



Programme Area: Smart Systems and Heat

Project: Planning Permission

Title: Community Engagement Report

Abstract:

Achieving relevant planning permission is key to both the short and long-term success of Smart Systems and Heat. Volume Two reviews the current policy, pinpointing relevant mechanisms for achieving the necessary transition to future-proof local energy solutions. The report provides the reader with an understanding of existing planning policy and planning requirements as associated with a future SSH market. In addition the work provides a plan and budget to achieve planning consent. Volume Three : Appropriate and effective community engagement will be an essential facet of the successful delivery of SSH. This report provides the ETI with a greater understanding & recommendations of successful community engagement mechanisms undertaken by either local authorities and /or their allocated delivery partners.

Context:

The project will bring an understanding of existing planning policy and planning requirements, policy gaps as associated with a future Smart Systems and Heat (SSH) market, more certainty on future timelines/budget, key risks/benefits, define a Town Planning strategy for Phase 2 and establish key Planning Officer relationships. In addition the work will provide a plan and budget to achieve planning consent and also start the process for achieving planning consents for chosen locations.

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Community Engagement Practice

Smart Systems and Heat Programme
**Best Practice and Pitfalls of Engagement –Final
Report**

November 2014



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Executive Summary

This report investigates best practice and potential pitfalls in community engagement to inform the roll out of the Energy Technologies Institute's ("ETI") energy efficiency software the EnergyPath Networks tool¹.

This research begins with a detailed review of the literature that examines community engagement for energy and non-energy infrastructure projects, incorporating insight from Government, academic exercises and non-statutory expert bodies. This desk top research is supported by a number of in depth interviews with those responsible for community engagement in four UK local authority areas: Newcastle City Council, Leeds City Council, Cornwall County Council and the Greater Manchester Combined Authority.

In addition, these UK case studies we examine some international examples Bottrop (a German city in the Ruhr Valley that is currently embarking on an all-encompassing city-wide energy efficiency scheme) and the Energiesprong pilot project in Tilburg, The Netherlands. The final element of primary research is interviews conducted with the community engagement team at the two major non-energy infrastructure projects, Crossrail and the Thames Tidal Gateway project in London. Using the primary and desktop research, a range of key principles and methods of community engagement for the roll out of the EnergyPath Networks tool are identified as key findings.

In terms of best practice methods, we set out a range of examples related to types of engagement: for example, we cover methods of engagement with regard to 'informing', which involves providing information, to 'gathering information' which involves gaining an insight into comments, questions and concerns that people have. In addition, we have considered methods with regard to 'involving', i.e. providing opportunities for all parties involved in a project to become actively involved and whereby the process provides a genuine opportunity for the local community to have an influence on particular proposals or initiatives. We make the important point of the need to recognise that too rigid a categorisation of methods can in some case, inhibit creativity, which is an important factor to retain if engagement is to be effective.

In terms of the question of community ownership, overall, it is concluded that there is no clear evidence at this stage that an element of community ownership in developing energy infrastructure assists in achieving widespread public support.

We set out our recommended approach to engagement with local communities for the EnergyPath Networks tool model. A key finding is that there is no 'one size fits all approach' to community engagement and a bespoke approach is needed, tailored to individual communities and local contexts.

We also set out a number of best practice principles of community engagement which we recommended are taken forward by the ETI. In summary, and posed in the form of a number of questions, they are as follows:-

- The need to consider whether the ETI and its partners have sufficient resources in place and time allocated for engagement? In this regard it will therefore be important for the ETI to ensure that sufficient time and resources are programmed to include for careful consideration of the approach to community engagement and that it is properly planned for.
- Does the ETI have clear objectives and anticipated outcomes for the engagement process? In this regard it will be essential to understand at the outset, the purpose of the community engagement exercise and to be clear as to why 'something has to be done' creating a strategic as well as a local narrative that can be supported by partners and local stakeholders.

¹ EnergyPath is a 'Suite of Tools' including EnergyPath Networks, EnergyPath Operations and an Economic Benefits Tool.

- Is the ETI clear on the extent to which decision making on proposals that could emerge from the EnergyPath Networks tool can be influenced by local people and stakeholders? The ETI will in this regard, need to clear in communicating the parameters of change on which the local community can have an influence upon.

In addition, there will be a number of specific questions to be posed on the approach to local engagement and these will include matters such as:-

- What is the best 'brand' for successful / effective community engagement – a local or national brand (or a combination of both)? This is likely to be a consideration best dealt with on a case by case basis and will depend on whether or not there is effective best practice existing at a local authority level. If there is effective practice, then there is a question as to whether it should be 'piggy-backed' upon or not. Therefore, a primary action for the ETI is likely to be to determine if the local area stakeholder / local authority already has a well recognised, trusted and effective mechanism for community engagement in place. A determination should be made as to whether or not such mechanism are applicable for the purposes of the the EnergyPath Networks tool.
- Consideration will need to be made of the value of using the local authority as trusted brand? A key question will therefore be: is the local authority brand in place in the local area a good one across all communities / demographics, or is it likely to have a negative impact on perceptions if used as the lead brand in certain situations? The case study examples that we have examined have indicated that in general, the local authority brand is one that is trusted and has been effectively utilised in numerous local areas to good effect.

The recommended approach we have set out to community engagement follows a number of 'development stages' namely:-

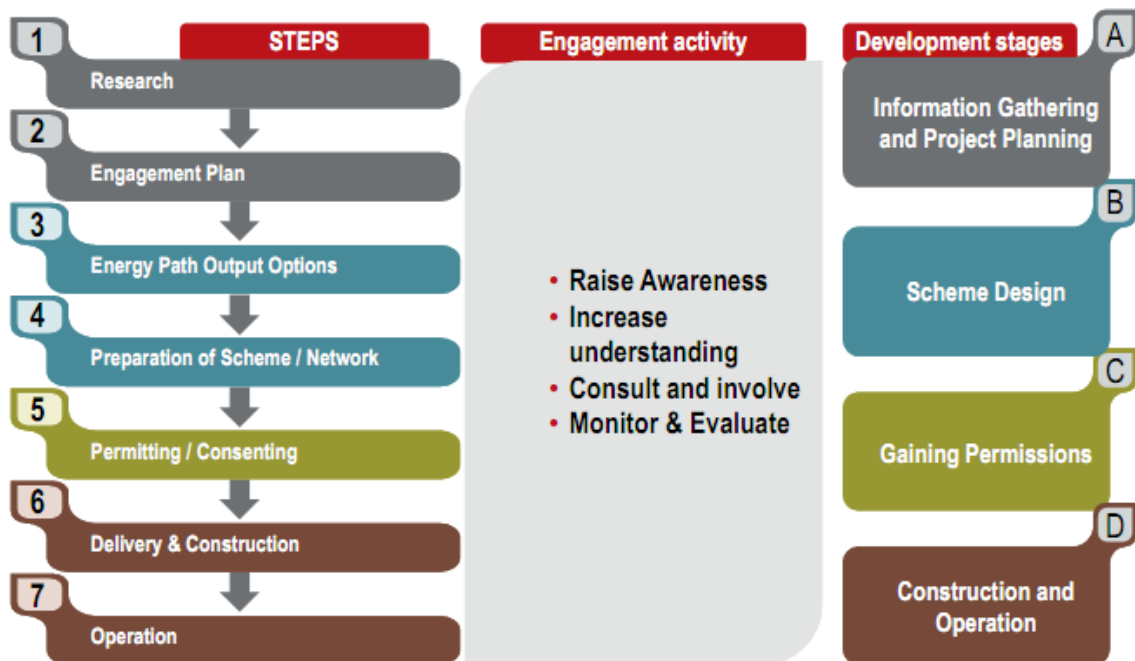
- Stage A – information gathering and project planning;
- Stage B – scheme design;
- Stage C – gaining permissions (statutory and non-statutory) and
- Stage D – construction and operation.

These are shown in the Figure below. Related to each development stage are a number of 'engagement steps'.

For each engagement step we have set out suggested engagement objectives together with appropriate indicative engagement methods which could be followed for each, with specific regard to:-

- Raising awareness;
- Building understanding;
- Consulting and involving; and
- Monitoring and evaluating.

Recommended Stages of Community Engagement for The EnergyPath Networks Tool



We also provide recommendations on next steps and these include:-

- Consideration of the preparation of a piloting Engagement Plan with the EnergyPath Networks tool demonstrator project.
- Following review of the Thames Tideway interactive website, it is suggested that ETI consider adapting a similar approach whereby people could use a website as an online learning resource to understand, in simple terms, what the EnergyPath Networks tool is and how it works. An approach could be to put in place a 'simple' community friendly electronic version of the EnergyPath Networks tool which would allow users to run say three 'dummy' scenarios.

It should also be noted that the recommendations in this Report are focused on the post initial trial period (with three selected local authorities) and supposes that the reasoning behind the selection was that local authorities selected are involved in effective good practice community engagement. During the trial more lessons will be learned which, combined with the recommendations from this Report, will support good practice community engagement in the potential role out of the ETI's Smart Systems and Heat Programme across the UK.

1 Introduction

1.1 Background

1.1.1 Jones Lang LaSalle (“JLL”) has been instructed by the Energy Technologies Institute (“ETI”) to provide planning and development advice with regard to aspects of the ETI Smart Systems and Heat Programme (the “SSH Programme”).

1.2 Background to the SSH Programme

1.2.1 The SSH Programme aims to create future-proof and economically efficient heating solutions for the UK. This means solutions that work in the present and immediate future with the ability to adapt to circumstances in the longer term. It means technical solutions that can be deployed and work in a market environment to the benefit of industry. It also means solutions tailored for specific locations, designed within a national context.

1.2.2 The SSH Programme is focused on the design of new systems that will enable the delivery of efficient heat and comfort to meet local domestic and business requirements across the UK. The systems are not restricted to district heating, and will also include a range of other technologies and approaches, including ground and air source heat pumps and building fabric retrofit solutions. Heat accounts for over 40% of the UK’s demand for energy with domestic heating accounting for almost of 20% of the UK’s carbon dioxide emissions.

1.2.3 The majority of domestic heating today is delivered through gas boilers. It is anticipated that their prominence will reduce over time as new approaches to heat supply, including heat networks and heat pumps are introduced and demand management, such as improved thermal efficiency of buildings increases.

1.2.4 The SSH Programme has two phases as follows:-

- Phase 1 (2012 – 2016): in this phase software tools will be developed to design location specific smart energy systems. The ETI will work with local authorities to create a small number of designs specific to their communities;
- Phase 2 (2016 – onwards): this phase is intended to see a demonstration of the designed local smart energy systems to prove the concept and methodology, importantly demonstrating that the capability and approach can be adopted nationally and to provide an evidence base for future supportive policy.

1.2.5 The JLL instruction is running in parallel with the broader ETI local authority engagement initiative which is to advise UK local authorities of the SSH Programme and to help design local smart energy systems with the use of The EnergyPath Networks tool.

1.3 Scope and Purpose of Study

1.3.1 The principal purpose of this commission is to help the ETI Smart Systems and Heat Team understand best practice in community engagement when implementing solutions into local urban areas proposed by the EnergyPath Networks tool.

1.3.2 The scope of this study, as set out in the Study Brief, covers three principal objectives as follows:-

Objective 1

1.3.3 ETI wishes to learn lessons from comparable previous ‘community’ engagement activities, including local energy projects (such as energy efficiency insulation schemes), but also taking account of practice in non-energy project development and engagement activity. Specifically in this regard, the ETI has objectives to:-

- Learn the best way to engage communities with local energy decisions; and
- Identify the pitfalls to avoid and seek to understand what specifically determines trust in engagement (specifically to establish what the ETI may need to do – over and above what local authorities do, to ensure that local people perceive the process and outcome as fair).

- 1.3.4 There is also acknowledgement that there have been some recent academic exercises on the topic of community engagement. An objective of the commission is to assist in summarising some of the most relevant existing material on the topic and to help ETI scope out an approach that would be more tailored to the specific needs of the SSH Programme and the EnergyPath Networks tool delivery.

Objective 2

- 1.3.5 To review the evidence of how community ownership on perceived support for local energy campaigns, especially where there is evidence for example that such factors can help convert adverse public opinion to a more positive position (for example with regard to onshore wind farm development).
- 1.3.6 ETI also considers that there will be implications arising for its community energy model and the way it seeks to work with local businesses in the delivery of infrastructure, for example in terms of district heat and the output could potentially assist delivery in this regard.

Objective 3

- 1.3.7 To develop concepts on how best to engage local communities with the EnergyPath Networks tool. At the present time, the ETI has initial views on the possible use of the EnergyPath Networks tool outputs via a form of website, but there is a desire to consider how it could work, through gaining feedback from parties who have engaged with communities, in order to generate suggestions.
- 1.3.8 Furthermore, and specifically with regard to the EnergyPath Networks tool model, there is anticipation that the model's outputs could be utilised by making optimum use of information technology and multi-channel media.
- 1.3.9 In addition, as an introductory point, we consider it is important to be clear that our commission is not addressing social marketing and behavioural insight and practice, but is focused on the topic of community engagement best practice. However, it is recognised that there may be overlap with social marketing and behavioural insight in due course as the optimum model for engagement in terms of the EnergyPath Networks tool model is prepared. In this regard, we recognise that there are important roles for these additional concepts that are likely to be required to drive successful implementation of the SSH Programme.

1.4 The Study Team

- 1.4.1 The Study has been led by JLL. The public relations firm Quatro has acted as a specialist sub-consultant to JLL for the study and has specifically provided public consultation expertise. Quatro are experts at providing public relations and political communications for the planning, property and energy sectors.

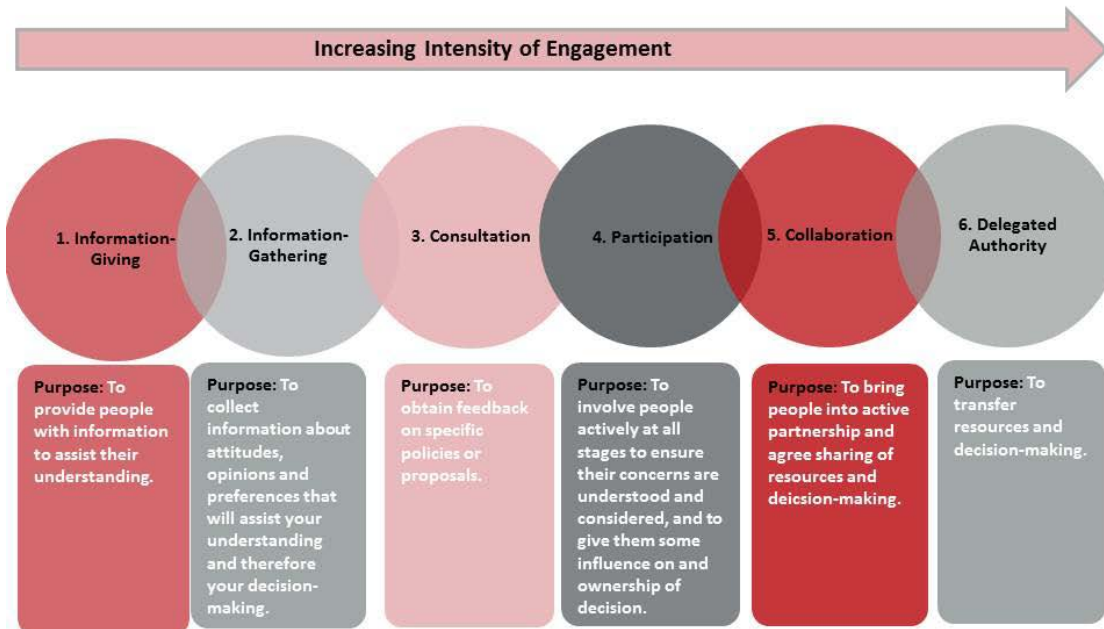
1.5 Approach and Methodology

- 1.5.1 The approach we have taken is to firstly conduct a detailed literature review of existing research investigating approaches to community engagement. In this regard we have examined energy and non-energy related documents. In addition, the literature review has addressed recent academic publications.
- 1.5.2 Secondly, we have used researched case studies to investigate community engagement. The case studies are three city council areas and one rural authority. In addition, the case study review has examined two non-energy major infrastructure projects and has also included a review of some overseas practice by drawing on two recent and innovative examples. Based upon the findings of both the literature review and the case studies, we have set our main findings and overall recommendations with specific reference to the study objectives as set out above. As part of our recommendations we have set out our considered view on how best the ETI could engage with local communities with regard to the deployment of the EnergyPath Networks tool.
- 1.5.3 An important consideration in the approach we have taken to the exercise is to be clear on use of terminology. A considerable amount of the language in use in Government documents and related literature refers to various types of public participation and engagement and it is often difficult to discern precise intentions with the use of various terms.

1.5.4 Within the overall process of engagement there is a significant difference between 'consultation' and 'participation' and it should be recognised that use of terminology can create different expectations amongst various parties involved. This is a matter for example that the Royal Town Planning Institute highlights in its guidelines² on effective community involvement and consultation.

1.5.5 In practice there is a spectrum of engagement activity – as illustrated in Figure 1.1 below.

Figure 1.1: Engagement Activity



1.5.6 An important point to ascertain at the outset of a community engagement exercise what influence the results will have on the process. It is helpful therefore, to set out the broad meaning of various terms:

- **Consultation** – the dynamic process of dialogue between individuals or groups, based upon a genuine exchange of views, normally with the objective of influencing decisions, policies or programmes of action.
- **Participation** – the extent and nature of activities undertaken by those who take part in public or community involvement. Participation implies some degree of right to take part in decision making even if that actual decision taking is ultimately taken by other parties. Participation can also allow participants to have some influence over the process. Participation processes demand careful design.
- **Collaboration** – collaboration starts the move beyond engagement, as those parties involved are becoming partners and in this circumstance power shifts away purely from those in authority.
- **Public (or community) engagement** – actions and processes undertaken to establish effective relationships with individuals or groups, so that more specific interactions can then take place.

² Royal Town Planning Institute (RTPI), Guidelines on Effective Community Involvement (2005).

1.6 Structure of the Report

1.6.1 The structure of this report is as follows:

- Chapter 2 describes the results of the literature review and provides a summary overview of a number of leading edge publications, and sets out key findings established from the review. The key findings of the case studies are also presented.
- In Chapter 3 we address the question of community ownership on perceived support for local energy campaigns, in terms of evidence that such factors can help convert adverse public opinion to a more positive position
- Chapter 4 presents the overall best practice findings in terms of principles of approach and methods of engagement.
- Chapter 5 sets out our overall conclusions and recommendations. In particular, we set out a recommended approach for community engagement with regard to the solutions for local areas that may be proposed by the EnergyPath Networks tool.

2 Literature Review and Case Studies

2.1 Introduction and Approach

- 2.1.1 This chapter details the findings of a review of literature relating to community engagement from a range of differing sources and contexts, to assist in understanding the lessons that can be learnt from best practice and also to identify potential pitfalls for future activities ETI may be involved in through the EnergyPath Networks tool roll out. The documents reviewed cover a variety of different purposes and broadly fall into two categories: energy and non-energy. We have also undertaken a review of academic sources.
- 2.1.2 Through review of the various documents, some key themes and principles are identified that are considered relevant to the future role of ETI in community engagement activities. The wide ranging purpose and variety of the documents has facilitated a robust evidence based platform, which has helped the identification of areas of best practice, whilst at the same time, aiding an understanding of some of the potential pitfalls to avoid. The approach we have taken is not intended to be an exhaustive review of the topic, but we have identified some of the most up to date and relevant material. This Chapter also summarises the key findings from a number of case studies³ of community engagement.
- 2.1.3 The chapter is structured as follows:
- Table 2.1 sets out summaries of what we consider are the key energy and non-energy documents that we have reviewed, with the identification of the key findings arising from each; and
 - We present a summary of main findings from the review of each category of documents.
- 2.1.4 It should be noted that a detailed review of each of the documents (both energy and non-energy) is provided in Appendix 2, and an overall Bibliography is listed in Appendix 1. Each document reviewed has been structured into four broad sections entitled study objective, target audience, relevant themes and findings, and lessons for ETI.

2.2 Summary of Key Energy Documents

- 2.2.1 The key energy documents reviewed are shown in Table 2.1 below.

Table 2.1: Key Energy related Documents Reviewed

Author	Title	Publication Date
Department of Energy & Climate Change	Community Energy Strategy: Full Report	2014
<p>The objective of the Community Energy Strategy is to create a platform to provoke discussion around the UK's current and future community energy initiatives. It is the first of its kind produced by a Government in the UK. The document seeks to engage the public, private and voluntary sector, and to educate them in best practice models for engaging and supporting their respective communities.</p> <p>Key Findings</p> <ul style="list-style-type: none"> • People are influenced by social norms within their community and can be motivated to make changes to their energy use when provided with information about the energy use of their neighbours. • Community energy activities are more likely to succeed where the community has access to the right information, advice and expertise. • Top-down energy advice from Government or large organisations can prompt a high degree of confusion 		

³ The detailed Case Studies are presented in Appendix 3.

<p>and scepticism with participants, who found it difficult to relate such information to their own lives.</p> <ul style="list-style-type: none"> • There is a significant need for the better dialogue and greater transparency between industry and community groups. 		
<p>Department of Energy & Climate Change</p>	<p>Onshore Wind Call for Evidence: Government Response to Part A (Community Engagement and Benefits) and Part B (Costs)</p>	<p>2013</p>
<p>DECC created a survey which was open to the public and organisations between September 2012 and November 2012. The survey was delivered in the hope that the Government will learn from current methods of community engagement in relation to onshore wind, and identify previous mistakes in the process by finding out the ‘on the ground’ results. The study survey identified key factors in delivering a successful community energy engagement strategy which were separated in to four headings:</p> <ul style="list-style-type: none"> • Strengthening community engagement; • Increasing community benefits; • Encouraging community ownership; and • Increasing local economic impact. <p><u>Key Findings</u></p> <ul style="list-style-type: none"> • The provision of any community benefits should be made as clear as possible such as, for example, the provision of low-cost electricity. • When dealing with scheme specific proposals it is considered important to deliver communication campaigns that raise awareness.. 		
<p>The Scottish Government</p>	<p>Good Practice Principles for Community Benefits from Onshore Renewable Energy Developments</p>	<p>2013</p>
<p>The document details ‘good practice principles’ and procedures which are actively promoted by the Scottish Government. It is intended to be read and delivered as a process starting at the very beginning of community engagement when developing onshore renewables. Additionally, it seeks to set out a number of examples of good practice.</p> <p><u>Key Findings</u></p> <ul style="list-style-type: none"> • It is important to facilitate stakeholder dialogue through a variety of different means such as; community drop-in sessions; presence at local community events; stakeholder forum/workshops; telephone hotline; web-based consultations; meetings in homes and setting up street stalls. • It also considered be best practice to provide information through: press releases; community newsletters; letter notifications; public meetings; mail drops; use of social media and internet; information road shows; and community council representatives. 		

Centre for Sustainable Energy	The Protocol for Public Engagement with Proposed Wind Energy Developments in England	2007
<p>The protocol sets out the expectations of local communities where onshore wind projects are proposed and a range of commitments that key stakeholders should each make to facilitate effective public engagement. The protocol provides a framework around which a more detailed approach to any proposed development can be built. It is a clear and concise document outlining numerous commitments and rules which stakeholders, including developers, should abide by.</p> <p>Key Findings</p> <ul style="list-style-type: none"> Promote at an early stage the range of potential benefits likely to arise from the project and consult on those which are locally relevant in order to obtain a full range of views; Failure by the developer to consult could lead to objections being made which could be material to the determination. The aim of the process should be to encourage discussion before a formal application is made and therefore to avoid unnecessary objections being lodged at a later stage. 		
Dorfman P <i>et al</i>	Future National Energy Mix Scenarios: Public Engagement Processes in the EU and Elsewhere	2012
<p>The study objective was to undertake a vast literature review and formulate five case studies of 'better practice' principles and guidelines. The literature review comprised dialogues and public consultations in the EU and elsewhere at local, city, regional, national, and pan-national levels.</p> <p>The latter part of the review combines all case studies and creates a 'Recommendations for a Toolkit' (page 44 <i>et seq</i>). The final section is the literature review for the study, and why/how it is applicable to the goal of 'green' energy transition. The literature review is structured as local/regional involvement, national involvement, pan-EU involvement, and academic literature.</p> <p>Key Findings</p> <ul style="list-style-type: none"> The use of scenario-building can be an important tool in engagement. Using this method, complex energy and climate change information can be successfully applied and understood through the use of scenarios created by any organisation involved in the project. It can consist of an exploratory stage with stakeholder engagement and a modelling stage with forecasting-type scenarios. Modelling scenarios helps people understand the implications of what they are being consulted on. Inviting members of the public into structured spaces for holding dialogue around complex and technical policy issues can make an important contribution to a more transparent and open way of governing – demonstrating that members of the public have the ability to engage with and contemplate large quantities of complex information, and provide detailed responses that inform and enhance governmental decisions. 		
Energy Saving Trust	How to engage your community, communicate about climate change and answer difficult questions	2010
<p>The document seeks to give advice and help understand how to construct a message when communicating climate change to a community. The document also seeks to briefly explain why there is both a stigma attached, and a general lack of knowledge, when discussing climate change. It lists numerous intricate methods that one can use when creating a campaign to engage difficult stakeholders on climate change.</p>		

<p><u>Key Findings</u></p> <ul style="list-style-type: none"> • The study found six key lessons for climate communication centred around focusing on the audience, providing positive reasons for listening and acting, using trusted communicators, recognising obstacles and denial, making action possible, effective, normal and testing it, • Be wary of the tendency to just communicate what interests you. Avoid doom-mongering, guilt and moralistic challenges. Avoid quoting politicians, Governments and green campaign organisations and do not ignore new technologies for communication 		
Department of Energy & Climate Change	Learnings from the DECC Community Energy Efficiency Outreach Programme	2014
<p>DECC funded six pilots and one online study through the Community Energy Efficiency Outreach Programme (CEEOP), between December 2012 and March 2013. CEEOP was a pilot initiative designed to build a better understanding of the effectiveness of community engagement as an approach to increasing household awareness of, demand for, and installation of energy efficiency measures.</p> <p>The aim of the programme was to understand the different customer journeys from first engagement to take up of an energy efficiency offer; identify the drivers and barriers to success in delivering community level interventions, especially in terms of engaging communities; learn which approaches to community engagement or outreach activity work well with particular groups of people, locations or housing types; identify whether community-based interventions are cost effective, compared to other possible interventions and provide a viable model for the commercial sector in the future and assess qualitative feedback from communities about which messages and methods of engagement work best.</p> <p><u>Key Findings:</u></p> <ul style="list-style-type: none"> • Messages around warmth and fuel bills were more effective with low income groups, whilst the environmental benefits were more effective with higher income groups. • In general, the extra activity of the pilots managed to reach a large proportion of their target communities, but struggled to generate significant numbers of those signing up for schemes. The reasons why householders were most likely to drop out of the customer journeys included eligibility issues (including tenure), householder lack of interest or perceived 'hassle' of taking up measures, lack of trust in commercial schemes, scheme availability and 'customer-led' journey steps (e.g. providing numbers for householders to call to refer themselves to a scheme). 		
DECC	Community Engagement for Onshore Wind Developments: Best Practice Guidance for England	2014
<p>The document was published alongside its counterpart "Community Benefits From Onshore Wind Development: Best Practice Guidance For England" with the ministerial foreword making it clear that it is important to foster the development of close and meaningful engagement between developers and local communities. The aim of the guidance is to set out best practice on engagement, help people understand the process and help the parties involved achieve their objectives through effective engagement. It sets out best</p>		

practice based on key principles for developers, communities and local authorities in England and builds on guidance produced for the Renewables Advisory Board.

Key Findings:

- Engagement should happen early through the publication of a consultation scope with progress clearly communicated along with any changes and reasons given. A plan should cover both community and stakeholder engagement and establish which elements can be achieved effectively through the same activity (such as holding an exhibition to build people’s understanding of a project), and which elements require bespoke approaches (such as attending local events to access harder to reach people within the community and holding meetings or forums on specific environmental issues).
- The guidance highlights the benefits of engaging organisations that work in the local area as they can often; identify key local stakeholders; provide guidance on the most effective approaches to engagement, offer advice on the most locally appropriate and time efficient way to share information and offer ways to encourage local support.
- The document stresses the importance of understanding local people and cultures and in particular considering what networks will be most effective for disseminating information; which local papers are well read; which notice boards are most looked at; where there are local leaders; how best to engage hard to reach groups; the history, geography and economic climate of the area and any existing current concerns of the community.
- There is a suggestion that it may be helpful to involve a local third party, who can give insights into the local context, demographics, and sensitivities in the area in the preparation of the engagement plan. It is considered that such an approach may be highly beneficial for ETI.

Energy Research Partnership	Engaging the Public in the Transformation of the Energy System	2014
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This report addresses strategic and local matters with regard to engagement in the overall energy system and is aimed primarily at the key stakeholders involved in the delivery of the low carbon transition, including Government, third party advisors and industry.

Key Findings:

- The document sets out a helpful guide to the principles of engagement and states that best practice is difficult to define, as each situation needs to be considered on a case by case basis.
- Makes reference to engagement at a national level refers also to engagement at the local level.
- At the household/individual level the report addresses the issue of ‘value proposition’ and the particular approaches that could help to identify the values that a project or activity can appeal to. It highlights that where an outcome requires behaviour change which appeals to values outside of personal aspirations, additional activities may be needed to deliver the intended outcome, such as supporting the product delivery which goes beyond simple interactions with technologies.
- The document makes it clear that if the public are expected to engage in the transformation of the energy system, both in terms of informing decision making and implementing changes at an individual level in relation to low carbon energy, it is vital that they can trust the organisations and institutions involved in the transition.
- Overall, the document concludes that the design of engagement needs to be considered on a case by case basis but following some key basic principles. Importantly, engagement should identify the various stakeholders early and seek to understand the proposals or development from their point of view.

2.3 Main Findings: Energy Documents

2.3.1 The main findings from the energy documents are as follows:

- There are three core themes that lead to the perceived ineffectiveness of community energy schemes which are; lack of awareness in the community, the envisaged high cost of energy saving initiatives with a slow or non-existent return, and the perceived complexity of the schemes.
- Communities should be engaged as early as possible at the pre-planning stage, through various means. These means can be through the local authority, private/public/voluntary organisations.
- Partnerships are essential to the success of community energy projects. Partners may include local authorities as they are often more trusted in the community than private sector groups and have a better understanding of local issues.
- There are potential benefits that can be garnered through partnerships with commercial organisations, such as more efficient processes. Schemes which may flow from such a partnership approach could include shared ownership of energy generating infrastructure.
- Where specific development projects are being proposed, communities will want more than simply a financial return. Many of the documents reviewed mention the creation of a community benefit fund, where for each measurable unit of energy saved, the organisation delivering the scheme will put 'a pre-agreed amount in to the fund.
- There is a significant need for greater dialogue and transparency between industry and community groups.
- Stakeholders need to have access to reliable information and advice. Communities should be empowered to appear as the leaders of their own energy schemes to ensure the maximum chance of successful outcomes. However, they also need to be supported by partnerships; whether that be with public or private groups.
- The topic of 'value proposition' and related financial support mechanisms is a complex area and needs to be carefully considered in terms of presentation.
- The onshore wind sector has been high profile in recent years in terms of community interface through the planning system, and there are up-to-date advisory documents produced by DECC relating to community ownership, community benefits and community engagement. These documents provide practical advice on best practice some of which will be of relevance to the ETI SSH Programme.

2.4 Summary of Key Non-Energy Documents

2.4.1 The key non-energy documents reviewed are shown in Table 2.2 below.

Table 2.2: Key Non-Energy related Documents Reviewed

Author	Title	Publication Date
Environment Agency	Working with Others: Building Trust with Communities - A Guide for Staff	2004
<p>This document sets out the approach that Environment Agency members should use when engaging with communities. It is a short, step-by-step guide to help staff members plan their work with communities and others. The guide has been put together to be used as a step by-step guide to the skills and techniques you should utilise when working with communities. It forms part of a larger toolkit, which includes training, learning networks and supporting information for building trust with communities.</p> <p>Key Findings</p> <p>The section on the methods for involving people (Stage 4) is particularly helpful in identifying a vast range of consultation methods for four differing types of involvement which are categorised as; inform, gather</p>		

information, involve and partnership. Below are two example methods taken from each topic area:

- Inform – Newsletters and advertising;
- Gather information - Staffed displays and public meetings;
- Involve – Surgeries and workshops;
- Partnership - Liaison groups and facilitated meetings.

Phase 4 of the document also includes various useful ideas to avoid exclusion such as language barriers, understanding cultural differences, meeting places and considering carefully times of day for conducting events.

Department of Communities and Local Government	Planning Together – Updated Practical Guide for Local Strategic Partnerships	2009
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The guide was produced under the last Labour Government and was designed to be an easy reference point explaining the duties and responsibilities of Local Strategic Partnerships and the fundamentals of the planning system. It aims to demonstrate how key strategies and plans such as the Sustainable Community Strategy and the Local Development Framework, work together to meet challenges locally and secure real improvements in people's lives.

In summary, the guide seeks to provide an accessible source of information about the planning system and the local government policy context for partnership working through LSP's and suggests some practical tips to strengthen collaborative, corporate approaches. One of the approaches set out is to move to joint consultation and engagement processes for the Sustainable Community Strategy (SCS) and Local Development Framework (LDF) Core Strategy.

