful projects.

The Framework has been developed as a step-by-step process in order to consult with stakeholders and communities effectively. Its design has been influenced through close working with Community Planning Partners, and the training and guidance provided by the Consultation Institute (a best practice organisation promoting high quality public and stakeholder consultation in the public, private and voluntary sectors). Details of those involved and their contributions are provided in Appendix 1.

The process set out within this Framework will ensure that those undertaking consultation achieve the statutory requirements of the Scottish Government Health Directive CEL 4, and also the National Standards for Community Engagement.

These national standards have been developed by the Scottish Government to improve participation processes of public bodies, and have already been formally adopted by partner organisation Dumfries and Galloway Council. These national standards are embedded throughout this document and are highlighted for ease in blue text<sup>1</sup>.

This framework will also help to ensure that work is undertaken in line with legally established principles of consultation – as established by the cases of Regina v Brent London Borough Council, ex parte Gunning (1985) and Moseley v Haringey London Borough Council (2014).

A key element of the Framework is the role of the Consultation Working Group. This small group is formed from health and social care staff who have undertaken recognised learning and development around consultation, and will convene every two months or more frequently in response to demand or quantity of work being undertaken. The group will receive submissions of proposed work in the area of consultation, will advise on the correct course of action, and will then provide guidance and support as they oversee the work to a successful conclusion, assessment, evaluation and reporting.

All formal public consultation undertaken on behalf of the Partnership will be documented from launch on the website [www.dghscp.co.uk](http://www.dghscp.co.uk), along with materials including feedback and

opinions from participants which will inform the evaluation of its success. This material will remain on the site, serving as a library of consultation work.

This feedback and opinion will also be incorporated into the Partnership's annual Public Report, publicly documenting stakeholder opinions on the quality of work being undertaken within this area.

The Framework set out here reflects very closely that already adopted in 2018 by partner organisation Dumfries and Galloway Council, and which mandates that all council staff undertaking consultation work do so with a very similar approach and to the same standards set out within this Framework.

To access further resources on community engagement, please visit the websites of the [Scottish Government](#) and [Scottish Community Development Centre](#).

For further information, please contact:  
Communication and Engagement Manager  
Dumfries and Galloway Royal Infirmary  
Tel: 01387 241061 (int 33061)  
Email: [rod.edgar@nhs.net](mailto:rod.edgar@nhs.net)

---

<sup>1</sup> As a result, the word 'engagement' frequently appears. However, each point within the National Standards for Community Engagement is valid within a consultation and should be applied in this work.

## 2. Context

Effective consultation with people who use services, their Carers and partner organisations is an important area of the Partnership's business - ensuring that it is responsive to the needs of communities. The Partnership consults with residents and other stakeholders to seek their views on proposed changes to services, plans, policies, strategies and other important issues to help inform decisions that are made.

This Framework supports:

- meeting statutory obligations when consulting
- adhering to consultation principles
- increasing the confidence of those being consulted in the consultation process
- having the necessary information and knowledge to undertake consultation effectively and efficiently
- improving the quality of consultation
- having a consistent, co-ordinated and joined up approach to consultation

## Understanding Consultation

Engagement involves an ongoing dialogue with a wide range of people within our communities to help us plan and deliver services. Within the National Standards for Community Engagement it is defined as *'a purposeful process which develops a working relationship between communities, community organisations and public bodies to help them to identify and act on community needs and ambitions. It involves a respectful dialogue between everyone involved, aimed at improving understanding between them and taking joint action to achieve positive change.'*

We engage using a variety of approaches as listed below:

**Information sharing** - we engage through information. This can include telling people about a decision that has been or is going to be made. This can involve different methods of communication, including social media.

**Compliance** - we engage in relation to statutory or regulatory requirements we must act upon, for example major service change.

