Canada Border Services Agency
Agence des services frontaliers du Canada

External Stakeholder Engagement Toolkit

PROTECTION • SERVICE • INTEGRITY

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EXTERNAL STAKEHOLDER ENGAGEMENT TOOLKIT

What is external stakeholder engagement?
External stakeholder engagement encompasses the formal and informal relationships and activities used to manage interactions with stakeholders. These include activities of communication and consultation, as well as activities of collaboration in which stakeholders actively contribute to priority setting, collective problem solving and ongoing decision making.

Engagement activities include, for example:

- **Information sharing** which involves presenting the Agency's position to help stakeholders understand an issue, options or solutions. Information can be shared through newsletters, web site content, trade show presentations and information sessions.

- **Consultation** which involves informing and gathering feedback on issues, policy proposals, analysis, alternatives or decisions. Consultative activities can take the form of working groups, bilateral meetings, and questionnaires.

- **Collaboration** which involves working directly with stakeholders to leverage their expertise to ensure that stakeholder views are understood and reflected, as appropriate, in the development of policies and practices.

Effective stakeholder engagement is essential for sound policy development and delivery. Government of Canada policies specify that departments and agencies need to engage with and consult stakeholders in the development and evaluation of their policies, programs and services through consultation and engagement processes. These processes must be transparent, accessible and accountable.

The CBSA engages regularly with organizations and individuals who have an interest in border-related processes to help the Agency better deliver on its mandate and one of its key goals of simplifying and streamlining the border experience.

This toolkit offers resources to support you in your planning, delivery and evaluation of stakeholder engagement and consultations on behalf of the CBSA.

Engagement on behalf of the Agency has five desired outcomes:

- To increase compliance and reduce disputes;

- To implement programs and policies that take into account the needs, concerns and requirements of those who travel for either business or pleasure;

- To establish strong and trusted relationships between Agency officials and external stakeholders;

- To help ensure that the Agency is well-informed and responsive to the issues of most concern to stakeholders; and,

- To enhance the Agency's reputation as a reliable partner in international border management.

Public Disclosure

For the CBSA, the Communications Directorate facilitates the posting of public consultations on the Consulting with Canadians Website. For more information, please refer to the section on Consulting with Canadians.

External Stakeholder Engagement – Frequently Asked Questions

What is external stakeholder engagement?

External stakeholder engagement encompasses the formal and informal relationships and activities used to manage interactions with stakeholders. These include activities of communication and consultation, as well as activities of collaboration in which stakeholders actively contribute to priority setting, collective problem solving and ongoing decision making.

Who are the CBSA's external stakeholders?

External stakeholders are individuals, groups or associations that have an interest in or are impacted by the CBSA's programs and/or policies. The CBSA's external stakeholders consist primarily of associations, businesses and individuals engaged in commercial trade, immigration, and travel and tourism.

Who are not considered external stakeholders?

Other government departments, other countries, as well as provincial, territorial and municipal governments are considered partners and not external stakeholders. Partners differ from external stakeholders; although they both share the risks and rewards of joint efforts, partners have direct responsibilities that influence federal government project or policy development.

It should be noted that in some cases, an individual or business may be a partner with respect to one CBSA program, but a stakeholder of another (for example, an airline carrier may partner with us on security screening of passengers, but would be considered a stakeholder if new commercial regulations are introduced).

What are the benefits of Stakeholder Engagement?

The adoption of a more collaborative coordinated and strategic approach to stakeholder engagement will be beneficial for all involved. As a whole, the Agency will have a better understanding of our stakeholders' concerns and needs. We will be able to assess and manage risk more effectively, share best practices, make more informed decisions, as well as project a consistent image for the Agency and a common set of messages.

Who conducts consultation at the CBSA?

The Programs Branch is the Agency lead for stakeholder relations.

There are currently two major national consultative committees, chaired by the Vice-President of the Programs Branch, and comprised of senior CBSA officials and external stakeholders.

- Air Consultative Committee
  Provides CBSA officials and air industry stakeholders with a forum for dialogue on Canada's airport border operations.

- Border Commercial Consultative Committee (BCCC)
  The BCCC provides CBSA officials and commercial stakeholders with a forum for dialogue on Canada's border operations. It includes a number of sub-committees.

Is Stakeholder Engagement the same thing as Public Opinion Research (POR)?

Public opinion research (POR) is used to collect opinions, attitudes, perceptions, judgments, feelings, ideas, reactions, or views for any government purpose from persons (including government employees), businesses, institutions, or other entities, through quantitative or qualitative methods, irrespective of the size or cost.

POR is one-way data collection. (A question, whether closed or open ended, is asked and an answer is provided by the respondent or participant.)

Consultation and engagement is a planned two-way discussion.

If opinions, attitudes, perceptions, etc. are collected, that part of the consultation and engagement exercise may be subject to the requirements of the Procedures for the Management of Public Opinion Research.

For more information, consult the POR Atlas page.

Consulting with Canadians:

The Communications Directorate facilitates the posting of CBSA's public consultations on the Consulting with Canadians Website (CWC), which provides Canadians with single-window access to a list of consultations from selected government departments and agencies.

It is first necessary to post the consultation on the CBSA Internet site. The Office of Primary Interest (OPI) holding the consultation will be required to complete a template (including the URL from the CBSA Internet site), in order to have the consultation posted on the CWC Website. Once approved by the CWC site administrator, the Notice will appear on the CWC website within 48 hours (two business days). The OPI directly involved in the consultation is to work with its Communications Advisor on any required media lines and obtain Privy Council Office and/or Ministerial approvals prior to the consultation being posted on the CWC Website.

