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**Barriers to community
engagement in planning:
a research study**

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Report prepared by:
yellow book ltd
39/2 Gardner's Crescent
Edinburgh
EH3 8DG

In partnership with:
Nick Wright Planning
Scottish Community Development Centre
Kraken Research

The opinions expressed in this report are those of the authors.

Report commissioned by:

Planning and Architecture Division
Area 2H South
Victoria Quay
Edinburgh
EH6 6QQ

Tel: 0131 244 7063

e-mail: planningreview.gov.scot

web: <http://www.gov.scot/Topics/Built-Environment/planning>

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Planning and Architecture Division, Directorate for Local Government and Communities, Area 2H (South) Victoria Quay, Edinburgh, EH6 6QQ

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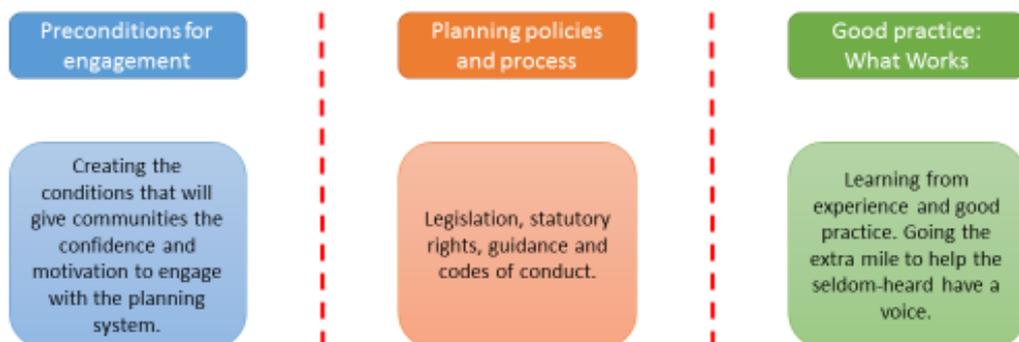
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Executive Summary

1. This report records the results of a research study into the barriers to community engagement in the planning system. The report was commissioned by the Scottish Government and the research was conducted by a consultant team led by yellow book ltd.
2. The independent review of the Scottish planning system reported in May 2016. The review panel's findings and recommendations on inclusion and empowerment formed the background to this study. The panel wanted the planning system to be "fairer and more inclusive". Its stated aim was "to achieve real and positive culture change and significantly improve public trust in the system".
3. The key elements of our work programme were:
 - a literature review on community engagement in planning
 - consultations with community and third sector representatives, planners and built environment professionals
 - a series of workshops, and
 - an online survey to test emerging conclusions and potential actions.
4. There is an extensive UK and international literature on community engagement. The review reveals a broad consensus that community engagement is beneficial, although empirical evidence of the benefits is hard to come by. Experts warn that engagement is not a cure-all: planning will always be a domain of hard and sometimes controversial decisions, but engagement can produce a better informed and less adversarial process.
5. The concept of "community" is difficult. The conventional assumption is that community is defined by place of residence, but we also need to take account of communities based on heritage, the environment, walking, cycling and other interests, and identities based on ethnicity, faith, culture or national origin. People may identify with multiple communities. Planning also needs to strike a balance between local needs and public goods such as new homes, employment space and infrastructure.
6. Our review included sources of good practice guidance, and advice on engaging with seldom-heard groups. The causes of exclusion from the planning process include official attitudes towards disadvantaged and

minority groups, as well as the skills, capacity and motivation of those groups.

7. We conducted a small number of in-depth interviews with community representatives, leaders of third sector bodies, local authority planners and developers. These were exploratory meetings designed to identify issues for discussion and set the agenda for workshops. We designed and facilitated 4 workshops which were attended by a total of more than 90 people. The workshops generated a number of key messages, including the following:
- there is a lack of trust, respect and confidence in the system
 - the system is not considered to be fair and equitable
 - there is a gap between the rhetoric of community empowerment and communities' experience of trying to influence the planning system
 - there is a lack of clarity about the purpose of engagement
 - experience suggests that engagement rarely changes planning outcomes
 - planning is complex and some tensions are inevitable
 - the planning system should recognise the rights of all parties but also their responsibilities.
8. The report proposes a framework for action based on three pathways to effective engagement:



9. Ideas emerging from the consultations and workshops were tested in an online survey, which generated 1,640 substantive responses. Of these, 1,200 identified themselves as either community/third sector representatives (72%) or built environment professionals (28%). Most of the rest described themselves as "interested citizens", "concerned residents" or something similar.
10. Respondents were invited to answer a total of 40 multiple-choice responses. Generally, community/third sector respondents were highly critical of the status quo and strongly supportive of most of the ideas for

change and improvement generated by the study. Opinion among built environment professionals tended to be more evenly divided, although there was still strong support for many of the proposed changes.

11. The independent review panel was highly critical of the quality and effectiveness of community engagement in the Scottish planning system. Our research has vindicated their judgement: community and third sector leaders have an overwhelmingly negative perception of the system.
12. We framed and tested a number of preconditions for successful engagement. Most of these commanded strong support across the board, including from built environment professionals, although the latter were more likely to believe that the planning system is fair, or that planners and developers are committed to community engagement. Tellingly, communities and built environment professionals agree that community engagement only rarely influences planning outcomes.
13. Opinion was split on the concept of a “community right to plan”. Community/ third sector respondents were very strongly in favour, but professional opinion was evenly divided. This may reflect concerns about the practical implications, including the number, content and scope of local place plans and the challenge of embedding them in statutory development plans.
14. The report discusses the evidence of demand for engagement. At present, only a small minority appears to be motivated to engage in planning. More people may be encouraged to get involved if there is evidence that engagement can make a difference, but we conclude that engagement in planning is unlikely to develop into a mass movement.
15. The study confirms the review panel’s finding that, too often, engagement activity is about managing expectations and securing consent for development proposals rather than a serious effort to work with communities to achieve better planning outcomes.
16. The brief also called for the identification and appraisal of ideas which, “either through changes in policy, practice or legislation, [might] support a more collaborative and inclusive planning system”. The following ideas are organised using the three pathways framework described above:

Preconditions for effective engagement

The Scottish Government should confirm that **the core purpose of planning is to create great places** that will promote the five strategic objectives for Scotland.

All parties should be clear about **the purpose of community engagement** and the benefits it can offer. Engagement should make a positive difference and deliver better planning outcomes.

The Scottish Government should give local communities and communities of interest the **right to plan** by leading the development of local place plans and engaging in the production of development plans.

There needs to be a climate of **mutual trust, respect and confidence** between the key players in the planning system: communities, planning authorities, landowners and developers.

The planning system must be **open, transparent and accessible to all**. Clear communications in plain English should ensure that everyone knows what is happening and how they can get involved.

Planners and developers must be **fully committed to engaging with communities**. They should actively encourage communities to get involved at the earliest possible stage, and to listen carefully and respond constructively.

The planning system must be **fair and equitable**, and it should be based on a clear understanding of the rights and responsibilities of all the interested parties.

The engagement process should involve communities in thinking about national and regional **public goods** such as housing, employment land, infrastructure and built/ natural heritage as well as local agendas.

Planning policy and process

The Scottish Government should consider the case for **integrating spatial planning into the community planning process**. This innovative move would encourage joined-up policy thinking, reduce costs and place planning at the heart of the policy agenda.

Every planning authority should be required to produce a **community engagement plan** to support the integrated community/spatial planning process. Guidance may need to be published on the development of these plans.

The plan should reflect the guiding principle of **early engagement** with communities, focusing on the production of local place/locality plans, development plans and master plans.

The community engagement plan should include specific proposals for **increasing diversity in engagement and reaching seldom-heard groups**.

The community engagement plan should include an appraisal of the **demand and capacity** for engagement, and proposals for capacity building, training and staff development.

The Scottish Government should **assess the resources implications** of a drive to increase community engagement, and consider the case for a ring-fenced fund to support training and capacity building.

The Scottish Government should consider the case for commissioning a **code of practice** setting out the rights and responsibilities of communities, developers, landowners and planners engaging in the planning process.

What Works – opportunities for practical action

Make the most of existing guidance and good practice

The theory and practice of community engagement has been thoroughly examined and documented. For practitioners in Scotland there are two key sources:

- The National Standards for Community Engagement, and
- SP=EED Successful Planning = Effective Engagement and Delivery (PAS)

The national standards and SP=EED can be used in conjunction with the Government's Place Standard.

Connecting with the seldom-heard

The independent review reported that there was "little evidence that disabled people, young people, minority ethnic groups, or disadvantaged groups are being effectively and routinely involved in the planning system". The consultations confirmed this view and we also encountered concerns that remote communities were poorly served. Some groups find it particularly difficult to get involved because of language barriers, disability, poverty or discrimination. The report describes ways in which practitioners can "go the extra mile" to reach out to the seldom-heard.:

Using plain English, effective communications and feedback

The language of planning is a serious barrier to community engagement. The profession's enthusiasm for jargon – much of it entirely unnecessary – is seen as a means of excluding and intimidating ordinary members of the public. People understand the need for some technical language but they are frustrated when it is used to dress up arguments that should be expressed in plain English.

People were very critical of official notices, advertisements and confusing online portals, all of which are seen as ways in which local authorities ration participation in planning rather than actively promote it.

Communities are frustrated by a lack of feedback from engagement events.

They want a clear and accurate record of what was said, a statement of what was done with their ideas and suggestions, and a record of the decision reached.

1. Introduction

- 1.1 In September 2016, the Scottish Government appointed yellow book consultants to carry out a research study into the barriers to community engagement in the planning system. The consultant team also included Nick Wright Planning, who provided expert advice on planning policy and practice, and the Scottish Community Development Centre, which is recognised by the Scottish Government as the national lead body for community development. Kraken Research assisted with the design and analysis of the online survey.
- 1.2 The study was commissioned in response to *Empowering planning to deliver great places*, the report of the independent review of the Scottish planning system (2016). The review called for a planning system characterised by collaboration, inclusion and empowerment: “We want to make planning fairer and more inclusive, and to establish much more committed and productive partnership working. Our recommendations aim to achieve real and positive culture change and significantly improve public trust in the system. These changes would broaden the appeal and relevance of planning and make better use of existing and emerging community interests”.
- 1.3 Following the publication of the review, the Scottish Government convened a two-day workshop in Edinburgh to consider the panel’s recommendations. Six working groups discussed the report, including one on inclusion and empowerment. A report of the groups’ deliberations has been published online by the Scottish Government (<http://bit.ly/2dWokRS>).

The study brief

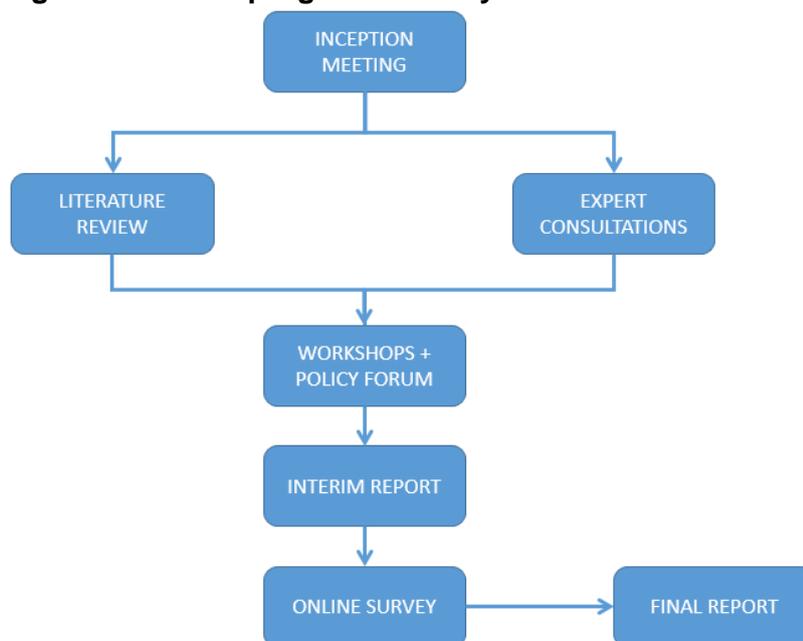
- 1.4 The brief states that “[t]he aim of this research is to identify the barriers...which prevent the full involvement of communities, young people and other seldom-heard groups in the Scottish planning system and [to] provide findings which, either through changes in policy, practice or legislation, support a more collaborative and inclusive planning system”.
- 1.5 In addition to this core aim the brief calls for consideration of the practical implications of other review recommendations relating to:
- broadening the appeal of planning to a wider cross-section of society
 - the use of IT and social media

- amending statutory rights for community councils and young people to be consulted on the development plan
- statutory rights for community councils to be consulted on major and national developments
- proposals to introduce local place plans as part of the statutory development plan.

Work programme

1.6 Our work programme comprised five key tasks, summarised in Figure 1-1. Following an inception meeting we began work on a literature review, and the yellow book team also conducted a series of consultations with planners and others with experience of the planning system. These tasks helped to set the agenda for three regional workshops, which were attended by community leaders, third sector organisations, planners and policy makers.¹ A fourth workshop was held to reflect on the messages and emerging recommendations of the previous events. In December 2016 we submitted an interim report which summarised the outcomes of the process to date. We also launched an online survey in December; the scale of interest exceeded our expectations and the deadline for responses was extended until January 2017. We prepared an additional interim report on the survey results before all our research findings were integrated into this final report.

Figure 1-1: Work programme – key tasks



1.7 The focus of the study is on community engagement in the planning system, and this has been reflected in our methodology. Wherever

¹ A list of people consulted and workshop attendees is contained in Annex 3.

possible we have sought to capture the experience and opinions of community leaders and other active citizens, and to speak to organisations that represent communities and seldom-heard groups. The success of the online survey, which generated more than 1,600 usable responses – three quarters of them from civic society and the third sector – has given us an unparalleled insight into people’s experience of the planning system in Scotland. These are the views of people who, for the most part, are already sufficiently motivated to engage with the planning system: they reveal deep frustration and confirm the view of the independent review panel that “public trust in the system has declined rather than grown”. They show that active citizens want to exert more influence on planning – they want their voices to be heard and to make a difference.

- 1.8 However, this should not be taken as evidence of more general popular demand for participation in planning. It is clear that the active citizens who choose to engage with the planning system represent a small minority of the population. Although a high profile issue may occasionally trigger a wider public response, the people we spoke to, including planners and professionals, were unanimous in their view that, when it comes to engagement in the planning system, *every community and every demographic group is underrepresented*. Engaging with seldom-heard groups is a challenge that requires particular attention, but it needs to be seen in this context.
- 1.9 In the interests of balance and perspective we also included planners, developers and other built environment professionals in our deliberations. They played a key part in our initial, agenda-setting consultations, attended workshops, and accounted for about a quarter of the survey responses. The latter revealed important differences between the community and professional perspectives, but also considerable areas of common ground.
- 1.10 Planners undertake a variety of roles: as local government officers charged with developing policy or responsible for development management, as expert advisers to developers, as volunteers working with communities, and as independent experts and facilitators. Their contributions have offered an insight into the tensions running through the planning process –a genuine desire to engage effectively with communities, the pressure to deliver new homes and commercial development, and the effects of budget constraints and job cuts in local government. Planners see themselves as having to strike a delicate balance between the expressed needs and wishes of local communities and the imperatives of the public good, especially the need for new

homes and economic growth. The study suggests that developers and their advisers also recognise the need for effective engagement with communities, but (in some cases at least) are concerned that discussion is not always well-informed and that the process can be costly and time-consuming.

- 1.11 This study has confirmed that planning is an inherently complex and often contentious process. It is a domain of hard decisions and, precisely because it is about built development in real places, it is impossible to please everyone. The planning system must strike a balance between, on the one hand, community empowerment and engagement and, on the other, the need (to quote the review) to “provide certainty, consistency and efficiency to secure investment”.
- 1.12 It is important to remember that communities will not always agree on the merits of spatial policies or specific development proposals. Sometimes the debate appears to be predicated on the assumption that communities have a single, settled view which is often at odds with either the policies adopted by local authorities or the aspirations of developers. This is self-evidently untrue: individuals and groups may be more or less sympathetic to particular plans and proposals, and it is entirely possible that increasing the level of community engagement – and engaging with more diverse audiences – will reveal greater differences of opinion within communities.
- 1.13 The review panel calls for “collaboration rather than conflict”, but conflict is inevitable from time to time. A more realistic goal would be “*more* collaboration and *less* conflict”, and this report discusses some of the ways in which that might be achieved. One of the review panel’s big ideas for reducing conflict is “early engagement” – getting communities involved in place planning in the expectation that, if the local spatial strategy is owned by the community, this will defuse the tensions around individual proposals. We would be more cautious: early engagement is the right idea but specific development proposals will continue to be a great motivator for community engagement.

Defining terms

- 1.14 One of the challenges for researchers in this field is that terms such as “empowerment”, “engagement”, “involvement”, “participation” and “consultation” are often treated as if they were inter-changeable. This is unhelpful and it results in a lack of precision and rigour which is evident in some of the literature and in the wider policy discourse. In our judgement, the most useful term is community engagement, which is

defined by the National Standards for Community Engagement (Figure 1-2).

Figure 1-2: Defining community engagement

Community engagement is a purposeful process which develops a working relationship between communities, community organisations and public and private bodies to help them to identify and act on community needs and ambitions. It involves respectful dialogue between everyone involved, aimed at improving understanding between them and taking joint action to achieve positive change. Community engagement is supported by the key principles of fairness and equality, and a commitment to learning and continuous improvement.

Good quality community engagement is:

- effective – in meeting the needs and expectations of the people involved;
- efficient – by being well informed and properly planned; and
- fair – by giving people who may face additional barriers to getting involved an equal opportunity to participate.

Community engagement is a process which provides the foundation for:

- shared decision-making – where communities influence options and the decisions that are taken;
- shared action – where communities contribute to any action taken as a result of the engagement process; and
- support for community-led action – where communities are best placed to deal with the issues they experience and are supported to take the lead in providing a response.

Source: National Standards for Community Engagement (2016)

- 1.15 The term “community” is routinely used to describe *local* residents, and sometimes businesses but, as the review panel notes, “communities can be based on shared interests as well as geography”. “Community” is not synonymous with “local”. Defining the community may appear to be relatively straightforward in a residential neighbourhood, but this raises questions about the treatment of, for example, city centres, which may be important to people from a wide geographical area. As well as the people who live, work, own businesses or study in the city centre, shoppers, leisure visitors and tourists may all consider themselves to be stakeholders with an interest in the future of the area. Communities of interest such as environmental, heritage, walking or cycling groups may have a legitimate interest in place plans or development proposals in multiple localities.
- 1.16 The brief highlights the special challenges of engagement with “seldom-heard” groups, a term now generally preferred to the judgmental “hard-

to-reach”. To quote one of the sources in our literature review, the seldom-heard can include “people from an extensive range of backgrounds and life experiences whose voices are typically not heard in decisions that affect them and who tend to be underrepresented in consultation and participation exercises, both as individuals and as groups”. Factors contributing to seldom-heard status might include physical disability, ethnicity, sexuality, communication impairments, mental health problems, homelessness and geographical isolation. Sometimes these factors may be present in multiple and overlapping ways.

Beyond planning

- 1.17 While the study brief focuses specifically on the spatial planning system, community engagement is a priority and a challenge across the public policy spectrum. It is an issue in health and social care, education, policing and all the other policy domains addressed by community planning, and it is at the heart of participatory budgeting. This is recognised by the National Standards for Community Engagement which are designed to be “a central benchmark and reference point” for all sectors. A review of best practice in other policy areas would be beyond the terms of reference of the present study, but it might be a fruitful exercise in the future.

Community empowerment: the context

- 1.18 Both the independent review and the study brief positioned community engagement in the context of the Scottish Government’s commitment to community empowerment, and specifically the provisions of the Community Empowerment (Scotland) Act 2015. The Government website states that:

“Scotland’s communities are a rich source of energy, creativity and talent. They are made up of people with rich and diverse backgrounds who each have something to contribute to making Scotland flourish. Central and local government needs to help communities to work together and release that potential to create a more prosperous and fairer Scotland. “The Scottish Government is committed to our communities being supported to do things for themselves – community empowerment – and to people having their voices heard in the planning and delivery of services – community engagement and participation.”

Structure of the report

1.19 This report is in seven sections including this introduction:

- Section 2 reviews the recommendations of the independent review relating to inclusion and empowerment, and the proposals contained in the Scottish Government's consultation document
- Section 3 contains a summary of the literature review, highlighting key themes
- Section 4 reviews some of the key messages from the workshops and the policy forum
- Section 5 highlights key messages from the online survey
- Section 6 summarises the main conclusions of the report
- Section 7 sets out ideas for promoting community engagement in planning.

1.20 There are 3 annexes to the report:

- Annex 1 contains the long version of the literature review
- Annex 2 is a full report of the online survey findings, analysed by respondent category
- Annex 3 contains lists of the individuals consulted for the study and the workshop attended.

2. The independent review

Empowering planning: the panel's report

- 2.1 The report of the independent review of the Scottish planning system was published in May 2016 (Empowering Planning, 2016). The review panel set out conclusions and recommendations designed “to build a [planning] system which provides confidence, improves the reputation of planning and ensures that everyone contributes to a shared agenda and a positive agenda”. The report focuses on 6 key outcomes:
- strong and flexible development plans
 - delivery of more high quality homes
 - an infrastructure-first approach to planning and development
 - efficient and transparent development management
 - stronger leadership, smarter resourcing and sharing of skills
 - collaboration rather than conflict – inclusion and empowerment.
- 2.2 The last of these provides the immediate context for this study. The report states that:
“We want to make planning fairer and more inclusive and to establish much more committed and productive partnership working. Our recommendations aims to achieve real and positive culture change and significantly improve public trust in the system. These changes would broaden the appeal and relevance of planning and make better use of existing and emerging community interests”.
- 2.3 The report argues that “the planning system is not yet effective in managing, let alone empowering, communities...Constraints to effective engagement include resources and time and it appears that often consultation is minimal, rather than meaningful...local authorities often seek to manage expectations rather than being ambitious about securing community buy-in”.
- 2.4 Stating that “public trust in the system has declined rather than grown”, the report calls for “more positive and productive relationships in all communities”, with “a significant and substantive shift towards local community empowerment”.
- 2.5 These findings were informed by the written evidence submitted to the panel which highlighted key issues linked to the community engagement theme, some of which are highlighted in Figure 2-1.

Figure 2-1: Community engagement – some key themes from the written evidence

- **Importance of meaningful participation**
- **Trust and credibility is key**
- **Inherent bias and unfairness (community sector)**
- **Balancing local and national needs**
- **Getting the time and mode of engagement right**
- **Some developers thought the pre-application consultation period was too long, civil society respondents thought it was too short**
- **Consultation fatigue**

Source: KMA (2016)

2.6 The panel makes six recommendations (numbers 43-48 in the report) on inclusion and empowerment (Figure 2-2):

Figure 2-2: Review panel recommendations of inclusion and empowerment

Rec	
43	A continuing commitment to early engagement in planning, but practice needs to improve significantly.
44	Communities should be empowered to bring forward local place plans, and these should form part of the development plan.
45	Community councils should be given a statutory right to be consulted on the development plan.
46	We are not persuaded that third party rights of appeal should be introduced.
47	A working group should be established to identify barriers to greater involvement in planning
48	A new statutory right for young people to be consulted on the development plan.

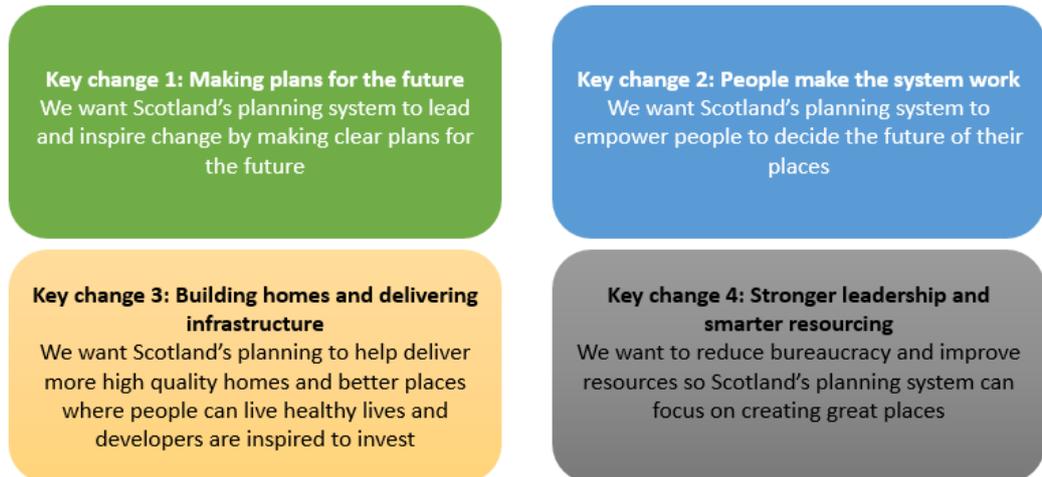
Source: Empowering Planning (2016)

2.7 Our study found that the panel’s conclusions commanded the overwhelming support of community, civic society and third sector respondents, and more qualified support from planners and professionals.

Places, people and planning: the consultation paper

2.8 In January 2017 the Scottish Government published its consultation paper on the future of the planning system. The paper invited comments on 4 key changes and 20 specific proposals (Figure 2-3).

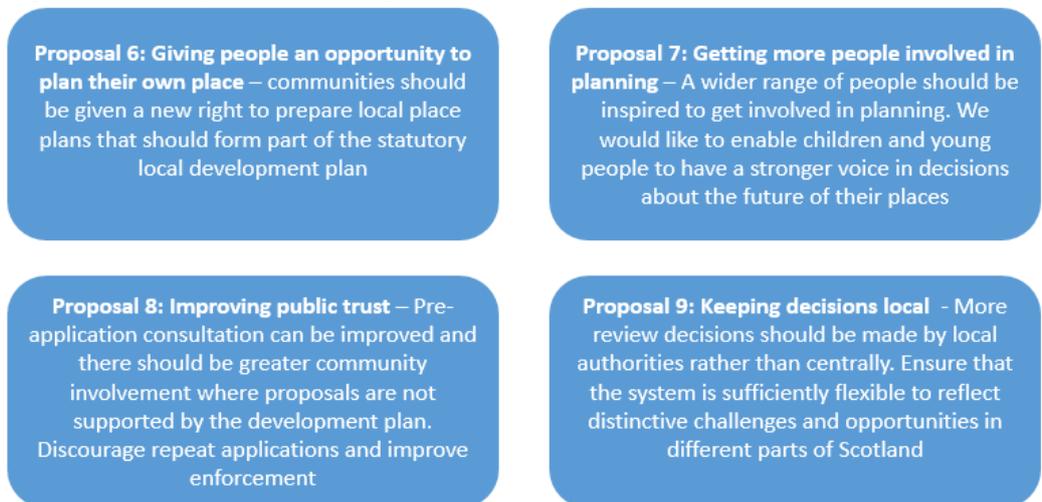
Figure 2-3: Key changes for the future of the planning system



Source: Scottish Government (2017)

2.9 Key change 2 (People make the system work) directly addresses the review theme of inclusion and empowerment. It comprises the four proposals shown in Figure 2-4.

Figure 2-4: People make the system work – proposals



Source: Scottish Government (2017)

3. Literature review

- 3.1 A comprehensive review of the literature relating to community engagement in the planning system would be beyond the scope of this study, but we have completed a wide-ranging survey of academic research, policy documents and good practice guidance. A full report of this review is contained in Annex 1; this section offers a concise summary of our findings, linked to three broad themes:
- understanding community engagement
 - the purpose and benefits of engagement
 - good practice, including measures to remove barriers to engagement with seldom-heard groups.
- 3.2 The “ladder of citizen engagement” devised by Arnstein (1969) continues to be highly influential. It proposes a typology, ranging from low levels of engagement where “the real objective is...to...’educate’ or ‘cure’ participants, through to “community empowerment”, which may take the form of real partnership, delegated power or even citizen control. The key point here is that community participation may take a variety of forms, ranging from the passive reception of information through to high levels of involvement and influence. The independent review of the Scottish planning system argues that too much of the nominal engagement activity is in fact an exercise in “managing expectations”, but the policy rhetoric of community empowerment appears to offer communities a much greater say in the shaping of their places. This dissonance between rhetoric and reality has been a recurring theme of the study.
- 3.3 A number of recent studies have recast and updated Arnstein’s ladder of engagement. Wates (2014) offers a participation matrix, while the handbook published by Planning NSW (2003) references the categories of engagement developed by the International Association for Public Participation. There are no hard and fast rules: it is for governments (local and national) and communities to decide what level of engagement is appropriate and sustainable in each case.
- 3.4 Another strand of the literature focuses on the benefits of community engagement. The OECD (2001) makes the case for “open and inclusive governance and policy making” based on 10 guiding principles, and an earlier review commissioned by the Scottish Government (2008) found that “citizen participation...can contribute to the process of ‘authorising’ and legitimising what public managers do”. Participation can deliver

“demonstrable benefits” and, at best, the process “generates trust and fosters greater organisational transparency and accountability”. The report stresses that community engagement won’t work if it is simply bolted on to existing processes. Instead, it demands a wholesale reconsideration of the way things are done and “the creation of internal cultures that encourage all public servants to see the world from a citizens’ perspective”. Wates (2014) argues that engagement is a basic right, but that it also makes practical sense; it will deliver a range of benefits for governmental organisations and communities.

3.5 The *National Standards for Community Engagement* (2016) argues that the benefits of engagement include:

- planning, development and delivery of services influenced by community needs
- people who may find it difficult to get involved can help to influence the decisions that affect their lives
- the strengths and assets of communities and agencies can be used to address local challenges
- joint action between communities and the public sector
- more participation in community-led activities.

3.6 These are all compelling reasons to encourage community engagement but NSW Planning (2003) offers a warning note. Engagement will not always produce “universal consensus”, least of all in the planning domain, where competition and conflicts are inevitable. Engagement in plan making and development management offers the prospect of “better planning outcomes”, improving the “integrity and quality of decisions”, but “it is not a magic wand”. The RIBA (2011) also warns against the assumption that community engagement is always “good for you”. It can be, but if communities are unable to influence planning outcomes they are likely to see engagement as a pointless and frustrating process.

3.7 Manzo and Perkins (2006) argue that “place attachment” makes planning a potentially fruitful focus for community engagement, and “a source of community power and collective action”. The community planning literature tends to overlook this emotional dimension, which may be the key to more sensitive and inclusive practice. Engagement works best when it connects the direct, lived experience of a particular place with an understanding of the socio-economic forces that are shaping all our lives. The authors offer a framework which combines place attachment and social capital to deliver empowerment: “a mechanism by which people, organisations and communities gain mastery over their affairs”.

- 3.8 Demos (2007) explores the pivotal role of planners in securing better outcomes through community engagement. Planning is often perceived to be a bureaucratic function, but “skilful and dynamic planners” are required to facilitate the complex relationships between citizens, the private sector and the public sector. This report acknowledges the tensions between the pressure to “speed up” planning and the growing expectation that local communities should influence policy. For Demos, the core purpose of planning is “public value”, defined as “the achievement of democratically legitimate sustainable development ...integrating environmental sustainability and social justice with economic growth”.
- 3.9 Reconciling local good (as articulated by communities) with public value (as represented by politicians and planners) is one of the challenges at the heart of this study. Demos may present an over-simplistic duality: it is clear that many communities have an appetite to address big issues such as climate change or to engage in regional level discussions about physical infrastructure, new homes and commercial space. Nevertheless, the consultations and workshop discussions confirmed that there is often a tension between public good arguments and the stated needs and aspirations of communities.
- 3.10 Demos also highlights the increasingly problematic nature of “community” in a changing society where people no longer “belong” to a single locality. People are routinely defined by their place of residence, but they also have a stake in the places where they work, shop or spend leisure time and they may also identify with communities of interest, ethnic, cultural or faith groups.
- 3.11 All this calls for a new generation of planners, “engaged, ethically conscious and focused on public value...moral agents whose work depends upon public trust for its success...the planner needs an open, collaborative model of expertise. They...need to ‘listen differently’, with a willingness to let the public ask difficult and challenging questions”. All this was written a decade ago but, in the light of our consultations and the survey findings, it still seems fresh and pertinent.
- 3.12 Many of the sources consulted suggest guiding principles for successful community engagement. A number of these are presented in more detail in Annex 1. The principles set out in CLG (2006) will serve as representative example (Figure 3-1).

Figure 3-1: Guiding principles for successful participation

The importance of inclusiveness	Linkage to democratic processes
Managing expectations	Balancing conflicting views through strength and depth
Avoiding participation fatigue	Effective use of available resources
Transparency and communication	Reskilling and retraining for all
Avoiding predetermined outcomes	Thinking in different ways
Participation is core business	Balancing speed and inclusivity
Joined up participation strategies	

Source: CLG (2006)

- 3.13 The RIBA (2011) says that the key issue is trust: “successful and meaningful engagement depends on handing over some element of power to local communities, so that they can have a real say in the decision-making process... People become acutely aware of the difference between manipulation and participation; they know when they are unlikely to get what they want out of the process and once trust is lost it is very difficult to regain”.
- 3.14 The review panel’s report makes it clear that participation in the Scottish planning system is very much a minority pursuit. Hard data on who is involved is hard to come by but the anecdotal evidence suggests that those most likely to engage are white, male, aged 50+ and well-educated. They work (or used to work) in managerial or professional occupations, and live in relatively prosperous neighbourhoods. People in these groups are perceived to be most likely (by virtue of skills, experience, income and spare time) to donate their knowledge, energy and experience to the planning process.
- 3.15 We met – or heard about – passionate community leaders and activists in every kind of community, including some of Scotland’s most disadvantaged neighbourhoods. Nevertheless, it is clear that every socioeconomic and demographic group in Scotland is underrepresented in the planning process, and that the young, working-age adults and residents of deprived areas are even less likely to participate. Seldom-heard groups are at particular risk of exclusion; they include children and young people, people with disabilities, ethnic minorities, minority faith groups, people with physical disabilities or mental health problems, and gypsy/travellers.

- 3.16 Exploring the reasons why people do not participate in the planning process, Cropley & Phibbs (2013) distinguish between:
- people who are able to get involved but are unwilling to do - we could characterise this as the “apathetic majority”, and
 - people who are willing but unable to participate due to a variety of factors.
- 3.17 The latter group can be seen as a proxy for the seldom-heard, but it is surely a mistake to assume that they would all be willing to engage with planning if the barriers were removed. There is no reason to suppose that the seldom-heard would be more motivated to participate than the apathetic majority. Gosman & Botchwey (2013) note that, in places with a history of failed plans and unpopular projects, local residents may assume that engagement is unlikely to be productive. They may “have their guard up” when the public sector issues an invitation. This message was repeated at the workshops and in the survey findings.
- 3.18 The review panel states that “the majority of Scotland’s public are unaware or uninterested in planning”, and changing this mindset will be a challenge. Planners and policy-makers should not set unrealistic targets for participation but should focus instead on getting more people involved by making the planning process more accessible, user-friendly and relevant, complemented by a targeted effort to reach the seldom-heard groups.
- 3.19 A number of studies reflect on the experience of neighbourhood planning in England, which may be seen as the precursor to the local place plans proposed by the review panel. A report for Locality (2014) concluded that people joined the neighbourhood planning process in order “to have some control over development in their area”, or were motivated by resentment of previous policies and decisions. The fact that approved neighbourhood plans are embedded in statutory local plans offers an additional incentive to take part, but the process is challenging, with most community groups reporting that they had “underestimated the scale, complexity and time needed”. Neighbourhood planning is a community-led process but it works best when the plan is a co-production between a broad range of community representatives, local authorities and other stakeholders.
- 3.20 The literature review also looked at sources of practical guidance, including two produced for Scottish audiences. The *SP=EED* toolkit produced by PAS (2015) offers useful advice on levels of engagement together with criteria for effective engagement. The *National Standards*

for Community Engagement (2016) are designed for use across the policy spectrum, not just in planning.