**Consultation** –we engage through formal and informal consultations to influence decisions.

**Structures** - we engage through formal and informal structures, e.g. the CAPE network.

**Co-Production** – we engage to co-define the issues, co-design the best responses and co-deliver through the best use of all the available resources

## Principles for effective Consultation

Consultation is defined by the Consultation Institute as *'the dynamic process of dialogue between individuals or groups, based upon a genuine exchange of views and, with the objective of influencing decisions, policies or programmes of action'*.

The Consultation Institute has identified the following seven principles, which act as a reference for all those involved in leading consultations.

1. Integrity                    The consultation must have an honest intention. Consultors must be willing to listen and be prepared to be influenced.
2. Visibility                   All who have a right to participate should be made reasonably aware of the consultation.
3. Accessibility              Consultees must have reasonable access, using methods appropriate for the intended audience and with effective means to cater for all.
4. Transparency              Consultation submissions will be publicised unless specific exemptions apply.
5. Disclosure                 Consultors must disclose all material information. Consultees must disclose significant minority views when representing many parties.
6. Fair Interpretation        Objective assessment, with disclosure of weightings if used.
7. Publication                 Participants have a right to receive feedback of the consultation output and of the eventual outcome of the process.

Stakeholders is a term often used in consultation. Stakeholders are an individual, group or party that either affects or is affected by the consultation. Measures should be taken to include all stakeholders affected and to ensure that a balanced selection is involved.

**Seldom heard** is a term used to describe those communities who may not usually be involved in consultation processes. They are often seen as being hard to reach and, as a result, could be less likely to have their voices heard and have influence. However, it is important to note that many of these communities are not hard to reach at all, and do not consider themselves as such. It is perhaps the case that the approaches and methods we have used in the past have not always been successful in gaining their views.

The National Standards for Community Engagement recommend that **measures are taken to involve groups with protected characteristics**. This refers to the Equality Act 2010, which protects the rights of people on the basis of nine characteristics. These are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex/gender and sexual orientation. The local community planning partnership equality monitoring form should be used to evaluate the level of engagement with those from a range of protected characteristics. The Equality Act also involves a duty to make reasonable adjustments for people during engagement and consultation.

### **3. Risk, national standards and legal considerations**

Dumfries and Galloway Health and Social Care Partnership may undertake a consultation voluntarily or because it has a statutory duty to do so. In either case, it is required to undertake the consultation in line with national standards and the legal standards established through case law.

National Standards for Community Engagement applies to all engagement, including consultation, but when consultation is being carried out there is a greater expectation that this work will be carried out to those standards.

If a piece of consultation comes under challenge and is found not to have been carried out to these standards, there is a possibility that any resulting decisions or actions may be deemed invalid, there is a risk of reputational damage to the partnership, and there is the potential for this outcome to impact on other pieces of consultation work.

#### **3.1 National Standards for Community Engagement**

The seven National Standards for Community Engagement as set out by The Scottish Executive are as follows:

1. **INCLUSION:** we will identify and involve the people and organisations who are affected by the focus of the engagement
2. **SUPPORT:** we will identify and overcome any barriers to involvement
3. **PLANNING:** there is a clear plan for the engagement, which is based on a shared understanding of community needs and ambitions
4. **WORKING TOGETHER:** We will work effectively together to achieve the aims of the engagement
5. **METHODS:** we will use methods of engagement that are fit for purpose
6. **COMMUNICATION:** We will communicate clearly and regularly with the people, organisations and communities affected by the engagement
7. **IMPACT:** We will assess the impact of the engagement and use what has been learned to improve our future engagement

### 3.2 Legal principles for consultation

Legal principles for consultation have been established through case law, with the cases of Regina v Brent London Borough Council, ex parte Gunning (1985) and Moseley v Haringey London Borough Council (2014).

A legal challenge can be mounted against a piece of consultation work, and the complaint is likely to be upheld if it is found not to have been carried out in line with these legally established principles.

The case of Regina v Brent London Borough Council, ex parte Gunning (1985) has given rise to what are known as the four 'Gunning Principles' which should be followed.