Consulting with Canadians Website Posting Template (Word document)

Title of Consultation (English):

Title of Consultation(French):

Consultation URL(English):

Consultation URL (French):

Lead Department:

Hosting Department:

Time Frame:

Indicate if it is a fixed time period or ongoing consultation

Start Date:

YYYY-MM-DD e.g. 20121015

End Date:

YYYY-MM-DD e.g. 20121114

Subjects: (select one or more from the following list)

- ☐ Aboriginal Peoples
- ☐ Advertising Marketing
- ☐ Agriculture
- ☐ Amendments
- ☐ Arts
- ☐ Children
- ☐ Communication Copyright / Trademarks / Patents
- ☐ Culture Development
- ☐ Economic Development
- ☐ Economy Employment
- ☐ Environment
- ☐ Exporting/Importing
- ☐ Finance
- ☐ Financial Assistance and Entitlements
- ☐ Fisheries
- ☐ Food and Drug
- ☐ Foreign Affairs
- ☐ Foreign Policy
- ☐ Government Procurement
- ☐ Health
- ☐ Heritage
- ☐ Human Resources
- ☐ Immigration
- ☐ Industry
- ☐ Justice and the Law
- ☐ Labour
- ☐ National Defence
- ☐ Natural Resources
- ☐ Persons with Disabilities
- ☐ Policy
- ☐ Private Sector
- ☐ Public Safety
- ☐ Recreation
- ☐ Regulations
- ☐ Rural and Remote Services
- ☐ Science and Technology
- ☐ Seniors
- ☐ Service
- ☐ Society
- ☐ Taxes
- ☐ Trade
- ☐ Training and Careers
- ☐ Transportation
- ☐ Youth

Communications requirements

Section 9 of the current Communications Policy of the Government of Canada sets out communications requirements for consultation and citizen engagement:

- Communication requirements must be taken into account in the planning, management and evaluation of consultation and citizen engagement activities. Open and responsive communications are critical to the success of public consultations, as is factual information presented to participants in plain language.

- Communications staff provide advice and support to managers who plan, implement or evaluate an institution's consultation and citizen engagement processes. Managers responsible for consulting the public work collaboratively with communications staff, who prepare and help to implement communication plans and strategies.

- Institutions must inform Canadians about opportunities to participate in public consultation and citizen engagement initiatives. This may be done through Web sites, letters of invitation, notices to the media, paid advertising and other vehicles normally used by institutions to communicate with the public, including publishing notices in the *Canada Gazette*. (For further policy direction, see Requirement 27, Publishing.)

- Institutions must ensure that information about their external public consultations and citizen engagement activities is posted on their Web sites and information, including Web links, is submitted to the Consulting With Canadians Web site maintained by Service Canada. The Consulting With Canadians Web site serves as the government's gateway for public access to information on consultations planned, underway or recently completed by institutions.

- Institutions must ensure as well that communication or information materials prepared for consultative purposes are well identified as being from the Government of Canada, according to the requirements of the *Federal Identity Program Policy*.

For more information, please contact your communications advisor.

Practical Guidelines and Standard Operating Procedures

1.0 A Strategic Approach

The Canada Border Services Agency (CBSA) needs to maintain positive, proactive and effective relationships with external stakeholders, which help to identify issues, mitigate risks and plan for future programs and services.

Networks of stakeholder relationships already exist within the Agency as well as with external organisations, departments, groups, and key individuals.

In the past, relationships with stakeholders may have been conducted in an ad hoc or intuitive manner. A strategic approach (a defined plan with clear objectives, milestones and evaluations) builds better ongoing relationships and is more likely to provide clear benefits to both the Agency and its stakeholders. Stakeholder engagement is not an end in itself and specific engagement objectives must be an integral part of primary business objectives.

1.1 Stakeholder Definitions

Stakeholder: any individual or group who has a vested interest in the outcome of a body of work.

Key Stakeholder: any stakeholder with significant influence on or significantly impacted by the work and where these interests and influence must be recognized if the work is to be successful.

Clients: people who use our programs/services or are subject to our regulations. Clients can be included in the Agency's key stakeholder outline as a major category of stakeholders.

External stakeholders can be individuals, groups or associations that have an interest in or are impacted by the CBSA's programs and/or policies. The CBSA's external stakeholders consist primarily of associations, businesses and individuals engaged in commercial trade, immigration, and travel and tourism.

On the commercial side, many stakeholders are members of formal associations; however, a large proportion of small and medium-sized enterprises are not – particularly independent importers and owner-operators. On the immigration/travel side, apart from travel/tourism associations and legal/human rights associations, the majority of stakeholders consist of the roughly 265 000 individuals who enter Canada each day.

2.0 Roles and Responsibilities

Building and maintaining a culture of stakeholder engagement in the CBSA is an organization-wide responsibility. However, there are key players who have a direct role in supporting and implementing these guidelines and procedures.

The **President** is responsible for ensuring that stakeholder engagement is an integral part of the Agency's policies, programs and services. The President serves the Minister and is accountable to the Clerk of the Privy Council for the effective implementation of these processes as reflected in the establishment of clear lines of responsibility and accountability, the allocation of adequate resources; provision of training and professional development; and the provision of support to horizontal processes.

Branch, Directorate and Divisional Heads are responsible for determining which issues require stakeholder engagement, and for seeking appropriate approval, planning, undertaking, and evaluating this activity. They are also responsible for ensuring collaboration in this area, both within the Agency and, as required, between federal departments and agencies and other levels of government.

The **Communications Directorate, Corporate Affairs Branch**, provides advice and guidance (in the form of a toolkit) to areas involved in direct external engagement activities. In accordance with Section 9 of the Communications Policy of the Government of Canada, Communications staff provide advice and support to managers who plan, implement or evaluate an institution's consultation and citizen engagement processes. Managers responsible for consulting the public should work collaboratively with communications staff, who prepare and help to implement communication plans and strategies. For more information, please contact your communications advisor.