- 3.21 Policy Link (2012) focuses on “meaningful engagement”, especially with communities that have been marginalised and excluded. The challenge is to select the most appropriate tools and techniques for specific circumstances. Policy Link advocates two key principles:
- a proactive and targeted approach which recognises the diversity of seldom-heard groups, each with their own cultures, power dynamics and networks, and
 - creating opportunities for community decision-making and partnerships so that communities can empower themselves and gain control over resources and decisions.
- 3.22 Some of the recent literature highlights opportunities to engage with people in different ways, using social media and web 2.0 technology. These are considered to be good ways to get people who are too busy, because of work or other commitments, to contribute to planning discussions, and they may also be especially attractive to children and young people. Twitchen & Adams (2011) describe the opportunity in these terms: “...the growing availability of high-speed internet access and the propagation of social networking tools have ensured that new forms and processes of public participation have the potential to connect to a ‘localised’ UK planning system where great emphasis is being placed on participatory democracy”.
- 3.23 Twitchen & Adams describe the way in which web 2.0 technology can “cleave open new spaces for public engagement, particularly amongst those which are considered ‘hard-to-reach’...and they can be seen as a potential solution to revitalising participation and mobilising an unprecedented amount of people”. The success of the online survey carried out for this study (see Section 5 and Annex 1) may be taken as an example. The survey, which was publicised on Twitter and through the social media networks of community councils, public, third sector and professional organisations, generated a far larger response (1,640 usable replies) than the review panel’s call for submissions (391 responses).
- 3.24 Finally, we reviewed a number of sources that specially addressed issues relating to seldom-heard groups. A report for the Scottish Government (2009) suggested that young people, people with disabilities, black and ethnic minorities and gypsy/travellers faced particular issues in engaging with the planning system. But the problems are not confined to these groups and other reports identify broad

categories such as residents of areas with high levels of poverty and deprivation, or people living in remote locations. People living in particularly challenging circumstances, such as the homeless or young carers, are also mentioned by some sources.

- 3.25 The seldom-heard do not form monolithic groups. The recognised categories include individuals living in very diverse circumstances who may or may not identify closely with the group to which they have been assigned by policy-makers. They include people who are eminently capable of participating in planning, and are motivated to do so, but are excluded because, for example, they cannot access venues, meetings are held at inconvenient times and places, or documents are not available in their first language. The review panel proposes a statutory right for children and young people to be consulted on development plans, but this is a demographic group which includes the children of middle- and higher-income households as well as the seldom-heard young described by Kelleher, Seymour and Halpenny (2014).
- 3.26 The causes of exclusion from planning and other decision-making areas are complex and multi-faceted. In their report on the seldom-heard young, Kelleher, Seymour and Halpenny distinguish usefully between barriers created by (a) official attitudes towards the seldom-heard, and (b) individuals' lack of interpersonal skills and/or self-confidence, physical or mental impairment, cultural norms and life circumstances. They describe how adults assume that some young people lack the capability to participate, and how this leads to an "inability or unwillingness to recognise young people's agency in decision-making". Staff who are supportive of participation in principle may unconsciously be acting on these assumptions.
- 3.27 The seldom-heard find themselves at risk of being excluded, often inadvertently, by the behaviour and culture of official organisations but, in a system that usually requires people to volunteer to participate, they may also exclude themselves, because getting involved may feel like a "formidable challenge". Organisations need to try harder to overcome these deep-seated attitudinal barriers by raising their awareness, identifying the groups who are absent from the engagement process, and implementing targeted plans to engage with them. There is also an obligation on community organisations to reflect more accurately the diversity of the areas they represent.

Conclusion

- 3.28 There is an extensive literature on community engagement in policy development and service delivery, including planning. There is a broad consensus on the benefits of engagement for all the parties involved, although empirical evidence of its effectiveness is hard to come by. There are no hard and fast rules about the amount of engagement activity required, the level of community engagement that is appropriate or the methods to be used. Those issues should be determined jointly by community organisations, planners and policy-makers.
- 3.29 Community engagement is not a cure-all. Planning will always be a domain of hard and sometimes contentious decisions, but effective engagement can help to create a more consensual environment for decision-making. The present system is characterised by conflict and adversarial attitudes, but the literature suggests that it should be possible to build a better, shared understanding of both the strategic challenges that planning needs to address and the distinctive character and needs of local areas.
- 3.30 A pivotal issue, identified by Demos (2007) is the need to strike a balance between the local needs and aspirations expressed by communities and the public value – infrastructure, homes, workspace – that the planning system is required to deliver. The review panel describes a situation in which those perspectives are too often locked in conflict, and their prescription is a greater emphasis on early engagement to raise awareness of the public value debate.
- 3.31 The Demos report also reminds us that “community” is a difficult and loaded word. The idea that “community” is synonymous with place of residence is no longer sustainable in an era when people live their lives (work, education, leisure) in a larger space than ever before, and in a diverse society where people’s identify may also be defined by ethnicity, faith, culture or national origin and by networks that are as likely to be global as local.
- 3.32 The latter part of the review has focused on good practice and practical guidance. Several sources have offered guiding principles for effective engagement. They agree that treating community engagement as an add-on activity or, as reported by the review panel, as a means of “managing expectations” is doomed to fail. Engagement requires deep commitment, reflected in policy and the culture of the organisations that sponsor the process. Local authority planners have a key role to play in this, but the success of the enterprise will depend crucially on the presence of effective and representative community organisations to

mobilise local resources and reflect the range and diversity of local opinion.

- 3.33 The guidance, from a variety of sources and a number of different countries offers a broadly consistent set of messages and recommendations for action, a number of which were echoed in the review panel's recommendations. They also anticipate many of the suggestions that emerged from the workshops (Section 4) and which were subsequently tested in the online survey (Section 5).

4. Consultations and workshops

Introduction

- 4.1 In parallel with the literature review, we carried out a programme of consultations and workshops. We met with community councillors and representatives of other local organisations, third sector bodies and built environment professionals including planners and developers. Details of the consultations and workshops are contained in Annex 3.
- 4.2 The purpose of the interviews and workshops was to develop a better understanding of the barriers to community engagement in planning, identify key issues and develop some propositions which could be explored in more detail and tested in the online survey. The focus was on the experience and perceptions of the planning system of community representatives and third sector organisations, but we also aimed to ensure that the views of planners and other built environment professionals were taken into account. The key messages emerging from this exercise are summarised in the following paragraphs.

Lack of trust, respect and confidence

- 4.3 There is a lack of trust in the planning system. Too often, communities and developers are seen to be working at cross purposes or are locked in a hostile, oppositional relationship in which the other party's motives are suspect. Communities want local authority planners to represent the public interest by brokering agreements on policy and helping to resolve contentious planning applications, but they do not consider the planners to be independent. Indeed, the latter are often described as being “hand in glove” with developers. There is resentment of developers' efforts to “stretch” planning consents – for example by seeking to increase densities or raise building heights – or to extricate themselves from commitments to provide affordable homes or social infrastructure. These behaviours undermine trust.

A lack of fairness and unequal resources

- 4.4 The need for the planning system to be fair and equitable was a recurring theme of the consultations, but communities feel that the cards are stacked against them. There is a mismatch between the resources available to developers (money, professional skills and legal advice) and those available to communities. One community activist said that she was tired of being “the only unpaid person in the room”. This advantage is seen to enable developers to conduct a “war of attrition”, grinding down community opposition to proposals, lobbying for changes to

development plans or conducting appeals against planning refusals. Short notice for responses and the publication of contentious planning applications during holiday periods are cited as examples of the way developers and, sometimes, councils “game the system”.

Mixed messages

- 4.5 The planning system sends mixed messages to communities; there is perceived to be a big gap between “what we say” – the rhetoric of community empowerment and engagement – and “what we do” – the day-to-day experience of trying to influence spatial planning and development.

The purpose of engagement is not clear

- 4.6 There is a lack of clarity about the purpose of engagement with communities. Communities want to know if they are being offered a real opportunity to shape vital planning and development decisions, or if planners and developers are merely going through the motions. A majority of community and third sector opinion believes that most “consultation” is really about securing endorsement for developers’ proposals rather than shaping them. Ultimately, the purpose of engagement should be to encourage communities, developers and local authorities to participate in the joint enterprise of “delivering great places now, and for future generations”. In practice, planning appears to be driven more by delivering development than by placemaking.

It’s all about commitment

- 4.7 Many people confirmed the panel’s view that, for some developers and local authorities, engagement is too often a matter of managing expectations rather than evidence of a real commitment to reach out to communities, listen and respond to what is said. There is not much evidence of a willingness to change policies or amend development proposals to reflect the views of communities.

A lack of transparency

- 4.8 A number of people we spoke to described how planning jargon could be “used as a weapon” to intimidate and exclude communities. No one doubts the need for technical analysis and documentation, but the language in which key elements of the system are conducted often seems to be wilfully obscure, and the sheer bulk of material submitted makes it impossible for communities to scrutinise. The problem is compounded by a perceived lack of openness, with communities claiming that, instead of information being available in accessible, plain English form, it has to be extracted from local authorities.

Judging the system by the outcomes

- 4.9 Ultimately, planning, like any other bureaucratic system, will be judged by what it delivers. This means not only the amount and geographical location of built development and physical infrastructure, but also the quality of places that result. Communities want and expect to see their knowledge, ideas and aspirations reflected in better places, but our consultations suggest that engagement only rarely results in significant changes to development plans or planning applications. The indifferent quality of volume housebuilding and commercial development was cited by a number of people as evidence of the planning system's inability to deliver "great places". We were quoted examples of engagement processes, including charrettes, that had raised expectations in communities but which had not been followed through by planning authorities.

The review panel got it right on community engagement

- 4.10 Taken together, the key points added up to a strong endorsement of the review panel's findings. Community organisations, community activists and third sector bodies generally found their experience of the Scottish planning system frustrating and unrewarding, and considered the system to be biased in favour of developers. Sometimes they were very angry. Planners and developers were more likely to defend the *status quo*, but they recognised that the planning system isn't working for communities.

Balanced right of appeal

- 4.11 By the time these consultations took place, the Government had already indicated (in its initial response to the review) that it did not intend to introduce third-party or equal rights of appeal. Some disappointment was expressed about this decision and the messages it appeared to send to communities, but it was not treated as a "deal-breaker" in the workshop discussions. The concept of a "balanced right of appeal" was raised and tested in the online survey.

Planning is complex and tensions are inevitable

- 4.12 These messages reflected communities' disappointment and dissatisfaction with the planning system and a strong sense that, while there are numerous opportunities for consultation and, in some cases, deeper engagement, these processes are usually tokenistic. At the same time, there was an appreciation among communities and the third sector that the planning process is hugely complex and that some tensions and conflicts of interest are inevitable. There is strong support for the proposition that planning should be conducted in a more constructive, mature and positive way, but no one imagined the process would ever be

entirely consensual. Criticism of the current state of affairs was therefore balanced by an appreciation of the factors summarised below.

How much engagement?

- 4.13 Some people expressed concern that the review recommendations implied an open-ended commitment to community engagement, amounting to a “community right to plan”. In theory this is admirable, but it raises questions about would it work in practice. How many local place plans would there be, and how would communities (of interest as well as place) contribute to the production of development plans and to subsequent reviews? The question of the public and private sector resources that these front-loaded activities would require is addressed below, but community councillors and other activists were acutely aware of the demands they would make on citizens’ time. Because the community “can’t always be in the room”, they need to be confident that the decision-making process will still be “community aware”.

Local needs and public goods

- 4.14 The literature review (especially Demos, 2007) reminded us that community engagement needs to address public goods and well as local needs, and that it cannot always be defined by place of residence. Focusing exclusively on residency can be a recipe for parochialism and nimbyism. Some people thought that one of the benefits of more engagement around planning *strategy* would be to encourage local communities to think about how they should contribute to delivering essential infrastructure, homes and workspace in Scotland. This would encourage communities to take ownership of the public goods agenda rather than treating it as someone else’s problem. This was one of the benefits of early engagement anticipated by the review panel.

Delivering development

- 4.15 The consensus view was that the Scottish planning system is under too much pressure to approve development and to do so quickly. In practice, delivering development appears to be more important than creating “great places” and this is a cause for concern: the fastest planning system is not necessarily the best. That said, many of our consultees (including a number of community representatives) acknowledged that the system cannot be allowed to grind to a halt under the weight of engagement activity. Delays cost money and create a climate of uncertainty for investors. Early engagement should enable communities to be co-authors of local place plans and development plans which will establish the agreed principles within which planning applications will be framed, but no one should imagine that this will be a silver bullet solution.

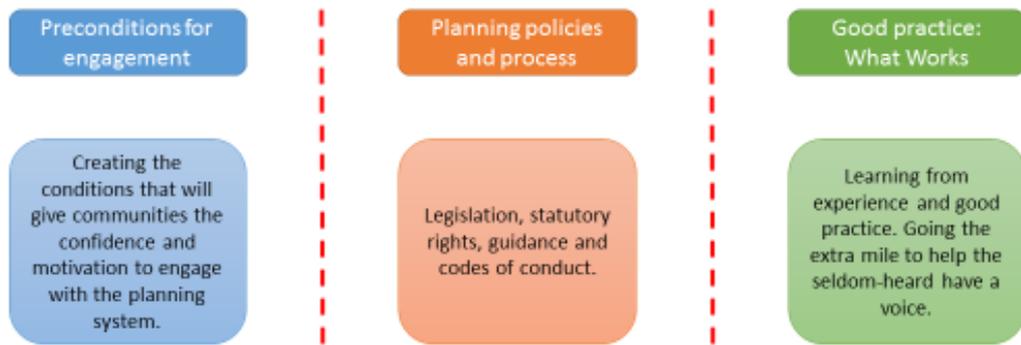
Everyone has rights *and* responsibilities

- 4.16 Anxiety was expressed on all sides about the hostile tone and substance of some community planning campaigns. For example, there was concern that some planning applications were being opposed in principle, even though the proposed uses and scale of development were consistent with the development plan. For their part, communities may argue that they were not sufficiently engaged with the development plan process, and therefore do not feel obliged to defend it. The conclusion is that an effective engagement process must be founded on an expectation of civil behaviour and a recognition of the rights and responsibilities of all parties.

Pathways to effective engagement

- 4.17 The review panel stated that the challenge was to create a planning system predicated on collaboration rather than conflict. Based on the outcomes of the first phase of this study we produced an interim report in December 2016 which mapped out some provisional thoughts on the way forward, bearing in mind the high levels of dissatisfaction and mistrust evidenced in the consultations and the workshops.
- 4.18 The message was that, judged by its ability to offer opportunities for meaningful engagement and by the effectiveness of such engagement in producing better planning and better places, the system is failing. The strong language used by the review panel was amply justified by our consultations (and subsequently by the survey). We made no effort to allocate blame for this situation, which would be wholly unproductive, but simply noted that action is required to restore trust and confidence and, crucially, to ensure that (a) effective engagement takes place, and (b) it makes a positive difference.
- 4.19 We developed a model based on **three pathways to effective engagement**, each representing different levels and types of activity (Figure 4-1). Action is needed to:
- **create the preconditions for engagement**
 - **establish appropriate policies and process, and**
 - **apply the lessons of good practice (“what works”).**

Figure 4-1: Three pathways to effective engagement



4.20 The pathways are mutually supportive and a sustainable commitment to effective engagement will not be achieved without action on all three fronts, although this does not preclude short-term practical action.

5. The online survey

- 5.1 We designed an online survey to test the views of the review panel on community engagement, and to explore some of the ideas emerging from our research, consultations and workshops. We posed 40 multiple choice questions which were organised around 4 themes:
- we asked people to respond to quotes on community engagement from the independent review of planning
 - we asked for views on the emerging preconditions for effective engagement
 - we asked for responses to a number of policy and other proposals for promoting engagement that had been suggested during the review, and
 - we asked for views on measures to enhance capacity and skills for effective engagement.
- 5.2 Interest in the survey was high and we had an excellent response. 1,914 people opened the survey and answered the first “about you” question. Of these, 274 (14%) abandoned the survey without answering any subsequent questions. The analysis that follows focuses on the 1,640 respondents who answered at least one of the substantive questions. Some people dropped out at a later stage or skipped one or more questions. The percentage responses in the analysis are based on the number of people who answered each question.
- 5.3 We divided the respondents into three categories, based on their answers to question 1:
- Community includes community councillors, employees/members of community organisations and people working for voluntary/third sector organisations (n=863)
 - Professionals includes planners working for local authorities and in the private sector, elected members of local authorities, developers and surveyors (n=325)
 - Others (n=452)
- 5.4 We analysed the write-in descriptions of all those who selected the “others” category. 413 of the 452 others entered a description, of whom 326 (79%) described themselves as “interested citizens”, “concerned residents” or something similar. These individuals include a substantial minority who – based on the descriptions – appeared to be community activists. Some of the write-in entries refer to “bad experiences” of the planning system, including unsuccessful community campaigns, some of them related to wind farms. Other groups included in the “others” are

local authority officers (non-planners), professionals in related disciplines and volunteers. This profile helps to explain why, for almost every question, the responses of the others are very similar to those in the community category. The detailed analysis that follows focuses on comparisons between the community and professional categories, but data for others and, indeed, the whole cohort are also presented.

- 5.5 We had a reasonably well-balanced sample by gender, although women were somewhat under-represented: female 41%, male 58%. The age structure was skewed towards older age groups, with 79% aged 45 and above, including 31% who were aged 65 and above. Only 1% were aged under 25. More than half the males in the community category were 65 or older. This is a fair reflection of the demography of those attending the workshops and, anecdotally, it reflects the age structure of citizens active in the planning system. The large community sample appears to be broadly representative of those who are currently engaged with the planning system, but this means that younger age groups and seldom-heard groups were under-represented.
- 5.6 People's level of engagement will vary according to their interest, motivation and local circumstances. We asked the community respondents how much experience they had of the planning system, and they were more or less equally divided between those who had "a great deal" or "quite a lot" of experience (48%) and those who had "not very much" or "very little" (51%).

Responses to the independent review

- 5.7 We asked people to respond to eight direct quotes from the report of the independent review of the planning system. All the statements were, directly or implicitly, critical of the effectiveness of community engagement in the planning system. The results are summarised in Figure 5-1 at the end of this section. Generally, the views of the panel commanded the strong support of community respondents, but more qualified support (and in some case net disagreement) from professionals. The latter were more inclined to defend the status quo.
- 5.8 In some cases, there was a very large gap between the views of the two groups, for example:
- 92% of the community respondents agreed (including 60% who agreed strongly) that the planning system is not yet effective in engaging, let alone empowering communities; a much smaller majority (59%) of professionals agreed
 - 93% of the community respondents agreed (including 61% who agreed strongly) that consultation is often minimal rather than meaningful; only 48% of professionals agreed

- 84% of the community respondents agreed (including 46% who agreed strongly) that local authorities often seek to manage expectations rather than be ambitious about community buy-in; a smaller majority (64%) of professionals agreed
- 90% of the community respondents agreed (including 64% who agreed strongly) that there needs to be a significant shift towards community empowerment; only 43% of professionals agreed
- 73% of the community respondents agreed (including 39% who agreed strongly) that community councils have an appetite for gathering views from the wider community; only 33% of professionals agreed.

5.9 On the case for front-loading community engagement, and the need for more deliberative techniques for engagement, the response of both groups was supportive and broadly similar.

Preconditions for effective engagement

5.10 Based on our research and consultations in the first stage of the study we identified seven preconditions for effective community engagement in planning. We used the survey to ask whether the current Scottish planning system meets these preconditions (see Figure 5-2 at the end of this section). Across the board, and by very large majorities, community respondents concluded that the pre-conditions were not in place. There was a strong consensus that there is a lack of mutual trust, respect and confidence in the system: only 8% of community respondents and 16% of professionals thought that they were present “most of the time” or “more often than not”. Only 9% of community respondents believed that engagement exerts a real influence on planning outcomes – and, revealing, a clear majority of professionals agreed with that assessment.

5.11 On the five other measures, the community view was overwhelmingly negative but professional opinion was more evenly divided:

- 9% of community respondents stated that the planning system was fair and equitable most of the time or more often than not (professionals 52%)
- 9% of community respondents stated that planners and developers were fully committed to community engagement most of the time or more often than not (professionals 47%)
- 12% of community respondents stated that the planning system strikes the balance between local needs and public goods most of the time or more often than not (professionals 45%)
- 14% of community respondents stated that the planning system was open, transparent and accessible most of the time or more often than not (professionals 42%)

- 15% of community respondents stated that all parties were clear about the purpose and benefits of engagement most of the time or more often than not (professionals 34%)

5.12 The overwhelming judgement of community respondents (and others) was that the preconditions for effective engagement are not being met by the Scottish planning system. Professional opinion was more evenly balanced but still tended towards the negative, strongly so in some cases.

Proposals for promoting engagement

5.13 Drawing on the literature review, the consultations and the workshops we identified 19 policy ideas/practical actions for promoting community empowerment and engagement in the planning system. We used the survey to test these ideas. There was strong majority support for all the ideas from the community respondents, and more qualified support (fewer people stating that they “strongly support” but more saying they “tend to support” the ideas) from the professionals.² A few of the ideas were opposed by a majority of professionals (see Figures 5-3 to 5-5 at the end of this section).

5.14 There was broad consensus support for the following actions:

- development plans that provide an inspiring civic vision
- ensuring that communities of interest engage with the planning system
- every council to have an engagement strategy
- reaffirming the independence of local authority planners
- planners should challenge developers to deliver better placemaking
- Government to state that the primary purpose of planning is to create great places
- the planning system should be equally concerned with the quality of development as with quantity and location
- Government should review alternatives to developer contributions
- the planning process should be conducted in jargon-free English

5.15 There was support for the following actions, but stronger among communities than professionals :

- integrating spatial planning into the community planning system
- making community involvement in development plans mandatory
- a code of conduct for all parties involved in the planning system
- a quality standard based on the NSfCE
- communities should always get feedback on their representations

² In our final report we will present these results as weighted averages.

- every significant development to be accompanied by 3-D visualisations
- 5.16 The following actions were supported by community respondents but opposed by a majority of professionals:
- a community right to plan and produce a local place plan
 - community engagement to be conducted by an independent facilitator
 - engagement to take place on the community's own terms and at times of their choosing
 - Government to explore options for a balanced right of appeal.

Capacity and skills

- 5.17 The final part of the survey looked at six potential capacity-building measures (see Figure 5-6 at the end of this section). All the proposals commanded strong support, but with significant differences for two of the measures:
- support for building a robust network of active community councils and other organisations was stronger among community respondents than professionals
 - the recommendation that the status of planning as a core local government function should be strengthened was the only measure where the level of support was higher among professionals than community respondents.

Conclusion

- 5.18 The scale of the response to the survey far exceeded our expectations. 1,640 people answered at least one substantive question, and 1,350 responded to every question. The survey was designed to test the level of support for the findings of the independent review of planning on community engagement, and for a set of key points and proposals that had emerged from the review process. The survey results are valuable and significant. They offer contrasting views of the Scottish planning system, but also points of convergence.
- 5.19 The independent review report has some challenging things to say about the quality and effectiveness of community engagement in the Scottish planning system. The panel's views were endorsed wholeheartedly by community respondents, but the views of the professionals were much more mixed and they disagreed with some of the panel's conclusions. A key factor here appears to be that the community and third sector organisations that contributed to the study were, by definition, more likely to be actively engaged in planning. But the professionals tend to refer to a bigger picture which includes places where apathy is the rule and community organisations are moribund. This may explain why 73% of

community respondents agreed that community councils have an appetite for engaging with the planning system by gathering views from local residents, but only 33% of professionals agreed. Similarly, 90% of community respondents wanted to see a significant shift towards community engagement in the planning system, but only a minority of professionals (43%) agreed.

- 5.20 Questions on the preconditions for community engagement produced mixed results but, in general, community respondents were highly critical of the status quo, while professionals were more likely to defend it. There was a big perception gap on most of the preconditions, but both groups are agreed that there is a serious lack of trust, respect and confidence in the system, and that community engagement exerts very little influence on planning outcomes. This is important because, as we explained in our interim report, these preconditions “are not technical or process issues, but something much more fundamental... [They] go to the heart of the culture of planning and the Government’s commitment to community empowerment; they are about the purpose of engagement and the way we think, act and behave”.
- 5.21 The menu of practical ideas and proposals that we tested in the survey produced a broad consensus in some areas. These include a call for Government to state clearly that better placemaking is the primary purpose of planning, with the quality and sustainability of development being as important as its volume; the Government should also consider alternatives to developer contributions as a means of delivering physical and social infrastructure. It was agreed that every council should adopt an engagement strategy with specific proposals for reaching seldom-heard groups.
- 5.22 Other suggestions, such as integrating spatial planning into community planning, a code of conduct and useful feedback on community representations, were less popular with professionals than communities. Still others were contested, with a majority of professionals opposed to the community “right to plan”, a requirement to use independent facilitators, measures to undertake engagement activity on the community’s own terms, or consideration of “balanced rights of appeal”.
- 5.23 The proposed capacity-building measures were less contentious, although it is perhaps not surprising that communities were particularly keen to see investment in a strong network of community councils and community trusts, while professionals favoured measures to elevate the status of planning in local authorities.

Figure 5-1: Responses to the independent review of the Scottish planning system

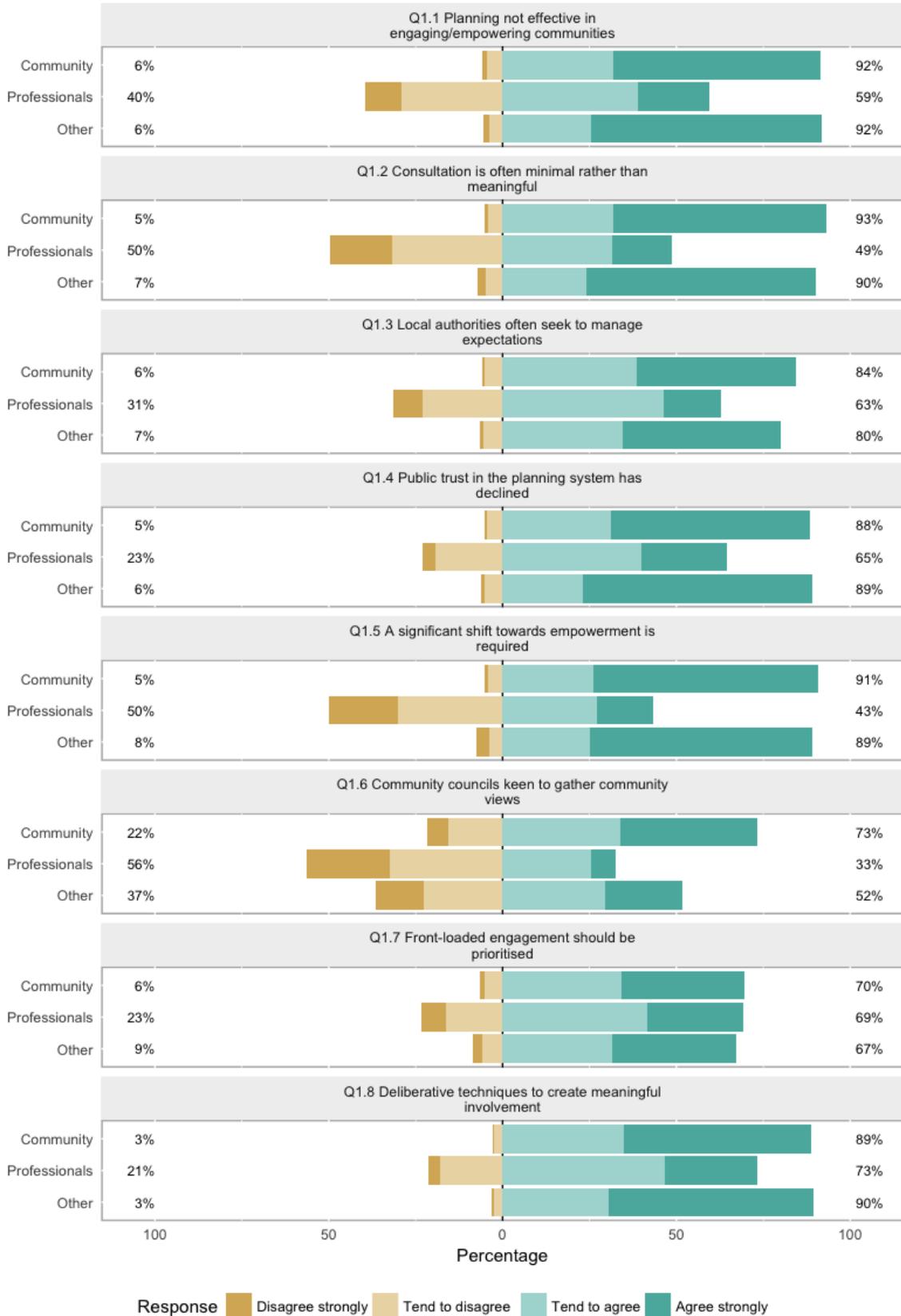


Figure 5-2: Are the preconditions for successful engagement in place?

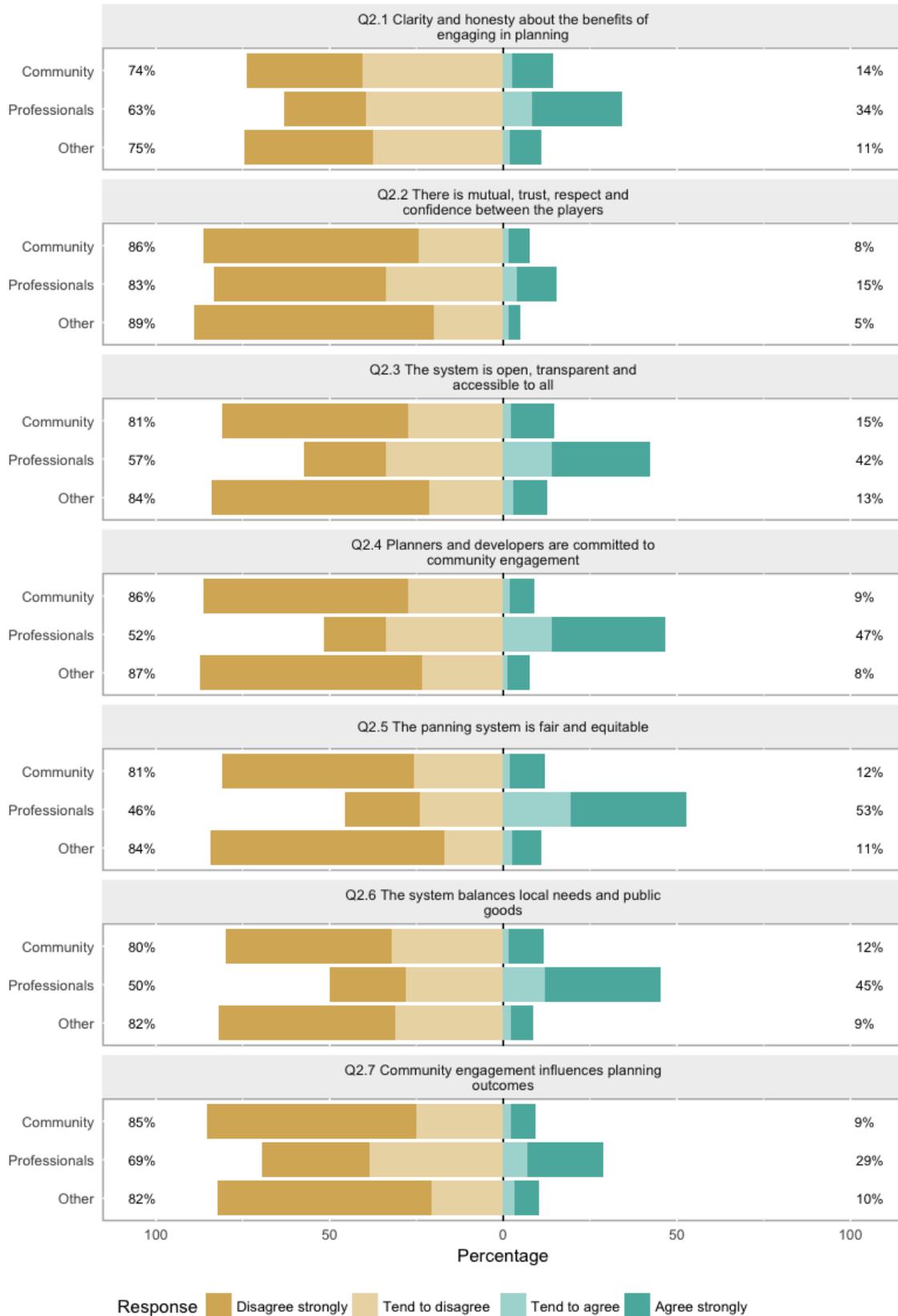


Figure 5-3: How do you rate these ideas for promoting community engagement? (Part 1)

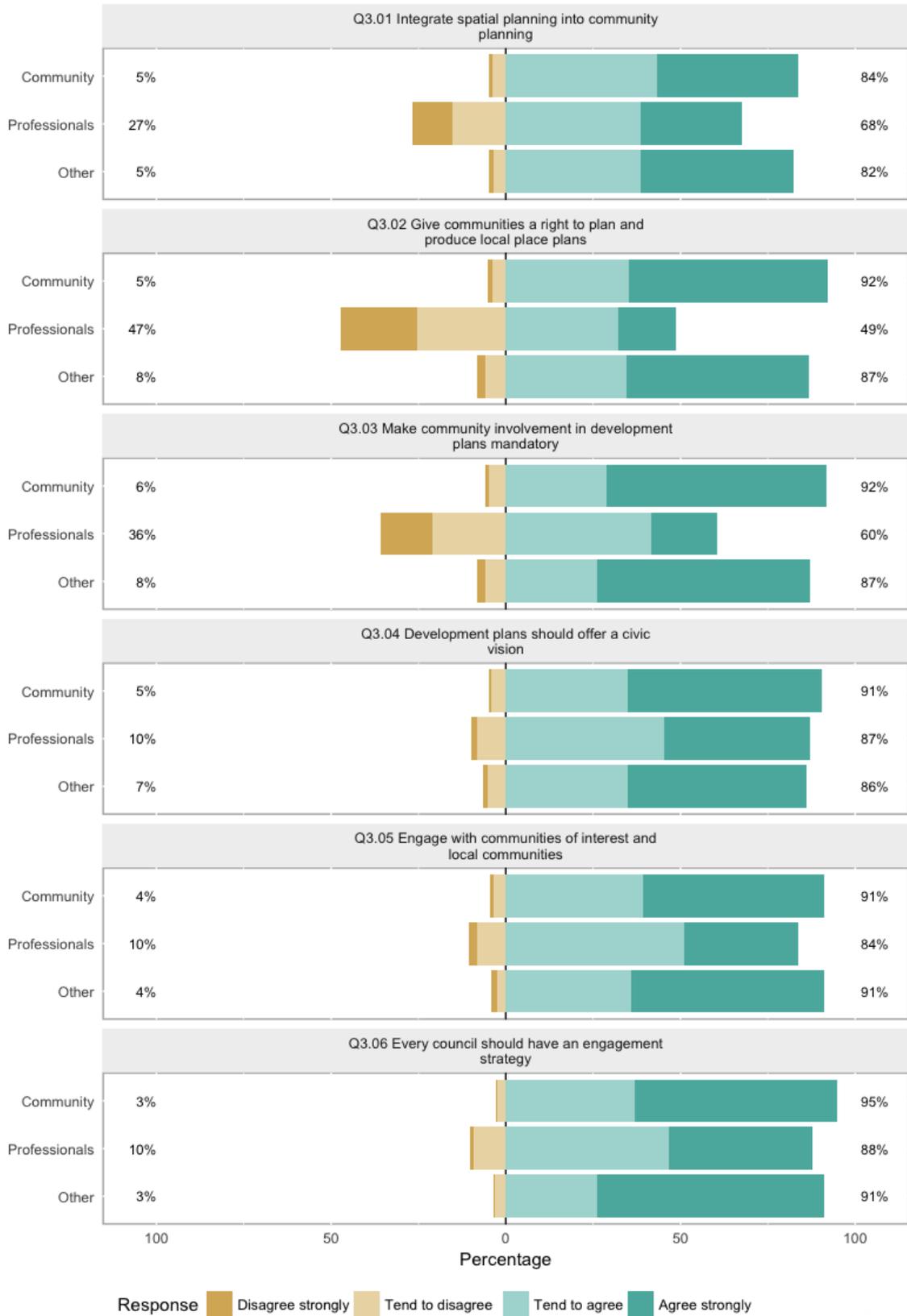


Figure 5-4: How do you rate these ideas for promoting community engagement? (Part 2)