These are:

1. Consultation must take place when the proposal is still at a formative stage; *consultation cannot begin if a decision has already been taken on the outcome.*
2. Sufficient reasons must be put forward for the proposal to allow for intelligent consideration and response; *we must provide the right information in the right format and use the right methods to enable participants to participate and make an informed view.*
3. Adequate time must be given for consideration and response; those being consulted must have enough time to participate and those consulting must have enough time to consider the responses as part of the decision-making process.
4. The product of consultation must be conscientiously taken into account. *Decision makers must demonstrate that they have taken stakeholders views into account.*

Moseley v Haringey London Borough Council (2014) established a further two principles. These are:

1. The degree of specificity regarding the consultation should be influenced by those who are being consulted
2. The demands of fairness are likely to be higher when the consultation relates to a decision which is likely to deprive someone of an existing benefit.

## 4. When to undertake consultation?

When considering whether consultation should be carried out, there are two areas of focus for consideration:

- Statutory requirements
- Legitimate Expectation (Common Law)

### 4.1 Statutory requirements

In respect to health services, under the [National Health Service Reform \(Scotland\) Act 2004](#) there is the requirement:

#### *Duty to encourage public involvement*

(1) It is the duty of every body to which this section applies to take action with a view to securing, as respects health services for which it is responsible, that persons to whom those services are being or may be provided are involved in, and consulted on—

(a) the planning and development, and

(b) decisions to be made by the body significantly affecting the operation, of those services.

### 4.2 Legitimate expectation (Common Law)

Courts now recognise consultees' rights to expect a fair process, and this applies:

- when there has been a clear promise made of consultation
- where official guidance or policies imply a promise to act in a particular way
- where there is a withdrawal of a benefit with significant impacts to be considered
- where the nature of the relationship would create unfairness if there were to be inadequate consultation

There are grounds for a judicial review if a consultation does not take place despite a legitimate expectation that it will. Even if there is no legal requirement for a consultation, if one is launched then it must be carried out properly so as to ensure that it is fair.

More guidance can be found in the UK Government's [Cabinet Office Consultation Principles](#).

These state:

The governing principle is proportionality of the type and scale of consultation to the potential impacts of the proposal decision being taken, and thought should be given to achieving real engagement rather than following bureaucratic process.

Both the Cabinet Office Principles and recent case law have emphasised that consultation requirements will vary from one context to another and that they should be assessed on an individual basis. As a result, the responsibility now rests on public authorities to decide how, when, with whom and how widely to consult. Difficult judgments may need to be made on just what level of consultation is 'proportionate' to the purpose and objectives of a consultation. Organisational consistency is important, in order to demonstrate a consistent and coherent approach which gives confidence in the consultation process – particularly if subject to external challenge or scrutiny.

The Cabinet Office Principles cite as examples of circumstances in which consultation may not be appropriate. They give these as:

"for minor or technical amendments to regulation or existing policy frameworks... or where adequate consultation has taken place at an earlier stage."

Conversely, the more serious or significant the impact, the more likely it is that the views and concerns of those affected should be consulted upon before a decision is taken.