3.0 Engagement Guidelines and Principles

Stakeholder engagement encompasses the formal and informal interactions and activities used to manage relationships with stakeholders. These include communication and consultation activities and collaborations where stakeholders actively contribute to priority setting, collective problem solving and sustainable decision making.

Strategic Principles:

- Significance: deal with issues of significance to stakeholders and the Agency
- Completeness: understand the concerns, views, needs and expectations
- Responsiveness: respond coherently and appropriately

Operational Principles:

- Communication: open and effective communication means listening and talking
- Transparency: clear and agreed to information and feedback processes

- Collaboration: work to seek mutually-beneficial outcomes where feasible
- Inclusiveness: recognize, understand and involve stakeholders in the process
- Integrity: conduct engagement in a manner that fosters mutual respect and trust
- Accountability: show how feedback is considered in the decision-making process

4.0 Stakeholder Engagement Activities

Engagement activities can range from informational to collaborative pursuits:

- **Information sharing** which involves presenting the Agency's position to help stakeholders understand an issue, options or solutions. Information can be shared through newsletters, web site content, trade show presentations and information sessions.

- **Consultation** which involves informing and gathering feedback on issues, policy proposals, analysis, alternatives or decisions. Consultative activities can take the form of working groups, bilateral meetings, and questionnaires.

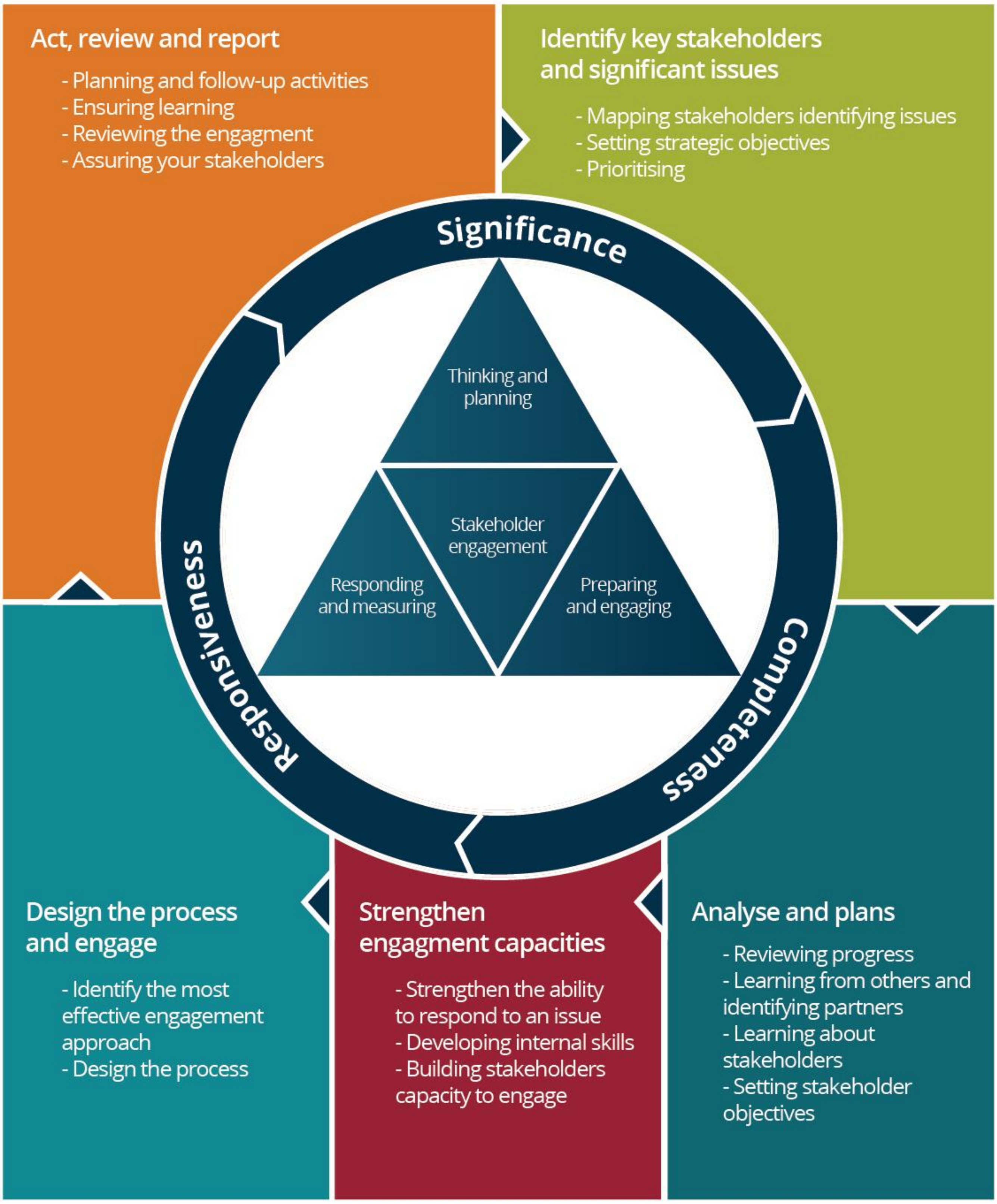
- **Collaboration** which involves working directly with stakeholders to leverage their expertise to ensure that stakeholder views are understood and reflected, as appropriate, in the development of policies and practices.

5.0 Stakeholder Engagement Model

The framework is action-oriented and consists of elements of engagement which are broken down into a series of key steps. The elements are:

- thinking and planning
- preparing and engaging
- responding and measuring

This model proceeds in a circular fashion: from preparatory work, through determining objectives and activities, working on a deeper understanding of the stakeholder, responding, reviewing and re-assessing.