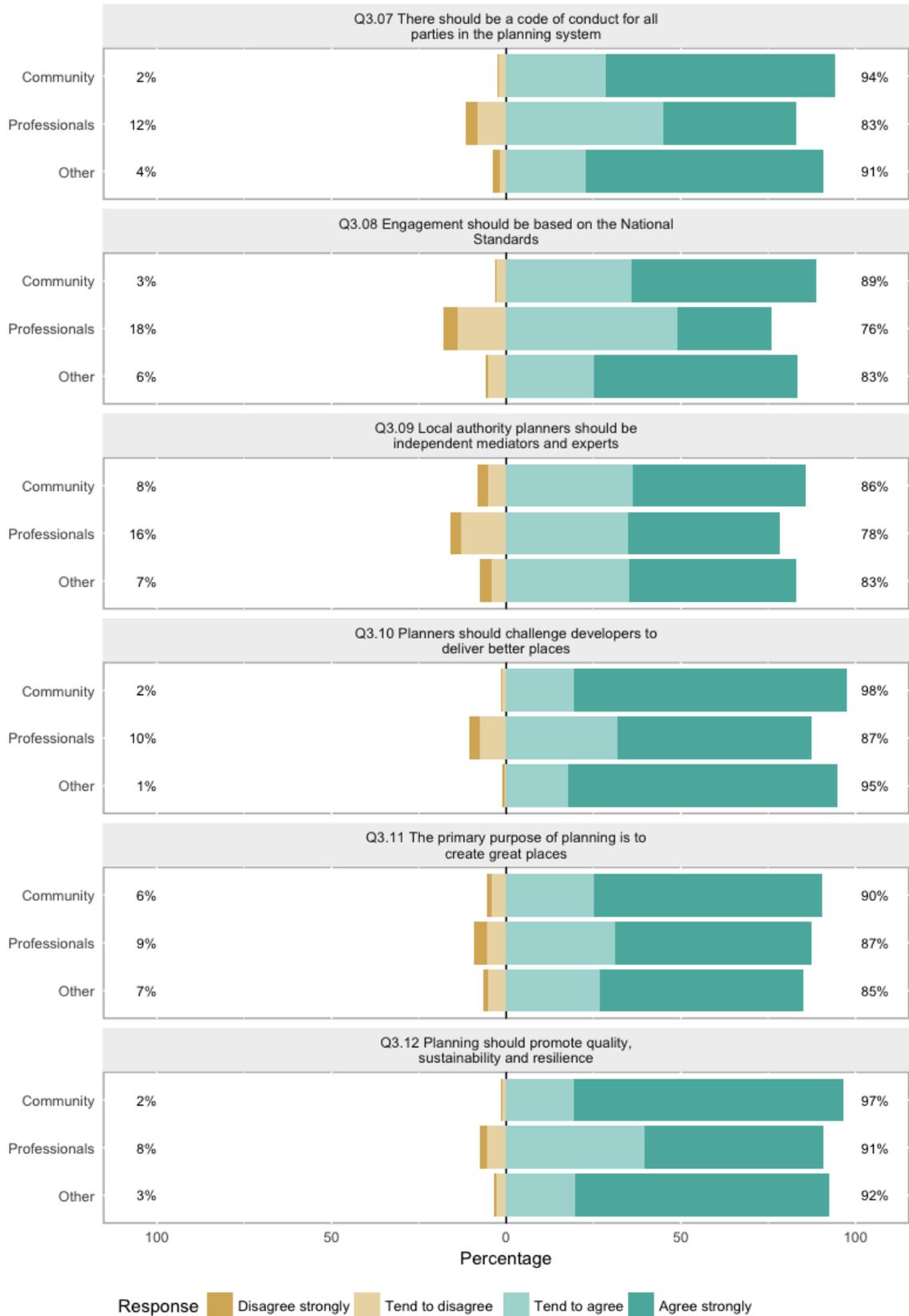


Figure 5-5: How do you rate these ideas for promoting community engagement? (Part 3)

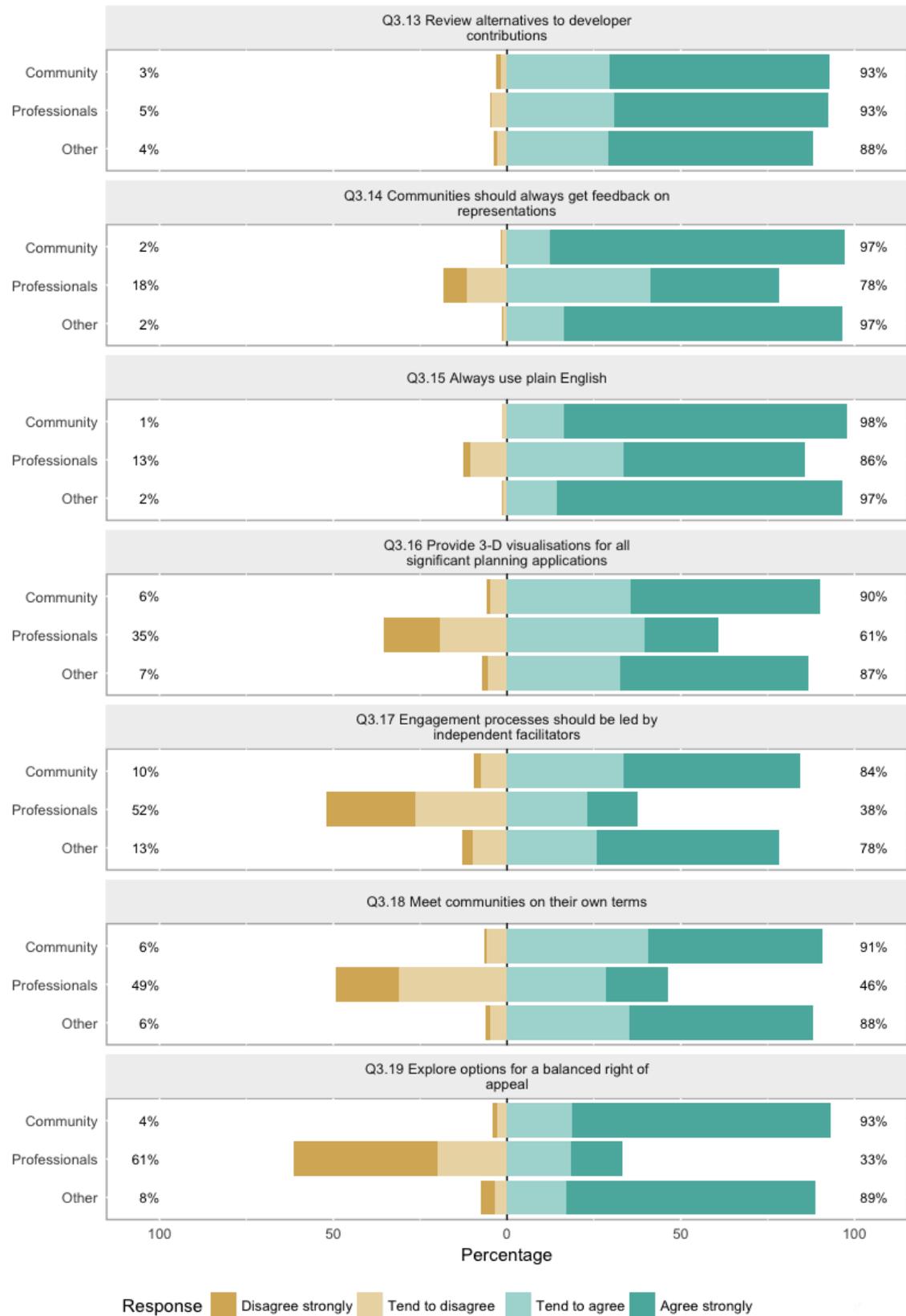
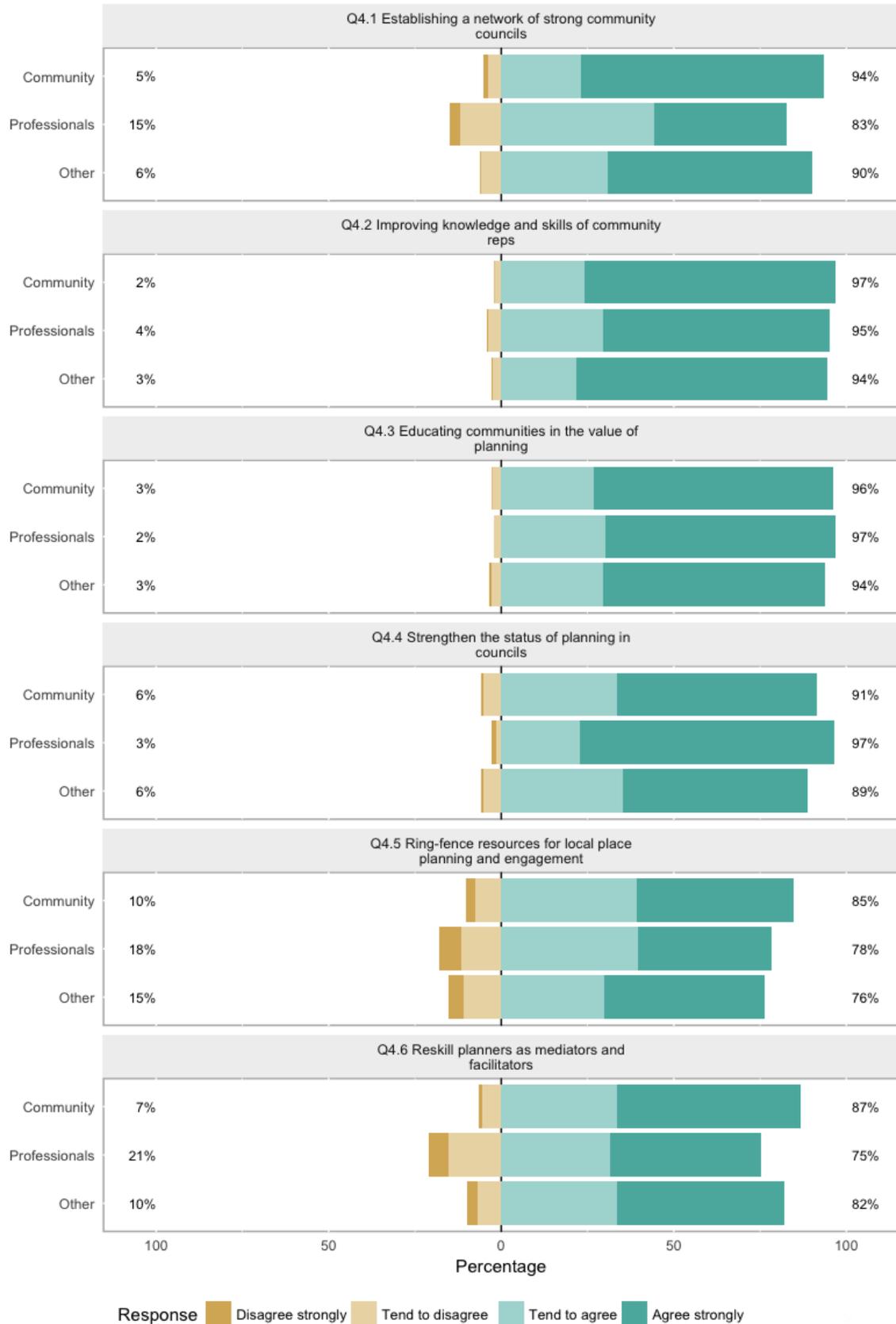


Figure 5-6: How important will these factors be in promoting community engagement?



6. Conclusions

What we have learned

- 6.1 The report of the independent review of the Scottish planning system is highly critical of its performance in terms of inclusion and empowerment. It states that “the planning system is not yet effective in managing, let alone empowering communities...Constraints to effective engagement include resources and time and it appears that often consultation is minimal, rather than meaningful...local authorities often seek to manage expectations rather than being ambitious about securing community buy-in”. The review panel concludes that “public trust in the system has declined rather than grown”.
- 6.2 The literature review focused on the barriers to community engagement. Our consultations and workshops explored the panel’s analysis with experts and community leaders who have experience of the planning system. The survey enabled us to test opinion more scientifically, with a large sample of 1,600 respondents, three-quarters of whom were community leaders, representatives of third sector bodies or individual citizens. The results were unambiguous: communities think the system is failing; the professionals are more likely to defend the status quo while still acknowledging serious shortcomings.
- 6.3 Our research has vindicated the judgments of the review panel. The overwhelmingly negative perceptions of community leaders and ordinary citizens are an indictment of the planning system. Some people suggested to us that criticisms of the planning system are unfair or unbalanced, but the community’s view has to be taken seriously and the gap between the views of citizens and the built environment professionals is a cause for concern.
- 6.4 We used the workshops to translate the review findings into a suggested set of preconditions for effective engagement. We learned that good practice guidance, including for engagement with seldom-heard groups is readily available, although not always applied. But this is essentially a second-order issue: engagement will only succeed and be sustained in an environment of mutual trust, respect and confidence. It requires culture change, not just in public sector bodies but also in community organisations that need to strive to be more representative of the diversity of the areas they serve.

- 6.5 By framing the preconditions for effective engagement in positive terms we discovered more common ground. There was still a perception gap but, in most cases, it was much less marked and professionals were less defensive about the status quo. For example, only 8% of community respondents and only 15% of professionals thought there was mutual trust, respect and confidence between the actors in the planning system; just 9% of community respondents thought that community engagement influences planning outcomes, and 29% of professionals. Some of the other preconditions still divided opinion: a small majority of professionals thought that planning system was fair and equitable (but only 12% of the community respondents), and a substantial minority (47%) believed that planners and developers were committed to community engagement (only 9% of community respondents thought so). Professionals are less critical of the system than community respondents, but they agree that engagement in Scottish planning is not working well enough.
- 6.6 It was clear from the workshop discussions that the dissonance between the rhetoric of community empowerment and engagement and the reality on the ground is a cause of great frustration. There is support among community leaders for the principle of empowering communities to shape their places, but they are not convinced that local authorities and other agencies share the Scottish Government's commitment. As a result, community empowerment is seen by some as a false prospectus. Community and third sector representatives acknowledged that this is a complicated issue. Councils are under pressure to speed up the processing of planning applications, community engagement is resource intensive and the level of interest in some communities is uncertain.
- 6.7 This raises another question that was addressed frequently during the study: how much engagement in the planning system do we need and do we have the capacity to deliver it? Much of the discussion revolved around the review panel's recommendations on local place plans and how they would relate to community planning and locality plans. An overwhelming majority of community respondents (92%) supported a community right to plan, but professional opinion was split (49% for/47% against), perhaps reflecting concerns about the practical implications of these proposals. There is uncertainty about:
- the likely number, content and scope of local place plans
 - how they will be incorporated into local development plans
 - how they will relate to community plans and locality plans, and
 - the implications in terms of resources and skills.

- 6.8 Genuine engagement will present huge challenges for local authority planners and other professionals who will need to learn new skills and new ways of working in order to shape and facilitate a new planning culture. We will need more community volunteers, and efforts to involve a more diverse range of citizens, including the seldom-heard, will be essential, but this will represent a further challenge. For all these reasons, and taking account of the severe pressure on Government and local authority budgets, it will be important to set realistic targets. An open-ended, “blank cheque” commitment to community engagement would be unsustainable and self-defeating: a targeted approach to achieve more – and more effective – engagement would be more appropriate, coupled with initiatives to engage with the seldom-heard.
- 6.9 Community engagement in planning is a minority pursuit, sustained by a small army of dedicated volunteers and activists, often organised by community councils, development trusts and campaign groups. From time to time a development proposal will attract the attention of the wider public but, for the most part, the level of demand for engagement is low and apathy rules.
- 6.10 In the following pages we suggest some ways in which more people (including the seldom-heard) might be motivated to participate, but it would be unrealistic to expect that engagement will evolve into a mass movement, at least in the short term. Aspirations to increase the amount and effectiveness of community participation in local place planning and other activities will need to be weighed against the reality of limited resources and the hard work that will be needed to increase capacity and raise skills levels. Even the most dedicated community activists appreciate that they cannot always be in the room when decisions are made: another important factor will be the ability and willingness of planners to become more “community aware”, so that they can represent the views of residents and others even when they are not present.
- 6.11 This debate is linked to another fundamental question: what is the purpose of community engagement? One of the propositions that emerged from the study was that the primary purpose of planning should be to create great places. This proposition was tested in the survey and it had the overwhelming support of the whole sample, professionals as well as communities. The implication is that other objectives such as promoting economic growth, building new homes or delivering infrastructure would, however important, be secondary to the overarching goal. The planning system will still be judged by its ability to deliver those essential outputs but it must do so in a way that contributes to successful placemaking. Similarly, while everyone will benefit from a

smooth and efficient planning process, speed must not be allowed to trump the quest for place quality. If it takes time to get a better place outcome that may be a price worth paying.

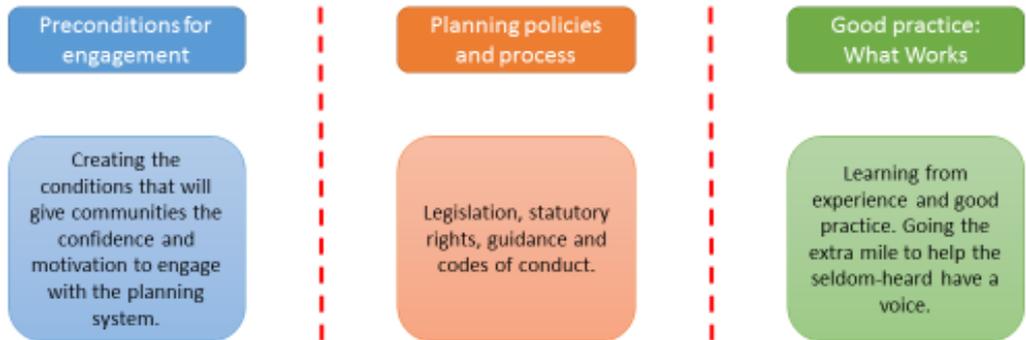
- 6.12 Confirming this principle should help in turn to clarify the purpose of engagement in planning. Anchoring engagement firmly to the goal of better placemaking would offer communities and planners the opportunity to pursue a common cause rather than default to adversarial positions. The evidence of this review is that, in the absence of clear policy direction, the planning system struggles to reconcile competing goals. Community organisations believe that, in practice, the real imperative for local authorities (and the key performance indicator) is to facilitate development, whether or not this makes a positive contribution to placemaking or reflects community aspirations.
- 6.13 The literature review suggests that, for some developers and planners, the real purpose of “engagement” is to secure community consent for a predetermined policy proposal or development scheme. This is what Arnstein describes as “manipulation” of citizen engagement. A similar view was expressed regularly at the workshops, and the survey found that only 9% of community respondents and 29% of professionals think that engagement influences planning outcomes. This is a fundamental issue: what is the point of engagement if it doesn’t exert a positive influence on policy and the built development? If people don’t believe they can make a difference – and most professionals agree – how can they be motivated to get involved in planning, and how can we sustain their interest?
- 6.14 However we define the purpose of planning and community engagement, it is clear that it is always going to be contested territory. The notion that planning can be transformed from an arena of conflict into a zone of consensus is wishful thinking. A number of the authorities cited in our literature review make this point (notably Planning NSW, 2003) and it was acknowledged at the workshops. It is also important to remember that communities do not speak with a single voice. Local residents may be more or less development friendly, and locals may not agree with special interest groups. It makes sense to acknowledge these realities. Hard decisions need to be made and they will always disappoint someone, but it is reasonable to expect that a genuine commitment to community engagement will help to create a more constructive and consensual decision-making environment where conflicts are the exception rather than the rule, and where people understand decisions even if they don’t like them.

- 6.15 Another core issue running through the study was the tension between the local goods and public value (Demos, 2007). Local authority planners see themselves as the guardians of public value, ensuring that planning delivers place quality and economic growth as well as measurable outcomes such as new homes, retail, civic and leisure space, offices and factories and essential infrastructure. Community organisations often feel that planners are not sufficiently aware of and sensitive to the qualities and features that people most value about localities and which underpin place attachment. However, public value is not the sole preserve of the public sector; it is precisely what motivates many people to get involved with community councils and other local organisations. Communities have an appetite to engage with these strategic questions. No community can be permitted to shrug off its responsibility to contribute to the public good, but communities are surely justified in believing that there is a reciprocal responsibility for planners to understand, respect and strengthen the distinctive qualities of their places.
- 6.16 Delivering on a serious commitment to community engagement – and, by extension, to inclusion and empowerment – will be a hugely challenging undertaking requiring culture change and practical action in every part of the planning system, from all the key players. People will be quick to sense if it is not real, and if the present gap between rhetoric and reality persists. Until engagement is seen to be shaping places, driving policy and influencing planning outcomes, communities will continue to be sceptical and assume that the old ways will prevail. This will present challenges for everyone:
- the Scottish Government must have the courage of its convictions, creating and protecting a space where the engagement culture can be established and flourish; even if negotiating the planning system is more “difficult” in the short-term, the prize will be a more constructive, consensual and better-informed approach to development
 - Councils will need to work in a different way, with placemaking and engagement at the heart of everything they do, and planners acting as independent experts and facilitators; this will require a major investment in skills and professional development
 - developers will need to start by learning about the place and the community before bringing forward detailed proposals; time invested in early engagement and active listening will pay dividends later in the process
 - community councils, development trusts and others will need to become more diverse and representative; they will become place planners in their own right and they will need to acquire new skills as they move from campaigning to plan-making.

7. Promoting community engagement in planning

- 7.1 In addition to the core task of identifying barriers to community engagement, the study brief called for the identification and appraisal of ideas which, “either through changes in policy, practice or legislation, [might] support a more collaborative and inclusive planning system”. The ideas discussed in the following paragraphs arose from the study process, and they were tested in the online survey (Section 5). They are not fully developed proposals but they are here offered as a contribution to the policy debate.
- 7.2 We recommend that an action plan to promote community engagement in the Scottish planning system should be framed within the context of the three pathways framework that we described in Section 4 (see Figure 7-1).

Figure 7-1: Pathways to effective engagement



Pathway 1: Preconditions for engagement

- 7.3 The preconditions for effective engagement address the dissonance between the rhetoric of community engagement and empowerment and the experience of most current practice. Unless we close the gap between what we say and what we do, meaningful engagement will continue to be the exception rather than the rule. A commitment to engagement cannot simply be made from the top down. It will require a profound culture change based on a shared commitment by Ministers, local authorities and other agencies, the planning profession, the development industry, third sector bodies, community councils, development trusts and other local organisations.

- 7.4 This study has revealed strong, but still variable, levels of support for community engagement in planning. The challenge is to create the conditions that will motivate communities to engage with planning and give them the confidence that the experience will be worthwhile. These are not technical or process issues, but something much more fundamental. The preconditions go to the heart of the culture of planning and the Government's commitment to community empowerment; they are about the purpose of engagement and the way we think, act and behave.
- 7.5 The preconditions are summarised in Figure 7-2. They are intended to build trust and confidence around the planning system and challenge the assumption that confrontation is the inevitable outcome of community engagement. They seek to create a positive environment which will encourage collaboration and ensure that differences are acknowledged and dealt with in a civil and respectful way. Everyone's behaviour needs to change, including communities'. Culture change takes time: making it happen will require strong and courageous leadership.

Figure 7-2: Preconditions for effective engagement

1	The Scottish Government should confirm that the core purpose of planning is to create great places that will promote the five strategic objectives for Scotland.
2	All parties should be clear about the purpose of community engagement and the benefits it can offer. Engagement should make a positive difference and deliver better planning outcomes.
3	The Scottish Government should give local communities and communities of interest the right to plan by leading the development of local place plans and engaging in the production of development plans.
4	There needs to be a climate of mutual trust, respect and confidence between the key players in the planning system: communities, planning authorities, landowners and developers.
5	The planning system must be open, transparent and accessible to all . Clear communications in plain English should ensure that everyone knows what is happening and how they can get involved.
6	Planners and developers must be fully committed to engaging with communities . They should actively encourage communities to get involved at the earliest possible stage, and to listen carefully and respond constructively.
7	The planning system must be fair and equitable , and it should be based on a clear understanding of the rights and responsibilities of all the interested parties.
8	The engagement process should involve communities in thinking about national and regional public goods such as housing, employment land, infrastructure and built/ natural heritage as well as local agendas.

- 7.6 It was suggested that the Scottish Government could kick-start the process by making some early confidence-building moves linked to the first three preconditions:
- first, it should state unequivocally that *the primary purpose of planning is to create great places*; planning should support the strategic goals of a country that is wealthier and fairer, smarter, healthier, safer and stronger, and greener, but always in the context of great placemaking
 - second, it should confirm that *the primary purpose of community engagement is to achieve better planning outcomes* whether at the strategic or development management level: engagement is only meaningful if it makes a difference
 - third, it should confirm the principle of a *community right to plan*, with a specific right to develop local place plans, complemented by statutory rights to contribute to the production of local development plans and the scrutiny of planning applications.
- 7.7 These moves would send a clear signal of the Government's intent, challenging the whole planning community (communities and professionals alike) to find new ways of working, founded on the principles of mutual trust, respect and confidence. At the same time, achieving a fairer and more equitable planning system cannot be allowed to be a recipe for inaction and delay. Developers and investors need to be confident that increasing opportunities for communities to shape policy and influence planning decisions will be balanced by efficiency gains and prompt decision-making. The planning consultation addresses these challenges.
- 7.8 Scotland needs new homes as well as civic, community, commercial and industrial development, and it needs to continue to invest in modern infrastructure. Planning needs to deliver these public goods, but to do so in a way that reflects the imperatives of great placemaking and the needs and aspirations of communities. This will require a rebalancing of the planning system based on an appreciation of mutual responsibilities and obligations. Every community should be expected to make an appropriate and proportionate contribution to delivering public goods. The *quid pro quo* for community engagement should be an obligation to produce a local place plan that shows how each locality will contribute to regional and national goals.
- 7.9 It was suggested that we need a national conversation to address the related questions of the scale of community engagement and the resources that will be required. An open-ended, "engagement on

demand” approach would be unrealistic and unhelpful. The Scottish Government’s consultation paper makes the case for local place plans and says that communities should have the statutory right to be consulted on development plans. These recommendations have the strong support of community and third sector organisations, but they divide opinion among professionals. This may be because the resource implications are potentially huge. Policy-makers would need to establish how many “communities” there in Scotland, and whether they all entitled to produce a local place plan. They may need to decide which places will get one and when, and what happens to the places that don’t qualify or are asked to wait. Local place plans would presumably need to satisfy certain requirements in terms of quality and scope before they could be integrated into statutory development plans. The practical details need to be worked out, including the relationship between local place plans and the proposed community planning locality plans.

- 7.10 Even the most enthusiastic supporters of community engagement acknowledge that it raised issues about the level of demand, community capacity, the pressures on overstretched planners and the costs of consultancy and other professional services. Some people suggested that, unless these issues are addressed, the community right to plan might raise expectations that cannot be delivered, causing yet more frustration and disappointment.
- 7.11 The current low level of demand for engagement in planning is a critical factor. It is not clear whether it will be practicable to establish and sustain local place planning teams across Scotland. Local place planning would stretch community councils, local organisations and active citizens to the limit, requiring them to acquire new knowledge and skills. In this situation, there is clearly a risk – as the independent review acknowledges – that more prosperous communities will benefit at the expense of the disadvantaged communities where the needs are greatest.
- 7.12 Simplification of the development planning process was one of the independent review’s key recommendations and it is reflected in the Government’s consultation paper. But knitting together local place plans to create a cohesive statutory plan would appear to be a hugely complex task. Local authority planners would presumably be responsible for this new and challenging role, and for ensuring that local place plans meet agreed standards in terms of content and quality. Both the independent review and the consultation document echo Demos in highlighting the need for a new generation of “skilful and dynamic planners” with “an

open collaborative model of expertise” and skills in mediation and facilitation.

- 7.13 It is not clear whether the “simplification” of other aspects of the planning system will release sufficient spare capacity for these tasks, or what resources will be needed to invest in staff training and professional development. Our online survey showed that both communities and professionals agree strongly that planners will need to retrain and acquire new skills, and the Government’s consultation paper confirms that the whole review package raises questions about the “capacity and resilience of the planning profession in Scotland”. The concept, trailed by the independent review and the Government’s consultation paper, of councils and the private sector sharing specialist skills will be an important element of this discussion.
- 7.14 The survey also showed that communities and professionals believe that resources will need to be ring-fenced for local place planning and other engagement activities. In England, local authorities have a “duty to support” neighbourhood planning groups by providing advice, data, technical support, access to venues and other services. Local groups may also seek funding from councils and other sources to commission research and pay for consultancy support. There is as yet very little clarity about how long it will take to produce a local place plan, what it will cost, or the availability of resources.
- 7.15 To recap: unless and until the preconditions described in this report and tested in the survey are in place, effective community engagement is likely to prove an elusive goal. Engagement requires a commitment by multiple parties, all of whom will have to think and act in different ways. It cannot be a matter for Government alone. We have suggested that this commitment should be pursued through a national conversation on community engagement. The Scottish Government could set the process in motion by making the three confidence-building moves outlined above, but at least one of these moves – confirmation of the community right to plan – requires early clarification, to establish the proposed scale of the commitment and its deliverability in terms of demand, capacity and resources.

Pathway 2: Policy and process

- 7.16 The national conversation will establish a clear narrative about the purpose and extent of community engagement in planning; about the roles and mutual obligations of all parties; and about culture change, skills and resources. The outcomes should be underpinned by a raft of changes to the policy framework, both legislative and administrative. The

study has identified a range of possible policy changes and initiatives which are summarised in Figure 7-3.

Figure 7-3: Planning policy framework

1	The Scottish Government should consider the case for integrating spatial planning into the community planning process . This innovative move would encourage joined-up policy thinking, reduce costs and place planning at the heart of the policy agenda.
2	Every planning authority should be required to produce a community engagement plan to support the integrated community/spatial planning process. Guidance may need to be published on the development of these plans.
3	The plan should reflect the guiding principle of early engagement with communities, focusing on the production of local place/locality plans, development plans and master plans.
4	The community engagement plan should include specific proposals for increasing diversity in engagement and reaching seldom-heard groups .
5	The community engagement plan should include an appraisal of the demand and capacity for engagement, and proposals for capacity building, training and staff development.
6	The Scottish Government should assess the resources implications of a drive to increase community engagement, and consider the case for a ring-fenced fund to support training and capacity building.
7	The Scottish Government should consider the case for commissioning a code of practice setting out the rights and responsibilities of communities, developers, landowners and planners engaging in the planning process.

7.17 A key question relates to the relationship with community planning and specifically the Government’s decision to establish a local dimension to that process through “locality plans”. The *Places, People and Planning* consultation document calls for “closer alignment between community planning and spatial planning”, including a “statutory link”. Our consultations revealed in-principle support for alignment, but also concerns about the resource implications of adding local plans and a strengthened commitment to community engagement to *two parallel systems*. We used the survey to test support for a more radical step, the *integration* of spatial planning into the community planning system. Community respondents supported this proposal by a margin of 84% to 5%, and professionals by a margin of 68% to 27%. This idea needs further development and it would have significant policy implications, but it addresses the concern that the sheer volume of planning – community and spatial – is placing a strain on communities’ capacity for engagement and may not be sustainable.

7.18 The other proposals set out above all describe practical steps that might be needed to underpin the roll-out of an integrated community/spatial

planning system and the principle of a community right to plan. They include proposals that all planning authorities should be required to produce community engagement plans, and for funding to meet the costs of capacity-building, training and development. There is also a suggestion that the rights and responsibilities of all parties involved in the planning system should be enshrined in a code of practice.

Pathway 3: Applying good practice - What Works

- 7.19 The first two pathways may take several years to implement in full, and the measures outlined above would require further appraisal and development. By contrast, the third pathway – What Works – identifies opportunities for all parties in the planning process to take the initiative and act now to improve the quality and effectiveness of engagement in the planning system. A long list of practical actions was identified during the workshops and tested by the survey. We have identified three themes which lend themselves to early action by planners and others. No one needs to ask permission to pursue this agenda which focuses on applying known lessons and good practice principles.

Figure 7-4: What Works – opportunities for practical action

1	<p>Make the most of existing guidance and good practice</p> <p>The theory and practice of community engagement has been thoroughly examined and documented. There is no need to add to the existing body of guidance, we just need to apply it consistently and determinedly. For practitioners in Scotland there are two key sources:</p> <ul style="list-style-type: none"> • The National Standards for Community Engagement, and • SP=EED Successful Planning = Effective Engagement and Delivery (PAS) <p>The latter is tailored for use with the planning system, with an organising framework based on three levels of engagement and eight key criteria: transparency and integrity, coordination, information, appropriateness, responsiveness, inclusiveness, monitoring and evaluation, and learning and sharing. SP=EED verification certifies an individual’s competence in using this approach. The Scottish Government may wish to consider recognising SP=EED verification as the industry standard.</p> <p>The national standards and SP=EED can be used in conjunction with the Government’s Place Standard. The literature review also documents examples of good practice, including community-led planning, neighbourhood planning and charrettes. Practitioners can learn from these and other models and from case studies from Scotland and elsewhere.</p>
2	<p>Connecting with the seldom-heard</p> <p>The independent review reported that there was “little evidence that disabled people, young people, minority ethnic groups, or disadvantaged groups are being effectively and routinely involved in the planning system”. The consultations confirmed this view and we also encountered concerns that remote communities were poorly served. These observations need to be seen in the context of a system in which “all communities are under-represented”. Nevertheless, it is clear that some groups find it particularly difficult to get involved because of language barriers, disability, poverty or discrimination. To reach these seldom-heard groups, practitioners need to “go the extra mile” by, for example:</p>

	<ul style="list-style-type: none"> • meeting people on their turf and at the times that suit them best • offering a range of meeting times and venues • ensuring that venues are wheelchair accessible • providing signing services • reimbursing travel costs • providing crèche facilities • offering opportunities to participate in different ways, for example, using surveys and social media • publicising events in languages other than English and providing translation services.
3	<p>Using plain English, effective communications and feedback</p> <p>It is clear from our research that the language of planning is a serious barrier to community engagement. The profession’s enthusiasm for jargon – much of it entirely unnecessary – is seen as a means of excluding and intimidating ordinary members of the public. Terms like “LOIPs”, “charrettes” and “front-loading” were cited as examples of a profession that is more comfortable talking to itself than to the citizens it is supposed to serve. People understand the need for some technical language but they are frustrated when it is used to dress up arguments that could be expressed in plain English. If highly motivated community activists find jargon off-putting, we can imagine the effect on disadvantaged and seldom-heard groups. A number of people noted that this abuse of language is self-defeating: development plans should set out an exciting and motivating “civic vision” but too many of them are dull and “lengthy and difficult to understand”, focused on process rather than outcomes.</p> <p>Good communications have a vital role to play in promoting engagement. People were very critical of official notices, advertisements and confusing online portals, all of which are seen as ways in which local authorities ration participation in planning rather than actively promote it. We need channels – in print, online and via social media – that positively encourage citizens to get involved, that can be easily searched and which present the story (what is proposed, where will it be, what will it look like) in a direct and accessible way.</p> <p>Communities are frustrated by a lack of feedback from engagement events. They want a clear and accurate record of what was said, a statement of what was done with the community’s ideas and suggestions, and a record of the decision reached.</p>

7.20 We need to make better use of existing guidance on community engagement and to apply best practice lessons. Two key sources are available for Scottish practitioners: the SP=EED toolkit produced by PAS and the Scottish Government’s National Standards for Community Engagement. These can be used in conjunction with the Scottish Government’s Place Standard, a practical tool which provides a foundation for baseline analysis and early-stage local place planning and which has been used extensively in charrettes and other forums.

7.21 The study has confirmed that, in the Scottish planning system, community engagement is a minority pursuit and that all groups are under-represented. The challenge is to find ways to motivate more people to get involved in shaping the places where they live, work, learn and spend their leisure time. Against this backdrop, some groups find it even more difficult to get involved because of disability, poverty,

discrimination, language barriers and geographical remoteness. Planners need to develop greater cultural sensitivity and awareness, and to challenge their own assumptions about the capability of seldom-heard groups to contribute. There is a lot of excellent guidance available: practitioners should use it to “go the extra mile” and help to make engagement a comfortable, enjoyable and relevant process for all by, for example:

- meeting people on their home turf and at the times that suit them best
- offering a range of meeting times and venues
- ensuring that venues are wheelchair accessible
- providing signing services
- reimbursing travel costs
- providing crèche facilities
- offering opportunities to participate in different ways, for example, using hands-on activities, surveys and social media
- publicising events in languages other than English and providing translation services.

7.22 Many people highlighted concerns about the wilfully obscure and often impenetrable nature of the planning system, and the excessive use of jargon. The result is a system that seems to be designed for the benefit of planners and developers, and to exclude the public. It can especially intimidating and discouraging for the seldom-heard. People understand that some technical language is needed from time to time, but there is no excuse for using jargon to dress up arguments that could easily be expressed in plain English. This extends into a wider argument about communications, ensuring that we are using a range of media, including channels that positively encourage citizens to get involved.

Conclusion

7.23 Our brief called for an appraisal of some of the independent review panel’s recommendations. During the course of the study we discussed these proposals and identified other ideas. We have summarised what participants considered to be the most important ideas in the preceding pages, working within the organising framework of the three pathways to effective engagement.