Key Findings

As discussed in the literature review appendix, there is limited relevance overall to the work of ETI. However, a key theme that can be carried forward is that which states that joint consultation and engagement processes have the potential to save time and resources which reduces the burden on local people and stakeholders.

Community Places	Community Planning Toolkit – Community Engagement	2014
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This document looks at issues to consider when planning and designing community engagement and is part of a wider toolkit on community planning developed by Community Places. It focuses on quality and effectiveness, process planning, designing engagement tailored to the particular issue, the level of participation to be achieved, timeframes and the range of stakeholders affected.

Key Findings

- In the design phase it is important to ensure that the engagement has a clear purpose which will help identify engagement objectives, anticipated outcomes and help to determine the scope and depth of the engagement. Following on from this, it is clear that identifying key stakeholders who will be affected and accessing them in an appropriate manner will ensure a robust and inclusive process.
- There is a useful overview of potential barriers to engagement which the ETI may encounter such as the capacity and ability of different stakeholders, such as minority groups, to participate. There is then a checklist of design issues to consider to overcome such barriers which is a useful reference

point.		
Planning Aid	Good Practice Guide to Public Engagement in Development Schemes	2012
<p>This guide is intended to provide practical advice for all those involved in public engagement in development schemes which require planning consent. It sets out real examples of good practice and provides information and assistance to those planning, engaging in, or assessing community consultation. It provides a range of best practice 'ingredients' which are intended to be used to develop a positive and beneficial engagement process.</p> <p>Key Findings</p> <ul style="list-style-type: none"> • The document details eight very useful principles for engagement which are listed below. The themes cover the life cycle of the development process where individual proposals are being promoted and taken through the planning process. <ul style="list-style-type: none"> – <u>Research and analysis</u> - explore the context, history, different communities and groups in the area who may be affected. – <u>Relationship building, knowledge and skills</u> - develop links with key groups and individuals who can assist and advise on what matters in the area. – <u>Communications</u> - ensure that the information provided is clear, accessible and sufficient to tell people what they want to know, and to allow them to decide whether to engage. – <u>Timing</u> - be realistic, allow sufficient time to achieve the goals set at the start. Provide a clear timetable for the project identifying consultation opportunities. – <u>Inclusive</u> - ensure under-represented individuals and groups are included and that they have an equal opportunity to be heard. – <u>Monitor and evaluate</u> - monitor engagement and use the results to identify gaps and inform actions to widen the process and ensure a balanced community response is achieved. – <u>Continuing to engage</u> - Has feedback been given and how will the relationships developed be continued into the construction and operational phases of a development project? – <u>Learn from the process</u> - identify what people think of the way the consultation has worked. <p>It is considered that the eight topic areas detailed above provide a useful framework for executing an engagement plan.</p>		
The Royal Town Planning Institute	Guidelines on Effective Community Involvement and Consultation	2005
<p>The document aims to provide RTPI members with a corpus of best practice guidance on key aspects of community involvement in an easy-to-absorb format which is capable of being amended and updated in light of experience. In the document, the RTPI has sought to leverage its knowledge of best practice in the many disciplines where public and stakeholder consultation is well established.</p> <ul style="list-style-type: none"> • Key Findings The fifth theme is consulting with hard-to-reach groups and, as an overarching theme, it states that making progress in this area requires high levels of co-ordination, as often these groups have limited capacity for involvement. • An issue highlighted in this study is that of consultation fatigue. It sets out that it is important to get the balance right between organisations who may not need to continually be consulted and, for example, the general public who may take a lot longer to reach a saturation point. One of the key 		

<p>recommendations to overcome this is to reach consensus on the form, methods and timing of consultation so that all relevant stakeholders can plan their involvement in advance. This will undoubtedly be an important lesson for ETI going forward.</p>		
Dialogue by Design	A Handbook of Public and Stakeholder Engagement	2012
<p>This is a general guide on public and stakeholder engagement and its overall objective is with regard to the design of engagement processes. The guide reviews the main methods to engage people, the advantages and disadvantages of each, the resource requirements and how to initiate and use them.</p> <p>Key Findings:</p> <ul style="list-style-type: none"> • The guide addresses a series of common engagement terms and provides definitions for them with regard to engagement, consultation, participation and stakeholder. The guide explains in this context, the spectrum of engagement, namely from information giving through to delegated authority. • The guide contains discussion of the variety of stakeholders that can be involved in engagement and with regard to the 'hard to reach' category, it highlights the danger of focussing too much on certain groups at the expense of others. • The document highlights that, given the amount of engagement being undertaken in general, there are real dangers of 'engagement fatigue' therefore finding novel and different ways to engage people is essential in order to drive successful approaches. 		

2.5 Main Findings: Non Energy Documents

2.5.1 A number of the non-energy documents that were reviewed were presented as 'toolkits' or structured guides which can inform the stakeholder and community engagement. Amongst the various documents there were numerous useful examples of best practice, with a number of variations on similar themes.

2.5.2 Each of the documents that constituted a guide to best practice for community and stakeholder engagement took a structured, phased approach. These 'stages' have generally been fallen into four broad topic areas which are typically research, planning and design, delivery and monitoring and evaluation. We address each below with reference to best practice points.

The Research Stage

2.5.3 All documents stated that significant effort should be made researching the local area and the people to be targeted when formulating plans for engagement. The bullets below summarise some of the key topics for consideration in the research stage:

- Always ask the question why are we doing what we are doing? For example, to make people aware of proposals? To help the community have their say? To reduce potential for conflict?
- Understand what you want to do and achieve.
- Who needs to be involved? Undertake detailed stakeholder analysis.
- Research the area and communities and identify what else is happening locally.

The Planning & Design Stage

2.5.4 The documents consistently develop the theme that the planning and design stage is of crucial importance to ensure that the methods of engagement that are selected, are tailored to the target audience and in full cognisance of a clear set of objectives and anticipated outcomes. The key themes that emerged in this regard with reference to best practice points include:

- Engagement should always begin at the earliest possible stage. For key stakeholder groups, engagement should be well ahead of any formal consultation and it should be used to reach consensus on the form and methods of consultation
- An engagement plan should set clear objectives. Define what level of participation is it hoped will be achieved. It is important to tailor any engagement plan to the specifics of the target audience.
- Develop links with key groups and individuals who can advise on what 'is happening' in a particular area.
- When formulating a plan it is important to identify and agree the purpose, scope and timescales involved.
- Give careful and detailed thought to the method that will be used to identify stakeholders, including hard to reach groups, then consider how early you should engage. Once methods of engagement are identified, then an evaluation of their respective strengths and weaknesses should be undertaken.
- Consider in detail potential barriers to engagement. It is important to be as inclusive as possible, thinking about issues such as language and cultural differences, the time and place of meetings that will be conducted and the use of good communication methods.
- Consider collaborative working where appropriate, such as with local authorities and other relevant stakeholders.
- Understand limitations internally and those of whom you seek to engage with.
- Be aware of any statutory requirements for consultation.
- Ensure maximum promotion for each consultation activity or event.

Delivery Stage

2.5.5 The documents all cover detailed advice on various best practice ideas when seeking to deliver the engagement plan that has been worked up under the previous two headings. The key points of relevance that emerged in this regard with reference to best practice points include:

- Ensuring the process is transparent and results in building relationships and strong rapport with the target audience.
- Communication materials should explain why consultation is taking place and why it is important to be involved. In doing expectations of what can be achieved through engagement should be managed. In doing this, also be clear on what is fixed and what is up for discussion and what can therefore be influenced.
- Communication materials should be clear and should always avoid the use of jargon.
- When deploying a team it is essential that appropriate resources and skills are assigned to the task. Staff should be trained or appropriately qualified to ensure the objectives of the engagement plan are achieved.
- Each person involved in the engagement processes should have a clearly defined set of roles and responsibilities.
- A wide range of communication channels should be set up such as phone numbers, email addresses, web-sites and postal addresses.
- Consideration should always be given to exploiting new technologies and channels such as social media should be used to promote events and key messages.
- Ensure communications are clear, accessible and sufficient to tell people what they need to know.

- Engagement should continue through all stages of the development life cycle.

Monitoring & Evaluation Stage

2.5.6 The review of documents highlights the importance of continually monitoring any engagement plan that is being enacted and reacting in an iterative way where change is needed. Following completion of the engagement programme, it is then advisable to complete an evaluation to ensure lessons learned are carried forward into future engagement programmes. The key points of relevance that emerged in this regard with reference to best practice points include:

- Review progress throughout the process and use findings to identify gaps and inform actions to widen the process if required.
- Ensure that detailed records are kept and documented of all engagement activities and interactions and ensure that these are subsequently reviewed for any lessons that can be learned.
- When evaluating, it is important to set a series of questions such as:
 - Did you achieve what you wanted to?
 - Were the right people involved?
 - Were the methods of engagement selected appropriate and successful?
 - Did you reach all of the target audience?
 - If not what would you change?
 - Did participants benefit?
- The results of engagement should be fed back to stakeholders and the wider community. Raw data should be published such as meeting minutes, survey results and responses from feedback forms at consultation events.
- Following review and evaluation, consider if further engagement is necessary?

2.5.7 Understanding the 'staged' process of engagement is a key factor and we further develop this in our overall conclusions and recommendations below.

2.6 Academic Documents

2.6.1 As part of our review of academic articles and publications on the topic of best practice community engagement, we have made contact with the following academics:

- Professor Phil Taylor - Newcastle University;
- Jenny Saunders OBE – National Energy Action;
- Harriet Bulkeley - Durham University; and,
- Professor Gordon Walker – Lancaster University.
- Gill Syefang - University of East Anglia;
- Adrian Smith - University of Sussex; and,
- Anna Davies - Trinity College Dublin.

2.6.2 Available research papers were considered to be not directly relevant and therefore have not been reviewed and reported on in detail.

2.6.3 A particularly relevant recent publication however, is '*Retrofitting the Built Environment*' (Swan W & Brown P, 2013) which contains a range of recent academic and research articles on the topic of energy retrofitting. The overall document records by way of background that approximately 30% of the UK's carbon emissions are arising

from its circa 26 million domestic residential properties and that the built environment is therefore a critical sector in terms of mitigation and adaptation to climate change. It acknowledges that it is estimated that virtually all properties in which we will be living in now will be present in 2030 and 2050 and that the key challenge is therefore retro-fitting properties and transforming the existing housing stock.

- 2.6.4 From the perspective of community engagement, the publication makes it clear that an important point is that the exercise is therefore not only a technical challenge, but has political and social dimensions. This has consequences for approaches to, and methods of, engagement.
- 2.6.5 The publication contains a mix of policy, technical and social science papers, prepared by both academic and industry authors, and it provides a multiple perspective of the issue from both a UK and international view. It addresses the issues related to sustainable retrofit approaches and addresses policies and regulation, implementation issues and evaluation of retrofit, as well as dealing with people and communities: the latter topic is of most relevance to our commission.
- 2.6.6 A key point which is set out consistently is that home owners are often resistant to the adoption of new technologies including (among others) complexity, warranty and regulation issues⁴. However, a fundamental point is that retrofit generally involves intervention within private homes. This is in contrast to more conventional development projects where the community that needs to be engaged tend to be 'neighbours', or simply interested parties for whom the development will not directly impact their property.
- 2.6.7 The article '*Ensuring energy efficiency at the individual level: Getting physiologically informed*⁵' examines the interplay between people, retrofit activity and energy use. It identifies a number of issues underpinning slow adoption of retrofit measures, particularly in the owner occupied sector. These include consumer confidence in the technology, and concerns about disruption and the inter-face / ergonomics of using equipment, amongst other matters.
- 2.6.8 The article identifies that "harnessing the power of others" (and more specifically people's desire to be like others) is important for energy efficiency and sustainable retrofit. This is a key point that can be taken account in community engagement with regard to local demonstrator projects. It is a factor which has emerged in our case studies which are reported on in the next Chapter.
- 2.6.9 In summary, the academic articles all recognise that community engagement in relation to domestic retrofit is a socio-technical issue which needs to be taken into account when designing engagement activities and plans.

2.7 Key Findings from Case Studies

- 2.7.1 The full detail of the case study investigations is set out in **Appendix 3**. In this section we summarise the key findings from each.
- 2.7.2 Key Findings From the Newcastle City Council Case Study Included the Following:-
- The strength of the Council's Communities Department and its focus in terms of having established networks with the local community has engendered trust amongst households, and local communities and the Council. This is seen as a key advantage when progressing engagement initiatives, as evidenced by the Planning Service's use of the Department in their extensive Development Plan engagement programme.
 - The 'Let's Talk Newcastle' Engagement Handbook has been widely used by corporate Council services in terms of engaging with the public: it has been successful and is a good source of best practice advice on engagement methods.

⁴ (Swan W & Brown P, 2013, page 36 'Retrofit Innovation in the UK Social Housing Sector. A Socio-Technical Perspective').

⁵ (Swan W & Brown P, 2013, page 170 *et seq*).

- 'Let's Talk Newcastle' is a strong and widely recognised brand which engenders trust in engagement activities.
- The energy efficiency programmes progressed in the city have frequently deployed a direct approach to engagement through, in particular, methods such as leafleting and door knocking. It is notable that much use has been made of third party delivery partners and notwithstanding this, particularly for Warm Zone, these have been very positive.
- NCC has recognised the challenges faced in terms of social marketing and behavioural change with regard to certain segments of the population, and has taken the initiative to progress pilot exercises with related engagement actions.
- More recent energy efficient initiatives have faced the pitfall of changing regulations and parameters for eligibility and this has led to complicated and inconsistent messages which has frustrated take up.
- NCC has embraced multi-channel media as an effective engagement tool and provides best practice guidance on this through LTN and continues to invest in innovative research which has considerable potential to be applied to future engagement initiatives in particular with regard to the energy sector.

2.7.3 Key Findings from the Leeds City Council Case Study included the following:-

- Application of strong visible branding;
- The overall approach to the City Council is centred on four key principles mainly involving people at the earliest possible stage, making the engagement meaningful and honest, making it easy for everyone to take part and also showing everyone the impact the engagement has had i.e. providing regular feedback on all initiatives.
- Effective door to door engagement; and
- Use of communication through key partners.

2.7.4 Key Findings from the Cornwall case study included the following:-

- The importance of finding out how a target audience already communicates, and then tailoring methods to 'piggy back' on them;
- Making sure messages communicated are clear and not overly complex and it is targeted to appeal to what matters to the target audience;
- Partnering with a range of groups is a good way of using front line workers to get referrals and to communicate to as wide a cross section of the community as possible;
- Having 'quick wins' to show how a project can be delivered is important to help build a reputation and to tempt other people to follow suit and take up an initiative;
- Use good contractors with a strong emphasis on quality control in order to build a good reputation by word of mouth.

2.7.5 Key Findings from the Manchester Case Study Included the following:-

- It is important to have local authority endorsement as this provides a trusted name to the given programme/initiative. Marketing and engagement materials always have logos of the partners (Keepmoat, Wates and Willmott Dixon), AGMA, GMEA and the specific local authority.
- It is also beneficial to have a speaker or champion at community engagement events who has taken up an initiative, as it gets people interested and involved.
- Timing and intensity of marketing should be focused in September, October and January as these are the times when people are most receptive to hearing about energy promotion.

- The main 'hooks' to engage with people are considered to be messaging on money saving and warmth rather than in terms of new technologies and the low carbon agenda.
- A demonstrator home and a champion's network is crucial to encouraging take up and spreading the message.
- The best schemes are considered those where there is a single point of contact, ideally a friendly and well known face throughout the entire process, to avoid frustrations and consultation fatigue.
- It is also important to use existing and well-established networks rather than re-inventing the wheel. It is far better to educate and train people on energy initiatives who already have traction within the local community than introduce experts or commercial contractors.

2.7.6 Key Findings from the Overseas Example of Bottrop in Germany included:-

- Utilising a city centre visible technology showcase;
- Utilising show homes to demonstrate different technologies.

2.7.7 Key Findings from the Thames Tideway Case Study Included the following:-

- A dynamic and interactive web portal which can provide an invaluable resource for community engagement over the life of a project. The website can deal with the macro issues explaining the rationale and need for the project but then quickly and easily drill down into the local level details that concern residents. Thames Tideway consider that consulting online has a number of benefits:
 - saves money over paper and offline processes;
 - is convenient for the public and returns great response rates;
 - is cost-effective for organisations, bringing all of the consultation activity together in one place;
 - fits with the 'digital by default' mentality – connecting organisations with the public - 24/7/365.
- Innovative approaches such as providing educational resources and highlighting job opportunities arising directly from a project can demonstrate clearly the value the project is delivering to the community and provide a higher level of engagement.
- Well designed and thought out graphics and embedded videos within the web site are effective, high quality and can provide a quick and easy way to get complicated messages across to a wide section of the community.

2.7.8 Key Findings from the Crossrail Case Study Included the following:-

- Utilising location based online web portals during the construction period of large construction projects are a useful method for community engagement.
- Monitor and provide clear guidelines to contractors as they are often the public face of the project.
- The use of social media should be approached with caution as public spats can hurt the reputation of a project. If social media is utilised, it should not be used in a traditional sense (e.g. conversationally).
- Ensuring third party contractors or groups employed by critical all had a dedicated community engagement officer was extremely important.

3 Public Opinion and Community Energy

3.1 Introduction

- 3.1.1 This Chapter addresses Objective 2 of the brief, investigating how community ownership could impact upon perceived support for local energy campaigns, especially where there is evidence that such factors can help convert adverse public opinion to a more positive position (for example with regard to onshore wind farm development).
- 3.1.2 What we take from the objective outlined in the brief is that there is a desire from ETI to see if the ability of a local community to own a stake in a form of energy development can engender support for a community energy proposal or can convert adverse opinion into a more positive position. In order to answer this question a review of current Government strategy is undertaken and case studies utilised through review of the body of evidence currently informing the direction of travel for Government policy on community ownership. In addition, a specific case study based on the experience of the authors is also drawn upon.

3.2 Government Policy Context

The Call for Evidence and the Community Energy Strategy (CES)

- 3.2.1 In June 2013 DECC published its onshore wind call for evidence⁶ which made reference to encouragement that would be given to developers to offer a community ownership options in wind farms as part of their community benefits package. The results of the call for evidence were announced in tandem with new government planning guidance for the development of renewable and low carbon energy proposals in England. A key headline in the results of the call for evidence was that communities need a greater say over proposals that impact upon them and that they should be given a greater share in the benefits that renewable energy generation can bring.
- 3.2.2 The call for evidence recognised the potential of community energy projects to effect change in society, and specific reference was made to the Coalition Agreement which included a commitment to supporting community energy projects. In addition, the document heralded the future implementation of the CES that would look at how community projects or initiatives focused on energy generation, energy saving and management, collective purchasing and collective switching could be realised. In order to inform the Community Energy strategy the Government issued a call for evidence in order to understand the nature of the community energy sector and to understand if there was potential to build upon some of the examples they had been made aware of where successful community ownership models had been developed and onshore wind farm developers had offered communities the right to buy in to schemes.
- 3.2.3 The call for evidence was drawn upon to formulate the Government's Community Energy Strategy (CES) which was published in January 2014⁷. The strategy is clear in the ministerial foreword that for too long, community energy has been a policy footnote, with all the focus on big generators and individual households, all but ignoring the potential of communities to play a key role. It also states that the UK's community energy sector is relatively small today compared to Germany's or Denmark's and that the evidence that has been gathered illustrates the huge potential of the sector in England. Lastly, it states that the CES focuses on what is required to assist in community energy expanding which includes stronger partnerships, improved skills and capacity, better access to finance, and more sharing of best practice and measuring impact.
- 3.2.4 The current scale of community energy within the UK is clearly very small. However, it is clear from this CES review and supportive call for evidence that there are barriers to entry, and stimulus needs to be in place to facilitate the growth in the sector. It can be assumed that the intention of the CES is to increase awareness and

⁶ DECC – Onshore wind call for evidence - *Government Response to Part A (Community Engagement and Benefits) and Part B (Costs)* – June 2013.

⁷ DECC – *Community Energy Strategy – Full Report* – 27 January 2014.

acceptance of community energy projects and to build on this by establishing a facilitative framework for the growth of the sector.

- 3.2.5 A document that flows from the call for evidence is the report published (but not authored) by DECC in January 2014 titled *Community Energy in the UK*⁸, and in particular Part 2 which is revealing in terms of how established the sector is at the present time.
- 3.2.6 The document seeks to ascertain the project pipeline of existing community energy groups, a lack of which is identified as a key problem facing the sector. In order to address this, the document recommends *“that the development of a consistent framework for gathering data about the impact of community energy projects would be enormously beneficial to future attempts to quantify the impact and cost effectiveness of community energy projects”*.
- 3.2.7 The document identifies at least 347 community energy projects in delivery or in the pipeline. However, the actual number of projects is likely to be much higher as the master database has limited coverage of recent developments and planned projects.
- 3.2.8 It is highlighted that one of the most important factors in the feasibility of community energy projects is support from the local community. It concludes that there is not a strong evidence base that community ownership engenders positive support from local communities.

Shared Ownership Task Force

- 3.2.9 Following on from the call for evidence on community energy and publication of the CES, the call for evidence resulted in Government setting up a Shared Ownership Taskforce consisting of representatives from the renewables industry and the community energy sector. The Taskforce, which is now in operation, has been tasked with developing a voluntary approach to increasing shared ownership of new onshore renewables developments. The Government recognises that community ownership of local renewable generation assets will not only help local people share the financial benefits of energy generation but also can lead to improved local understanding of the technology, less opposition and a quicker, cheaper development process. It is considered to be one of the key ways to realise a step-change for the community energy sector and increase support to drive the renewables industry forward beyond 2020.
- 3.2.10 What is clear from the above intentions is that there is a recognition that the ownership element of large scale renewable energy projects may lead to less opposition and is a key way to develop understanding and assist in driving the renewables industry forward.
- 3.2.11 On November 3rd 2014 RenewableUK (the trade body for the wind and tidal energy sector) published the first document reporting the findings of the Share Ownership Taskforce⁹. The report detailed the findings of meetings which were conducted four times prior to the publication of the first draft of the report (issued for consultation in June 2014). The report details those that were involved in formulating the report including commercial developers, community groups, community energy organisations and representatives from academia. The report sets out an introduction and background, the principles of shared ownership, proposals for shared ownership, the approach to implementation and monitoring and the present policy environment and what is needed for shared ownership to succeed.
- 3.2.12 In terms of relevance to the objectives ETI wish to understand for the EnergyPath Networks tool model is that the principle of shared ownership is a relatively new and emerging field and that cross Government support will be needed if it is to succeed. The document usefully highlights some of the limited examples of community ownership, predominantly from onshore wind farms and ground mounted solar parks, which comprise differing

⁸ DECC - *Community Energy in the UK: Part 2 - Final report - Undertaken by Databuild Research & Solutions Ltd, supported by the Energy Saving Trust* – January 2014.

⁹ RenewableUK – *Shared Ownership Taskforce report* – 3rd November 2014.

methods and structures including; split ownership, shared revenue, joint ventures, debt-based debenture funding and unlisted retail bonds.

3.3 Case Studies

3.3.1 The following sections provide some case studies of individual projects and overseas approaches to community energy in order to gauge what evidence there is of community ownership influencing public opinion.

Roseland Community Wind Farm, Bolsover District, Derbyshire.

- 3.3.2 The authors of this document are presently advising the Roseland Community Wind Farm LLP regarding development of a wind farm comprising six 125m tall wind turbines with a potential installed capacity of up to 15MW. In light of this experience the following case study is set out in some detail as it is considered that it demonstrates a large scale infrastructure project that has been developed on a 100% community led basis where a comprehensive programme of community engagement has been executed. The hope and intention of the detailed engagement, and the structure of the LLP, was to benefit from unanimous support of the local community in order that all the surrounding and wider communities could share in the benefits of a large scale renewable energy project.
- 3.3.3 Roseland Community Wind Farm LLP, was established with the intention of distributing the profits generated by the proposed development back into the Local Communities of Bolsover, Ashfield and Mansfield.
- 3.3.4 The project was instigated by the Local Enterprise Organisation (LEO) established through a partnership between Bolsover, Ashfield and Mansfield District Councils, to support business enterprise throughout the area of the three Local Authorities and funded through the LEGI (Local Enterprise Growth Initiative) programme. The project therefore emerged following detailed reports which examined a variety of potential projects to be sponsored by the LEO and which would be capable of providing long term funds, together with additional community funding and benefits to lend support to a variety of projects throughout the area for the long term.
- 3.3.5 Following a period of evaluation and feasibility and consideration of reports prepared by suitably qualified technical consultants, the site of the RCWF was selected as representing the best opportunity to develop a green energy project which could meet the fundamental objectives of both the LEO and the local community for the long term.
- 3.3.6 Following the initial feasibility work, environmental, technical and planning consultants were appointed to drive the project forward, which resulted in securing the land and the project being developed to the point of being progressed through the planning system.
- 3.3.7 With regard to ownership of the project, the LEO initially established the Roseland Community Energy Trust (RCET) as a not for profit community organisation to take the project forward, which was then developed into a full Corporate structure, to have the ability to raise finance and fund the project, whilst also "locking in" the asset and having the ability to distribute profits back to the local community in the most tax efficient and secure way.
- 3.3.8 The corporate structure and RCWF LLP was established specifically to develop the wind farm project and subject to obtaining all necessary consents, including planning permission, would carry out the development and distribute the profits from the development back into the local community of Bolsover, Ashfield and Mansfield.
- 3.3.9 The corporate structure included representatives of the Community Voluntary Partnership (CVP), the LEO and Locality (formerly Development Trust Association) and the Bolsover Energy Partnership. The key objective in proposing to develop the scheme in this way, was to create an income stream from the sale of the electricity generated by the project which would be distributed to the local community, to support a range of benefits which could include employment, educational and enterprise benefits and future local investment (Bolsover only) in domestic renewable energy schemes for (primarily) local Bolsover people.

Roseland : Community Engagement

3.3.10 The key community engagement activities consisted of the following actions related to the preparation of the planning application for the proposed development:

- Seven public exhibitions.
- Meetings and presentations to an opposition group.
- Visits to local residents.
- A website with an online questionnaire.
- Newsletters distributed to local people.
- On-going meetings with planning officers.
- Presentation to the LSP Executive Board.
- Meetings with District and Parish Councillors.
- Meetings with Parish Council Liaison Group.
- A Meeting with the local Member of Parliament.
- Meetings and correspondence with interested parties.
- Five Meetings with Bolsover Community and Voluntary groups and associations.
- Meetings and correspondence with individuals.

3.3.11 Further to the planning application related consultation detail, some of the wider activities included the following:

- 2010 - 3 community based workshops (north, south & central Bolsover);
- 2011 – 3 community based workshops (north, south and central Bolsover);
- 2012 – 1 community based workshop (central Bolsover); and
- 2013 – 5 community based workshops (north, south & central Bolsover).

3.3.12 101 people participated in the above activities of whom 75 were residents in the district, 47 represented 32 community/neighbourhood groups and 15 voluntary organisations, 26 non-residents represented 11 voluntary organisations which deliver services across the district to local people, in addition three councillors attended, three funders and two private sector organisations.

3.3.13 RCWF LLP also sought to adopt some innovative approaches to engagement based on their target audience and the demographic of those they were most tailoring their benefits towards. An example of this is the execution of what was termed 'bus stop meetings' which were used to target young and single mothers who would often congregate at specific bus stops at certain points during the day. RCWF placed promotional literature at the bus stops, but also went further and sent members of staff to speak to the target audience when they had a spare few minutes waiting for their bus to arrive.

3.3.14 A key intention of the extensive engagement activities was to identify full details of the community investment priorities. The results were as follows:

- Community grants 'pot' - small/micro grants for neighbourhood based community activity: some examples of potential activity that might be invested in includes group support and funding advice, local environmental improvements, neighbourhood based social & leisure activities and small scale building improvements (community asset development).
- Investment to tackle poverty and social exclusion, for example the promotion of the credit union, extension of peer mentoring/information workers (advising individuals on budgeting, energy saving & cost cutting, access

to mainstream financial services etc.), healthy eating and living activities, supporting access to affordable food (e.g. bulk buying co-operatives, community gardening schemes etc.), walking for health activities, support volunteering and befriending/good neighbour activities.

- Investment into young people in order to raise aspirations and create opportunities e.g. youth engagement activity, youth activities (sport, art, leisure), training, employment and enterprise
- Long term investment in order to create a sustainable funding stream during the lifetime of the wind farm and beyond. It is also CVP's intention to use the community investment funds to lever in additional funding, for example, groups delivering specific activities which are being invested in may be required to secure matched funding from other sources; or some of the community investment may be used to extend the reach of existing funding pots e.g. the Talent Match Work Fund which provides wage subsidies for young people's employment. The expectation is to double the value of the community investment directed towards tackling poverty and social exclusion, and investing in young people.
- Through its community engagement activity and the work of the Anti-Poverty Forum and Health & Social Care Forum, anti-poverty strategic priorities have been identified and these will form an initial basis on which community investments will be made. These are centred on creating opportunities for young people to secure employment and/or establish their own enterprises.
- It is anticipated that investment priorities will change and develop throughout the lifetime of the Roseland wind farm to take account of changing needs and requirements within the district. Originally CVP had intended to establish a Community Investment Panel to assist CVP in identifying community investment priorities and in overseeing and managing the investment process. The various community consultations had accepted this model and had agreed that resources would need to be invested in order to support and manage the Community investment Panel. However, given the associated costs and resource implications of implementing this model CVP now proposes to manage the community investment programme through its pre-existing structures.
- As at October 2014, CVP proposes to manage the community investment programme by using pre-existing structures for community engagement, strategic planning and priority setting. This will be achieved through the following channels:
 - The Community Sector Forum to identify investment priorities and to establish a grants panel to oversee the grants application, decision making and distribution process. The Community Sector Forum is open to any and all neighbourhood based community organisations.
 - The Anti-Poverty Forum and Health & Social Care Forum will identify investment priorities for the anti-poverty and social exclusion community investment. These forums are open to community and voluntary organisations and public sector partners who are delivering frontline services.
 - Talent Match Young Advisors and young people engaged through CVP's community development and engagement activities to identify investment priorities for the raising aspirations and creating opportunities for community investment.

3.3.15 Following the consultation undertaken as part of the planning process the application was presented to the planning committee of Bolsover District Council in July 2013. Despite an officer recommendation for approval, the planning application was refused and is presently the subject of a planning appeal which will ultimately be determined by the Secretary of State for Communities and Local Government. The report to committee detailed the number of supporters and objectors to the planning application. In total there were a relatively low number of respondents, however, what was clear was that the number of objectors outweighed supporters with 36 letters of objection and seven letters of support.

3.3.16 What can be learnt from this particular case is that, even in the presence of 100% community ownership and an extensive engagement offer and benefits package, the project faced, and continues to face, significant local opposition and its future is uncertain whilst the result of the public inquiry is awaited.

The Resilience Centre

3.3.17 The Resilience Centre is a social purpose business which aims to build resilience in society in response to climate change. Their focus is on Climate Change Mitigation and Adaption strategies and successful planning and delivery of Sustainable Energy, water and land management projects. Their express intention is to seek to reduce their own environmental impact and also that of communities, businesses, local and national governance with whom they work. To date Resilience have progressed four single turbine wind projects through the planning system, three of those have been granted planning consent and one of those is presently at the planning appeal stage.

3.3.18 The Resilient Energy approach has attracted awards for its innovation as a community based model. They seek, as a way to realise renewable energy potential, to develop a fair and equitable relationship between the landowner, the developer and the local community. Resilience work in partnership with landowners to deliver investable community scale projects designed to help meet rather than exceed local energy demand, whilst also making a positive difference to local communities through both a community investment scheme and a meaningful annual donation to the local community.

3.3.19 They have partnered with Abundance Energy on a number of projects in order to assist in allowing members of the community to be able to share in the ownership of their single turbine onshore wind developments. A good example of garnering positive support can be found through their development at Great Dunkilns in the Forest of Dean. Working with Abundance, Resilient Energy financed 100% of their Great Dunkilns project through the issuance of a 25 year Debenture. The debenture is transferrable and tradable on the Abundance Bulletin Board. The term matches the Feed-in Tariff and offered a minimum investment of £5. This approach has enabled Resilient to achieve a community dividend payment of £30-40,000 per MW while also ensuring that the significant majority of community members who wanted to invest could do so regardless of wealth. The project achieved planning approval having received no objections and the community now manage the distribution of the community dividend money.

3.3.20 It is important to consider whether the Resilience business model has been successful and has assisted in converting adverse public opinion to a positive one. Whilst the Resilience model provides some evidence of the ability of communities to view renewable energy proposals favourably, it should also be noted that they have progressed three other projects where substantial public objection has been received. Their Cherry Rock and Kingswood single turbine proposals in Stroud, despite both being approved by the LPA's planning committee, were still the subject of a number of objections from the local community.

Neilston Wind Farm, Scotland

3.3.21 The following case study is taken from the DECC Community Energy Strategy and relates to the Neilston Community Wind Farm LLP (NCWF) near Glasgow which owns and operates a 10MW four- turbine wind farm. It is a shared ownership project between Neilston Development Trust (NDT) and Carbon Free Developments Ltd (CFDL).