(Adapted from Stakeholder Engagement Standard AA1000SES)
(Institute of Social and Ethical Accountability 2005)

6.0 Thinking and Planning

Effective stakeholder engagement relies on a commitment to engage and communicate openly and honestly with stakeholders. Depending on the engagement approach and stakeholders in question, the benefits to be realized may include:

- cooperation on activities and policy development; allowing for enhanced community confidence
- creating more user-friendly, community/industry targeted services
- reducing future costs
- improved access to emerging issues and communities and the capacity to handle them before they develop negatively and/or confidence is lost
- avoiding negative press by engaging positively and proactively
- increasing organizational effectiveness, leading to more effective and efficient practices and high quality outputs
- enhancing two-way communication and promoting better understanding on both sides
- developing a culture of innovation and learning by building knowledge into our decisions and practices
- simplifying conflict resolution through banked trust, and a clearer articulation of what cannot be resolved.

Distinguishing between objectives and benefits is also important. Short term objectives might include open and transparent dialogue, obtaining input on the potential impact of a regulation change, and receiving early advice on emerging issues. Longer-term benefits from delivering on the objectives could be the effective implementation of an unpopular regulation change, for instance.

6.1 Identify Key Stakeholders and Significant Issues

Prior to embarking on any type of stakeholder engagement activity, brainstorm possible stakeholders, identify objectives and think strategically about their relationship with the Agency. Drafting a map that illustrates key stakeholders and their relationship to each other is an effective way of identifying all relevant stakeholders.

When identifying key issues, consider the following questions:

- What are the issues for these stakeholders?
- Which are the most frequently expressed issues?

Determine the level of significance to attribute to the identified issues:

- Is the issue related to a Government or Agency policy, an Agency outcome or output or other public commitment?
- Are there elements related to the Agency's financial or legal compliance?
- Are the issues likely to have an impact on the decisions and behaviour of stakeholders – either towards the Agency or in more general terms?

6.2 Analyse and Plan

The importance of research in stakeholder engagement should not be overlooked – this allows for identification of strengths and weaknesses and ultimately to develop strategies to engage most effectively. Research should involve all sources, including media, online sources, literature and word of mouth. Once research is completed, move towards a comprehensive analysis of the stakeholder and the issues while also examining current and past relationships, available resources and constraints.

Set indicators of performance during the planning stage, which will help to keep benefits and objectives realistic.

6.3 Risks and Opportunities

A risk management plan should be in place at the time of engagement. It should answer three basic questions:

1. What are the risks associated with engagement?*
2. What are the risks associated with not engaging?
3. What are the risks associated with engaging poorly?

Potential risk management standards:

1. Establishing the context – understand the situation clearly. What type of stakeholder engagement is this – e.g. high-level strategic project or a localised initiative?
2. Identifying the risks – brainstorm, thinking strategically and outside the box.
3. Analyse the risks – what is the likelihood of the risk occurring, and what are the broader implications if it does?
4. Evaluate the risks – put the information together and prioritize the risks.
5. Treat the risks – action should be taken before the risk arises – outline mitigation strategies.

*** Management of expectations is a common risk associated with stakeholder engagement.**

7.0 Preparing and Engaging

In the initial stages of engagement, define the work, position, the reasons for the dialogue, and the capacity to meet stakeholder needs. Stakeholders need to know the rules of engagement and also the limitations.

As part of the definition process, consider the following questions:

- Who are the key stakeholders?
- What are the strategic objectives and how do these relate to stakeholders?
- What are the specific issues in dealing with these stakeholders?
- How can stakeholders and issues be prioritized for further analysis?
- Which issues can be addressed and which cannot?

7.1 Engagement Methods

Engagement must be tailored to the activity and the stakeholder. Methods to contact stakeholders can include meetings (virtual or face-to-face), phone conversations, and emails. Each method carries a different weight – it is important to know the stakeholder in question and tailor the method of communication to best suit them.

7.2 Communication

Communication is the key to managing relationships, and stakeholder engagement is a complex relationship requiring consistent and tailored communication. This is a fine line for the Agency to walk, given that not all information is available for sharing. Communication can still be open and honest, particularly about objectives and planned activities.

It is critical to note that due to the nature of its business, the Agency often holds all the power within stakeholder relationships – there is not generally much room for negotiation. This can have an effect on how the relationship progresses.

7.3 Define the Process and Engage

Consider developing a stakeholder engagement plan which outlines objectives, scope and methods. Consider the following:

- What is the purpose of the engagement?
- Stakeholder representation (what groups and at what level?)
- Level of engagement (from passive monitoring and informing to more active consultation and collaboration)
- Engagement medium (e.g. internet, telephone, video conference, direct interaction, print, broadcast or any mix of these)
- Timing (set specific timeframes for each step in the process)
- Facilitation type (e.g. facilitated debate, convened, mediated)
- Method of engagement (e.g. surveys, focus groups, local representatives, one-on-one, online forum, road show, stakeholder network, panel or committee, public meetings or forums, partnerships including alliances, collaborative projects, initiatives or ventures)
- How is the success of the overall outcomes measured?

When planning to engage stakeholders, be conscious of the following:

1. Be clear with stakeholders where the Agency does not control the decision making.
2. Be clear about what is negotiable and what is not.
3. Consider related management issues: governance implications; sign-off and associated implications; stakeholders' willingness to engage; conflicts of interest; differing and/or conflicting stakeholder interests; time frame; organizational differences and capacity implications.

8.0 Responding and Measuring

Stakeholder engagement is essential for advancing policy and decisions, and developing outcomes that are tailored to contemporary society. It would be ideal to provide complete, coherent and consistent responses to all significant issues identified during engagement processes and to communicate with stakeholders on how they will be managed. Creation of an issue log is one way to track this.