7.24 The review panel made 6 specific recommendations. Recommendation 46 (on third party rights of appeal) has already been agreed by Ministers, and Recommendation 47 (on barriers to engagement) has led to this report. The response to the four other recommendations is summarised below:

- **Recommendation 43: Continuing commitment to early engagement in planning**

There was broad support for early engagement, although communities will still expect to engage with specific development management decisions. Consultees took the view that the use of social media, 3D visualisations should be a given, but some planning authorities have been very slow to seize the opportunities for better and more transparent communications.
- **Recommendation 44: Communities should be empowered to bring forward local place plans, which should form part of the development plan**

As discussed extensively in this report, these proposals commanded strong support. Community/third sector respondents favoured translating this recommendation into a “community right to plan”, and there was also strong support across the board for integrating community and spatial planning.
- **Recommendation 45: Community councils should be given a statutory right to be consulted on the development plan**

This recommendation commands support, but it needs to be addressed as part of the wider discussion on the community right to plan (see above).
- **Recommendation 48: A new statutory right for young people to be consulted on the development plan**

There was strong support for giving young people more opportunities to engage with the planning system, although it was not clear why they (rather than other seldom-heard groups) should be granted statutory rights.

yellow book
 Nick Wright Planning
 Scottish Community Development Centre
 Kraken Research

May 2017

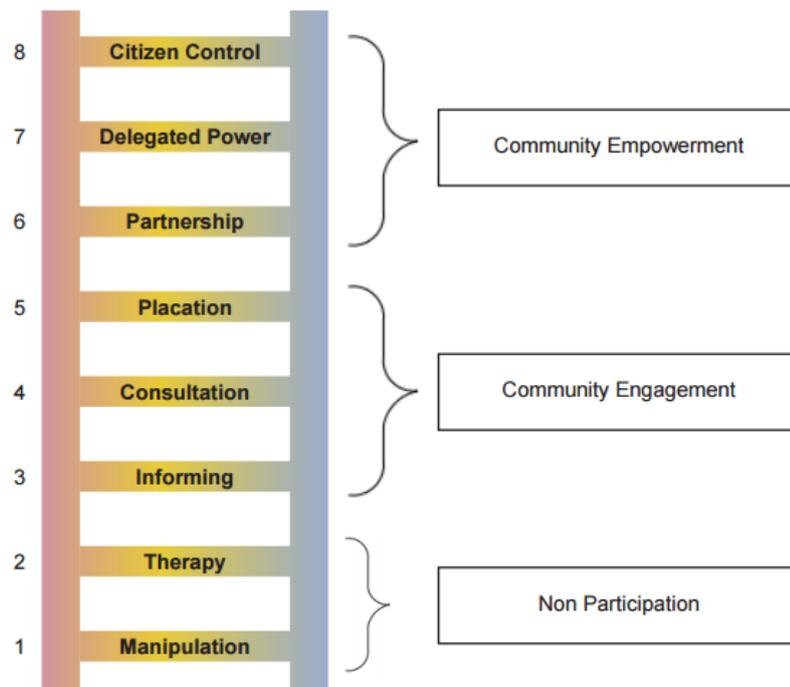
ANNEX 1: LITERATURE REVIEW: FULL REPORT

1. A comprehensive literature review would be beyond the scope of the present study, but it was agreed that a selective review of relevant and readily-accessible sources would help to provide context for the study. What follows is a review of a selection of academic and other research studies, together with a number of good practice guides for practitioners. It is structured around three broad themes:
 - defining community engagement
 - principles and good practice, and
 - engaging with seldom-heard groups.
2. Arnstein (1969) continues to be one of the most cited sources in the academic and policy discourse around citizen participation and engagement. Her **ladder of citizen participation** is referenced in the Scottish Government's Better Community Engagement Programme, and in many of the other sources discussed here. There are direct echoes of Arnstein's influential paper in the language of the independent review (Empowering Planning, 2016).
3. The ladder, which has **eight rungs**, is shown in Figure 1 overleaf. At the lowest level (rungs 1 and 2) the "real objective is not to enable people to participate in planning, but to enable powerholders to 'educate' or 'cure' the participants". Rungs 3-5 represent greater or lesser degrees of "tokenism". The upper levels (rungs 6-8) reflect "increasing degrees of decision-making clout":
 - partnership (6) enables citizens to negotiate with traditional power holders
 - at levels (7) delegated power and (8) citizen control, "citizens obtain the majority of decision-making seats, or full managerial power".
4. Arnstein describes the "**roadblocks**" to genuine participation, which may include power-holders' "racism, paternalism, and resistance to power distribution", the weakness of the socioeconomic infrastructure in poor communities, as well as a sense of "futility, alienation, and distrust". These barriers to engagement are discussed in more detail in the following pages.
5. Although Arnstein is an advocate of higher levels of participation, other sources discussed in this paper stress that both governments/public authorities and communities need to agree **what level of engagement** they are seeking and to plan and act accordingly. The main report discusses the problems caused when there is a mismatch between the

official rhetoric of engagement and empowerment and the experience, which is often of more limited forms of consultation and information-giving.

6. This debate is often framed in terms of the willingness of governments and, especially, planning authorities to actively promote and facilitate engagement. The implicit assumption is that there is strong demand for communities to be engaged in and exert real influence on, for example, “front-loaded” discussions on development plans or the production of “local place plans” but that councils and others are unable or unwilling to respond, preferring instead to “manage expectations” (Empowering Planning, 2016). Our survey shows that this view is widely shared, but we should also be aware that many people are either not interested in the planning process or unwilling to donate their time to engagement activities. The level of expressed and/or latent demand to engage in participation remains uncertain.

Figure 1: The ladder of citizen participation



Source: Arnstein (1969), adapted by ACRE/AMT

7. The Scottish Government has made a strong **commitment to community engagement**, arguing that:
“Scotland’s communities are a rich source of energy, creativity and talent. They are made up of people with rich and diverse backgrounds who each have something to contribute to making Scotland flourish. Central and local government needs to help communities to work together and release that potential to create a more prosperous and fairer Scotland.

“The Scottish Government is committed to our communities being supported to do things for themselves – community empowerment – and to people having their voices heard in the planning and delivery of services - community engagement and participation”.³

8. This statement is consistent with the arguments advanced by the OECD (2001) which states that “public engagement is **a condition for effective governance**”:

“Governments...face hard trade-offs, such as responding to rising demands for better quality public services despite tight budgets. They need to work with their own citizens and other stakeholders to find solutions. At the same time, more educated, well-informed and less deferential citizens are judging their governments on their “democratic performance” (the degree to which government decision-making processes live up to democratic principles) and their “policy performance” (their ability to deliver tangible positive outcomes for society).

“Open and inclusive policy making is most often promoted as a means of improving democratic performance. For good reason too, as it enhances transparency and accountability, public participation and builds civic capacity. Yet open and inclusive policy making can do much more. It offers a way for governments to improve their policy performance by working with citizens, civil society organisations (CSOs), businesses and other stakeholders to deliver concrete improvements in policy outcomes and the quality of public services”.

9. The OECD sets out 10 principles of **open and inclusive governance and policy making** (Figure 2).

Figure 2: Principles of open and inclusive governance

Principle	Description
Commitment	Leadership and commitment to open and inclusive policy-making at all levels
Rights	Citizens’ rights to information, consultation and participation in policy making and service delivery must be grounded in law or policy
Clarity	Objectives for – and limits to – information, consultation and participation must be well-defined from the outset
Time	Engagement should take place as early as possible to allow a greater range of solutions to emerge. Make time for consultation and participation
Inclusion	All citizens to have equal opportunities to participate using multiple channels; engage with as wide a variety of people as possible
Resources	Adequate financial, human and technical resources are needed for effective information, consultation and participation. Guidance, training and organisational culture are key
Coordination	Coordinate engagement activity to avoid consultation fatigue, and leverage knowledge networks and communities of practice
Accountability	Governments have an obligation to inform participants how they use inputs received through engagement
Evaluation	Governments must evaluate demand, capacity, culture and tools

³

www.gov.scot/Topics/People/engage

	for public participation
Active citizenship	Societies benefit from an active civic society

Source: OECD

10. A literature review commissioned by the Scottish Government echoes the OECD by describing the benefits of citizen participation in the policy development process from a **public value** perspective, showing how it “can contribute to the process of ‘authorising’ and legitimising what public managers do, establishing priorities and decision making, and measuring the performance of public organisations” (Scottish Government, 2008). The review finds that the evidence on demand to participate in the design and delivery of public services was “mixed”, but that key enablers of participation included “the capacity and resources of the public, social capital and the attitudes of political, managerial and civil society leaders”.

11. Public participation can deliver “demonstrable benefits” to organisations and citizens: at best, the “process generates trust and fosters greater organisational transparency and accountability”. The main **barriers to participation** are identified as:
 - a lack of clarity of purpose
 - inconsistent use of terminology
 - participation overload
 - difficulties in getting organisational backing
 - accountability issues.

12. The review also addresses the challenge of engaging with “hard to reach” groups. It states that simple steps like holding meetings in places and at times that suit participants can make a difference. Careful consideration needs to be given to **promoting equality** by providing “appropriate resources and support” and being transparent about the participatory process. Organisations need to make engagement processes integral to their routine operations.

13. Public sector managers need to be clear about *when* in the policy-making process the public should be engaged – and for *what purpose*. The review identifies the following “principles of good practice”:
 - having a clear and realistic role and remit
 - ensuring that adequate resources are available
 - supporting the project with management and evaluation
 - building on experience
 - linking the project to the wider policy context
 - building in long-term sustainability.

14. The review concludes that public participation has “the **twin goals** of revitalising democracy and developing better, more efficient and more responsive public services”. But it won’t work by simply bolting on participation to existing processes: securing public value “demands a reconsideration of planning processes, the relationships between politicians and public managers and the creation of internal cultures that encourage all public servants to see the world from a citizens’ perspective”.
15. The Scottish Government’s *National Standards for Community Engagement* (Scottish Government, 2016) state that community engagement that is **effective, efficient and fair** will provide the foundation for shared decision-making, shared action and community-led action. The benefits of good community engagement include:
- the planning, development and delivery of public services is influenced by community needs
 - people who find it difficult to get involved can help to influence the decisions that affect their lives
 - the strengths and assets of communities and agencies are used to deal with the issues facing communities
 - new relationships between communities and the public sector build trust and make joint action possible
 - there is more influential community participation in community-led and community-based activities, the design and delivery of services, and policy, strategy and planning processes.
16. Nick Wates’ *Community Planning Handbook* (Wates, 2014) first appeared in 2000 and is one of the best known independent guides to community engagement in planning. Wates enumerates the potential benefits of getting “people involved in shaping their local surroundings” (Figure 3). This list is predicated on the belief that **everyone benefits from engagement**: it is a basic right, but it also encourages locals to respond positively to ideas and proposals.

Figure 3: Potential benefits of community engagement

Benefits	Description
1. Additional resources	Local people can supplement overstretched government resources
2. Better decisions	Local people are the best source of knowledge and wisdom about their area
3. Building community	Working and achieving together builds a sense of community
4. Compliance with legislation	Community involvement is often a statutory requirement
5. Democratic credibility	People have a right to participate in decisions that

	affect their lives
6. Easier access to funding	Many grant-giving bodies expect to see evidence of community involvement
7. Empowerment	Involvement builds people's capabilities, skills and ability to cooperate
8. More appropriate results	Proposals can be tested and refined producing solutions in tune with what is needed and wanted
9. Professional education	Professionals gain an insight into the communities they serve, producing better results
10. Responsive environment	The environment can be constantly refined to cater for people's changing needs
11. Satisfying public demand	People want to be involved - and they usually enjoy it
12. Speedier development	People understand the available options better and are more likely to think positively than negatively
13. Sustainability	People will manage and maintain an environment they have helped to create, reducing vandalism and neglect

Source: Based on Wates, 2014

Figure 4: Participation matrix

		Project stages			
		Initiate	Plan	Implement	Maintain
Level of community involvement	Self help Community control	Community initiates action	Community plans alone	Community implements alone	Community maintains alone
	Partnership Shared working and decision making	Authorities and community jointly initiate	Authorities and community jointly plan/design	Authorities and community jointly implement	Authorities and community jointly maintain
	Consultation Authorities ask communities for opinions	Authorities initiate after consulting community	Authorities plan after consulting community	Authorities implement with community consultation	Authorities maintain with community consultation
	Information One-way flow of information. Public relations	Authorities initiate action	Authorities plan and design alone	Authorities implement alone	Authorities maintain alone

Source: Wates (2014)

17. Wates recasts Arnstein's model in the form of a **participation matrix** which captures (a) the *level* of community involvement and, (b) four *stages* in the planning process: initiation, planning, implementing and maintaining (Figure 4). Community planning operates in the areas shaded green. The matrix acknowledges that different levels of

engagement all have their place, but Wates is a strong advocate of partnership and self-help approaches.

18. The US-based research institute Policy Link argues that community engagement is much more than a set of activities or techniques: “it is **a way of communication, decision making and governance** that gives community members the power to own the change they want to see, leading to equitable outcomes” (Policy Link, 2012). It is guided by five key principles:
 - honour the wisdom, voice and experience of residents
 - treat participants with integrity and respect
 - be transparent about motives and power dynamics
 - share decision making and leadership
 - engage in continuous reflection and be willing to change course.

19. The likely benefits of engagement include:
 - legitimacy and support for plans and projects
 - improved community/government relations
 - deeper understanding of the issues
 - an increase in community capacity
 - reduced long-term costs through better conflict resolution
 - democracy in action: residents connecting to and shaping decision making.

20. The community engagement handbook published by the New South Wales government in 2003 was a pioneering effort: a comprehensive guide to theory and practice complemented by a dedicated website (Planning NSW, 2003). It addresses the **challenges of engagement** in the planning process, acknowledging that it may “involve competition and confrontation as it impacts on the value of land and quality of life, and is often the intersection between public and private sector interests”. Achieving “universal consensus” may be difficult, but “early engagement with the community in both plan making and development assessment offers considerable benefits for all parties involved. It can ensure better planning outcomes..., increasing the integrity and quality of decisions”.

21. The NSW handbook was prepared in collaboration with the International Association for Public Participation (IAP₂), and it cites IAP₂'s **five categories of engagement** and the commitment to the public that is associated with each category (Figure 5). This is another modern variant of the Arnstein ladder of participation.

Figure 5: Levels of public engagement



INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
Objective	Objective	Objective	Objective	Objective
Provide balanced and objective information to assist the public in understanding the problem, alternatives and solutions	To obtain public feedback on analysis, alternatives and decisions	To work directly with the public to ensure that public and private concerns are consistently understood and considered	To partner with the public in the development of alternatives and identification of the preferred solution	To place final decision making in the hands of the public
Promise to the public	Promise to the public	Promise to the public	Promise to the public	Promise to the public
We will keep you informed	We will keep you informed, listen to and acknowledge your concerns, and provide feedback on how public input influenced the decision	We will work with you to ensure that your issues and concerns are directly reflected in the alternatives, and provide feedback on how public input influenced the decision	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations to the maximum extent possible.	To place final decision making in the hands of the public

Source: Planning NSW (2003)

22. Planning NSW warns that “community engagement is **not a magic wand** that can be waved to make all parties happy”. Unless government acts in good faith and fully engages with communities the process may be perceived to be “cynical and manipulative” or as “tokenism, responding to dominant voices and ignoring the broader community, as a means of co-opting groups or defusing opposition, as falsely raising public expectations, or as substitutes for good government and sound policy making”. For these reasons, it is vitally important that everyone involved in any engagement process should have “a realistic understanding of the policy and decision making process..., the range of possible outcomes and “the limits of the community’s influence”. If these guiding principles are observed, all parties – communities, developers and government – will benefit.
23. Manzo and Perkins (2006) address the question of **motivation** for citizens to participate in the planning process, arguing that “the community planning literature emphasises participation and empowerment, but overlooks emotional connections to place”. They cite an earlier study which “found that place attachments and sense of community play a significant role in neighbourhood revitalisation efforts”. When people have strong psychological ties to their community they are more likely to improve their own homes or “work with their neighbours and local agencies to improve the whole neighbourhood”. Place attachment is “a source of community power and collective action”.
24. Understanding the importance of shared identity and attachment is an essential element of community planning and development efforts. Manzo and Perkins cite an example from Seattle:
 “...an examination of the meanings that residents and community leaders attached to places within the district...revealed the motivations behind different stakeholder reactions to the ongoing neighbourhood planning process. For

some, proposed changes...signified an erasure of their particular cultural history and identity, and they consequently resisted the neighbourhood plan. However, once these place meanings were acknowledged and discussed, community leaders and planners made more concerted efforts to include the concerns of different stakeholders and incorporate strategies that acknowledged those attachments. Competition among different ethnic groups for sociospatial expression greatly lessened as each group's role and heritage was acknowledged and incorporated into the plan. This led to greater agreement on the neighbourhood plan and a more satisfactory process for all".

25. Manzo and Perkins conclude that community engagement processes need to **connect the direct, lived experience of a particular place with an understanding of the larger, socio-economic forces** that are shaping all places. The planning process is inherently contentious and conflicts are inevitable, but they can be mitigated by consensus building processes:
"...long-term, face-to-face discussions to seek agreement on strategies, plans, policies, and actions. Consensus building...discourages people from taking hard-line positions while exploring assumptions and constraints. It acknowledges that different people have different points of view and do not always come easily to agreement.
26. Manzo and Perkins also discuss the importance of **social capital**: "the extent and effectiveness of formal and informal human networks, as well as the impact of social ties on opportunities". The authors challenge the notion that social capital is necessarily "a product of wealth and demography", arguing that "there is substantial evidence of citizen participation, informal neighbouring, and other bases of social capital across a wide range of demographics, including socioeconomic status":
"...there is ample evidence that place-based community is alive and well, and that social capital is thriving. Its existence is evident in both well-functioning communities and in those that face problems when people pool their resources and fight for their communities".
27. The study cites research on the creation of social capital in places where there is tension between the wishes of long-standing residents of an area and recent incomers. They have different perspectives but also complementary skills, and community planning needs to focus on their **shared connection** – "the valuing of this community as a place to live":
"This can be the foundation of conflict resolution and consensus building...when the focus is on social capital and the value of fellow community members, conflicts can be effectively dismantled and the circumstances facing a community can be redefined in a more positive light".
28. The authors present a framework that combines place attachment and social capital to examine how people as individuals interpret and interact

with their community (Figure 6). Empowerment – “a mechanism by which **people, organisations and communities gain mastery over their affairs**” – is the result of connecting place attachment, social capital and action: “social power is built on the strength of interpersonal relationships among those working to a common goal”.

Figure 6: The dimensions of place attachment and social capital

	Place	Social
COGNITIVE	Place identity	Community identity
AFFECTIVE	Place attachment	Sense of community
BEHAVIOURAL	Participation: neighbourhood planning/improvement	Neighbourly activities and celebrations

Source: Based on Manzo and Perkins (2006)

29. Manzo and Perkins conclude that “place attachments, place identity, sense of community, and social capital are all critical parts of...the **development of community** in all its physical, social, political and economic aspects”:

“...affective bonds to places can help inspire action because people are motivated to seek, stay in, protect, and improve places that are meaningful to them. Consequently, place attachment, place identity, and sense of community can provide a greater understanding of how neighbourhood spaces can motivate ordinary residents to act collectively to preserve, protect, or improve their community and participate in local planning processes...[and] the literature suggests that processes of collective action work better when emotional ties to places and their inhabitants are cultivated”.

30. Some of these themes are developed by Foth, Klæbe and Hearn (2008) who argue that urban development strategies are too often limited to the built environment. As a result, “urban planners are turning to the social sciences, arts and humanities...to achieve socially sustainable developments”. Within this context, the authors focus on the role of **narrative** in community engagement. Narrative offers a better way of “connecting with real identities and the goals of the host community...[helping] to reawaken poetic and emotional connection to place...[so that] community narratives...can be integrated into current and future practices to value and embed the depth and meaning of people’s experiences into the systems and processes of...city planning,

development and policy making”. For this reason “there is a growing movement amongst urban planners to utilise creative community narratives in the process of urban planning”.

31. The authors see this trend reflected in living online archives and similar projects which are evidence of “the embedding of creativity as an enabler across society”, and tools for the co-creation of cities by planners and communities. This is “**the art of city making**” and Foth, Klæbe and Hearn cite Landry’s argument that “history and creativity can be great partners, producing difference from sameness, and originality out of imitation, so as to avoid a ‘geography of blandness””.
32. A report by Demos (2007) highlights the pivotal role of planners in securing better place outcomes. It argues that, while “place professions” such as architecture and urban design are considered to be creative occupations, “the planner is too often *perceived* as a bureaucrat, a blockage rather than a catalyst”. But the complex relationships between the private sector, citizens and the public sector “demand **skilful and dynamic planners**”. The report describes the tension between political pressures to “speed up the planning process” and growing expectations that local communities should influence policy. The views expressed by communities may be at odds with the broader public interest, so that planners find themselves “caught in the middle of an ideological struggle between historic notions of private and public interest”.
33. The Demos report (supported by the Royal Town Planning Institute and the Royal Incorporation of Chartered Surveyors among others) argues that the core purpose of planning is **public value** – “the achievement of democratically legitimate sustainable development...integrating environmental sustainability and social justice with economic growth”.
34. The report reflects on some of the **complexities of community engagement** in a society where people no longer “‘belong’ to a single definable space”:
“For example, ‘globalised’ identities, of communities in the UK that strongly identify with their roots, perforate the geographic boundaries of belonging. As we become connected to more and different groups of people our social networks increasingly stretch across the world, meaning a place is often a container for diverse cultural identities and values.
“At the same time, people are increasingly living and working in different areas...People have significant interests in the places where they socialise, work and live. Yet still the *residential* based democratic model is given far more legitimacy in relation to the future of our cities and neighbourhoods than other forms of democratic expression. This tends to exclude a variety of groups and

individuals who have legitimate interest in places other than where their homes are located; employees and businesses, to take one example”.

35. These changes mean that planners face “**three significant challenges**”:
- a proliferation of ways to express values and opinions
 - a mix of people and cultural identities who have significant links beyond where they live
 - the complex relationships people now have with places and spaces.
36. Because “local and public values don’t coincide in the same way as they used to...it becomes more difficult to connect the immediate experience of our built and natural environment to wider interests”. It is increasingly difficult to **reconcile local goods with public value**. How, for example, can a local engagement process address an issue such as climate change or the provision on national infrastructure?
37. The pace and unpredictability of economic and societal change means that “plans’ rarely survive first contact as the ground shifts under the planner’s feet...a static master-plan no longer makes sense in a world focused on networks, knowledge and creativity because so much of what happens is spontaneous, opportunistic and outside of formal control”. The search for “an appropriately inclusive model of planning” will mean taking action to tackle “**four planning deficits**”:
- the **democratic** deficit: broadening the channels through which people can influence planning
 - the **skills** deficit: recruiting and retaining planners with the right skills and ability to innovate
 - **empowerment** deficit: establishing processes that reflect the real-time and opportunistic nature of innovation and planning
 - **public value** deficit: finding democratic ways to mediate between local value and public value.
38. In describing the “**future planners**” of the report title, Demos argue that they will be “more engaged, ethically conscious and focused on public value...moral agents whose work depends upon public trust for its success...To be an independent agent of public value, the planner needs an open, collaborative model of expertise. They increasingly need to ‘listen differently’, with a willingness to let the public ask difficult and challenging questions”. Flowing from this analysis, the report identifies four **future roles** for planners:
- the planner as **enabler**: helping people to express their aspirations and to make them a reality

- the **scenario planner**: using scenarios to identify the forces that will shape future development and to work towards a preferred future
 - the **provocateur**: questioning assumptions and offering alternative perspectives
 - the planner as **judge**: arbitrating between individual, local and public value.
39. The Demos report concludes by identifying changes needed to address these challenges and opportunities. Proposals relevant to our brief include “**building citizen awareness and engagement** in...their local environment – regardless of whether they work, live or play there”. This may involve:
- collective visioning, using innovative technologies and other techniques
 - better communication and education
 - earmarking independent resources to fund participation and buy in expert help
 - citizen planning juries.
40. Cropley & Phibbs (2013) argue that there are **two major groups of non-participants** in public engagement:
- people who are **willing but unable** to participate because of:
 - cultural or language barriers
 - geographical distance
 - disability
 - socio-economic status
 - lack of ICT/other resources
 - people who are **able but unwilling** to participate because they:
 - are not interested in the issues
 - do not have the time
 - see no personal benefit or relevance
 - think someone else will look after their interests
 - do not trust government to make good use of their input.
41. This is not entirely convincing. It implies that the former category (a proxy for the seldom-heard) would all be willing to participate if only these barriers were removed. It is more likely that the first group is divided between the “willing but unable” and the “unable and unwilling”, with the latter group in the majority.
42. The authors cite the OECD and others on the **challenges that public engagement present for governments**, including how to:

- design cost effective and useful consultation and engagement initiatives
 - make public policy more interesting and relevant to more people
 - earn and keep people's trust that their input will actually be used
 - address the problem of engaging with the "time poor"
 - demonstrate the benefits to the individual more clearly
 - provide the resources to mount effective public engagement exercises
 - help the public understand planning issues
 - help people to focus on regional issues as well as local priorities.
43. Gosman & Botchwey (2013) describe how it has become "**a generally accepted expectation**" that planners will engage with communities in the planning process. Engagement gives stakeholders opportunities "to voice opinions and reconcile competing perspectives", and it helps to avoid "the confusion and setbacks that occur when decision leaders are blindsided by unexpected public opposition after the planning process is complete". Citing Arnstein, the authors state that what is described as community engagement often turns out to be little more than one-way information-giving or (quoting Wadsworth) "a sales effort designed to convince others to believe as the experts do". In fact, it should mean "the meaningful, active involvement of key stakeholders in the decision-making process as it relates to real outcomes".
44. In a review of earlier academic studies Gosman & Botchwey note that the benefits of engagement are often expressed in terms of bringing people together and building community ties, but that empirical evidence of the success of citizen participation is in short supply. At the same time, they cite studies which suggest, among other things, that **participation is often linked to higher socioeconomic status and educational qualifications** rather than a representative cross-section of the community. Engagement may even "highlight feelings of inadequacy in would-be participants...[who] may not feel qualified to participate and know that they cannot compete with the professional planner in terms of knowledge". Professionals, for their part, may be reluctant to engage with communities: on all sides there is a climate of mistrust.
45. Gosman & Botchwey spoke to planners, developers and third sector employees in Atlanta, Georgia, to explore the challenges of achieving **effective community engagement**. They identified 5 key factors (Figure 7):

Figure 7: Challenges to community engagement

<p>Challenge 1: Public perceptions A history of failed projects and plans not followed through has made people cynical. They assume the project won't go anywhere. Residents in disadvantaged areas "have their guard up", and there is a lack of trust. Planners need "personality" and "attitude" to overcome these barriers, but not everyone is cut out to do it.</p>
<p>Challenge 2: Event logistics It is hard to "entice" people to devote time to an issue outside work and family. There is a big emphasis on running events at convenient times, but very hard to find times that suit everyone. Offering childcare and other facilities can help but it is costly. Planners need to go out into the community.</p>
<p>Challenge 3: Participation structure Planners need to tailor their approach to meet the needs of different groups, manage expectations and keep people engaged over time. Planning is a long-term business but disadvantaged communities have needs that need to be addressed in the short-term.</p>
<p>Challenge 4: Technology Social media and mobile applications are powerful tools for community outreach and participation, but there is a big issue around access to technology, especially for older people and low-income groups.</p>
<p>Challenge 5: Evaluating success Defining success is a "primary challenge" for planners. Three key measures are proposed: (1) Public satisfaction, (2) A better final product, and (3) Community Empowerment</p>

Source: Gosman & Botchwey (2013)

46. Gosman & Botchwey identified the **attitudes** of individual planners as a key factor. They identified 3 groups:
- box-tickers who conduct community outreach only because it is required and do the bare minimum
 - those who recognise the importance of engagement without being particularly committed to it
 - those who are genuinely excited and motivated by the engagement process.
47. A report published by the UK Department of Communities and Local Government (CLG, 2006) was published to coincide with and inform a series of reforms to the planning system in England, but the authors stress that the basic principles had long been recognised as **good practice**. The principles are summarised in Figure 8.

Figure 8: Guiding principles for successful participation

<p>The importance of inclusiveness Try to reach everyone including hard-to-reach, under-represented groups. Aim for representativeness and be aware of self-appointed individuals. Use innovative techniques and target your approach</p>	<p>Linkage to democratic processes To avoid accusations of democratic deficit, involve local elected members and make use of area committees</p>
<p>Managing expectations Be clear about what's possible and the constraints on the exercise. This is vital for interest and motivation.</p>	<p>Balancing conflicting views through strength and depth Work towards agreement and consensus</p>
<p>Avoiding participation fatigue Try to coordinate events and publications so that people aren't overwhelmed</p>	<p>Effective use of available resources The level of participation should reflect the available resources, or additional resources should be secured</p>
<p>Transparency and communication Identify the information to be provided, and make sure it is in clear, concise language, translated where necessary. Provide detailed feedback.</p>	<p>Reskilling and retraining for all Councils need to develop in-house capacity for participation and engagement, offering training where necessary</p>
<p>Avoiding predetermined outcomes True involvement is about influencing the process not just information. Don't invite people to participate if the decision has already been made</p>	<p>Thinking in different ways Use innovative and creative methods to challenge entrenched positions</p>
<p>Participation is core business – it is a central part of the plan process, not an aside or an add-on</p>	<p>Balancing speed and inclusivity Deal with the complaint that plan preparation takes too long but that time for engagement is limited</p>
<p>Joined up participation strategies Link participation events to other engagement processes to avoid duplication of effort</p>	

Source: CLG (2006)

48. The UK Coalition Government's 2012 Localism Act introduced **neighbourhood planning** which is cited by the independent review as a possible model for local place plans. Action with Communities in Rural England (ACRE) and Action for Market Towns (AMT) jointly published a best practice guide for local authorities preparing for neighbourhood planning and other aspects of the localism agenda. The guide aims to show how "[w]orking alongside independent local facilitators...local authorities can play a vital role in making sure that communities are equipped with the information, resources and confidence that they need to produce high quality plans..." (ACRE/AMT, 2011). A later policy statement by ACRE argued that neighbourhood plans should be "simplified and...seen part of a wider, more inclusive approach to community planning" (ACRE, 2014).
49. Research carried out by the University of Reading on the experience of **neighbourhood planning** in England provides useful insights into the experience of those who have participated either in developing a

Neighbourhood Plan or a Neighbourhood Development Order/Community Right to Build Order (Locality, 2014). The research, which drew on feedback from focus groups and an online survey, concluded that the primary motivation of participants was “to have some control over development in their area”, and that some groups were motivated by resentment of previous policies and planning decisions.

50. The availability of funding had enabled a variety of neighbourhoods to engage with planning, and most (but by no means all) groups stated that the local authority had been supportive. A number of people called for a **memorandum of understanding** or similar protocol setting out the roles, responsibilities and mutual obligations of councils and neighbourhood planning groups. A clear process with agreed deadlines was considered to be very important, as was the role of a “critical friend” in ensuring that work stayed on track. Most groups reported that they had “underestimated the scale, complexity and time need to produce their neighbourhood plans”, and many had used consultants in a variety of roles, especially to produce technical reports.
51. The consultations generated many ideas and **suggestions for improvement**, including:
- clearer guidance, especially in relation to community engagement and technical aspects such as planning policy and environmental assessments
 - examples of lessons learned and good practice
 - consistency during the examination stage
 - active promotion of peer learning, mentors etc
 - advice and support for the implementation stage
 - improved project planning including templates for key tasks/stages.
52. A key conclusion was that, while community planning is ostensibly a community-led process, in practice it works best when the plan is a **co-production** between a broad range of community representatives, local authorities and other stakeholders:
- “...the notion of co-production is not necessarily new but it provides a lens through which to consider how best to organise neighbourhood planning in the future; ie, what structures are most effective to help shape the thinking around the design and allocation of policy tools and resources... For example the points made regarding the memorandum of understanding...reflect a concern to try and create a semi-formal ‘contract’ between the parties who need to be involved...Project planning, mentoring and effective resourcing at local authority level, and the targeting of support based on need and capacity should also feature in future thinking about neighbourhood planning”.

53. A report by the EU-funded CH4LLENGE project (2013) focuses on urban mobility planning but it provides a useful and up-to-date commentary on the challenge of promoting **participation**. Noting that transport, like other forms of planning, “is a frequently controversial area with highly debated decisions that also require, in the light of democratisation of politics, public acceptance”, the report argues that “the involvement of stakeholders and citizens can legitimise decisions and...lead to new, innovative governance models balancing different positions and interests”.
54. The authors cite the political scientist Archon Fung who poses **three key questions** relating to the level of citizen participation:
- *who* should be involved – or have the opportunity to be involved – given the purpose of participation?
 - *what* is the method of communication and decision-making?
 - *how much* influence and authority should citizens and stakeholders have?
55. They also quote research (published in German) by Juliane Krause who defines the five key benefits of participation in planning:
- it makes decision-making processes more transparent
 - it raises mutual understanding between citizens and administrations
 - it captures ideas, concerns and everyday knowledge
 - it increases and develops knowledge, and
 - it enhances the acceptability of planning processes.
56. The CH4LLENGE report enumerates some of the principal barriers to citizen participation and stakeholder engagement and suggested responses (Figure 9):

Figure 9: Barriers to participation and engagement in planning

Barriers	Strategies to overcome barriers
The aim and purpose of participation is unclear	Determine (a) who should be involved, (b) what form of participation is appropriate, (c) when to involve people
Accessibility because (a) the venue cannot be physically accessed by some people, or (b) the information provided cannot be clearly understood	Consider (a) the timing of events, childcare provision, wheelchair access and transport, (b) how events are publicised, how material is distributed, jargon-free language, braille and large-print formats, translation into other languages
Public reluctance to engage because of (a) a lack of trust in participation, (b) lack of free time, (c) lack of confidence that they will be listened to, (d) a feeling that decision-making processes are opaque.	No simple answers, but it is probable that people will respond positively if they believe that the issues being discussed are relevant, if the process is transparent and worthy of trust.

Institutional barriers such as (a) limited resources for participation, and (b) organisational cultures that place a low priority on engagement.	Public bodies must demonstrate a willingness to trust the public and take the results of participation seriously.
People are aware that there is a limit to what participation can achieve , and they think that inappropriate claims are made for public support	Be clear about the scope of participation and how much influence it might have. Avoid claims that participation – or the views expressed - is representative of the wider public.
Dissatisfaction with the terms of reference , especially when members of the public are denied the opportunity to set their own agenda.	Make sure that all stakeholders and groups are involved so that no one feels left out. Communicate regularly to discuss the scope and potential influence of the participation process.

Source: CHALLENGE

57. The RIBA's 2011 *Guide to Localism* notes that, for decades, "many architects have used **community engagement and collaborative design** techniques as a crucial part of the design process" (RIBA, 2011). The *Guide* warns that, too often, "lip service is paid to community engagement, which is uncritically accepted as 'good for you'". In practice, involvement ranges "from token consultation to full community control over decisions". It argues that "[i]f communities cannot see the impact of their involvement on final outcomes, than community engagement can be an 'empty and frustrating process for the powerless' [Arnstein] and people feel that their contributions are falling on deaf ears". The inevitable results are apathy and consultation fatigue, with consultation events becoming what Arnstein calls "a window-dressing ritual": powerholders going through the motions of consultation, but with "no assurance that community concerns and ideas will be taken into account".
58. The key message for architects (and, by extension, planners and others) is that "successful and meaningful engagement depends upon handing over some element of power to local communities, so that they can have a real say in the decision-making process and, therefore, design outcomes. Underpinning this is **the notion of trust**. "People become acutely aware of the difference between manipulation and participation; they know when they are unlikely to get what they want out of process and once trust is lost it can be very difficult to regain". The *Guide* summarises the reasons why people should be involved in the design process:
- to create a robust brief/vision based on local knowledge and expertise
 - to reflect on what the building/site is for
 - to bring together people with different views to explore options and solutions, and avoid future conflicts

- to create a sense of belonging and ownership
- to raise aspirations while remaining achievable
- to educate people about the design and development process
- to develop mutual learning
- to create an environment that is responsive to social and environmental change

59. A report by Steven Tolson on **community-led planning** in Scotland highlights the wide range of recent practice, with plans falling into 3 broad categories (Tolson, 2016):

- **locally-initiated and locally-developed** plans, “wholly ‘owned’ by local people”
- **externally-initiated but locally-developed** plans, where the sense of community ownership is determined by the approach and engagement skills of the commissioning body
- **externally-initiated and externally-developed** plans, where there is little expectation of community ownership.