3.3.22 NDT wished to secure long term income to fund projects outlined in the community's 'Town Charter' which is the regeneration plan developed by NDT and the Neilston community. It was considered that operating a wind farm offered attractive cash flows to NDT, but it had no access to high risk development capital, limited technical knowledge and was largely reliant on volunteer input.

3.3.23 The solution was shared ownership, whereby CFDL would identify, fund and develop - at its own risk - the pre-planning consent studies and applications. NDT agreed to support the planning application in exchange for an 'option-to-purchase' up to 49.9% of the equity, should planning consent be received. Conversely, if consent was not granted NDT could walk away, owing nothing.

- 3.3.24 The project was granted full planning consent in May 2011. The total capital expenditure was £15.5m, requiring £3.0m of shareholder equity to complete the funding. NDT accessed 28% of the NCWF equity through equity loans from a range of social lenders and the Scottish Government. This stake is expected to return more than £10m to NDT over the project's life. The wind farm commenced construction in March 2012 and was officially opened in May 2013.
- 3.3.25 The project has had a range of technical, social and political challenges to overcome. The 'Town Charter' provided NDT with a robust rationale to offer a vocal minority of local critics and has supplied the framework for the future allocation of funds. Meeting these challenges together has helped forge a strong and productive partnership between NDT and CFDL.
- 3.3.26 What is clear from the Neilston example is that there were very specific terms that were set out at the beginning of the development with the express intention of ensuring that the project received support from the local community, or that objections were not made public. However, despite the presence of such strict conditions at the outset, it was still not possible to completely remove the presence of a vocal minority.

Overseas Examples

- 3.3.27 The DECC Community Energy Strategy makes specific reference when talking about the immaturity of the community energy sector in this country when compared with both Germany and Denmark. In order to interrogate and provide some balance to the conclusions of this section, the case studies that the document sets out from both Germany and Denmark have been reviewed.
- 3.3.28 What is clear from Germany is that there is an established community energy sector and attitudes are favourable towards it. This can be highlighted by the fact that at the end of 2010, community energy made up 40% of Germany's total renewable energy capacity, largely through private citizens investing in cooperatives. A case study from a village is discussed where they have implemented a range of measures and generating infrastructure and have become self-sufficient with surplus energy sold back into the grid for a profit. The success of community energy in Germany can be attributed to a number of factors. These include a well-established environmental and alternative energy movement and a cultural tradition of forming cooperatives to achieve change at a local level; a high level of leadership and support from municipalities; macro-level politically driven frameworks such as the feed-in tariff system, first introduced in 1991, and the state owned bank, the KfW, that has been running for over 60 years and is able to provide loan capital at preferential rates.
- 3.3.29 The strategy also discusses community ownership of wind turbines in Denmark where it is stated that the majority of wind turbines are wholly or jointly owned by citizens, communities, landowners and farmers. 150,000 households in Denmark owned or held shares in wind farm projects as far back as 2001. 29% of Denmark's total electricity generation capacity in 2010 was provided by wind turbines; this high proportion can be partly attributed to the involvement of Danish people. Factors that led to Denmark's success include: a strong domestic market underpinned by incentives provided through feed-in regulation; capital support for early-stage projects; standardised rules for grid-connection; and tax advantages.
- 3.3.30 What is clear from the German and Danish experiences is that community energy is a long established approach to the development of renewable energy and it can therefore be assumed that the growth of the wider renewables industry has happened in parallel to the growth of the community energy sector. The result is that public attitudes are clearly more positive towards renewable energy infrastructure when there is at least some element of community ownership.

3.4 Conclusions

- 3.4.1 In conclusion the evidence suggests the UK's community energy sector is relatively immature when compared to the Danish and German systems and there is not a significant evidence base of projects or groups that are active within the sector. As a result the models to deliver community ownership and the evidence as to their influence on public opinion are limited.

- 3.4.2 The Governments call for evidence highlighted that those within the sector who are developing proposals of varying forms and scales, identify gaining the buy-in of local communities as a fundamental challenge to the success of proposed community energy projects. It can therefore be assumed that the positive benefits that flow from community ownership of energy assets is not sufficient to convert adverse public opinion into positive opinion. Indeed, the recent report of the Shared Ownership Taskforce, which details ongoing community energy projects, finds that the growth of the sector and the associated greater awareness of the model will be an important factor in its growth.
- 3.4.3 The review of a cross section of case studies has revealed that certain proposals have the ability to be delivered in the absence of strong public opposition. However, in the Resilience case, the same model that gave rise to approval at planning committee of a single wind turbine, also experienced opposition on two other projects and led to one being determined via a planning appeal. It is therefore clear that no one model will consistently achieve positive public support and also that each project, in whatever form it is proposed, will be treated by members of local communities on a case by case basis. Other large scale examples of community owned projects demonstrate that even where the benefits that will flow are of a significant nature, and extensive engagement has been undertaken, that it is not always possible to avoid adverse public opinion.
- 3.4.4 Overall, it can be concluded that there is no clear evidence at this stage that an element of community ownership in developing energy infrastructure assists in achieving widespread public support. What limited evidence has been found, is somewhat tempered by the failure of the very same model to achieve widespread public support elsewhere. It is considered that a key reason behind this is likely to be the sporadic nature of the development of the sector with no clear policy and strategy in place from central Government until recent times. The experiences noted in Germany and Denmark demonstrates that where community energy has been developed in tandem with the growth of the wider renewables sector, that public attitudes are very different and ultimately more positive. In the overseas examples what is clear, is that significant and innovative progress in the development of renewable energy projects can be achieved where public attitudes are positive.
- 3.4.5 It is important to relate the conclusions that have been reached to the context of the SSH Programme. Whilst no clear evidence has been found that community ownership of proposals gives rise to 'buy in', it is important to consider the type of project that has typically been proposed in this country to date. The greater body of evidence, due to the more mature nature of the technologies, has been energy generating projects such as onshore wind, solar or hydro. Such projects are more often than not proposed in rural communities with a focus on giving revenue based financial returns.
- 3.4.6 What is clear from the research that has been discussed above, is that even where there is clear evidence of community leadership and ownership, there is still significant potential to meet fierce opposition and resistance to change. This may be as a result of engagement and consultation being executed poorly, but, as demonstrated in the Roseland case referred to above, this is not always the case. What can be concluded, is that public reaction and attitude towards proposals will always vary on a case by case basis and therefore there cannot be a 'one size fits all' approach to engagement.
- 3.4.7 Moreover, what can be learned from the variety of responses to rural based energy generating projects with elements of community ownership is that ETI will be likely to experience a range of responses dependent on the nature of the stakeholders involved. However, such conclusions have to taken in the context of the very different nature of the type of proposals that will be forthcoming under the SSH Programme. Energy generating projects often provoke responses based on change to their immediate and sometimes wider locality. Individuals being affected under the SSH Programme will potentially be experiencing direct change to the day to day running of their homes and therefore it brings with it differing challenges in order to gain 'buy-in' and to therefore secure a positive attitude towards change.

4 Key Principles & Best Practice Methods of Engagement

4.1 Introduction

4.1.1 In this Chapter we set out our principal findings with regard to key principles and methods of engagement.

4.2 Key Principles: Best Practice and Pitfalls

4.2.1 Based on our findings from the literature and case studies we consider there are a number of key principles to be recognised and adopted in a future engagement approach. These are set out in Table 4.1 below with reference to best practice. We also highlight pitfalls to avoid.

Table 4.1: Key Principles of Engagement: Best Practice and Pitfalls

Findings	Best Practice	Pitfalls
Key Principles – Invest appropriate time and resources in engagement		
<p>Good engagement requires substantial investment in building and deploying skills. A greater investment and effort in the early stages of a process will result in savings later along the line.</p> <p>Overall, good engagement allows key issues to be identified and gives communities a sense of ownership.</p>	<p>Optimise the use of specialist public engagement and consultation skills by developing centralised services where appropriate.</p> <p>Appoint a suitable team to do the work with the right skills, training, experience and knowledge of the issue.</p>	<p>Lack of understanding of the issues through not investing in time and training can lead to key issues being communicated poorly and risk undermining the overall objectives of a consultation exercise.</p> <p>It is crucial to avoid commitments to public engagement that cannot or will not be funded as this could lead to undermining trust in the whole process.</p> <p>Be aware of the time intensive nature of engagement, particularly in the research stage where it is crucial to understand how best to engage with the target audience.</p>
Key Principles - Set and understand clear objectives for engagement		
<p>Agreeing a clear purpose will help identify objectives, anticipated outcomes and will help to determine the scope and depth of the engagement.</p> <p>Successful consultation depends upon a clear and shared understanding of objectives and what is intended to be achieved.</p>	<p>Establish a clear mandate which explains the aim of consultation.</p> <p>Identify what the needs and priorities are for consultation</p> <p>Develop a consensus on a proposal or plan for communication</p> <p>Understand who needs to be involved and undertake a detailed stakeholder analysis</p>	<p>Not establishing clear objectives can falsely raise expectations about how much stakeholders can really influence decisions.</p> <p>If objectives are not clear from the outset then the whole process can lose credibility when objectives are not met.</p> <p>It can also lead to using resources ineffectively.</p>

Findings	Best Practice	Pitfalls
Key Principles - Build trust, relationships, knowledge and skills		
<p>It is important to establish links with key groups and individuals who have knowledge and can advise on issues in the local area.</p> <p>A partnership approach can widen the engagement process and build trust through association with trusted names and organisations.</p> <p>Having a clear brand that people can associate with assist in building trust and relationships. Often partnering with a trusted body such as the Local Council gives the process authenticity, especially where their brand can be used in communications materials such as leaflets.</p> <p>Contractors must be good neighbours and it is essential to constantly monitor the contractor to ensure that correct public engagement processes are adhered to.</p>	<p>Be as open, honest and transparent as possible.</p> <p>Ensure information provided is clear, accessible, and sufficient to tell people what they need to know. Avoid generic, vague and intangible messages and advice.</p> <p>Identify what barriers might exist and what help might be needed to build the capacity to engage.</p> <p>Partner with groups and organisations who already engage with the target audience. Also seek to involve delivery partners who will be involved throughout the process such that trust is built at an early stage.</p> <p>Use 'strong influencers' and community champions, i.e. those with existing trust and relationships with the target audience.</p> <p>Undertake a very thorough approach to appointment of contractors with an emphasis on diligent quality control and adherence to strict 'good neighbour' principles.</p>	<p>Avoidance of the crucial early stages of building trust, knowledge and empowering people with skills, runs the risk of people being suspicious of the process, viewing it as a top down approach. If this occurs there is the potential for people to feel alienated and therefore lead to resistance against proposals that may come in the future.</p> <p>It is very easy to erode trust through engaging on a certain initiative or programme and then withdrawing the offer. Often this can be through removal of funding which is unavoidable but where possible it is important to deliver on promises in an expedient fashion.</p> <p>Poor and irresponsible work with contractors and poor relations with residents will give rise to word spreading and a negative reputation building. This could have implications for take up on future projects.</p>
Key Principles - Use a variety of communication methods		
<p>That it is important to consider at an early stage the most appropriate methods to engage with specific stakeholder groups.</p> <p>Recognise that there is no 'one size' fits all approach to identifying an effective engagement tool. It will be important to combine a range of</p>	<p>Carefully select methods of engagement relevant to the target audience and ensure that staff are trained to deal with them.</p> <p>Exploit new technology particularly for groups with high</p>	<p>A narrow focus on the range of methods to be used runs the risk of not reaching out to groups or individuals who may not be able to engage due to various socio-economic problems.</p> <p>It is important to avoid jargon in communication materials which should be available in accessible formats and provided in alternative</p>

Findings	Best Practice	Pitfalls
complementary methods.	<p>online access.</p> <p>Use specialist techniques for public engagement where appropriate.</p> <p>Maintain a balance between qualitative methods (e.g. focus groups) and quantitative methods (e.g. surveys)</p> <p>Do not rely on documentary consultation and increase the emphasis on participative methods.</p> <p>Ensure events are subject to significant awareness raising through the use of, for example, press notices, leaflets, newsletters, websites and leaflet drops.</p> <p>Door to door approaches are a very effective way of communicating the detail of a scheme in the context of the specific and often varied nature of the requirements of individuals.</p> <p>Engaging with front line workers allows for referrals to be made. Such workers can engage with members of the public when making home visits.</p>	<p>languages where appropriate.</p> <p>It is important to deliver messages that are relevant to the needs of the target audience. e.g. messages on climate change will not increase take up of an initiative where the target audience is the elderly who are more interested in having a warm home at the lowest possible cost.</p>
Key Principles - Consider barriers to engagement		
It is important to consider the capacity and ability of different stakeholders to participate in engagement, including hard to reach groups such as young people, older people, minority groups or socially excluded groups.	<p>Co-ordinate with other local authority departments and establish strong working relationships with equality and diversity units.</p> <p>Avoid a tick box approach to engaging with hard to reach</p>	<p>Avoid insensitive communications.</p> <p>Be respectful to the specifics of a group that may be considered hard to reach, staff and facilitators not well trained in dealing with such groups may act inappropriately and risk preventing meaningful engagement.</p>

Findings	Best Practice	Pitfalls
<p>Ensure that language barriers are catered for, that specific cultural needs are factored in, meeting places are accessible to all, and a range of hours are considered for consultation events.</p>	<p>groups, make sure dialogues are significant and relate to specific interests.</p> <p>Take account of best practice for the provision of special facilities required by the disabled and other disadvantaged groups.</p> <p>Use of bi-lingual members of the engagement team are useful to communicate key messages to those from a variety of ethnic backgrounds.</p>	<p>Ensure that the reason that a group is hard to reach is responded to positively to avoid claims of unfair treatment. Good decisions will be based upon an inclusive and balanced response.</p> <p>Understand your own internal limitations in relation to hard to reach groups and how this may impact on those you are seeking to engage with.</p>
Key Principles - Be aware and set a clear timetable for engagement		
<p>It is important that the form, methods and timetable for consultation are set out clearly at the start of the process.</p> <p>It is important to understand where and when efforts should be focused to ensure that responding to consultations does not become a full time occupation.</p>	<p>Publish a consultation calendar so that stakeholders can prioritise and plan their involvement.</p> <p>Invite groups with limited resources to identify those aspects upon which they wish to focus, and help them channel their activity to fewer, more relevant actions.</p>	<p>A lack of planning and a clear timetable for the form and timing of consultation can result in some groups experiencing consultation fatigue. Some groups or individuals may have limited resources to engage and therefore continually being bombarded may result in them committing no further resource.</p>
Key Principles - Monitoring engagement throughout the process		
<p>It is important to monitor engagement and use the results to identify gaps and inform actions to widen the process and ensure a balanced community response is achieved.</p> <p>Use the results of the monitoring to adapt practices as you go and ensure that where changes are made that this is known to ensure that trust remains in the transparency of the process that is being undertaken.</p>	<p>Continually evaluate and measure progress, develop skills and refine practices</p> <p>Evaluate progress against the intended results and other changes identified by the participants</p> <p>Get participants to agree on the lessons to be drawn from the evidence of the results and the changes that occurred from this.</p>	<p>If the success of engagement is not continually monitored and responded to then there is a risk that the objectives that are set out at the start of the process will not be met.</p> <p>Any process of engagement should be flexible and nimble in order to respond to emerging issues, especially where conflicts arise and solutions are needed. This will maintain the maximum possible chance of a successful engagement exercise.</p>

Findings	Best Practice	Pitfalls
Key Principles - Evaluation and learning		
It is important to identify what people thought of the way that the consultation worked to establish what could be improved, what else needs to be done, how inclusive the process was and identify the lessons learned to carry forward.	<p>Evaluate performance against objectives and ask did you achieve what you wanted to?</p> <p>Did you have the right level of involvement, were there sufficient resources of trained staff and did they make significant contributions?</p> <p>Evaluate if the methods used were appropriate and therefore successful?</p> <p>Analyse the response received to engagement and see if the number and type of responses demonstrate that all relevant groups were reached. If they were not, use this to ensure a more positive result next time.</p>	Do not ignore evaluation of hard to reach groups.

4.3 Best Practice Methods

4.3.1 Table 4.2 sets out four different types of engagement with suggested indicative methods for each. It should be noted that a number of the methods could fit under a range of the engagement 'types' as set out in Table 4.2, depending on how they are used. Too rigid a categorisation can inhibit creativity, which is an important factor in engagement if it is to be effective.

Table 4.2: Types of Engagement & Associated Methods

Type and Description of Engagement	Examples of Methods Applicable to Type of Engagement
Inform: Provide information, for example to assist people understand the issue or project being proposed, or to announce a decision.	<p>Leaflets (including mailings)</p> <p>Newsletters</p> <p>Exhibitions / Displays (unstaffed)</p> <p>Advertising</p> <p>Use of newspapers, TV and radio</p> <p>Meetings</p> <p>Site / Field visits</p> <p>Demonstrator Homes</p> <p>Use of internet – websites and social media channels</p>
Gather Information: To gain an insight into people's comments, questions and concerns, attitudes and	Exhibitions (staffed)

<p>opinions. This can help the sponsoring organisation understand what people know and key issues they may have, to help inform the development of the project.</p>	<p>Use of internet (inviting feedback)</p> <p>Public Meetings</p> <p>Presentations</p> <p>Focus Groups</p> <p>Workshops</p> <p>Surveys, Questionnaires and Interviews</p> <p>Staffed telephone lines</p> <p>Consultation Documents</p> <p>Door stepping / knocking</p>
<p>Involve: Provide opportunities for all parties involved to talk and listen, in order to understand the issues and concerns of those involved.</p> <p>Although the sponsoring organisation will be making the final decision, the process provides a genuine opportunity for the local community to have an influence. It follows therefore that there must be matters that can change, as a result of this 'involvement'.</p>	<p>Focus Groups</p> <p>Workshops</p> <p>Staffed Exhibitions (including roadshows)</p> <p>Open Days / 'Drop in' sessions</p> <p>Meetings (could be facilitated by third party)</p> <p>Forums</p> <p>Seminars</p> <p>Discussion Packs</p> <p>Expert Panels</p> <p>Outreach Processes</p> <p>Site / Field Visits</p>
<p>Collaboration / Partnership: Provide opportunities for all parties involved to talk and listen. Importantly, the people that are involved can share the decision making and responsibility.</p>	<p>Liaison Groups</p> <p>Local Partnerships</p>

4.3.2 Each of the methods listed in Table 4.2 will have its own advantages and pitfalls and for the range of principal methods, we set these out in Table 4.3. Various considerations will affect the ultimate choice of methods, such as:

- The purpose of the engagement process – e.g. is it in relation to a site specific 'energy centre' that may be the subject of a planning application, or is it in relation to output 'scenarios' and options from the EnergyPath Networks tool model which may involve different area based technological retrofit options;
- The outcomes desired;
- The need to secure responses from particular stakeholder groups;
- How interactive the process should be?
- Will an independent third party be involved?

Table 4.3: Engagement Methods: Advantages & Disadvantages

Advantages	Disadvantages
Method – Community Fairs	
Can help to engage a variety of people within a community at one event.	It may not appeal to the people who most need to be reached.
Can create interest from media to amplify scheme in wider community.	Fairs can be expensive to do well and can affect the sponsoring organisation's reputation or image if executed poorly.
Allows for different levels of information sharing.	Serious information may get lost amidst the excitement.
It may be possible to team up with third parties to increase the range of activities and thereby interest a greater number of people.	The public must be motivated to attend.
Method- Conferences and Seminars	
Tends to appeal more to professionals and expert stakeholders.	Not a good method for engaging the general public.
Excellent for bringing experts together to discuss issues in depth.	Not good for agreeing practical action.
Can be used as part of a longer-term engagement strategy involving a range of stakeholders.	Can be very boring for participants if poorly designed, badly facilitated, or consisting mainly of people talking from a stage and making presentations.
Special techniques can be used to make best use of expert knowledge.	'Ordinary' participants can feel disempowered or patronised.
Topic specific seminars could be offered to local groups.	Will not appeal to hard-to-reach groups
Method – Consultation Documents	
A written document allows the consulters to set out in detail the whole of a situation and ask specific questions.	The sheer size and detail in a document, and its formal presentation, may persuade some consultees that they can have little influence.
A document can also be used to explain complexity and provide background information.	People are reluctant to read long documents or ones with complex messages.
Document-based consultation is relatively safe and predictable, and is easier to control than face-to-face engagement.	It may not reveal issues that the document does not address, or issues that affect stakeholders who do not respond to consultation documents.
Web-based processes allow comments on documents and responses to questions to be displayed in full.	A large volume of responses can be extremely labour-intensive to read and collate / analyse, and participants may never know whether or how they have had any influence.
Method – Discussion Packs	
An excellent way to have the results of many deliberative discussions without having to organise them.	The effort involved in producing materials and marketing the process, and in encouraging and supporting self-managed groups, can be considerable.
Enables 'ordinary' people to have discussions about complex issues.	It is difficult to monitor the level of real understanding of those participating.
The discipline of producing materials accessible to many different audiences helps the sponsoring organisation to communicate the issues clearly.	There is a danger of over-simplification.
Can reach large numbers of people who might not otherwise have the opportunity to discuss interesting issues in depth.	Respondents highly likely to be self-selecting

Advantages	Disadvantages
Good for discussing issues that involve personal and social values rather than objective facts.	Relying on participants to record fully and objectively what was agreed can be a problem.
The structure of the questions and the reporting system helps discussions to be recorded in the same way.	
Method – Expert Panels	
A good way to focus on a specific subject and tap the expertise of individual specialists.	If the process is not carefully focused and managed it may produce lots of information but about the wrong issues or aspects of the issues.
Can produce in-depth analysis of complex issues. Can also be held in front of a live audience with Q&As	Breadth may be lost in depth: too narrow a focus may mean the 'wood cannot be seen for the trees'.
A rigorously rational process designed to argue the issues in full, allowing different experts to challenge each other.	The rationality of the process may obscure the fact that rationality on its own is rarely enough: SSH Programme issues will have emotional and value-based dimensions that need to be included, given the socio-technical nature of the issue.
Specialists can sometimes consider issues objectively without being drawn into contention around them.	The danger of excluding 'ordinary' people and becoming over-reliant on experts who may not appreciate 'ordinary' viewpoints.
Particular experts can be involved in follow-up processes.	Relatively expensive unless experts give their time freely; also requires a relatively long lead-time and skilled facilitation to get best value.
Expert knowledge can be edited down to form accessible briefings for people without specialist knowledge.	
Method – Focus Groups	
Interaction between participants, enabled by the small size of the group and the skill of the facilitator, can be very productive.	Some people have more confidence to participate in groups than others. This may result in an imbalance in discussion.
Focus groups are qualitative processes, good for deepening understanding of how people think about issues.	They are not quantitative processes and the results should be treated with caution as regards establishing wider opinion.
Members can be carefully recruited to fit specific profiles.	Because groups are generally small, the wrong mix of personalities can undermine the effectiveness of the process.
Focus groups enable a facilitator to design a very precise process that will examine the issues in the way required.	It may be difficult to deduce to what extent a group's responses have been shaped by the process.
The small size of a group allows the facilitator to get to the heart of difficult issues.	It is not always easy to find a facilitator with the necessary skills, and they can be expensive.
Focus groups can obtain opinions from people who would not respond to other methods because they are not comfortable with writing or because of other constraints.	Variations of ability and articulacy within the group may inhibit some members.
It is the most effective engagement for those with English as a second language.	It may be difficult to find a facilitator with the right language.
Focus groups can be a way to start the formation of a longer-term group or panel to perform a role or specific tasks within a local area.	It can be difficult to get the right people to participate.
Method - Interviews	
Best way to obtain information from an individual.	It needs a sensitive and skilled interviewer to make the most of

Advantages	Disadvantages
	it.
If a good sample is used, it can produce highly accurate results.	Large numbers of interviews are required to ensure the results can be accurately extrapolated.
Structured interviews can explore issues in depth.	Interviewing needs careful preparation to avoid leading or biased questions.
Qualitative process that can also yield quantitative results.	Collation and presentation of results can be time-consuming.
Face-to-face processes can lay foundations for longer-term relationships (e.g. if say combined through the 'door knocking' approach to allow for 'follow ups' – see below).	Face-to-face processes may raise cultural problems in some communities.
Interviewing brings a personal dimension to engagement.	It can be difficult to arrange and coordinate interviews, and it is time and resource-intensive.
Method – Liaison Groups	
A regular and reliable channel of communication.	Those involved in the Liaison Group may be perceived to have 'sold out' by more radical community members if the development of the issue in an area is contentious.
Those involved get to know each other very well and establish effective working relationships, and the trust created can extend into the wider community.	Others may seek to by-pass and isolate the Liaison Group, gradually reducing its effectiveness.
Problems can be nipped in the bud before they escalate.	The wider community may reject the Group's recommendations.
Early warnings of future problems can be acted on.	Can become very time-consuming in complex situations.
Regular contact can be an effective use of resources.	
Method - Newsletters	
Straightforward means to keep people informed and encourage further contact.	Not an interactive process so can be regarded as 'propaganda'.
A relatively cheap (depending on quality) means to reach large numbers of people.	Impersonal and can be discarded immediately by a significant percentage.
Enables the sponsor to control the flow of information.	Can lure the sponsor into thinking that what is written is read, what is read is understood, and what is understood is accepted.
An excellent complement to other forms of engagement.	Can be expensive if printed and delivered to an entire community.
Method – Open Days and Drop-in Sessions	
A way of reaching out to the community and seeking informal contact.	Whole day sessions could be disruptive and take considerable time for staff.
Can be used to publicise later consultation or engagement.	Direct contact may be painful if the public is hostile. Protesters may use the opportunity to disrupt the event if the issues are contentious (e.g. this has occurred with regard to some biomass generation proposals).
Can fit into people's personal timetables.	It may be difficult to gather information about the public to indicate how representative feedback is.
People can be given further information to take away with	Attendance is difficult to predict and may be patchy; the importance

Advantages	Disadvantages
them.	of advertising and marketing is very important.
Gives an opportunity for people to make personal contacts and have individual questions answered.	People may be intimidated about dropping in to somewhere unfamiliar.
It may also offer opportunities to get feedback from people.	
Method – Opinion Polls	
A helpful tool enabling the sponsoring organisation to know what people think.	A poor substitute for the direct participation of people in expressing views on an issue.
A relatively quick and cheap means to check whether a policy or programme will meet people's needs.	Liable to endorse the view of the majority but without qualitative qualification.
Provides a snapshot of opinion at a particular moment.	May not provide enough time or context for people to give considered replies.
Straightforward and accurate if professionally managed.	Results can be influenced by the precise wording of questions and can be misleading. They need to be professionally designed to avoid loaded questions and the introduction of bias.
Method – Outreach Processes	
Excellent means of engaging directly with people who may be difficult or impossible to reach through other engagement methods.	It may be difficult to provide the support needed in some instances. For example, some groups may only want to meet with women or particular ethnic representatives, or the sponsoring organisation may not have a representative who speaks a particular language.
Meeting with the same individuals or groups over a period of time and gradually building trust may reveal issues that shallower engagement issues miss.	This can be a slow and painstaking process and despite a considerable investment of time, may ultimately be unproductive.
Good for building relationships with specific individuals and groups.	The relationship may be with the group rather than with individuals, and there may be peer pressure to follow the group 'line'.
Good for building relationships across whole communities.	The number of such groups can make such a process extremely resource intensive. If not all groups can receive similar attention, there may be perceptions of some groups being more favoured.
Method – Public Meetings	
Public meetings offer an opportunity for large numbers of people to raise issues, ask questions and directly challenge those in positions of authority / the sponsoring organisation.	Public meetings can be poorly attended or dominated by an unrepresentative minority – not everyone has the time inclination to attend.
They are a good way to float ideas and explore possible proposals and options before they are finalised.	What is just an idea may be deliberately interpreted as a definite proposal, however carefully the difference is explained. This perception can provide opponents with an opportunity to lobby against a proposal.
They can provide an opportunity to gather public support for a proposal or to agree a preferred option.	Bad public meetings are worse than no engagement at all.
Good public meetings have good public relations value.	Traditional formats can limit audience contribution.
Public meetings can provide opportunities for several different bodies to discuss their different roles and areas of cooperation.	It may be difficult for people to see where they fit in if the process is presenter-led.
A good experience of a meeting can encourage people	A bad experience can make people think the whole exercise is

Advantages	Disadvantages
to become more involved in the engagement process.	useless or bogus.
Excellent way to communicate with large numbers of people and can enable people to develop networks.	It takes time and money to organise a large meeting with no guarantee that people will come.
Demonstrates openness and transparency.	
Method – Road Shows and Exhibitions	
Exhibitions are a good way to reach people who would not respond to other methods.	They have to be in the right place at the right time.
They can put across some ideas more easily than words.	Exhibitions can be heavy on staff time, needing to be attended by enough well-briefed staff to be fully effective.
People can be given further information to take away with them.	The information needs to be consistent with that offered by the exhibition, but also be able to stand alone for those who read it but did not attend the exhibition.
Exhibitions create opportunities for direct contact with people and people can be more receptive to exchanging their views compared to a Public Meeting format.	Direct contact may be painful if the public is hostile.
A well-run exhibition or roadshow can also raise the profile of the sponsoring organisation.	It may be difficult to strike the right balance between public relations, information-giving, and engagement.
It may offer opportunities to get feedback from people.	It may be difficult to gather information to indicate how representative feedback is.
Can be of the 'pop up' variety as opposed to standard 'community halls'	
Method – Site and 'Comparator' Visits	
Excellent for helping people to move from the abstract to the concrete.	Visits to busy or noisy locations can make conversation difficult.
They provide opportunities for informal engagement while maintaining a focus on the issues.	Bad weather may reduce numbers or even make a visit impractical.
They may allow people who feel intimidated about speaking in a more formal setting to have their say.	Health and safety issues need to be assessed and managed.
They help participants to see proposals in operation	If the proposal of a site visit stirs a lot of interest there may have to be several visits or restrictions placed on who can attend.
Method –Questionnaires	
A straightforward method of collecting quantitative information.	Not particularly good for collecting qualitative information.
Can be focused on specific issues.	Always danger of skewed results therefore needs to be professionally designed to ensure 'useable' results.
Can be used to gather information from large numbers of people.	One-time questionnaires may produce misleading results.
Very good method for establishing information that can be re-tested to see if results change over time.	Delivery methods can affect accuracy and representation of responses.
Questionnaires can be adapted to most issues.	Does not offer a real sense of community engagement, nor does it provide an opportunity for people to exchange views – by themselves they can be limited in scope.
Several potential delivery methods make surveys a flexible way to get responses.	There is a danger of interviewer bias.

Advantages	Disadvantages
Data can be compared over time or with results from elsewhere.	
Method – User Panels	
User panels provide a means to collect the views of people who will actually use the technology being proposed.	If panel members themselves have limited experience of a development / technology they may not be in a position to make robust judgments about its use and benefits.
Panels are made up of people recruited to be representative of an area / tenure group.	If they are offered incentives to attend this can add considerably to the cost and may sometimes distort the results.
People can enjoy attending and feel they are contributing to the community's benefit.	Personal views can make the process heavily anecdotal and prevent the objective consideration of the issues.
Panel members can also contribute the views of friends and family.	The pressure for consensus may mean that minority views are disregarded.
Panels can be asked to weigh up the options and reach agreement on particular topics.	
Method - Web-based Processes of Engagement	
Cost effective and relatively straightforward to set up.	Some are not very easy to navigate and need expert input on their design.
Not too structured or constraining for participants.	Use of a Moderator to manage comments can be time consuming and does require skills.
Can be used to gather information from large numbers of people.	If participation rates are low interest can drop off very quickly – therefore needs to be publicised to generate interest.
Allows people to say what they want on a subject at a time and place of their choice.	It can be difficult to create systematic reports from unstructured forum responses
Provides an online 'forum' for exchange of views and information.	Excludes people who don't have access to the internet and some people dislike computers and technology.
Can host 'vox pox' – short, snappy interviews with people describing their experience with a proposal / technology.	Can create the impression of greater engagement than is really the case.
Particularly useful for those who are home bound	Participation can be confined to the very dedicated and may therefore be unrepresentative.
	May work best as part of a package of methods.
	Needs to be marketed well.
	Use of social media can air grievances in a very public forum and end in unnecessary and potentially hostile debate.
Method - Forums	
Regular forums can help maintain momentum, commitment and enthusiasm and can encourage wider participation as the activities of the forum develop.	May become 'talking shops' rather than action oriented.
Can be an effective way of involving excluded or 'hard to reach' groups by creating an arena directed towards their concerns or interests.	Danger they become rule bound and bureaucratic.
	It can often be the 'usual suspects' or those who are already involved in local groups who will participate.
Method - Workshops	
Excellent for discussion of complex issues, analysis of competing options and generation of ideas and criteria	Limitation on numbers can make workshops unsuitable for addressing issues where very large numbers of people want

Advantages	Disadvantages
for assessing them – especially compared to the public meeting format.	to participate. It can be difficult therefore to be sure that all stakeholders / representative groups are represented.
Encourages joint working and problem-solving in a welcoming environment.	Requires experienced facilitators and therefore costly.
Can address issues directly and facilitate relationships across differences – easier to handle in a small group.	Commits sponsors to taking the results seriously.
Can be designed for a specific purpose and maximises feedback obtained from participants.	Skilled facilitation can sometimes suppress or defuse conflict without addressing its causes.
Builds ownership of the results.	
Independent facilitation can increase the credibility of process and results.	
Can be directly targeted at excluded or 'hard to reach groups' (e.g. ethnic minorities or owner occupiers).	
Method - Mailings & Leafleting	
Effective when highly targeted (i.e. sent to householders known to be interested, with messages specifically relevant to their situation, for example measures applicable to their type of property to address known issues).	Less effective when general mail-shots or leaflets to a less well known target group.
Leaflets need to be well designed with clear messages.	
Importance of brand to engender trust.	
Door Stepping / Knocking & 'In Home' Advice	
Effective when targeting a 'warm' audience, especially if actioned through a trusted local organisation.	Less effective when audience is 'cold' – often people resistant to door 'sales'.
Pre-arranged 'green doctor' visits can provide detailed and specific advice and information.	Can be resource intensive.
Demonstrator Home	
Allows the community to see measures for themselves	Expensive to build and resource
If highly visible, can engender the feeling that the project is 'actually happening'	Time intensive
Brings abstract concepts to life and can have a role right through to the operational phase	Hard to update

5 Conclusions and Recommendations

5.1 Introduction

5.1.1 In this Chapter we set out our overall conclusions with regard to the objectives of the study, describe recommendations and identify appropriate next steps.