To encourage continued participation in engagement activities, wherever possible, stakeholders should be informed as to the impact of their contributions, even if this is done in a more generic way. Government processes can take many months before approvals, but strong, ongoing stakeholder relationships provide the opportunity to supply information on outcomes as it becomes available.

All input obtained from consultations should be collected documented and retained. Periodically, and particularly following major engagements, the Agency should review and, if needed, revise stakeholder maps, strategy, objectives and scope, plans and performance measures.

CBSA Stakeholder Engagement Guiding Principles and Expectations Checklist

The following outlines a set of principles and expectations to guide engagement; note that not all of these elements will apply to every engagement initiative.

Guiding Principles	**Expectations**	**Y/N**	**Examples** (How did you maximize audience reach and stakeholder engagement?)	**Lessons Learned** (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
Accountability Demonstrate, both internally and externally, how you considered stakeholder feedback in the decision-making process, by explaining how stakeholders' input was used. This adds to the credibility of the process and the CBSA-stakeholder relationship. Document stakeholder relations initiatives to maintain a clear record of how stakeholder input was considered and/or used. This record could be made available to internal and external audiences. Assess the effectiveness of stakeholder engagement efforts to ensure commitments are being met, and external stakeholders and CBSA are satisfied with the processes and outcomes. This evaluation will enable you to make adjustments as needed/feasible.	Did you engage stakeholders on all relevant aspects of your program/initiative to maximize the benefits?			
	Did you provide timely feedback to participants on the outcomes of the engagement initiative?			
	Did you provide participants with a final report of the engagement initiative including next steps?			
	Did you conclude the engagement effort by, for example, sending timely thank you messages, minutes, reports, etc.?			
	Did you inform decision-makers of the results of the engagement initiative and next steps?			
	Did you demonstrate the results of your engagement initiative (e.g., implementing changes in program, policies or practices) to internal and external audiences?			
	Did you keep participants informed during the engagement process itself, as well as during the times between engagement activities?			
	Did you conduct evaluations to measure the success of the engagement initiative, and determine the extent to which the engagement objectives were met?			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
	Did you make adjustments to the engagement initiative based on formal evaluations or other feedback received during the course of the planning and/or implementation stages?			
	Will you modify future engagement initiatives based on this evaluation?			
	Did you share the knowledge and insights gained from the evaluations with internal and/or external audiences? For example, did you convey the findings to your audiences by letter, Web postings, follow-up meeting or other reporting mechanism?			
	Did the Agency provide appropriate resources to manage the activity successfully?			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
Clarity Ensure all communications with stakeholders are clear and objective so that messages are well understood and there is a common understanding of the issues and expected outcomes.	Were materials developed in accordance with the Government of Canada Communications Policy (e.g., plain language, bilingual, corporate identity)?			
	Were the engagement objectives precise and measurable?			
	Were the objectives, process and expected outcomes of the engagement effort clearly explained at the outset to avoid or minimize misunderstandings and manage expectations?			
Coherence Remember to share the key outcomes of your stakeholder relations efforts with others across the Agency to build stronger internal linkages, help integrate policies/programs, and improve overall coordination of engagement efforts. Adopt a strategic and consistent approach to stakeholder engagement. Ensure that stakeholders are involved early and regularly in the process, keep the lines of communication open and responsive, and be consistent in your messaging and use of the new corporate brand.	Did you conduct prior research to determine if other engagement activities had taken place with the same stakeholders?			
	Did you look for previous relevant consultations, outreach and/or research done by other branches, Government of Canada departments, levels of government, associations or other relevant organizations?			
	Did you determine the existence of any related past, current or planned processes by others, inside or outside the Agency, before initiating your process?			
	Did you inform other branches, departments or agencies in a similar policy or program area of your planned initiative? For example, via relevant committee or working group meetings, and/or by reaching your external contacts directly by phone, e-mail or in meetings.			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
	Did you verify that all CBSA representatives were conveying a consistent set of key messages, and using the new corporate brand in communications and outreach products?			
	Did you hold an internal meeting with your project team and other key players to discuss how to best integrate findings into decision-making?			
	Did you share your best practices throughout the Agency?			
Collaboration (with stakeholders) Work with stakeholders to ensure that engagement is an ongoing two-way process. Collaborate with your stakeholders to enable them to be jointly responsible for ensuring objectives of the engagement activity are met and an evaluation of the engagement activity is undertaken. This will contribute to stakeholder buy-in while enhancing the CBSA-stakeholder relationship.	Did you discuss the proposed engagement initiative with your key stakeholders to seek their participation?			
	Did you establish a working team comprising CBSA and stakeholder players?			
	Were your stakeholders involved in the development, implementation and evaluation stages?			
Commitment Strive to make stakeholder engagement a CBSA commitment at all	Did you inform senior management about the relevant issues and/or seek support, direction or buy-in?			
	Was engagement an integral part of your program/policy activities?			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
levels of the organization and throughout the branches and regions. The engagement process should be integrated into the policy-making process. Make decisions solely after the process has been concluded and stakeholder input has been thoroughly considered; otherwise, the engagement process will be meaningless and could damage the CBSA-stakeholder relationship.	Have you taken into account all stakeholder input and explained what could/could not be addressed before making any decisions?			
	Have you shared the outcome of the engagement initiative to promote informed decision-making across the Agency?			
Inclusiveness and Accessibility Consider the diverse opinions and views of all stakeholders (and organizations), funded or unfunded, that might have a view on or be affected by the issues being considered. Ensure that participants can easily access the process, regardless of official language, location, ethno-cultural or socio-economic background, physical/mental capabilities or literacy.	Were hard-to-reach stakeholders (e.g., rural/remote locations, small- and medium-sized businesses, etc.) considered?			
	Was sufficient notification given prior to the activity?			
	Were all participants able to comfortably contribute to the discussion in a meaningful way?			
	Was support available to facilitate participation (e.g., alternate formats upon request to accommodate people with special needs)?			
	Was the process appropriately promoted through a variety of communications vehicles?			
	Were Government of Canada policies respected (e.g., Official Languages Policy, Communications Policy, Policy on Privacy Protection, etc.)?			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
	Was sufficient time allocated for each sub-activity?			
	Were participants given information/materials in advance to have time to adequately prepare before the activity?			
Innovation In all your engagement efforts, consider incorporating new approaches, technologies and methodologies that respond to the needs of stakeholders and to the evolving environment.	Did you use non-traditional methods (e.g., online) of engagement/communication in addition to the usual approaches (town hall meetings)?			
	Did your engagement process enable stakeholders to participate from a distance if they couldn't attend in person?			
	Did you maximize use of available technology before, during, and after the initiative?			
Responsibility and Respect Ensure the engagement process is held in good faith, and that adequate resources and time are allocated throughout the process. Ensure that all participants are treated with respect and the activity is conducted in a fair manner.	Were all participants treated in an equitable manner?			
	Was respectful language (verbal and non-verbal) used before, during and after the initiative?			
	Did the engagement effort take place over a reasonable period of time so that stakeholders had sufficient time to submit their input?			
	Were the invitations, discussion materials, thank you messages, post-event reports, etc., shared within the planned time frame?			
	Were neutral facilitators used to allow all participants to fully engage in the discussions and share their views?			