60. Tolson identifies 14 key lessons from his research (Figure 10):

Figure 10: Community-led plans in Scotland: key findings

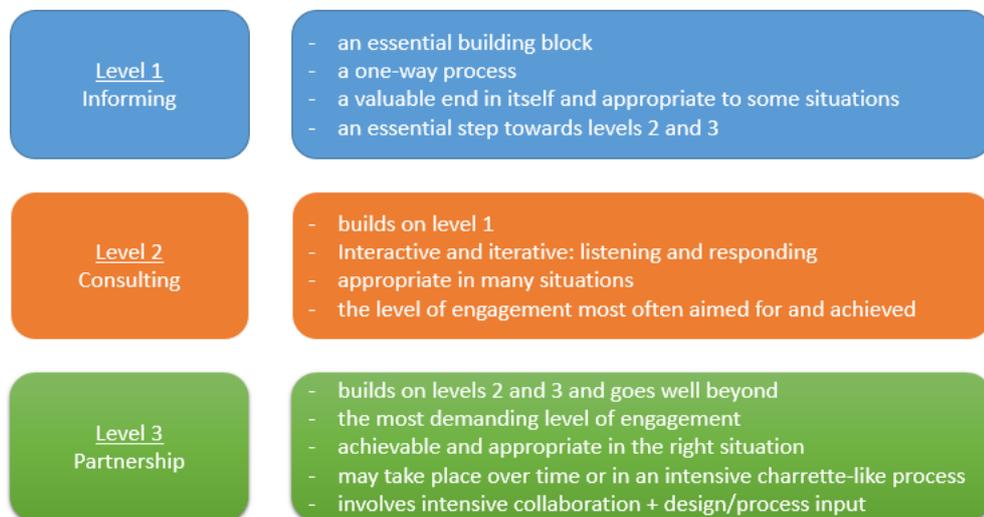
1. Community-led plans are central to the community empowerment agenda , and the Government’s vision of communities playing a key role in the design and delivery of services and controlling local assets
2. Community-led plans need to be better connected to the statutory planning system - there is some good practice but many communities feel that their plans are not reflected in policy or public sector support
3. Confusion around planning terminology needs to be resolved because it causes confusion among communities, the public sector and stakeholders
4. Community-led plans contribute to renewing local democracy by bringing people together and encouraging participation
5. Many communities require facilitation and capacity to produce effective plans , and the growing body of knowledge and experience needs to be harnessed
6. Production of community-led plans has resource implications for the public sector and the process requires appropriate support
7. Community-led plans need active support from external stakeholders and they need to be championed in the community planning/spatial planning systems
8. Community-led plans must lead to action to build on the time and energy invested in them and build momentum
9. Leading the process : the presence of an effective community council or some other community anchor organisation is vital
10. More than a plan : the process of developing a community-led plan can draw the community together and build local capacity
11. Success breeds success : neighbouring communities can be inspired too
12. Local by default can challenge the prevailing obsession with scale – by focusing on small scale, economic development, heritage and tourism community-led plans can impact on regional priorities
13. Funding for implementation has to look beyond grants – focusing on more creative and radical ways to implement plans

14. External support, partnership and capacity building are essential –
community-led plans will not be effective in isolation.

Source: Tolson, 2016

61. There are numerous sources of **practical guidance on community engagement**, including a number produced in Scotland. PAS (2015) has developed *SP=EED*, a proprietary toolkit that comprises a free to use manual and a 2-part training programme, *SP=EED Verification*. The manual “can be used to guide the engagement process for planning authority, developer or community-led plans or proposals, or it can assist community groups or members of the public in suggesting to planning authorities and developers how they would like to be consulted”.
62. The guidance stresses that different approaches will be required for different situations, with planners and others able to choose from **three levels of engagement**: informing, consulting and partnership (Figure 11).

Figure 11: Levels of community engagement



Source: PAS (2015)

63. The manual goes on to identify eight criteria for effective engagement, and offers guidance in the form of objectives (“what to aim for”) and practical advice (“how can you achieve it?”) for each level (Figure 12).

Figure 12: Criteria for effective engagement

1	Transparency and integrity	5	Responsiveness
2	Coordination	6	Inclusiveness
3	Information	7	Monitoring and evaluation
4	Appropriateness	8	Learning and sharing

Source: PAS (2015)

64. *SP=EED* is designed to be compatible with the Scottish Government’s **National Standards for Community Engagement**, updated in 2016 (Scottish Government, 2016). There are seven standards, which are summarised in the wheel diagram (Figure 13).

Figure 13: National Standards for Community Engagement



Source: Scottish Government (2016)

65. The standards, which are intended to apply across the spectrum of engagement activity, are accompanied by **indicators of progress** (Fig 14) and by good practice case studies.

Figure 14: The National Standards – indicators of success

INCLUSION: We will identify and involve the people and organisations affected by the focus of engagement

- The people and groups affected will be involved at the earliest opportunity
- Involve protected and excluded groups
- Commitment to continuing two-way communications
- Value a wide range of opinions, including minority and opposing views

SUPPORT: We will identify and overcome any barriers to participation

- Involve all participants in an assessment of support needs
- Remove or reduce practical barriers to participation
- Access to impartial and independent advice for groups involved in the process

PLANNING: There is a clear purpose for the engagement, based on a shared understanding of community needs and aspirations

- Involve people in defining the focus of the engagement process
- Have an agreed engagement plan
- Share and use all the available information
- Agree the outcomes of the engagement process and the indicators of success
- Work to realistic timescales
- Ensure that there are sufficient resources to support effective engagement

WORKING TOGETHER: We will work effectively together to achieve the aims of the engagement

- The roles and responsibilities of everyone involved are clear and understood
- Decision-making processes are agreed and followed

METHODS: We will use methods of engagement that are fit for purpose

- Methods are acceptable and accessible to participants
- A variety of methods to ensure a range of voices is heard
- Creative methods to encourage participation and dialogue

COMMUNICATION: We will communicate clearly and regularly with the people, organisations and communities affected by the engagement

- Information is clear, easy to access and understand
- Participants have access to all relevant information in appropriate formats
- Feedback is a true representation of all the views expressed

IMPACT: We will assess the impact of our engagement and use what we have learned to improve our future community engagement

- Outcomes have been achieved
- Decisions reflect the views of participants; outcomes and services improve
- People have improved their skills and confidence

66. Community Places (2014) has produced a *Community Planning Toolkit*, with a section devoted to community engagement. Community engagement is not – or should not be – a one-off event. It works best when it is planned and designed as “**an ongoing cumulative process**” which enables “relationships and trust to build and strengthen over time”. Everyone involved needs to be clear about the purpose of engagement, which might range from working together to develop a plan to the community delivering projects and services. Every community will include a range of **stakeholder interests**, all of which have a contribution to make to the engagement process (Figure 15):

Figure 15: Stakeholder interests

- 
- Local residents
 - Area-based groups
 - Communities of interest
 - Ethnic and cultural groups
 - Faith-based groups
 - Community and voluntary groups
 - Web-based/virtual groups

67. The toolkit identifies potential **barriers to engagement** as well as design responses to be considered (Figure 16):

Figure 16: Barriers to engagement – and how to respond

Potential barriers	Design issues to be considered
<ul style="list-style-type: none"> • Capacity and ability of different stakeholders to participate • Hard to reach groups such as young people, older people, minority groups and excluded groups • Weak community infrastructure • Rural isolation • Information gaps • Low levels of literacy and numeracy • Dominant oral culture 	<ul style="list-style-type: none"> • Engagement methods and techniques • Independent facilitation • Accessible venues • Number and type of events • Transport requirements • Childcare provision • Communications and publicity materials • Use of interpreters and signers • Outreach activities

Source: Community Places (2104)

68. The toolkit also stresses the importance of **matching process design to the available time and resources**. Engagement is resource intensive; it may require:

- inputs by staff, stakeholders and volunteers
- provision of background information and briefing papers
- independent facilitators
- publicity and promotions
- venue and equipment hire, transport, translation/signing services and childcare
- a printed report and feedback
- support for local community and voluntary groups.

69. Wates (2014) is not wedded to any specific form of engagement. Indeed, the greater part of his handbook is devoted to practical guidance for a range of community planning methods, together with illustrative scenarios showing how the methods might be applied in a variety of situations. But, whichever interventions are selected, Wates offer a long list of 58 “**general principles** which apply in most situations” (Figure 17).

Figure 17: General principles for community planning

The 58 principles	
Accept different agendas and different reasons for getting involved	Mixture of methods so that people can take part in a variety of ways
Accept limitations – you can’t solve the world’s problems but you can make improvements	Now is the right time – involve people from the outset
Accept varied commitment – everyone has their own priorities	Ongoing involvement is better than one-off consultations
Agree rules and boundaries between different interest groups	Personal initiative – don’t wait for others to act
Avoid jargon – it’s usually a	Plan your own process carefully:

smokescreen for incompetence, ignorance and arrogance	don't rush into a single approach
Be creative and don't be afraid to think outside the box	Plan for the local context and encourage regional and local diversity
Be honest , avoid hidden agendas and don't raise unrealistic expectations	Prepare properly and engage early
Be transparent – people should make their objectives and roles clear	Process is as important as product – but the aim is implementation
Be visionary yet realistic – balance utopian goals and practical options	Professional enablers – the job of professionals is to help locals achieve their goals
Build local capacity by developing human and social capital	Quality not quantity – there's no such thing as perfect participation
Communicate using all available media	Reach all sectors including the hard to reach
Consider disabilities and make sure no one is excluded from participation	Record and document – keep a record of who has been involved and how
Encourage collaboration by creating partnerships between interest groups	Respect cultural context and consider local attitudes and norms
Flexibility – modify the process if necessary	Respect local knowledge , perceptions, choices
Focus on attitudes and behaviour and encourage self-awareness	Shared control of the planning and design of engagement
Focus on existing interests and motivations of locals	Special interest groups have a vital role to play, representing current and future communities
Follow up: be sure to plan for documenting, publishing and acting on consultation	Spend money: cutting corners produces poor results
Go at the right pace: don't rush but don't allow drift	Tea and cake can entice people to engage in the process
Go for it: community planning requires a leap in the dark	Think on your feet and don't be constrained by rules or guidance
Go to the people where they are – don't expect them to come to you	Train people by encouraging visits and attendance on courses
Have fun	Translate when necessary and make sure people understand each other
Human scale – work in small areas and translate regional issues to a local scale	Trust in others' honesty will usually be reciprocated
Integrate with decision making	Use experts appropriately: embrace expertise but don't be over-dependent
Involve all those affected – don't allow people to sit on the sidelines	Use facilitators to orchestrate activities
Involve all sections of the community: think about age, gender, faiths and cultures	Use local talent before supplementing them with outside assistance
Learn from others – go and visit their projects	Use outsiders, but carefully: it's a balance
Local ownership of the process	Visualise ideas and information
Maintain momentum by monitoring progress	Walk before you run: it takes time
Make a difference – say how people <i>will</i> make a difference and how they <i>have</i> made a difference	Work on location: base community planning in the area being planned

Source: based on Wates, 2014

70. The RIBA *Guide* (RIBA, 2011) includes a summary of **the principles of successful community engagement**, “drawn from the practical and academic literature” (Figure 18) together with a number of case studies.

Figure 18: Principles of successful community engagement in architectural projects

Who to involve?

- people who use, visit, work in, govern, maintain, build and fund the project
- local resident bodies, local businesses and voluntary groups
- people who are too often left out of the design process including the young, the old, the less affluent, women, people with disabilities, BME and LGBT groups
- people who work in the area or visit regularly as shoppers/visitors

When to involve?

- draw up an involvement plan at the start of the process
- involve people at an early stage to collaborate on the brief and vision
- continue involvement as the design evolves and take on board suggested changes
- carry out a post-occupancy evaluation

How to involve?

- set clear objectives for engagement and establish a transparent process
- set aside appropriate time and resources
- make sure there are clear benefits from taking part
- let participants set the ground rules for engagement
- raise awareness of opportunities and acknowledge challenges and limitations
- raise knowledge, skills and awareness
- use jargon-free language and simplify technical terms
- be a listener and guide discussion but don't offer definitive solutions
- recognise the importance of ordinary conversations and storytelling
- use a range of techniques to suit different groups and situations
- hold events in places where people feel comfortable and welcome
- provide a crèche and other support facilities
- hold events at different times of day and in different venues
- communicate in other ways (eg via social media) to reach people who don't attend events.

Source: RIBA

71. The US-based Policy Link (2012) also offers guidelines for **meaningful engagement**, especially with communities that have traditionally been marginalised or excluded. There is no shortage of information or best practice models, and tools for participation, including interactive web 2.0 platforms, are “ubiquitous”, but choosing the most appropriate techniques requires careful consideration of the local context. Policy Link suggests a number of strategies, organised around two key themes (Figure 19):

Figure 19: Strategies for meaningful engagement

Theme 1: Be proactive and targeted: low-income and minority communities are diverse, and have their own cultures, power dynamics and networks. Engagement should reflect this diversity, and people should enter the process with a willingness to learn

- Work through existing networks and organisations
- Attend community meetings, listen and participate
- Understand racial and economic disparities
- Seek out relationships with non-English speakers
- Translate materials and provide interpretation
- Engage faith-based organisations
- Host meet-and-greet sessions with local organisations/advocacy groups
- Reduce barriers to participation

Theme 2: Build opportunities for decision making and partnerships among community organisations so that communities can empower themselves and gain control over resources, decisions and the process of change

- Ensure low income groups and minorities are represented
- Communicate decisions and developments
- Train participating residents
- Form a social equity causing with decision-making authority
- Set aside resources that the community can control
- Be clear about equity, inclusion and partnership principles
- Cultivate new leaders

Source: Policy Link, 2012

72. Some of these themes are explored in a best practice guide published by FRESC, another US non-profit organisation based in Colorado (FRESC, nd). FRESC also focus on what the independent review panel described as the seldom-heard, offering 4 “strategies for engagement”:
- **ask yourself who’s missing from the process**
 - **make a targeted outreach plan**
 - **go where the people are**
 - **make the process accessible and meaningful.**
73. Most of the published guidance focuses on face-to-face engagement with communities, using a variety techniques, but there is an increasing interest in the role of the internet, in particular **web 2.0 technology**, “characterised...by the change from static web pages to dynamic or user-generated content and the growth of social media”. As Twitchen & Adams (2011) point out, “the growing availability of high-speed internet access and the propagation of social networking tools have ensured that new forms and processes of public participation have the potential to connect to a ‘localised’ UK planning system where great emphasis is being placed on participatory democracy.”

74. Twitchen & Adams warn against “uncritical” enthusiasm for online engagement. They acknowledge that new technologies (which have, of course, continued to advance since their paper was written) have the potential to “**cleave open new spaces for public engagement**, particularly amongst those which are considered ‘hard to reach’ due to their cost-effectiveness and simplicity and...they can be seen as a potential solution to revitalising participation and mobilising an unprecedented amount of people who would have views on particular neighbourhood issues”.
75. All of this may help to improve the quality of planning decisions and restore public confidence in the process. On the other hand, some of the barriers to success using traditional methods of engagement are likely still to apply. There is a risk that some communities will mobilise social media campaigns to oppose development in their area and direct it instead to “locations of least resistance”. More work is required to realise the full potential of web 2.0 and to use it raise the quality of deliberation. The authors identify opportunities for planners to act as “mediators and translators”, encouraging reciprocal communication between communities and planning authorities.
76. A report for the Scottish Government by Planning Aid for Scotland reviewed a series of consultations with **seldom-heard groups** about their experience of and attitudes towards the planning system (Scottish Government, 2009). All the groups consulted “expressed a willingness to get involved in planning”, but the consultations identified barriers including “incomprehensible documents, and a lack of awareness and understanding of the planning process and their right to participate in it”. The report concludes that community councils need to work harder to be more inclusive so that they can “represent the interests of everyone in their community”.
77. The report provides a commentary on the needs of specific seldom-heard groups. It concludes that lesbian, gay, bisexual and transsexual (LGBT) people had “no special needs or requirements”, but it identifies **specific issues** relating to young people, people with disabilities, black and ethnic minorities and gypsy/travellers (Figure 20).

Figure 20: The needs of seldom-heard groups in the planning system

Young people

- Planning should be taught in schools in an exciting, interactive and relevant way
- Planning documents need to be youth-friendly: clear, concise and attractive
- Planners should use different methods to reach young people including social media and broadcast media
- Planners should visit schools, particularly during the preparation of development plans

People with disabilities

- Access panels are a good way to reach the disabled community
- Local authority access officers could facilitate engagement with planning
- Disabled people may need more time to consider and respond to consultations
- Planners should get disability equality training

Black and ethnic minorities (BEM)

- Planners need to build trust and be aware of cultural differences
- Be aware of language and other barriers
- Develop specific training and facilitation tools
- Provide information in easy-read formats and in translation
- Take advantage of existing BEM networks and work with people and groups who are trusted in the community

Gypsy/travellers

- Gypsy/travellers have a lot of experience of the planning system, often negative
- There is still a willingness to work with planners to identify traveller sites
- Develop specific training and facilitation tools
- Understand the gypsy/traveller lifestyle and culture
- Provide information in easy-read formats, avoiding jargon and technical language
- Provide advice for gypsy/travellers who need help with planning applications
- Meet gypsy/traveller groups to discuss needs and issues before problems arise

Scottish Government (2009)

78. A briefing paper by IRISS also focuses on seldom-heard groups (IRISS, nd). The briefing addresses issues around access to social services, but many of the lessons are directly applicable to engagement in the planning system, including the four key messages highlighted in the paper:
- seldom-heard groups face **multiple barriers to access**
 - a **positive attitude by staff** can help to facilitate participation
 - **good relationships and honest communication** between staff and seldom-heard groups underpin participation
 - **an everyday approach** to participation is most effective in supporting the seldom-heard.
79. The paper explains the adoption of “seldom-heard” as the preferred term for under-represented people in preference to the judgmental “hard to reach”. It puts the **onus on public sector** and other agencies to engage with these groups. Factors contributing to seldom-heard status include disability, ethnicity, sexuality, communication impairments, mental health problems, homelessness and geographical isolation. It also cites research on “what works”, with key messages including:
- treating people with respect and valuing individual contributions
 - explaining clearly what someone can expect from getting involved and what they will be expected to contribute
 - making sure that it is all right to say “no” to getting involved
 - offering a variety of activities and ways to get involved
 - allocating sufficient resources to support participation.

80. Kelleher, Seymour and Halpenny (2014) draw together research findings on participation by **seldom heard young people**. This can include “young people from an extensive range of backgrounds and life experiences whose voices are typically not heard in decisions that affect them and who tend to be underrepresented in consultation and participation exercises, both as individuals and as groups”. They may be part of wider seldom heard groups such as ethnic minorities, young carers or young parents, and they “may be seldom heard in multiple, overlapping and diverse respects” relating to gender, social class, faith, ethnicity and other factors. The authors define participation as “the process by which young people have active involvement and real influence in decision-making on matters affecting their lives”. It means more than young people “having a voice”, “but rather aims to empower them and to facilitate transformation of their life situations”.
81. A key factor in determining whether young people are empowered in this way is “**proximity to decision-makers**”, but in Ireland (and, no doubt, other jurisdictions) “participation mechanisms available to children and young people are not always fully integrated into adult decision-making structures such as local and central government...” Young people may be close to local service providers, but the latter “tend to be distant from high-level government decision-makers”.
82. **Attitudinal barriers** also play a part. Adult perceptions that young people lack capability leads to an “inability or unwillingness to recognise young people’s agency in decision-making”, and the problem may be compounded for the seldom heard, with adults assuming, for example, that “homeless young people lead lives that are too chaotic to become involved in participation”. Adult attitudes are important, but engagement often requires young people to nominate themselves to participate, which can be “a formidable challenge for those who lack the necessary inter-personal skills and self-confidence to do so”. The literature shows that participation structures tend to be dominated by “middle-class, socially-orientated, confident and articulate children and young people”.
83. The authors find that policymakers and practitioners are generally supportive of children and young people’s participation but that many organisations find the process challenging. Staff may need **knowledge, support and training**, and securing and sustaining participation may be costly and time-consuming.
84. There may also be **practical and personal barriers** that make some young people genuinely “hard-to-reach”, for example:

“...it may be the case that young parents or young carers do not have access to child care or respite care; young Traveller girls may not be permitted to attend unaccompanied, and those in rural locations may not have the necessary transport. Similarly, young people with a physical or an intellectual disability may need additional supports such as transport and personal assistance”.

85. Kelleher, Seymour and Halpenny conclude by offering a series of approaches to effective participation. They warn against standardised approaches, which contradict the goal of engagement processes which are “moulded and shaped by the participants themselves”. They also distinguish between circumstances where it is important that participation is statistically representative, and those where the diversity of views, including those of the seldom-heard are most important. They emphasise the dangers of tokenism: for young people, meaningful participation “involves focusing on issues that have personal relevance to them, provides them with opportunities to ‘make a difference’ and to ‘give something back’, and culminates in improvements for other young people and their communities...It also involves them influencing or choosing their own agenda and having a sense of ownership of the process”. This sense of ownership is key to sustaining involvement by young people.
86. A commitment by organisations to participation and engagement calls for a **whole-system approach**, four key elements working together:
- **culture**: an ethos of participation
 - **structure**: planning, development and resourcing of engagement activities
 - **practice**: methods, skills and knowledge
 - **review**: a system for monitoring and evaluating activity.

yellow book
May 2017

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ANNEX 2: ONLINE SURVEY – DETAILED RESULTS

1. Responses

1,914 respondents answered the initial question on their primary involvement with the planning system.

Category	Respondents	Proportion
Community	1001	0.52
Professionals	376	0.20
Other	537	0.28

274 of the initial respondents abandoned the survey before the substantive questions began. 1640 respondents answered at least one other substantive question in the survey. The break down by respondent category is shown below.

Category	Respondents	Proportion
Community	863	0.53
Professionals	325	0.20
Other	452	0.28

2. Demographics

Gender

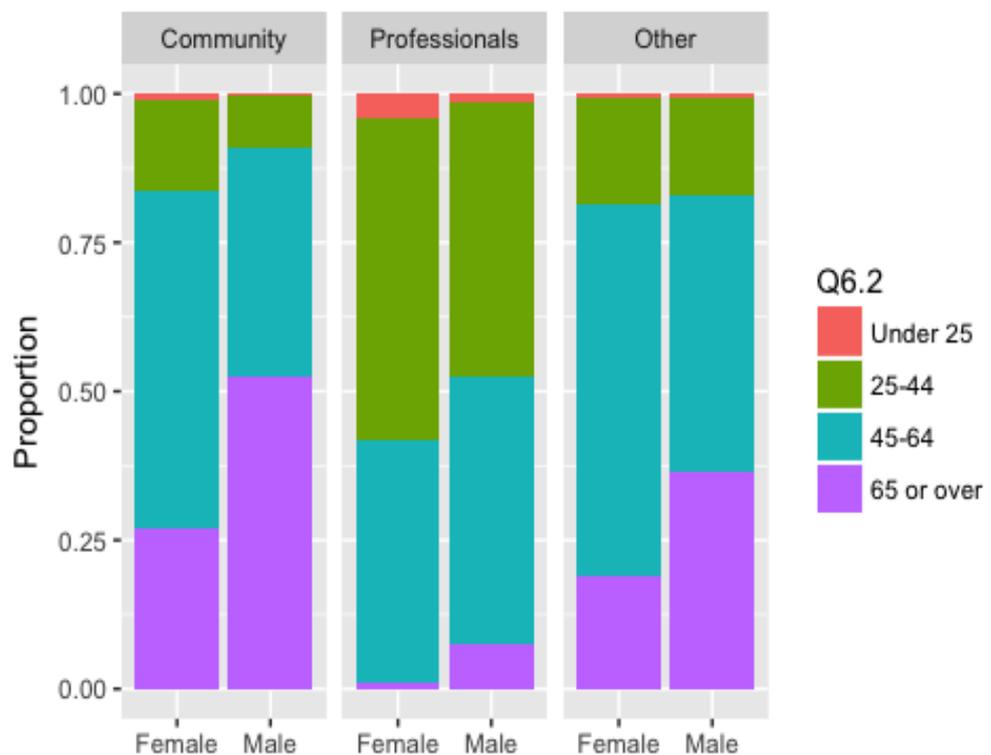
Q6.1	Respondents	Percentage
Female	556	41.3%
Male	781	58.0%
Other	9	0.7%

Q6.1	Category	Respondents	Percentage
Female	Community	296	22.0%
Female	Professionals	98	7.3%
Female	Other	162	12.0%
Male	Community	430	31.9%
Male	Professionals	156	11.6%
Male	Other	195	14.5%
Other	Community	5	0.4%
Other	Professionals	1	0.1%
Other	Other	3	0.2%

Age	Respondents	Percentage
Q6.2		
Under 25	13	1%
25-44	272	20%
45-64	639	48%
65 or over	422	31%

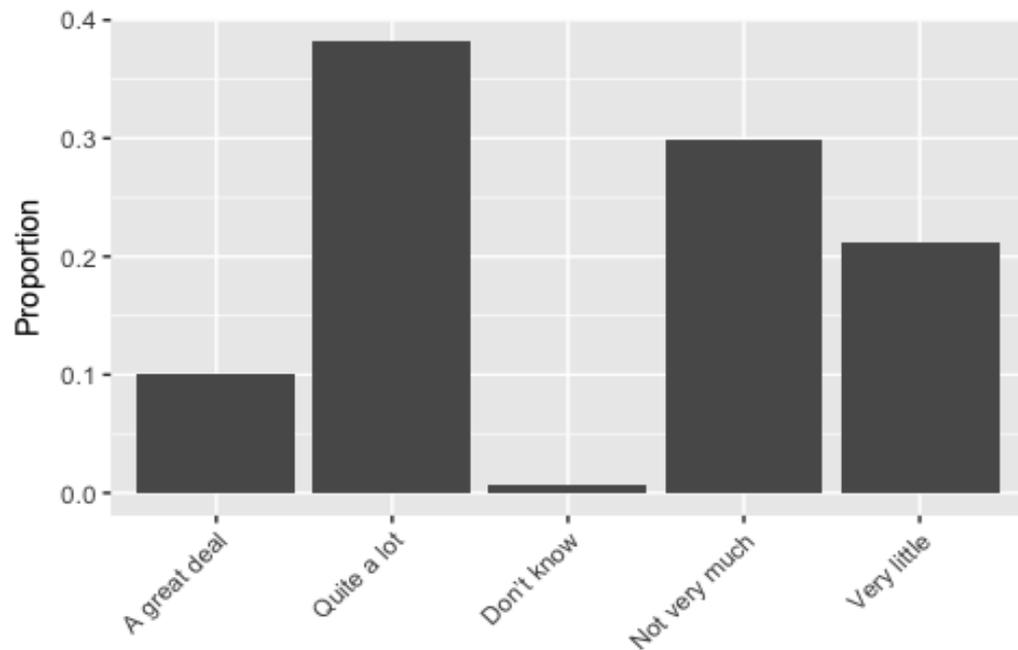
Q6.2	Category	Respondents	Percentage
Under 25	Community	4	0.3%
Under 25	Professionals	7	0.5%
Under 25	Other	2	0.1%
25-44	Community	84	6.2%
25-44	Professionals	125	9.3%
25-44	Other	63	4.7%
45-64	Community	337	25.0%
45-64	Professionals	110	8.2%
45-64	Other	192	14.3%
65 or over	Community	305	22.7%
65 or over	Professionals	13	1.0%
65 or over	Other	104	7.7%

Gender and age of respondents



3. Involvement in the planning process

Respondents in the community categories were asked about their experience of engagement with the planning process.

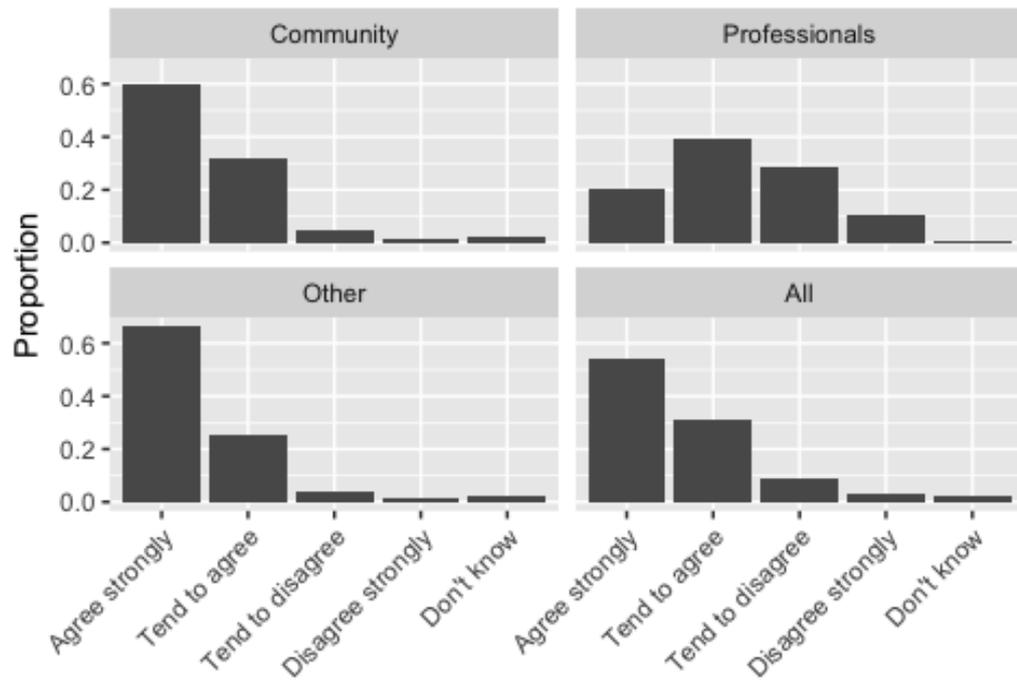


Answer	Respondents	Proportion
A great deal	86	0.10
Quite a lot	329	0.38
Don't know	6	0.01
Not very much	257	0.30
Very little	183	0.21

4. Survey Part 1: responses to the independent review

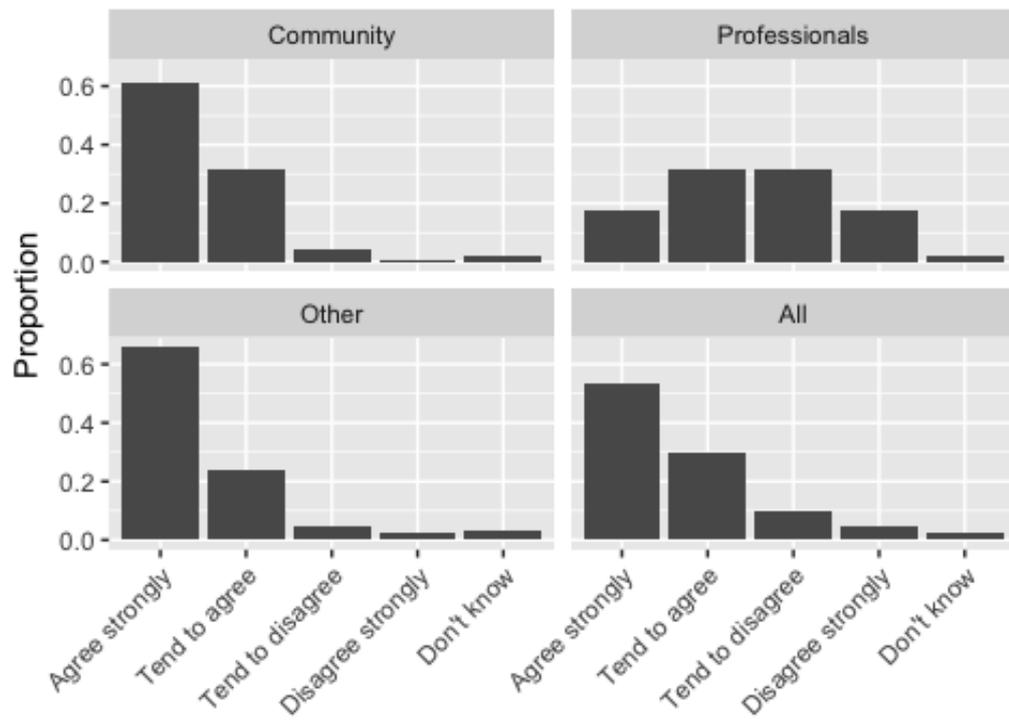
How strongly you agree or disagree with the following statements from the report of the independent review of the Scottish planning system?