5.2 Conclusions

5.2.1 Objective 1 was to learn lessons from previous community engagement activities, including local energy projects but also taking account of practice in non-energy project development activity. Specifically it is about learning lessons on the best way to engage and potential pitfalls to avoid. We have set out our findings with regard to key principles and methods of engagement in Chapter 4 above.

5.2.2 Objective 2 concerned the specific questions of the potential impact of community ownership on perceived support for energy projects. We have addressed this question in Chapter 3 above.

5.2.3 Objective 3 of the study was more specific and was to develop concepts on how best to engage local communities with the EnergyPath Networks tool. In this regard we have set out in the recommendations section below, our recommended approach for community engagement with the EnergyPath Networks tool model. We address this objective below.

5.2.4 It should be noted that the recommendations set out within this section are focused on the post 'initial trial' period whereby the ETI will have selected three preferred local authorities. A factor in the decision making process when selecting the three authorities has been their approach and track record of effective community engagement practice, aligned with best practice. During the trial period lessons will be learned regarding engagement which, combined with recommendations from this report, will support good community engagement practice in the potential roll-out of the SSH Programme across the UK.

5.3 Recommendations: Potential Engagement with The EnergyPath Networks tool

5.3.1 In this section we set our recommended approach to engagement with local communities for the EnergyPath Networks tool model. It should be noted that at this stage, given the preliminary development status of the EnergyPath Networks tool, and given the variety of potential outputs in terms of the scale and nature of retrofit and decentralised energy solutions that could result from the model, the proposed approach that we have set out is conceptual and 'high level'.

5.3.2 A key finding is that there is no 'one size fits all' approach to community engagement and a bespoke approach is needed, tailored to individual communities and local contexts. However, the approach we have set out is based on fairly standard and well recognised development stages.

5.3.3 Before addressing these stages it is important to first understand **best practice principles of community engagement**.

5.3.4 In summary they are:

- Investing appropriate time and resources in the engagement process, including planning;
- Setting and understanding clear objectives and outcomes for engagement;
- Aiming to build trust in relationships and increasing capacity to engage in terms of having in place the appropriate knowledge and skills;
- Being prepared to use a variety of communication methods and channels;
- Understanding barriers to engagement and how they might be best overcome;
- Set a clear timetable for engagement;

- Acknowledge fairness and the need for an inclusive approach.

5.3.5 It will be essential to understand at the outset the purpose of the community engagement exercise. This needs to be explained and clearly communicated to the community. For example, is it to inform, gather information, involve people or to collaborate? In practice the deployment of the EnergyPath Networks tool is likely to involve all of these factors.

5.3.6 Being open and transparent at the outset will build trust. A key early consideration is to be clear as to why 'something has to be done' and whether; for example, that may be an area based range of technology proposals that the EnergyPath Networks tool could suggest, or a specific low carbon electricity generation proposal – or both. It is important to understand whether the community and other stakeholders agree that 'something has to be done'. Therefore, sharing the problem or issue to be addressed is important before possible technical solutions proposed by the model are suggested.

5.3.7 Furthermore, at the outset, consideration of how engagement will be evaluated is important. The overall project objectives and outcomes should be set out and understood, including the establishment of key performance indicators ("KPIs"). This will allow success to be judged and measured as the engagement journey progresses. The monitoring and evaluation process should be documented in detail as the lessons learned for one authority can then be carried forward to other authorities across the UK as the EnergyPath Networks tool is rolled out.

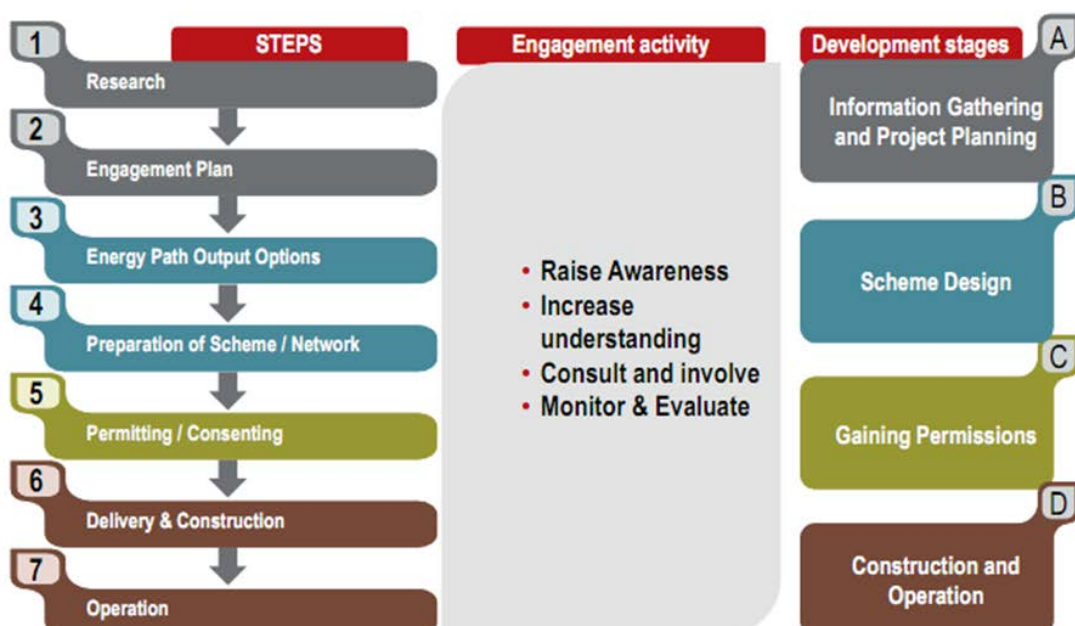
Development Stages and Engagement Steps

5.3.8 The approach we have set out is related to a number of 'development stages' namely:

- Stage A - Information gathering and project planning;
- Stage B - Scheme design;
- Stage C - Gaining permissions (statutory and non-statutory) and;
- Stage D - Construction and operation.

5.3.9 In Figure 5.1 below we set out the overall engagement approach with regard to the four development stages and the associated seven engagement steps. It should be noted that each of the stages that are set out, and the various approaches outlined within each, represent an iterative process where continual monitoring, review and evaluation forms a fundamental part of ensuring that objectives are met. The advice that is provided is of a high level nature at this stage, as it will allow the ETI to tailor the activities they undertake to the specific areas they may be targeting, and more crucially, to the specific technology or technologies they are seeking to deploy.

Figure 5.1: Engagement Approach



5.3.10 Figure 5.2 illustrates the parties who would be involved throughout each step together with indicative timescales.

Figure 5.2: Engagement Approach & Indicative Timeline: Parties Involved at each Stage



5.3.11 In the following sections below we set out our recommended approach on a step by step basis with regard to the engagement activity that would be appropriate to the respective steps associated with each development stage (as shown in Figure 5.1). We make specific reference to engagement activity in terms of the following, during each step namely:

- Raising awareness;
- Building understanding;
- Consulting and involving; and
- Monitoring and evaluating.

Development Stage A – Information Gathering and Project Planning

5.3.12 This stage involves two steps:

- Step 1: Research; and
- Step 2: the preparation of an Engagement Plan.

5.3.13 During this stage there is no engagement with the general public and the focus is upon engagement with community leaders and stakeholder representatives. The objective of step 1 is to establish a good understanding of the community and existing communication channels. At this stage it will be important to try and establish those leaders and representatives for whom it may be useful to work in partnership with. As discussed in a number of the case studies within this report, partnerships with organisations such as Local Authorities can assist with building trust. A key part of this trust is the branding and it will be important to partner to utilise such branding allied to the specific branding of the EnergyPath Networks tool.

5.3.14 In terms of step 2, the overall objective is to reach agreement on a proposed Engagement Plan prior to engagement with the wider community. In short, steps 1 and 2 are about ensuring that contact is made with the right leadership in the respective area and that a detailed Engagement Plan can be drawn up which can be properly resourced, and which is aligned with appropriate engagement principles.

Step 1: Research



Raise Awareness	Build Understanding	Consult and Involve	Monitor & Evaluate
<p>Engagement Objective: Identify and speak with Community Leaders and Stakeholder Representatives</p> <p>Methods</p> <ul style="list-style-type: none"> • Direct approaches – meetings with individuals • Desk based and field research 	<p>Engagement Objective: Help Community Leaders to understand the use and purpose of EnergyPath and expected outcomes</p> <p>Methods</p> <ul style="list-style-type: none"> • Introductory briefing note providing an overview of EP with suggested stages • Establish Community Leaders & Stakeholders Liaison Group 	<p>Engagement Objective: Ensure that an effective Engagement Plan can be formulated</p> <p>Methods</p> <ul style="list-style-type: none"> • Information gathering (variety of factors e.g. past engagement activity, methods, key issues etc.) through informal face to face discussions. • Workshop 	<p>Engagement Objective: Has a good understanding of the community and existing communication channels been established?</p> <p>Methods</p> <ul style="list-style-type: none"> • Review KPIs to monitor whether actions are delivering expected outcomes • Project Team Meeting to evaluate whether engagement objectives been achieved?

Step 2: Engagement Plan



Raise Awareness	Build Understanding	Consult and Involve	Monitor & Evaluate
<p>Engagement Objective: Communicating suggested approach to Community Leaders and Stakeholders</p> <p>Methods</p> <ul style="list-style-type: none"> • Issue Draft Engagement Plan – may contain options on methods • Direct approaches – meetings with individuals 	<p>Engagement Objective: Help Community Leaders and Stakeholders to understand the purpose, proposed methods and objectives of engagement</p> <p>Methods</p> <ul style="list-style-type: none"> • Briefing sessions – one to one • Meet with Community Leaders & Stakeholders Liaison Group 	<p>Engagement Objective: Gaining feedback and agreement on Draft Engagement Plan</p> <p>Methods</p> <ul style="list-style-type: none"> • Invite Feedback through various channels – postcards through to online. • Workshop 	<p>Engagement Objective: Has agreement been reached on the Engagement Plan? Are you ready to engage?</p> <p>Methods</p> <ul style="list-style-type: none"> • Review KPIs to monitor whether actions are delivering expected outcomes • Project Team Meeting to evaluate whether engagement objectives been achieved?

Development Stage B – Scheme Design

5.3.15 Stage B involves two steps namely:

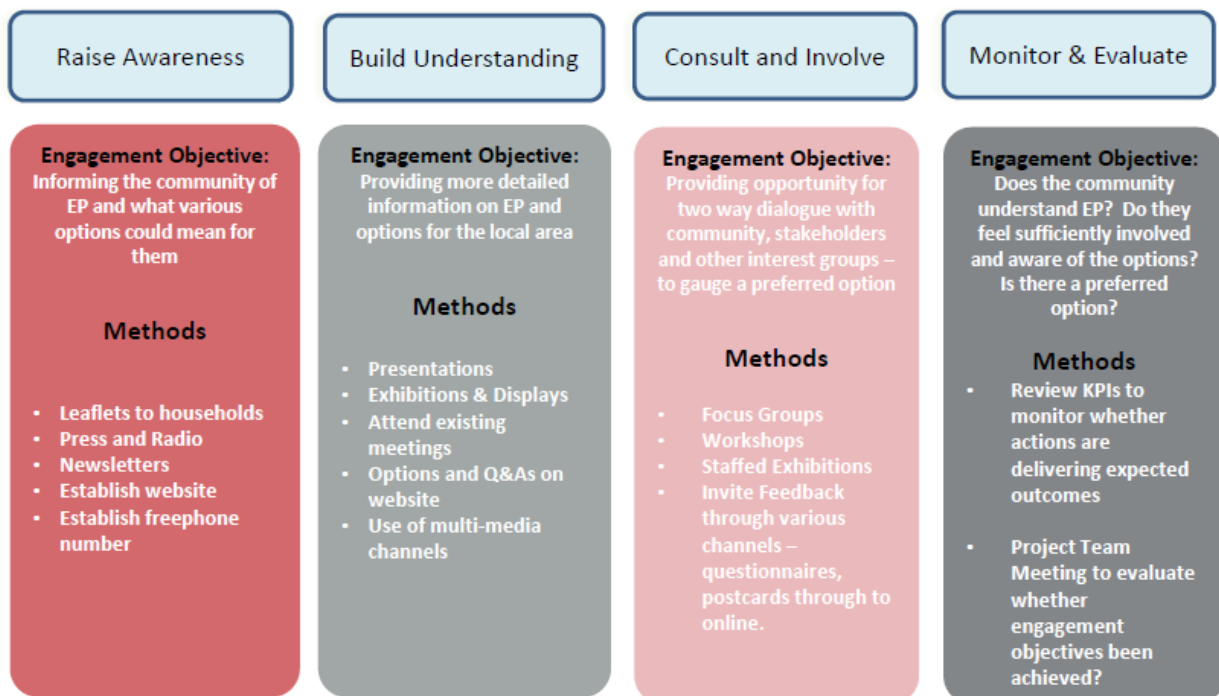
- Step 3 – The EnergyPath Networks tool Output Options; and
- Step 4 – Preparation of Scheme / Network.

5.3.16 Step 3 is the start of the formal engagement activity whereby the wider public and stakeholders become aware of the EnergyPath Networks tool and potential options in terms of output from the model. It could involve consideration of options and the identification of a preferred option. The overall objective at the end of step 4 would be to secure community and stakeholder ‘buy-in’ for the proposed the EnergyPath Networks tool scheme.

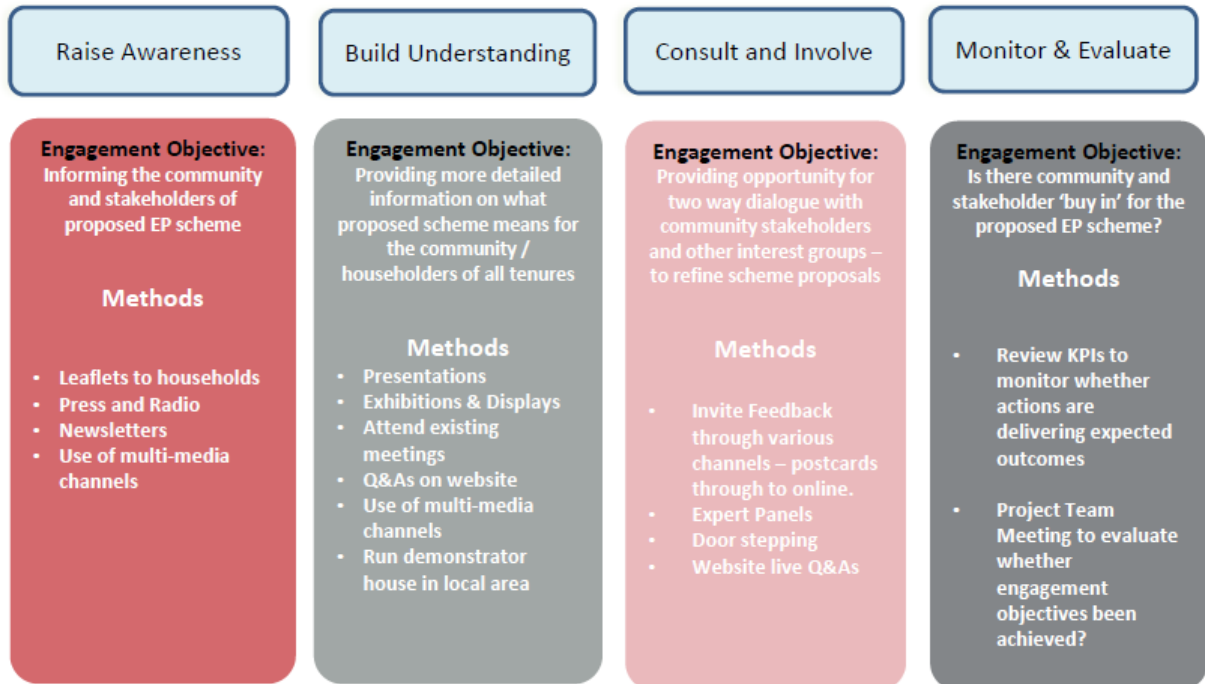
5.3.17 As noted at the outset of this section, it is not clear at this stage what the EnergyPath Networks tool output would be in terms of whether it would be, for example, a series of energy centres, an area based heat network, or an area based retrofit introducing new technologies to multi-tenure households.

5.3.18 However, the engagement objectives and range of suggested methods could broadly fit these various scenarios, but of course would need to be formulated such that they were bespoke and appropriate to specific development proposals. It is important that in each two steps, that it is clear to members of the public and other stakeholders what is and what is not up for negotiation. In step 3 there will clearly be more that is up for debate where stakeholders can influence future decision making. However, by the time step 4 arrives, there will be less scope for influence as the exercise will turn to one that is more information driven rather than consultative. What is key, is assisting those involved in understanding the parameters of two way consultation.

Step 3: EnergyPath Output Options



Step 4: Preparation of Scheme / Network



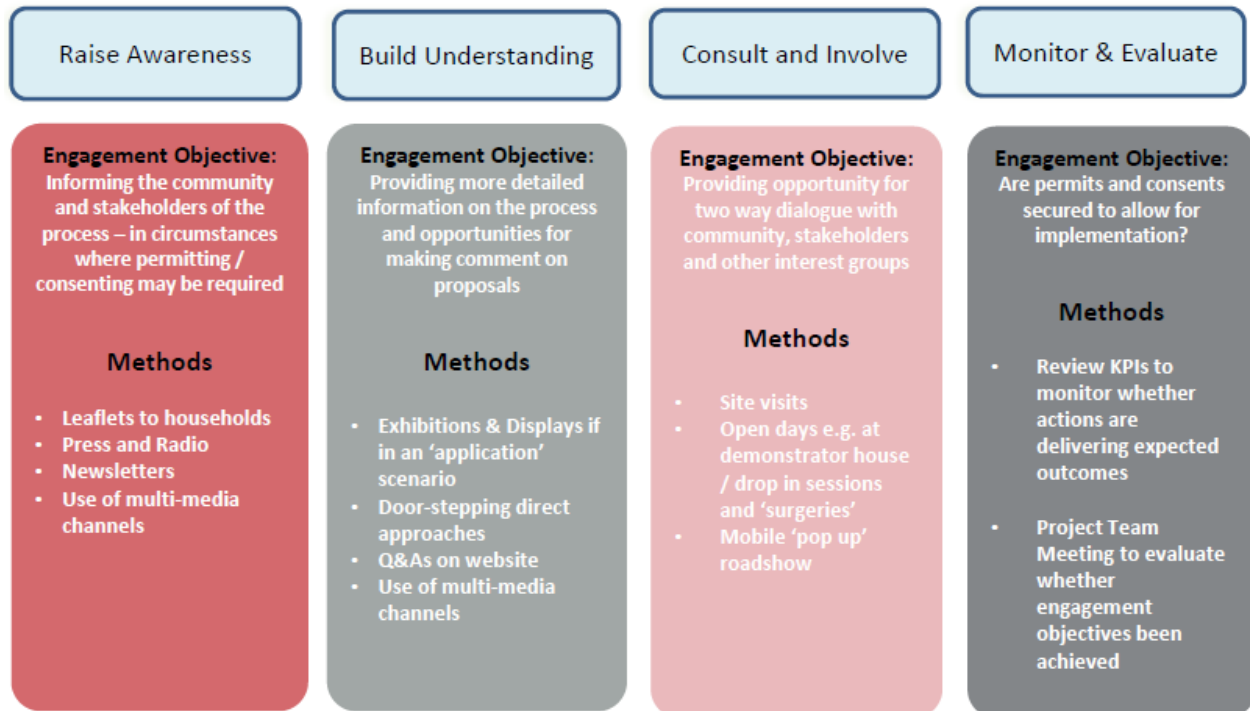
Development Stage C – Permissions

5.3.19 Again, recognising the variety of potential outputs from the EnergyPath Networks tool, this stage involves one step:

- Step 5 - 'Permitting /Consenting.'

5.3.20 At this stage there needs to be considerable flexibility with the approach as it could relate to situations where statutory consent in the form of for example planning permission is required for proposed development, or it could involve a situation where proposals only require consent under the terms of Building Regulations. There is also consideration required in terms of individual householder permissions / consent. Clearly, depending on the specific development proposals, the approach would need to address statutory and non-statutory permits and appropriate consents. The overall objective would be to ensure that all necessary permits and consents were secured to allow for implementation.

Step 5: Permitting / Consenting



Development Stage D – Construction and Operation

5.3.21 This stage involves two steps namely:

- Step 6 – Delivery and construction;
- Step 7 – operational phase.

5.3.22 This stage will involve a great deal of one to one management with households that will be directly affected but also wider elements of the community, in particular in circumstances where energy generating infrastructure may be constructed. Whatever the nature of the physical works, rapport with those affected will be key to ensure the process runs smoothly and reputations are built and maintained. Unique factors at this stage will be the interface between local households and contractors which will require project management and direction to ensure that the reputation that has been built, is not tarnished.

5.3.23 Once the scheme, in whatever form it is, becomes operational, the nature of engagement will become almost customer serviced focus. There will be an emphasis on maintenance and responding to technical faults and the operational needs of householders. It is therefore key that communication channels are widely understood and available which will allow for issues to be resolved in an expedient and exemplary fashion.

Step 6: Delivery & Construction



Raise Awareness	Build Understanding	Consult and Involve	Monitor & Evaluate
<p>Engagement Objective: Informing the community and stakeholders of the delivery and construction process</p> <p>Methods</p> <ul style="list-style-type: none"> • Leaflets / Mailouts to households • Newsletters • Use of multi-media channels 	<p>Engagement Objective: Providing more detailed information on the delivery and construction process and opportunities for making comment</p> <p>Methods</p> <ul style="list-style-type: none"> • Exhibitions & Displays • Door-stepping direct approaches • Q&As on website • Use of multi-media channels 	<p>Engagement Objective: Providing opportunity for two way dialogue with the community on detailed implementation issues</p> <p>Methods</p> <ul style="list-style-type: none"> • Open days e.g. at demonstrator house / drop in sessions and 'surgeries' • Community champions • Mobile 'pop up' roadshows • Construction Liaison Group • Onsite presence & points of contact 	<p>Engagement Objective: Is the project implemented with community and stakeholder satisfaction?</p> <p>Methods</p> <ul style="list-style-type: none"> • Review KPIs to monitor whether actions are delivering expected outcomes • Customer satisfaction survey

Step 7: Operation



Raise Awareness	Build Understanding	Consult and Involve	Monitor & Evaluate
<p>Engagement Objective: Informing the community and stakeholders of operational protocols</p> <p>Methods</p> <ul style="list-style-type: none"> • Homeowners Information Pack • Newsletters • Use of multi-media channels 	<p>Engagement Objective: Providing more detailed information on operational process</p> <p>Methods</p> <ul style="list-style-type: none"> • On call support • Q&As on website • Use of multi-media channels 	<p>Engagement Objective: Providing opportunity for two way dialogue with the community on detailed implementation issues</p> <p>Methods</p> <ul style="list-style-type: none"> • Operational Liaison Group • Customer service contact details – multi channel 	<p>Engagement Objective: Is the project operating effectively and with customer satisfaction</p> <p>Methods</p> <ul style="list-style-type: none"> • Review KPIs to monitor whether actions are delivering expected outcomes • Regular customer satisfaction surveys

5.4 Next Steps

- 5.4.1 Consider the preparation of a pilot Engagement Plan with the EnergyPath Networks tool demonstrator project.
- 5.4.2 Following review of the Thames Tideway interactive website, it is suggested that ETI consider adapting a similar approach whereby people could use a website as an online learning resource to understand, in simple terms, what the EnergyPath Networks tool is and how it works. An approach could be to put in place a 'simple' community friendly electronic version of the EnergyPath Networks tool which would allow users to run say three 'dummy' scenarios.

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- Seyfang G *et al* (2013), *A Thousand Flowers Blooming? An Examination of Community Energy in the UK*
- University of Manchester (2007), *Reconsidering Public Attitudes and Public Acceptance of Renewable Energy Technologies*

7 Appendix 2 – Literature Review

7.1 Energy Related Documents

7.1.1 A detailed summary of the energy related documents reviewed is set out below, with reference to:

- Study / Report objective;
- Target audience;
- Relevant themes emerging / findings; and
- Lessons for ETI.

Department of Energy and Climate Change (DECC) (2014), Community Energy Strategy : Full Report

Study Objective

7.1.2 The objective of the Community Energy Strategy (CES) is to create a platform to provoke discussion around the UK's current and future community energy initiatives. It is the first of its kind produced by a Government in the UK and is intended to act as a foundation for future schemes. The document seeks to engage the public, private and voluntary sector, and to educate them in best practice models for engaging and supporting their respective communities.

"[the document] seeks to grant DECC's vision of community engagement practices and initiatives for creating a set of best approaches to community energy"

Target Audience

7.1.3 The target audiences are local authorities, community leaders, and public/private/third sector organisations. The document's aim is to provide information on the support that DECC and its affiliates will grant to any of those seeking to provide community energy schemes, and *'removing specific barriers to growth'*. Hence, the document seeks to build a better understanding of partnerships with commercial organisations, including the creation and concept of shared ownership.

Relevant Themes and Findings

Barriers to Community Involvement

7.1.4 Three main barriers to community involvement in energy policy exist, and are considered to be:

- Lack of awareness;
- The often high cost of energy saving initiatives for a slow return;
- The complexity of schemes.

7.1.5 Partnerships are therefore considered crucial to community energy activities and supporting communities to produce, reduce, and manage energy requirements.

Partnerships

7.1.6 Partnerships should include:

- Local Authorities – their mandate is often stronger than that of a private sector organisation. Local authorities will also generally have a better understanding of the nuanced issues in their respective local areas;
- Partnerships with commercial organisations – through schemes such as shared ownership;

- Local partnerships and networks in the wider community energy sector.

Lessons for ETI

7.1.7 When communities are involved in commercial energy installations, they can often develop a stronger sense of ownership. Possible models for community involvement are:

- Community benefit payments per megawatt installed/saved that is paid by a commercial developer in to a Community Trust Fund;
- Partial ownership whereby a community invests into a commercial scheme, through a share offer, part lease, or other means;
- Joint ventures where a 'special purpose vehicle' is formed between the community, developer, local authority, or other organisation, to own and manage the installation together;
- DECC states it is also invaluable to be involved in neighbourhood planning schemes which are currently being promoted by DCLG and local authorities. Being part of the neighbourhood plan could be important to gaining consent from community stakeholders for developments, and potentially enabling the wide spread deployment of SSH type development in local areas.

Capability and Capacity

7.1.8 The report recognises that there is a significant need for the better dialogue and greater transparency between industry and community groups. Stakeholders want/need access to reliable information and advice. Many established community energy groups which responded to the 'Call for Evidence' reported receiving numerous requests for help and support, and they were quite happy to do so. A developer should also take on this role.

7.1.9 Additionally, to achieve scale, private sector organisations need to empower groups to learn from each other and share information about what works. Once more, linking back to the absolute importance that communities and stakeholders are aware and have easy access to information is important; whether that is regarding the processes of such schemes, the benefits to the individual and wider community, costs to the individual/community, hotlines, a 'go-to' figure, etc.

7.1.10 Regulatory processes serve important functions such as protecting consumers, ensuring the right infrastructure is built in the right place. These processes, which are part of everyday activities for a commercial organisation, can seem insurmountably time consuming and complex to smaller groups. *"Community-led action can have an effect on individual energy choices."*

7.1.11 The University of Keele released a study on behavioural change in energy saving and found two key factors¹⁰:

- People are influenced by social norms within their community and can be motivated to make changes to their energy use when provided with information about the energy use of their neighbours.
- Top-down energy advice from Government or large organisations prompted a high degree of confusion and scepticism with participants in the research, who found it difficult to relate such information to their own lives.

7.1.12 According to the document, community energy activities are more like to succeed where the community has access to the right information, advice and expertise. Local networks of private, voluntary, and public sector organisations can help individual community energy groups reach a wider range of people, and can help them access support and advice.

7.1.13 When communities are able to invest in or part-own commercial energy developments, they can realise a number of benefits; including an increased sense of ownership and financial returns on investment. Shared ownership models can help community energy achieve scale, as has been the case in countries with high levels of community ownership such as Germany and Denmark.

¹⁰ From paragraph 265 *et seq.*

Funding

- 7.1.14 During feasibility and planning stages, community projects can struggle to attract investment. Community energy schemes often look to raise equity locally through mechanisms such as community share offers.
- 7.1.15 Most groups involved in community energy recognise the benefits of their schemes to the wider community, alongside their direct membership. Share Schemes and part-ownership can be legally backed by forms such as a Community Interest Company, or Society for the Benefit of the Community. Communities are also supported through this by the Community Shares Unit. Another example of funding for the social aspect derived from community energy is the Big Society Capital Fund, which was launched in April 2012 with up to £600m to grow social investment market. More funding options are stated from para 307 *et seq* in the report.

Case Studies of Successful Community Engagement

- Barnet Council entered a partnership to help deliver a 'Green Deal' to its residents. Any resident that wanted to have loft insulation for example, would pay no upfront cost, but the cost would come out of a fee in their electricity bill.
- Along with other local authorities, Cambridge County Council created the Mobilising Local Energy (MLEI) Investment programme. The objective was to create a more efficient and viable investment platform to facilitate local energy generation and in turn increase the scale of energy saving schemes. From page 6 of their Communication Strategy document, the Council outline the various means by which they pitched their argument for the MLEI to various stakeholders, and what those arguments consisted of.
- Lambeth Council supported a number of co-operatives in Brixton which saw residents at three housing estates jointly fund solar panels on the roof of their respective buildings. The Council provided funding and expertise such as project management, but made it clear that the residents' co-operative was the driving force behind the project.
- Lancashire County Council adopted the same ideology as Lambeth Council, and invested in a resident co-operative to create the energy saving means.
- West Sussex County Council along with 14 other partners is creating a renewable energy scheme in the county, which will then be sold to various community groups at an agreed price. Should community groups not be able to fully meet the cost of the initiative, the scheme will be sold off in shares at an agreed price to the community. No stakeholder engagement report has been posted so far.

DECC (2013), Onshore Wind Call for Evidence: Government Response to Part A (Community Engagement and Benefits) and Part B (Costs)

Study Objective

- 7.1.16 DECC progressed a consultation open to the public and organisations between September 2012 and November 2012. The objective was for Government to learn from current methods of community engagement, support and delivery; and from any potential mistakes in the process from an examination of 'on the ground' results. The survey identified various factors in delivering a successful community energy engagement strategy. They could be separated in to four headings:
- Strengthening community engagement;
 - Increasing the community benefits;
 - Encouraging community ownership;
 - Increasing local economic impact.

Target Audience

7.1.17 The report is mostly targeted at ‘top-tier’ stakeholders, such as local authorities, public and private sector. The findings are however applicable to all those involved at any stage of the community energy development process.

Relevant Themes and Findings

7.1.18 The Government identified seven stages of community engagement and delivery success, however six are relevant to ETI. They were:

- ‘Compulsory’ pre-application consultation with local communities when planning for any energy initiatives; especially for onshore wind;
- Empowering the respective communities during the planning process;
- Engagement guidance with the community – bench marking and monitoring good practice of the scheme;
- Enhancing transparency; and when developing community energy, ensuring that stated benefits are flexible;
- Community ownership and ‘buy-in’;
- Enhancing local economic impacts.

Lessons for ETI

7.1.19 The survey results offer insight in to what is being received ‘on-the-ground’ with regard to community benefits of onshore wind specifically. For example, there is a widely held belief that wind farms create jobs, however according to the survey results, many community members are either not aware, or are sceptical, of job creation vis-à-vis wind farm development – an area that has considerable potential to be promoted. This finding evidently links back to communication, transparency, and inclusion from the beginning of the process.

7.1.20 From the survey responses, a number of key themes emerged which developers or local authorities should ensure to emphasise and make clear; they were:

Community Engagement Practice

7.1.21 The developer/local authority should develop good practice guidance for local authority decision makers and make sure this is adhered to; they should also provide support for communities to enhance their capacity to engage.

7.1.22 For future developments, DECC will employ a ‘stakeholder advisory group’ which will comprise community organisations and local Government groups, environmental groups, the onshore wind industry, and academia.

Community Benefits

7.1.23 It should be made clear what benefits proposed are, i.e. in terms of any provision for low-cost electricity and/or linked benefits. Jobs creation in the community can significantly enhance the trust and lead to support from the community. A community benefit register should be created to aid transparency.