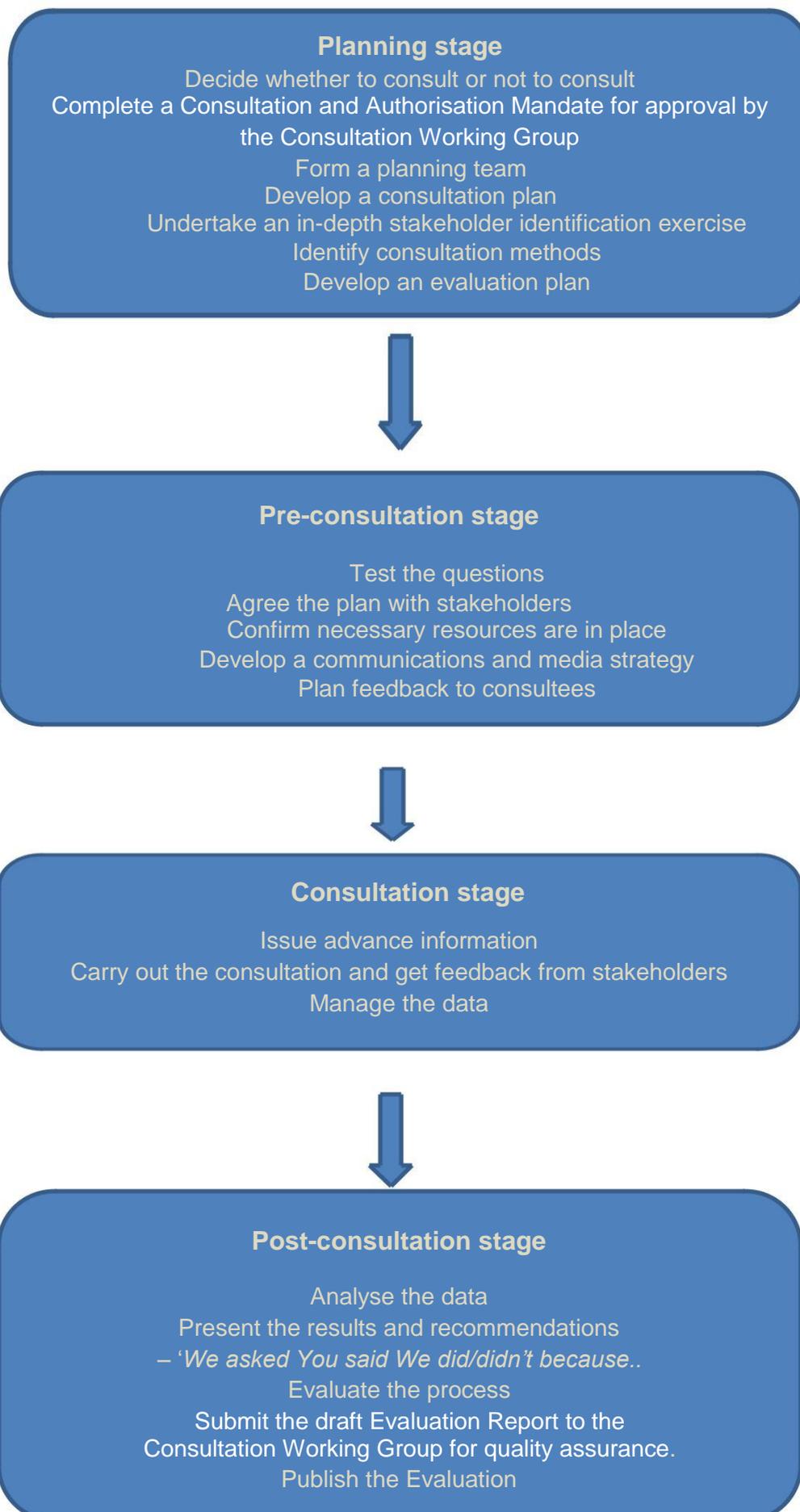
### **4.3 Final questions to ask**

In deciding whether a public consultation should be undertaken, it is important to consider the following:

- The scope to influence the decision, policy or programme of actions
- Are we simply seeking or giving information
- If there a legal requirement to 'consult'?
- If this is solely an operational matter (and this can be justified)?
- If there is a legitimate expectation to be consulted?
- The impact of not consulting on the reputation of your organisation

## 5. Consultation process

A consultation involves four stages, which are outlined below.



## 6. Planning stage

### 6.1 Context

Consider the context for your consultation, including:

- Availability of existing research
- The scope of the consultation
- Limitations
- Opportunities

Take account of relevant legislative requirements when considering reasons for the consultation. Also, check that the consultation does not replicate recent or current work and ascertain that the information required cannot be obtained through another planned consultation.

### 6.2 Planning team

Partners should be [involved at the start of the process in identifying and defining the focus](#). Involve partners by creating a planning team. This could include organisations and/or community representatives who are impartial to the consultation subject. Collectively, the team should possess the necessary knowledge, skills and experience to plan a successful consultation.