Q1.1. The planning system is not yet effective in engaging, let alone empowering, communities



RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	516	60%	274	32%	40	4.6%	11	1.3%	22	2.55%
Professionals	66	20%	127	39%	94	28.9%	35	10.8%	3	0.92%
Other	300	66%	115	25%	17	3.8%	8	1.8%	12	2.65%
All	882	54%	516	32%	151	9.2%	54	3.3%	37	2.26%

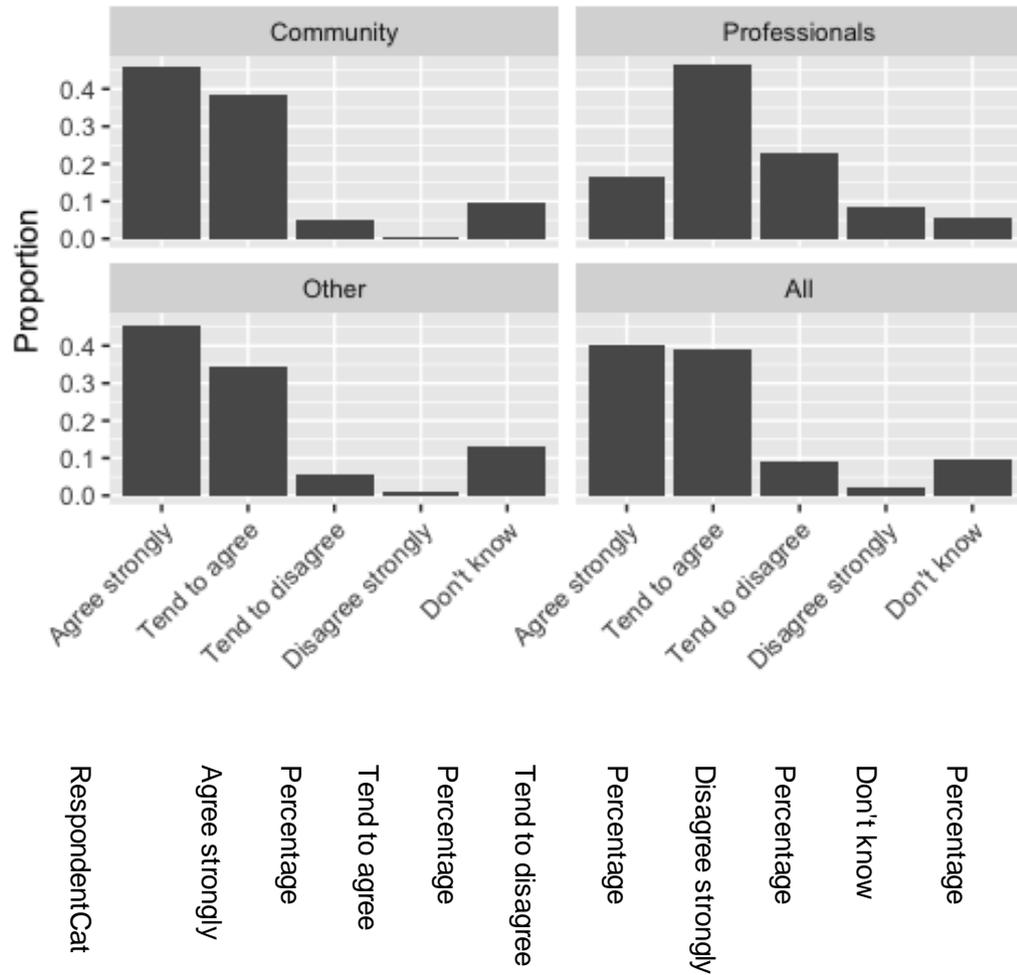
Q1.2. Often consultation is minimal, rather than meaningful



RespondentCat
 Agree strongly
 Percentage
 Tend to agree
 Percentage
 Tend to disagree
 Percentage
 Disagree strongly
 Percentage
 Don't know
 Percentage

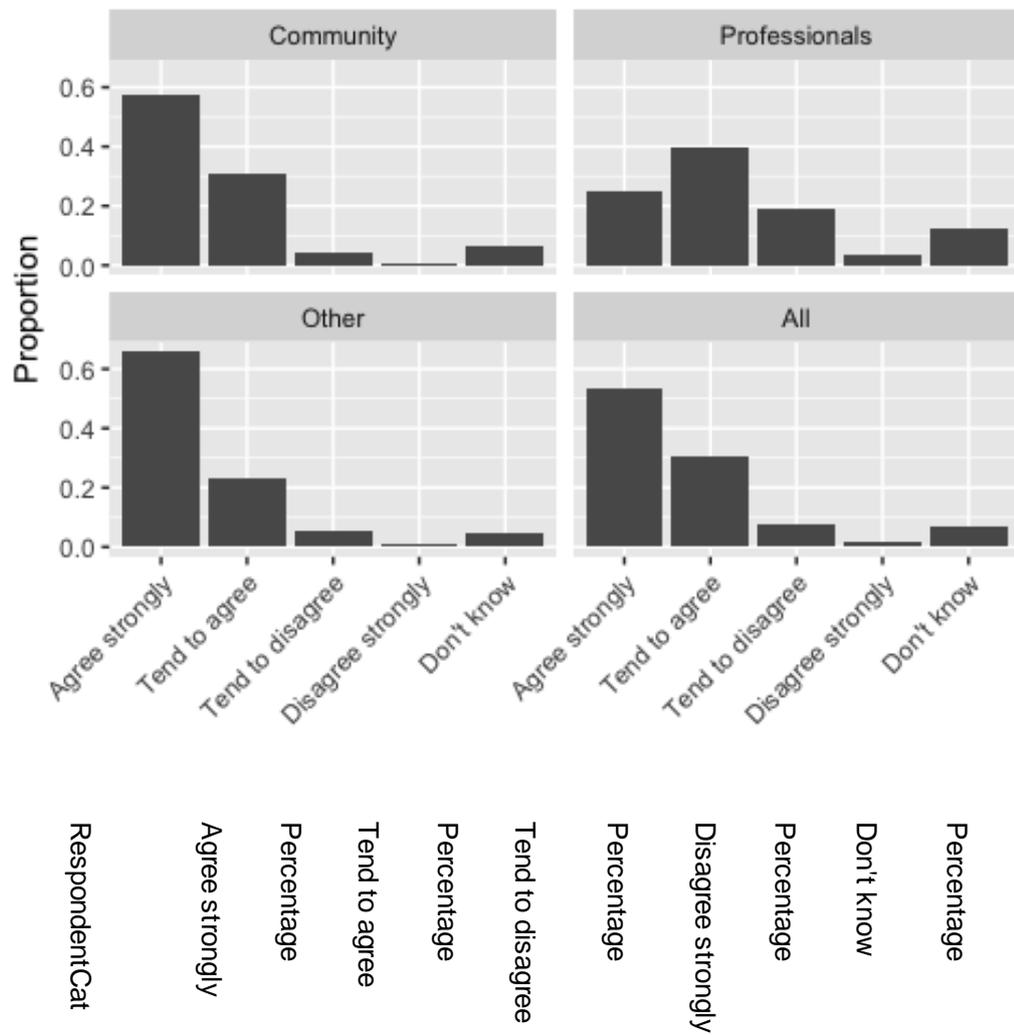
RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	528	61%	275	32%	36	4.2%	8	0.9%	16	1.9%
Professionals	56	17%	102	31%	103	31.7%	58	17.8%	6	1.9%
Other	298	66%	109	24%	22	4.9%	10	2.2%	13	2.9%
All	882	54%	486	30%	161	9.8%	76	4.6%	35	2.1%

Q1.3. Local authorities often seek to manage expectations rather than being ambitious about securing community buy-in



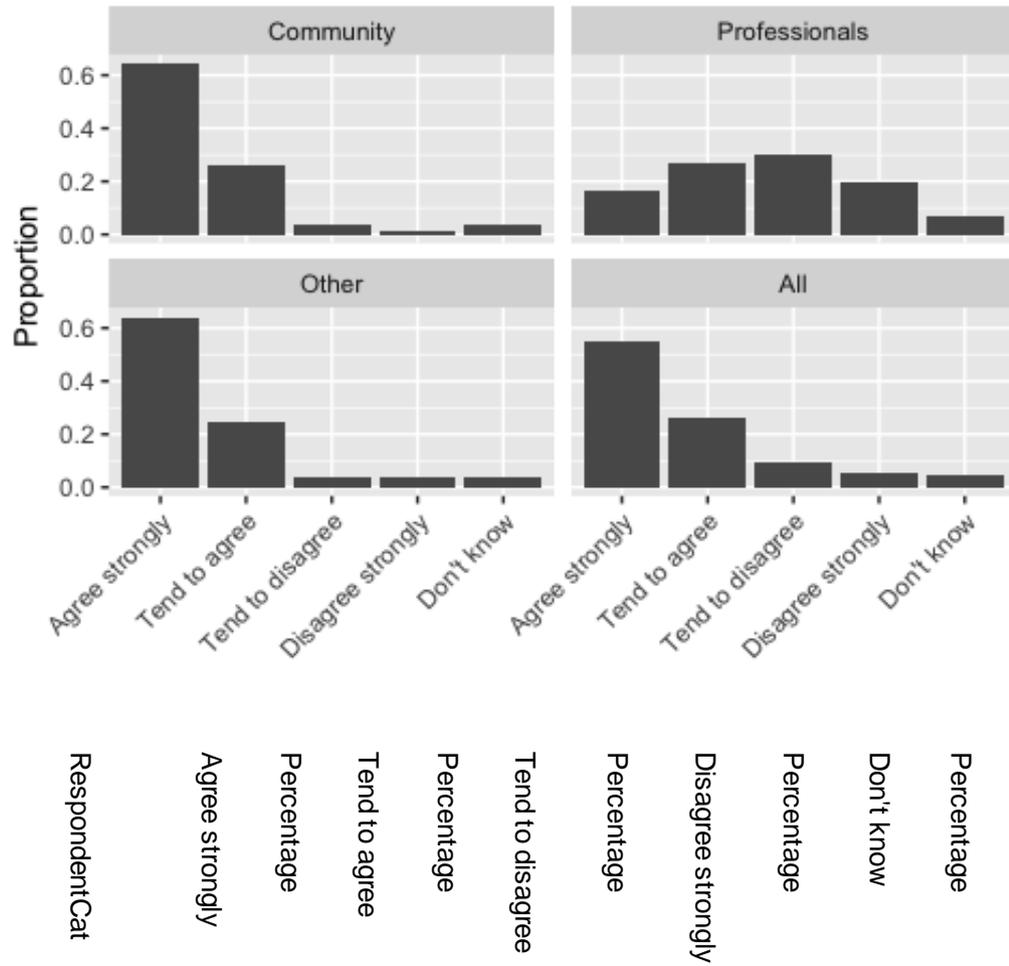
RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	397	46%	332	38%	45	5.2%	6	0.7%	83	9.6%
Professionals	53	16%	151	46%	75	23.1%	27	8.3%	19	5.9%
Other	206	46%	156	34%	25	5.5%	5	1.1%	60	13.3%
All	656	40%	639	39%	145	8.8%	38	2.3%	162	9.9%

Q1.4. Public trust in the system has declined rather than grown



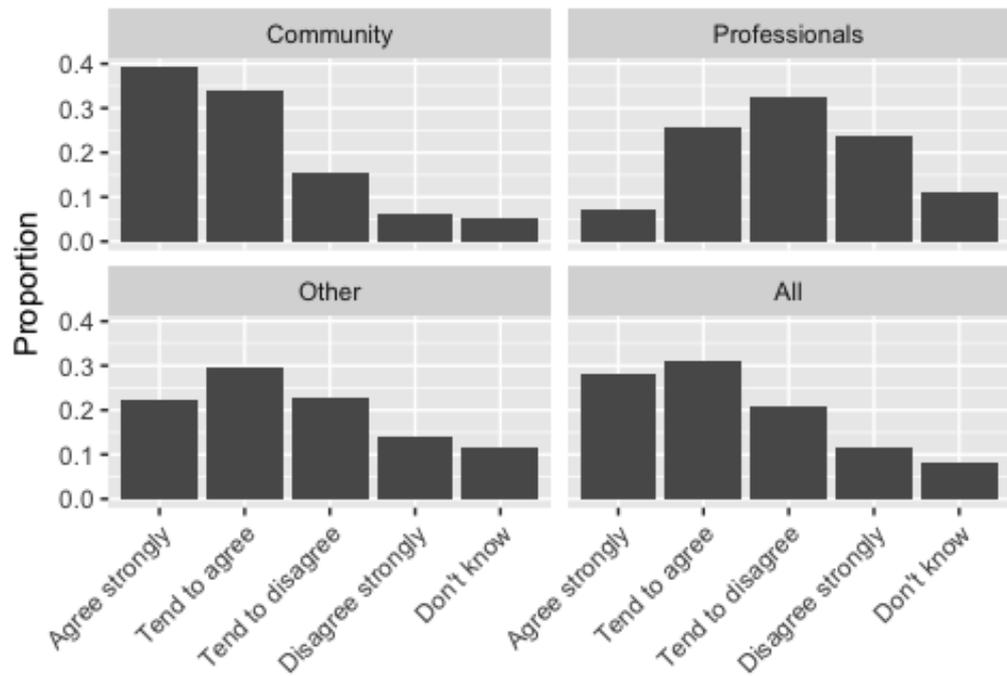
RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	494	57%	269	31%	40	4.6%	6	0.7%	54	6.3%
Professionals	80	25%	130	40%	63	19.4%	12	3.7%	40	12.3%
Other	298	66%	104	23%	23	5.1%	5	1.1%	22	4.9%
All	872	53%	503	31%	126	7.7%	23	1.4%	116	7.1%

Q1.5. A significant shift towards local empowerment is clearly required



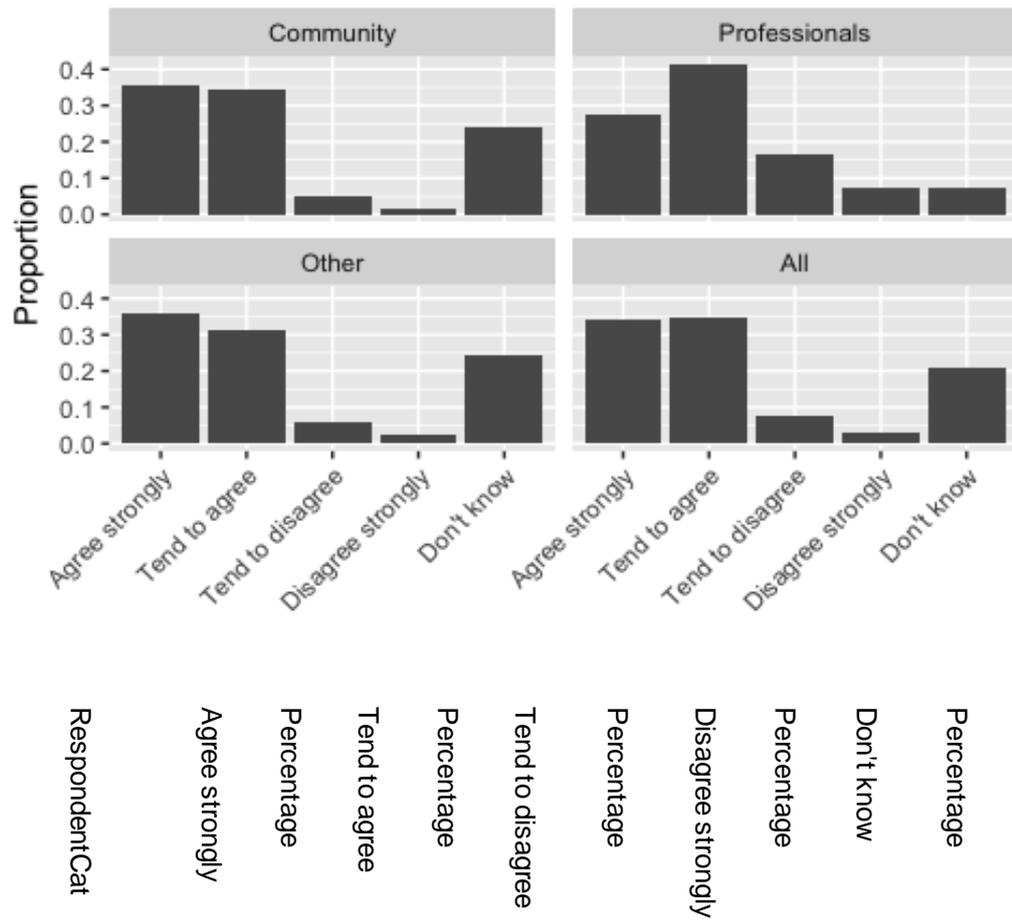
RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	557	64%	227	26%	35	4.1%	10	1.2%	34	3.9%
Professionals	53	16%	88	27%	98	30.2%	64	19.7%	22	6.8%
Other	289	64%	113	25%	18	4.0%	16	3.5%	16	3.5%
All	899	55%	428	26%	151	9.2%	90	5.5%	72	4.4%

Q1.6. Community councils clearly have an appetite for gathering views from their wider community



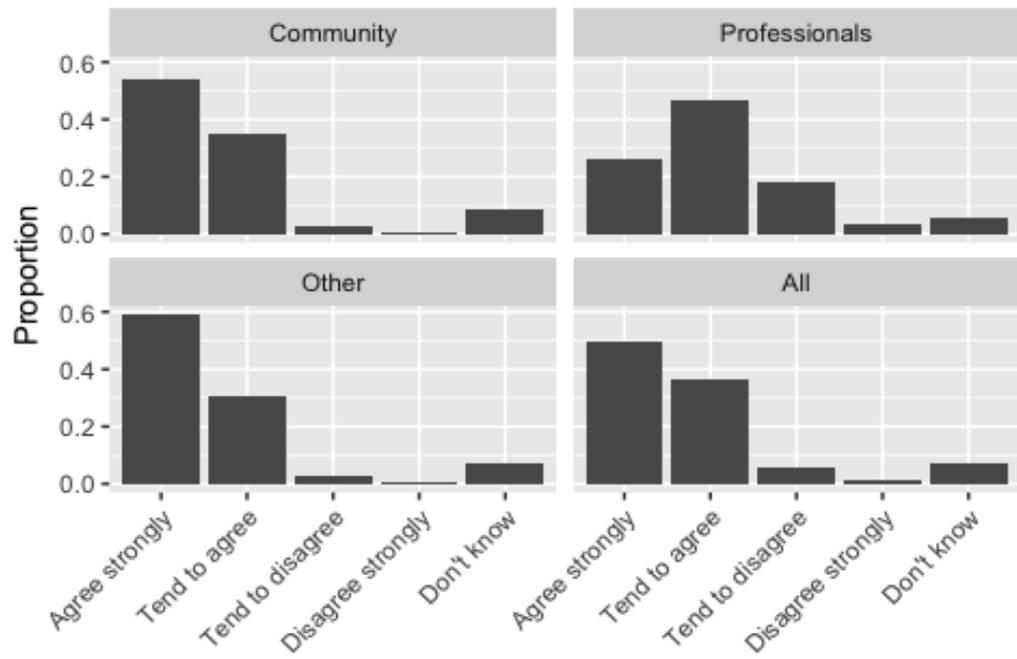
RespondentCat	Agree strongly	Percentage	Tend to agree	Percentage	Tend to disagree	Percentage	Disagree strongly	Percentage	Don't know	Percentage
Community	339	39.3%	292	34%	135	16%	53	6.1%	44	5.1%
Professionals	23	7.1%	83	26%	106	33%	77	23.7%	36	11.1%
Other	101	22.3%	133	29%	102	23%	63	13.9%	53	11.7%
All	463	28.2%	508	31%	343	21%	193	11.8%	133	8.1%

Q1.7. Frontloaded engagement [should] be prioritised over resource-intensive involvement in development management



Community	305	35%	295	34%	45	5.2%	11	1.3%	207	24.0%
Professionals	90	28%	135	42%	53	16.3%	23	7.1%	24	7.4%
Other	162	36%	142	31%	27	6.0%	12	2.7%	109	24.1%
All	557	34%	572	35%	125	7.6%	46	2.8%	340	20.7%

Q1.8. [We need] more deliberative techniques to ensure engagement moves towards meaningful involvement

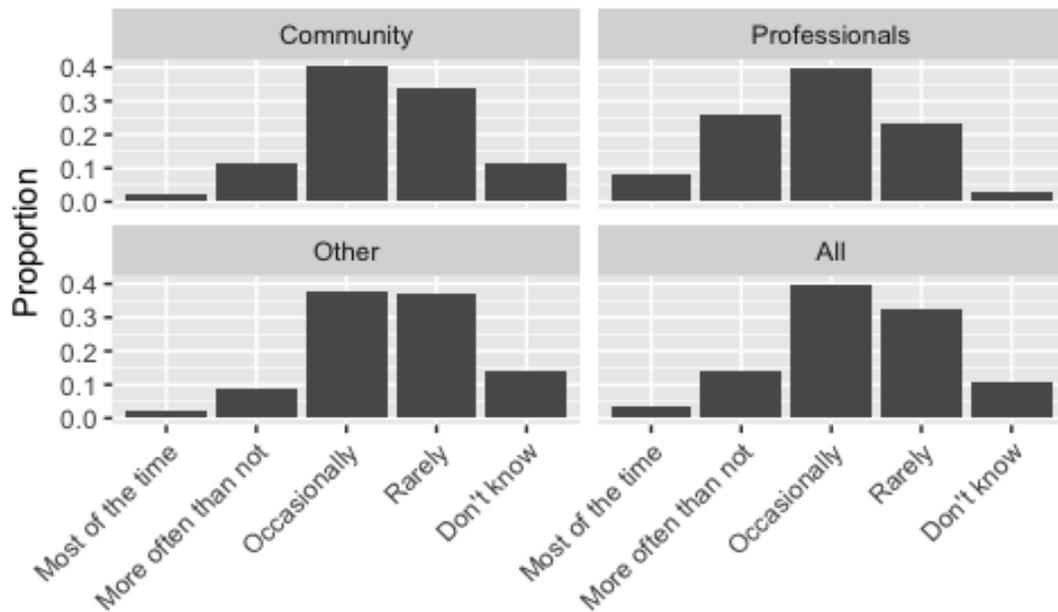


RespondentCat	Agree strongly Percentage	Tend to agree Percentage	Tend to disagree Percentage	Disagree strongly Percentage	Don't know Percentage
Community	463 54%	302 35%	21 2.4%	4 0.46%	73 8.5%
Professionals	86 26%	152 47%	58 17.8%	11 3.38%	18 5.5%
Other	267 59%	138 30%	11 2.4%	4 0.88%	32 7.1%
All	816 50%	592 36%	90 5.5%	19 1.16%	123 7.5%

5. Survey Part 2: preconditions for effective engagement

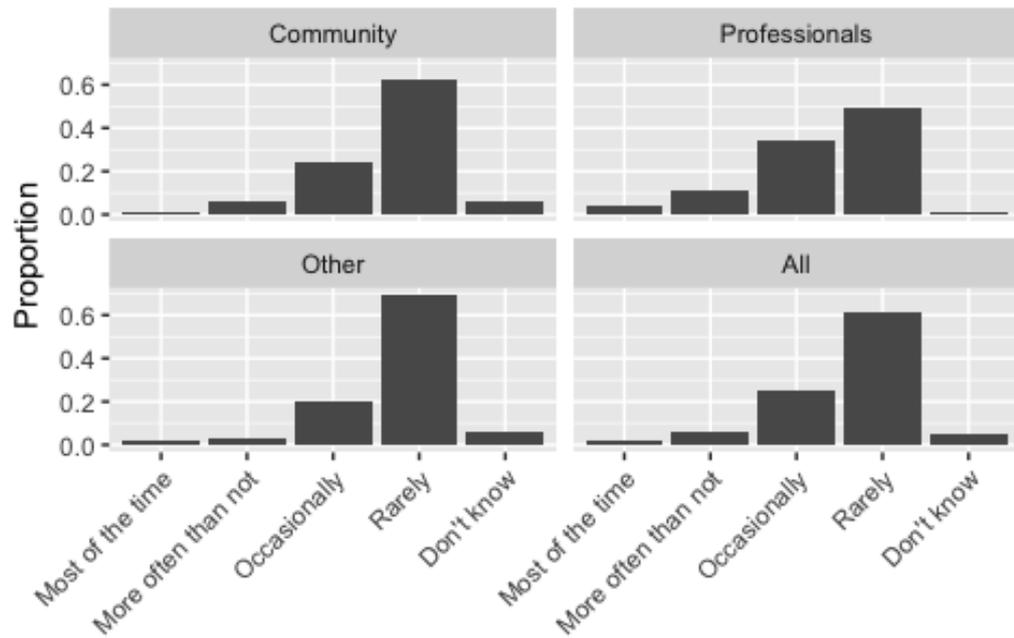
The following statements describe the preconditions for effective engagement in planning. Does the Scottish planning system today meet these standards?

Q2.1. All parties are clear about the purpose of participation in planning and the benefits that it can offer. They should be honest about the influence it can exert on planning decisions.



RespondentCat	Most of the time	More often than not	Occasionally	Rarely	Don't know
Community	20 2.5%	94 11.7%	324 40%	269 34%	94 11.7%
Professionals	24 8.2%	76 25.9%	116 40%	69 24%	8 2.7%
Other	8 2.0%	37 9.1%	153 38%	151 37%	58 14.3%
All	52 3.5%	207 13.8%	593 40%	489 33%	160 10.7%

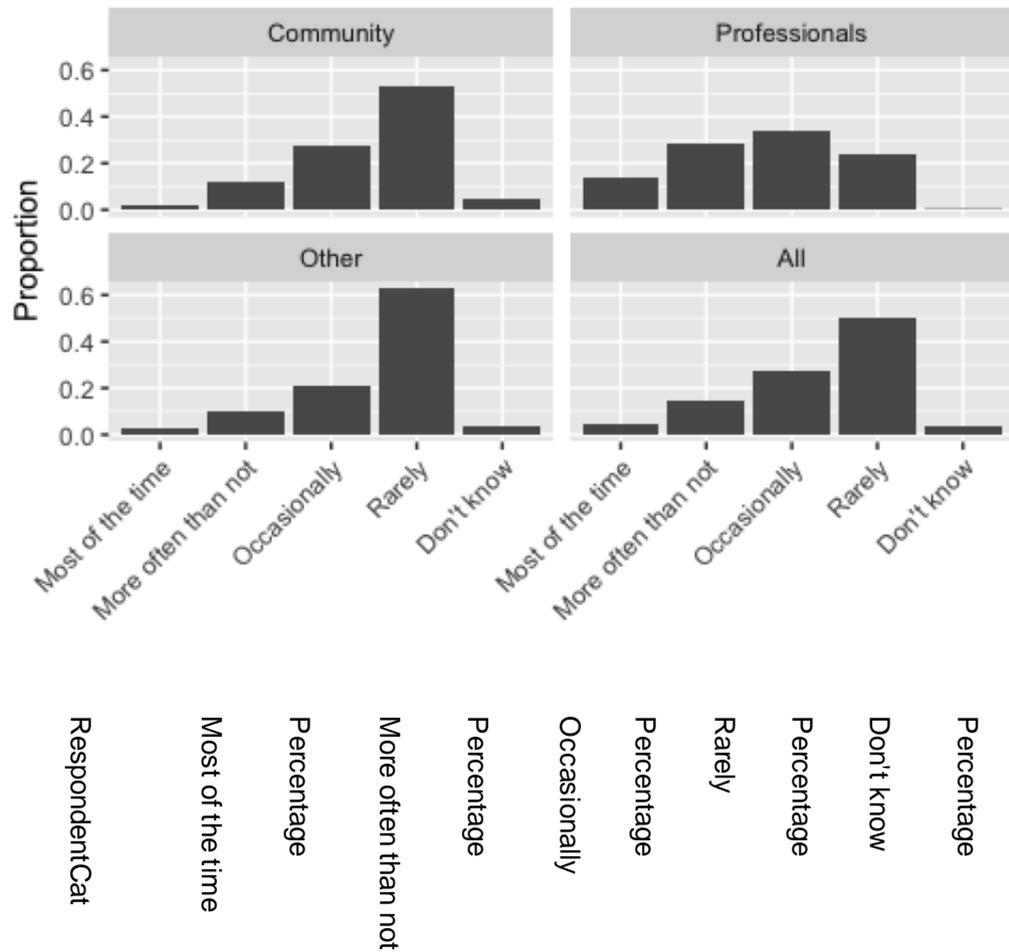
Q2.2. There is mutual trust, respect and confidence between the key players in the planning system: communities, local authorities, landowners and developers.



RespondentCat
 Most of the time
 Percentage
 More often than not
 Percentage
 Occasionally
 Percentage
 Rarely
 Percentage
 Don't know
 Percentage

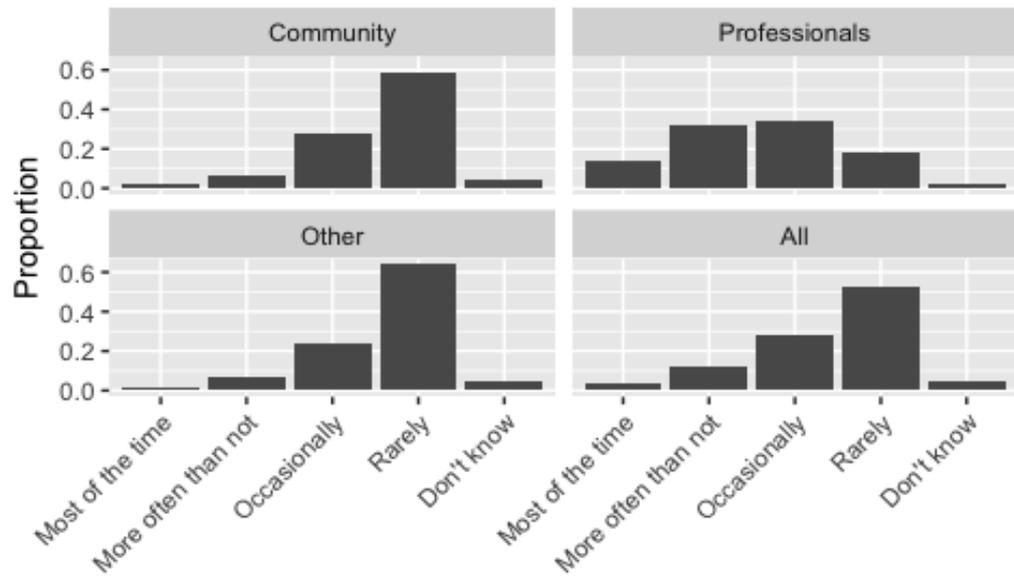
Community	12	1.5%	49	6.1%	195	24%	497	62%	48	6.0%
Professionals	11	3.8%	34	11.6%	99	34%	145	50%	4	1.4%
Other	7	1.7%	13	3.2%	81	20%	282	69%	25	6.1%
All	30	2.0%	96	6.4%	375	25%	924	62%	77	5.1%

Q2.3. The planning system is open, transparent and accessible to all. Clear communications mean that everyone knows what is happening and how/when they can get involved.



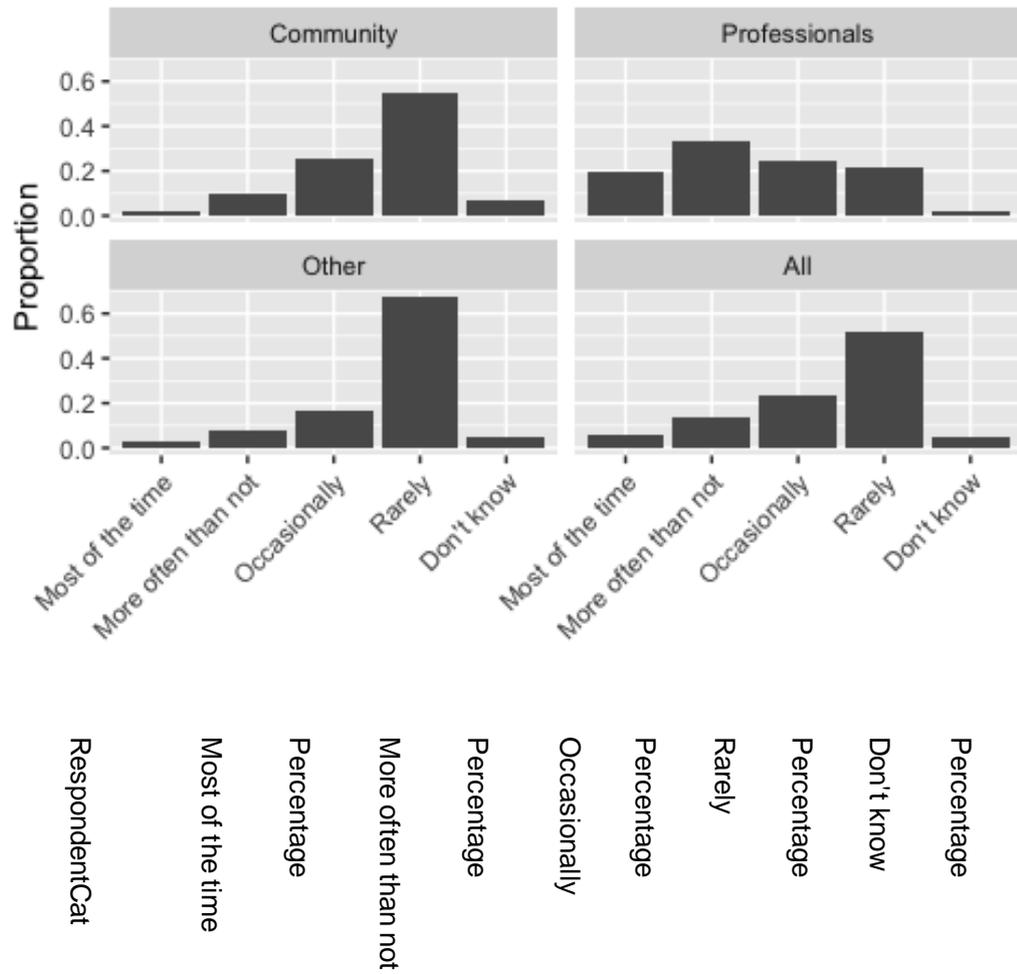
RespondentCat	Most of the time	Percentage	More often than not	Percentage	Occasionally	Percentage	Rarely	Percentage	Don't know	Percentage
Community	19	2.4%	98	12.3%	220	28%	427	53%	35	4.38%
Professionals	41	14.0%	83	28.3%	99	34%	69	24%	1	0.34%
Other	12	2.9%	39	9.6%	87	21%	255	63%	14	3.44%
All	72	4.8%	220	14.7%	406	27%	751	50%	50	3.34%

Q2.4. Planners and developers are fully committed to community engagement. They actively encourage communities to speak and they listen and respond to what's said.



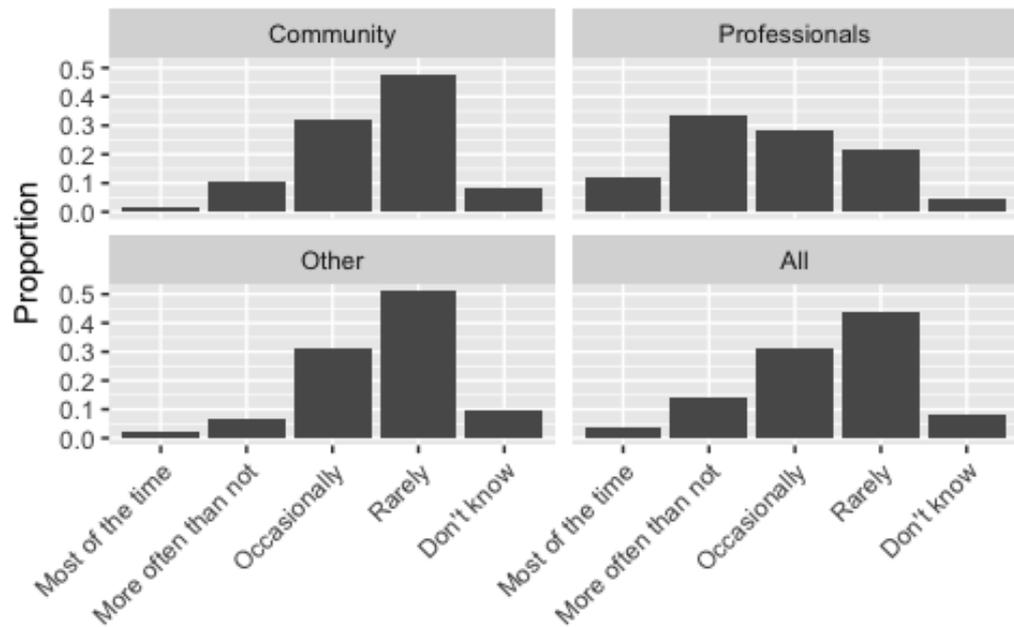
RespondentCat	Most of the time	More often than not	Occasionally	Rarely	Don't know
Community	16 2.0%	55 6.9%	218 27%	469 59%	38 4.8%
Professionals	41 14.0%	95 32.5%	99 34%	52 18%	5 1.7%
Other	5 1.2%	26 6.4%	95 24%	258 64%	20 5.0%
All	62 4.2%	176 11.8%	412 28%	779 52%	63 4.2%

Q2.5. The planning system is fair and equitable and strikes the right balance between the rights and responsibilities of all the interested parties.



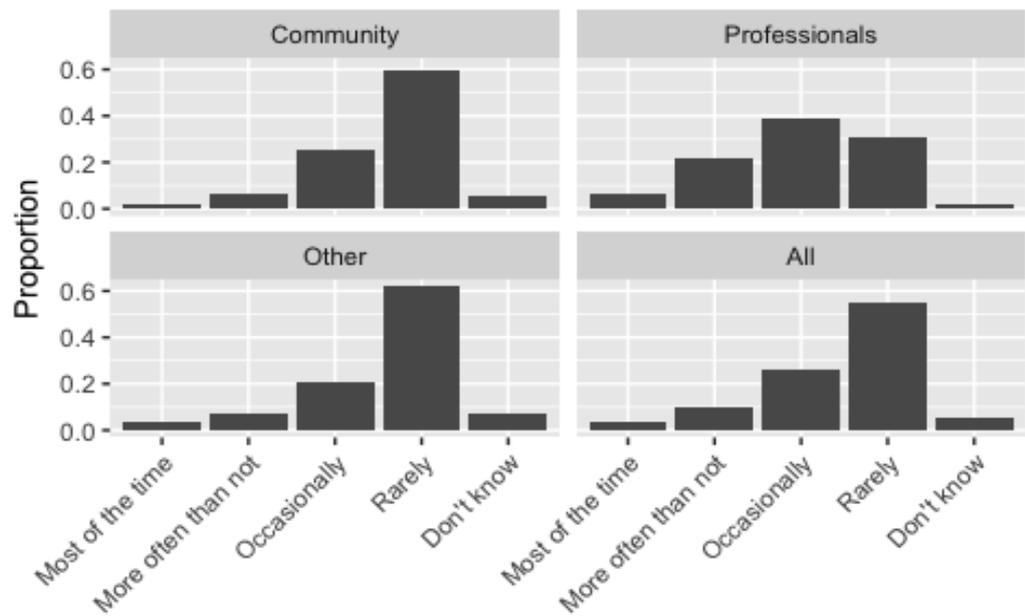
Community	16	2.0%	81	10.2%	206	26%	440	55%	55	6.9%
Professionals	56	19.3%	97	33.4%	70	24%	62	21%	5	1.7%
Other	11	2.7%	33	8.1%	69	17%	273	67%	20	4.9%
All	83	5.6%	211	14.1%	345	23%	775	52%	80	5.4%

Q2.6. Engagement processes strike a balance between consideration of local needs/concerns and discussion of public goods like requirements for housing/employment land and infrastructure



RespondentCat	Most of the time	Percentage	More often than not	Percentage	Occasionally	Percentage	Rarely	Percentage	Don't know	Percentage
Community	12	1.5%	82	10.3%	255	32%	381	48%	65	8.2%
Professionals	35	11.9%	98	33.4%	82	28%	64	22%	14	4.8%
Other	9	2.2%	26	6.4%	126	31%	207	51%	38	9.4%
All	56	3.7%	206	13.8%	463	31%	652	44%	117	7.8%

Q2.7. Community engagement exerts a real influence on planning outcomes. As a result we get better placemaking and better quality development.