7.1.24 From the document, many responses from individuals opposing onshore wind considered that community benefits were “bribes”. From a developer’s perspective, it is important to mitigate this view.

Community Ownership

7.1.25 Delivering communication campaigns to raise awareness; providing financial and technical advice to communities; setting targets and preferential support rates to encourage uptake.

Local Economic Impact

7.1.26 The potential for up-skilling local businesses; also, making local economic impact a material consideration in planning.

Case Studies of engagement – the report set out some short case studies of community engagement and these included:

Infinergy:

- When developing various parts of their portfolio, Infinergy utilised the following engagement methods:
 - Face-to-face and group meetings with the local community: house visits, council meetings, open days, exhibitions, trips to wind farms, liaison groups.
 - A dedicated project website, free post address and Freephone numbers.
 - Printed materials include the provision of newsletters and FAQ sheets.
 - Local media engagement.

EDF Energy

7.1.27 EDF engaged the local community prior to submitting a planning application for their Sheraton wind farm. They hosted local exhibitions and issued questionnaires to local residents informing them about the project. As a result of the early engagement, adjustments to the proposed development were taken in to account prior to submitting the planning application.

Scottish Government (2013), Good Practice Principles for Community Benefits from Onshore Renewable Energy Developments

Study Objective

7.1.28 The document details 'good practice principles' and procedures, which are actively promoted by the Scottish Government. It is intended to be read and delivered as a process starting at the very beginning of community engagement when developing onshore renewables. Additionally, it states many examples of good practice throughout.

Target Audience

7.1.29 The target audience is private sector developers of large and small scale developments, although it is not exclusive to them. The described procedures and plans could also easily be transferable to be used by local authorities.

Relevant Themes and Findings

7.1.30 There is no 'one size fits all' means by which communities can be engaged; however there are a series of steps that one can take to ensure a consistent approach. A key point in the document is that in order to ensure success of a particular development, it must be made clear what the community will benefit from, especially regarding onshore renewable energy – this should be determined prior to even beginning the formal planning process.

7.1.31 Once community benefits have been considered, a particular process of stakeholder engagement can then take place which seeks to identify individuals, groups, and businesses which could directly benefit.

Lessons for ETI

7.1.32 Although from onshore renewable energy there is the obvious benefit of having more sustainable and cost effective electricity, the document states that stakeholders will often want more; i.e. job creation, improved infrastructure, community ownership, and financial rewards.

7.1.33 Additionally in the case of electricity generation, community benefit should include *'voluntary agreements'* such as habitat enhancement, community amenities, local electricity discount, and funding opportunities for urban realm improvements (e.g. such as enhancing town centres etc).

7.1.34 Stakeholder dialogue can be facilitated through methods such as:

- community drop-in sessions; presence at local community events; stakeholder forum/workshops; provision of telephone hotline; web-based consultations; meetings in homes; and street stalls.

7.1.35 Information can be provided through methods such as:

- Press releases; community newsletters; letter notification; public meetings; mail drops; use of social media and internet; Information road shows; community council representatives.

7.1.36 It should also be noted that the report makes it clear that community financial benefit is not a material consideration in deciding a planning application.

Centre for Sustainable Energy (2007), The Protocol for Public Engagement with Proposed Wind Energy Developments in England

Study Objective

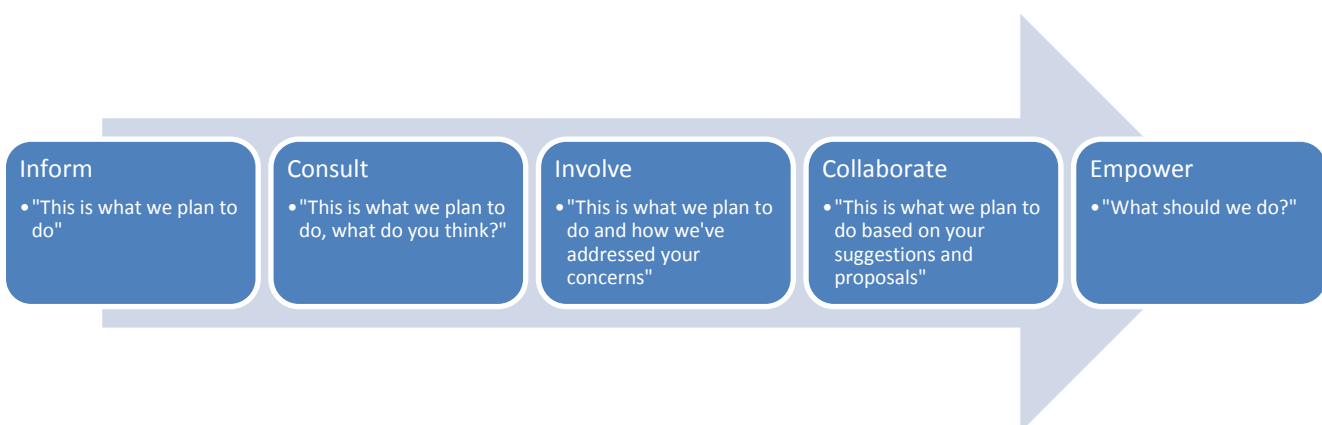
7.1.37 The Protocol sets out the expectations of communities and a range of commitments that key stakeholders should each make to enable effective public engagement in relation to a proposed onshore wind energy development. The Protocol therefore provides a framework around which a more detailed approach to any proposed development can be built. It is a clear and concise document outlining numerous commitments and rules which stakeholders; including developers, should follow.

Target Audience

7.1.38 The intended audience is all stakeholders involved in wind farm development. These include; the wind energy developer, the local authority, local communities and their representatives, the land owner, statutory consultees, and special interest groups. It does address in detail how to engage at each stage of wind farm/onshore development process.

Relevant Themes and Findings

7.1.39 As well as aiding to deliver a successful application for development through early community and public engagement, the Government's policy guidance on community involvement makes it clear that it expects applicants, and developers, to engage with both the local planning authority (LPA) and the community before an application is submitted. Increasing levels of public engagement should be as such:



Lessons for ETI

7.1.40 A key point is the promotion at an early stage the range of potential benefits likely to arise from a project and consult on those which are locally relevant with a view to obtaining a full range of views;

"Failure by the developer to consult could lead to objections being made which could be material to the determination. The aim of the process should be to encourage discussion before a formal application is made and therefore to avoid unnecessary objections being made at a later stage";

7.1.41 At the pre-application stage, a developer should be informing and consulting the community/stakeholders via actions such as:

- Mail-outs; Public exhibition; Website information; Phone-line; Visits to stakeholders.
- Focus groups; Stakeholder committees/liaison groups; Private meetings.

7.1.42 Whilst preparing an Engagement Plan a developer should:

- Understand the area – local papers, local leaders, groups;
- Identify the key stakeholders;
- Match method and outcome – no 'one size fits all' for every stage;
- Establish clear contacts;
- Allocate resources and the right skills;
- Agree timescales.

7.1.43 When delivering public engagement, the developer should:

- Clarify the scope of engagement;
- Provide regular communication;
- Facilitate the flow of information;
- Provide feedback;
- Monitor progress;
- Deal with changes to the process;
- Produce a final report of community involvement.

7.1.44 Annex 1 from page 49 onwards of the report provides detailed methods and 'how-to's of correct public engagement, including: Direct leafleting/newsletter; Questionnaires; Local media; Public exhibitions, to name just four.

Dorfman P, Prikken et al prepared for the European Economic and Social Committee (EESC) (2012), Future National Energy Mix Scenarios: Public Engagement Processes in the EU and elsewhere

Study Objective

7.1.45 The study objective was to undertake an extensive literature review and formulate five case studies of 'better practice' principles and guidelines in recognition of the need for and methods promoting public involvement and engagement in the energy policy field. The literature review undertaken comprised dialogues and public consultations in the EU and elsewhere at local, city, regional, national, and at pan-national levels.

7.1.46 The latter part of the review combines all case studies and creates a 'Recommendations for a Toolkit' (pages 44-56). The final section is the literature review for the study, and why/how it is applicable to the goal of a 'green' energy transition.

Target Audience

7.1.47 The target audience is Government departments and leadership, and all forms of private, public and third sector organisations.

Relevant Themes and Findings

7.1.48 The 'lessons learned' analysis section of the report identifies some key themes from the research. One is that trust-building is key to dialogue, and that there are a number of pre-conditions for trust and co-operation and these are:

- Straightforward and on-going open negotiation between all those involved;
- Good mechanisms for transparency and accountability;
- Clarity about purpose, objectives and scope;
- Inclusion of diverse stakeholders;
- Mutual respect for differing views and knowledge;
- Independent expertise;
- Appropriate oversight and evaluation;
- Accurate and balanced information;
- Genuine open discussion.

'Scenario-building'

7.1.49 Of the decision-support tools, the most commonly used was scenario-building. Using this method, complex energy and climate change information can be successfully applied and understood through the use of scenarios created by any organisation involved in the project. It can consist of an exploratory stage with stakeholder engagement and a modelling stage with forecasting-type scenarios.

'Deliberate Dialogue'

7.1.50 Deliberate dialogue is an approach to decision making that allows people to come together to consider information, discuss issues and options and develop their thinking together. For participants, the experience of dialogue helps them collectively develop their views with experts and decision makers. Put simply, it is an engagement plan to undertake with stakeholders to inform and support them with their respective energy schemes.

7.1.51 The process of deliberate dialogue to stakeholders should: make a difference, be transparent, have integrity, involve the right number of stakeholders, type and balance of people, treat all participants with respect, give priority to participants' discussions, be reviewed and evaluated, keep participants informed, be tailored to circumstances.

Lessons for ETI

7.1.52 As far as the published literature has stated, the evidence suggests that inviting members of the public into structured spaces for holding dialogue around complex and technical policy issues is an important contribution to a more transparent and open way of governing – demonstrating that members of the public have the ability to engage with and contemplate large quantities of complex information, and provide detailed responses that inform and enhance governmental decisions.

Case Study 4 - pg 26+27

- 7.1.53 Case Study 4 outlines Councils which used an 'IMAGINE' idea – e.g. Sutton. The 'IMAGINE' initiative comprised a multi-disciplinary and multi-actor platform, which attempted to create, share and discuss future-orientated approaches to urban sustainability. Diverse forms of collaborative working are essential as well as sharing of responsibilities. Partnerships with Government, public, private and voluntary sectors should be made.
- 7.1.54 The Case Studies in the document provide a broad range of involvement methods: including, stakeholder dialogues, public meetings, citizen's panels, events, forums, workshops, 'kitchen round-tables', 'test-beds', mentoring, 'visioning', peer exchange, interactive websites, and external communication through press and media.
- 7.1.55 The document sets out a number of key principles for 'Better Practice' involvement, however this is set out at a high level and the focus is in relation to 'energy futures' at a relatively high level.

Energy Saving Trust (2010), How to Guide: How to Engage your Community, Communicate about Climate Change and answer difficult Questions

Study Objective

- 7.1.56 The document seeks to provide advice and help the provision of how to construct a message when communicating on climate change to a community. The document also seeks to briefly explain why there is both a stigma attached, and a general lack of knowledge, when discussing climate change. It lists numerous intricate methods that a party can use when creating a campaign to engage difficult stakeholders over climate change.

Target Audience

- 7.1.57 Businesses and third sector organisations in early stages about to embark on implementing a community-wide climate change programme: the process of which has to include early stakeholder engagement.

Relevant Themes and Findings

- 7.1.58 Relevant themes and findings include:
- Community organisations are vitally important agents in the change of understanding climate change issues.
 - People are more likely to believe and respond to others who 'seem like themselves'.
 - Community organisations have:
 - Direct access to local people;
 - Understand local issues;
 - Can help sustain people's activity / involvement over time.

Lessons for ETI

- 7.1.59 The report sets out six key lessons for climate communication, as follows:

1. Focus on the audience:
 - a. Different 'strokes for different folks';
 - b. Be wary of the tendency to just communicate what interests you.
2. Provide positive reasons for listening and acting:
 - a. Avoid 'doom-mongering', guilt and moralistic challenges;

- b. Balance problems with solutions;
 - c. Talk about being 'climate change ready.'
3. Use trusted communicators:
 - a. Do not depend entirely on scientific sources;
 - b. Avoid quoting politicians, Government and green campaign organisations;
 - c. Find the sources and opinion formers who are trusted by your audience.
4. Recognise potential obstacles and denial:
 - a. This section outlines how to deal with:
 - i. Distancing strategies;
 - ii. Blame strategies;
 - iii. Hopelessness and powerlessness;
 - iv. Denial of climate change science.
5. Make action possible, effective, and normal:
 - a. Present belief and action as normal, and inaction as abnormal;
 - b. Provide practical and sustained support.
6. Test it:
 - a. Ask for people's views and input on draft materials;
 - b. Hold discussion groups;
 - c. Obtain feedback on all events.

7.1.60 The report outlines that effective communication is crucial. It discusses communication under six further headings which are:

1. Communication is wider than may be thought:
 - a. Spokespeople for a community project need to be representative of the community; even if somebody skilled takes more of a 'back seat'.
2. Traditional forms of written communication are important:
 - a. A good leaflet, poster, or display is still an important way of explaining your work even in the internet age.
3. Don't ignore the new technologies:
 - a. Because of its low cost and potential for spreading, email is probably the single most valuable 'outreach' tool.

4. Talking face-to-face is still king:
 - a. Because climate change is often technical and data driven, people yearn for personal interaction.
5. Encourage people to display their membership and take ownership of your message:
 - a. Means of communication that can be publically displayed or spread by members, and are especially valuable as they help to create social norm.
6. Be creative:
 - a. Always try to think of new and eye-catching ways of reaching people. Community groups have tried beer mats, comics, banners, games, competitions and songs.

DECC, (2014), Learnings from the DECC Community Energy Efficiency Outreach Programme, Databuild Research & Solutions Ltd

Study Objectives

- 7.1.61 DECC funded six pilots and one online study through the Community Energy Efficiency Outreach Programme (CEEOP), between December 2012 and March 2013. CEEOP was a pilot initiative designed to build a better understanding of the effectiveness of community engagement as an approach to increasing household awareness of, demand for, and installation of energy efficiency measures.
- 7.1.62 The programme was delivered through Groundwork Trusts and other members of the Community Energy Practitioners Forum (CEPF), comprising:
- Six 'local' pilot projects, working to deliver energy efficiency projects with local communities.
 - An online pilot, designed to encourage uptake of measures, through using online communities, including use of social media, online forums and blogs.
- 7.1.63 The six local pilots each included a 'comparator area'; a similar area in the neighbourhood (in terms of size, housing type and demography), where the offers were also available, but not promoted. This helped to provide an understanding of the counterfactual (i.e. what would have happened without the intervention).
- 7.1.64 The Study objectives included:
- understand the different customer journeys from first engagement to take up of an energy efficiency offer;
 - identify the drivers and barriers to success in delivering community level interventions, especially in terms of engaging communities;
 - learn which approaches to community engagement or outreach activity work well with particular groups of people, locations or housing types;
 - identify whether community-based interventions are cost effective, compared to other possible interventions and provide a viable model for the commercial sector in the future;
 - assess qualitative feedback from communities about which messages and methods of engagement work best.

Target Audience

- 7.1.65 The local authorities aimed to encourage uptake of energy efficiency schemes in their respective areas.

Relevant Themes and Findings

- 7.1.66 Relevant themes and findings included:

- Reference to the barriers to, and instigators for, the uptake of potentially disruptive energy efficiency measures in people's homes;
- The findings on community engagement methods are informative and in particular the specific factors around mailings and leafleting approaches and 'events'.
- Although the pilot exercises were small scale and could not conclusively identify which approaches to community engagement work best with particular groups, locations or housing types, aspects which appear to be important include:
 - Utilising local knowledge and networks to develop engaging messages which are relevant for the audience (e.g. specific to household and property types);
 - Working with community groups can be effective in securing interest from parts of the community which would otherwise be hard to engage;
 - Using innovative approaches (e.g. the 'pink bird box' campaign, Bridgend) can help overcome initial householder engagement barriers.
 - In terms of tenure, private tenants in particular were challenging to engage due to the need to secure permission from landlords – to overcome this, a pilot exercise attempted to contact landlords.

Lessons for ETI

7.1.67 Relevant lessons would include:

- Securing initial interest was found to be the most challenging aspect of community engagement, however once an interested household was found, community engagement was far easier;
- Mailings and leafleting were effective methods when targeted;
- There are benefits if targets are 'warm' for door-stepping (and when it is undertaken by trusted local peers) or when contacted further down the customer 'journey' albeit it is resource intensive;
- Events can be more effective if an interested audience attends and particularly if the opportunity is used to inform householders of the full customer journey (e.g. meeting scheme managers and installers). It was also found that 'piggy backing' on existing events can in some circumstances be helpful.
- Messages on matters of warmth and fuel bills were more effective with low income groups, whilst the environmental benefits were more effective with higher income groups. Furthermore, the messages were more effective when they were specifically tailored to the audiences being targeted, i.e. specific to household (e.g. income and tenure) and property types;
- Where there are other current, or recent retrofit schemes and promotional activity in an area, making a scheme 'stand out' and overcoming resident fatigue with the various offers can be challenging. Therefore, use of innovative marketing messages can be effective in overcoming this issue.
- The steps of the process should be communicated from the outset;
- In general, the extra activity of the pilots managed to reach a large proportion of target communities, but struggled to generate significant numbers of those signing up for schemes. The reasons why householders were most likely to drop out of the customer journeys included eligibility issues (including tenure), householder lack of interest or perceived 'hassle' of taking up measures, lack of trust in commercial schemes, scheme availability and 'customer-led' journey steps (i.e. providing numbers for householders to call to refer themselves to a scheme).

Energy Research Partnership (2014), Engaging the Public in the Transformation in the Energy System

Study Objective

7.1.68 The Energy Research Partnership (ERP) publishes reports which provide overarching insights into the development challenges for key low carbon technologies. Each report identifies the challenges for a particular 'cross cutting issue' and the work generally seeks to identify critical gaps in the activities that will prevent key low carbon technologies from reaching their full potential. The reports frequently make recommendations for investors and Government in order to address these gaps.

Target Audience

7.1.69 This particular report addresses strategic and local matters with regard to engagement in the overall energy system and is aimed primarily at the key stakeholders involved in the delivery of the low carbon transition, including Government, third party advisors and industry.

Relevant Themes and Findings

7.1.70 By way of an introduction, the document explains that there is a great deal of public engagement taking place, with a diverse range of methods and tools being used. It highlights that there are different views on what it is and what it entails, but that engagement is valuable for the development and implementation of policies, identification of enablers and the deployment and development of technologies and infrastructure.

7.1.71 In terms of implementation, the document highlights that successful engagement, if well designed and integrated so that it informs project development, can yield valuable information, reduce risks and improve market uptake in the long run.

7.1.72 The report explains that the design of each engagement programme should be different, as it depends on the circumstances and the nature of the proposal that is being developed, whether it is a policy idea, possible project or a product. In this regard, awareness of a technology or issues varies. Public attitudes and values can also vary depending on whether a proposal affects an individual directly, or is more of say a national level conceptual issue. It makes it clear that translating strategic ideas to the local level requires the need to address a different set of concerns and values, as opposed to those that exist at a more macro level.

7.1.73 The document does make reference to energy saving and management measures, and it highlights that this is an area where the uptake has been generally lower than expected, even when it is apparently being offered for free. It states that this may in part be due to suspicion about supplier motivations, particularly if say a utility company is promoting an initiative directly – and the assumption may be there that the consumer will end up 'paying for it in the end' (compound with the fact that reductions in energy bills are not always immediately apparent).

7.1.74 In addition, the report explains that the inconvenience of needing to 'clear the loft space' has been raised as a reason not to implement simple measures such as loft insulation. In these circumstances, personal benefits were not perceived as sufficiently greater than the 'cost'. All of these factors have important implications for the approach to and method of engagement that might be pursued.

7.1.75 The document sets out a helpful guide to the principles of engagement and states that best practice is difficult to define, as each situation needs to be considered on a case by case basis. However, principles identified that are considered to be helpful in terms of making engagement more successful include:

- Be clear and honest about why public engagement is being undertaken;
- From the outset be prepared to listen and learn;
- The commissioning agency needs to be committed to acting on findings;
- Needs to be done early to inform decisions and to 'avoid surprises' later on;
- To be effective and worthwhile requires committing the necessary resources that may not be cheap;

- Trusting and independent agents can be the most effective for carrying out the engagement;
- The engagement needs to be tailored to attain objectives and be targeted to ensure the necessary public are included.

7.1.76 Whilst the document does make reference to engagement at a national level, we have focussed our review on what the document says with regard to the local level. It highlights that at the local level, earlier engagement will help to identify who all the stakeholders are, what issues need to be influenced, the particular proposal and how the project design could be modified to mitigate problems and deliver a more acceptable outcome.

7.1.77 Helpfully, the document also makes reference to the household/individual level and it addresses the issue of 'value proposition' and the particular approaches that could help to identify the values that a project or activity can appeal to. It highlights that where an outcome requires behaviour change which requires appeal to values outside of personal aspirations, additional activities may be needed to deliver the intended outcome, such as supporting the product delivery.

7.1.78 The report makes reference to a review by the European Environment Agency on how to deliver energy efficiency, which suggests that social norms play a significant role in determining energy demand, which may be driven by other values, and this goes beyond simple interactions with technologies.

Lessons for ETI

7.1.79 The report also makes reference to DECC who the report states has identified the need for better understanding of energy use in the home to support the development and deployment of energies so as to make them more effective. It makes the point that whilst the focus in this regard is mainly on interaction with technologies, it highlights the need to understand how social norms, practices and psychological values and attitudes can affect energy use and use and the need to acknowledge this in order to design better policies. This has implications for engagement practice.

7.1.80 The report highlights these relatively complex factors which will be important to take account of at the design stage of an engagement process being considered by ETI.

7.1.81 In conclusion, the document highlights that the public have a vital role in the transition to a secure, affordable and low carbon energy system. It states that engaging with the public and is not just appropriate, but can provide valuable insights that can improve decision making and shape developments to provide more acceptable and effective outcomes.

7.1.82 The document makes it clear that if the public are expected to engage in the transformation, both in terms of informing decision making and implementing changes at an individual level in relation to low carbon energy, it is vital that they can trust the organisations and institutions involved in the transition.

7.1.83 Overall, the document concludes that the design of engagement needs to be considered on a case by case basis and follow some basic principles. Importantly, engagement should identify the various stakeholders early and seek to understand the proposals or development from their point of view.

7.1.84 Overall, this is a fairly high level document, however it does directly address the approach to engagement with regard to the complex challenges to be faced in the delivery of low carbon technologies at the local and household level.

7.1.85 The document also makes it very clear that the development of energy system scenarios needs to incorporate the understanding of social dimensions, alongside technical and economic parameters. This is also a key matter that we have identified from the academic literature review which will be an important overall factor to acknowledge in the design and delivery of engagement processes by the ETI.

DECC, (2014), *Community Engagement for Onshore Wind Developments: Best Practice Guidance for England*

Study Objective

- 7.1.86 The document was published alongside its counterpart '*Community Benefits from Onshore Wind Development: Best Practice Guidance For England*' with the ministerial foreword making it clear that it is important to foster the development of close and meaningful engagement between developers and local communities. The aim of the guidance is to set out best practice on engagement, help people understand the process and assist the parties involved achieve their objectives through effective engagement. It sets out best practice based on key principles of effective engagement for developers, communities and local authorities in England and builds on guidance produced for the Renewables Advisory Board.
- 7.1.87 The document follows the typical development process of an onshore wind proposal and details the scope of engagement during each of these phases with examples of the types of techniques which could be applied in order to achieve the various purposes of engagement.

Target Audience

- 7.1.88 The target audience relates to all the groups involved in the development of onshore wind proposals and covers communities, developers and LPAs.
- 7.1.89 For communities, the guide outlines the approach to be undertaken throughout the development life cycle in order to engage in a way that facilitates an understanding of what is being proposed, to explore how a development can bring value to an area, to identify which options would work best within a local context and to help shape solutions and to allow communities to 'have their say' on a particular development proposal.
- 7.1.90 Developers are considered to comprise individuals, community groups and businesses who are working to harness onshore wind energy. It is made clear for developers that engaging with the local community can provide vital local knowledge, reduce the risk of challenges and delays, identify how a scheme can bring value to a local area and enhance reputations of all involved.
- 7.1.91 Lastly, the guidance acts as a tool for LPAs to spread best practice and assist parties in understanding the process of community engagement and what it involves.

Relevant Themes and Findings

- 7.1.92 The guidance sets out the differing stages of the development process for onshore wind and the engagement journey that should take place throughout that life cycle. The four phases of the development process that it considers of most relevance are preparation; planning; post consent; and operation and decommissioning. The engagement journey contains five key stages that theoretically run in parallel to the development life cycle. The five areas of the journey are considered to be awareness raising; building understanding; participatory engagement; wider engagement and ongoing engagement.
- 7.1.93 Detailed advice on best practice and methodologies for each of the stages of the development life cycle is set out and it highlights each piece of advice under one of six categories which are timely; transparent; constructive; inclusive; fair and evidence based; and unconditional. Prior to providing the detailed guidance on each phase of the process, the document sets out some overarching principles behind each of the six categories and a summary of some of the key themes is outlined below:
- Timely - All parties should have access to a clear timetable identifying where engagement opportunities take place. Engagement should begin early so that it takes place such that plans can be changed.
 - Transparent - All information should be clear, accessible and in an appropriate form to communicate what people want and need to know. It should be clear on what aspects a development and community benefits are fixed and why and what is 'up for debate'.

- Constructive - Dialogue should be a two way process - those involved should listen as well as contribute.
- Inclusive - All parties should seek to understand the full range of local opinion and the barriers that may exist to people actively participating, particularly with regard to under-represented individuals and groups.
- Fair and evidence based - robust factual information should be the foundation of engagement. Participants should be provided with the opportunity to take a part in actively developing proposals and should understand how their views have been responded to. Changes to a development should be made on the basis of the wider community and not a just in response to a vociferous minority.
- Unconditional - It should be made clear that engagement does not imply support for the development or that approval by the LPA is more likely to be achieved.

Lessons for ETI

- 7.1.94 The document sets out a number of best practice measures of relevance to ETI. However, some of these relate to the approach communities and LPAs should take when an onshore wind development is proposed and therefore are not of direct relevance. Those that relate to the best practice actions a developer should take are therefore the focus of the remainder of this section.
- 7.1.95 It is made clear that any engagement exercise should happen early through the publication of a consultation scope, with progress clearly communicated along with any changes and reasons given. A plan should cover both community and stakeholder engagement and establish which elements can be achieved effectively through the same activity (such as holding an exhibition to build people's understanding of a project), and which elements may require more bespoke approaches (such as attending local events to access harder to reach people within the community and holding meetings or forums on specific environmental issues). The guide lists seven key topics for such a plan which comprise context and vision; purpose of engagement; the purpose of each element of engagement; where engagement will take place; an outline of methodology and when engagement will take place.
- 7.1.96 It is considered that early planning of the programme of engagement assists in managing resources effectively and increases the credibility of the process when viewed by other stakeholders.
- 7.1.97 It is important to differentiate between those who need to be formally consulted with and those whose views are being sought. The guidance highlights the benefits of engaging organisations that work in the local area as they can often identify key local stakeholders, provide guidance on the most effective approaches to engagement, offer advice on the most locally appropriate and time efficient way to share information and offer ways to encourage local support.
- 7.1.98 The document stresses the importance of understanding local people and cultures and in particular considering what networks will be most effective for disseminating information; which local papers are well read; which notice boards are most looked at; where there are local leaders; how best to engage hard to reach groups; the history, geography and economic climate of the area and any existing current concerns of the community.
- 7.1.99 There is a suggestion that it may be helpful to involve a local third party, who can give insights into a local context, demographics, and sensitivities in the area in the preparation of the engagement plan. It is considered that such an approach may be highly beneficial for ETI.
- 7.1.100 In relation to addressing barriers to engagement, it is considered that developers should ensure that people are able to access information about the development and contribute where they wish to. The methods employed should take into account the needs of participants in terms of practicalities, including for example, time of day, distance to travel, need for translation and the level of commitment required to participate. Providing a range of opportunities for involvement will enable people to get involved in a way and at a level that suits them.
- 7.1.101 There is emphasis placed in the document on the need for establishing clear contacts and that a named contact that works on hard to build relationships can have a significant impact on how a community may respond to a

project overall. In addition, it is considered that having the right people with the right skill sets for engagement is very important. Developers are encouraged to identify and meet any skills gaps through employing external agencies or through staff training.

- 7.1.102 In relation to general pre-application consultation, the guidance stresses that engagement should go beyond information provision and should build people's understanding of a project and its likely impacts and benefits. The report lists a range of best and innovative practice measures. It considers best practice to be information mail-outs, public exhibitions, information on a website, a project phone line and making frequently asked questions and answers available. Innovative practice might involve site visits, focus groups, door-knocking in the local area, facilitated workshop and community liaison groups.
- 7.1.103 Upon submission of a planning application, it is considered good practice to issue press releases and create and maintain a website that is kept up to date, with changes where they occur, that contains contact details and information about how to respond to the planning application. In addition, consideration should be given to stakeholder committees, private meetings, letters and site visits. Innovative practice might involve up to date questions and answers on the website, the use of social media, a proactive media strategy and independent fact verification.
- 7.1.104 The other areas covered by the guidance are in relation to post consent stages under the topics of discharge of planning conditions, tendering and use of local contractors and the construction and grid connection. Whilst related to onshore wind, it is an up to date and useful guide, particularly in circumstances where development proposed would involve a planning application.

7.2 Non-Energy Documents

7.2.1 A detailed summary of the non-energy related documents reviewed is set out below, with reference to:

- Study / Report objective;
- Target audience;
- Relevant themes emerging / findings; and
- Lessons for ETI.

Department of Communities and Local Government (2009), Planning Together – Updated Practical Guide for Local Strategic Partnerships

Study Objective

- 7.2.2 The guide was produced under the last Labour Government and was designed to be an easy reference point for explaining the duties and responsibilities of Local Strategic Partnerships (LSPs) and the fundamentals of the planning system. It aims to demonstrate how key strategies and plans such as the Sustainable Community Strategy and Local Development Frameworks (LDF), work together to meet challenges locally and secure real improvements in people's lives.
- 7.2.3 It seeks to ensure coordination between LSPs with the development and implementation of local planning policy. There are four key aims which can be summarised as follows:
- To help LSPs understand the potential contribution of the spatial planning system;
 - To help planners understand their social, economic and environmental responsibilities;
 - To help planners and LSPs take a coordinated approach to local citizen engagement; and
 - Support local authorities to develop a leadership role in implementing the principles of sustainable development.
- 7.2.4 In summary, the guide seeks to provide an accessible source of information about the planning system and the local Government policy context for partnership working through LSPs and suggests some practical tips to

strengthen collaborative, corporate approaches. One of the approaches set out is to move to joint consultation and engagement processes for the Sustainable Community Strategy (SCS) and LDF Core Strategy.

Target Audience

- 7.2.5 As the title suggests, the document is designed as a guide for LSPs and planners. However, as it is targeted toward these groups to give them tools to work together when rolling out plans and programmes, including community engagement, it is considered to have relevance to the ETI study.

Relevant Themes and Findings

- 7.2.6 A number of the themes are not applicable to the activities of ETI as they relate to the aims of collaborative working between LSPs and planners to establish a robust corporate approach to their respective functions. However, part of this approach revolves around joint working on consultation and community engagement and therefore the following sections set out the salient points that are relevant to the ETI.
- 7.2.7 There is discussion around the question of why planners should be involved with LSPs. In relation to stakeholder and community involvement, it states that this would benefit LSPs in promoting and co-ordinating local stakeholders, encouraging community business involvement in local decision making and supporting informed engagement with the planning process.
- 7.2.8 In reverse, there is also discussion around the benefit of LSPs engaging with the planning process which it states are co-ordinating effective engagement with stakeholders, businesses and local residents. It goes on to set out that the starting point in preparing both the SCS and the LDF is, amongst other things, robust local engagement and consultation.
- 7.2.9 The guide sets out nine key actions for improving collaboration between the planning functions of local authorities and the work of LSPs. One of those nine key actions is to move to joint consultation and engagement processes which it states has the potential of saving time and resources and can reduce the burden on local people and stakeholders.

Lessons for ETI

- 7.2.10 As the guide is for specific practitioners working within LSPs and spatial planning, it is not entirely relevant to the likely engagement activities that ETI will be undertaking. However, the clear theme running through the document of fostering a collaborative approach to stakeholder and community involvement, and the benefits that it brings, is something directly applicable to the ETI.
- 7.2.11 The target audience of LSPs and planners may have a number of synergies with ETI whereby plans and programmes that will directly affect communities and businesses alike are being proposed. Whilst not dealing with direct development proposals, or physical works, it is considered that the range of stakeholders considered within this document will be similar to those that ETI may be required to engage with. It is therefore likely that the LPA for an area selected for development with the ETI could play an important role in formulating and executing an engagement strategy and as such, a collaborative approach will play an important role and will improve credibility with other stakeholders such as the local community.