Guiding Principles	Expectations	Y/N	Examples (How did you maximize audience reach and stakeholder engagement?)	Lessons Learned (What policies, practices and/or plans did you modify, add or eliminate as a result of engaging stakeholders?)
Timeliness Engagement activities are delivered in a timely manner to all implicated stakeholders.	From the outset, did you give participants the anticipated time frame for the engagement initiative and the decision-making process?			
	Were you able to maintain the original schedule?			
Transparency Ensure the engagement process is open, credible and clear. Communicate regularly with stakeholders, with respect for confidentiality and privacy. Provide opportunities for stakeholders' views to be received by the Agency so that they can be considered by decision-makers.	Did you clearly describe to participants the objectives, target audiences, purpose and expectations of the engagement initiative?			
	Was the necessary information shared with participants in a manner that facilitated informed reflection?			
	Was everyone clear about the role of stakeholders and Agency representatives (and partners, if any)?			
	Did you respect the Communications Policy and the Policy on Privacy Protection?			

Stakeholder Engagement Plan

Issue

Give a very brief description of what has to be addressed or decided.

Objectives

Identify clear and measurable objectives that describe your overall goals for engagement for this initiative/project and include information on the benefits for successful engagement.

Background

Describe the context of the initiative/project and the current status. Include key information pertaining to previous, relevant stakeholder engagement (SE) activities and their outcomes, and provide general stakeholders' perceptions, sensitivities and positions on the project/issues. Provide a rationale that emphasizes why the engagement activity is needed and general background for why engagement is required.

Stakeholders

Identify the target audience(s) for the engagement. You should break down primary stakeholders – those directly affected or who have a keen interest – and those who may be peripherally impacted. Remember to identify the hard-to-reach stakeholders.

Describe your partners in this initiative/project and identify any impacts on these partners. This may include associated CBSA areas and other Canadian/International government departments/agencies.

For each type of stakeholder, describe their major concerns, interests, needs, roles and responsibilities, requests and special considerations that might affect their ability to take part in the consultation (such as timing or distance) and the anticipated level of participation.

Public Environment Analysis

Include information on the public perception of the initiative and on issues related to any specific planned engagements. Communications information will include information from their media monitoring and issues analysis.

Strategic Considerations

Include all related Canada Border Services Agency (CBSA) and government initiatives/projects, including dependencies and risks.

Proposed Activities, Resources and Timelines

Develop a list of the engagement activities you plan to implement while taking into account the needs of your stakeholders, budget, resources, timelines and other factors. The SE activities may include, for example, teleconferences, personal letters, and/or face-to-face meetings. Link these activities to the communications plan (if any) or to the communications considerations and activities to show how the SE plan and communications plan/activities complement one another. Describe the method(s) you will use to contact and to involve each type of stakeholder, and include how long each engagement activity will last. Also identify partners within and outside the CBSA who are involved with the project.

For each major activity, develop a detailed timeline/schedule that identifies the lead (internal and/or external resources as applicable), participants, objectives, deliverables and timelines.

Communication Products

Communications to develop with program areas: overarching key messages and media lines.

Budget

Identify an overall budget for the engagement activity (or activities) and a breakdown of expenses.

Feedback

Describe how the CBSA will provide stakeholders with feedback, including stakeholders who were directly involved in the engagement activities and those who did not participate but who are also affected/interested or who might be. Explain the results of the engagement activities and how stakeholders' input is or will be used. Feedback may take the form of thank you letters to participants, Web postings (though stakeholders need to be made aware that the information has been posted), telephone calls, town hall meetings, or articles in trade newsletters/newspapers or CBSA publications. Include details as to when and by whom this feedback will be given and ensure to give feedback within a reasonable timeframe.

Evaluation and Reporting

You should take into account the evaluation component as you develop the overall SE plan to ensure the objectives can be measured by the evaluation. Evaluations help you identify what worked, what didn’t and why, and assist in the development of current and future engagement initiatives. Identify success indicators for each engagement activity and conduct evaluations throughout the process, not just after the engagement has ended – you may need to make adjustments as you go through the process depending on evaluation results.