The team ought to [agree what the outcomes of the process should be, what indicators will be used to measure success, and what evidence will be gathered](#). They should also decide what records shall be kept of the consultation and begin to record their work. A consultation report template is provided in Appendix 2, which includes a checklist for staff. All information relating to the consultation should be stored in an agreed location.

Make sure [all available information which can affect the process is shared and used to develop the plan](#). Indeed, within the planning team and when communicating with anyone affected by the outcome of the consultation it's important that, [without breaking confidentiality, participants have access to all information that is relevant to the engagement](#).

### 6.3 Role of the consultation mandate

A consultation mandate is critical in order to ensure you have clarity and understanding on the key elements of the consultation process.

The mandate helps you to clarify and agree:

- Who is consulting?
- Who do you want to consult?
- What are you specifically consulting about?
- Who will consider the consultation findings and what is the process they will undertake towards a decision?

- What is the timetable involved?
- What do you hope the consultation will help you achieve?

Ensure you have appropriate approval for the consultation and clarity of purpose by completing the Consultation and Authorisation Mandate at Appendix 2. You cannot proceed to the next stage until this has been signed off by the Consultation Working Group.

#### **6.4 Timescales**

Ensure that [the timescales for the process are realistic](#). As [participants in the process often commit to continued two-way communication with the people they work with or represent](#), timescales should allow stakeholders to consult with their own networks - for example Third Sector.

Timescales may be pre-determined in consultations for which there is a statutory duty. Timescales for non-statutory will vary according to their scale and complexity but should always provide the greatest opportunity for participants to contribute. The minimum recommended duration of consultation is 12 weeks. It is recommended that school holiday periods are avoided or at the very least taken into account when setting dates, and that more time for consultation should be considered within these periods.

#### **6.5 Resources**

Consider the resources allocated to your consultation. Identify the costs, including providing advance information and steps to address barriers to participation. This could include:

- Accommodation
- Information (e.g. printing costs, adverts, postage)
- Refreshments
- Staff time (e.g. to run an event or focus group)
- Publicity

Ensure there are [sufficient resources to support an effective process](#). The source of a budget to support an effective consultation should be clearly identified. At this point, consideration should be given as to whether the identified budget is sufficient to support the consultation. If changes are required to the consultation which have implications for the budget, then it is recommended that these changes, the reasons for them and the associated affect on the budget are recorded. Consideration should also be given as to whether there is a requirement to complete a Risk Register.

#### **6.6 Consultation plan**

A comprehensive project plan should be developed providing details of the consultation process including the consultation mandate, rationale and details of stakeholder identification and chosen methodologies, data gathering and analysis processes, calendar of events and activities with identified lead persons, quality assurance arrangements, feedback and publication processes, communications and media strategy, consultation

process evaluation arrangements. This should include timescales and milestones for the pre-consultation, consultation dialogue and post consultation stages.

## **6.7 Stakeholders**

Undertake an in-depth stakeholder identification exercise. This helps identify the different kinds of stakeholders who may be 'consultees'. The stakeholder identification exercise can also help identify the most appropriate methods to use for different groups.

When carrying out the mapping, it may help to consider:

- Who is directly impacted by this decision
- Who is indirectly impacted
- Who is potentially impacted
- Whose help is needed to make the decision work
- Who knows about the subject
- Who will have an interest in the subject

Ensure a balanced selection, in order that [a wide range of opinions, including minority and opposing views, are valued in the process](#). Steps should be taken to involve groups with [Protected Characteristics](#), those seldom heard, particularly those experiencing inequality including poverty.

## 6.8 Methodology

Once the stakeholders have been identified; select the most appropriate methods to provide the best opportunity for them to take part. There are many methods of consultation. For example,

- Focus groups
- Presentations to existing groups
- Meetings
- Surveys – written, telephone, online
- Using art and culture

Choose the method based on: ‘What is the best method to give the consultee the best opportunity to give their best response?’ It is not good practice to adopt a single method to consult, and increasingly there are concerns and legal challenges based on an over-reliance on online methods. Adopt a range of methods to enable qualitative and quantitative data to be gathered.