Environment Agency (2004), Working with Others – Building Trust with Communities – A Guide for Staff

Study Objective

- 7.2.12 The document is essentially a toolkit for members of staff within the Environment Agency (EA) to understand the need for, and how to execute, effective community and stakeholder engagement. The key objective is to deliver a step-by-step guide to the skills and techniques that members of staff should be using when working with communities. It aims to enshrine within practice a '*building trust with communities*' approach to improve the way the EA communicates with everyone and to foster more open and collaborative working.

Target Audience

7.2.13 The target audience is very clearly for members of EA staff. However, whilst not its intention, it is considered that it is equally applicable to other public or private sector organisations looking to implement plans, programmes or development proposals. Despite being relatively dated, we consider the approach set out has validity today.

Relevant Themes and Findings

7.2.14 The toolkit sets out a six step process under four themes which it considers to encapsulate the 'building trust with communities' approach. Briefly these are as follows:

- Why? (key messages and goals):
 - Step one- What do you want to do?
 - Step two – why do you need to work with the community?
- Who? (target audiences):
 - Step three – Who do you need to involve?
- What? (activities to achieve our goals):
 - Step four- How will you involve them?
 - Step five – let's do it!
- How? (measuring success):
 - Step six- how did it go and what did you learn?

7.2.15 The document sets out a very clear and concise structure to allow the target audience to understand the context and purpose of each stage of the approach. In addition to the context, each section provides a checklist of questions to consider, as well as useful tips and pitfalls to be aware of.

Lessons for ETI

7.2.16 The guide for EA members of staff is considered to be a good example of how to plan and implement meaningful and effective community and stakeholder engagement. The toolkit is intended to cover all types of engagement that the EA may be required to do, from running liaison groups, through to extensive consultation on infrastructure scale developments such as flood defence schemes. As such, it is considered that there are a number of synergies with the works likely to be required when ETI schemes are brought forward, not least the need to consult with residents whose homes may be affected by both direct and indirect works. To highlight the useful nature of the document, some examples are set out below.

7.2.17 The section on the methods for involving people (Stage 4) is particularly helpful in identifying a range of consultation methods for four differing types of involvement which are categorised as; inform, gather information, involve and partnership. Below are two example methods taken from each topic area:

- Inform:
 - Newsletters;
 - Advertising.
- Gather information:
 - Staffed displays;
 - Public meetings.
- Involve:
 - Surgeries;

- Workshops.
- Partnership:
 - Liaison groups;
 - Facilitated meetings.

7.2.18 In addition, phase 4 also includes various useful ideas to avoid exclusion such as language barriers, understanding cultural differences, meeting places and consideration of times of day for events.

7.2.19 It is considered that overall, the document provides a robust basis for identifying, planning and executing meaningful and inclusive consultation and engagement and should be considered as a good example of best practice guidance.

Community Places (2014), Community Planning Toolkit – Community Engagement

Study Objective

7.2.20 This document examines issues to consider when planning and designing community engagement and is part of a wider toolkit on community planning developed by Community Places. It focuses on quality and effectiveness, process planning, designing engagement tailored to the particular issue, level of participation to be achieved, timeframes and the range of stakeholders affected.

Target Audience

7.2.21 In February 2010, in recognition that the Community and Voluntary Sectors (CVS) are under-resourced to participate in Community Planning, the Big Lottery Fund issued an invitation to tender for three Community Planning Pilot Projects and a Learning, Support and Toolkit contract which was in response to the planned introduction of Community Planning in June 2011.

7.2.22 The target audience is therefore the CVS and the study document forms part of the community planning toolkit which was developed in order to support them in the future community planning process.

Relevant Themes and Findings

7.2.23 The toolkit seeks to set out best practice and pitfalls when planning and designing effective community engagement. It provides an informative overview of relevant questions and issues to consider at the planning and design stage. It then examines quality standards for community engagement, sets out suggestions for utilising online tools to guide engagement activity, tools to help choose engagement methods and has suggestions on various methods and techniques.

7.2.24 In the early stages of designing a strategy it sets out that community engagement is an ongoing cumulative process that builds trusting relationships and that it is important to outline a clear purpose to determine objectives and anticipated outcomes. In addition, at the same stage it is important to identify key stakeholders from a range of backgrounds to facilitate the widest possible participation.

7.2.25 Overcoming barriers to engagement is highlighted as an area of focus, to recognise diversity and identify any potential barriers. Where such barriers are identified, it suggests ways to design the process around them. It is also stressed that it is important to use different forms of engagement methods at different stages of the process. Emphasis is then placed on ensuring there are appropriate resources available for the various forms of engagement and that limitations are understood by all sides.

7.2.26 It then goes on to suggest adopting the Scottish National Standards for Community Engagement which were formulated upon the experience of over 500 community and agency representatives.

7.2.27 Each of the standards are repeated below:

- The Involvement Standard - We will identify and involve the people and organisations with an interest in the focus of the engagement.

- The Support Standard - We will identify and overcome any barriers to involvement.
- The Planning Standard - We will gather evidence of the needs and available resources and use this to agree the purpose, scope and timescale of the engagement and the actions to be taken.
- The Methods Standard - We will agree the use methods of engagement that are fit for purpose.
- The Working Together Standard - We will agree and use clear procedures to enable the participants to work with one another efficiently and effectively.
- The Sharing Information Standard - We will ensure necessary information is communicated between the participants.
- The Working With Others Standard - We will work effectively with others with an interest in the engagement.
- The Improvement Standard - We will develop actively the skills, knowledge and confidence of all the participants.
- The Feedback Standard – We will feedback the results of the engagement to the wider community and agencies affected.
- The Monitoring and Evaluation Standard - We will monitor and evaluate whether the engagement meets its purposes and the national standards for community engagement.

7.2.28 The document then runs through a series of suggestions for methods and techniques in community engagement including, for example, public meetings, workshops and focus groups, forums and web based engagement. It then highlights what it considers to be the strengths and weaknesses of each one.

Lessons for ETI

7.2.29 Whilst the document is aimed towards community planning at a scale that centres around a strategic vision for an area, there are some best practice measures identified which, if adopted, would ensure a robust process was followed at the planning and design stage of development and also in identifying strengths and weaknesses when using various methods and techniques.

7.2.30 A key lesson in the design phase is to ensure that the engagement has a clear purpose which will help identify engagement objectives, anticipated outcomes and help to determine the scope and depth of the engagement exercise. Following on from this, it is clear that identifying key stakeholders who will be affected and accessing them in an appropriate manner will ensure a robust and inclusive process.

7.2.31 There is a useful overview of potential barriers to engagement which the ETI may encounter such as the capacity and ability of different stakeholders, such as minority groups, to participate. There is then a checklist of design issues to consider to overcome such barriers, which will be a useful reference point.

7.2.32 Section 4 details an online planning resource which is an innovative IT based tool to support users in analysis, planning, implementation and evaluation of community engagement activity which could be utilised by ETI.

7.2.33 As a tool for identifying appropriate methods and techniques for community engagement, the detailed analysis of the strengths and weaknesses provides a useful checklist when seeking to identify what may or may not work, dependent on the aim and purpose of the engagement activity of ETI at that time. For example, should a project be proposed within a community with a high percentage of hard to reach groups, then undertaking regular forums would be an effective way of involving such groups through creation of an arena directed towards their specific concerns. Overall it is a very useful guide.

Planning Aid (2012), Good Practice Guide to Public Engagement in Development Schemes

Study Objective

7.2.34 This guide is intended to provide practical advice for all those involved in public engagement in development schemes which require planning consent. It sets out examples of good practice and provides information and assistance to those planning, undertaking or assessing community consultation. It provides a range of best practice 'ingredients' which are intended to be used to develop a positive and beneficial engagement process.

Target Audience

7.2.35 Planning Aid is an organisation which provides free and independent professional planning advice to community groups and individuals who cannot afford to pay professional fees. They seek to work with communities to help them understand and play a role in the planning process and are an independent source of advice and information on planning issues. The target audience is therefore geared towards non planning professionals who wish, or may have a need to engage with and understand the planning system.

Relevant Themes and Findings

7.2.36 The document focuses on all stages of the planning process where a specific development is being proposed. It seeks to help the reader understand that at every stage of the development life cycle, engagement is a two way process of openly sharing information, understanding different views, listening and responding to suggestions and developing trust and dialogue in order to support effective working relationships to the mutual benefit of all involved.

7.2.37 The first part of the study examines why it is important to engage and highlights the benefits of this for all stakeholders in the process, including, communities, developers and decision makers. It then details principles for engagement with commentary on each one, they can be summarised as follows:

- Research and analysis - explore the context, history, different communities and groups in the area who may be affected.
- Relationship building, knowledge and skills – develop links with key groups and individuals who can assist and advise on what matters in the area.
- Communications – ensure that the information provided is clear, accessible and sufficient to tell people what they want to know, and to allow them to decide whether to engage.
- Timing – be realistic, allow sufficient time to achieve the goals set at the start. Provide a clear timetable for the project identifying consultation opportunities.
- Inclusive – ensure under represented individuals and groups are included and that they have an equal opportunity to be heard.
- Monitor and evaluate – monitor engagement and use the results to identify gaps and inform actions to widen the process and ensure a balanced community response is achieved.
- Continuing to engage – Has feedback been given and how will the relationships developed be continued into the construction and operational phases of a development project?
- Learn from the process – identify what people think of the way the consultation has worked.

7.2.38 The document provides detail to non-planning professionals of the way that engagement will take place at each stage of the planning process including pre-application, submission and decision and construction and operation. Within each stage, the document provides detailed advice around five key headings as follows: awareness raising; building understanding; consult and communicate; discussion and debate; and effective engagement. Under each of the five headings it then provides detail on suggested approaches for each, good practice advice and examples.

7.2.39 The document finishes by highlighting examples of delivering good practice through asking relevant questions, with associated answers and examples.

Lessons for ETI

7.2.40 The document provides a very good reference point for highlighting best practice for public engagement throughout the life cycle of a planning proposal. Whilst intended for non-planning professionals, it is clear that its principles are founded upon best practice. This is highlighted by the fact that the document is endorsed by the RTPI, the Consultation Institute, the International Association for Public Participation and the Institute for Environmental Management and Assessment.

7.2.41 It demonstrates that engagement goes beyond just informing people of development proposals at the pre application stage and demonstrates the benefit of continued engagement through the planning process and onwards to construction and operation. In covering all stages of the development process, it sets out the key benefits for all sides when a proposal is brought forward. It suggests that, for communities, engagement means a chance to understand what is proposed. For developers, it provides vital local knowledge and for decision makers it will identify issues of importance to the local community. All of these lessons are important for ETI to have in mind when a specific development is eventually proposed.

7.2.42 When detailing the good practice approaches for each of the three stages of the development life cycle. The document provides a detailed check list which can assist in identifying beneficial approaches to engagement such as advertising, consultation events, liaison groups and drop in sessions.

7.2.43 Prior to commencing engagement activities the *"delivering good practice"* section provides a good overview of key questions and real case examples which assist in identifying the benefits of engagement at different stages in the process. For example, the document asks: Why carry on engaging once an application has been submitted? It responds to this question by stating that good neighbour relationships help avoid conflict during the construction and operation phase. It then provides an example where the Cambridge Waste Management Park hosted visits to facilities on site with public open days. With the development taking place in stages, the events contributed toward dispelling myths about waste facilities.

The Royal Town Planning Institute (2005), Guidelines on Effective Community Involvement and Consultation

Study Objective

7.2.44 The document aims to provide RTPI members with a body of best practice guidance on key aspects of community involvement in an easy to absorb format and capable of being amended and updated in light of experience. In the document, the RTPI has sought to leverage its knowledge of best practice in those many disciplines where public and stakeholder consultation is well established.

Target Audience

7.2.45 The guidelines were produced for the benefit of RTPI members, but as it relates to engagement on plans and development proposals, there are a number of areas of best practice which are relevant to any organisation taking a project through the planning system.

Relevant Themes and Findings

7.2.46 The document is structured in to 22 sections under three different categories; public involvement issues, enablers and consultation standards. The standards category follows the seven principles of the "consultation charter" which, following publication by the Consultation Institute in 2003, and which has received widespread acceptance and forms a solid basis for measuring compliance with best practice.

7.2.47 Under each category there are different headings where a specific issue is set out with subsequent recommendations about approaches to overcome it. It covers the early stages of any engagement exercise, from building relationships, to consulting with hard to reach groups, avoiding consultation fatigue and setting

stakeholder expectations. Under the enablers section, it examines at the methods of engagement whilst highlighting the need to ensure there are sufficient resources and budget on hand and that relevant representative bodies as well as the community are involved. The standards section, following the Consultation Charter, addresses the topics of integrity, visibility, accessibility, confidentiality, full disclosure, fair interpretation and publication.

Lessons for ETI

- 7.2.48 There are interesting themes throughout the document which may provide useful lessons for the ETI. The following paragraphs highlight the topics in the document that are considered most applicable to future ETI engagement activities.
- 7.2.49 In the early stages, when considering building relationships, the approach recommends setting clear objectives, understanding the drivers and motivations of targeted groups and ensuring that the process is set to be monitored and reviewed throughout. It also states the importance at the start of the process of isolating key objectives from peripheral benefits of consultation which will help those planning public engagement exercises and assist in creating the right experience.
- 7.2.50 The fifth theme is consulting with hard to reach groups and, as an overarching theme, it states that making progress in this area requires high levels of co-ordination, as often these groups have limited capacity for involvement.
- 7.2.51 An issue raised is that of 'consultation fatigue'. It sets out that it is important to get the balance right between organisations who may not need to continually be consulted and, for example, the general public who may take a lot longer to reach a saturation point. One of the key recommendations to overcome this is to reach consensus on the form, methods and timing of consultation so that all relevant stakeholders can plan their involvement in advance. This will undoubtedly be an important lesson for ETI going forward.
- 7.2.52 It recommends being thorough in selecting appropriate dialogue methods and focuses on the theme of ensuring that appropriate ways are selected to engage with specific stakeholder groups at varying stages of any particular process.
- 7.2.53 A lesson which will be important for ETI to adopt is training to ensure better engagement and consultation. In particular it highlights that there is such a body of expertise in the area of engagement that there is no longer a need to just 'learn on the job'. It recommends establishing internal self-help learning and skills transfer and placing a focus on skills required beyond formal consultation processes such as stakeholder profiling, consensus building, conflict resolution and negotiation.
- 7.2.54 Within the final topic, entitled standards, the seven principles of the Consultation Charter contain a number of beneficial recommendations. Of particular relevance for ETI is the subject of standards for formal consultation with an emphasis on integrity. There are suggestions to avoid spurious consultation exercises with no scope to act upon responses and also to demonstrate how views that have been expressed, have been taken into account. The other themes from the charter are visibility, accessibility, confidentiality and transparency, full disclosure, fair interpretation and publication. A number of these themes are not directly relevant to ETI as they relate to public bodies preparing strategic plans.

Dialogue by Design, a Handbook of Public and Stakeholder Engagement (2012)

Study Objective

- 7.2.55 This is a general guide on public and stakeholder engagement, however its overall objective is with regard to the design of engagement processes. It acknowledges that there are various guides and handbooks on public and stakeholder engagement, however it identifies that these generally have two things in common: firstly, they do not generally explain how to design engagement processes. Secondly, whilst guides often explain how to engage the 'hard to reach' they do always advise on how to keep track of such parties. The handbook therefore aims to function in terms of a 'gap filling strategy'.

Target Audience

7.2.56 The audience is broad and the guide is intended to address all parties engaged in public and stakeholder engagement.

Relevant Themes and Findings

7.2.57 The guide focuses on three critical design factors around every engagement process namely:

- Why are you doing it?
- Who should be involved? and
- How to do it?

7.2.58 The guide reviews the main methods to engage people, the advantages and disadvantages of each, the resource requirements and how to initiate and use them.

7.2.59 Very helpfully, the guide addresses a series of common engagement terms and provides definitions for them with regard to engagement, consultation, participation and stakeholder. The guide explains in this context, the spectrum of engagement, namely from information giving through to delegated authority.

7.2.60 The guide has very helpful practical information on the overall design process for engagement. It has a helpful section on the variety of stakeholders that can be involved in engagement and with regard to the 'hard to reach' category, it does highlight the danger of this type of engagement in that it can begin to focus on certain groups at the expense of others.

7.2.61 It highlights that when lists are presented of the 'hard to reach', they usually consist of for example, asylum seekers, ethnic minorities, the disabled, youths, young mothers with children and so on. It highlights that such groups are indeed, often hard to reach. However, it states that so also are young urban professional people without affiliations to schools or communities, and commuters who may be too exhausted by the daily struggle of work, to want to then participate in evening meetings. It highlights that a pitfall is that there can be danger of concentrating hard on a list of some stakeholders / groups, to the extent that they seek to be inclusive, but actually in practice become exclusive. The guide is therefore very helpful in providing practical advice on some of the pitfalls of engagement.

7.2.62 Part 2 of the document is entitled 'Engagement Methods' and it helpfully sets out advice and guidance on how to choose the right method. Methods are then presented and they are wide ranging.

Lessons for ETI

7.2.63 This document provides very practical and easy to understand information on various methods of engagement. It is by no means exhaustive, but it is relatively comprehensive and up to date. In addition, the front end of the document provides very helpful advice and clarity of the terms and use of terminology and sets out clearly the various factors involved in designing a successful engagement process.

7.2.64 It is important to note that the document highlights that, given the amount of engagement being undertaken in general, there are real dangers of 'engagement fatigue' therefore finding novel and different ways to engage people is essential in order to drive successful approaches.

7.2.65 The document also highlights that although it presents a variety of methods of engagement, and as we have highlighted sets out the various pros and cons of these in an easy to understand way, it is important not to only consider these in isolation from other issues such as:

- The purpose of the engagement process;
- The outcome desired;
- The need to stimulate responses from particular stakeholder groups;

- How interactive the process needs to be; and
- How much 'ownership' of the results is desired in terms of stakeholders?

7.2.66 All of these matters can affect choice of engagement methodology.

8 Appendix 3: Best Practice Review - Case Studies

8.1 Introduction and Approach

8.1.1 This Appendix sets out the findings of the various case studies we have examined relating to community engagement. As set out in chapter 1 the case studies we have examined involve detailed practice by the following local authorities:-

- Newcastle City Council;
- Leeds City Council;
- Cornwall; and
- Greater Manchester Combined Authority.

8.1.2 We have also examined, in less detail, two overseas examples, Bottrop in Germany and the Energiesprong pilot project in Tilburg, The Netherlands.

8.1.3 In addition to the case studies, we have examined two non-energy major infrastructure projects; the Thames Tideway Tunnel and Crossrail, both in London.

8.2 Newcastle City Council

Background and Corporate Context

8.2.1 By way of setting the context for community engagement in Newcastle, the Council (NCC) has in place a Community Engagement Strategy. This aims to align all the Council's engagement activities, policies and processes with its key objective which is to "*create an improved quality of life by working with people and partners, devolving decision making and empowering individuals and communities to contribute and influence services*". In practice, the Engagement Strategy has seen the Council develop a range of initiatives to involve the community at the ward level.

8.2.2 A key part of the corporate approach, is the presence of the Communities Department which is one of five corporate departments of NCC. Their key objectives, as set out in the Engagement Strategy are to:-

- Strengthen, develop and sustain opportunities for local people and groups to influence what happens in their community;
- Provide opportunities for communities to shape and influence service design and delivery;
- Manage and co-ordinate engagement activities;
- Ensure engagement activities are inclusive and provide participation for all parts of the community;
- Listen to communities and provide feedback on the outcomes of engagement;
- Provide flexibility and choice in engagement activities;
- Learn from experience and share engagement skills.

8.2.3 In terms of achievements, the strategy has led to the following, which include *inter alia*:-

- A community engagement 'tool kit', devised with partners to help Council officers carry out engagement activities effectively and consistently – this is the 'Lets Talk Newcastle' Handbook;
- A Community Development service that undertakes community capacity building work and engagement with an emphasis on promoting equality and diversity and involving people in the plans for their area;
- A customer service strategy which has developed a comprehensive consultation framework from the delivery of services;

- Adoption of a Statement of Community Involvement.

8.2.4 The Lets Talk Newcastle (LTN) Handbook sets out in detail the Council's approach to how they engage and consult with residents, service users and stakeholders. It aims to deliver:-

- Clear and consistent communication;
- Meaningful engagement with people;
- Open, honest, accessible two way discussions;
- Long term relationships with people;
- Timely and cost effective consultation.

8.2.5 A key aspect of LTN is a strong brand identity, and this has been deployed extensively through the Council's engagement activities. The LTN Handbook provides advice at a practical level on consultation and engagement. The Handbook also has an online interface which was launched in October 2011, and it provides an overall corporate consultation resource for the City Council as well as strategic partners. It adopts a multi-channel approach linked to other online communication tools such as Facebook and Twitter. The online element is not intended to replace the well-established consultation methods that have been used in the past, but is there as an enhancement technique. Other innovative aspects of engagement set out in LTN include:-

- Online surveys;
- Topic wall (online interactive discussions);
- Instant polls;
- Video presentations and interactive mapping;
- Online forum.

8.2.6 The LTN Handbook contains various appendices which contain good practice advice in terms of design and questionnaires, data protection and advice on matters of ethnics and consent. The online membership is approximately 3,500 and the Council has found there to be a very positive response from this 'sample population' in terms of electronic surveys and topic wall activity

8.2.7 A key advantage of LTN has been that the Council has been able to plan and deliver a consistent and quality approach to engagement rather than have staff pursue "one off" engagement activities.

8.2.8 Overall therefore, in terms of strategic context in the city, the clear high level Engagement Strategy combined with the strength and resource of the Communities Department in the Council and the clear articulation of how the Council wishes to engage with its communities through applying best, has provided a strong foundation for engagement activity and staff have responded very positively to this approach.

Energy Engagement and Methods

Warm Zone

8.2.9 The warm zone initiative ran from April 2004 to December 2012. The scheme was managed by a partnership between NCC, Scottish Power and their appointed delivery contractor KMW Ltd. The focus of the energy efficiency improvement programme was in relation to the installation of loft and cavity wall insulation. An added offer was a 'benefits health check' and one to one energy efficiency advice.

8.2.10 The focus was on privately owned domestic property within designated areas, principally Walkergate, Fenham and Woolsington.

8.2.11 The method of engagement was based on a strategy to target individual properties. This was based on the following:-

- An initial introductory letter sent by NCC which introduced the scheme, providing details of eligibility, length of time the offer was available and an explanation of the grants process.
- Survey letter – this was sent by the programme contractor – KMW Ltd, which informed the occupier that a surveyor from the company would visit the property, and it explained the scheme in more detail. The letter provided the company's contact details and allowed the occupier the opportunity to make an appointment with the surveyor.
- Property visits – a KMW surveyor visited each property within the areas. The surveyor provided information on the scheme to the occupier, and obtained details on the property which included occupier perception of the efficiency of their home. The approach allowed for the surveyor to attempt three times to contact the occupiers by visiting the property on different days and times.
- Leaflet – which were made available through the majority of Council facilities
- Press and events - articles were published in the local press and magazines and community publications were made available at community events.

8.2.12 The programme was extended across the city targeting private stock and overall some 80,000 properties were engaged directly, either through 'door knocking' or via household specific responses. Measures were implemented in a total of 55,000 properties.

8.2.13 The engagement approach also involved some innovative ideas such as sending a glove with 'key messages' to each property with information on the programme - the 'warm up glove'.

8.2.14 The programme made use of the CERT and CESP energy efficiency initiatives and Council funds were also used to provide additional financial resource. A key strength of the approach was the direct approach to households and the presentation of a relatively simple offer. Furthermore, the offer of a 'benefits check' to establish if households were not claiming social benefits entitled to, was well received. Of interest also in this example was the extensive use of a third party contractor to undertake the face to face contacts.

8.2.15 The leaflet messaging for the Warm Zone initiative was kept very simple with an emphasis on the "free" offer and the ability to save £160 off fuel bills, together with a 25 year guarantee and information that the work would only take 2 – 3 hours and involve little or no disruption. The emphasis was on the financial message as opposed to climate change benefits.

Warm Up North

8.2.16 Warm up North is one of the UK's largest energy efficiency initiatives and has focused on assisting North East residences and businesses to save energy since its launch in 2013. Key measures include cavity wall and loft insulation and provision of new efficient boilers.

8.2.17 The programme followed Warm Zone and was focused on implementing the Green Deal with regard to home energy efficiency improvements. The focus again was in relation to owner occupiers and related to retro-fit measures. It was run in partnership with British Gas as the delivery partner and involves NCC as well as other North East Local Authorities.

8.2.18 The approach followed has been similar to Warm Zone and a key aspect of the approach has once again been leafleting and direct property contacts. However, a key constraint and a considered 'pitfall' of the approach has been the changes in eligibility and in the funding arrangements of the programme. This is therefore not so much an issue with the direct engagement, but rather a result of Government policy changes to the programme administration. A further drawback of the approach as expressed in feedback to Warm up North, was that the finance arrangements were perceived by members of the public as relatively complex and this hindered take up.

8.2.19 A key aspect of the programme was to ensure that there was consistent and strong branding. The programme was implemented under the 'Warm up North' brand which sought to increase awareness and has been of assistance in terms of promoting a consistent message through multi-channel media.

8.2.20 A further engagement technique of note with regard to the Warm up North was the Council's 'first contact' referral scheme. This required a Council or related public service representative making a home visit to a member of the public and asking a series of structured questions – one being 'do you have trouble heating your home?' Referrals were then made directly to the Communities Department in the Council and in turn to Warm up North who were able to make targeted approaches.

Warm Zone Social Marketing – Loft Installation Pilot Project

8.2.21 In 2011, NCC undertook a social marketing and behavioural change pilot project with the aim of encouraging the take up of loft installation offers amongst the 'able to pay' segment of the population. The target group had failed to take up previous offers and had not engaged. The background of the exercise was recognition that behavioural change is fundamental to tackling climate change targets and there was a need to 'develop a targeted message to residents'.

8.2.22 A key objective of the exercise was for the Council to learn more about social marketing and behavioural change and how such techniques could be applied to the delivery of Council services. It was particularly related to target groups and segments of the city population that had not responded to previous energy efficiency initiatives. The outcome has improved and increased the Council's capacity to better target household / property intervention programmes

8.2.23 The implementation trial area was in two wards mainly Kenton and Denton and the intervention message was emphasised as 'more than leafleting': the methods included:-

- Text messaging;
- Provision of out of hours services covering evenings and weekends;
- Providing additional services options such as boarding loft floors and installing doors and hatches.

8.2.24 Key advantages and best practice was identified as:

- Opportunities for professional graphic designers to work on publicity materials to ensure high quality graphic design;
- Use of a control group to test which offer appealed most; and
- Identification of the "hassle factor" as the main barrier – to develop the intervention.

8.2.25 In terms of pitfalls and matters which could have been approached differently, these included:-

- Communication problems between contractors and the Council resulting in some delays;
- Information packs should have been more detailed with options and FAQs;
- There was a lack of continuous engagement with internal stakeholders.

8.2.26 In terms of benefits of the exercise, these included:

- In 2012, the overall lessons learned were used to assist with the development of the Green Deal programme roll out;
- The learning was shared with other local Warm Zone partnerships;
- Staff were trained in social marketing techniques and to work with internal and external partners;
- A revised loft installation offer was considered for roll out.

8.2.27 One of the findings was in relation to an examination of parties that members of the public trusted to let into their homes. At the top end in terms of high levels of trust, was the Council as well as the larger energy utilities. Independent contractors featured lower in terms of trust levels.

Approach to 'Hard to Reach' Segments of the Population

- 8.2.28 A notable feature of the corporate structure of NCC is the 'Fairer Housing Unit' which forms part of the Investment and Development corporate department. The Unit has a focus on the private sector and has progressed a number of programmes in relation to matters such as letting board controls, property improvements etc. However, a key aspect of the Unit is matters relating to the private rented sector with specific regard to tenants on housing benefit and landlords. The data held by the Unit gives it good knowledge of the geography of concentrations of different segments of this sector including students, housing benefit recipients as well as more affluent occupiers.
- 8.2.29 The Unit has a detailed network including extensive contact details of landlords and holds regular conferences and forums. In addition the sector works closely with the Environmental Health department of the Council and through its access to data on HMO Licencing, allows it to have extensive intelligence on multi-occupied properties. Overall, there are some 4,000 landlords on the database.
- 8.2.30 The Unit has undertaken renovation programmes targeted on residential properties: one example being the Benwell area, where measures were implemented in some 500 properties with an approximate even split amongst private rented, owner occupied and social rented accommodation. The take up rate was 95% and the engagement approach involved leaflet drops, but also direct visits to landlord properties i.e. the residences of the landlords. This allowed the Unit to get into direct engagement discussions on the programme and the approach overall was successful given the very high take up rate. Although not an energy related initiative, the results demonstrate the advantages of the information data base that the Unit had in relation to this tenure group which allowed targeted direct approaches to be made. The unit remains active through landlord forums and also by having a separate website focused upon the private rented sector.
- 8.2.31 A further advantage of the Unit has been with regard to ethnic communities within Newcastle and in particular those from China, Asia and Eastern Europe. For example, the Eastern European segment of the population is new and fast growing, particularly in the west of the city. In the Benwell area there is an estimated population of some 10,000 Polish residents the majority of which are in the rented accommodation sector.
- 8.2.32 The locational intelligence held by the Unit and the focussed staff resource aimed specifically at this tenure group has led to successful intervention. There is the potential for this to be applied to energy engagement initiatives.

The Planning Service and Engagement

- 8.2.33 Newcastle, as with all planning authorities, has an obligation under the Planning and Compulsory Purchase Act 2004 (as amended) to produce a Statement of Community Involvement (SCI) which sets out how the Council intends to deliver continuous community involvement with local and statutory stakeholders in the preparation of Development Plan documents, and in carrying out the Council's development management function for the assessment of planning applications.
- 8.2.34 The energy efficiency programmes referred to above have not had direct links with the Council's planning service. This is not necessarily surprising, however, the SCI does set out the detail of engagement methods which the planning service will follow with regard to the preparation of Local Plans and supplementary planning documents. The SCI sets out very helpful guidance with regard to what it terms the 'consultation and involvement process'. The key stages acknowledged are:-
- Email/letter;
 - Leaflets;
 - Website;
 - Questionnaires;
 - Local media;

- Exhibitions;
- Displays at for example, libraries, customer service centres;
- Public meetings;
- Consultation portal;
- Prearranged meetings.

8.2.35 The SCI also highlights that the Council will co-ordinate consultation efforts with other departments where practical and will phase consultation on various planning documents to run at the same time “to limit consultation fatigue” and to maximise resources.

8.2.36 The approach taken by the Planning Authority is that the staff members work collaboratively with the Communities Team. Of particular note, is the fact that at Planning Service engagement events, the Communities Team are utilised as the principal interface with members of the public – on the basis that they have long standing and trusted relationship with local communities.

Multi-Channel Media Approaches

8.2.37 In terms of information technology and multi-channel communication, NCC in recent energy efficiency initiatives, has taken an approach of having an online presence in utilising social media, but is of the view that this should not be overly relied upon.

8.2.38 Of note is NCC’s participation in ‘i-scope’ which is a European funded research project to exploit the internet as a medium of smart cities. It is specifically examining solar PV roof-top potential, noise modelling and pedestrian movement through cities. In summary, it involves building a comprehensive data-set on a web platform and developing functionality such that members of the public can gain access (through PCs / tablets) to establish, the potential for provision of measures such as solar PV on their individual properties. The key objective therefore is to apply extensive data-sets and interface it with a mass audience.

8.2.39 In addition, and of note, is the Council’s participation in Newcastle University’s ‘Decision Theatre’. This is a control centre to gather data to create a real time picture of what is happening within the city and provision of monitoring information to enable fast decision making. Scope includes actions in relation to climate change. It involves a team of engineers, scientists and digital researchers from the University engaging with the public with regard to what they need to improve their everyday life.

8.2.40 The University has sun two events with the Theatre so far. One related to a storm event in the city, and another relating to a flood event. Both events have shown the value of using advanced visualisation techniques to present scientific information within a facilitated discussion environment to aid decision-making, particularly in situations with multiple organisations with differing priorities.

8.2.41 Moreover, these discussions have led to ‘spin-out’ activities, new collaborations and data sharing between organisations e.g. comparative modelling studies. These new relationships have led to discussion around other applications and demonstrations e.g. infrastructure supporting health provision and catchment management.

8.2.42 Following the two successful pilots, the University has been invited to organise additional events by stakeholders who participated. The experiences are being used to design the hardware and software requirements for a permanent facility that will combine these approaches with more traditional approaches (e.g. ‘post-it notes’) to fully interactive touchscreen and mobile technologies. It is anticipated that the decision Theatre concept could be utilised for EnergyPath Network Tool scenarios.

8.2.43 Furthermore, the University has developed a mobile ‘pop up version’ of the Decision Theatre that could be tailored to specific areas and deployed in communities and used to help attract households to certain programmes.

8.2.44 The Council is therefore involved in leading edge technological applications which can potentially play a significant role as innovative methods of engagement.