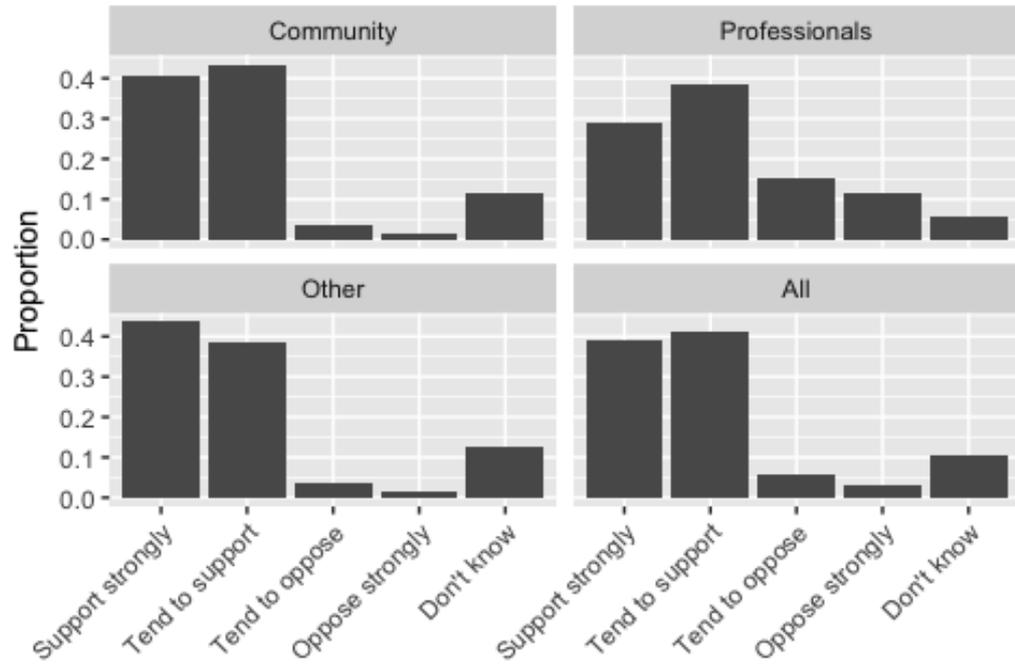
RespondentCat
 Most of the time
 Percentage
 More often than not
 Percentage
 Occasionally
 Percentage
 Rarely
 Percentage
 Don't know
 Percentage

Community	19	2.4%	54	6.8%	200	25%	477	60%	45	5.7%
Professionals	20	6.9%	64	22.0%	112	38%	90	31%	5	1.7%
Other	13	3.2%	29	7.2%	83	20%	250	62%	29	7.2%
All	52	3.5%	147	9.9%	395	26%	817	55%	79	5.3%

6. Survey Part 3: promoting engagement and empowerment

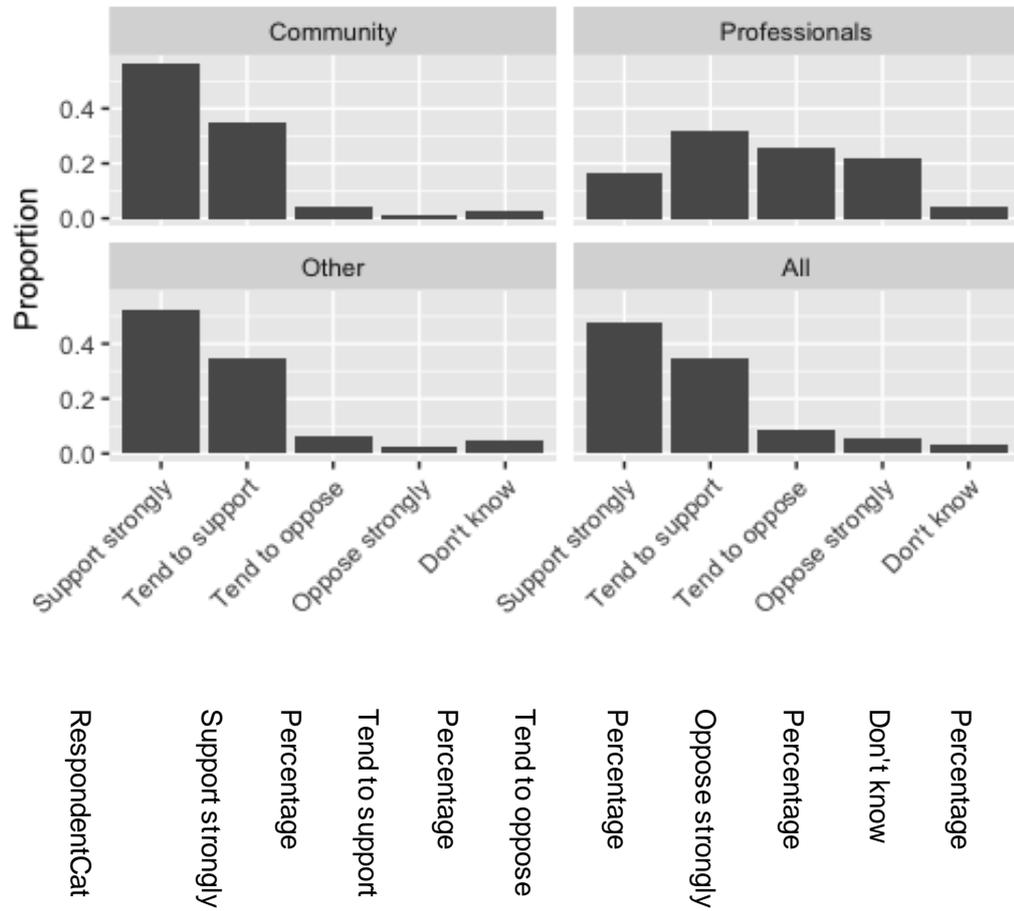
How do you rate the following ideas for promoting community engagement and empowerment with the planning system?

Q3.1. Integrate place planning/spatial planning into the community planning system.



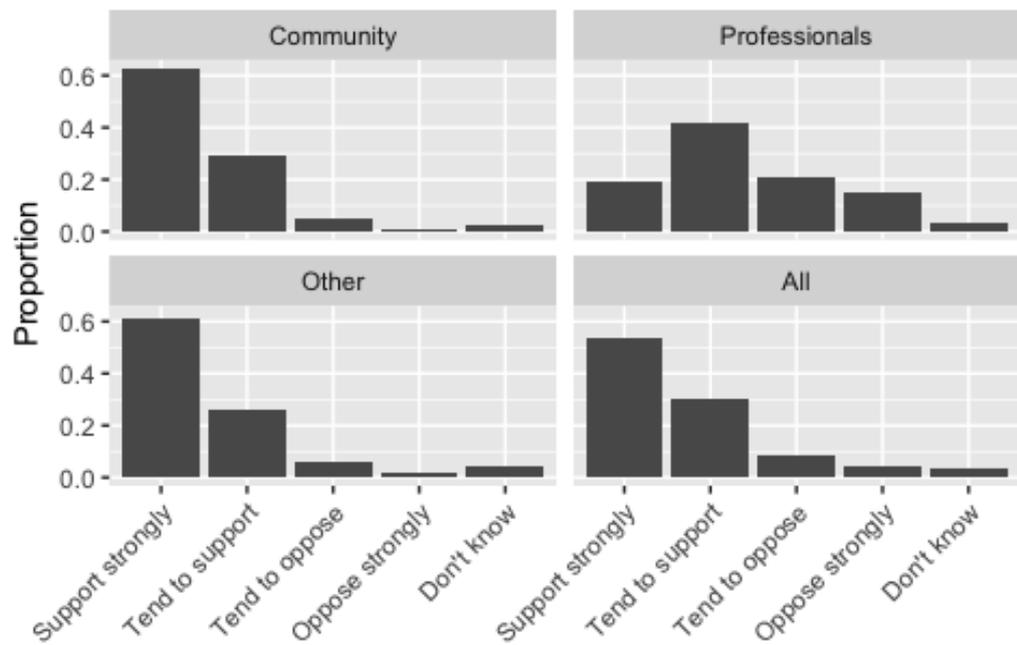
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	305	41%	325	43%	28	3.7%	9	1.2%	85	11.3%
Professionals	78	29%	103	38%	41	15.3%	31	11.6%	15	5.6%
Other	166	44%	147	39%	13	3.4%	6	1.6%	48	12.6%
All	549	39%	575	41%	82	5.9%	46	3.3%	148	10.6%

Q3.2. Give every community a right to plan and an opportunity to produce a local place plan which should form part of the development plan.



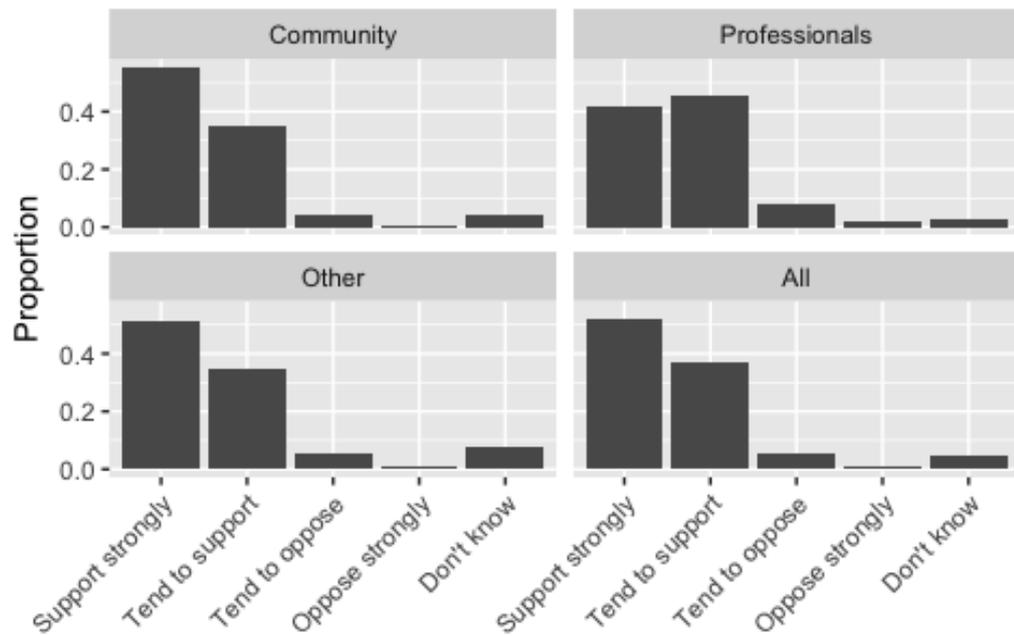
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	431	57%	268	35%	30	3.9%	10	1.3%	21	2.8%
Professionals	45	17%	87	32%	69	25.5%	59	21.8%	11	4.1%
Other	199	52%	132	35%	23	6.0%	9	2.4%	19	5.0%
All	675	48%	487	34%	122	8.6%	78	5.5%	51	3.6%

Q3.3. Make community involvement in the production of development plans mandatory, with statutory rights for community councils.



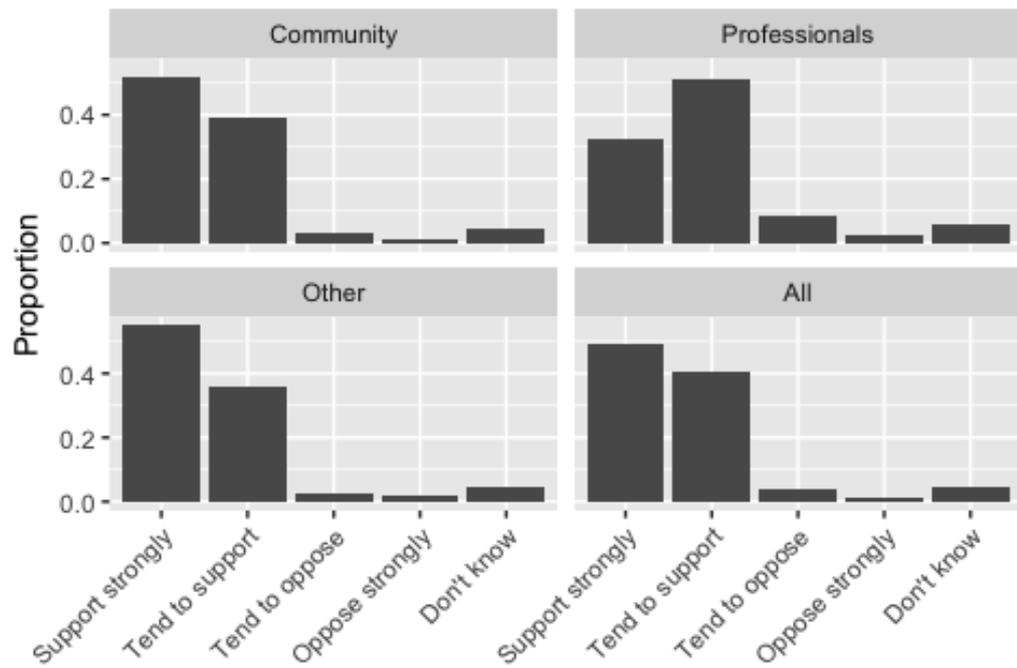
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	479	63%	220	29%	36	4.7%	9	1.2%	17	2.2%
Professionals	51	19%	112	42%	57	21.1%	40	14.8%	10	3.7%
Other	233	61%	100	26%	23	6.0%	8	2.1%	18	4.7%
All	763	54%	432	31%	116	8.2%	57	4.0%	45	3.2%

Q3.4. Development plans should provide an inspiring civic vision, telling a compelling story about the kind of place it's going to be.



RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	421	56%	266	35%	32	4.2%	5	0.66%	35	4.6%
Professionals	113	42%	122	45%	22	8.2%	5	1.85%	8	3.0%
Other	194	51%	132	35%	20	5.3%	5	1.32%	28	7.4%
All	728	52%	520	37%	74	5.3%	15	1.07%	71	5.0%

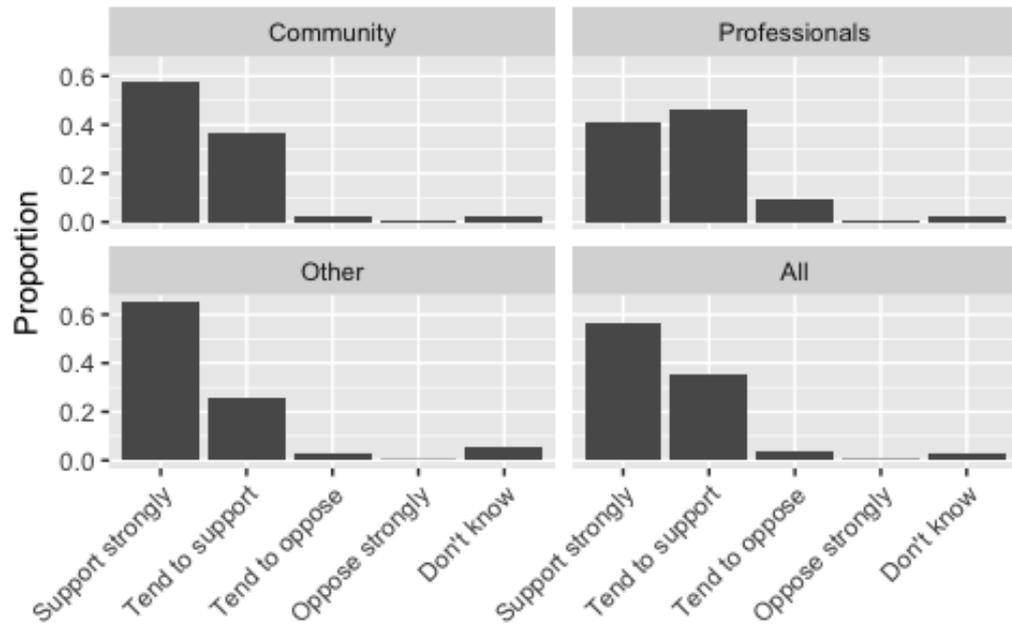
Q3.5. Ensure that communities of interest as well as local communities engage with the planning system.



RespondentCat
 Support strongly
 Percentage
 Tend to support
 Percentage
 Tend to oppose
 Percentage
 Oppose strongly
 Percentage
 Don't know
 Percentage

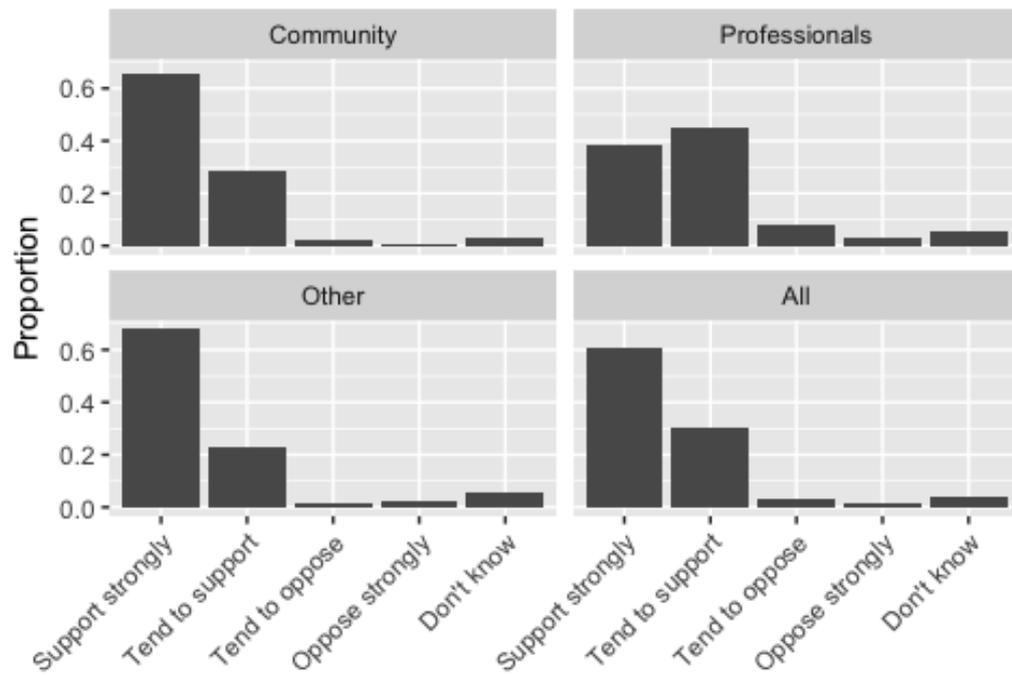
Community	394	52%	296	39%	26	3.4%	7	0.93%	33	4.4%
Professionals	87	32%	137	51%	22	8.2%	6	2.24%	16	6.0%
Other	209	55%	137	36%	10	2.6%	6	1.58%	18	4.7%
All	690	49%	570	41%	58	4.1%	19	1.35%	67	4.8%

Q3.6. Every council should have an engagement strategy with specific plans to reach underrepresented and seldom-heard groups.



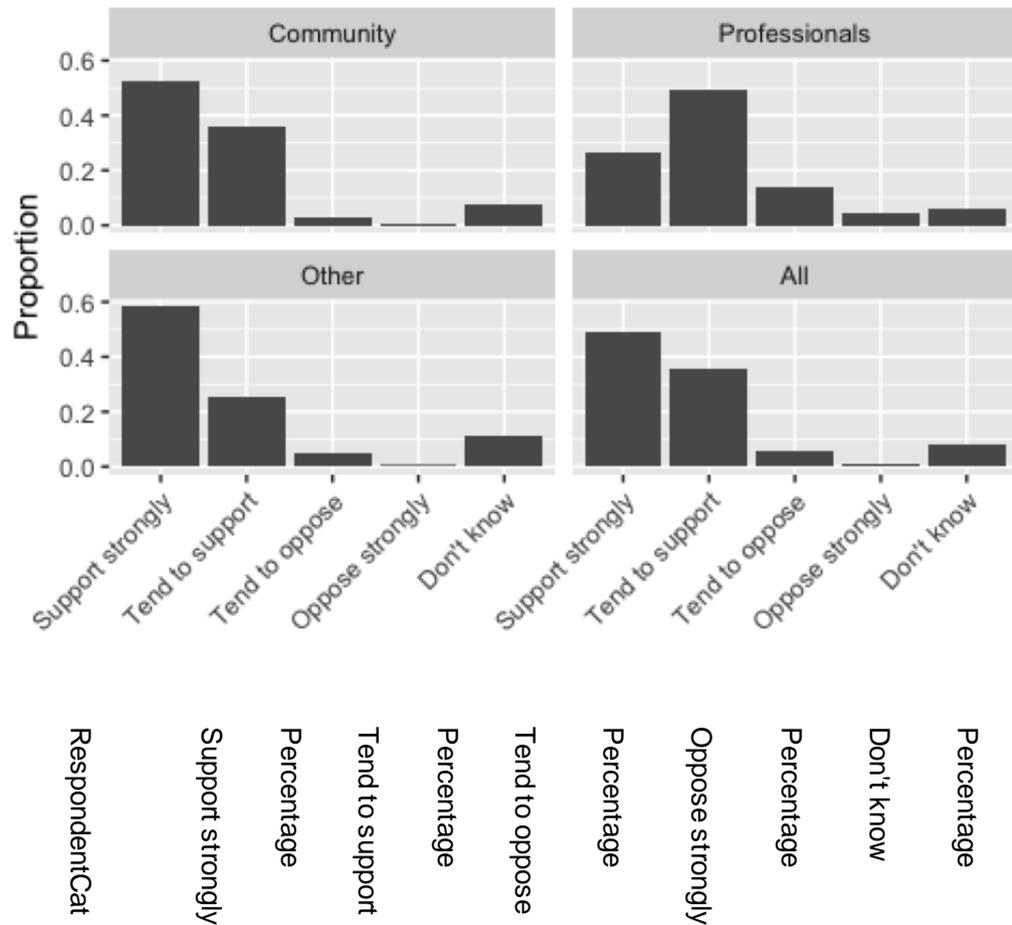
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	439	58%	279	37%	20	2.6%	2	0.26%	18	2.4%
Professionals	110	41%	125	47%	25	9.3%	2	0.75%	6	2.2%
Other	246	65%	99	26%	12	3.2%	1	0.26%	21	5.5%
All	795	57%	503	36%	57	4.1%	5	0.36%	45	3.2%

Q3.7. Draw up a code of conduct for all parties involved in the planning system, setting out rights and responsibilities.



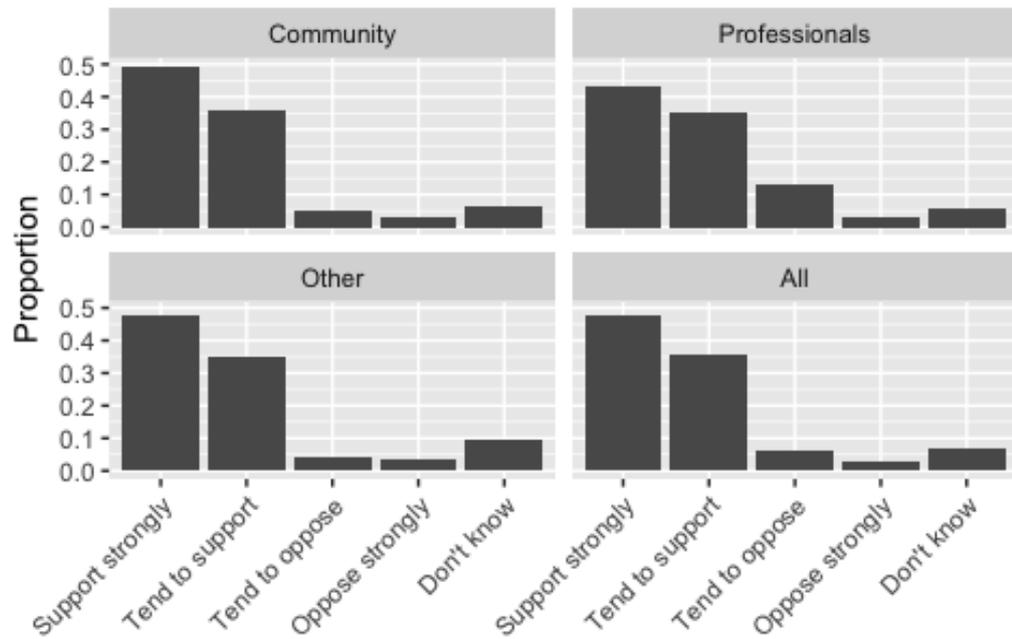
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	496	66%	216	29%	16	2.1%	2	0.26%	26	3.4%
Professionals	102	38%	120	45%	22	8.2%	9	3.37%	14	5.2%
Other	258	68%	87	23%	7	1.8%	8	2.11%	20	5.3%
All	856	61%	423	30%	45	3.2%	19	1.35%	60	4.3%

Q3.8. Establish and monitor a quality standard for engagement in the planning system based on the National Standards for Community Engagement.



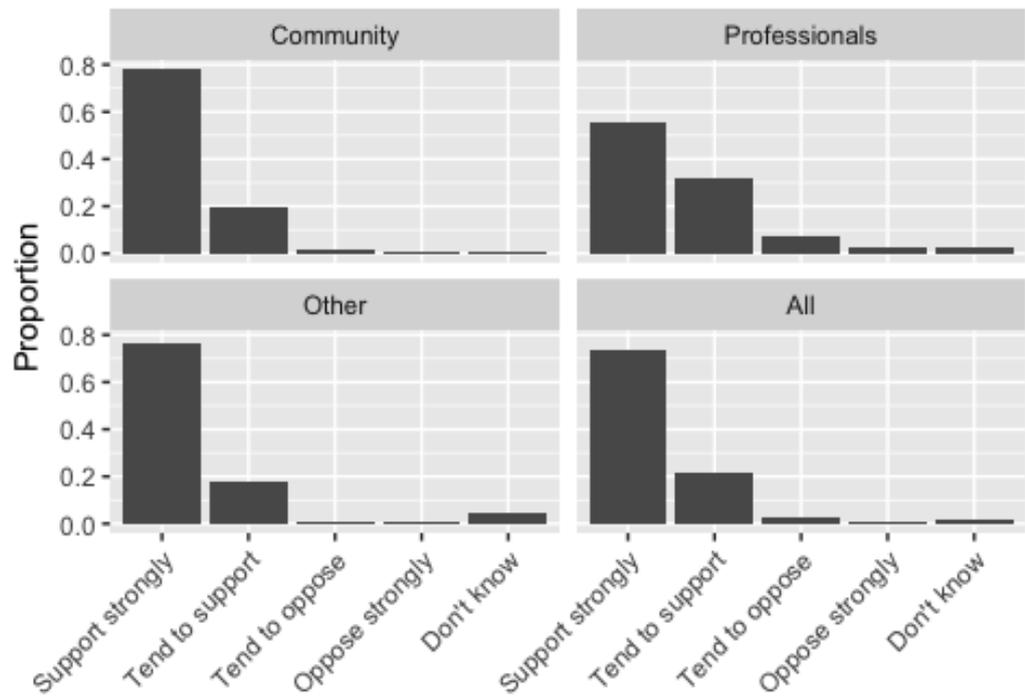
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	400	53%	273	36%	21	2.8%	4	0.53%	60	7.9%
Professionals	71	27%	130	49%	37	14.0%	11	4.15%	16	6.0%
Other	220	58%	95	25%	20	5.3%	2	0.53%	41	10.8%
All	691	49%	498	36%	78	5.6%	17	1.21%	117	8.3%

Q3.9. Reaffirm the independence of local authority planners and require them to act as mediators and experts serving developers and communities.



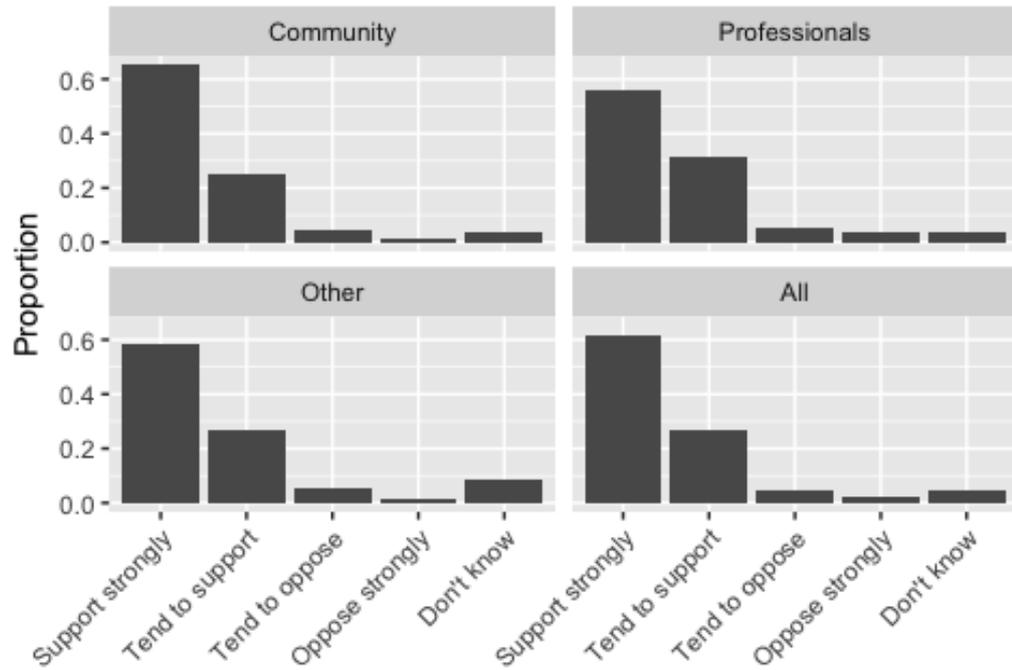
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	375	50%	274	36%	38	5.0%	23	3.0%	47	6.2%
Professionals	117	43%	94	35%	35	13.0%	8	3.0%	15	5.6%
Other	180	48%	132	35%	16	4.3%	12	3.2%	36	9.6%
All	672	48%	500	36%	89	6.3%	43	3.1%	98	7.0%

Q3.10. Planners need to have the confidence to challenge developers to deliver better placemaking.



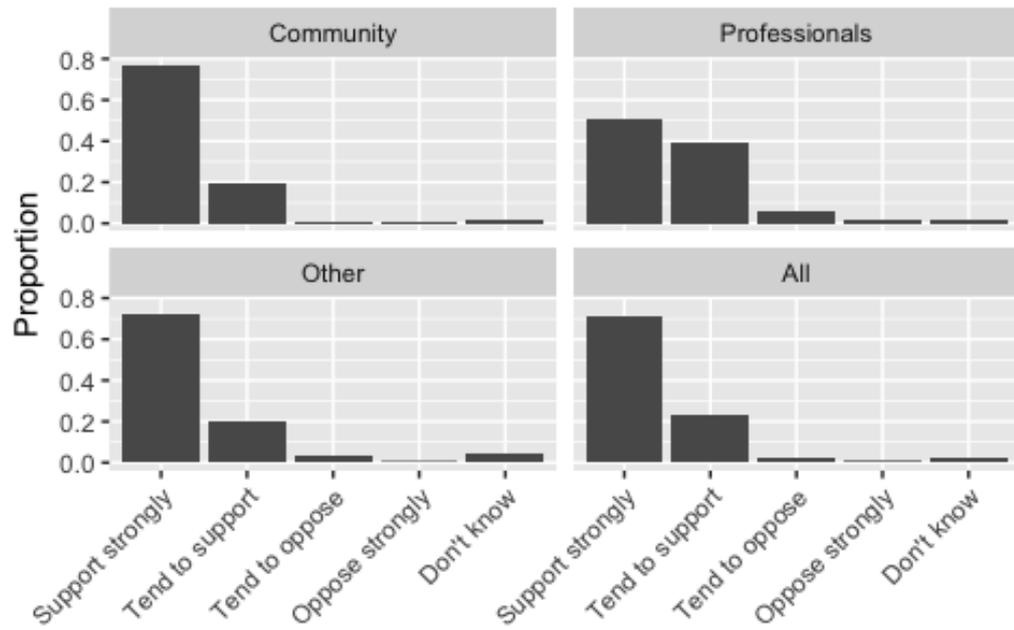
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	594	78%	148	19%	10	1.31%	2	0.26%	7	0.92%
Professionals	149	55%	86	32%	20	7.43%	8	2.97%	6	2.23%
Other	289	77%	67	18%	2	0.53%	2	0.53%	16	4.26%
All	1032	73%	301	21%	32	2.28%	12	0.85%	29	2.06%

Q3.11. A clear statement by Government that the primary purpose of the planning system is to create great places.



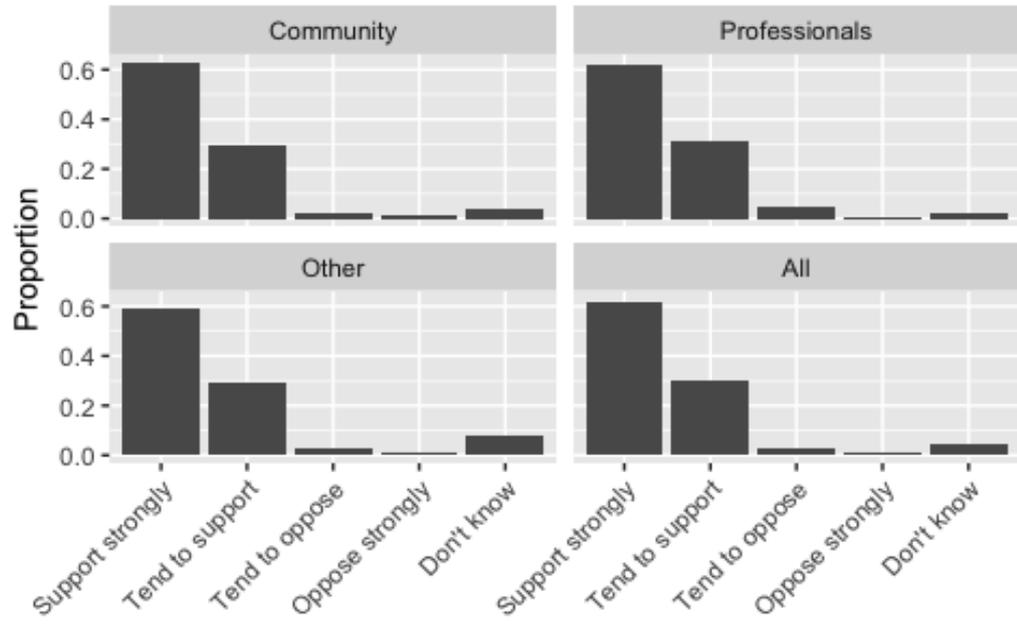
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	493	65%	190	25%	32	4.2%	10	1.3%	30	4.0%
Professionals	150	56%	84	31%	15	5.6%	10	3.7%	9	3.4%
Other	220	58%	101	27%	19	5.0%	6	1.6%	31	8.2%
All	863	62%	375	27%	66	4.7%	26	1.9%	70	5.0%

Q3.12. The planning system should be equally concerned with quality, sustainability and community resilience as with the amount, type and location of development.



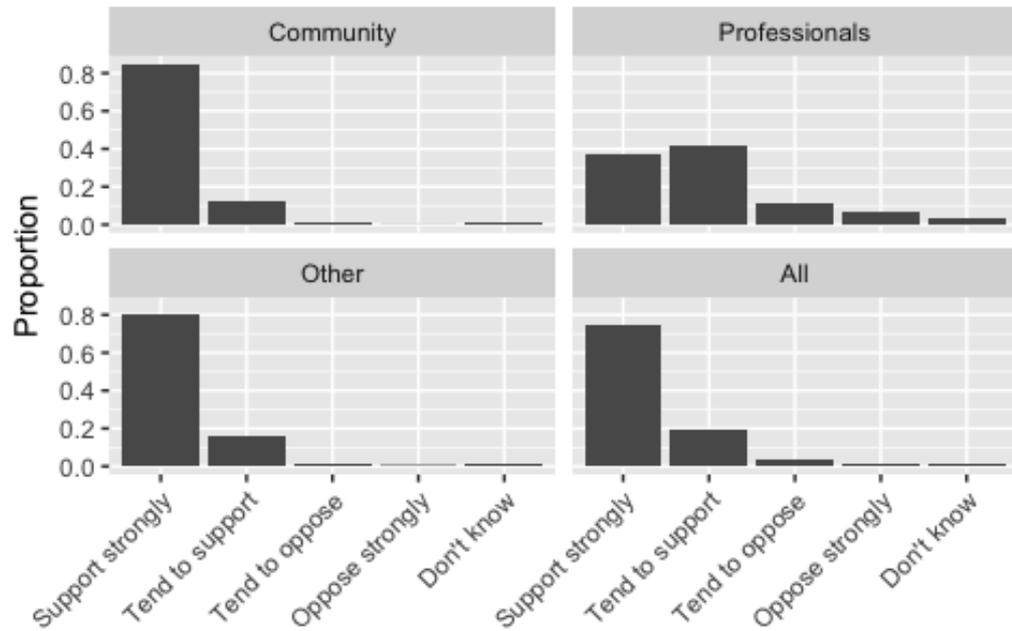
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	587	77%	149	20%	9	1.2%	3	0.39%	14	1.8%
Professionals	135	51%	105	40%	15	5.7%	5	1.89%	4	1.5%
Other	274	73%	74	20%	11	2.9%	2	0.53%	16	4.2%
All	996	71%	328	23%	35	2.5%	10	0.71%	34	2.4%

Q3.13. The Government should review the options for delivering transport and social infrastructure, including alternatives to developer contributions



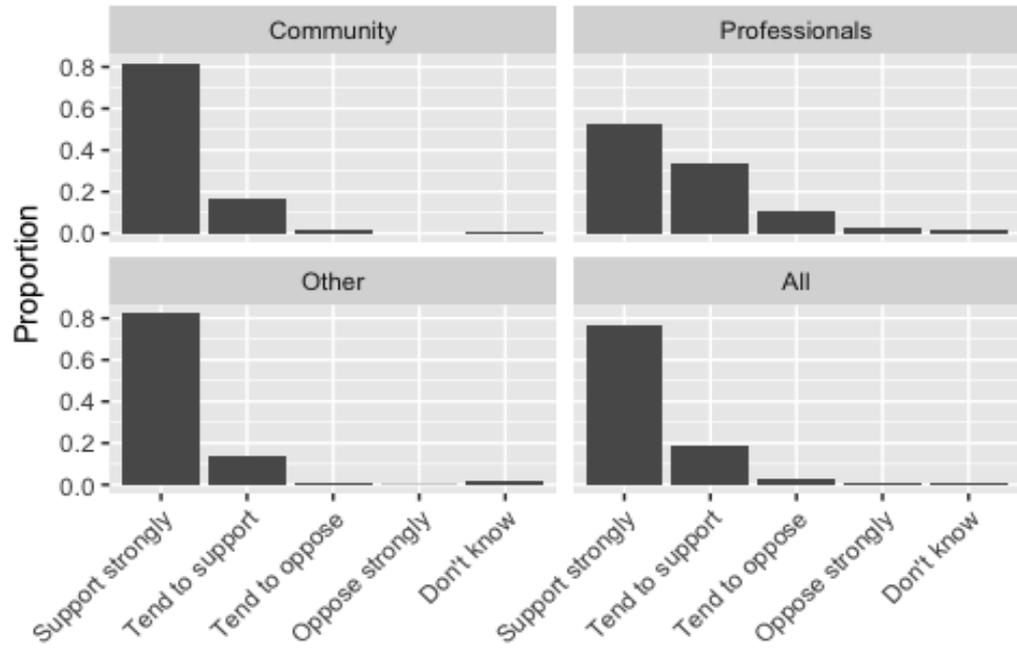
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	480	63%	225	30%	14	1.8%	9	1.18%	32	4.2%
Professionals	166	62%	83	31%	12	4.5%	1	0.37%	7	2.6%
Other	224	59%	111	29%	11	2.9%	4	1.05%	30	7.9%
All	870	62%	419	30%	37	2.6%	14	0.99%	69	4.9%

Q3.14. Communities should always get feedback on their representations and a clear statement saying if and how their views have been taken on board.