The [Participation Compass website](#) contains a comprehensive list of consultation methods. A variety of methods should be used throughout the process to make sure that a wide range of voices are heard. Moreover, full use should be made of creative methods which encourage maximum participation and effective dialogue. [Leapfrog](#) contains a toolbox of creative methods.

Also consider the use of existing forums. There is a developing Dumfries and Galloway Participation and Engagement Network which is a database of members of the public and community groups, who are willing to be consulted and share their views on public services. E-mail: dg.PEN@NHS.net for further information.

It is important to ensure that [the methods used are appropriate for the purpose of the engagement](#).

Templates for all aspects of a consultation are available on [www.dghscp.co.uk](http://www.dghscp.co.uk) including: the Consultation Plan; list of trained officers; facilitators’ briefing notes; privacy statements; ‘we asked/you said/we did/didn’t forms; and feedback forms.

At this stage, involve whoever will be analysing the data as they can advise on question construction and design, recording of information and analysis. Care must be taken when involving third parties in delivery of the consultation process, as credibility for the process and reputation of the organisation is in their hands.

### Overcoming barriers

A ‘one size fits all’ approach does not support our approach to consultation and we should continue to support those communities of place and interest who are seldom heard.

Take action to [remove or reduce any practical and perceived barriers that make it difficult for people to take part](#). Ensure that steps are taken to involve people at risk of being excluded from participating due to disadvantage relating to social or economic factors. Wherever possible, take steps to ensure that participants are supported to develop their skills and confidence during the engagement. Consider what support may need to be provided and where necessary, provide access to impartial and independent development support.

### Communication

The methods of communication used during the consultation process should meet the needs of all participants.

When consulting, ensure that information that is important to the engagement process is accessible, made available in appropriate formats and shared in time for all participants to properly read and understand it. Information should be provided in advance of the consultation to help people understand why the consultation will take place and how to participate.

Please contact the DGHSCP Communication and Engagement Manager for advice and support with tasks such as:

- Creating online surveys (using Survey Monkey)
- Communicating with the media
- Posting details on the [www.dghscp.co.uk](http://www.dghscp.co.uk) website
- Using the Partnership's social media pages

### **6.9 Evaluation plan**

It is necessary to ensure measures are in place to evaluate the effect of consultation and demonstrate what has been achieved. Ensure that [partners are involved in monitoring and reviewing the quality of the process and what happened as a result](#).

Consider how the consultation shall be evaluated, including the extent to which:

- [The outcomes the process intended to achieve are met](#)
- [Services are developed to best meet the population's needs within available resources](#)
- [Participants have improved skills, confidence and ability to take part in the future](#)

Include an evaluation as part of the programme. Templates are provided for evaluating events and surveys. The [equality monitoring form](#) agreed by partners in Dumfries and Galloway must be used to ensure involvement from a range of people, allowing you to identify gaps that should be addressed by additional methodologies.

## 7. Pre-consultation stage

### 7.1 Test the information and questions

Test the information that will be used in advance of and during the consultation with stakeholders. Ensure that it is easy to understand and the format is appropriate. Similarly, test any questions that are to be used, for example, within a survey or focus group. Check that the answers only supply information which is necessary to achieve the consultation's purpose.

### 7.2 Agree the plans with stakeholders

It is important that [the people and groups who are affected](#) are involved at the earliest opportunity and that [a clear and agreed plan](#) is in place.

Discuss the plans with a sample of stakeholders and ask them to consider and agree any changes required. Ensure that [the methods used](#) are acceptable and accessible to participants and are [evaluated and adapted](#), if necessary, in response to feedback from participants and partners. Check [systems are in place](#) to make sure the views of the wider community continuously help to shape the process.