Key Findings

8.2.45 Key findings include the following:

- The strength of the Council's Communities Department and its focus in terms of having established networks with the local community has engendered trust amongst households, and local communities and the Council. This is seen as a key advantage when progressing engagement initiatives, as evidenced by the Planning Service's use of the Department in their extensive Development Plan engagement programme.
- The 'Let's Talk Newcastle' Engagement Handbook has been widely used by corporate Council services in terms of engaging with the public: it has been successful and is a good source of best practice advice on engagement methods.
- 'Let's Talk Newcastle' is a strong and widely recognised brand which engenders trust in engagement activities.
- The energy efficiency programmes progressed in the city have frequently deployed a direct approach to engagement through, in particular, methods such as leafleting and door knocking. It is notable that much use has been made of third party delivery partners and notwithstanding this, particularly for Warm Zone, have been very positive.
- NCC has recognised the challenges faced in terms of social marketing and behavioural change with regard to certain segments of the population, and has taken the initiative to progress pilot exercises with related engagement actions.
- More recent energy efficient initiatives have faced the pitfall of changing regulations and parameters for eligibility and this has led to complicated and inconsistent messages which has frustrated take up.
- NCC has embraced multi-channel media as an effective engagement tool and provides best practice guidance on this through LTN and continues to invest in innovative research which has considerable potential to be applied to future engagement initiatives in particular with regard to the energy sector.

Leaflet Examples: Newcastle Case Study

	
<p>The Warm Zone leaflets had a message focusing on the financial savings that could be possible.</p>	<p>The ‘benefits review’ offered up as part of the Warm Zone programme helped to engage households.</p>
	
<p>Warm Zone leaflets used good quality graphic design and innovative ideas such as the ‘warm up glove.’</p>	<p>The LTN Handbook contains detailed information on good practice community engagement and has a strong ‘brand’ within the city.</p>
	
<p>Warm up North¹¹ has also invested in high quality written material.</p>	<p>Again, more recent energy efficiency programmes have focussed on the financial message and benefits as opposed to climate change matters</p>

¹¹ <http://warmupnorth.com>

8.3 Leeds City Council

Background and Corporate Context

8.3.1 Leeds City Council (LCC) has around 75 people who have an aspect of community engagement within their role. They have a small team (5 people) solely responsible for community engagement, that provides counsel to departments of the Council when engaging the community. In their view, it is best to utilise the already trusted relationships that often exist between residents and frontline services, for example, the Adult Social Care Department.

8.3.2 At its core, LCC's approach to community engagement is based on four key principles:

- Involve people at the earliest possible stage – this is seen as crucial;
- Make the engagement meaningful and honest – transparency is key;
- Make it easy for everyone to take part – find and adjust the pitch: is it appropriate to the potential stakeholder?
- Show everyone the impact the engagement has had – provide regular feedback on all initiatives.

Vision for Leeds

8.3.3 LCC ran a community-wide consultation in 2010 which sought to establish a 'vision' for the city by 2023. The engagement team identified from the outset that a pitfall of previous consultations was that 'hard to reach' groups (who Leeds identified as 'seldom heard') were underrepresented. Considerable effort was therefore undertaken to engage these groups proactively.

Techniques of Community Engagement:

8.3.1 LCC identified a number of community engagement tactics which were deployed through 'Vision for Leeds' including:

- A survey in the Council's 'About Leeds' newspaper, which was delivered to some 330,000 homes;
- A survey circulated to libraries, community centres, 'one stop' centres, GP's surgeries, leisure centres, all 99 ward and 332 parish councillors, housing associations, 36 reception areas across the City and to some 460 individual key contacts;
- Open space workshops, 'DIY Vision' sessions and face to face focus groups;
- Employee engagement through use of an intranet for the Council and induction events;
- Use of e-marketing contact lists from high profile local organisations, such as Leeds Rhinos, Leeds University and the council run gym network 'Bodyline'.
- A website with the public facing campaign '*What if Leeds. Talk today. Shape tomorrow.*' where participants had the opportunity to post their own discussion topics.

Use of Social Media

8.3.2 The Vision consultation was Leeds' first time in making extensive use of social media for community-wide discussion and engagement. LCC used their corporate accounts (2x twitter with 20,000-plus followers each, and a rapidly growing Facebook presence with 3,000 'likes') to drive traffic to respective web pages and to campaign-specific accounts.

8.3.3 The Council also had a host of strong 'influencers' across the city who regularly support and share positive campaign messages. These politicians and social campaigners, through to major Leeds brands such as Leeds Rhinos, the First Direct Arena and Trinity Leeds.

8.3.4 LCC also regularly updated a blog on the process, where members of the community engagement team updated residents on who they were speaking to and their experiences of the engagement. By giving the process a

personal face and keeping the content updated regularly, residents felt they were part of the process and therefore engaged more extensively.

- 8.3.5 LCC outlined that in their view the branding aspect of social media is crucial, and as an example identified that Coventry City Council branded their Facebook page simply as 'Coventry'. As such, the site achieved 20,000 'likes' as people felt more attachment to Coventry as a place as opposed to the local authority.

Marketing the Consultation

- 8.3.6 LCC stated that marketing the consultation exercise was central to its success. Therefore, a great deal of time, effort and resource was dedicated to effectively communicating and getting the consultation 'messages out' to residents. This included, but was not limited to:

- A week-long series of articles in the Yorkshire Evening Post;
- Joint activities and blogs with Guardian Leeds;
- 'E-marketing' (mailers to specific groups) and Facebook advertising;
- Use of other print media i.e. various newsletters, local newspapers;
- Presence on radio – ELFM and Radio Asian Fever.

The Result

- 8.3.7 The consultation 'Vision for Leeds' was one of the most successful community engagement exercises the local authority had ever undertaken. Key evaluation statistics included:

- Reaching over 505,000 people (71% of the Leeds' population) using the radio, newspapers, and websites and other channels as referred to above.
- 20,000 hard copies of the consultation document were received and another 8,000 downloaded from the internet.
- 6,200 people took part in the consultation by attending events, or by responding to Leeds's questionnaires.
- Over 24,400 people contributed to research that has directly influenced the development of the strategy.

New Wortley

- 8.3.8 New Wortley is a community in the west of Leeds that is made up of 345 homes. In 2012 they were included in the Big Energy Upgrade: A consortium (including six Local Authorities, Social Housing Providers, Yorkshire Energy Services and the University of Sheffield) who aim to act as a catalyst in attracting further funding towards energy efficiency projects. It also assists in preparing the region through knowledge and experience of delivering an area-based whole house approach that is needed to deliver the Government's Green Deal.

The programme implements a whole house/whole community approach to energy efficiency providing:

- door to door energy advice
- individual households' energy efficiency assessments
- installation of energy efficient measures that will increase the energy efficiency of each household and which will be based on the results of the household assessment

- 8.3.9 In July 2012 funding became available for energy efficiency refurbishment in homes throughout the New Wortley community. Leeds City Council's first stage of community engagement was to assess and establish householder and building through a door knocking community campaign. It found that 113 were private dwellings and 202 social housing, 30 were traditional cavity wall construction and 325 were solid wall. In total 285 were suitable for free external wall insulation.

8.3.10 Due to access and permission issues the social housing properties were targeted prior to the private sector homes.

8.3.11 Throughout the works the contractor installing the measures installed a highly visible site cabin in the centre of the community with a permanently positioned tenant liaison officer (TLO). This was a highly effective method for community engagement and the contractor reported that many installations were the result of householders signing up after chance meetings with the TLO at the site cabin.

8.3.12 In total, 66 properties signed up for fuel switching (electric to gas), seven had boiler replacements, 73 had loft insulation installed, nine had cavity wall insulation installed and 33 had cavity wall insulation installed at the end wall on their solid wall homes in the New Wortley community. Of all the solid wall properties all but three had external wall insulation installed.



Big Energy Upgrade mailer | If householders were out a 'we missed you' note was used to keep brand awareness up



An example of the letter sent to householders



8.4 Cornwall – Community Energy Plus

Background and Corporate Context

- 8.4.1 Community Energy Plus (CEP) is a social enterprise that seeks to help householders in Cornwall enjoy warmer, more energy efficient homes.
- 8.4.2 Since 1998, CEP has worked in partnership with a wide range of public, private and third sector organisations to support a variety of innovative projects relating to energy efficiency and renewable energy including community ownership models.
- 8.4.3 Furthermore, since 1998 CEP has helped over 25,000 households in Cornwall to make their homes warmer and save a total of over £2.5m per year on their energy bills. The projects they have assisted have contributed to over 1 Mega Watts (MW) of installed renewable energy capacity in Cornwall. They have secured over £1.4m worth of funding for community projects contributing to a total value of over £3.8m and has provided fuel poverty awareness training and advice to over 300 frontline health, housing and social care workers and community volunteers to help fight fuel poverty in Cornwall.
- 8.4.4 CEP is a charity but also a company, which means that any surpluses made through their operations is reinvested to support educational, environmental and research objectives.
- 8.4.5 The range of projects that they cover is wide and includes the following:
- External wall insulation – Identifying homes that may benefit.
 - Home Energy Audits – Providing home owners with an Energy Audit and an independent overview of the property's energy use, based on its construction, current heating system and occupancy behaviours, to provide recommendations for saving energy, heating and suitable renewable energy technologies.
 - Green Deal assessments in Cornwall - A Green Deal Assessment from CEP identifies what energy efficiency measures and renewable energy technologies may be suitable for a particular property and what the financial savings could be.
 - Energy Performance Certificates (EPC) - Accredited domestic EPC assessors take into account the construction, age, lighting and heating systems of a building, amongst other factors, to provide an accurate indicator of energy performance.
 - Planning for renewable services – Utilising a decade's experience of planning and delivering renewable energy projects in communities across Cornwall, CEP has extensive knowledge of the local planning system and work closely with the planning team of Cornwall Council. They can manage the full process required to obtain planning permission for a renewable energy project. Through their Planning for Renewables service

they can deliver a comprehensive project management service, liaising with contractors, and securing planning permissions.

- Oil buying club - Just under half the homes in Cornwall are not served by the mains gas network and rely on more expensive forms of heating for their homes and hot water. By bringing together the collective buying power of users of oil fuelled heating in Cornwall, CEP work to help householders across the county get access to competitive prices to reduce their heating bills.
- Boiler servicing offer – CEP work in partnership with Trade Services Installations (TSI) to offer discounted servicing for oil, gas and LPG boilers. This special offer means home owners could have a boiler serviced for just £57 for Gas or LPG boilers, or £69 for oil boilers (including VAT).
- Loft and Cavity wall insulation - CEP help top up the level of insulation in lofts if they have less than 60mm of existing insulation.
- 'Winter well-being' – this initiative was targeted at the elderly and other vulnerable groups to provide independent energy advice tailored to individual needs, including home visits and follow-up support in order to facilitate access to heating and insulation grants. The programme also provided practical advice on understanding and reducing energy bills and combatting condensation and damp.
- Solar communities - CEP developed Solar Communities in response to the introduction of Feed-in Tariffs (FiTs), which provided an incentive to encourage investment in low carbon electricity. Feed-in Tariffs provide an opportunity for buildings to start generating their own electricity. However, many organisations lack the finance to invest in their own renewable energy systems, and access to grant funding for such initiatives has been reduced.

Energy Engagement and Methods

- 8.4.6 The extensive range of services detailed above share a number of similarities, not least that the target audiences are often more vulnerable groups who do not actively seek to research or engage with what may be on offer to them in terms of energy efficiency. As an overarching principle, CEP at the outset of rolling out any one of their initiatives, seek to identify the 'barriers' to engagement.
- 8.4.7 This is done by firstly asking what is important to the target audience, before then asking who and what might be stopping them engaging in a process. For example, if the objective is to seek to install energy efficiency measures in homes targeted at the elderly, this group is unlikely to be interested in key messages that centre on climate change and carbon dioxide savings. However, if engagement is progressed on the basis of talking about being cold in winter and saving money on energy bills, there is more likely to be interest in what is being promoted.
- 8.4.8 Due to the rural nature of the geography where most of the initiatives are being rolled out, the first part of researching a project is to identify who the target audience is already speaking to, and who the key contact points are within a local area. For example, within a small village it may be that the clerk to the Parish Council is a key point of contact for strategic matters affecting that community. Other examples may include GP surgeries or schools, or other places where local people and the target audience may congregate and therefore communicate.
- 8.4.9 From identifying the initial feel for the key communication networks specific to the target area, more detailed research can then be undertaken. For example, if a target audience was the elderly and the GP surgery was identified as a regular place for that group to congregate, then meetings may be set up with those running the surgery and health workers to reveal how best to engage the target audience.
- 8.4.10 At the point that the promotion of a particular initiative is rolled out, CEP ensures that all literature that is sent out contains clear and simple messaging. A key principle that is followed is asking the question of what do we want from them? And what are the benefits that are on offer?

- 8.4.11 In order to tackle the barriers to engagement for vulnerable groups, CEP seeks to establish contacts with front line workers. This is seen as particularly beneficial for the elderly who may receive regular visits from care workers. They are briefed on the nature of a scheme that may be getting rolled out and they are armed with very simple return post cards that just require the filling in of the name and contact details. These referrals then facilitate someone from the CEP calling the individual to discuss the subject initiative in more detail. There is no 'one size fits all' approach to the referrals.
- 8.4.12 Some of the issues that CEP face, which is often outside of their control, relates to 'project fatigue' rather than the well known concept of 'consultation fatigue'. Project fatigue can be experienced where a particular scheme is promoted in an area and time is spent spreading the word and trying to capture people's interest only for funding to be 'pulled' or the initiative 'runs out of steam'. CEP are very aware that it takes time to build peoples' trust and interest in a particular initiative and if the initiative then does not come to fruition after interest is shown, people's trust soon falls away. The 'project fatigue' is then realised at the point an organisation goes back to the same area say two years later with another initiative or programme, and people are sceptical about the likelihood of something actually being realised.

Case Examples

- 8.4.13 The following sections will detail three case studies within Cornwall: two are in short form providing a brief synopsis and one is in more detail, which is considered to be of most relevance to the activities that ETI may be required to undertake when implementing the EnergyPath Networks tool.

CERT (overview)

- 8.4.14 In total 27,000 properties benefitted from CERT on a Cornwall wide area basis. Differing areas were offered different levels of funding depending on status in terms of priority. Certain areas benefitted from measures being taken up free of charge, whilst others were able to benefit from heavy discounts. Out of CERT came the 'home health initiative' which assisted with engaging the wider community. When engaging on home health, CEP implemented an intense marketing campaign which comprised advertising in bus shelters, billboards, mailings and conducting community events and utilised wider referrals through a network of partners. There was a strong focus on ensuring that all relevant literature was circulated as widely as possible. This was achieved for harder to reach groups through, for example, providing health and social care workers with literature to maximise the potential for referrals. In addition, there was a very intensive process of 'door to door' marketing following the wider circulation of the mailings. Once the mailings had been received, a degree of awareness had already been raised and the 'door to door' approach allowed 'word of mouth' to be spread which indicated a level of trust that had been achieved.
- 8.4.15 The process was assisted by all literature being endorsed by Cornwall County Council (CCC), which therefore gave an important impression of accountability.

The 'Winter well-being' Initiative (overview)

- 8.4.16 The 'winter well-being' initiative is an example of best practice which was commenced in 2011 with the aim of reducing winter deaths. The programme partnered with 29 organisations, covering a wide range of interests that all connected with communities in some form. These ranged from electricity providers to Age UK, Volunteer Cornwall, and a charity for domestic violence, to name but a few.
- 8.4.17 The benefits of this approach were that all these organisations were able to reach out to a wide and diverse cross section of communities that otherwise may not have been aware of the initiatives had there been no approach to such 'joined up' thinking. CEP acted as the central point of contact via a Freephone number, utilising the referral methods discussed above. Once CEP was contacted by individuals, they could establish what services the individual needed and draw upon the network of organisations to assist that particular person with staying warm through the winter. It should be stressed that whenever an individual was in contact with CEP, CEP would always seek to bring the conversation around to energy measures where this was considered appropriate.

- 8.4.18 The approach was successful as CEP acted in a way that removed numerous steps out of the process for implementing measures to tackle heating homes. They acted as a 'one stop shop' where they could effectively project manage the procurement of the appropriate resources following referrals by front line workers.
- 8.4.19 The winter well-being programme was seen as an exemplar of how to effectively tackle fuel poverty and this was recognised by the securing of a community action award from Public Health England.
- 8.4.20 The success of the project can be quantified through estimates that for every £1 invested in the scheme, an additional £3.36 of benefit was created.

The Park Homes Programme

- 8.4.21 The Park Homes Programme was promoted in conjunction with CCC to improve and install energy efficiency measures within park properties. Park properties are located on privately owned land and are often pre-fabricated homes that are transported to sites ready built, so in many ways they are enhanced mobile homes. A significant number of park home developments were constructed in the 1970s and due to the nature of the transportation requirements, they cannot be insulated prior to their installation. The reason behind this, is that once insulation is installed, the homes are then too rigid for transportation via abnormal loads. As they are technically mobile homes, they do not have to be built in accordance with Building Regulations and therefore are only built to a British Standards specification, resulting in them performing particularly poorly in terms of thermal efficiency.
- 8.4.22 Some of the park homes constructed in the 1970s still have the same residents living in them. The sites of park homes are generally those where residents are elderly, retired on low incomes and therefore classed as a relatively vulnerable segment of the population. Many of the park home development sites do not allow residents under the age of 55.
- 8.4.23 The scheme benefited from a fund of some £500k from CCC and worked on a part loan, part grant basis. There would be a grant offered up to 50% of the total cost, then residents could either match the other 50% with their own funds, or if they could not afford this they would then get a loan where repayments would be set so that overall they would be saving money on their existing energy bill.

Park Homes - Engagement

- 8.4.24 The key objectives of the engagement exercise centred on engaging elderly and therefore vulnerable individuals in taking action to benefit from improving energy efficiency measures within parkland homes.
- 8.4.25 In terms of dealing with socio-technical issues, the approach with engagement was firstly to reach out to those organisations and individuals who already had open communication channels with the target group, which in this case was the elderly. Through existing established networks, Age UK were utilised as well as residents groups, associations and the officers at CCC responsible for managing park homes sites. The purpose of engaging these organisations was to understand the key topics of concern to the existing residents of park home estates, such that the engagement exercise could be tailored to what matters most to them. A number of one to one meetings with organisations that could reach out to the target audience such as site owners, Age UK, and CCC officers were conducted in order to ensure they were properly informed when conducting their daily business with the target audience.
- 8.4.26 A detailed thought process went into the planning stage prior to engagement to understand the communication channels that the target audience already use. For example, identifying if it would be beneficial to leave literature in doctor's surgeries and other places where the target group may congregate.
- 8.4.27 A key part of reaching out to the target audience, was ensuring that those in day to day contact with the elderly were armed with referral cards to simplify the process of getting in touch. The card would typically just involve either the individual resident, or health worker filling out the name and address of the interested individual, such that a card could be posted and contact could then be made via letter or telephone.

8.4.28 Mailings and leaflets were sent to park residents. As the scheme involved part grant and part loan, there were some fairly complex messages over funding that needed to be communicated and in order to build trust and give mailings authenticity, CCC was used as a co-signatory to the mailings.

8.4.29 A range of information events involving presentations were also undertaken for Park Home owners to raise awareness of the impacts and the benefits. Such events would involve presentations. The events would be advertised through mailings and posters.

Hard to Reach Segments of the Population & Extreme Fuel Poor / House-bound people

8.4.30 As noted, in order to engage with elderly and less mobile people the approach in the early stages of the engagement exercise was to partner with a range of organisations who already communicate with the target audience. This was done through existing partnership arrangements with organisations such as Age UK, resident's housing associations and Council officers. This was achieved firstly by briefing the people concerned who would already have access to the target group in order to try and get referrals and then by sending out promotional material to follow up on the briefings that would have already been given.

8.4.31 Once referrals had taken place this would allow for calls and one to one meetings to be set up.

Multi-Channel Media Approaches

8.4.32 Due to the rural nature of Cornwall and the target groups, CEP's use of multi-channel media has been minimal and rarely successful.

Park Homes - Lessons Learned

8.4.33 The key lesson learned in terms of enabling the scheme to be a success was having something tangible for residents to see to demonstrate what the scheme meant, and that it could be delivered. Once one property had technology installed successfully, the rest followed.

8.4.34 Detailed engagement and understanding from the site owners was key to the success of the actual delivery on the ground.

8.4.35 The key to maintaining good relationships with park and individual property owners was employing good and reputable contractors who were tidy, trustworthy and excellent communicators. These requirements formed a fundamental part of an in depth procurement exercise which ensured that contractors' quality control was first class. This helped with spreading word of mouth that a good and professional job had been done and this ultimately helped with the further uptake of the scheme.

8.4.36 It is not considered that CEP would have done anything differently, as the extensive experience of delivering other schemes was used and all the set targets and objectives were met. The success relied on close engagement at the outset and then good project management which facilitated good relations with the contractor and also open dialogue between them and the householders

Key Findings

8.4.37 Key findings include:

- The Importance of finding out how a target audience already communicates, and then tailoring methods to 'piggy back' on them;
- Making sure messages communicated are clear and not overly complex and it is targeted to appeal to what matters to the target audience;
- Partnering with a range of groups is a good way of using front line workers to get referrals and to communicate to as wide a cross section of the community as possible;
- Having 'quick wins' to show how a project can be delivered is important to help build a reputation and to tempt other people to follow suit and take up an initiative;

- Use good contractors with a strong emphasis on quality control in order to build a good reputation by word of mouth.

8.5 Greater Manchester Combined Authority

Background and Corporate Context

- 8.5.1 Greater Manchester Energy Advice (GMEA) is a customer facing service owned by and working across the ten Greater Manchester (GM) local authorities as part of the Low Carbon Hub, providing free energy efficiency advice. A free phone helpline and web-based support with a team of advisors is available five days a week.
- 8.5.2 Advisors can directly book Green Deal Assessments leading to installation of energy efficiency measures, 'sign post' incentives available in their local area, identify vulnerable clients and direct them onto further help and support. The service also develops and manages GM energy efficiency programmes, identifying funding sources, and developing business cases and funding bids. The team manages a variety of contracts across private, public and social tenures, drawing in expertise from a range of stakeholders including academic and third sector organisations. Research and intelligence is a core function of the team, working closely with DECC, local Universities and other Government agencies to advise and influence policy development and change.
- 8.5.3 GMEA's unique role therefore, is to act as an interface between 'top down' and 'bottom up' approaches to housing retrofit for energy efficiency savings in Greater Manchester – linking strategic programmes to community engagement and delivery. Importantly, the service works with those organisations and individuals that have the best knowledge of local communities and, over time, can help build up a picture of both household and property type in different areas.

Energy Engagement and Methods

'Little Bill' Case Study

- 8.5.4 The Association of Greater Manchester Authorities (AGMA) received a sum of £6.1 million to help deliver the Government's Green Deal home energy efficiency improvement programme in the ten local authorities of Greater Manchester.
- 8.5.5 The scheme is being rolled out on a street-by-street basis to help 2,000 households in GM install energy efficiency home improvements such as solid wall insulation and new heating systems, so that they have warm, more energy efficient homes and better control of their energy bills. The Green Deal Community delivery partnership is with Keepmoat Regeneration, Wates Living Space and Willmott Dixon.
- 8.5.6 The method of engagement was based on a strategy to target individual properties in specific streets which were identified by AGMA against a range of criteria including tenure, type of property and socio-demographic characteristics of the residents. The engagement included the following:-
- An initial introductory letter was sent by the scheme with local authority endorsement with an introduction to the scheme, providing details of eligibility, length of time the offer was available and it also explained the process.
 - Property visits – a canvasser visited each property within the areas at a range of times, including the weekends, to discuss the proposals and answer any questions. The canvasser was able to provide information on the scheme to the occupier, obtain details on the property and sign residents up to the scheme. The approach allowed for the canvasser to attempt three times to contact the occupiers by visiting the property on different days and times.
 - A drop-in event was held to enable those people who were missed by the canvasser, or individuals requiring further clarification to attend. This also allowed residents to discuss the initiative with other local people in the community.

- Leaflet – leaflets were made available through the majority of Council facilities and articles were published in the local press, magazines and community publications and were made available at community events.
- All materials featured consistent branding including 'Little Bill' the draught excluding dog. When the works were carried out at an individual property, branded signage would be used to alert a passer-by to the nature of the works that were being undertaken and to encourage them to sign-up.

8.5.7 The scheme is also hoping to provide a network of champions / demonstration homes in priority areas across the Boroughs, allowing residents to be able to see and understand first hand, retrofit improvements in their local neighbourhood. These will be targeted on individuals who already have strong links to the community and in key locations such as street corners: there are specific measures in place to avoid 'energy geeks' and early adopters from being champions. It is hoped that the 'champions network' will promote word of mouth and allow people to inspect the works and understand how they work.

Engagement

8.5.8 Greater Manchester's 10 local authorities operate significant community engagement, from consultation to direct resident engagement, via a variety of different platforms supported by a central resource in the form of the GMEA. GMEA offer a free advice line, maintain a website and produce marketing and engagement materials for local authorities. It is also involved in the organisation of elected member meetings and surgeries through to community engagement teams that work with a range of tenant, resident and business groups. This extends to faith, third sector and other interest groups. These are all mapped and can be accessed and mobilised on a case by case basis for specific initiatives. The fundamental objectives are:

- To engage with the existing network of local providers, such as community/neighbourhood teams, libraries and voluntary groups.
- To ensure that the local communities understand exactly which solutions are available.
- To focus engagement on a relatively small geographical area.
- To engage in one-to-one dialogue with residents.
- To get buy-in from social housing tenants.
- To encourage individuals to have a demonstrator home.

Hard to Reach Segments of the Population

8.5.9 AGMA advised that in their view the best way to reach specific segments of the community was through the use of local councillors to engage with groups. Councillors are already leaders and figureheads within the local community and are generally abreast of local issues and concerns and can often advise on specific methods and the best routes to help communicate messages.

8.5.10 It is important to make sure the message is everywhere (i.e. use of multi-channel) as this embeds the authenticity of an initiative. An example of a local Islamic community was cited where the male and females were addressed independently at a local mosque, and children were provided with information through local schools.

8.5.11 When approached at their place of residence to sign up for the programme, by a representative of the scheme, all parties had a high level of awareness and were open to signing up to the initiatives as they had been informed by reputable and trusted sources that it was worthwhile partaking.

8.5.12 In a mainly Asian area in Bolton, a bi-lingual officer was hired to attend an event and was extremely successful in signing up people to a scheme. However, this was funded by a development partner and local authorities do not generally have the funding resource to pay for this type of activity. The local authorities are of the view that it may be better to train someone in those communities to act as a champion/advocate for a particular initiative.

Extreme Fuel Poor / House-bound People

- 8.5.13 The local authorities of Oldham and Wigan have been examining the health sector and involving GPs. This scheme involves educating a GP whereby they could make a referral to GMEA for a new boiler if it was considered the patient's health was being impacted negatively by their condition of accommodation.
- 8.5.14 AGMA advised that ironically the most difficult socio-economic group to engage with were white middle class private dwelling owners. They tend to want to attend public meetings in order to be able to voice their concerns and have a reluctance to want to embrace change or new technologies. Some innovative methods that they have found to be successful with this group included involving local schools with educational projects and competitions.
- 8.5.15 Incentives could be used to encourage people to take up energy programmes. The current 'Little Bill' scheme includes a tablet computer to enable residents to monitor energy consumption and heat.
- 8.5.16 It was highlighted that often it was better to steer the engagement process away from new technologies and low carbon solutions and simply set out that the measures proposed were easier and better.

The Planning Service and Engagement

- 8.5.17 Experience has found that it is important to meet and engage with Council's planning and highways departments very early on in the process for any programmes involving physical works. This helps mitigate risks and reduce delays later in the process.

Multi-Channel Media Approaches

- 8.5.18 In Manchester many of the best engagement methods tend to be 'free'. For example, including a message on a Council's website and intranet is free. The message is cascaded down by Council employees and those who visit the website. In addition, residents can sign up for energy alerts on defined topics from Councils.
- 8.5.19 Free newspapers are also considered an effective tool. GMEA has previously paid for online advertising e.g. Manchester Evening News advertising space. With this, the paying party also get editorial space to further promote initiatives. GMEA have noted that there is always a corresponding peak in internet activity and phone calls the day after such an article runs.
- 8.5.20 The GMEA website provides a central point of reference and is well-designed with an easy to use interface. By using Google Analytics, GMEA has been able to ascertain that mobile phones are the most used tool to access information. They are able to monitor which webpages have the highest rates of drop-off and work to improve those pages to retain engagement.

Key Findings

- 8.5.21 Key findings include the following:
- It is important to have local authority endorsement as this provides a trusted name to the given programme/initiative. Marketing and engagement materials always have logos of the partners (Keepmoat, Wates and Willmott Dixon), AGMA, GMEA and the specific local authority.
 - It is also beneficial to have a speaker or champion at community engagement events who has taken up an initiative, as it gets people interested and involved.
 - Timing and intensity of marketing should be focused in September, October and January as these are the times when people are most receptive to hearing about energy promotion.
 - The main 'hooks' to engage with people are considered to be messaging on money saving and warmth rather than in terms of new technologies and the low carbon agenda.
 - A demonstrator home and a champion's network is crucial to encouraging take up and spreading the message.

- The best schemes are considered those where there is a single point of contact, ideally a friendly and well known face throughout the entire process, to avoid frustrations and consultation fatigue.
- It is also important to use existing and well-established networks rather than re-inventing the wheel. It is far better to educate and train people on energy initiatives who already have traction within the local community than introduce experts or commercial contractors.

8.6 Overseas: Bottrop, Germany

Background and Context

- 8.6.1 Innovation City Ruhr (IC Ruhr) is the name given to the project founded to significantly enhance climate change initiatives in Bottrop, Germany. Bottrop became the 'model city' after IC Ruhr ran a competition in the traditionally industrial Ruhr Valley in West Germany to find a city or area that could provide a sustainable model for reducing CO₂ emissions by 50%. The city of Bottrop incorporates 70,000 people and 12,000 buildings, with residents tending to be within low to middle income brackets.
- 8.6.2 Since 2010, Bottrop has embarked on a radical road to decarbonisation "through active public-private partnerships and an engaged citizenry into a living laboratory", initiating over 200 projects focused on climate-friendly urban redevelopment. The blueprint adopted by Bottrop focuses on energy efficiency and renewable energy in both commercial and residential buildings, together with city-wide measures for environmentally friendly mobility and adaptation of urban space
- 8.6.3 Four people are directly employed by IC Ruhr with responsibility for community engagement, with the local authority at Bottrop providing further resource.

Public – Private Partnerships

- 8.6.4 The public - private partnership at the heart of IC Ruhr are essential for increasing resources, synergies, engagement with and ultimately acceptance from the community. Partnerships have been most successful when members of the public, corporate, civil and academic sectors worked proactively together to achieve common goals.
- 8.6.5 It is therefore essential that a detailed resident profile is established to allow energy consultants to offer a solution tailored to the individual. A clear pitfall IC Ruhr is keen to avoid is offering generic, vague or intangible energy efficiency solutions to residents such as "reduce temperature by 1 degree; reduce housing bills by 6%". It is much more effective offer to offer a specific plan i.e. "here's a plan for your house and this is what you need to do to enact it".

Stage 1: Data Gathering

- 8.6.6 The community engagement process begins with building up a detailed profile of the residents and the homes they live in. IC Ruhr uses existing publically held data to create a proficient housing database including information on:
- housing age
 - brick quality
 - insulation rating
 - neighbourhoods where district heating is available
 - houses with adequate wall insulation
 - publically available socio-economic data on residents such as income

Stage 2: Door Knocking

- 8.6.7 Armed with household profiles IC Ruhr's energy consultants then go from house to house in the target community for the given measure (usually around 500 houses). IC Ruhr gives the owners of the households a basic questionnaire to fill out, asking for specific information related to the measure that is not publically available i.e. in the case of fuel cells, the cellar height of their building. With the responders to this survey (usually 200-300 households out of the 500), IC Ruhr then narrow down the houses to a more manageable figure (e.g. 100).

Stage 3 – Central Meetings

- 8.6.8 The selected households are then invited to InnovationCity (the dedicated city-centre hub for IC Ruhr) to attend a community meeting to discuss the measures and funding available for the particular initiative. Being a relatively closely knit town, stakeholders often engage their neighbours at this stage, which is encouraged.

Stage 4 – Personal Contact

- 8.6.9 Once residents have confirmed they are keen to have the selected energy efficiency measure installed in their home they will then be appointed a personal energy consultant who will guide them through the installation process.

Lessons Learnt

Time intensive but effective

- 8.6.10 IC Ruhr noted that their method for community engagement is time intensive (intensive data mining, knocking on doors, city centre meetings and personal energy consultants) but in their experience is the most effective method.

Model house and model measures

- 8.6.11 IC Ruhr has a permanent exhibition in the city centre displaying the different energy efficiency technologies available to residents. This ensures the IC Ruhr goals are highly visible in the local community and importantly, ensures the measures are tangible to residents. IC Ruhr also holds regular consultations with local residents so they can propose their own ideas.

'Tagging on' to existing events

- 8.6.12 Energy consultants will also talk at community events on the topic of heating efficiency; such as single vs. double/triple glazed windows, gas heating, oil heating, and insulation. People are offered direct contact after the events with IC Ruhr and the respective consultants. Additionally, IC Ruhr holds educational events on related house maintenance topics, such as how to reduce mould, increase heating insulation and save money through, for example, energy saving measures.

Engagement

- 8.6.13 The IC Ruhr team do not rely heavily on technology or social media when engaging with the community, their online presence is limited to a simple website. When encouraging the take-up of energy efficiency measures IC Ruhr concentrated on public events and a drop-in office in the centre of the city, combined with systematic door knocking campaigns. IC Ruhr stressed that face-to-face contact trumped all other methods for effective community engagement.