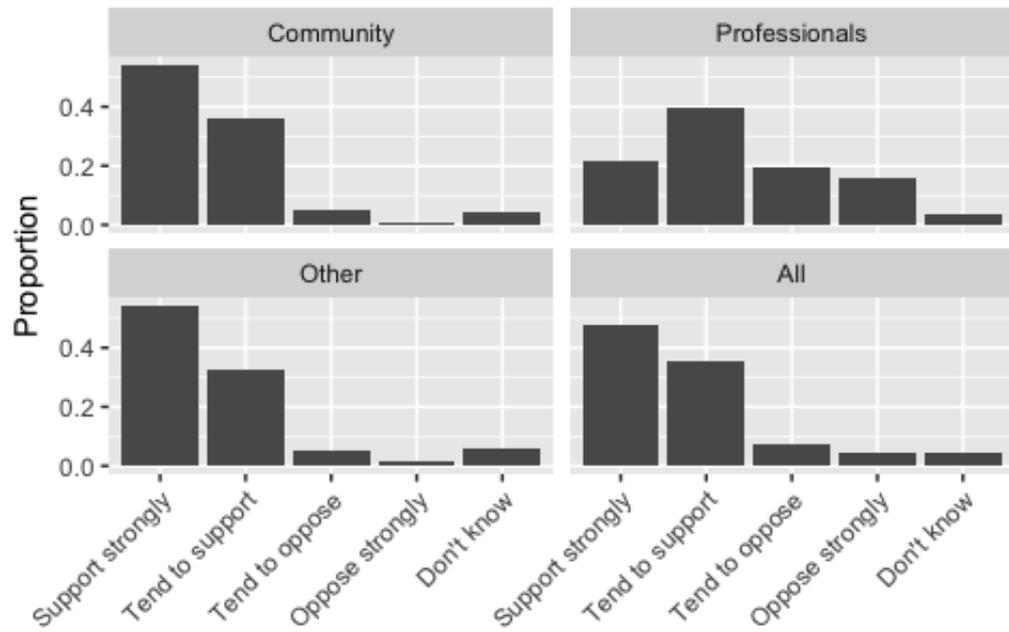
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	645	85%	93	12%	12	1.6%	1	0.13%	8	1.1%
Professionals	99	37%	111	41%	31	11.6%	18	6.72%	9	3.4%
Other	305	80%	63	16%	4	1.0%	2	0.52%	7	1.8%
All	1049	74%	267	19%	47	3.3%	21	1.49%	24	1.7%

Q3.15. Every aspect of the planning system should be conducted in jargon-free plain English.



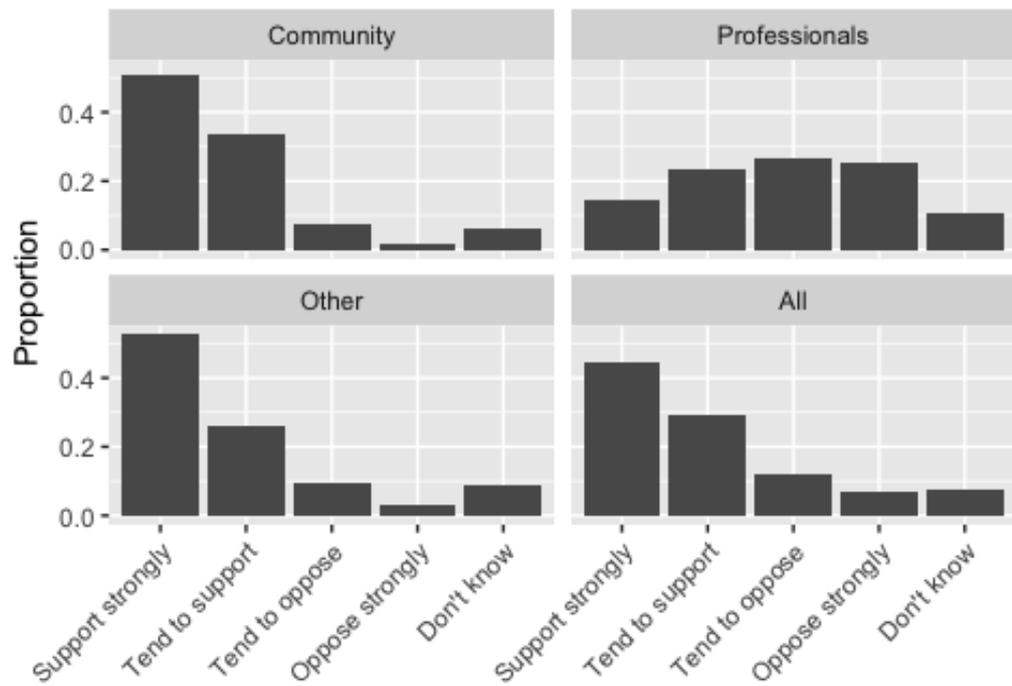
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	622	82%	125	16%	10	1.3%	NA	NA%	6	0.79%
Professionals	141	52%	90	34%	28	10.4%	6	2.23%	4	1.49%
Other	312	82%	54	14%	5	1.3%	1	0.26%	7	1.85%
All	1075	76%	269	19%	43	3.1%	7	0.50%	17	1.20%

Q3.16. Every planning application of significant scale should be accompanied by relevant, accurate, easy-to-interpret 3-D visualisations.



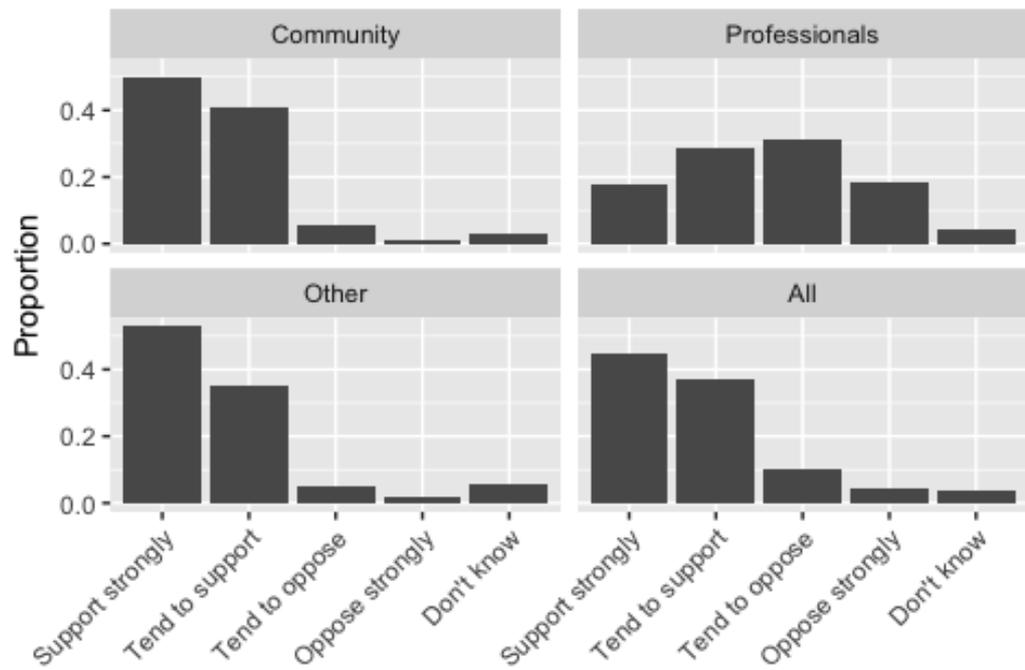
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	410	54%	270	36%	36	4.8%	8	1.1%	32	4.2%
Professionals	57	21%	105	39%	51	19.2%	43	16.2%	10	3.8%
Other	207	54%	124	33%	21	5.5%	7	1.8%	22	5.8%
All	674	48%	499	36%	108	7.7%	58	4.1%	64	4.6%

Q3.17. Community engagement processes should be conducted by an independent facilitator answerable to the community.



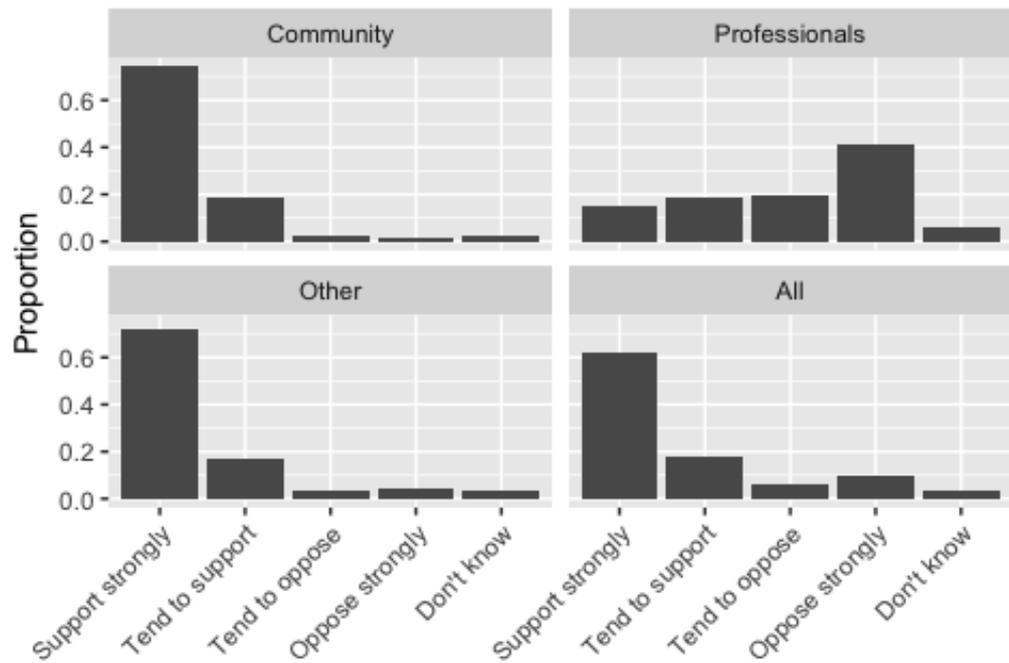
RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	384	51%	254	34%	58	7.7%	15	2.0%	46	6.1%
Professionals	39	15%	62	23%	71	26.5%	68	25.4%	28	10.5%
Other	200	53%	98	26%	37	9.7%	12	3.2%	33	8.7%
All	623	44%	414	30%	166	11.8%	95	6.8%	107	7.6%

Q3.18. Engagement processes should meet people on their terms, on their turf, at times of their choosing.



RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	378	50%	308	41%	43	5.7%	6	0.8%	21	2.8%
Professionals	48	18%	77	29%	84	31.2%	49	18.2%	11	4.1%
Other	201	53%	134	35%	18	4.7%	6	1.6%	21	5.5%
All	627	45%	519	37%	145	10.3%	61	4.3%	53	3.8%

Q3.19. The Government should explore options for a balanced right of appeal against planning decisions.

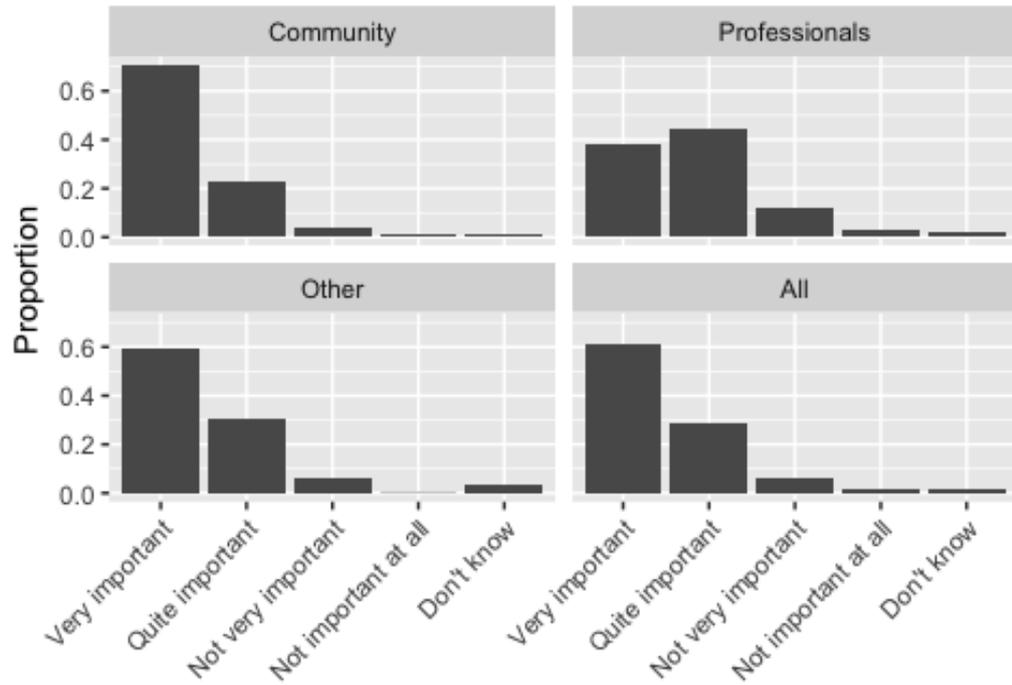


RespondentCat	Support strongly	Percentage	Tend to support	Percentage	Tend to oppose	Percentage	Oppose strongly	Percentage	Don't know	Percentage
Community	564	74%	141	19%	21	2.8%	11	1.5%	21	2.8%
Professionals	39	15%	49	18%	53	19.9%	110	41.4%	15	5.6%
Other	273	72%	65	17%	13	3.4%	16	4.2%	14	3.7%
All	876	62%	255	18%	87	6.2%	137	9.8%	50	3.6%

7. Survey Part 4: implementation

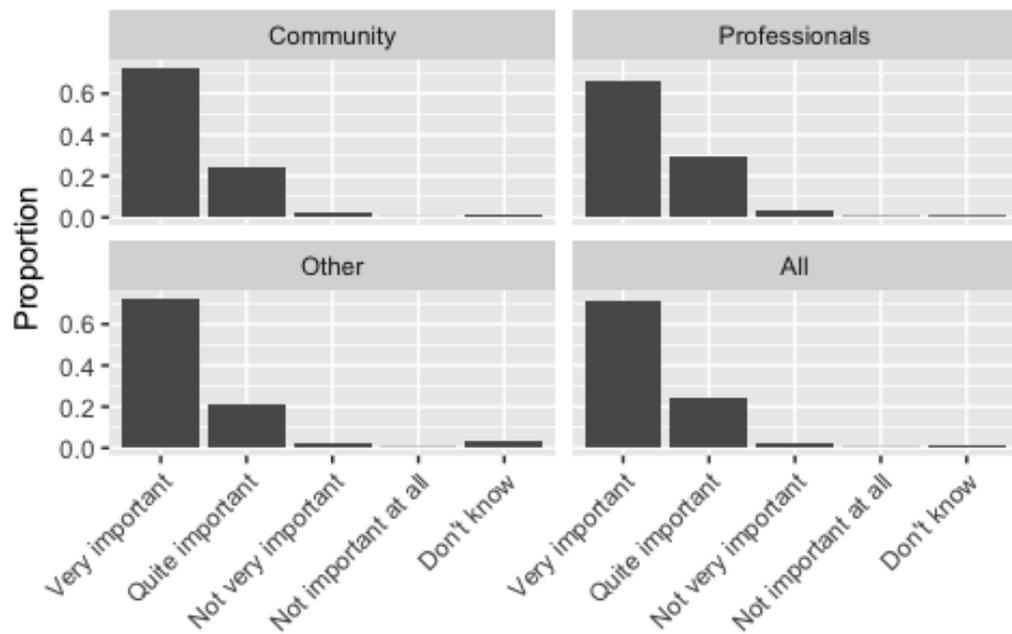
How important will the following factors be in implementing effective community engagement in planning?

Q4.1. Establishing a network of strong, active community councils and other organisations across Scotland.



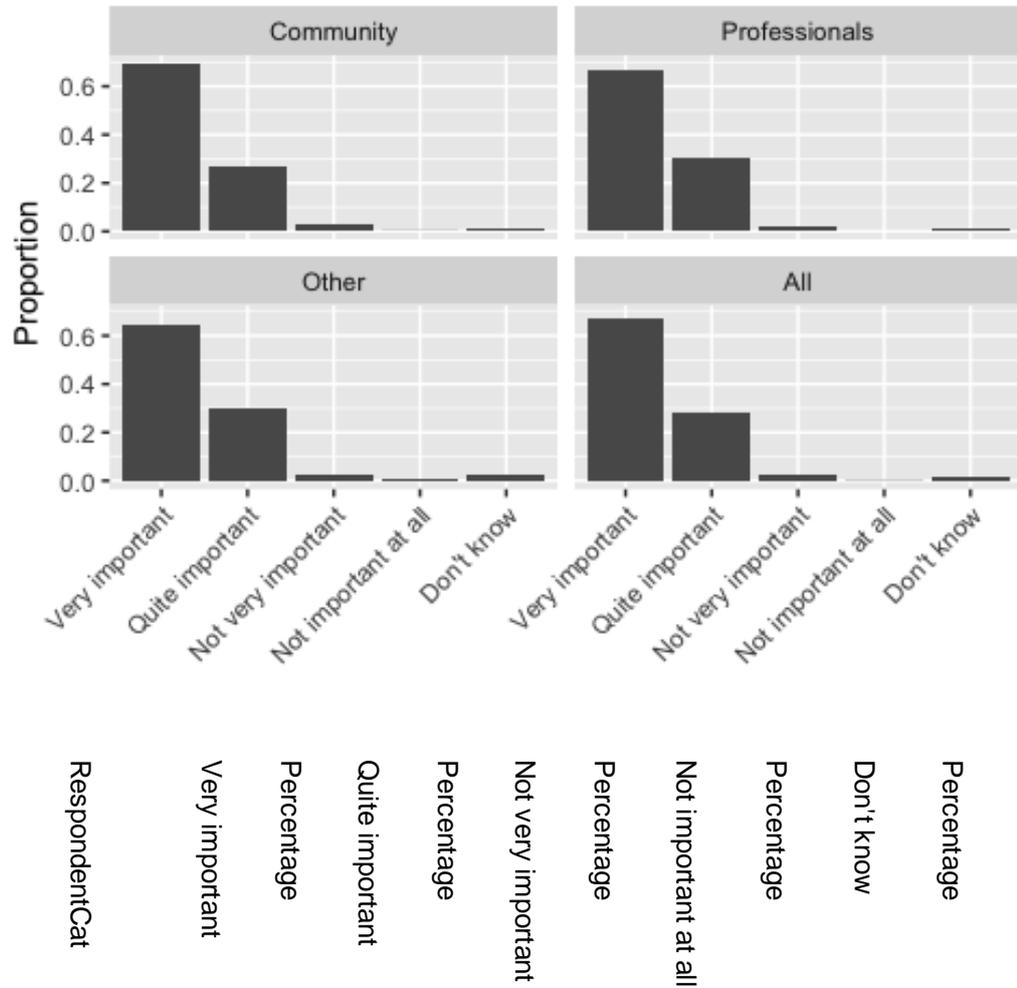
RespondentCat	Very important	Percentage	Quite important	Percentage	Not very important	Percentage	Not important at all	Percentage	Don't know	Percentage
Community	532	71%	173	23%	30	4.0%	10	1.33%	8	1.1%
Professionals	100	38%	116	44%	31	11.9%	8	3.07%	6	2.3%
Other	226	60%	117	31%	23	6.1%	1	0.26%	13	3.4%
All	858	62%	406	29%	84	6.0%	19	1.36%	27	1.9%

Q4.2. Improving the knowledge, skills and understanding of community representatives and campaigners, especially in disadvantaged areas.



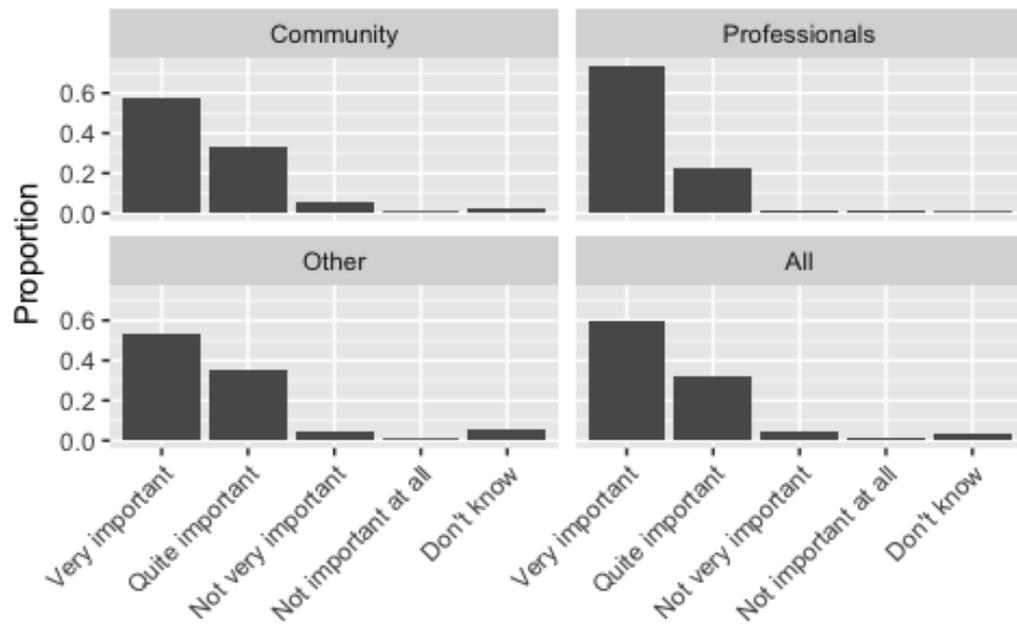
RespondentCat	Very important	Quite important	Not very important	Not important at all	Don't know
Community	548 73%	182 24%	15 2.0%	1 0.13%	7 0.93%
Professionals	172 66%	77 29%	10 3.8%	1 0.38%	2 0.76%
Other	272 73%	81 22%	9 2.4%	1 0.27%	11 2.94%
All	992 71%	340 24%	34 2.5%	3 0.22%	20 1.44%

Q4.3. Educating communities, including young people in the importance and value of planning.



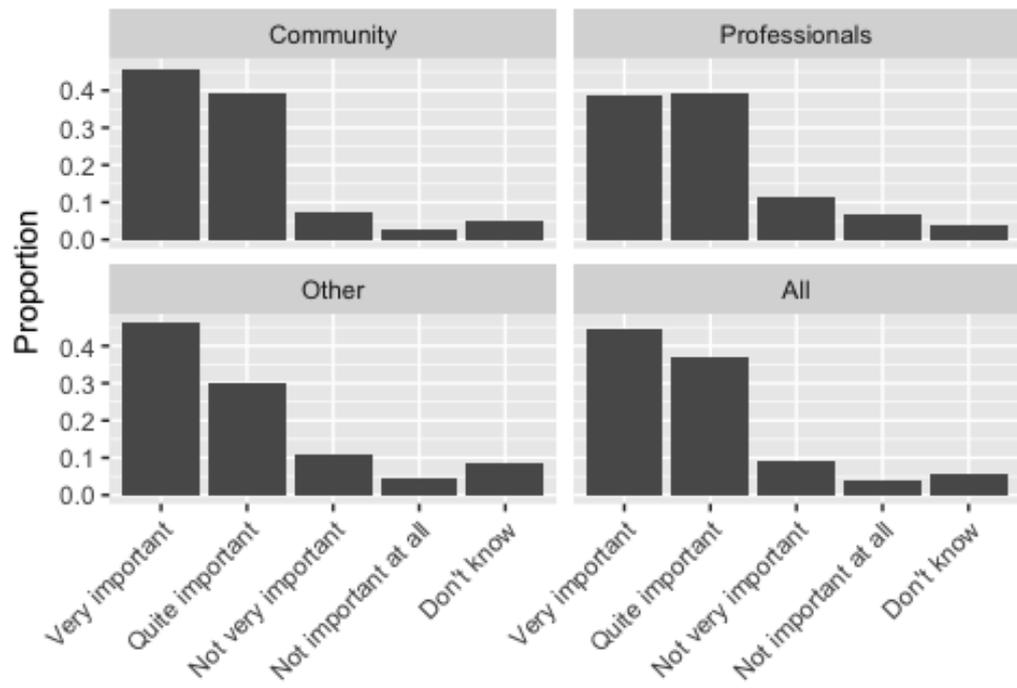
RespondentCat	Very important	Percentage	Quite important	Percentage	Not very important	Percentage	Not important at all	Percentage	Don't know	Percentage
Community	521	69%	201	27%	21	2.8%	1	0.13%	7	0.93%
Professionals	175	67%	79	30%	6	2.3%	NA	NA%	2	0.76%
Other	243	64%	112	30%	11	2.9%	2	0.53%	10	2.65%
All	939	68%	392	28%	38	2.7%	3	0.22%	19	1.37%

Q4.4. Strengthening the status and influence of planning as a core function of local government, high on the strategic agenda.



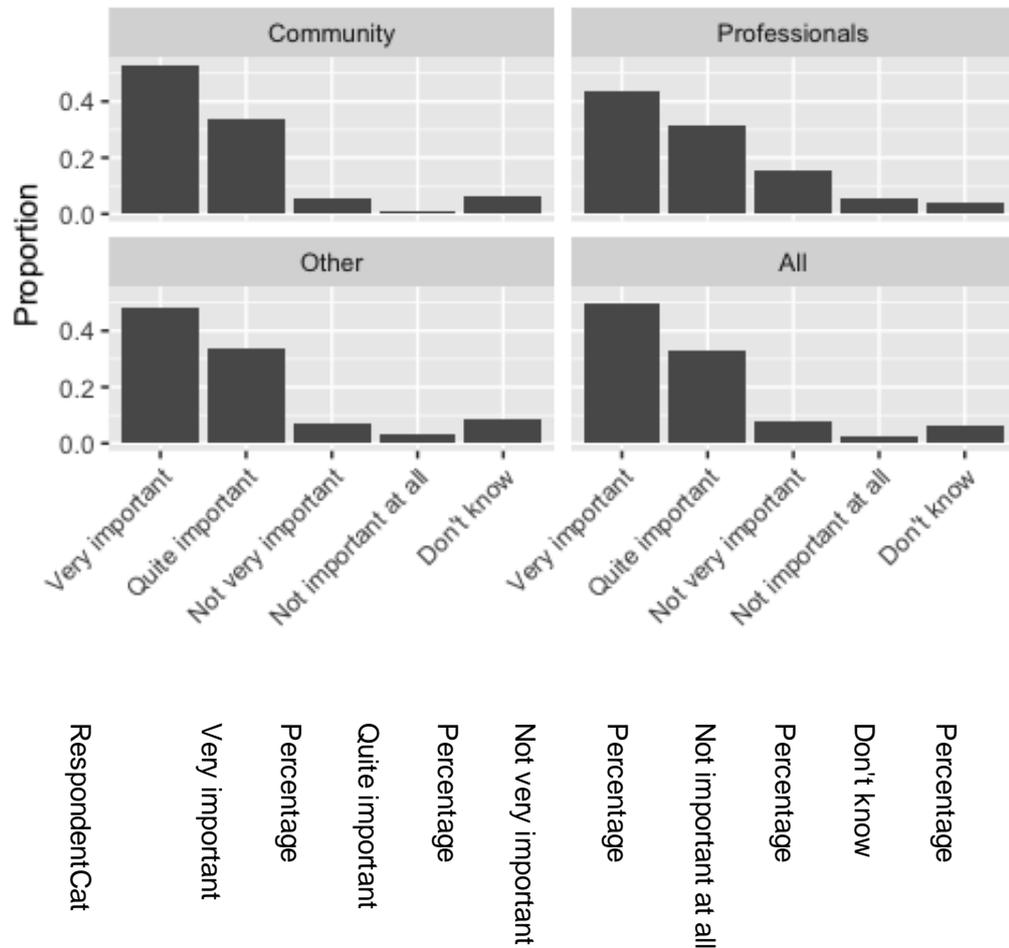
RespondentCat	Very important	Quite important	Not very important	Not important at all	Don't know
Community	435 58%	252 34%	39 5.2%	6 0.80%	19 2.53%
Professionals	193 74%	59 23%	4 1.5%	3 1.15%	2 0.77%
Other	202 54%	133 35%	19 5.0%	3 0.80%	20 5.31%
All	830 60%	444 32%	62 4.5%	12 0.86%	41 2.95%

Q4.5. Reskilling planning/local authority planners as mediators and facilitators.



RespondentCat	Very important	Percentage	Quite important	Percentage	Not very important	Percentage	Not important at all	Percentage	Don't know	Percentage
Community	340	45%	295	39%	57	7.6%	19	2.5%	38	5.1%
Professionals	101	39%	103	39%	30	11.5%	17	6.5%	10	3.8%
Other	175	46%	113	30%	41	10.8%	17	4.5%	32	8.5%
All	616	44%	511	37%	128	9.2%	53	3.8%	80	5.8%

Q4.6. Ring-fencing resources to support the production of local place plans and the implementation of a Scotland-wide strategy for engagement in planning.



RespondentCat	Very important	Percentage	Quite important	Percentage	Not very important	Percentage	Not important at all	Percentage	Don't know	Percentage
Community	400	53%	253	34%	41	5.4%	9	1.2%	50	6.6%
Professionals	114	44%	83	32%	40	15.3%	15	5.7%	10	3.8%
Other	183	49%	126	33%	26	6.9%	11	2.9%	31	8.2%
All	697	50%	462	33%	107	7.7%	35	2.5%	91	6.5%

ANNEX 3: CONSULTATIONS AND WORKSHOPS

1. Consultations

To help establish an agenda for the study and identify issues for consideration, we had exploratory discussions with the following:

Irene Beautyman, Improvement Service
Petra Biberbach, PAS
Angus Hardie, Scottish Community Alliance
Tony Harris, Edinburgh Association of Community Councils
David Leslie, City of Edinburgh Council
Nikola Miller, Homes for Scotland
Robert Nicol, COSLA
Chris Oswald, Equality and Human Rights Commission
Clare Symonds, Planning Democracy

We also benefited from numerous informal discussions with colleagues and other interested parties. We attended a workshop on Rights of Appeal, organised by Kevin Murray Associates (November 2016).

2. Workshops

The consultant team organised and facilitated four workshop sessions. The format for the first three workshops was the same, and was designed to examine people's experience of community engagement in planning, to explore the barriers to engagement and to consider ways in which those barriers were overcome. The fourth workshop (described as a "policy forum") reviewed the outcomes of the previous workshops and the emerging findings of the literature review.

Workshop 1: Edinburgh, 14 November 2016

Colin Rennie	Fields in Trust, Scotland
Sue Hamilton	Charlestown, Limekilns and Pattiesmuir Community Council
William David	Howwood Community Council
Barbie Lyon	Dalry Colonies Residents' Association
Ian McCall	Paths for All
Alan Gow	Macmillan Cancer Support
Bill Sadler	Grantown on Spey and Vicinity Community Council
John Cassidy	Scottish Communities for Health and Wellbeing
Ross McEwan	Granton Improvement Society
Lorraine Gillies	Audit Scotland
Carol Chamberlain	NHS Lanarkshire
Charlie Cumming	Edinburgh & Lothians Greenspace Trust
Suzanne Munday	MECCOP
Lesley Kay	North Berwick Coastal Area Partnership
Marion Williams	The Cockburn Association
David Somervell	Transition Edinburgh
Julia Frost	PAS
Isabella Gorska	Riverside Community Council
Richard Allen	Fountainbridge Canalside Initiative
Patricia Rodger	Community Collective Advocacy Development
Catriona Windle	Health All Round
Ann Donnam	Safe Space
Julie Smith	Volunteer Edinburgh/Community Action North

Workshop 2: Aberdeen, 15 November 2016

Fiona Bick	Echt & Skene Community Council
Tessa Jones	Badenoch & Strathspey Conservation Group
Piers Blaxter	Aberdeenshire Council
Audrey Harvey	Braeside and Mannofield Community Council
David Fryer	Torry Community Council
Karen Pryce-Iddon	Strathisla Community Council
Peter Fitch	Innes Community Council and Moray Men's Sheds
Linda Smith	Aberdeen Health & Social care Partnership
Bob Davidson	Tarves Community Council
Lavina Massie	Civic Forum and Culter Community Council
Lee Haxton	Cairngorms National Park Authority
David Murray	Udny Community Trust Ltd
Simon McLean	
Laura Young	Station House Media Unit
Gordon Wilson	Castlehill & Pittodrie Community Council
Jonathan Smith	Community Council and Aberdeen Civic Forum
Ken Hutcheon	Queens Cross Community Council Aberdeen
Linda Presslie	Froghall, Powis & Sunnybank Community Council
Claire McArthur	Aberdeen City Council
Louise McCafferty	Mastrick, Sheddocksley & Summerhill Community Council
Susan Thoms	Tillydrone Community Development Trust
Peter Roberts	Cults, Bielside & Milltimber Community Council

William Skidmore	
Ian Baird	Torry resident
Betty Lyon	Torry Community Council

Workshop 3: Kilmarnock, 17 November 2016

Ainslie Kennedy	University of Strathclyde
William Binks	Howwood Community Council
Duncan Adam	Lochwinnoch Community Council
Alastair Adamson	Dalry Community Development Hub
Emma Halliday	greenspace scotland
Laura Barnfield	
Laura Twaddell	Prestwick North Community Council
John Mulholland	Symington Community Council
Jillian Mulholland	Symington Community Council
Dugald McIntyre	Symington Pavilion Committee
Shaun Lowrie	Lloyds TSB Foundation for Scotland
Cat Hester	North Ayrshire Council
Clare Laurenson	East Ayrshire Council
Rory Brown	CVO East Ayrshire
Alistair Murison	CVO East Ayrshire
Bill Fraser	The Pollokshields Trust
Niall Murphy	Pollokshields Community Council
Colin McKee	East Ayrshire Council
Bill Frew	Canonbie & District Residents Association
Loraine Frew	Canonbie & District Residents Association
Clara McGhee	
Elizabeth Palmer	Dundonald Action Group
Bryan Anthony	Dundonald Action Group
Marie Palmer	Dundonald Action Group

Workshop 4 (Policy Forum): Edinburgh, 6 December 2016

Ruth Mulvenna	Improvement Service
Trevor Moffat	Improvement Service
Tony Harris	Edinburgh Association of Community Councils
David Prescott	Dunblane Community Council
Angus Hardie	Scottish Community Alliance
Julia Frost	PAS
David Love	East Ayrshire Council
Claire McArthur	Aberdeen City Council
Eve McCurrich	Whiteburn Projects
Cathy McCulloch	Children's Parliament
Clare Symonds	Planning Democracy
Graham Robinson	Scottish Government
Ian Gilzean	Scottish Government
Nikola Miller	Homes for Scotland
Jacqueline Stables	SURF
Julie Robertson	Dundee City Council