The way people work together is a crucial factor in the success of any consultation. To [work effectively together to achieve the aims](#) make sure that:

- [The roles and responsibilities of everyone are clear and understood](#)
- [Decision-making processes and procedures are agreed and followed](#)
- [Communication between all participants is open, honest and clear](#)
- [The process is based on trust and mutual respect](#)

### 7.3 Brief facilitators

Provide a briefing for staff, volunteers and partners who will help to deliver the consultation stage, e.g. facilitate focus groups. The briefing should include:

- Background on the purpose of the consultation
- Procedures to be followed, e.g. recording stakeholder issues
- The appropriate treatment of stakeholders, e.g. ensuring that they are welcomed and thanked for their participation
- Answers to questions which stakeholders may have
- When and how stakeholders will receive feedback

## 8. Consultation stage

### 8.1 Advance information

Topics for consultations should be set out clearly beforehand, with the use of plain language that people can understand. Please refer to directions set out by the Plain English Campaign.

Information about the topic and process should be communicated to stakeholders in advance of the first consultation event. This can be done through:

- Posts on the Partnership's webpage and social media pages
- Press releases
- Notices in Partnership facilities
- Asking partners and local organisations to circulate details to their members or networks

You must make clear the support available to stakeholders in participating including, for example, travel and care expenses, translation and interpretation.

### 8.2 Implement the plan and respond to stakeholders

As the plan is implemented, continually evaluate the success of the consultation methods being used. Evaluation with stakeholders will help to provide this information. It is important that [the methods used are acceptable and accessible to participants](#). It may be necessary to adapt and/or change the methods [in response to feedback from participants and partners](#) or if participation levels are low.

Take steps to ensure that stakeholders have a positive experience of the consultation, responding to individual needs as they arise. Comments, compliments and complaints should be recorded and responded to in a timely manner. Advise stakeholders that the comments they make may be published and remind them how they will receive feedback, for example, questions and issues may be answered in a 'question and answer' summary paper. Consider procedures for the handling of personal information; where possible direct them to the [www.dghscp.co.uk](http://www.dghscp.co.uk) page where you can provide regular feedback within published timescales.

It is important that stakeholders are thanked for their participation and the contribution they make is acknowledged. The majority of stakeholders participate in their own time and at their own expense.

Keep records of information obtained throughout the consultation in a secure agreed location, as this may be required in future. Ensure that information is stored in accordance with the Partnership's policies and guidelines, including the Data Protection Policy

Keep records of information obtained throughout the consultation in an agreed location, as this may be required in future. Ensure that information is stored in accordance with the Partnership's policies and guidelines, including the Data Protection Policy.

## 9. Post-consultation stage

### 9.1 Analysis

Analysis of information obtained during the consultation should be transparent and rigorous. To maximise accuracy, ensure that the work is cross-checked. It may be helpful to develop a coding framework where responses are recorded under recurring themes. It is essential that the analysis is non-interpretive and the themes reflect the views expressed. It may be appropriate to arrange independent analysis of the results, with consideration of the role that could be played in this regard by partners within the Community Planning Partnership.

### 9.2 Follow-up work

Further work may be required following the consultation and analysis of information. Additional tasks could include additional meetings with stakeholders, particularly Protected Characteristics Minority Groups who have not yet participated, and providing information updates to stakeholders while the analysis is underway.

### 9.3 Feedback

Feedback should be a true representation of the range of views expressed during the process and include information on:

- The process

- The options which have been considered; and

- The decisions and actions that have been agreed, and the reasons why

Individuals and communities have told us that they want to know how their views have changed things and that if we can't make the changes that people want to see, we need to explain why this is the case. Ensure that information on the process, and what has happened as a result, is clear and easy to access and understand.

Feedback can be provided in stages, as information becomes available. Latterly, it could explain how decisions which are taken reflect the views of participants in the process. Likewise, it should be provided to the wider community on how the process has influenced decisions and what has changed as a result.

### 9.4 Process evaluation

Conduct the planned evaluation of the process and identify what, if anything, should have been done differently.

The draft Evaluation Report (see Appendix 2) will be subject to a quality assurance process, and signed off by the Consultation Working Group.