Consider who within and outside the CBSA you need to inform and plan how and when you will present the results of the engagement activities. For example, this could consist of an e-mail message and Web postings for certain partners and Agency personnel, and an in-person presentation with visuals and a question and answer session for others.

Engagement Tracking Sheet

Use this template before and after events to keep track of meetings held between the CBSA and external stakeholders.

Upcoming Events		
Tracking #:		
Event Name:		Name should be concise and outline key information
Status:		Indicate whether the CBSA has been invited (I), whether a CBSA representative has confirmed attendance (C), or if it remains an opportunity (O)
Date:		Date of the activity, DD-MM-YY format, example: 13-01-12
Location:		City, Province/State
Event Description:		General description of the event - what CBSA priority are they addressing, including the main focus and title
		Format (meeting, conference, etc.) of the event
		Purpose of CBSA attending the event, various roles at the event, and specific topics of discussion (or agenda items)
CBSA Invitees:		Name, Title/Position, Role; Name, Title/Position, Role…
		Include role (keynote speaker, panel participant, presenter, chair, attendee, etc.)
Non-CBSA Invitees:		Name, Title/Position, Organization; Name, Title/Position, Organization…
		External stakeholders and key government representatives (OGDs, US, etc.)
Key Messages:		Include a list of general key messages to be shared by the CBSA at this event, note any announcements
Organizer:		Name, Title/Position, Role; Name, Title/Position, Role…

Completed Events		
Tracking #:		Should remain the same as the number indicated in Upcoming Events
Event Name:		Name should be concise and outline key information
Status:		Indicate whether the CBSA has been invited (I), whether a CBSA representative has confirmed attendance (C), or if it remains an opportunity (O)
Date:		Date of the activity, DD-MM-YY format, example: 13-01-12
Location:		City, Province/State
Event Description:		General description of the event - what CBSA priority are they addressing, including the main focus and title
		Format (meeting, conference, etc.) of the event
		Purpose of CBSA attending the event, various roles at the event, and specific topics of discussion (or agenda items)
CBSA Attendees:		Update Invitees to reflect actual participants
Non-CBSA Attendees:		Update Invitees to reflect actual participants
		Should include those non-CBSA participants of relevance to your program/initiative
Key Messages:		Update to include a list of general key messages actually shared by the CBSA at this event, note any announcements
Organizer:		Name, Title/Position, Role; Name, Title/Position, Role…
Stakeholder Feedback:		Include information on the event: Was it useful? Should the CBSA attend next year? Should the CBSA make more connections with this group?
Event Feedback:		Identify any issues/concerns raised by stakeholders or non-CBSA participants
Required Follow-Up:		Include any useful information not requested in other section and any outstanding questions/issues to be addressed
Additional:		Indicate if another meeting will take place to address questions/ comments - please provide date: DD-MM-YY

CBSA Event Participation Criteria

All events, meetings and other participation opportunities need to be reviewed with a view to the advancement of CBSA's operational priorities.

EVENT	ORGANIZATION
Consideration	**Comment**
What is the objective of this event?	
What is the CBSA trying to achieve by undertaking this consultation, or attending this event?	
Are there political or bureaucratic issues that will be raised during the course of this event? Attach a list of anticipated questions, with responses.	
How does this event support the CBSA's stakeholder engagement strategy priorities?	
Are participants senior executives or is this a working level event? Recommend appropriate participant(s).	

SUBJECT MATTER	COMMENTS	ACTION	COMPLETE (Y/N?)
Subject matter Are the speaking topics: - of a strategic nature; - concerning high-level border management issues; - advancing key Agency initiatives (Perimeter Vision, Blueprint 2020/Destination 2020)?			
Level of speakers Are the other speakers senior executives (CEOs, Deputy Heads, Board of Directors members)? Are other event attendees working-level representatives?			
Nature of the speaker organizations Are the other speakers from the Agency's strategic external stakeholders, governmental and/or partner organizations? e.g. IE Canada, Canadian			

SUBJECT MATTER	COMMENTS	ACTION	COMPLETE (Y/N?)
Society of Customs Brokers, Shipping Federation of Canada, Public Safety, Global Affairs Canada, U.S. Customs and Border Protection, Mexico Customs, etc.			
Nature of audience Do the event attendees represent a target audience of the Agency (customs management, border management, commercial trade, national security)?			
CBSA Priorities Identify the degree of support for the following: - CBSA priority issue or outreach target - Commitments (e.g. international treaties, conventions, MOU's) - Opportunity (e.g. to significantly further CBSA priority programs, initiatives)			
Fora / Bilateral Relations (identify if appropriate) - National or regional influence of forum, committee, working group (i.e. significant, some, very little) - Organizational opportunity for CBSA to significantly develop or further strategic partnership - Impact of CBSA participation on success of meeting/event (i.e. essential, preferred or not essential) - Impact of CBSA non-participation (i.e. significant, some, very little)			

Issue Log

Given the variety and number of programs, stakeholders, partners and responsibilities the Canada Border Services Agency (CBSA) has, developing a corporate issue log to fit everyone is simply not feasible. However, the accompanying Issue Log Template provides suggested fields to help you capture basic data. Depending on the context, you might wish to include one or more of the following fields instead of or in addition to the ones in the template:

Issue ID:

Issue Start Date: Indicate when the issue was raised DD-M-YY

Having an ID number for each issue can sometimes lead to confusion when items are removed from the log once completed, thereby leaving gaps in the numbering. Also, items of high priority that are added to the log later but placed near the top of the log will be out of position (since high priority items should come first; more on this to follow). This is not usually problematic for projects or programs with a small number of issues.

Some program officials prefer to start the issue log with the date the issue was first raised rather than with an ID number. This seems straightforward; however, employees need to determine in advance how they will deal with instances where the same or similar issue is raised by various stakeholders at different times.