Pitfalls of Community Engagement

Targeting hard-to-reach groups

- 8.6.14 IC Ruhr stated that it is often hard to engage with private rented tenants. The 'offers' available are quite limited as they are often only in their home for a short time. Often it is most effective to engage the housing association/landlord so that they can engage directly with the tenant themselves.
- 8.6.15 They have also struggled to effectively engage Bottrop's Muslim community and are currently looking at ways to improve this.

Funding vs. Remuneration

8.6.16 Because individuals were aware of the widely publicised initial investment figure for IC Ruhr (€3.2bn), they often mistakenly believe that there is a large financial pot to pay for the energy efficiency measures in their home outright. IC Ruhr stated that they now try to minimise advertisement of the funding figures in external communication.

8.7 Overseas: Energiesprong Pilot Project in Tilburg, The Netherlands

8.7.1 The Energiesprong (Energy Leap) initiative¹² has involved a range of energy efficiency measures such as insulated panel-facades that are manufactured off-site and can be quickly fitted to the external facade. Insulated roofs are also provided with high efficiency solar panels. A range of renewable technologies is considered on a case by case basis including heat pumps, hot water storage tanks and ventilation units which are stored in garden sheds to the rear of properties.

8.7.2 The programme has won a contract from the Dutch Government to provide a wave of '10-day makeovers' to some 111,000 homes on estates mostly built in the 1960s and 70s. It has been implemented so far in the Woonwaara housing estate near Amsterdam.

8.7.3 However, the renovations can only be undertaken if all of the social tenants in a block are in agreement. This has resulted in the offer of incentives to tenants, including upgraded bathrooms, fridges and Ikea kitchens with electric cooking. The initiatives are paid for upfront by the developer and then recovered through the savings in energy bills over a period of time.

8.7.4 Energiesprong has set out with regard to public consultation that:

"Communication under this program is not merely a tool to spread information about the project's results, but an essential element to make the overall program successful. The objective is to create a movement in the market. Building a receptive audience base and influencing them is essential for the program to succeed. Communication activities will focus on two themes:

1) Knowledge and inspiration: enabling a transformation requires a fresh perspective and therefore communication focuses on both sharing state of the art knowledge and inspiring stakeholders.

2) Knowledge of the program: this is secondary, because the communication focuses primarily on the thematic change. However, experience shows that some knowledge of the party that performs the driving role is also important; it must be clear who is sending the information.

8.7.5 The approach used to do this is setting the public agenda for issues related to energy performance of housing and the inspiring idea of net zero energy refurbishment, as well as how-to achieve this, by constantly launching a well composed set of messages in speeches, media coverage and through social media. To this end, a coordinated set of blogs and articles, movies and photos and social media activities are deployed. This can be setting the agenda for a theme, or responding to other news. A link between the program, the news that arises and the companies and organisations that participate is established. Crucial in compiling the content is that the spokesperson in most cases is professional in the field.

8.8 Thames Tideway

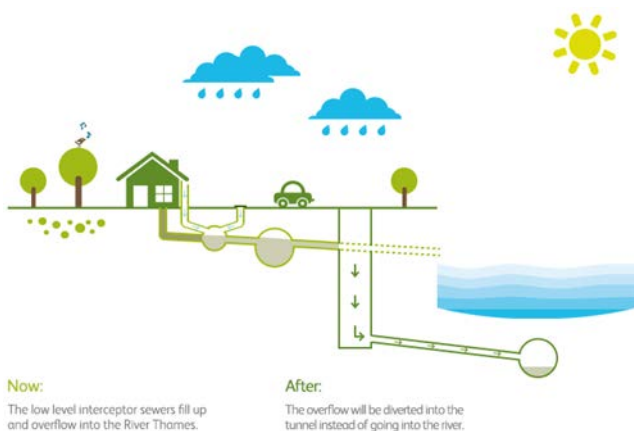
Background and Corporate Context

8.8.1 The Thames Tideway Tunnel scheme is a proposed 25 km (16 mile) tunnel running mostly under the River Thames through central London, intended to provide storage and conveyance of combined raw sewage and rainwater discharges that currently overflow into the river. The scheme is promoted by Thames Water and a decision on the application for a Development Consent Order for Thames Tideway Tunnel was taken on 12

¹² Energiesprong, *Transition to Zero* (2014).

September 2014. The project is a large scale infrastructure development that affects multiple communities across numerous local authority boundaries and involves liaising with residents about a strategic issue that has local implications.

- 8.8.2 Pre-application consultation, engagement and publicity actions have been central to the development of the proposals for the project. Thames Tideway has undertaken the pre-application process for two main reasons:
- consulting with statutory consultees, local authorities, landowners and community consultees on the proposals allows for the development of better proposals for the project, which would also address, as far as possible, concerns raised by consultees; and
 - recognised need to meet their statutory obligations by complying with the requirements of the Planning Act 2008, which states that Applicants must consult on their proposals.
- 8.8.3 A comprehensive website was an integral part of the project and Thames Water's four year consultation exercise. The website itself is built on a Word Press platform and makes use of a number of 'plug-ins' to further enrich the presentation of the huge amount of information that is available on the project. Technologies and services used include Scribd, Vimeo for video, Google Maps for locational information and a full library of all relevant documents. The site uses eye catching imagery with good graphics and strong branding to help enable effective communication and engender engagement. The site contains a separate section for each of the 25 proposed construction sites providing maps, documents and news. The site also includes education resources for engagement with school children, opportunities for employment arising from the scheme and information for potential investors. The strength of the website lies in providing an overarching understanding of the wider objectives of the development but also enable users to quickly and easily understand the impact on their property at a local level.



TT uses good simple graphics to convey complex ideas in a way that everybody can understand¹³.

Energy Engagement and Methods

- 8.8.4 Thames Tideway undertook a multi-stage pre-application process to ensure that consultees had opportunities to provide feedback at the appropriate points in the development of the proposals. The main stages of the process included:
1. phase one consultation (September 2010 to January 2011);
 2. interim engagement (March to October 2011);
 3. phase two consultation (November 2011 to February 2012);
 4. post phase two consultation, which was undertaken in four parts between June 2012 and November 2012; and

¹³ Note: All the screen capture images in this section have been taken from the TT website dated 22 October 2014.

5. publicity undertaken in accordance with Section 48 of the Planning Act 2008 (July to October 2012).

8.8.5 Initial consultation was also undertaken on the Consultation Strategy. The important lesson to note for ETI is the extensive timeframes involved in consultation and the importance of a consistent approach and methodology from the outset.

Publicity

8.8.6 Phase one consultation, phase two consultation and post phase two consultation was carried out in the following ways:

a. At phase one consultation and phase two consultation, TT published the Statement of Community Consultation in the London Evening Standard.

b. At phase one consultation, phase two consultation and targeted consultation, they placed advertisements in local newspapers. These advertised local exhibitions.

c. TT sent letters notifying consultees at phase one consultation, phase two consultation and post phase two consultation:

i Phase one consultation: 186,266 letters.

ii Phase two consultation: 172,162 letters.

iii Post phase two consultation: 17,127 letters.

d. At phase two consultation, targeted consultation and Section 42 consultation (August – October 2012) TT posted site notices in the vicinity of sites.

8.8.7 There is a huge amount of resource involved in collating and synthesising the consultation responses as well as dealing with the sheer volumes of written material. Online surveys and questionnaires should be design to enable effective quantitative analysis of the information. The consultation events are also extremely resource intensive for staff as highlighted further below with the programme of public exhibitions.-

Stakeholder and Community Briefings

8.8.8 Prior to phase one and phase two consultation commencing, pre-briefings were undertaken with local authorities and statutory consultees. Community briefings were also conducted to ensure that community representatives, both formal and informal, understood the proposals and had a suitable level of information on the project and to help ensure they were accurately informed.

Public Meetings

8.8.9 The project team also responded to requests to attend meetings with local organisations and community groups and attended 35 meetings at phase one consultation and 48 meetings during phase two consultation.

Programme of Public Exhibitions

8.8.10 Public exhibitions were conducted at each phase of consultation as follows.

a. phase one consultation: 49 days at 23 venues;

b. phase two consultation: 57 days at 23 venues;

c. targeted consultation: eight days at four venues.

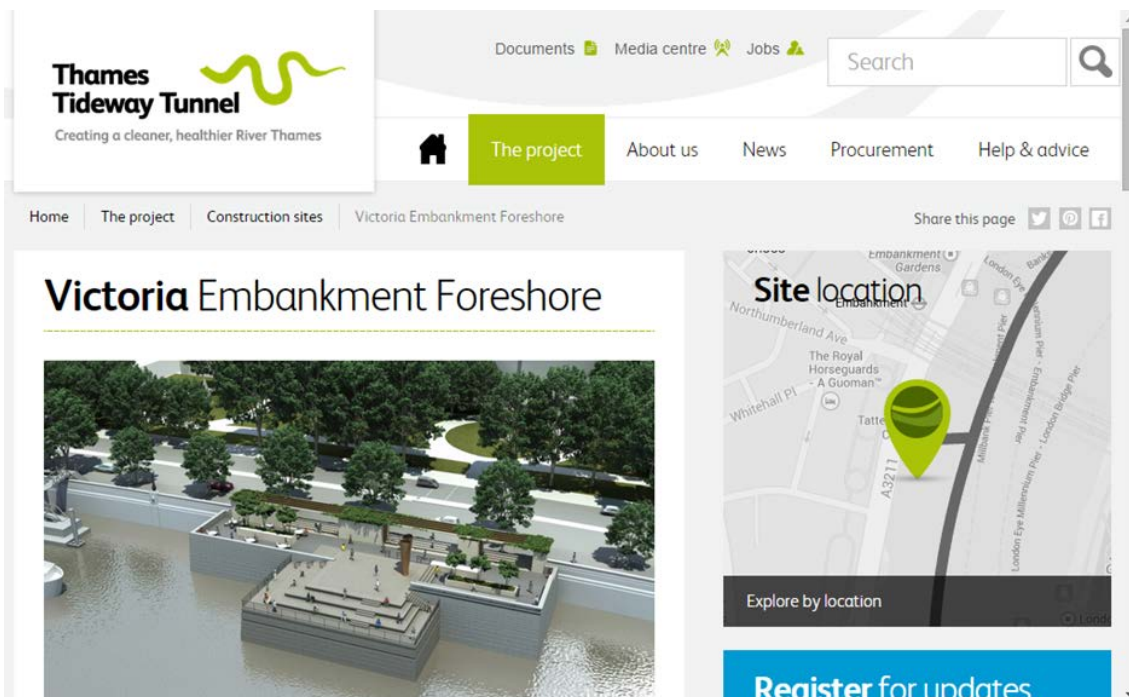
8.8.11 The number of responses to each of the consultation phases is included in the Table below.

Table 1.3 Number of respondents by respondent type

Stage	Total no. of respondents	No. of late respondents	Respondent type			
			SC	LA	LO	CC
Phase one consultation	2,869	408	16	14	24	2,810, 5PET
Interim engagement	315	31	-	-	-	311, 4PET
Phase two consultation	6,019	333	21	17	131	5,841, 9PET
Post phase two consultation*	142	12	8	5**	24**	102, 2PET
Section 48 publicity	83	6	10	12	16	45

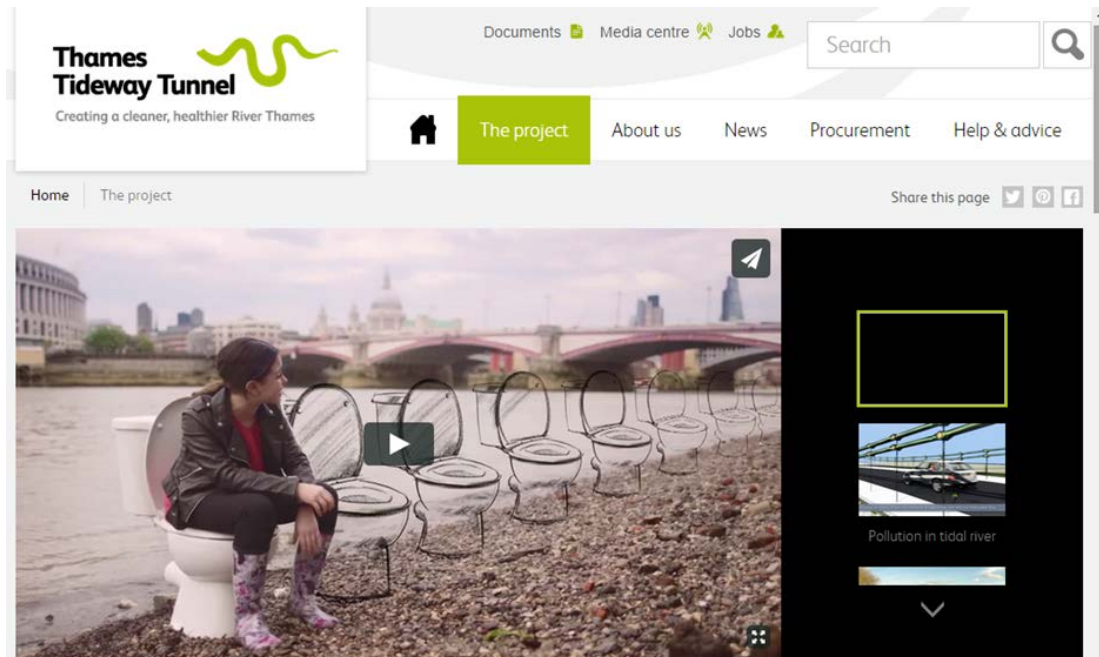
8.8.12 The analysis and review of these consultation responses is a huge exercise and a Statement of Consultation was produced after each phase. The time to undertake this level of analysis and the cost implication should be considered and where possible online surveys with quantitative inputs can assist in reducing the burden of qualitative hand written responses.

8.8.13 The time intensive nature of engagement, throughout all stages is crucial to understand and allow for within budgets. The review of and integration of feedback from public exhibitions and consultation responses needs to be summarised in a transparent and accountable manner such as a Statement of Community Involvement.



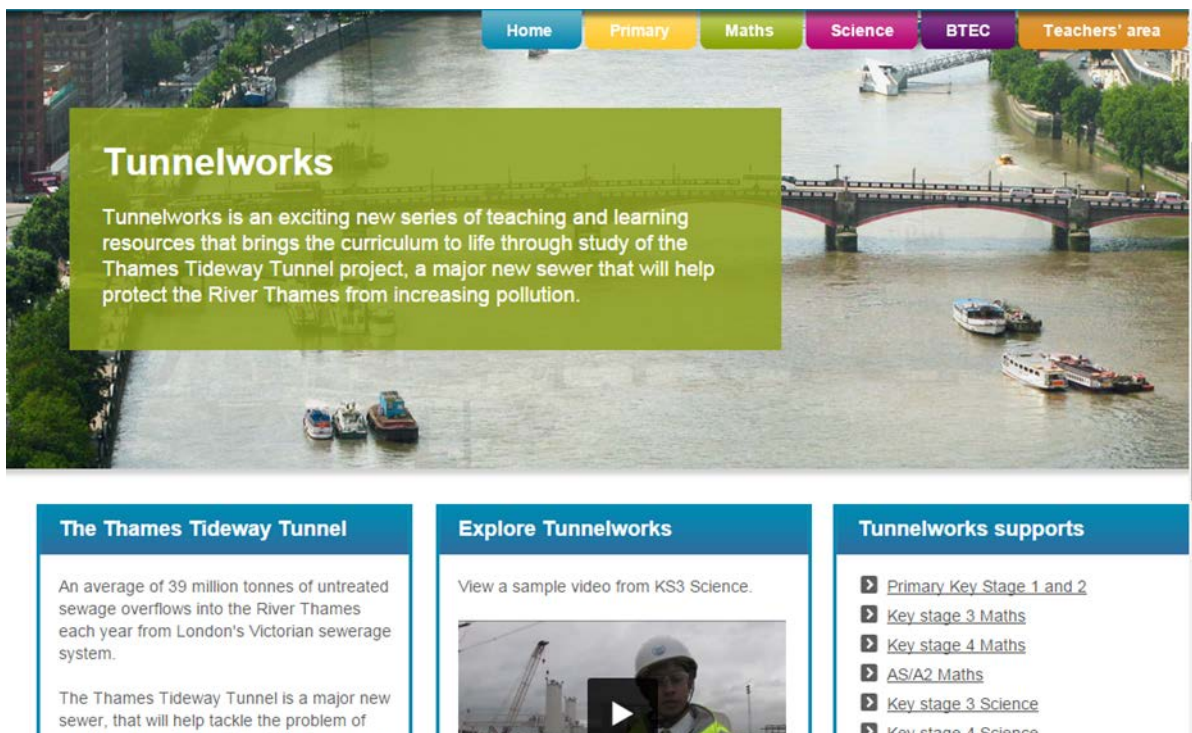
8.8.14 The website includes bespoke pages for each development and construction site. There are a range of methods to search for a site which may impact on individuals' property. The website allows understanding of the high level

strategic objectives of the project but high quality mapping allows residents to quickly and easily grasp how the proposals will directly impact their lives and dwellings. Each site is clearly laid out with strong high quality graphics explaining the nature of development and what the end result will look like. Links are provided to all relevant documentation associated with that site including Planning Statements, Transport Assessment and other supporting documentation. This avoids a protracted search for relevant documentation via other sources such as Council's websites. Links to social media including Twitter and Facebook links are also provided on each page to encourage connectivity and to enable ease of discussion via various platforms.



8.8.15 The website has also used embedded dynamic high quality videos throughout to convey key messages and help promote understanding. The videos are professionally shot and load quickly and easily. The videos convey information in a user friendly format and are a useful tool. ETI should consider the use of a central website resource as an interactive and educational resource to inform and help members of the public to engage and understand the benefits of the EnergyPath networking tool.

Education



8.8.16 The Thames Tideway Tunnel is an historic project with the potential to inspire a whole new generation of engineers and as such giving local pupils the chance to engage with the project and staff members was seen as key to the engagement process. A bespoke educational website entitled 'Tunnelworks' which provides educational resources for school students, covering topic areas including maths, science, engineering and construction. This facilitates increased levels of engagement and interaction and allows students to learn about the proposals.

8.8.17 Over 25 project employees have now been appointed as STEM (Science, technology, engineering and maths) ambassadors to work with local schools on a long-term basis. The Thames Tideway Tunnel project is also working with London Youth Rowing (LYR) to develop 'learn-to-row' sessions in local schools. For those students that are interested in a STEM career, Thames Tideway Tunnel offers limited opportunities to gain work experience on the project with Engineers and other employees in STEM industries.

8.8.18 The project has made use of highly innovative and leading edge best practice engagement through IT that goes well beyond merely raising awareness of the development proposals.

Multi-Channel Media Approaches

8.8.19 The web portal has allowed engagement with a wider audience including busy professional people, young people, people in remote geographical areas and/or those who cannot travel to public consultation events - connecting more people with decision-making.

8.8.20 A large number of supportive comments were received during the consultations in relation to the project website including:

- It was very informative, particularly the videos.
- The online document library was a useful resource.
- Information was readily accessible and easy to find.

Key Findings

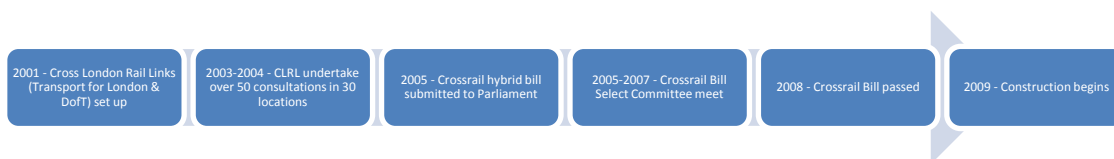
8.8.21 Key findings of this project include:

- A dynamic and interactive web portal can provide an invaluable resource for community engagement over the life of a project. The website can deal with the macro issues explaining the rationale and need for the project but then quickly and easily drill down into the local level details that concern residents. TT consider that consulting online has a number of benefits:
 - saves money over paper and offline processes;
 - is convenient for the public and returns great response rates;
 - is cost-effective for organisations, bringing all of the consultation activity together in one place;
 - fits with the 'digital by default' mentality – connecting organisations with the public - 24/7/365.
- Innovative approaches such as providing educational resources and highlighting job opportunities arising directly from a project can demonstrate clearly the value the project is delivering to the community and provide a higher level of engagement.
- Well designed and thought out graphics and videos can provide a quick and easy way to get complicated messages across to a wide section of the community.

8.9 Crossrail

Background and Context

8.9.1 Crossrail is a 118-kilometre (73-mile) railway line that is under construction and due to be in full operation in 2018, serving London and its environs by providing a new east-west route across Greater London. It is one of Europe's largest railway and infrastructure construction projects. Importantly, it was initiated by a Crossrail Bill (2008) which came into statute in 2008¹⁴.



Crossrail's General Approach to Community Engagement

8.9.2 As a process, Crossrail looks to:

- be open and transparent,
- engage early,
- have a two-way means of community engagement,
- keep residents updated through various means at regular intervals,
- focus on community relations rather than public consultation

8.9.3 Crossrail noted that although an organisation can have the most effective community engagement methods possible, these means become redundant if contractors are not 'good neighbours'. Contractors are often the public face of a construction project. Therefore it is essential to constantly monitor the contractor to ensure that correct public engagement processes are adhered to.

¹⁴ Acknowledgement is given to Crossrail for permission to re-produce images in this Report the web page extracts which follow after paragraph 8.9.7. For each image copyright is held by Crossrail Limited. The dates for each image in the order in which they appear are September 2005, November 2014, May 2002 and July 2009 respectively.

The Consultations

- 8.9.4 The first round of consultation took place in 2003 and was a general stakeholder consultation with residents and businesses within 250 metres of the proposed tunnelling and terminals. Local authorities had been engaged previously.
- 8.9.5 The second round took place in 2004 and entailed leafleting and more detailed introduction to the scheme to the prospective residents using the stations in question, and the residents located along the route.
- 8.9.6 Invitations were sent out to those residents that responded to the leaflets and were added to a database. After this second round, public consultations were held where engineers could brief local residents in 30 'info centres' across London.

Regular Meetings

- 8.9.7 Simply being in the same room as and regularly conversing with the community builds trust. Setting up a public meeting or roundtable events is useful, and you should always hire a neutral chair. Local authority officers are preferred to local councillors to remove the potential for political bias or electioneering.

“Here’s what you said, here’s what we did”

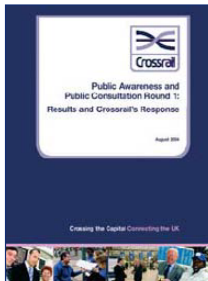
07 How have we responded?

Public Consultation Round 1

Following analysis and categorisation of comments received during Public Awareness and Public Consultation Round 1, the project reviewed the nature of the comment, tested the effect upon the Crossrail design of addressing the comment, and then decided where change to the project could be made.

All comment received was reported to Alistair Darling, Secretary of State for Transport, in January 2004.

Twelve key issues were raised and are listed below along with an explanation of Crossrail’s response published in August 2004.



1. Issue raised

Why are there no stopping services at some stations on the Great Western, particularly at West Ealing, Acton Main Line or Southall?

Crossrail response

Stopping services are now proposed at all intermediate stations on the Great Western between Paddington and Maidenhead. Therefore, trains will now stop at West Ealing, Acton Main Line and Southall stations.

2. Issue raised

Why not continue the service to Reading?

Crossrail response

This has been remedied in part by services being proposed as far as Maidenhead. Crossrail’s proposals would not prevent a link to Reading in the future.

3. Issue raised

Opposition to the proposed loss of the District line serving Richmond.

Crossrail response

The Richmond to Kingston corridor does not now feature in the proposals and so District line services will not be affected by Crossrail.

4. Issue raised

More details were requested on the exact alignment of the tunnelled sections.

Crossrail response

More information was made available as part of Public Consultation Round 2.

5. Issue raised

Support was shown for the provision of fully accessible facilities.

Crossrail response

The requirements of the Disability Discrimination Act and associated legislation will be complied with. Fully accessible facilities will be provided at all new Crossrail stations. Certain additions could be made where Crossrail share existing National Rail Network stations, but these will remain under the management and responsibility of Network Rail or relevant train operating companies.

6. Issue raised

Why is a station not proposed at Woolwich?

Crossrail response

A station facility could not be justified on current estimations of cost, passenger numbers and benefits, but the project is being designed so that a station at Woolwich could be developed in the future.

7. Issue raised

Why are there no stopping services proposed at St. Margaret’s station?

Crossrail response

The Richmond to Kingston corridor does not now feature in the proposals and so this issue is no longer relevant.

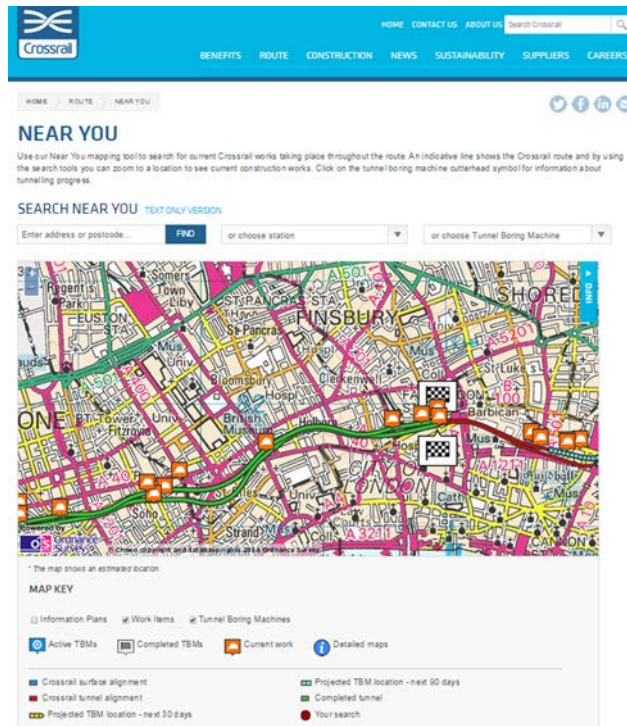
- 8.9.8 In the 2004 consultation Crossrail were able to deliver a ‘here’s what you said, this is what we did’ style consultation built on the feedback from 2003. Most importantly, if changes to the route could not be implemented the community engagement team could explain why.

No to Social Media

- 8.9.9 Crossrail do not believe in the heavy utilisation of social media for community engagement. Having social media as a main method of engagement, means that individuals are encouraged to voice their complaint in a public realm which essentially is not good for the brand. If an individual has a complaint then Crossrail want the public to pick up the phone, write an email or letter.

Other Forms of Online Engagement

8.9.10 Crossrail believe that their website is their most important online engagement tool. They have a section titled 'near you' which shows all the current construction works, and an individual can also click on a map of London to see the past, present and future plans.



However, Letter is still King

8.9.11 Bespoke research for Crossrail indicated that the top three most successful and effective methods of community engagement are 1) physical letter, 2) face to face sessions, and 3) email.

“Strategic Partnerships”

8.9.12 When working with the many local authorities who were inevitably involved with the Crossrail development, it was noted that they often asked for a community representative on hand which represented their specific district, and not the whole of London. Additionally, Crossrail ensured contractors were required to have dedicated community relations resource to deal quickly with ‘on-the-ground’ issues. These dedicated community engagement professionals helped Crossrail form close strategic partnerships with the respective local authority, and ultimately the community.

Have an Adequate Complaints Procedure

8.9.13 Crossrail are ultimately responsible to an ombudsman who appears, and is, neutral to the whole construction process; this position acted as the final complaint stage for residents and stakeholders.

We need your views

There are choices to be made on the routes for the Crossrail Line 1 project, and on issues such as the extent of services and the key interchanges. We would like your views on the options presented in this document.

Key choices that need to be made at this stage include the selection of routes in the west – whether to serve Watford or Aylesbury, and in the east – whether to run via Charlton or the Royal Docks. There are then choices to be made about how far and how many services should run, particularly on the Great Western and North Kent line corridors.

Our aim is to provide the Crossrail line 1 scheme which represents best value for money, is feasible in both engineering and operational terms, and for which funding is possible. To achieve this we will need to justify why the project is necessary and to demonstrate its impact over a wide range of issues and areas.

We would therefore welcome your views on the Crossrail Line 1 project as a whole, how important you think it is for London and the South East and what impact you think it will

have on your particular area of interest. You may also wish to comment on our proposed appraisal framework.

We will use your responses in the selection process to help determine the preferred route, and support the general case for the project.

Please provide your response by Friday 26th July 2002 to:

The Consultation Manager
Crossrail
1 Butler Place
London SW1H OPT

Telephone 020 7941 7600

Facsimile 020 7941 7703

Email shortlist@crossrail.co.uk

www.crossrail.co.uk

8.9.14 As an example, the Red Lion Square in Holborn suffered many complaints from digging underneath an office building which stayed open 24 hours. In this instance the ombudsman stepped and was able to mitigate the situation by implementing different drilling hours of operation.

Pitfalls

Local Authority Help

8.9.15 Local authorities are often not been particularly forthcoming on what community groups or stakeholders to target, for fear of leaving particular groups out.



What is Crossrail?

Crossrail will be a new high frequency railway from Maidenhead and Heathrow in the west, through central London to Shenfield and Abbey Wood in the east.

It will be the largest single addition to the transport network in London and the South East for 50 years. With a capacity double the Jubilee line the new railway will support jobs and investment in many areas of London particularly in east London and the Thames Gateway.

A major part of Transport for London's (TfL) investment programme, Crossrail will increase the public transport rail network capacity in London by 10 per cent, cut journey times and relieve congestion on rail and on the Underground. It will improve transport opportunities for people with reduced mobility by offering new step-free stations, and rolling stock features like wide doors and loudspeaker announcements.

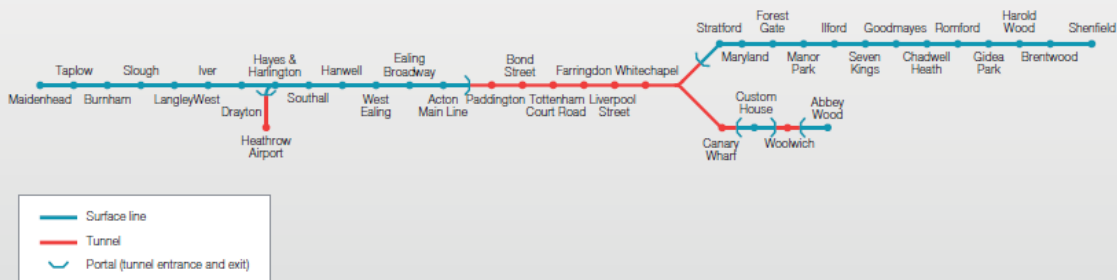
Crossrail connects the key centres of Heathrow, the West End, the City and Canary Wharf, which contain a third of London's jobs; providing an answer to the problem of how to transport the large numbers of people who work in these areas.

TfL will oversee services. There will be 24 trains an hour in each direction in the central section during peak periods, providing substantial new passenger capacity and crowding relief.

Helping to underpin the London and UK economy, Crossrail will enable the Capital to continue to remain a leading world city over the next 20 years and beyond. It is a scheme of national significance and benefit which will be one of the world's largest civil engineering projects.

Crossrail's Key Benefits:

- Up to 14,000 people will work on the project at the peak of construction. 1,000 people will work on the service when fully operational.
- Significant economic return with a benefit cost ratio of nearly 3:1.
- Critical to existing Rail Services through new interchanges with National Rail, Heathrow Express, Underground and DLR.
- Improve the sustainability of the environment with fewer car and busjourneys needing to be made.
- Brings 1.5 million more people within a 60 minute commute of London's financial centres.



Example engagement leaflet

Too Early vs. Too Late

8.9.16 The timing of the engagement is crucial. A too early engagement means that stakeholders begin to become apathetic and lose interest, or they do not have enough information. Too late engagement means that stakeholders believe that the project is already confirmed and they will be unable to change the course of the decision.

“Don’t count your chickens before they’re hatched”

8.9.17 To begin with, Crossrail spent too much time focussing on the ‘loud’ campaigners against the scheme, and took for granted the support of whom they thought would be in favour of the scheme.

8.9.18 As an example, Crossrail assumed that the City of London would support the scheme, when actually they had a petition against it and would object on the current plan. Finding out this information too late became exceptionally costly (£100m); a cost which could have been avoided if all groups and stakeholders were consulted beforehand.

Key Findings

- Utilising location based online web portals during the construction period of large construction projects are a useful method for community engagement.
- Monitor and provide clear guidelines to contractors as they are often the public face of the project.
- The use of social media should be approached with caution as public spats can hurt the reputation of a project. If social media is utilised, it should not be used in a traditional sense (e.g. conversationally).
- Ensuring third party contractors or groups employed by critical all had a dedicated community engagement officer was extremely important.



David Bell

Director
7 Exchange Crescent
Conference Square
Edinburgh, EH3 8LL
+ 44 (0) 131 301 6720
david.bell@eu.jll.com

Olly Buck

Associate Director
30 Warwick Street
London
W1B 5NH
+ 44 (020) 7399 5023
olly.buck@eu.jll.com

Tim Byrne

Associate Director
30 Warwick Street
London
W1B5NH
+ 44 (020) 7087 5478
tim.byrne@eu.jll.com