### 9.5 Evaluation publication

The approved Evaluation Report should then be published, as a minimum made available to the consultation participants and posted on the [www.dghscp.co.uk](http://www.dghscp.co.uk) website.

It should also be shared on the D&G Participation and Engagement Knowledge Hub site (currently in development) and, where appropriate, with the Community Planning Participation and Engagement Working Group so as to provide a source of learning and help inform future approaches.

## **10. Acknowledgements**

The Partnership is grateful to partner organisations for their work within this area, and contributions in the form of information, resources and training. Particular thanks is due to Dumfries and Galloway Council, and its Community Engagement Manager, as well as the Community Planning Participation and Engagement Working Group. We would also like to acknowledge the information produced by the Consultation Institute and the National Standards for Community Engagement.



## DUMFRIES AND GALLOWAY Health and Social Care Partnership

### Consultation and Authorisation Mandate

**1. I am clear that I need to consult in order to:**

- |                                  |                          |                                  |                          |
|----------------------------------|--------------------------|----------------------------------|--------------------------|
| Meet a statutory requirement     | <input type="checkbox"/> | Identify issues or priorities    | <input type="checkbox"/> |
| Inform a policy, plan or project | <input type="checkbox"/> | Prioritise future spending       | <input type="checkbox"/> |
| Gather opinion on proposals      | <input type="checkbox"/> | Shape how a service is delivered | <input type="checkbox"/> |
| Other                            | <input type="checkbox"/> |                                  |                          |

**2. The consultation will result in members of the public/staff influencing a decision that affects them.**

**3. I have the authority to carry out the consultation based on approval from:**

- |                                       |                          |                                   |                          |
|---------------------------------------|--------------------------|-----------------------------------|--------------------------|
| Line Manager/Head of Service/Director | <input type="checkbox"/> | Project Board                     | <input type="checkbox"/> |
| Committee / Sub Committee decision    | <input type="checkbox"/> | Partnership Board / Working Group | <input type="checkbox"/> |
| Scottish Government                   | <input type="checkbox"/> | Other                             | <input type="checkbox"/> |

**4. I can confirm that the decision that will be influenced by the outcomes of the consultation will be taken by:**

- |                                       |                          |                                   |                          |
|---------------------------------------|--------------------------|-----------------------------------|--------------------------|
| Line Manager/Head of Service/Director | <input type="checkbox"/> | Project Board                     | <input type="checkbox"/> |
| Committee / Sub Committee decision    | <input type="checkbox"/> | Partnership Board / Working Group | <input type="checkbox"/> |
| Scottish Government                   | <input type="checkbox"/> | Other                             | <input type="checkbox"/> |



# DUMFRIES AND GALLOWAY Health and Social Care Partnership

## Consultation Mandate

We [insert who needs the results of the consultation] want to understand views of [insert the target audience] concerning [insert the issue] so that [insert who needs to know the results of the consultation programme] can [insert the action that needs to happen] on/by [insert the date] so as to [insert what ultimately needs to be accomplished]

Submitted by .....

Date .....

Authorised by Consultation Working Group .....

Date .....



DUMFRIES AND GALLOWAY  
Health and Social Care Partnership

# Evaluation Report

<< name of consultation >>

<<date published>>

Submitted by .....

Date .....

Authorised by Consultation .....

Working Group .....

Date .....

## Contents

1. Background to the consultation (*include Consultation and Authorisation Mandate Form*)
2. Evaluation approach
3. What did we do well with our planning, and how could that be improved?
4. What did we do well with our methodology, and how could that be improved?
5. What did we do well with our budget planning, and how could that be improved?
6. What did we do well with our timetabling, and how could that be improved?
7. What did we do well with our feedback, and how could that be improved?
8. What did we do well with our communication, and how could that be improved?
9. What did we do well with our support, and how could that be improved?
10. What did we do well with our outcomes, and how could that be improved?
11. What did we do well with our Planning Group, and how could that be improved?
12. What did we do well with our partnership working, and how could that be improved?
13. Budget
14. Conclusions and Improvement Actions