Indicating the date seems to add accountability as it clearly shows the lapse of time taken to resolve an issue.

Issue Description:

Priority The lead should determine the priority (high, medium or low) given to each issue, in consultation with stakeholders/partners.

To place more emphasis on the highest priority items, the log should list the issues from highest to lowest priority, regardless of the date the issue was raised or the expected completion date.

Status/Action Items Within an issue, you might have several objectives, outputs and different lead players. It is more effective to use separate rows when listing these, especially where a CBSA division or branch and an external stakeholder each have the lead on different components of the project.

In the status column, you may wish to mention when an item has been resolved by indicating it has been closed. Some program areas have found this to be distracting and prefer to create a separate chart to track closed items separately. Others feel doing this leaves gaps and stakeholders wonder what happened to the issues that have disappeared from the log (especially if the stakeholders felt the issue wasn't resolved).

It is therefore important to ensure all those involved (within and outside the CBSA) agree that an issue has been resolved before officially closing it, and to check on preferences for your particular program/project as to whether or not to keep closed items in the issue log.

Lead	The lead may be a division within the CBSA, an external stakeholder or a partner, for example. Keep these on separate lines for clarity in terms of responsibilities, as mentioned earlier. Having separate lines also makes it easier and quicker for each lead to contribute information to the same issue.
Comments	The comments column allows you to include key information not captured elsewhere in the chart. Depending on your program/project, you might find it superfluous and therefore choose to omit this column entirely or replace it with a more relevant field.

Updates:
Resolution Date:

General	You could enhance the stakeholder–CBSA relationship and gain greater buy-in from your stakeholders if you include them in the development of your issue log template and process. You will definitely develop an issue log that responds more closely to the needs and desires of those involved if you make this your practice, though initially it could be more time-consuming. Having CBSA officials and then stakeholders or partners complete their sections of the same draft issue log and provide input on each other's entries helps ensure all agree with the content. CBSA officials can develop robust issue logs while taking into account the different perspectives and experiences of those engaged in an issue by sending the draft issue log two or three weeks before working group or committee meetings. The logs are also a very useful tool for discussions during meetings. Issue logs are being used successfully to replace reports as they provide a quick snapshot of major issues. Developing an issue log in Excel rather than in Word provides greater flexibility. For instance, it allows users to link their issue log to a Microsoft Access-based database to rapidly group or sort issues, and create other documents, such as a report on a single issue for senior management.

Terms of Reference

Working Group / Committee Name

Mandate

Describe the committee's (or group's) mandate.

Membership

Add the names, titles and organizations under each subheading as appropriate, or include solely the organizations' names.

<u>Chair</u>

<u>CBSA Representatives</u>

<u>External Stakeholders</u>

<u>Guests</u> (if applicable)

Roles and Responsibilities

List key responsibilities by type of membership if these are different, i.e. CBSA personnel and external stakeholders.

-
-

Procedures

<u>Reporting</u>

Describe who the committee reports to, how and how often. Include information on subcommittees or working groups, if any.

<u>Frequency</u>

Describe how often the committee meets (include timing of subcommittee meetings if any).

<u>Agenda Items</u>

Explain the logistics concerning agenda items (when and how items are developed, when reading materials and the agenda are issued and how, etc.).

<u>Record of Discussion and Decision (RDD) and Meeting Summaries</u>

Explain how the draft RDD and meeting summaries are developed, by whom, within what timeframe. Describe how, when and with whom the final documents will be shared.

Administration

Identify by title and organization those who will support the work of the committee and serve as its secretariat.

Record of Discussion and Decision (RDD)

Type of event and name of group
(Example: Meeting of the XX Committee)
Month, Day, Year
Location

Participants

List attendees (first and last names, title) by organization, beginning with Chair

Observers

List observers (first and last names, title, organization) if any

Presenters

List presenters (first and last names, title, organization) if any

Issue/Subject

Identify purpose of discussion

1. Welcome and introductions

Chair's opening remarks followed by round table of introductions

2. Review of agenda

Approve or modify agenda

3. Approval of previous RDD

Approve or modify previous RDD (minutes)

4. Review actions taken since previous discussion

Discuss actions taken as per previous RDD

5. Item

List and number all remaining items as per agenda and summarize discussion for each item (avoid using people's names)

Decision: Explain the decision(s) made for each item, if applicable

Action: Describe what action(s) will be taken, by whom, unit or area (avoid people's names), when, where and how, if applicable

x. Round table

Last opportunity for comments by participants

x. Closing remarks and next meeting

Chair concludes discussion, identifies next steps and sets (tentative) date for next meeting.

Meeting/Session Evaluation Form

<u>Event ID (add meeting name, date, location)</u>

Please give us your opinion of today's meeting/session so that we can improve future sessions. All responses are confidential and will be used for evaluation purposes. *(Organizer mentions evaluation forms at start of meeting, indicates where to drop off the forms, and also reminds attendees to complete the evaluation at end of meeting.)*

Please rate your level of satisfaction:	**Very dissatisfied**	**Dissatisfied**	**Satisfied**	**Very satisfied**	**Don't know or N/A**
1. Your overall impression of the meeting					
2. Clarity of the meeting objectives					
3. Extent to which the objectives were achieved					
4. Relevance of the discussions/activities					
5. Overall extent to which the meeting met your expectations					

6. What do you think was the most useful part of the meeting? Why?

____

____

7. What do you think was the least useful part of the meeting? How could we improve this?

____

____

8. What topics would you like to see covered in future meetings?

____

____

9. Please provide any additional comments.

____

____

Contact information (optional)

Name: _________________________________ Title:____

Organization: ____________________________Telephone number / e-mail: ______________________________

Thank you very much! Please drop off your completed evaluation form *(specify where)*… or send by fax to…